

## Compliance Stakeholders in HVAC Installations

### Summary

This document provides matrices that identify the roles that 18 different market actors have in processes relevant to code compliance in HVAC commercial and residential installation.

**Finalized:** June 26, 2017

---

### Use of this document

*This compliance definition matrix details the meanings to each market actor and the factors affecting understanding of code compliance for the residential and commercial installation of HVAC equipment. The matrix is presented in a series of worksheets (attached separately).*

*It is part of a series of deliverables from the WHPA Compliance Committee and its Working Groups to support improved compliance*

*This document is based on an official [WHPA Work Product](#) of June 26th, 2017 titled “HVAC Compliance Definition Matrix.” This Work Product was developed by the WHPA Compliance Committee.*

*This document, and also the WHPA Work Product, may be used in part or whole at no charge. Attribution to the Western HVAC Performance Alliance is requested.*

*We would also ask that you inform the WHPA through [info@performancealliance.org](mailto:info@performancealliance.org) if you have made use of either document, so that we can inform and encourage the hundreds of volunteers who donate their time to providing expert HVAC advice in order to support energy efficiency objectives.*

---

## Background

### California Energy Efficiency Strategic Plan

The issue of permitting and code compliance for Heating, Ventilating and Air Conditioning (HVAC) systems has been the subject of discussion within the regulatory policy arena for many years. The California Energy Efficiency Strategic Plan (Strategic Plan) originally released in 2008 (and updated in 2011) identified that “less than 10 percent of HVAC systems obtain legally required pre-installation local building permits.”<sup>1</sup> The Strategic Plan established specific goals to facilitate the “consistent and effective compliance, enforcement, and verification of HVAC-

---

<sup>1</sup> California Energy Efficiency Strategic Plan, January 2011, page 54.

related building and appliance standards”. One of these goals was to streamline the local government permitting system.

This document is one of many deliverables from the WHPA Compliance Committee to support these goals.

## **2016 and 2017 Goals of the WHPA Compliance Committee**

For 2016, the Western HVAC Performance Alliance (WHPA) Executive Committee approved three goals for the WHPA Compliance Committee all focused on achieving consistent and effective compliance, enforcement, and verification of applicable building and appliance standards.

The goal that resulted in this deliverable was “develop a compliance definition matrix detailing the meanings to each market actor and the factors affecting understanding of compliance. The ultimate deliverable is to determine the commonalities for a universal definition of compliance with the understanding that compliance must be a repeatable process.”

### **The Deliverable**

The deliverable is a separate worksheet with six tabs. There is a HVAC Compliance Definition Matrix for residential HVAC installations, and separate one for commercial HVAC installations. Each worksheet identified the role of 18 potential market actors in about 28 separate processes related to code compliance. Supporting worksheets provide definition of market actors, owners, processes, and resources.

### **Benefits of the Deliverable**

The purpose for developing the Compliance Matrix was to establish a foundational definition of the term “compliance” and identify the various elements involved with compliance, as well as the various stakeholders responsible for each of these elements.

This foundation will not only help inform the efforts of all WHPA committees that work on compliance issues, but can also be used by other regulatory and programmatic efforts related to compliance.

Ultimately, the Compliance matrix enables one to better understand all the various factors in order to better address these factors with specific tactics to help realize the goals of the Strategic Plan.