



State of Oregon
Weatherization Assistance Program
Performance
Evaluation Tool

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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. OHCS will choose a date to perform the PE visit. Six weeks prior to that date, OHCS will e-mail the selected agency requesting the acceptance of these monitoring dates. A schedule letter and a copy of the PE tool will be attached.
2. After the scheduled dates have been accepted an e-mail confirming this will be sent to the agency. Attached to this e-mail will be:
 - A confirmation letter with specific timelines for completing and returning the requested items.
 - A list of completed jobs chosen by OHCS for evaluation from a review of OPUS.
 - A pre-monitoring questionnaire and a weatherization self-assessment
3. With-in (1) week the agency will indicate if the required (8) jobs are scheduled for field inspection. If any of the selected jobs are not available for evaluation, the agency will notify OHCS and additional jobs will be chosen. This process should be completed within two weeks.
4. After the homes are scheduled, the agency will provide electronic copies of the REM/Design™ .blg files for all jobs selected.
5. The agency will complete and electronically return the self-assessment evaluation and the weatherization pre-monitoring questionnaire with-in (2) weeks before the visit.
6. The final evaluation report will be sent to the agency within 30 days of the PE visit.

PE Program Outline:

1. All correspondence will be documented on the OHCS contact sheet.
2. OHCS will send an E-mail with attached scheduling letter and copy of PE tool.
3. Agency will respond and evaluation dates confirmed.
4. OHCS will send an E-mail with attached confirmation letter/completed job selection list/pre-monitoring questionnaire/self-assessment.
5. Agency will confirm scheduling of job inspections. Agency will provide REM/Design™ electronic files for review.
6. OHCS will review pre-monitoring questionnaire/self-assessment/funding summary reports and REM/Design™ files submitted.
7. OHCS will review prior years monitoring report
8. Travel to agency.
9. Entrance interview between OHCS monitor and agency staff.
10. OHCS will review project files with agency staff.
11. Discuss agency operations and mission
12. Discuss community partners.
13. Discuss other resources
14. Perform field inspections.
15. Monitor performance testing of homes.
16. OHCS and agency representative(s) will discuss any opportunities identified during the inspection and performance testing of the home.
17. OHCS monitor will interview participants.
18. OHCS monitor will prepare exit interview comments.
19. OHCS monitor will perform an exit interview with agency staff and discuss findings.
20. Incorporate mutually agreed upon comments into the final review.
21. Discuss new techniques, approaches and protocols.
22. Discuss training needs.
23. Schedule additional follow up(s) on technical assistance needs identified.
24. Review program improvements from prior year.
25. Draft final review.
26. Agency will be scored using the Performance Evaluation WX Tool.
27. Establish time for next monitoring depending on review scores.
28. OHCS will send a copy of the performance evaluation report to the agency Executive Director within 30 days of the PE visit.
29. If required, the agency will provide responses to any concerns, findings or corrective action plans within 30 days of receipt of the PE report.
30. File original at OHCS for a minimum of three years after the grant period ends.

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/Design™ audit are checked to ensure they are current and accurate, that staff is proficient in the use of the REM/Design™ 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 agency's Executive Director within 30 days of the monitoring visit. Within 30 days of receipt of the PE report, the agency will submit a written response providing assurance that identified problems are resolved 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 digital manometer
- Air barrier pressure testing using a digital manometer
- Exhaust fan flow measurement using a flow testing device coupled with a digital 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 combustion analyzer and manometer on a sample of completed jobs that have combustion appliance 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 sampler 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.

7. An exhaust fan flow meter coupled with a hand held digital monometer to verify exhaust fan flow rates.

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 the work invoiced.

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 identify the need for future training and technical assistance.

Issues identified during the PE visit will be discussed with the agency whenever possible, especially any observations or findings for specific projects. 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, and is highly responsive and innovative. Overall program evaluation is scored exemplary in the Performance Evaluation WX Tool.

Stable: Meets program expectations, accurate, effective, organized, sound, proficient, and proactive. Good administration systems. Files are complete, organized and accurate. Overall program delivery is effective and sound. Agency staff is proficient in diagnostic testing. 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. Program is inadequate, poor, substandard, incomplete, deficient documentation. Poor communications are maintained with inadequate administrative systems. Files are incomplete, inaccurate or both. Overall program delivery is substandard. There are deficiencies in performing diagnostics. Material and 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 agency's production is high relative to funding.
- No rollovers.

5. Qualified staff:

- Agency will receive higher credit for exemplary status by having staff and contractors trained in the certifications listed in the USDOE state plan.

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 within 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/Design™ documentation is current and consistent with billing.
 - Staff proficient in its use
 - Evidence REM/Design™ is used with actual and true pre-post data.(including costs)
 - Evidence REM/Design™ 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 within 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/Design™ documentation is current and consistent with billing.
 - Staff proficient in its use
 - Evidence REM/Design™ is used with actual and true pre-post data (including costs).
 - Evidence REM/Design™ 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. When possible, 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.

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.

Performance Evaluation Production Visits

During the program year or grant cycle an additional full monitoring evaluation may not be necessary. Due to grant allocation time frames, agency production levels and OHCS production requirements it will be acceptable to perform a production visit if a full monitoring has been completed for the program year.

The basic overview is to review the project files of the selected jobs for compliance and to ensure that all of the measures funded have been properly installed in the field.

Due to the nature of this process, there are multiple items completed and reviewed in the standard evaluation, which are not required in the production visit. These include, but are not limited to; the self-assessment, pre-monitoring questionnaire, safety and lead checklists. Contractor files and outreach, inventories, equipment and diagnostics can be left out of the report. The weatherization performance evaluation tool is not used to score the agency.

The individual site inspections, client file checklist, performance evaluation report and a final cover letter are the only reports required to be completed and included in the agency file. In order to expedite the process, reports will be converted to PDF files and e-mailed to the agency.

If there are findings, concerns or repairs requiring a corrective action plan, within 30 days of receipt of the production report, the agency will submit a written response providing assurance that identified problems are resolved and documented.

Production Visit Process

1. All correspondence must be documented on OHCS contact sheet.
2. OHCS will send a scheduling e-mail to agency (no time frame).
3. Once the dates are confirmed, OHCS will send a confirmation e-mail to agency and include a list of jobs to be inspected.
4. The agency will schedule inspections and e-mail OHCS a confirmation/schedule.
5. OHCS will request and review REM/Design™ .blg files.
6. OHCS will travel to the agency and perform the production visit.
7. OHCS will E-mail a PDF copy of the production visit report to the agency Executive Director within 30 days of the production visit.
8. If required, the agency will provide responses to any concerns, findings or corrective action plans within 30 days of receipt of the PE report.
10. File original at OHCS for a minimum of three years after the grant period ends.

