

WEATHERIZATION ASSISTANCE PROGRAM (WAP) PROGRAMMATIC MONITORING TOOL

as of May 2024

Once a WAP monitoring activity is scheduled, DOE Project Officers will send a request to the Grantee to share specific Grantee and Subgrantee materials and supporting documentation to prepare for monitoring.

All materials and supporting documentation requested by the Project Officer that can be shared electronically need to be sent **at least two (2) months before monitoring visit** (or as soon as possible if the monitoring will be held within two (2) months).

PRE-REVIEW MATERIALS FOR PROGRAMMATIC MONITORING ACTIVITIES

Grantee Materials and Supporting Documentation:

- Grantee Procedural Manual for Program Implementation (i.e., Policies & Procedures Manual)
- Grantee and Subgrantee most recent amended agreements/contracts
- Last Subgrantee Monitoring Reports (*minimally from the selected Subgrantee(s) included in the upcoming monitoring activity*)
- Monitoring analysis overview reports
- Subgrantee Corrective Action Plan examples (if applicable)
- Grantee programmatic/administrative/fiscal monitoring tools, forms, tracking documentation and schedule
- Financial system reports (e.g., payroll reports, payments, etc.)
- Production tracking reports
- Most recent Grantee support contracts/training entities or other contracted activities
- Procurement documentation
- Subgrantee communications samples (e.g., program notices, meeting agendas, webinars, etc.)
- Training and Technical Assistance (T&TA) Needs Assessment and T&TA tracking/training scheduling information
- Inventory Tracking and Records

Materials and Supporting Documentation from the selected Subgrantee(s):

- Copies of files of homes to be reviewed and/or visited containing minimally:
 - Income eligibility documentation
 - Owner/Renter materials (proof of ownership or signed rental agreement)
 - Deferral and/or Weatherization Readiness Funds documentation (if applicable)
 - State Historic Preservation documentation (as applicable)
 - The final work order(s), including any change orders
 - Invoicing records for all measures, including the final invoice paid by the Grantee
- Subcontractor contracts
- Inventory tracking system and materials (if applicable)
- Procurement documentation to verify competition

GRANTEE PROGRAMMATIC MONITORING CHECKLIST

As of May 2024

SECTION: GRANTEE REVIEW

1. Is Grantee staffing consistent with staffing identified in the approved Grantee Plan? Are key personnel performing the duties proposed within the Grantee Plan? Identify any changes to Grantee staffing.
2. How is the Grantee tracking and verifying employees are charging their time in proper increments and segregating time between DOE funding and other state or federal grant programs?
3. How does the Grantee ensure their Subgrantees have all relevant program materials needed to effectively carry out the Weatherization Assistance Program?
4. What is the Grantee's process for executing their Subgrantee awards? What issues, if any, have developed to cause significant delays in the process?
5. **NEW:** Does the Grantee have general conflict of interest policies and internal control processes to prevent any potential or actual conflict of interest issues (e.g., Grantee or Subgrantee personnel owned properties prioritized higher for weatherization services than others, Subgrantee proposing to weatherize Subgrantee owned properties, Board members applying for WAP assistance)?

SECTION: FINANCIAL/ADMINISTRATIVE

6. What is the Grantee policy regarding Subgrantee contractor payments, procurement of contractors and establishing fixed costs for materials or services?
7. If the Grantee approved budget identifies leveraged funds, how is the Grantee properly accounting and reporting them?
8. What is the Grantee's method of tracking used to segregate multiple funding sources for Weatherization activities?
9. What tracking mechanism does the Grantee use for capped cost categories (e.g., administration, T&TA, Health & Safety (H&S), Weatherization Readiness Funds (WRF), etc.) and what is the frequency for review of those costs?
10. How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?
11. Have the Grantee demonstrate their process of payment to Subgrantees and Grantee's support services contractors (e.g., state monitors, trainers, etc.).

12. How does the Grantee review and validate Subgrantee invoices for allowable costs?
13. Does the Grantee provide advances to their Subgrantees? How does the Grantee reconcile the advances?
14. **NEW:** Have the Grantee describe its internal controls process for determining if Subgrantee(s) are splitting procurements into small increments to avoid competitive bidding requirements. Identify what procedures the Subgrantees must follow.

SECTION: WEATHERIZATION READINESS FUNDS

15. **NEW:** Have the Grantee describe how they prioritize dwellings to receive WRF.
16. **NEW:** Have the Grantee describe how they monitor WRF funds ensuring the funds are expended in accordance with the Grantee's WRF plan (e.g., WRF ACPU or maximum cost) for the purposes approved by DOE, resulting in completed units.
17. **NEW:** Have the Grantee demonstrate their WRF tracking system, specifically:
- WRF required elements (year built, housing type, nature of repairs, WRF expenditure amount, other leveraged funds used to make the unit weatherization ready)
 - WAP Funding (Formula or BIL funds)
 - Tracking across program years

SECTION: POLICY ADVISORY COUNCIL (PAC)

18. Has the Grantee's Policy Advisory Council (PAC) (as identified in the regulations) changed since approval of the WAP Grantee Plan? If the PAC's composition has changed, provide details on the changes and why they took place.
19. Have the Grantee describe the procedure for the PAC to review and provide input on the WAP Grantee Plan.

SECTION: ELIGIBILITY

20. Have the Grantee describe the process to ensure homes identified for re-weatherization by its Subgrantees are eligible and tracked by their completion date.
21. How does the Grantee confirm Subgrantees comply with income eligibility requirements? Identify what procedures the Subgrantees must follow.

22. How does the Grantee ensure compliance with the priority criteria identified in the approved WAP Grantee Plan for serving eligible applicants? Specific examples include: (a) High Energy Users; (b) High Energy Burden; (c) Elderly; (d) Disabled; and/or (e) Households with Children.
23. Has the Grantee identified any Subgrantees performing services for profit (e.g., for-profit subsidiary, utility-based programs, HUD)? Does the Grantee ensure the use of weatherization equipment and material expense is properly accounted for and the DOE WAP is reimbursed?
24. **NEW:** How does the Grantee confirm Subgrantees compliance with the deferral policy and process described in the approved Grantee Plan?

SECTION: RENTAL

25. How does the Grantee confirm the process specified in the Grantee Plan for rental units is being followed (e.g., undue enhancement, 66% rule, dwelling units will become occupied within 180 days, tenants shall benefit, no rent increases, enforcement, eviction)?
26. Does the Grantee have a standard rental agreement template (with a Landlord signature area) in use statewide? If not, are there individual Subgrantee agreements in place?

SECTION: EQUIPMENT/INVENTORY/MATERIALS

27. How does the Grantee track and verify the vehicles, equipment, and tools purchased for the Grantee's use are being used in an appropriate manner to ensure cost-effective delivery of services? *Request property inventory records examples and the verification process being utilized.*
28. How does the Grantee verify Subgrantee vehicles, equipment, and tools are used in an appropriate manner to ensure cost-effective delivery of services? *Request an example of this process being utilized.*
29. How does the Grantee's monitoring process assess inventory and warehouses of Subgrantees? 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; and (j) Ultimate Disposition. *Request an example of the property records and the monitoring process being utilized.*

SECTION: GRANTEE MONITORING

- 30.** What is the Grantee's process to document Subgrantee work quality? Include patterns detected at a single agency or at multiple agencies. *Request an example of this process being utilized.*
- 31.** Does the Grantee's programmatic/administrative monitoring tool review Subgrantee compliance with:
- Subgrantee contracts
 - Grantee financial/operations manual
 - Applicable Federal regulations
 - Current Program Guidance documents. *Request a copy of the monitoring tool(s) if not already attached to the most recent SF-424?*
- 32.** How does the Grantee verify its monitoring process in the approved Grantee Plan is implemented during the current program year and includes programmatic, financial/fiscal, and technical monitoring? *Request an example of this verification process being utilized.*
- 33.** What process (including sanctions) does the Grantee use to address deficiencies identified during Subgrantee monitoring and is it consistent with the current and approved Grantee Plan?
- 34.** Have the Grantee describe its process to identify and track at-risk Subgrantees and the type of support offered to assist in resolving the identified issues?
- 35.** Is there a signed Programmatic Agreement (PA) with Grantee's State Historical Preservation Office (SHPO) and how do the Subgrantees document compliance with the PA?
- 36.** How does the Grantee verify all WAP contractors are not on the debarred list (excluding the party list system)? *Include a description how Subgrantees ensure their contractors are not on the "exclusion list".*

SECTION: TRAINING & TECHNICAL ASSISTANCE (T&TA)

- 37.** What methodology does the Grantee use to determine the programmatic T&TA needs of its staff and Subgrantees? *Request an example of the evaluation process and the follow-up in acquiring/offering T&TA in response to the results of that evaluation.*
- 38.** What recent national or regional meetings has the Grantee attended? Are there any barriers hampering the Grantee's attendance at DOE-sponsored national or regional training conferences and workshops? If yes, please list below.

SECTION: FEEDBACK & REPORTING

- 39.** How often does the Grantee have regular communications with its Subgrantees? Describe the different methods by function (e.g., technical, annual conferences, monthly conference calls, etc.).
- 40.** Have the Grantee describe the information system used to collect and report Subgrantee production and expenditures. How does the Grantee verify, and track completed units? Does the Grantee also use the system as a management tool?

Request an example of the system/tool (if possible) used and an example of how the information is used to manage the program. The system/tool may not be sharable and may lend itself more to a demonstration of the system during the onsite monitoring visit instead.

NEW: BUILD AMERICA BUY AMERICA

- 41. NEW:** How is the Grantee complying with the Build America Buy America Act (BABA)?
- 42. NEW:** Has a waiver been submitted for the BABA Preference requirements if a public housing building or privately owned buildings that serve a public function is identified for WAP services?

NEW: BIL RELATED REQUIREMENTS

- 43. NEW:** Has the Grantee achieved the milestones identified in WPN BIL-1 to release the remaining 50% of BIL funds?
- 44. NEW:** Is the Grantee meeting their identified BIL milestones and timeline as identified in their approved BIL Grantee Plan?
- 45. NEW:** How does the Grantee confirm its Subgrantees' compliance with Davis-Bacon Act (DBA) requirements for multifamily project (5 units or more). Identify what procedures the Subgrantees must follow.
- 46. NEW:** How does the Grantee ensure all lower tiered contracts have DBA provisions when required (e.g., SF-1413)?
- 47. NEW:** What process is the Grantee using to ensure the LCPtracker is accurate in collecting and reporting weekly Certified Payroll records from their Subgrantees and all contractors performing work on DBA projects (if applicable)? What process does the Grantee follow to ensure its Subgrantee complete (and accept) the review within the required timeframe?

- 48. NEW:** How is the Grantee monitoring its Subgrantee review of Certified Payroll records and procurement records to ensure compliance with DBA requirements (bid requirements, employee interviews, verification of employees, accuracy of wage determinations, etc.)?
- 49. NEW:** Is the Grantee meeting the requirements for their required DBA semi-annual reporting in the Performance and Accountability for Grants in Energy (PAGE)?
- 50. NEW:** What process is followed when Subgrantees/contractors have used improper wage rates and/or classifications, including overtime pay? (per WPN BIL-1, WPN BIL-6, part A of title IV of the Energy Conservation and Production Act (42 U.S.C. 6861 et seq.)

GRANTEE PROGRAMMATIC MONITORING OF SUBGRANTEES REVIEW CHECKLIST

As of May 2024

1. Subgrantee should have the following materials readily on-hand. (a) Most recent Grantee Award agreement; (b) Most recently approved Grantee Plan; (c) Most recent Subgrantee fiscal and programmatic monitoring report from the Grantee; (d) Most recent Grantee policy and procedures manual; (e) DOE Approved Field Guide. How does the Subgrantee's demonstration/description align with information provided by Grantee in **Question 3 of the Grantee programmatic monitoring checklist**?
2. Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for re-weatherization. How does the process described by Subgrantee(s) for eligibility for re-weatherization align with information provided by the Grantee in **Question 20 of the Grantee Programmatic monitoring checklist**?
3. Subgrantee will be asked to explain how it follows the most recent approved Grantee Plan/policies and procedures and specifically how the Subgrantee prioritizes services (e.g., high energy users, high energy burden, elderly, disabled, households with children, other state-identified priorities). How does the Subgrantee's explanation align with the prioritization documented in the Grantee Plan and the Grantee's descriptions in **Question 22 of Grantee programmatic monitoring checklist**?
4. **NEW:** How many Subgrantee owned homes/units has the Subgrantee weatherized? What internal controls does the Subgrantee have in place to address/mitigate apparent or actual conflicts of interest when weatherizing Subgrantee owned, employee owned, or Board owned properties and to ensure Subgrantee owned properties are not prioritized higher than other similar properties proposed for weatherization? How does the Subgrantee's process/procedure align with information provided by the Grantee in **Question 5 of the Grantee programmatic monitoring checklist**?
5. **NEW:** Subgrantee will be asked to describe the process and provide documentation that demonstrates Subgrantee(s) post-verification of client eligibility for homes/units that were vacant at the time of weatherization? How many homes/units are in process and have not been verified by the Subgrantee for client eligibility in homes/units that were vacant at the time of weatherization? Does the Subgrantee's process align with Grantee eligibility processes in **Question 21 of the Grantee programmatic monitoring checklist**?
6. **NEW:** Subgrantee will be asked to describe the process and provide documentation to verify client income eligibility. How does the Subgrantee's process/procedure align with information provided by the Grantee in **Question 21 of the Grantee programmatic monitoring checklist**?
7. Subgrantee will be asked to demonstrate/describe the process leading to the development of an invoice to the Grantee. How does the Subgrantee's demonstration/description in developing an invoice align with the process described by the Grantee in **Question 12 of the Grantee**

programmatic monitoring checklist?

- 8.** Subgrantee will be asked to describe the process and show evidence of the process for paying contractors, if applicable. How does the Subgrantee's demonstration/description of their process for paying contractors align with the process described by the Grantee in **Question 6 of the Grantee programmatic monitoring checklist?**
- 9.** Subgrantee will be asked to review the process used to procure contractors, if applicable. How does the Subgrantee's demonstration/description of their procurement of contractors align with the Grantee's policies outlined in **Question 6 of the Grantee programmatic monitoring checklist?**
- 10.** Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials and services (audits, inspections, etc.). How does the Subgrantee's demonstration/description of their process regarding fixed price materials/services align with the Grantee's policies outlined in **Question 6 of the Grantee programmatic monitoring checklist?**
- 11.** Subgrantee will be asked to demonstrate the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities? How does the Subgrantee's demonstration/ description of their process to account for multiple funding sources align with the Grantee's information captured in **Question 8 of the Grantee programmatic monitoring checklist?**
- 12. NEW:** Subgrantee will be asked to provide documentation demonstrating how many contractors or material suppliers cumulative micro-purchases (payments) during the previous 12 months exceeded either \$10,000 or the Subgrantees micro-purchase limit defined in the Subgrantee's Procurement Policy and Procedures manual? How does the process described by Subgrantee(s) align with the Subgrantees' Procurement Policy and the Grantee's information provided in **Question 14 of the Grantee programmatic monitoring checklist?**
- 13.** Subgrantee will be asked to describe how they maintain and track any inventory and how their process is consistent with the Grantee's description of the process. How does the Subgrantee's description correspond with the monitoring process described by the Grantee in **Questions 27 and 28 of the Grantee programmatic monitoring checklist?**
- 14.** Subgrantee will be asked to demonstrate how they comply with the state's Historic Preservation agreement. How does the Subgrantee track and report compliance to the Grantee for the annual historic preservation report? How does the Subgrantee's demonstration/description align with the Grantee's process described in **Questions 34 and 39 of the Grantee programmatic monitoring checklist?**
- 15.** Subgrantee will be asked to describe the process for reporting completed units to the Grantee – both the reporting of the production and the verification of those completions. How does the Subgrantee's description of their reporting process for production of completed units align with the description from the Grantee in **Question 39 of the Grantee programmatic monitoring checklist?**

- 16. NEW:** Have the Subgrantee demonstrate how they track their deferrals. Is the Subgrantee following the Grantee’s deferral policy as described in **Question 24 of the Grantee programmatic monitoring checklist**?
- 17. NEW:** Have the Subgrantee describe how they track their Weatherization Readiness Funds (WRF) funds, units, and expenditures and does the description align with the Grantee’s process included in **Question 17 of the Grantee programmatic monitoring checklist**?
- 18. NEW:** If WRF funds are utilized on BIL-funded projects, have the Subgrantee demonstrate how WRF expenditures are tracked and reported under the formula award while the unit completion is tracked and counted on the BIL award. Does the Subgrantee’s description align with the Grantee’s process in **Question 17 of the Grantee programmatic monitoring checklist**? *Review to ensure the completed units are not being double counted.*
- 19. NEW:** Subgrantee will be asked to describe the process and provide documentation to verify DBA compliance for multifamily projects. How does the Subgrantee’s DBA process/procedure align with information provided by the Grantee in **Question 42 of the Grantee programmatic monitoring checklist**?

SERC PROGRAMMATIC MONITORING CHECKLIST

As of May 2024

SECTION: FINANCIAL

1. Is the Grantee tracking SERC activities separate from annual formula and BIL activities? How is the Grantee ensuring that the Subgrantee is also separating these activities?¹
2. How is the Grantee ensuring Subgrantees are following proper procurement protocols for SERC materials and contractors? How are they considering preference to minority owned businesses?²
3. How is the Grantee ensuring that SERC activities and purchases are tracked separately when the Subgrantee is using multiple funding sources on a job?³
 - a. Are SERC costs clearly identified on invoices?⁴
4. How are SERC funds incorporated into tracking the capped cost categories (e.g., administration and health and safety)?⁵
5. How does the Grantee ensure that SERC measures already included in the DOE approved energy audit package meet the SIR and are paid for with the correct funding source?⁶

SECTION: POLICY ADVISORY COMMITTEE (PAC)

6. Did the PAC have an opportunity to provide input on the SERC Grantee Plan?⁷

SECTION: ELIGIBILITY

7. If a Subgrantee installs measures on a previously weatherized home, is it in compliance with the Grantee Plan?
8. Is all SERC work completed on an eligible home that is receiving, will receive, or has received weatherization?

¹ [10 CFR 440.12\(b\)\(3\)](#)

² [2 CFR 200.317 – 2 CFR 200.327](#)

³ [2 CFR 200.302](#)

⁴ [10 CFR 440.18](#)

⁵ [10 CFR 440.18\(e\)](#)

⁶ [10 CFR 440.21\(e\)](#)

⁷ [10 CFR 440.17\(a\)](#)

SERC PROGRAMMATIC GRANTEE MONITORING OF SUBGRANTEES REVIEW CHECKLIST

As of May 2024

- 1.** Subgrantee will be asked to demonstrate/describe the process leading to the development of an invoice to the Grantee. How is SERC included in this invoice process?
- 2.** Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials and services (audits, inspections, etc.). How does the Subgrantee's demonstration/description of their process include SERC funds?
- 3.** Subgrantee will be asked to demonstrate the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities? How does the Subgrantee's demonstration/ description of their process include SERC funds?
- 4.** How does the Subgrantee's explanation of how they follow the approved Grantee Plan in terms of eligibility and priority include SERC? How does the Subgrantee determine which units should include SERC technologies or which already weatherized units should receive a SERC technology?
- 5.** How are SERC technology installations included in file documentation? Is it consistent with Grantee requirements?
- 6.** Subgrantee will be asked to describe how they maintain and track any inventory and how their process is consistent with the Grantee's description of the process. How are SERC materials kept separate from other inventory tracking?