



ENERGY STAR® for New Homes Administrative Procedures

Acknowledgement

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1. Roles & Responsibilities

1.1 Natural Resources Canada (NRCAN)

NRCAN sets the policy goals for ENERGY STAR for New Homes (ESNH) and tracks performance against them. Specifically, NRCAN:

1. Provides technical, administrative and marketing support to EnerQuality, Evaluators and builders.
2. Sets the level of energy efficiency (e.g. EnerGuide 80 as of April 1, 2007) and other requirements for each that the ENERGY STAR for New Homes Technical Specifications must meet.
3. Undertakes Quality Assurance (QA) activities to ensure houses are being appropriately labeled.
4. Monitors usage and protects the integrity of the ENERGY STAR brand (wordmark and logo) in all marketing communications.
5. Promotes ENERGY STAR for New Homes in conjunction with EnerQuality, Evaluators, manufacturers and builders.

1.2 EnerQuality

EnerQuality Corporation manages and promotes ENERGY STAR for New Homes in Ontario. Specifically EnerQuality:

1. Provides marketing, administrative and technical support to participating ENERGY STAR builders and Evaluators.
2. Develops and updates the ENERGY STAR for New Homes Technical Specifications to meet the energy efficiency level set by NRCAN.
3. Trains and certifies builders and Evaluators to participate in ENERGY STAR for New Homes.
4. Processes and manages the database for all house files.
5. Issues the ENERGY STAR label and Homeowner Package
6. Undertakes Quality Assurance activities Evaluators work in the field.
7. Promotes ENERGY STAR for New Homes to homebuyers, the building industry and the media.
8. Ensures builders are regularly and effectively informed of the ENERGY STAR for New Homes Technical Specifications and Administrative Procedures and promptly updated of any changes.

1.3 Certified Energy Evaluators (Evaluators)

Evaluators provide consulting services and evaluate & label houses. Specifically Evaluators:

1. Advise builders on achieving the ENERGY STAR technical specifications for their houses and provide technical and other support to builders throughout the construction process.
2. Conduct on-site inspections and air tightness testing of enrolled houses to verify qualification as per the ENERGY STAR technical specifications.
3. Provide the builder with the ENERGY STAR label and Homeowner Package.
4. May enroll their builder's houses and may act as the builder's agent in dealing with all ENERGY STAR for New Homes related matters.

1.4 Builders

ENERGY STAR for New Homes Participant Builders market and build ENERGY STAR qualified new homes. Specifically builders:

1. Meet the certification terms outlined below to maintain their participant status in ENERGY STAR for New Homes.
2. Are responsible for ensuring enrollment of their houses in the program either directly or through an Evaluator acting on their behalf.
3. Ensure their houses are built to the applicable ENERGY STAR for New Homes Technical Specifications.
4. Contract directly with an Evaluator for required consulting, inspection and certification services.
5. Provide the homeowner with the homeowner package including the label and certificate.

2. Certification – builders

In order to be certified as an ENERGY STAR for New Homes Participant Builder, candidates must meet the following requirements:

2.1 Tarion

Register with Tarion and provide EnerQuality with proof of a valid Tarion warranty number.

2.2 Participant Agreement

Sign and return to NRCan the "Participant Administrative Arrangement - ENERGY STAR® for New Homes Builder/Evaluator" (the agreement). The agreement is managed by NRCan.

2.3 Builder Workshop

Send one representative from their company to take the ENERGY STAR Builder Workshop within one year of registering as an ENERGY STAR for New Homes Participant Builder. The workshop is a one-day seminar on how to build a house to the ENERGY STAR for New Homes Technical Specifications.

2.4 Update

Send one representative to attend the yearly ENERGY STAR for New Homes update. The update will cover the current status of ENERGY STAR for New Homes, introduce new policies and initiatives, and showcase the latest in energy efficient construction.

2.5 De-certification

ENERGY STAR builder certification may be suspended or cancelled for the following causes:

1. Failure to certify (label) one ENERGY STAR qualified new home per year.
2. Failure to pay enrolment fees more than 4 months past date of invoice.
3. Failure to maintain valid Tarion registration.
4. Failure to attend the mandatory ENERGY STAR for New Homes Builder Workshop within one year of registration as an ENERGY STAR for New Homes Participant Builder, and the subsequent yearly update workshops within 18 months of attending the previous workshop.
5. Failure to comply with the terms of the "Participant Administrative Arrangement - ENERGY STAR® for New Homes Builder/Evaluator".

3. Certification – Evaluators

In order to qualify as a Certified Energy Evaluator, candidates must meet the following requirements:

3.1 Background

A candidate Evaluator must provide a resume demonstrating sufficient knowledge and/or work experience in the areas of building science, construction technologies and methods, and energy efficiency in housing construction.

3.2 Training

Complete the following classroom training prior to doing fieldwork:

1. Attend the ENERGY STAR Builders Workshop.
2. Attend the Certified Energy Evaluator Workshop.

NB: Advanced standing for training may be considered on a case-by-case basis at the discretion of the Certification Committee.

3.3 Fieldwork

Complete the following supervised field work within 6 months of having taken classroom training and prior to issuing ENERGY STAR for New Homes labels:

1. Submit 5 EGNH house files (at least 1 "N" file) to EnerQuality.
2. Submit 2 ENERGY STAR BOP house files to EnerQuality.
3. Perform 3 air tightness tests as part of the above file submissions and submit them to EnerQuality.
4. All 7 files must be reviewed and signed off by a Certified Energy Evaluator. The Evaluator who signs off on the files must send EnerQuality a letter attesting to the candidate's ability to evaluate and qualify houses. All probationary house files must be submitted under the Evaluator number issued by EnerQuality to the applicant after training. These files will be stored until all certification requirements have been met at which time they will be processed. Alternatively, "test" files can be submitted and reviewed, using sample house plans and on-site evaluations.

3.4 Evaluator Exam

Pass the Certified Energy Evaluator exam to demonstrate minimum competencies in the following areas:

1. Ability to accurately gather information from building drawings, field inspections, product specifications and nameplate information, and/or field performance testing.
2. Ability to collect and submit such gathered data as required for reporting and filing houses
3. Ability to use HOT2XP or HOT2000 to produce accurate and fair building energy evaluations.
4. Knowledge of the purposes and benefits of building energy evaluations, and the ability to communicate these items to existing and potential builders.
5. Knowledge of the current ENERGY STAR for New Homes Technical Specifications and Administrative Procedures as well as the EnerGuide for New Houses Administrative and Technical Procedures.
6. Knowledge of marketing and sales issues related to energy efficiency, ENERGY STAR for New Homes and EnerGuide for New Houses.

3.5 Certification Committee

A Certification Committee of the Evaluators' Council has been established to develop and administer listing and de-listing procedures as well as review applications by candidate evaluators. All candidates must be reviewed and approved by the Certification Committee for certification.

In order to maintain certification, Evaluators must meet the following requirements:

3.6 Code of Ethics

Evaluators must adhere to the Evaluators Code of Ethics. Any breaches of the Code of Ethics are referred to the Certification Committee for review and disciplinary action.

3.6.1 Professional Conduct

- 3.6.1.1 Evaluators shall commit to objectivity and neutrality in conducting an evaluation and in making any recommendations.
- 3.6.1.2 Evaluators shall commit to participate in the Quality Assurance program.
- 3.6.1.3 Evaluators shall not engage in any conduct that is detrimental to the reputation or the best interests of ENERGY STAR for New Homes.
- 3.6.1.4 Evaluators shall respect the integrity and reputation of ENERGY STAR for New Homes, and shall not engage in any activity or discourse that would reflect negatively on same.
- 3.6.1.5 Evaluators shall at all times remain in good standing with applicable certification requirements.

- 3.6.1.6 Evaluators shall at all times comply with the applicable ENERGY STAR for New Homes Technical Specifications and Administrative Procedures.
- 3.6.1.7 Evaluators shall not disclose information concerning the evaluation of a specific home to parties other than the builder or the builder's agent without the written permission of the builder or the builder's agent except to report for the purposes of enrolment, qualification or quality assurance.
- 3.6.1.8 Evaluators shall commit to ongoing professional development and education by attending annual updates and continuing education, to advance their knowledge, training, and experience, so that customers and the public can be assured of receiving competent and reliable services.

3.6.2 Representations of Services and Fees

- 1. Evaluators shall make no representations regarding their services or qualifications that are false or misleading in any material respect.
- 2. Evaluators shall fully disclose all applicable charges, as well as the general scope and deliverables of services, to their builders prior to conducting ENERGY STAR for New Homes evaluations or providing other services.

3.6.3 Conflicts of Interest

- 1. Evaluators shall avoid conflicts of interest with regard to their professional activities and financial interests. When an Evaluator becomes reasonably aware that an actual or potential conflict of interest exists, the Evaluator shall not provide services until full disclosure has been made to the builder.
- 2. Evaluators shall not inspect for a fee or certify any property in which the Evaluator or the Evaluator's company has any financial interest in the property or any interest in the transfer of the property.
- 3. Evaluators shall not accept compensation, financial or otherwise, from more than one party for the same service without the consent of all parties.
- 4. Evaluators shall not allow an interest in any business to affect the results of the evaluation.
- 5. The Code of Ethics are NOT intended to limit Evaluators from including any other consulting, contracting and inspection services, systems or components in addition to those required above, except where doing so results in an undisclosed conflict of interest.

3.7 Insurance

Maintain current liability insurance and provide EnerQuality with proof of:

- 1. \$1 million Comprehensive General Liability insurance.
- 2. \$1 million Professional Liability insurance (Errors and Omissions).

3.8 Agreements

Provide EnerQuality or NRCAN with the following completed and signed agreements:

- 1. ENERGY STAR Participant Administrative Arrangement (NRCAN)
- 2. EnerGuide For New Houses Schedule "E" & Appendix "D" (EnerQuality)
- 3. Certified Evaluator Contract (EnerQuality)

3.9 Update

Attend a yearly ENERGY STAR for New Homes Update and complete a minimum of 12 hours of approved continuing education units (CEUs) during each three-year period of certification. Applicable CEUs to be approved by the Certification Committee.

3.10 Fee

Pay EnerQuality the annual certification fee of \$250.00 due April 1.

3.11 De-certification

ENERGY STAR Evaluator certification may be suspended or cancelled for the following causes:

1. Failure to adhere to the Energy Star for New Homes Administrative Procedures, such as:
2. Failure to pay annual fee (more than 90 days past due).
3. Failure to attend yearly updates more than once in three years.
4. Failure to provide annual proof of insurance coverage.
5. Failure to adhere to the Code of Ethics.
6. Failure to comply with QA protocol within 45 days of a request from EnerQuality.
7. Failure to correct house file deficiencies identified by QA within 45 days.

An Evaluator who fails to comply with the certification requirements above will be deemed in breach of contract and will be subject to the following disciplinary procedures undertaken by the Certification Committee:

1. Warning – written notice of infraction and remedial action to be taken.
2. Suspension – failure to comply with remedial actions ordered in written warning within 45 days, or continued infractions of similar nature subsequent to any written warnings, will result in the Evaluator certification being temporarily suspended and the Evaluator not being permitted to perform Energy Star for New Homes evaluations until ordered remedial action is completed. Remedial action may include field or classroom re-training, retesting, remediation of deficiencies or other requirements at the discretion of the Certification Committee.
3. De-listing – failure to comply with reinstatement provisions within 45 days of suspension will result in the Evaluator being decertified and removed from the list of Certified Energy Evaluators.
4. Appeal – Evaluators who have been de-certified may appeal to the Certification Committee for a non-binding peer review of the decision.

4. Home Enrollment and Labelling

4.1 Enrolling Houses

Each ENERGY STAR qualified new home must be enrolled with EnerQuality prior to receiving a label. Enrollment should occur after the sale or at a trigger point such as selection of upgrades before the beginning of construction.

Enrollment consists of completing, signing and returning the Home Enrollment Form along with a cheque or purchase order to EnerQuality. At that time, a house file number will be generated. A house must be enrolled and payment received prior to being tested and a label being issued.

Every ENERGY STAR qualified new home receives a homeowner package to accompany the official ENERGY STAR for New Homes label, certificate and letter. EnerQuality will work with builders and evaluators to deliver the homeowner packages according to what works best for each builder.

4.2 House file numbers

House file numbers are a critical to tracking ENERGY STAR qualified new homes and EGNH houses. The following protocol details the numbering protocol for both ENERGY STAR performance and prescriptive path as well as EGNH house files.

ENERGY STAR performance path and EGNH house file numbers are generated by evaluators at the time the house file is submitted to EnerQuality using their evaluator's number. For tracking purposes, files should be numbered sequentially starting for example with 5515P00001, then 5515P00002, etc. Evaluators should track their file numbers so that they don't use the same number twice.

ENERGY STAR prescriptive path house file numbers are generated by EnerQuality at the time the house is enrolled using the number '00' and will be numbered sequentially starting with 5500P00001, then 5500P00002, etc.

4.3 Requesting labels

Evaluators must request a label, certificate and letter from EnerQuality at least 10 business days (2 weeks) prior to the labeled date by emailing the request to enroll@esnewhomes.ca.

4.4 Issuing labels

The Evaluator conducts on-site inspections and tests to determine whether the house is an ENERGY STAR qualified new home.

Once qualification is verified, the Evaluator will provide the ENERGY STAR label, certificate and letter to the builder to insert in the homeowner package and present to the homeowner.

4.5 Submitting House Files

Evaluators are required to submit a house file within 10 business days (2 weeks) of a house being qualified (i.e. the labeled date). EnerQuality will review all house files submitted by Evaluators to check for accuracy prior to being entered into the database. House files found to have errors and omissions will be sent back to Evaluators to be corrected and re-submitted.

A complete house file must be submitted by email to housefiles@egnh.ca in one of two ways according to the compliance path chosen:

1. For prescriptive path houses: the BOP form + house plan + air tightness test, and using the house file number protocol for prescriptive path houses.
2. For performance path houses: one "P" and one "N" HOT 2XP / HOT 2000 file along with a TSV for each+ house plan + air tightness test, and using the house file number protocol for performance path and EGNH houses.

Evaluators are required to keep on file a complete house file (hard and/or electronic copy) for each ENERGY STAR qualified new home they label for a period of no less than 7 years from the time the house was qualified. A complete house file must include:

1. BOP form or HOT 2XP / HOT 2000 "N" and "P" files
2. House plans and schedule/specifications
3. Air tightness test
4. Field notes

4.6 Inspection Protocol

All homes intended to become ENERGY STAR qualified are required to be inspected by an evaluator that has been certified by EnerQuality, to confirm compliance with the most current version of the ENERGY STAR for New Homes Technical Specifications either by the Single Unit Inspection Method or by Sampling Inspection Method

The evaluator is inspecting only the items in the house which enable it to meet or exceed these technical specifications. ENERGY STAR Qualified New Homes must comply with all applicable building codes. Inspection of features of the home that are not related to qualification as an ENERGY STAR Qualified New Home or matters of building code compliance are to be done by the authorities having jurisdiction. An ENERGY STAR for New Homes evaluation is not a substitute for a house inspection.

A checklist will be completed by the evaluator for each ENERGY STAR qualified new home regardless of whether the Single Unit or the Sampling Inspection Method is applied.

The builder must correct any deficiencies identified by the evaluator prior to being ENERGY STAR qualified. In order to confirm that the deficiency has been corrected, the evaluator may choose either to re-inspect the building, or, to accept a sign-off by the builder, as decided by the evaluator. In the event a builder does not agree with the compliance recommendation of an evaluator, the builder may appeal for judgment by EnerQuality.

4.6.1 Single Unit Inspection Method

1. The builder may request an inspection as soon as a home is ready. All systems and components required for ENERGY STAR qualification must be installed prior to the inspection.
2. An evaluator should monitor the production schedule of the builder to ensure that the required inspections are delivered on time. The builder should provide the evaluator with sufficient advance notice to schedule the inspection.
3. A minimum of one final inspection is required to confirm the features of an ENERGY STAR Qualified New Home.
4. A minimum of one preliminary inspection per site is required to assist the builder at the evaluator's discretion.
5. The evaluator will issue an ENERGY STAR for New Homes label to the builder immediately or upon subsequent determination that any deficiencies have been resolved.
6. Should a home be considered for ENERGY STAR qualification using the EGNH performance route, the EGNH Administrative and Technical Procedures (January 2005) must be followed in addition to the requirements stated in Section 4.1.

4.6.2 Sampling Inspection Method

1. Sampling inspection may only be applied to detached or attached homes and is applied on a per site/subdivision basis.
2. The Sampling Inspection Method may be applied at the discretion of the evaluator if there is sufficient number of houses to benefit from the approach.
3. The builder must successfully complete three homes consecutively in each site/subdivision that are individually inspected and verified, as per the Single Unit Inspection Method in Section 1.2.2., before requesting the Sampling Inspection Method.
4. The builder prepares a batch of three candidate ENERGY STAR Qualified New Homes which are intended to be completed within 30 days and informs the evaluator. The evaluator chooses one house at random from the three, and applies the single unit inspection method to that house. Alternatively, the evaluator may choose to do different parts of the inspection upon two or all the homes of the batch.
5. If the house is approved, all three houses in the batch are labeled.
6. If one home fails, the others are investigated for the same problem and the builder is informed of the deficiency. No labels are issued until all deficiencies are corrected in all the homes of the batch.
7. The one-in-three Sampling Inspection Method can be repeated for additional batches of three candidate homes within the subdivision site.
8. If three consecutive batches of homes inspected using the Sampling Inspection Method have consistent problems, the builder/site reverts to the Single Unit Inspection Method until such time as the evaluator believes that sampling may once again be used.

4.7 House De-certification

Failure to correct deficiencies in an ENERGY STAR qualified new home within 60 days of written notification to the builder, as identified by Quality Assurance, will require the return of the ENERGY STAR label, certificate and plaque to EnerQuality. Any changes made to the house after the initial ENERGY STAR label has been issued will not affect certification.

5. Quality Assurance Audit

The objective of Quality Assurance (QA) is to protect the integrity of the ENERGY STAR brand with builders and homeowners. QA is anchored in the rigorous certification of Evaluators and the regular review of house files when submitted to EnerQuality for processing into the database.

The purpose of the Quality Assurance Audit (QAA) protocol is to supplement regular QA by reviewing in greater detail an evaluator's house files submitted to EnerQuality.

EnerQuality will regularly perform QA audits on a random sample of house files to ensure consistency in the delivery of the service and to verify that every house issued an ENERGY STAR for New Homes label complies with the ENERGY STAR for NEW Homes Technical Specifications and Administrative Procedures.

The QAA protocol consists of two progressive levels, each reviewing different aspects of the delivery of the service.

5.1 Level 1 – Annual File Assessment

A file assessment verifies that the required documentation is available in the house file and determines consistency between the house data collected by the Evaluator and the submitted BOP file or HOT 2000/HOT 2XP files.

A Level 1 QA audit is performed on a minimum of 10% of house files or at least one house file per Evaluator per year, whichever is greater. Level 2 QA begins with an assessment to ensure that the Evaluator's house file records are complete. Using those records, EnerQuality will assess the following criteria at a minimum, but may add others, as deemed necessary:

- Record keeping (Performance and Prescriptive Path): Ensure that the applicable data collection / field notes, the "blower door" test software printout, the model's house plans + schedule (or a reference to it) and BOP sheet (prescriptive path) and/or electronic file (performance path) are present in the file and accurately correlate with the house file submitted to EnerQuality.
- Modeling review (Performance Path) – Determine whether a file modeled by the QA audit using the Evaluator's records provides estimates of energy consumption within 3 percent of that of the Evaluator's file OR whether there are major errors in the Evaluator's file which result in a file that remains within 3 percent (e.g. offsetting errors).

NB: where an Evaluator has submitted both prescriptive and performance path files in a year, at least one annual file assessment is to be a performance path house file.

5.2 Level 2 – Annual Field Monitoring

A field-monitored evaluation demonstrates that the Evaluator is accurately testing, inspecting and modeling homes in accordance with the ENERGY STAR for New Homes Technical Specifications.

EnerQuality will contract qualified Quality Assurance Auditors (QAAs) who are trained and certified Evaluators to conduct random on-site field evaluations on a minimum of 1% of every Evaluator's houses, or at least one house per year, whichever is greater. For a Level 2 evaluation, the QAA accompanies the Evaluator on a regularly scheduled on-site evaluation. The QAA will gather separate on-site data to create its own ENERGY STAR for New Homes house files for comparison. One field monitoring each year is to include performance path house modeling.

5.3 QA Audit Report

The QA audit report to EnerQuality must contain at a minimum, but not limited to, the following information:

- the house file #
- the names of the Evaluator and builder
- a description of the QA performed on each evaluator (and the level of QA performed)
- explanation of any problems encountered
- any suggested remedial action to be taken

Reports may also include any recommendations for improvements to the QA protocol or the ENERGY STAR for New Homes program.

5.4 Complaint resolution

EnerQuality maintains a complaint resolution process to respond to complaints made to us regarding ENERGY STAR for New Homes from builders or from homeowners.

- A builder or homeowner informs EnerQuality of a complaint and EnerQuality verifies the complaint is related to ENERGY STAR for New Homes.
- EnerQuality will then review the house file and notify, in writing, NRCAN, the Evaluator and, in the case of a homeowner complaint, the builder as to the nature of the complaint (issue).
- Depending on whether the complaint is from a homeowner or a builder, EnerQuality will refer the complaint to either the builder and/or the Evaluator for resolution.
- If complaint is not resolved by the builder or Evaluator within 14 days of written notification, EnerQuality may ask for further documentation from the builder and/or the Evaluator in order for EnerQuality resolve complaint in a timely manner.
- Builder complaints against Evaluators that require intervention by EnerQuality are to be peer-reviewed by the Evaluators Council to help prevent similar problems in future.