



Setting the Standards for  
Home Energy Efficiency

## Results of RESNET Board Ballot on Authorizing Submitting the RESNERT Quality Assurance Committee's Proposed Substantive Changes of the RESNET Quality Assurance Standards to the RESNET Standard Amendment Public Review and Comment Process

August 30, 2013

***Shall the RESNET Board of Directors authorize submitting the RESNERT Quality Assurance Committee's proposed substantive changes of the RESNET quality assurance standards to the RESNET standard amendment public review and comment process? (Attachment A)?***

Yes (19)

No (0)

Abstain (0)

Not Voting (1)

Ben Adams  
Jacob Atalla  
David Beam  
Dave Bell  
Steve Byers  
Dennis Creech  
Brett Dillon  
Philip Fairey  
David Goldstein  
Andy Gordon  
Roy Honican  
Mark Jansen  
Lee O'Neal  
Jim Petersen  
Nancy St. Hilaire  
Dennis Stroer  
Greg Thomas  
Joseph Triolo  
Barb Yankie

Paul Stalknecht

The amendment was adopted.

# Attachment A



## Proposed Standards Revision

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Date: 08/20/13

Amendment #2013-XX

Proponent: Quality Assurance Committee

Organization: RESNET

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### Justification:

The RESNET Quality Assurance Committee has completed its review of public comments for updates to the RESNET Standards. During this review, the Committee identified several more sections which require further updating and that are beyond the scope of the public comment review process. Below are the revisions necessary to address this additional updating. The effective date for these revisions, following a public comment period and approval by the Board, will be January 1, 2014, coinciding with the effective date of the rest of the revisions completed to date.

## Chapter One RESNET Standards

### 100 RESNET NATIONAL STANDARD FOR RATINGS QUALITY ASSURANCE PROVIDERS

#### 101 GENERAL PROVISIONS

102.1.4.7.2 Suspension. ~~At the discretion of the Provider, a~~ny Rater certified by a Provider ~~shall~~may have their certification suspended for circumstances including, but not limited to, any of the following:

102.1.4.7.2.1 For non-compliance with the terms of probation;

102.1.4.7.2.2 Continued discovery of violations through increased quality assurance reviews in accordance with section 904.4.3;

102.1.4.7.2.3 Two Probations within a twelve month period;

102.1.4.7.2.4 Willful misconduct;

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

**102.1.4.7.2.6** Provisions for Rater suspension shall include:

**102.1.4.7.2.6.1** Written notification to the Rater including the cause, terms and restrictions including notification of the suspension of the Rater's ability to complete, submit or acquire any new rating projects or new rating business recognized by the Provider as of the date of suspension;

**102.1.4.7.2.6.2** Notification of suspension to RESNET through the Buildings Registry, known Rater clients (i.e. builders or other organizations with repeat business with a Rater or Rating Company), RESNET, EPA or other known EEPs;

**102.1.4.7.2.6.3** Removal of the Rater's name and in cases of a single Rater company, the company name from any promotional website or lists maintained by Provider.

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

**102.1.4.7.2.7.1** The Rater ~~can~~ shall document the ratings as previously started by providing submit to the Provider ~~a current copy~~ of the Rating file, including but not limited to a projected electronic building file, copy of plans, data collection take off and any previously completed site visit forms documentation for the home(s) in question;

~~102.1.4.7.2.7.2~~ ~~The Rater can document receipt of payment (partial of full) for services rendered related to the ratings~~

**102.1.4.7.2.7.32** The Rater agrees to complete the ratings within a defined minimum timeframe (maximum of 90 days) in compliance with RESNET Standards;

**102.1.4.7.2.7.43** The Provider shall complete, and Rater agrees to be subject to, file QA for each identified rating completed under this Section. Rater agrees to pay any associated Provider fees for the additional required QA file reviews;

**102.1.4.7.2.7.54** The Provider shall complete, and Rater agrees to be subject to, field QA for 50% of the identified ratings completed under this Section;

**102.1.4.7.2.7.65** The Rating client is informed and agrees to the terms of completion thereby acknowledging the terms and conditions of Rater suspension.

**102.1.4.7.2.8** Successful compliance with the terms of suspension ~~may will~~ result, ~~at the Provider's discretion,~~ in the Rater being placed on probation. At a minimum the duration of a suspension is 90 days from notification, with the ability for a Rater's accreditation to be re-instated after 90 days under agreed upon terms of probation.

**102.1.4.7.3** Revocation – ~~At the discretion of the Provider, a~~Any Rater certified by a Provider ~~may shall~~ have their certification revoked for circumstances including, but not limited to, any of the following:

**102.1.4.7.3.1** A Rater chooses to not renew their certification;

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

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

**102.1.4.7.3.4** The continued discovery of violations through the mandatory RESNET QA requirements;

**102.1.4.7.3.5** Fraud.

**102.1.4.7.3.6** Provisions for revocation of Rater certification shall include:

**102.1.4.7.3.6.1** 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;

**102.1.4.7.3.6.2** Notification of termination to known Rater clients (i.e. builders or other organizations with repeat business with a Rater or Rating Company), RESNET, EPA or other known EEP;

**102.1.4.7.3.6.3** Removal of the Rater's name and in cases of a single Rating Company name from any promotional website or lists maintained by the Provider;

**102.1.4.7.3.6.4** Indicate the rater's revocation in the RESNET Building Registry;

**102.1.4.7.3.6.5** Rater's who have their certification revoked may at their initiative re-apply for certification to any QA Provider as a Rater

candidate after a period of no less than 180 days from the date of revocation provided the following conditions are met:

## Chapter Nine

# RESNET Standards

### 900 RESNET NATIONAL STANDARD FOR QUALITY ASSURANCE

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

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

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

**903.2.1** Rating electronic files;

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

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

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

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

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

**903.2.3** Complaint files;

**903.2.4** Rater agreements;

**903.2.5** Rater registry;

**903.2.6** Disclosure files;

**903.2.7** Rating databases;

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

**903.2.9** "Shadowing" a QA Provider's QA Designee, Raters, or Rating Field Inspectors in the field.

#### **904.4 Quality Assurance of Raters and Ratings**

**904.4.1** Quality assurance file review (QA file review)

**904.4.1.1** For each Rater, the Provider's QA Designee shall be responsible for an annual QA file review of the greater of one (1) home or ten percent (10%) of the Rater's annual total of homes for which Confirmed [or Sampled](#) ratings were provided. When determining the number of homes to review for a Rater, round up to the next whole number when the percentage calculation yields a decimal point, e.g. 101 homes x 10% = 10.1 means that 11 homes shall be reviewed.

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

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

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

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

**904.4.1.3.3** For each Confirmed Rating, confirm that the values entered into the Rating Software for all Minimum Rated Features are ~~either RESNET defined defaults or are~~ supported by actual on-site field-~~confirmed-verified~~ test data, ~~using threshold diagnostic values or actual diagnostic values. The values entered into the rating software for a Confirmed Rating are permitted to represent a Worst Case analysis.~~

## **908 QUALITY ASSURANCE COMMITTEE; ETHICS AND APPEALS COMMITTEE**

### **908.1 Quality Assurance Committee**

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

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

~~908.2.2 Review and rule on the merits of appeals from the Ethics and Appeals Committee;~~

### **908.3.2 Ethics and Appeals Committee**

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

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