



Weatherization Assistance Program (WAP)

Program Monitoring Tool

Agency:

Date:

Agency Contact:

Agency Contact:

List Current GEFA Contract(s) and \$Value:

1. 20-21 DOE: \$

2. 20-21 HHS: \$

3. CARES: \$

GEFA Reviewer:

Due to concerns associated with COVID-19, GEFA is asking all subgrantees to fill out this Program Monitoring Tool. WAP agencies should use the following materials and is requested to scan and upload the following copies of documentation:

- Copy most recent award agreements
- Copy of written procurement policy
- Copy of annual procurement documents, contractor bid responses, scoring sheets, etc.
- Copy of SAMS, business license and insurance policies for all contractors
- Copy of sub-contractor contracts with bid specifications and pricing
- Copy of organizational chart
- Copy of material, tool, equipment and vehicle property records and inventory list
- Copy of five client files from last six months
- Copy of most recent fiscal and QCI monitoring report
- Copy of three deferral letters from recent deferrals
- Copy of Crew/contractor safety policies and practices including Personnel Protection Programs
- Copy of Agency policy and procedures manual
- Copy of current list of contractors/vendors from Hancock
- Copy of Board of directors meeting minutes from last three meetings
- Copy of most recent A133 audit
- Copy of waiting list

I. General	
1. Please describe your organization's roles and responsibilities as it pertains to WAP:	<input type="checkbox"/> N/A
2. Are you primarily crew based?	<input type="checkbox"/> No Change
3. Does your WAP staff described above also work on other programs?	<input type="checkbox"/> Update
4. Does the agency have a Drug Free Workplace Act of 1988 policy?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
5. Does the agency have a retention policy indicating that records must be saved for seven years after the expenditure of all funds?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
6. Does the agency have a written code of conduct and conflict of interest policy for employees responsible for procurement transactions?	<input type="checkbox"/> N/A
7. How are staff members made aware of this policy?	<input type="checkbox"/> No Change <input type="checkbox"/> Update
8. Does the agency have a projected work plan with production and spend goals by month to ensure continuous service from the commencement date to the expiration date of the contract?	<input type="checkbox"/> N/A
9. What is the agency average total cost per unit for DHS?	<input type="checkbox"/> No Change
10. What is the agency average total cost per unit for DOE?	<input type="checkbox"/> Update
11. Does the agency have insurance coverage that meets contract requirements, including naming GEFA as an additional insured?	<input type="checkbox"/> N/A
12. What was the cost of the insurance?	<input type="checkbox"/> No Change
13. Does the agency have worker's compensation insurance that meets statutory requirements?	<input type="checkbox"/> Update
14. What is the date of your most recent fiscal audit?	<input type="checkbox"/> N/A
15. Were there any WAP related findings?	<input type="checkbox"/> No Change
16. If yes, please describe and explain status of corrective action plan.	<input type="checkbox"/> Update
17. Is your board of directors provided with updates about the WAP?	<input type="checkbox"/> N/A
18. What issues, if any, have you had with administering the program?	<input type="checkbox"/> No Change <input type="checkbox"/> Update
19. Has the agency met spend and production goals for the previous year contracts (99%)?	<input type="checkbox"/> N/A
20. Is agency on track with YTD expenditures?	<input type="checkbox"/> No Change
21. How do you track county production as required in the DOE contract?	<input type="checkbox"/> Update
22. Has the agency had any re-allocation amendments due to low spend?	
23. If so, what changes has the agency implemented to meet spend and production goals?	
24. Has the agency delivered timely and accurate invoices by the 10 th of the month?	<input type="checkbox"/> N/A
25. Have any invoices been rejected for non-compliance with program guidelines?	<input type="checkbox"/> No Change
26. Does the agency need help on any program related issues?	<input type="checkbox"/> Update

II. Eligibility	
27. What system is used to determine if/when a residence has previously been weatherized?	<input type="checkbox"/> N/A
28. How far back does your system track?	<input type="checkbox"/> No Change
29. How do you check to avoid houses in foreclosure or being sold?	<input type="checkbox"/> Update
30. How do you ensure you are following the most recently approved State Plan, WAP policies and procedures, and WAP field guides?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
31. How do you manage your wait list and how often do you rescore wait list applicants?	<input type="checkbox"/> N/A
32. Do you use the Hancock system for priority scoring?	<input type="checkbox"/> No Change
33. How many clients are on the wait list currently and what is the length of time?	<input type="checkbox"/> Update
34. Reviewer should look at several wait list files to confirm priority scoring and have agency demonstrate selection of wait list clients. Comments on file review	
III. Training	
35. How do you ensure that your employees have the requisite skills and knowledge for their function and capacity?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
36. What are your anticipated training needs in the next six to twelve months for all staff?	<input type="checkbox"/> N/A
37. Do you have adequate funding for your training needs?	<input type="checkbox"/> No Change <input type="checkbox"/> Update
38. Do you have at least one QCI on staff?	<input type="checkbox"/> N/A
39. If no, identify your plan to have staff trained.	<input type="checkbox"/> No Change <input type="checkbox"/> Update
40. Has there been turnover of key program staff or agency management in the last 12 months?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
Name/Title: Name/Title:	
41. Describe your agency's orientation process for new staff performing new duties.	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
42. Are all required lead based paint staff certifications on file and current?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
43. How often does the agency conduct crew safety policy and practices meetings?	<input type="checkbox"/> N/A
Are meeting minutes and topics maintained?	<input type="checkbox"/> No Change

	<input type="checkbox"/> Update
44. Is the required OSHA safety equipment furnished for each vehicle (e.g., fire extinguishers, fall restraints, first aid kits, etc.)?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Yes
IV. Tools, Equipment, Materials, & Vehicles	
45. Does your agency currently have a need for any major equipment or vehicles? 46. If yes, please describe need:	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Yes
47. What is your agency's internal procedure for ensuring inventory controls for tracking tools and equipment? 48. Have you purchased any tools this year over \$500? 49. Did the agency obtain prior written approval from GEFA?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
50. Are vehicles purchased with weatherization funds, used in other programs? 51. If so, describe how you share maintenance and other costs?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Yes
52. Did the agency secure prior written approval on the purchase of goods valued at \$5,000 or more? 53. Did the agency provide annual bid documents to GEFA for a pre-procurement approval?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
54. The GEFA review should review the inventory and materials list for compliance with cost principles (reasonable, allowable and allocable). Did the inventory comply? 55. Inspect warehouse and note any concerns:	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
V. Procurement & Subcontractors	
56. List current subcontractors (including specialty) and the type of services provided. 57. Were all subcontractors listed above competitively procured? 58. Are there subcontractors listed in Hancock for the agency that have not gone through the competitive procurement process? 59. If yes, please list.	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
60. Did the agency follow its written procurement policy to allow competitive procurement? 61. Did the actual RFP/RFQ and advertised bid solicitation comply with the pre-approval list? 62. Was the bid solicitation advertised in two media sources for two weeks?	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update
63. Please provide copies of each subcontractor's current license, bond, insurance information (including lead based paint) and debarment statement, for monitoring review. <ul style="list-style-type: none"> • Subcontractor's License • Subcontractor's Insurance • Debarment and Suspension Certification 	<input type="checkbox"/> N/A <input type="checkbox"/> No Change <input type="checkbox"/> Update

GEFA reviewer will use the **CLIENT FILE MONITORING** documents to review at least 3-5 client files. Please include the completed (separate) CLIENT FILE MONITORING documents in the Program Monitoring File for each agency.

Signatures and acknowledgment:

GEFA Program Manager: Tim Petrides

Date:

Agency Executive Director: _____

Date: _____