

Schedule SEK - 2: DE Activities and Incremental Transactions for Administration of Liberty Funds

Task	Minimum*	Frequency				Total	Staff Involvement		Comment
	Number	Historically	Annually	Monthly	Quarterly	B*(C:F)	Number	Detail	
1. Cooperation and Programming Agreement	1	X					1	2 Wx manager and DE legal counsel. Other DE staff assist as needed.	Requires several staff touches and several days to generate and execute. This is completed at transfer of administration from the utility to DE. It is amended thereafter as needed.
2. Subgrantee Allocation Calculation & Distribution	6		X				6	2 Fiscal and Procedural staff	DE calculates and enters allocation amount into MoWAP. Distribute Allocations to Subgrantees so that they can prepare budgets.
3. DE Review of Subgrantee Budgets and Documentation	6		X				6	4 Procedural supervisor, Wx manager, fiscal staff, support staff	Subgrantees submit proposed budgets and required documents for DE review prior to DE preparation of contracts. This requires several days and several staff touches.
4. Subgrantee Contracts	6		X				6	6 Wx manager, procedural manager, fiscal staff, fiscal manager, support staff, and Director	DE prepares subgrantee contracts for the Company's weatherization funds. Each funding source has its own contract with the subgrantee. This step requires several days and several staff touches to complete process and execute contracts. DE has 74 contracts with subgrantees for FY 2018
5. Subgrantee Submits Reimbursements	6			X			21	4 Procedural staff, procedural supervisor, fiscal staff, fiscal manager	The process time per reimbursement varies depending on the number of client files attached to the reimbursement. It takes about 30 minutes to review one client file. All clients files on every reimbursement are reviewed. DE reviewed 1596 client files in FY 2017. Additionally, subgrantees can request reimbursement multiple times per month. DE processed 21 (Average 1.75/month) Company Reimbursements for FY 2017 (November 1 2016 - October 31, 2017). DE is on track to process upwards of 30 reimbursements for FY 2018 (ending October 31, 2018).
6. EIERA invoices	6			X			21	2 Fiscal staff and manager	One invoice per utility per subgrantee. As an internal control - when the final payment is made from the fund, then this invoice is sent from the fiscal manager to the wx manager and finally to the DE director for review and signature.
7. EIERA invoices entered into MoWAP	6			X			21	1 Fical Staff	A bank statement is received from EIERA when the reimbursements are processed. The actual pay date is entered into MoWAP and the payments database is updated.
8. Record Filing	6			X			21	1 Fical Staff	DE maintains files for each subgrantee which also contains a copy of each request and invoice (12 subgrantee records X 12 months).
9. Procedural Monitoring - of Subgrantee (on-site)	6		X				11	8 Three teams of minimum two staff	On-site monitoring review that includes (1) expenditures, (2) production, (3) average cost per home, (4) client files (5) equipment, (6) waiting lists, and (7) contractors/bids. 11 client files (company customers) reviewed during FY 2017.
10. Technical Monitoring of Subgrantee (on-site)	6		X				5	3 Wx technical staff	DE staff travel out to a percentage (for each funding source) of weatherized homes to view: (1) homes not started (2) homes in progress and (2) homes completed. DE only tracks the number of homes completed that DE monitored. DE monitored 10 (19 percent) of homes completed July 2014 - June 2015 with Company funds. DE monitored 5 (11 percent) of homes completed July 2015 - June 2016 with Company funds. Monitored in this context means Quality Control Inspection (QCI). Step 3 involves travel between multiple homes and 1-2 hours spent in each home.
11. Reports	2			X	X		12	4 Procedural staff, fiscal, procedural supervisor, support staff	There are two separate reports. DE staff prepares a monthly (1) Expenditures and Production Report, (2) DE also prepares a quarterly report. These reports contain data for all six of the Company's subgrantees.
12. Financial Audits	6		X				6	2 Procedural supervisor and fiscal staff	Review financial audit schedule for each subgrantee. (One schedule is completed for each funding source with the subgrantee. Therefore, the Subgrantee has multiple schedules.
13. Weatherization Conference	1		X				1	9 All eight Wx staff and support staff	Annual meeting to provide continuing weatherization training to all subgrantees and not just Company subgrantees.

*based on six subgrantees