

# WEATHERIZATION ASSISTANCE PROGRAM (WAP) TECHNICAL 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 TECHNICAL MONITORING ACTIVITIES

### Grantee Materials and Supporting Documentation:

- Grantee Procedural Manual for Program Implementation (i.e., Policies & Procedures manual (P&P))
- Energy Auditor/Quality Control Inspector (QCI) policies (if not included in the P&P manual)
- Field Guide for each approved housing type
- Last Subgrantee Monitoring Reports (*minimally from the selected Subgrantee(s) included in the upcoming monitoring activity*)
- Grantee monitoring tool, forms, tracking documentation, and schedule
- Energy Audit Data Collection and Final Inspection Forms
- Technical Subgrantee Notice samples
- Training and Technical Assistance (T&TA) Needs Assessment and T&TA tracking/training scheduling information
- Certification tracking mechanisms
- Last three (3) years of Grantee training records
- Grantee technical monitor certification records/certificates

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

- Copies of files of homes to be reviewed and/or visited containing minimally:
  - The address of the residence
  - The auditors original audit notes and data collection forms including all diagnostic testing results (CAZ, Draft, CO, duct testing, blower door testing, zonals, etc.)
  - The audit software input report, or database file
  - The final work order(s), including any change orders
  - Completed QCI documentation, including all diagnostic testing data
  - All photos from pre audit and final inspection
  - Invoicing records for all measures, including the final invoice paid by the Grantee
  - All ASHRAE calculations (pre, post, QCI)
  - Lead Safety (EPA Lead Renovation, Repair and Painting Program (RRP)) documentation (certifications, setup photos, notifications, etc.)
  - Mold/Moisture assessment
  - Other hazard notifications, as applicable
  - State Historic Preservation Office (SHPO) documentation (as applicable)

- Owner/rental documentation - Proof of ownership OR signed rental agreement
- Any Grantee monitoring documents related to the job selected
- Costs and Fixed Price Lists [Materials, Services (Audits, Inspections, etc.)]

# GRANTEE TECHNICAL MONITORING CHECKLIST

As of May 2024

## SECTION: GRANTEE REVIEW

1. What is the Grantee's process when a Subgrantee QCI is not following written inspection guidelines and regulations?
2. What is the Grantee's process when a Grantee monitor is not following written guidelines and regulations?
3. What is the Grantee's process when a contractor performs below set expectations?
4. **NEW:** How does the Grantee ensure Subgrantees have all relevant technical program materials needed to effectively carry out the Weatherization Assistance Program (i.e., field guides, manuals, checklists, WPN)?

## SECTION: ENERGY AUDITS

5. When does the Grantee energy audit tool and/or priority list approval expire? Describe the process and timeline for reviewing and updating the energy audit tool approval ahead of its expiration for the following structures: Single Family, Manufactured Homes, Multifamily and atypical units.
6. **NEW:** How does the Grantee verify the Subgrantees' use of the energy audit tool/priority list is appropriate and consistently applied? *Request the Grantee monitor demonstrate.*
7. Describe the Grantee's validation process ensuring Subgrantees annually maintain energy audits. *Request the Grantee monitor demonstrate the validation process.*

## SECTION: FIELD WORK

8. How does the Grantee communicate to Subgrantees what is expected to be in each DOE client file and accessible to monitors on field visits?
9. **NEW:** How does Grantee communicate technical policy updates (e.g., Health & Safety, installation guidelines, energy audit procedure changes, library software updates, etc.) to Subgrantees?
10. How does the Grantee ensure DOE units are inspected by a QCI with an active certification prior to the Subgrantee reporting them as completed units?
11. Is there a "final inspection form" that documents the unit has been inspected by a QCI with an active certification, who reviews the data entry and use of the approved energy audit/priority list, verifies

each completed measure aligns to the objectives of the approved field guide, documents any callbacks and their resolution, and contains the certified QCI inspector name, signature, and date the inspection was completed? *Request the form if not attached to the most recent SF-424.*

**12.** How does the Grantee ensure the installation of measures comply with its Field Guide? *Request a copy of the field guide if not attached to the most recent SF-424.*

**13.** What is the Grantee's process and timeline for updating the Field Guide ahead of its expiration date to ensure adherence to the Standard Work Specifications (SWS)? *Request an example of this process.*

## **SECTION: HEALTH AND SAFETY**

**14.** Describe how the Grantee tracks, monitors, and documents their Subgrantees' implementation of its approved Health and Safety Plan requirements. *Provide examples (e.g., trainings, field guides, documenting safe work practices, etc.). Request an example of this process.*

**15.** How does the Grantee verify workers receive required Health and Safety training, (e.g., OSHA, EPA Certified Renovator, etc.)? *Request an example of this process.*

## **SECTION: GRANTEE MONITORING**

**16.** Describe the Grantee's process of documenting Subgrantee work quality. Include patterns identified at single, or multiple Subgrantees. *Request example of this process.*

- incomplete work
- questioned costs
- client complaints
- major work issues
- minor work issues
- missed opportunities
- measure skipping

**17.** Describe the Grantee's process for managing and tracking the resolution of work quality concerns (see Question above) identified via monitoring. *Request an example of these processes being utilized.*

**18.** Does the Grantee's technical monitoring tool assess Subgrantee compliance with:

- SWS aligned Field Guide
- Energy Audit procedures
- Final Inspection procedures

*Request a copy of the monitoring tool(s) if not attached to the most recent SF-424.*

19. Describe how Grantee tracks their technical monitoring per approved monitoring plan. *Request example of this process.*
20. What process (including sanctions) does the Grantee use to address technical deficiencies identified during Subgrantee monitoring and is it consistent with its approved monitoring plan?
21. How does the Grantee ensure Subgrantee personnel (e.g., Auditor, Quality Control Inspectors) are qualified to perform audits, inspections and meet program requirements (e.g., certification or number of required training hours)? *Request example of this process.*

## **SECTION: TRAINING AND TECHNICAL ASSISTANCE**

22. What methodology does the Grantee use to assess T&TA needs of its Subgrantees? *Request an example of training needs assessment required by WPN 22-4 and the follow-up in acquiring/offering training and technical assistance (T&TA) in response to the results of that assessment.*
23. **NEW:** Are all technical job positions receiving comprehensive training on a regular basis?
24. How does Grantee track training completions and any certifications or certification renewals receive by Subgrantee or contractor staff? *Request a copy of their training tracker.*
25. Is the Grantee on track with its implementation of their approved T&TA Plan? Does the plan require updating? Confirm the technical T&TA activities (for Grantee and Subgrantee staff) described in the Grantee Plan have, or are scheduled to, occur. *Compare progress to the DOE-approved T&TA Plan.*
26. **NEW:** Based on Project Officer's field observations, are there any areas where the Grantee monitors and field staff need to improve their monitoring capabilities?

## **SECTION: FEEDBACK AND REPORTING**

27. **NEW:** How often does Grantee communicate specific feedback to its Subgrantees on technical topics (e.g., monitoring observations, audit concerns, installation issues, etc.)? Describe the different methods by function (e.g., technical, annual conferences, monthly conference calls, etc.).

# GRANTEE TECHNICAL MONITORING OF SUBGRANTEES REVIEW CHECKLIST

*As of May 2024*

1. Subgrantee should have the following materials readily on-hand. Does the Subgrantee's materials align with information provided by Grantee in **Question 4 of the Grantee technical checklist**?
  - Approved Grantee energy audit policies and procedures
  - Approved Grantee Field Guide
  - Approved Policies and Procedures Manual
  - Approved Health & Safety Plan
  - Approved T&TA Plan
2. Subgrantee will be asked to produce the energy audit tool and/or priority list and demonstrate/describe how it updates and maintains applicable audit inputs (i.e., fuel, labor, and material costs, etc.), especially regarding unique buildings. How does their process align with the Grantee's description in **Question 5 of the Grantee technical monitoring checklist**?
3. In reviewing completed or in progress jobs, how does the Subgrantee audit/priority list practice align with the Grantee's answers within **Question 6 of the Grantee technical monitoring checklist**?
4. In reviewing completed or in progress jobs, does the work performed on measures follow the state protocols, standards and/or current approved field guide in **Question 16 of the Grantee technical monitoring checklist**?
5. Have the Subgrantee review client files. Based on the documentation reviewed, are there issues or inconsistencies between the Subgrantee's client file implementation and the Grantee's client file documentation requirements in **Question 8 of the Grantee technical monitoring checklist**?
6. Ask the Subgrantee to demonstrate their rework practice, policies, and procedures. Do the Grantee and Subgrantee's practices, policies, and procedures align per **Question 11 of the Grantee technical monitoring checklist**?
  - a. Is there a tiered response for repetitive callbacks?
7. Ask the Subgrantee to describe how the organization implements Health & Safety training, including OSHA, EPA Certified Renovator, etc. as outlined in the Grantee approved Health & Safety Plan. How is the implementation described/evidenced by the Subgrantee consistent with the process and procedures described by the Grantee in **Question 14 of the Grantee technical monitoring checklist**?
8. Ask the Subgrantee to describe how they determine if crews/contractors can perform the job expectations before hiring or within a certain period after employment. How does the Subgrantee's description of their hiring process align with the Grantee's as described in **Question 26 of the**

## **Grantee technical monitoring checklist?**

- 9.** Ask the Subgrantee to describe their course correction/training process of crews/contractors. Does the course correction/training process align with the Grantee's methods to determine T&TA needs described in **Question 22 of the Grantee technical monitoring checklist**? *Request example of the policies in use.*
- 10.** Based on field observations, are there any training issues identified for the Grantee to address with the Subgrantee? If additional training is recommended, does the training recommendation align with the Grantee's response in **Question 22 of the Grantee technical monitoring checklist**?
- 11.** Based on field observations, are there any specific technical issues the Grantee needs to address with the Subgrantee regarding program implementation that does not fit in any other Subgrantee question?

# **SERC TECHNICAL GRANTEE TECHNICAL MONITORING CHECKLIST**

*As of May 2024*

## **SECTION: FIELD WORK**

1. How does the Grantee ensure SERC technologies are not reported until they are inspected by appropriate, certified workers?
2. How are SERC technologies incorporated into monitoring?
3. How is the Grantee assured that the SERC technology has been inspected and installed correctly?
4. How does the Grantee ensure Subgrantees are following regular inventory protocols by separating SERC materials and inventory from other funding?
5. How does the Grantee address issues with SERC measures during monitoring and is it consistent with the Grantee Plan?
6. Have the Grantee describe how it verifies that SERC 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".*
7. How does the Grantee verify that the Subgrantee is correctly reporting work completed in disadvantaged neighborhoods and contracts with Minority Owned Businesses.

## **SERC GRANTEE MONITORING OF SUBGRANTEES REVIEW CHECKLIST**

1. Subgrantee will be asked to produce the most recent DOE-approved energy audit tool and/or priority list and demonstrate/describe how it updates and maintains the audit inputs (if applicable), especially when dealing with atypical housing stock (updating fuel, labor, and material costs, etc.). How does the Subgrantee's description of their energy audit tool/priority list include determinations on when to install SERC technologies?
2. How are SERC technology installations included in file documentation? Is it consistent with Grantee requirements?
3. Subgrantee will be asked to describe the processes and procedures in place if a final inspector observes work that requires a callback. How are SERC technologies incorporated into this process?
4. In reviewing completed or in progress jobs, does the work performed on all the measures follow the state protocols (standards and/or field guide linked to the SWS) or other industry standards for



SERC technologies?

5. Based on field observations, were there any "patterns" identified that should be addressed by the Grantee with the Subgrantee based on the site visits?
6. How does the Subgrantee determine that staff or contractors are qualified to install SERC technologies?