

State of Oregon Weatherization Assistance Program Performance Evaluation Tool



**What We Do
Matters!**

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Purpose Statement

The purpose of the Training and Technical Assistance (T & TA) agency performance evaluation (PE) tool is to provide compliance review, technical assistance, and information sharing to weatherization agency's to ensure that each home receives the most cost effective and comprehensive weatherization service while maximizing total agency resources available. It will be accomplished by:

- Oregon Housing and Community Services (OHCS) and sub-grantees acting as partners and as a team.
- Quality, comprehensive weatherization and repair services are provided at a consistently high level of effectiveness throughout the state.
- Healthy, safe, and energy efficient housing improvements are provided to low-income households.
- Program accountability and efficiencies are in effect and verifiable.
- Innovative technological advances are promoted.

Guiding Principles

I. Planning

- Program PE is organized, systematic, regular, and scheduled in advance for mutual convenience.
- PE plans are defined with clear expectations, scope, and process.
- Individualized monitoring for every agency is dynamic to reflect historical findings, observations, and needs.
- Technical protocol, standards, and tools are kept current.

II. Constructive process

- PE and technical assistance is conducted in a professional manner with consistency, fairness, respect, and timeliness.
- OHCS fosters positive, open, and constructive working relationships.
- PE reports are consistent with, and based on, adopted program policies, procedures, standards, and protocols.
- Inspections are performed thoroughly and objectively.
- OHCS promotes improvement by providing technical assistance and resources.

- PE reinforces industry best practices to help ensure prudent decisions are made and positive results are achieved for the participants served.

III. Learning and experiences

- OHCS is knowledgeable and skilled to promote new and enhanced methods of service delivery and business practices.
- OHCS serves as a conduit for the delivery of innovative and cutting edge technologies.
- PE serves as a two-way educational experience that promotes interaction, feedback, and state and local program improvements.
- OHCS acknowledges and shares successes, innovations, good practices, experiences and challenges.
- PE, technical assistance and required follow up to findings are structured to protect program integrity and to sustain program support.

Procedures

OHCS WX PE

- File documentation
- Compliance with state & federal regulations
- Compliance with state weatherization assistance program specifications
- Completed project inspection
- Performance testing of homes
- Inventory control
- Health & Safety
- Auditing results
- Resource accountability
- Work quality
- Fiscal controls

Who to meet with:

- Agency Coordinator
- Fiscal Officer
- Crew members
- Participants

Performance Evaluation Process Outline

A basic level of core PE will occur as part of every PE visit. In addition to the core PE, the PE agency plan will be an integral aspect of each monitoring. The sequence and timelines outlined below will precede annual PE visits. If any agency is performance evaluated more than once within a calendar year, some steps may be omitted.

1. Six weeks prior to the PE visit, OHCS will e-mail the agency to be performance evaluated to request via e-mail list of completed jobs from the prior (2) months.
2. The following information will be provided for each completed project:
 - Total funds, broken out by funding source
 - Fuel type
 - Housing type
 - Measures installed
3. OHCS will send an electronic copy of the pre-PE survey tool, self-assessment evaluation and time line chart to the agency for completion.
4. The agency will complete, and return by mail, the self-assessment evaluation and weatherization pre-PE questionnaire with-in (2) weeks before the visit.
5. OHCS and the agency to be performance evaluated will set a date for the visit.
6. Within (3) days of receipt of the above referenced information, OHCS will identify (4) projects from which the agency staff will schedule to be inspected.
7. With-in (1) week the agency will indicate if the (4) homes were scheduled for inspection. If any of the selected home were not available for inspection then OHCS will choose from the list the needed number of homes for inspection. This process will be completed within two weeks.
8. OHCS will select (1) file to be copied and retained in the agencies PE file.
9. The PE agency plan will be developed based upon the information submitted and all other documentation available OHCS.
10. The PE agency plan will be sent to the agency (1) week prior to the PE visit.
11. Final report sent to agency with-in 30 days of PE visit.

PE program outline:

1. Request completed jobs for prior (2) months.

2. Send a pre-visit questionnaire/self evaluation and list of items to the agency to be performance evaluated.
3. Review pre-visit questionnaire / self-evaluation/completed job list
4. Review prior years monitoring report.
5. Choose (4) completed jobs for field inspection / performance test.
6. Set PE dates and let agency know which jobs to schedule for inspection.
7. Travel to agency.
8. Meet and greet.
9. Review participant files with staff.
10. Discuss agency operations and mission.
11. Discuss community partners.
12. Discuss other resources.
13. Perform field inspection.
14. Performance test homes.
15. OHCS and agency representative will discuss any opportunities identified during the inspection and performance testing of the homes.
16. Interview participants.
17. Prepare exit interview report.
18. Discuss findings.
19. Incorporate mutually agreed upon comments into the final review.
20. Discuss new techniques, approaches or protocols.
21. Discuss training needs.
22. Schedule additional follow up(s) on technical assistance topics identified.
23. Review program improvements from prior year.
24. Draft final review.
25. Score agency based on PE score sheet.
26. Establish time for next monitoring depending on review score
27. Send copy to agency coordinator and executive director
28. File original at OHCS for three years.

Diagnostic testing is performed, including blower-door tests, combustion safety tests, and duct leakage test. The test results are compared with those noted in the participant file.

Inspection of completed houses, with the accompaniment of the local agency auditor/inspector, provides an opportunity to provide on-site technical assistance. Various installation techniques, quality control issues, or test procedures may be discussed during the course of performing the inspection.

The set-up values of the REM/RATE audit are checked to ensure they are current and accurate, that staff is proficient in the use of the REM/RATE audit, and that it is used as directed by OHCS.

Exemplary practices, successful approaches, or creative ideas in the operation of the local program will be identified and noted.

Crew Health and Safety procedures will be checked for compliance with OHCS Health and Safety Plan as contained in the DOE State Plan.

At the conclusion of the monitor's visit, an exit conference will be conducted with the program manager and the executive director. If there are deficiencies, a recommended course of action will be agreed upon.

Every effort will be made to complete and mail a final PE report to the program manager within 30 days of the monitor visit. The agency will submit a written response providing assurance that identified problems are resolved in a timely manner and documented.

PE Reference Material

1. OAR 813-205 Weatherization program rules.
2. OAR 813-230 Monitoring
3. The Oregon State Weatherization Assistance Program Specification and requirements.
4. US Department of Energy 10CFR Part 440 Weatherization.
5. Oregon DOE State Plan / Weatherization Assistance Program.
6. Bonneville Power Administration Weatherization rules and Regulations.
7. Site Built Homes and Mobile Homes Specification for the State of Oregon
8. Energy Conservation Helping Oregonians (ECHO) Guidelines.
9. Technical procedures adopted for the weatherization program, include:
 - Blower Door and Air Sealing Procedures, which are used to determine a baseline goal for directing air-sealing work of the building envelope.
 - Duct Pressure Test Procedures are the standards by which to measure the effectiveness of the HVAC system. The pre- and post weatherization test information is required to be collected and recorded in each client file.
 - The Combustion Safety Test Procedures establish worst-case depressurization, spillage, flue draft, carbon monoxide, as well as a visual inspection. This procedure also contains safety thresholds. These tests must be performed and recorded, at a minimum, at the time of audit and final inspection. The test report form is to be completed on all homes that contain combustion appliances and maintained in the participant file.
 - Building shell pressure balancing using a manometer

- Air barrier pressure testing using a manometer

Evaluation Tools and Equipment

The following PE tools and equipment will be used by OHCS to help determine satisfactory work performance:

1. Blower-door tests on a sample of completed jobs to verify the extent of air-sealing work and to assess the risk of indoor air quality problems.
2. A carbon monoxide detector and manometer on a sample of completed jobs that have combustion appliances to verify compliance with combustion safety test procedures.
3. A digital hand-held manometer on a sample of completed jobs to verify pressure balancing, and air barrier sealing.
4. An infrared scanner on a sample of completed jobs to verify uniform insulation coverage in closed cavities and inaccessible areas, as well as adequate air barrier sealing work.
5. Digital cameras to take photos of houses inspected and to record extraordinary circumstances or work performance.
6. Duct Blaster™ to test effectiveness of duct sealing work.

PE Agency Plan

The T & TA Monitor will prepare, and make available to the local agency, a PE agency plan prior to each visit based on the information gathered from the following sources:

- Local Agency Pre-Monitoring Questionnaire, which will be distributed at least six weeks prior to scheduled visit, allowing two to three weeks to complete and return
- An agency's self assessment (A form distributed at least six weeks prior to scheduled visit)
- Past monitoring reports and resolution of corrective action requirements
- Resolution of corrective action requirements
- Agency identified needs
- MGA / DOE requirements

The local agency will supply a list of completed jobs from the prior (2) month to OHCS. OHCS randomly selects 4 units to be performance tested and inspected in the field.

On-site PE will focus on field inspections looking at weatherization measure installation, diagnostic testing and health and safety since fiscal monitoring will try to satisfy most

administrative review, including financial examination but OHCS will review fiscal documentation in file to make sure work completed matches work invoiced for.

A key component of on-site monitoring will be to provide on the job training and technical assistance during the course of on-site monitoring and the need for future training and technical assistance.

A preliminary PE report will be left with the agency whenever possible, especially any observations or findings for specific projects. We are striving to establish systems and tools that will permit a draft of the complete report to be left with the agency at the exit conference for review and comment. A final written monitoring report to the local agency will be issued within 30 days of any completed PE visit.

For purposes of consistency, the following definitions for agency classification criteria will be used during monitoring visits and subsequent reports:

Exemplary: Exceeds program expectations. Program is visionary, excels in all program aspects, is highly responsive and innovative. Overall program evaluation is scored exemplary in the Performance Evaluation Tool.

Stable: Meets program expectations. Accurate, effective, organized, sound, proficient, and proactive. Good administration systems. Files complete, organized and accurate. Overall program delivery is effective and sound. Proficient in diagnostics. Material installation consistently meets standards. Workmanship is good quality.

Vulnerable: Noncompliance issues. Sometimes meets program expectations. Marginal administrative systems. File information inconsistent. Overall program delivery has gaps. Diagnostics are inadequate. Material installation sometimes meets standards. Workmanship is inconsistent.

At-Risk: Frequently does not meet program expectations. Inadequate, poor, substandard, incomplete, deficient documentation. Poor communication. Inadequate administrative systems. File incomplete, inaccurate or both. Overall program delivery is substandard. Deficient in diagnostics. Material / Workmanship does not meet program standards.

Levels of Agency Performance and PE Frequency

High Performance or Exemplary Agencies

By way of monitoring review, an agency has demonstrated performance standards that meet or exceed that are commonly observed in the following areas:

1. Program operations:
 - No Health and Safety finding as identified in previous monitoring report.
 - No procedural findings related to program rules, and policies and procedures
2. Fiscal:
 - No annual program specific audit findings.
3. Technical:
 - Provide comprehensive service utilizing the latest building science and renewable technology, in a cost-effective manner in accordance with State of Oregon Weatherization Assistance Program guidelines.
4. Production:
 - In general an agencies production is high relative to funding.
 - No rollovers.
5. Qualified staff:
 - Agency will receive higher credit for exemplary status with REAP (Residential Energy Analyst Program) qualified staff and contractors.
6. Peer Monitoring
 - Agency will participate annually in peer monitoring of “at-risk” agencies as requested once per year from OHCS.
7. Risk:
 - No “at-risk” elements are found in major categories for an agency.

If the above is met a final visit may be made by an OHCS weatherization coordinator for final confirmation of achievement.

Stable Agency Performance

Typically, the frequency of monitoring will be (1) visit per year by an OHCS and Fiscal Monitor. The need for a second visit with in the same year will be determined by OHCS based on such factors as past state and Peer exchange results, an agency’s program

funding and production level, and the completeness of the monitoring within the time available. OHCS expects every agency to meet these standards of performance:

1. Well-established systems for program administration and operations, with no more than one finding in the following areas:
 - Compliance with major program requirements, such as, lead-based paint procedures, cost allocation plan/indirect rate, required contractor information.
 - No more than one program specific finding in the annual audit.
 - No more than one fiscal specific finding in the annual audit.
 - Staff well trained in performance of specific job duties.
 - Complete and organized files.
2. Evidence of prudent decision making as to the use of program resources:
 - Complete scopes of work
 - REM/Rate documentation is current and consistent with billing.
 - Staff proficient in its use
 - Evidence REM/Rate is used with actual and true pre-post data.(including costs)
 - Evidence REM/Rate is used effectively and thoughtfully in determining cost-effective measures.
3. Staff and contractors have demonstrated proficiency in technical applications, including diagnostics.
4. Agency has a minimal number, and severity, of procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report.
5. Agency complies with OSHA/DHS/OHCS safety rules, as applicable.
6. The agency maintains a professional working relationship with OHCS.
7. Past corrections made and reported in a timely manner.
8. Participate in annual PEER exchange visits to other agencies.
9. Agency will report as outlined in the PEER exchange guidelines
10. No “at-risk” elements are found in major categories for an agency.

Vulnerable Agency Performance

Typically, the frequency of PE will be (1) visit per year by an OHCS T & TA Monitor and Fiscal Monitor. The need for a second visit with in the same year will be determined

by OHCS based on such factors as past state and Peer exchange results, an agency's program funding and production level, and the completeness of the PE within the time available. Agency's performance is deficient in some or all of the following levels of performance:

1. Agency has a well-established system for program administration and operations, with no more than one finding in the following areas:
 - Compliance with major program requirements, such as, lead-based paint procedures, cost allocation plan/indirect rate, required contractor information.
 - No more than one program specific finding in the annual audit.
 - No more than one fiscal specific finding in the annual audit.
 - Staff well trained in performance of specific job duties.
 - Complete and organized files.
2. No evidence of prudent decision making as to use of program resources:
 - Complete scopes of work
 - REM/Rate documentation is current and consistent with billing.
 - Staff proficient in its use
 - Evidence REM/Rate is used with actual and true pre-post data (including costs).
 - Evidence REM/Rate is used effectively and thoughtfully in determining cost-effective measures.
3. Staff and contractors have not demonstrated proficiency in technical applications, including diagnostics.
4. Agency has a number of and severity of procedural findings (as related to programs rules, policies and procedures) and health and safety findings from previous monitoring report.
5. Agency does not comply with OSHA/DHS/OHCS safety rules, as applicable.
6. The agency does not maintain a professional working relationship with OHCS.
7. Past corrections were not made and reported in a timely manner.
8. Does not participate in annual PEER exchange visits to other agencies.
9. Agency does not report as outlined in the PEER exchange guidelines
10. Several "at-risk" elements are found in major categories for an agency.

At-Risk Agency Performance

At-risk agencies may be identified as a result of a variety of factors that may include:

1. The agency's probation. I.e. new agency / program.
2. There is evidence of significant administrative or program sub-standard performance; for example, repetitive pattern of findings, failure to have copies of permits on file or lack of compliance with historical preservation rules.
3. The agency is not in compliance with program policies, procedures and specifications.
4. The agency has repeated health and safety findings.
5. Agency staff members/crew has deficient technical skills.
6. There has been a change in key staff.
7. There has been a change in key weatherization contractors.
8. The agency has deficient scopes of work (work plan is insufficient).
9. The agency has program specific audit findings.
10. The agency has fiscal specific audit findings
11. The agency files are incomplete or disorganized.
12. The agency staff is unresponsive to OHCS requests and deadlines. For example, the agency consistently fails to provide monthly reports and contract closeouts in a timely manner.
13. Agency production is low relative to funding.
14. Other OHCS programs (CSBG, LIEAP, Food, Homeless, etc.) have indicated problems with or concerns about the agency.
15. At-risk agencies will be monitored no less than twice annually. Other factors in the frequency of monitoring visits may be based upon the requirements of specific funding sources.
16. At risk agencies will be PEER monitored by an exemplary agency that delivers program in a similar fashion. Example; a crew based at risk agency will be monitored by a crew based exemplary agency when possible.

Performance Findings Correction Process

1. Each sub grantee shall be advised within 30 days after the conclusion of the evaluation any findings with a rating below “stable” resulting from the monitoring of its program. If the agencies performance rating is deficient in any categories and that the program is out of compliance with contract provisions or that the program is out of compliance with state or federal regulations, OHCS shall issue preliminary findings which provide specific examples of each such issue, request corrective action on each deficiency rated below “stable” and offer assistance to the sub grantee in developing a corrective action plan.
2. Sub grantee’s shall respond to preliminary finding corrective action request within 30 days from receipt of the request. The response either shall include a corrective action plan which specifically addresses identified deficiencies or explain why the preliminary findings were in error.
3. OHCS shall notify the sub grantee within ten days of the Division's acceptance or rejection of all or parts of the sub grantee's response. The sub grantee shall be given an additional 20 days from the receipt of the Monitors notification to provide an acceptable corrective action plan for any remaining, unresolved deficiencies.
4. If unresolved deficiencies remain, OHCS shall transmit to the sub grantee a finding of facts detailing the specific deficiencies, required corrective actions and establishing a 30-day time period for corrective action to take place.
5. If at the end of that 30-day period, specific corrective actions have not been effected, OHCS shall inform the sub grantee of the sanctions which shall be applied due to non-compliance. Such sanctions may include but not be limited to withholding of funds, disallowance of costs, suspension of contract, or termination of contract. OHCS shall inform the sub grantee of any appeal rites and procedures to state and federal authorities in the sanction transmittal.

