QAD Roundtable

February 25th, 2014

"Results from 2013 and strategies for success in 2014"

Presented by
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Overview

- Results of 2012 RESNET QA
- Review of the RESNET QA Checklist
- Overview of the RESNET Online QA Review

2012 QA Results

- Total Providers QA Reports Reviewed: 107 (All Providers)
- Providers with "Findings:" 57
- Providers on Probation: confidential

Types of "Findings"

- Usually a simple request for additional information. For example:

  1. Provider acknowledged that equipment wasn't calibrated. RESNET requested to see documentation showing this has been remedied.

  2. Provider's Rater Registry has 20 Ratings with 100% Field and File Reviews. RESNET asked if this was all Ratings or just the ones receiving QA.

Findings, Continued

- QAD states that annual Field Reviews "completed as required," BUT submitted documentation shows Raters without Field Reviews.
  - Sometimes it is purely a clerical error.
  - Other times it is a QAD "rubber stamping" the QA Checklist.

Findings: Inadequate QA

1. Rater performed 110 Ratings, but only received 1 Field Review. RESNET requests an additional Field Review (always round up).

$$110 * .01 = 1.1 \rightarrow 2 \text{ Field Reviews}$$

2. Rater performed 91 Ratings and received 9 File Reviews. RESNET requests an additional File Review (always round up).

$$91 * .10 = 9.1 \rightarrow 10 \text{ File Reviews}$$

Findings: Serious Issues

1. QAD of record not an accredited QAD.

    Will be remedied with the new renewal process

    Confirm active status here:

    http://www.resnet.us/professional/programs/test

2. QAD reviews his/her own Ratings.

    This is never allowed.

3. Provider with numerous Raters in non-compliance with QA requirements.

    Less than 10% file or 1% field review

QA Review Follow Up

- Probation
  - Usually given 30 business days to make corrections.
  - Always confidential
- Suspension
  - Only if terms of probation are not able to be met.
  - Denied access to National Building Registry.
  - For a specified time period can not operate as Provider

Disciplinary Action for QADs

- 905.10 Failure of a QAD to fulfill their responsibilities may result in one or more of the following actions by RESNET:
  - Placed on probation;
  - Removal from RESNET Directory of qualified QADs;
  - Removal of the QAD's credential as a QAD; and/or
  - RESNET no longer recognizing the QAD as a HERS Rater.

Disciplinary Action for QADs, Cont.

- At the Provider's expense, further oversight by RESNET of the QAD and the Provider's processes and procedures;

- To the extent that the Provider is at fault for the QAD's failure to fulfill their responsibilities, the Provider may be subject to probation, suspension or revocation.

- QAD may appeal an Action taken by RESNET under this Section using the Appeals procedures stipulated in Section 912 of these Standards.

Complete the information below, **each item must have a Status filled out:**

QA Checklist

Provider Name:	Any Provider ▼
Primary QA Designee:	Any QA Designee ▼
Date Completed:	2/14/2014

Checklist Items

Item	Section	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	Documentation that Rater(s) meet the Rater certification provisions of 102.1.2.1, 102.1.2.2, 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. **Upload Sample Rater Agreement**	Upload File(s)
5	102.1.4	Confirm "Home Energy Rating Provider's Operation Policies and Procedures" and compliance with subsections 102.1.4.1-5. **Upload Policies & Procedures Manual**	Upload File(s)
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. **Upload a disclosure form (one for each rater in providership)**	Upload File(s)
8	102.1.4.7	"Written Rater Discipline Procedures" as part of Operations Policies and Procedures.	
9	102.1.4.8	Current Rater registry. **Upload Rater Registry**	Upload File(s)
10	102.1.4.9	Complaint response system, process for informing purchasers and recepients 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	802.9 & 803.9	Written log of the annual calibration check to verify all equipment accuracy for a period of three (3) years.	
15	904.4.1	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.	Upload File(s)
16	904.4.2	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.	Upload File(s)
17	904.5	Significant non-compliance reported to RESNET.	
18	905.1	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. **List all QA Designees**	
19	905.4	All QA Designees meet ongoing Professional Development requirements.	
20	905.6	All signed QA Designee agreements.	
21	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. **List all QA Designee Delegates**	
22	905.9.8	QA record for each home is maintained in accordance with 905.9.8.1-3.	
23	906	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.	
24	603.9	**Sampling Providers:** 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.	

☐ I hereby verify the information is accurate and understand that disciplinary action may be taken agains the Provider and/or QAD for failing to meet the requirements of the standards or falsifying information.

Item 1

- Requirement
  - Written Quality Assurance Process that conforms to Chapter 9 of RESNET Standards and any specific QA requirements for other Provider categories.

- How implemented
  - Included as part of the Provider's written Operation Policies and Procedures
  - NOTE: must have P&P separate from RESNET Standards

Item 2

- Requirement
  - Documentation that Rater(s) meet the Rater certification provisions of 102.1.2.1, 102.1.2.2, and 207.1.

- How implemented
  - Rater Registry states certification date
  - Raters listed in National Building Registry
  - Documentation of probationary Ratings

Item 3

- Requirement
  - Documentation of professional development for all active raters in compliance with current professional development requirements.

- How implemented
  - Document (Excel, database, etc.) tracking CEUs

Item 4

- Requirement
  - All signed rater agreements in compliance with 102.1.2.6.1-3.
- How implemented
  - Stand alone rater agreement; OR
  - Rater agreement part of Policies & Procedures
- QAD will upload a sample rater agreement on online checklist

Item 5

- Requirement
  - Confirm "Home Energy Rating Provider's Operation Policies and Procedures" and compliance with subsections 102.1.4.1-5.

- How implemented
  - Write and maintain Operation Policies and Procedures document
  - NOTE: must have P&P separate from RESNET Standards

- QAD will upload policies and procedures manual on online checklist

Item 6

- Requirement
  - "Written Conflict of Interest Provisions" as part of Operations Policies and Procedures.

- How implemented
  - Write and maintain Operation Policies and Procedures document
  - NOTE: must have P&P separate from RESNET Standards

Item 7

- Requirement
  - Documentation of disclosures provided to clients, including compliance with 303.3.2.9, with description of process to distribute disclosures.

- How implemented
  - Include in Operation Policies and Procedures document
  - Review disclosure forms for **all** homes receiving QA
  - **Must** be signed

- QAD will upload a disclosure form for each rater on online checklist

Item 8

- Requirement
  - "Written Rater Discipline Procedures" as part of Operations Policies and Procedures.

- How implemented
  - Write and maintain Operation Policies and Procedures document
  - NOTE: must have P&P separate from RESNET Standards

Item 9

- Requirement
  - Current Rater Registry.
- How implemented
  - Create and maintain a Rater Registry that includes at a minimum:
    - Rater certification date
    - CEUs
    - QA
    - Ratings per Rater
- QAD will upload rater registry on online checklist

Item 10

- Requirement
  - Complaint response system, process for informing purchasers and recipients of ratings about the complaint system, and records of complaints.

- How implemented
  - Include in the Operation Policies and Procedures document

Item 11

- **Requirement**
  - Electronic database of information for each home rated or verified for the tax credit.

- **How implemented**
  - Create and maintain a Rater Registry that includes at a minimum:
    - Rater certification date
    - CEUs
    - QA
    - Ratings per Rater
    - Tax credit status
    - EEP documentation

Item 12

- Requirement
  - 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.

- How implemented
  - Include in the Operation Policies and Procedures document

Item 13

- Requirement
  - Rating software version is current in accordance with 103.2 and software is properly licensed per 102.1.3.

- How implemented
  - Include in the Operation Policies and Procedures document

Item 14

- Requirement
  - Written log of the annual calibration check to verify all equipment accuracy for a period of three (3) years.

- How implemented
  - Include in the Operation Policies and Procedures document
  - Create calibration log (Excel, database, etc.) to track

Item 15

- Requirement
  - 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.

- How implemented
  - Track in the Rater Registry
  - Include process/procedure in Policies & Procedure Manual

- QAD will upload a rating data review information on online checklist

Item 16

- Requirement
  - 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.

- How implemented
  - Track in the Rater Registry
  - Include process/procedure in Policies & Procedure Manual

- QAD will upload field QA review information on online checklist

Rating Field Inspectors (RFI)

- 904.4.2.2 QAD 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.

Item 17

- Requirement
  - Significant non-compliance reported to RESNET.
- How implemented
  - Include process/procedure in Policies & Procedure Manual
  - If an issue arises, contact RESNET.

Item 18

- Requirement
  - 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.

- How implemented
  - Track in the Rater Registry
  - Include process/procedure in Policies & Procedure Manual

Item 19

- Requirement
  - All QA Designees meet ongoing Professional Development requirements.

- How implemented
  - Include process/procedure in Policies & Procedure Manual
  - Required to be documented in the QAD renewal application
  - Only QADs that have renewed for 2014 will be on the drop down menu on the online checklist
  - Confirm QADs are listed on the RESNET site
    http://www.resnet.us/professional/programs/test

Item 20

- Requirement
  - All signed QA Designee agreements.

- How implemented
  - Include process/procedure in Policies & Procedure Manual
  - Archive signed agreements

Item 21

- Requirement
  - QA Designee Delegates meet requirements of 905.8.1-2, and performance is evaluated by QA Designee in accordance with 905.9.3.

- How implemented
  - Track in the Rater Registry
  - Include process/procedure in Policies & Procedure Manual
  - QAD will list all QA Delegates on online checklist

Item 22

- Requirement
  - QA record for each home is maintained in accordance with 905.9.8.1-3.

- How implemented
  - Include process/procedure in Policies & Procedure Manual
  - Track in Rater Registry
  - Archive building files and Field Review reports

Item 23

- ## Requirement
  - 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.

- ## How implemented
  - Include process/procedure in Policies & Procedure Manual
  - Include in Rater Registry
  - Archive applicable EEP documentation

Item 24

- Requirement
  - Sampling Providers: 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.

Online QA Review

- Approximately 2 hour webinar
- Effective way to see processes and record keeping
- 25% of all QA Providers will be selected for an online review
- All Providers accredited in 2013 will receive a review
- Goals
  - Ensure compliance with Standards
  - Opportunity for mentoring/QA
  - Answer questions for QA Provider

Online QA Review

- You must show:
  - Rater Registry
  - Policies & Procedures
  - Method of tracking CEUs
  - Open QAed building files
  - Documentation of meeting 10% and 1% QA requirements
  - Signed Rater agreements
  - Signed QAD agreements

Online QA Review Findings

- Outdated or missing Policies & Procedures
- Not tracking RFIs
- QAed building files without comments
- Poor data management and record keeping

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