

# CalCERTS' Quality Assurance Policy

California's Home Energy Rating System ("HERS") regulations require CalCERTS to have a Quality Assurance Program. (Title 20, California Code of Regulations §1670 *et seq* ("HERS Regulations").) CalCERTS' Quality Assurance Policy ("QA Policy") provides information about CalCERTS' Quality Assurance Program and identifies the rights and obligations of CalCERTS and CalCERTS certified Raters. The QA Policy is designed to promote the HERS Industry and consumer protection by ensuring that all CalCERTS certified Raters are complying with the HERS Regulations.

## Quality Assurance Data & Field Reviews

- CalCERTS will conduct quality assurance data and field reviews on CalCERTS certified Raters.
- Quality Assurance reviews will be conducted by CalCERTS' Quality Assurance Reviewers who are approved by the State of California Energy Resources Conservation and Development Commission ("Energy Commission"). Data and field reviews are designed to verify the completeness and accuracy of a Rater's work.
- Raters must provide a standardized written notice, provided by CalCERTS, regarding the possibility and purpose of a CalCERTS quality assurance review, to the **Homeowner** on Alterations, and the **Superintendent**, Builder (or builder's representative) or Homeowner on New Construction.
- Raters **must** provide CalCERTS with contact information that includes the name and valid phone number of the person authorized to facilitate scheduling and provide access for a Quality Assurance Reviews. This contact is usually the **Homeowner** on Alterations, and the **Superintendent**, Builder (or builder's representative) or Homeowner on New Construction. The Rater and Installer are not considered valid contacts.
- Raters will not be notified when quality assurance reviews will take place.
- If the quality assurance reviews indicate that the Rater met the criteria for truth, accuracy and completeness, set forth in the HERS Regulations, the Rater will not be notified of the quality assurance review results. CalCERTS will maintain a record of the review in the CalCERTS Registry. The Energy Commission will have full access to these results.
- If a Rater fails a quality assurance review the Rater will be given a written notice containing the review results. The Rater will be subject to additional quality assurance reviews pursuant to section 1673(i) of the HERS Regulations and their failure will be noted on the registry.
- Raters should notify CalCERTS, in writing and prior to registration, if there is a problem with a field verification and diagnostic testing or home energy rating, so that the problem can be documented and taken into account during QA review.

- Raters will be responsible for the costs of additional quality assurance reviews conducted pursuant to section 1673(i) of the HERS Regulations.
- Raters may, at any time, contact CalCERTS to ask questions about the quality assurance review process or to ask for technical support to ensure that the Rater is meeting the criteria for truth, accuracy and completeness, set forth in the HERS Regulations.

CalCERTS Director of Quality Assurance

Email: [QA@calcerts.com](mailto:QA@calcerts.com)

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Field Support

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Office: 916-985-3400

Technical Support

Email: [tech@calcerts.com](mailto:tech@calcerts.com)

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## Complaint Response

- Raters must provide the Homeowner on Alterations, and the Builder (or builder’s representative) or Homeowner on New Construction, with a standardized written notice, provided by CalCERTS, notifying them they can file a complaint with CalCERTS related to the Rater’s ratings and/or field verification and diagnostic testing services.
- CalCERTS will respond to and resolve all legitimate and/or verifiable complaints related to ratings and/or field verification and diagnostic testing services performed by a CalCERTS certified Rater.
- CalCERTS will document and retain records of all complaints received, and its response to complaints, for a minimum of five years. This information will be shared with the Energy Commission and may be used in any investigation of Rater misconduct.
- Raters will be notified of complaints issued against them only if CalCERTS determines that there is sufficient evidence to warrant an investigation into the Rater’s conduct and/or performance.
- CalCERTS may protect the privacy of persons who file a complaint against a Rater by withholding the name of the complainants if CalCERTS has independently verified the information provided by the complainants.

## Investigations

- CalCERTS may, at its sole discretion, conduct an investigation of a Rater’s conduct and/or performance whether due to complaints received from third parties, quality assurance reviews, or otherwise.

*EnergyStar*



*Title 24*



*USNRQ*



*C.E.C*

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- Rater shall be given a written Notice of Investigation, within a reasonable period of its commencement, stating the basis of the investigation.
- CalCERTS may temporarily suspend a Rater’s Certification during an investigation when further activity by the Rater could interfere with CalCERTS’ investigation or continued ratings might jeopardize a consumer’s rights to true, accurate and complete Ratings. Raters will be given a written Notice of Suspension. CalCERTS will work diligently to minimize the duration of any suspension.
- As part of its investigation, CalCERTS may conduct additional quality assurance field reviews of the Rater in addition to the minimum number otherwise required under the HERS Regulations. Investigations may also include data audits, interviews, and/or any other review of the Rater’s conduct and performance that is necessary to resolve the issue being investigated.
- Rater shall be given an opportunity to ask questions about the investigation, and shall have an opportunity to submit information and documents related to the substance of the investigation before CalCERTS concludes the investigation. Rater will be encouraged to submit all questions in writing to avoid confusion and ensure accuracy.
- Raters are required to cooperate with the investigation to help ascertain facts and to gain access to important parties. If a Rater fails to cooperate with an investigation, CalCERTS may terminate the investigation and decertify the Rater.
- CalCERTS will review all information gathered in an investigation including information submitted by the Rater to determine if disciplinary action is warranted. If CalCERTS determines that disciplinary action is warranted the Rater shall receive a written notice of CalCERTS’ findings and recommended disciplinary actions.
- Rater shall have 30 days to appeal the recommendation prior to final disposition. Appeals must be submitted in writing.
- All investigations are considered confidential to protect all parties involved. Release of any details is at the sole discretion of CalCERTS

## **Disciplinary Action & Decertifications**

- CalCERTS may at its sole discretion impose one or more of the following types of Rater discipline:
  - A formal written warning to the Rater detailing area(s) of concern and suggesting self-directed corrective actions. For example, CalCERTS may recommend that the Rater attend additional training or receive mentoring.
  - Imposition of additional field reviews at the Rater’s expense.
  - Imposition of additional education, mentoring or training at the Raters expense.
  - Suspension of the Rater’s Certification for a period not to exceed two years.
  - Decertification.

- CalCERTS will document and retain records of all disciplinary action, and will provide this information to the Energy Commission as required by Title 20.
- CalCERTS may publish notifications of Rater discipline on the CalCERTS website.

**RATER:**

By: \_\_\_\_\_

Print Name: \_\_\_\_\_

Dated: \_\_\_\_\_



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