

## PROCESS

# Building Science Institute, Ltd. Co. Process 007-2021 Conformity Assessment Follow-up & Closure

### Related policies

Building Science Institute, Ltd. Co. Policy 08-2021 Terminology

This process applies to Verification Organizations and the Building Science Institute, Ltd. Co. True North Quality Management Services.

### Referenced Documents

[Building Science Institute Process 001-2021 Ethics Compliance & Homeowner Inquiry Resolution](#)

### Corrective Action

If the conformity assessment by the Building Science Institute's True North Quality Management Services indicates corrective action must be taken by the verification organization assessed, the verification organization must present the True North QMS lead assessor assigned to them with a corrective action plan.

The criteria for acceptable corrective action plans are:

- The non-conformity is identified
- Immediate remediation actions are identified
- Potential root causes are identified
- Likelihood of recurrence is identified
- Need for corrective action is evaluated
- Root cause analysis is performed to determine solutions to eliminate the causes
- Action plan is developed based on results of root cause analysis
- Personnel responsibilities for corrective action plan are identified
- Timelines are established and schedule of dates when action is to be initiated and completed is provided
- Corrective action plan is documented

The True North QMS lead assessor must review the corrective action plan to determine if the plan contains:

- A determination of the problem and implementation of immediate remediation actions
- Conduction of an investigation to identify root causes
- Non-conformities are managed and controlled to avoid the recurrence that causes a non-conformity somewhere else in the verification process
- Analysis of the effects of findings on the certification of homes using the ENERGY STAR® Certification Protocols

### Follow-Up

Follow-up assessments must be conducted to verify corrective action has been taken. The lead assessor must determine:

- A change has occurred AND
- The process achieves the desired result

If the follow-up assessments reveals the verification organization has taken ineffective corrective action, the True North QMS lead assessor must either re-issue the finding OR issue a new finding to start the corrective action process again.

If this is a recurring problem, it indicates a true root cause analysis has not been performed.

A verifier or software analyst responsible for non-conformance must be dealt with in conformance with [Building Science Institute Process 01-2021 Ethics Compliance & Homeowner Inquiry Resolution](#).

The verification organization will undergo an additional assessment by the Building Science Institute's True North Quality Management Services to ensure the verification organization's quality management system conforms to ENERGY STAR Certification Protocols and Building Science Institute policies.

A Quality Assessment Designee responsible for non-conformance must be dealt with in conformance with [Building Science Institute Process 01-2021 Ethics Compliance & Homeowner Inquiry Resolution](#).

## Closure

True North Quality Management Services must prepare a follow-up report and distribute it to the original assessment report distribution list after verifying the effective implementation of corrective actions.

At that point, the verification organization is informed the conformity assessment is closed. The verification organization must distribute the final conformity assessment report to their clients, and supply True North Quality Management Services with proof of that delivery.

With the verification organization's permission, the final conformity assessment report shall be published on the Building Science Institute's website. After working with the Building Science Institute for 3 years, the verification organization's permission is not needed and the conformity assessment reports must be published on the Building Science Institute's website.

Approved by the Building Science Institute, Ltd. Co. Quality Council on December 21, 2021

Approve: Brian Christensen, Amber Wood, Kevin Burk

Reject: None

Not Voting: Mat Gates, Brett Dillon (Chair)

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