



**Department of Energy**  
Washington, DC 20585

July 22, 2019

Robert Underwood, Energy Administrator  
Division of Climate, Coastal & Energy  
Delaware Natural Resources & Environmental Control  
89 Kings Highway  
Dover, Delaware 19901-0000  
Subject: Monitoring Report, Grant #: EE0007910

Dear Mr. Underwood:

On June 18 through 20, 2019, Christine Askew, U.S. Department of Energy (DOE) Project Officer and Thom Price of SMS conducted an on-site monitoring assessment of the State of Delaware Weatherization Assistance Program (WAP). I would like to extend my appreciation to you and your staff for your availability and the cooperation extended during the visit.

The monitoring assessment included a review of programmatic, fiscal, and administrative aspects of the WAP program. The DOE Monitoring Report, which summarizes observations and recommendations made during the monitoring visit, is enclosed. Please submit a written response within the next 30 calendar days indicating the follow-up actions that will be taken on the findings, concerns, and recommendations contained in the Report.

Please contact me if you have any questions or concerns about this report. I may be reached at [erica.burrin@ee.doe.gov](mailto:erica.burrin@ee.doe.gov), (202-280-9863).

We look forward to continued interaction with you and your staff in the effective implementation and operation of the Weatherization Assistance Program.

Sincerely,

*Erica Burrin*

Erica Burrin  
Program Manager  
Weatherization Assistance Program

Cc: Cheryl Gmuer, WAP Program Manager  
Karen Forrest, Management Analyst II  
Christin Askew, DOE Project Officer  
Danela Garcia, DOE Grant Specialist  
Kristen Cadigan, DOE Contracting Officer

**DOE WEATHERIZATION ASSISTANCE PROGRAM:  
ONSITE MONITORING VISIT REPORT**

**GRANTEE:** STATE OF DELAWARE

**DATES:** 6/18/2019 - 6/20/2019

**GRANT NUMBER:** DE-EE007910

**SUMMARY:**

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On June 18 - 20, 2019, U.S. Department of Energy (DOE) Project Officer Christine Askew conducted an onsite monitoring assessment of State of Delaware Natural Resources & Environmental Control (DNREC) Federal grant funding under CFDA#81.042 - Weatherization Assistance Program for Low-Income Persons (WAP). The DNREC is the Grantee agency that administers the WAP for the State. The focus of the visit to DNREC's offices in Dover was DNREC administration of Delaware's formula grant #DE-EE007910, which provides WAP funding through annual appropriations in the Federal budget.

The Project Officer also visited the following Delaware WAP Subgrantee agency with the Grantee staff as part of her monitoring visit:

- Energy Coordination Agency (ECA)
- Catholic Charities (CC)

To provide additional review and background for the Project Officer's report, a DOE technical support contractor conducted additional onsite technical review visits at homes weatherized by the two Delaware WAP Subgrantee agencies ECA and CC, mentioned above.

The Project Officer identified monitoring assessments during the visit, which comprise the one Commendation, one Finding, three Concerns and one Recommendation described in this Report. The Grantee is required to provide a response to the Finding and Concerns, which should include Corrective Action Plans (CAP's) as appropriate. The Grantee is also requested to respond to the Recommendation. The Grantee's response should be received within 30 calendar days of the date of this report.

**PURPOSE OF REVIEW:**

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The Project Officer conducted the onsite monitoring assessment is it to fulfill compliance monitoring and oversight requirements of the DOE WAP, and to provide technical assistance as indicated during the visit. The objectives of the monitoring assessment were to:

- Assess the Grantee’s adherence to the State Plan.
- Identify program strengths and areas for improvement.
- Evaluate the Grantee’s monitoring and oversight of Subgrantees.
- Verify compliance with Federal and State regulations, policies and procedures.
- Identify accomplishments and success stories.
- Determine how DOE can help the Grantee to implement the WAP more successfully.

**PROCESS:**

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**DOE Weatherization Assistance Program Monitoring  
June 18-21, 2019**

**AGENDA**

**DOE Attendees:** Christine Askew, Project Officer  
Thom Price, SMS Technical Monitor

**Delaware Grantee, DNREC:** Robert Underwood, Energy Administrator  
Cheryl Gmuer, WAP Program Manager  
Mathew Himmelein, WAP State Monitor  
Karen Forrest, Management Analyst II

**Subgrantee, Catholic Charities (CC):** Fritz Jones, Director of Programs  
Dana Newman, WAP Program Manager  
Kristin Peers, Program Coordinator  
Gary Harris, QCI Auditor  
Steven Clarke, QCI Auditor

**Subgrantee, Energy Coordinating Agency (ECA):** Steve Luxton, Executive Director  
Chuck Graves, WAP Program Manager/COO  
Veronica Irizarry, Field Production Supervisor  
CJ Beaver, Auditor

Marco Ricca, Outreach & Marketing Manager  
 Colette Davis, Project Coordinator

Day	Office Activity	Field Activity
<b>Tuesday, June 18</b>		
8:30 -3:00pm	DNREC Office - Grantee Administrative Review	Sussex County clients (see Technical Agenda)
<b>Wednesday, June 19</b>		
8:30-12:00pm	Complete Grantee Review	Kent County clients (see Technical Agenda)
1:00-4:00pm	Christine will join technical team in the field	
<b>Thursday, June 20</b>		
9:00-12:00pm	DOE/Energy Coordinating Agency/Wilmington	Wilmington in-progress home (Evelyn)
1:00pm-4:00pm	DOE/Catholic Charities/Wilmington	New Castle County in-progress home (TBD)
3:00pm-4:00pm	As time allows, Christine will join the technical team in the field.	
TBD	Exit Interview	

**PROGRAMMATIC & MANAGEMENT CHECKLIST: ASSESSMENT REVIEW**

**FEEDBACK & REPORTING:**

*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**COMMENDATIONS:**

**Title:** Commendation #1 – Grantee Files

**Status:** NA

**Date Identified:** 7/18/2019

**Description:** During the June 2019 visit, the Project Officer reviewed the WAP documents on the DNREC website with the DNREC Program Manager. All the documents were accessible on the website; they were well organized and easy to locate.

**GRANTEE REVIEW:**

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*Section was reviewed monitoring assessment(s) were identified during the visit.*

**CONCERNS:**

**Title:** Concern #1 (Advance Payments)

**Status:** Open

**Date Identified:** 6/18/2019

**Description:** DNREC does not offer advances to the Subgrantees. If a Subgrantee requests an advance, there is a rigorous review done within the DNREC. If approved, the Subgrantee will only be advanced 10% of the award. The regulations [2CFR 200.305], states that advances **must** be provided to the Subgrantee.

“ Advance payments to a non-Federal entity must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the non-Federal entity in carrying out the purpose of the approved program or project. The timing and amount of advance payments must be as close as is administratively feasible to the actual disbursements by the non-Federal entity for direct program or project costs and the proportionate share of any allowable indirect costs. The non-Federal entity must make timely payment to contractors in accordance with the contract provisions. Whenever possible, advance payments must be consolidated to cover anticipated cash needs for all Federal awards made by the Federal awarding agency to the recipient.”

**Grantee Required Action:** Review the regulations [2CFR 200.305] on Advancements.

**FINANCIAL/ADMINISTRATIVE :**

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*Section was reviewed and no finding(s), concern(s) or recommendation(s) were identified during visit.*

**POLICY ADVISORY COUNCIL:**

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*Section was reviewed and no finding(s), concern(s) or recommendation(s) were identified during visit.*

**ELIGIBILITY:**

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*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**RENTAL POLICIES & PROCEDURES:**

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*Section was reviewed and no finding(s), concern(s) or recommendation(s) were identified during visit.*

**ENERGY AUDITS:**

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*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**Title:** **Finding #1(Non Compliance with WPN 15-4: Quality Work Plan Requirement Update)**  
**Status:** **Open**  
**Date Identified:** 6/20/2019

**Description:** As observed, Grantee Monitor was only inspecting installed materials/measures. WPN 15-4 requires that the Quality Control Inspection must include an assessment of the original audit and confirm that the measures called for on the work order were appropriate and in accordance with the Grantee audit procedures and protocols approved by DOE.

**Grantee Required Action:** Grantee shall develop a Corrective Action Plan (CAP) to ensure that the minimum requirements set forth in WPN 15-4 are being met.

**Title:** **Concern #2 (Application of Approved Energy Audit Tool per WPN 19-4)**  
**Status:** **Open**  
**Date Identified:** 6/20/2019

**Description:** Since Program Year (PY) 2000, all Grantees have been required to adopt computerized energy audits to determine the most cost-effective energy conservation measures (ECM's) to install in a home (Priority Lists must be developed based on computerized energy audits). The Grantee DOE-approved specific Audit Procedures and Field Protocols for data collection and audit tool entry must be followed by Subgrantee Energy Auditors. It was observed that work orders are not generated based on the approved energy audit tool.

**Grantee Required Action:** Grantee shall develop a Corrective Action Plan (CAP) to ensure that the DE network is correctly applying the DOE approved Hancock Energy Audit Tool (HEAT).

**HEALTH & SAFETY:**

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*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**Title:** Concern #3 (Combustion Safety)  
**Status:** Open  
**Date Identified:** 6/20/2019

**Description:** Network staff observed during the visit were unable to proficiently perform required combustion safety testing. Unsafe combustion appliances were left in homes, counter to approved Grantee standards and policies.

**Grantee Required Action:** Grantee must develop a Corrective Action Plan (CAP) to ensure that the minimum requirements set forth in combustion safety standards and polices have been received by Subgrantees (including Subcontractors) and are being implemented.

**Title:** Concern #4 Streamline Grantee and Subgrantee implementation of ASHRAE 62.2-2016 (Cost saving opportunity)

**Status:** Open  
**Date Identified:** 6/20/2019

**Description:** Current installed exhaust ventilation systems meet the minimum requirements of ASHRAE 62.2-2016. However, it was observed in every dwelling visited, multiple bathroom exhaust fans and a kitchen range hood were installed when a single ventilation fan would/could have met the required ventilation rate.

**Grantee Required Action:** Grantee must develop a Corrective Action Plan (CAP) to ensure that the minimum requirements set forth in ASHRAE 62.2-16 guidance is provided to Subgrantees in order to identify and implement opportunities to reduce avoidable H&S expenditures.

**EQUIPMENT/INVENTORY/MATERIALS:**

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*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**GRANTEE MONITORING:**

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*Section was reviewed and monitoring assessment(s) were identified during this visit.*

**TRAINING & TECHNICAL ASSISTANCE:**

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*Section was reviewed and no additional finding(s), concern(s) or recommendation(s) were identified,, other than those already incorporated into the concerns and recommendations stated above.*

**SUBGRANTEE(S) CHECKLIST: ASSESSMENT REVIEW**

During the Project Officer's June 2019 visit, she did Subgrantee reviews for CC and ECA offices. She was able to visit one home weatherized by each agency. The focus of the visit with both Subgrantees was to review DNREC's fiscal/administrative and technical monitoring approach to its Subgrantees, and to observe the weatherization work.

Please note that DOE does not directly monitor Subgrantee agencies. DOE instead reviews the work quality and practices of Subgrantees as part of DOE's review of the Grantee agency's oversight of its Subgrantees. Any findings, concerns or recommendations resulting from DOE visits to Subgrantees are directed at the Grantee, as described throughout this report.

**TECHNICAL ASSISTANCE:**

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Technical assistance was provided as indicated throughout the monitoring visit in various Program areas, as described in specific sections of the checklist or report.

**CLOSING:**

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The Project Officer extends her thanks and appreciation for the consideration shown by DNREC staff during the June 2019 monitoring visit. She also extends her appreciation of the staff of the two Subgrantee agencies during the SMS contractor's visits. Everyone has been very helpful and cooperative in answering questions and providing the background documentation requested.

**CERTIFICATION:**

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The Project Officer has conducted this monitoring visit in accordance with DOE standard procedures using the appropriate monitoring checklists to form an opinion on the general administration of DNREC’s Weatherization Assistance Program grants.

This was not an audit; therefore, all areas were only examined to obtain an assessment of compliance with Program requirements.

Report Prepared by:

*Christine Askew*

*July 22, 2019*

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Christine Askew  
Project Officer

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Date

81.042 - Weatherization Assistance Program – U.S. Department of Energy