

**WEATHERIZATION ASSISTANCE PROGRAM
ONSITE MONITORING CHECKLIST**

as of January 2020

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

Grantee Program Materials to send/post in PAGE:

- 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 submit to Project Officer:

- 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 reviewed and/or 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.)]

GRANTEE REVIEW

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
1. Is Grantee staffing consistent with staffing identified in the State Plan? Are key personnel performing the duties proposed within the State Plan? Identify any changes to Grantee staffing.	1. NEW QUESTION: What is the Grantee’s process when a QCI is not following the inspection guidelines and regulations?
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?	2. NEW QUESTION: What is the Grantee’s process when a Grantee monitor is not following regulations and inspection guidelines?
3. How does the Grantee ensure their Subgrantees have all relevant program materials needed to effectively carry out the Weatherization Assistance Program?	3. NEW QUESTION: What is the Grantee’s process when it identifies a contractor that is not performing well or is falling below the identified expectations?
4. What is the Grantee's process for executing their Subgrantee awards? What issues, if any, have developed to cause significant delays in the process?	

Subgrantee Question - Program Overview

Subgrantee should have the following materials readily on-hand. (a) Most recent Grantee Award agreement; (b) Most recently approved State Plan; (c) Most recent Subgrantee fiscal and programmatic monitoring report from the Grantee; (d) Most recent Grantee policy and procedures manual; (e) Field Guide crosswalked with SWS. How does the Subgrantee's demonstration/description align with information provided by Grantee in Question 3 of the Programmatic checklist?

FINANCIAL/ADMINISTRATIVE

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
6. What is the Grantee policy regarding Subgrantee contractor payments, procurement of contractors and establishing fixed costs for materials or services?	4. What is the Grantee policy regarding Subgrantee contractor payments, procurement of contractors and establishing fixed costs for materials or services?
7. If the Grantee approved budget identifies leveraged funds, how is the Grantee properly accounting and reporting them?	
8. What is the Grantee's method of tracking used to segregate multiple funding sources for Weatherization activities?	
9. What tracking mechanism does the Grantee use for capped cost categories (e.g. administration, T&TA, Health & Safety, etc.) and what is the frequency for review of those costs?	
10. How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?	
11. Have the Grantee demonstrate their process of payment to Subgrantees and Grantee's support services contractors (e.g. state monitors, trainers, etc.).	
12. Describe how the Grantee reviews and validates Subgrantee invoices for allowable costs.	
13. Does the Grantee provide advances to their Subgrantees? How does the Grantee reconcile the advances?	

Subgrantee Question - Financial/Administration

Subgrantee will be asked to demonstrate/describe the process leading to the development of an invoice to the Grantee. How does the Subgrantee's demonstration/description in developing an invoice align with the process described by the Grantee in Question 11 of the Programmatic checklist?

Subgrantee Question - Financial/Administration

Subgrantee will be asked to describe the process and show evidence of the process for paying contractors, if applicable. How does the Subgrantee's demonstration/description of their process for paying contractors align with the process described by the Grantee in Question 6 of the Programmatic checklist?

FINANCIAL/ADMINISTRATIVE (CONTINUED)

Subgrantee Question - Financial/Administration

Subgrantee will be asked to review the process used to procure contractors, if applicable. How does the Subgrantee's demonstration/description of their procurement of contractors align with the Grantee's policies outlined in Question 6 of the Programmatic checklist?

Subgrantee Question - Financial/Administration

Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials, services (audits, inspections, etc.). How does the Subgrantee's demonstration/description of their process with regard to fixed price materials/services align with the Grantee's policies outlined in Question 6 of the Programmatic checklist?

Subgrantee Question - Financial/Administration

Subgrantee will be asked to demonstrate the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities? How does the Subgrantee's demonstration/description of their process to account for multiple funding sources align with the Grantee's information captured in Question 8 of the Programmatic checklist?

POLICY ADVISORY COUNCIL (PAC)

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
14. Has the Grantee's PAC (as identified in the regulations) changed since approval of the State Plan? If the PAC's composition has changed, provide details on the changes and why they took place.	
15. Describe the procedure for the PAC to review and provide input on the State Plan.	

ELIGIBILITY

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
16. Describe the Grantee process to ensure homes identified for re-weatherization by their Subgrantees are eligible and tracked by their completion date.	
17. Explain how the Grantee confirms Subgrantees comply with income eligibility requirements. Identify what procedures the Subgrantees must follow.	
18. How does the Grantee ensure compliance with the priority criteria identified in the approved State Plan for serving eligible applicants? Specific examples include: (a) High Energy Users; (b) High Energy Burden; (c) Elderly; (d) Disabled; (e) Households with Children.	
19. Has the Grantee identified any Subgrantees performing (e.g., for-profit subsidiary, utility-based programs, HUD)? Does the Grantee ensure the use of weatherization equipment and material expense is properly accounted for and the WAP program is reimbursed?	

Subgrantee Question – Program Overview/Reweatherization

Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for reweatherization. How does the process described by Subgrantee(s) for eligibility for reweatherization align with information provided by the Grantee in Question 16 of the Programmatic checklist?

Subgrantee Question - Program Overview

Subgrantee will be asked to explain how it follows the most recent approved State Plan/policies and procedures and specifically how the Subgrantee prioritizes services (e.g., high energy users, high energy burden, elderly, disabled, households with children, other state-identified priorities). How does the Subgrantee's explanation align with the prioritization documented in the State Plan and the Grantee's descriptions in Question 18 of Programmatic checklist?

RENTAL

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
20. How does the Grantee confirm the process specified in the State Plan for rental units is being followed (e.g., undue enhancement, 66% rule, dwelling units will become occupied within 180 days, tenants shall benefit, no rent increases, enforcement, eviction).	
21. Does the Grantee have a standard rental agreement template (with a Landlord signature area) in use statewide? If not, are there individual Subgrantee agreements in place?	

ENERGY AUDITS

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
	5. Are the Grantee's energy audit tool and/or priority list approvals current? If so, what are the approval dates?
	6. Describe the monitoring process to ensure the Grantee is meeting this requirement for each of the following type of structures: Single Family, Manufactured Homes, Multi-Family and atypical units. How does the Grantee verify the appropriate energy audit tool or priority list was consistently applied by the Subgrantee? <i>Request the Grantee monitor demonstrate the process during the visit.</i>
	7. Describe the Grantee's monitoring process used to validate the Subgrantees are properly maintaining their energy audits on an annual basis. <i>Request the Grantee monitor demonstrate the validation process during the visit.</i>
	8. NEW QUESTION: Are the fixed costs on materials and services allowable and reasonable?

Subgrantee Question – Energy Audits

Subgrantee will be asked to produce the most recent DOE-approved energy audit tool and/or priority list and demonstrate/describe how it updates and maintains the audit inputs (if applicable), especially when dealing with atypical housing stock (updating fuel, labor, and material costs, etc.). How does the Subgrantee's description of their energy audit tool/priority list (including updates and treatment of atypical housing) align with the information in the Energy Audits Section?

Subgrantee Question - QMA

In reviewing completed or in progress jobs, how does the Subgrantee audit/priority list practice align with the information in Energy Audits section?

FIELD WORK

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
	9. How does the Grantee communicate what is expected to be in each DOE client file and accessible to monitors on field visits?
	10. How does the Grantee ensure DOE units are inspected by a QCI with an active certification prior to the Subgrantee reporting them as completed units?
	11. Does the Grantee complete monitoring to at least 10% of completions for those Subgrantees that use the same staff for energy audits and final inspections? Are there any special accommodations/approvals for this Grantee? If so, what are they?
	12. Is there a "final inspection form" that documents the unit has been inspected by a QCI with an active certification, reviews the data entry and use of the approved energy audit/priority list, verifies each completed measure aligns to the objectives of the approved field guide, documents any callbacks and their resolution, and contains the certified QCI inspector name, signature and date the inspection was completed? <i>Request a copy of the form if it is not already attached to the most recent SF-424.</i>
	13. Describe the process the Grantee (and Subgrantees) implements if a QCI inspector finds work that requires a callback. <i>Request an example of this process being utilized.</i>
	14. Describe the Grantee's process to address the following concerns discovered during a Grantee monitoring visit: (a) incomplete work; (b) questioned costs; (c) client complaints; (d) major workmanship issues; (e) minor workmanship issues; (f) missed opportunities <i>Request an example of these processes being utilized.</i>

FIELD WORK (CONTINUED)

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
	15. Describe how the Grantee is managing the missed opportunities/call-back/add-on work/rework process with the Subgrantees. <i>Request an example of this process being utilized.</i>
	16. How does the Grantee ensure the proper installation of materials and Health & Safety protocols that comply with Grantee’s approved Health & Safety Plan and Field Guide? Indicate whether the Grantee is using a specific Field Guide, Regional Field Guide, Installation Guideline, or other technical, written materials. <i>Request a copy of the application document(s) if not already attached to the most recent SF-424.</i>
	17. Describe the Grantee's frequency and process (both major and minor updates) to update their Field Guide, Regional Field Guide, Installation Guidelines or other material to make sure they are aligned with the SWS. <i>Request an example of this process being utilized.</i>

Subgrantee Question – Quality Management Assurance

Are there any issues related to file review or inconsistencies between the Grantee's description of file documentation in Question 9 of the Technical checklist that suggests there may be a need for the Grantee to review with the Subgrantee what should be included as file documentation?

Subgrantee Question – Training & Qualifications

Subgrantee will demonstrate its reworks policies and procedures for inspectors when there is a high frequency of corrections. How does the Subgrantee's demonstration/description of their process for course correction/training of Subgrantee crews/contractors align with the Grantee methods to determine T&TA needs described in Question 13 of the Technical checklist?

Subgrantee Question – Weatherization of Units

Subgrantee will be asked to describe the processes and procedures in place if a final inspector observes work that requires a callback. How does the Subgrantee's description of their process for final inspector ordering "callbacks" align with the Grantee information captured in Question 13 of the Technical checklist?

Subgrantee Question – Quality Management Assurance

In reviewing completed or in progress jobs, does the work performed on all the measures follow the state protocols (standards and/or field guide linked to the SWS) in Question 16 of the Technical checklist or are there any issues/concerns with the materials or installation that should be addressed by the Grantee with the Subgrantee?

HEALTH & SAFETY

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
	18. Describe how the Grantee tracks, monitors, and documents their Subgrantees' implementation of the Grantee's approved Health and Safety Plan requirements and budget as stated in their State Plan and current guidance. <i>Request an example of this process being utilized.</i>
	19. Have the Grantee demonstrate how it ensures workers are following the Grantee's approved Health and Safety Plan requirements? Provide examples (e.g., trainings, field guides, documenting safe work practices, etc.). <i>Request an example of this process being utilized.</i>
	20. How does the Grantee verify workers have the Grantee required Health and Safety training, (e.g. OSHA requirements, Lead Safe Weatherization (LSW), Certified Renovator, etc.)? <i>Request an example of this process being utilized.</i>

Subgrantee Question – Health & Safety

Subgrantee will be asked how the agency implements the approved Grantee Health and Safety plan and requirements, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc. as outlined in the DOE approved Health & Safety Plan. How is the implementation described/evidenced in the files at the Subgrantee(s) consistent with the process and procedures described by the Grantee in Question 20 of the Technical checklist?

EQUIPMENT/INVENTORY/MATERIALS

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
<p>22. How is the Grantee verifying that vehicles, equipment, and tools purchased for the Grantee's use are used in an appropriate manner to ensure cost-effective delivery of services? <i>Request an example of this process being utilized.</i></p>	
<p>23. How does the Grantee verify Subgrantee vehicles, equipment and tools are used in an appropriate manner to ensure cost-effective delivery of services? <i>Request an example of this process being utilized.</i></p>	
<p>24. How does the Grantee's monitoring process assess inventory and warehouses of Subgrantees? Property records must include: (a) Description; (b) Serial Number; (c) Source; (d) Title; (e) Acquisition Date; (f) Percent of Federal Participation; (g) Location; (h) Use; (i) Condition; (j) Ultimate Disposition. <i>Request an example of the property records and the monitoring process being utilized.</i></p>	

Subgrantee Question – Inventory

Subgrantee will be asked to describe how they maintain and track any inventory and how their process is consistent with the Grantee's description of the process. How does the Subgrantee's description correspond with the monitoring process described by the Grantee in Questions 23 and 24 of the Programmatic checklist?

GRANTEE MONITORING

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
<p>25. Describe the Grantee’s process to document Subgrantee work quality. Include patterns detected at a single agency or at multiple agencies. <i>Request an example of this process being utilized.</i></p>	<p>21. Describe the Grantee’s process to document Subgrantee work quality. Include patterns detected at a single agency or at multiple agencies. <i>Request an example of this process being utilized.</i></p>
<p>26. Does the Grantee’s monitoring tool review Subgrantee compliance with: (a) Subgrantee contracts; (b) Grantee financial/operations manual (c) Applicable Federal regulations (d) Current Program Guidance documents. <i>Request a copy of the monitoring tool(s) if not already attached to the most recent SF-424.</i></p>	<p>22. Does the Grantee’s monitoring tool review Subgrantee compliance with: (a) Subgrantee contracts; (b) Grantee financial/operations manual (c) Applicable Federal regulations (d) Current Program Guidance documents. <i>Request a copy of the monitoring tool(s) if not already attached to the most recent SF-424.</i></p>
<p>27. Describe how the Grantee verifies their monitoring process in the State Plan is implemented, including programmatic, financial and technical monitoring. <i>Request an example of this verification process being utilized.</i></p>	<p>23. Describe how the Grantee verifies their monitoring process in the State Plan is implemented, including programmatic, financial and technical monitoring. <i>Request an example of this verification process being utilized.</i></p>
<p>28. What process (including sanctions) does the Grantee use to address deficiencies identified during Subgrantee monitoring and is it consistent with the Grantee's State Plan?</p>	<p>24. What process (including sanctions) does the Grantee use to address deficiencies identified during Subgrantee monitoring and is it consistent with the Grantee's State Plan?</p>
<p>29. Have the Grantee describe their process to identify and track at-risk Subgrantees and what type of support they offer to assist in resolving the identified issues?</p> <p><i>Question was reworded from previous checklist: Are at-risk Subgrantees being tracked, assisted, etc? If so, summarize the issues and actions to resolve them. (reword to verify Grantee is doing their responsibility to assist their at-risk Subgrantees - both)</i></p>	<p>25. Have the Grantee describe their process to identify and track at-risk Subgrantees and what type of support they offer to assist in resolving the identified issues?</p> <p><i>Question was reworded from previous checklist: Are at-risk Subgrantees being tracked, assisted, etc? If so, summarize the issues and actions to resolve them. (reword to verify Grantee is doing their responsibility to assist their at-risk Subgrantees - both)</i></p>
<p>30. Have the Grantee describe the process for Historic Preservation compliance? Is there a signed agreement with its SHPO office and is it current?</p>	<p>26. How does the Grantee ensure Subgrantee personnel (e.g., Auditor, Quality Control Inspectors) are qualified to perform audits and meet program requirements (e.g., certification or number of required training hours)? <i>Request an example of this verification process being utilized.</i></p>

GRANTEE MONITORING (CONTINUED)

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
<p>31. Have the Grantee describe how it verifies that all Weatherization contractors are not on the debarred list (excluding the party list system). Include a description how Subgrantees ensure their contractors are not on the "exclusion list".</p>	<p>27. Have the Grantee describe how it verifies that all Weatherization contractors are not on the debarred list (excluding the party list system). Include a description how Subgrantees ensure their contractors are not on the "exclusion list".</p>

Subgrantee Question – Quality Management Assurance

Based on field observations, were there any "patterns" identified that should be addressed by the Grantee with the Subgrantee based on the site visits?

Subgrantee Question –Qualifications

Subgrantee will be asked to describe how they determine if workers (crews or contractors) are able to perform to the job expectations before hiring or within a certain period after employment. How does the Subgrantee's demonstration/description of their process for hiring qualified crews/contactors align with the Grantee as described in Question 26 of the Technical checklist?

TRAINING & TECHNICAL ASSISTANCE (T&TA)

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
<p>32. What methodology does the Grantee use to determine the T&TA needs of its Subgrantees? How do they provide training on the items below? (a) Technical Training; (b) Program Management Training; (c) Procurement Training (Contracts, including subcontractors); (d) Inventory Management Training; (e) Health and Safety <i>Request an example of the evaluation process and the follow-up in acquiring/offering T&TA in response to the results of that evaluation.</i></p>	<p>28. What methodology does the Grantee use to determine the T&TA needs of its Subgrantees? How do they provide training on the items below? (a) Technical Training; (b) Program Management Training; (c) Procurement Training (Contracts, including subcontractors); (d) Inventory Management Training; (e) Health and Safety <i>Request an example of the evaluation process and the follow-up in acquiring/offering T&TA in response to the results of that evaluation.</i></p>
<p>33. Is the Grantee on track with implementation of their approved T&TA plan? Does the plan need to be updated? Confirm the T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred). <i>Request a copy of their training tracker and compare the progress to the DOE-approved T&TA plan.</i></p>	<p>29. Verify the Grantee tracks training completions and any certifications or certification renewals, received by Subgrantee or contractor staff.</p>
<p>34. What recent national or regional meetings has the Grantee attended? Are there any barriers hampering the Grantee's attendance at DOE national or regional training conferences and workshops? If yes, please list below.</p>	<p>30. Is the Grantee on track with implementation of their approved T&TA plan? Does the plan need to be updated? Confirm the T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred). <i>Request a copy of their training tracker and compare the progress to the DOE-approved T&TA plan.</i></p>

Subgrantee Question – Training & Qualifications

Subgrantee will describe its callback policies and procedures for final inspections when there is a high frequency of corrections. How does the Subgrantee's description of their process for course correction/training of Subgrantee crews/contractors align with the Grantee methods to determine T&TA needs described in Question 32 of the Programmatic checklist or Question 28 of the Technical checklist? Request an example of these policies being utilized.

Subgrantee Question – Training & Qualifications

Based on field observations, were there any training issues identified that should be addressed by the Grantee with the Subgrantee? (e.g., specific trainings that should take place to bring Subgrantee work to a higher quality). How does this training recommendation align with the Grantee approach to identifying/meeting training needs outlined in Question 33 of the Programmatic checklist or Question 30 of the Technical checklist?

Subgrantee Question – Training & Qualifications

Based on field observations, are there any areas where the Grantee monitors and field staff need to improve their monitoring capabilities?

FEEDBACK AND REPORTING

PROGRAMMATIC QUESTIONS	TECHNICAL QUESTIONS
<p>35. How often does the Grantee have regular communications with its Subgrantees? Describe the different methods by function (e.g., technical, annual conferences, monthly conference calls, etc.).</p>	<p>31. Describe the Grantee's information system used to collect and report Subgrantee production and expenditures. How does the Grantee verify and track completed units? Does the Grantee also use the system as a management tool? <i>Request an example of the system/tool (if possible) used and an example of how the information is used to manage the program. The system/tool may not be sharable and may lend itself more to a demonstration of the system during the onsite monitoring visit instead.</i></p>
<p>36. Describe the Grantee's information system used to collect and report Subgrantee production and expenditures. How does the Grantee verify and track completed units? Does the Grantee also use the system as a management tool? <i>Request an example of the system/tool (if possible) used and an example of how the information is used to manage the program. The system/tool may not be sharable and may lend itself more to a demonstration of the system during the onsite monitoring visit instead.</i></p>	

Subgrantee Question – Historic Preservation:

Subgrantee will be asked to demonstrate how they comply with the state's Historic Preservation agreement. How does the Subgrantee track and report compliance to the Grantee for the annual historic preservation report? How does the Subgrantee's demonstration/description align with the Grantee's process described in Questions 30 and 36 of the Programmatic checklist or Question 31 of the Technical checklist?

Subgrantee Question – Reporting of Completed Units

Subgrantee will be asked to describe the process for reporting completed units to the Grantee – both the reporting of the production and the verification of those completions. How does the Subgrantee's description of their reporting process for production of completed units align with the description from the Grantee in Question 36 of the Programmatic checklist or Question 31 of the Technical checklist?