

STATE OF UTAH

Housing & Community Development – Monitoring Instrument
WEATHERIZATION ASSISTANCE PROGRAM

2013-2014 SUB-GRANTEE MONITORING GUIDE

Agency Name _____

Contact Person _____ Position _____

Address _____ Phone Number _____

State monitoring staff: _____

Persons Interviewed:

Number of weatherization facilities other than main weatherization office

Location (Address)	Purpose
1. _____	_____
2. _____	_____

Type of Organization (Check Only One):

- Community Action Agency
- Non CAA, Association of Governments
- Non CAA, Housing Authority
- Non CAA, Local Government Agency
- Other (Specify)

Date(s) of this Monitoring Visit _____ Date(s) of Last State Monitoring Visit _____

Problems from previous Monitoring for follow-up

AGENCY CURRENT CONTRACTS # _____

On Site Monitoring :**SECTION II. Client Intake Process****(Observations)**

1. Is there a final reviewer of the applications, other than the intake worker? Yes No
2. Is there unnecessary client information in the client files? Yes No
3. Does it appear clients being take off the Priority List in order? Yes No
4. Does the sample of Client Files monitored indicate Priority Points are being awarded properly? Yes No
5. What categories were noted in the sample?

<input type="checkbox"/> Handicapped	<input type="checkbox"/> Senior citizens
<input type="checkbox"/> Household size	<input type="checkbox"/> Young children
<input type="checkbox"/> Fuel assistance recipient	<input type="checkbox"/> High-energy users
<input type="checkbox"/> Type of fuel or cost of fuel	<input type="checkbox"/> Time on waiting list
<input type="checkbox"/> Emergencies	<input type="checkbox"/> Other _____
6. Is client income being annualized? Yes No
7. Are controls in place for client privacy? Yes No
 - a. Are they in line with the agency's published policy? Yes No
8. Are LIHEAP 10-13 or LIHEAP 11-14 funds being expended on clients that do not have a HEAT certificate in the Client File? Yes No
9. Review the last applicants that were Denied Service.
 - a. Were these justified? Yes No
 - b. Initial notification Yes No

- c. Time to correct deficiency Yes No

- d. Final notification Yes No

- e. Appeal or information to Appeal Yes No

SECTION III. Purchasing, Inventory & Contracting**A. Purchasing****(Observations)**

1. Does the agency have written procurement procedures? Yes No

2. Do the procurement procedures specifically address purchase order procedures? Yes No

3. Can the Sub-grantee document that materials and services are procured in a manner which allows open and free competition?
 - a. Obtain copy of solicitation of bid for WX materials? Yes No

 - b. Material specifications clearly conveyed? Yes No

 - c. Multiple vendors solicited? Yes No

 - d. Selection criteria established? Yes No

4. Material Returns being credited to agency accounts? Yes No

B. Inventory

(Interview)

INVENTORY SAMPLE

5. From a sample of at least three client files completed within the last program year, track materials from the client file back to the inventory ledger.

File # or name	Item(s) Tracked	Does it Match Inventory Records?	Does it Match Fiscal Records?

6. From a sample of at least three client files completed within the last program year, track materials from the inventory to the client file

File # or name	Item(s) Tracked	Does it Match Inventory Records?	Does it Match Fiscal Records?

Comments: _____

- a. Can agency produce a copy of the reconciliation document? Yes No

C. Contracting

(Review Submitted Documents)

Complete when Agency has used contractors in the last year

1. Bid Packet review

- a. Did the bid allow for Open and Free competition? Yes No
- b. Copy of advertisement in packet? Yes No
- c. Copies of winning and rejected bids? Yes No
- d. Clear scoping of services? Yes No
- e. Evaluation Criteria? Yes No
- f. Selection process detailed? Yes No

2. Is Sub-grantee inspecting work of contractor prior to paying invoice? Yes No

- a. If not when are they inspecting work?

3. Review contract

- a. Does the contract align with the terms of the bid? Yes No
- b. How is the Sub-grantee ensuring compliance with the contract?
- c. Does the contract contain provisions on call backs, warranty etc? Yes No

4. How has agency documented verification of the contractor's license and insurance?

- a. Is this done on an annual basis? Yes No

SECTION IV. Program operations**(Observations)****A. General**

1. Is agency complying with ASHRAE 62.2? Yes No
2. Health & Safety expenditures within guidelines? Yes No
3. Is the person completing the final inspections different from those doing the actual work? Yes No
4. Are any deficiencies noted as a result of the final inspection? Yes No
 - a. How are they doing follow up work to correct this?
5. Are tools and equipment in locked storage? Yes No
6. Is there a master list of tools and equipment? Yes No
7. Is the Agency maintaining separate LIHEAP Crisis files? Yes No

B. Energy Auditing**(Observations)**

1. Agency using current version of WA? Yes No
2. Are fuel costs in WA consistent with State issued costs? Yes No
3. Incidental Repair costs included in measure SIR? Yes No
4. Is agency auditing H&S costs? Yes No
5. Is the agency using work orders from WA? Yes No
 - a. If no, what tool are they using?
6. What efforts are being made by the Agency to preserve the database?
7. Are the Library Measures in line with the Guidelines? Yes No

C. Rental Property

(Observations)

- 8. Is Agency collecting the required Cost Shares from Landlord on rental property? Yes No
- 9. Is the Agency using the 10% Admin from the Cost Share? Yes No
- 10. Is it clear the balance of the Cost Share is going in to the project? Yes No
- 11. Is Attachment #3 Income Property Weatherization Agreement in the files? Yes No
 - a. Has it been modified? Yes No
 - b. Signed by all parties? Yes No

D. In Production Work

(Observations & Interview)

- 1. How are the crews daily work expectations outlined?
- 2. How is crew productivity on the job tracked?
- 3. Are there discrepancies between the work order and the actual work? Yes No
 - a. If so, What tools are in place to allow crew feedback to organization?
- 4. How does the crew know they are working on an LSW job?
- 5. Can crew demonstrate LSW procedures for a WX measure? Yes No
 - a. Verified against Attachment #28 LSW Declaration & attach. Yes No
- 6. OSHA certified personal on job? Yes No
 - a. Can crew identify efforts they are doing to comply with OSHA? Yes No
 - b. List the 30 & 10 Hour card holders on the job.
 - 30 Hour. _____
 - 10 Hour. _____
- 7. Can crew do a Worst Case Draft test? Yes No

SECTION V. Administrative Functions

A. Finance/RFF's

(Interview)

- 1. Does the agency have accumulated interest on WX funds? Yes No
- 2. Can the Agency show rebates are going back to the funding source that generated the rebate? Yes No
- 3. Track invoices from WebGrants to the warehouse?

Invoice #	Invoice Date	Webgrants #	Vendor	Material	Date add to Inventory

- 4. Are there adequate time and attendance records for all employees in the program? Yes No

B. Vehicles & Property

(Observations & Interview)

- 5. What is the Agency's policy for disposing of equipment/material purchased with federal funds?
 - a. Review documents for transfer and disposal. Yes No
- 6. Have any vehicles been rented or leased during the past contract year? Yes No
- 7. Are the vehicles currently being used adequate for the job? Yes No
- 8. Are other vehicles needed? Yes No
- 9. Are vehicles/equipment purchased with weatherization funds being used for other programs? Yes No
 - a. If so, how is compensation made to the DOE program?
- 10. Are vehicles securely stored? Yes No
 - a. Where?
- 11. Are there indications of the vehicles being used for personal use? Yes No

12. Is maintenance of vehicles documented? Yes No
13. Are emergency procedures posted in case of an accident? Yes No
14. Is emergency equipment available? Yes No

C. Personnel**(Observations & Interview)**

15. If an employee is paid from more than one source of funds, is there adequate documentation to support the amount billed to each source? Yes No
16. Are travel records sufficient to document travel expenses? Yes No
- a. If out-of-state is there State approval? Yes No
17. Describe any personnel issues identified during the monitoring visit (office staff or field staff).

SECTION VI. EXIT INTERVIEW

1. Held interview with Executive Director or other appropriate official in addition to the energy coordinator ?. Yes No

Name: _____

Date: _____

2. Discussed findings pointing out strengths and weaknesses of the program? Yes No
3. Offered recommendations and possible solutions for the area in question? Yes No
4. Allowed for feedback from the agency before concluding visit? Yes No

Comments: _____