

WPN 12-5 Subgrantee Checklist		WPN 16-4 Subgrantee Checklist		Change(s)
Question	SECTION 1: PROGRAM OVERVIEW	Question	SECTION 1: PROGRAM OVERVIEW	
1	<p>Subgrantee should have the following materials readily on-hand.</p> <ul style="list-style-type: none"> <li>- Copy of Grantee Award agreement</li> <li>- Copy of State Plan</li> <li>- Copy of most recent Subgrantee fiscal and programmatic monitoring report from the Grantee</li> <li>- Copy of the Grantee policy and procedures manual</li> </ul> <p>How does the Subgrantee's demonstration/description align with information provided by Grantee in Question 5 of the Programmatic and Management Checklist (P&amp;M)?</p>	1	<p>Subgrantee should have the following materials readily on-hand.</p> <ul style="list-style-type: none"> <li>• Most recent Grantee Award agreement.</li> <li>• Most recently approved State Plan.</li> <li>• Most recent Subgrantee fiscal and programmatic monitoring report from the Grantee.</li> <li>• Most recent Grantee policy and procedures manual.</li> <li>• Field Guide crosswalked with SWS.</li> </ul> <p>How does the Subgrantee's demonstration/description align with information provided by Grantee in Question 5 of the Programmatic and Management Checklist (P&amp;M)?</p>	Added "Field Guide crosswalked with SWS".
2	<p>Subgrantee will be asked to describe how they comply with Davis Bacon requirements. How does the Subgrantee's demonstration/description align with the process and procedures described in Section 2 (questions 7-10) of the P&amp;M checklist?</p>			Question was deleted.
3	<p>Subgrantee will be asked to demonstrate how they comply with the state's Historic Preservation guidelines and how historic preservation weatherization units are tracked and reported.</p> <p>How does the Subgrantee's demonstration/description align with the Grantee's process described in Question 57 of the P&amp;M checklist?</p>	2	<p>Subgrantee will be asked to demonstrate how they comply with the state's Historic Preservation agreement. How does the Subgrantee track and report compliance to the Grantee for the annual historic preservation report?</p> <p>How does the Subgrantee's demonstration/description align with the Grantee's process described in Question 52 of the P&amp;M checklist?</p>	Question was revamped. Guidelines was changed to agreement and a new followup question was added. Updated the crosswalk to the Programmatic & Management related question.
4	<p>Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for reweatherization (confirming the new date, etc.). How does the process described by Subgrantee(s) for eligibility for reweatherization align with information provided by the Grantee in Question 23 of the P&amp;M checklist?</p>	3	<p>Subgrantee will be asked to describe the process for ensuring that homes are accurately identified as eligible for reweatherization. How does the process described by Subgrantee(s) for eligibility for reweatherization align with information provided by the Grantee in Question 16 of the P&amp;M checklist?</p>	Reworded; removed "subcontractors" from question
5	<p>Subgrantee will be asked to explain how it follows the most recent approved State Plan/policies and procedures and specifically how the Subgrantee prioritize services (e.g., high energy users, high energy burden, elderly, disabled, households with children, other state-identified priorities).</p> <p>How does the Subgrantee's explanation align with the prioritization documented in the State Plan and the Grantee's descriptions in Question 25 of P&amp;M checklist?</p>	4	<p>Subgrantee will be asked to explain how it follows the most recent approved State Plan/policies and procedures and specifically how the Subgrantee prioritize services (e.g., high energy users, high energy burden, elderly, disabled, households with children, other state-identified priorities).</p> <p>How does the Subgrantee's explanation align with the prioritization documented in the State Plan and the Grantee's descriptions in Question 18 of P&amp;M checklist?</p>	
Question	SECTION 2: FINANCIAL/ADMINISTRATION	Question	SECTION 2: FINANCIAL/ADMINISTRATION	Section was removed
6	<p>Subgrantee will be asked to demonstrate/describe the process leading to the development of an invoice to the Grantee. How does the Subgrantee's demonstration/description in developing an invoice align with the process described by the Grantee in Question 18 of the P&amp;M checklist?</p>	5	<p>Subgrantee will be asked to demonstrate/describe the process leading to the development of an invoice to the Grantee. How does the Subgrantee's demonstration/description in developing an invoice align with the process described by the Grantee in Question 11 of the P&amp;M checklist?</p>	Renumbered.
7	<p>Subgrantee will be asked to describe the process and show evidence of the process for paying contractors, if applicable. How does the Subgrantee's demonstration/description of their process for paying contractors align with the process described by the Grantee in Question 11 of the P&amp;M checklist?</p>	6	<p>Subgrantee will be asked to describe the process and show evidence of the process for paying contractors, if applicable. How does the Subgrantee's demonstration/description of their process for paying contractors align with the process described by the Grantee in Question 6 of the P&amp;M checklist?</p>	Renumbered.

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8	Subgrantee will be asked to review the process used to procure contractors, if applicable. How does the Subgrantee's demonstration/description of their procurement of contractors align with the Grantee's policies outlined in Question 11 of the P&M checklist?	7	Subgrantee will be asked to review the process used to procure contractors, if applicable. How does the Subgrantee's demonstration/description of their procurement of contractors align with the Grantee's policies outlined in Question 6 of the P&M checklist?	Renumbered.
9	Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials, services (audits, inspections, etc.). How does the Subgrantee's demonstration/description of their process with regard to fixed price materials/services align with the Grantee's policies outlined in Question 11 of the P&M checklist?	8	Subgrantee will be asked to explain how the costs or fixed prices are determined for weatherization materials, services (audits, inspections, etc.). How does the Subgrantee's demonstration/description of their process with regard to fixed price materials/services align with the Grantee's policies outlined in Question 6 of the P&M checklist?	Renumbered.
10	Subgrantee will be asked to describe the process for reporting completed units to the Grantee – both the reporting of the production and the verification of those completions. How does the Subgrantee's demonstration/description of their reporting process for production of completed units align with the description from the Grantee identified in Question 34 of the P&M checklist?			Moved to Section 6: Weatherization of Units
11	Subgrantee will be asked to demonstrate the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities? How does the Subgrantee's demonstration/description of their process to account for multiple funding sources align with the Grantee's information captured in Question 13 of the P&M checklist?	9	Subgrantee will be asked to demonstrate the type of system (database, spreadsheet, etc.) used to account for multiple funding sources for weatherization activities? How does the Subgrantee's demonstration/description of their process to account for multiple funding sources align with the Grantee's information captured in Question 8 of the P&M checklist?	Renumbered.
<b>Question</b>	<b>SECTION 3: INVENTORY</b>	<b>Question</b>	<b>SECTION 3: INVENTORY</b>	
12	Subgrantee will be asked to demonstrate how they maintain and track any inventory. Subgrantee will also be asked to show how the process is consistent with the Grantee's description of the process.  How does the Subgrantee's demonstration or description correspond with the monitoring process described by the Grantee in Question 22 of the P&M checklist? If the Subgrantee does not have inventory or an inventory system, is the Subgrantee's procurement process consistent with the Subgrantee agreement with the Grantee and the policies outlined in Question 22 of the P&M checklist?	10	Subgrantee will be asked to demonstrate how they maintain and track any inventory. Subgrantee will also be asked to show how the process is consistent with the Grantee's description of the process.  How does the Subgrantee's demonstration or description correspond with the monitoring process described by the Grantee in Question 36 of the P&M checklist?	Renumbered and removed last question since it was covered under procurement.
<b>Question</b>	<b>SECTION 4: ENERGY AUDITS</b>	<b>Question</b>	<b>SECTION 4: ENERGY AUDITS</b>	
13	Subgrantee will be asked to produce the most recent DOE-approved energy audit and/or priority list and demonstrate/describe how it updates and maintains the audit inputs, especially when dealing with a-typical housing stock (updating fuel, labor, and material costs, etc.).  How does the Subgrantee's demonstration/description of their audit/priority list (including updates and treatment of atypical housing) align with the information in Section 9, Energy Audits (questions 36-39) of the P&M checklist.	11	Subgrantee will be asked to produce the most recent DOE-approved energy audit and/or priority list and demonstrate/describe how it updates and maintains the audit inputs, especially when dealing with atypical housing stock (updating fuel, labor, and material costs, etc.).  How does the Subgrantee's demonstration/description of their audit/priority list (including updates and treatment of atypical housing) align with the information in Section 6, Energy Audits (questions 22-24) of the Grantee P&M checklist.	Reworded
<b>Question</b>	<b>SECTION 5: QUALIFICATIONS &amp; TRAINING</b>	<b>Question</b>	<b>SECTION 5: QUALIFICATIONS &amp; TRAINING</b>	

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14	Subgrantee will be asked to describe how they determine if workers (crews or contractors) are able to perform to the job expectations before hiring or within a certain period after employment.  How does the Subgrantee's demonstration/description of their process for hiring qualified crews/contractors align with the Grantee description in Question 40 of the P&M checklist?	12	Subgrantee will be asked to describe how they determine if workers (crews or contractors) are able to perform to the job expectations before hiring or within a certain period after employment.  How does the Subgrantee's demonstration/description of their process for hiring qualified crews/contractors align with the Grantee description in Question 45 of the P&M checklist?	Reworded
15	Subgrantee will be asked to describe the course correction/rework policies it has in place for inspectors when there is a high frequency of corrections needed (identified by the Grantee or Federal review process).  How does the Subgrantee's demonstration/description of their process for course correction/training of Subgrantee crews/contractors align with the Grantee methods to determine T&TA needs described in Question 46 of the P&M checklist?	13	Subgrantee will describe its reworks policies and procedures for inspectors when there is a high frequency of corrections.  How does the Subgrantee's demonstration/description of their process for course correction/training of Subgrantee crews/contractors align with the Grantee methods to determine T&TA needs described in Questions 28 and 47 of the P&M checklist?	Reworded
		14	Based on field observations, were there any training issues identified that should be addressed by the Grantee with the Subgrantee? (e.g., specific trainings that should take place to bring Subgrantee work to a higher quality). How does this training recommendation align with the Grantee approach to identifying/meeting training needs outlined in Question 49 of the Grantee P&M checklist.	Moved from Section 8: Quality Management Assurance
<b>Question</b>	<b>SECTION 6: WEATHERIZATION OF UNITS</b>	<b>Question</b>	<b>SECTION 6: WEATHERIZATION OF UNITS</b>	
16	Subgrantee will be asked to demonstrate the processes and procedures in place if an inspector finds work that needs to be re-done or corrected.  How does the Subgrantee's demonstration/description of their process for the inspector ordering "reworks" align with the Grantee information captured in Question 45 of the P&M checklist?	15	Subgrantee will be asked to describe the process for reporting completed units to the Grantee – both the reporting of the production and the verification of those completions. How does the Subgrantee's demonstration/description of their reporting process for production of completed units align with the description from the Grantee identified in Question 52 of the P&M checklist?	Moved from Section 2: Financial/Administration
17	Subgrantee will be asked about the agency's process to reduce the rate of reworks and improve contractor/crew performance (e.g., training, hands-on review, termination, etc.).  How does the Subgrantee's demonstration/description for how they reduce the rate of reworks align with the Grantee information captured in Question 46 of the P&M checklist?	16	Subgrantee will be asked to demonstrate the processes and procedures in place if an inspector finds work that needs to be re-done or corrected. How does the Subgrantee's demonstration/description of their process for the inspector ordering "reworks" align with the Grantee information captured in Question 47 of the P&M checklist?	Question was reworded.
<b>Question</b>	<b>SECTION 7: HEALTH &amp; SAFETY</b>	<b>Question</b>	<b>SECTION 7: HEALTH &amp; SAFETY</b>	
18	Subgrantee will be asked how the agency implements of Health and Safety requirements, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc. as outlined in the DOE approved Health & Safety Plan.  How is the implementation described/evidenced in the files at the Subgrantee(s) consistent with the process and procedures described by the Grantee in Question 49 of the P&M checklist?	17	Subgrantee will be asked how the agency implements of Health and Safety requirements, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc. as outlined in the DOE approved Health & Safety Plan.  How is the implementation described/evidenced in the files at the Subgrantee(s) consistent with the process and procedures described by the Grantee in Question 35 of the P&M checklist?	
<b>Question</b>	<b>SECTION 8: QUALITY MANAGEMENT ASSURANCE</b>	<b>Question</b>	<b>SECTION 8: QUALITY MANAGEMENT ASSURANCE</b>	
19	How many Subgrantees units did you visit during this monitoring visit? • Regular DOE • ARRA • SERC			Question was deleted.

	<b>WPN 12-5 Subgrantee Checklist</b>		<b>WPN 16-4 Subgrantee Checklist</b>	<b>Change(s)</b>
20	In reference to the Quality Management Assurance Form, are there any issues related to file review or inconsistencies between the Grantee's description of file documentation in Question 42 of the P&M checklist that suggests there may be a need for the Grantee to review with the Subgrantee what should be included as file documentation?	18	Are there any issues related to <u>file review</u> or inconsistencies between the Grantee's description of file documentation in Question 36 of the P&M checklist that suggests there may be a need for the Grantee to review with the Subgrantee what should be included as file documentation?	Reworded and renumbered.
21	In reviewing completed or in progress jobs, how does the Subgrantee audit/priority list practice align with the information in Section 9, Energy Audits (questions 36-39) of the P&M checklist?	19	In reviewing completed or in progress jobs, how does the Subgrantee <u>audit/priority list</u> practice align with the information in Section 6, Energy Audits (questions 22-24) of the P&M checklist?	Reworded and renumbered.
22	In reviewing completed or in progress jobs, does the work performed on all the measures follow the state protocols (standards and/or field guide) in Question 47 of the P&M checklist or are there any issues/concerns with the materials or installation that should be addressed by the Grantee with the Subgrantee?	20	In reviewing completed or in progress jobs, does the work performed on all the measures follow the state protocols (standards and/or field guide linked to the SWS) in Question 31 of the Grantee P&M checklist or are there any issues/concerns with the materials or installation that should be addressed by the Grantee with the Subgrantee?	Reworded and renumbered.
23	Based on field observations, were there any "patterns" identified that should be addressed by the Grantee with the Subgrantee based on the site visits conducted (and should be recorded under P&M Question 52)?	21	Based on field observations, were there any " <u>patterns</u> " identified that should be addressed by the Grantee with the Subgrantee based on the site visits (and should be recorded under Grantee P&M Question 39)?	Reworded and renumbered.
24	Based on field observations, were there any training issues identified that should be addressed by the Grantee with the Subgrantee? (e.g., specific trainings that should take place to bring Subgrantee work to a higher quality). How does this training recommendation align with the Grantee approach to identifying/meeting training needs outlined in Question 59 of the P&M checklist.			Moved to Section 5
25	Based on field observations, are there any areas where the Grantee monitors/field staff should be referred to additional training to improve their monitoring capabilities (and should be recorded under Question 61 of the P&M checklist)?	22	Based on field observations, are there any areas where the <i>Grantee</i> monitors and field staff need to improve their monitoring capabilities recorded under Question 49 of the P&M checklist?	Reworded and renumbered.
<b>Question</b>	<b>SECTION 9: SERC OVERVIEW</b>	<b>Question</b>	<b>SECTION 9: SERC OVERVIEW</b>	
26	SERC Subgrantee will be asked to demonstrate how units that received SERC technologies were appropriately screened prior to the technology installation to ensure the unit was a good candidate. Is the Subgrantee's description of their screening process to determine that the proposed SERC technology is appropriate for the specific unit consistent with the Grantee's description in Question 63 in the P&M checklist?			Question was removed.
27	SERC Subgrantee will be asked to describe what the protocol is to determine what SERC technologies are installed for each unit. How does the Subgrantee's description align with the protocol described by the Grantee in Question 64 of the P&M checklist? How is the Grantee verifying compliance?			Question was removed.
28	Request the Subgrantee to describe/demonstrate how they track and verify completed units have either a) combined costs for health and safety and incidental repairs exceed the cost of the installation of SERC technology, or b) total costs exceed \$30,000? Does the Subgrantee's description/demonstration on how they track and verify completed SERC unit Health & Safety, incidental repairs and SERC technology costs align with the Grantee's answer in Question 67 of the P&M checklist?			Question was removed.

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29	<p>The Subgrantee will be asked to provide information and materials to determine if any SERC funds are being used to install any weatherization measures that were not originally justified or completed? Based on the information provided from the Subgrantee, is the Grantee’s guidance, oversight and monitoring of SERC projects effective to identify when SERC funds are being used to install weatherization measures that were not originally justified or completed? Is this guidance and oversight consistent with the answer provided in Question 69 of the P&amp;M checklist?</p>			Question was removed.
30	<p>If the Grantee has expanded the scope of eligibility for SERC projects to include moderate-income families, have the SERC Subgrantee describe what the definition is of “moderate income” and what is the process to verify those clients/units that fall into this category? How does the Subgrantee’s description of “moderate income” align with the Grantee’s answer in Question 70 of the P&amp;M checklist? Is the Subgrantee’s “moderate income” verification process consistent with the Grantee’s process?</p>			Question was removed.