

Quality Control Inspection / Form Guidance

The Quality Control Inspection Form to which this guidance applies is to be used for Single Family / Small Buildings only; Agencies that need to perform multifamily quality control inspections, please contact your regional supervisor.

All post inspectors that review and certify single family projects in the NYS Weatherization Assistance Program (WAP) must hold a current Building Performance Institute (BPI) certification as a Home Energy Professional Single Family Quality Control Inspector (QCI).

Additionally, QCIs must be knowledgeable of the NYS WAP Policy and Procedures Manual (PPM), as well as the NYS WAP Field Guide, in order to evaluate and certify any building assisted with WAP funds.

THE FORM

- The top portion of Page 1 should be filled out completely, up to **PROJECT FILE REVIEW**;
- Pages 1 – 3 involve the Project File Review and assessment at the agency;
- The QCI shall review all sections in the Project File related to administrative, energy auditor / modeling and job site documentation for the project specified (See PPM Sub-Section 2.19);
- **YES** responses indicate the documentation, if applicable to the project, is present, completed (dated where applicable, signatures have been obtained when necessary, data has been entered where required, indicates copies have been provided when required) and content of the documents complies with program standards;
- **NO** responses indicate documentation applicable to the project is missing, is not complete or its content does not meet acceptable program standards;
- **N/A** responses indicate those documents that are not required / not applicable to the project under review.

PROJECT FILE REVIEW SECTION

Project files may have additional documentation included in them; the lists on this inspection form contain the required documentation (where applicable) for a NYS WAP single family project. Additional documentation the agency may include should not be considered in the QCI evaluation for certification but can be noted on the form in the 'Other' section if the QCI feels it is of significance.

If the QCI deems any listed documentation in any section to be seriously deficient, (not present, incomplete or the content not compliant with NYS WAP standards), and the issue cannot be rectified immediately, then '**NO**' should be selected for the File Review and the project not certified until such time as the condition(s) can be addressed / corrected to meet program standards.

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- **ADMINISTRATIVE** section: The administrative section lists the documentation necessary to select a WAP project, the communications related to the project, clean copies of the documents required to undertake the project, perform WAP work and close out the project.
- **ENERGY AUDIT / MODEL** section: The energy audit / model section lists all documents related to the NYS WAP energy audit, building related modeling of the project and the development of a WAP work scope in accordance with program requirements. Review will require a detailed evaluation of the contents of the energy audit / model documents. They must be evaluated for completeness, consistency and reasonableness of inputs. The QCI must verify completeness of the work scope against the energy model (all eligible measures should be reflected in the scope). Whenever a fuel analysis was done the QCI will evaluate and confirm the inputs used in the energy factor calculations. In those instances, fuel analysis energy factors must be provided and should align to the energy model within standard program parameters ($\leq 20\%$ deviation is acceptable). All energy factors that do not align within acceptable parameters must be justified in the project file. When a fuel analysis *cannot be done* HCR requires the number '1' to be entered for the Bill Model Energy Factor in the database. Any notes or reports an agency uses for monitoring and verifying in-progress work must also be included here.
- **JOB SITE** section: The job site section lists those documents that a crew leader would need / be required to have on a job site to successfully complete a NYS WAP work scope to acceptable program standards.

ON-SITE WORK QUALITY ASSESSMENT SECTION

Pages 4 – 5 consist of the ON-SITE WORK QUALITY ASSESSMENT. The QCI shall conduct a visual assessment for work quality of the various components of the project listed here as they are reflected in the final work scope. If *no measures* were done in a component, (i.e. Windows / Doors), then the QCI can check the '**N/A**' box next to 'Work Meets Program Standards' to indicate those measures were not part of the WAP work scope and were therefore not inspected.

- **YES** responses indicate the quality of work completed for the measure under each component meets or exceeds the Standard Work Specifications (SWS) and was completed / performed in accordance with NYS WAP standards.
- **NO** responses indicate the quality of work completed for that measure under each component does not meet the Standard Work Specifications (SWS) and / or was not completed / performed in accordance with NYS WAP standards.
- **N/A** responses would be chosen for those measures (or components) that were not part of the NYS WAP work scope.

SUMMARY OF EXISTING SITE CONDITIONS

In SUMMARY OF EXISTING SITE CONDITIONS, the last assessment to be made before conducting Diagnostic Testing, the QCI shall conclude the assessment of the physical work site relative to the documentation and determine:

- Were H&S concerns noted, workers / occupants informed, and energy related H&S concerns addressed in accordance with issued H&S #15 notifications?
- If H&S conditions existed, did they allow for a complete WAP workscope, without creating or exacerbating the H&S conditions, performed per program standards?
- Were energy conservation measures installed consistent with the model, savings to investment ratios and workscope?
- Was a complete WAP workscope accomplished relative to budgetary constraints?

If energy related H&S conditions were not addressed per the information on the H&S #15 notification(s) and program requirements, (ex. standing water still present in basement/crawlspace, visible mold, moisture visible on windows, live knob and tube wiring not properly labeled / isolated if insulation installed), then '**NO**' must be selected and the condition indicated in the next question (#2); the unit / project is not to be certified until such time as the condition can be addressed / corrected to meet program standards.

If the QCI discovers non-energy related H&S conditions currently exist in the completed project (#3), the QC inspector must determine whether or not a corresponding H&S #15 (and / or the Lead-Safe Certified Guide to Renovate Right) was issued and if performing the WAP workscope in that situation was appropriate per NYS WAP standards. If it was not, then '**NO**' should be checked; the unit / project is not to be certified until such time as the condition(s) can be addressed / corrected to meet program standards.

The QCI shall determine upon the basis of the work site visual assessment whether the installed measures were consistent with the previously reviewed model and final proposed work scope, that no measures were illegitimately skipped and that all higher SIR priority measures were installed per the audit model; if not, then '**NO**' should be checked and the unit / project is not to be certified until such time as the condition(s) can be addressed / corrected per program standards.

CERTIFICATION

If the QCI deems any measure in any component to be seriously deficient, not meeting the SWS and NYS WAP requirements, and the issue cannot be rectified immediately on-site, then the measure, as well as the component in 'Work Meets Program Standards', must receive a '**NO**' response and the unit / project cannot be certified until such time as the condition(s) can be addressed / corrected to meet program standards.

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The QCI, for any unit not certified, must supply on the inspection form (page 8) *all appropriate notes and corrective guidance necessary, including photos*, to support the determination and to bring the unit up to program standards to attain QCI certification. Notes, recommendations and guidance must always be appropriate, professional, corrective and never subjective or punitive in nature.

Subgrantees must be aware that the costs associated with such a unit(s) will be deducted from the subgrantee's total allowable expenditures. The total allowable expenditures under the contract will be reduced until the HCR program representative is satisfied that the unit has been properly completed and provides Quality Control Inspector certification per program requirements.

REQUIRED QCI DIAGNOSTIC TEST RESULTS / SIGNATURE PAGE

- Pages 6 – 7 contain the required diagnostic tests and signature page to complete a QC inspection for a single family (1 unit / 1 CAZ) NYS WAP project.
- Page 7 must be filled out completely, with 'Certified' or 'Not Certified' checked, signed and dated by the QCI.
- The Quality Control inspector must fill out page 8 with notes and corrective guidance for agencies to reference and follow if a project is not certified. The QCI should attach additional pages / photos when necessary.
- If the WAP project contains more than 1 unit / CAZ to certify, pages 9 – 10 provide the QCI space for the additional required testing that must be performed for each unit or additional CAZ, should they exist.
- No NYS WAP unit / project may be certified by a QCI without supporting diagnostic test results to quantify and confirm the determination.