

Mortgage Industry National Home Energy Rating Systems Standards

*These Standards were developed by the
Residential Energy Services Network (RESNET)
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Chapter Nine

RESNET Standards

901.1 Purpose

RESNET has the responsibility of accrediting Providers. This chapter outlines the quality assurance responsibilities of RESNET and Providers, the role and responsibility of the Quality Assurance Committee, the role and responsibility of the Accreditation Committee, the RESNET Accreditation Process for all Providers, the RESNET policies and procedures for Probation, Suspension and Revocation of Provider Accreditation, and the Appeals process for each of these disciplinary actions.

903 RESNET QUALITY ASSURANCE REVIEW OF ACCREDITED RATING QUALITY ASSURANCE PROVIDERS

903.1 RESNET shall review 100% of the annual reports submitted by Rating Quality Assurance Providers (QA Providers). In addition, RESNET shall select a minimum of 25% of accredited QA Providers and conduct a more detailed review of their Quality Assurance records. This QA review may be a review of electronic files submitted to RESNET with the annual report, enhanced monitoring of QA Provider files done remotely, an onsite field review, or any combination of the aforementioned. The RESNET Quality Assurance Manager shall determine which QA Providers that will be reviewed and who will provide the quality assurance review.

903.2 Records reviewed shall include, but are not limited to a representative sample of the following:

903.2.1 Rating electronic files;

903.2.2 Rating quality assurance records including, but not limited to, the following:

903.2.2.1 Photo and/or video documentation from onsite field reviews;

903.2.2.2 The QA Provider's field review reports of findings submitted to Raters;

903.2.2.3 The QA Provider's post-field review of rating results that show a comparison with original ratings selected for onsite QA review;

903.2.2.4 If remedial action is required, the QA Provider's plan of action to correct for non-compliance with the RESNET Standards and results of any action taken

903.2.8 Interviews with a QA Provider’s QA Designee, Delegates, Raters or Rating Field Inspectors;

903.2.9 “Shadowing” a QA Provider’s QA Designee, Raters, or Rating Field Inspectors in the field.

903.3 An accredited QA Provider has the right to challenge the findings of a RESNET Quality Assurance reviewer for cause by submitting, in writing to the RESNET Executive Director, the details of their challenge.

904 QUALITY ASSURANCE REQUIREMENTS FOR QA PROVIDERS

904.1 No step in the QA process may be performed by the same individual that performed any part of the testing, inspection or rating of the home being subject to the QA review. If an individual performed any part of the inspection or rating process on a home, that individual cannot be the QA Designee or Delegate performing any part of the QA process specific to that home. Any ratings performed by a QA Designee that are submitted as part of a Provider’s QA Submission to RESNET shall be reviewed for quality assurance by a separate individual who meets the QA Designee requirements established by RESNET.

904.2 QA Providers are responsible for completing an annual submission of QA results to RESNET. RESNET shall designate the date submissions are due, the content of each submission, and the time frame for which data shall be provided, e.g. January 1st through December 31st. QA Providers will have at least thirty (30) days from notification until the submission is due.

904.3 Quality Assurance of QA Providers

904.3.1 RESNET shall develop a “RESNET Quality Assurance Checklist” that is to be used by QA Designees for the purpose of verifying a Provider’s compliance with the individual requirements for Providers set forth in the RESNET Standards. The QA Designee shall review the QA Provider’s compliance with the items on the checklist annually.

904.3.1.1 For the first-time QA review completed by a QA Designee new to a Provider, including in the event that a Provider changes QA Designees, every item on the checklist should be checked for compliance, accuracy and completeness.

904.4 Quality Assurance of Raters and Ratings

904.4.1 Quality assurance file review (QA file review)

904.4.1.1 For each Rater, the Provider’s QA Designee shall be responsible for an annual QA file review of the greater of one (1) home or ten percent (10%) of the Rater's annual

total of homes for which Confirmed or Sampled ratings were provided. When determining the number of homes to review for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 10% = 10.1 means that 11 homes shall be reviewed.

904.4.1.2 A QA file review shall be conducted on an ongoing basis as appropriate for the volume of ratings being completed, and at a minimum quarterly.

904.4.1.3 The QA file review completed by a QA Designee shall consist of, at a minimum, the following:

904.4.1.3.1 Homes shall be selected using a nonbiased selection process from the entire pool of homes available at the time of the review for each Rater. It may be necessary to first select homes that represent any particular area of concern in either the rating or construction process. Once it is ensured that homes from these areas of interest will be included in the QA process, a nonbiased selection process can then be applied such as random selection. Special effort should be taken to make certain that the selected homes are as representative as possible of the homes being rated, i.e. new and existing homes, geographic location, builder, trade contractor, variety of floor plans, etc., which, in some instances, may require more than the minimum (1) home or ten percent (10%).

904.4.1.3.2 While Section 102.1.4.11 and 303.3.7 require that Raters submit energy simulation files for every rated home to their Providers, the QA file review does not require that Raters submit quality assurance data files, as defined in Appendix B, to their Provider and/or QA Designee for every home that is rated. Only quality assurance data files for the homes selected for QA shall be required to be submitted to the QA Designee.

904.4.1.3.3 For each Confirmed Rating, confirm that the values entered into the Rating Software for all Minimum Rated Features are supported by actual on-site field-verified test data.

904.4.1.3.4 QA file review for Sampled Ratings. For Sampled Ratings, annually review sample sets, the sampling process, and the worst-case projected rating energy simulation files for homes rated through sampling.

904.4.1.3.4.1 The QA file review for sampled ratings shall include an analysis and confirmation that the sampling process, as defined in Chapter 6, is being properly followed, including sample set creation and the application of testing and failure protocols.

904.4.1.3.4.1.1 QA file review of the sampling process shall be completed on the greater of one (1) sample set or ten percent (10%) of the Rater's

annual total of sample sets. When determining the number of sample sets to review for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 sample sets x 10% = 10.1 means that 11 sample sets shall be reviewed.

904.4.1.3.4.1.2 For each sample set QA file review, the quality assurance data file(s) shall be reviewed to confirm that data collected in the field (i.e. sample controls) are equal to or better than the minimum rated feature threshold specification inputs for the worst-case energy simulation file for the home(s) that received sample controls for the sample set.

904.4.1.3.4.1.3 If a discrepancy in minimum rated features is identified that requires more stringent threshold specifications for a floor plan, then the worst case projected rating energy simulation file for that plan and home, or for the entire set of homes (as appropriate), subject to sampling shall be reviewed in accordance with 904.4.1.3.5.2.

904.4.1.3.4.2 The QA file review for sampled ratings shall include an initial review of the worst-case energy simulation file for each unique floor plan in order to confirm that minimum rated features and worst-case specifications have been entered into the rating software accurately. An energy simulation file for a particular floor plan is not subject to subsequent review after the initial QA review provided the minimum rated features and threshold specifications do not change as determined by this Section.

904.4.1.3.6 Confirm that paper and/or electronic files are being maintained and archived by Raters for each rating, including the Energy Simulation File and all supporting documentation required to validate the inputs into the rating software file (e.g., architectural drawings, threshold specifications, field data). These files shall be maintained a minimum of three (3) years.

904.4.2 Quality assurance field review (QA field review).

904.4.2.1 For each Rater, the Provider's QA Designee shall be responsible for an annual onsite QA field review of the greater of one (1) home or one percent (1%) of the Rater's annual total of homes for which confirmed or sampled ratings and diagnostic testing services were provided. When determining the number of QA field reviews to complete for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 1% = 1.01 means that 2 QA field reviews shall be completed.

904.4.2.2 QA field reviews for Rating Field Inspectors (RFIs)

904.4.2.2.1 For Raters utilizing Rating Field Inspectors (RFIs), the QA Designee shall ensure that a QA field review is completed on the greater of one (1) home or one percent (1%) of each RFI's annual total of homes for which confirmed or sampled ratings and diagnostic testing services were provided by the RFI. The RFI QA field reviews may fulfill all or a portion of the Rater's annual QA field review requirement.

904.4.2.2.2 When determining the number of QA field reviews to complete for an RFI, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 1% = 1.01 means that 2 QA field reviews shall be completed.

904.4.2.4 QA field reviews shall be conducted on an ongoing basis as appropriate for the volume of ratings being completed, and at a minimum of annually.

904.4.2.5 Each home selected for a QA field review for each Rater shall be randomly selected from as many different builders and communities as possible. Special effort should be taken to make certain that the selected homes are as representative as possible of the homes being rated, i.e. new and existing homes, geographic location, builder, trade contractor, variety of floor plans, etc., which, in some instances, may require more than the minimum (1) home or one percent (1%). For multifamily projects, when selected, QA field review shall include at least one top floor end unit and one bottom floor end unit.

904.4.2.6 As part of the QA field review of confirmed ratings, the QA Designee shall ensure that the minimum rated features of a rating are independently confirmed (i.e. confirmation of geometric characteristics, inspection of minimum rated features, and completion of any necessary performance testing) to determine whether the rating and/or diagnostic testing were accurately completed by the Rater, and determine whether information was completely collected and reported as required in 303.1 of Chapter 3 of these Standards.

904.4.2.7 QA field review of Sampled Ratings. For the purposes of calculating the one (1) home or one percent (1%) QA field review requirement for Rater and RFI sampled ratings, all the homes rated by a Rater, or for which an RFI assisted, using sampling shall be considered and not just the number of homes tested and inspected. If at least two (2) homes are required for QA field review, a maximum of one (1) of the homes shall be a non-tested, sampled home. To ensure that QA is being completed on Raters and Rating Field Inspectors rather than builders, the balance of homes included in the field QA shall have received field testing and/or inspections.

904.4.2.8 Confirm that HERS Index scores for each home reviewed in accordance with 904.4.2.5 be no more than three percent (3%) (+/-) variation in the HERS Index from the HERS Index result as determined by the QA Designee. When calculating the HERS Index

point variance allowed for a given Index, round down to the nearest whole Index point, with the allowable variance never less than two (2) HERS Index points.

904.4.2.9 If a QA Designee is required to complete an onsite QA inspection on at least two (2) homes for a given Rater, the QA Designee may use one centralized – proctored rating QA event, and only one, for review of the Rater in lieu of an independent confirmation of the rating for the home as required for the balance of homes evaluated for the onsite inspection process.

904.4.2.9.1 A centralized proctored rating QA event is defined as a rating that occurs at a house assigned by the QA Designee at which the QA Designee, or their Delegate, must be onsite to ensure that the Rater being reviewed is working completely independently to gather all aspects of the minimum rated features of a home. The Rater being reviewed will not be allowed to communicate by any means with others while gathering information in the home or creating their rating software file and report. The review shall include, but is not limited to, the following:

1. Diagnostic equipment set-up and testing measurements
2. Insulation evaluation and R-value determination
3. Calculations of gross areas, volumes, and square footage of the home
4. Input and creation of the software rating file and reports

904.4.2.9.2 QA under this Section shall adhere to the same variance allowances provided for in Section 904.4.2.8.

904.4.3 Non-compliance of a reviewed rating shall trigger corrective action.

904.4.3.1 The rating shall be corrected in order to come into compliance with RESNET technical Standards under the supervision of the QA Designee.

904.4.3.2 The QA Designee shall develop and implement a corrective action plan for the Rater of the rating that addresses any underlying problems that led to the non-compliant rating.

904.4.3.3 The Provider shall initiate appropriate disciplinary action on the Rater in accordance with the Provider’s written Rater disciplinary procedures.

904.4.3.4 Multiple instances of non-compliance with 904.4.2.5 shall, at a minimum, trigger an increased rate of file reviews or onsite inspections of homes and additional appropriate disciplinary action in accordance with the Provider’s written Rater disciplinary procedures.

904.5 Significant Non-compliance by QA Providers.

It is the expectation of RESNET that Providers fully comply with all the requirements set forth in these Standards. Discovery of one or more areas of non-compliance via the RESNET QA process, reporting by a QA Designee as part of the Provider's QA process, or in the course of RESNET's research of an ethics or consumer complaint will result in the QA Designee working with a Provider to come back into compliance. However, on occasion, there may be instances where actions by a Provider are truly egregious and, as such, would be deemed to be "significant non-compliance". This Section seeks to define the thresholds when actions by a Provider are deemed to be significant non-compliance, thereby requiring that the QA Designee report the significant non-compliance to RESNET and additional action by RESNET may be taken.

904.5.1 Significant non-compliance by Providers shall include, but not be limited to, the following:

904.5.2.1 Failure to comply with multiple individual requirements, or requirements impacting multiple Raters and/or ratings, for Providers set forth in the RESNET Standards and enumerated in a RESNET Quality Assurance Checklist;

904.5.2.2 Failure of a Provider to comply with the RESNET Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure;

904.5.2.3 Failure to follow a Provider's written Rater disciplinary procedures for known or obvious non-compliance with the RESNET Standards, Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure.

904.5.2 Reporting of significant non-compliance to RESNET.

904.5.2.2 QA Designees must report all significant non-compliance by a Provider to RESNET when it becomes known to the QA Designee so that RESNET may assist the QA Designee in working with a Provider to come back into compliance.

904.5.2.3 Failure of a QA Designee to report significant non-compliance issues may result in actions taken by RESNET as stipulated in Section 905.10.

905 QUALITY ASSURANCE DESIGNEE (QA Designee)

905.1 A Rating Quality Assurance Provider shall designate one and only one officer, employee, or contractor to be the Primary Quality Assurance Designee for the organization, responsible for quality assurance within the organization. This does not preclude a Provider from having more than one QA Designee on staff or as a contractor, as may be necessary for business models where QA Designees do Ratings. The Primary QA Designee shall have ultimate responsibility, on behalf of the QA Provider, for fulfilling the requirements listed in Section 905.8 and who shall be the single point of contact to RESNET regarding all Quality Assurance matters. All QA

Designees shall meet each of the minimum requirements to be a QA Designee as stipulated in this Section.

905.2.2.1 A QA Designee must confirm that the minimum requirements to be a QA Designee and Delegate, as set forth in this Section 905.2, have been met.

905.2.2.2 Five (5) of the twenty-five (25) required confirmed ratings for a QA Designee must be individually reviewed by a QA Designee, three (3) of which may have been included in the annual QA process for a QA Provider in the previous twenty-four (24) months. The five (5) reviewed ratings shall be field reviews in accordance with section 904.4.2.

905.2.3 To be eligible to QA a particular rating type (e.g. sampled, survey/audit), a QA Designee must have completed a minimum of five (5) of that rating or project type or alternate qualification criteria established by RESNET in consultation with the Quality Assurance Committee;

905.2.4 Passing the RESNET Quality Assurance Designee Test.

905.2.4.1 The requirements of 905.2.2 and 905.2.3 must be met within twelve (12) months of passing the RESNET Quality Assurance Designee Test, or the individual must pass the test again prior to being recognized as a QA Designee.

905.2.5 Submit an application to RESNET and be recognized as a qualified QA Designee.

905.3 Professional Development for QA Designees

905.3.1 All QA Designees annually shall complete a two hour RESNET QA Roundtable on current information AND complete one (1) of the following activities:

905.3.1.1 Document 12 hours of attendance at the RESNET Conference; or

905.3.1.2 Complete 12 hours of RESNET approved CEU's; or

905.3.1.3 Documented field QA reviews on a minimum of 25 homes.

905.3.2 A person that is both a Rater Trainer and Quality Assurance Designee shall have to complete both the two hour RESNET roundtable for a Rater Trainer (see Section 209) and the two hour roundtable for Quality Assurance Designees. Rater Trainers and QA Designees selecting the conference or CEU option need only comply with the 12 hour requirement one time, i.e. 12 hours is not required for each position.

905.3.3 A QA Designee that does not complete the professional development requirements for a given calendar year must:

905.4.3.1 Attend a RESNET roundtable;

905.4.3.2 Have the QA Designee requirements verified in accordance with 905.3;

905.4.3.3 Submit an application to RESNET and be recognized as a qualified QA Designee prior to reinstatement as a QA Designee.

905.4.3.4 If two years have lapsed without a QA Designee completing professional development, the QA Designee must also Pass the RESNET Quality Assurance Designee Test again;

905.3.4 A QA Designee must renew annually with RESNET to be recognized as a qualified QA Designee.

905.4 Proof of QA Designee qualifications shall be submitted by QA Providers with an application for accreditation or with a notification to RESNET of a change to a Provider's QA Designee(s).

905.5 All QA Designees shall have a signed agreement with the QA Provider to be the Provider's QA Designee.

905.6 Changes to a QA Provider's QA Designee(s)

905.6.1 If a Provider changes Primary QA Designees or a Provider's Primary QA Designee leaves the organization, is terminated as an outside QA Designee contractor, or is no longer eligible to be the QA Designee, the following steps shall be taken:

905.6.1.1 Within five (5) business days of the Primary QA Designee change, departure, termination, or knowledge of ineligibility, the Provider shall inform RESNET of the change, departure, termination, or ineligibility;

905.6.1.2 In the case of a change in Primary QA Designee as a result of departure, termination, or ineligibility, the Provider shall have forty (40) business days from the date of departure, termination, or knowledge of ineligibility to appoint a replacement Primary QA Designee and notify RESNET of the newly designated officer, employee, or contractor, including proof of qualifications in accordance with 905.2.

905.6.2 If a Provider with multiple QA Designees adds or removes a QA Designee, the Provider shall inform RESENT within five (5) business days of the change.

905.7 Quality Assurance Designee Delegate (QA Delegate)

QA Designee's may have the file review and on-site inspection responsibilities performed by a Quality Assurance Designee Delegate. The QA Designee, however, remains responsible for the

accuracy and compliance of the Provider's quality assurance program, including reviews and inspections completed by a QA Delegate.

905.7.1 A QA Delegate must be a certified Home Energy Rater and have completed, on a minimum of twenty-five (25) homes, the portion of the inspection or rating process for which the individual is performing quality assurance tasks. In other words, if the QA Delegate is repeating on-site testing and inspections as part of the QA process, that individual must have at least performed these tasks on a minimum of twenty five (25) homes.

905.7.2 The QA Designee is responsible for ensuring that the QA Delegate meets and maintains their qualifications to be a QA Delegate contained in 905.7.1.

905.8 Responsibilities of a QA Designee. Responsibilities of the QA Designee shall include:

905.8.1 Maintenance of quality assurance files;

905.8.2 Review of ratings conducted during a new Rater's probationary period. Prior to certifying a Rater Candidate, a Provider's QA Designee shall confirm that the Candidate has satisfactorily completed Rater training from a RESNET-accredited Training Provider and satisfactorily completed their probationary ratings in accordance with Section 102.1.2.2.

905.8.3 Monitor the accuracy of the QA Delegate's performance of QA tasks by reviewing the results of the QA process for each QA Delegate (i.e. 1% field verification/10% file verification).

905.8.4 Complete annual submission of QA results to RESNET in accordance with Section 904.2;

905.8.6 In accordance with Section 904.3, annually complete the RESNET QA Checklist for QA Providers;

905.8.7 In accordance with Section 904.4, monitor ratings of all types conducted by certified Raters;

905.8.8 Maintenance of QA Records for all ratings and tax credit verifications shall include:

905.8.8.1 The Quality Assurance Data File for each home that receives QA review, at a minimum containing the information required by Section 904.4.1.3.

905.9.8.2 A database of results of all QA reviews for each Rater, including, at a minimum, for each home reviewed;

905.8.8.2.1 Rater name;

905.8.8.2.2 Home address or Registry ID;

905.8.8.2.3 Date rated;

905.8.8.2.4 Date QA reviewed;

905.8.8.2.5 Name of QA Designee or Delegate;

905.8.8.2.6 Whether the review was a file or field review as defined by these Standards;

905.8.8.2.7 The result, including HERS Index variance for field QA, and any action taken by the QA Designee.

905.8.8.3 The QA Record for each home shall be maintained for a minimum of three (3) years.

905.8.8.4 Upon RESNET's request, a QA Provider shall submit to RESNET the QA Records for the specified time period, and the number of homes for which ratings and tax credit verifications were provided for the specified time period. The ratings and tax credit verifications shall be identified by type (to include projected and confirmed ratings for new and existing homes and the number of homes verified for tax credits). To the extent RESNET makes this information public; it will do so only in an aggregated form.

905.9 QA Designee and Certified Home Energy Rater Whistle Blower Protection

905.9.1 A Rating QA Provider shall not retaliate against a QA Designee or Certified Home Energy Rater in the terms and conditions of their status with the Provider for any of the following reasons:

905.9.1.1 Reporting to a supervisor, to RESNET or to a federal, state or local agency a the QA Designee or Rater believes in good faith to be a violation of the RESNET Standards and/or a local, state or federal law; or

905.9.1.2 Participation in good faith in any resulting investigation or proceeding; or

905.9.1.3 Exercising his or her rights under any state or federal law(s) or regulation(s) to pursue a claim or take legal action to protect the QA Designees' or Rater's rights.

905.9.2 RESNET may take disciplinary action (up to and including revocation) against a QA Provider who in its assessment has engaged in retaliatory conduct in violation of this policy.

905.9 Failure of a QA Designee to Fulfill Their Responsibilities. Failure of a QA Designee to properly fulfill their responsibilities as specified in these Standards may include one or more of the following actions by RESNET:

905.9.1 The QA Designee being placed on probation;

905.9.2 Removal of the QA Designee from the RESNET Directory of qualified QA Designees;

905.9.3 Removal of the QA Designee's credential as a QA Designee;

905.9.4 RESNET no longer recognizing the QA Designee as a Home Energy Rater;

905.9.5 At the QA Provider's expense, further oversight by RESNET of the QA Designee and the Provider's processes and procedures;

905.9.6 To the extent that the QA Provider is at fault for the QA Designee's failure to fulfill their responsibilities, the Provider may be subject to probation, suspension or revocation in accordance with Section 911;

905.9.7 The QA Designee may appeal an Action taken by RESNET under this Section using the Appeals procedures stipulated in Section 912 of these Standards.

906 QUALITY ASSURANCE REQUIREMENTS FOR THIRD-PARTY ENERGY EFFICIENCY PROGRAMS

906.2 Quality Assurance, as specified in Section 904, may be provided by QA Designees for EEP's as part of the RESNET QA process when RESNET and the EEP enter into a formal agreement. Where EEP QA requirements are greater than specified in Section 904, those QA requirements shall be specified in writing by an EEP and provided to RESNET for approval in order to be included in the RESNET QA process.

906.2.1 Unless formally authorized by RESNET, RESNET's oversight of a QA Designee shall only cover areas covered in these Standards and in the RESNET Home Energy Rating Standards of Practice.

906.4 Quality assurance data files and the results of onsite verification of ratings files will be made available by Providers to EEPs only for the EEPs quality assurance initiatives and, additionally, only if the EEP has agreements with rating clients in their program that allow for Raters to release rating information.

906.5 EEP files will be inspected for quality assurance pursuant to section 904.4 and shall include those items related to energy efficiency specific to the EEP that may be in addition to the

Home Energy Rating. Significant non-compliance by Providers shall be reported to EEP's when they become known to RESNET.

907 QUALITY ASSURANCE REQUIREMENTS FOR CONTRACTOR EDUCATION AND QUALIFICATION (CEQ) PROVIDERS, ENERGYSMART CONTRACTORS AND ENERGYSMART TEAMS

907.1 RESNET Quality Assurance of CEQ Providers

907.1.1 RESNET shall select a limited number of CEQ Providers and conduct an annual review of their Quality Assurance records.

907.1.2 A CEQ Provider shall have the right to challenge the findings of RESNET's quality assurance review.

907.1.3 CEQ records that must be reviewed include the following:

907.1.3.1 The CEQ's EnergySmart Contractor Registry;

907.1.3.2 The CEQ's EnergySmart Contractor Agreements;

907.1.3.3 Documentation of CEQ Provider's initial training course and continuing education offerings for EnergySmart Contractors;

907.1.3.4 Documentation of EnergySmart Contractor's Designated Qualification Representative completing required training and testing;

907.1.3.5 Documentation of the Representative's continuing education;

907.1.3.6 The CEQ's EnergySmart Contractor complaint files;

907.1.3.7 Documentation of disciplinary actions.

907.1.4 In the case of an unresolved complaint brought to the RESNET Executive Director, it will be the responsibility of the CEQ to secure the EnergySmart Project files from the EnergySmart Project Manager and present them to RESNET. Failure of the EnergySmart Project Manager to provide adequate records shall result in sanctions up to and including a 60 day suspension of the EnergySmart Contractor designation.

907.1.5 An on-site review by RESNET may be conducted if there are significant inconsistencies or errors in the reviewed CEQ files.

907.1.6 Complaints against a CEQ Provider submitted by the Complaint Resolution Officer (CRO) to RESNET shall be addressed by the Executive Director. The RESNET Executive Director shall:

907.1.6.1 Resolve the complaint in forty-five (45) calendar days.

907.1.6.2 A complaint will be considered resolved once a Complaint Resolution Form has been submitted, signed by the party who filed the complaint and the CEQ Provider.

907.1.6.3 A log of unresolved complaints shall be maintained by the RESNET Executive Director.

907.1.7 CEQ Providers are subject to Probation, Suspension, and Revocation of Accreditation by RESNET in accordance with Section 912 of these Standards.

907.1.7.1 Suspension and Revocation of Accreditation of a CEQ Provider may result from the following:

907.1.71.1 The provisions described in 912.3;

907.1.71.2 Failure to ensure that the EnergySmart Contractor followed the complaint resolution process in the case of a complaint against the EnergySmart Contractor or failure to follow required disciplinary and corrective action with respect to a contractor;

907.1.7.2 RESNET shall comply with the due process and appeals procedures contained in Section 913 of these Standards with respect to disciplinary actions against an accredited CEQ Provider.

907.2 CEQ Provider Quality Assurance of EnergySmart Contractors

907.2.1 The CEQ Provider shall annually verify that the EnergySmart Contractor's representative is still with the company.

907.2.2 Respond to complaints against EnergySmart Contractors.

907.2.3 Follow written EnergySmart Contractor Disciplinary Procedures described in the CEQ Provider's written policies and procedure for EnergySmart Contractors.

907.3 CEQ Provider Complaint Resolution Procedures

907.3.1 The CEQ Provider must conduct non-compliance resolution when a complaint is received about the work performance of an EnergySmart Contractor from any of the following: the client, Rater/Auditor, other EnergySmart Contractors, Final Verifier.

907.3.2 Complaints shall be managed and resolved by the CEQ Provider's CRO following the CEQ Provider's Complaint Response Process.

907.3.3 Each CEQ Provider shall retain records of complaints received and responses to complaints for a minimum of three (3) years after the date of the complaint.

907.3.4 The Complaint Response Process shall include, at a minimum, the following:

907.3.4.1 Consumer Complaint Form, available for submittal via the RESNET website. The form will be forwarded to the CEQ Provider to the attention of the CRO.

907.3.4.2 It is the responsibility of the CEQ Provider to secure the documentation from the EnergySmart Project Manager or Final Verifier for review by the CRO.

907.3.4.3 The CRO shall evaluate the complaint to determine if the contractor shall be deemed to be in non-compliance. Complaints must:

907.3.4.3.1 Be related to either structural or major deficiencies (over \$500) and must impact the energy efficiency of the home.

907.3.4.3.2 Include the work contract(s) and copies of checklists denoting unresolved deficiencies.

907.3.4.3.3 In the event the CRO cannot make a fair evaluation of the complaint based on the information submitted, the consumer shall have the option of hiring an independent Rater/Auditor to visit the site and submit his or her report and findings.

907.3.4.4 The EnergySmart Contractor Complaint Resolution Process shall consist of the following:

907.3.4.4.1 The CRO will notify the contractor of the complaint and the contractor shall have forty five (45) calendar days to resolve the complaint.

907.3.4.4.2 A complaint will be considered resolved once a Complaint Resolution Form has been submitted, signed by both the client and the party against whom the complaint was filed, and the resolution verified by the CRO.

907.3.4.4.3 If the complaint is not resolved in the allotted time, it will be considered unresolved.

907.3.4.5 EnergySmart Contractors with three (3) unresolved complaints within a 90 day period or with five (5) or more unresolved complaints at any given time shall have their certification suspended in accordance with the provisions of 907.3.5.

907.3.4.6 A log of unresolved complaints shall be maintained by the CEQ Provider and must be made available to RESNET upon request.

907.3.5 The minimum requirements for suspension of certification procedures are the following:

907.3.5.1 First Offense: First time an EnergySmart Contractor has three (3) unresolved complaints within a 90 day period or has five (5) outstanding unresolved complaints, the CEQ Provider shall suspend the contractor's certification for a period of not less than 30 days, and:

907.3.5.1.1 Shall inform RESNET that the contractor's certification has been suspended, and shall request that RESNET remove the contractor from the Directory.

907.3.5.1.2 Shall require the contractor, prior to reinstatement, to complete two (2) hours of Continuing Education specific to conflict resolution or customer relations, or successfully resolve at least one of the 90 day old complaints and all of the complaints older than 90 days. CEQ Providers may provide exceptions for complaints that cannot be resolved.

907.3.5.1.3 Shall inform RESNET when the contractor's certification has been reinstated, clarify the resolution, or reasons for not being able to resolve the complaint, and shall request that RESNET reinstate the listing on the Directory.

907.3.5.2 Second Offense: Second time an EnergySmart Contractor has three (3) unresolved complaints within a 90 day period or has five (5) outstanding unresolved complaints, the CEQ Provider shall suspend the contractor's certification for a period of not less than 90 days, and:

907.3.5.2.1 Shall inform RESNET that the contractor's certification has been suspended, and shall request that RESNET remove the contractor from the directory.

907.3.5.2.2 Shall require the contractor prior to reinstatement to complete three (3) additional hours of Continuing Education and successfully resolve at least one of the 90 day old complaints and all of the complaints older than 90 days. CEQ Providers may provide exceptions for complaints that cannot be resolved.

907.3.5.2.3 Shall inform RESNET when the contractor's certification has been reinstated, clarify the resolution, or reasons for not being able to resolve the complaint, and shall request that RESNET reinstate the listing on the Directory.

907.3.5.3 Third Offense: Third time an EnergySmart Contractor has three (3) unresolved complaints within a 90 day period, or has five (5) outstanding unresolved

complaints , the CEQ Provider shall suspend the contractor's certification for a period of not less than twelve (12) months, and:

907.3.5.3.1 Shall inform RESNET that the contractor's certification has been suspended, and shall request that RESNET remove the contractor from the Directory.

907.3.5.3.2 Shall require the contractor, prior to reinstatement, to complete three (3) additional hours of Continuing Education and successfully resolve all of the outstanding complaints. CEQ Providers may provide exceptions for complaints that cannot be resolved.

907.3.5.3.3 Shall inform RESNET when the contractor has met the requirements of 907.3.5.3.2, clarify the resolution, or reasons for not being able to resolve the complaint. RESNET approval shall be required for reinstatement of certification and RESNET shall reinstate the contractor's listing on the Directory if appropriate.

907.4 Quality Assurance Provider Quality Assurance Review of Rater Final Verification of EnergySmart Projects

907.4.1 The QA Provider will have a Quality Assurance (QA) Designee that shall perform QA review of a Raters' Final Verification of an EnergySmart Project.

907.4.2 Quality Assurance File Review (QA File Review)

907.4.2.1 For each Rater/Auditor that performs Final Verification for an EnergySmart Project, the QA Provider's QA Designee shall annually conduct QA File Review of the Final Verification documentation file(s) for ~~10% of verified projects or one (1) verified project, whichever is greater.~~ the greater of one (1) projects or ten percent (10%) of the Contractor's annual total of projects completed. When determining the number of projects to review for a Contractor, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 projects x 10% = 10.1 means that 11 projects shall be reviewed.

907.4.2.1.1 Project documentation file(s) shall include

907.4.2.1.1.1 A copy of the original work scope and signed proposal;

907.4.2.1.1.2 Rater/Auditor and Contractor names and contact information;

907.4.2.1.1.3 Program sponsor name, completed final verification checklist;

907.4.2.1.1.4 Energy simulation software file;

907.4.2.1.1.5 All test out results.

907.4.2.1.2 When the QA Provider's QA Designee conducts the QA File Review, they shall review at least one (1) project documentation file for each EnergySmart Contractor and EnergySmart Team. The QA Designee shall equitably distribute the QA File Reviews of each individual EnergySmart Contractor's or Team's Projects.

907.4.2.2 The QA Designee will confirm that each EnergySmart Contractor for the project has been approved by a RESNET-approved CEQ Provider as demonstrated by listing on the RESNET EnergySmart Contractor Directory.

907.4.2.3 The QA Designee will verify the completion of the Rater Final Verification checklist.

907.4.2.3.1 There must be consistency between the Final Verification Checklist and final test out results, copy of work scope, and signed proposal.

907.4.2.3.2 Must include reported results of nonconformance by Final Verification.

907.4.2.4 The QA Designee will review 10% of the Rater/Auditor Final Verifier energy simulation software file and projected estimated energy savings.

907.4.3 Quality Assurance Field Review (QA Field Review)

907.4.3.1 For each Rater/Auditor that performs Final Verification for an EnergySmart Project the QA Designee shall annually conduct QA Field Reviews of EnergySmart Projects at a rate of 1% of verified projects or one project, whichever is greater. QA Field Review shall include the greater of one (1) project or ten percent (10%) of each Contractor's annual total of projects completed. When determining the number of projects to review for a Rater and Contractor, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 projects x 1% = 1.01 means that 2 projects shall be reviewed.

907.4.3.2 The QA Designee shall confirm the results of the Final Verifier's combustion appliance testing where applicable.

907.4.3.2.1 Where there are vented combustion appliances that use indoor air to vent combustion gasses, re-test Worst Case Depressurization in accordance with the QH Standard.

907.4.3.2.2 Where any spaces contain combustion appliances, re-test for Carbon Monoxide in accordance with the QH Standard.

907.4.3.3 The QA Designee shall review the work scope and signed proposal, and shall confirm installed measures are consistent with selected measures and work scope in accordance with the QH Standard.

907.4.3.4 The QA Designee shall confirm the Final Verifier's Estimate of Project Energy Savings as follows:

907.4.3.4.1 Calculate an independent estimate of projected energy savings for the EnergySmart Project using the same RESNET-approved software used by the Final Verifier.

907.4.3.4.1 Compare the Final Verifier's final estimated energy savings against the QA Designee's independent calculation of estimated energy savings.

907.4.3.4.2 The QA Designee's results must be no more than three percent (3%) (+/-) variation in the HERS Index from the HERS Index result as determined by the QA Designee.

907.4.4 Non-Compliance and Resolution

907.4.4.1 Reporting: Non-compliance of an EnergySmart Project with respect to installed measures or estimate of projected energy savings shall be reported to the CEQ Provider's Compliant Resolution Officer (CRO).

907.4.4.2 Discipline: Non-compliance of the Final Verifier's Final Verification of an EnergySmart Project with respect to installed measures or estimate of projected energy savings shall result in additional action in accordance with the QA Provider's written Disciplinary Procedures.

907.4.4.3 Record-Keeping: Rating Providers shall maintain Quality Assurance records for every EnergySmart Project that has received Documentation or On-Site QA Review for a period of no less than three (3) years and that will include the following:

907.4.4.3.1 Copy of work scope and signed proposal;

907.4.4.3.2 Names and contact information of the Rater/Auditor, ES Contractors, and Final Verifier;

907.4.4.3.3 Program sponsor name;

907.4.4.3.4 Completed final verification checklist;

907.4.4.3.5 All test out results;

907.4.4.3.6 QA Review Results.

908 QUALITY ASSURANCE COMMITTEE; ETHICS AND APPEALS COMMITTEE

908.1 Quality Assurance Committee

908.1.1 Committee Membership. The Quality Assurance Committee (QA Committee) shall be chaired by a member of the RESNET Board of Directors. The Chair shall be approved by the RESNET Board. Nominations of Committee members shall be made by the Chair to the RESNET Board for approval.

908.1.2 Committee Responsibilities. The QA Committee shall have oversight of RESNET's rating quality assurance program as defined in this chapter. The Committee shall report to the RESNET Board of Directors.

908.2 Ethics and Appeals Committee. The Ethics and Appeals Committee shall have the responsibility of investigating ethics and consumer complaints and hearing appeals of an Application or Renewal Application that has been denied, or if a Provider has been placed on probation, or if a Provider's accreditation has been suspended or revoked. The Committee shall report to the RESNET Board of Directors.

908.2.1 Committee membership. The Ethics and Appeals Committee shall be chaired by a member of the RESNET Board of Directors. The Chair shall be approved by the RESNET Board. Nominations of Committee members shall be made by the Chair to the RESNET Board for approval. The Committee shall be composed of a minimum of five (5) members, but no more than seven (7) members including the Chair. The Committee shall consist of a minimum of two (2) Home Energy Raters and a minimum of two (2) representatives of Provider organizations.

908.2.2 Committee Responsibilities. The Ethics and Appeals Committee shall have the responsibility of investigating ethics and consumer complaints and hearing appeals of an Application or Renewal Application that has been denied, or if a Provider has been placed on probation, or if a Provider's accreditation has been suspended or revoked. The Committee shall report to the RESNET Board of Directors.

909 ETHICS AND COMPLIANCE COMPLAINTS

909.1 Filing of Ethics and Compliance Complaints

909.1.1 Ethics complaints may be filed for violations of the RESNET Code of Ethics..

909.1.2 Compliance Complaints may be filed for failures to comply with the RESNET Standards.

909.2.2 Complaints shall document the alleged violation(s) or compliance issue(s). The complaint shall also be specific about which section(s) of the Code of Ethics or the RESNET Standards have been violated. To be considered, the full and complete complaint shall be submitted on RESNET's online ethics or compliance complaint form posted on the RESNET website and contain the following information:

909.1.2.1 The name of the complainant and contact information;

909.1.2.2 The name of the party that is the subject of the complaint;

909.1.2.3 A complete description of the alleged violation(s);

909.1.2.4 A recitation of all the facts documenting the complaint;

909.1.2.5 Copies of all relevant documents.

909.2 Investigation of Complaints

909.2.1 Upon receipt of a complaint, the RESNET Executive Director shall assign a case number and RESNET staff shall review the evidence submitted. The Chair of the Ethics and Appeals Committee shall be informed. RESNET staff shall consider the documentation contained in 909.1.2 in making a decision whether to proceed or dismiss the complaint.

909.2.2 In cases where RESNET staff finds the documentation submitted does not meet the minimum standards for an ethics or compliance complaint, the complaint may be dismissed. Both parties shall be notified of RESNET staff's finding by electronic mail.

909.2.3 Upon a decision by RESNET staff that the complaint should proceed to the next step, the RESNET Executive Director shall send a copy of the complaint by electronic mail to the subject of the complaint immediately. The respondent has 20 business days to submit a full and complete response to the complaint. All relevant information and documentation shall be included in the response. The response shall be in writing and sent to RESNET by electronic mail.

909.2.4 Upon receipt of the response, the RESNET Executive Director shall immediately forward the response to the RESNET Ethics and Appeals Committee for consideration and action. Within thirty (30) business days of receiving the complaint, the Ethics and Appeals Committee shall take action on the complaint. The action may include, but is not limited to:

909.2.4.1 Dismissal of complaint;

909.2.4.2 Require that steps be taken by the subject of the complaint to correct the problem; and/or

909.2.4.3 Specify sanctions under Section 912 (Probation, Suspension and Revocation of Accreditation) of this chapter.

909.2.5 All parties to the complaint shall be informed by electronic mail, of the Ethics and Appeals Committee's action.

909.2.6 Complainants shall have the right to appeal the decision of RESNET Staff and the Ethics and Appeals Committee in accordance with Section 913 of these Standards.

909.2.7 All complaints, responses, and supporting documentation received by RESNET shall be handled in strict confidence by RESNET staff, the Ethics and Appeals Committee and the Board of Directors.

9010 ACCREDITATION COMMITTEE

9010.1 Committee Membership. The Accreditation Committee shall be chaired by a member of the RESNET Board of Directors. The Chair shall be approved by the RESNET Board. Nominations of Committee members shall be made by the Chair to the RESNET Board for approval.

9010.2 Committee Responsibilities. The Accreditation Committee shall be responsible for the review and approval of all Applications for Provider accreditation.

911 PROVIDER ACCREDITATION AND RENEWAL PROCESS

911.1 National Registry of Accredited Providers

RESNET shall maintain a national registry of organizations accredited as Providers in each Provider accreditation category, and will post the registry on its web site. The registry for each Provider accreditation shall serve as the current and definitive list of RESNET-accredited Providers.

911.2 Provider Accreditation Process

911.2.1 An entity seeking accreditation must file with RESNET an application for the specific Provider category for which they seek accreditation. RESNET shall create the applications for each accreditation category.

911.2.2 Confidentiality of Information. Any applicant for a Provider accreditation who wishes to have certain information in their application treated as confidential in order to limit disclosure shall, at the time of submission, attach a statement specifying the proprietary information and requesting confidentiality.

911.2.3 Review and Notification.

911.2.3.1 RESNET staff action. Within twenty (20) business days of receipt of an application, RESNET staff will review the application to determine whether the applicant and its Raters are eligible for accreditation in accordance with the specific requirements for each Provider category. Upon completion of the review, RESNET staff shall do one of the following:

911.2.3.1.1 Request for additional information. If additional information is required in order to complete the review of the application, the application shall be returned to the applicant along with a written request for additional information. Upon receipt of additional information, RESNET staff shall have twenty (20) business days to take action in accordance with 911.2.3.1.2 or 911.2.3.1.3

911.2.3.1.2 Recommendation for approval. If RESNET staff is satisfied that an application is complete and meets all the requirements for accreditation, they shall make a recommendation to the Accreditation Committee that the application be approved.

911.2.3.1.3 Recommendation for denial. If RESNET staff is not satisfied that an application is worthy of approval for accreditation, they shall make a recommendation to the Accreditation Committee that the application be denied and provide an explanation of the reasons for the recommendation (i.e. incompleteness, failure to meet/comply with a specific accreditation requirement, etc.).

911.2.3.2 Accreditation Committee action. Within fifteen (15) business days of receipt of a recommendation for approval or denial from RESNET staff, the Committee shall do one of the following:

911.2.3.2.1 Request for additional information. If the Committee requires additional information, the application shall be returned to the applicant along with a written request for additional information. Upon receipt of additional information, the Committee shall have twenty (20) business days to render a decision in accordance with 911.2.3.2.2 or 911.2.3.2.3.

911.2.3.2.2 Approve the application.

911.2.3.2.3 Deny the application. If an application is denied, RESNET staff shall inform the applicant in writing of the reasons for denial. Additionally, the applicant shall be informed of their right of appeal under Section 913 of this Chapter.

911.2.3.3 Within ten (10) business days of a decision by the Committee, RESNET staff shall inform the applicant in writing of the status of their application.

911.2.4 For each approved Provider accreditation application, RESNET shall issue a unique Accreditation Identification Number (AIN) to the Provider. In accordance with 911.1, the

accredited Provider will be incorporated into the respective national registry of accredited Providers.

911.2.5 Term of accreditation.

911.2.5.1 All Provider accreditations shall be valid for a term of one calendar year and shall be renewed annually on January 1st upon successful completion and approval by RESNET of an application for renewal in accordance with Section 911.3.

911.2.5.2 For first time applicants approved after September 1st, for any Provider category, initial accreditation is valid through the end of the calendar year, i.e. renewal of the accreditation shall not be required for the calendar year in which the application was approved.

911.3 Accreditation Renewal Process

911.3.1 Accredited Providers must submit an “application for renewal” (renewal application) with RESNET no later than October 1st of each calendar year. By September 1st, RESNET shall send to each Provider a renewal application and reminder of the deadline for submission.

911.3.2 Program element changes. At the time of submitting a renewal application, it is the accredited Provider’s responsibility to inform RESNET of any substantive changes in the Provider’s operating policies and procedures or other information that affects meeting the minimum accreditation criteria for each Provider category for which it is seeking renewal. Changes will be evaluated by RESNET in the same manner as the original application for accreditation.

911.3.3 Successful renewals. Successful renewals will be posted on the national registry and communicated to the applicant by RESNET.

911.3.4 Late applications.

911.3.4.1 Renewal applications received after the deadline for submission are not guaranteed to be approved prior to the end of the calendar year. Should an accreditation with a late renewal application expire prior to approval, the RESNET Accreditation Committee, at its sole discretion, may grant an extension with a grace period not to exceed twenty (20) business days.

911.3.4.2 Renewal applications not given an extension or not approved prior to the end of the grace period shall be noted as “pending” on the national registry and the applicant will be advised to cease representing themselves as accredited until the application receives approval.

911.3.5 Accreditation not renewed. Accredited Providers that elect not to renew or fail to meet renewal requirements will be removed from the national registry and be so advised in writing. Providers have the right to appeal a non-renewal decision in accordance with Section 913 of this Chapter.

911.3.6 Accreditations in appeal. Provider accreditations that have not been renewed and are under appeal will be noted as “pending” on the national registry until the appeal is resolved. Providers will be advised to cease representing themselves as accredited.

912 PROBATION, SUSPENSION AND REVOCATION OF ACCREDITATION

912.1 Notification. RESNET shall provide written notification to Providers of any decisions under this section. All notices shall be sent by certified mail, or other method which provides evidence of delivery. All notices shall clarify the procedures being followed, as stipulated in this Standard, and include, where applicable, a statement of the Provider’s rights to appeal under Section 913 of this Chapter.

912.2 Probation. If RESNET determines at any time that a Provider has failed to adhere to the accreditation requirements set forth in these Standards, RESNET shall notify the Provider of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken within a specified time after the date set forth in such notification. A notice of probation may be appealed under Section 913 of this Chapter.

912.2.1 Types of probation:

912.2.1.1 Administrative Probation. Results from violations found through a Provider’s QA process, RESNET quality assurance monitoring or through the RESNET complaint resolution process. RESNET shall notify the Provider of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken not later than twenty (20) business days after the date set forth in such notification. Probations resulting from these violations shall remain confidential. These violations may include but not limited to:

912.2.1.1.1 Failure to submit to RESNET any material information required to be submitted by the Provider, in accordance with obtaining or maintaining accreditation;

912.2.1.1.2 Failure to make changes/updates to a Provider’s Policies and Procedures;

912.2.1.1.3 Failure to report a change in any QA Designee to RESNET;

912.2.1.1.4 Failure to adhere to requirements for quality assurance of Raters that causes a minor deficiency in the QA of one or more Raters;

912.2.1.1.5 Failure to adhere to requirements for Rater certification and re-certification;

912.2.1.1.6 Failure to enforce corrective action requirements for Raters having non-conforming QA results;

912.2.1.1.7 Failure to adhere to one or more provisions of the RESNET Standards.

912.2.1.2 Disciplinary Compliance Probation. More serious compliance violations found through a Provider's QA process, RESNET quality assurance monitoring or through the RESNET complaint resolution process. RESNET shall, at its discretion, make a final determination regarding the necessity of posting a probation resulting from these violations on the RESNET web site. These violations may include but are not limited to:

912.2.1.2.1 Failure to correct the terms of an administrative probation during the time period defined in the issuance of probation;

912.2.1.2.2 Failure to replace a Primary QA Designee within the time frame required by these Standards;

912.2.1.2.3 Investigated and validated ethics or compliance complaints against a Provider;

912.2.1.2.4 Failure to follow complaint resolution process regarding actions of the Provider or their Raters;

912.2.1.2.5 Failure to follow a Provider's Rater Disciplinary procedures.

912.3 Suspension.

912.3.1 At the discretion of RESNET, any Provider accredited by RESNET may have their accreditation suspended in any of the following circumstances but are not limited to:

912.3.1.1 A Provider has had more than one (1) Disciplinary Probation violation within a twelve month period;

912.3.1.2 Failure to correct the terms of a Disciplinary Probation during the time period defined in the notice of probation;

912.3.1.3 Submission of false information to RESNET in accordance with obtaining or maintaining accreditation;

912.3.1.4 Misrepresentation of any accreditation or certification status in marketing materials, or services offered or actually provided, for which the Provider organization does not possess the appropriate RESNET accreditation, or affiliated individuals do not possess the appropriate RESNET certification;

912.3.1.5 Knowingly registering fraudulent ratings to the RESNET Registry by Rating Providers;

912.3.1.6 Willful misconduct;

912.3.1.7 A Provider shall at a minimum be placed on suspension if they have any Disciplinary Probation violations within twelve months of reinstatement from a suspension.

912.3.2 RESNET shall notify the Provider that their accreditation has been suspended and, unless the Provider chooses to appeal, the Provider shall be removed from the RESNET Provider Directory.

912.3.3 RESNET shall post Providers whose accreditation has been suspended. The Provider's suspension listing shall be removed when the Provider successfully complies with the terms of the suspension.

912.3.4 RESNET shall electronically inform accredited QA Providers, Rating Software Providers, Rater Trainers and Home Energy Raters of a QA Provider's accreditation suspension.

912.3.5 Prior to reinstatement, the Provider shall:

912.3.5.1 Successfully resolve the issue(s) that resulted in the Provider being suspended;

912.3.5.2 Inform RESNET in writing as follows:

912.3.5.2.1 That 912.3.1.3.1 has been completed;

912.3.5.2.2 Stating the steps taken to resolve the issue(s);

912.3.5.2.3 Stating the steps that will be taken to prevent the issue(s) from occurring again in the future; and

912.3.5.2.4 Requesting that RESNET reinstate the Provider's listing on the Directory.

912.4 Revocation. At the discretion of RESNET, any Provider accredited by RESNET may have their accreditation revoked in any of but not limited to the following circumstances:

912.4.1 A Provider has had more than two (2) Disciplinary Probation violations within a twelve month period;

912.4.2 In the event that deficiencies stipulated in a notice of suspension have not been remedied within the period set forth in such notice;

912.4.3 Pursuant to any of the express provisions of sections 911.3.5, non-renewal;

912.4.4 Provider goes out of business;

912.4.5 Upon expiration of a Provider's right to appeal a suspension of accreditation pursuant to Section 912 of this Chapter;

912.4.6 Fraud.

912.4.7 RESNET shall notify the Provider that their accreditation has been revoked and, unless the Provider chooses to appeal, the Provider shall be removed from the RESNET Provider Directory.

912.4.8 RESNET shall post Providers whose accreditation has been revoked. The Provider's revocation listing shall be removed when the Provider successfully complies with the terms of the revocation.

912.4.9 RESNET shall electronically inform accredited QA Providers, Rating Software Providers, Rater Trainers and Home Energy Raters of a QA Provider's accreditation revocation.

912.5 Probation/Suspension/Revocation Due Process.

RESNET shall comply with the following due process procedures in considering any probation, suspension or revocation actions against an accredited Provider.

912.5.1 RESNET may, at its discretion, initiate a probation, suspension or revocation action against an accredited Provider by providing the Provider written notice of the action. Such notice shall inform the subject Provider of the entire basis and justification for the action.

912.5.2 Providers have the right to appeal a probation, suspension or revocation action in accordance with Section 912 of this Chapter.

912.5.3 Upon the expiration of the notice to appeal period, failure to submit appeal documentation, as stipulated in Section 912, or the conclusion of the appeals process in which a Provider's appeals are unsuccessful, RESNET will remove the Provider's name from any directory listing on the RESNET website and post their probation, suspension or revocation status on the RESNET website with other Providers and Raters who are under probation, suspension or revocation.

912.5.4 For any QA Providers who have their accreditation revoked or suspended in accordance with Section 912.3 or 912.4,

912.5.4.1 RESNET will inform the Provider's known clients, Raters, rating software suppliers and any known affected EEP's of the Provider's suspended/revoked status. To the extent practicable, the Provider shall assist RESNET with notifications.

913 APPEALS PROCEDURES

913.1 Appeals shall be made first to the RESNET Ethics and Appeals Committee, then to the RESNET Board of Directors.

913.2 Within five (5) business days after receipt of an appealable action by RESNET, the Appellant shall notify the RESNET Executive Director of their intent to appeal. The Appellant shall then have ten (10) business days after the date of notice to submit appeal documentation to the RESNET Executive Director.

913.3 Appeals shall include all relevant information and documentation and be sent in writing by electronic mail to the RESNET Executive Director.

913.4 During the appeals process, all parties to the appeal may petition the body hearing the appeal (i.e. the RESNET Ethics and Appeals Committee or RESNET Board of Directors) for a stay of action until the expiration of the appeals process. A decision on the petition shall be rendered by the hearing body not later than five (5) business days after receipt of the petition.

913.5 At the time of noticing its appeal to the RESNET Ethics and Appeals Committee, the Appellant may request a telephonic hearing, which gives the Appellant the opportunity to provide oral arguments in favor of their appeal. In such an event, RESNET shall, not later than ten (10) business days after the filing of the notice of appeal, notify all parties to the appeal of the date of the hearing, which shall be held as expeditiously as possible, but not later than twenty (20) business days after the receipt of the notice of appeal.

913.6 Within ten (10) business days of receiving the appeal, or the date of a hearing, the Ethics and Appeals Committee or Board of Directors shall render a decision on the appeal. In the event that additional information is requested, a one-time extension of ten (10) business days may be applied in order to allow the appellant sufficient time to respond.

913.7 All parties to the appeal shall be informed by electronic mail of the decision.

913.8 All appeals documentation received by RESNET shall be handled in strict confidence by RESNET staff, the Ethics and Appeals Committee and the Board of Directors.

914 EFFECTIVE DATE

914.1 The effective date of these changes to the RESNET Standards shall be January 4, 2014.