

# Missouri Weatherization Assistance Program Service Areas

MISSOURI

Department of Economic Development

**Division of Energy**  
855-522-2796  
energy.mo.gov

<p><b>1 Community Services of Northwest Mo.</b> 660-582-3113</p> <p><b>2 Delta Area Economic Opportunity Corp.</b> 573-379-3851</p> <p><b>3 East Mo. Action Agency</b> 573-431-5191</p> <p><b>5 Economic Security Corp. of the Southwest Area</b> 417-781-0352</p> <p><b>6 Green Hills Community Action Agency</b> 660-359-3907</p> <p><b>7 Central Mo. Community Action</b> 573-443-3500</p> <p><b>8 Urban League of Metro. St. Louis</b> 314-615-3600</p> <p><b>9 Jefferson-Franklin Community Action Corp.</b> 636-789-2686</p> <p><b>11 Community Action Agency of St. Louis County</b> 314-863-0015</p> <p><b>12 Mo. Ozarks Community Action</b> 573-765-3263</p> <p><b>13 Mo. Valley Community Action Agency</b> 660-886-7476</p> <p><b>14 North East Community Action Corp.</b> 573-324-2231</p>	<p><b>15 Northeast Mo. Community Action Agency</b> 660-665-9855</p> <p><b>16 Ozark Action Inc.</b> 417-256-6147</p> <p><b>17 Ozarks Area Community Action Corp.</b> 417-862-4314</p> <p><b>18 South Central Mo. Community Action Agency</b> 573-325-4255</p> <p><b>19 West Central Mo. Community Action Agency</b> 660-476-2185</p> <p><b>35 Community Action Partnership of Greater St. Joseph</b> 816-233-8281</p> <p><b>36 United Services Community Action Agency</b> 816-358-6868</p>
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Source: Missouri Department of Economic Development/Division of Energy



## Weatherization Assistance Program – Administrative Office Locations

### 01 – CSI

#### Community Services Inc

##### of Northwest Missouri

Executive Director: Bonnie Patterson  
 PO Box 328, 1212-B South Main  
 Maryville, MO 64468-0328  
 Phone: 660-582-3113  
[www.communityservicesinc.org](http://www.communityservicesinc.org)  
 WX Director: Glenn Miller  
[gmler.csi@gmail.com](mailto:gmler.csi@gmail.com)  
 cell: 660-541-3950

### 05 – ESC

#### Economic Security Corporation

##### of the Southwest Area

Chief Executive Officer: John Joines  
 PO Box 207, 302 Joplin  
 Joplin, MO 64802-0207  
 Phone: 417-781-0352  
[www.escswa.org](http://www.escswa.org)  
 WX Director: Ryan Peterson  
[rpeterson@escswa.org](mailto:rpeterson@escswa.org)  
 Phone: 417-781-4437

### 08 – ULMSL

#### Urban League

##### of Metropolitan St Louis

President/CEO: Michael McMillan  
 3701 Grandel Square  
 St Louis, MO 63108-3627  
 Phone: 314-615-3600  
[www.ulstl.com](http://www.ulstl.com)  
 WX Director: Connie Taylor  
[ctaylor@urbanleague-stl.org](mailto:ctaylor@urbanleague-stl.org)  
 Phone: 314-615-3608

### 02 – DAEOC

#### Delta Area Economic

##### Opportunity Corporation

Executive Director: Joel Evans  
 99 Skyview Dr  
 Portageville, MO 63873-9180  
 Phone: 573-379-3851  
[www.daeoc.com](http://www.daeoc.com)  
 WX Director: Jeanie Smallwood  
[jsmallwood@daeoc.com](mailto:jsmallwood@daeoc.com)  
 Phone: 573-379-3851 X201

### 06 – GHCAA

#### Green Hills

##### Community Action Agency

Chief Executive Officer: Aaron Franklin  
 1506 Oklahoma Avenue  
 Trenton, MO 64683-2587  
 Phone: 660-359-3907  
[www.ghcaa.org](http://www.ghcaa.org)  
 Acting WX Director: Aaron Franklin  
[franklina@ghcaa.org](mailto:franklina@ghcaa.org)  
 Phone: 660-359-3907 X1038

### 09 – JFCAC

#### Jefferson-Franklin

##### Community Action Corporation

Executive Director: Robert Owen  
 PO Box 920, #2 Merchant Drive  
 Hillsboro, MO 63050-0920  
 Phone: 636-789-2686  
[www.jfcac.org](http://www.jfcac.org)  
 WX Director: Joe White  
[jwhite@jfcac.org](mailto:jwhite@jfcac.org)  
 Phone: 636-789-2686 X141

### 03 – EMAA

#### East Missouri Action Agency

Executive Director: William Bunch  
 403 Parkway Drive, PO Box 308  
 Park Hills, MO 63601-3170  
 Phone: 573-431-5191  
[www.eastmoaa.org](http://www.eastmoaa.org)  
 WX Director: Caleb Cooley  
[cchooley@eastmoaa.org](mailto:cchooley@eastmoaa.org)  
 Phone: 573-431-5191 X3904

### 07 – CMCA

#### Central Missouri Community Action

Executive Director: Darin Preis  
 807-B N Providence Rd  
 Columbia, MO 65203-4359  
 Phone: 573-773-8706  
[www.showmeaction.com](http://www.showmeaction.com)  
 WX Director: Lisa Goldschmidt  
[lisa-goldschmidt@showmeaction.org](mailto:lisa-goldschmidt@showmeaction.org)  
 Phone: 573-443-3500

### 11 – CAASTLC

#### Community Action Agency

##### of St Louis County

Executive Director: Merline Anderson  
 2709 Woodson Road  
 Overland, MO 63114-4817  
 Phone: 314-863-0015  
[www.caastlc.org](http://www.caastlc.org)  
 WX Director: George Robnett  
[grobnett@caastlc.org](mailto:grobnett@caastlc.org)  
 Phone: 314-201-0045

**12 – MOCA****Missouri Ozarks Community Action**

Executive Director: David Miller  
 PO Box 69, 306 S Pine St  
 Richland, MO 65556  
 Phone: 573-765-3263  
 www.mocaonline.org  
 WX Director: Melinda Smith  
 msmith@mocacaa.org  
 Phone: 573-765-3263 X182

**13 – MVCAA****Missouri Valley****Community Action Agency**

Executive Director: Pam LaFrenz  
 1415 S Odell Ave  
 Marshall, MO 65340-3144  
 Phone: 660-886-7476  
 www.mvcaa.net  
 WX Director: Rhonda Wickham  
 wickhamr@mvcaa.net  
 Phone: 660-886-7476 X841

**14 – NECAC****North East****Community Action Corporation**

Executive Director: Donald Patrick  
 PO Box 470, 16 North Court St  
 Bowling Green, MO 63334-0470  
 Phone: 573-324-2251  
 www.necac.org  
 WX Director: Ken Schneider  
 kschneider@necac.org  
 Phone: 573-324-2251

**15 – NMCAA****Northeast Missouri****Community Action Agency**

Executive Director: Penny Miles  
 PO Box 966, 215 N Elson  
 Kirksville, MO 63501-0966  
 Phone: 660-665-9855  
 www.nmcaa.org  
 WX Director: Heather Rohn  
 hrohn@nmcaa.org  
 Phone: 660-665-9855 X27

**16 – OAI****Ozark Action Incorporated**

Executive Director: Bryan Adcock  
 710 East Main St  
 West Plains, MO 65775-3307  
 Phone: 417-256-6147  
 www.oaiwp.org  
 WX Director: Terry Sanders  
 housedoctor@oaiwp.org  
 Phone: 417-256-6147 X280

**17 – OACAC****Ozarks Area****Community Action Corporation**

Executive Director: Carl Rosenkranz  
 215 S Barnes Ave  
 Springfield, MO 65802-2204  
 Phone: 417-864-3492  
 www.oacac-caa.org  
 WX Director: Todd Steinmann  
 tsteinmann@oacac-caa.org  
 Phone: 417-865-7797

**18 – SCMCAA****South Central Missouri****Community Action Agency**

Executive Director: Judy Young  
 PO Box 6, Old Alton Rd  
 Winona, MO 65588-0006  
 Phone: 573-325-4255  
 www.scmcaa.org  
 WX Director: Todd Richardson  
 toddrichardsonscmcaa@hotmail.com  
 Phone: 573-325-4255

**19 – WCMCAA****West Central Missouri****Community Action Agency**

Executive Director: Chris Thompson  
 PO Box 125, 106 West Fourth St  
 Appleton City, MO 64724-1402  
 Phone: 660-476-2185  
 www.wcmcaa.org  
 WX Director: Jeff Moore  
 jmoore@wcmcaa.org  
 Phone: 660-476-2185 X1300

**35 – CAPSTJOE****Community Action Partnership  
of Greater St Joseph**

Executive Director: Steve Wenger  
 817 Monterey St  
 St Joseph, MO 64503-3611  
 Phone: 816-233-8281  
 www.endpov.com  
 WX Director: Glenn Miller  
 gmiller@endpov.com  
 cell: 660-541-3950

**36 – USCAA****United Services****Community Action Agency**

Executive Director: Albert Dudley  
 6323 Manchester Ave  
 Kansas City, MO 64133-4717  
 Phone: 816-358-6868  
 www.choose-hope.org  
 WX Director: Lemartt Holman II  
 lholman@unitedservicescaa.org  
 Phone: 816-743-8324

**AGENCIES' COUNTIES SERVED****CSI (01)**

Atchison	003
Gentry	038
Holt	044
Nodaway	074
Worth	113

**DAEOC (02)**

Dunklin	035
Mississippi	067
New Madrid	072
Pemiscot	078
Scott	100
Stoddard	103

**EMAA (03)**

Bollinger	009
Carroll	016
Iron	047
Madison	062
Perry	079
St. Francois	094
Ste. Genevieve	095
Washington	110

**ESC (05)**

Barton	006
Jasper	049
McDonald	060
Newton	073

**GHCAA (06)**

Caldwell	013
Daviess	031
Grundy	040
Harrison	041
Linn	058
Livingston	059
Mercer	065
Pulaski	086
Sullivan	105

**CMCA (07)**

Audrain	004
Boone	010
Callaway	014
Cole	026
Cooper	027
Howard	045
Moniteau	068
Osage	076

**ULMSL (08)**

St Louis City	115
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**JFCAC (09)**

Franklin	036
Jefferson	050

**CAASTLC (11)**

St Louis County	096
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**MOCA (12)**

Camden	015
Crawford	028
Gasconade	037
Laclede	053
Maries	063
Miller	066
Phelps	081
Pulaski	085

**MVCAA (13)**

Carroll	017
Chariton	021
Johnson	051
Lafayette	054
Pettis	080
Ray	089
Saline	097

**NECAC (14)**

Lewis	056
Lincoln	057
Macon	061
Marion	064
Monroe	069
Montgomery	070
Pike	082
Ralls	087
Randolph	088
St. Charles	092
Shelby	102
Warren	109

**NMCAA (15)**

Adair	001
Clark	023
Knox	052
Schuyler	098
Scotland	099

**OAI (16)**

Douglas	034
Howell	046
Oregon	075
Ozark	077
Texas	107
Wright	114

**OACAC (17)**

Barry	005
Christian	022
Dade	029
Dallas	030
Greene	039
Lawrence	055
Polk	084
Stone	104
Taney	106
Webster	112

**SCMCAA (18)**

Butler	012
Carter	018
Dent	033
Reynolds	090
Ripley	091
Shannon	101
Wayne	111

**WCMCAA (19)**

Bates	007
Benton	008
Cass	019
Cedar	020
Henry	042
Hickory	043
Morgan	071
St. Clair	093
Vernon	108

**CAPSTJOE (35)**

Andrew	002
Buchanan	011
Clinton	025
Dekalb	032

**USCAA (36)**

Clay	024
Jackson	048
Platte	083



## MoWAP Client File Review and Reimbursement Checklist

### A. Client File Review

1. Ensure that a copy of the client's paper application, and/or updated application, is uploaded to MoWAP. Review it for completeness and accuracy; all questions answered; applications signed and dated. Make sure that the information on the paper copy matches the information that was entered into MoWAP. If a new application is filled out at the time of reverification, make sure the original application is also uploaded to MoWAP.
2. Ensure that the client's Social Security number documentation has been uploaded to MoWAP.
3. Ensure that the client's proof of income, and/or income reverification (if applicable), is uploaded to MoWAP. Review to make sure that all adults living in the household either have income or zero income documents uploaded to MoWAP.
4. Ensure that the client's proof of home ownership (if applicable) is uploaded to MoWAP. Review to make sure the client actually owns the home.
5. Ensure that a Landlord Agreement form (if applicable) was completed and uploaded to MoWAP if home is a rental unit.
6. Ensure that a landlord contribution was received (if applicable) and that a copy of the check or receipt is uploaded to MoWAP.
7. Ensure that a copy of the client's utility bill(s), that clearly shows the account number and the address of the home being weatherized, is uploaded to MoWAP. For utility grant reimbursements, verify that the client is a customer of that utility.
8. Ensure that proper SHPO approval has been received (if applicable) and is uploaded to MoWAP. Review SHPO exemptions to make sure they are correct. If a home is exempt by both age **and** activities, use Exempt Due To: Age of Property.
9. Ensure that a picture of the front of the home is uploaded to MoWAP.
10. Ensure that bid documents (if applicable) are uploaded to MoWAP. When bidding out individual items such as furnace or air conditioner replacements on a home by home basis, the three required Request for Quote (RFQ) or Request for Bid (RFB) must be uploaded to MoWAP.
11. Ensure that all invoices associated with the weatherization of the home are uploaded to MoWAP. Contractor invoices must be detailed, indicate measures performed, work start and end dates, and pricing must be broken out by material and labor costs. For inventory material and crew labor, upload a worksheet or some other documentation so that it can be easily determined how material and labor costs were charged for reimbursement.
12. Ensure that the Client Interview and Auditor Assessment form is uploaded to MoWAP.
13. Ensure that the NEAT/MHEA Input Report is uploaded to MoWAP.
14. Ensure that the NEAT/MHEA Recommended Measures Report is uploaded to MoWAP.
15. Ensure that a Mechanical Systems Audit form, with the combustion gas analyzer printout, is uploaded to MoWAP.
16. Ensure that the Diagnostic Field form is uploaded to MoWAP.
17. Ensure Work-Order Change Notices (if applicable) are uploaded to MoWAP.
18. Ensure that the ASHRAE 62.2 form is uploaded to MoWAP.
19. Ensure that the Incidental Repair Justification form (if applicable) is uploaded to MoWAP if incidental repair measures were installed.

20. Ensure that the Worst Case Draft Test form is uploaded to MoWAP.
21. Ensure that the Baseload Replacement and Ventilation Audit form is uploaded to MoWAP.
22. Ensure that the Final Inspection form is uploaded to MoWAP.
23. Ensure the Final Inspection Attempted Contacts (if applicable) is uploaded to MoWAP.
24. Ensure that physician letters, emergency service documentation and physician letters (if applicable) are uploaded to MoWAP.
25. Ensure DED/DE approvals (if applicable) are uploaded to MoWAP.

**NOTE:** Unless there are specific DED/DE approved circumstances, these documents must be uploaded to each client file in MoWAP individually and not uploaded as multiple documents under the “All Required Documents” option. However, DED/DE understands that it may be more time consuming to upload all documents individually. For that reason, the following documents may be combined under “All Required Documents” when uploaded to MoWAP:

- The Landlord Agreement Form and Landlord Contribution
- The NEAT/MHEA Input Report and Recommended Measures
- The Mechanical Systems Audit Form, Worst Case Depressurization Form, Diagnostic Field Form, and Baseload Replacement and Ventilation Audit Form
- The Invoices and Individual Bids documents

Combined documents should be listed under the “Description” field on the MoWAP document upload screen. All other required documents should be uploaded separately.

26. Review the pre- and post-weatherization CFM readings to make sure they are correct.
27. Review audit and final inspection dates and personnel to ensure that the information that was entered into MoWAP matches the documents uploaded to MoWAP.
28. Review the Energy Savings Worksheet in MoWAP to ensure figures are correct.
29. Review the work order(s) in MoWAP to ensure the totals match the invoices/worksheets that were uploaded to MoWAP.
30. Review the Funding Source Breakdown to ensure the materials and labor for the crew and contractors match the invoices/worksheets that were uploaded to MoWAP.
31. Review work order measures to ensure measures reported are legitimate, match the NEAT/MHEA recommended measures, and that the actual costs match the invoices/worksheets.
32. Review work order start and end dates to verify that they match the invoices/worksheets.

## **B. Reimbursement Review**

1. Ensure that the general ledger/working papers are uploaded to MoWAP.
2. Review the expenditures on the reimbursement and the general ledger/working papers to ensure that they are allowable per grant guidelines.
3. Verify that the expenditures on the reimbursement were posted to the subgrantee’s uploaded General Ledger/working papers. The total on the general ledger/working papers **must** match the total on the reimbursement.
4. The general ledger/working papers should include references to the homes attached on the reimbursement, and include contract labor, crew labor, and materials. This must match the MoWAP reimbursement.
5. Review the details of the T&TA expenditures to ensure accuracy.
6. Review average cost per home (total expended in Program Operations divided by the total number of homes completed for that grant).



**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
FISCAL/PROCEDURAL MONITORING TOOL**

**WEATHERIZATION SUBGRANTEE – \_\_\_\_\_**

**ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_**

organization. Try to get a written statement from anyone with information.		
<b><u>PROCEDURES</u></b>	<b><u>Initials &amp; Date</u></b>	<b><u>Reference</u></b>
<p><b>II. Operations</b></p> <p><b>A. Financial Controls</b></p> <p><i><b>Pre-work:</b></i> Review risk assessment (<i>FY14 Risk Assessment.xlsx</i>) to determine the scope of the monitoring visit and the number of client files to be reviewed.</p> <p><i><b>Pre-work:</b></i> Print out and review the Positions and Processes Questionnaire that was completed by the subgrantee.</p> <p><i><b>Pre-work:</b></i> Obtain and review the subgrantee's Accounting Policies and Procedures to determine if they comply with the requirements of 10 CFR 600 and the appropriate OMB Circular (A-122, A-87, or A-21).</p> <p>Obtain a list of all subgrantee bank accounts held during the engagement period. Ensure advances of federal funds are maintained in interest-bearing accounts and that interest earned on DOE funds has not exceeded the allowable threshold of \$250 for non-profits or \$100 for local governments.</p> <hr/> <hr/> <p>Review all bank authorization forms and obtain a list of authorized check signers during the review period.</p> <hr/> <hr/> <ul style="list-style-type: none"> <li>• Did the subgrantee board of directors authorize all bank accounts and check signers?</li> <li>• Were all terminated employees and ex-board members removed from check signing authority?</li> <li>• Were all checking accounts, savings accounts, and certificates of deposit tracked in the computer accounting system?</li> <li>• Are incoming checks restrictively endorsed by the person opening the mail?</li> </ul>		<p style="text-align: center;"><b>I A</b></p> <p style="text-align: center;"><b>I B</b></p> <p style="text-align: center;"><b>III A 1</b></p> <p style="text-align: center;"><b>III A 2</b></p>

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
FISCAL/PROCEDURAL MONITORING TOOL

WEATHERIZATION SUBGRANTEE – \_\_\_\_\_

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<ul style="list-style-type: none"> <li>• Is a receipt issued for all funds received, except direct deposits by DED and interest income?</li> <li>• Are receipt slips pre-numbered and used in sequence?</li> <li>• Is the numerical sequence of receipts accounted for?</li> <li>• Are receipts deposited promptly and intact?</li>   <li>• Is the person responsible for cash receipts separate from the person signing checks and reconciling the bank accounts?</li> <li>• Did advanced federal funds ever exceed \$250,000? Was a pledged security agreement/repurchase agreement obtained if advanced federal funds exceeded \$250,000?</li> <li>• Are there adequate procedures for approving and recording interbank transfers?</li> <li>• Is the blank check stock adequately secured?</li> <li>• Are dual signatures required on all checks? (no facsimile signature or stamps)</li> <li>• Is custody of checks after signature and before mailing properly controlled?</li> <li>• <i>Ask:</i> Are voided checks properly mutilated and retained?</li> </ul>		
<hr/> <p><b>Pre-work:</b> Document the bank reconciliation process. Determine who completes the monthly bank reconciliation and who approves the bank reconciliation. Vouch the bank reconciliation at December 31, 2013. Determine that the reconciliations were prepared accurately and approved properly.</p> <ul style="list-style-type: none"> <li>• Are bank statements reconciled promptly upon receipt? Are reconciliations properly documented?</li> <li>• Do the bank reconciliation procedures for all bank accounts include the following:             <ul style="list-style-type: none"> <li>• Comparison of dates and amounts of deposits as shown on the bank statements with the checkbook and computer accounting system?</li> <li>• Review of bank transfers to ensure both sides of the transactions have been properly recorded in the accounting records?</li> <li>• Are items rejected by the bank for insufficient funds investigated by a responsible person independent of those responsible for receipt or recording of cash?</li> </ul> </li> <li>• Do the bank reconciliation procedures for all bank accounts include</li> </ul>		<p><b>III A 3</b></p>



**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
FISCAL/PROCEDURAL MONITORING TOOL**

**WEATHERIZATION SUBGRANTEE – \_\_\_\_\_**

**ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_**

<p>Make a copy of one invoice and its backup documentation for the working papers. Make copies of any payments that did not match the invoice(s), were for costs that were not allowable, or were coded to the wrong account(s)</p> <ul style="list-style-type: none"> <li>• Were all expenditures supported by an invoice, employee reimbursement claim form, or other documentation?</li> <li>• Were all expenditures supported by an invoice, timesheet, employee reimbursement claim form, or other documentation?</li> <li>• Are invoices properly marked “Paid” with the date and check number to prevent duplicate payment?</li> <li>• Were expenditures posted correctly to the accounting records?</li> </ul> <hr/> <hr/>		
<p>Review Insurance Coverages – All subgrantees are required to carry the following types of insurance (may be on MoWAP budget):</p> <ul style="list-style-type: none"> <li>• General Liability Insurance</li> <li>• Automobile Insurance</li> <li>• Real and Personal Property Insurance</li> <li>• Environmental/Pollution Occurrence Insurance</li> <li>• Workers Compensation Insurance</li> </ul> <hr/>		<b>III B 2</b>
<p><b>Pre-work:</b> Obtain the subgrantee’s indirect rate or cost allocation plan from MoWAP and review it. If the allocation method or indirect rate has been approved by the federal cognizant agency, testing is not necessary.</p> <hr/>		<b>IIIB 3</b>
<p><b>Pre-work:</b> Administrative costs must be allocated based on the principles and procedures established in the cost allocation plan. Calculate the amount of indirect that should have been applied in the month(s) being tested and trace to the general ledger and monthly reimbursement(s).</p>		<b>III B 4</b>

MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
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WEATHERIZATION SUBGRANTEE – \_\_\_\_\_

ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_

<hr/> <hr/> <p>Determine if T&amp;TA expenditures are allowable according to 10 CFR 600. Trace to invoices, (<i>Pre-work:</i> general ledger, and monthly reimbursement(s)).</p> <hr/> <hr/>		<p><b>III B 5</b></p>
<hr/> <hr/> <p><i>Pre-work:</i> Review the WAP portion of the subgrantee’s single audit cost. This is to be included in the Financial Audit budget category unless financial audits have been included in the indirect cost pool of an approved indirect cost rate.</p> <hr/> <hr/>		<p><b>III B 6</b></p>
<p><b>C. Procurement</b></p> <p><i>Pre-work:</i> Obtain and review the subgrantee’s Procurement Policies and Procedures to determine if they comply with the requirements found in the Weatherization Program Operational Manual, Section 6, Procurement.</p> <p><i>Pre-work:</i> Obtain a listing of payments to vendors for the fiscal year being monitored. The listing should be summarized by fiscal year, vendor, and amount paid. Identify any vendor receiving more than \$3,000, request bid documentation for these purchases, and review for the following:</p> <ul style="list-style-type: none"> <li>• All purchases must be made by competitive procurement except for single, local purchases or repetitive purchases of like items with total value less than \$3,000 in a single year.</li> <li>• Informal telephone bids are required for purchases of \$3,000 to \$24,999</li> </ul> <hr/> <hr/> <p>Invitation for Bid procurement instrument must be used for</p>		<p><b>III A 1</b></p> <p><b>III C 1</b></p>

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WEATHERIZATION SUBGRANTEE – \_\_\_\_\_

ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_

<p>purchases exceeding \$25,000. These purchases must be advertised and use formal, sealed bids. If possible, a minimum of three bids must be received.</p> <hr/> <hr/> <p>Obtain and examine the bid packages for all Weatherization and HVAC contractors to determine if the subgrantee correctly executed the bid process, and retained all necessary documentation: IFB, newspaper ads or affidavits, list of bidders the IFB was sent to, list of those present at the bid opening (with</p> <p>time, date and location of opening), and bid evaluation score sheet.</p> <hr/> <hr/>		<p><b>III C 2</b></p>
<p>Obtain and examine the bid packages for all Insurance purchases to determine if the subgrantee correctly executed the bid process, and retained all necessary documentation. (If and independent insurance agent or insurance broker was used to procure the insurance, a bid package is not required.)</p> <hr/> <hr/>		<p><b>III C 3</b></p>
<ul style="list-style-type: none"> <li>• Were any new vehicle or equipment items purchased during the review period? Did the items receive proper DOE and DED/DE approval?</li> <li>• Were the new vehicle or equipment items bid with several vendors providing quotes? Were the proper bid processes followed for the type and value of asset acquired?</li> </ul> <p><b>D. Personnel and Payroll</b></p> <p><b>Pre-work:</b> Obtain and review the subgrantee’s current personnel policy to ensure compliance with applicable laws and regulations</p>		<p><b>III D</b></p>

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(i.e. Fair Labor Standards Act, Family & Medical Leave Act, etc.).

Review employee timesheets and leave records to ensure time worked, compensatory time, vacation and sick leave are accurate, adhere to subgrantee policy, and do not conflict with federal or state laws. Ensure that timesheets are signed by the employee and approved by a supervisor.

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- Were all expenditures supported by a timesheet, or other documentation?
  - Is a personnel file maintained for each employee that contains the employment application, position description, performance evaluations, payroll withholding authorization forms, leave records, etc.?
  - Are timesheets signed by both the employee and the employee's supervisor?
  - Does the person preparing the payroll review timesheets for computations of payroll period hours verify the pay rate and check leave time accrued, taken, and the balance?
  - Does an adequate system for distributing payroll to the funding source exist?
  - *Ask:* Does the person preparing the payroll review timesheets for overtime hours?
  - *Ask:* Are paychecks distributed by someone independent of timekeeping and preparing payroll checks?
  - *Ask:* Are payroll checks distributed on or after the last day of the payroll period (never cashed before pay date)?
  - *Ask:* Does subgrantee management review leave?
  - *Ask:* Is the total of W-2 wages for the year reconciled to the general ledger and payroll register wages paid?
  - *Ask:* Is overtime authorized in advance and a written record kept of the authorization?
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**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
FISCAL/PROCEDURAL MONITORING TOOL**

**WEATHERIZATION SUBGRANTEE – \_\_\_\_\_**

**ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_**

<p>documented?</p> <ul style="list-style-type: none"> <li>• Is the inventory adequately safeguarded with limited access?</li> <li>• Are materials, supplies, and equipment counted and inspected for condition upon receipt?</li> <li>• Are the duties of purchasing, receiving, disbursing, and record keeping properly segregated?</li> <li>• Is an annual physical inventory performed and documented?</li> <li>• Is a control system in place to ensure adequate safeguards to prevent against loss, damage, or theft of property?</li> <li>• Is the loss, damage, or theft of property reported to local authorities for investigation? Note instances.</li> </ul> <hr/> <hr/> <p><b>Pre-work:</b> Obtain the annual report that the subgrantee submits to DED/DE listing all vehicles and equipment.</p> <p><b>Pre-work:</b> Obtain from the subgrantee's Inventory file copies of the title, or application for title, and all purchase documentation for vehicles purchased during the review period. Include purchase approval documentation from DOE and the DED/DE.</p> <p><b>Pre-work:</b> Obtain from the subgrantee's Inventory file the documentation provided by the subgrantee regarding the disposal of vehicles and equipment.</p> <ul style="list-style-type: none"> <li>• Are the results of the physical inventory reconciled to the fixed assets records?</li> <li>• Is a control system in place to ensure adequate safeguards to prevent against loss, damage, or theft of property?</li> <li>• Is the loss, damage, or theft of property reported to local authorities for investigation? Note instances.</li> <li>• Have maintenance procedures been developed to keep the property in good condition?</li> <li>• Does the vehicle or equipment inventory listing include a description of the item, a VIN or serial number, the source of the property, the acquisition date, the cost, the location, and the use and condition?</li> <li>• Is equipment tagged with identification numbers?</li> <li>• Did the subgrantee sell any vehicles or equipment during the review period? Is DOE and DED/DE approval documentation available?</li> </ul>		<p><b>III E 3</b></p>
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**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT  
FISCAL/PROCEDURAL MONITORING TOOL  
WEATHERIZATION SUBGRANTEE – \_\_\_\_\_  
ENGAGEMENT PERIOD: \_\_\_\_ TO \_\_\_\_**

<p>Were the proceeds placed back in the appropriate fund for future weatherization use?</p> <hr style="border: 0; border-top: 1px solid black; margin: 10px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 10px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 10px 0;"/> <p><b>Pre-work:</b> Verify that any vehicles or equipment purchased by the subgrantee during the review period have appropriate DOE and DED/DE approval documentation.</p> <p><b>Pre-work:</b> If any vehicles or equipment were disposed of during the review period, verify that the proceeds were deposited into the appropriate weatherization fund account for future use.</p> <p><b>Pre-work:</b> Verify that the proceeds from the sale of any vehicles or equipment that was purchased with DOE funds, and were valued individually at \$5,000 or more, were returned to the Federal Treasury (less \$500 that could be kept to cover sale expenses).</p> <p>Check VIN/Serial numbers on the vehicles/equipment against those reported on the inventory list.</p> <hr style="border: 0; border-top: 1px solid black; margin: 10px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 10px 0;"/> <p><b>Pre-work:</b> Select client files to be monitored based on the number of homes completed during the review period and the risk assessment. Enter client job numbers and names in <i>Client File Testing.xls</i>. Print out the Client File Summary from MoWAP for each client file to be reviewed.</p> <p>Review the selected client files using instructions found on <i>Client File Testing.xls</i>.</p> <ul style="list-style-type: none"> <li>• Compare each contractors' bid document to a sampling of their invoices in the client files to ensure materials and labor are being charged in accordance with their bid.</li> <li>• Review a sampling of the client files to ensure that inventory materials and crew labor are being charged at the correct</li> </ul>		III E 4
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FISCAL/PROCEDURAL MONITORING TOOL

WEATHERIZATION SUBGRANTEE – \_\_\_\_\_  
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<p><b>III. Prior Monitoring and Audits</b></p> <p><i>Pre-work:</i> Review the findings of the subgrantee’s previous monitoring report and most recent A-133 audit.</p> <p>Document the status of the findings and any actions that the subgrantee has taken to correct the findings. If the subgrantee has not had sufficient time to implement corrective action, the follow-up should state such.</p>		<p>IV</p>
<p><b><u>PROCEDURES</u></b></p>	<p><b><u>Initials &amp; Date</u></b></p>	<p><b><u>Reference</u></b></p>
<p><b>IV. Exit Conference</b></p> <p>Conduct an exit conference with the subgrantee to discuss the results of the monitoring. Subgrantee staff should be offered the opportunity to be present at the exit conference. Put notes from the exit conference in the working papers binder.</p>		<p>V</p>