

# RESNET Quality Assurance: Lessons Learned from 2010, Looking forward to 2011

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Presented by

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Clinton Heyn, RESNET

March 1, 2011



**RESNET**  
Residential Energy Services Network

Setting the **STANDARD** for **QUALITY**

## Housekeeping

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- Double Session
- Quality Assurance Designees present?
- QA Professional Development (annual)
  - Attend 2 hour Roundtable
  - 12 hours of attendance at RESNET Conference
- Group Discussion Sessions:
  - Last night - RESNET Sampling Standard revisited
  - Tonight – RESNET QA Process (parking lot issues)  
6:30 – 9:00, Grand Ballroom, Salon I

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RESNET Quality Assurance: Lessons Learned, Looking forward



March 1, 2011

## Presentation Outline

- PART I - Update on RESNET Quality Assurance Activities
- PART II - Overview of QA Changes in the RESNET Standards
- Group Discussion Session
  - Tonight – RESNET QA Process (parking lot issues)  
6:30 – 9:00, Grand Ballroom, Salon I

RESNET Quality Assurance: Lessons Learned, Looking forward

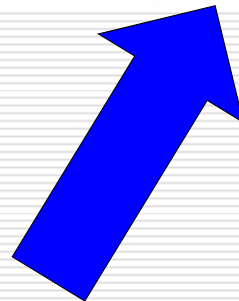


March 1, 2011

That means YOU.....  
QA Designees !!

**RESNET**  
Residential Energy Services Network

Setting the **STANDARD**  
for **QUALITY**



That means YOU.....  
QA Designees !!



Setting the STANDARD  
for QUALITY

QA Designees are the eyes  
and ears of RESNET....  
on the front line!

### RESNET Quality Assurance

- Quality Assurance and Ethics Committee
  - Ben Adams
  - Doug Beaman
  - C.T. Loyd
  - Lee O'Neal
  - Robby Schwarz
  - Erin Wiggins
  - Ethan MacCormack
  - Greg Nahn
  - Zach Shadid
- National Director of Quality Assurance
  - Clinton Heyn



## Lessons Learned from RESNET QA

- RESNET QA Activities
- Findings and Disciplinary Action
- Lessons Learned



## Lessons Learned from RESNET QA

- RESNET QA Activities
  - QA Monitoring of Rating Providers
    - Review of submitted QA files
    - Onsite Monitoring with Providers
  - Investigation and Evaluation of Complaints
  - New Applications and Renewal Applications



## Lessons Learned from RESNET QA

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### □ RESNET QA Activities

#### ■ QA Monitoring of Rating Providers

##### □ Review of submitted QA files

- 86 Providers in 2010 (year 2009 ratings)
- QA (file and field) results
- Survey
- Other documentation
  - Standard Disclosure
  - Rater Agreement
  - QA Designee Agreement



## Lessons Learned from RESNET QA

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### □ RESNET QA Activities

#### ■ QA Monitoring of Rating Providers

##### □ Onsite Monitoring with Providers

- 15 Providers
  - Office – RESNET QA Checklist
    - Documentation of Rater qualifications and Professional Development
    - Rating (and Sampling) Provider Policies and Procedures
    - Record Keeping
    - Rating Process
  - Field – Shadowing Raters/QA Designees in homes
    - Verification of rated features
    - Testing procedures
    - Record of results
      - Policy on Quality Assurance of Ratings
- [www.resnet.us/programs/quality\\_assurance](http://www.resnet.us/programs/quality_assurance)



## Lessons Learned from RESNET QA

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### RESNET Policy on Quality Assurance of Ratings

It is the policy of RESNET that each rating provider shall institute a systematic approach to field inspections. This approach shall ensure that in new construction ratings, complete information regarding all the rated features, as projected from plans and specifications, flows from the plan evaluators to the field inspection and testing personnel, to ensure that the home as-built completely corresponds to the projected rating. This approach shall also ensure the flow of information from the field back to the plan evaluators (and ultimately to the responsible certified rater) whenever a discrepancy or anomaly is found.

Further, it is the policy of RESNET that each rating provider's quality assurance process shall include a review of this process, and documentation that this information exchange takes place.

Finally, it is the policy of RESNET that the field component of the Quality Assurance process shall include a complete review of all the rated features in a home, including verification of surface areas and dimensions as well as all the rated features, as documented by an independent inspection.



## Lessons Learned from RESNET QA

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### Findings and Disciplinary Action

#### ■ 65 Providers had "findings"

- Deficient QA
- Rater or QA Designee agreements do not meet requirements
- Full submittal not provided
- Some holes in verification of rated features
- Findings may or may not result in additional action by RESNET depending upon corrective action taken

#### ■ 11 Providers put on Probation

- Multiple Raters with deficient QA or one or more largely deficient Raters
- Improperly certified rater(s) or QA Designee
- Deficiency in verification of rated features that leads to inaccurate ratings



## Lessons Learned from RESNET QA

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### Findings and Disciplinary Action

- “Probation”
  - For set time period or until terms are met
  - Corrective action with documentation required
  - May include webinar and Onsite Monitoring
  - Non-compliance will lead to further disciplinary action
  - Intent is to establish a path to compliance with defined terms and timeline
  - Probation is confidential



## Lessons Learned from RESNET QA

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### Lessons Learned

- RESNET
  - RESNET expects 100% compliance on part of Providers
  - Goal is compliance, not punishment
  - RESNET continues to communicate all Standards and Policies to Providers
    - [www.resnet.us](http://www.resnet.us)
    - RESNET Notes
    - Emails from RESNET Staff
    - LinkedIn, Twitter, Facebook
  - RESNET can provide more resources to Providers
    - QA Roundtables
    - Webinars and message boards between conferences
    - QA Newsletter
    - RESNET Quality Assurance Checklist
    - [Provider.resnet.us](http://Provider.resnet.us)
  - RESNET must maintain consistent due dates and provide timely resources to Providers



## Quality Assurance Checklist

Item	Section	QAD Initials	Item Description	Status
1	102.1.1		Written Quality Assurance Process that conforms to Chapter 9 of RESNET Standards and any specific QA requirements for other Provider categories.	
2	102.1.2.1 <sup>a</sup>		Documentation that Rater(s) meet the Rater certification provisions of 102.1.2.1, 102.2.2, and 207.1.	
3	102.1.2.3		Documentation of professional development for all active raters in compliance with current professional development requirements.	
4	102.1.2.6		All signed rater agreements in compliance with 102.1.2.6.1-3.	
5	102.1.4		Confirm "Home Energy Rating Provider's Operation Policies and Procedures" and compliance with subsections 102.1.4.1-5.	
6	102.1.4.6		"Written Conflict of Interest Provisions" as part of Operations Policies and Procedures.	
7	102.1.4.6		Documentation of disclosures provided to clients, including compliance with 303.3.2.9, with description of process to distribute disclosures.	
8	102.1.4.7		"Written Rater Discipline Procedures" as part of Operations Policies and Procedures.	
9	102.1.4.8		Current Rater registry.	
10	102.1.4.9		Complaint response system, process for informing purchasers and recipients of ratings about the complaint system, and records of complaints.	
11	102.1.4.10		Electronic database of information for each home rated or verified for the tax credit.	
12	102.1.4.11		Site data collection manual that at a minimum includes Appendix A is provided to Raters, and Raters are confirming Minimum Rated Features in accordance with 303.6-7 and Appendix A.	
13	103.1		Rating software version is current in accordance with 103.2 and software is properly licensed per 102.1.3.	
14	904.4.1 <sup>b</sup>		Annual rating data file review of greater of one (1) home or ten percent (10%) of each Rater's annual total number of homes for which confirmed or sampled ratings were performed, in accordance with 904.4.1.1-3.	

## Quality Assurance Checklist

Item	Section	QAD Initials	Item Description	Status
15	904.4.2 <sup>b</sup>		Annual onsite field evaluation of greater of one (1) home or one percent (1%) of each Rater's annual total number of homes for which confirmed or sampled ratings were performed, in accordance with 904.4.2.1-8.	
16	904.5 <sup>b</sup>		Significant non-compliance reported to RESNET.	
17	905.1 <sup>c</sup>		Primary QA Designee is named, documentation that all QA Designees meet requirements of 905.2.1-4 and 905.3.2 as verified by a QA Designee, and QA of a QA Designee's ratings (where applicable) meets 904.1.	
18	905.4		All QA Designees meet ongoing Professional Development requirements.	
19	905.6		All signed QA Designee agreements.	
20	905.8		QA Designee Delegates meet requirements of 905.8.1-2, and performance is evaluated by QA Designee in accordance with 905.9.3.	
21	905.9.8 <sup>d</sup>		QA record for each home is maintained in accordance with 905.9.8.1-3.	
22	906 <sup>b</sup>		Rating data files for EEP qualified homes are maintained in accordance with 906.2 and subject to quality assurance review in accordance with 906.4 and 904.4.	
23	Appendix A		Written log of the annual calibration check to verify all equipment accuracy for a period of three (3) years in accordance with "Building Element: Air leakage" table and manufacturer specifications.	
24	603.9		<b>Sampling Providers:</b> Confirm compliance with Quality Assurance provisions specific to sampling, particularly but not limited to 603.9.1 related to compliance with the sampling process outlined in 603.1-8.	



## Lessons Learned from RESNET QA

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### □ Lessons Learned

#### ■ RESNET

- Provider.resnet.us
  - RESNET Standards
  - Policies and Procedures
  - Software
  - Ethics, Financial Interest, Complaints
  - Applications
  - Accredited Provider Directories
  - Provider Accreditation Fee Structure
  - Quality Assurance Designees
  - Professional Development
  - NEW (coming soon)



## Lessons Learned from RESNET QA

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### □ Lessons Learned

#### ■ Provider

- Providers are responsible for meeting requirements of accreditation
  - QA Designees must stay abreast of and adjust to Standards, and update Policies and Procedures
- Provider's Policies and Procedures should include a systematic approach to meeting requirements
  - Policies and procedures should eliminate or minimize as much as possible the potential for non-compliance



## Lessons Learned from RESNET QA

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### Lessons Learned

- Provider Responsibilities
  - Deliver a quality solution
  - Protect your reputation with your clients and program sponsors
  - Maintain accreditation through compliance with Standards
  
- RESNET Responsibilities
  - Maintain and communicate Standards
  - Monitor Providers
  - Provide feedback on Provider compliance



## Lessons Learned from RESNET QA

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### 2010 QA

- Submittal of File and Field QA results
- Completion of RESNET Quality Assurance Checklist
- Due March 31
- Onsite Monitoring of approximately 30 Rating Providers in 2011



## Summary of QA Changes in the RESNET Standard

- Phase I changes – Editorial
  - Effective date: January 1, 2010
  - Creation of new “RESNET National Standard For Quality Assurance” (Chapter 9)
  
- Phase II changes – Substantive, Policy Related
  - Original Target – July 1, 2010
  - Public Comment Period
    - July 22 – August 23, 2010
    - 58 comments received and addressed
  - RESNET Board Approval – December 9, 2010
  - Effective Date of new Standards – January 1, 2011



## Summary of QA Changes in the RESNET Standard

- Chapter 1
  - All definitions moved to new Appendix B – Glossary
  - 102.1.2.2 - Rater Candidates
    - *Definition:* “An individual who has completed two (2) supervised ratings with a RESNET Accredited Training Provider, passed the National Core Rater Test and is in the process of completing three (3) additional probationary ratings necessary for certification by an Accredited Home Energy Rating Provider as a Home Energy Rater”
    - Allows one (1) probationary rating from plans, two (2) additional must be confirmed ratings.
    - Recommend that Providers require three (3) probationary ratings for new Raters who have been previously certified.



## Summary of QA Changes in the RESNET Standard

### □ Chapter 1

- 104 - Ratings Provided for Third-Party Energy Efficiency Programs (EEP's)
  - *Definition:* "A national or local program that has set a standard for energy efficiency in building performance and requires a HERS analysis for verification (e.g. ENERGY STAR Qualified Homes, Building America's Builders Challenge, building code, International Code Council, utility companies, etc.)."
  - Specific requirements for QA are stipulated in Chapter 9



## Summary of QA Changes in the RESNET Standard

### □ Chapter 1

- 104 - Ratings Provided for Third-Party Energy Efficiency Programs (EEP's)
  - When working with EEP's, Home Energy Raters may be required to perform tests, inspections, verifications and reporting that require skills related to energy efficiency not specific to Home Energy Ratings as defined in these Standards and/or are required to become a Certified Home Energy Rater. However, it is the responsibility of Certified Home Energy Raters to perform all of the stipulated tests, inspections, verifications and reporting related to energy efficiency required by the EEP when agreeing to work with their program, including proper completion of any and all checklists, certificates, or other documentation. Where a Rater does not possess the proper skill or knowledge of a particular test, inspection, verification or reporting requirement, they shall be responsible for obtaining sufficient training from the EEP, or trainer approved by the EEP, to properly fulfill the requirement. An exception may be made in cases where portions of a testing, inspection, verification or reporting process are completed by another company or individual who holds the required training or certifications.



## Summary of QA Changes in the RESNET Standard

- Chapter 4 – Builder Option Packages
  - Chapter is sunsetted to go away as of January 1, 2012



## Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
  - Purpose of Chapter:
    - Quality assurance responsibilities of RESNET
    - Quality assurance responsibilities of Providers
    - The role and responsibility of the Quality Assurance and Ethics Committee
      - Ethics and Appeals Committee (NEW)
    - The role and responsibility of the Accreditation Committee (NEW)
    - The RESNET Accreditation Process for all Providers
    - RESNET policies and procedures for Probation, Suspension and Revocation of Provider Accreditation
    - Appeals process



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 903 – Quality Assurance Review of Accredited Providers
  - List of records that may be reviewed by RESNET during “on-site” QA Reviews, including:
    - *Rating databases*
    - *Interviews with a Provider’s QA Designee, Delegates, Raters or Rating Field Inspectors*
    - *“Shadowing” a Provider’s Raters or Rating Field Inspectors in the field as they complete data collection, testing and inspections*
  - On-site Reviews may result from
    - Random selection as part of annual QA by RESNET
    - Significant inconsistencies or errors in electronic files reviewed
    - A requirement of Probation
    - Investigation of Ethics or Consumer Complaint
  - “QA Reimbursement Policy” may apply



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 904 – Quality Assurance Requirements for Providers
  - Quality Assurance of Providers
  - Quality Assurance of Raters and Ratings
  - Significant Non-compliance by Providers
  - ~~□ Quality Assurance of Low-Volume Raters (removed)~~
    - The QA of Low-Volume Raters in accordance with Chapter 9 of the RESNET Standards, effective January 1, 2010, shall be allowed until December 31, 2010.



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 904 – Quality Assurance Requirements for Providers
  - *No step in the QA process may be performed by the same individual that performed any part of the testing, inspection or rating of the home being subject to the QA review. In other words, if an individual performed any part of the inspection or rating process on a home, that individual cannot be the QA Designee or Delegate performing any part of the QA process specific to that home.*
  - *Any ratings performed by a QA Designee that are submitted as part of a Provider's QA Submission to RESNET shall be reviewed for quality assurance by a separate individual who meets the QA Designee requirements established by RESNET.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 904 – Quality Assurance Requirements for Providers
  - *Providers are responsible for completing an annual submission of QA results to RESNET. RESNET shall designate the date submissions are due, the content of each submission, and the time frame for which data shall be provided, e.g. January 1<sup>st</sup> through December 31<sup>st</sup>. Providers will have at least thirty (30) days from notification until the submission is due.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Providers

- Quality Assurance Checklist to be completed by QA Designee
- 2010 QA Submission requires verification of the entire checklist
- The initial, first-time QA review completed by a new QA Designee for a Provider will include verification of the entire checklist
- Subsequent reviews will only require completion of the “annual” items



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3	102.1.2.3		Documentation of professional development for all active raters in compliance with current professional development requirements.	
4	102.1.2.6		All signed rater agreements in compliance with 102.1.2.6.1-3.	
5	102.1.4		Confirm "Home Energy Rating Provider's Operation Policies and Procedures" and compliance with subsections 102.1.4.1-5.	
6	102.1.4.6		"Written Conflict of Interest Provisions" as part of Operations Policies and Procedures.	
7	102.1.4.6		Documentation of disclosures provided to clients, including compliance with 303.3.2.9, with description of process to distribute disclosures.	
8	102.1.4.7		"Written Rater Discipline Procedures" as part of Operations Policies and Procedures.	
9	102.1.4.8		Current Rater registry.	
10	102.1.4.9		Complaint response system, process for informing purchasers and recipients of ratings about the complaint system, and records of complaints.	
11	102.1.4.10		Electronic database of information for each home rated or verified for the tax credit.	
12	102.1.4.11		Site data collection manual that at a minimum includes Appendix A is provided to Raters, and Raters are confirming Minimum Rated Features in accordance with 303.6-7 and Appendix A.	
13	103.1		Rating software version is current in accordance with 103.2 and software is properly licensed per 102.1.3.	
14	904.4.1 <sup>b</sup>		Annual rating data file review of greater of one (1) home or ten percent (10%) of each Rater's annual total number of homes for which confirmed or sampled ratings were performed, in accordance with 904.4.1.1-3.	



## Quality Assurance Checklist

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16	904.5 <sup>b</sup>		Significant non-compliance reported to RESNET.	
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20	905.8		QA Designee Delegates meet requirements of 905.8.1-2, and performance is evaluated by QA Designee in accordance with 905.9.3.	
21	905.9.8 <sup>d</sup>		QA record for each home is maintained in accordance with 905.9.8.1-3.	
22	906 <sup>b</sup>		Rating data files for EEP qualified homes are maintained in accordance with 906.2 and subject to quality assurance review in accordance with 906.4 and 904.4.	
23	Appendix A		Written log of the annual calibration check to verify all equipment accuracy for a period of three (3) years in accordance with "Building Element: Air leakage" table and manufacturer specifications.	
24	603.9		<b>Sampling Providers:</b> Confirm compliance with Quality Assurance provisions specific to sampling, particularly but not limited to 603.9.1 related to compliance with the sampling process outlined in 603.1-8.	

## Summary of QA Changes in the RESNET Standard

### Chapter 9 – Quality Assurance

#### 904 – Quality Assurance Requirements for Providers

##### Quality Assurance of Raters and Ratings

##### Review of rating data files

- The Provider's QA Designee shall be responsible for an annual rating data file review of the greater of one (1) home or ten percent (10%) of each Rater's annual total of homes for which confirmed or sampled ratings were provided. When determining the number of rating data files to review for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 10% = 10.1 means that 11 rating data files shall be reviewed.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

##### ■ Review of rating data files

- *Rating data files shall be selected using a nonbiased selection process from the entire pool of files available at the time of the review for each Rater. It may be necessary to first select homes that represent a particular area of interest in the construction process for new and existing homes, geographic location, builder, etc. Once it is ensured that homes from these areas of interest will be included in the QA process, a nonbiased selection process can then be applied such as random selection. Special effort should be taken to make certain that the selected files are as representative as possible of the homes being rated which, in some instances, may require more than the minimum (1) home or ten percent (10%).*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

##### ■ Review of rating data files

- *Shall be conducted on an ongoing basis as appropriate for the volume of ratings being completed, and at a minimum of quarterly*
- *QA of rating data files does not require that Raters submit data to their Provider and/or QA Designee for every home that is rated. Only data for the homes selected for QA shall be required to be submitted to the QA Designee.*
- For projected ratings for new homes, confirm:
  - Worst-case analysis
  - Minimum Rated Features are made available for verification in the field



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

###### ■ Review of rating data files

- For confirmed ratings for new homes, confirm *Minimum Rated Features data from testing and specification findings from the field are accurately entered into the rating software after construction is completed*
- For confirmed ratings for existing homes, review any field data collection forms or notes to confirm that data were accurately entered into the rating software
- Confirm that files, paper and/or electronic, are being maintained by Raters and archived for each rating and/or unique floor plan, including a set of architectural drawings for projected ratings from plans. These files shall be maintained a minimum of three (3) years.



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

###### ■ Onsite inspections of ratings

- Review of the greater of one (1) home or one percent (1%) of the Rater's annual total of homes for which confirmed or sampled ratings and diagnostic testing services were provided. When determining the number of onsite evaluations to complete for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 1% = 1.01 means that 2 onsite evaluations shall be completed.
- For Raters utilizing Rating Field Inspectors (RFI's), the QA Designee shall ensure that an annual onsite field evaluation of the greater of one (1) home or one percent (1%) of the RFI's annual total of homes for which data was collected are subject to evaluation. The RFI evaluations may fulfill all or a portion of the Provider's annual onsite QA requirement.....



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

##### ■ Onsite inspections of ratings

- *Onsite inspections shall be conducted on an ongoing basis as appropriate for the volume of ratings being completed, and at a minimum of annually;*
- *As part of the onsite inspection of ratings, the QA Designee shall ensure that the minimum rated features of a rating are independently confirmed (i.e. confirmation of geometric characteristics, inspection of minimum rated features, and completion of any necessary performance testing) to determine whether the rating and/or diagnostic testing were accurately completed by the Rater....*
- *Confirm that HERS Index scores for each home reviewed be no more than three percent (3%) (+/-) variation in the HERS Index from the HERS Index result as determined by the QA Designee. When calculating the HERS Index point variance allowed for a given Index, round down to the nearest whole Index point, with the allowable variance never less than two (2) HERS Index points.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

##### ■ Onsite inspections of ratings

- *If a QA Designee is required to complete an onsite QA inspection on at least two (2) homes for a given Rater, the QA Designee may use one centralized-proctored rating QA event, and only one, for review of the Rater in lieu of an independent confirmation of the rating for the home as required for the balance of homes evaluated for the onsite inspection process.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Quality Assurance of Raters and Ratings

##### ■ Non-compliance of a reviewed rating shall trigger corrective action

- *The rating shall be corrected in order to come into compliance with RESNET technical Standards under the supervision of the QA Designee;*
- *The QA Designee shall develop and implement a corrective action plan for the Rater of the rating that addresses any underlying problems that led to the non-compliant rating;*
- *The Provider shall initiate appropriate disciplinary action on the Rater in accordance with the Provider's written Rater disciplinary procedures;*
- *Multiple instances of non-compliance shall, at a minimum, trigger an increased rate of file reviews or onsite inspections of homes and additional appropriate disciplinary action in accordance with the Provider's written Rater disciplinary procedures.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Significant non-compliance by Providers

- *Previously covered Providers, Raters and Ratings, with enumerated list of non-compliance issues.....now greatly simplified and limited to Providers*
- *It is the expectation of RESNET that Providers fully comply with all the requirements set forth in these Standards. Discovery of one or more areas of non-compliance via the RESNET QA process, reporting by a QA Designee as part of the Provider's QA process, or in the course of RESNET's research of an ethics or consumer complaint will result in the QA Designee working with a Provider to come back into compliance. However, on occasion, there may be instances where actions by a Provider are truly egregious and, as such, would be deemed to be "significant non-compliance". This Section seeks to define the thresholds when actions by a Provider are deemed to be significant non-compliance, thereby requiring that the QA Designee report the significant non-compliance to RESNET and additional action by RESNET may be taken*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Significant non-compliance issues

##### ■ *Significant non-compliance by Providers shall include, but not be limited to, the following:*

- *Failure to comply with multiple individual requirements, or requirements impacting multiple Raters and/or ratings, for Providers set forth in the RESNET Standards and enumerated in a RESNET Quality Assurance Checklist;*
- *Failure of a Provider to comply with the RESNET Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure;*
- *Failure to follow a Provider's written Rater disciplinary procedures for known or obvious non-compliance with the RESNET Standards, Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 904 – Quality Assurance Requirements for Providers

##### □ Significant non-compliance issues

##### ■ *Reporting of significant non-compliance to RESNET*

- *QA Designees must report all significant non-compliance by a Provider to RESNET when it becomes known to the QA Designee so that RESNET may assist the QA Designee in working with a Provider to come back into compliance.*
- *Failure of a QA Designee to report significant non-compliance issues may result in actions taken by RESNET as stipulated in Section 905.10. (Failure of a QA Designee to properly fulfill their responsibilities)*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

- *A Home Energy Rating Provider and BOP Provider shall designate one and only one officer, employee, or contractor to be the Primary Quality Assurance Designee for the organization, responsible for quality assurance within the organization. This does not preclude a Provider from having more than one QA Designee on staff or as a contractor, as may be necessary for business models where QA Designees do Ratings. The Primary QA Designee shall have ultimate responsibility, on behalf of the Provider, for fulfilling the [Provider's QA] requirements .....and who shall be the single point of contact to RESNET regarding all Quality Assurance matters.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

- All individuals who have been qualified as QA Designees or Delegates as of January 1, 2011 shall not be required to meet any new requirements to remain a QA Designee.
- Minimum requirements to be a QA Designee
  - *Previous certification as a Home Energy Rater;*
  - *As a certified Home Energy Rater, complete confirmed ratings on a minimum of twenty-five (25) homes prior to becoming a QA Designee;*
  - *To be eligible to QA a particular rating type (e.g. sampled, BOP, survey/audit, EEP), a QA Designee must have completed a minimum of five (5) of that rating type;*
  - *Passing the RESNET Quality Assurance Designee Test.*



## Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
  - 905 – Quality Assurance Designee (QA Designee)
    - *Verification of QA Designee and Delegate requirements*
      - *A QA Designee must confirm that the minimum requirements to be a QA Designee and Delegate...have been met.*
      - *Five (5) of the twenty-five (25) required confirmed ratings for a QA Designee must be individually reviewed by a QA Designee...three (3) of which may have been included in the annual QA process for a Provider in the previous twenty-four (24) months.*



## Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
  - 905 – Quality Assurance Designee (QA Designee)
    - Proof of QA Designee qualifications shall be submitted by Providers with an application for accreditation or with a notification to RESNET of a change to a Provider's QA Designee(s)
    - All QA Designees shall have a signed agreement with the Provider to be the Provider's QA Designee





## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

##### □ Changes to a Provider's QA Designee(s)

- If a Provider changes Primary QA Designees or a Provider's Primary QA Designee leaves the organization, is terminated as an outside QA Designee contractor, or is no longer eligible to be the QA Designee, the following steps shall be taken:
  - Within five (5) business days of the Primary QA Designee change, the Provider shall inform RESNET of the change
  - In the case of a change in Primary QA Designee, the Provider shall have forty (40) business days from the date of departure, to appoint a replacement Primary QA Designee and notify RESNET of the newly designated Designee, including proof of qualifications
- If a Provider with multiple QA Designees adds or removes a QA Designee, the Provider shall inform RESENT within five (5) business days of the change



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

□ *QA Designee's may have the file review and on-site inspection responsibilities performed by a Quality Assurance Designee Delegate. The QA Designee, however, remains responsible for the accuracy and compliance of the Provider's quality assurance program, including reviews and inspections completed by a QA Delegate*

- A QA Delegate must be a certified Home Energy Rater and have completed, on a minimum of twenty five (25) homes, the portion of the inspection or rating process for which the individual is performing quality assurance tasks. In other words, if the QA Delegate is repeating on-site testing and inspections as part of the QA process, that individual must have at least performed these tasks on a minimum of twenty-five (25) homes



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

- The responsibilities of a QA Designee
  - Maintenance of quality assurance files
  - Review of ratings conducted during a Rater's probationary period
  - Monitor the accuracy of the QA Delegate's performance of QA tasks
  - Complete annual submission of QA results to RESNET
  - Annually complete the RESNET QA Checklist for Providers
  - Monitor ratings conducted by certified Raters
  - Maintenance of records for all ratings and tax credit verifications



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

#### ■ 905 – Quality Assurance Designee (QA Designee)

- *Failure of a QA Designee to properly fulfill their responsibilities as specified in these Standards may include one or more of the following actions by RESNET*
  - *The QA Designee being placed on probation*
  - *Removal of the QA Designee from the RESNET Directory of qualified QA Designees*
  - *Removal of the QA Designee's credential as a QA Designee*
  - *RESNET no longer recognizing the QA Designee as a Home Energy Rater*
  - *At the Provider's expense, further oversight by RESNET of the QA Designee and the Provider's processes and procedures*
  - *To the extent that the Provider is at fault for the QA Designee's failure to fulfill their responsibilities, the Provider may be subject to probation, suspension or revocation*
  - *The QA Designee may appeal an Action taken by RESNET using the Appeals procedures stipulated in the Standards*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 906 – Quality Assurance for Third-Party Energy Efficiency Programs (EEP's)
  - *The rating data file for each home shall contain at a minimum an electronic copy of the building file as it pertains to the EEP and other pertinent required documentation (e.g. checklists, certificates, etc.). The rating data file will clearly identify which EEP the home qualifies under*
  - *Rating data files and the results of onsite verification of ratings files will be made available by Providers for quality assurance initiatives implemented by EEP's*
  - *EEP files will be inspected for quality assurance [in accordance with the RESNET Standards] and shall include those items related to energy efficiency specific to the EEP that may be in addition to the Home Energy Rating. Significant non-compliance by Providers shall be reported to EEP's when they become known to RESNET.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 907 – Quality Assurance and Ethics Committee
  - Oversight of RESNET Quality Assurance program
  - Review and rule on the merits of appeals from the Ethics and Appeals Committee
- Ethics and Appeals Committee (new)
  - 5 members
    - QA Committee nominates Chair to Board for approval
    - Chair nominates 4 members to Board for Approval
      - 2 members shall be Home Energy Raters
      - 2 members shall Provider representatives
  - Preserves a true hierarchy of appeals
  - Investigate ethics and consumer complaints
  - Hearing all appeals for RESNET



## Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
  - 908 – Ethics and Consumer Complaints
    - Filing of ethics complaints (due process)
    - Investigation of ethics complaints
    - Filing of Consumer Complaints (Consumer Complaint Response Process – posted on RESNET Website)
  - 909 – Accreditation Committee (new)
    - Created to avoid conflicts of interest (via committee make-up)
    - Preserves a true hierarchy of appeals
    - Responsible for the review and approve all Applications for Provider accreditation



## Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
  - 910 – Provider Accreditation and Renewal Process
    - National Registry of Accredited Providers
    - Provider Accreditation Process (for all Providers)
    - Accreditation Renewal Process
      - *For first time applicants approved after September 1st, for any Provider category, initial accreditation is valid through the end of the calendar year, i.e. renewal of the accreditation shall not be required for the calendar year in which the application was approved.*
      - *Program element changes. At the time of submitting a renewal application, it is the accredited Provider's responsibility to inform RESNET of any substantive changes in the Provider's operating policies and procedures or other information that affects meeting the minimum accreditation criteria for each Provider category for which it is seeking renewal.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 910 – Provider Accreditation and Renewal Process
  - *Accreditation not renewed. Accredited Providers that elect not to renew or fail to meet renewal requirements will be removed from the national registry and be so advised in writing. Providers have the right to appeal a non-renewal decision.*
  - *Accreditations in appeal. Provider accreditations that have not been renewed and are under appeal will be noted as “pending” on the national registry until the appeal is resolved. Providers will be advised to cease representing themselves as accredited.*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 911 – Probation, Suspension and Revocation of Accreditation
  - Probation
    - *If RESNET determines at any time that a Provider has failed to adhere to the accreditation requirements set forth in these Standards, RESNET shall notify the Provider of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken within a specified time after the date set forth in such notification.*
    - RESNET policy is to keep probations confidential



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 911 – Probation, Suspension and Revocation of Accreditation
  - Reasons for suspension/revocation
    - *Failure to correct deficiencies*
    - *Acting in such a manner as to impair the objectivity or integrity of the Provider or harm the reputation of RESNET*
    - *Submission of false information to RESNET, or failure to submit to RESNET any material information required to be submitted by the Provider, in accordance with obtaining or maintaining accreditation*
    - *Knowingly or negligently issuing ratings or reports required to be or purported to be completed in accordance with the RESNET Standards which are not*
    - *Misrepresentation by the Provider in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the Provider*



## Summary of QA Changes in the RESNET Standard

### □ Chapter 9 – Quality Assurance

- 911 – Probation, Suspension and Revocation of Accreditation
  - Reasons for suspension/revocation
    - *Non renewal*
    - *Provider goes out of business*
    - *Provider does not re-apply at the end of accreditation period*
    - *Investigated and validated ethics or consumer complaints*
    - *Upon expiration of a Provider's right to appeal a suspension of accreditation*
    - *Willful misconduct*
    - *Failure to disclose a self-serving interest to clients via the RESNET Home Energy Rating Standard Disclosure form*



## Summary of QA Changes in the RESNET Standard

### Chapter 9 – Quality Assurance

- 911 – Probation, Suspension and Revocation of Accreditation
  - If a Provider's certification is suspended or revoked
    - Providers and their Raters are not allowed to perform ratings
    - Providers must inform their clients and Raters of their suspended status in writing with a copy of this correspondence sent to RESNET
    - RESNET will remove the Provider's name from the RESNET website
    - RESNET will post their suspended or revoked status on the RESNET website with other Providers and Raters who are under suspension/revocation
    - RESNET will, at a minimum, inform the EEP of their suspended/revoked status



## Summary of QA Changes in the RESNET Standard

### Chapter 9 – Quality Assurance

- 912 – Appeals Procedures
  - Ethics and Appeals Committee
  - QA and Ethics Committee
  - RESNET Board of Directors



## Presentation Review

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- PART I - Update on RESNET Quality Assurance Activities
- PART II - Overview of QA Changes in the RESNET Standards
- Group Discussion Session
  - Tonight – RESNET QA Process (parking lot issues)  
6:30 – 9:00, Grand Ballroom, Salon I



## Questions

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