

# Chapter One-201x

## RESNET Standards

### 100 RESNET NATIONAL STANDARD FOR ACCREDITING RATING QUALITY ASSURANCE PROVIDERS

#### 101 GENERAL PROVISIONS

##### 101.1 Purpose

The purpose of these Standards is to ensure that accurate and consistent home energy ratings are assured by RESNET accredited Rating Quality Assurance Providers through their certified Home Energy HERS Raters nationwide; to increase the credibility of the Rating Quality Assurance Providers ~~with consumers, the housing and mortgage finance industry, federal government, state governments, local governments, utility companies, and the private sector;~~ and to promote voluntary participation in an objective, cost-effective, sustainable home energy rating process.

Leaders in both the public and private sectors have identified the need for an accreditation process for Rating Quality Assurance Providers. This accreditation process may be used by these stakeholders to accept home energy ratings and to assure accurate, independent information upon which the mortgage industry may accept home energy ratings for the purposes of issuing energy efficient mortgage, or similar, products; a state may recognize the home energy ratings as a compliance method for state building energy codes; as qualification for public and private sector energy programs designed to reach specific energy saving goals; and as a way to provide housing markets the ability to differentiate residences based on their estimated energy efficiency. These Standards have been developed to satisfy the above purposes.

**101.1.1** Relationship to State Law. These Standards specifically recognize the authority of states that have laws requiring certification or licensing of Rating Quality Assurance Providers. To the extent that state laws differ from these Standards, state laws shall govern.

##### ~~101.2—Scope~~

~~This document sets out the procedures for the accreditation of Rating Quality Assurance Providers and technical standards by which home energy ratings shall be conducted so their results will be acceptable to all public and private sector industries that may require an objective, cost-effective, sustainable home energy rating process.~~

### 102 PROVIDER ACCREDITATION AND RENEWAL PROCESS

#### 102.1 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. The definitive list of Rating Quality Assurance Providers shall be maintained within the National RESNET Registry.

## **102.2 Provider Accreditation Process**

**102.2.1** 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.

**102.2.2** Rating Quality Assurance Provider Accreditation shall be in accordance with Section 103.

**102.2.3** 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.

**102.2.4** Review and Notification.

**102.2.4.1** 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 HERS 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:

**102.2.4.1.1** 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)~~ fifteen (15) business days to take action in accordance with 102.2.4.1.2 or 102.2.4.1.3.

**102.2.4.1.2** 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.

**102.2.4.1.3** 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.).

**102.2.4.2** 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:

102.2.4.2.1 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)~~ fifteen (15) business days to render a decision in accordance with 102.2.4.2.2 or 102.2.4.2.3.

102.2.4.2.2 Approve the application.

102.2.4.2.3 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 910 of these Standards.

102.2.4.3 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.

102.2.5 For each approved Provider accreditation application, RESNET shall issue a unique Accreditation Identification Number (AIN) to the Provider. In accordance with 102.1, the accredited Provider will be incorporated into the respective national registry of accredited Providers.

102.2.6 Term of accreditation.

102.2.6.1 All Provider accreditations shall be valid for a term of one calendar year and shall be renewed annually on January 1<sup>st</sup> upon successful completion and approval by RESNET of an application for renewal in accordance with Section 102.3.

102.2.6.2 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.

### 102.3 Provider Accreditation Renewal Process

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

102.3.2 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.

102.3.3 Rating Quality Assurance Provider Accreditation Renewal. To qualify for annual accreditation renewal, Rating Quality Assurance Providers must participate in an annual RESNET training which covers, at a minimum, the following:

102.3.3.1 Updates to the RESNET ANSI and Non-ANSI Standards;

102.3.3.2 Effective support and communication with HERS Raters;

102.3.3.3 RESNET Quality Assurance updates and overview of critical findings from the year;

102.3.3.4 Updates for National RESNET Registry use;

102.3.3.5 New business opportunities for Rating Quality Assurance Providers and HERS Raters.

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

102.3.5 Late applications.

102.3.5.1 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.

102.3.5.2 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.

102.3.6 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 910 of these Standards.

~~102.3.7 Accreditations in appeal. Provider accreditations that have not been renewed and are under appeal will be noted as “pending” on the National RESNET Registry until the appeal is resolved. Providers will be advised to cease representing themselves as accredited until the application receives approval.~~

## **103102 ACCREDITATION CRITERIA FOR HOME ENERGY RATING QUALITY ASSURANCE PROVIDERS**

**103.1 Direct Rating Quality Assurance Provider (Direct Provider).** A Rating Quality Assurance Provider who receives fees for rating work completed by third-party Rating Companies and/or whose staff conducts all or a portion of the work for a rating.

**103.1.1** Direct Providers must contract with one or more independent Quality Assurance Contractors who employ one or more Quality Agents certified by RESNET. Quality Assurance Contractors will oversee the Provider’s compliance with Chapter 9 of these Standards and any specific Quality Assurance requirements for other Provider categories that may apply to the organization.

**103.1.2** RESNET will provide a list of RESNET-approved Quality Assurance Contractors from which Direct Providers may select.

**103.1.2.1** Other than compensation for services necessary for the fulfillment of the quality assurance requirements specified in these Standards, Quality Assurance Contractors for Direct Providers, and the Quality Agents they employ, will have no financial interest in the Direct Provider company, the Direct Provider’s employed Raters and Rating Company clients, or any ratings completed by HERS Raters working with the Direct Provider.

**103.1.2.1.1** RESNET Staff (QA Manager or equivalent) will be required to approve a Direct Providers selected QA Contractor and review the following to determine actual or perceived conflict of interest. This shall at a minimum include:

**103.1.2.1.1.1** Identify the owners of the QA Contracting Company and Direct Provider and require that each owner complete a Financial Interest Disclosure Form provided by RESNET.

**103.1.2.1.1.2** Require a full disclosure of any existing or prior business relationships with any potential contracted entity.

**103.1.2.1.1.3** Review the RESNET Registry of all QA Agents of a QA Contracting Company to determine whether there was any past work history with the Direct Provider.

**103.1.2.2** In order to maintain the highest level of integrity for the Rating Industry, RESNET may place restrictions on Quality Assurance Contractor selection by Direct Providers, other than financial interest, if it deems necessary to avoid other actual or perceived conflicts of interest.

**103.1.3** An organization who is a Direct Rating Quality Assurance Provider may also have a separate Third-Party Rating Quality Assurance Providership. However, the organization’s Third-Party Rating Quality Assurance Providership may not perform quality assurance of the Direct Provider’s work.

**103.2 Third-party Rating Quality Assurance Provider (Third-party Provider).** A Rating Quality Assurance Provider whose employees are not allowed to conduct any portion of the work for a HERS rating but who may receive fees for performing quality assurance work as outlined in these Standards, quality assurance oversight, certification and other Quality Assurance Provider related duties.

**103.2.1** Third-party Providers must employ one or more Quality Agents certified by RESNET. The Quality Agent will oversee the Provider's compliance with Chapter 9 of these Standards and any specific quality assurance requirements for other Provider categories that may apply to the organization.

**103.2.2** Other than compensation for services necessary for the fulfillment of the Rating Provider, quality assurance requirements specified in these Standards, and other non-HERS rating related services (e.g. LEED for Homes Provider fees), Third-party Providers and the Quality Agents they employ, or contract with, will have no financial interest in their HERS Rating Company clients, or any ratings completed by HERS Raters working with their HERS Rating Company clients.

**103.2.3** An organization who is a Third-Party Rating Quality Assurance Provider may also have a separate Direct Rating Quality Assurance Providership. However, quality assurance of the Direct Provider's work shall not be performed by the organization's Third-party Rating Quality Assurance Providership.

**103.2.4** A Third-party Rating Quality Assurance Provider may also be a Quality Assurance Contractor.

**103.4.1** Third-Party Rating Quality Assurance Providers shall demonstrate to RESNET a minimum insurance coverage of \$1,000,000 in general liability coverage and \$1,000,000 in professional liability coverage

**103.2.5** Two organizations that are both a Third-Party Rating Quality Assurance Provider and Direct Rating Quality Assurance Provider shall not exchange quality assurance services specified in these Standards.

**103.3102.1.4.10.2 Rating Quality Assurance -Provider Responsibilities.** All accredited Direct and Third-Party Home Energy Rating Quality Assurance Providers ~~shall assure that shall have~~ the following minimum responsibilities ~~are duly discharged.:~~

~~**103.3.1102.1.4.10.2.2** All Quality Assurance controls that are required by National RESNET Standards are met or exceeded for Home Energy Ratings listed in the National RESNET Registry. Perform sufficient quality assurance oversight of Home Energy Raters and Rating Field Inspectors (RFI's) to ensure compliance with these Standards and the minimum quality assurance requirements outlined in Chapter 9. This is in addition to the oversight performed by RESNET and quality assurance performed by Quality Agents of RESNET defined in Chapter 9 of these Standards.~~

**103.3.2** Assess, certify and recertify HERS Raters and RFI's as required in Chapter 2 of these Standards.

103.3.3 Provide RESNET accredited rating software to HERS Raters and ensure that they are using the latest version of the software to perform ratings.

103.3.4102.1.4.10.2.1 Ensure that All Home Energy Ratings conducted by their certified HERS Raters are submitted to the National RESNET Registry. Submittal of ratings to the Registry must be completed within 60 calendar days of completion of the rating, or certification of the rated home in an EEP, whichever is longer.

103.3.5102.1.4.10.2.3 Ensure that Rated Home Registration ID's provided by the National RESNET Registry isare prominently displayed on all Rating Certifications.

103.3.6 Resolve HERS Rater compliance complaints.

103.3.7 Undertake disciplinary action on HERS Raters and RFI's when required.

103.3.8 Ensure their certified HERS Raters have thorough working knowledge of RESNET standards, code of ethics and standards of practice.

#### **103.4102.1 Minimum Standards for Rating Quality Assurance (QA) Provider Accreditation**

~~A RESNET accredited Rating Quality Assurance Provider (QA Provider) is responsible for ensuring that all of the ratings issued by the Provider comply with all of the criteria by which the Provider was accredited. QA Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A QA Rating Quality Assurance Providers must specifically meet the following minimum standards for Accreditation.~~

103.4.1 Prior to submitting an application for accreditation, applicants must participate in a RESNET training which covers, at a minimum, the following:

103.4.1.1 Rating Quality Assurance Provider responsibilities;

103.4.1.2 Conflicts of interest;

103.4.1.3 Effective support and communication with HERS Raters;

103.4.1.4 Overview of the RESNET ANSI and Non-ANSI Standards;

103.4.1.5 RESNET Quality Assurance requirements and the Rating Quality Assurance Provider's responsibilities;

103.4.1.6 Requirements and responsibilities for using the National RESNET Registry;

103.4.1.7 RESNET and HERS Index logo use and brand consistency policies.

103.4.2 To apply for accreditation as a RESNET Rating Quality Assurance Provider, applicants must complete an accreditation application developed by RESNET that will demonstrate their understanding of the responsibilities of being a Direct Provider or Third-party Provider.

~~103.4.3~~~~102.1.1~~ 102.1.1 Submit a written Quality Assurance (QA) Process that conforms to Chapter 9 of these Standards and any specific QA Quality Assurance requirements for other Provider categories that may apply to a particular organization. The applicant's written Quality Assurance Process shall explain how they intend to implement the Quality Assurance requirements outlined in Chapter 9. More specifically, the applicant must explain their process for monitoring the rating work of their HERS Raters, how they intend to ensure their HERS Rater's are performing accurate ratings, and the applicant's process for submitting ratings to the National RESNET Registry.

~~103.4.4~~~~102.1.1~~ 102.1.1 Employ a Quality Agent or contract with a Quality Assurance Designee (QA Designee) Contractor that to oversees the Provider's compliance with Chapter 9 of these Standards and any specific QA Quality Assurance requirements for other Provider categories that may apply to a particular organization.

~~102.1.2~~ Rater and Rating Field Inspector Certification Standards. Certification and recertification of Home Energy Raters and Rating Field Inspectors shall be made by QA Providers, which shall include the following provisions:

~~103.4.5~~ ~~102.1.2.1~~ 102.1.2.1 A QA Rating Quality Assurance Providers shall maintain documentation that their certified HERS Raters and Rating Field Inspectors RFI's meet the certification provisions contained in Chapter Two of these sStandards.

~~102.1.2.2~~ Performance evaluation of ability to perform accurate ratings and field inspections.

~~102.1.2.2.1~~ 102.1.2.2.1 In order for a Rater Candidate to be certified as a Home Energy Rater, they must satisfactorily complete two (2) supervised ratings as part of Rater training and a minimum of three (3) probationary ratings within twelve (12) months of successfully passing the National Core Rater Test, practical testing described in Section 204.1.3 of this standard and RESNET CAZ and Workslope tests. A maximum of one (1) of the three probationary ratings may be completed as a Projected Rating from plans, with the remaining two (2) being Confirmed Ratings. At least one (1) of the two (2) confirmed ratings shall be field supervised, one on one, in person, by the Rating QA Provider's QA Designee or Delegate.

~~102.1.2.2.1.1~~ 102.1.2.2.1.1 A Rater Candidate that does not complete a minimum of three (3) probationary ratings to the satisfaction of a QA Provider within twelve (12) months of passing the National Core Rater Test or otherwise does not achieve certification within the allowed twelve month timeframe must at a minimum, meet the following in order to maintain eligibility for certification:

~~102.1.2.2.1.1.1~~ 102.1.2.2.1.1.1 Pass the National Core Rater Test again;



~~102.1.2.2.1.1.2—Complete three (3) additional probationary ratings in accordance with 102.1.2.2.1;~~

~~102.1.2.2.1.1.3—Complete at least (1) one of the three (3) additional probationary ratings as one of the required two (2) Confirmed Ratings in the presence of a QA Designee or a Rater Trainer in lieu of repeating the Rater Training requirement.~~

~~102.1.2.2.2—In order for a Rater Field Inspector “Candidate” to be certified as a Rating Field Inspector, they must meet the requirements set forth in Section 204.2.2 “Certification for Rating Field Inspector (RFI).~~

~~102.1.2.2.2.1—A Rater Field Inspector Candidate that does not complete the five (5) probationary inspections to the satisfaction of a Certified Rater within twelve (12) months of passing the National Core Rating Field Inspection Test must successfully retake the Test and complete five (5) new probationary inspections prior to certification.~~

~~102.1.2.3—Professional Development and recertification for Raters and Rating Field Inspectors. Raters and Rating Field Inspectors shall complete one of the below three options for recertification:~~

~~102.1.2.3.1—Complete 18 hours of RESNET approved professional development every three years. The 18 hours shall include completion of 18 hours of refresher course(s) offered by a RESNET Accredited Training Provider.~~

~~102.1.2.3.1.1—Course(s) shall be approved by the RESNET Training and Education Committee annually;~~

~~102.1.2.3.1.2—The Training and Education Committee shall identify areas of importance;~~

~~102.1.2.3.1.3—Raters shall be required to pass an exam upon completion of the professional development training.~~

~~OR~~

~~102.1.2.3.2—Documentation of 18 hours of attendance at a RESNET Conference in three (3) years would fulfill this requirement.~~

~~OR~~

~~102.1.2.3.3—Every three (3) years, Raters must pass the RESNET National Rater Test and Rating Field Inspectors must pass the RESNET National Rating Field Inspector Test.~~

~~102.1.2.4 Raters and Rating Field Inspectors must be certified at least once every three (3) years.~~

103.4.6 Rating Quality Assurance Provider shall provide a due process for appeals which allows their certified HERS Raters to appeal a probation, suspension, or revocation action taken against them by the Provider. The due process should, at a minimum, comply with RESNET procedures contained in Section 910.5 “Probation/Suspension/Revocation Due Process” of these Standards.

~~103.4.7~~102.1.2.5 Certified HERS Rater Agreements.

103.4.7.1 As a condition of HERS Rater certification, each QARating Quality Assurance Provider shall ensure that a certified HERS Rater who has met the requirements of Chapter 2, Rater Training Requirements, has entered into a written agreement with the QARating Quality Assurance Provider to provide home energy rating, field verification, and diagnostic services in compliance with these standards.

103.4.7.2 A copy of the Rating Quality Assurance Provider’s standard HERS Rater written agreement shall be provided to RESNET with the QARating Quality Assurance Provider’s accreditation application, as part of the Provider’s annual Quality Assurance submission to RESNET, and within 60 days of making changes to the agreement. The written agreement shall at a minimum require Raters to:

~~103.4.7.2.1~~102.1.2.5.1 Provide accurate and fair ratings, field verification and testing in compliance with these sStandards and RESNET Board of Directors-approved Standards Management Board’s interpretations;

~~103.4.7.2.2~~102.1.2.5.2 Comply with the “RESNET Code of Ethics.” The “RESNET Code of Ethics” is posted on the RESNET website. The Code of Ethics shall be attached to the written HERS Rater agreement. ~~An unexecuted copy of the written agreement shall be provided to RESNET with a QA Provider accreditation application and within 60 days of making changes to the agreement.~~

~~103.4.7.2.3~~102.1.2.5.3 Provide specific statistical information about number and type of ratings conducted as when requested by the QARating Quality Assurance Provider, including but not limited to the names of any Rating Field Inspectors (RFI’s) utilized to complete submitted ratings.

103.4.7.3 The Certified HERS Rater Agreements shall include a copy of the Rating Quality Assurance Provider’s due process for appeals.

~~103.4.8~~ ~~102.1.3~~—A QARating Quality Assurance Provider shall provide documentationensure with its accreditation application that the HERS Rating Software Programenergy rating software used to produce energy ratings is properly licensed accredited by RESNET. The directory of RESNET accredited HERS Rating Software Programs are posted on the RESNET web site.

**103.4.9.1** ~~102.1.4~~ Minimum Standards for Rating Quality Assurance Provider Operation Policies and Procedures must be written and provide for the following:

~~102.1.4.1~~ ~~Projected Ratings. If the home energy rating Provider's program provides for Projected Ratings, the rating must be clearly labeled as a Projected Rating. Projected Rating reports shall stipulate at the top of the page as follows in 14 point type minimum: "Projected Rating Based on Plans — Field Confirmation Required."~~

~~103.4.9.1~~**102.1.4.2** Field verification of Minimum Rated Features and labeling of all homes ~~in shall~~ comply ~~iance~~ with Chapter 3 and Appendix A of these Standards.

~~102.1.4.3~~ ~~Blower Door Test completed on all homes claiming credit for reduced air infiltration.~~

~~102.1.4.4~~ ~~Duct testing completed on all homes claiming credit for reduced air distribution system leakage.~~

~~102.1.4.5~~ ~~When applicable, improvement analysis given to home owner.~~

~~102.1.4.5.1~~ ~~Recommended improvements with the cost basis supplied for each recommendation by the home energy rating software program, QA Provider or the Rater receiving quotes.~~

~~102.1.4.5.2~~ ~~Estimated energy and cost savings of improvements based upon assumptions contained in the QA Provider program.~~

**103.4.9.2**~~102.1.4.6~~ Written conflict of interest provisions.

~~103.4.9.2.1~~ Written conflict of interest provisions that prohibits undisclosed conflicts of interest but allows for a waiver with advanced disclosure. The RESNET "Home Energy Rating Standard Disclosure" (Standard Disclosure) form adopted by the RESNET Board of Directors shall be completed for each home that receives a home energy rating and that has a conflict to disclose. If none of the conflicts listed on the RESNET Standard Disclosure form apply, then a Standard Disclosure form is not required.

~~103.4.9.2.2~~ Home builders and their employees are not allowed to conduct ratings on the homes they build or for which they have a financial interest.—Companies (including their employees) and individuals who own, provide funding for and/or are directly engaged in the construction of or general contracting of services for the construction of homes or buildings for which HERS ratings are provided, shall not conduct ratings on any homes or buildings for which any of the above designations apply.

~~103.4.9.2.3~~ A RESNET Standard Disclosure form and shall be provided to the rating client and shall also be made available to the home owner/buyer upon request by the home owner/buyer.

**103.4.9.2.4** For multi-family projects and production home communities, the RESNET Standard Disclosure form is not required for each home or unit that receives a home energy rating, but instead shall be provided to the rating client prior to the start of construction and list the name of the project or community. For production home communities, each base floor plan covered by the Standard Disclosure form shall also be listed on the form.

~~Each form shall include, at a minimum, the name of the community/subdivision, city, and state where the home is located. Each form shall accurately reflect the proper disclosure for the home that it is rated (i.e. it should, reflect the Rater's involvement with the home at the time the final rating is issued. For the purpose of completing this disclosure, "Rater's employer" includes any affiliate entities. Recognizing that a number of different relationships may occur between the Rater or the Rater's employer and the rating client and/or homeowner and/or the marketplace in general, the QA Provider shall ensure that all disclosures are adequately addressed by the Provider's quality assurance plan, in accordance with the relevant quality assurance provisions of the standards.~~

**103.4.9.3102.1.4.7** Written HERS Rater and RFI disciplinary procedures that include provisions for Probation, Suspension, and Revocation of HERS Rater and RFI certification. These provisions at a minimum shall include the defined thresholds for each disciplinary category listed in this Section and be in compliance with 904.4.2.8 and 904.4.3. The Provider shall update the HERS Rater/RFI's status in the National RESNET Building Registry within ten (10) business days of any change.

The following represent minimum provisions for each HERS Rater/RFI disciplinary category. A Provider's policies and procedures may be more stringent than the following requirements.

**103.4.9.3.1102.1.4.7.1** Probation – Violations of RESNET standards discovered by a Rating Quality Assurance Provider's Quality Assurance Contractor/Quality Agent Designee and or through a QA Rating Quality Assurance Provider's complaint resolution process, RESNET quality assurance monitoring, or through the RESNET complaint resolution process. The Provider shall notify the HERS Rater/RFI in writing of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be agreed upon and, if possible implemented, not later than twenty (20) business days after the date set forth in such notification. Violations include, but are not limited to, the following:

**103.4.9.3.1.1102.1.4.7.1.1** ~~Non-compliance~~Noncompliance with annual requirements for quality assurance;

**103.4.9.3.1.2102.1.4.7.1.2** ~~Non-compliance~~Noncompliance with Rater equipment calibration and or re-certification requirements;

**103.4.9.3.1.3102.1.4.7.1.3** Discovered violations of one or more provisions of the RESNET Standards that result in four or more non-compliant ratings as

~~defined in section 904.4.2.8 for a calendar year, i.e. the twelve month period from January 1<sup>st</sup> through December 31<sup>st</sup>;~~

~~103.4.9.3.1.4~~~~102.1.4.7.1.4~~ Discovered violations of one or more provisions of the RESNET Standards involving ~~Rater~~ requirements for disclosure, professional conduct, record keeping, and or reporting;

~~103.4.9.3.1.5~~~~102.1.4.7.1.5~~ Misrepresentation of a certification status in marketing materials or services offered or actually provided, for which the ~~HERS~~ ~~Rater~~ does not possess the appropriate RESNET certification from the Provider.

~~103.4.9.3.2~~~~102.1.4.7.2~~ Suspension – Any ~~HERS~~ ~~Rater~~/~~RFI~~ certified by a Provider may have their certification suspended for circumstances including, but not limited to, any of the following:

~~103.4.9.3.2.1~~~~102.1.4.7.2.1~~ For non-compliance with the terms of probation;

~~103.4.9.3.2.2~~~~102.1.4.7.2.2~~ Continued discovery of violations through increased quality assurance reviews in accordance with section 904.~~3.54.3~~;

~~103.4.9.3.2.3~~~~102.1.4.7.2.3~~ Two Probations within a twelve month period;

~~103.4.9.3.2.4~~~~102.1.4.7.2.4~~ Willful misconduct;

~~103.4.9.3.2.5~~~~102.1.4.7.2.5~~ Misrepresentation of a certification status in marketing materials, or services offered or actually provided, for which the ~~HERS~~ ~~Rater~~ does not possess the appropriate RESNET certification from the Provider.

~~103.4.9.3.2.6~~~~102.1.4.7.2.6~~ Provisions for ~~HERS~~ ~~Rater~~/~~RFI~~ suspension shall include:

~~103.4.9.3.2.6.1~~~~102.1.4.7.2.6.1~~ Written notification to the ~~HERS~~ ~~Rater~~/~~RFI~~ ~~which~~ including the cause, terms, ~~and~~ restrictions, ~~and~~ including notifications ~~to third-parties~~ of the suspension of the ~~HERS~~ ~~Rater~~/~~RFI~~ ability to complete, submit or acquire any new rating projects or new rating business recognized by ~~the any RESNET Accredited Rating Quality Assurance~~ Provider as of the date of suspension. ~~Written notification shall inform the~~ ~~HERS~~ ~~Rater~~/~~RFI~~ of their right to appeal under Section 911 of these Standards;

~~103.4.9.3.2.6.2~~~~102.1.4.7.2.6.2~~ ~~After the allowable period of time for appeal, and/or an unsuccessful appeal of suspension, N~~otification of suspension to RESNET through the ~~Buildings-National RESNET~~ Registry, known ~~HERS~~ ~~Rater~~ clients (i.e. builders or other organizations with repeat business with a ~~HERS~~ ~~Rater~~ or Rating Company), ~~RESNET~~, EPA or other known EEP's;

~~103.4.9.3.2.6.3~~~~102.1.4.7.2.6.3~~ Removal of the ~~HERS~~ ~~Rater~~/~~RFI~~'s name and, in cases of a single ~~HERS~~ ~~Rater~~ company, the company name from any

promotional website or lists maintained by Provider.

~~103.4.9.3.2.7~~~~102.1.4.7.2.7~~ At the Provider's discretion, a HERS Rater/RFI may be allowed to complete ratings work identified as in progress at the time of the suspension provided the following conditions are met:

~~103.4.9.3.2.7.1~~~~102.1.4.7.2.7.1~~ The HERS Rater/RFI shall submit to the Provider copies of any previously completed site visit documentation for the home(s) in question;

~~103.4.9.3.2.7.2~~~~102.1.4.7.2.7.2~~ The Provider and the HERS Rater/RFI agrees to complete the ratings work within a defined minimum timeframe (maximum of 90 days) in compliance with RESNET sStandards;

~~103.4.9.3.2.7.3~~~~102.1.4.7.2.7.3~~ The Provider shall complete, and HERS Rater/RFI agrees to be subject to, ~~file~~-QA File review for ~~each~~100% of the identified ratings completed under this Section. HERS Rater/RFI agrees to pay any associated Provider fees for the additional required QA ~~f~~File reviews;

~~103.4.9.3.2.7.4~~~~102.1.4.7.2.7.4~~ The Provider shall complete, and the HERS Rater/RFI agrees to be subject to, ~~field~~-QA Field review for ~~40~~50% of the identified ratings completed under this Section. HERS Rater/RFI agrees to pay any associated Provider fees for the additional required QA Field reviews;

~~103.4.9.3.2.7.5~~~~102.1.4.7.2.7.5~~ The HERS Rating client is informed and agrees to the terms of completion there-by acknowledging the terms and conditions of HERS Rater suspension.

~~103.4.9.3.2.8~~~~102.1.4.7.2.8~~ ~~Successful compliance with the terms of suspension will result in the HERS Rater being placed on disciplinary probation.~~ At a minimum, the duration of a suspension ~~is~~shall be ~~90-180~~ days from notification. After successful compliance with the ability for terms of suspension, a HERS Rater/RFI-s shall be eligible to have their certification to be re-instated after 90 days under terms for disciplinary probation agreed upon terms of probation by the Rater/RFI and the Provider.

~~103.4.9.3.3~~~~102.1.4.7.3~~ Revocation – Any HERS Rater/RFI certified by a Provider shall have their certification revoked for circumstances including, but not limited to, any of the following:

~~103.4.9.3.3.1~~~~102.1.4.7.3.1~~ A HERS Rater chooses to not renew their certification;

~~103.4.9.3.3.2~~~~102.1.4.7.3.2~~ For non-compliance with the progressive terms of probation or suspension;

~~103.4.9.3.3.3~~~~102.1.4.7.3.3~~ Failure to reach an agreement on terms of probation or suspension;

~~103.4.9.3.3.4~~~~102.1.4.7.3.4~~ The continued discovery of violations through the mandatory RESNET ~~QA~~Quality Assurance requirements;

~~103.4.9.3.3.5~~~~102.1.4.7.3.5~~ Fraud;

~~103.4.9.3.3.6~~ Conviction or admission to a felony or is listed on any state or federal sex offenders list, when deemed to impact performance or industry reputation.

~~103.4.9.3.4~~~~102.1.4.7.4~~ Provisions for revocation of HERS Rater/RFI certification shall include:

~~103.4.9.3.4.1~~~~102.1.4.7.4.1~~ ~~Written notice of revocation of the Rater's certification and access to the Rating software being provided to the Rater, including a statement that the Rater is no longer recognized to complete ratings in affiliation with the Provider~~Written notification to the HERS Rater/RFI which includes the cause for revocation and explanation of notifications to third-parties of the HERS Rater's/RFI's inability to complete, submit or acquire any new rating projects or new rating business recognized by any RESNET Accredited Rating Quality Assurance Provider as of the date of revocation. Written notification shall inform the HERS Rater/RFI of their right to appeal under Section 911 of these Standards;

~~103.4.9.3.4.2~~~~102.1.4.7.4.2~~ ~~After the allowable period of time for appeal, and/or an unsuccessful appeal of revocation, N~~otification of termination to known HERS Rater clients (i.e. builders or other organizations with repeat business with a HERS Rater or Rating Company), RESNET, EPA or other known EEP;

~~103.4.9.3.4.3~~~~102.1.4.7.4.3~~ Removal of the HERS Rater/RFI's name and in cases of a single HERS Rating Company name from any promotional website or lists maintained by the Provider;

~~103.4.9.3.4.4~~~~102.1.4.7.4.4~~ Indicate the HERS Rrater/RFI's revocation and the reason for revocation in the National RESNET ~~Building~~ Registry.

~~103.4.9.3.5~~~~102.1.4.7.5~~ HERS Rater/RFI's who have their certification revoked may at their initiative re-apply for certification to any QARating Quality Assurance Provider as a HERS Rater or RFI candidate after a period of no less than 12 months ~~180 days~~ from the date of revocation provided the following conditions are met:

~~103.4.9.3.5.1~~~~102.1.4.7.5.1~~ The HERS Rater completes a minimum of three (3) probationary ratings, deemed acceptable in demonstrating the HERS Rater's technical and administrative skills in completing accurate ratings, under the supervision of a Provider's QAQuality Assurance DesigneeContractor/Quality Agent;



~~103.4.9.3.5.2~~ The RFI completes a minimum of three (3) rating field inspections observed by a certified HERS Rater or a RESNET Candidate Field Assessor using the RESNET JobWerks RFI Mentoring Tool to document results;

~~103.4.9.3.5.3~~~~102.1.4.7.5.2~~ The HERS Rater agrees to ~~file~~ QA by the Provider's QA Quality Assurance Contractor/Quality Agent Designee of a minimum of 20% for twelve (12) months from the date of re-instatement;

~~103.4.9.3.5.4~~ The HERS Rater/RFI agrees to ~~file~~ Field QA by the Providers QA Quality Assurance Contractor/Quality Agent of a minimum of 5% for twelve (12) months from the date of re-instatement.

~~103.4.9.3.5.5~~~~102.1.4.7.5.3~~ The HERS Rater/RFI meets all other certification requirements.

~~102.1.4.8~~ RESNET may at its discretion review disputes between Providers and Raters regarding a Rater's probation, suspension or revocation status. Providers and/or Raters seeking RESNET's assistance shall provide pertinent and substantive information and arguments in support of the request.

~~103.4.9.4~~~~102.1.4.9~~ Rating, IECC Energy Rating Index Compliance, and Tax Credit Verification recordkeeping. QA Rating Quality Assurance Providers and/or their certified HERS Raters shall maintain the Quality Assurance Data ~~File~~ for each rating, IECC inspection, and tax credit verification for ~~the time frame specified in Section 905.8.8.3~~ a minimum of three (3) years.

~~103.4.9.5~~~~102.1.4.11~~ Complaint Response System. Each QA Rating Quality Assurance Provider shall have a system for receiving complaints. The QA Rating Quality Assurance Provider shall respond to and resolve complaints related to ratings, field verification, diagnostic testing services, and reports. QA Rating Quality Assurance Providers shall ensure that HERS Raters inform purchasers and recipients of ratings and field verifications about the complaint system. Each QA Rating Quality Assurance Provider shall retain records of complaints received and responses to complaints for a minimum of three years after the date of the complaint.

~~103.4.9.6~~~~102.1.4.13~~ Site data collection manual. All QA Rating Quality Assurance Providers shall provide their certified HERS Raters with a manual containing procedures for the on-site collection of data that at a minimum shall include the on-site inspection procedures for minimum rated features for new and existing homes provided in appendix A.

~~102.1.4.14~~ Written Quality Assurance Process that conforms to Chapter 9 of these Standards and any specific QA requirements for other Provider categories that may apply to a particular organization.

~~102.1.4.15~~ Rater training and certification requirements that conform to Chapter 1 and Chapter 2 of these Standards.



~~102.1.4.16 Rater Professional Development and recertification requirements that conform to Chapter 1 of these Standards.~~

#### **104 NATIONAL RESNET REGISTRY.**

The National RESNET Registry shall be maintained by RESNET and made available for use by RESNET accredited ~~Home Energy~~ Rating Quality Assurance Providers, their certified HERS Raters and other parties in accordance with RESNET Board policy. The following information shall be required in the National RESNET Registry:

**104.1** Each accredited Home Energy Rating Quality Assurance Provider shall be included in the National RESNET Registry.

~~104.2 Each accredited Home Energy Rating Quality Assurance Providers shall be~~ responsible for maintaining a current and accurate listing of their Certified HERS Raters and ~~Rating Field Inspectors RFI's~~ using the National RESNET Registry. ~~Each accredited Home Energy Rating Quality Assurance Provider shall be responsible for registering each Home Energy Rating conducted under the auspices of said Home Energy Rating Quality Assurance Provider in the National RESNET Registry in accordance with Sections 102.1.4.8.1 and 102.4.8.2.~~

**104.3** ~~102.1.4.12 All QA Providers shall collect and register the Energy Simulation File for each home rated (confirmed or sampled) by each Certified Rater with RESNET using the RESNET Buildings Registry. The QA Rating Quality Assurance Provider will register ratings and maintain theis National RESNET Registry in accordance with the policies and procedures established by RESNET related to the RESNET Buildings Registry. Information required for each rated home entered into the National RESNET Registry shall include, at a minimum, the following:~~

~~102.1.4.10.1 Minimum Requirements. At a minimum, the National RESNET Registry shall include:~~

~~104.3.1102.1.4.10.1.1~~ The Rated Home characteristics, including but not limited to the following:

~~104.3.1.1102.1.4.10.1.1.1~~ Physical location of the home, including street address, city, state and zip code

~~104.3.1.2102.1.4.10.1.1.2~~ IECC climate zone of the home

~~104.3.1.3102.1.4.10.1.1.3~~ Certified HERS Rater ~~ID and RFI~~ RESNET assigned identification numbers.

~~104.3.1.4102.1.4.10.1.1.4~~ Accredited Rating Quality Assurance Provider ID

~~104.3.1.5102.1.4.10.1.1.5~~ Date of the Rating

~~104.3.1.6102.1.4.10.1.1.6~~ Status of the Rated Home (new or existing)

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~~104.3.1.7~~~~102.1.4.10.1.1.7~~ Rating Type for the home (~~confirmed or sampled~~ as defined in ANSI/RESNET 301-2014)

~~104.3.1.8~~~~102.1.4.10.1.1.8~~ Home Type (single-family, duplex, low-rise Multi-family)

~~104.3.1.9~~~~102.1.4.10.1.1.9~~ Conditioned Floor Area of the home

~~104.3.1.10~~~~102.1.4.10.1.1.10~~ Number of bedrooms in the home

~~104.3.1.11~~~~102.1.4.10.1.1.11~~ The name and version number of the accredited software rating tool that created the Rating

~~104.3.2~~~~102.1.4.10.1.2~~ The Rating results, including but not limited to the following:

~~104.3.2.1~~~~102.1.4.10.1.2.1~~ Registration ID (provided by the National RESNET Registry)

~~104.3.2.2~~~~102.1.4.10.1.2.2~~ HERS Index Score

~~104.3.2.3~~~~102.1.4.10.1.2.3~~ Annual Rated Home energy end uses for heating, cooling, hot water and lighting and appliance energy end uses by fuel type

~~104.3.2.4~~~~102.1.4.10.1.2.4~~ Annual Rated Home on-site power production

~~104.3.2.5~~~~102.1.4.10.1.2.5~~ Energy prices used to calculate costs by fuel type

~~104.3.2.6~~~~102.1.4.10.1.2.6~~ Annual total cost to operate the Rated home

~~104.3.2.7~~~~102.1.4.10.1.2.7~~ Annual Rated Home normalized Modified End Use Loads

~~104.3.2.8~~~~102.1.4.10.1.2.8~~ Annual HERS Reference Home End Use Loads

~~104.3.2.9~~~~102.1.4.10.1.2.9~~ Annual HERS Reference Home energy end uses for heating, cooling, hot water and lighting and appliance energy end uses by fuel type

~~104.3.3~~~~102.1.4.10.1.3~~ An executable copy of the building input file used by the accredited software rating tool to generate the Home Energy Rating.

~~105~~~~103~~ HERS RATING SOFTWARE

~~105~~~~103.1~~ For the purposes of conducting ~~Home Energy~~ HERS Ratings, as defined in these Standards, QA Rating Quality Assurance Providers shall be required to use the most current version of one of the RESNET ~~approved rating accredited~~ HERS R rating S software programs contained in the “National Registry of Accredited HERS Rating Software Programs” posted on the RESNET website.

~~105~~~~103.2~~ HERS Rating Software Changes. Should changes that affect the calculated results of the home energy rating occur in the engineering algorithms of a RESNET approved home

energy rating software program, QA Rating Quality Assurance Providers shall be required to do the following:

**105103.2.1** Transition period. On announcement of a new software version release, QA Rating Quality Assurance Providers have a maximum of 60 days to begin all new ratings with the new version.

**105103.2.2** This requirement only applies to changes mandated by ~~the technical standard~~ Chapter 3 of these Standards or otherwise affecting the calculations of the HERS Index rating score or projected energy savings.

**105103.2.3** Persistence. Once a Projected Rating has been made on a property, the version of the rating software that was used initially may be used for the Confirmed or Sampled Rating on that property. Rating Quality Assurance Providers, at their option, may update to the latest software version for in-process ratings.

**105.3** RESNET Rating Software Providers that do not meet deadlines set by RESNET for required changes to their software that impact the HERS Index will may be subject to a daily fine set by the RESNET Board of Directors.

#### **106104** RATINGS PROVIDED FOR THIRD-PARTY ENERGY EFFICIENCY PROGRAMS

**106.1104.1** See Appendix B for definition of Third Party Energy Efficiency Program (EEP)

**106.2104.2** When working with EEP's, Home Energy Raters may be required to perform tests, inspections, verifications and reporting that require skills related to energy efficiency not specific to Home Energy Ratings as defined in these Standards and/or are required to become a Certified Home Energy Rater. However, it is the responsibility of Certified Home Energy Raters to perform all of the stipulated tests, inspections, verifications and reporting related to energy efficiency required by the EEP when agreeing to work with their program, including proper completion of any and all checklists, certificates, or other documentation. Where a HERS Rater does not possess the proper skill or knowledge of a particular test, inspection, verification or reporting requirement, they shall be responsible for obtaining sufficient training from the EEP, or trainer approved by the EEP, to properly fulfill the requirement. An exception may be made in cases where portions of an EEP's testing, inspection, verification or reporting process are completed by another company or individual who holds the required training or certifications.

**106.3104.3** See Section 906 for QA Quality Assurance Requirements for EEP's

# Chapter Five-~~201x~~

## RESNET Standards

### 500 REVISION OF STANDARDS

#### 501 REVISIONS AND AMENDMENTS

From time to time, it may become necessary to revise or amend the standards set forth in this document. Circumstances that may lead to such revision or amendment include but are not limited to the following:

##### 501.1 Periodic Reviews

To respond to periodic reviews by the promulgating bodies;

##### 501.2 Changes in Law

To respond to changes in law;

##### 501.3 Technical Innovations

To respond to technological innovations; and

##### 501.4 Proposals for Change

To respond to proposals for change from interested parties.

###### 501.4.1 Continuous review of standards

**501.4.1.1** On an on-going basis, RESNET will accept proposals to change the Standards. ~~RESNET has formed the following standing committees to consider proposals submitted: Quality Assurance and Ethics Committee, Technical Committee, and Training and Education Committee. After considering proposals the appropriate committee can submit proposals to amendment the Standard.~~

**501.4.1.2** ~~Process for submitting proposals to eChanges to these sStandards shall be made in accordance with Section 10 of the RESNET Standards Development Policy and Procedures Manual for Non-ANSI-RESNET Standards.;~~

~~**501.4.2.1** Proposals to change these standards may be submitted in writing, at any time, to RESNET.~~

~~**501.4.2.2** All proposals to change that meet the criteria set forth in this section of these procedures shall be accepted for consideration and evaluation.~~

~~**501.4.2.3** Proposals to change these standards shall include the following:~~

~~**501.4.2.3.1** Identification of the proposal to change, including the following minimum information:~~

~~501.4.2.3.1.1~~ Proponent(s) full name(s);

~~501.4.2.3.1.2~~ Organizational affiliation(s) or representation(s);

~~501.4.2.3.1.3~~ Full mailing address(es);

~~501.4.2.3.1.4~~ Daytime phone number(s);

~~501.4.2.3.1.5~~ Signature of primary proponent, and

~~501.4.2.3.1.6~~ Date

~~501.4.2.3.2~~ Specific revisions to the standards in a format that clearly identifies the manner in which the standards are to be altered (ie. underline/strikeout format or equivalent). Any proposal to change that does not include proposed alteration(s) shall be rejected and returned to the proponent.

~~501.4.2.3.3~~ Substantive reason(s) or justification for each proposed change. The lack of substantive justification for a proposed change may result in the return of the proposals to change to the proponent(s).

~~501.4.2.3.4~~ Supporting documentation that may be needed for the reasoned evaluation of the proposal.

~~501.4.2.4~~ Proposals to change these standards shall be considered and evaluated at least annually.

~~501.4.3~~ Standards Revision Process.

~~501.4.3.1~~ Revision to these standards shall occur only after the relevant proposals to change have been subjected to public scrutiny and comment using the following review process:

~~501.4.3.1.1~~ RESNET shall appoint a standing Standards Committee. The RESNET Standards Committee shall be responsible for conducting the periodic evaluation and the annual evaluation of proposals to change through a consensus process, whereby both consenting and the non-consenting opinions are documented and incorporated as comments into each report or proposal to change.

~~501.4.3.1.2~~ Following initial evaluation by the RESNET Standards Committee, proposals to change shall be posted on the RESNET website for a period of not less than 30 days during which public comment shall be accepted.

~~501.4.3.1.3~~ Following the public comment period, the appropriate RESNET Committee shall meet to reconcile public comments with the initial proposed amendment of the RESNET Standards Committee and, if changes are determined necessary, a final set of recommended changes with consensus comments that

~~\_\_\_\_\_ considers public comments shall be prepared on each proposal for change. The  
\_\_\_\_\_ proposed changes to the amendment shall then be forwarded to the RESNET  
\_\_\_\_\_ Standards Committee for approval.  
\_\_\_\_\_~~

~~\_\_\_\_\_ **501.4.3.1.4** Proposals for change receiving a simple majority support from the  
\_\_\_\_\_ RESNET Standards Committee after public comment shall be incorporated into a  
\_\_\_\_\_ set of proposed revised amendments that will be submitted to the RESNET  
\_\_\_\_\_ Board of Directors for final approval.~~

~~\_\_\_\_\_ **501.4.3.1.5** Proposed revisions from the RESNET Standards Committee shall  
\_\_\_\_\_ be approved by a simple majority of the RESNET Board of Directors. Rejection  
\_\_\_\_\_ of proposals from the RESNET Standards Committee shall require a two-thirds  
\_\_\_\_\_ majority of the RESNET Board of Directors. Upon approval by the RESNET  
\_\_\_\_\_ Board of Directors, the changes shall be incorporated into a set of revised  
\_\_\_\_\_ Standards. If a proposed revision fails to receive either a simple majority vote  
\_\_\_\_\_ for approval or a two-thirds majority vote for rejection, it will be referred back to  
\_\_\_\_\_ the RESNET Standards Committee for further consideration.~~

~~\_\_\_\_\_ **501.4.3.2** The revised accreditation procedures shall be published on the RESNET  
\_\_\_\_\_ Web Page not later than the end of September each year in which changes are  
\_\_\_\_\_ recommended.~~

# Chapter Nine-201x

## RESNET Standards

### 900 RESNET NATIONAL STANDARD FOR QUALITY ASSURANCE

#### 901 GENERAL PROVISIONS

##### 901.1 Purpose

RESNET has the responsibility of accrediting Rating Quality Assurance 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.

#### 902 DEFINITIONS AND ACRONYMS

See Appendix B.

#### ~~903—RESNET QUALITY ASSURANCE REVIEW OF ACCREDITED RATING QUALITY ASSURANCE PROVIDERS~~

##### ~~903.1—Annual Review of Rating Provider Quality Assurance Reports~~

~~RESNET shall review 100% of the annual Rating Quality Assurance Provider Quality Assurance rReports submitted by Quality AgentsRating Quality Assurance Providers (QA Providers).~~

##### ~~903.2—Quality Assurance File Review~~

~~RESNET will centrally administer quality assurance review of ratings using data in the National RESNET Registry.~~

##### ~~903.3—Detailed Review of Rating Provider Quality Assurance Records~~

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

~~903.23.1—Records reviewed may include, but are not limited to a representative sample of the following:~~

~~903.23.1.1~~ Rating electronic files;

~~903.23.1.2~~ Rating quality assurance records including, but not limited to the following:

~~903.23.1.2.1~~ Photo and/or video documentation from onsite field reviews;

~~903.23.1.2.2~~ The Quality Agent's Provider's field review reports of findings submitted to HERS Raters;

~~903.23.1.2.3~~ The Quality Agent's Provider's post-field review of rating results that show a comparison with original ratings selected for onsite QA Quality Assurance review;

~~903.23.1.2.4~~ If remedial action is required, the QA Rating Quality Assurance Provider's plan of action to correct for non-compliance with the RESNET Standards and results of any action taken;

~~903.23.1.3~~ Complaint files;

~~903.23.1.4~~ HERS Rater agreements;

~~903.2.5~~ Rater registry

~~903.23.1.56~~ Disclosure files;

~~903.23.1.67~~ Rating databases;

~~903.23.1.78~~ Interviews with a QA Rating Quality Assurance Provider's Quality Agent, Designee, Delegates, HERS Raters or Rating Field Inspectors; (RFI's)

~~903.23.1.89~~ Documentation of "Shadowing" by a QA Rating Quality Assurance Provider's Quality Agent, Designee, HERS Raters, or Rating Field Inspectors in RFI's the field.

~~903.34~~ An accredited QA Rating Quality Assurance Provider has the right to challenge the findings of a RESNET Quality Assurance reviewer Contractor. The Appeals Procedures in Section 913 [Addendum 6] shall apply to the submission and consideration of a Provider's challenge to Quality Assurance findings.

~~903.45~~ Significant inconsistencies or errors in electronic records reviewed may result in an onsite review by RESNET.

## 903 RESNET OVERSITE OF QUALITY ASSURANCE PROCESS

### 903.1 RESNET Oversight of Quality Assurance Contractors and Quality Agents



RESNET will be responsible for oversight of the work performed under these Standards by approved Quality Assurance Contractors and the RESNET certified Quality Agents they employ.

### **903.2 Review of Rating Quality Assurance Provider Quality Assurance Reviews**

RESNET shall review 100% of the annual Rating Quality Assurance Provider Quality Assurance Reports submitted by Quality Agents.

### **903.3 Quality Assurance File Review**

RESNET will centrally administer quality assurance review of ratings using data in the National RESNET Registry.

### **903.4 Challenging Quality Assurance Findings**

An accredited Rating Quality Assurance Provider has the right to challenge the findings of a RESNET Quality Assurance Contractor. The Appeals Procedures in Section 911 shall apply to the submission and consideration of a Provider's challenge to Quality Assurance findings.

## **904 QUALITY ASSURANCE REQUIREMENTS FOR QA-RATING QUALITY ASSURANCE 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. Unless otherwise noted, the quality assurance process specified in this Section shall only be carried out by a RESNET certified Quality Agent.~~

### **904.2904.3 Quality Assurance of by QARating Quality Assurance Providers**

~~904.2.1~~ **904.2** ~~QARating Quality Assurance~~ Providers are responsible for completing an annual submission of their Quality Assurance QA results to RESNET. RESNET shall annually notify Rating Quality Assurance Providers of ~~designate~~ the date submissions are due; and the content of each submission. ~~and~~ The time frame for which data shall be ~~is~~ provided for the annual submissions shall be the calendar year, e.g. i.e. the twelve month period from January 1<sup>st</sup> through December 31<sup>st</sup>. ~~QARating Quality Assurance~~ Providers will have at least thirty (30) days from notification from RESNET of the annual submission due date until the submissions ~~is~~ are due.

**904.2.2** RESNET shall develop a "RESNET Quality Assurance Checklist" that is to be used by Quality Agent's Designees for the purpose of verifying a Provider's compliance with the individual requirements for Providers set forth in the RESNET Standards. The

Quality Agent Designee shall review the QA Rating Quality Assurance 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.~~

#### 904.3904.4 **Quality Assurance of HERS Raters and Ratings**

##### 904.3.1 Ratings included in QA File and QA Field reviews.

904.3.1.1 For QA File and QA Field reviews, the HERS Rater's "annual total of ratings" shall mean all ratings entered into the National RESNET Registry (based on "date submitted") for a calendar year, i.e. the twelve month period from January 1<sup>st</sup> through December 31<sup>st</sup>.

904.3.1.2 Ratings selected for QA File and QA Field review must be from the same twelve month time period used for the "annual total of ratings."

##### 904.3.2904.4.1 HERS Rater Quality Assurance ~~File~~ review (QA ~~File~~ reviews)

904.3.2.1 QA File review of RESNET Flagged Files. Quality Agents shall review ratings flagged by the RESNET QA File review for further Quality Assurance review, investigating the specific issues of concern and working with the HERS Rater and Rating Quality Assurance Provider to correct the errors. Significant errors impacting the rating may require increased QA File or QA Field reviews for the HERS Rater.

904.3.2.2904.4.1.1 For each HERS Rater, the Provider's Quality Assurance Contractor/Quality Agent Designee shall be responsible for an annual QA ~~File~~ review of the greater of one (1) ~~home-rating~~ or ten percent (10%) of the HERS Rater's annual total of ~~homes for which~~ Confirmed or Sampled Ratings ~~were provided~~. When determining the number of ~~homes~~ ratings to review for a HERS Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g.  $101 \text{ homes} \times 10\% = 10.1$  means that 11 ~~homes~~ ratings shall be reviewed.

904.3.2.2.1 Home Energy Raters who conduct over 500 confirmed ratings in one year and if over a two (2) year period do not have any errors as defined in section 904.3.5.1 during file QA reviews, their file QA review shall be reduced by 25%. If no errors are found in the subsequent two (2) years then the file QA reviews shall be reduced by 50% in the following years. If any errors are found in subsequent years the 10% file QA review threshold will be reinstated.

904.3.2.3904.4.1.2 A QA ~~File~~ reviews shall be conducted on an ongoing basis as appropriate for the volume of ratings being completed and submitted to the National RESNET Registry, and at a minimum quarterly.

**904.3.2.4** The QA File review completed by a Quality Agent-Designee shall consist of, at a minimum, the following:

**904.3.2.4.1904.4.1.3.11** HomesRatings shall be selected using a nonbiased selection process from the entire pool of homesratings available at the time of the review for each HERS Rater. It may be necessary to first select homesratings that represent any particular area of concern in either the rating or construction process. Once it is ensured that homesratings from these areas of interest will be included in the QAQuality assurance process, a nonbiased selection process can then be applied such as random selection. Special effort should be taken to make certain that the selected homesratings are as representative as possible of the homesratings being ratedcompleted, 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-rating or ten percent (10%).

**904.3.2.4.2904.4.1.3.2** While Section 102.1.4.11 and 303.3.7 require that HERS 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 homesratings selected for QAQuality assurance shall be required to be submitted for review by the Provider's to theQuality Assurance Contractor/-Quality Agent-Designee.

**904.3.2.4.3904.4.1.3.3** For of each Confirmed Rating, confirm that the values entered into the HERS Rating Software for all Minimum Rated Features are supported by actual on-site field-verified test data;

**904.3.2.4.4904.4.1.3.5** Confirm that paper and/or electronic files, are being maintained and archived by HERS Raters for each rating and/or unique floor plan, including the HERS Rating Software 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;

**904.3.2.5904.4.1.3.4** 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 homesratings rated through sampling.

**904.3.2.5.1904.4.1.3.4.2** The QA File review for sampled ratings shall include an initial review of the greater of one (1) file or ten percent (10%) of the projected worst-case energy simulation files for each unique-floor-plannew sampled community in order to confirm that minimum rated features and worst-case specifications have been entered into the rating software accurately. An eEnergy simulation files for an existing particular floor plansampled community is not shall receive a QA File review, at a rate of one (1) file or ten percent (10%) of the worst-case energy simulation files,subject to subsequent review after the initial QA review provided if the minimum rated features and/or threshold specifications do not

change ~~as determined by this Section.~~

**904.3.2.5.2.1904.4.1.3.4.1** The QA ~~f~~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.

**904.3.2.5.2.1904.4.1.3.4.1.1** QA ~~f~~File review of the sampling process shall be completed on the greater of one (1) sample set or ~~ten-one~~ percent (10%) of the HERS Rater's annual total of sample sets. When determining the number of sample sets to review for a HERS Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 sample sets x 10% = ~~10.11.01~~ means that ~~11~~2 sample sets shall be reviewed.

**904.3.2.5.2.2904.4.1.3.4.1.2** For each sample set QA ~~f~~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.

**904.3.2.5.2.3904.4.1.3.4.1.3** 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.~~

**904.3.3904.4.2** HERS Rater Quality ~~a~~Assurance ~~f~~Field review (QA ~~f~~Field review).

**904.3.3.1** Determining the number of ratings to receive QA Field reviews.

**904.3.3.1.1904.4.2.1** HERS Raters. For each HERS Rater, the Provider's Quality Assurance Contractor/Quality Agent-Designee shall be responsible for an annual onsite QA ~~f~~Field review of the greater of one (1) rating on a completed home or one percent (1%) of the HERS Rater's annual total of homesratings for which Confirmed or Sampled ratings ~~and diagnostic testing services~~ were provided. When determining the number of QA ~~f~~Field reviews to complete for a HERS Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homesratings x 1% = 1.01 means that 2 QA ~~f~~Field reviews shall be completed.

**904.3.3.1.1.1** Home Energy Raters who conduct over 500 confirmed ratings in one year and if over a two (2) year period do not have any errors as defined in section 904.3.5.1 on field QA reviews, their quality field QA review shall be reduced by 25%. If no errors are found in the subsequent two (2) years then the field QA reviews shall be reduced by 50% in the following years. If any errors are found in subsequent years the 1% field QA review threshold will be reinstated.

~~904.3.3.1.2~~~~904.4.2.2~~ QA field reviews for Rating Field Inspectors (RFIs). For HERS Raters utilizing Rating Field Inspectors (RFI's), the QA Quality Agent Designee shall ensure that a QA ~~f~~Field review is completed on the greater of one (1) rating on a completed 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 assisted with. If an RFI conducts a test or an inspection of any minimum rated feature on a rated home, that home is counted in the "annual total" of ratings used for the 1% calculation for that RFI. 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 ratings x 1% = 1.01 means that 2 QA Field reviews shall be completed. The RFI QA ~~f~~Field reviews may fulfill all or a portion of the HERS Rater's annual QA ~~f~~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.

904.3.3.1.3 Pre-drywall QA Field reviews. In addition to QA Field reviews on completed homes, for ratings on new homes, the Quality Agent shall ensure that a pre-drywall QA Field review is completed on a minimum of one (1) home for each HERS Rater or RFI. Pre-drywall QA Field reviews shall be used to meet the 1% QA Field review requirement for a HERS Rater or RFI in addition to the QA Field reviews on completed homes, and shall replace 10%, but no more than 10%, of the total number of QA Field reviews (rounded up).

For example, if a HERS Rater or RFI is required to have one (1) QA Field review, one (1) review shall be on a completed home and one (1) additional QA Field review shall be on the same or a different home before drywall is installed. If a HERS Rater or RFI is required to have two (2) to ten (10) QA Field reviews, one (1) pre-drywall QA Field review is required and shall count towards one, but no more than one, of the QA Field reviews. If a HERS Rater or RFI is required to have eleven (11) or more QA Field reviews, two (2) pre-drywall QA Field reviews are required and they shall count towards two, but no more than two, of the QA Field reviews.

904.3.3.1.4 RFIs are exempt from receiving a QA field review for pre-drywall or final inspections and/or testing if they have not performed inspections and/or testing of any minimum rated features for pre-drywall or completed homes within the calendar year. For example, if a HERS Rater or RFI have not completed any pre-drywall inspections within the calendar year, they are exempt from QA Field reviews for pre-drywall inspections.

904.3.3.1.5 "Virtual" QA Field reviews. All HERS Raters and RFI's must annually receive a minimum of one (1) ~~on-site, in-person~~ QA Field review on a completed home and also one (1) ~~on-site, in-person~~ QA Field review on the same or

a different home before drywall is installed. One of the two required QA Field reviews must be completed on-site and in-person, the other may be "virtual". All other QA Field reviews, for completed and pre-drywall homes, may be performed using a "virtual" QA Field review methodology specified by RESNET.

904.3.3.1.6~~904.4.2.6~~ QA field review of Sampled Ratings. For the purposes of calculating the one (1) ~~rating/home~~ or one percent (1%) QA ~~Field~~ review requirement for HERS Rater and RFI sampled ratings, all the homes rated by a HERS 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 Quality Assurance is being completed on HERS Raters and ~~Rating Field Inspector~~RFI's rather than builders, the balance of homes included in the ~~field~~QA Field reviews shall have received field testing and/or inspections.

904.3.3.1.7~~904.4.2.3~~ The Provider~~Quality Agents~~ shall complete a minimum of 1% quarterly onsite QA ~~Field~~ reviews of ~~the Rating Quality Assurance~~ Provider's ratings, based on the total number of ratings registered by the Provider in the previous quarter, until all annual QA requirements for the Provider have been met for each Rater. QA field reviews are not required on every Rater every quarter. ~~For HERS Raters that performed 100 or more ratings in the previous 12 month period, or RFI's that performed tests and/or inspections on 100 or more homes in the previous 12 month period, QA Field reviews shall be conducted at a minimum quarterly, i.e. every three (3) months. If a QA Field review(s) completed for a HERS Rater or RFI in the first quarter has satisfied the 1% requirement for that HERS Rater, then additional QA Field reviews are not required in subsequent quarters unless additional ratings or tests and/or inspections towards their "annual total" are performed. The number of QA Field reviews required for any quarter shall be calculated based on the total number of ratings submitted to the National RESNET Registry in the previous quarter.~~

#### 904.3.3.2 Requirements for QA Field reviews.

904.3.3.2.1 HERS Raters. The QA Field review shall confirm the accuracy of all stages of the rating process (e.g. data collection, reporting, and energy simulation file creation and/or updating) for the rating receiving a QA Field review.

904.3.3.2.1.1 Collect dimensional measurements in the field for the home to evaluate the accuracy of those determined by the HERS Rater in the field or from plans, including conformance to the requirements set forth in Chapters 3 and 8 and Appendix A of these Standards.

904.3.3.2.1.2 Complete in the field all necessary performance testing and all necessary inspections of minimum rated features for the home to evaluate the accuracy of those determined by the HERS Rater, including conformance to the requirements set forth in Chapters 3 and 8 and Appendix A of these Standards.



904.3.3.2.1.3 Evaluate inputs entered by the HERS Rater into the energy simulation file for the rated home to determine conformance with data from 904.3.3.2.1.1 and 904.3.3.2.1.2 as well as Chapters 3 and 8 and Appendix A of these Standards.

~~904.4.2.5~~ 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.

~~904.3.2.8~~ Confirm that HERS Index scores for each home QA field reviewed are no more than three percent (3%) (+/-) different than the HERS Index result as determined by the QAD. 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.

904.3.3.2.2 Rating Field Inspectors. The QA Field review shall confirm the accuracy of data collection and reporting by the RFI for the rating receiving a QA Field review.

904.3.3.2.2.1 As necessary, collect dimensional measurements in the field for the home to evaluate the accuracy of those that may have been determined by the RFI, including conformance to the requirements set forth in Chapter 8 and Appendix A of these Standards.

904.3.3.2.2.2 Complete in the field all necessary performance testing and all necessary inspections of minimum rated features for the home to evaluate the accuracy of those that may have been determined by the RFI, including conformance to the requirements set forth in Chapter 8 and Appendix A of these Standards.

904.3.3.2.3 Pre-drywall. For homes receiving a QA Field review prior to the installation of drywall, the QA shall complete in the field all necessary performance testing and all necessary inspections of minimum rated features for the home to evaluate the accuracy of those determined by the HERS Rater or RFI, including conformance to the requirements set forth in Chapter 8 and Appendix A of these Standards.

~~904.3.3.2.4~~904.4.2.4 Each ~~home-rating~~ home rating selected for a QA ~~f~~Field review for each HERS Rater and RFI 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 ratings are as representative as possible of the homes ratings being ~~rated~~completed, 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%).

904.3.3.2.5 Virtual QA Field reviews. QA Field reviews not completed on-site, in-person by a Quality Agent, may be completed remotely using video technology and processes, protocols, and procedures approved by RESNET.

#### 904.3.4 Quality Assurance for Multifamily Projects

904.3.4.1 In addition to the Quality Assurance requirements specified in this Chapter, quality assurance for multifamily projects shall include, at a minimum, the following:

904.3.4.1.1 All dwelling units that are certified or qualified by the use of sampling shall be considered to be “ratings”. QA File and QA Field reviews shall be conducted on a percentage of all the dwelling units certified or qualified under sampling, rather than the percentage of tested and inspected dwelling units.

904.3.4.1.2 To ensure that Quality Assurance is being completed on HERS Raters and RFI’s rather than builders, QA Field reviews for multifamily buildings shall be conducted on certified or qualified dwelling units within sample sets that have received field testing and/or inspections.

904.3.4.1.3~~904.4.2.4.3~~ If units within a multifamily building have multiple space conditioning configurations such that some units have ducts and other units do not, the Quality Agent~~D~~ shall choose a unit with ducts for ~~field-QA~~ Field review. Alternatively, if the building has some units with ducts that are within conditioned space while others have ducts that are outside of the building envelope, the Quality Agent~~D~~ shall choose a unit with ducts outside of the envelope for ~~field-QA~~ Field review.

904.3.4.1.4~~904.4.2.4.1~~ For multifamily projects, when selected, ~~field-QA~~ Field reviews shall include a comprehensive inspection of all minimum rated features that are possible to be inspected within the selected units and within the building during the time of the ~~field-QA~~ Field review. This means that the Quality Agent~~D~~ shall inspect attic insulation via a common attic access where present, mechanical rooms that house common mechanical systems that serve multiple units, common ventilation systems, etc.

904.3.4.2~~904.4.2.4.2~~ If the annual rating volume of a HERS Rater is such that more than one ~~field-QA~~ Field review is required for that annual period’s ~~field-QA~~ Field review quota (i.e. the HERS Rater completed more than 100 ratings during the annual period), no more than one ~~field-QA~~ Field review within a particular multifamily development shall count toward meeting the total ~~field-QA~~ Field review quota.

904.3.4.2.1 Exception. If a Rater/RFI did not perform ratings on any other single or multifamily buildings for the calendar year and the multifamily building is 100 units or less, then pre-drywall and final QA Field reviews may be performed on the multifamily building that was rated.



~~904.3.4.2.2~~904.4.2.4.2.1 An exception ~~will~~ is allowed if a particular multifamily development contained more than 100 units. In such an instance, one ~~field-QA Field review~~ field-QA Field review per every 100 units of that development shall count towards the annual ~~field-QA Field review~~ field-QA Field review quota.

~~904.3.4.2.3~~904.4.2.4.2.2 Another exception ~~will~~ is allowed if the HERS Rater had one or more ~~Rating Field Inspectors (RFIRFI's)~~ Rating Field Inspectors (RFIRFI's) who worked with them throughout the annual period, ~~in which case the Quality Agent~~ in which case the Quality Agent may select multiple units within a particular multifamily development to count towards the annual ~~field-QA Field review~~ field-QA Field review quota for each RFI as long as those additional ~~field-QA Field review~~ field-QA Field reviews represent work performed by each individual RFI during the annual period.

~~904.4.2.8~~ 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.~~

~~904.4.2.8.1~~ 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~~

~~904.4.2.8.2~~ QA under this Section shall adhere to the same variance allowances provided for in Section ~~904.4.2.5.~~

~~904.3.5~~904.4.3 Non-compliance of a reviewed rating shall trigger corrective action.

904.3.5.1 Confirm that corrections to energy simulation files, as determined by the Quality Agent, do not cumulatively move the HERS Index scores for each home QA Field reviewed more than five percent (5%) (+/-) of the original HERS Index scores for each energy simulation file. When calculating the HERS Index point variance allowed for a given Index, round down to the nearest whole Index point, with the allowable cumulative variance never less than four (4) HERS Index points.

For example, if an energy simulation file shows an initial HERS Index of 75, the allowable cumulative variance in the HERS Index score is  $75 \times 5\% = 3.75$ , or an allowable cumulative variance of no more than the 4 HERS Index minimum. If during

the QA review, the QA determines that corrections to the energy simulation file were necessary which moved the HERS Index down 2 points and up 3 point, for a cumulative move of 5 HERS Index points, then the rating shall be deemed “non-compliant.”

904.3.5.2904.4.3.1 Under the supervision of the Quality Agent, The non-compliant rating(s) shall be corrected in order to come into compliance with RESNET technical Standards under the supervision of the QA Designee.

904.3.5.3904.4.3.2 The Quality Agent-Designee shall develop and implement a corrective action plan for the HERS Rater of the rating that addresses any underlying problems that led to the non-compliant rating. Whenever feasible, corrective action plans shall include “shadowing” and mentoring of the HERS Rater to better ensure corrections in their rating process and procedures.

904.3.5.4904.4.3.3 The Provider shall initiate appropriate disciplinary action on the HERS Rater/RFI in accordance with the Provider’s written HERS Rater/RFI disciplinary procedures.

904.3.5.5904.4.3.4 Multiple instances of non-compliance with-904.4.2.5 QA File and/or QA Field review for a Rater or RFI shall, at a minimum, trigger an increased rate of QA File reviews or QA Field reviews onsite inspections of homes and additional appropriate disciplinary action in accordance with the Provider’s written Rater disciplinary procedures.

904.3.5.5.1 When in the course of quality assurance review, four (4) or more ratings in a twelve (12) month period from January 1st through December 31st are found to be out of compliance by more than 5% to 10%, or the Quality Agent determines that field work (e.g. diagnostic testing or inspections of minimum rated features) is being completed inaccurately or incompletely, the following, at a minimum, shall occur:

904.3.5.5.1.1 The Rater shall be placed on probation;

904.3.5.5.1.2 If the noncompliant ratings are due to errors found in QA File review, the Rater’s File QA shall be increased to 15% ratings for the next twelve (12) month period. Round up to the next whole number when the percentage calculation yields a decimal point, e.g. 50 ratings x 15% = 7.5 means that 8 QA File reviews shall be completed;

904.3.5.5.1.3 When appropriate (e.g. the HERS Rater/RFI previously struggled with field compliance, a piece of equipment is used in the rating that is not commonly found in the market or used by a builder, field test results are out of typical range for the market, etc.), a QA Field review shall be completed by the Quality Agent on the ratings that were out of compliance by more than 5% to 10%;

~~904.3.5.5.1.4~~ If the noncompliant ratings are due to inaccurate or incomplete field work, the Rater and/or RFI Field QA shall be increased to 5% for the next twelve (12) month period. Round up to the next whole number when the percentage calculation yields a decimal point, e.g. 50 ratings x 5% = 2.5 means that 3 QA Field reviews shall be completed.

~~904.3.5.5.2~~ The threshold for Raters and RFI's who performed work on fewer than 100 homes in the prior or current twelve (12) month period from January 1st through December 31st shall be "two (2) or more ratings";

~~904.3.5.5.2~~ When in the course of quality assurance review, four or more ratings in a twelve (12) month period from January 1st through December 31st are found to be out of compliance by greater than 10%, the following, at a minimum, shall occur:

~~904.3.5.5.2.1~~ The Rater shall be placed on probation;

~~904.3.5.5.2.2~~ If the noncompliant ratings are due to errors found in QA File review, the Rater's File QA shall be increased to 20% for the next twelve (12) month period. Round up to the next whole number when the percentage calculation yields a decimal point, e.g. 52 ratings x 20% = 10.4 means that 11 QA File reviews shall be completed;

~~904.3.5.5.2.3~~ When appropriate (e.g. the HERS Rater/RFI previously struggled with field compliance, a piece of equipment is used in the rating that is not commonly found in the market or used by a builder, field test results are out of typical range for the market, etc.), a QA Field review shall be completed by the Quality Agent on the ratings that were out of compliance by greater than 10%;

~~904.3.5.5.2.4~~ If the noncompliant ratings are due to inaccurate or incomplete field work, the Rater and/or RFI Field QA shall be increased to 10% for the next twelve (12) month period. Round up to the next whole number when the percentage calculation yields a decimal point, e.g. 52 ratings x 10% = 5.2 means that 6 QA Field reviews shall be completed.

~~904.3.5.5.2~~ If additional noncompliance or major errors are discovered during the period of increased File or Field QA, the Quality Agent shall review 100% of the next five (5) rating files submitted or field inspections by the RFI. If noncompliance or major errors continue to be discovered, the Rater shall be suspended in accordance with the Provider's written HERS Rater/RFI disciplinary procedure.

#### **904.4904.5 Significant Non-compliance by QA Rating Quality Assurance 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 Quality Assurance process, reporting by a Quality Agent QA Designee as part of the Provider's QA Quality Assurance process, or in the course of RESNET's research of an ethics or consumer complaint will result in the Quality Agent 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 Quality Agent QA Designee report the significant non-compliance to RESNET and additional action by RESNET may be taken.

**904.4.1904.5.1** Significant non-compliance by Providers shall include, but not be limited to, the following:

**904.4.1.1904.5.1.1** Failure to comply with multiple individual requirements, or requirements impacting multiple HERS Raters and/or ratings, for Providers set forth in the RESNET Standards and enumerated in a RESNET Quality Assurance Checklist;

**904.4.1.2904.5.1.2** Failure of a Provider to comply with the RESNET Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure;

**904.4.1.3904.5.1.3** Failure to follow a Provider’s written HERS Rater/RFI disciplinary procedures for known or obvious non-compliance with the RESNET Standards, Standards of Practice, Code of Ethics, or Conflict of Interest Disclosure.

**904.4.2904.5.2** Reporting of significant non-compliance to RESNET.

**904.4.2.1904.5.2.1** Quality AgentsQA-Designees must report all significant non-compliance by a Provider to RESNET when it becomes known to the Quality Agent QA Designee so that RESNET may assist the Quality Agent QA Designee in working with a Provider to come back into compliance.

**904.4.2.2904.5.2.2** Failure of a Quality AgentQA-Designee to report significant non-compliance issues may result in actions taken by RESNET as stipulated in Section 905.2.7905.10.

## **905 QUALITY ASSURANCE-DESIGNEE (QA-Designee) CONTRACTORS AND QUALITY AGENTS**

**905.1 Quality Assurance Contractor. A company who employs one or more Quality Agents certified by RESNET in accordance with these Standards.**

**905.1.1 RESNET shall approve all Quality Assurance Contractors and maintain a national registry of approved Quality Assurance Contractors.**

**905.1.2 Third-party Providers who meet the minimum requirements to be a Quality Assurance Contractor can be recognized by RESNET as Quality Assurance Contractors.**

**905.1.3 A Rating Quality Assurance ProviderMinimum requirements to be a RESNET approved Quality Assurance Contractor:**

905.1.3.1 ~~Designate one and only one officer, employee, or contractor employed~~ Quality Agent to be the Primary Quality Agent~~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 Quality Agent~~QA Designee~~ shall have ultimate responsibility, on behalf of the QA~~Quality Assurance Contractor Provider~~, for fulfilling the requirements listed in Section 905.8904 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.~~

905.1.3.2 Provide a RESNET approved non-disclosure agreement to Rating Quality Assurance Providers for whom they provide quality assurance services.

905.1.3.3 Demonstrate to RESNET a minimum insurance coverage of \$1,000,000 in general liability coverage and \$1,000,000 in professional liability coverage.

905.1.3.45 Shall not provide other HERS rating services.

905.1.3.5 Other requirements that RESNET may deem necessary and proper to maintain the integrity of the RESNET quality assurance process.

**905.2** Quality Agent.~~The designated officer, employee, or contractor responsible for quality assurance shall meet the following minimum requirements:~~ An individual employed by a Quality Assurance Contractor or Third Party Rating Quality Assurance Provider who is certified as an agent of RESNET to perform quality assurance work as outlined in these Standards.

905.2.1 RESNET shall certify all Quality Agents and maintain a national registry of certified Quality Agents.

905.2.2 Certification requirements to be a RESNET certified Quality Agent.

905.2.2.1 Attend and successfully complete an on-site RESNET Quality Agent Instruction and Assessment Certification event;

905.2.2.2 Pass the National Quality Agent Competency Test with a minimum score determined by RESNET;

905.2.2.3 RESNET certified Quality Agents shall not be active certified HERS Raters or RFI's or perform any work on ratings;

905.2.2.34 Meet the following experience requirements:

~~905.2.2.34.1 905.2.2~~ Previous certification as a Home Energy RESNET HERS Rater; and

~~905.2.2.43.2~~ As a certified Home Energy HERS Rater, complete confirmed ratings on a minimum of twenty-five (25) homes, five (5) of which must have received quality assurance field reviews in accordance with these Standards without significant non-compliance issues prior to becoming a QA Designee; or

~~905.2.2.43.3~~ Complete QA Field reviews on a minimum of fifteen (15) homes and QA File reviews on a minimum of ten (10) homes as either a Quality Assurance Designee (as previously allowed by RESNET) or under the supervision and mentorship of another Quality Agent.

~~4905.2.2.1~~ 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.

~~905.2.3~~905.3 Professional Development for Quality Agents-Designees

~~905.2.3.1~~905.3.1 All Quality Agents-Designees annually shall: complete a two hour RESNET QA Roundtable on current information AND complete one (1) of the following activities:

~~905.2.3.1.1~~905.3.1.1 Document 12 hours of attendance at the RESNET Conference; or and

~~905.2.3.1.2~~905.3.1.2 Complete 12 hours of RESNET approved CEU's; or Participate in a one-day in-person RESNET update and training.

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

~~905.2.3.2 A Quality Agent must renew annually with RESNET to maintain certification.~~

~~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:~~

~~—905.3.3.1 Attend a RESNET roundtable;~~

~~—905.3.3.2 Have the QA Designee requirements verified in accordance with 905.3;~~

~~905.3.3.3 Submit an application to RESNET and be recognized as a qualified QA Designee prior to reinstatement as a QA Designee.~~

~~905.3.3.4 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 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 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 RESNET 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.

~~905.2.4~~**905.8** **Responsibilities of a Quality Agents Designee.**  
~~Responsibilities of the QA Designee shall include:~~

~~905.2.4.1~~ Complete all QA File and QA Field reviews for a Rating Quality Assurance Provider as required by these Standards.

~~905.2.4.2~~ Serve as a liaison between RESNET and Rating Quality Assurance Providers, assisting with the following:

~~905.2.4.2.1~~ Ensure that Rating Quality Assurance Providers are apprised of all changes to the RESNET ANSI and non-ANSI standards as they may occur.

~~905.2.4.2.2~~ Querying RESNET on behalf of Providers if interpretive questions arise about technical or administrative issues regarding ratings.

~~905.2.4.2.3~~ Ensure that Rating Quality Assurance Providers are properly following all RESNET technical and administrative requirements set forth in these Standards or stipulated in formal interpretations issued by RESNET.

~~905.2.4.2.4~~ On behalf of RESNET, ensure that Rating Quality Assurance Providers are properly enforcing disciplinary actions for Raters/RFI's and/or adhering to any disciplinary actions imposed on a Provider by RESNET.



~~905.2.4.3~~**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).

~~905.2.4.4~~**905.8.4** Complete annual submission of QA Quality Assurance results to RESNET in accordance with Section 904.2;

~~905.8.5~~—With the annual QA submissions to RESNET, provide a listing of the QA Designees performing QA tasks on behalf of the Provider and a listing of the QA Delegates who have undertake QA reviews on behalf of a QA Designee;

~~905.2.4.5~~**905.8.6** In accordance with Section 904.3, a~~n~~ annually complete the RESNET QA Quality Assurance Checklist for QA Rating Quality Assurance Providers in accordance with Section 904.2;

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

~~905.2.4.6~~**905.8.8** Maintenance of Maintain QA- Quality Assurance Records for all confirmed and sampled ratings submitted to the National RESNET Registry, including ratings for IECC Energy Rating Index compliance and tax credit verifications, ~~shall include:~~

~~905.2.4.6.1~~ Document each QA File and/or Field review by updating the National RESNET Registry for each rating which receives QA quality assurance.

~~905.2.4.6.2~~**905.8.8.1** The Quality Assurance Data File for each home-rating that receives QA-quality assurance review at a minimum containing the information required by Section 904.3.4.1.3. The Data Files shall be archived for a minimum of three (3) years.

~~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.

~~905.2.5~~905.9 QA Designee and Certified Home Energy Rater RESNET Whistle Blower Protection Policy.

~~905.2.5.1~~905.9.1 A Rating QA Quality Assurance Provider shall not retaliate against a Quality Assurance Contractor, Quality Agent~~QA Designee~~ or Certified Home Energy~~HERS~~ Rater in the terms and conditions of their status with the Provider for any of the following reasons:

~~905.2.5.1.1~~905.9.1.1 Reporting to a supervisor, to RESNET or to a federal, state or local agency what the Quality Contractor, Quality Agent ~~QA Designee~~ or HERS Rater believes in good faith to be a violation of the RESNET Standards and/or a local, state or federal law; or

~~905.2.5.1.2~~905.9.1.2 Participation in good faith in any resulting investigation or proceeding;

OR

~~905.2.5.1.3~~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 Quality Contractor's, Quality Agent's ~~QA Designees'~~ or HERS Rater's rights.

~~905.2.5.2~~905.9.2 RESNET may take disciplinary action (up to and including revocation) against a QA~~Rating Quality Assurance Provider who in its assessment has engaged in retaliatory conduct in violation of this policy.~~

~~905.2.6.905.10~~ Failure of a Quality Agent QA-Designee to ~~F~~fulfill ~~T~~their responsibilities. Failure of a Quality Agent QA-Designee to properly fulfill their responsibilities as specified in these Standards may include one or more of the following actions by RESNET:

~~905.2.6.1905.10.1~~ The Quality Agent QA-Designee being placed on probation;

~~905.2.6.2905.10.3~~ Removal of the Quality Agent's QA-Designee's credential certification as a Quality Agent of RESNET QA-Designee;

~~905.2.6.3905.10.2~~ Removal of the Quality Agent QA-Designee from the RESNET National Registry of Approved Quality Agents Directory of qualified QA-Designees;

~~905.10.4~~ RESNET no longer recognizing the QA-Designee as a Home Energy Rater;

~~905.10.5~~ At the QA-Provider's expense, further oversight by RESNET of the QA-Designee and the Provider's processes and procedures;

~~905.10.6~~ 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 9111;

~~905.2.6.4905.10.7~~ The Quality Agent-Designee may appeal an Action taken by RESNET under this Section using the Appeals procedures stipulated in Section 9112 of these Standards.

## **906 QUALITY ASSURANCE REQUIREMENTS FOR THIRD-PARTY ENERGY EFFICIENCY PROGRAMS**

**906.1** See Appendix B for definition of Third Party Energy Efficiency Program (EEP).

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

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

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

**906.4** 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 ~~shall~~ 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 913-911 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, HERS 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 HERS 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 Rating Quality Assurance Provider Quality Assurance Review of HERS 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~~ Quality assurance of HERS Raters' Final Verifications of an EnergySmart Projects shall be performed by the Provider's Quality Assurance Contractor/Quality Agent.

**907.4.2** Quality Assurance File Review (~~QA File Review~~)

**907.4.2.1** For each HERS Rater/Auditor that performs Final Verification for an EnergySmart Project, the ~~QA Rating Quality Assurance~~ Provider's Quality Assurance Contractor ~~QA Designee~~ shall annually conduct QA File ~~R~~review of the Final Verification documentation file(s) 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** HERS 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 Rating Quality Assurance~~ Provider's ~~QA Designee~~ Quality Assurance Contractor/Quality Agent conducts the QA File ~~R~~review, they shall review at least one (1) project documentation file for each EnergySmart Contractor and EnergySmart Team. The Quality Agent ~~QA Designee~~ shall equitably distribute the QA File ~~R~~reviews of each individual EnergySmart Contractor's or Team's Projects.

**907.4.2.2** The Quality Agent~~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 Quality Agent~~QA-Designee~~ will verify the completion of the HERS 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 Quality Agent~~QA-Designee~~ will review 10% of the HERS Rater/Auditor Final Verifier energy simulation software file and projected estimated energy savings.

**907.4.3** Quality Assurance Field Review (QA Field ~~R~~review)

**907.4.3.1** For each HERS Rater/Auditor that performs Final Verification for an EnergySmart Project the Quality Agent~~QA-Designee~~ shall annually conduct QA Field ~~R~~reviews of EnergySmart Projects at a rate of 1% of verified projects or one project, whichever is greater. QA Field ~~R~~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 Quality Agent~~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 Quality Agent~~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 Quality Agent~~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 Quality Agent's 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. Confirm that corrections to energy simulation files, as determined by the Quality Agent, do not cumulatively move the HERS Index scores for each home QA Field reviewed more than five percent (5%) (+/-) of the original HERS Index scores for each energy simulation file. When calculating the HERS Index point variance allowed for a given Index, round down to the nearest whole Index point, with the allowable cumulative variance never less than four (4) HERS Index points.~~

For example, if an energy simulation file shows an initial HERS Index of 75, the allowable cumulative variance in the HERS Index score is  $75 \times 5\% = 3.75$ , or an allowable cumulative variance of no more than the 4 HERS Index minimum. If during the QA review, the QA determines that corrections to the energy simulation file were necessary which moved the HERS Index down 2 points and up 3 point, for a cumulative move of 5 HERS Index points, then the rating shall be deemed "non-compliant."

#### **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 QARating 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 Field Rreview 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 HERS 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 AND~~ 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.

~~908.1.2~~ **Committee Responsibilities.** The QA Committee shall have:

~~908.1.2.1~~ **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~~ Executive Director.

**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. Nomination of Committee members shall be made by the Chairman. The Committee shall be composed of a minimum of five (5) members, but no more than seven (7) members including the chairman. The Committee shall consist of a minimum of two (2) ~~Home Energy~~ HERS 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.

## **909 ETHICS AND COMPLAIANCE COMPLAINTS**

### **909.1 Filing of Ethics and Compliance Complaints**

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

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

**909.1.3** 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 the RESNET's online ethics or compliance complaint form posted on the RESNET web-site and contain the following information:

**909.1.3.1** The name of the complainant and contact information;

**909.1.3.2** The name of the party that is the subject of the complaint;

**909.1.3.3** A complete description of the alleged violation(s);

**909.1.3.4** A recitation of all the facts documenting the complaint;

**909.1.3.5** Copies of all relevant documents.

## **909.2 Investigation of Complaints**

**909.2.1** Upon receipt of a complaint, ~~the RESNET Executive Deputy 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 909.1.23 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 Deputy 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 Deputy Executive Director~~ shall ~~immediately forward the response to the RESNET Ethics and Appeals Committee for consideration and action.~~ ~~Within~~W~~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~~Committee Deputy Director's RESNET's action.

**909.2.6** ~~Complainants' Actions~~ shall ~~be subject to 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.

## ~~910 ACCREDITATION COMMITTEE~~

### ~~910.1 Committee Membership.~~

~~The Accreditation Committee shall be chaired by a member of the RESNET Board of Directors. The Chair shall be a person approved by the RESNET Board. Nominations of Committee members shall be made by the Chair.~~Chairman.

~~910.2 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.~~ Quality Assurance

### ~~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 910.2.3.1.2 or 910.2.3.1.3~~

~~**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 910.2.3.2.2 or 910.2.3.2.3.~~

~~**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 1<sup>st</sup> 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 1<sup>st</sup> of each calendar year. By September 1<sup>st</sup>, 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—~~910 PROBATION, SUSPENSION, AND REVOCATION OF ACCREDITATION

### ~~9120.1~~ 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~~911 of this Chapter.

### ~~9120.2~~ 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~~911 of this Chapter.

#### ~~9120.2.1~~ Types of probation:

~~9120.2.1.1~~ Administrative Probation. Results from violations found through a Rating Quality Assurance 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:

~~9120.2.1.1.1~~ Failure to submit to RESNET any material information required to be submitted by the Provider, in accordance with obtaining or maintaining accreditation;

~~9120.2.1.1.2~~ Failure by a Rating Quality Assurance Provider to make annual changes/updates to a Provider’s their Policies and Procedures;

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

~~9120.2.1.1.34~~ Failure by a Rating Quality Assurance Provider to adhere to requirements for quality assurance of HERS Raters that causes a minor deficiency in the QAQuality Assurance of one or more HERS Raters;

**9102.2.1.1.45** Failure by a Rating Quality Assurance Provider to adhere to requirements for HERS Rater certification and re-certification;

**9102.2.1.1.56** Failure by a Rating Quality Assurance Provider to enforce corrective action requirements for HERS Raters having non-conforming QAQuality Assurance results;

**9102.2.1.1.67** Failure to adhere to one or more provisions of the RESNET Standards.

**9102.2.1.2** Disciplinary Compliance Probation. More serious compliance violations found through a Rating Quality Assurance Provider's QAQuality Assurance 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:

**9102.2.1.2.1** 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;~~

**9102.2.1.2.23** Investigated and validated ethics or compliance complaints against a Provider;

**9102.2.1.2.34** Failure by a Rating Quality Assurance Provider to follow their complaint resolution process regarding actions of the Provider or their HERS Raters;

**9102.2.1.2.45** Failure by a Rating Quality Assurance Provider to follow a Provider's their HERS Rater/RFI Disciplinary pProcedures;:-

~~**9102.2.1.2.5** 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;~~

~~**9102.2.1.2.6** A Rating Quality Assurance Provider knowingly registering fraudulent ratings to the National RESNET Registry;~~

~~**9102.2.1.2.7** Willful misconduct;~~

~~**9102.2.1.2.8** A Provider shall at a minimum be placed on Disciplinary Probation if they have been placed on Administrative Probation twice within twelve months. for the same issue and the issue has re-occurred for a third time.;~~

9102.2.1.2.9 Rating Quality Assurance Providers placed on Disciplinary Compliance Probation by RESNET will be subject to a fine set by the RESNET Board of Directors.

### **9102.3 Suspension**

**9102.3.1** 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:

**9102.3.1.1** A Provider has had more than one (1) Disciplinary Probation violation within a twelve-month period;

**9102.3.1.2** Failure to correct the terms of a Disciplinary Probation during the time period defined in the notice of probation;

**9102.3.1.3** Submission of false information to RESNET in accordance with obtaining or maintaining accreditation;

**9102.3.1.4** 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;

**9102.3.1.5** A Rating Quality Assurance Provider Kk knowingly registering fraudulent ratings to the National RESNET Registry ~~by Rating Providers~~;

**9102.3.1.6** Willful misconduct;

**9102.3.1.7** 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.

**9102.3.2** 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.

**9102.3.3** 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.

**9102.3.4** RESNET shall electronically inform accredited QA Rating Quality Assurance Providers, Quality Assurance Contractors, HERS Rating Software Providers, Rater ~~Trainers-Instructors/Assessors~~ and ~~Home Energy~~ HERS Raters of a QA Provider's accreditation suspension.

**9102.3.5** Prior to reinstatement, the Provider shall:

**9102.3.5.1** Successfully resolve the issue(s) that resulted in the Provider being suspended;

**9102.3.5.2** Inform RESNET in writing as follows:

**9102.3.5.2.1** That ~~912.3.1.3.1~~ issue(s) that resulted in the Provider being suspended ~~has~~ yes been ~~successfully resolved~~ completed;

**9102.3.5.2.2** Stating the steps taken to resolve the issue(s);

**9102.3.5.2.3** Stating the steps that will be taken to prevent the issue(s) from occurring again in the future; and

**9102.3.5.2.4** Requesting that RESNET reinstate the Provider's listing on the Directory.

**9102.3.5.3** Rating Quality Assurance Providers Suspended by RESNET who wish to be reinstated must pay a fine set by the RESNET Board of Directors.

#### **9102.4** Revocation

**9102.4.1** 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:

**9102.4.1.1** A Provider has had more than two (2) Disciplinary Probation violations within a twelve month period;

**9102.4.1.2** In the event that deficiencies stipulated in a notice of suspension have not been remedied within the period set forth in such notice;

**9102.4.1.3** Pursuant to any of the express provisions of sections ~~914~~ 103.3.5, ~~non~~ renewal ~~non-renewal~~;

**9102.4.1.4** Provider goes out of business;

**9102.4.1.5** Upon expiration of a Provider's right to appeal a suspension of accreditation pursuant to Section ~~912~~ 913 of this Chapter;

**9102.4.1.6** Fraud;:-

**9102.4.1.7** A Principle of the organization has been convicted of or has admitted to a felony or is listed on any state or federal sex offenders list, when deemed to impact performance or industry reputation.

**9102.4.2** 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 appropriate National RESNET Provider Directory.

**9102.4.3** RESNET shall post Providers whose accreditation has been revoked. The Providers revocation listing shall be removed when the Provider successfully complies with the terms of the revocation.

**9102.4.4** RESNET shall electronically inform accredited ~~QA~~Rating Quality Assurance Providers, Quality Assurance Contractors , HERS Rating Software Providers, Rater ~~Trainers-Instructors/Assessors~~ and ~~Home Energy-HER~~ HER Raters of a QA Provider's accreditation revocation.

### **9102.5 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.

**9102.5.1** 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.

**9102.5.2** Providers have the right to appeal a probation, suspension or revocation action in accordance with Section 912 of this Chapter.

**9102.5.3** 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 and any directory listing from the RESNET website and post their probation, suspension or revocation status on the RESNET website with other Providers and HERS Raters who are under probation, suspension or revocation, and will, at a minimum, inform ~~the~~ EEP's of their suspended/revoked status.

~~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.~~

### **913911 APPEALS PROCEDURES**

**911.1913.1** Appeals of Provider and RESNET actions shall be made first to the RESNET Executive Director, then to the RESNET Ethics and Appeals Committee, then to the RESNET Board of Directors.

**911.2913.2** 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

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Appellant shall then have ~~ten~~fifteen (15~~0~~) business days after the date of notice to submit appeal documentation to the RESNET Executive Director.

**911.3~~913.3~~** Appeals shall include all relevant information and documentation and be sent in writing by electronic mail to the RESNET Executive Director.

**911.4~~913.4~~** During the appeals process, all parties to the appeal may petition the body hearing the appeal (i.e. RESNET Staff~~Executive Director~~, the RESNET Ethics and Appeals Committee, or RESNET Board of Directors) for a stay of action on suspension or revocation upon expiration of the appeals process. A decision on the petition shall be rendered by the hearing body not later than ten (10) business days after receipt of the petition. In the event that additional information is requested, an extension of ten (10) business days may be applied in order to allow the appellant sufficient time to respond.

~~**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.~~

**911.5~~913.6~~** Within twenty~~ten~~ (2~~1~~0) business days of receiving the appeal, ~~or the date of a hearing,~~ RESNET Executive Director, the Ethics and Appeals Committee, or RESNET 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.

**911.6~~913.7~~** All parties to the appeal shall be informed by electronic mail of the decision.

**911.7~~913.8~~** All appeals documentation received by RESNET shall be handled in strict confidence by RESNET staff, the Ethics and Appeals Committee, and the RESNET Board of Directors.



## Appendix B-201x

# GLOSSARY OF TERMS

~~**Accredited Rating Quality Assurance or QA Provider** – A Rating Quality Assurance Provider accredited by RESNET in accordance with Chapters 1 and 9 of the RESNET Standards to certify and perform quality assurance of Raters.~~

~~**Confirmed Rating** – A Rating accomplished using data gathered from verification of all rated features of the home in accordance with Section 303.8 and Chapter 8 of this Standard (e.g., on-site visual inspections, on-site diagnostic test results or default values for envelope air leakage rates and distribution system efficiencies) See ANSI/RESNET 301- 2014.~~

~~**Direct Rating Quality Assurance Provider (Direct Provider)** – A Rating Quality Assurance Provider who receives fees for rating work completed by third-party Rating Companies and/or whose staff conducts all or a portion of the work for a rating.~~

**Energy Simulation File** – The complete set of input data used by a RESNET-accredited rating software tool to determine the Home Energy Rating for the specified home as listed in ~~Section 102.1.4.11~~Chapter 3 of these Standards.

~~**Financial Interest** – An ownership interest, debt agreement, or employer/employee/contractor relationship. Financial interest does not include ownership of less than five percent of the outstanding equity securities of a publicly traded corporation.~~

**Home Energy Rater, or HERS Rater or Rater** – An individual meeting the minimum training requirements for HERS Raters set forth in Chapter 2 of these Standards, documented by an Accredited RESNET Training Provider, and certified by an ~~Accredited Rating Quality Assurance~~ Quality Assurance Provider to inspect a home to evaluate the minimum rated features and complete Home Energy Ratings (see also Rating Field Inspector ~~and Senior Certified Rater~~).

~~**Home Energy Rating Provider, or HERS Provider, or Rating Provider** – See Accredited Rating Quality Assurance Provider.~~

**Home Energy Rating System, or HERS<sup>®</sup>** - The procedures, rules and guidelines by which Home Energy Ratings are conducted by accredited Providers (Rating ~~Quality Assurance~~, Software, Training, Sampling, CEQ, Home Energy Survey), as specified in these Standards.

~~**National Home Energy Rating Technical Guidelines** – Voluntary home energy rating system technical guidelines adopted by the National Association of State Energy Officials (NASEO).~~

***National RESNET ~~Buildings~~ Registry*** - The national online registry of all rated homes, ~~and~~ Certified HERS Raters, Rating Field Inspectors, and Accredited Home Energy Rating Quality Assurance Providers which is maintained by RESNET.

***Primary Quality Agent*** – The one Quality Agent for a Quality Assurance Contractor who shall have ultimate responsibility, on behalf of the Quality Assurance Contractor, for fulfilling the quality assurance requirements listed in these Standards and who shall be the single point of contact to RESNET regarding all quality assurance matters.

***Projected Rating*** - ~~A Rating accomplished using minimum rated feature data derived from home plans and specifications or based on a site audit for a to be improved home which have not yet been implemented in the field. Projected Ratings are commonly generated prior to the construction of a new building or prior to the implementation of energy efficiency improvements to an existing building. See ANSI/RESNET 301- 2014.~~

***Quality Agent*** – An individual employed by a Quality Assurance Contractor or Third Party Rating Quality Assurance Provider who is certified as an agent of RESNET to perform quality assurance work as outlined in these Standards.

***Quality Assurance Contractor*** – A company who employs one or more Quality Agents certified by RESNET in accordance with these Standards.

***Quality Assurance Designee (QA Designee)***—~~An officer, employee, or contractor responsible for quality assurance within a Provider organization, who has met the requirements of section 905.3 of this Chapter and has signed an agreement with the Provider to be the Provider’s QA Designee.~~

***Quality Assurance Designee Delegate (QA Delegate)***—~~An individual certified as a Home Energy Rater , appointed by a Quality Assurance Designee to complete a portion of the Quality Assurance process, who has met the requirements of section 905.3 of this Chapter.~~

***Quality Assurance Designee, Primary (Primary QA Designee)***—~~The one QA Designee for a Provider who shall have ultimate responsibility, on behalf of the Provider, for fulfilling the Provider’s QA requirements/responsibilities and who shall be the single point of contact to RESNET regarding all Quality Assurance matters.~~

***Quality Assurance Plan***—~~A QA Provider’s written quality assurance processes and procedures as specifically required in Chapter 9 of these Standards.~~

***Rating Quality Assurance Provider or QA Provider*** – See Direct Rating Quality Assurance Provider and Third-party Rating Quality Assurance Provider~~Accredited Rating Quality Assurance Provider.~~

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~~***Rating, Projected***—A rating performed prior to the construction of a new building or prior to implementation of energy efficiency improvements to an existing building.~~

***EnergySmart Contractor Registry*** - The database maintained by a CEQ Provider of all EnergySmart Contractors they have approved.

~~***RESNET National Buildings Registry***—The national online registry of all rated homes and Certified Home Energy Raters which is maintained by RESNET.~~

***RESNET Quality Assurance Checklist*** – Checklist developed by RESNET for use by a Quality ~~***Agent Assurance Designee***~~ in evaluating a Rating Quality Assurance Provider’s compliance with the requirements of accreditation and quality assurance as stipulated ~~by Section 904.3 in Chapter 9~~ of these Standards, and which enumerates the individual requirements that must be verified annually.

***Sampled Rating*** - See ANSI/RESNET 301- 2014.

***Third-party Rating Quality Assurance Provider (Third-party Provider)*** - A Rating Quality Assurance Provider whose employees are not allowed to conduct any portion of the work for a HERS rating but who may receive fees for performing quality assurance work as outlined in these Standards, quality assurance oversight, certification and other Quality Assurance Provider related duties.