

RESNET QA Roundtable Updates to the RESNET Quality Assurance Requirements

Presented by

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Setting the Standards for
Home Energy Efficiency

Housekeeping

- Quality Assurance Designees present?

- QA Professional Development (annual)
 - Attend 2 hour Roundtable
 - 12 hours of attendance at RESNET Conference



Presentation Outline

- Overview of QA Changes in the RESNET Standards
- Update on RESNET QA for EPA ENERGY STAR for Homes Program



RESNET QA Roundtable, Updates to the RESNET Quality Assurance Requirements

February 28, 2013

RESNET Quality Assurance

- Quality Assurance and Ethics Committee
 - Ben Adams (Chair)
 - Allison Bailes
 - Steve Byers
 - John Hensley
 - Ethan MacCormack
 - Greg Nahn
 - Eric Powell
 - Robby Schwarz
 - Zach Shadid
 - Eurihea Speciale
 - Don Swift
 - Daran Wastchak
 - Erin Wiggins
- National Director of Quality Assurance
 - Position open, search in progress



RESNET QA Roundtable, Updates to the RESNET Quality Assurance Requirements

February 28, 2013

Summary of QA Changes in the RESNET Standard

- Current Round of Changes
 - Started considering in June of 2011
 - Pre-Public Comment Period
 - October 1 – November 2, 2012
 - QA Designees, Rating Providers, RESNET Staff
 - Public Comment Period
 - February 20 – March 27, 2013
 - RESNET Board Approval
 - Effective Date of New Standards – January 1, 2014



Summary of QA Changes in the RESNET Standard

- Chapter 1
 - Change name of “Home Energy Rating Provider” to “Rating Quality Assurance Provider”, or “QA Provider”
 - 102.1.2.2.1.1 – “Rater Candidates” that don’t complete probationary ratings within 12 months of passing Rater Exam must:
 - Pass the National Core Rater Test again
 - Complete three (3) additional probationary ratings
 - Complete at least (1) one of the three (3) additional probationary ratings in the presence of a QA Designee or a Rater Trainer in lieu of repeating the Rater Training requirement



Summary of QA Changes in the RESNET Standard

□ Chapter 1

- 102.1.2.7 – QA Providers shall ensure that each certified Rater is issued a water resistant photo identification card upon certification as a Rater. RESNET will create a template that shall be used by all QA Providers.
- 102.1.4.7 – Written Rater discipline procedures
 - The Provider shall update the Rater's status in the RESNET Building Registry within ten (10) business days of any change.



Summary of QA Changes in the RESNET Standard

□ Chapter 1

- 102.1.4.7 – Written Rater discipline procedures
 - Probation
 - Non compliance with annual requirements for quality assurance
 - Non compliance with Rater equipment calibration and or re-certification requirements
 - Discovered violations of one or more provisions of the RESNET Standards that result in a non-compliant rating
 - Discovered violations of one or more provisions of the RESNET Standards involving Rater requirements for disclosure, professional conduct, record keeping and or reporting
 - Misrepresentation of a certification status in marketing materials or services offered or actually provided, for which the rater does not possess the appropriate RESNET certification from the Provider



Summary of QA Changes in the RESNET Standard

□ Chapter 1

- 102.1.4.7 – Written Rater discipline procedures
 - Suspension
 - Non-compliance with the terms of probation
 - Continued discovery of violations through increased quality assurance reviews
 - Multiple Probations within a twelve month period
 - Willful misconduct
 - Notification of suspension shall be made to RESNET through the Buildings Registry, known Rater clients (i.e. builders or other organizations with repeat business with a Rater or Rating Company), RESNET, EPA or other known EEPs
 - At the Provider's discretion, a Rater may be allowed to complete ratings identified as in progress at the time of the suspension.....



Summary of QA Changes in the RESNET Standard

□ Chapter 1

- 102.1.4.7 – Written Rater discipline procedures
 - Revocation
 - A Rater chooses to not renew their certification
 - For non-compliance with the progressive terms of probation or suspension
 - Failure to reach an agreement on terms of probation or suspension
 - The continued discovery of violations through the mandatory RESNET QA requirements
 - 102.1.4.8 – RESNET may at its discretion review disputes between Providers and Raters regarding a Rater's probation, suspension or revocation status. Providers and/or Raters seeking RESNET's assistance shall provide pertinent and substantive information and arguments in support of the request.



Summary of QA Changes in the RESNET Standard

- Chapter 2 – Training & Education
 - No Changes by QA Committee – Updates adopted by Board in early February
- Chapter 3 – Technical Standard
 - No Changes by QA Committee – Under review as part of ANSI Process
- Chapter 4 – Builder Option Packages
 - Chapter removed – Sunset on January 1, 2012
- Chapter 5 – Revision of Standards
 - RESNET accepting proposals to change Standards on an on-going basis. ANSI process and document control necessitates formal updates every 3 years.



Summary of QA Changes in the RESNET Standard

- Chapter 6 – Sampling
 - Editorial changes
 - Substantive, policy changes to be considered by a new ANSI Standard Development Committee later in 2013
- Chapter 9 – Quality Assurance



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.1.3.5 – QA file review for Sampled Ratings
 - The QA file review for sampled ratings shall include an analysis and confirmation that the sampling process, as defined in Chapter 6, is being properly followed, including sample set creation and the application of testing and failure protocols
 - QA file review of the sampling process shall be completed on the greater of one (1) sample set or ten percent (10%) of the Rater's annual total of sample sets



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.1.3.5 – QA file review for Sampled Ratings
 - The QA file review for sampled ratings shall include an initial review of the worst-case energy simulation file for each unique floor plan in order to confirm that minimum rated features and worst-case specifications have been entered into the rating software accurately. An energy simulation file for a particular floor plan is not subject to subsequent review after the initial QA review provided the minimum rated features and threshold specifications do not change as determined by this Section



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.2.2 – QA field reviews for Rating Field Inspectors (RFIs)
 - For Raters utilizing RFIs, the QA Designee shall ensure that a QA field review is completed on the greater of one (1) home or one percent (1%) of each RFI's annual total of homes for which confirmed or sampled ratings and diagnostic testing services were provided by the RFI. The RFI QA field reviews may fulfill all or a portion of the Rater's annual QA field review requirement.



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.2.2 – QA field reviews for Rating Field Inspectors (RFIs)
 - In instances where Rating Field Inspectors have completed all or most of the data collection, inspection, and testing for a Rater, the QA Designee, at their discretion, may waive the QA field review requirement of the Rater's testing and/or inspection work if a Rater completes testing and/or inspections on a relatively small number of the Rater's total number of homes for which data was collected (the lesser of 3 homes or 1%). Otherwise, a QA field review shall be completed on the Rater's work at the rate defined in 904.4.



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.2.7 – QA field review of Sampled Ratings
 - For the purposes of calculating the one (1) home or one percent (1%) QA field review requirement for Rater and RFI sampled ratings, all the homes rated by a Rater, or for which an RFI assisted, using sampling shall be considered and not just the number of homes tested and inspected.
 - To ensure that QA is being completed on Raters and RFIs rather than builders, only homes that include field testing and inspection data shall be amongst those considered for QA field review



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 904.4.2.7 – QA field review of Sampled Ratings
 - Example: If a Rater rating homes using Chapter 6 rates 950 homes in one year, the number of QA field reviews required shall be 10, i.e. 1% of 950 = 9.5, rounded up to the nearest whole number = 10. If of those 950 homes, 400 homes had any field testing and/or inspections completed during construction, then the 10 homes selected for QA field review shall be selected randomly from the 400 tested/inspected homes and not the 550 that did not receive any testing or inspections.



Summary of QA Changes in the RESNET Standard

□ Chapter 9 – Quality Assurance

- 904.4.3 – 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

- 905.2 – Minimum requirements to become a QA Designee
 - Previous certification as a Home Energy Rater (*not new*)
 - Complete confirmed ratings on a minimum of twenty-five (25) homes (*not new*)
 - 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 QA Provider in the previous twenty-four (24) months. The five (5) reviewed ratings shall be field reviews.



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 905.2 – Minimum requirements to become a QA Designee
 - To be eligible to QA a particular rating type (e.g. sampled, survey/audit), a QA Designee must have completed a minimum of five (5) of that rating or project type, or alternate qualification criteria established by RESNET in consultation with the Quality Assurance Committee.
 - The QA Designee requirements must be met within twelve (12) months of passing the RESNET Quality Assurance Designee Test, or the individual must pass the test again prior to being recognized as a QA Designee.



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 905.3.3 – A QA Designee that does not complete the professional development requirements for a given calendar year must:
 - Attend a RESNET roundtable
 - Have the QA Designee requirements re-verified
 - Submit an application to RESNET and be recognized as a qualified QA Designee prior to reinstatement as a QA Designee
 - If two years have lapsed without a QA Designee completing professional development, the QA Designee must also Pass the RESNET Quality Assurance Designee Test again



Summary of QA Changes in the RESNET Standard

Chapter 9 – Quality Assurance

- 905.9.8.2 – A database of results of all QA reviews for each Rater shall be maintained by the QA Designee, including, at a minimum, for each home reviewed:
 - Rater name
 - Home address or Registry ID
 - Date rated
 - Date QA reviewed
 - Name of QA Designee or Delegate
 - Whether the review was a file or field review
 - The result, including HERS Index variance for field QA, and any action taken by the QA Designee
 - The QA Record for each home shall be maintained for a minimum of three (3) years



Summary of QA Changes in the RESNET Standard

Chapter 9 – Quality Assurance

- 905.9 – QA Designee Whistle Blower Protection
 - A Rating QA Provider shall not retaliate against a QA Designee in the terms and conditions of their status with the Provider for any of the following reasons:
 - Reporting to a supervisor, to RESNET or to a federal, state or local agency a the QA Designee believes in good faith to be a violation of the RESNET Standards and/or a local, state or federal law; or
 - Participation in good faith in any resulting investigation or proceeding; or
 - Exercising his or her rights under any state or federal law(s) or regulation(s) to pursue a claim or take legal action to protect the QA Designees' rights.
 - RESNET may take disciplinary action (up to and including revocation) against a QA Provider who in its assessment has engaged in retaliatory conduct in violation of this policy



Summary of QA Changes in the RESNET Standard

Chapter 9 – Quality Assurance

- 906 – QA for EEP's
 - Quality Assurance, as specified in Section 904, may be provided by QA Designees for EEP's as part of the RESNET QA process when RESNET and the EEP enter into a formal agreement. Where EEP QA requirements are greater than specified in Section 904, those QA requirements shall be specified in writing by an EEP and provided to RESNET for approval in order to be included in the RESNET QA process.
 - Unless formally authorized by RESNET, RESNET's oversight of a QA Designee shall only cover areas covered in these Standards and in the RESNET Home Energy Rating Standards of Practice.



Summary of QA Changes in the RESNET Standard

Chapter 9 – Quality Assurance

- 907 – QA Requirements for Contractor Education and Qualification (CEQ) Providers, EnergySmart Contractors, and EnergySmart Teams
 - Moved from Chapter 10 to Chapter 9
- 909 – Ethics and Compliance Complaints
 - Replaced “consumer” complaints with “compliance”
 - On-line forms at RESNET website
 - Ethics complaints may be filed for violations of the RESNET Code of Ethics
 - Compliance Complaints may be filed for failures to comply with the RESNET Standards



Summary of QA Changes in the RESNET Standard

- Chapter 9 – Quality Assurance
 - 912 – Probation, Suspension and Revocation of Provider Accreditation
 - Revamped list of violations for Probation, Suspension and Revocation
 - Administrative Probation
 - Lesser in nature
 - Violations remain confidential
 - Disciplinary Compliance Probation
 - RESNET shall, at its discretion, make a final determination regarding the necessity of posting a probation resulting from these violations on the RESNET website.
- Appendix B
 - Definitions added and updated



Update on RESNET QA for ENERGY STAR

- Background
 - EPA-RESNET Letter of Understanding on how to work together on QA
 - Energy Efficiency Program (EEP) requirements added to RESNET Standards
 - Following the spirit of new EEP provisions prior to effective date. Setting a precedent for other EEPs.
 - RESNET ENERGY STAR version 3 QA Advisory Taskforce & Working Group in April 2012
 - Jonathan Passe, Zak Shadid, Dean Gamble, Rick Gazica, Brett Dillon, Mark Jansen, Daran Wastchak, Steve Baden, and Clinton Heyn



Update on RESNET QA for ENERGY STAR

- Goals of QA for ENERGY STAR
 - Ensure quality and maintain credibility for ENERGY STAR brand that the EPA, Home Builders, Home Owners, and Rating Industry rely on
 - QA of items that are not a standard part of the home energy rating process, but many Raters are doing in addition to the standard rating process
 - Intended to be completed at part of RESNET QA Process (no additional visits to homes)
 - Trying to minimize additional work for QA Designees and Raters
 - ENERGY STAR QA Checklist specifies items to be evaluated/verified
 - Only those items visible/accessible shall be evaluated
 - Effective Date: July 1, 2013



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Presentation Review

- Overview of QA Changes in the RESNET Standards
- Update on RESNET QA for EPA ENERGY STAR for Homes Program

DON'T FORGET

QA Changes Public Review Period
Ends March 27, 2013



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Questions



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