

Building Science Institute, Ltd. Co. Process 001-2021 Ethics Compliance & Homeowner Inquiry Resolution

Approved by Brett Dillon – Dec. 8, 2021, 6:51 a.m.

Related policies:

- [Building Science Institute, Ltd. Co. Policy 02-2021 Code of Ethics](#)
- [Building Science Institute, Ltd. Co. Policy 05-2021 Conflicts of Interest](#)
- [Building Science Institute, Ltd. Co. Policy 06-2021 Impartiality & Objectivity](#)
- [Building Science Institute, Ltd. Co. Policy 08-2021 Terminology](#)
- [Building Science Institute, Ltd. Co. Policy 09-2021 General Requirements for Verification Organizations](#)
- [Building Science Institute, Ltd. Co. Policy 10-2021 Structural Requirements for Verification Organizations](#)
- [Building Science Institute, Ltd. Co. Policy 11-2021 Resource Requirements for Verification Organizations](#)
- [Building Science Institute, Ltd. Co. Policy 12-2021 Process Requirements for Verification Organizations](#)

This process applies to Verification Organizations, Building Science Institute, Ltd. Co., and the Building Science Institute Quality Council.

Reference Documents:

[Building Science Institute Policy 02-2021 Code of Ethics](#)

[Building Science Institute Policy 05-2021 Conflicts of Interest](#)

[Building Science Institute Policy 06-2021 Impartiality & Objectivity](#)

[Building Science Institute Policy 09-2021 General Requirements for Verification Organizations](#)

[Building Science Institute Policy 10-2021 Structural Requirements for Verification Organizations](#)

[Building Science Institute Policy 11-2021 Resource Requirements for Verification Organizations](#)

[Building Science Institute Policy 12-2021 Process Requirements for Verification Organizations](#)

[ENERGY STAR Certification Protocol](#)

[ENERGY STAR Certification Review Process](#)

Complaint Process

Upon receipt of complaint to Building Science Institute, the True North Quality Management Services program manager shall determine if the complaint is against the Building Science Institute or verification organization quality assessment designee or verifier.

If against the Building Science Institute, complaint must be forwarded to the Building Science Institute Quality Council for resolution. The Quality Council will assign a Quality Council member to evaluate the complaint based on objective evidence, through the Building Science Institute complaint resolution process described below, with the Quality Council member replacing True North Quality Management Services.

If complaint is against a verification organization Quality Assessment Designee, Verifier or Analyst, True North Quality Management Services will evaluate.

True North Quality Management Services will determine if the complaint is related to ENERGY STAR® Certification Protocols, within 2 business days of receipt of complaint and information required to make that determination.

If the complaint is NOT related to ENERGY STAR® Certification Protocols, the complainant must be notified.

If the complaint is related to ENERGY STAR® Certification Protocols, a True North Quality Management Services lead assessor will be assigned by the assessment program manager to investigate the complaint.

The True North Quality Management Services lead assessor will start the review within 7 business days of all the provided documentation of the complaint and evaluate based on objective evidence.

Evidence must be recorded and verifiable:

1. Evidence must be verified by at least two of the following:
 1. Documents and records
 2. Verbal statements
 3. Repeated observations
 4. Measuring and testing
 5. Simulation

The Certification Review for the ENERGY STAR® Certification Protocol must be performed through the ENERGY STAR Certified Homes Rater Quality Assurance and Certification Review process.

If the complaint is found to be true based on objective evidence, the non-conforming Software Analyst, Verifier or Quality Assessment Designee will be placed on probation and must complete required training on the non-conforming items prior to release from probation, approved by the Building Science Institute's True North Quality Management Services.

If the Building Science Institute receives two complaints in a 12 month period against a Quality Assessment Designee, Analyst or Verifier which are found to be true, that Quality Assessment Designee, Analyst or Verifier shall have their credential suspended for a period not to exceed 3 months. Prior to release from suspension, that individual must demonstrate their competence through:

1. Verifier: 5 pre-drywall/insulation ENERGY STAR® verifications mentored by Quality Assessment Designee & 5 final ENERGY STAR verifications mentored by Quality Assessment Designee
2. Software Analyst: 10 energy models in HouseRater (plans & specs provided by Building Science Education), evaluated by True North Quality Management Services:

1. 2 single story
2. 2 2-story
3. 2 duplexes
4. 2 townhouses
5. 2 apartment units

3. Quality Assessment Designee: 5 ENERGY STAR® software file evaluations, 5 ENERGY STAR® field evaluations, and ISO 17020 gap assessment, all mentored by a True North QMS Quality Assessor.

If the Building Science Institute receives three complaints in an 18 month period against a Quality Assessment Designee, Software Analyst or Verifier which are found to be true based on objective evidence, that Quality Assessment Designee, Analyst or Verifier shall have their credential revoked.

If objective evidence shows conclusively that a Verifier or Software Analyst has deliberately conducted their verification activities to permit a home that does NOT meet the ENERGY STAR New Homes program requirements to become certified, that individual must have their credential revoked.

If, during the course of routine Quality Management operations, a Software Analyst or Verifier is discovered to have willfully, based on objective evidence, breached the Building Science Institute's policies and processes, that Software Analyst or Verifier must have their credential revoked. If the breach was due to lack of skill, based on objective evidence, that Software Analyst or Verifier must be placed on suspension until they meet the above requirements to be removed from suspension. If the breach was inadvertent, based on objective evidence, that Software Analyst or Verifier must be placed on probation until they complete the above requirements to be removed from probation.

If, during the course of routine Quality Management operations, the Building Science Institute's True North Quality Management Services discovers that a Quality Assessment Designee has willfully, based on objective evidence, breached the Building Science Institute's policies and processes, that Quality Assessment Designee must have their credential revoked. If the breach was due to lack of skill, based on objective evidence, that Quality Assessment Designee must be placed on suspension until they complete the above requirements to be removed from suspension. If the breach was inadvertent, based on objective evidence, that Quality Assessment Designee must be placed on probation until they complete the above requirements to be removed from probation.

The Quality Assessment Designee, Software Analyst or Verifier has the right to appeal the Building Science Institute decision to place them on probation, or suspend or revoke credential.

The appeal shall be made to the Building Science Institute's Quality Council.

The complainant will be notified of the resolution of complaint (unfounded or disciplinary action taken) upon the completion of the evaluation.

If True North Quality Management Services determines a home fails the Certification Review, the ENERGY STAR® label and certificate for that home shall be rescinded.

The Building Science Institute Quality Council will be informed of the progress and resolution of complaints found to be related to the ENERGY STAR® Certification Protocols.

The Building Science Institute will inform the EPA ENERGY STAR® New Homes team of all disciplinary actions and the progress and resolution of all complaints related to the ENERGY STAR® Certification Protocols.

Approved by Building Science Institute Quality Council on October 19, 2021

Not Voting: Brett Dillon, Chair

Approve: Brian Christensen, Amber Wood, Kevin Burk, Mat Gates

Reject: None

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