FFY2011

Initial Monitoring Tool

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| **Service Provider**  |  | SP ID |  |
| Date of Initial Monitoring Visit |  | Field Rep. |  |

1. Control Environment

Personnel

* 1. Review Key Agency Personnel (To be updated as needed)

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* 1. Key Energy Assistance Program Personnel Contacted

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| Name | Title | Remarks |
|  | EAP Coordinator |  |
|  | Executive Director |  |
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Previous Year Review (part of monitoring)

* 1. Review program recommendations, activities and monitoring issues from prior year.

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* 1. Have all the issues been resolved? Y / N If not yet; how will they be resolved?

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* 1. What actions were taken to resolve those issues?

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EAP Local Plan

* 1. Review *Local Plan* (Note any changes, additions or areas needing attention.)

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* 1. Are there any recommendations for improvement to the process or content of *Local Plan*?

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SP Support/Staffing

* 1. Does the agency staff, including the leadership, have full understanding of EAP?

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* 1. Does service provider management appropriately support EAP?

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* 1. Is EAP staffed appropriately and adequately to handle the workload?

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* 1. Do you have any concern about your staff capability?

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Training

* 1. Are there any suggestions to improve the process or contents of State EAP training?

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* 1. When was your agency’s local EAP training conducted; and who attended?

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* 1. What topics were covered by the training?

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1. Risk Assessment
	1. How is your SP handling Risk Management?

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* 1. What are the main challenges in advancing risk management?

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eHEAT Security

* 1. How many eHEAT users do you have? \_\_\_\_\_\_\_\_\_\_
	2. Have all staff signed *eHEAT User Security Agreements* for eHEAT access? Y/N
	3. How many eHEAT administrators are there? \_\_\_\_\_\_ Who is the lead eHEAT administrator? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
	4. Are any of them new? Y/N If yes, are they trained and does DOC have a copy of their eHEAT *Admin Agreement*?

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* 1. Is there any unauthorized user of the eHEAT system? Y/N

 (Example: a recently retired employee who has not been disabled)

* 1. How is the eHEAT user’s level of authority determined?

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* 1. Are staff familiar with and trained on data practices as outlined in the EAP policy manual

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* 1. How is private EAP data limited on the local network, PCs and Laptops?

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* 1. How are household applications, files and records protected?

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* 1. Notes, comments or any concerns regarding eHEAT security, internet access, file security.

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1. Control Activities

Applications

* 1. Have there been any issues with applications, rights and responsibilities, instructions? Including printing, mailing, local questions, Spanish or large print version, etc

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* 1. Notes, comments or any concerns regarding applications, rights and responsibilities and instructions?

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* 1. Are you recording Assurance 16 activities in eHEAT? Y/N

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* 1. Does your staff know about the functionality of the new button on the Crisis screen in eHEAT for recording Assurance 16 activities? Y/N

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Forms

* 1. Review program forms and verify the SP is using the appropriate current year forms.

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* 1. If SP does not use state-provided EAP form(s), review to approve use of local forms and tools. (Field rep keep copies of all approved forms)

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* 1. Notes, comments or any concerns regarding forms:

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Eligibility Documentation

* 1. Review household file set up (Sample 2 to 5 files to check for order and review systems)

All information relevant to a household’s application for EAP must be kept either electronically in eHEAT, in the hard copy/paper file or scanned into an accessible file.

Household files must contain:

* A signed signature page from the application (hard copy)
* The paper application (hard copy)
* Documentation of income for all HH members (hard copy)
* Income eligibility Worksheet (hard copy/eHEAT)
* Case notes (hard copy/eHEAT)
* Copies of any correspondence with the applicant, if applicable (hard copy/eHEAT)
* Documentation of research done in response to a question, complaint, or appeal, if applicable (hard copy)
	1. Notes, comments or any concerns regarding application documentation, file order and system set up:

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Vendors

* 1. Did you provide training to your energy vendors? If Yes, which ones and what training topics?

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* 1. Have there been any issues with vendors providing consumption?

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* 1. Are you following up on electricity as a secondary heating source? Are you making notes in the file? (Field Reps use eHEAT report from KB)

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* 1. How is private data protected when exchanging information including phone and emails?

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* 1. When did the local SP do vendor monitoring this year and how many vendors were monitored?

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* 1. Describe any vendor issues found during FFY2010 vendor monitoring:

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* 1. How were the issues addressed? Were they reported to DOC?

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* 1. Notes comments or any concerns regarding vendor issues?

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1. Information & Communication

Outreach

* 1. Tell us about your community partnerships:

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* 1. What is your plan for targeted outreach for reaching underserved population such as children, disabled and seniors?

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* 1. Review SP’s EAP outreach activities completed and planned:

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* 1. Where are EAP applications distributed?

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SP Internal Communications:

* 1. Does staff know how to access or have an *FFY2011 EAP Policy Manual* (shortcuts on their Desktop)? Y/N
	2. Has staff accessed the MNDOC Website for the *EAP Policy Manual*, *Tools on the Web* and *The Energizers*? Y/N
	3. How is staff informed of program news and updates such as *The Energizers,* EACA meetings, etc.?

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* 1. Is staff aware the information in *The Energizer* carries the weight of policy; it is the same as the *EAP Policy Manual*?

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* 1. Do you have a process for timely providing *The Energizer and* *A* *Spark* information to staff if the coordinator is out of the office?

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Reporting:

Accurate and timely submission of all reports is essential to the efficient operation of energy programs and to contractual compliance. SP’s must ensure reports are completed and submitted in a timely and accurate manner. (Agencies must designate a backup person for reporting.)

* 1. Review any issues with late reports from prior year, were they resolved and how?

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* 1. Have you informed your Fiscal staff about the new FSR reporting date and new cash requesting documentation requirements?

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* 1. Notes comments or any concerns regarding Reporting:

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ROFW:

* 1. What are the SP’s plans to raise funds for ROFW?

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* 1. Have you used the resources presented in the EAP training such as eHEAT search and recording to help you manage ROFW?

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* 1. Does your experience with Pohlad fund change your long term ROFW management?

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* 1. What are your plans for managing ROFW funds in case of reduced Federal funds?

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* 1. Do you have any comments or concerns regarding ROFW?

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1. Monitoring (Their specific issues)
	1. What are the strengths and weaknesses of the local EAP and your overall SP?

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* 1. Are any of the EAP staff struggling with any of the EAP policies and procedures?

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* 1. What were the results of the SP customer service feedback survey analysis of FFY 2010?

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* 1. Do you conduct self-monitoring activities? What do you do? How frequently do you do each activity?

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* 1. Other notes, comments, questions or concerns

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* 1. Notes comments or any questions or concerns for the MDOC Issues Log?

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* 1. Notes comments or any questions or concerns for the MDOC eHEAT Issues Log?

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