

Quality Assurance Report

***Update on new requirements
and proposals***

Barbara Collins
Energy Rated Homes West
760-726-2836

QA Sub-Committee

- Barbara Collins, Chair
- Lee O'Neal
- Kathy Howard
- Mark Newy
- Don Swift
- Mark Jansen
- CT Lloyd
- John Ashe
- Wade Byrd

Accreditation Committee

- Dave Roberts, Co-Chair
- Kelly Parker
- Richard Faesy
- Gayle Sampson
- Philip Fairey, Co-Chair
- Steve Andrews
- Barbara Collins
- Bruce Harley

RESNET CODE of ETHICS

- National minimum standard applicable to all accredited RESNET Rating Providers, their Raters and their representatives.
- May be superseded by a more stringent ethics code required by an individual Rating Provider, or by any other authority under whose jurisdiction rating services are being provided.

PRINCIPLE 1:

PROFESSIONAL CONDUCT

- Raters shall commit to objectivity and neutrality in conducting a rating and in making any recommendations.
- Raters shall commit to participate in a Quality Assurance program as required by RESNET.
- Raters shall not engage in any conduct that is detrimental to the reputation or the best interests of RESNET or the home energy rating industry.

PRINCIPLE 1:

PROFESSIONAL CONDUCT

- Raters shall refrain from making derogatory comments regarding other Raters or other persons involved in the home energy rating profession.
- Raters shall report violations of this Code or other concerns regarding the professional conduct of other Raters to the RESNET Executive Director for review and possible remedial action.

PRINCIPLE 1: PROFESSIONAL CONDUCT

- Raters shall at all times remain in good standing with the accreditation and certification requirements applicable to their business and professional activities in accordance with Chapter One of the Mortgage Industry National Home Energy Rating Standards.

PRINCIPLE 1: PROFESSIONAL CONDUCT

- Raters shall at all times comply with the technical standards and procedural requirements applicable to their business and professional activities in accordance with the Mortgage Industry National Home Energy Rating Standards

PRINCIPLE 1: PROFESSIONAL CONDUCT

- Raters shall not disclose information concerning the rating for a specific home to parties other than the client or the client's agent without the written permission of the client or the client's agent except to report to the Rating Provider for the purposes of registration, certification or quality assurance.

PRINCIPLE 1: PROFESSIONAL CONDUCT

- Raters shall commit to ongoing professional development and education as established by the Mortgage Industry National Home Energy Rating Standards to advance their knowledge, education, training, and experience, so that customers and the public can be assured of receiving competent and reliable services from home energy raters.

PRINCIPLE 2: REPRESENTATION of SERVICES and FEES

- Raters shall make no representations regarding their services or qualifications that are false or misleading in any material respect.

PRINCIPLE 2: REPRESENTATION of SERVICES and FEES

- Raters shall fully disclose all applicable charges, as well as the general scope and deliverables of services, prior to conducting a home energy rating or providing other services.

PRINCIPLE 2: REPRESENTATION of SERVICES and FEES

- Raters shall not inspect for a fee any property in which the Rater, or the Rater's company, has any financial interest or any interest in the transfer of the property.

PRINCIPLE 2: REPRESENTATION of SERVICES and FEES

- Raters shall disclose in writing any compensation or commission to or from other parties dealing with their client in connection with work for which the Rater is responsible.

PRINCIPLE 3: CONFLICTS OF INTEREST

- Raters shall avoid conflicts of interest with regard to their professional activities and financial interests. When a Rater becomes reasonably aware that an actual or potential conflict of interest exists, the Rater shall not provide services until full disclosure has been made to the client and Rating Provider, and the conflict is waived in writing by the parties.

PRINCIPLE 3: CONFLICTS OF INTEREST

- Raters shall not accept compensation, financial or otherwise, from more than one interested party for the same service without the consent of all interested parties.

PRINCIPLE 3: CONFLICTS OF INTEREST

- Raters shall inform their clients that they have the right to obtain competitive bids for any work to be performed on a home by the Rater or Rating Provider.
- Raters shall not allow an interest in any business to affect the results of the rating.

Home Energy Rating Standard Disclosure

- The “Home Energy Rating Standard Disclosure” form shall be completed for each home that receives a Home Energy Rating and shall be provided to the rating client who is responsible to provide a copy to the home owner/buyer.

Home Energy Rating Standard Disclosure

- Each form must include, at a minimum, the name of the community/subdivision and city and state where the home is located.
- Each form must accurately reflect the proper disclosure for the home that it is rated (i.e. it should reflect the Rater's involvement with the home at the time the final rating is issued).

QA Amendments

- **Proposed Amendment 2002-049 – Data Analysts and Data Collectors**
- **Deletes definitions for Data Analyst and Data Collector**
- **Makes certified Home Energy Rater responsible for ratings in which someone else collects data or inputs data into software.**

QA Amendments

- **Proposed Amendment 2002-050 – Rating Software Documentation**
- **HERS provider shall provide documentation with its accreditation application that their ratings are produced by a properly licensed RESNET accredited home energy rating software program**

QA Amendments

- **Proposed Amendment 2002-052 – Rating Quality Assurance**
- All Providers - Quality Assurance Designee
- Responsibilities shall include:
 - a. Maintenance of quality assurance files
 - b. Review of ratings by rater trainees and during the probationary period
 - c. Monitoring of ratings by certified raters

Proposed Amendment 2002-052 — Rating Quality Assurance

- All Providers - Quality Assurance Designee
- Experience shall be demonstrated by either of the following:
 - a. Certification as a Rater Trainer
 - b. Passing the RESNET Quality Assurance Designee Test

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Proposed Amendment 2002-052 — Rating Quality Assurance

- All Providers - Quality Assurance Designee
- Proof of designees's qualification shall be submitted with an application for accreditation.
- The provider has 60 days to replace if designee leaves

Proposed Amendment 2002-052 — Rating Quality Assurance

Providers must have written rater agreements and must require raters to:

- Provide home energy rating and field verification services in compliance with these standards;
- Provide accurate and fair ratings, field verification and diagnostic testing; and
- Comply with the RESNET Code of Ethics and Standard Disclosure requirements.

Proposed Amendment 2002-052 — Rating Quality Assurance

Providers shall have a written rater quality control process that includes at a minimum:

Provider's QA designee shall:

- Review 5 probationary ratings
- Review at least 25% of rater's data files
- Resolve any problems detected from review
- Schedule field monitoring with excessive problems

Proposed Amendment 2002-052 — Rating Quality Assurance

Providers shall have a written rater quality control process that includes at a minimum:

Annual Field Monitoring

- 1 rating or 1% whichever is greater
- Independently repeating the rating and/or diagnostic testing

Proposed Amendment 2002-052 — Rating Quality Assurance

Rating Recordkeeping

- Each rated home's electronic copy of the building file
- Kept for minimum of 3 years

Proposed Amendment 2002-052 — Rating Quality Assurance

Rater Registry

- Providers must maintain an internal registry of all certified raters
- Upon request providers shall provide rater registry to RESNET

Proposed Amendment 2002-052 — Rating Quality Assurance

Complaint Response System

- Each provider shall have one
- Providers must ensure its raters inform rating recipients of complaint system
- Complaint records shall be maintained by the provider for a minimum of 3 years

Proposed Amendment 2002-052 — Rating Quality Assurance

Data Submittal

- At RESNET's request provider shall submit total # of ratings performed by category (i.e. plans, new and existing homes)
- RESNET will only make public in aggregate form

Proposed Amendment 2002-052 — Rating Quality Assurance

RESNET QA Review of Providers

- RESNET shall randomly select a limited # annually and review files
- RESNET Board shall determine # of providers to be reviewed annually

Proposed Amendment 2002-052 — Rating Quality Assurance

Records which may be reviewed include:

- Rating electronic files
- Rating QA records
- Complaint files
- Rater agreements
- Rater registry
- Disclosure files

Proposed Amendment 2002-052 — Rating Quality Assurance

RESNET QA Review of Providers

- Significant inconsistencies or errors in the files may result in a field review

Proposed Amendment 2002-052 — Rating Quality Assurance

RESNET Ethics Committee

Responsible for investigating ethics complaints and reporting findings to the Board of Directors

- 5 members
- Appointed by the Board of Directors
- Two year terms, staggered

Proposed Amendment 2002-052 — Rating Quality Assurance

Filing Ethics Complaints

- May be filed against an accredited provider for:
 - Failing to enforce the Code of Ethics with a certified rater
 - Failure to adhere to accreditation standards

Proposed Amendment 2002-052 — Rating Quality Assurance

Complaint must document alleged violation and contain:

- Specific section of the Code of Ethics or accreditation standard violated
- Name of complainant and contact information
- Provider that is subject of complaint
- Complete description of alleged violation(s)

Proposed Amendment 2002-052 — Rating Quality Assurance

Complaint must document alleged violation and contain:

- Recitation of all the facts documenting the complaint
- Copies of any relevant documents

Must be sent to RESNET by registered mail

Proposed Amendment 2002-052 — Rating Quality Assurance

Investigation of Complaints

- RESNET Executive Director forwards all complaints to ethics committee
- Committee decides whether documentation warrants proceeding or dismissing complaint
- Both parties notified of committee's finding (whether to dismiss or proceed)

Proposed Amendment 2002-052 — Rating Quality Assurance

Proceeding with Complaints

- RESNET Executive Director sends copy of complaint to subject.
- Respondent has 30 days to submit a complete response
- Response must be in writing
- All relevant documentation shall be included

Proposed Amendment 2002-052 — Rating Quality Assurance

Ethics Committee must take action within 30 days. Action may include, but not limited to:

- Dismissal of complaint
- Requirement that provider take steps to correct problem
- Recommendation of sanctions to RESNET Board under section 9.0 of Accreditation Standards Suspension or Revocation of accreditation

Proposed Amendment 2002-052 — Rating Quality Assurance

All parties informed – complainant and respondent of committee's action

All complaints, responses and supporting documentation handled in strict confidence by RESNET staff, ethics committee and Board of Directors

"I don't want any yes-men
around me. I want
everyone to tell me the
truth--even if it costs him
his job."

Samuel Goldwyn