WEATHERIZATION ASSISTANCE PROGRAM

ON-SITE MONITORING: PROGRAMMATIC & MANAGEMENT CHECKLIST

Key:

This icon designates those questions that apply to the SERC program.

PRE-MONITORING PROGRAM MATERIALS CHECKLIST

During the on-site monitoring visit, the DOE Project Officer may request to review one or more of the following program materials or requirements while at the Grantee's or Subgrantee's office.

GRANTEE PROGRAM MATERIALS TO HAVE AVAILABLE:
☐ Grantee and Subgrantee most recently amended agreement
☐ Completed Monitoring Reports (that were sent to the Subgrantees)
☐ Monitoring Tool or Instrument
☐ Procedural Manuals for Program Implementation (with technical reports)
Most recent Grantee support contract/training entities or other contracted activities ☐ (Also will need procurement documentation related to the agreements)
☐ Inventory Tracking and Records

SUBGRANTEE PROGRAM MATERIALS TO HAVE AVAILABLE:
☐ Grantee State Plan (most recent version)
☐ Amended Award with the Grantee (most recent version)
☐ Grantee's Weatherization Policies and Procedures Manual
☐ Copies of files of the homes to be visited
☐ Inventory Tracking Materials (if applicable)
☐ Contracts with subcontractors
☐ Procurement documents to verify competition
☐ Most recent documentation of grantee monitoring visit

☐ Costs and Fixed Price Lists
    - Materials
    - Services (Audits, Inspections, etc.)

II.   PROGRAMMATIC AND MANAGEMENT CHECKLIST

SECTION 1: GRANTEE REVIEW

1.   **How is the Grantee staffing consistent with the staff plan identified in State Plan? For example, are the Grantee's key personnel performing the duties originally proposed within the State Plan or grant application? Identify any changes and updates to Grantee staffing.**

Source Documentation:
10 CFR 440.12(b)(3): State Application, budget

Material Review:
GO-PF20a, Personnel Section
Grantee Staffing Plan/Staffing Chart with Roles/Responsibilities

2.   **How is the Grantee tracking and verifying employees are charging their time properly and appropriately (e.g. splitting time between ARRA and Regular DOE funding)?**

Source Documentation:
10 CFR 440.12(b)(3): State Application, budget

Material Review:
Timesheets (specifically a timesheet charging two projects or programs)

3.   **Has the Grantee's organizational structure changed since the State Plan was submitted or amended?**

Source Documentation:
10 CFR 440.12(b)(1): State Application, responsible agency

Material Review:
Application Package, SF424

4. **How does the Grantee's Subgrantees and subcontractors align with what was approved in the State Plan? (e.g. incorporating subcontractors and any new organizations, training centers, etc.). Is the Grantee planning to submit an amendment to their State Plan to incorporate any new subcontractors/Subgrantees?**

Source Documentation:
10 CFR 440.14(b)(1)
10 CFR 440.12(b)(7)

Material Review:
Application Package, II.2.2, II.3, II.6

5. **What system does the Grantee have in place to ensure their Subgrantees have access to all relevant materials needed to effectively carry out the Weatherization Assistance Program activities?**

Source Documentation:
10 CFR 440.14: State Plans
CFR 440.24: Recordkeeping
10 CFR 440.23(c): Oversight, Training and Technical Assistance

Material Review:
Grantee Award
State Plan
Most recent Grantee fiscal and programmatic monitoring report from the Grantee
Copy of the Grantee policy and procedures manual

6. **Has the Grantee executed their Subgrantee awards consistently?**

Ⓢ **Or what issues have developed to cause significant delays for awards to be executed?**

Source Documentation:
Dates on Subgrantee Contracts

SECTION 2: WAGE DETERMINATIONS AND PAYROLL

7. **How has the Grantee documented and filed any awarded or amended Subgrantee Agreements that include the most recent wage determinations? Has the Grantee gone through the Conformance process? If yes, have the Subgrantee agreements been updated to reflect the conformance decision?**

Source Documentation:
Section 1606 of ARRA
Terms and conditions of the ARRA Award
WPN 09-9: Guidance on Implementation of the Davis Bacon Act Prevailing Wage Requirements in ARRA
WPN 10-4: Davis Bacon Commercial Labor Rates in Large MF Buildings Impact on Savings-to-Investment Ratio
WPN 10-7:Revised Davis Bacon Wage Determinations for WAP
Davis Bacon Desk Guide
Davis Bacon Conformance SF-1444

Material Review:
Grantee to Subgrantee Fully Executed Agreements with any amendments.
NOTE: Be sure to document the date when the agreement was amended to ensure the appropriate wage decisions are incorporated

8. **Does the Grantee have in its records a copy of each Subgrantees' Form 1413 AND copies of Form 1413 for each Subgrantee's contractors?**

Source Documentation:
WPN 09-9: Guidance on Implementation of the Davis Bacon Act Prevailing Wage Requirements in ARRA
WPN 10-4: Davis Bacon Commercial Labor Rates in Large MF Buildings Impact on Savings-to-Investment Ratio
WPN 10-7:Revised Davis Bacon Wage Determinations for WAP
WPN 11-1.5.20: Davis-Bacon Act
Davis Bacon Desk Guide

Material Review:
Review actual Subgrantee and contractor(s) files to determine if 1413 forms are present.

9. **What system does the Grantee use to collect and review weekly Certified Payroll records from their Subgrantees? Does the Grantee complete the review within the required timeframe?**

Source Documentation:
WPN 09-9: Guidance on Implementation of the Davis Bacon Act Prevailing Wage Requirements in ARRA
WPN 10-4: Davis Bacon Commercial Labor Rates in Large MF Buildings Impact on Savings-to-Investment Ratio
WPN 10-7:Revised Davis Bacon Wage Determinations for WAP
WPN 11-1.5.20: Davis-Bacon Act
Davis Bacon Desk Guide

Material Review:
Grantee Davis Bacon Compliance Policies
Sample of certified payroll records at the Grantee, verify that there is an approval or recorded review process. Be sure these are the original payrolls.

Recommendation: Go out with the contractor to see established certified payroll process.

10. **How has the Grantee monitored the payrolls to ensure compliance with Davis-Bacon requirements (employee interviews, verification of employees, etc.). In addition, has the Grantee submitted or met the requirements for their semi-annual Davis-Bacon reporting?**

Source Documentation:
WPN 09-9: Guidance on Implementation of the Davis Bacon Act Prevailing Wage Requirements in ARRA
WPN 10-4: Davis Bacon Commercial Labor Rates in Large MF Buildings Impact on Savings-to-Investment Ratio
WPN 10-7:Revised Davis Bacon Wage Determinations for WAP
WPN 11-1.5.20: Davis-Bacon Act
Davis Bacon Desk Guide
Copy of the Semi-Annual Report

Material Review:
Grantee monitoring documentation on Davis Bacon to verify employee interviews, etc. are being performed.
Review contractor deliverables.
Grantee policy on frequency of employee interviews.

SECTION 3: FINANCIAL/ADMINISTRATIVE

11. What are the Grantee's policies with regard to its Subgrantees paying contractors, procurement of contractors, establishing fixed price costs (for either materials or services), etc.?

Source Documentation:
10 CFR 600.221(d): Payment (Reimbursement)
10 CFR Part 440.16(g): Minimum Program Requirements

Material Review:
Review invoice policy and procedures
Review a sample of Subgrantee Submitted invoices for completeness and accuracy

12. If leveraged funds are identified within the approved State Plan, how is the Grantee properly accounting and reporting the leveraged funds?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.18: Allowable expenditures
10 CFR 440.24: Recordkeeping
WPN 11-1.7: Leveraging and Leveraged Resources
WPN 10-17: Buydown/Leverage Funds

Material Review:
Approved and/or Amended State Plan
Accounting System
Monthly and/or Quarterly Reports

13. What type of system (database, spreadsheet, etc.) is used by the Grantee's Subgrantee to account for multiple funding sources for Weatherization and/or SERC activities?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.18: Allowable Expenditures
10 CFR 440.24: Recordkeeping
10 CFR 600.220: Standards for financial mgmt systems
10 CFR 600.221: Payment
WPN 11-1.1.6: Program Income
WPN 10-17: Buydown/Leverage Funds

Material Review:
Accounting System Review
Generate Budget and/or Funding Spreadsheets (to demonstrate the multiple funding sources)

14. How does the Grantee track capped categories (e.g. administration, T&TA, Health & Safety, etc.)? What is the Grantee's frequency for review?

Source Documentation:
10 CFR 440.12(b)(4): State Application, proposed units
10 CFR 440.14(c)(6)(vii): State Plan, expected average
WPN 11-1.6.0: Reporting Requirements

Material Review:
Application Package, II.4 WAP Production Schedule
Submitted Reports

15. How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?

Source Documentation:
10 CFR 440.18(c)(10)
WPN 11-1.2.6: Liability Insurance

Material Review:
File Review: Contract flow down provisions
Monitoring instrument

16. How does the Grantee's monitoring tool address and record the Subgrantee's receipt of funds from more than one funding source for weatherization activities?

Source Documentation:
10 CFR 440.23(d): Oversight, T&TA, financial audits
10 CFR 600.220 and 600.121
WPN 11-1.4.0: Grantee Monitoring

Material Review:
Grantee policy on tracking multiple sources of funds for weatherization services.
Grantee monitoring tool.
Grantee monitoring files including reports and work papers from the monitoring trip.
Application package, II.6
Application package, III.5.3

17. **Describe the Grantee's process for paying Subgrantees and subcontractors (if applicable for Grantee support services).**

Source Documentation:
10 CFR 600.221(d): Payment (Reimbursement)
10 CFR Part 440.16(g): Minimum Program Requirements

Material Review:
Review invoice policy and procedures
Review a sample of final payment vouchers for completeness and accuracy

18. **Describe the Grantee's process for validating Subgrantee invoices for allowable costs and ensuring Regular DOE and/or SERC units are completed prior to drawing down funds.**

Source Documentation:
10 CFR Part 440.21(c): Weatherization Materials Standards and Energy Audit Procedures
10 CFR Part 440.19: Labor

Material Review:
Examine costs on invoices submitted

19. **Does the Grantee provide advances to their Subgrantees? If yes, how does the Grantee reconcile the advances?**

Source Documentation:
10 CFR 600.221(c)

Material Review:
Grantee Policy and Procedures Manual
Documentation on Advance reconciliation

SECTION 4: EQUIPMENT/INVENTORY/MATERIALS

20. How is the Grantee verifying the Grantee's vehicles, equipment, and tools are being used in an appropriate and adequate manner to ensure cost-effective delivery of services?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.18: Allowable expenditures
10 CFR 440.23(d): Oversight, T&TA
10 CFR 440.24: Recordkeeping
10 CFR 600.232: Equipment
WPN 11-1.5.17: Vehicle Purchases
WPN 09-1B, 4.0: Grantee Program Oversight
WPN 10-9: Monitoring (Clarifying 09-1B, 4.0)

Material Review:
Physical Inventory Review
Inventory List/System
Procurement procedures/requests
Monitoring tool

21. How is the Grantee verifying the Subgrantee's vehicles, equipment, and tools are being used in an appropriate and adequate manner to ensure cost-effective delivery of services?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.18: Allowable expenditures
10 CFR 440.23(d): Oversight, T&TA
10 CFR 440.24: Recordkeeping
10 CFR 600.232: Equipment
WPN 11-1.5.17: Vehicle Purchases
WPN 09-1B, 4.0: Grantee Program Oversight
WPN 10-9: Monitoring (Clarifying 09-1B, 4.0)

Material Review:
Physical Inventory Review
Inventory List/System
Procurement procedures/requests
Monitoring tool

22. How does the Grantee monitor inventory and warehouses of its Regular DOE and/or SERC 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**
    j. **Ultimate Disposition**

If there is no inventory system, have the Grantee describe/demonstrate the procurement requirements/policies for Subgrantees.

Source Documentation:
WPN 11-1.4.0: Grantee Monitoring
10 CFR 600 reference

Material Review:
Monitoring tool
Inventory reports and schedule for reviews

SECTION 5: ELIGIBILITY

23. Describe the Grantee's tracking process to ensure homes are accurately identified as eligible for re-weatherization by their Subgrantees (confirming the new date, etc.)?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.15: Subgrantees
10 CFR 440.16: Min. Program Requirements
10 CFR 440.22: Eligible dwelling units
10 CFR 440.24: Recordkeeping
Master File B.1.2
WPN 11-1.5.16: Reweatherization
WPN 08-5: Weatherization Disaster Planning Relief
WPN 99-7: WAP Eligibility Criteria

Material Review:
State Plan
Monitoring Plan
Monitoring Reports
Client File Review/Eligibility paperwork
Previous weatherization work order/invoices
Database capabilities (tracking historical data)

24. Explain how the Grantee assures Subgrantees comply with income eligibility requirements. Identify what procedures the Subgrantees must follow.

Source Documentation:
10 CFR 440.16: Minimum Program Requirements
10 CFR 440.22: Eligible Dwelling Units
Application Package, III.1
WPN 10-15: Eligibility of Multi-Family
WPN 10-15a: Accrual of Benefits
WPN 10-18: Income Guidelines
WPN 11-1. 5.2: Multi-family Eligibility
WPN 11-1.5.8: Eligibility Levels

Material Review:
Policies on income documentation and eligibility.
Completed monitoring files to determine if eligibility is part of Grantee oversight.

25. **How does the Grantee ensure compliance with the priority criteria for serving eligible applicants (identified in the approved State Plan)? Specific examples include:**

    a. **High Energy Users**
    b. **High Energy Burden**
    c. **Elderly**
    d. **Disabled**
    e. **Households with Children**
    f. **Other State-Identified Priorities**

Source Documentation:
10 CFR 440.16: Minimum Program Requirements
10 CFR 440.22: Eligible Dwelling Units
Application Package, III.1
WPN 11-1.5.2: Multi-family Eligibility
WPN 10-15: Eligibility of Multi-Family
WPN 10-15a: Accrual of Benefits
WPN 10-18: Income Guidelines
WPN 11-1.5.10: Determining Priority Service

Material Review:
Grantee plan for priority criteria.
Grantee policy on eligibility priority rating. Be sure rating system matches plan and regulations.

26. **Does the Grantee have any Subgrantees performing weatherization services for ineligible recipients (e.g., for-profit subsidiary, utility-based programs, HUD)?**

    If yes, how does the Grantee ensure weatherization equipment and material is properly accounted for.

Source Documentation:
10 CFR 440.24: Recordkeeping
10 CFR 600.220: Standards for financial mgmt systems
10 CFR 600.225: Program Income

Material Review:
Budget/Accounting Systems
Inventory Lists

SECTION 6: RENTAL

27. How does the Grantee confirm the process outlined for rental units is being followed, as specified in the State Plan?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.22(b): Eligible dwelling units
10 CFR 440.22(b)(3): Rental Unit Procedures
WPN 11-1.5.4: Rental Requirements

Material Review:
State Plan Review
Rental Unit Procedure Review
Standard Rental Agreement Forms

28. How does the Grantee ensure that undue enhancement of rental properties is not taking place?

Source Documentation:
10 CFR 440.16: Program requirements
10 CFR 440.22(3)(iv): Eligible dwelling units
WPN 10-15: Multi-family buildings
WPN 10-15A: Accrual of benefits in multi-family buildings

Material Review:
State Plan Review
Rental Unit Procedure Review
Grantee Policies and Procedures
Grantee monitoring process

29. Is there a standard rental agreement template (with a Landlord signature area) in place at the Grantee for use statewide? If not, are there individual local Subgrantee agreements in place?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.22: Eligible dwelling units
WPN 11-1.5.4: Rental Requirements

Material Review:
Rental Agreement Review (statewide or individual Subgrantees)

SECTION 7: POLICY ADVISORY COUNCIL (PAC)

30. Has the composition of the Grantee's PAC (as identified in the regulations) changed since approval of the State Plan? If the PAC has changed, provide details on why the change happened.

Source Documentation:
10 CFR 440.17: Policy Advisory Council
WPN 11-1.5.18: Policy Advisory Council

Material Review:
Most recent amendment of the approved state plan with the list of PAC members.
Application Package, II.8: Policy Advisory Council

31. Describe the established procedure for the PAC to review and provide input on the State Plan?

Source Documentation:
10 CFR 440.17: Policy Advisory Council
WPN 11-1.5.18: Policy Advisory Council

Material Review:
Review agenda and notes/minutes take from the two most recent PAC meetings, especially the notes from the meeting prior to submission of the State Plan
Application Package, II.8: Policy Advisory Council

32. Within the past year, what major policy decisions has the PAC been involved in?

Source Documentation:
10 CFR 440.17: Policy Advisory Council
WPN 11-1.5.18: Policy Advisory Council

Material Review:
Review agenda and notes/minutes take from the two most recent PAC meetings
Application Package, II.8: Policy Advisory Council

SECTION 8: FEEDBACK AND REPORTING

33. How often does the Grantee hold regular meetings with its Subgrantees?

Source Documentation:
Application Package, II.7, T&TA Plan

Material Review:
Meeting Schedule/Calendar
Meeting Notes

34. What Grantee information or database systems are used to collect and report Subgrantee production and expenditures data? What process or guidance does the Grantee use to verify completed units?

Does the Grantee also use the identified system as a management tool?

Source Documentation:
10 CFR 440.12: State Application
10 CFR 440.14: State Plan
10 CFR 440.16: Program requirements
10 CFR 440.24: Recordkeeping
WPN 11-1.6.2: Reporting DOE completed units
WPN 10-13: ARRA Reporting Requirements

Material Review:
Information or Database System
(Generate report example or review existing report)

35. What systems does the Grantee have in place to assure it reports to DOE on time? Is the Grantee reporting on time? If the Grantee is not, specify what the problems are.

Source Documentation:
10 CFR 440.16: Program requirements
10 CFR 440.24: Recordkeeping
WPN 11-1.6.2: Reporting Requirements
WPN 10-13: ARRA Reporting Requirements

Material Review:
Database System Review
(Generate report example or review existing report)

SECTION 9: ENERGY AUDITS

36. How does the Grantee verify the DOE approved energy audit or priority list (on file at DOE) is consistent with what the Grantee monitors the Subgrantee against:
  a. **Single Family Units?**
  b. **Mobile Homes?**
  c. **Multi-Family Units?**
  d. **A-Typical Units?**

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.21: Energy Audits
10 CFR 440.23: Oversight, Training & Technical Assistance
10 CFR 440.24: Recordkeeping
WPN 11-1.5.5: Energy Audit Criteria
WPN 01-4: Energy Audit Procedures
WPN 05-5: DOE Approved Audit Tools
WPN 09-4: Upgraded version of NEAT software
WPN 09-8: Upgraded version of NEAT software

Material Review:
DOE files – determine approved tools, housing stock, priority lists, etc.
Sample Audit Report (from client files)
Priority List Approval Information
Procedures for determining whether a priority list or site-specific audit is performed

37. Is the Grantee's audit protocol and/or Priority List within the 5-year window of submission?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.21: Energy Audits
10 CFR 440.23: Oversight, Training & Technical Assistance
10 CFR 440.24: Recordkeeping
WPN 01-4: Energy Audit Procedures
WPN 05-5; DOE Approved Audit Tools
WPN 11-5.5: Energy Audit Criteria

Material Review:
State Plan Review
DOE Approval Letter and Information
DOE approved priority list

38. How is the Grantee assuring its Subgrantees are using the most recent approved State Plan, policies and procedures for all types of housing stock (e.g. single family, mobile, and multifamily, and a-typical)?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.21(f)(7): Energy Audits
10 CFR 440.22 (b): Eligible dwelling units
10 CFR 440.23: Oversight, Training & Technical Assistance
10 CFR 440.24: Recordkeeping
WPN 01-4: Revised Weatherization Program Energy Audit Approval Procedures
WPN 05-5: DOE-Approved Audit for WAP
WPN 11-1.5: Policy, Program Guidance, & Regulatory
WPN 11-1.5.10: Determining Priority Service

Material Review:
State Plan Review
Communications (emails, letters) on identified topics
Energy Audit/Priority List Review
Installation Standards
Field Guide

39. How does the Grantee monitor its Subgrantees' maintenance of the audit inputs, especially when dealing with a-typical housing stock? (e.g. updating fuel, labor, material costs, etc.)

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.19: Labor
10 CFR 440.21 (c), (d), (e): Energy Audits
10 CFR 440.23: Oversight, Training & Technical Assistance
10 CFR 440.24: Recordkeeping
WPN 01-4: Revised Weatherization Program Energy Audit Approval Procedures
WPN 05-5: DOE-Approved Energy Audits for WAP
WPN 11-1.5.5: Energy Audit Criteria

Material Review:
Audit Input Update Notifications
Monitoring Tool/Checklist

40. How does the Grantee ensure its Regular DOE and and/or SERC Subgrantee "workers" (auditor, inspectors, crews, contractors, etc.) are performing work that meets program requirements (e.g. certification or number of required training hours) before hiring or within a certain period after employment?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.15(a)(2)(i): Subgrantee experience/qualifications
10 CFR 440.23(e): Oversight, Training & Technical Assistance
WPN 11-1.3.1: Basic T&TA

Material Review:
State Plan Review
T&TA Review
Review Energy Auditor Qualifications, recent training, certifications, etc.
Determine if the State Plan matches implementation

41. What does the Grantee require from Subgrantees to demonstrate energy auditors/inspectors maintain their qualifications?

Source Documentation:
10 CFR 440.14: State Plan
10 CFR 440.15(a)(2)(i): Subgrantee experience/qualifications
10 CFR 440.23(e): Oversight, Training & Technical Assistance
WPN 11-1.3.1: Basic T&TA

Material Review:
Training certifications
Training Agendas/support materials
Participation Lists

SECTION 10: FIELD WORK

42. **How does the Grantee communicate what is expected to be in each Regular DOE and/or SERC client file and/or accessible to monitors on field visits?**

Source Documentation:
10 CFR 440.16(g): Minimum Program Requirements
WPN 11-1, 6.2: DOE Completed Units

Material Review:
Unit Inspection Reports
Final Inspection Form

43. **How does the Grantee ensure that Regular DOE and/or SERC units are inspected prior to the Subgrantee reporting them as completed units?**

   What is the Grantee's policy on Subgrantees using the same staff for perform audits and inspections on the same weatherization unit?

Source Documentation:
10 CFR 440.16(g): Minimum Program Requirements
WPN 11-1.6.2: DOE Completed Units

Material Review:
Unit Inspection Reports
Final Inspection Form

44. **Is there a clear "final inspection form" that shows the Subgrantee's inspector name, signature, and date and verifies each Regular DOE and/or SERC completed measure and unit has been inspected?**

Source Documentation:
10 CFR 440.16(g): Minimum Program Requirements
10 CFR 440.23(e): Oversight, training, and technical assistance
WPN 11-1.5.24: Use of WAP Funds for Add-on/Call-Backs
WPN 11-1.6.2: DOE Completed Units
WPN 11-3: Call-Backs Guidance

Material Review:
State Plan Review
Final Inspection Forms
Final Inspection Reports

45. Describe the process and procedures the Grantee (and Subgrantees) have in place and are implemented if an inspector finds work that needs to be re-done or corrected?

Source Documentation:
10 CFR 440.16(g): Minimum Program Requirements
10 CFR 440.23(e): Oversight, training, and technical assistance
WPN 11-1.5.24: Call-Backs
WPN 11-1.6.2: DOE Completed Units
WPN 11-3: Call-Backs/Added-On Work Guidance

Material Review:
Inspection Reports

46. Describe the Grantee's process for handling the following concerns when found during a Regular DOE and/or SERC monitoring visit:

  a. **Incomplete Work**
  b. **Questioned Costs**
  c. **Client complaints**
  d. **Major Workmanship Issues**
  e. **Minor Workmanship Issues**

Describe how the Grantee is managing the call-back/add-on work/rework process with its Subgrantees.

Source Documentation:
10 CFR 440.16(g): Minimum Program Requirements
10 CFR 440.2 (e): Training and Technical Assistance
WPN 11-1.3: Training & Technical Assistance
WPN 11-1.6.2: DOE Completed Units
WPN 11-1.5.24: Use of WAP Funds for Add-on/Call Back Work
WPN 11-3: Add-On/Call Back Work Guidance

Material Review:
Training agendas and participations lists

47. Describe the Grantee's mechanism for identifying guidelines for techniques used for installation of materials and Health & Safety protocols through either a Grantee specific Field Guide, Regional Field Guide, Installation Guidelines, or other materials.

Source Documentation:
10 CFR 440.23: Oversight, T&TA
10 CFR 440.21: Weatherization materials and audit procedures
WPN 11-1.4.0: Grantee Monitoring
Appendix A

Material Review:
Obtain copy of most recent signed audit approval
Field Guide/Installation Standards
Application Package, II.6
Application Package, III.2
Application Package, III.5.3

48. Describe the Grantee's process for updating their own Field Guide, Regional Field Guide, Installation Guidelines, or other material.

Source Documentation:
10 CFR 440.23: Oversight, T&TA
10 CFR 440.21: Weatherization materials and audit procedures
WPN 11-1.4.0: Grantee Monitoring
Appendix A

Material Review:
Obtain copy of most recent signed audit approval
Field Guide/Installation Standards/Regional Field Guides
Application Package, II.6
Application Package, III.5.3

SECTION 11: HEALTH & SAFETY

49. Demonstrate how the Grantee tracks, monitors, and documents their Subgrantees' implementation of the Health and Safety requirements, including Lead Safe Weatherization (LSW), outlined in the State Plan and current guidance?

Source Documentation:
10 CFR 440.15(3)(iii): Subgrantees
10 CFR 440.23: T&TA
WPN 11-1.3.1: Basic T&TA
WPN 11-1.5.14: Lead Paint Hazard
WPN 11-6: Health & Safety Guidance
WPN 09-6: Lead Safe Weatherization

Material Review:
Training Plan review and certificate reviews
Client file review of LSW photo documentation
Application Package, III.3: Health and Safety Plan
Monitoring tools/instrument used by the Grantee

50. How is the Grantee ensuring that their Subgrantees (and Subgrantees' subcontractors) are following the up-to-date Health and Safety requirements? Examples?

Source Documentation:
10 CFR 440.16(h): Minimum Program Requirements
10 CFR 440.18:Allowable Expenditures
10 CFR 440.21: WX materials and audit procedures
10 CFR 440.15(3)(iii): Subgrantees
10 CFR 440.23: Oversight, T&TA
WPN 11-6: Health & Safety Guidance
WPN 09-6: Lead Safe Weatherization

Material Review:
Application Package, III.3: Health & Safety Plan
Onsite Unit reviews
Client File Review
Photographs of LSW

51. How does the Grantee verify workers have the required Health and Safety training, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc.?

Source Documentation:
10 CFR 440.15(3)(iii): Subgrantees
10 CFR 440.23: Oversight, T&TA
WPN 11-1.3.1: Basic T&TA
WPN 11-1.5.14: Lead Paint Hazard
WPN 11-6: Health & Safety Guidance
WPN 09-6: Lead Safe Weatherization

Material Review:
Certifications
Training Agendas/Participation Lists

SECTION 12: GRANTEE MONITORING

52. Describe how the Grantee document the quality of work and patterns detected within a single agency or across multiple agencies.

Source Documentation:
10 CFR 440.23: Oversight, T&TA
10 CFR 440.21: WX materials and audit procedures
WPN 11-1: WPN 11-1.4.0: Grantee Monitoring
Appendix A

Material Review:
Inspection Reports

53. Describe the Grantee's process for developing their monitoring tool. Does the Grantee use the monitoring tool to ensure a Subgrantee is in compliance with:

    a. Subgrantee contracts
    b. Grantee financial/operations manual
    c. Applicable Federal regulations
    d. Program Guidance documents

Source Documentation:
10 CFR 440.23(d):Oversight, T&TA
10 CFR 600.220: Standards for financial mgmt systems
10 CFR 600.221: Payment
10 CFR 600.225: Program Income

10 CFR 600.226: Non-federal audit
10 CFR 600.235: Debarred and suspended parties
10 CFR 600.236: Procurement
10 CFR 600.237: Subgrants
OMB Circular A 87: Cost Principles for Governments
OMB Circular A 122:Cost Principles for Non-profits
WPN 11-1. 4.0: Grantee Monitoring

Material Review:
Grantee monitoring tools or structured process. Be sure all aspects of the program are covered such as financial/operations manual, federal regulations, and program guidance.

54. Describe how the Grantee ensures the monitoring process defined in the State Plan is being implemented. This includes programmatic, financial and technical monitoring processes. Based on the Grantee's PAGE submissions, does the Grantee appear to be on schedule to meet their stated monitoring goal and milestones as represented in their State Plan?

Source Documentation:
10 CFR 440.12(b)(6): State Application, monitoring plan
10 CFR 440.23: Oversight, T&TA
10 CFR 440.16(g): Minimum Program Req, final inspection
WPN 11-1.4.0: Grantee Monitoring

Material Review:
Review Grantee Monitoring Reports
State Plan for monitoring schedule
Grantee monitoring completions at time of visit
Verify by sampling monitoring reports and documents
Verify by reviewing Grantee monitoring schedule

55. What process (including any sanctions) does the Grantee follow for addressing issues identified in their monitoring of their Subgrantees?

Source Documentation:
10 CFR 440.23(d): Oversight, T&TA
10 CFR 600.240: Monitoring and reporting performance
WPN 11-1.4.0: Grantee Monitoring

Material Review:
Grantee monitoring policy
Monitoring reports and corrective action items identified, ensure that there is a process in place tracking the status of corrective actions

56. Are there currently any Subgrantees that are considered at-risk, on probation, or pose potential problems for the Grantee? If yes, summarize the issues and Grantee's actions to resolve.

Source Documentation:
10 CFR 440.23: Oversight, T&TA
WPN 11-1.4.0: Grantee Monitoring

Material Review:
Recent monitoring reports for Subgrantee
Financial audit/materials and findings identified
Correction plans and documentation of concerns raised

57. Describe the Grantee's process for Historic Preservation compliance. Does the Grantee have a signed agreement with its SHPO office?*

Source Documentation:
Section 106 of 16 U.S.C. 470 the National Historic Preservation Act (NHPA)
WPN 11-1.5.22: Historic Preservation

Material Review:
SHPO Agreement
Policy Documents Grantee has transferred to Subgrantee with regard to SHPO

58. Describe the Grantee's process for ensuring that all contractors involved are not on the debarred list (excluding the party list system).

Source Documentation:
10 CFR 600.235 (for states and other governmental orgs)
10 CFR 600.113 (for non profit organizations)

Material Review:
Grantee Monitoring Tool
Policies/Procedures Manual
EPLS site review and contractor list

SECTION 13: TRAINING & TECHNICAL ASSISTANCE (T&TA)

59. What methods does the Grantee use to determine the T&TA needs of its Regular DOE and SERC Subgrantees?

How do you provide training on the items below?
   a. **Technical Training?**
   b. **Program Management Training?**
   c. **Procurement Training (Contracts, including subcontractors)?**
   d. **Inventory Control Training?**
   e. **Health and Safety?**
   f. **Davis-Bacon Compliance?**

Source Documentation:
10 CFR 440.12(7): State Application, Use of training funds
10 CFR 440.23(e): Oversight, T&TA
WPN 11.1.3.1: Basic T&TA
WPN 11.1.4: Program Monitoring

Material Review:
Inspection Reports
Failure Reports
Past Training Agendas
Staff Experience
Application Package, II.7: T&TA Plans

60. How does the Grantee track the training completed or any certifications received or renewed, by Subgrantee staff or contractor staff?

Source Documentation:
10 CFR 440.12(b)(7): State Application
10 CFR 440.15(3)(iii): Subgrantees
10 CFR 440.23(e): T&TA
10 CFR 440.24: Recordkeeping
WPN 11.1.3.1: Basic T&TA

Material Review:
Staff Certifications
Training Agendas and participant lists
Application Package, II.7: T&TA Plan

61. Are the Grantees' on track with implementation of their T&TA plan, or does the plan need to be changed? Confirm the Grantee's identified T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred)?

Specify what T&TA activities the Grantee has completed to date. What T&TA activities are scheduled for the next 3-6 months?

Source Documentation:
10 CFR 440.12(7): State Application
10 CFR 440.23: Oversight, T&TA
WPN 11-1.3.1: Basic T&TA

Material Review:
Application Package, II.7: T&TA Plan
Training Schedule
Training Agendas/Participation Lists

62. Are there any issues or barriers that hamper the Grantee's attendance at DOE national or regional training conferences and workshops? If yes, please list below.

Source Documentation:
10 CFR 440.23: Oversight, T&TA
WPN 11-1.3.1: Basic T&TA

Material Review:
Internal memos on travel restrictions
State Policy on travel

SECTION 14: SERC REGULATIONS (*Complete if Grantee has SERC Grant*)

63. Is the Grantee providing guidance to the Subgrantee on how to screen and identify potential units as good candidates for the SERC technology or technologies?

Source Documentation:
EISA 2007 H.R.-109 Section 411(b)

Material Review:
Annual File
Internal Program Notices

64. Has the Grantee ensured that Subgrantees have protocols in place for installation of proposed SERC technologies? Are protocols being followed by Subgrantees and how does the Grantee verify compliance?

Source Documentation:
SERC FAQ #8, Nov 1, 2010

Material Review:
Monitoring/Inspection Checklist

65. Are funds being solely used for the installation and proper functioning of the SERC technologies and program?

Source Documentation:
10 CFR 440.16: Program requirements
10 CFR 440.22(3)(iv): Eligible dwelling units
WPN 10-15: Final Rule Amending Eligibility Provisions to Multifamily Buildings
WPN 10-15A: Accrual of Benefits to Low Income Tenants in Multifamily Buildings

Material Review:
State Plan Review
Rental Unit Procedure Review

66. For all completed SERC units within the State, do the combined costs for Health and Safety and incidental repair exceed 10% of the statewide SERC cost per unit average?

Source Documentation:
SERC FAQ #16, Nov 1, 2010
WPN 10-19.3.d.8: Energy-Related Health and Safety Costs

Material Review:
PAGE QPR Review (submission verification)
Unit Reports
Invoices

67. For any individual completed unit, do a) combined costs for Health and Safety and incidental repairs exceed the cost of the installation of SERC technology, or b) total costs exceed $30,000?

Source Documentation:
DOE SERC Approval Letter to State 8-25-10
SERC FAQ #16, Nov 1, 2010

Material Review:
Unit Reports
Invoices

68. For all completed SERC units within the State, is the SERC cost per unit average $12,000 or less?

Source Documentation:
DOE SERC Approval Letter to State 8-25-10
SERC FAQ #16, #28, Nov 1, 2010
WPN 10-19.3.b: WAP Production Schedule

Material Review:
SERC PAGE Report
Unit Reports

69. Has the Grantee found any Subgrantees using SERC funds to install weatherization measures where the measures were not originally justified or completed?

Source Documentation:
WAP SERC Grants Formal Letter of Invitation 6-8-10
DOE SERC Approval Letter to State 8-25-10
SERC FAQ #18, Nov 1, 2010

Material Review:
Unit Reports

70. If the Grantee has expanded the scope of eligibility to include moderate income families, how does the Grantee define "moderate income"? How does the Grantee monitor compliance of the moderate-income units?

Source Documentation:
WAP SERC Grants Formal Letter of Invitation 6-8-10
WPN 10-19.3.d.5: Moderate-income eligibility
Grantee Annual File, SERC Miscellaneous Section, Part 5

Material Review:
Operations Manual
Program Notices
Monitoring Checklist

71. Does the Grantee have an implementation plan and/or schedule to monitor at least 5% of the completed SERC units in state or territory per year? Is the Grantee implementing the plan?

Source Documentation:
WAP SERC Grants Formal Letter of Invitation 6-8-10
Additional Source: Grantee Annual File, SERC Miscellaneous, Part 2.

Material Review:
Monitoring Implementation Plan
Monitoring Schedule

72. Describe how the Grantee demonstrates their capacity to effectively monitor and ensure that SERC projects have been completed correctly (either existing in-house knowledge or through additional training)? Or has the Grantee

hired expert staff (per the SERC technology) or are they seeking additional training?

Source Documentation:
Additional Source: Grantee Annual File, SERC Miscellaneous, Part 2.

Material Review:
Grantee Monitoring Reports
Grantee Monitoring Tools