

STATE OF North Dakota

<p><i>Division of Community Services – Monitoring Instrument</i> WEATHERIZATION ASSISTANCE PROGRAM</p>

2014 SUB-GRANTEE MONITORING GUIDE

Agency Name _____

Contact Person _____ Position _____

Address _____ Telephone Number _____

Persons Interviewed _____

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

Problems from previous Monitoring for follow-up _____

Comments: _____

AGENCY CURRENT CONTRACT # _____

Where “provide copies” is printed, electronic copies are acceptable.

SECTION I. GENERAL ORGANIZATION

Total number of Weatherization personnel: Office _____ Field _____ Office/Field _____

A. Job Descriptions (Are Job Descriptions Available)? (Provide Copies)

- a. Wx Coordinator Yes No N/A
- b. Assistant Coordinator Yes No N/A
- c. Estimator/Auditor Yes No N/A
- d. Inspector Yes No N/A
- e. Warehouse Personnel Yes No N/A
- f. Crew Foreman Yes No N/A
- g. Crew-worker Yes No N/A

SECTION II. CLIENT APPLICATION PROCESS

A. Outreach and Client Intake

- 1. Under the current grant, does the Weatherization Program serve clients throughout the entire geographic service area and in proportion to the number of eligible households? Yes No N/A

How does the agency obtain applications? LIHEAP Referrals and Walk-in applications _____

- 2. Describe the procedure for approving applicants: _____

- 3. Does agency have a waiting list? Yes No N/A

Number on waiting list: _____(Provide Copy)
Average waiting period for weatherization services: _____

- 4. Have any clients been on the waiting list for twelve months or longer?..... Yes No N/A

If yes, has the Agency re-certified the client’s eligibility in accordance with State requirements? Yes No N/A

- 5. What is the procedure if the client is not home or if only a young child is at home?

6. How is income verified?

Has income verification been signed? Yes No N/A

Otherwise noted? _____

7. What are your current income guidelines? Yes No N/A

8. Does the Agency have an appeals process for applicants who have been denied services? (Provide Copy) Yes No N/A

9. Does Agency have policies on client privacy? (Provide Copy)..... Yes No N/A

10. Does the Agency assure that information regarding clients is kept confidential? (Provide Copy) Yes No N/A

B. Application Review Checklist

1. Is information recorded which could be used for establishing service priorities (age of occupants, handicapped, condition of home, consumption levels, income levels, etc.)? Explain:

2. Does it include a point system for determining priority? Yes No N/A

What categories of applicant are given priority? (check all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Handicapped | <input type="checkbox"/> Senior citizens |
| <input type="checkbox"/> Household size | <input type="checkbox"/> Young children |
| <input type="checkbox"/> Fuel assistance recipients | <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 _____ |

Has the selection process changed since the last monitoring visit? Yes No N/A

3. Are ineligible applicants notified promptly in writing with an explanation of why they are ineligible? (Provide Copy)..... Yes No

4. Is an applicant advised, in writing, as to appeal/protest procedures (concerning timely response from the agency and eligibility determination)?... Yes No N/A

5. Does the application contain a statement regarding truth of information, which is signed by the client? (Provide Copy of Application)..... Yes No
6. Does an agency staff member sign and date the form signifying status of eligibility? .. Yes No
7. Does application contain permission to enter premises and perform work? Yes No N/A
 If no, is this done via a separate form? Yes No N/A
8. How does the staff ensure that the property has not been previously served since September 30, 1994? _____

SECTION III. WEATHERIZATION PROCESS

A. Computerized Energy Audit

1. Does the sub-grantee use a DOE approved computerized energy audit? Yes No
2. What is the date of the most recent update of materials cost within the audit? _____
3. What is the date of the most recent update of the cost of labor within the audit? _____
 How was the cost of labor for each measure determined? _____

4. What are the fuel costs within the audit? _____
5. Is the cost of repair measures included with eligible weatherization measures for the calculation of the measure's Savings to Investment Ratio?..... Yes No N/A
6. Does the sub-grantee conduct pre and post blower door tests on each unit? Yes No
7. Is documentation contained in the client file justifying health and safety measures to be installed as part of the weatherization process? Yes No N/A
 What items would you like to see on the H&S list that will not require documentation?

B. Production Monitoring

1. Do all homes receive a final inspection before being counted as a completion on the monthly reports? Yes No N/A
2. Is the person completing the final inspections different from those doing the actual work?..... Yes No N/A

3. Are any deficiencies noted as a result of the final inspection? If yes, is there a follow-up procedure to verify correction of noted deficiencies? Yes No N/A

Describe: _____

4. Does the Weatherization Coordinator inspect any units?..... Yes No N/A

5. How does the Weatherization Coordinator monitor crew productivity? _____

6. Were homes re-weatherized under DOE WAP during the last Program year? .. Yes No N/A

7. Were all re-weatherizations weatherized initially before September 30, 1994? Yes No N/A

8. Who schedules the work crews? _____

9. What factors are used to determine crew scheduling? _____

C. Private Contracting Patterns

If the agency uses private contractors does it have the following?

1. A written bid package? (Provide Copy) Yes No N/A

2. When soliciting a contractor, how does the Sub-grantee ensure free and open competition exists during the bid process? _____

3. Do the sub-grantee's files contain copies of the advertisement or solicitation for bids, copies of bids received and copies of any rejected bids? Yes No N/A

4. Did the sub-grantee inform prospective bidders of the evaluation criteria?.... Yes No N/A

5. How is evaluation of contractors' performance conducted?

- Inspect work in progress
- Inspect completions
- Client sign-off
- Other (specify)_____

6. How does the sub-grantee ensure subcontractor compliance with the bid?

7. Does the agency check for contractor debarment? Yes No N/A
 Is the agency debarred? _____
8. Does Contract correspond with information set forth in proposal/bid specification (payment system, operation systems, standards, etc.)? Yes No N/A
9. At what point in the process is the contractor reimbursed?
 Before work is started
 As work is in progress
 Upon receipt of invoice
 Upon final inspection and acceptance
10. Does agency always inspect non-employee work prior to making payments?... Yes No N/A

D. Rental Property

1. Are rental units being weatherized under the DOE Weatherization Grant? ... Yes No N/A
2. Does the Agency require a financial contribution from the landlord towards weatherization? Yes No N/A
3. If receiving a financial contribution from the landlord, how is the Agency using the contribution? _____

3. How is the Agency assuring that rental property is not being unduly or excessively enhanced? _____

5. Is the agency utilizing the Weatherization Rental Agreement as found in the State Plan? (Provide Copy) Yes No N/A
6. Has the agency changed the rental agreement from that in the State Plan? Yes No N/A
 If so, how? _____

7. Does the rental agreement assure that the benefits of weatherization assistance accrue to the tenant? Yes No N/A

If so, how? _____

IV. PROCUREMENT & INVENTORY PROCEDURES

A. Materials Procurement & Services

1. Does the agency have written procurement procedures? (Provide Copy) Yes No N/A

Please obtain a copy from subgrantee and attach to monitoring instrument.

2. Can the subgrantee document that materials and services are procured in a manner which allows open and free competition? Yes No N/A

3. Do the procurement procedures specifically address purchase order procedures? Yes No N/A

4. Are pre-numbered purchase orders used? Yes No N/A
Comments: _____

5. Who has the authority to purchase materials? _____

6. Pertaining to the most recent materials bid, obtain from the Sub-grantee a copy of: (Provide Copy)
- a. Letter of bid solicitation Yes No N/A
 - b. A list of vendors solicited Yes No N/A
 - c. Bid notice published in local paper (if available)..... Yes No N/A
 - d. List of materials to be bid..... Yes No N/A
 - e. Bid evaluation summary..... Yes No N/A

7. How does the agency handle material returns? _____

B. Inventory Storage

1. Number of storage facilities _____

2. Adequate space (size, location)? Yes No N/A

3. Reasonably accessible for program staff? Yes No N/A
4. Adequate security (theft, damage, exposure)? Yes No N/A

D. Property Management

1. What is the Agency’s policy for disposing of equipment/material purchased with federal funds? (Provide Copy) _____

2. Documentation (for items transferred/disposed)

3. Vehicle Need and Use

Have any vehicles been rented or leased during the past contract year? Yes No N/A

Are the vehicles currently being used adequate for the job? Yes No N/A

Are others needed? Yes No N/A

Are vehicles/equipment purchased with weatherization funds being used for other programs? Yes No N/A

If so, how is compensation made to the DOE program?

Are vehicles securely stored? Yes No

Where: _____

Are vehicles used for official use? Yes No N/A

Personal use? Yes No N/A

Does the Agency have a vehicle maintenance policy? (Provide Copy) Yes No N/A

Is maintenance of vehicles documented? Yes No N/A

Are emergency procedures posted in case of an accident? Yes No N/A

Is emergency equipment available? Yes No N/A

4. Tools and Equipment

Do the crews have all the tools mandated by Best Practices? Yes No N/A

Are tools and equipment in locked storage? Yes No N/A

Is there a master list of tools and equipment? Yes No N/A

Date of last tool and equipment inventory: (Provide Copy)_____

SECTION V. HEALTH AND SAFETY

A. Crew Safety

1. Does the agency have a written Health and Safety Policy? Yes No N/A

a. If yes, attach a copy to the monitoring instrument. (Provide Copy)

2. What are your Lead Safe Work practices and procedure for determining lead in homes?

3. Is the agency following the LSW and RRP guidelines?" Yes No N/A

4. Does Agency have respiratory protection procedures? Yes No

a. Is respiratory equipment use required? Yes No N/A

For what workstations? (list) _____

b. Are pulmonary exams required of staff prior to use of respirators?..... Yes No N/A

c. Have the crews had the required OSHA 10 and OSHA 30 courses? Yes No N/A

5. Does Agency have a waste stream management plan (provide copy)? Yes No

B. Hazardous Materials

1. Does the agency have a hazardous materials communication program to inform workers about potential hazards regarding material used? (Provide Copy) Yes No N/A
2. How are hazardous materials in the workplace identified for worker awareness? Describe (i.e., container labels,etc.): _____
3. Does the agency maintain Safety Data Sheets (SDS)? Yes No N/A
4. Are Safety Data Sheets accessible to employees? Yes No N/A
5. Are SDS accessible at the job site? Yes No N/A
6. Is hazardous material usage training provided to employees? Yes No N/A

C. Client Safety

1. Who is responsible for informing clients of the hazardous materials to be used on the client’s home and determining if any member of the client’s household has any medical conditions requiring special precautions during the weatherization work? (Name & Position)

2. How is field staff notified of need for special precautions due to medical condition in the household? (Describe) _____

SECTION VI. TRAINING & TECHNICAL ASSISTANCE

1. Does the agency have a training program for new personnel? (Provide Copy). Yes No N/A
2. Does the agency provide regular training for the Weatherization staff?..... Yes No N/A
3. Describe how the Agency identifies the training needs of staff:

4. List the various **in-house training** sessions conducted within the last Program year:
On-site personnel _____

5. What training have the Weatherization estimators received within the last Program year? _____

6. What training would you like to see for next year by the State? By your agency? _____

7. How do you determine who goes to the national conferences (DOE; ACI; Energy OutWest)?

SECTION VII. PERSONNEL

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

Comments: _____

2. If an employee is paid from more than one source of funds, is there adequate documentation to support the amount billed to each source? (Provide Copy of Timesheet) Yes No

Comments: _____

3. Are travel records sufficient to document travel expenses? Yes No

Comments: _____

4. Describe any personnel issues identified during the monitoring visit (office staff or field staff).

5. What are your major issues that need attention at this time?
