

## Request for Modification to Monitoring Plan

The purpose of this document is to establish procedures for virtual monitoring to be performed while travel restrictions are in place resulting from COVID-19. The following categories may be covered: Administrative/Programmatic, Fiscal, File Review and Technical Monitoring.

Grantee Name	
WAP Manager Name	
WAP Manager Email	
WAP Manager Phone	
Date Submitted	
DOE Project Officers	

Administrative/Programmatic Monitoring: Applicable ☐ Not Applicable ☐

Will be completed by having the Subgrantee meet virtually using a live streaming application. We will review all documents we would normally review when at the Subgrantee. All documents will be provided digitally to Grantee staff prior to the virtual meeting. The Grantee staff would review the documents before the virtual meeting just as at a site visit. The Subgrantee will redact confidential client information and/or utilize a secure file transfer protocol (FTP) so confidential information can be safely shared between the local Subgrantee and the Grantee staff. The following steps will be followed:

Step	Process
1	A copy of the Administrative / Programmatic Monitoring tool is sent to the Subgrantee 30 days prior to monitoring, so the Subgrantee can view the sections of the tool and prepare for the monitoring interview. Questions regarding the monitoring tool are encouraged from the local Subgrantee during this period.
2	Supporting documents are provided and an interview is scheduled with the Subgrantee involving key Subgrantee staff.
3	During the interview, each item on the tool is discussed with the Subgrantee and the responses are recorded on Grantee staff's copy of the Administrative/Programmatic Monitoring Instrument. More supportive documentation may be requested from the Subgrantee depending on answers.
4	The Subgrantee is asked to show the location and condition of tools, vehicles, PPE and other items as outlined in the monitoring tool.
5	When the interview is complete, the information organized with follow up areas noted for the virtual field visits.
6	If there are findings or concerns based on the Subgrantee's answers and provided information, that will also be documented in the monitoring letter.

**Fiscal Monitoring: Applicable ☐ Not Applicable ☐**

Will be completed by having the Subgrantee meet virtually using a live streaming application. We will review all documents we would normally review when at the Subgrantee. All documents will be scanned and sent to the Grantee staff prior to the virtual meeting. The Grantee staff would review the documents before the virtual meeting just as at a site visit. The Subgrantee will redact confidential client information and/or utilize a secure file transfer protocol (FTP) so confidential information can be safely shared between the local Subgrantee and the Grantee staff. The following steps will be followed:

Step	Process
1	A copy of the Fiscal Monitoring tool is sent to the Subgrantee 30 days prior to monitoring, so the Subgrantee can view the sections of the tool and prepare for the monitoring interview. Questions regarding the monitoring tool are encouraged from the local Subgrantee during this period.
2	Specific documents required to perform the fiscal monitoring will be requested from the Subgrantee at this time (general ledgers, timesheets, etc.)
3	Supporting documents in relation to the fiscal monitoring are provided by the Subgrantee and are reviewed by Grantee staff prior to the interview.
4	The interview is scheduled with the Subgrantee involving key staff.
5	Each item on the monitoring tool is discussed with the Subgrantee and the responses are recorded on Grantee staff's copy of the monitoring tool forms and checklists. More supporting documentation may be requested depending on the answers provided.
6	When the interview is complete, the information organized with follow up areas noted for the virtual field visits.
7	If there are findings or concerns based on the Subgrantee's answers and provided information, that will also be documented in the monitoring letter.

**Client File Review: Applicable ☐ Not Applicable ☐**

Will be completed by having the Subgrantee meet virtually using a live streaming application. We will review all documents we would normally review when at the Subgrantee. All documents will be scanned and sent to the Grantee staff prior to the virtual meeting. The Grantee staff would review the documents before the virtual meeting just as at a site visit. The Subgrantee will redact confidential client information and/or utilize a secure file transfer protocol (FTP) so confidential information can be safely shared between the local Subgrantee and the Grantee staff. The following steps will be followed:

Step	Process
1	Grantee staff will choose the required number of files to review from the list of recently completed jobs. They will provide the request to the local Subgrantee. The local Subgrantee will scan the client file and send them to the Grantee staff.
2	Grantee staff will review the files and note any questions or concerns.
3	The interview is scheduled with the Subgrantee involving key staff.
4	When the interview is complete, the information will be organized with any issues noted for follow-up during the virtual field visits.
5	If there are findings or concerns based on the Subgrantee's answers and provided information, that will also be documented in the monitoring letter.

**Technical Monitoring (Final Inspection by Grantee):** Applicable ☐ Not Applicable ☐

The virtual Technical 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 Grantee monitor could respond during the virtual site visit. For the actual site visit, we would have the Subgrantee conduct a live streaming application so the Grantee monitor could observe the completed work and all diagnostic testing. We would be using all the same forms, checklists, and procedures we do when on site. This virtual technical monitoring will be conducted to satisfy the Grantee final inspection requirement (5-10%) of completed units.

Step	Process
1	A completed unit that needs a final inspection is selected and the client file is sent to Grantee 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	The Subgrantee is present for the final inspection and will video call the Grantee monitor from the vehicle when they arrive on site.
4	The Subgrantee conducts the inspection, and holds the device for very clear and focused zooming on the inspection that is being done. The Subgrantee 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. The Subgrantee describes each activity like they would during a proctored field exam.
5	Everything that the Subgrantee would normally do is completed and video streamed with the Grantee monitor. The Grantee will ask the team of inspectors to slow down, stop, explain, or show a closer shot of certain measures as needed.
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	As the final inspection is ending, the Grantee monitor gives the inspectors an opportunity to address anything they might have missed.
8	As the final inspection is ending, the Grantee monitor gives the inspectors an opportunity to address anything they might have missed.
9	If it appears the home is being left in an unsafe manner, the Grantee monitor alerts the inspectors so that it can be corrected, and notations are made for the monitoring letter. Observations are made about how the inspectors addressed problems with the work or missed opportunities.
10	The final inspection visit is compared to the client file, and technical tool for consistency as the final inspection procedures are concluded.

**Technical Monitoring (Work In-Progress):** Applicable ☐ Not Applicable ☐

The virtual Technical Monitoring for work-in progress would consist of Subgrantee staff conducting a live streaming application with the Grantee monitor could observe the work being performed and view any diagnostic testing. We would be using all the same forms, checklists, and procedures we do when on site.

Step	Process
1	A client is selected from homes that have been assessed with materials and supplies on hand. If possible, select a home with multiple measures being installed to gain a wider understanding of the Subgrantee's overall field practices. The client name and address are sent to Grantee staff prior to the virtual monitoring visit.
2	Once the Subgrantee's staff has unloaded their equipment and started work, they will contact the Grantee monitor for a group video call. This occurs from the vehicle to obtain street view.
3	The Grantee monitor will observe the staff working from the street view and approach with the person operating the device the staff and tour the job site. The person operating the device should be familiar with that home's scope of work to know what areas of the home to view. It will be requested that the tour is slowed with closer zooms on areas the Grantee 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 <b>not</b> hand the streaming device to the worker and keeps the 6' distance.
5	The Grantee monitor views the condition of the vehicles and tools and views safety equipment, location of PPE, and Field Guides.
6	Specific areas of work in progress are compared against the Grantee Field Guides and general OSHA compliance and safety practices are observed.
7	Safety violations or concerns are immediately brought up and communicated to the crew leader.
8	If it appears something is being missed, or not addressed properly, the team is given a chance to explain the reasoning.
9	The notes and video are later reviewed and compared to the technical tool for conclusion of the work in-progress monitoring.

**Authorized approval from DOE:** \_\_\_\_\_

**Date of Approval:** \_\_\_\_\_