



WEATHERIZATION ASSISTANCE PROGRAM

ON-SITE MONITORING: FIELD/SUBGRANTEE REVIEW CHECKLIST

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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.

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
- Davis Bacon Reports and Certified Payrolls (if applicable)


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
- Copy of Department of Labor (DOL) Forms 1413 and Certified Payrolls
- Most recent documentation of Grantee monitoring visit
- Cost 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

II. FIELD/SUBGRANTEE REVIEW CHECKLIST

SECTION 1: PROGRAM OVERVIEW

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

-  - Copy of Grantee Award agreement
- Copy of State Plan
- Copy of most recent Subgrantee fiscal and programmatic monitoring report from the Grantee
- Copy of the Grantee policy and procedures manual

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

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

2. Subgrantee will be asked to describe how they comply with Davis Bacon requirements. How does the Subgrantee's demonstration/description align with the process and procedures described in Section 2 (questions 7-10) of the P&M checklist?

Source Documentation:

10 CFR Part 440.19(b): Labor

Davis-Bacon Act, 40 U.S.C. 3141

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

10 CFR 600.220(b)(6): Standards for Financial Management Systems (Source Documentation)

Material Review:

Davis Bacon Compliance Policies and review a sample of certified payroll records

- 3. Subgrantee will be asked to demonstrate how they comply with the state's Historic Preservation guidelines and how historic preservation weatherization units are tracked and reported.**

How does the Subgrantee's demonstration/description align with the Grantee's process described in Question 57 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
Master File B.1.2
WPN 11-1.5.16: Reweatheringization
WPN 08-5: Weatherization Disaster Planning and Relief
WPN 99-7: WAP Eligibility Criteria

Material Review:

State Plan
Monitoring Plan/Monitoring Report
Client File Review
Eligibility paperwork
Previous weatherization work order/invoices

- 4. Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for reweatherization (confirming the new date, etc.). How does the process described by Subgrantee(s) for eligibility for reweatherization align with information provided by the Grantee in Question 23 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
Master File B.1.2
WPN 11-1.5.16: Reweatheringization
WPN 08-5: Weatherization Disaster Planning and Relief
WPN 99-7: WAP Eligibility Criteria

Material Review:

State Plan

Monitoring Plan/Monitoring Report

Client File Review

Eligibility paperwork

Previous weatherization work order/invoices

- 5. 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 25 of P&M checklist?

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 11-5.8: Determining Eligibility Levels

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.

SECTION 2: FINANCIAL/ADMINISTRATION

6. **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 18 of the P&M checklist?**

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 invoices for completeness and accuracy

7. **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 11 of the P&M checklist?**

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

8. **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 11 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

- 9. 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 11 of the P&M checklist?

Source Documentation:

Comprehensive Procurement Guideline (CPG), Resource Conservation and Recovery Act (RCRA) WPN 11-1.5.3: Procurement of Building Insulation Products and Materials Containing Recovered Materials

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

- 10. 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 34 of the P&M checklist?**



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

- 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 13 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

10 CFR 600.220: Standards for financial mgmt systems

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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)

SECTION 3: INVENTORY

12. 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 22 of the P&M checklist?

If the Subgrantee does not have inventory or an inventory system, is the Subgrantee's procurement process consistent with the Subgrantee agreement with the Grantee and the policies outlined in Question 22 of the P&M checklist?

Source Documentation:

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

10 CFR 440.18(c): Allowable Expenditures

WPN 11-1.5.3: Procurement of Building Insulation Products

WPN 11-1.5.16: Reweathering

Material Review:

Inventory lists and records

Policies and Procedures Manual

Subgrantee contract with Grantee review

SECTION 4: ENERGY AUDITS

- 13. 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 a-typical 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 9, Energy Audits (questions 36-39) of the 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

10CFR440.23: 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 Audits

Material Review:

Audit Input Update Submittals

Audit System/Priority List

SECTION 5: QUALIFICATIONS & TRAINING

14. 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/contractors align with the Grantee description in Question 40 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 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

15. Subgrantee will be asked to describe the course correction/rework policies it has in place for inspectors when there is a high frequency of corrections needed (identified by the Grantee or Federal review process).

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 Question 46 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 6: WEATHERIZATION OF UNITS

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 45 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

17. Subgrantee will be asked about the agency’s process to reduce the rate of reworks and improve contractor/crew performance (e.g., training, hands-on review, termination, etc.).



How does the Subgrantee’s demonstration/description for how they reduce the rate of reworks align with the Grantee information captured in Question 46 of the P&M checklist?

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 11-1.5.24: Use of WAP Funds for Add-on/Call Back Work
WPN 11-1.6.2: DOE Completed Units
WPN 11-3: Add-On/Call Back Work Guidance

Material Review:

Training agendas and participations lists

SECTION 7: HEALTH & SAFETY

18. **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 49 of the P&M checklist?

Source Documentation:

10 CFR 440.15(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 documentation

Application Package, III.3: Health and Safety Plan

Monitoring tools/instrument used by the Grantee

SECTION 8: QUALITY MANAGEMENT ASSURANCE

19. How many Subgrantees units did you visit during this monitoring visit?

- Regular DOE
- ARRA
- SERC

20. In reference to the Quality Management Assurance Form, are there any issues related to file review or inconsistencies between the Grantee's description of file documentation in Question 42 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?

21. In reviewing completed or in progress jobs, how does the Subgrantee audit/priority list practice align with the information in Section 9, Energy Audits (questions 36-39) of the P&M checklist?

22. In reviewing completed or in progress jobs, does the work performed on all the measures follow the state protocols (standards and/or field guide) in Question 47 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?

23. Based on field observations, were there any "patterns" identified that should be addressed by the Grantee with the Subgrantee based on the site visits conducted (and should be recorded under P&M Question 52)?

24. 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 59 of the P&M checklist.

25. Based on field observations, are there any areas where the *Grantee* monitors/field staff should be referred to additional training to improve their monitoring capabilities (and should be recorded under Question 61 of the P&M checklist)?

SECTION 9: SERC OVERVIEW *(complete if Grantee/Subgrantee has SERC grant)*

- 26. SERC Subgrantee will be asked to demonstrate how units that received SERC technologies were appropriately screened prior to the technology installation to ensure the unit was a good candidate.**



Is the Subgrantee's description of their screening process to determine that the proposed SERC technology is appropriate for the specific unit consistent with the Grantee's description in Question 63 in the P&M checklist?

Source Documentation:

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

Material Review:

Annual File

Internal Program Notices

- 27. SERC Subgrantee will be asked to describe what the protocol is to determine what SERC technologies are installed for each unit.**



How does the Subgrantee's description align with the protocol described by the Grantee in Question 64 of the P&M checklist? How is the Grantee verifying compliance?

Source Documentation:

SERC FAQ #8, Nov 1, 2010

Material Review:

Monitoring/Inspection Checklist

- 28. Request the Subgrantee to describe/demonstrate how they track and verify completed units have either 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?**

Does the Subgrantee's description/demonstration on how they track and verify completed SERC unit Health & Safety, incidental repairs and SERC technology costs align with the Grantee's answer in Question 67 of the P&M checklist?

Source Documentation:

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

Material Review:

Unit Reports
Invoices

- 29. The Subgrantee will be asked to provide information and materials to determine if any SERC funds are being used to install any weatherization measures that were not originally justified or completed?**

Based on the information provided from the Subgrantee, is the Grantee's guidance, oversight and monitoring of SERC projects effective to identify when SERC funds are being used to install weatherization measures that were not originally justified or completed? Is this guidance and oversight consistent with the answer provided in Question 69 of the P&M checklist?

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

30. If the Grantee has expanded the scope of eligibility for SERC projects to include moderate-income families, have the SERC Subgrantee describe what the definition is of “moderate income” and what is the process to verify those clients/units that fall into this category?



How does the Subgrantee’s description of “moderate income” align with the Grantee’s answer in Question 70 of the P&M checklist? Is the Subgrantee’s “moderate income” verification process consistent with the Grantee’s process?