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# Washington State Weatherization Monitoring Manual

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**Washington State Weatherization**  
**Monitoring Protocols**



## **Purpose**

This document describes the monitoring process for the Washington State Weatherization Program.

## **Overview**

The overall goals of Weatherization monitoring are to:

- Verify that Local Agencies deliver high quality weatherization services.
- Verify compliance with applicable policies and regulations.
- Promote efficiency and effectiveness in weatherization program delivery.

Weatherization Monitoring is divided into three areas: Program, Financial, and Technical. Local Agencies receive the guides covering each of these areas 60 days prior to the visit and complete them 30 days in advance of the monitoring visit.

## **Weatherization monitoring:**

- Assesses capacity and risk.
- Assesses compliance and areas of concern.
- Identifies areas of need for training and technical assistance.

## **Guiding Principles of Monitoring Activities**

- Monitoring is a constructive process conducted in a professional manner.
- Commerce is committed to fostering positive, open, working relationships.

## **Monitoring Procedures**

Weatherization Scheduling Coordinator schedules monitoring visits with the Local Agency approximately three months in advance. Local Agency management negotiates the date of the monitoring visit. Once the monitoring dates are confirmed, the Weatherization Lead Monitor will send the Monitoring Guides to the Local Agency for completion.

The lead monitor develops an agenda that includes the following:

- Purpose of the visit
- Records, files, information for review
- Agency staff needed for interviews
- Planned timeframe of the visit
- Site inspection arrangements
- Exit conference

## **Desk Monitoring**

The purposes of desk monitoring are to review, evaluate, and clarify the Local Agency's program operating procedures. Monitors will address any questions or clarification needed as a result of the desk review with the Local Agency prior to the visit. The Local Agency will respond in a timely fashion, preferably before the monitoring visit. While onsite, monitors prefer to focus on verification.



Desk monitoring prior to the visit will include review of the following documents:

- Weatherization Monitoring Questionnaire
- General Weatherization Work Plan
- Previous monitoring report(s) (Note action items and TA)
- Previous inspection report(s) (Note repeated corrections)
- Determine possible re-inspection sites
- Previous agency responses
- Resource and Development Team concerns
- Performance assessment factors
- Status of any prior financial reports, unresolved issues, or findings
- Review prior year-end summary reports
- Assemble visit questions for WX Coordinator or Auditors.

### **Onsite Monitoring**

Upon arrival at the Local Agency, the Weatherization Lead Monitor and inspector will meet with the Agency Weatherization Coordinator, Contractors, and any Local Agency weatherization staff and go through the monitoring agenda, review the inspection schedule, schedule staff interviews, identify files to review from the units to be inspected (minimum 3), and answer any questions.

Standard Weatherization Monitoring Visit:

1. Entrance Conference
2. Follow up to previous reports
3. File Review
4. Program
5. Financial
6. Technical
7. Exit Conference

The monitor summarizes the results including any concerns and findings in an exit conference with the Executive Director, Weatherization Coordinator, Staff, and Crew.

The monitor evaluates information provided in the monitoring questionnaire completed by the Local Agency prior to the visit and the monitor verifies and completes sections of the Questionnaire and monitoring checklists while onsite.

### **Fiscal Monitoring**

Activities of the financial monitoring at Local Agencies will include:

- Review financial records.
- Review purchasing and bidding practices.
- Review payroll and documentation.
- Review vendor payments for accuracy and cost reasonableness.
- Review project costs for reasonableness.



## Program Monitoring

Activities of the program monitoring at Local Agencies will include:

- Review client files and check for required forms.
- Review work orders, production, expenditures, invoices, and related compliance issues.
- Review material, tool, equipment, equipment maintenance records, vehicle property records and inventory.
- Review client flow charts and scheduling practices.
- Review crew safety policies, meeting and personnel files, and practices.
- Review insurance policies.
- Inspect warehouse and vehicles.

## Technical Monitoring

An overall assessment of Agency field practices will be performed using the Technical Monitoring Guide and onsite inspections.

Technical monitoring assesses the audit and inspection processes. This is accomplished by reviewing inspection reports and accompanying agency personnel on an audit, an inspection, or both.

Commerce inspectors periodically perform onsite inspections and document effectiveness, workmanship, appearance, and compliance with installation specifications and policies.

## Testing and Verification in the Field

Technical Monitoring may include a visit to a job in progress to verify health & safety and other Weatherization practices. Visits may include review of the following:

- MSDS sheets for potentially hazardous materials and substances
- First Aid Kits available at work site
- Prevailing Wage Compliance
- Lead Safe Work field procedures for compliance
- Diagnostic and combustion safety testing procedures
- Occupant interview

Commerce strongly encourages Local Agencies to make any corrections identified while the Commerce inspector is onsite.

## Local Agency Responsibilities

Commerce expects the Local Agency to:

1. Schedule the auditor/inspector to be present on site.
2. Supply the equipment necessary to access all areas of the structure and to perform all diagnostic and combustion safety tests required for a home energy audit.
3. Fix corrections while onsite.
4. Make key personnel and records available.
5. Schedule appropriate Local Agency personnel for entrance and exit conferences.
6. Inspect 100 percent of all completed units in accordance with Policy 7.1.A.2 to verify compliance with Weatherization Standards.



## **Monitoring Report**

Monitoring reports and inspection reports are sent via email. Corrective Action Responses must be via email in digital format (word, pdf, etc.). The Monitoring and Compliance Manager reviews the monitoring report with the Lead Monitor and the Resource and Development Team member assigned to that Local Agency. Commerce will complete and email a final monitoring report to the Executive Director and Weatherization Coordinator within thirty (30) days of the monitoring visit.

## **Agency Response to Monitoring**

The Local Agency has thirty (30) days to respond to the action items noted in the report. Commerce expects the Local Agency to describe how they are changing processes or improving systems to address areas of concern. The response should provide specific steps taken or planned to correct the finding or to follow up on recommendations made by the Commerce monitor. Commerce reviews the response and verifies Local Agency actions during subsequent visits.

The Lead Monitor who wrote the report reviews the responses to all findings for completeness. The Resource Assessment and Development (RAD) representative and the Compliance Manager also review responses to findings. If the response is unacceptable, the RAD team representative may be engaged to follow up with the Local Agency to bring resolution to any concerns or findings. The monitor and inspection coordinator maintains a file that tracks response times and may send a reminder email if responses are not received by the due date.

## **Job Rework Guidelines**

Any jobs that were deemed as callbacks during a monitoring visit shall be corrected as instructed in the WIDS Inspection Report. The Local Agency must re-inspect and document all corrections that were not fixed while the Commerce inspector was onsite.

Commerce routinely chooses one or more sites to verify corrected work from previous inspections. If the work was satisfactorily corrected while the Commerce inspector was onsite, the project will not be re-visited.



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**Washington State Weatherization  
Inspection Process**



## Weatherization Inspection Process

### Pre-Visit

Time Frame	Task	Assignment
3-6 months advance <input type="checkbox"/>	1. Develop quarterly inspection schedule. New schedule will consider: <ul style="list-style-type: none"> <li>• Inspector Leave</li> <li>• Meetings/Conferences/Trainings</li> <li>• Last week of quarter open for clean-up tasks</li> <li>• Allowing adequate preparation time</li> <li>• Avoid more than 2 consecutive travel weeks</li> <li>• Popular holiday considerations</li> <li>• Number of inspectors needed for production levels</li> </ul>	Scheduling Coordinator
3-6 months advance <input type="checkbox"/>	2. Send notice of proposed visit date and purpose to Executive Director (ED) and Weatherization (WX) Coordinator for mutual agreement. <ul style="list-style-type: none"> <li>• Set or adjust schedule based on responses.</li> <li>• Send confirmation to WX Coordinator and ED</li> <li>• Update CSHD Combined Monitoring Calendar</li> <li>• Send appointments to Lead Monitors and Inspectors.</li> </ul>	Scheduling Coordinator
2 weeks prior to beginning of new quarter <input type="checkbox"/>	3. Confirm unit completions reported in Weatherization Information Data System (WIDS) 16 <sup>th</sup> day of the month prior to the beginning of the quarter. <ul style="list-style-type: none"> <li>• Review 3 month production period beginning 4 months prior.</li> <li>• Address any discrepancies with agency.</li> <li>• Use Performance Assessment Tool (PAT) to determine needed inspections.</li> <li>• Adjust inspector schedules based on needed inspections.</li> </ul>	Scheduling Coordinator

30 day advance <input type="checkbox"/>	4. Send inspection reminder to ED and Wx Coordinator.	Scheduling Coordinator
30 day advance <input type="checkbox"/>	5. Build base trip in WIDS. <ul style="list-style-type: none"> <li>• Reconfirm unit count for the target period.</li> <li>• Notify Lead Monitor/Inspection team of base trip in WIDS.</li> </ul>	Scheduling Coordinator
2 to 4 week advance <input type="checkbox"/>	6. Select units in WIDS for inspection. Unit selection should include various types of projects that reflect a representative sample of production by the Local Agency. Criteria used in the selection of units includes: <ul style="list-style-type: none"> <li>• Project Costs</li> <li>• Fund Sources</li> <li>• Diagnostic results</li> <li>• Heat Source</li> <li>• Presence of combustion appliance</li> <li>• Agency Auditor/Inspector</li> <li>• Contractor</li> <li>• Building Type</li> </ul>	Lead Monitor
2 to 4 week advance <input type="checkbox"/>	7. Send notice of selected units to Agency WX Coordinator and Commerce inspector for scheduling and onsite visit. <i>The Commerce Inspector or Lead Monitor continues coordination with agency until inspection schedule is complete in WIDS.</i>	Lead Monitor
1 to 2 week advance <input type="checkbox"/>	8. Desk Review <ul style="list-style-type: none"> <li>• Review previous monitoring report(s) Note action items and TA.</li> <li>• Review previous inspection report(s) Note repeated corrections.</li> <li>• Determine possible re-inspection sites.</li> <li>• Review previous agency responses.</li> </ul>	Monitor, Inspection Team Member
Week prior <input type="checkbox"/>	9. Prepare Visit Specific Paperwork <ul style="list-style-type: none"> <li>• Prepare file review checklists.</li> <li>• Prepare scope of work reports from WIDS for each inspection unit.</li> <li>• Prepare questions for WX Coordinator or Auditors if applicable.</li> </ul>	Monitor, Inspection Team Member
Week prior <input type="checkbox"/>	10. Reconfirm agency visit final logistics with agency contact.	Monitor, Inspection Team Member

<b>During Agency Visit</b>		
During Visit <input type="checkbox"/>	11. Review Agency Weatherization Files <ul style="list-style-type: none"> <li>• Complete Inspection Portion of File Review Checklist for every site visited.</li> <li>• Compare measures installed (scope of work) with measures reported in WIDS.</li> </ul>	Monitor, Inspection Team Member
During Visit <input type="checkbox"/>	12. Review file(s) of re-inspection sites to confirm validity of response. <ul style="list-style-type: none"> <li>• Use discretion to schedule site visit</li> <li>• Use discretion call client to confirm fix</li> </ul> <i>Use previous 2 reports or responses to select re-inspection sites.</i>	Monitor, Inspection Team Member
During Visit <input type="checkbox"/>	13. Site inspections: (Priorities) <ul style="list-style-type: none"> <li>• Verify Health and Safety measures.</li> <li>• Review and verify Diagnostic Test Report and Combustion Safety Report</li> <li>• Inspect and verify installed measures</li> <li>• Identify any missed opportunities</li> <li>• Take photos for documentation and training</li> </ul>	Monitor, Inspection Team Member
During Visit <input type="checkbox"/>	14. Provide applicable training and technical assistance (T&TA) with agency personnel. Review photos with agency personnel if possible.	Monitor, Inspection Team Member
During Visit <input type="checkbox"/>	15. Conduct exit conference with WX Coordinator, ED if possible, and others of agency choosing.	Monitor, Inspection Team Member
During Visit <input type="checkbox"/>	16. Enter inspection data into WIDS daily if possible.	Monitor, Inspection Team Member

<b>Post-Visit</b>		
Immediately following visit <input type="checkbox"/>	17. Finish any remaining reporting in WIDS. Complete rough draft by the end of visit week if possible.	Monitor, Inspection Team Member
Week following visit <input type="checkbox"/>	18. Forward completed inspection report to Report Coordinator. <i>Target = Close of Business Monday.</i>	Monitor, Inspection Team Member
Week following visit <input type="checkbox"/>	19. Send report to agency by Noon Tuesday following visit. <ul style="list-style-type: none"> <li>A response to the report (if required) is due in 30 days.</li> </ul> <i>Target = Close of Business Tuesday.</i>	Report Coordinator
Week following visit <input type="checkbox"/>	20. Enter report information, date sent, and response required date in Report Status spreadsheet.	Report Coordinator
Upon Receipt of Response <input type="checkbox"/>	21. Record date of response receipt in Report Status spreadsheet. <ul style="list-style-type: none"> <li>Forward report to site inspectors or monitor for review.</li> <li>Send confirmation of response receipt to agency within 1 working day.</li> </ul>	Report Coordinator
Within 5 working days of response receipt <input type="checkbox"/>	22. Review response and approve or reject with comments. <ul style="list-style-type: none"> <li>Send approval or rejection notice within 5 working days.</li> <li>Identify and record priority projects for possible re-inspection for next visit.</li> </ul>	Monitor, Inspection Team Member, Report Coordinator
Daily <input type="checkbox"/>	23. Monitor Report Status spreadsheet and notify agencies regarding any delinquent reports. <ul style="list-style-type: none"> <li>Grant extension requests on a case by case basis and update Report Status spreadsheets with adjusted due dates and reasons noted.</li> </ul>	Report Coordinator



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# Washington State Weatherization **Monitoring Process**



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<b>Weatherization Monitoring Process</b>		
<b>Pre-Visit</b>		
<b>Time Frame</b>	<b>Task</b>	<b>Assignment</b>
3 months advance <input type="checkbox"/>	1. Send notice of proposed date, purpose, and scope of the visit to Executive Director (ED) and Weatherization (WX) Coordinator for mutual agreement. <ul style="list-style-type: none"> <li>• Allow one week per monitoring.</li> <li>• Set or adjust schedule based on response.</li> <li>• Send confirmation to WX Coordinator and ED.</li> <li>• Update CSHD Combined Monitoring Calendar.</li> <li>• Send schedule appointment to Lead Monitor.</li> </ul>	Scheduling Coordinator
2 months advance <input type="checkbox"/>	2. Weatherization Monitoring Questionnaire: <ul style="list-style-type: none"> <li>• Send the Weatherization Monitoring Questionnaire (Program, Financial, and Technical) to Executive Director (ED) and Weatherization (WX) Coordinator for updates and revisions.</li> <li>• Local Agency returns completed Monitoring Guides to Commerce no later than one month prior to monitoring visit.</li> </ul>	Lead Monitor
30 days advance <input type="checkbox"/>	3. Send reminder of visit to ED and Wx Coordinator.	Scheduling Coordinator
2-4 week advance <input type="checkbox"/>	4. Communication <ul style="list-style-type: none"> <li>• Contact agency if guides have not been submitted.</li> <li>• Answer any questions from Agency contact.</li> <li>• Prepare and send proposed local agency monitoring plan agenda outlining what records, files, information, in progress site visits, agency personnel needed during visit, and exit conference time.</li> </ul>	Lead Monitor

<p>2-4 week advance <input type="checkbox"/></p>	<p>5. Desk Review. Evaluate the following:</p> <ul style="list-style-type: none"> <li>• Weatherization Monitoring Guides</li> <li>• General Weatherization Work Plan</li> <li>• Previous WX Monitoring Report. Note findings, action items, and TA.</li> <li>• Previous WX Inspection Report(s) Note repeated corrections or trends.</li> <li>• Possible re-inspection sites.</li> <li>• Previous agency responses.</li> <li>• Resource and Development Team issues and concerns including planned expenditures vs. actual expenditures.</li> <li>• Previous fiscal report(s), unresolved concerns, questioned issues, or findings. If Fiscal Monitoring was conducted less than one year prior to Weatherization monitoring some areas of the WX Fiscal Monitoring guide may not need additional review.</li> <li>• Prior year-end summary report to look for any patterns.</li> <li>• Any photos.</li> <li>• Identify potential focus areas for verification during visit.</li> </ul> <p>Address or clarify questions regarding policies, specifications, or regulations identified during desk monitoring prior to the visit.</p>	<p>Monitor</p>
<p>2 to 4 weeks advance <input type="checkbox"/></p>	<p>6. Hotel and Car Arrangements</p> <ul style="list-style-type: none"> <li>• Reserve hotel and car.</li> <li>• Confer with Inspection Team Member on logistics.</li> </ul>	<p>Lead Monitor</p>
<p>Week prior <input type="checkbox"/></p>	<p>7. Prepare monitoring notes to include copies of any pertinent documents. Meet with any applicable Commerce staff as needed.</p>	<p>Lead Monitor</p>
<p>Week prior <input type="checkbox"/></p>	<p>8. Reconfirm final logistics with agency contact and inspection team member (if applicable).</p>	<p>Lead Monitor</p>

During Visit		
<p>During Visit</p> <input type="checkbox"/>	<p>1. Arrive at agency on time</p> <ul style="list-style-type: none"> <li>• Conduct entrance interview</li> <li>• Verify agency responses to previous monitoring/inspection findings, corrections, concerns, and recommendations.</li> <li>• Review weatherization files</li> <li>• Consider re-inspection verification and in-progress visit.</li> </ul>	<p>Monitor</p>
<p>During Visit</p> <input type="checkbox"/>	<p>2. Verify program management system by completing the Program Monitoring Guide Parts 1-5</p>	<p>Monitor</p>
<p>During Visit</p> <input type="checkbox"/>	<p>3. Verify financial management system by Completing the Financial Monitoring Guide Parts 6-8</p>	<p>Monitor</p>
<p>During Visit</p> <input type="checkbox"/>	<p>4. Verify technical service delivery system by completing the Technical Monitoring Guide Parts 9-10</p>	<p>Monitor, Inspection Team Member</p>
<p>During Visit</p> <input type="checkbox"/>	<p>5. Conduct exit conference with WX Coordinator, ED, and other agency staff.</p> <ul style="list-style-type: none"> <li>• Summarize visit</li> <li>• Discuss findings, action items, and concerns</li> <li>• Summarize Technical Assistance and recommendations.</li> <li>• Ask for additional questions</li> <li>• Identify agency strengths</li> <li>• Thank the Agency for their time and attention.</li> </ul>	<p>Monitor, Inspection Team Member</p>

<b>Post-Visit</b>		
Week following visit <input type="checkbox"/>	1. Complete draft of monitoring report 2. Update the Report Status spreadsheet 3. Share any urgent findings or concerns with appropriate Commerce staff. (RAD team, Fiscal Monitor, Compliance Manager, Unit Manger)	Report Coordinator, Lead Monitor
2-3 Weeks following visit <input type="checkbox"/>	4. Schedule monitoring report review. 5. Finalize monitoring report in consultation with appropriate staff. 6. Update the Report Status spreadsheet	Lead Monitor, RAD Team Member, Compliance Manager, Report Coordinator
4 Weeks following visit <input type="checkbox"/>	7. Send monitoring report and survey to agency via email to WX Coordinator and CC Executive Director within 30 calendar days.	Lead Monitor, Report Coordinator
Upon Receipt of Response <input type="checkbox"/>	8. Update Report Status spreadsheet upon receipt of response. <ul style="list-style-type: none"> <li>• Forward monitoring report responses to lead monitor.</li> <li>• Send receipt confirmation to agency via e-mail.</li> </ul>	Report Coordinator
Within 5 working days of response receipt <input type="checkbox"/>	9. Review monitoring response and accept or require further Local Agency response via email. Coordinate with RAD team as necessary.	Monitor, Inspection Team Member
Daily <input type="checkbox"/>	10. Monitor quarterly report status and notify agencies regarding any delinquent reports. <ul style="list-style-type: none"> <li>• Grant extension requests on a case by case basis.</li> <li>• Adjust due dates and note reason in Report Status Spreadsheet.</li> <li>• Consider remedial action if Agency does not respond or refuses to comply according to DOE Financial Assistance Rules (10 CFR Part 600.243).</li> </ul>	Report Coordinator, Compliance Manager



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# Washington State Weatherization Monitoring Questionnaire

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## WASHINGTON STATE WEATHERIZATION MONITORING QUESTIONNAIRE

Program Year(s): **2012-2013**

Local Agency:  
Completed By:

Date:

Commerce Reviewer:  
Commerce Monitor:

Date:

### Instructions

1. Complete the 3 tables at the beginning of the questionnaire.
2. Enter a written response in the shaded area for each question. Be sure to answer the *entire* question. You may be contacted for additional information or clarity prior to the visit.
3. Email a complete updated questionnaire to the Commerce monitor no later than 30 days prior to the scheduled monitoring visit.
4. Email current copies of the following documents to the Commerce Monitor no later than 30 days prior to the scheduled monitoring visit.
  - Organizational chart showing the Weatherization Program
  - Dispute resolution process
  - Owner/Agency Agreement
  - Written internal monitoring and inspection procedures (Refer to Policy 7.1)
  - A copy of the Local Agency's written policies on inventory
  - Provide a copy of the last quarterly reconciliation of inventory
  - A written copy of the Local Agency Procurement Process
  - Your key parameters for TREAT (measure costs, fuel rates, weather stations)
  - A TREAT .tpg file of a typical housing type
5. Please have the following documents ready for Monitor review during visit.
  - The Grantee Award Contract (DOE)
  - The Weatherization State Plan (DOE)
  - The most recent fiscal and programmatic monitoring reports from Commerce (DOE)
  - The Weatherization Manual (DOE)
  - BPI certifications for all auditors and inspectors
  - OSHA 10 and OSHA 30 certifications (as applicable)
  - Lead Safe WX and Work Practices and RRP Renovator Certifications (as applicable)
  - Current calibration records for manometers
  - Current calibration records for combustion testers

**COMMERCE STAFF:** Verify the above documents are current and available onsite.

*NOTE: References included in this document are to the Policy and Procedures Manual for Managing the Low Income Weatherization Program 2009 Edition with 2010/2011 revisions.*

## LOCAL AGENCY STAFF ROLES AND RESPONSIBILITIES

<b>Table 1: Program Duties By Work Flow</b>		
	<b>Primary Person</b>	<b>Alternate</b>
<b>APPLICATION</b>		
Application imported from LIHEAP	■	■
Local Agency creates Weatherization application	■	■
Verify Weatherization application & eligibility	■	■
Verify eligibility of dwelling unit	■	■
Prioritize application/maintain priority list	■	■
<b>ENERGY AUDIT</b>		
Prioritize energy audit schedule	■	■
Schedule energy audit with client	■	■
Conduct energy audit	■	■
Client signature on work agreement	■	■
<ul style="list-style-type: none"> <li>• <b>Decision</b> to deny or defer unit</li> <li>• <b>Notify</b> applicant of deferral/denial</li> <li>• <b>Notify</b> applicant of job status</li> </ul>	■	■
<b>MEASURE INSTALLATION</b>		
Schedule subcontractors	■	■
Subcontractor management	■	■
Coordination of work flow	■	■
Crew scheduling (if applicable)	■	■
Install measures (if applicable)	■	■
Supervise installation of measures (if applicable)	■	■
Receive & verify invoices	■	■
Inspect materials & labor for completed measure(s)	■	■
<b>FINAL INSPECTION</b>		
Determine job is ready for final inspection	■	■
Attains owner sign-off	■	■
<b>WIDS</b>		
Data entry	■	■
<b>Notes:</b> ■		





<b>Table 3: Technical Staff Duties</b>	
<b>Description</b>	<b>Name and Title</b>
Performs initial energy audits	
Prepares WX work orders	
Is proficient in TREAT	
Identifies work to be done on heat systems	
Performs final inspections of heat systems	
Performs combustion analysis	
Provides pre and post conservation Ed.	
Conducts final inspections	
Other:	

**COMMERCE STAFF:** Notes

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## PROGRAM REVIEW QUESTIONS

**COMMERCE STAFF:** Review sample (minimum of 3) closed client files and complete the Client File Review Checklist for each.

1. (DOE) Describe how the Local Agency stays current with the most recent approved State Plan, Policies and Procedures, and Program Notices. How are changes and updates implemented?  
[Redacted]

2. Does the Local Agency do any fee-for-service weatherization activities? (P6.6.A.3.b)  
[Redacted]

### Training & Safety

3. Describe the system used to ensure subcontractors and crews have required training (e.g., LSW)? (S1.1, P9.1.B.1)  
[Redacted]

4. Are all required subcontractors and staff trained in Lead Safe Work practices and have HUD/EPA Renovator, Repair, and Paint (RRP) certification? (S21.0)  
[Redacted]

5. Are training and technical assistance expense forms complete and ready for review? (P6.5A)  
[Redacted]

6. Describe current Local Agency training needs.  
[Redacted]

### Health & Safety

7. How does the Local Agency maintain Material Safety Data Sheets (MSDS) on materials used? (P9.1.B.1)  
[Redacted]

8. How are MSDS sheets made accessible to all installers and/or sub-contractors? (P9.1.B.1)  
[Redacted]

9. Are safety meetings conducted monthly and minutes on file? (P9.1.B.1.b)

10. How does the Local Agency insure compliance of their subcontractors and crew with health & safety requirements? (P9.1.B.1)

### Deferral/Denial

11. How many applications have been deferred in the last 12 months? (P5.5, EX 5.5A)

12. What reason is most often the cause for deferral?

**COMMERCE STAFF:** Review sample files from Local Agency deferral list and standard deferral letter.

### Applicant Dispute Resolution Process

13. How many disputes were filed in the last 12 months?

14. How many disputes are unresolved?

**COMMERCE STAFF:** Review the Local Agency's Dispute Resolution Process and unresolved disputes if any. Verify Exhibits 1.4.1C and D are provided to tenants prior to weatherization work beginning in rental units.

### Eligibility & Workflow Process

15. Describe the Local Agency process for weatherization applications including interface with energy assistance intake, eligibility verification, audit schedule, prioritization, and notification to the client etc. (P1.2, P1.1, P1.2.1.A.2.)

16. (DOE) Describe the Local Agency intake process that ensures homes are accurately identified as eligible for re-weatherization. (P1.6.A.4.a)



17. (DOE) Describe how the Local Agency complies with the state's historic preservation guidelines and how these types of units are tracked and reported. (P 1.9)



**COMMERCE STAFF:** Review Local Agency procedures and verify that intake and eligibility process is in compliance with policy and procedures. (P 2)



### Outreach

18. Has the Local Agency outreach plan to serve low income Native Americans been reviewed and approved by Commerce? Yes/No Date approved: (P1.1.1)



19. Describe the Local Agency's outreach methods including special efforts to reach priority households. (P 1.1)



### Priority Policy & Implementation

20. Describe the Local Agency's process for tracking and prioritizing households for weatherization service. (P1.2.1.A.2.b, P1.1)



21. Describe how the Local Agency maintains the confidentiality of client records? (P 2.A.6)



**COMMERCE STAFF:** Verify the implementation of the Local Agency's prioritization policy for fairness and consistency.



### Production/Workflow

22. If given the opportunity, would the Local Agency accept additional funding during the period of the contract? Yes/ No





23. If 'yes,' what steps would the Local Agency need to take to produce additional units?  
[Redacted]

24. If there were unspent funds in the prior contract, explain why such funds weren't utilized.  
[Redacted]

25. If there were unspent funds in the prior contract, identify actions the Local Agency could implement (or did) to prevent this in current and future contracts.  
[Redacted]

26. How has the level of staffing and/or subcontracting changed over the last year and why?  
[Redacted]

27. Are changes planned for the current contract cycle?  
[Redacted]

28. List any problems or concerns regarding planned vs. actual production and/or expenditures.  
[Redacted]

29. If there are seasonal or other variables that effect production, please describe.  
[Redacted]

**COMMERCE STAFF:** Review Table 1 *Duties by Work Flow*. Comments:

[Redacted]
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### Reporting

30. (DOE) Describe the Local Agency process for reporting completed units to Commerce both the reporting of production and verification of those completions. (P8.7, P8.7.A.3.b)  
[Redacted]

31. Are there discrepancies between the closed units reported in WIDS and the Local Agency's records? Yes/ No – if 'yes,' explain.  
[Redacted]



## Quality Assurance

32. Describe how the Local Agency communicates and tracks weatherization job status internally.



33. Describe how the Local Agency tracks quality assurance and final inspections and how is this information used for quality improvement? (P7.1)



**COMMERCE STAFF:** Review the Local Agency internal monitoring and inspection procedures for compliance with Commerce policy and verify implementation. Review the agency's job status tracking systems.



## FISCAL REVIEW QUESTIONS

### Control Environment

34. Describe how the Local Agency ensures compliance with grant and contract requirements (and changes therein)?

[Redacted]

35. (DOE) Describe how the Local Agency ensures compliance with Davis Bacon and Washington State Prevailing Wage Requirements?

[Redacted]

36. It is essential for Local Agencies to notify Commerce of any potential financial conditions that could adversely impact program operations. Examples of these conditions include pending legal activity by a vendor, client or employee; organizational cash flow shortages; allegations or investigations of fraud or embezzlement. In the past 3 years, has the Local Agency experienced any such potential financial conditions? If so, please describe.

[Redacted]

**COMMERCE STAFF:** Verify the following information in the Audit Review Database regarding the Local Agency's A133 Audit:

Agency's Fiscal Year: ..... [Redacted]  
Audit Due Date: ..... [Redacted]  
Date Received: ..... [Redacted]  
Date Completed if Received Late: ... [Redacted]  
Any Findings?..... Select  
Issues or Concerns for follow up: .... [Redacted]

Notes: [Redacted]

### Assessment of Organizational Capacity

37. Identify any significant changes to the weatherization program over the past year. This would include any new activities/programs never undertaken before or change in management.

[Redacted]

38. Describe the equipment and cost allocation plan if the Local Agency allows equipment or vehicles purchased with Weatherization Program funds to be used by other programs. (P6.6.A.1)

[Redacted]



## Checking Costs of Corrections

**COMMERCE STAFF:** Review a sample of costs incurred to bring units into compliance with the program specifications as a result of Commerce's onsite inspections and complete the Correction Follow-up Table. (WX WPN 11-03, Dec 15, 2010)

## Fiscal Expenditure Tracking & Vendor Payment

39. (DOE) Describe the Local Agency process leading to the development of a voucher to Commerce.



40. (DOE) Describe how the costs or fixed prices are determined for weatherization materials and services.



41. (SAO) Describe the process for determining if costs for weatherization materials, services and program support are reasonable.



42. Describe how the Local Agency takes advantage of the sales tax exemption for weatherization materials.



43. (DOE) Describe the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities.



44. Describe the process used to ensure weatherization costs are allocated to multiple fund sources in accordance with program regulations.



45. (DOE) Describe the Local Agency process for paying contractors.



46. Describe how the Local Agency ensures and documents that all measures pass a final inspection prior to payment and reported as completed in WIDS. (P7.1 A, B)

**COMMERCE STAFF:** Verify program operation costs are in compliance with Policy 6.4. Use the Invoice Tracking Table to review a sample of subcontractor billing statements/invoices (or crew work orders) to verify sufficient information to track actual services by installed measures and cost reasonableness.

### Insurance

47. Describe the process for ensuring all subcontractors have current POI insurance with the Local Agency named as additional insured as applicable. (Exhibit 9.10.7)

**COMMERCE STAFF:** Verify with Commerce Insurance Database Administrator that current insurance information is on record. If not available or current, insurance certificate must be sent to central database by the Local Agency. Insurance requirements include: commercial/general liability, professional liability, automobile and fidelity (theft/crime), Pollution Occurrence Insurance (POI), and Errors and Omissions Insurance (EOI) if applicable.

### Cost Allocation

48. Describe the Local Agency Cost Allocation Plan for allocating administrative and program expenses to the Weatherization Program. (P 6.3 A 4)

### Inventory (P8.12)

49. Describe the system used by the Local Agency to secure inventory; control losses, damages and theft.

50. Describe your reconciliation system.

51. Describe how does the local agency records and resolves variances?



**COMMERCE STAFF:** Evaluate the submitted inventory plan for compliance with Policy 8.12. If plan does not meet requirements, a revised plan must be submitted 10 days prior to onsite monitoring. Review inventory records onsite for accuracy and implementation according to the written plan.

**Procurement**

52. (DOE) Describe the Local Agency process used to procure weatherization contractors or specialty contractors that ensures compliance with the Policies, General Terms and Conditions, and appropriate OMB Circulars.

53. Describe the process used by the Local Agency to verify that all materials used in the Weatherization Program meet Commerce specifications, standards, and recycled content requirements? (P6.4.1)

**COMMERCE STAFF:** Use the Procurement Checklist and Subcontractor File Checklist to verify Local Agency procedures.

**COMMERCE STAFF:** Use the Vendor Selection for Equipment and Subcontractors form to Examine transaction(s) of 5K or greater (if any).

## TECHNICAL REVIEW QUESTIONS

### Comprehensive Technical Checklist

**COMMERCE STAFF:** Select a sample unit(s) for onsite review. The sample(s) may include a completed unit, an in-progress unit, an energy audit, or a final inspection.

- Enter review info into the Comprehensive Technical Checklist prior to going on site.
- Complete the remainder of the checklist following the onsite visit.
- Complete a checklist for each sample unit.
- Review results with agency technical staff.

### Energy Audit/TREAT

54. Describe the process used by the Local Agency to complete comprehensive onsite energy audits (P 5.1):

55. How many computerized energy audits (TREAT) has your Local Agency performed in the last year?

56. Describe typical types of weatherization related repairs your agency performs and justification process.

### Time and Materials

57. What is the average length of time it takes for your agency to weatherize a single family dwelling?

58. How does your agency ensure materials utilized meet 10CFR440 Appendix A standards? (P 6.4.1)

59. Describe how the Local Agency communicates and documents warranty information to the client? (Policy 8.4.1)

### Priority List/Scope of Work

60. Describe the Local Agency process for identifying measures to be installed and developing a scope of work. (P 5.1.A)

█

61. Describe the Local Agency process for documenting in the client file reasons priority list measures are skipped or not performed. (P 5.1.A.2)

█

62. Describe the local agency work order process. (For example does it include the amount of materials to be installed for each measure and an estimated cost of installation including the number of labor or man-hours?)

█

63. Describe the Local Agency process for change orders.

█

**COMMERCE STAFF:** Review Local Agency scope of work development process using the 3 files selected for Program Review. Verify measures not allowed by the Priority List, skipped Priority Measures, and Weatherization Related Repairs are justified. Verify Local Agency process to insure Health and Safety Related Repairs are justified, allowable, and reasonable. (P 5.3 and 5.4)

█

### Combustion Safety/HVAC

64. Does the agency perform evaluation (inspection) of heating and air systems prior to the beginning of weatherization work? (S 12.1)

█

65. Identify the training in heating and air systems by any staff performing HVAC inspections for the Local Agency.

█

### Client Ed/Other

66. How and when is conservation education delivered to the client? (P 5.1.B.1)

█

67. Does your agency document work -performed on each home by utilizing pre and post photographs?

### Inspection Procedures

68. Describe how the local agency conducts and documents in-progress inspections to allow payment prior to completion of the project? (P 7.1.B)

69. Describe the process for final inspection and certification of each weatherization project.

**COMMERCE STAFF:** Verify Local Agency has a process in place to ensure all projects receive a comprehensive final inspection and a signed verification. Verify Local Agency process to ensure no payment is made for weatherization services prior to Local Agency review, verification, and inspection.

### Health and Safety

70. Are the required monthly onsite inspections of each crew documented? (P 9.1 C)

71. Are all field staff current on First Aid and CPR proficiency and is this documentation ready for review? (P 9.1 A)

72. How does the Crew Lead or Coordinator ensure the proper use of personal protective equipment (PPE) on the job site? (P 9.1.B.2.b)

**COMMERCE STAFF:** Inspect work vehicles and equipment storage using WX Equipment Checklist.

**COMMERCE STAFF:** Notes:



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# Washington State Weatherization **Monitoring Exhibits**





Agency:	Date:
Monitor:	

## Local Agency Weatherization Monitoring Plan

Visit Dates:

Proposed Agenda:

Date/Time	Description

Agency:	Date:
Monitor:	

## Entrance Interview

Agency Personnel Present:

Commerce Personnel Present:

Others (identify organization):

Review the following:

- Purpose of the monitoring visit
  - ✓ Verify best possible services are being delivered to the low income population
  - ✓ Verify program and fiscal compliance and accountability
  - ✓ Verify quality technical work
  - ✓ Assess the need for training or technical assistance
  
- Areas to be monitored
  - ✓ Program, Fiscal and Technical
  - ✓ Eligibility
  - ✓ Scope of Work and Priority List
  - ✓ Final inspections
  - ✓ Cost tracking and reasonableness
  
- Monitor needs
  - ✓ staff introductions,
  - ✓ access to records,
  - ✓ interview schedule,
  - ✓ site visit schedule, etc.)
  
- Time frames
  
- Exit conference schedule and location

Notes:



Agency:	Date:
Monitor:	

### Previous Finding/Required Response Follow Up

Review previous monitoring reports for findings or response items which required resolution through procedural changes. Identify the findings or response items below, review the actions or procedural changed, and determine if the changes have effectively corrected the finding.

Describe Finding(s):

Corrective Action by Local Agency:

Has Corrective action implemented by agency been effective in resolving the finding?

Yes  No

If No, describe additional corrective action required:

Describe Other Required Response Items:

Corrective Action by Local Agency:

Has Corrective action implemented by agency been effective in resolving the finding?

Yes  No

If No, describe additional corrective action required:

Notes:



<b>WX Client File Review Checklist</b>	
Client:	
Project #:	
Weatherization application or HIF eligibility info (p1.2)	Date:
Unit initial audit date (w/in one year of eligibility) (p1.3)	Date:
Recertification app, if appropriate (p1.3)	Date:
Income Eligibility Documentation (p 2.A.5)	
Verification of ownership (tax statement, deed, title) (p3.1)	
Owner / agency agreement (rental) (p1.4.1)	
Pre work authorization (s2.4)	
Comprehensive/WX-specific scope of work (p5.1.b.1.a.9)	
Historic preservation (p1.9,s2.2.1,ex1.9a)	
List of priority measures applied or TREAT (s2.7, s2.8, ex5.1.3.a)	
Mechanical ventilation worksheet (p9.3)	
Materials and labor cost information (s2.6.3)	
Invoices for Materials, Measures, Services (p5.1)	
Knob & tube inspection (s6.8,s8.0b, ex9.2)	
Two dated photographs of the dwelling unit (s2.5.1)	
Completed commerce diagnostic test report (p5.1.b.1.a.(3), ex5.s3a)	
Completed commerce combustion safety test report (p5.1.b.1.a.(4),ex5.3.1a)	
Energy audit assessment info (p5.1.b.5) Sq ft, insul. levels, heat type, etc.	
Copies of all applicable permits (s1.3.1)	
Mold and moisture form, Pollution Source Survey (s2.2, ex5.s1)	
Lead awareness info documentation (p1.10 s21.3)	
Existing Hazard List (p 5.1.b.1.a.2)	
CO Monitors	
List of WX Repairs and SIR verification (p5.1.b.1.a.1)	
Door and window replacement photos and justification (p5.1.1.b.a.1)	
Deferral documentation or client exceptions (p5.5.b.1.b)	
Verification of client education delivered (p5.1.b.1.a.14)	
Evidence of in-progress inspections if applicable (s3.0.3)	
CFL disposal information documentation (s24.6)	
Insulation certificate-attic, floors, walls, ducts, perimeter (P5.1.8)	
Refrigerator replacement documentation (P5.1.6.B)	
Final inspection/certification, signed and dated by agency inspector (p7.1.b)	
Completed work sign off by the tenant?	
<b>Comments:</b>	
<b>File Results:</b> Select	



Agency:	Date:
Monitor:	

WX Equipment Checklist	
<input type="checkbox"/> Eye wash:	<input type="checkbox"/> Extension cords:
<input type="checkbox"/> First aid kit(s)	<input type="checkbox"/> GFCI protection:
<input type="checkbox"/> Fire extinguishers:	<input type="checkbox"/> Safety harnesses:
<input type="checkbox"/> Glasses/Goggles:	<input type="checkbox"/> Scaffolding:
<input type="checkbox"/> Gloves: latex:	<input type="checkbox"/> Walk planks:
<input type="checkbox"/> Gloves: heavy duty:	<input type="checkbox"/> Tyvek suits:
<input type="checkbox"/> HEPA vacs:	<input type="checkbox"/> Standard dust:
<input type="checkbox"/> Respirators:	<input type="checkbox"/> Hand power tools:
<input type="checkbox"/> Ladders:	<input type="checkbox"/> MSDS sheets:
Notes:	

Correction Follow Up	
	Client:
	Project Number:
	Correction Description:
Select	Verification:
Select	Fund Source:
Select	Notes:
	Client:
	Project Number:
	Correction Description:
Select	Verification:
Select	Fund Source:
Select	Notes:
	Client:
	Project Number:
	Correction Description:
Select	Verification:
Select	Fund Source:
Select	Notes:



Agency:	Date:
Monitor:	

<b>Invoice Tracking</b>	
	Invoice #:
	Vendor:
	Description:
	Cost:
Select	Reasonable? (Verify costs are comparable to market rates and state averages)
Select	Accurate? (Verify amounts from invoice in file to payment)
	Purchase Order Date:
	Inspection Date:
	Paid Date:
	Notes:
<hr/>	
	Invoice #:
	Vendor:
	Description:
	Cost:
Select	Reasonable? (Verify costs are comparable to market rates and state averages)
Select	Accurate? (Verify amounts from invoice in file to payment)
	Purchase Order Date:
	Inspection Date:
	Paid Date:
	Notes:
<hr/>	
	Invoice #:
	Vendor:
	Description:
	Cost:
Select	Reasonable? (Verify costs are comparable to market rates and state averages)
Select	Accurate? (Verify amounts from invoice in file to payment)
	Purchase Order Date:
	Inspection Date:
	Paid Date:
	Notes:



Agency:	Date:
Monitor:	

<b>Procurement System Checklist</b>	
<input type="checkbox"/>	Local Government (OMB A102 Apply)
<input type="checkbox"/>	Non Profit (OMB A110 Apply)
	<b>Minimum Requirements</b>
<input type="checkbox"/>	A code or standard of conduct that shall govern the performance of its officers, employees, or agents engaged in the awarding of contracts using federal funds.
<input type="checkbox"/>	Procedures that ensure all procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition.
<input type="checkbox"/>	Follow a procedure to assure the avoidance of purchasing unnecessary or duplicative items.
<input type="checkbox"/>	Solicitations shall be based upon a clear and accurate description of the technical requirements of the procured items.
<input type="checkbox"/>	Positive efforts shall be made to use small and minority-owned businesses.
<input type="checkbox"/>	The type of procuring instrument (fixed price, cost reimbursement) shall be determined by the Grantee, but must be appropriate for the particular procurement and for promoting the best interest of the program involved.
<input type="checkbox"/>	Sub-grants shall be made only with reasonable Sub-grantees who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement.
<input type="checkbox"/>	Some form of price or cost analysis should be performed in connection with every procurement action.
	<b>Minimum File Requirements</b>
<input type="checkbox"/>	Grantees selection or rejection.
<input type="checkbox"/>	The basis for the cost or price.
<input type="checkbox"/>	Justification for lack of competitive bids if offers are not obtained.
<input type="checkbox"/>	A system for Grant administration to ensure Grantee conformance with terms, conditions and specifications of this Grant, and to ensure adequate and timely follow-up of all purchases.
<input type="checkbox"/>	Grantee and Sub-grantees must receive prior approval from Commerce for using funds from this Grant to enter into a sole source Grant or a Grant where only one bid or proposal is received when value of this contract is expected to exceed \$5,000.
<input type="checkbox"/>	Prior approval requests shall include a copy of proposed Grants and any related procurement documents and justification for non-competitive procurement, if applicable.
	<b>Notes:</b>



Agency:	Date:
Monitor:	

<b>Subcontractor File Checklist</b>	
	Vendor Name and Type:
	Date of Contract Award:
	Amount:
Select	Contract
Select	Reviewed by Legal Council
Select	Insurance
Select	License
Select	Bonding
Select	Pollution Occurrence Insurance
Select	Local Agency listed as named insured provides if applicable
Select	Debarment
Select	Waiver of Lien
Select	Proof of Training
Select	Training Type:
Select	Certifications:
	<b>Notes:</b>



Agency:	Date:
Monitor:	

<b>Vendor Selection: Equipment</b>	
	Description:
	Cost:
	Vendor:
Select	Three price quotes
Select	Type of price quote: <input type="checkbox"/> Catalog <input type="checkbox"/> Written <input type="checkbox"/> Other (describe):
Select	Selection criteria (low cost, delivery terms, etc)
Select	Conformity with specifications and standards
Select	Purpose for which the equipment is required
Select	Approved purchase request form (Exhibit 6.6A)
	<b>Vehicles</b>
Select	DOE approval for vehicles if applicable
Select	Original certificates of title
Select	Lease vs. purchase evaluation
	<b>Notes:</b>

<b>Vendor Selection: Subcontracting</b>	
	Description:
	Bid due date:
	Number of bids received:
	Contract award date:
	Contract awarded to:
Select	Minority and Women Owned Business outreach documentation*
Select	RFB used for procurement action, all attachments, and any addenda.
Select	Public notice of intent to request bids, and solicitation list.
Select	Bid analysis (responsive, responsible, cost)
Select	Check if responsive to technical specifications
Select	Check for proper application of price preference to certified MBE firms.
Select	Intent to award letters.
Select	Procurements with only one or two bids
Select	Contracts awarded based on bid results
Select	Contract addenda (especially for changes in COMMERCE requirements).
	<b>Notes:</b>

\*At a minimum, such documentation shall include a copy of the solicitation list used for each procurement and a print-out of the search results for certified Office of Minority and Women's Business Enterprise (OMWBE) businesses. <http://www.omwbe.wa.gov/>.



Agency:	Date:
Monitor:	

## Comprehensive Technical Checklist

### Client/Job Information

Select

Name:		Job #:	
Address:			
Street:		Apt:	Type of Unit: Select
City:	State: WA	ZIP:	
Auditor:			
Inspector:			
Funding Sources Applied to Unit:		Allowable Expenditures:	
DOE	\$	Materials and Labor	\$
LIHEAP	\$	Health and Safety	\$
Utility	\$	WX Related Repairs	\$
Other	\$	Program Support	\$
TOTAL	\$	TOTAL	\$
<b>Comments:</b>			

### Energy Audit

Was a DOE-approved audit (TREAT) run on the house?	
If so, was the input data appropriate for the house being modeled?	
Is a DOE-approved priority list used to select weatherization measures?	
Were agency-specific fuel prices, material costs, and labor costs current?	
Were the measures recommended by the audit or priority list installed?	
Were measures installed that were not cost-justified with the audit or priority list?	
Was the cost of WX related repairs factored into the overall SIR?	
<b>Comments:</b>	

### Blower Door

Were pre-and post-weatherization blower door tests conducted?	
Was blower door test conducted during monitoring?	
Was the blower door used to guide air-sealing efforts?	
Was the building tightness limit calculated based on accurate information?	
Is the final blower door reading higher than the building tightness limit?	
Were zonal pressure diagnostics employed?	
<b>Comments:</b>	

### Air Sealing

Were typical attic by-passes sealed with air-impermeable materials?	
Were other typical floor by-passes sealed with air-impermeable materials?	
Were major holes in sidewalls sealed with air-impermeable materials?	
Did zonal pressures confirm effectiveness of by-pass sealing?	
Was the <u>target</u> building tightness achieved?	
Was mechanical ventilation installed or retrofitted?	
<b>Comments:</b>	



**Combustion Appliance Safety**

Was ambient air tested for carbon monoxide (CO)?	
Was CO in ambient air less than 9 parts per million (ppm)?	
Was CO in furnace/boiler vent less than 100 ppm?	
Was CO in water heater vent less than 100 ppm?	
Do auditors and inspectors initially start combustion analyzers outside to baseline?	
Were vent systems checked for proper materials, installation, and operation?	
Were required vent clearances from combustible materials maintained?	
Was furnace heat exchanger inspected and tested for cracks?	
Was worst-case draft test conducted on combustion appliance zone?	
Were gas valves checked for proper safety shut-off?	
Were gas lines and connections inspected for condition and leaks?	
<b>Comments:</b>	

**Heating System Efficiency**

Was the efficiency of the furnace/boiler tested?	
If so, was the tested efficiency input into the energy audit software?	
Was a heating system clean-and-tune performed?	
<b>Comments:</b>	

**Duct/Distribution System**

Were ducts in unconditioned space sealed?	
Were ducts in unconditioned space insulated?	
Were pressure pan readings taken to determine duct leakage?	
Was a duct blower used to test duct leakage?	
Was the return duct system checked for leakage?	
Were additional supply and/or return ducts installed?	
Was the temperature heat rise/drop measured?	
<b>Comments:</b>	

**Water Heater**

Were combustion safety tests conducted on water heater, as appropriate?	
Is the water heater, pipes, or fittings leaking?	
Were leaks, if any, repaired	
Was the water heater tank wrapped?	
Were water heater pipes insulated?	
Does pressure relief valve discharge tube terminate within four inches of floor?	
Were low-flow showerheads installed?	
Were faucet aerators installed?	
<b>Comments:</b>	
If I	

**Attic Insulation**

Is attic insulated per program standards?	
Was attic insulation evenly applied over entire attic area?	
Does insulation thickness appear to confirm the # of bags blown?	
Is adequate clearance maintained between insulation and furnace flues/chimneys?	
Was insulation kept away from soffit vents with appropriately installed baffles?	
<b>Comments:</b>	



**Wall Insulation**

Did installer verify the insulation blower pressure on cert. card prior to wall blow?	
Were sidewalls accessed to confirm dense-pack?	
If so, was a dense-pack uniformly achieved?	
Were there wall pops or bulges?	
Were holes plugged and siding replaced with good workmanship?	
<b>Comments:</b>	

**Floor/Rim/Foundation Insulation**

Floors, rim joist, foundation walls insulated according to program standards?	
Floors, rim joist, foundation walls insulated with quality materials and workmanship?	
Is floor insulation in substantial contact with the subfloor?	
Was crawl space vapor barrier installed according to program standards?	
<b>Comments:</b>	

**Windows and Doors**

DOE-approved energy audit shows window replacements to be cost effective?	
If windows were installed as a WX repair, is overall SIR 1.0 or greater?	
DOE-approved energy audit shows door replacements to be cost effective?	
For repaired or replaced doors, is the overall SIR 1.0 or greater?	
Required photo and written documentation for door and window replacements?	
<b>Comments:</b>	

**Electric and Base-Load Measures**

Was active knob and tube (K&T) wiring present in the home?	
K&T inspected and certified safe by a licensed electrician prior to insulation?	
Were appropriate incandescent lamps replaced with CFLs per program standards?	
Was the existing, primary refrigerator considered for replacement?	
If so, were DOE-suggested refrigerator auditing procedures followed?	
<b>Comments:</b>	

**Overall Rating**

Overall rating: Select	
<b>Overall Comments:</b>	



Agency:	Date:
Monitor:	

### **Exit Interview**

Agency Personnel Present:

Commerce Personnel Present:

Others (identify organization):

Summary of Monitoring Corrections, Recommendations, Commendations:

Notes:



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**Washington State Weatherization**

# **Additional Review Questions**

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## Additional Program Review Questions

### General

1. Are there competing programs that conflict with, or affect, weatherization production? If so, why and how do they affect production?
2. Does the Local Agency receive such services from other weatherization agencies or outside sources? If yes, from whom?
3. Describe how you handle public records requests for records relating to the weatherization program.
4. Does the Local Agency use a vehicle safety inspection checklist?

### Weatherization Staff

5. Identify any barriers, concerns or challenges regarding staff retention and hiring.
6. Does the Local Agency have a retention/ incentive plan? Yes/No
7. Are there other factors that seem to have a positive effect on employee retention (e.g., 'family-friendly,' flex-time policies, etc.)?
8. When driving a vehicle is required as part of job responsibilities is there an annual review of current Driver's Licenses for such staff?
9. Is there a written policy on vehicle use?
10. If 'yes,' does the Local Agency require a signed acknowledgement of receipt of such a policy for weatherization/other staff?
11. What is the Local Agency procedure for new employees that haven't yet had required training such as Lead Safe Work practices certification (LSW)?
12. Do you provide or arrange training for subcontractor staff? If 'yes,' what types of training?

### Training

13. Does the Local Agency have a written Training Plan for the weatherization program for the current contract year? If yes, does it include both subcontractors and staff?
14. Does Local Agency staff plan to attend any national weatherization training conferences this contract cycle? (Energy OutWest, Affordable Comfort, DOE National, etc.)

### Conflict of Interest

15. Provide a copy of the Local Agency conflict of interest policy.
16. Is the conflict of interest policy board approved? Yes/ No If, 'yes,' indicate date: xx-xx-xxxx



17. Have there been any changes since the last monitoring review (or since it was approved)?

### **Outreach**

18. Review the Local Agency deferral list and include the reasons for deferral by percentage.

19. Number of complaints, type, time to resolve:

20. Identify counties in which the Local Agency serves as the local LIHEAP agency (including those outside of the weatherization service area).

21. What mechanism does the Local Agency use to communicate orally with people with limited English proficiency?

22. What percent of WX clients come from LIHEAP referral?

23. What percent of WX clients come from Walk-in?

24. What is the current number of people on the waiting list?

25. Are there barriers that will prevent the Local Agency from achieving the goals of the Native American plan? If yes, please describe.

26. What are your general outreach/intake plans in response to funding level changes?

27. Does the Local Agency have an outreach/marketing plan? If 'yes, please describe.

28. Does the Local Agency have a written weatherization service priority policy?

29. Does the policy include priorities other than what is required in the current Weatherization Manual?

30. How does the Local Agency rank priority according to elderly, disabled, families with children under six years, persons hindered by communication barriers, Native American households, high energy consumption, high energy burden

31. How do you implement your prioritization policy?

32. Does the Local Agency retain all applications, eligible or ineligible?

33. How is the confidentiality of client records maintained?

### **Workflow**

34. What counties do you serve as the local LIHEAP agency.

35. How does Local Agency decide which cases to use for potential weatherization services?



36. How and when does the Local Agency assist household w/completing application, verify & certify eligibility.
37. At what point (and how) is the Weatherization application provided to potential customers?
38. How does the Local Agency verify Weatherization application completeness & customer eligibility?
39. How does the Local Agency verify eligibility of dwelling unit?
40. At what stage is the application information entered into WIDS as a project?
41. What is the process used by Local Agency to notify the applicant of eligibility (or reason for ineligibility & Appeal Process) and (if eligible) estimated date of service?
42. At what stage is the application prioritized for service?
43. At what stage is the audit scheduled?
44. How are priorities maintained?
45. How does the agency ensure contractors meet the Lien Waiver requirement? 8.1.4
46. How does the agency ensure the clients receive the warranty information? 8.1.4

### **Property – Records**

47. Does the Local Agency keep records for all non-consumable equipment and tools?
48. Does the Local Agency have any surplus equipment on hand? (List)
49. Is there a plan for disposal?

### **Standard equipment**

50. Are records present and is scheduled maintenance up to date for standard equipment?  
Complete Table Standard equipment - Inventory & Maintenance, (end of this part).

### **Quality Assurance/ Corrective Action**

51. Regarding the on-site inspection results from recent Commerce inspections in which corrections were identified, what changes have been made in the following areas to prevent future action items (if necessary)?
  - ✓ Quality control
  - ✓ Contractor management
  - ✓ Staff – management and training
  - ✓ Final inspection



PROPERTY CHECKLIST		
ITEM:		
1	Description, including model #, serial # or other identification.	
2	Source of funding.	
3	Acquisition cost & date. \$	Date:
4	Location, use and condition of property.	
5	Individual to whom property is assigned:	
6	Maintenance plan for all vehicles and records of maintenance completed.	
7	Power tools and power equipment with maintenance needs.	
8	Disposition date, method and amount received. Date:	
ITEM:		Yes/ No/ Comment
1	Description, including model #, serial # or other identification.	
2	Source of funding.	
3	Acquisition cost & date. \$	Date:
4	Location, use and condition of property.	
5	Individual to whom property is assigned:	
6	Maintenance plan for all vehicles and records of maintenance completed.	
7	Power tools and power equipment with maintenance needs.	
8	Disposition date, method and amount received. Date:	



STANDARD EQUIPMENT - INVENTORY & MAINTENANCE			
STANDARD EQUIPMENT		LIST TYPE OR EQUIVALENT	MAINTENANCE RECORDS AVAILABLE & UP-TO-DATE?
Blower door			
Digital manometer			
Smoke generating equipment			
Combustion analyzer			
CO testing capacity			
Draft gauge or manometer			
Heat exchanger leakage testing			
Ammeter			
Gas leak detector			
Infrared camera(s)			
Other			

## Additional **Fiscal** Review Questions

1. Does the Local Agency have an ownership interest in properties that have received weatherization services in the past year?
2. The Weatherization program represents what percent of the Local Agency's program activities?
3. Does the Local Agency use a standard Labor rate for budgeting and planning?
4. How often does the Local Agency compare the variances between standard and actual hourly rates for direct labor?
5. Has this rate been reconciled since the start of the contract?
6. Regarding personnel that perform tasks both operational and program support in nature, is the Local Agency's accounting system able to capture both categories of personnel cost?
7. Does the Local Agency incur fees or penalties for late payments to vendors?
8. Is there a formal process for handling a dispute regarding vendor payment? If yes, describe.
9. What is the average payment time period?
10. Is the Local Agency paying all contractors within 30 days, assuming there is no dispute?
11. Has the Local Agency incurred expenses for damage claims during the current contract and/or prior contract?
12. If 'yes,' identify dollar amount associated with each contract.
13. What is the Local Agency procedure for handling weatherization-related claims for damages?
14. Do you pay such claims below your deductible? If so, what funds (budget line) were used?
15. What was the dollar volume of such claims for each of the past two contracts?
16. Are there any pending claims? If so, describe.
17. Provide a copy of the Local Agency's most recent POI application, if such coverage will take effect in the current contract and is not yet in-force.
18. Describe the procurement process used by the Local Agency to acquire insurance specifically required for the weatherization program?



19. Are subcontractors covered under the Local Agency's POI policy as 'named insured'?
20. If 'yes,' what is the cost per 'named insured' and the number of 'named insured' covered under the Local Agency's POI policy?
21. If 'No' (meaning the Local Agency requires subcontractors to provide their own POI coverage as identified in the weatherization manual), how were such subcontractors informed of the requirement for pollution occurrence insurance?
22. Does the Local Agency require a signed waiver from such subcontractors that indemnifies the agency and state? Provide a copy.
23. Provide copies of the POI certificate of insurance that the Local Agency collected from such subcontractors.
24. When using subcontractors that were not awarded a contract through the sealed bid process, describe the process the Local Agency uses to assure that such subcontractors have required insurance coverage:
25. COMMERCE staff: Verify Local Agency limits for Pollution Occurrence Insurance for the following: Per occurrence, Aggregate for the policy term, Deductible per occurrence
26. COMMERCE STAFF: Verify that the Cost Allocation Plan was reviewed by audit firm and that there is evidence that the Local Agency is implementing it.

**Record-keeping:**

27. How long are weatherization client files retained and how are they stored?

**Inventory**

28. Which funding sources are used to purchase inventory items?
29. Provide a general description of the items carried in inventory and complete remainder of this section.
30. If the warehouse is Local Agency owned, how are the charges established? (Attach a copy of the most recent market study.)
31. What is the dollar estimate of any damaged or unusable materials on hand?
32. What are plans for disposal?
33. Has the program physically disposed of approved deletions from inventory?

**Reconciliation**

34. How often is inventory reconciled within weatherization program?



35. How often is inventory reconciled with the finance department?
36. How frequently are variances reported?
37. How are losses and gains recorded?
38. What is the year-to-date variance (through XXX month)?
39. What accounts for the variance?
40. What is the average monthly material write-off?
41. What accounts for the write-off?

### **Financial Audit**

42. Identify and discuss any questions/concerns regarding the last audit and fiscal monitoring report.

### **Procurement**

43. In the most recent round of procurement for program goods and services, were there any instances of receiving only one or two bids?
44. If 'yes,' identify specific instances (by type of item purchased; e.g., Refrigerator/freezer, etc.)
45. If 'yes,' what actions were taken to determine the reason and to correct the situation?

### **Appeals**

46. Were there any appeals?
47. If so, how many and what was the process for resolving them?
48. Were they upheld?

### Additional **Technical** Review Questions

1. How many blower doors does the agency own? Make and model number?
2. Number owned by the agency subcontractor(s). Make and model number?
3. Identify the training that staff and subcontractors have received in the use of the blower door?
4. Is the Energy OutWest Field Guide being used as a technical reference and to guide weatherization work?
5. What is the average length of time to weatherize a mobile home?
6. List common incidental repair activities performed by your agency.
7. How are incidental repair costs clearly identified in the client file?
8. Who selects the specific measures to be installed on eligible dwellings for weatherization?
9. Identify the major priority list measures that are being installed on single family homes by your agency.



**Department of Commerce**  
Innovation is in our nature.

**Washington State Weatherization**  
**Monitoring Report Guide**



## **Monitoring Terms and Definitions**

### **Monitoring Finding:**

Notice of lack of compliance with a significant contractual requirement requiring immediate correction and a Required Response.

### **Discrepancy:**

A term used to describe an instance of non-compliance with a contractual requirement that in our judgment does not warrant a Monitoring Finding. Contributing factors include, but are not limited to, the type of requirement, compliance history, frequency of non-compliance, extent of non-compliance, cost effectiveness to correct and/or the extent of control over circumstances. A Discrepancy does need a Required Response.

### **Recommendation:**

Notice of the existence of an inefficient activity or process, lack of a useful policy, activity or process

### **Exemplary:**

Notice of compliance or performance beyond the norm

### **Required Response:**

A communication from the contractor/grantee to the Division which describes the action intended to resolve the monitoring finding.

### **Response Review Outcome:**

A communication from the Division to the contractor/grantee that indicates the acceptance, non-acceptance, or acceptance with comments of the required response.

### **Technical Assistance:**

An on-going and collaborative process between the Division and a contractor/grantee that encompasses a range of actions throughout the life of the contract/grant. Technical Assistance is typically: informal, not pre-planned, with one contractor at a time, reactive, and during the course of monitoring/inspecting.

### **Training:**

The act of providing direction or imparting knowledge at one or more specific planned and organized events. Training is typically: formal, with a curriculum, proactive, not provided during monitoring, and may be provided to more than one contractor at a time.



STATE OF WASHINGTON

DEPARTMENT OF COMMERCE

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[Click here to enter a date.](#)

[Click here to Agency Name and Address.](#)

RE: (Agency Name) Weatherization Monitoring Report

Dear [Click here to enter Program Manager's Name:](#)

The Department of Commerce conducted a weatherization monitoring visit to your agency on (ENTER DATE). The purpose of a monitoring visit is to assess performance and verify compliance with the program, fiscal, and technical requirements of the Washington State Low Income Weatherization Program's policies, procedures, and specifications.

(ENTER NAME) conducted the weatherization monitoring for the Department of Commerce. (ENTER NAME), Department of Commerce, conducted the onsite technical inspections.

The Department of Commerce uses the Weatherization Questionnaire and Monitoring Guide to conduct weatherization monitoring. The guide includes comments, observations and details of the program, fiscal and technical monitoring. This report only includes corrective action items and recommendations. A separate inspection report and fiscal monitoring report (if applicable) will be submitted to (AGENCY NAME).

STAFF MEMBERS CONTACTED DURING THIS VISIT:

[Click here to enter text.](#)

CORRECTIVE ACTION REQUIRED: **Response Due Date:** [Click here to enter a date.](#)

Findings and Discrepancies identified during the onsite assessment are listed below and require corrective action. Please use the attached Corrective Action Response Worksheets to address the finding and discrepancies. Recommendations do not require written response. Follow-up on recommendations will occur during subsequent monitoring visits.

FINDING

DISCREPANCIES

RECOMMENDATION(S)



## SUMMARY OF RESULTS

There is (ENTER NUMBER) finding and (ENTER NUMBER) discrepancies as a result of this monitoring visit. The results of the monitoring work were reviewed during an exit conference on (ENTER DATE).

(ENTER GENERAL OBSERVATIONS, TRENDS, ETC.)

I appreciate the assistance and cooperation we received from you and all of your staff leading up to and during the visit. If you have any questions regarding this report, please feel free to contact me directly at [Click here to enter phone number and email address](#). If I am unavailable, you may contact Andrew Etue, Compliance and Inspections Manager, at (360) 725-3069 or [andrew.etue@commerce.wa.gov](mailto:andrew.etue@commerce.wa.gov).

Sincerely,

(ENTER NAME)

Monitoring and Inspections Technical Specialist  
Dept. of Commerce, HIP/CSHD  
PO Box 42525  
Olympia, WA 98504-2525

cc: (ENTER NAME), Executive Director



## Corrective Action Response Worksheet

Date:

Agency:

Monitor:

Instructions:

1. Local Agency completes parts 1 and 2.
2. Return completed form via email to:
3. **Corrective Action Response Due Date:** [Click here to enter a date.](#)

**FINDING:**

(Describe finding with Policy Reference)

**Part 1: Corrective Action Plan.** Describe the specific action steps to resolve the finding. Include person responsible, target date (if applicable) and date accomplished.

**Part 2: Plan to prevent re-occurrence of Finding:**

COMMERCE USE

Commerce Approval:	Date:
Followed Up By:	Date:
Comments:	



## Corrective Action Response Worksheet

Date:

Agency:

Monitor:

Instructions:

1. Local Agency completes parts 1 and 2.
2. Return completed form via email to:
3. **Corrective Action Response Due Date:** [Click here to enter a date.](#)

### DISCREPANCY

(Describe discrepancy with Policy or Spec Reference)

**Part 1: Corrective Action Plan.** Describe the specific action steps to resolve the discrepancies. Include person responsible, target date (if applicable) and date accomplished.

**Part 2: Plan to prevent re-occurrence of Discrepancies:**

### COMMERCE USE

Commerce Approval:	Date:
Followed Up By:	Date:
Comments:	