



STATE OF WASHINGTON

DEPARTMENT OF COMMUNITY,
TRADE AND ECONOMIC DEVELOPMENT

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Housing Improvements & Preservation

Monitoring Protocol Principles and Procedures

2007

Purpose Statement

The Housing Improvements & Preservation Unit performs compliance review, technical assistance, and information sharing to local agencies to ensure:

1. Quality, comprehensive weatherization and repair services are provided at a consistently high level of effectiveness throughout the state.
2. Healthy, safe, and energy efficient improvements are provided to low-income households.
3. Program accountability and efficiencies are in effect and verifiable.
4. Innovative technological advances are promoted.

Guiding Principles

Planning

1. Program monitoring is organized, systematic, regular, and scheduled in advance for mutual convenience.
2. On-site monitoring plans have clearly defined expectations, scope, and process.
3. Individualized monitoring for every agency is planned based on past monitoring reports, research, financial audits, production progress, observations, needs, and other available information.
4. Technical protocol, standards, and tools are kept current.

Constructive process

1. Monitoring and technical assistance are conducted in a professional manner with consistency, fairness, respect, and timeliness.
2. CTED fosters positive, open, and constructive working relationships.
3. Monitoring reports are consistent with, and based on, adopted program policies, procedures, standards, and protocols.
4. To avoid surprises, CTED is committed to proactive and open communication.
5. Inspections are performed thoroughly and objectively.

6. Technical assistance opportunities will be identified and provided by the most effective and efficient means. Field representatives promote improvement by providing technical assistance and resources.
7. Monitoring reinforces industry best practices to help ensure prudent decisions are made and positive results are achieved for the clients served.

Learning and experiences

1. Field representatives are knowledgeable and skilled to promote new and enhanced methods of service delivery and business practices.
2. Field representatives serve as a conduit for the delivery of innovative and cutting edge technologies.
3. Monitoring serves as a two-way educational experience that promotes interaction, feedback, and state and local program improvements.
4. Field representatives acknowledge and share successes, innovations, good practices, and experiences.
5. Program monitoring, technical assistance and required follow-up to findings are structured to protect program integrity and to sustain program support.
6. Feedback is welcome and encouraged.

Monitoring Reference Material

1. Weatherization Program policies, procedures, and specifications
2. Home Repair and Rehabilitation Program policies and standards
3. Weatherization Field Guide

CTED Monitoring Tools and Equipment

The following monitoring tools and equipment will be used by CTED to assess a local agency's audit, work, and inspection performance:

- Blower-door tests on a sample of completed jobs to verify the extent of air sealing work and to assess the risk of indoor air quality problems.
- A carbon monoxide detector and manometer on a sample of completed jobs that have combustion appliances to verify compliance with combustion safety test procedures.

- A digital hand-held manometer on a sample of completed jobs to verify air and duct sealing work.
- An infrared scanner on a sample of completed jobs to verify uniform insulation coverage in closed cavities and inaccessible areas, as well as adequate air sealing work.
- Digital cameras to take photos of measures, results, and performance.
- Magnahelic gauge to test pressure of insulating machines used for sidewall insulation to ensure compliance with CTED standards.
- Fan flow pan (along with a manometer) to test pressures or flows of mechanical fans.
- Pressure-pan to test effectiveness of duct sealing work.

Monitoring Procedures

1. The field representative will schedule monitoring visits at least 30 days prior to on-site visits in coordination with a local agency's Program director.
2. The field representatives will prepare a **Local Agency Monitoring Plan (LAMP)** prior to each visit based on the information gathered from the following sources:
 - a. Pre-Monitoring Questionnaire (updated before the monitoring visit)
 - b. General Work Plan (distributed in October of each year)
 - c. The local agency's most recent financial audit
 - d. Past monitoring reports and resolution of corrective action requirements
 - e. Monthly vouchers and production reports (monthly data submittal)
 - f. Resolution of corrective action requirements
 - g. Agency identified needs
3. The LAMP will be delivered to the local agency's Program director at least two weeks prior to a monitoring visit. The Executive Director will receive an e-copy.
4. The local agency will supply the field representative a list of completed projects for the period to be monitored. The field representative will select randomly the units to be inspected. The field representative may request two of the files be copied and sent prior to the onsite visit.

5. An entrance conference with the Executive Director or designee(s) will be conducted to review the LAMP and answer any questions.
6. Monitoring will focus on inspections, since desk monitoring will try to satisfy most administrative review, including financial examination. Technical assistance will be provided to the extent it does not intrude on completion of the LAMP. If more comprehensive training and TA is needed, CTED will work with the agency to schedule another visit or to identify other TA resources.
7. CTED will perform a comprehensive inspection of a representative sample of units as planned for in the Local Agency Monitoring Plan. Inspection of completed houses, with the accompaniment of the local agency's auditor or inspector, provides an opportunity to provide on-site technical assistance. Various installation techniques, quality control issues, or test procedures may be discussed during the course of performing the inspection. Exemplary practices, successful approaches, or creative ideas in the operation of the local program will be identified and noted. Additional inspections might be scheduled, when needed, to expand the sampling size. To minimize impact on local agency staff, accompaniment by agency's auditor or inspector may or may not be necessary.
8. Diagnostic testing will be performed, including blower-door tests, combustion safety tests, and pressure differential tests. The test results are compared with those noted in the client file. Client comments are encouraged to help determine their satisfaction with the work.
9. The set-up values (measure and fuel costs) for the computerized energy audit tool (TREAT) are checked to ensure they are current and accurate, that energy auditors are proficient in the use of the TREAT audit, and that it is used as directed by CTED.
10. Crew Health and Safety procedures will be checked for compliance with the CTED Health and Safety Plan as contained in the DOE State Plan.
11. The Performance Evaluation Tool (see below or attached) has been created to help identify specific strengths and areas for improvement as identified during the monitoring visit. It is designed to provide useful feedback to the Local Agency regarding the condition of their programs and to create as consistent a monitoring approach as possible. The local agency will receive ratings in specific areas of Program Operations and Work Quality. The local agency may be required to develop an action plan to correct significant program or technical deficiencies.

The Performance Evaluation Tool (PET) will use the following terms:

P.E.T. Classification Criteria

| 4. | 3. | 2. | 1. |
|--|--|---|--|
| Exceeds program expectations | Meets program expectations | Sometimes meets program expectations | Failing to meet program expectations |
| General Descriptions | | | |
| Visionary, excels, cutting edge, highly responsive, innovative | Good, accurate, effective, organized, sound, consistent, proficient, proactive | Marginal, has gaps, inconsistent, reactive, below average | Inadequate, poor, substandard, incomplete, deficient, poor communication |
| | | | |

12. An exit conference will be conducted with the Executive Director or designee(s). The field representative will communicate to the Executive Director during the time of the visit whether there are findings or corrections so that it may help the Executive Director to decide whether to attend the exit conference. The exit conference will cover all findings and deficiencies.

13. The field representative will leave with the agency at the exit conference a copy of the Performance Evaluation Tool (PET) and a draft list of action response items. The field representative and Program director will sign a copy of the PET confirming briefing and receipt. The PET serves as preliminary notice of findings or corrections that should be addressed. The local agency Program director will be contacted and informed by phone and follow up email, if a field monitor determines that findings or corrections were not covered at the exit conference,

14. Should the field representative need further time to confer with colleagues about issues, no longer than five working days will lapse before contact with the Program director about new and different or clarified issues. If there are issues regarded as findings or corrections not covered at the exit conference, the Executive Director will be notified, as well. CTED will advise the Program director by phone followed by an email.

15. Prior to completion and distribution of the final monitoring report, the Manager of the Compliance and Inspections Section and the Managing Director of the Housing Improvements and Preservation Unit will review and approve reports to ensure that the terms being applied are consistent with the protocol and justified by program policies and standards.

Monitoring Report

Definition of Terms Used

1. **“Finding”** may be used to identify:
 - a. Financially related non-compliance
 - b. Repeated or previously identified serious corrections
 - *An action plan might be required or corrections made to resolve.*

2. **“Correction”** may be used to identify:
 - a. A failure, oversight, or omission to meet program policies, procedures, or specifications
 - b. Repeated or previously identified discrepancies
 - *An action plan might be required or corrections made to resolve.*

3. **“Discrepancy”** may be used to identify:
 - a. Minor concerns to correct for the future
 - b. Problems that jeopardize the investment
 - *Subject to time, cost, or severity, on-site project repair or action may or may not be required.*

4. **“Recommendations”** may be used to:
 - a. Offer suggestions to assist with compliance of program requirements
 - b. Enhance or improve service
 - c. Identify best practice opportunities

5. **“Technical Assistance (TA)”** may be used to identify information provided, questions answered, or training provided during the monitoring or other on-site visits.

Examples

| | |
|------------|---|
| Finding | misuse of funds, financial mismanagement, improper or inadequate inventory control, income eligibility determination, procurement practices, no or insufficient insurance |
| Correction | health and safety; potential liability; pattern of missing report and voucher timelines; items that should have been identified during audit or inspection |

| | |
|-------------|--|
| Discrepancy | file omissions; procedural items that can be quickly or easily corrected; failing to insulate five feet water pipe from water heater; pipe leak soaking insulation; additional work identified |
|-------------|--|

Report Distribution and Response

1. A final written monitoring report to the local agency will be mailed no later than 30 days from the date of the exit conference. If there are circumstances that prevent CTED from meeting this timeline, the field representative will notify the local agency.
2. The local agency's program director will receive the original, signed monitoring report. The Executive Director will receive an electronic copy of the cover letter and report.
3. The local agency will submit a written response to the field representative within 30 days of report receipt to provide assurance to CTED that identified problems are resolved in a timely manner and documented.
4. If there are findings, the monitoring report will be mailed to the local agency's program director and a copy to the Executive Director.

Dispute Resolution

Occasionally there are disagreements with findings or with actions to be taken. Local agencies can present views and requests in progressive steps, as needed:

1. Program director discuss with the responsible field representative. ***If resolution is not satisfactory...***
2. Program director discuss with the Manager of the Compliance and Inspections Section manager. ***If resolution is not satisfactory...***
3. Program director and Executive Director discuss with the Managing Director, Housing Improvements & Preservation. ***If resolution is unsatisfactory...***
4. Executive Director discuss with the Assistant Director, Housing Division. ***If resolution is unsatisfactory...***
5. A meeting may be convened to discuss and negotiate resolution and may include the Executive Director, Assistant Director, Managing Director, and representatives of the Community Action Partnership.

All of the above interactions will be conducted with a sense of urgency to resolve the issues expeditiously. CTED will send the local agency an “Accepted” or an “Unaccepted” reply letter upon receipt of the written response. An “Unaccepted” reply will include further instructions for the agency to comply with the correct actions required in the monitoring report.

Feedback

The Monitoring Protocol has been developed to perform monitoring responsibilities in an open and transparent manner so that monitors can strive for a reasonable level of consistency. Immediate feedback is welcome and encouraged when the monitor is on-site. Every monitor will be open and receptive to your feedback and they will share the feedback with their supervisor and unit manager.

In addition, each agency will have an opportunity to complete a confidential survey following every monitoring visit, either mail in or on-line.

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