



Setting the Standards for
Home Energy Efficiency

RESNET Board of Directors 2019 Policy on Quality Assurance Program Efficiency and Effectiveness Improvements

Adopted on April 17, 2019

Background

At the Fall 2018 RESNET Board of Directors Meeting there was significant discussion on improving the effectiveness and efficiency of RESNET's HERS® quality assurance process. RESNET staff was designated to develop a new set of policies to achieve this goal.

Below is policy that was adopted by the RESNET Board. It must be pointed out this is a proposed policy and not a work plan. Once the RESNET Board has adopted a policy staff will develop an implementation plan for the RESNET Board to consider.

Part I

RESNET Quality Assurance Program Efficiency and Effectiveness Improvement Initiatives

Background

Based on discussion at the 2018 Fall Board Meeting as well as direct feedback from Providers, Utility Program Implementers, and other stakeholders, RESNET recognizes the need for further improvements to the RESNET Quality Assurance (QA) program to increase its efficiency and effectiveness. In light of possible threats from competition entering the marketplace and in order to best serve the industry, The RESNET Board adopted the below five initiatives to help solidify the RESNET QA Program as the Gold Standard.

Policy

The RESNET Board supports the following quality assurance improvements:

1. RESNET QA Program will be amended to support increases or reductions in QA stringency based on performance. Further, these amendments shall incentivize

and place more focus on the *quality* of the Providers' QA oversight and feedback to raters, not just the quantity.

2. RESNET shall develop internal policy improvements for Rating Provider tracking and reporting with the intent to reduce the overall time burden on QA activities that do not add substantial value to the program.
3. RESNET shall develop and implement a pilot program in partnership with a utility program implementer, leveraging the field QA performed by their staff. The purpose of the pilot is to identify and resolve any barriers to leveraging utility program QA with the intent of eliminating redundancy and reducing the field QA cost burden for Rating Providers.
4. RESNET QA Staff shall develop, on an ongoing basis, Quality Assurance Designee training content in order to more quickly disseminate information learned from RESNET enhanced QA oversight and to train new procedures established through future standard or policy changes.
5. RESNET QA Staff shall implement regular reporting of QA Genie flag information. This information shall be communicated to the Rating Provider and the Primary QAD to support their ongoing QA activities.

Part II

More Clearly Defined Disciplinary Actions for RESNET Accredited Rating Providers

Background

RESNET Quality Assurance Staff is responsible for ensuring compliance with RESNET policies and Standards through records review of RESNET Accredited Rating Providers and Quality Assurance Designees in accordance with Section 902 of MINHERS Standards. Results of the RESNET records review may result in disciplinary action in accordance with Section 911 of MINHERS Standards. Section 902.4 specifically states that significant inconsistencies or errors in electronic records review resulting from RESNET's QA oversight of Rating Quality Assurance Providers may result in on-site review by RESNET.

Progression through the disciplinary process described in Section 911 begins with discovery of non-compliance with RESNET Standards or a violation of the RESNET Code of Ethics. Next, in accordance with Section 911.2, if RESNET determines that a provider has failed to adhere to the accreditation requirements, RESNET notifies the Provider of the specified deficiencies and requires that specific corrective action be taken within a specified time period. A Corrective Action Plan designed in coordination with the Provider is developed to demonstrate that necessary changes have been implemented to correct the specified deficiencies. The Corrective Action Plan includes a compliance deadline, agreed upon by the Provider and RESNET.

Written communication of the Corrective Action Plan start date and end date is provided by RESNET to the Provider. If the Provider fails to satisfactorily comply with the Corrective Action Plan while under a disciplinary status, the next stage of progressive disciplinary action will be taken in accordance with Section 911.

RESNET QA Staff uses automated QA and remote monitoring through its Registry and other tools to verify compliance and any pre-determined milestones outlined in the Corrective Action Plan. In some cases, a site visit may become necessary.

Onsite Disciplinary Review Policy

It is the RESNET Board of Directors' intent that Rating Quality Assurance Providers (hereinafter "QA Providers") bear the cost of on-site QA Provider disciplinary reviews that are necessitated by the direct actions or inactions of QA Providers. On-site QA Provider disciplinary reviews shall be subject to the appeals process as defined in Section 912 of the MINHERS Standard. Where the necessity of an on-site QA Provider disciplinary review is found to be the result of a failure to provide available and applicable action(s) by the QA Provider, the costs of the on-site disciplinary review shall be paid by the QA Provider. Such costs shall be limited to staff time (RESNET fully loaded cost rate rounded to nearest quarter hour) plus direct travel costs per GSA Travel Guidelines.

Infractions that may trigger an on-site disciplinary review of a QA Provider by RESNET include but are not limited to:

- Failure to satisfy the terms of Probation
- Failure to satisfy the terms of a Corrective Action Plan
- Multiple Probations within a twelve-month period

The above "Onsite Disciplinary Review Policy" shall be included in the RESNET Quality Assurance Rating Provider Accreditation Agreement so that QA Providers are made fully aware of these provisions.