



U.S. DEPARTMENT OF  
**ENERGY**

Energy Efficiency &  
Renewable Energy

# Programmatic, Administrative, and Financial Monitoring

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1:30 – 2:15 p.m.

**Holly Ravesloot** –  
Program Specialist,  
WIPO, U.S. DOE

**Erica Burrin** – Team  
Lead Field  
Operations, WIPO,  
U.S. DOE

# Approach to Monitoring in the State Plan

- Grantee must conduct at least annual comprehensive monitoring of the Subgrantees to include:
  - Programmatic.
  - Administrative.
  - Financial.
- Grantee should follow WPN 12-5 when developing the monitoring section of the State Plan and should be specific to the current program year.

# Grantee Monitoring Details

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- Technical and Administrative.
- Budget Categories Used for Monitoring.
- Monitoring Schedule.
- Procedures for Corrective Action.

# Examples of Monitoring Questions

Attachment 1: Weatherization Assistance Program: Quality Monitoring, Programmatic & Management Checklist

## SECTION 3: 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.?**

*Source Documentation:*

*10 CFR 600.221(d): Payment (Reimbursement)*

*10 CFR Part 440.16(g): Minimum Program Requirements*

*Material Review:*

*Review invoice policy and procedures*

*Review a sample of Subgrantee Submitted invoices for completeness and accuracy*

- 12. If leveraged funds are identified within the approved State Plan, how is the Grantee properly accounting and reporting the leveraged funds?**

*Source Documentation:*

*10 CFR 440.14: State Plan*

*10 CFR 440.16: Program requirements*

*10 CFR 440.18: Allowable expenditures*

*10 CFR 440.24: Recordkeeping*

*WPN 11-1.7: Leveraging and Leveraged Resources*

*WPN 10-17: Buydown/Leverage Funds*

*Material Review:*

*Approved and/or Amended State Plan*

*Accounting System*

*Monthly and/or Quarterly Reports*

- 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?**

*Source Documentation:*

*10 CFR 440.14: State Plan*

*10 CFR 440.16: Program requirements*

*10 CFR 440.18: Allowable Expenditures*

*10 CFR 440.24: Recordkeeping*

*10 CFR 600.220: Standards for financial mgmt systems*

*10 CFR 600.221: Payment*

*WPN 11-1.1.6: Program Income*

*WPN 10-17: Buydown/Leverage Funds*

*Weatherization Assistance Program: Quality Monitoring  
Programmatic & Management Checklist*

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# Example of Monitoring Questions

Attachment 1: Weatherization Assistance Program: Onsite Monitoring, Programmatic & Management Checklist

*Material Review:*

*Accounting System Review*

*Generate Budget and/or Funding Spreadsheets (to demonstrate the multiple funding sources)*

**14. How does the Grantee track capped categories (e.g. administration, T&TA, Health & Safety, etc.)? What is the Grantee's frequency for review?**

*Source Documentation:*

*10 CFR 440.12(b)(4): State Application, proposed units*

*10 CFR 440.14(c)(6)(vii): State Plan, expected average*

*WPN 11-1.6.0: Reporting Requirements*

*Material Review:*

*Application Package, II.4 WAP Production Schedule*

*Submitted Reports*

**15. How does the Grantee confirm Subgrantees (and contractors) have Liability Insurance?**

*Source Documentation:*

*10 CFR 440.13(c)(10)*

*WPN 11-1.2.6: Liability Insurance*

*Material Review:*

*File Review: Contract flow down provisions*

*Monitoring instrument*

**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?**

*Source Documentation:*

*10 CFR 440.23(d): Oversight, T&TA, financial audits*

*10 CFR 600.220 and 600.121*

*WPN 11-1.4.0: Grantee Monitoring*

*Material Review:*

*Grantee policy on tracking multiple sources of funds for weatherization services.*

*Grantee monitoring tool.*

*Grantee monitoring files including reports and work papers from the monitoring trip.*

*Application package, II.6*

*Application package, III.3.3*

*Weatherization Assistance Program: Onsite Monitoring  
Programmatic & Management Checklist*

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# Example of Monitoring Questions

Attachment 1: Weatherization Assistance Program: Onsite Monitoring, Programmatic & Management Checklist

**17. Describe the Grantee's process for paying Subgrantees and subcontractors (if applicable for Grantee support services).**

*Source Documentation:*

*10 CFR 600.221(d): Payment (Reimbursement)*

*10 CFR Part 440.16(g): Minimum Program Requirements*

*Material Review:*

*Review invoice policy and procedures*

*Review a sample of final payment vouchers for completeness and accuracy*

**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.**

*Source Documentation:*

*10 CFR Part 440.21(c): Weatherization Materials Standards and Energy Audit Procedures*

*10 CFR Part 440.19: Labor*

*Material Review:*

*Examine costs on invoices submitted*

**19. Does the Grantee provide advances to their Subgrantees? If yes, how does the Grantee reconcile the advances?**

*Source Documentation:*

*10 CFR 600.221(c)*

*Material Review:*

*Grantee Policy and Procedures Manual*

*Documentation on Advance reconciliation*

*Weatherization Assistance Program: Onsite Monitoring, Programmatic & Management Checklist*

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