



## WEATHERIZATION ASSISTANCE PROGRAM

### ON-SITE MONITORING: FIELD/SUBGRANTEE REVIEW CHECKLIST

December 2015

<b>Pre-Monitoring Program Materials Checklist</b>	<a href="#"><u>Page 2</u></a>
<b>Field/Subgrantee Review Checklist</b>	<a href="#"><u>Page 3</u></a>
SECTION 1: <a href="#"><u>Program Overview</u></a>	<a href="#"><u>Page 3</u></a>
SECTION 2: <a href="#"><u>Financial/Administration</u></a>	<a href="#"><u>Page 5</u></a>
SECTION 3: <a href="#"><u>Inventory</u></a>	<a href="#"><u>Page 7</u></a>
SECTION 4: <a href="#"><u>Energy Audits</u></a>	<a href="#"><u>Page 8</u></a>
SECTION 5: <a href="#"><u>Qualifications &amp; Training</u></a>	<a href="#"><u>Page 8</u></a>
SECTION 6: <a href="#"><u>Weatherization of Units</u></a>	<a href="#"><u>Page 10</u></a>
SECTION 7: <a href="#"><u>Health &amp; Safety</u></a>	<a href="#"><u>Page 11</u></a>
SECTION 8: <a href="#"><u>Quality Management Assurance</u></a>	<a href="#"><u>Page 11</u></a>

## 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.

### **SUBGRANTEE MATERIALS TO REVIEW AT GRANTEE OFFICE PRIOR TO VISIT:**

- Grantee/Subgrantee Contract and Amendments
- Grantee Policy and Procedures Manual
- Copies of Grantee Monitoring Reports
- Production and Expenditure Report for Subgrantee

### **SUBGRANTEE MATERIALS TO REVIEW AT SUBGRANTEE OFFICE:**

- Grantee State Plan (most recent version)
- Amended Award with the Grantee (most recent version)
- Subgrantee Organization Chart
- Grantee's Weatherization Policies and Procedures Manual
- 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.)
- Subgrantee's Inventory List of Vehicles and Equipment
- Copy of current Energy Audit or Priority List
- Copies of files of the homes to be visited

# FIELD/SUBGRANTEE REVIEW CHECKLIST

## SECTION 1: PROGRAM OVERVIEW

---

### 1. Subgrantee should have the following materials readily on-hand.

- **Most recent Grantee Award agreement.**
- **Most recently approved State Plan.**
- **Most recent Subgrantee fiscal and programmatic monitoring report from the Grantee.**
- **Most recent Grantee policy and procedures manual.**
- **Field Guide cross walked with SWS.**

**How does the Subgrantee's demonstration/description align with information provided by Grantee in Question 5 of the Programmatic and Management Checklist (P&M)?**

***Source Documentation:***

*10 CFR 440.14: State Plans*

*10 CFR 440.24: Recordkeeping*

*10 CFR 440.23 (c): Oversight, Training and Technical Assistance*

***Material Review:***

*Grantee Approved State Plan*

*Most recent Grantee fiscal and programmatic monitoring report from the Grantee*

*Copy of the Grantee policy and procedures manual*

- 2. 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 Question 52 of the P&M checklist?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.15: Subgrantees*

*10 CFR 440.16: Min. Program Req.*

*10 CFR 440.22: Eligible dwelling units*

*10 CFR 440.24: Recordkeeping*

*WPN 12-7: Weatherization Disaster Planning and Relief*

*WPN 10-12: Historic Preservation Implementation*

***Material Review:***

*Grantee Approved State Plan*

*Monitoring Plan/Monitoring Report*

*Client File Review*

*Eligibility paperwork*

*Previous weatherization work order/invoices*

- 3. Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for reweatherization. How does the process described by Subgrantee(s) for eligibility for reweatherization align with information provided by the Grantee in Question 16 of the P&M checklist?**

***Source Documentation:***

*10 CFR 440.14: State Plan*

*10 CFR 440.15: Subgrantees*

*10 CFR 440.16: Min. Program Req.*

*10 CFR 440.22: Eligible dwelling units*

*10 CFR 440.24: Recordkeeping*

*WPN 12-7: Weatherization Disaster Planning and Relief*

***Material Review:***

*Grantee Approved State Plan*

*Monitoring Plan/Monitoring Report*

*Client File Review*

*Eligibility paperwork*

*Previous weatherization work order/invoices*

- 4. Subgrantee will be asked to explain how it follows the most recent approved State Plan/policies and procedures and specifically how the Subgrantee prioritize 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 State Plan and the Grantee's descriptions in Question 18 of P&M checklist?**

***Source Documentation:***

*10 CFR 440.16: Minimum Program Requirements*

*10 CFR 440.22: Eligible Dwelling Units*

*WPN 11-4: Prioritizing WAP Work based on Housing Type*

*WPN 10-15: Eligibility of Multifamily*

*WPN 10-15a: Accrual of Benefits*

*WPN 15-3: Income Guidelines*

***Material Review:***

*Grantee Approved State Plan*

*Grantee plan for priority criteria*

*Grantee policy on eligibility priority rating. Be sure rating system matches plan and regulations.*

## **SECTION 2: FINANCIAL/ADMINISTRATION**

---

- 5. 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 11 of the P&M checklist?**

***Source Documentation:***

*2 CFR 200.305: Payment*

*10 CFR Part 440.16(g): Minimum Program Requirements*

***Material Review:***

*Review invoice policy and procedures*

*Review a sample of Subgrantee invoices for completeness and accuracy*

- 6. 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 P&M checklist?**

***Source Documentation:***

*2 CFR 200.305: Payment*

*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*

- 7. 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 P&M checklist?**

***Source Documentation:***

*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*

- 8. Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials, services (audits, inspections, etc.).**

**How does the Subgrantee's demonstration/description of their process with regard to fixed price materials/services align with the Grantee's policies outlined in Question 6 of the P&M checklist?**

***Source Documentation:***

*Comprehensive Procurement Guideline (CPG), Resource Conservation and Recovery Act (RCRA)*

*10 CFR Part 440.21(c): Weatherization Materials Standards and Energy Audit Procedures*

***Material Review:***

*Examine costs on actual energy audit reports*

*Examine costs on invoices submitted*

- 9. 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 P&M checklist?**

***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*  
*2 CFR 200.302: Financial management*  
*2 CFR 200.305: 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)*

## **SECTION 3: INVENTORY**

---

- 10. Subgrantee will be asked to demonstrate how they maintain and track any inventory. Subgrantee will also be asked to show how the process is consistent with the Grantee's description of the process.**

**How does the Subgrantee's demonstration or description correspond with the monitoring process described by the Grantee in Question 36 of the P&M checklist?**

***Source Documentation:***

*Comprehensive Procurement Guideline (CPG), Resource Conservation and Recovery Act (RCRA)*  
*10 CFR 440.18(c): Allowable Expenditures*

***Material Review:***

*Grantee Approved State Plan*  
*Inventory lists and records*  
*Policies and Procedures Manual*  
*Subgrantee contract with Grantee review*

## SECTION 4: ENERGY AUDITS

---

- 11. Subgrantee will be asked to produce the most recent DOE-approved energy audit and/or priority list and demonstrate/describe how it updates and maintains the audit inputs, especially when dealing with atypical housing stock (updating fuel, labor, and material costs, etc.).**

**How does the Subgrantee’s demonstration/description of their audit/priority list (including updates and treatment of atypical housing) align with the information in Section 6, Energy Audits (questions 22-24) of the Grantee P&M checklist.**

***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 13-5: Revised Energy Audit Approval Procedures and Other Related Audit Issues*

***Material Review:***

*Grantee Approved State Plan*

*Audit Input Update Submittals*

*Audit System/Priority List*

## SECTION 5: QUALIFICATIONS & TRAINING

---

- 12. Subgrantee will be asked to describe how they determine if workers (crews or contractors) are able to perform to the job expectations before hiring or within a certain period after employment.**

**How does the Subgrantee’s demonstration/description of their process for hiring qualified crews/contactors align with the Grantee description in Question 45 of the P&M checklist?**

***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 15-4: Quality Work Plan Requirement*

***Material Review:***

*Grantee Approved State Plan*

*T&TA Plan Review*

*Review Energy Auditor Qualifications, recent training, certifications, etc.*

*Determine if the State Plan matches implementation*



**13. Subgrantee will demonstrate its reworks policies and procedures for inspectors when there is a high frequency of corrections.**

**How does the Subgrantee's demonstration/description of their process for course correction/training of Subgrantee crews/contractors align with the Grantee methods to determine T&TA needs described in Questions 28 and 47 of the P&M checklist?**

***Source Documentation:***

*10 CFR 440.16(g): Minimum Program Requirements*

*10 CFR 440.23(e): Oversight, training, and technical assistance*

*WPN 15-4: Quality Work Plan Requirement*

***Material Review:***

*Grantee Approved State Plan*

*T&TA Plan Review*

*File Reviews*

*Inspector final report reviews*

**14. Based on field observations, were there any training issues identified that should be addressed by the Grantee with the Subgrantee? (e.g., specific trainings that should take place to bring Subgrantee work to a higher quality). How does this training recommendation align with the Grantee approach to identifying/meeting training needs outlined in Question 49 of the Grantee P&M checklist.**

***Source Documentation:***

*2 CFR 200.305: Payment*

*10 CFR Part 440.16(g): Minimum Program Requirements*

*WPN 15-4: Quality Work Plan Requirement*

***Material Review:***

*Review invoice policy and procedures*

*Review a sample of Subgrantee Submitted invoices for completeness and accuracy*

## SECTION 6: WEATHERIZATION OF UNITS

---

- 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 demonstration/description of their reporting process for production of completed units align with the description from the Grantee identified in Question 52 of the P&M checklist?**

***Source Documentation:***

*2 CFR 200.305: Payment*

*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*

- 16. Subgrantee will be asked to demonstrate the processes and procedures in place if an inspector finds work that needs to be re-done or corrected. How does the Subgrantee’s demonstration/description of their process for the inspector ordering “reworks” align with the Grantee information captured in Question of the P&M checklist?**

***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:***

*T&TA Plan Review File Reviews*

*Inspector final report reviews*

## SECTION 7: HEALTH & SAFETY

---

- 17. Subgrantee will be asked how the agency implements of Health and Safety requirements, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc. as outlined in the DOE approved Health & Safety Plan.**

**How is the implementation described/evidenced in the files at the Subgrantee(s) consistent with the process and procedures described by the Grantee in Question 35 of the P&M checklist?**

***Source Documentation:***

*10 CFR 440.15(a)(3)(iii): Subgrantees*

*10 CFR 440.23: T&TA*

*WPN 09-6: Lead Safe Weatherization*

*WPN 11-1.3.1: Basic T&TA*

*WPN 11-1.5.14: Lead Paint Hazard*

*WPN 11-6: Health & Safety Guidance*

***Material Review:***

*Training Plan review and certificate reviews*

*Client file review of LSW photo Health and Safety Plan Monitoring tools/instrument used by the Grantee*

## SECTION 8: QUALITY MANAGEMENT ASSURANCE

---

- 18. Are there any issues related to file review or inconsistencies between the Grantee's description of file documentation in Question 25 of the P&M checklist that suggests there may be a need for the Grantee to review with the Subgrantee what should be included as file documentation?**
- 19. In reviewing completed or in progress jobs, how does the Subgrantee audit/priority list practice align with the information in Section 6, Energy Audits (questions 22-24) of the P&M checklist?**
- 20. 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) in Question 31 of the P&M checklist or are there any issues/concerns with the materials or installation that should be addressed by the Grantee with the Subgrantee?**
- 21. Based on field observations, were there any "patterns" identified that should be addressed by the Grantee with the Subgrantee based on the site visits (and should be recorded under Grantee P&M Question 39)?**

**22. Based on field observations, are there any areas where the *Grantee* monitors and field staff need to improve their monitoring capabilities recorded under Question 49 of the P&M-checklist?**