
STATE OF ALASKA
MONITORING PLAN 2021
ON SITE AND VIRTUAL OPTIONS

Program Monitoring (PM): 2019-2020 monitoring has been combined with 2020-2021 on an emergency basis. We adapted our PM form to make it more user friendly when we are monitoring virtually. For the most part, the agencies were not working for at least several months and have only recently started reporting completions. All three of our agencies had completed 2019 units by April of 2020. All three agencies are now working on the 2021 units and anticipate that they will meet the minimum requirement.

The Program Monitoring will be completed on two agencies for both 2019 and 2020 either onsite or virtually prior to the end of March 2021. RurAL CAP will receive a PM on site for 2020 or virtually also by that date. We review and discuss on site or through a Teams meeting the same PM forms that we have used in the past.

The Client File Review will also be conducted in accordance with our monitoring plan either onsite or virtually using the checklist. We will discuss the numbers and have the agency show us the diagnostic sheets, which is what we would do in an office visit. If we were not able to complete that for the 2019-20 units, we will also include 2019 units in the monitoring (Minimum 5% of files looked at for the year.)

The process for completing both the Program Monitoring and the Client File. Review includes the following:

1. Notify the agency at least 30 days in advance
2. Request that documents needed be loaded to the WX. Online or Mimecast which is secure or faxed if needed when there is no broadband. It is possible to resort to mail if in some areas we have no other option. In all cases, the client file number may be the reference.
3. An interview via zoom, teams, or face time or phone will be scheduled.
4. Each item on the monitoring form and/or checklist will be discussed with the agency and the responses are recorded on state staff's monitoring review form.
5. More supporting documentation may be requested depending on the answers.
6. The agency will identify the location or condition of tools, vehicles, PPE, or other inventory items.
7. When the interview is complete, a report or copies of the monitoring forms will be issued by AHFC regarding the results of the Program Monitoring and Client File Review.
8. If there are any issues identified based off the agency's answers and provided information, AHFC will follow up in writing until resolved.

The Fiscal Monitoring is conducted by representatives from the AHFC Audit Department.

1. In the notice letter, agencies are notified that the review remotely will be performed remotely and then request that they send us information via AHFC's secure email system, Mimecast.
2. First, the general ledger is requested from which expense selections are made. This occurs about two weeks before the actual monitoring. Once the expense selections are made the agency has about a week to provide them to us.
3. On the 'start day' of the monitoring review the auditors have an entrance meeting via webex teams and ask any questions we have regarding the expense documentation they've provided or go over any other documentation that we will need. Sometimes the Program Manager will attend to assist in explaining nuances of the program.
4. During the entrance meeting the auditors typically, schedule a date later in the week (1-2 days from the start date) to meet and have an exit teleconference where we go over the initial results.
5. Then we send out our initial 'expense discrepancy letter that lists all the issues we discuss at the exit teleconference. The agency then has 10 business days to provide additional documentation or clarification to try to resolve the discrepancies.
6. Once received the auditors look to see if there are any issues remaining that would be considered a Finding or Concern and then send the report to close out the review from our side. Its then up to the agency to coordinate with the program manager any corrective action plans to address the Finding/Concern.

Field monitoring would consist of reviewing the contents of the client file before the virtual site visit. The file review would be completed, and any questions or comments noted so the QCI could respond during the virtual site visit. For the actual site visit, we would have the QCI try to use Zoom, Teams, WhatsApp, or Facetime with his/her phone so we could observe the completed work and the diagnostic testing. If there is limited broadband and we cannot live feed the video inspection, the agency will document thoroughly with video the work that was completed. They will then will bring the video and all the testing diagnostics to the home office where we could review the entire process via a web conferencing platform or in person. We would look at the house just as we would if we were there. We would be using all the same forms and checklists as we do when on site. AHFC will review all the work that is on the video with the agency representative.

Work-in-Progress

1. A client home is identified from those that are in schedule for on-site work.
2. Once the crew has unloaded their equipment and started work, a representative will contact AHFC to begin the video walkthrough process via one of the online platforms.
3. The AHFC inspector observes the staff working from the street view and approach with the person operating the device the staff and tour the job site.
 - a. The person operating the device should be familiar with that home's scope of work to know what areas of the home to view.

- b. It will be requested that the tour also includes close-up views where needed
4. Covid protocols, such as social distancing, must be observed.
5. Each worker starting with the crew leader describes which tasks they are completing and the installation techniques that will be implemented
6. The AHFC inspector views the condition of the vehicles, tools, and other equipment.
7. He/she also asks about and view safety equipment, location of PPE, SDS manuals, and Field Guides.
8. AHFC reviews compliance with the Alaska Field Guide for each measure installed.
9. AHFC observes general worker and client safety practices and basic OSHA compliance
10. Safety violations or concerns are immediately identified and resolved.
11. If it appears something has been missed, or not addressed properly, the agency is given a chance to explain the reasoning behind why.
12. If the client is on site, a brief interview may be conducted regarding client satisfaction and the level of knowledge and information that the client has gained from client education.
13. The AHFC will issue a letter or the forms used to the agency to mark the interim inspection. If there are problems, they will be addressed before completion of the job.

Final Inspection - QCI

1. A completed unit that needs a final QCI is selected and the client file is sent to AHFC staff through Wx. Online or Mimecast if possible. If broadband is limited other methods will be determined as stated above.
2. The AHFC inspector views the contents of the file and views the home via Google Earth if available.
3. Notes are made in preparation.
4. The agency contacts AHFC when ready to start the inspection.
5. The Agency QCI describes each activity as they would during a proctored field exam.
6. Everything that the final inspector would normally do is completed and video streamed.
7. AHFC inspectors will ask the agency representative to slow down, stop, explain, or show a closer shot of certain measures if needed.
8. The diagnostic testing is highly important, and the camera must be angled to clearly see the meters, gauges, location of testing, and appliance operation.
9. Safety concerns observed by the AHFC inspector will be communicated immediately to the inspection team.
10. The agency may have more than one device on hand as a backup if the first one battery life is not long enough to support the entire final inspection.
11. As the final inspection is ending, the AHFC inspector gives the inspectors an opportunity to address anything they might have missed.
12. If it appears the home is being left in an unsafe manner, the AHFC inspector alerts the agency so that can be corrected, and notations are made for the monitoring letter.
13. The QCI form will be filled out and any relevant information about problems or missed opportunities will be noted.

14. If the client is on-site, the AHFC inspector will review the client questionnaire form with the client about the weatherization project. (Many are not on site at this time but AHFC sends a questionnaire to all completed projects at the end of the year.)
15. The final inspection visit is compared to the client file, and the scope of work, the AkWarm analysis, etc. to ensure that the best course of action was implemented.
16. AHFC will issue the signed QCI form to the agency when the inspection is completed. If punch list items or missed opportunities are noted, they will be corrected prior to completion of the job.