

Multi-Family Quality Control Inspection / Form Guidance

The Quality Control Inspection Form to which this guidance applies is to be used for Multi-Family quality control inspections.

All post inspectors that review and certify multi-family projects in the NYS Weatherization Assistance Program (WAP) must have attended and received a successful evaluation from a NYS WAP training and technical assistance provider (AEA or NYSWDA) delivering a curriculum based on the NREL Multifamily Quality Control Inspector JTA.

Additionally, quality inspectors 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 a multi-family unit / building assisted with WAP funds.

PROJECT FILE REVIEW SECTION

- The top portion of Page 1 should be filled out completely, up to **PROJECT FILE REVIEW**;
- On Pages 1 – 3 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 (ex. 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/cannot be provided, is not complete or its content does not meet program standards;
- **N/A** responses indicate those documents that are not required / not applicable to the project under review.

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 multi-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/cannot be provided, substantially incomplete or the content not compliant with NYS WAP standards), and the issue cannot be rectified immediately, then '**NO**' should be selected for the Overall File Evaluation 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 possible documentation necessary to select/perform a NYS WAP multi-family project, the communications related to the project, clean copies of most 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 per SIR priority requirements). 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. Subgrantees must be able to provide justification for these instances. Any notes or reports an agency uses for this purpose, as well as for monitoring and verifying in-progress work, should be included in the project file.
- **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 – 7 consist of the ON-SITE WORK QUALITY ASSESSMENT. The QCI will 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 the measure was not a component of the Work Scope, the QCI can check the box next to that heading, skip that component's section and move to the next section. If a question in the section does not pertain to the project scope, then check 'N/A' and move to the next question.

- **YES** responses generally indicate the quality of work completed for the measure under each component meets or exceeds, and was completed / performed in accordance with, NYS WAP standards. However, the question will dictate, or there may be circumstances, where a 'Yes' response indicates an unacceptable condition. It is the QCI's determination and comments that will clarify the significance of the response.
- **NO** responses generally indicate the quality of work completed for that measure does not meet or was not completed / performed in accordance with NYS WAP standards. However, the question will dictate, or there may be circumstances, where a 'No' response is appropriate, acceptable and not an indication of substandard work. It is the QCI's determination and comments that will clarify the significance of the response.

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- **N/A** responses would be chosen for those measures that were not part of, or do not apply to, the NYS WAP work scope.

FINAL QUESTIONS / ENERGY CONSERVATION MEASURES, NECESSARY INCIDENTAL REPAIRS AND HEALTH & SAFETY

In this last section, the QCI will conclude the assessment of the physical work site and make a final determination relative to:

- Were incidental repairs necessary for the effective performance or preservation of weatherization materials or to remediate energy related Health & Safety (H & S) conditions?
- 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, performed per program standards, without creating or exacerbating the H&S conditions?
- Were energy conservation measures installed consistent with the model, savings to investment ratios and workscope?
- Was a complete WAP workscope accomplished relative to investment levels?

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), and it cannot be determined to be the result of changes made by the owner or tenant to the completed work scope following sign off on the weatherization work, then **'NO'** must be selected and the condition identified on page 8; 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, the QC inspector must confirm 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 reviewed model and final proposed work scope, that no measures were incorrectly skipped and that all higher SIR priority measures were installed per the audit model; if not, then 'Unacceptable' should be checked and the unit / project is not to be certified until such time as the condition(s) can be addressed / corrected to meet program standards.

CERTIFICATION / SIGNATURE PAGE / QCI DIAGNOSTIC TEST RESULTS

If the QCI deems any measure in any component to be seriously deficient and not meeting NYS WAP requirements, or negatively impacting Health & Safety, and the issue cannot be rectified immediately on-site, then the unit / project cannot be certified until such time as the condition(s) can be addressed / corrected to meet program standards.

The QCI, for any unit not certified, must supply on the inspection form (in 'comments' and on page 8 or additional pages) *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.

SUMMARY

- Page 8 must be signed and dated, with either 'Yes' or 'No' checked next to **QCI CERTIFIED MULTI-FAMILY PROJECT**, by the QC inspector prior to filing in Project File. 'Yes' must be checked prior to submitting for reimbursement. A NYS WAP project that is not QCI certified as acceptable cannot be submitted for reimbursement.
- Pages 9 – 10 contain the diagnostic tests to complete a QC inspection for a multi-family NYS WAP project. Unit selection for a large multi-family project should be random, taking into account accessibility, conditions and determined by the QC Inspector.
- 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. Subgrantees must inform their HCR Field Representative during site visits of any units / projects that have failed an agency level quality control inspection.
- No NYS WAP unit / project may be certified by a QCI without supporting diagnostic test results to quantify and confirm the determination.