

WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist		Change(s)
Question	SECTION 1: GRANTEE REVIEW	Question	SECTION 1: GRANTEE REVIEW	
1	How is the Grantee staffing consistent with the staff plan identified in State Plan? For example, are the Grantee's key personnel performing the duties originally proposed within the State Plan or grant application? Identify any changes and updates to Grantee staffing.	1	Has the Grantee's organizational structure changed? • Is Grantee staffing consistent with staffing identified in the State Plan? • Are key personnel performing the duties proposed within the State Plan? • Identify any changes to Grantee staffing.	Reworded
2	How is the Grantee tracking and verifying employees are charging their time properly and appropriately (e.g. splitting time between ARRA and Regular DOE funding)?	2	How is the Grantee tracking and verifying employees are charging their time in proper increments and segregating time between DOE funding and other state or federal grant programs?	Reworded
3	Has the Grantee's organizational structure changed since the State Plan was submitted or amended?			Question was removed.
4	How does the Grantee's Subgrantees and subcontractors align with what was approved in the State Plan? (e.g. incorporating subcontractors and any new organizations, training centers, etc.). Is the Grantee planning to submit an amendment to their State Plan to incorporate any new subcontractors/Subgrantees?	3	Are the Subgrantees the same as those approved in the State Plan? If not, will the Grantee submit an amendment to the State Plan to incorporate Subgrantees?	Reworded; removed "subcontractors" from question
5	What system does the Grantee have in place to ensure their Subgrantees have access to all relevant materials needed to effectively carry out the Weatherization Assistance Program activities?	4	How does the Grantee ensure their Subgrantees have all relevant program materials needed to effectively carry out the Weatherization Assistance Program?	Reworded
6	Has the Grantee executed their Subgrantee awards consistently? Or what issues have developed to cause significant delays for awards to be executed?	5	What is the Grantee's process for executing their Subgrantee awards? What issues, if any, have developed to cause significant delays in the process?	Reworded
Question	SECTION 2: WAGE DETERMINATIONS AND PAYROLL	Question	SECTION : WAGE DETERMINATIONS AND PAYROLL	Section was removed
7	How has the Grantee documented and filed any awarded or amended Subgrantee Agreements that include the most recent wage determinations? Has the Grantee gone through the Conformance process? If yes, have the Subgrantee agreements been updated to reflect the conformance decision?			Question was removed.
8	Does the Grantee have in its records a copy of each Subgrantees' Form 1413 AND copies of Form 1413 for each Subgrantee's contractors?			Questions was removed.
9	What system does the Grantee use to collect and review weekly Certified Payroll records from their Subgrantees? Does the Grantee complete the review within the required timeframe?			Question was removed.
10	How has the Grantee monitored the payrolls to ensure compliance with Davis-Bacon requirements (employee interviews, verification of employees, etc.). In addition, has the Grantee submitted or met the requirements for their semi-annual Davis-Bacon reporting?			Question was removed.
Question	SECTION 3: FINANCIAL/ADMINISTRATIVE	Question	SECTION 2: FINANCIAL/ADMINISTRATIVE	
11	What are the Grantee's policies with regard to its Subgrantees paying contractors, procurement of contractors, establishing fixed price costs (for either materials or services), etc.?	6	What is the Grantee policy regarding Subgrantee contractor payments, procurement of contractors and establishing fixed costs for materials or services?	Reworded
12	If leveraged funds are identified within the approved State Plan, how is the Grantee properly accounting and reporting the leveraged funds?	7	If the approved budget identifies leveraged funds, how is the Grantee properly accounting and reporting them?	Reworded
13	What type of system (database, spreadsheet, etc.) is used by the Grantee's Subgrantee to account for multiple funding sources for Weatherization and/or SERC activities?	8	What is the Grantee's method of tracking used to segregate multiple funding sources for Weatherization activities?	Reworded
14	How does the Grantee track capped categories (e.g. administration, T&TA, Health & Safety, etc.)? What is the Grantee's frequency for review?	9	What tracking mechanism does the Grantee use for capped cost categories (e.g. administration, T&TA, Health & Safety, etc.) and what is the frequency for review of those costs?	Reworded

	WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist	Change(s)
15	How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?	10	How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?	No change
16	How does the Grantee's monitoring tool address and record the Subgrantee's receipt of funds from more than one funding source for weatherization activities?			Question was incorporated into another question.
17	Describe the Grantee's process for paying Subgrantees and subcontractors (if applicable for Grantee support services).	11	Describe the Grantee's process of payment to Subgrantees and Grantee's support services contractors.	Reworded
18	Describe the Grantee's process for validating Subgrantee invoices for allowable costs and ensuring Regular DOE and/or SERC units are completed prior to drawing down funds.	12	Describe how the Grantee reviews and validates Subgrantee invoices for allowable costs.	Reworded and removed the SERC information.
19	Does the Grantee provide advances to their Subgrantees? If yes, how does the Grantee reconcile the advances?	13	Does the Grantee provide advances to their Subgrantees? How does the Grantee reconcile the advances?	Reworded
Question	SECTION 4: EQUIPMENT/INVENTORY/MATERIALS	Question	SECTION 9: EQUIPMENT/INVENTORY/MATERIALS	NOW SECTION 9 INSTEAD OF 4
20	How is the Grantee verifying the Grantee's vehicles, equipment, and tools are being used in an appropriate and adequate manner to ensure cost-effective delivery of services?	36	How is the Grantee verifying that vehicles, equipment, and tools purchased for the Grantee's use are used in an appropriate manner to ensure cost-effective delivery of services?	No change
21	How is the Grantee verifying the Subgrantee's vehicles, equipment, and tools are being used in an appropriate and adequate manner to ensure cost-effective delivery of services?	37	How does the Grantee verify that Subgrantee vehicles, equipment, and tools are used in an appropriate manner to ensure cost-effective delivery of services?	No change
22	How does the Grantee monitor inventory and warehouses of its Regular DOE and/or SERC Subgrantees? Property records must include: a. Description b. Serial Number c. Source d. Title e. Acquisition Date f. Percent of Federal Participation g. Location h. Use i. Condition j. Ultimate Disposition. If there is no inventory system, have the Grantee describe/demonstrate the procurement requirements/policies for Subgrantees.	38	How does the Grantee monitor inventory and warehouses of Subgrantees? Property records must include: a. Description, b. Serial Number, c. Source, d. Title, e. Acquisition Date, f. Percent of Federal Participation, g. Location, h. Use, i. Condition, j. Ultimate Disposition.	Reworded; removed SERC mention and question about inventory system at the end of the question.
Question	SECTION 5: ELIGIBILITY	Question	SECTION 4: ELIGIBILITY	NOW SECTION 4 INSTEAD OF 5
23	Describe the Grantee's tracking process to ensure homes are accurately identified as eligible for re-weatherization by their Subgrantees (confirming the new date, etc.)?	16	Describe the Grantee process to ensure homes identified for re-weatherization by their Subgrantees are eligible and tracked by their completion date.	Reworded
24	Explain how the Grantee assures Subgrantees comply with income eligibility requirements. Identify what procedures the Subgrantees must follow.	17	Explain how the Grantee confirms Subgrantees comply with income eligibility requirements. Identify what procedures the Subgrantees must follow.	Reworded
25	How does the Grantee ensure compliance with the priority criteria for serving eligible applicants (identified in the approved State Plan)? Specific examples include: a. High Energy Users b. High Energy Burden c. Elderly d. Disabled e. Households with Children f. Other State-Identified Priorities	18	How does the Grantee ensure compliance with the priority criteria identified in the approved State Plan for serving eligible applicants? Specific examples include: a. High Energy Users b. High Energy Burden c. Elderly d. Disabled, e. Households with Children.	Removed the last entry (f).
26	Does the Grantee have any Subgrantees performing weatherization services for ineligible recipients (e.g., for-profit subsidiary, utility-based programs, HUD)? If yes, how does the Grantee ensure weatherization equipment and material is properly accounted for.	19	Has the Grantee identified any Subgrantees performing (e.g., for-profit subsidiary, utility-based programs, HUD)? Does the Grantee ensure the use of weatherization equipment and material expense is properly accounted for and the WAP program is reimbursed?	Reworded; Second question was deleted.
Question	SECTION 6: RENTAL	Question	SECTION 5: RENTAL	NOW SECTION 5 INSTEAD OF 6

	WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist	Change(s)
27	How does the Grantee confirm the process outlined for rental units is being followed, as specified in the State Plan?	20	How does the Grantee confirm the process specified in the State Plan for rental units is being followed (e.g., undue enhancement, 66% rule, dwelling units will become occupied within 180 days, tenants shall benefit, no rent increases, enforcement, eviction).	Additional details added to the question.
28	How does the Grantee ensure that undue enhancement of rental properties is not taking place?			Question was deleted.
29	Is there a standard rental agreement template (with a Landlord signature area) in place at the Grantee for use statewide? If not, are there individual local Subgrantee agreements in place?	21	Does the Grantee have a standard rental agreement template (with a Landlord signature area) in use statewide? If not, are there individual Subgrantee agreements in place?	Reworded
Question	SECTION 7: POLICY ADVISORY COUNCIL (PAC)	Question	SECTION 3: POLICY ADVISORY COUNCIL (PAC)	
30	Has the composition of the Grantee's PAC (as identified in the regulations) changed since approval of the State Plan? If the PAC has changed, provide details on why the change happened.	14	Has the Grantee's PAC (as identified in the regulations) changed since approval of the State Plan? If the PAC's composition has changed, provide details on the changes and why they took place.	Reworded
31	Describe the established procedure for the PAC to review and provide input on the State Plan?	15	Describe the procedure for the PAC to review and provide input on the State Plan?	Reworded
32	Within the past year, what major policy decisions has the PAC been involved in?			Question was deleted.
Question	SECTION 8: FEEDBACK AND REPORTING	Question	SECTION 12: FEEDBACK AND REPORTING	NOW SECTION 12 INSTEAD OF 8
33	How often does the Grantee hold regular meetings with its Subgrantees?	51	How often does the Grantee have regular communications with its Subgrantees? Describe the different methods by function (e.g. technical, annual conferences, monthly conference calls, etc.).	Question was expanded.
34	What Grantee information or database systems are used to collect and report Subgrantee production and expenditures data? What process or guidance does the Grantee use to verify completed units? Does the Grantee also use the identified system as a management tool?	52	Describe the Grantee's information system used to collect and report Subgrantee production and expenditures. How does the Grantee verify and track completed units? Does the Grantee also use the system as a management tool?	Reworded
35	What systems does the Grantee have in place to assure it reports to DOE on time? Is the Grantee reporting on time? If the Grantee is not, specify what the problems are.	53	Is the Grantee reporting on time and accurately (e.g. changing quarterly performance reports)? If not, specify the causes for non-compliance. What controls or corrective actions does the Grantee use to assure it reports to DOE on time?	Reworded
Question	SECTION 9: ENERGY AUDITS	Question	SECTION 6: ENERGY AUDITS	NOW SECTION 6 INSTEAD OF 9
36	How does the Grantee verify the DOE approved energy audit or priority list (on file at DOE) is consistent with what the Grantee monitors the Subgrantee against: a. Single Family Units? b. Mobile Homes? c. Multi-Family Units? d. A-Typical Units?	22	For each of the following type of structures: Single Family, Mobile Homes, Multi-Family and atypical units, how does the Grantee verify the appropriate energy audit or priority list was consistently applied by the Subgrantee? Describe the monitoring process to ensure the Grantee is meeting this requirement.	Question was expanded.
37	Is the Grantee's audit protocol and/or Priority List within the 5-year window of submission?	23	Are the Grantee's energy audit and/or priority list approvals current? If so, what are the approval dates?	Reworded
38	How is the Grantee assuring its Subgrantees are using the most recent approved State Plan, policies and procedures for all types of housing stock (e.g. single family, mobile, and multifamily, and a-typical)?			Question was removed.
39	How does the Grantee monitor its Subgrantees' maintenance of the audit inputs, especially when dealing with a-typical housing stock? (e.g. updating fuel, labor, material costs, etc.)	24	Describe the Grantee's monitoring process used to validate that the Subgrantees are properly annually maintaining their energy audits.	Reworded
40	How does the Grantee ensure its Regular DOE and and/or SERC Subgrantee "workers" (auditor, inspectors, crews, contractors, etc.) are performing work that meets program requirements (e.g. certification or number of required training hours) before hiring or within a certain period after employment?			Question was moved to the Grantee Monitoring section.
41	What does the Grantee require from Subgrantees to demonstrate energy auditors/inspectors maintain their qualifications?			Question was incorporated into the Grantee Monitoring section.

WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist		Change(s)
Question	SECTION 10: FIELD WORK	Question	SECTION 7: FIELD WORK	NOW SECTION 7 INSTEAD OF 10
42	How does the Grantee communicate what is expected to be in each Regular DOE and/or SERC client file and/or accessible to monitors on field visits?	25	How does the Grantee communicate what is expected to be in each DOE client file, and accessible to monitors on field visits?	Reworded
43	How does the Grantee ensure that Regular DOE and/or SERC units are inspected prior to the Subgrantee reporting them as completed units? What is the Grantee's policy on Subgrantees using the same staff for perform audits and inspections on the same weatherization unit?	26	How does the Grantee ensure that DOE units are inspected prior to the Subgrantee reporting them as completed units? Has the Grantee increased their monitoring to 10% of completions for those Subgrantees that use the same staff for audits and quality control inspections?	Reworded
44	Is there a clear "final inspection form" that shows the Subgrantee's inspector name, signature, and date and verifies each Regular DOE and/or SERC completed measure and unit has been inspected?	27	Is there a "final inspection form" that documents the unit has been inspected and meets SWS standards, review of the energy audit/priority list, verifies each completed measure and contains the certified QCI inspector name, signature and date the inspection was completed?	Reworded to include QCI inspector and removed SERC.
45	Describe the process and procedures the Grantee (and Subgrantees) have in place and are implemented if an inspector finds work that needs to be re-done or corrected?	28	Describe the process the Grantee (and Subgrantees) implements if a QCI inspector finds work that needs to be re-done or corrected?	Reworded to include QCI inspector.
46	Describe the Grantee's process for handling the following concerns when found during a Regular DOE and/or SERC monitoring visit: a. Incomplete Work b. Questioned Costs c. Client complaints d. Major Workmanship Issues e. Minor Workmanship Issues Describe how the Grantee is managing the call-back/add-on work/rework process with its Subgrantees.	29	Describe the Grantee's process to address the following concerns discovered during a Grantee monitoring visit: a. Incomplete Work b. Questioned Costs c. Client complaints d. Major Workmanship Issues e. Minor Workmanship Issues	Reworded to remove the SERC information.
		30	Describe how the Grantee is managing the call-back/add-on work/rework process with the Subgrantees.	New Question taken from Question 46.
47	Describe the Grantee's mechanism for identifying guidelines for techniques used for installation of materials and Health & Safety protocols through either a Grantee specific Field Guide, Regional Field Guide, Installation Guidelines, or other materials.	31	How does the Grantee ensure the proper installation of materials and Health & Safety protocols that comply with SWS? Indicate whether the Grantee is using a specific Field Guide, Regional Field Guide, Installation Guideline, or other technical, written materials.	Reworded to add in information for the SWS.
48	Describe the Grantee's process for updating their own Field Guide, Regional Field Guide, Installation Guidelines, or other material.	32	Describe the Grantee's frequency and process (both major and minor updates) to update their Field Guide, Regional Field Guide, Installation Guidelines, or other material to make sure they are in compliance with SWS.	Reworded to add in information for the SWS.
Question	SECTION 11: HEALTH & SAFETY	Question	SECTION 8: HEALTH & SAFETY	NOW SECTION 8 INSTEAD OF 11
49	Demonstrate how the Grantee tracks, monitors, and documents their Subgrantees' implementation of the Health and Safety requirements, including Lead Safe Weatherization (LSW), outlined in the State Plan and current guidance?	33	Describe how the Grantee tracks, monitors, and documents their Subgrantees' implementation of the Health and Safety requirements and budget as stated in their State Plan and current guidance?	Reworded
50	How is the Grantee ensuring that their Subgrantees (and Subgrantees' subcontractors) are following the up-to-date Health and Safety requirements? Examples?	34	How does the Grantee ensure that workers are following the latest Health and Safety requirements? Provide examples (e.g. trainings, field guides, documenting safe work practices, etc.).	No change
51	How does the Grantee verify workers have the required Health and Safety training, including OSHA, Lead Safe Weatherization (LSW), Certified Renovator, etc.?	35	How does the Grantee verify workers have the required Health and Safety training, including OSHA requirements, Lead Safe Weatherization (LSW), Certified Renovator, etc.?	No change
Question	SECTION 12: GRANTEE MONITORING	Question	SECTION 10: GRANTEE MONITORING	NOW SECTION 10 INSTEAD OF 12
52	Describe how the Grantee document the quality of work and patterns detected within a single agency or across multiple agencies.	39	Describe the Grantee process to document work quality. Include patterns detected at a single agency or at multiple agencies.	Reworded

	WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist	Change(s)
53	Describe the Grantee's process for developing their monitoring tool. Does the Grantee use the monitoring tool to ensure a Subgrantee is in compliance with: a. Subgrantee contracts b. Grantee financial/operations manual c. Applicable Federal regulations d. Program Guidance documents	40	Describe the Grantee frequency and process to update their monitoring tool. Does the monitoring tool review Subgrantee compliance with: a. Subgrantee contracts b. Grantee financial/operations manual c. Applicable Federal regulations d. Current Program Guidance documents?	No change
54	Describe how the Grantee ensures the monitoring process defined in the State Plan is being implemented. This includes programmatic, financial and technical monitoring processes. Based on the Grantee's PAGE submissions, does the Grantee appear to be on schedule to meet their stated monitoring goal and milestones as represented in their State Plan?	41	Describe how the Grantee verifies that monitoring process in the State Plan is implemented, including programmatic, financial and technical monitoring.	Second question was removed.
55	What process (including any sanctions) does the Grantee follow for addressing issues identified in their monitoring of their Subgrantees?	42	What process (including sanctions) does the Grantee use to address deficiencies identified during Subgrantee monitoring and is it consistent with the Grantee's State Plan?	No change
56	Are there currently any Subgrantees that are considered at-risk, on probation, or pose potential problems for the Grantee? If yes, summarize the issues and Grantee's actions to resolve.	43	Are any Subgrantees are considered at-risk, on probation, or pose potential problems? If so, summarize the issues and actions to resolve them.	Reworded
57	Describe the Grantee's process for Historic Preservation compliance. Does the Grantee have a signed agreement with its SHPO office?*	44	Describe the Grantee process for Historic Preservation compliance. Is there a signed agreement with its SHPO office and is it current?	No change
		45	How does the Grantee ensure Subgrantee personnel (e.g. Auditor, Quality Control Inspectors) are qualified to perform audits and meet program requirements (e.g. certification or number of required training hours)?	Question was moved from the Energy Audits section.
58	Describe the Grantee's process for ensuring that all contractors involved are not on the debarred list (excluding the party list system).	46	Describe how the Grantee verifies that all Weatherization contractors are not on the debarred list (excluding the party list system). Include a description how Subgrantees ensure their contractors are not on the "exclusion list".	Reworded and expanded question.
Question	SECTION 13: TRAINING & TECHNICAL ASSISTANCE (T&TA)	Question	SECTION 11: TRAINING & TECHNICAL ASSISTANCE (T&TA)	NOW SECTION 11 INSTEAD OF 13
59	What methods does the Grantee use to determine the T&TA needs of its Regular DOE and SERC Subgrantees? How do you provide training on the items below? a. Technical Training? b. Program Management Training? c. Procurement Training (Contracts, including subcontractors)? d. Inventory Control Training? e. Health and Safety? f. Davis-Bacon Compliance?	47	What methodology does the Grantee use to determine the T&TA needs of its Subgrantees? How do they provide training on the items below? a. Technical Training? b. Program Management Training? c. Procurement Training (Contracts, including subcontractors)? d. Inventory Management Training? e. Health and Safety?	Reworded to remove Davis-Bacon question.
60	How does the Grantee track the training completed or any certifications received or renewed, by Subgrantee staff or contractor staff?	48	Verify that the Grantee tracks training completions and any certifications or certification renewals, received by Subgrantee or contractor staff?	Reworded
61	Are the Grantees' on track with implementation of their T&TA plan, or does the plan need to be changed? Confirm the Grantee's identified T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred)? Specify what T&TA activities the Grantee has completed to date. What T&TA activities are scheduled for the next 3-6 months?	49	Is the Grantee on track with implementation of their T&TA plan? Does the plan need to be updated? Confirm the T&TA activities (for both Grantee and Subgrantee staff) described in the State Plan will occur (or have occurred)?	Reworded

	WPN 12-5 Grantee Programmatic & Management Checklist		WPN 16-4 Grantee Programmatic & Management Checklist	Change(s)
62	Are there any issues or barriers that hamper the Grantee's attendance at DOE national or regional training conferences and workshops? If yes, please list below.	50	What recent national or regional meetings has the Grantee attended? Are there any barriers hampering the Grantee's attendance at DOE national or regional training conferences and workshops? If yes, please list below.	Reworded
	SECTION 14: SERC REGULATIONS		<i>This section was removed.</i>	DELETED SECTION