March 11 - 15 | Arlington, VA
Crystal Gateway Marriott

2024

NASCSP

WINTER TRAINING CONFERENCE

Turning Possibilities into Reality

DOE Monitoring and the BIL

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SCEP
STATE & COMMUNITY ENERGY PROGRAMS

Weatherization Assistance Program Monitoring Training

2024 Winter Training Conference

National Association for State Community Service Programs

February 2024

Introductions

Carrie Smith

Readiness and Retrofit Program Manager
Weatherization Assistance Program
U.S. Department of Energy

Ray Judy

Technical Project Officer Supervisor
Weatherization Assistance Program
U.S. Department of Energy

Detrick Clark

Programmatic Project Officer Supervisor
Weatherization Assistance Program
U.S. Department of Energy

Session Outline

- Federal Monitoring
- What DOE Sees – A Three Year Review
- PY 2023 Monitoring - Year in Review
- PY 2024 Monitoring
  - Monitoring Resources
- Monitoring Planning
- Monitoring Preparation
- Monitoring Activities
  - WRF Requirements
- Post Monitoring Activities
- Grantee Monitoring of Subgrantees
- What is Good Monitoring?
- Questions?

FEDERAL MONITORING

Purpose of Program Monitoring

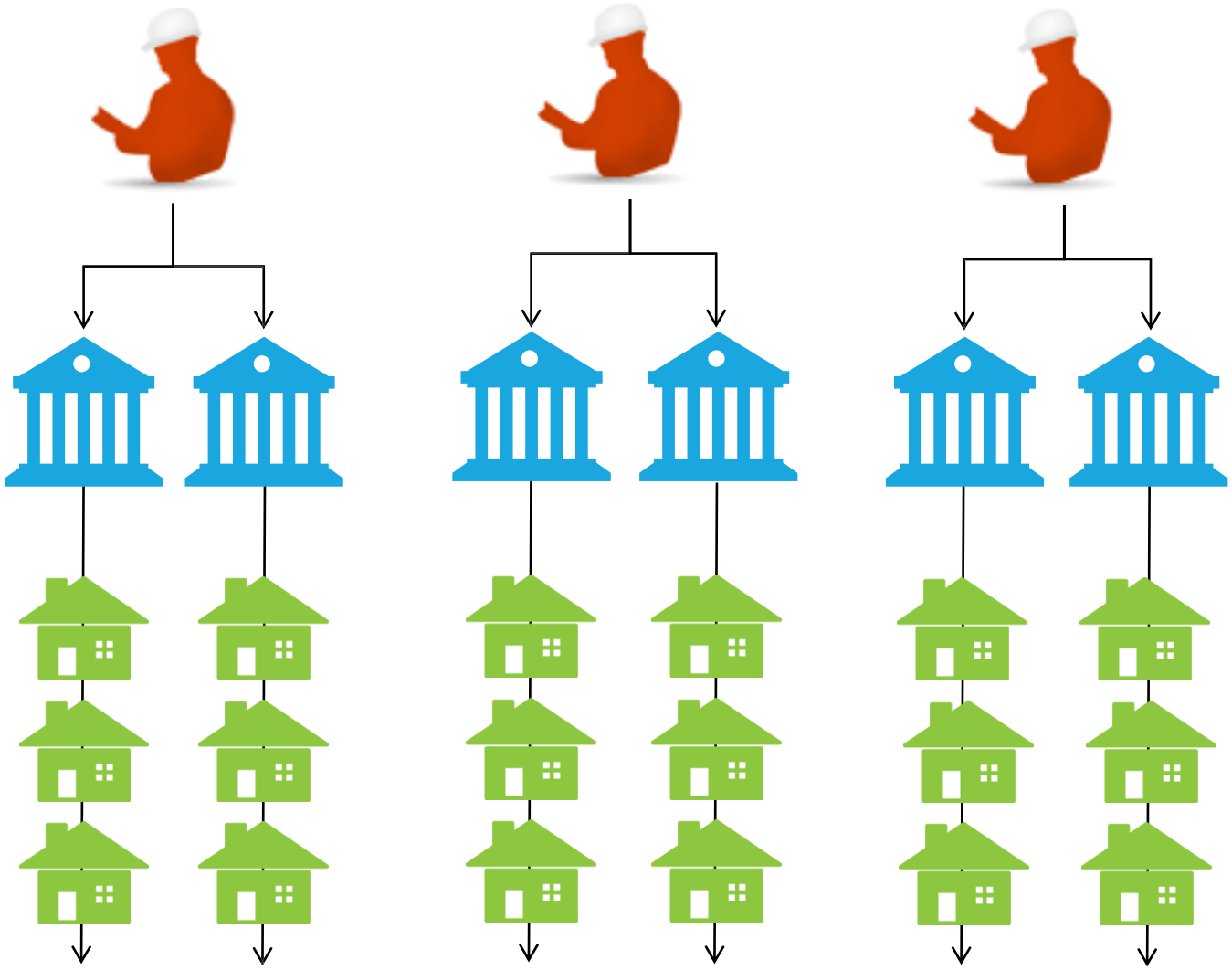
Monitoring helps ensure:

- Weatherization Assistance Program (WAP) operates according to Federal regulations and program guidance.
- Transparency & accountability.
- High quality work.
- Quality Assurance and controls.

The Mind of a Monitor

- What does the mind of a monitor look like?
  - Deep review focus
  - Probing the details
  - Finding the red flags
  - Connecting the dots
  - Determining which rabbit holes need entering
  - If something smells...
  - Uncomfortable patterns
  - Commitment to finding resolution

Monitoring Layers



Federal staff monitor the WAP Grantees.

WAP Grantees monitor its Subgrantees.

Subgrantees have their Inspectors review the work of their auditors, crews and contractors.

10 CFR Part 440.23 – Oversight, Training and Technical Assistance

(a) Requires DOE to monitor and evaluate the operation of projects carried out by Community Action Agencies (CAA).

(b) In addition, DOE shall also carry out periodic evaluations of a program and weatherization projects that are **not** carried out by a CAA and that are receiving financial assistance under this part.

Difference in Monitoring vs. Inspections

GRANTEES PERFORM

MONITORING

QUALITY ASSURANCE

SUBGRANTEES PERFORM

INSPECTIONS

QUALITY CONTROL

DOE Weatherization Monitoring Guidance

BIL-4: Monitoring of Bipartisan Infrastructure Law in the Weatherization Assistance Program

Using WPN 20-4 as the basis for monitoring, identifies additional guidelines that are specific to the WAP BIL grants.

WPN 20-4: Weatherization Assistance Program Monitoring Procedures

Reviews the updated DOE monitoring procedures and details the Grantees' responsibilities for monitoring of its Subgrantee network.

WPN 23-9: Weatherization Assistance Program Enhancement & Innovation Monitoring

Reviews the monitoring policies and procedures for WAP Enhancement and Innovation (E&I) projects funded with annual WAP formula or Bipartisan Infrastructure Law (BIL) funds.

WPN 22-4: Quality Work Plan Requirement Update

Includes the requirements provided in this guidance that support and verify quality work in the Department of Energy's Weatherization Assistance Program.

Program Monitoring & Risk Assessment

- The Department of Energy monitors a percentage of Weatherization Grantees each year.
- The selection of Grantees for onsite monitoring is determined by completing an annual Risk Assessment.
- Weatherization's goal in the annual risk assessment process is to:
  - Remove any subjectivity or bias from the analysis.
  - Have questions that are fair, measurable and objective.

OUTCOME: Systematic process to identify the level of risk which determines whether monitoring should be done.

Risk Assessment

Weatherization Project Officers review the following areas for each of their assigned Grantees:

Programmatic Risk Assessment:

- Total Funds
- Carryover Funds
- Active Awards & Extensions
- Program Manager Experience
- Programmatic/Administrative Staff Vacancies
- Production Analysis
- Report History
- Single Audit Review
- DOE Programmatic Monitoring Action Items
- Prior Subgrantee Unresolved Monitoring Action Items

Technical Risk Assessment:

- QCI Technical Grantee Staff
- Last Technical Onsite Monitoring Visit
- DOE Technical Monitoring Action Items
- Energy Audit/Priority List Compliance
- Field Guide Compliance
- T&TA
- Health & Safety

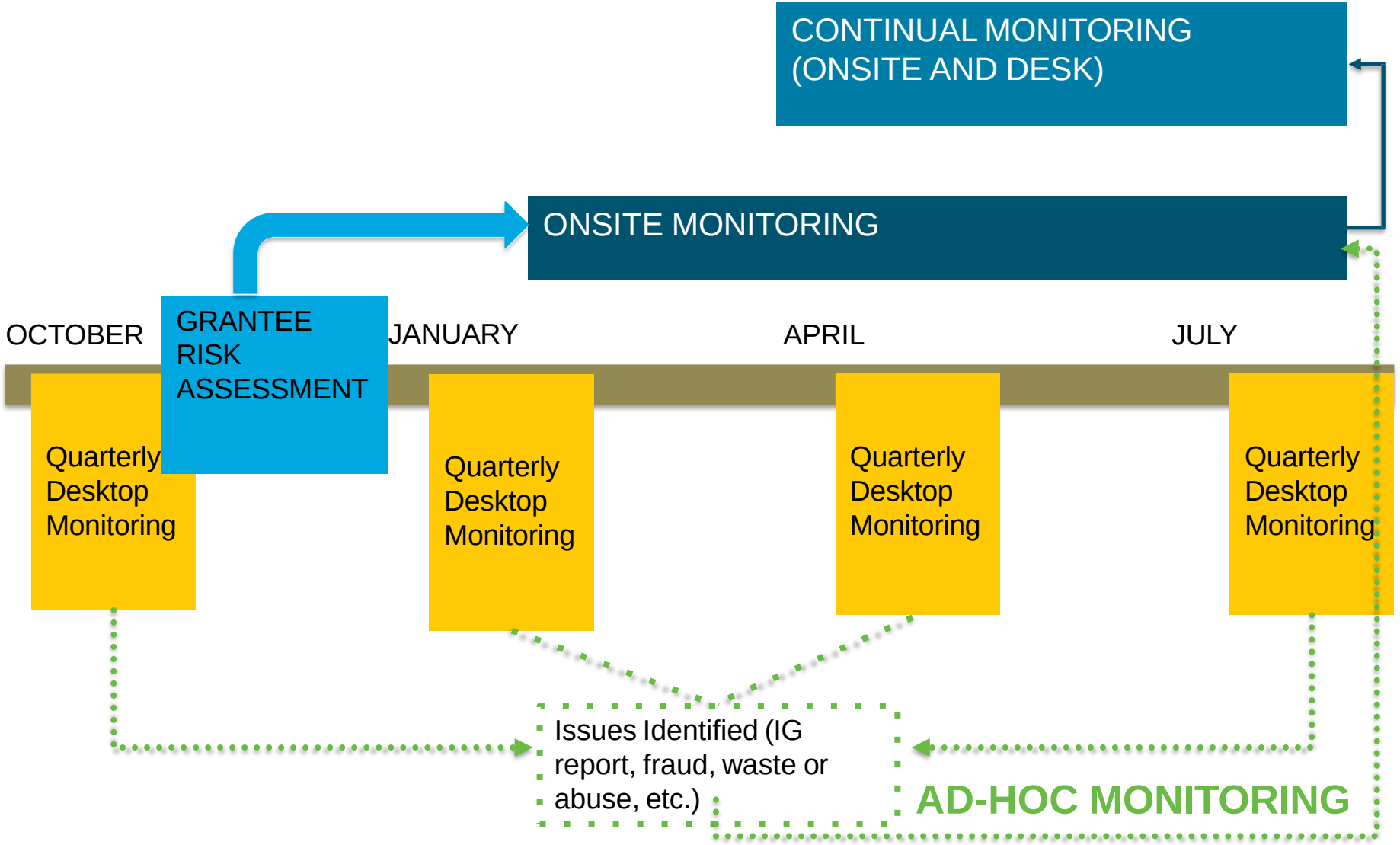
Types of Monitoring

DESKTOP MONITORING

ONSITE MONITORING

AD HOC MONITORING

Federal Monitoring Layers



Desktop Monitoring

- **Quarterly Desktop Monitoring**
  - Driven by Grantee Financial and Production reports submitted on 30th of the month following the end of the quarter.
  - Completed in PAGE by Project Officers.
    - Verifies Grantee is in compliance with program requirements or identifies needed corrective actions to become compliant.
    - If deficiencies are identified, a monitoring assessment report and action items can be issued.
- **Annual Desktop Monitoring**
  - Will primarily focus on programmatic monitoring.
  - Will utilize monitoring checklists to review program areas and document observations, recommendations, and identified deficiencies.
    - Monitoring Assessment report will be issued to Grantee to share observations, trends, and any action items to address.

Types of Monitoring

- **Comprehensive Onsite Visit**
  - Includes both technical and programmatic monitoring.
  - Could be a combination of onsite technical and virtual programmatic
- **Technical Onsite**
- **Programmatic Onsite**
  - Goal is an onsite visit once every 1-3 years.
    - Targeting a broader reach during 2024
  - Driven by the annual Risk Assessment results.
  - Includes visiting selected Subgrantee offices and completed and in-process unit(s) (*if applicable*).

Ad Hoc Monitoring

- Initiated when a specific trend or deficiency is identified through desktop and/or onsite monitoring or another factor (e.g., OIG report, GAO report, or fraud, waste or abuse concerns).
- Completes an in-depth analysis of a key program component or process (e.g., policies and procedures, energy audit modeling, procurement, or training).
- Monitoring assessment report will be issued.

Monitoring Assessment & Action Item Definitions

Monitoring Assessment

- A narrative report issued from PAGE that provides Grantee an overview of the monitoring activity, identifies any T&TA recommendations or best practices, and reviews the corresponding action item(s) that need to be addressed.

Finding

- Identified non-compliance with a statutory and/or regulatory program requirement and includes the citation for the requirement.
- Repeated or previously identified concerns (as defined next) that remain unaddressed and cause non-compliance with a statutory and/or regulatory program requirement.

Monitoring Assessment & Action Item Definitions

Concern

- Inconsistencies between the current DOE approved Grantee Plan (including required attachments) and actual implementation (**440.12**). As a reminder, approved Grantee plans and attachments are subject to review during the DOE monitoring process.
- Identified Grantee practices that, at present, may not be out of compliance with statutory or regulatory program requirements but do not reflect the safeguards/processes outlined in WAP program guidance specifically designed to ensure compliance with statutory and regulatory requirements.
- Identified non-compliance or omissions within the DOE approved Grantee Plan or associated policies and procedures that were the basis of the Grant award.
- Repeated program recommendations (as defined next) that remain unaddressed and can lead to potential non-compliance.

Monitoring Assessment & Action Item Definitions

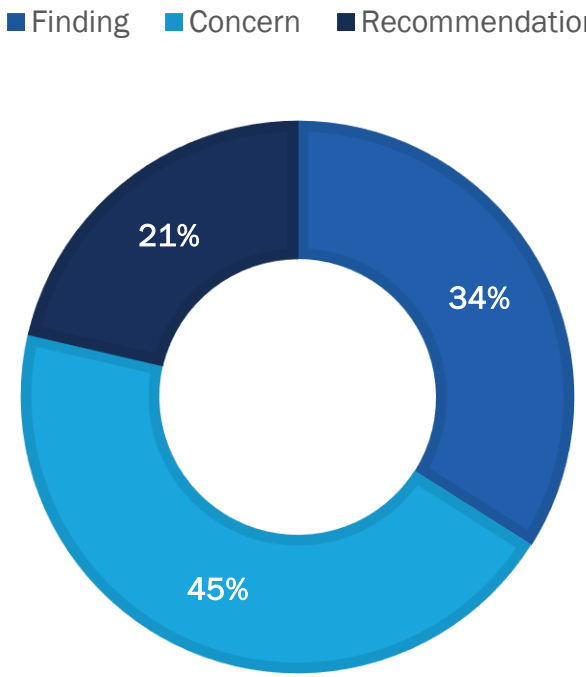
Recommendation

- Identified actions/changes to the Grantee's approach to ensure compliance with Program requirements, including statutory, regulatory, and Grantee policy.
- Actions suggested by DOE for the Grantee's consideration to improve merits of the Program, optimize policies and procedures, and/or incorporate a best practice.
- T&TA opportunities available to the Grantee.

WHAT DOE SEES - A THREE YEAR REVIEW

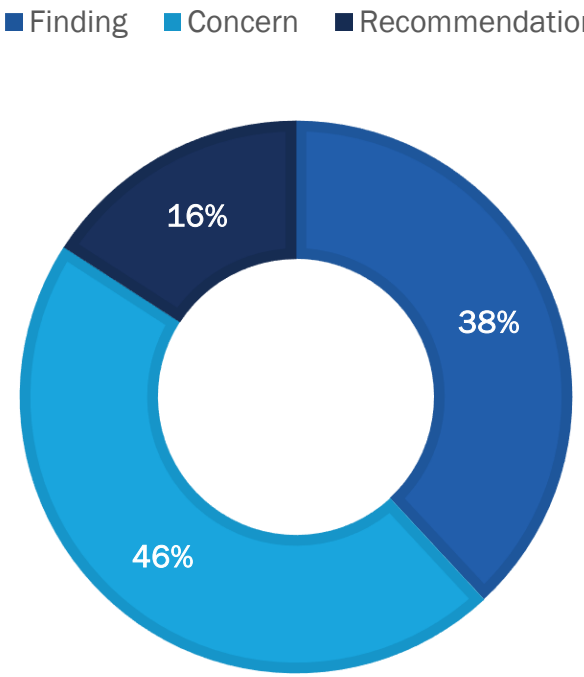
Monitoring – Three Year View

2021 ACTION ITEMS



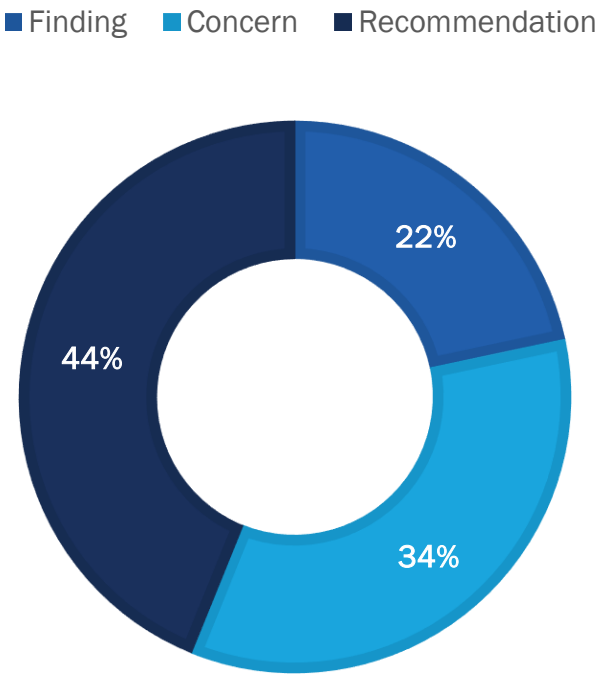
103 total monitoring action items were assigned across 17 Grantees.

2022 ACTION ITEMS



63 total monitoring action items were assigned across 12 Grantees.

2023 ACTION ITEMS



180 total monitoring action items were assigned across 30 Grantees.

WAP Monitoring Trends – Total Action Items by Category

Monitoring Category	# of Action Items (2021)	# of Action Items (2022)	# of Action Items (2023)	Totals
Eligibility	0	5	10	15
Energy Audits	**64**	13	**35**	**112**
Equipment/Inventory	4	0	6	10
Feedback & Reporting	1	3	7	11
Field Work	1	4	18	23
Financial/Administration	7	**17**	20	44
Grantee Monitoring	12	7	25	44
Grantee Review	3	3	12	18
Health & Safety	1	2	18	21
Rental	1	0	2	3
Policy Advisory Council	0	0	3	3
Training and Technical Assistance (T&A)	1	0	10	11
Subgrantee Monitoring/Management	8	9	14	31

WAP Monitoring Trends – Action Items by Type/Category

Monitoring Category	Findings			Concerns			Recommendations		
	2021	2022	2023	2021	2022	2023	2021	2022	2023
Eligibility (15)	0	0	**3**	0	4	**2**	0	1	**5**
Energy Audits (112)	24	1	**13**	26	8	**15**	14	4	**7**
Equipment/Inventory (10)	2	0	**1**	2	0	**1**	0	0	**4**
Feedback & Reporting (11)	0	2	**1**	0	1	**2**	1	0	**4**
Field Work (23)	0	2	**2**	1	1	**6**	0	1	**10**
Financial/Administration (44)	2	8	**4**	4	7	**7**	1	2	**9**
Grantee Monitoring (44)	4	5	**6**	4	2	**8**	4	0	**11**
Grantee Review (18)	1	2	**3**	2	1	**3**	0	0	**6**
Health & Safety (21)	0	0	**4**	0	1	**9**	1	1	**5**
Policy Advisory Council (3)	0	0	**0**	0	0	**2**	0	0	**1**
T&TA (11)	0	0	**0**	0	0	**4**	1	0	**6**
Rental (3)	0	0	**0**	1	0	**0**	0	0	**2**
Subgrantee Management (31)	2	4	**2**	6	4	**3**	0	1	**9**
Totals (346)	35	24	**39**	46	29	**62**	22	10	**79**

PY 2023 MONITORING
YEAR IN REVIEW

DOE Monitoring – 2023 Year in Review

29 Grantees monitored in 2023

- Comprehensive Onsite Monitoring Visits: 9
- Technical Onsite Monitoring Visits: 8
- Programmatic Onsite Monitoring Visits: 3
- Programmatic Desk Monitoring: 9

Ad Hoc monitoring also continued throughout the year.

Common Action Items - Findings

- Priority eligibility categories 10 CFR 440.16(b)
- Expired Energy Audit Tool 10 CFR 440.21
- Improper Energy Modeling 10 CFR 440.21
- Noncompliant with SWS
- Failure to complete required monitoring per WPN 20-4
- Health & Safety - ASHRAE requirements

Common Action Items – Concerns & Recommendations

Concerns

- Overdue Energy Audit conditions
- Incorrect Energy Modeling
- Modeling fuel costs updates
- Misuse of Weatherization Readiness Funds
- Inadequate Air Leakage reduction – WPN 22-4/SWS requirement
- Incomplete work orders
- Subgrantee Advances
- Policies & Procedures compliance
- Incomplete training records
- Late Field Guide submissions

Recommendations

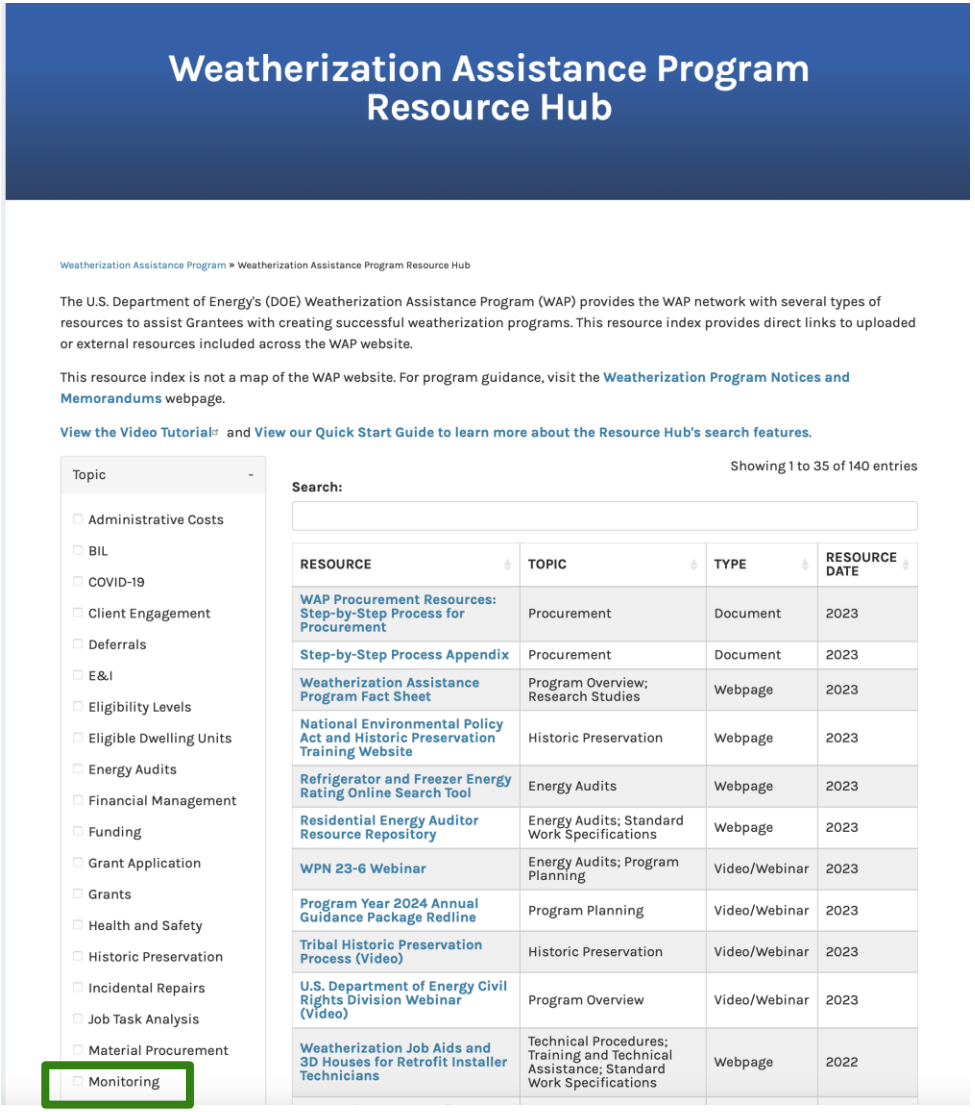
- Client Prioritization
- Missing/inaccurate audit modeling/data collection
- Inventory tracking and management
- Missed weatherization opportunities
- Photo documentation
- Procurement practices
- Improve financial systems and policies
- Monitoring inconsistencies
- Improve training offerings for programmatic and financial staff

PY 2024 MONITORING

PY 2024 Monitoring Expectations

- DOE monitoring of Grantees will cover ***both formula and BIL grants***.
- **Two grants = two monitoring assessment reports + related action items.**
- Attempting to perform an onsite technical monitoring visit to each Grantee
- Attempting to perform programmatic monitoring - either onsite or desktop – for each Grantee
- Technical monitoring will review both formula and BIL production units whenever possible.
  - SERC units will be scheduled for those Grantees who received SERC funding.

WAP Resource Hub | Monitoring Resources



Weatherization Assistance Program Resource Hub

Weatherization Assistance Program » Weatherization Assistance Program Resource Hub

The U.S. Department of Energy's (DOE) Weatherization Assistance Program (WAP) provides the WAP network with several types of resources to assist Grantees with creating successful weatherization programs. This resource index provides direct links to uploaded or external resources included across the WAP website.

This resource index is not a map of the WAP website. For program guidance, visit the Weatherization Program Notices and Memorandums webpage.

View the Video Tutorial and View our Quick Start Guide to learn more about the Resource Hub's search features.

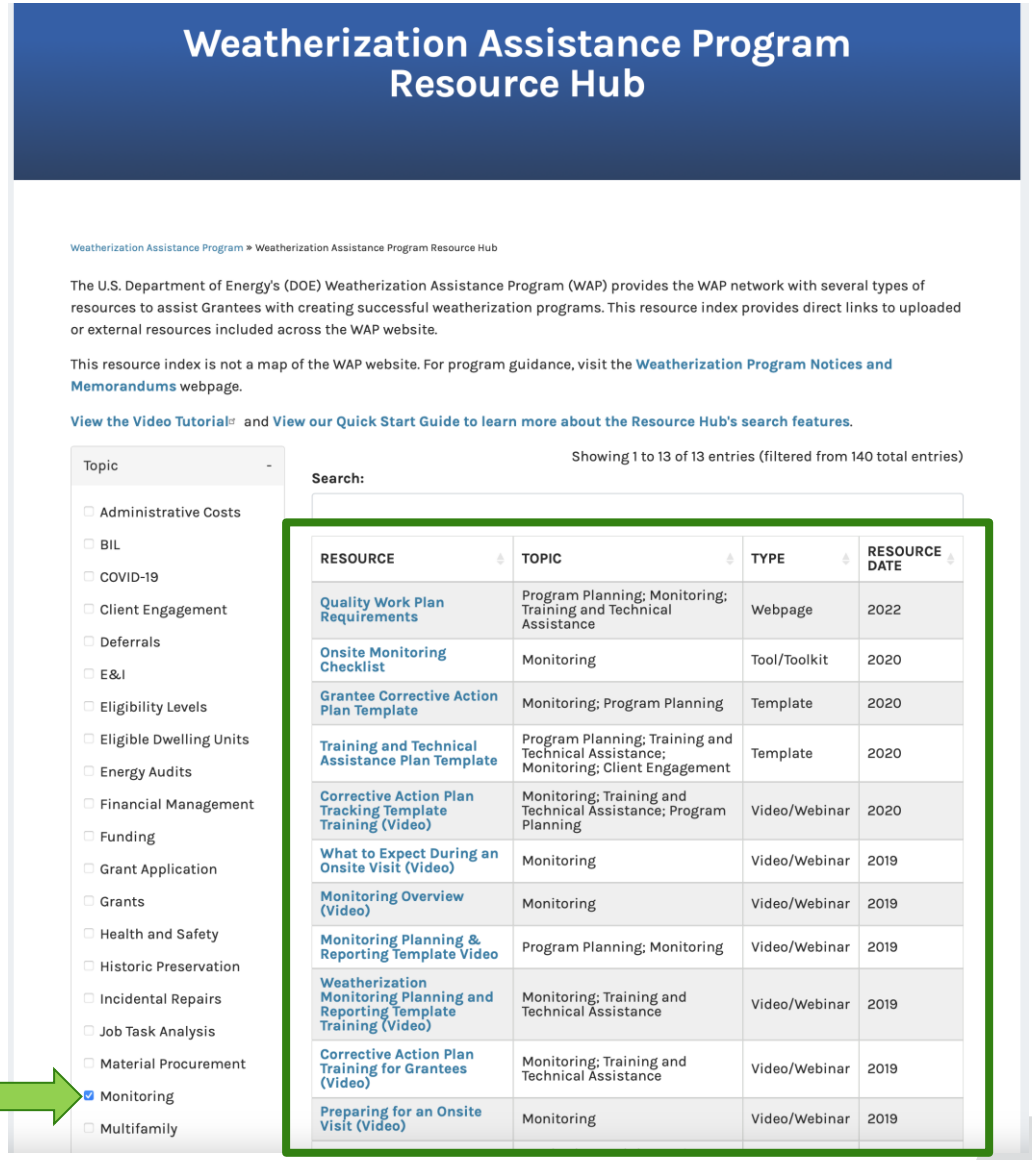
Topic

- Administrative Costs
- BIL
- COVID-19
- Client Engagement
- Deferrals
- E&I
- Eligibility Levels
- Eligible Dwelling Units
- Energy Audits
- Financial Management
- Funding
- Grant Application
- Grants
- Health and Safety
- Historic Preservation
- Incidental Repairs
- Job Task Analysis
- Material Procurement
- Monitoring

Showing 1 to 35 of 140 entries

Search:

RESOURCE	TOPIC	TYPE	RESOURCE DATE
WAP Procurement Resources: Step-by-Step Process for Procurement	Procurement	Document	2023
Step-by-Step Process Appendix	Procurement	Document	2023
Weatherization Assistance Program Fact Sheet	Program Overview; Research Studies	Webpage	2023
National Environmental Policy Act and Historic Preservation Training Website	Historic Preservation	Webpage	2023
Refrigerator and Freezer Energy Rating Online Search Tool	Energy Audits	Webpage	2023
Residential Energy Auditor Resource Repository	Energy Audits; Standard Work Specifications	Webpage	2023
WPN 23-6 Webinar	Energy Audits; Program Planning	Video/Webinar	2023
Program Year 2024 Annual Guidance Package Redline	Program Planning	Video/Webinar	2023
Tribal Historic Preservation Process (Video)	Historic Preservation	Video/Webinar	2023
U.S. Department of Energy Civil Rights Division Webinar (Video)	Program Overview	Video/Webinar	2023
Weatherization Job Aids and 3D Houses for Retrofit Installer Technicians	Technical Procedures; Training and Technical Assistance; Standard Work Specifications	Webpage	2022



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- Health and Safety
- Historic Preservation
- Incidental Repairs
- Job Task Analysis
- Material Procurement
- Monitoring
- Multifamily

Showing 1 to 13 of 13 entries (filtered from 140 total entries)

Search:

RESOURCE	TOPIC	TYPE	RESOURCE DATE
Quality Work Plan Requirements	Program Planning; Monitoring; Training and Technical Assistance	Webpage	2022
Onsite Monitoring Checklist	Monitoring	Tool/Toolkit	2020
Grantee Corrective Action Plan Template	Monitoring; Program Planning	Template	2020
Training and Technical Assistance Plan Template	Program Planning; Training and Technical Assistance; Monitoring; Client Engagement	Template	2020
Corrective Action Plan Tracking Template Training (Video)	Monitoring; Training and Technical Assistance; Program Planning	Video/Webinar	2020
What to Expect During an Onsite Visit (Video)	Monitoring	Video/Webinar	2019
Monitoring Overview (Video)	Monitoring	Video/Webinar	2019
Monitoring Planning & Reporting Template Video	Program Planning; Monitoring	Video/Webinar	2019
Weatherization Monitoring Planning and Reporting Template Training (Video)	Monitoring; Training and Technical Assistance	Video/Webinar	2019
Corrective Action Plan Training for Grantees (Video)	Monitoring; Training and Technical Assistance	Video/Webinar	2019
Preparing for an Onsite Visit (Video)	Monitoring	Video/Webinar	2019

MONITORING PLANNING

Planning | Selecting Dates for Monitoring

Your Project Officer(s) will coordinate to identify potential dates to hold for either onsite or desktop monitoring.

Scheduling Considerations:

- Grantee staff availability
- Selected Subgrantee staff availability and production schedule
  - Travel distance between Subgrantees

Planning | Development of Monitoring Visit Agenda

Once the visit dates are set, the next step is to collaborate with your WAP Project Officer(s) to create a visit agenda based on the type of monitoring and detail each day's itinerary.

- Entrance Conference
- Introductions
- Grantee Review
- Subgrantee Review and # of units to visit
- Exit Briefing

Planning | Selection of Subgrantees

Questions and Criteria to Consider:

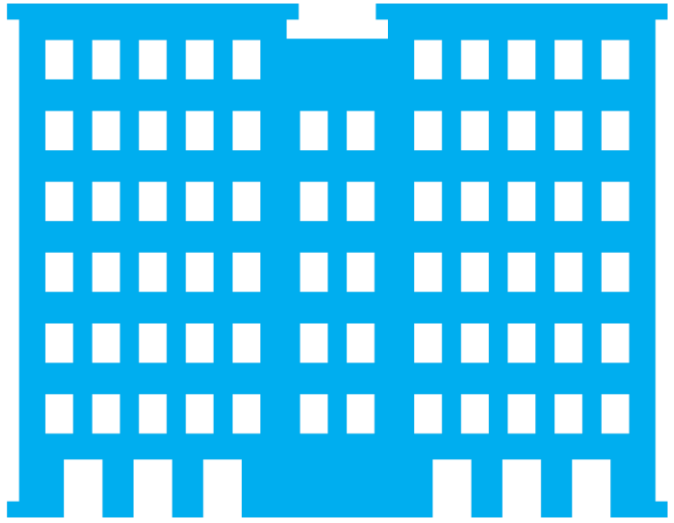
- When was the Subgrantee last monitored by the Grantee?
- How many days do you have scheduled for Subgrantee visits?
- What is the Subgrantee's production history?
- What is the Subgrantee's territory, size and budget?
- Did the Grantee identify the Subgrantee as at risk? Is there any evidence of fraud, waste or abuse?

Planning | Selection of Units

Single Family Homes

Low-Rise Multifamily

Manufactured Homes



Large Multifamily

Planning | Best Practices

- **Organize and prepare program materials for pre-review.**
  - Make sure the selected Subgrantees have program materials ready for review - the most up-to-date manuals, policies and procedures, forms, inventories, procurement documents, contracts, and price lists.
- **Ensure relevant staff are available during the scheduled monitoring times.**
- **Organize any materials related to open or in-process action items.**
- **Identify variety of in-process and completed units to review.**

MONITORING PREPARATION

Preparation | Documentation

- All supporting documentation requested by the Project Officer **that can be shared electronically must be sent at least 2 months** before monitoring visit.
  - ***The successful flow of the monitoring visit is dependent upon the Grantee providing the requested information in a timely manner!***
- For materials that cannot be shared electronically, Grantees can have other documentation and materials ready for review in binder, files, etc.

Preparation | Grantee Materials & Documentation

Request for materials via email from Project Officer and/or PAGE.

Please remember to make sure you redact any personal information (SSN, full names, etc.)

GRANTEE PROGRAM MATERIALS

- Grantee and Subgrantee most recent amended agreement.
- Completed Subgrantee Monitoring Reports.
- Monitoring Tool/Instrument (if not attached to the SF424).
- 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.

Preparation | Subgrantee Materials & Documentation

Request the following materials be ready and available during onsite monitoring.

Please remember to make sure you redact any personal information (SSN, full names, etc.)

SUBGRANTEE PROGRAM MATERIALS

- Copy of Current Grantee State Plan.
- Amended Award with the Grantee (most recent version).
- Grantee's Weatherization Policies and Procedures Manual.
- Client File examples (*if onsite monitoring, please send copies of selected units before visit*).
- Inventory Tracking Materials.
- Subcontractor Contracts.
- Procurement documents to verify competition.
- Most recent documentation of Grantee monitoring visit.
- Costs and Fixed Price Lists [Materials, Services (Audits, Inspections, etc.)].

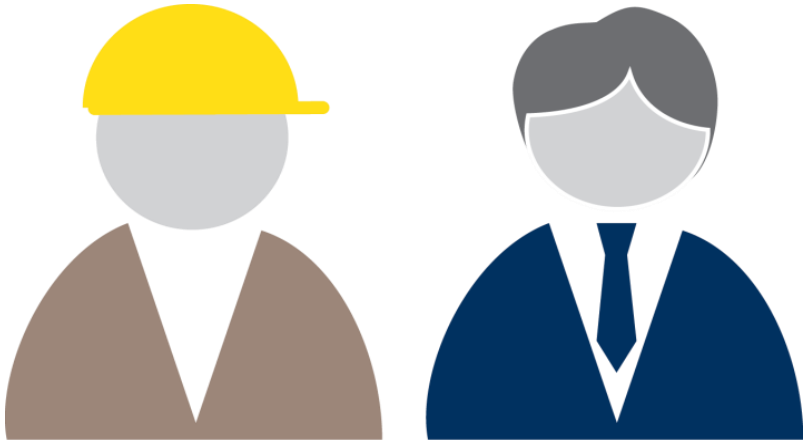
Preparation | Grantees

- The key Grantee staff are available for the specific days needed.
- Make sure the following materials are ready and available for review:
  - Most recent policies and procedures materials are available.
  - Financial and production reports are up-to-date.
  - Most recent contracts/agreements.
  - Monitoring of Subgrantee reports.
  - Monitoring tracking and analysis reports.
  - Training credentials.
  - Inventory.

Preparation | Subgrantees

For the selected Subgrantees:

- Make sure the Subgrantee schedules the identified day for monitoring.
- Ensure they receive a copy of the DOE monitoring checklists.
- Identify a good selection mix of completed and in-process units to review (dwelling type, fuel type).
  - Make efforts to schedule a visit to in-process units.
- The key Subgrantee staff are available and prepared.



Preparation | Subgrantees

Share with the selected Subgrantees the expectations for a DOE onsite monitoring visit.

- There could be a large group (DOE, contractors, state reps, etc.).
- DOE will “shadow” state monitors to see what they do when they go out to complete their monitoring.
- Technical Assistance will be provided as needed or when opportunities are identified.

Preparation | Travel Logistics

Will DOE and Grantee staff travel separately or together to visit the Subgrantees?

Preparation | Equipment

MONITORING ACTIVITIES

Monitoring Activities Overview

Annual Onsite Monitoring

- Ranges from 2-5 days.
- Project Officer(s) will complete pre-review of existing and requested materials.
- Technical Project Officer will visit Subgrantees to review completed and in-process units (if possible).
- Programmatic Project Officer will meet with Grantee and Subgrantee staff and review policies, procedures, processes, etc.

Annual Desktop Monitoring

- Ranges from 2-4 days.
- Programmatic Project Officer will complete pre-review of existing and requested materials.
- Project Officer will schedule online meetings/webinars to meet with Grantee and Subgrantee staff and review policies, procedures, processes, etc.

Programmatic Monitoring

Areas of Review:

- State Plan Compliance
- Policies and Procedures
- Client File Review – eligibility, income documentation, etc.
- Procurement policies
- Contracts
- Financial management systems
- Inventory management (Grantee level)
- Subgrantee monitoring reports and monitoring analyses
- Suggested programmatic/administrative/financial training and technical assistance

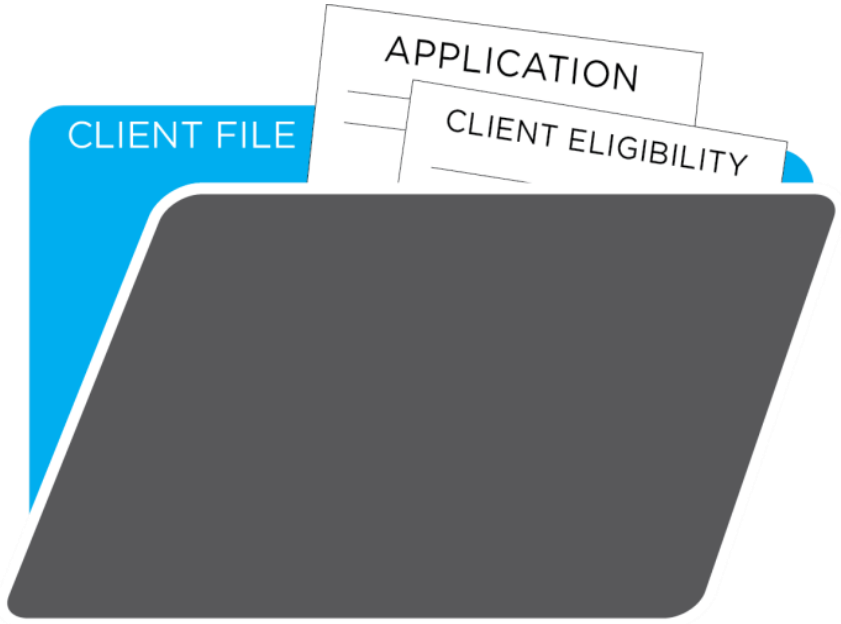
Technical Monitoring

Areas of Review:

- State Plan Compliance
- Policies and Procedures
- Client File Review - Work orders, invoices, etc.
- Energy Audit and/or Priority List reviews
- Field Work
- Financial management systems
- Inventory management (Grantee level)
- Subgrantee monitoring reports and monitoring analyses
- Suggested technical training and technical assistance

Client File Checklist

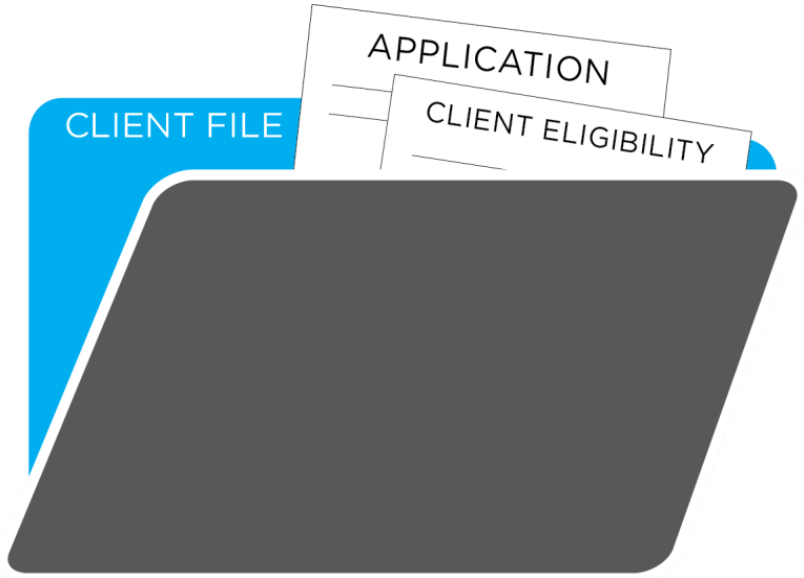
1) Subgrantee Signoff Sheet
2) Eligibility Materials
   - Income eligibility documentation
   - Owner/Rental documentation
   - Deferral
   - State Historical Preservation (SHPO) materials
3) Client Correspondence/Signoffs
   - Notification to the client on approval (or denial) of service
   - Client Complaints/Resolutions
   - Client Signoffs
   - QCI Form



Client File Checklist

4) Work Documentation

- Assessment/Energy Audit
- Housing/Building characteristics
- Work Order
- Work Summary
- Testing Documentation
- Subgrantee's QCI Final Inspection Form
- Grantee's Monitoring Assessment



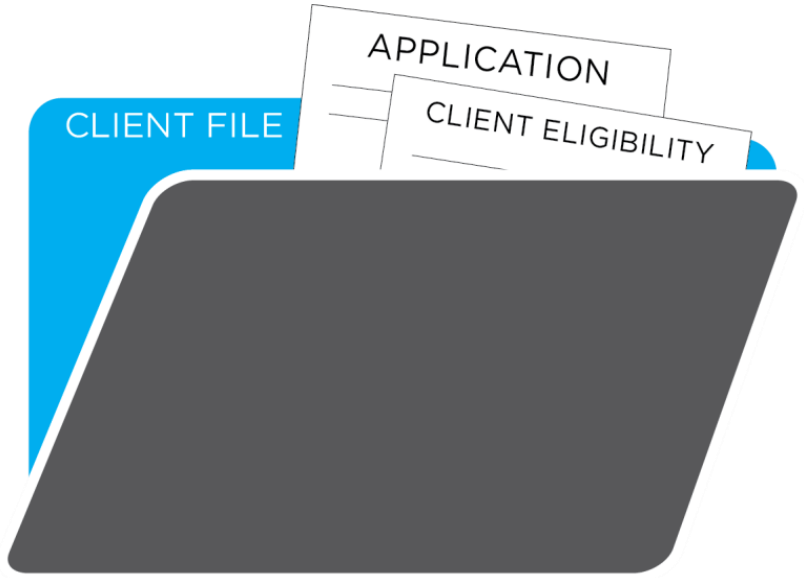
Client File Checklist

5) Supporting Documentation for the Work Performed

- Permits
- Lead Paint Notification
- Lead Safe Weatherization (LSW) Documentation
- Mold/Moisture Assessment
- Other Hazard Notifications
- Diagnostics Testing Results
- ASHRAE 62.2 results

6) Invoices

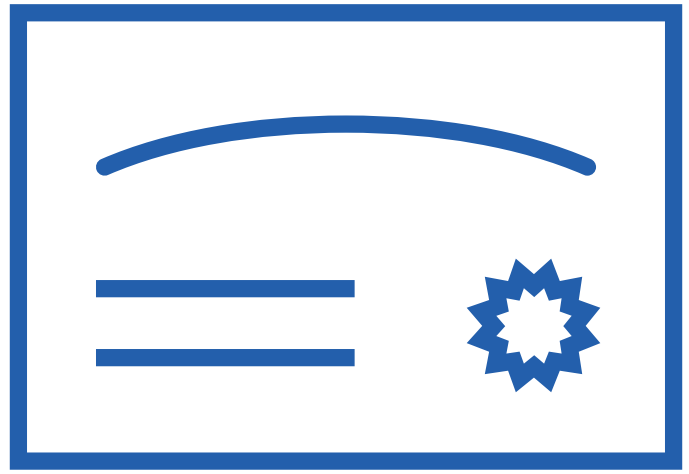
7) Grantee Specific Requirements



Training Certifications

Assure there is sufficient staff including credentialed weatherization classifications.

- Are they tracking training classes?
- Do they have a filing system for tracking certifications?



Equipment & Inventory

- Check onsite inventory including equipment and materials.
- Review of tracking records.
- At the Subgrantee office, review equipment and inventory records to make sure things match up.
- Make sure you follow 2 CFR 200.313(D)(1).
  - Categories, costs, dollar values.
  - Makes closeout easier.

Technical Onsite Monitoring

- Will review the audit (data collection forms – combustion safety, etc.), work order and invoices.
- Review the unit materials and client files.
- Completed and in-process unit reviews.
- Grantee and Subgrantee staff should be prepared to do combustion safety testing and diagnostics tests.

WRF REQUIREMENTS

WPN 22-6: Weatherization Readiness Funds

Release Date: April 14, 2022

Established WRF Guidelines

1. Units receiving WRF must result in DOE completion.

2. Grantees must develop a WRF Plan.

3. Annual reporting of WRF activities - deferrals, repair measures, etc.

WRF Repair/Remediation Activities

- Roof repair
- Wall repair (interior or exterior)
- Ceiling repair
- Floor repair
- Foundation or subspace repair
- Exterior drainage repairs (e.g., landscaping or gutters)
- Plumbing repairs
- Electrical repair
- Clean-up or remediation beyond typical scope of WAP
  - Lead paint
  - Asbestos (confirmed or suspected, including vermiculite), mold and/or moisture

WPN 23-4: Weatherization Readiness Funds – Expansion of Scope

Release Date: January 27, 2023

WRF CARRYOVER

Funds can be carried forward into the next budget period within the same grant cycle.

For example, PY 2022 funds can be carried over into PY 2023.

WRF FUNDING FLEXIBILITY

Dwellings that receive WRF to make them "weatherization ready" **can be weatherized with either DOE Formula or BIL funds.**

WRF PRODUCTION

Dwellings receiving WRF do not need to be completed within the same PY but must be completed within the **same grant cycle and within a reasonable time.**

Grantees must define what that reasonable time is within their WRF plans.

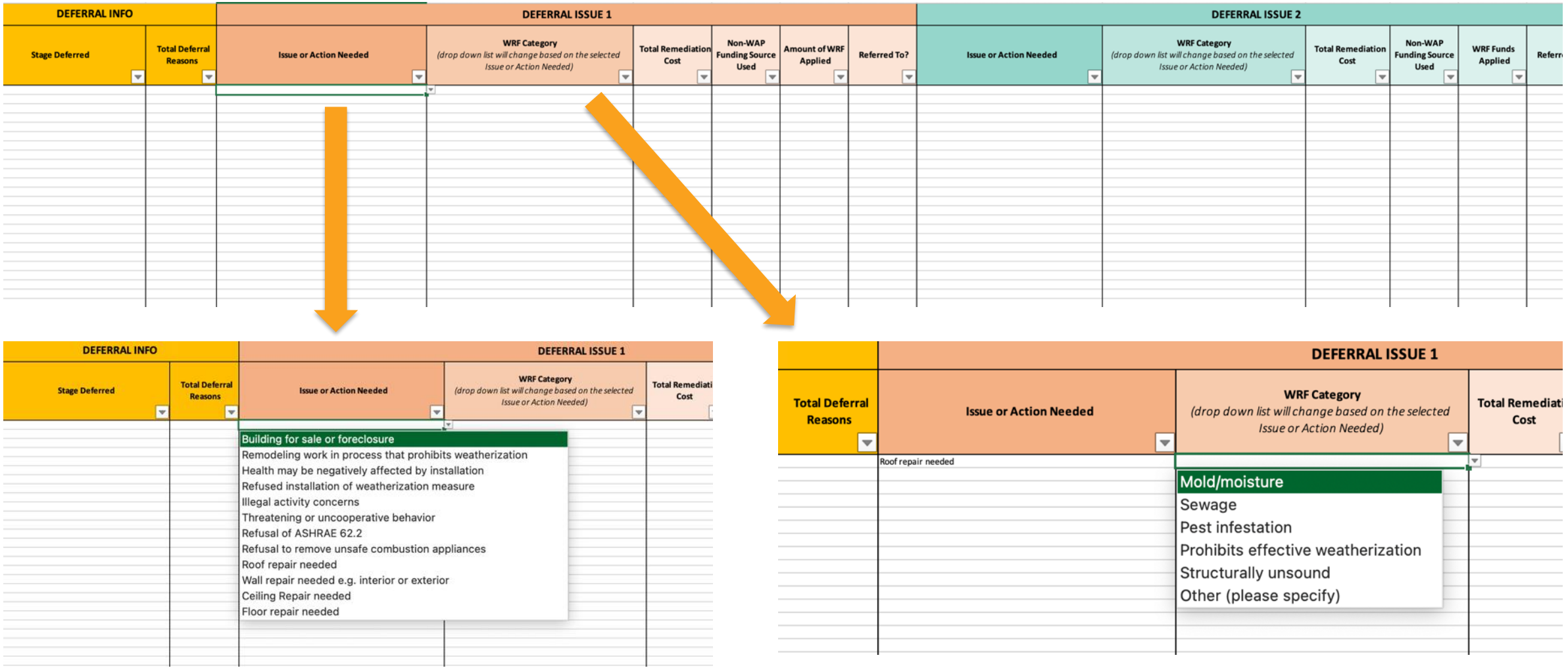
WRF Annual Reporting Requirements

- WRF annual reporting will be part of the annual Training & Technical Assistance, Monitoring and Leveraging Report (per **WAP Memorandum 111**).
- Grantees may use the optional **WAP Deferral Tracking Spreadsheet** or another report to submit this portion of the annual report. The specific metrics are:
  i. The number of completed buildings and units receiving WRF by housing type.
  ii. The average age of buildings receiving WRF.
  iii. Nature of repairs needed.
  iv. DOE WRF expenditure per annual formula unit and building.
  v. DOE WRF expenditure per BIL unit and building.
  vi. Leveraged fund expenditure per unit and building (i.e., funds such as Low-Income Home Energy Assistance Program, Housing and Urban Development, non-federal, etc. braided with WRF to make building weatherization ready).

Optional Deferral Tracker

Unit ID	DATE INFO				Funding Source for DOE Weatherization Work	MAILING INFO						Occupancy	BUILDING INFO		
	WAP Intake Date	Date(s) Deferred (if previously deferred by WAP)	Date Weatherization Ready	Date Weatherized		Street Address	Apt #	City	State/Territory	County	ZIP Code		Building Type	Year Built	Fuel Type

Optional Deferral Tracker, cont.



Optional Deferral Tracker | Key

Key

Location	Title	Description
Tracker and Unit ID Tabs, Columns A	Unit ID	This is a unique ID # assigned to each unit, likely by using the unit's address (see the "Unit IDs" tab).
Tracker Tab, Column B	WAP Intake Date	This is the current date of intake of the WAP application.
Tracker Tab, Column C	Date(s) Deferred (if previously deferred by WAP)	This is the date of deferral for the home. More than one date can be placed to account for multiple occassions of deferrals.
Tracker Tab, Column D	Date Weatherization Ready	This is the date everything has been remediated in a home so that it is weatherization ready.
Tracker Tab, Column E	Date Weatherized	This is the date that all weatherization work was completed.
Tracker Tab, Column F	DOE Funding for Weatherization Work	This identifies the DOE funding source type, either Annual Formula or BIL funds that were used to weatherize the dwelling.
Tracker Tab, Columns G to L	Mailing Info	This the Mailing info of the property such as street address, apartment number, city, county, state/province, and zip code,
Tracker Tab, Column M	Occupancy	This is the occupancy type, which may be the owner or renter.
Tracker Tab, Column N	Building Type	This is the type of unit, which may be single family, manufactured housing, small multifamilty (2-24 units), or large multifamily (25+ units).
Tracker Tab, Column O	Year Built	This is the year the building was built.
Tracker Tab, Column P	Fuel Type	This is the fuel type used to heat the home, which may be utility gas, propane, electricity, fuel oil, coal, wood, solar, other, or none.
Tracker Tab, Column Q	Stage Deferred	This identifies at which point in the weatherization process the home was deferred. Depending on the user's weatherization program, there may be differing steps at which a home is examined for weatherization-readiness. Users may read the "Instructions" tab to learn how to change the options available in this column on the "Tracker" tab.
Tracker Tab, Column R	Total Deferral Reasons	This column counts the number of deferral reasons indicated in the subsequest columns, and has a COUNTIF formula placed to total these reasons for the first 100 rows of the "Tracker" tab.
Tracker Tab, Columns S,Y, AE, AK, AQ	Issue or Action Needed	These 5 columns represent the first line of data regarding the home's deferral reason. This is where you indicate what household issue or needed repair is leading to deferral of the home.
Tracker Tab, Columns T, Z, AF, AL, AR	WRF Category (drop down list will change based on the selected Issue or Action Needed)	The WRF columns are to select the Readiness funds category to indicate the underlying issue that the repairs would be solving, if there were money for the repairs. For example, if you need to repair the roof to correct a moisture issue, roof repair would be selected from the previous column, and in this column you would select mold/moisture from the drop down menu.
Tracker Tab, Columns U, AA, AG, AM, AS	Total Remediation Cost	This column is a space to denote the total estimated or actual cost of remediation required for the home to be weatherization ready.
Tracker Tab, Columns V, AB, AH, AN, AT	Non-WAP Funding Source Used	This column is a space to record which funding source was used to remediate the home for weatherization readiness.
Tracker Tab, Columns W, AC, AI, AO, AU	Amount of WRF Applied	This column identifies the amount of Weatherization Readiness Funds (WRF) expenditures per unit or building.
Tracker Tab, Columns X, AD, AJ, AP, AV	Referred To?	This column is a space to track which other source(s) the WAP applicant was referred to in order to remediate their home for weatherization.
Tracker Tab, Column AW	Other Deferral Issue: Notes	This column is a space to describe the reason for deferral if "Other" was selected under the Category column, and to record any additional information which may be helpful for program management and tracking.

Tab Descriptions	
"Guide Overview" Tab	This tab describes the purpose and process of developing the tool, and the reasoning to the 2-tiered approach for classification of deferrals.
"Instructions" Tab	This tab explains how to use the tracker as well as how to adjust terms, categories, and deferral reasons to meet the needs of the user's weatherization program.
"Key" Tab	This tab is used to explain terms on the "Tracker" tab. The user may find it useful to update this key with their own definitions of these terms if different terminology is used in their network or weatherization program. In order to change terms used in the "Tracker" tab, please reference the "Instructions" tab.
"Tracker" Tab	This tab is used to track deferred homes and the corresponding characteristics of the home, including reasons for deferral.
"Analysis" Tab	This tab totals the number of each deferral issue reported, and calculates the average number of issues per unit.
"Formula Sources" (do not delete) Tab	This tab is where formulas for the dropdown categories and reasons for deferral are stored.

Additional Points of Clarification

- Use of WRF **must** result in DOE WAP completion.
- **Funds intended for repairs**, *that if left uncorrected,* would lead to a deferral or to address items that resulted in a deferral.
- Grantee set budgetary controls either as a Maximum Cap per home or an Average WRF cost per home.
- The WRF Plan **must** include a monitoring element for oversite.

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POST MONITORING

Post Monitoring | Exit Briefing

- Focus of briefing is to review Project Officer observations, identify any required information to complete monitoring and discuss next steps.
- Suggested required participants:
  - Program Manager
  - State Monitors
  - Fiscal Manager
  - Training Staff
- Exit briefing will be held with onsite and desktop monitoring.

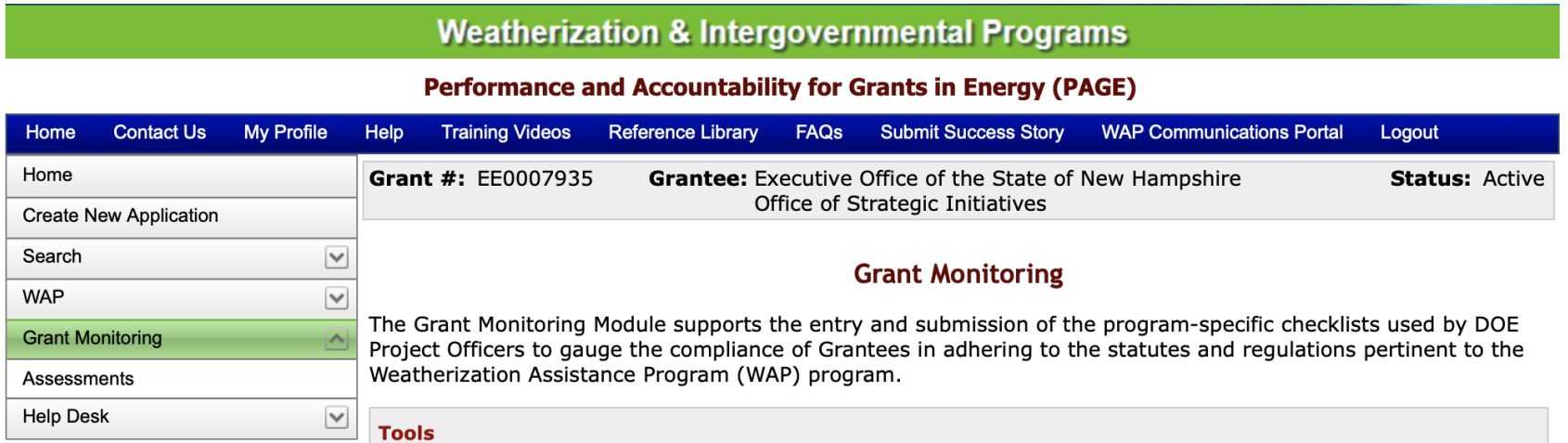
Post Monitoring | DOE Monitoring Assessment Reports

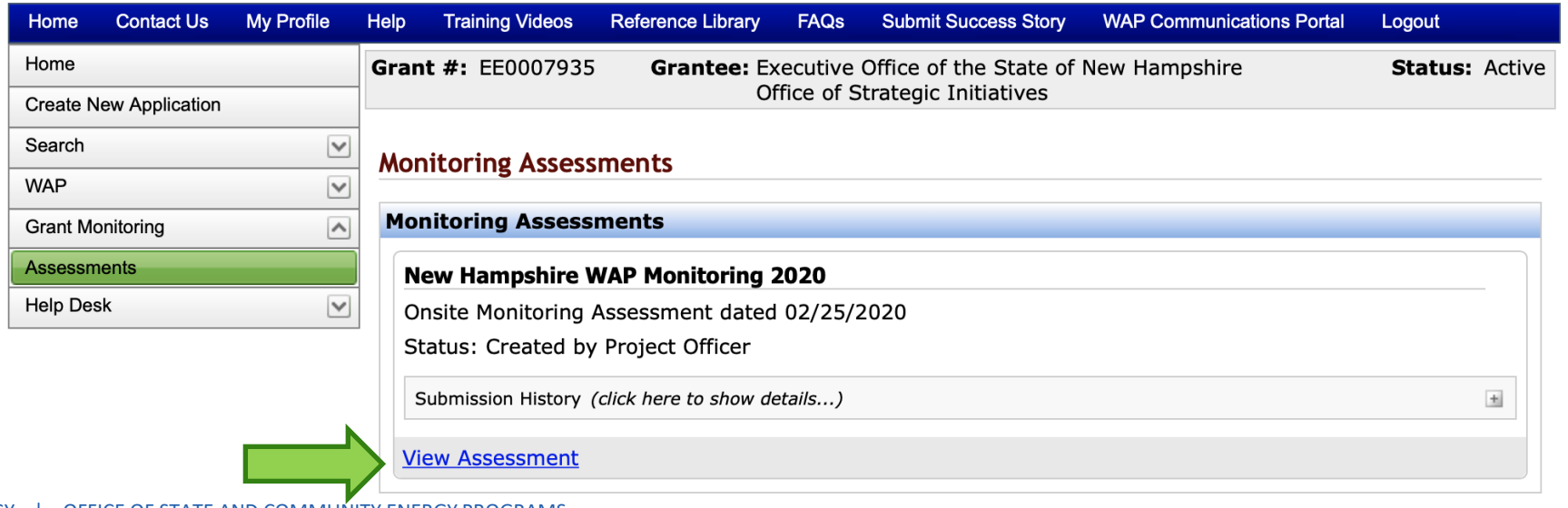
- Monitoring assessment report is due to the Grantee within **30 days** of the monitoring activity.
- Monitoring assessment report can include:
  - Activity summary.
  - Trends – strengths, best practices, essential program improvements.
  - Critical Responses.
  - Suggested Training and Technical Assistance (T&TA) needs.
- Any identified action items – findings, concerns or recommendations.

Monitoring Assessments in PAGE

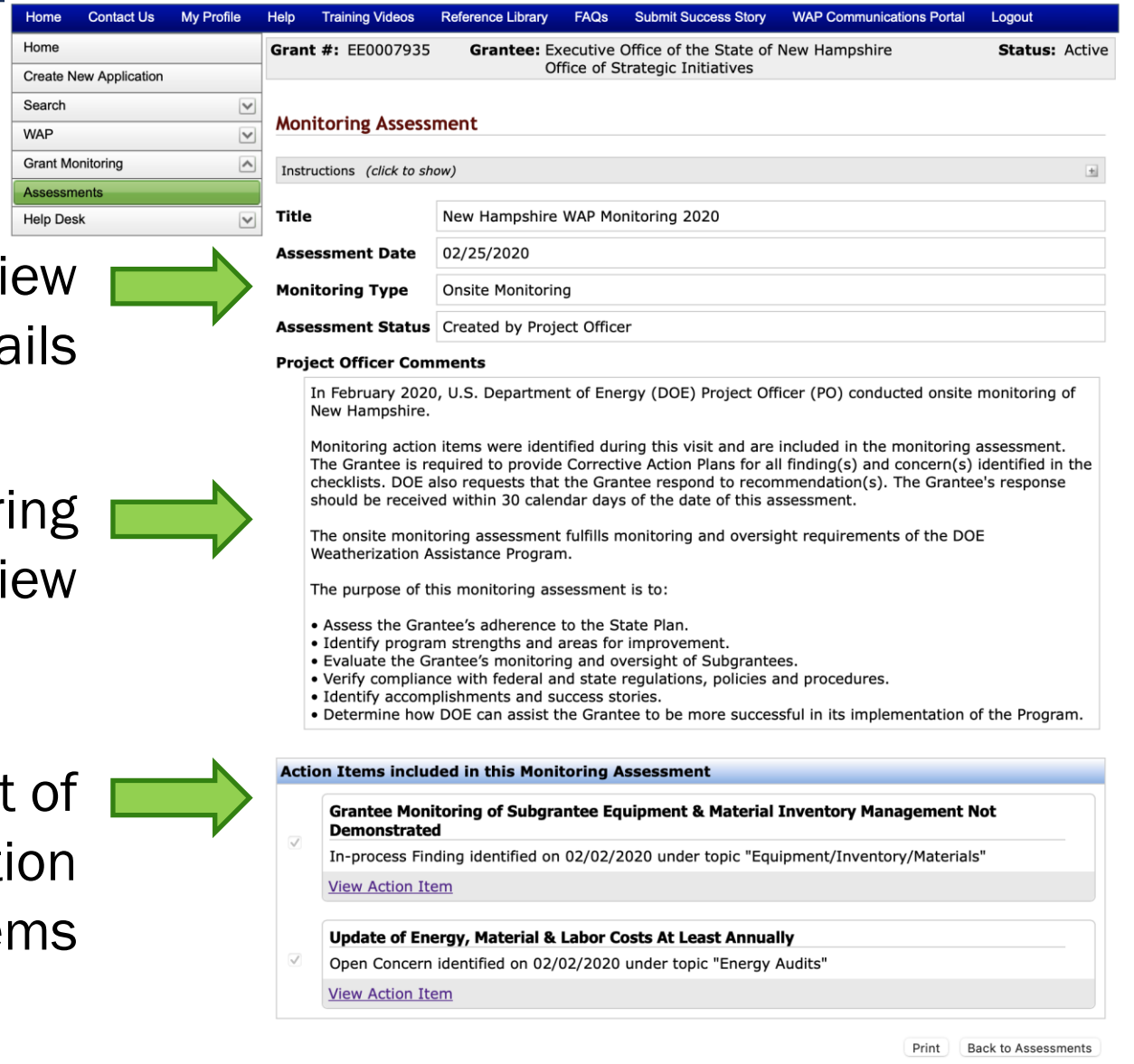
- WAP introduced monitoring assessments during Program Year 2020.
- A **monitoring assessment** is a collection of monitoring action items based on either:
  - Onsite Monitoring
  - Desktop Monitoring
  - Ad Hoc Monitoring
  - State Plan Review
- Grantees manage the assessment via PAGE and submits individual resolutions for each action item.
  - System allows for attaching photos and other supporting materials.
- Monitoring Assessment is closed once all the action items are resolved.

Monitoring Assessments | PAGE





Monitoring Assessment | PAGE

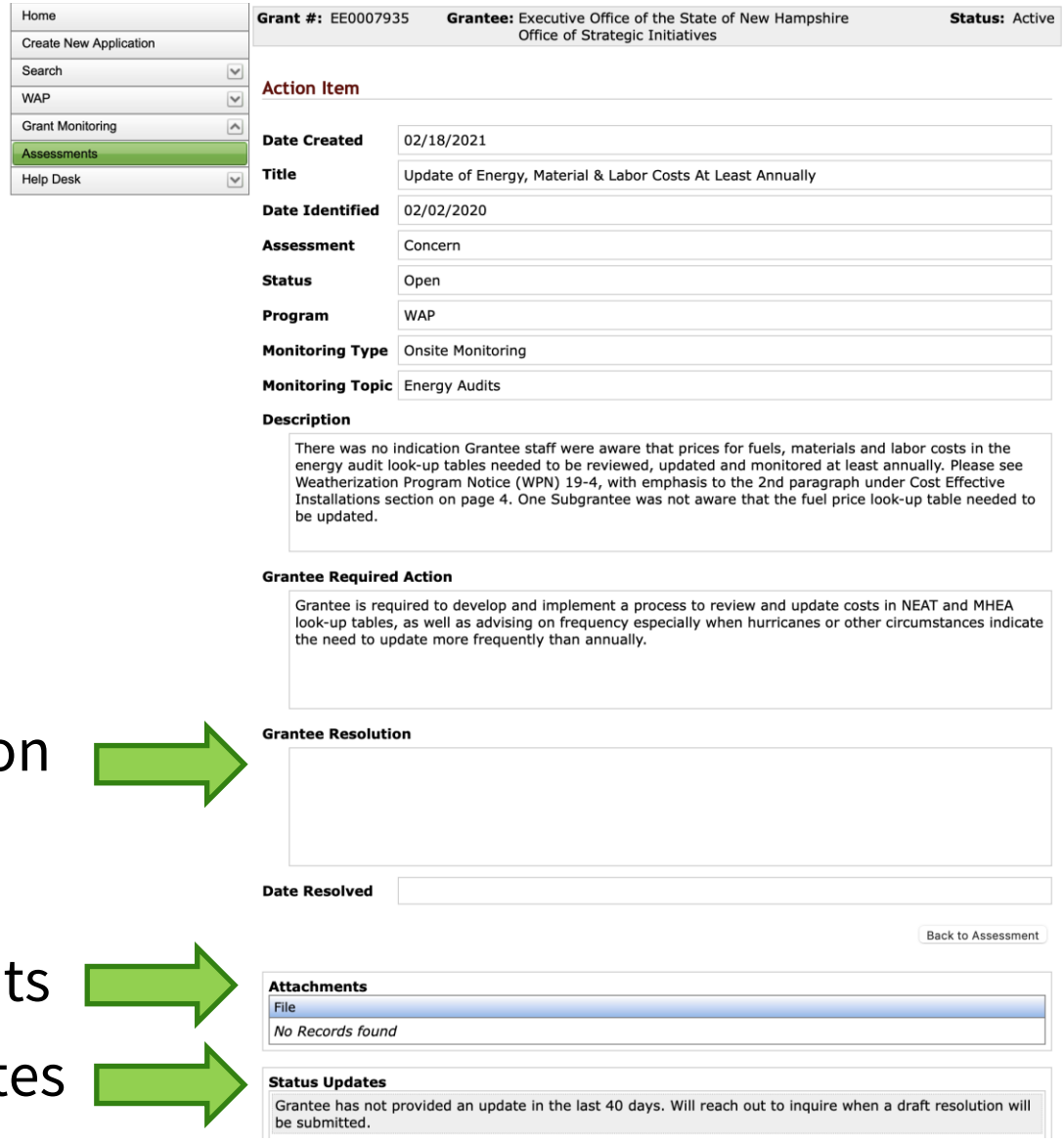


Overview Details

Monitoring Overview

List of Action Items

Monitoring Assessment | PAGE



Grantee Resolution

Attachments

Status Updates

Monitoring Assessment | Grantee Response

- A response back to DOE is due within **30 days after** receipt of DOE issued monitoring assessment report within PAGE.
- Grantees must provide specific details and activities within their responses on how each action item/deficiency identified will be resolved.
  - In some instances, the Grantee is required to develop a CAP to detail how the identified findings and/or concerns will be addressed.

GRANTEE MONITORING OF SUBGRANTEES

Grantee Monitoring of Subgrantees

- **10 CFR Part 440.12(b)(6)** requires the Grantee to monitor the Subgrantees' program activities.
  - Program monitoring occurs at units in the field and at Subgrantee offices.
- **2 CFR 200** requires the Grantee to monitor the Subgrantees' fiscal activities.
  - Fiscal monitoring occurs at the Subgrantee offices.
- **Annual Application Instructions – Section V.8.3 Monitoring**
  - Identifies what elements need to be within the monitoring plan.
- **WPN 20-4 Weatherization Assistance Program Monitoring Procedures**
  - Identifies Grantee requirements for monitoring its Subgrantees, tracking and reporting.
- **WPN 22-4 Quality Work Plan**
  - Details QCI requirements, mentoring option and reviews the Grantee requirement for quality assurance/monitoring of completed units.

Application | V.8.3 Monitoring Plan and Activities

Annual Monitoring Plan:

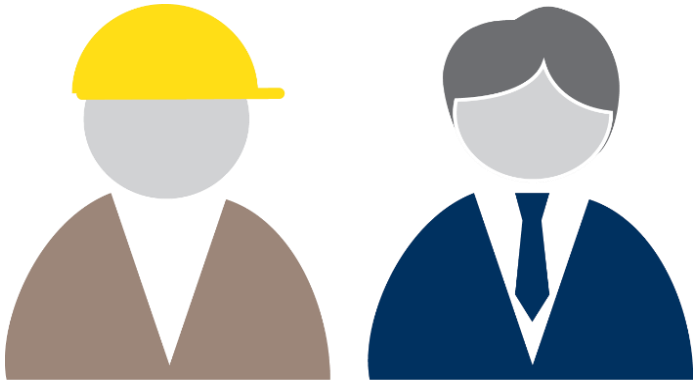
Overall Goal: To ensure each Subgrantee's quality of work, program operations, and financial management are working well, meet DOE requirements and there is no evidence of fraud, waste, or abuse.

The Plan must include detailed descriptions of the topics:

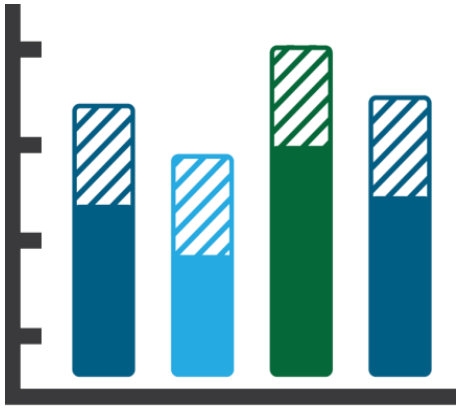
- Staffing & Budget Allocations
- Subgrantee Monitoring Schedule
- Monitoring Tools & Corrective Actions
- Tracking, Analysis & Reporting

Monitoring Plan | Staffing & Budget Allocations

- Identify Technical and Administrative Monitoring Staff.
- Budget categories and allocations for monitoring.
- Subgrantee Final Inspections by a certified Quality Control Inspector (QCI).



IDENTIFY MONITORING STAFF



BUDGET ALLOCATIONS

QUALITY CONTROL INPECTORS

Develop a Monitoring Schedule

- Annual visits.
- Detailed Monitoring Process:
  - Administrative.
  - Fiscal.
  - Technical.
- Tentative schedule for Subgrantee visits.

Monitoring Plan & WPN 22-4 | Grantee Monitoring of Units

SUBGRANTEE QCI

performs ***only*** the final quality control inspection, then the Grantee must annually monitor a minimum of

5% of DOE completed units for that Subgrantee.

SUBGRANTEE AUDITOR/QCI

performs ***the energy audit, creates the work order and performs the final quality control inspection***, then the Grantee must annually monitor a minimum of

10% of DOE completed units for that Subgrantee.

Monitoring Plan & WPN 20-4 | Monitoring Tools

Tracking and Analysis

- All monitoring results (including financial reviews) and action items must be tracked.
- Subgrantee monitoring analysis overview.
  - Grantees are required to create a detailed monitoring analysis of all their Subgrantees.

Reporting

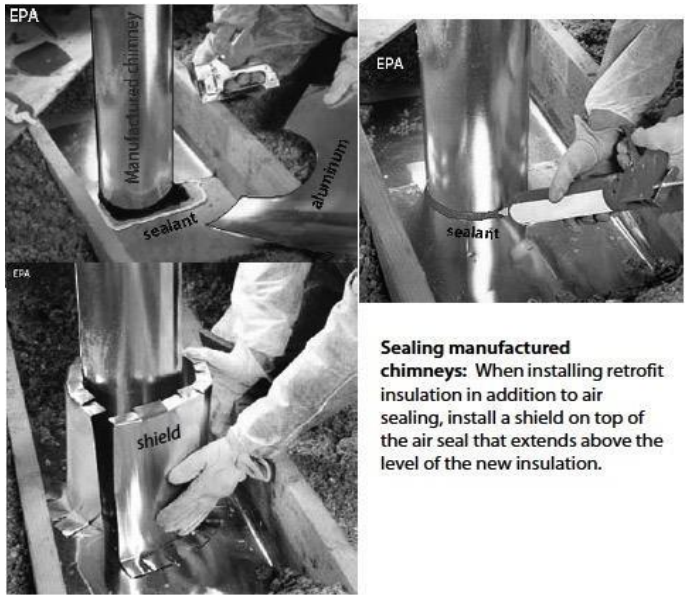
- The annual **T&TA, Monitoring and Leveraging Report must include**:
  - Subgrantees monitored.
  - Major findings (waste, fraud and abuse) and their resolutions.
  - Monitoring trends.
  - T&TA needs (can utilize the WAP T&TA Planning and Reporting Template).
  - High risk Subgrantees and plan on how to mitigate risk.
  - Outcomes from T&TA and monitoring training.

WHAT IS GOOD MONITORING?

What is Good Monitoring?

References written standards.

- SWS.
- DOE approved field guides.
- Energy Audit policies.



Sealing manufactured chimneys: When installing retrofit insulation in addition to air sealing, install a shield on top of the air seal that extends above the level of the new insulation.

Sealing around Masonry Chimneys

Leaks around fireplace chimneys are often severe air leaks. Use this procedure to seal air leaks through the chimney chase.

- ✓ Cut sheet metal to fit the gap that borders the chimney with overlaps connecting to nearby attic framing lumber.
- ✓ Bed the sheet metal air seal in sealant, and then fasten the sheet metal to the attic framing with staples, nails, or screws.
- ✓ Seal the metal patch to chimney or flue with a non-combustible sealant labeled ASTM E136.
- ✓ Seal other gaps between the attic and the chimney chase.
- ✓ For large chimney chases, cover the chase opening with structural material such as plywood. Maintain clearances

Michigan Weatherization Field Guide 121

What is Good Monitoring?

- References written standards.
- **Ensures quality and averts trouble.**
  - Safety net of integrity.

What is Good Monitoring?

- References written standards.
- Ensures quality and averts trouble.
- **Informs T&TA activities.**

What is Good Monitoring?

- References written standards.
- Ensures quality and averts trouble.
- Informs T&TA activities.
- **Has enforceable consequences.**

Good Monitoring has Teeth

Shared Monitoring Goals

- High quality work performed correctly the first time.
- Improves lives and budgets of clients.
- Profitable for contractors.
- Protect program so we can continue.
- Support continual improvement.

Summary

Effective program monitoring ensures WAP will operate smoothly and efficiently.

- **Developing a comprehensive monitoring plan is important to:**
  - Maintain consistent workmanship and identify inferior workmanship.
  - Determine if existing training is sufficient while planning for future training.
  - Identify any waste, fraud, and abuse in the program.
  - Ensure production goals are being achieved.
  - Ensure DOE funding is being properly allocated and that all expenses charged to the program are legitimate.

Questions?

Session Evaluation

- Please join me in thanking our DOE presenters!
- Take a moment to provide feedback on this session.