



Changing Roles QCI & Auditor

July 14, 2015

Jake McAlpine

Minnesota Department of Commerce

Division of Energy Resources

QCI Requirements

Section 4 - Audit Event

4.7 Quality Control Inspection

Section 5 – Standalone Event

5.7 Quality Control Inspection

Quality Work Plan

Lets take a step back...

Quality Work Plan (QWP)

- **Worker Designations**
 - Quality Control Inspector (QCI)
 - Energy Auditor (EA)
 - Crew Leader (CL)
 - Retrofit Installer (RI)
- **Job Task Analysis - (JTA)**
 - What tasks are needed for each designation?
- **Knowledge, Skills, and Ability – (KSA)**
 - What skills are needed for each designation?

Quality Work Plan

QCI Job Task Analysis - (JTA)

**DOMAIN 1: Conducting Quality Checks - In-Process
Visual/Sensory Inspections**

Not currently required by DOE, this is a best practice at this point.

Quality Work Plan

QCI Job Task Analysis - (JTA)

DOMAIN 2: Conducting Quality Checks - Post-Work Visual/Sensory Inspections

- ***Task 1:*** Review Client File and the Work Scope
- ***Task 2:*** Perform an Exterior and Interior Visual/Sensory Inspection
- ***Task 3:*** Evaluate Client Satisfaction
- ***Task 4:*** Determine Pass/Fail of the Work

Quality Work Plan

QCI Job Task Analysis - (JTA)

DOMAIN 3: Conducting Quality Checks - Post-Work Diagnostic Inspections

Task 1: Conduct Health and Safety Tests

Task 2: Conduct Diagnostic Tests

Task 3: Identify Work Problems

Quality Work Plan

QCI Job Task Analysis - (JTA)

DOMAIN 4: Ensuring Worker Professionalism

Task 1: Perform Spot Checks

*Task 2: Provide Feedback Regarding
Professionalism*

Quality Work Plan

QCI Job Task Analysis - (JTA)

DOMAIN 5: Ensuring Program or Project Compliance

Task 1: Maintain Professional Credentials

Task 2: Confirm the Allocation of Public/Private Funds

Task 3: Evaluate Installed Measures Against the Field Guide, Standard Work Specifications and State/Local Codes

Task 4: Close out the Project

Task 5: Maintain Files and Records

QCI – Audit Event

Section 4.6 Quality Control Inspection

- A Quality Control Inspection (QCI) verifies that all aspects of the Audit Event have been satisfactorily completed and the payment and reporting process may proceed.
- The QCI must take place after work has been completed and before payment is issued.

QCI – Audit Event

Section 4.6 Quality Control Inspection

- A QCI must be conducted by:
 - Quality Control Inspector Certification from the Building Performance Institute (BPI).
- A QCI must **not** be conducted by:
 - the person who conducted the original energy audit on the dwelling (PY15 State Plan v.5.3).
 - anyone who installed any work called for in the energy audit.

QCI – Audit Event

Section 4.6 Quality Control Inspection

- The QCI includes:
 - complete file review
 - site visit
 - including a sensory inspection
 - diagnostic tests
 - a client education process
 - file closeout process

QCI – Audit Event

Section 4.6 Quality Control Inspection

- Pending a variance from DOE...
 - Certain tasks may be conducted by other staff as long as that work is verified by a certified Quality Control Inspector.
 - The Quality Control Inspector is ultimately responsible for all elements of the QCI process.

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

- Verify that all required forms and documentation are present and completed as detailed in Section 4.3 of this document.

4.6.2 Site Visit

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

- Verification of audit data
- Sensory Inspection
- Diagnostic Testing
- Client Education

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

- 4.6.2.1 Verification of audit data
- Service Providers will develop an internal plan to ensure that data gathered at the energy audit is collected correctly, accurate, and correctly entered into the WA software.

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

- 4.6.2.1 Verification of audit data
- 4.6.2.2 Sensory Inspection
- 4.6.2.3 Diagnostic Testing
- Conducted by a Quality Control Inspector, the diagnostic tests are conducted to help verify that measures have been installed properly. (Appendix D)

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

- 4.6.2.4 Client Education

- Interview client about entire weatherization process
 - » WX staff interactions
 - » contractor/crew professionalism
 - » overall satisfaction
- Verify that all needed client education was done
- Complete the Final Inspection Form

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

4.6.3 Call for Re-work (if needed)

- If any work does not meet the standard detailed in the SWS, the Quality Control Inspector must document the situation and call for the work to be re-done. A re-inspection of all re-works must be completed.

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.4 Client Refusal of Final Inspection

- In cases where a final inspection cannot be completed Service Providers shall document all attempts made to reach the client in the household file.
- Examples:
 - client moving
 - non response to local weatherization staff to complete work

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.4 Client Refusal of Final Inspection

- When a final inspection is not possible, the job cannot be **counted** as a completion, but Weatherization funds **can** be used to pay for the completed measures.

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.1 File Review

4.6.2 Site Visit

4.6.3 Call for Re-work (if needed)

4.6.4 Client Refusal of Final Inspection

4.6.5 File Close Out

- Provide feedback to all relevant parties:
- WA data entry
- Fiscal verification

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.5 File Close Out

- 4.6.5.1 Provide feedback to all relevant parties:
 - » Weatherization staff
 - » Contractors/crews
 - » The feedback should include ways in which the weatherization process worked well and areas that could be improved.
- 4.6.5.2 WA data entry
- 4.6.5.13 Fiscal verification

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.5 File Close Out

- 4.6.5.1 Provide feedback to all relevant parties:
- 4.6.5.2 WA data entry
 - » Enter in diagnostic results from QCI site visit.
 - » Enter contractor/crew notes.
 - » Update relevant work statuses. (Appendix C - Weatherization Assistant User's Manual- Addendum)
- 4.6.5.13 Fiscal verification

QCI – Audit Event

Section 4.6 Quality Control Inspection

4.6.5 File Close Out

- 4.6.5.13 Fiscal verification
- Enter quantity and cost information from contractor/crew invoice.
- Compare invoices to WA work orders and bids to identify and resolve any discrepancies.
- Verify the appropriate use of cost centers and that cost centers align between WA and other fiscal documentation (purchase order, etc.).
- Verify that invoices were not paid before final inspection was complete.
- Update relevant fiscal statuses.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

- A Quality Control Inspection (QCI) verifies all aspects of the Standalone Event have been satisfactorily completed and the payment and reporting process may proceed.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

- All Standalone Events costing more than \$500.00 must pass a QCI.
- It is recommended that Standalone Events with lesser costs be inspected whenever possible.
- If arrangements cannot be made with the client to access the building for a final inspection, the agency will document its unsuccessful attempts in the electronic client file.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

- The QCI must not be conducted by the person who conducted the original site visit on the dwelling, or by anyone who installed work on the dwelling.
- The QCI must take place after work has been completed and before payment is issued.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

- All aspects may be conducted by multiple staff but must be overseen by a certified Quality Control Inspector.
- The Quality Control Inspector is ultimately responsible for all elements of the QCI process.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

5.7.1 File Review – Same as Audit

5.7.2 Sensory Inspection

- Verify that work was done in accordance with the Standard Work Specification (SWS) and applicable codes.
- Take photos of all work.

QCI – Standalone Event

Section 5.7 Quality Control Inspection

5.7.1 File Review

5.7.2 Sensory Inspection

5.7.3 Diagnostic Testing

- Conducted by a Quality Control Inspector, the diagnostic tests are conducted to help verify that measures have been installed properly. (Appendix D - Standalone Event – QCI Diagnostic Tests)

QCI – Standalone Event

Section 5.7 Quality Control Inspection

5.7.4 Client Education

- Survey client for satisfaction of work performed, contractor professionalism, and WX staff interactions. Document replies and complete the Completion Certificate section of the Standalone Service Agreement form (see policy 5.3).

QCI – Standalone Event

Section 5.7 Quality Control Inspection

5.7.5 Call for Re-work (if needed) **same as audit**

5.7.6 File Close Out **same as audit**