

**WEATHERIZATION ASSISTANCE PROGRAM
ENHANCEMENT AND INNOVATION (E&I) GRANTS
ONSITE MONITORING CHECKLIST**

As of September 2023

Grantee Program Materials to send to WAP E&I Project Officer (PO):

PRE-MONITORING PROGRAM MATERIALS CHECKLIST	Placed Based Initiative	Multifamily	Single Family (SF) & Manufactured Homes (MH)	Workforce Development
Grantee current award package (Assistance Agreement, Terms & Conditions (T&C), Statement of Project Objectives (SOPO), Budget Justification, NEPA Determination)	X	X	X	X
Grantee Quality Control/Monitoring Tools or Instruments	X	X	X	X
Subrecipient/vendor contracts and procurement documentation	X	X	X	X
Inventory Tracking and Records	X	X	X	X
Invoice Tracking Documentation	X	X	X	X
Grantee Financial Policies and Procedures (including procurement)	X	X	X	X
Subgrantee and/or Contractor Management Procedures	X	X	X	
WAP Grantee's Weatherization Policies and Procedures	X	X	X	X
Copies of files of homes/buildings to be reviewed and/or visited	X	X	X	X
Subcontractor Contracts	X	X	X	X
Costs and Fixed Price Lists [Materials, Services (Audits, Inspections, etc.)]	X	X	X	

**WEATHERIZATION ASSISTANCE PROGRAM
ENHANCEMENT AND INNOVATION (E&I) GRANTS | ONSITE MONITORING CHECKLIST**

SECTION: PROJECT TEAM & COORDINATION

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
Is Grantee staffing consistent with the organizational structure identified in the Statement of Project Objectives (SOPO)? Are key personnel performing the proposed duties? Identify any changes to Grantee staffing.	Is Grantee staffing consistent with the organizational structure identified in the Statement of Project Objectives (SOPO)? Are key personnel performing the proposed duties? Identify any changes to Grantee staffing.
Have any of the identified subrecipients of the project team changed since the award was approved? If so, please provide an explanation on the circumstances and the proposed solutions.	Have any of the identified subrecipients of the project team changed since the award was approved? If so, please provide explanation on the circumstances and the proposed solutions.
How is the Grantee tracking and verifying employees are charging their time in proper increments and segregating time between DOE funding and other grant programs?	How is the Grantee tracking and verifying employees are charging their time in proper increments and segregating time between DOE funding and other grant programs?
What is the Grantee's process for determining a subrecipient or contractor is not meeting their responsibilities or expectations outlined in the SOPO?	What is the Grantee's process for determining a subrecipient or contractor is not meeting their responsibilities or expectations outlined in the SOPO?
What is the Grantee's process for executing subrecipient and/or contractor awards? Is the Grantee following the subrecipient and contractor determinations per 2 CFR 200.331 ?	What is the Grantee's process for executing subrecipient and/or contractor awards? Is the Grantee following the subrecipient and contractor determinations per 2 CFR 200.331 ?
How does the Grantee ensure subrecipients and contractors have all relevant program materials needed to effectively meet project objectives?	How does the Grantee ensure their subrecipients and contractors have all relevant program materials needed to effectively meet project objectives?
Have the Grantee describe their coordination process with the WAP Grantee or Subgrantee to ensure that weatherization of the unit happens after or in conjunction with the E&I project.	Have the Grantee describe how they coordinate with project partners and leverage funding sources to recruit and retain workers.
Did the Grantee evaluate and document the subrecipient's review of risk prior to issuing the subaward as required in 2 CFR 200.332 ?	Did the Grantee evaluate and document the subrecipient's review of risk prior to issuing the subaward as required in 2 CFR 200.332 ?
Do all subawards contain the required information detailed in 2 CFR 200.332 ?	Do all subawards contain the required information detailed in 2 CFR 200.332 ?
Do all contracts contain the provisions required in Appendix II of 2 CFR 200 ?	Do all contracts contain the provisions required in Appendix II of 2 CFR 200 ?

SECTION: FINANCIAL/ADMINISTRATIVE

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
What is the Grantee's policy regarding subrecipient or contractor payments, procurement of contractors, and establishment of fixed costs for materials or services?	What is the Grantee's policy regarding subrecipient or contractor payments, procurement of contractors and establishment of fixed costs for materials or services?
How is the Grantee properly accounting for, tracking, and reporting any leveraged funds?	How is the Grantee properly accounting for, tracking, and reporting any leveraged funds?
What mechanism does the Grantee use to track the capped 15% Administration cost category? What is the frequency for review of those costs? <i>The E&I Program statute limits all planning, management and administrative costs to 15% of the total award (42 U.S.C. 6864d).</i>	What mechanism does the Grantee use to track the capped 15% Administration cost category? What is the frequency for review of those costs? <i>The E&I Program statute limits all planning, management and administrative costs to 15% of the total award (42 U.S.C. 6864d).</i>
Please have the Grantee describe their recordkeeping components and requirements.	Please have the Grantee describe their recordkeeping components and requirements.
Have the Grantee demonstrate their subrecipient and contractor payment procedures.	Have the Grantee demonstrate their subrecipient and contractor payment procedures.
Have the Grantee demonstrate how they review and validate subrecipient invoices for allowable costs per 2 CFR 200 Subpart E .	Have the Grantee demonstrate how they review and validate subrecipient invoices for allowable costs per 2 CFR 200 Subpart E .
Does the Grantee provide advances to their subrecipients and/or contractors? How does the Grantee reconcile these advances?	Does the Grantee provide advances to their subrecipients and/or contractors? How does the Grantee reconcile the advances?
How does the Grantee track investments to ensure they meet the E&I objective of delivering at least 40% of investments and benefits to disadvantaged communities?	How does the Grantee track investments to ensure they meet the E&I objective of delivering at least 40% of investments and benefits to disadvantaged communities?
Describe the system for comparing actual expenditures to budgeted amounts on a periodic basis.	Describe the system for comparing actual expenditures to budgeted amounts on a periodic basis.
Describe the type of accounting system used by the Grantee. If it is an accrual system, how are receipts and cash expenditures reconciled?	Describe the type of accounting system used by the Grantee. If it is an accrual system, how are receipts and cash expenditures reconciled?
How frequently are financial audits conducted on the Grantee?	How frequently are financial audits conducted on the Grantee?
What entity conducts the financial audits?	What entity conducts the financial audits?
What period is covered by the most recent audit, if applicable?	What period is covered by the most recent audit, if applicable?
Describe the lines of responsibility for the Grantee's financial operations.	Describe the lines of responsibility for the Grantee's financial operations.
How does the Grantee accurately account for, and report cost share, if it is identified in their approved budget?	How does the Grantee accurately account for, and report cost share, if it is identified in their approved budget?

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
What methods are being used to allocate shared direct costs in addition to staff time?	What methods are being used to allocate shared direct costs in addition to staff time?
Have the Grantee describe their subrecipient payment procedures.	Have the Grantee describe their subrecipient payment procedures.
Have the Grantee describe their purchasing approval authority process.	Have the Grantee describe their purchasing approval authority process.
How is the Grantee ensuring domestic preferences for procurements, as applicable (2 CFR 200.322)?	How is the Grantee ensuring domestic preferences for procurements, as applicable (2 CFR 200.322)?
How does the Grantee confirm subrecipients and contractors have Liability Insurance?	How does the Grantee confirm subrecipients and contractors have Liability Insurance?
Are the fixed costs on materials and services allowable and reasonable?	Are the fixed costs on materials and services allowable and reasonable?
If working in 5+ unit building with BIL funding, what system is the Grantee using to collect and review weekly Certified Payroll records from their Subrecipient and/or contractors, in accordance with Davis-Bacon requirements?	If working in 5+ unit building with BIL funding, what system is the Grantee using to collect and review weekly Certified Payroll records from their Subrecipient and/or contractors, in accordance with Davis-Bacon requirements?
If working in 5+ unit building with BIL funding, how is the Grantee monitoring their subrecipient and/or contractor payrolls to ensure compliance with Davis-Bacon requirements and DOL wage rate conformance?	If working in 5+ unit building with BIL funding, how is the Grantee monitoring their subrecipient and/or contractor payrolls to ensure compliance with Davis-Bacon requirements and DOL wage rate conformance?
Has the Grantee submitted a waiver for the Buy America Preference requirements if a public housing building or privately owned buildings that serve a public function is identified for a WAP E&I project?	Has the Grantee submitted a waiver for the Buy America Preference requirements if a public housing building or privately owned buildings that serve a public function is identified for a WAP E&I project?

SECTION: PRIORITY OF SERVICE & ELIGIBILITY

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
How is the Grantee defining “disadvantaged communities?” What tool or system is the Grantee utilizing to identify disadvantaged communities?	How is the Grantee defining “disadvantaged communities?” What tool or system is the Grantee utilizing to identify disadvantaged communities?
Have the Grantee demonstrate how their E&I projects are in compliance with the eligibility policies and procedures described in the currently approved WAP Grantee DOE Plan or SOPO.	N/A
How does the Grantee ensure compliance with the priority categories included in the selection criteria of recipients (per 10 CFR 440.16)? Specific examples include: (a) High Energy Users; (b) High Energy Burden; (c) Elderly; (d) Disabled; (e) Households with Children.	N/A
How does the Grantee confirm their procedures for renter-occupied units are being followed to ensure the benefits of weatherization accrue primarily to the low-income households occupying the building and protect against any displacement, rent increases, etc.?	N/A

SECTION: FIELD WORK

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
Is the Grantee utilizing the currently approved energy audit tool and/or priority list?	N/A
What contents are expected for each E&I client file and how does the Grantee ensure consistency?	N/A
How is the Grantee documenting and tracking unit inspections?	N/A
Are there any issues that have kept the Grantee from inspecting 100% of units?	N/A
Is there a "final inspection form" that (a) documents the unit has been inspected, (b) reviews the data entry and use of the approved energy audit/priority list, (c) verifies each completed measure aligns with the approved field guide objectives, (d) documents any callbacks and their resolution, and (e) contains the certified Quality Control Inspector (QCI) name, signature, and date the inspection was completed? <i>Request a copy of the form.</i>	N/A

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
Describe the process the Grantee (and subrecipient) implements if the inspector identified work that requires a callback. Request an example of this process being utilized.	N/A
Describe the Grantee's process for addressing the following monitoring concerns (a) incomplete work; (b) questioned costs; (c) client complaints; (d) major workmanship issue; (e) minor workmanship issues; (f) missed opportunities. Request an example of these processes being utilized.	N/A
Describe how the Grantee manages missed opportunities/call-back/add-on work/rework process with the subrecipients. <i>Request an example of this process being utilized.</i>	N/A
How does the Grantee verify workers have sufficient training (e.g., OSHA requirements, Lead Safe Weatherization (LSW), Certified Renovator, etc.)? <i>Request an example of this process being utilized.</i>	N/A
Based on a review of the selected client files, is the Grantee in compliance with the financial assistance agreement Special Terms and Conditions (Term 7) and NEPA Determination?	N/A
Is the Grantee completing work on Tribal lands? If yes, has the Grantee submitted a Historic Preservation Worksheet for activities on dwelling units built 45 years ago or more?	N/A
Will the work completed by the Grantee create ground disturbance or require other work outside of a Programmatic Agreement? If yes, has the Grantee submitted a Historic Preservation Worksheet for activities on dwelling units built 45 years ago or more?	N/A

SECTION: EQUIPMENT/INVENTORY/MATERIALS

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
How does the Grantee verify that purchased 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>	How does the Grantee verify that purchased equipment and are used in an appropriate manner to ensure cost-effective delivery of services? <i>Request an example of this process being utilized.</i>
How does the Grantee verify subrecipient 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>	How does the Grantee verify subrecipient equipment, and supplies are used in an appropriate manner to ensure cost-effective delivery of services? <i>Request an example of this process being utilized.</i>
How does the Grantee's monitoring process assess inventory and warehouses of subrecipients? 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>	Are supplies and/or equipment purchased with E&I funds used for other programs administered by the Grantee or the Grantee's parent agency (per 2 CFR 200.405)?
What are the Grantee's policies for management of equipment to ensure proper maintenance of equipment and safeguards to prevent loss, damage or theft?	What are the Grantee's policies for management of equipment to ensure proper maintenance of equipment and safeguards to prevent loss, damage or theft?
What is the frequency of physical inventory of equipment?	What is the frequency of physical inventory of equipment?

SECTION: GRANTEE MONITORING

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
Describe the Grantee's process for documenting subrecipient work quality. Please include any patterns.	Describe the Grantee's process for documenting subrecipient work quality. Please include any patterns.
Does the Grantee's monitoring tool review subrecipient compliance with: (a) Subrecipient contracts; (b) the Grantee's financial/operations manual; (c) Applicable Federal regulations; (d) Current Program Guidance documents. Request a copy of the monitoring tool(s) if not already attached to the most recent SF-424.	Does the Grantee's monitoring tool review subrecipient compliance with: (a) subrecipient contracts; (b) the Grantee's financial/operations manual; (c) Applicable Federal regulations; (d) Current Program Guidance documents. Request a copy of the monitoring tool(s) if not already attached to the most recent SF-424.
Describe how the Grantee's monitoring process is implemented, including programmatic, financial, and technical monitoring. Request their tool for review.	Describe how the Grantee's monitoring process is implemented, including programmatic and financial monitoring. Request their tool for review.
What process does the Grantee use to address deficiencies identified during monitoring?	What process does the Grantee use to address deficiencies identified during monitoring?
How does the Grantee ensure subrecipient personnel are qualified and meet WAP program requirements? <i>Request an example of this verification process being utilized.</i>	How does the Grantee ensure subrecipient personnel are qualified and meet WAP program requirements? <i>Request an example of this verification process being utilized.</i>
Have the Grantee describe how it verifies and documents that subrecipients and contractors are not on the debarred list (excluding the party list system). Describe how subrecipients ensure their contractors are not on the "exclusion list".	Have the Grantee describe how it verifies that subrecipients and contractors are not on the debarred list (excluding the party list system). Describe how subrecipients ensure their contractors are not on the "exclusion list".

E&I Grantee Monitoring of Subrecipients: Grantees are responsible for quality assurance and oversight of subrecipients and contractors. Grantees must assure compliance with applicable laws and rules, quality workmanship, appropriate assignment of work, and tracking of financial resources.

SECTION: TRAINING & TECHNICAL ASSISTANCE

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
How is the Grantee addressing training and technical assistance (T&TA) needs for their staff, subrecipients, and contractors to achieve their goals, milestones, or planned activities?	How is the Grantee addressing training and technical assistance (T&TA) needs, for their staff, subrecipients, and contractors to achieve their goals, milestones, or planned activities?
How does the Grantee 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	How does the Grantee 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
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.	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.

SECTION: FEEDBACK AND REPORTING

PLACED BASED INITIATIVES, SF/MH HOMES & MULTIFAMILY	WORKFORCE DEVELOPMENT
What are the Grantee's established policies and procedures to ensure that records will be retained for at least three (3) years after delivery of the final report to DOE?	What are the Grantee's established policies and procedures to ensure that records will be retained for at least three (3) years after delivery of the final report to DOE?
Describe the Grantee's information system used to collect and report production and expenditures. How does the Grantee verify, and track completed E&I units? Does the Grantee also use the system as a management tool?	Describe the Grantee's information system used to collect and report their workforce development metrics.
Are there any financial or programmatic concerns or issues related to E&I or associated activities that the Grantee would like to bring to DOE's attention?	Are there any financial or programmatic concerns or issues related to E&I or associated activities that the Grantee would like to bring to DOE's attention?
Is the Grantee consistently reporting quarterly NEPA logs, if required by NEPA Determination?	Is the Grantee consistently reporting quarterly NEPA logs, if required by NEPA Determination?
Is the Grantee consistently meeting their quarterly and annual report submissions deadlines?	Is the Grantee consistently meeting their quarterly and annual report submissions deadlines?