

Policy Title: Accredited RESNET® Rating Quality Assurance Provider Notification of Affected Builders and/or Clients of Complaints and Investigations

Approved on September 29th, 2025

Purpose: The purpose of this policy is to ensure that all builders and/or clients that contract for ratings with a HERS® Rating Company under a RESNET Accredited Rating Provider's purview are promptly notified about meritorious complaints and/or formal investigations potentially impacting their projects, and that the RESNET Accredited Rating Quality Assurance Provider (hereafter: "Rating Provider") is appropriately copied in the communication. This policy also extends to Rating Provider internal investigations or inquiries initiated as a result of quality assurance findings. This allows for early notification and effective communication while maintaining transparency and integrity in the process.

Policy Statement: In response to meritorious complaints and/or formal investigations involving a builder and/or a client's projects, this policy shall be adhered to in order to ensure that all potentially impacted builders and/or clients are notified promptly and in writing via electronic mail.

Definitions:

Meritorious complaints and/or formal investigations are those determined by the Rating Provider to warrant the opening of a formal investigation. The criteria for a meritorious complaint and/or formal investigation is contained in "Grounds for Notification" below.

Potentially impacted builders and/or clients means any builder or client who, as determined by the Rating Provider, is reasonably identifiable as having used, relied upon, or been associated with the elements that are the subject of the meritorious complaint and/or formal investigation, where such association could give rise to similar risks, liabilities, regulatory actions, or reputational harm to the builder/client.

Grounds for Notification:

Notification is required to be sent to builder client(s) and RESNET when a Rating Provider receives a meritorious complaint or confirms QA findings on homes less than 2 years old based on the rating date defined in the RESNET Schema that meet any of the following criteria:

- Misrepresentation of the HERS index or program compliance either deliberately or in error that could result in the rating needing to be rescinded or revised
- Producing fraudulent test or inspection results
- Use of uncertified or improperly credentialed individuals in the modeling, testing or inspection of ratings

RESNET Staff must be informed when the notifications are sent and kept updated on the investigation and resolution

1. Role of Rating Provider:

- Upon initiation of a meritorious complaint and/or formal investigation, the Rating Provider shall notify the HERS® Rating Company involved and RESNET. RESNET will contact any other RESNET Accredited Rating Provider(s) affiliated with that company. As part of the

notification, the Rating Provider shall require the party under formal investigation to provide written disclosure to potentially impacted builders and/or clients.

- Potentially impacted builders and/or clients shall be specifically listed by the Rating Provider in the notification to the party under formal investigation.
- The Rating Provider and RESNET shall be copied on all disclosures sent to potentially impacted builders and/or clients to maintain a clear record of the notification process and to ensure that all relevant parties are informed.
- An additional written disclosure shall be sent by the Rating Provider to potentially impacted builders and/or clients and RESNET will contact any rating provider that the rating company is associated with regarding the provider's findings and final determination at the conclusion of the formal investigation.

2. Notification Requirement:

- The HERS Rating Company that is the subject of a meritorious complaint and/or formal investigation shall notify all potentially impacted builders' and/or clients' corporate headquarters in writing via email within five (5) business days of being notified by the Rating Provider.
- The HERS Rating Company shall also copy the Rating Provider and RESNET on the notification(s) to ensure transparency and accountability.
- If the scope of a formal investigation is expanded, the Rating Provider shall notify the HERS Rating Company and RESNET within three (3) business days. The HERS Rating Company shall notify any additional builders and/or clients deemed by the Rating Provider to be potentially impacted within five (5) business days.
- The HERS Rating Company shall provide written disclosure of the findings and final determination of the formal investigation directly to all potentially impacted builders and/or clients within five (5) business days of being notified by the Rating Provider.
- If the HERS Rating Company fails to provide written disclosure of the findings to potentially impacted builders and/or clients within five (5) business days, the Rating Provider shall provide the disclosure to these entities directly within 3 business days.

Implementation and Timeline:

- The Rating Provider shall make a determination of merit to open a formal investigation within 5 business days after being informed of the issue.
- The Rating Provider shall inform the rating company of the opening of the formal investigation within 3 business days after the determination of merit.
- All HERS Rating Companies shall follow this policy as required in the trademark agreement when responding to formal investigations.

Effective Date of Policy:

- This policy goes into effect immediately after the adoption by the RESNET Board of Directors.