

Christine Askew and Shawn Green
US Department of Energy

November 30, 2020

Dear Christine and Shawn,

Please consider our practices and intended procedures as approval for the outlined virtual monitoring plan below. The purpose of this document is to establish procedures on how we intend on performing remote monitoring if the travel restrictions continue to be in place long term and pursue DOE approval of these methods.

The following categories will be covered: Administrative (Programmatic), Fiscal, File Review, and Field Monitoring including the QCI.

The virtual monitoring procedures describe how we intend on performing virtual monitoring if DOE approves these procedures, and if travel restrictions continue to be in place for ND.

Administrative, Fiscal, and File Review will be completed by having the agency meet virtually using Microsoft Teams or Go To Meeting. All documents we would normally look at when at the agency will be scanned and sent to the state staff prior to the virtual meeting. The state staff would review the documents before the virtual meeting just as at a site visit. We are working with our State ITD to put a system for secure file transfer so confidential information could be safely shared between the local agency and the state staff.

The virtual Field Monitoring would consist of receiving the contents of the client file before the virtual site visit. The file review would be completed, and any questions or comments noted so the QCI could respond during the virtual site visit. For the actual site visit, we would have the QCI Facetime with his phone so we could observe the completed work and the diagnostic testing. We would look at the house just as we would if we were there.

We would be using all the same forms, checklists, and procedures we do when on site.

Administrative Monitoring

1. A copy of the 2021 North Dakota Monitoring Instrument is sent to the agency, so the agency can view the sections of the tool and prepare for the monitoring interview.
 - a. This is provided to the agency at least 30 days prior to the monitoring.
 - b. Questions regarding the 2021 North Dakota Monitoring Instrument are encouraged during this period. This helps the monitors gain insight on what T and TA needs the agency has prior to the monitoring
2. Supporting documents in relation to the 2021 North Dakota Monitoring Instrument are provided.
3. Interview is scheduled with the agency involving key technical staff.
4. Each item on the tool is discussed with the agency and the responses are recorded on state staff's copy of the 2021 North Dakota Monitoring Instrument.
5. More supporting documentation may be requested depending on the answers.
6. The agency is asked to show the location or condition of tools, vehicles, PPE, or other items.
7. When the interview is complete, the information organized with follow up areas noted for the virtual field visits.
8. If there are already findings or concerns based off the agency's answers and provided information, that will also be documented for the monitoring letter.

Fiscal Monitoring

1. A copy of the forms and checklists used for the monitoring are sent to the agency, so the agency can view the sections of the tool and prepare for the monitoring interview.
 - a. These are provided to the agency at least 30 days prior to the monitoring.
 - b. Questions regarding the forms and checklists are encouraged during this period.
 - c. Specific items will also be requested at this time – copies of ledgers, timesheets, etc.
2. Supporting documents in relation to the forms and checklists are provided.
3. Interview is scheduled with the agency involving key technical staff.
4. Each item on the forms and checklists is discussed with the agency and the responses are recorded on state staff's copy of the forms and checklists.
5. More supporting documentation may be requested depending on the answers.
6. When the interview is complete, the information organized with follow up areas noted for the virtual field visits.
7. If there are already findings or concerns based off the agency's answers and provided information, that will also be documented for the monitoring letter.

File Review

1. State staff will choose the required number of files to review from the list of jobs in the WxPro software. They will provide the request to the local agency. The local agency will scan the client file and send them to the state staff.
2. State staff will review the files and note any questions or concerns.
3. Interview is scheduled with the agency involving key technical staff.
4. When the interview is complete, the information organized with follow up areas noted for the virtual field visits.
5. If there are already findings or concerns based off the agency's answers and provided information, that will also be documented for the monitoring letter.

Work-in-Progress

1. A client is selected from homes that have been assessed with materials and supplies on hand.
 - a. It is preferred this be a home with multiple measures being installed to gain a wider understanding of the agency's overall field practices.
 - b. Name and address are sent to ND state staff ahead of time to help prepare.
2. Once the agency's staff has unloaded their equipment and started work, a representative contact the MFA monitoring team for a group video call. a. This occurs from the vehicle to obtain street view.
3. The monitoring team observe the staff working from the street view and approach with the person operating the device the staff and tour the job site.
 - a. The person operating the device should be familiar with that home's scope of work to know what areas of the home to view.
 - b. It will be requested that the tour is slowed with closer zooms on areas the monitors need to see with more detail.
4. Each worker starting with the crew leader is asked what he or she is working on and how they are doing it. The video operator does not hand the device to the worker and keeps the 6' distance.
5. The monitoring team views the condition of the vehicles, tools, and insulation trailer.
6. The monitoring team also asks about and view safety equipment, location of PPE, SDS manuals, and Field Guides.
7. Specific areas of work in progress are compared against Field Guides and SWS.
8. General OSHA compliance and safety practices are observed.

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9. Safety violations or concerns are immediately brought up and communicated to the crew leader.
10. If it appears something is being missed, or not addressed properly, the team is given a chance to explain the reasoning behind why.
11. The notes and video are later reviewed and compared to the technical tool for conclusion of the work in progress monitoring.

Final Inspection - QCI

1. A completed unit that needs a final QCI is selected and the client file is sent to ND state staff electronically.
2. The monitors view the contents of the file and views the home via Google Earth if available. Notes are made in preparation.
3. Two people from the agency are present for the final inspection. The two video call the state monitoring team from the vehicle when arrived.
 - a. One is the QCI who conducts the inspection, and the other holds the device for very clear and focused zooming on the inspection that is being done.
 - b. The QCI must focus on the final inspection and not the device so that the procedures can be accurately observed.
 - c. The QCI describes each activity like they would during a proctored field exam.
4. Everything that the final inspector would normally do is completed and video streamed.
5. The monitors will ask the team of inspectors to slow down, stop, explain, or show a closer shot of certain measures.
6. The diagnostic testing is highly important, and the camera must be angled to clearly see the meters, gauges, location of testing, and appliance operation. It is assumed this will take the most time of the inspection.
7. Safety concerns noted by the monitoring team will be communicated immediately to the inspection team.
8. The agency may have more than one device on hand as a backup if the first one battery life is not long enough to support the entire final inspection.
9. As the final inspection is ending, the monitoring team gives the inspectors an opportunity to address anything they might have missed.
10. If it appears the home is being left in an unsafe manner, the monitoring team alerts the inspectors so that can be corrected, and notations are made for the monitoring letter.
11. Observations are made about how the inspectors addressed problems with the work or missed opportunities.
12. The final inspection visit is compared to the client file, and technical tool for consistency as the final inspection procedures are concluded.

Virtual Monitoring Approval Request

We are requesting approval for the procedures described in this document. We have had one of our agencies testing the virtual Field Monitoring by using the procedures listed above and following up with an in person QCI. They have not found any issues. We are confident we can achieve the same results as an in-person site visit. If there is more information that would help DOE gain more clarity on how this will be performed, we will be happy to provide it to you. Thank you for your consideration of this request.

Bruce A. Hagen

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