



## MONITORING AND OVERSIGHT

Monitoring is one of the primary ways to ensure the public purpose of the Program is being met at all times. The Weatherization team at DOE has developed an extensive and comprehensive monitoring system to review programmatic and technical elements to ensure funds are used in accordance with Program guidance, rules and regulations. Monitoring assists DOE to:

- Ensure proper and timely use of Program funds and realization of expected benefits.
- Provide transparency and accountability.
- Provide quality control.
- Provide Grantees technical assistance and training.

Weatherization has multiple layers of monitoring activities. Per [10 CFR 440.23\(b\)](#), the Program is required to perform **onsite monitoring** at the Department's discretion. Each year, the Program identifies what Weatherization Grantees require an onsite monitoring visit by analyzing criteria such as:

- Unresolved programmatic or technical issues.
- New Grantee staff (e.g. Program Manager, Energy Auditor).
- "At Risk" Subgrantees.
- The amount of time since the last onsite monitoring visit.

Additionally, Project Officers perform **quarterly desktop monitoring** of program and fiscal reports. With monitoring, Project Officers assist their Grantees to:

- Meet the requirements of the Program.
- Resolve any outstanding monitoring assessments (findings, concerns, etc.) and issues.
- Identify training and technical assistance needs.
- Document weatherization best practices.

### COMPREHENSIVE MONITORING AREAS

Subgrantee Review

Financial/Administration

Policy Advisory Council (PAC)

Rental

Energy Audits/Field Work

Health & Safety

Equipment/Inventory/Materials

Grantee Monitoring

Training & Technical Assistance

Feedback and Reporting

Staff or entity performing the monitoring

Monitoring procedures/follow-up

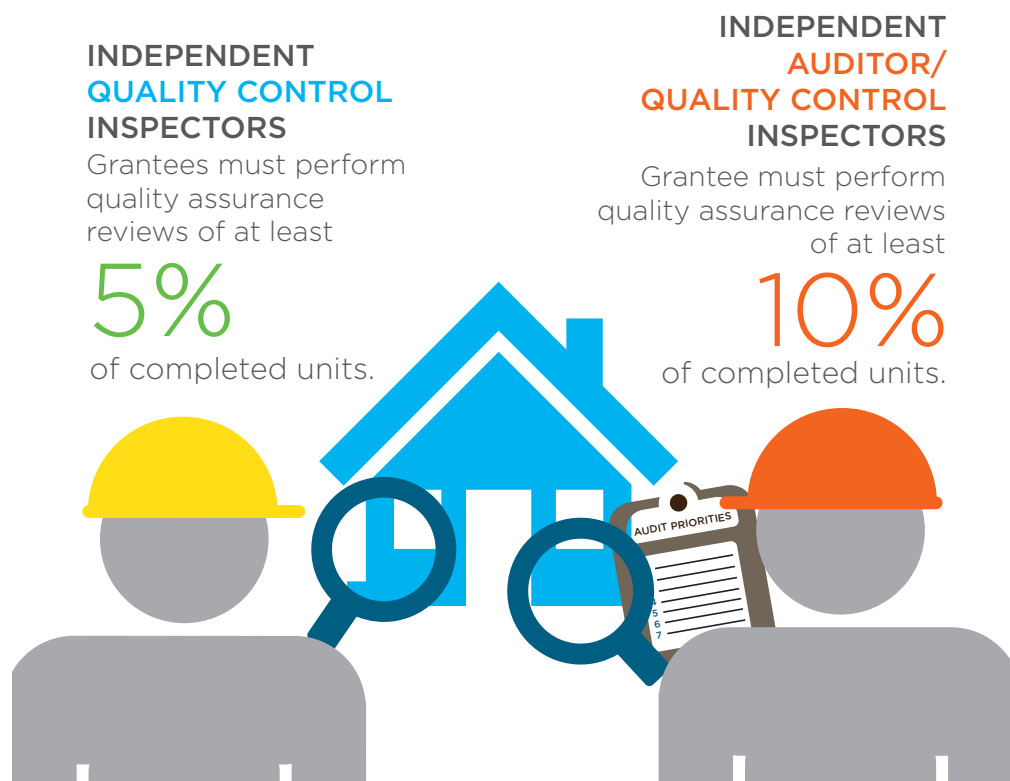
## Grantee Oversight

Per [WPN 16-4](#) and in accordance with [10 CFR 440](#), Grantees are required to conduct comprehensive onsite monitoring at least once a year for each of their Subgrantees. Within their monitoring efforts, Grantees review:

- Fiscal review of all programmatic expenditures.
- Eligibility requirements.
- Percentage of dwelling units weatherized.
- Production rates and types of units weatherized.
- Procurement of material and labor.
- Payments to vendors and reports for reimbursement.
- Material standards and installation.

Per [WPN 15-4, Section 3](#), Grantees are required to follow a DOE prescribed [Quality Control Inspector \(QCI\)](#) policy to determine the percentage of units to monitor. Figure 11 shows the Grantee monitoring requirement difference for when the energy auditor and QCI are either different or the same.

Figure 11: QCI Requirements



Grantees are also strongly encouraged to review “in progress” units beyond the required percentage of completed units, in order to assess:

- Quality and compliance.
- Appropriate and allowable materials.
- Appropriateness and accuracy of energy audits (no missed opportunities).
- Comprehensive final inspections.
- Safe work practices, such as lead safe weatherization protocols.
- Other factors that are relevant to onsite work.

### Subgrantee Oversight

Every home weatherized must receive a quality control inspection for workmanship and appropriateness prior to reporting to Grantee and DOE.

Figure 12: Monitoring Layers

