

Date: 10/05/09

Amendment #2009-XX

Proponent: Daran Wastchak, Chair

Organization: RESNET, Quality Assurance and Ethics Committee

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### **Justification:**

The RESNET Standards have quality assurance (QA) requirements stipulated throughout the various chapters, making it confusing for the Rating Industry to have a clear understanding of all of the RESNET QA requirements, how these requirements affect them and what, exactly, they are responsible for. To address these issues, the RESNET Quality Assurance and Ethics Committee has undertaken an extensive Standards revisions process with two goals in mind. The first goal is to consolidate all of the RESNET QA requirements into a new chapter in the Standards. The second goal is to undergo a comprehensive review of the existing QA policies and procedures currently stipulated in Standards and make recommendations on updates and refinements that will strengthen RESNET's ability to implement a credible quality assurance program.

The Committee determined at the outset of this revisions process that the revisions would have to be completed in two "phases" in order to efficiently execute all of the modifications while minimizing confusion during the public comment period. Phase I is devoted to "editorial" type changes. Phase II will be devoted to "policy" type changes, i.e. changes that would fundamentally change how RESNET executes Quality Assurance.

In Phase I, which is the subject of this Proposed Standards Revision, the QA Committee has for the most part focused on the mechanics of moving the various QA sections from throughout the chapters in the RESNET Standards into a new Chapter 9. Chapter 9, out of necessity, does have new material within it, but this new material has been mostly added to clarify already in place policies and procedures, some of which were being followed in practice but not previously codified in the Standards. While undertaking this effort, the QA Committee found it necessary to go slightly beyond the basic mission of consolidating the QA sections and to along the way also "clean-up" parts of the Standards that are now confusing and/or relics from the original standards created many years ago, but which are no longer relevant or necessary.

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## Proposed Revisions:

*Modify Chapters 1, 2, 4, 5, 6 and 7 and create a new Chapter 9 as follows:*

# Chapter One

## RESNET Standards

### 100 ~~RESNET NATIONAL STANDARD ACCREDITATION STANDARD FOR~~ HOME ENERGY RATINGS PROVIDERS

#### 101 GENERAL PROVISIONS

##### 101.1 Purpose

The purpose of ~~this~~ these standards is to ensure that accurate and consistent home energy ratings are performed by accredited home energy rating ~~systems~~ Providers through their Raters nationwide; to increase the credibility of the rating ~~systems~~ Providers with the 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 ~~mortgage industry~~ public and ~~the states~~ private sectors have identified the need for an accreditation process for home energy rating ~~systems~~ Providers. This accreditation process ~~will~~ may be used by these ~~stakeholders mortgage industry~~ stakeholders to accept home energy ratings and ~~by the states~~ 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 ~~its~~ housing markets the ability to differentiate residences based on their energy efficiency. ~~This~~ These home energy rating ~~system process~~ Standards ~~has~~ have been developed to satisfy the above purposes.

~~101.1.1 Relationship to other Standards. This standard is a companion chapter to the “National Rater Training and Certifying Standard (Chapter Two of this document, and “National Energy Rating Technical Standard (Chapter Three).~~

**101.1.2 Relationship to State Law.** ~~This~~ These ~~standard~~ Standards specifically recognizes the authority of states that have laws requiring certification or licensing of home energy rating ~~systems~~ Providers. To the extent that state laws differ from ~~this~~ these ~~standard~~ Standards, state laws shall govern.

##### 101.2 Scope

This document sets out the procedures for the accreditation of home energy rating ~~systems~~ Providers and technical standards by which home energy ratings shall be conducted so

their results will be acceptable to ~~the mortgage industry~~ all public and private sector industries that may require an objective, cost-effective, sustainable home energy rating process. ~~Accreditation involves the active participation of state energy offices; therefore, there may be instances in which state laws or regulations will have additional requirements to those specified in this document.~~

## **102 ACCREDITATION CRITERIA**

### **102.1 Minimum Standards for Home Energy Rating Provider Accreditation**

An accredited Home Energy Rating Provider is responsible for insuring that all of the ratings issued by the Provider comply with all of the criteria by which the Provider was accredited. A Home Energy Rating System Must Specifically Meet the Following Minimum Standards. Home Energy Rating Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A Home Energy Rating Provider must specifically meet the following minimum standards for Accreditation.

**102.1.1** A 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.

**102.1.1.1** Have a QUALITY Assurance QA Designee that oversees the Provider's compliance with Chapter 9 of these Standards and any specific QA requirements for other Provider categories that may apply to a particular organization-

~~102.1.1.1~~ A home energy rating system shall designate an officer, employee, or contractor to be responsible for QUALITY assurance within the organization. This definition does not prohibit a rating provider Provider's QUALITY Assurance Designee from having a qualified certified home energy rater Rater perform the required QUALITY assurance file review and field inspection functions. A QUALITY Assurance Designee Delegate shall meet the criteria contained in 102.1.2. The QUALITY Assurance Designee, however, remains responsible for the accuracy and compliance of the provider Provider's QUALITY assurance program, including reviews and inspections completed by a QA Delegate. The responsibilities of the designee shall include:

~~102.1.1.1.1~~ Maintenance of QUALITY assurance files

~~102.1.1.1.2~~ Review of ratings by rater Rater trainees and during the probationary period

~~102.1.1.1.3~~ Monitoring of ratings by certified rater Raters Raters

~~102.1.1.2~~ The designated officer, employee, or contractor responsible for QUALITY assurance shall demonstrate sufficient experience with the home energy rating system knowledge base and skills given in Section 205.1 of Chapter Two of the Standard to review the work of trainees and certified rater Raters Raters. Sufficient experience shall be demonstrated by either of the following:

~~102.1.1.2.1—Certification as a RaterRater-Trainer~~

~~102.1.1.2.2—Passing the RESNET QUALITY Assurance Designee Test~~

~~102.1.1.3—Proof of qualification shall be submitted with an application for accreditation.~~

~~102.1.1.4—If the QUALITY assurance designee leaves the home energy rating system, the providerProvider shall have sixty (60) calendar days to notify RESNET of the new designated officer, employee, or contractor or be subject to suspension of the accreditation under the provisions of Chapter One, Section 9, Suspension and Revocation of Accreditation.~~

~~102.1.2—QUALITY Assurance Designee Delegate~~

~~102.1.2.1—A QUALITY Assurance Designee Delegate must be a certified home energy raterRater and have completed the portion of the inspection or rating process for which the individual is performing QUALITY Assurance tasks on a minimum of 25 homes. In other words, if the Delegate is repeating on-site testing and inspections as part of the QUALITY Assurance process, that individual must have at least performed these tasks on a minimum of 25 homes.~~

~~102.1.2.1.1—In addition, the QUALITY Assurance Designee shall determine accuracy of the delegated RaterRater(s) in qualifying to perform QUALITY assurance tasks, and ongoing performance of those tasks, by reviewing the results of the QUALITY assurance process for that RaterRater (i.e. 1% field verification/10% file verification) with a maximum allowable variance of +/- 5% on annual loads (i.e. heating, cooling and water heater loads as impacted by insulation assessment, blower door tests, duct leakage to outside, sq. ft. of windows, weather station selection, etc.).~~

~~102.1.2.2—No step in the QUALITY assurance 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 QUALITY assurance review. In other words, if an individual performed any part of the inspection or rating process on a home, that individual cannot be the QUALITY Assurance Designee or Delegate performing any part of the QUALITY assurance process specific to that home.~~

~~102.1.2.3—The QUALITY Assurance Designee shall provide to RESNET a listing of the certified RaterRater(s) it has delegated to undertake QUALITY assurance reviews on behalf of the Designee and must keep and provide documentation of their qualifications, including evidence of passing the RaterRater and/or QUALITY assurance exam and ongoing QUALITY assurance results. The potential penalty for non-compliance with these selection or documentation requirements is the individual losing QUALITY Assurance Designee status and the ProviderProvider losing accreditation.~~

**102.1.3 Rater Certification Standards.** Certification and recertification of energy raters shall be made by ~~accredited rater providers~~Home Energy Rating Providers, which shall include the following provisions:

**102.1.3.1** A Home Energy Rating Provider ~~rating provider~~ shall provide documentation that their ~~rater~~Raters meet the ~~rater~~Rater certification provisions contained in Chapter Two of these standards.

**102.1.3.2** Performance evaluation of ability to perform accurate ratings. Each ~~rater~~Rater shall complete a probationary period where close supervision is provided. This period covers a minimum of three ratings above the two supervised ratings that are conducted in ~~rater~~Rater training, after which the supervisor shall determine if additional training is needed.

**102.1.3.3** ~~Continuing Education. Raters must have 12 hours of approved continuing education and training units approved by the rating provider~~Provider every three years. Ten hours of the training must be approved by RESNET. Professional Development for Raters. Raters shall complete one of the below three options:

102.1.3.3.1 Complete 18 hours of 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.

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

102.1.3.3.1.2 The Training and Education Committee shall identify areas of Importance;

102.1.3.3.1.3 Instructor shall be required to pass an exam.

OR

102.1.3.3.2 Documentation of 18 hours of attendance at a RESNET Conference in three years would fulfill this requirement.

OR

102.1.3.3.3 Pass the Rater Test every three years.

**102.1.3.4** Rater Testing. All certified Raters must take the national home energy rater test administered by RESNET by January 1, 2008.

**102.1.3.5** Recertification of ~~raters~~Raters no less than every three years.

**102.1.3.6** ~~Rater~~Rater Agreements. As a condition of ~~rater~~Rater certification, each ~~provider~~Provider shall ensure that a certified ~~rater~~Rater who has met the requirements of Chapter 2, ~~Rater~~Rater Training Requirements, has entered into a written agreement with the ~~provider~~Provider to provide home energy rating, field verification, and diagnostic services in compliance with these standards. A copy of the ~~rater~~Rater written agreement shall be provided to RESNET with the ~~provider~~Provider's accreditation application and within 60

days of making changes to the agreement. The written agreement shall at a minimum require ~~rater~~Raters to:

**102.1.3.6.1** Provide home energy rating and field verification services in compliance with these standards;

**102.1.3.6.2** Provide accurate and fair ratings, field verification and diagnostic testing;

**102.1.3.6.3** Comply with the RESNET Code of Ethics. The “RESNET Code of Ethics” is posted at <http://www.natresnet.org/ethics.htm> on the RESNET website. The Code of Ethics shall be attached to the written agreement. An unexecuted copy of the written agreement shall be provided to RESNET with a Home Energy Rating ~~s~~Provider’s accreditation application and within 60 days of making changes to the agreement.

**102.1.4** A Home Energy Rating Provider shall provide documentation with its accreditation application that the energy rating software used to produce energy ratings is properly licensed.

**102.1.4–5** Minimum Standards for Home Energy Rating System’s Provider’s Operation Policies and Procedures must be written and provide for the following:

**102.1.4.1** Ratings from plans. If the home energy rating system Provider’s program provides for ratings by from plans, the rating be labeled as from plans. Such ratings may be used to demonstrate energy code compliance or programmatic qualification but must be confirmed through a field inspection upon completion of construction.

**102.1.4.2** Field inspection of all homes.

**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, home energy rating system Provider or the ~~rater~~Rater receiving quotes.

**102.1.4.5.2** Estimated energy and cost savings of improvements based upon assumptions contained in the home energy rating system Provider program.

**102.1.4.6** Written conflict of interest provisions that prohibits undisclosed conflicts of interest but allows waiver with advanced disclosure. The” Home Energy Rating Standard Disclosure” form adopted by the RESNET Board of Directors shall be completed for each home that receives a home energy rating and shall be provided to the rating client and made

available to the home owner/buyer. 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 rating ~~provider~~Provider shall ensure that all disclosures are adequately addressed by the ~~provider~~Provider's QUALITY assurance plan, in accordance with the relevant QUALITY assurance provisions of the standards.

**102.1.4.7** Written ~~rater~~Rater discipline procedures that includes progressive discipline involving Probation - Suspension – Termination.

~~102.1.4.8~~—Written rater QUALITY control process that includes at a minimum the following:

~~102.1.4.8.1~~—The ~~provider~~Provider's QUALITY assurance designee shall be responsible for the internal review of ratings submitted by its rater including:

~~102.1.4.8.1.1~~—Review of ratings conducted during the rater probation period. Prior to certifying a Rater candidate, the provider shall review at least three probationary ratings performed by the Rater candidate within 12 months of training.

~~102.1.4.8.1.2~~—Review of rating data files. For each Rater, the ~~provider~~Provider's QUALITY assurance designee shall annually evaluate a minimum of 10% of each Rater's rating data files. The provider shall resolve any problems detected during these reviews. Excessive problems will trigger field monitoring of the ~~Rater~~Rater.

~~102.1.4.8.1.3~~—Field monitored ratings. For each ~~Rater~~Rater, the ~~provider~~Provider's QUALITY assurance designee shall be responsible for an annual evaluation of the greater of one home or one percent of the ~~Rater~~Rater's annual total of homes for which confirmed ratings and/or diagnostic testing services were provided. The ~~provider~~Provider's QUALITY assurance designee shall ensure that a rating is independently repeated to determine whether the rating and/or diagnostic testing was accurately completed by the ~~Rater~~Rater, and determine whether information was completely collected and reported as required in 303.1 of Chapter 3 of these standards.

~~102.1.4.8.1.3.1~~—A rating ~~provider~~Provider may petition RESNET to waive the on-site inspection procedure for ~~Rater~~Raters that complete less than twenty five (25) ratings per year or less than fifty (50) ratings over a two year period (low volume ~~rater~~Raters). Said petition must provide full justification for the requested exemption.

~~102.1.4.8.1.3.2~~—The ~~Provider~~Provider shall provide a set of alternative QUALITY assurance procedures (e.g. increased percentage review of rating data files, digital

photo documentation) that ensure that the ~~Provider~~Provider meets the intent of the field inspection requirement.

~~102.1.4.8.1.3.3~~— In no case shall the ~~Provider~~Provider's alternative procedures allow less than 1% or 1 field inspection, whichever is greater, based on the sum total of all ratings performed by all low volume ~~Rater~~Raters who are certified by said ~~Provider~~Provider.

~~102.1.4.8.1.3.4~~— In no case shall the ~~Provider~~Provider's alternative procedures allow a certified low volume ~~rater~~Rater go more than two years without a QUALITY assurance field inspection of their work.

~~102.1.4.8.1.3.5~~— If there are consistent or substantial errors discovered in the data file review, a field inspection shall be conducted.

**102.1.4.8.2** Rating/Tax Credit Verification Recordkeeping. Providers and/or their certified Raters shall maintain records for each rating/tax credit verification.

**102.1.4.8.2.1** The QUALITY assurance record for each home shall contain at a minimum the electronic copy of the building file.

**102.1.4.8.2.2** The record for each rating/tax credit verification shall be maintained for a minimum of three years.

**102.1.4.9** Rater Registry. The ~~provider~~Provider shall maintain a registry of all of its certified Raters. The ~~provider~~Provider will also keep on file the names and contact information for all, including company name, mailing address, voice phone number, fax number, and email address. Upon request, the ~~provider~~Provider shall provide to RESNET its registry of certified Raters.

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

~~102.1.4.11~~—Data Submittal.— Upon RESNET's request, a provider shall submit to RESNET the number of homes for which ratings/tax credit verification were provided since the last data submittal. The ratings/tax credit verification 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.

**102.1.4.12** All ~~HERS providers~~Home Energy Rating Providers shall maintain an electronic database of information for each home rated or verified for the tax credit. The minimum content of the database is:

**102.1.4.12.1** A unique file reference with ID number;

**102.1.4.12.2** Date of on-site inspection;

**102.1.4.12.3** Raters name;

**102.1.4.12.4** Tool name and version;

**102.1.4.12.5** Identification of climate data used for the rating;

**102.1.4.12.6** Type of rating, either projected or confirmed;

**102.1.4.12.7** Use of rating:

**102.1.4.12.7.1** Time of sale rating;

**102.1.4.12.7.2** Pre-home improvement rating;

**102.1.4.12.7.3** Post home improvement rating; or

**102.1.4.12.7.4** Information only rating;

**102.1.4.12.8** Address of Rated Home;

**102.1.4.12.9** Home type;

**102.1.4.12.10** Floor area of conditioned space;

**102.1.4.12.11** Fuel types used by building heating, cooling and water heating systems;

**102.1.4.12.12** Minimum rated feature energy efficiency data used to determine the rating;

**102.1.4.12.13** In the four categories of heating, cooling, water heating and all other uses, the:

**102.1.4.12.13.1** Estimated annual purchased energy consumption in total;

**102.1.4.12.13.2** Estimated annual purchased energy consumption by fuel;

**102.1.4.12.13.3** Estimated annual energy costs in total; and

**102.1.4.12.13.4** Estimated annual energy cost by fuel.

**102.1.4.12.14** Estimated total annual energy cost for all uses;

**102.1.4.12.15** Rating score of the Rated Home on 0-100 points scale and 1-5+ stars category;

**102.1.4.12.16** To the extent allowed by state statute, all HERS ~~providers~~Providers shall for 10% or for 500 of the homes rated annually, whichever is less, maintain a database of the following:

**102.1.4.12.16.1** Homeowners authorization for the release of consumption information by utility companies;

**102.1.4.12.16.2** Climate data site used for energy estimation;

**102.1.4.12.16.3** Any energy efficiency improvements made to the home and date of completion.

**102.1.4.13** Site data collection manual. All HERS ~~providers~~Providers shall provide ~~raters~~Raters with a manual containing procedures for the on-site collection of data that are at a minimum shall include the on-site inspection procedures for minimum rated features for new and existing homes provided in appendix A.

## ~~102.2—Technical Requirements for Home Energy Rating Software Programs~~

~~102.2.1—A home energy rating provider shall provide documentation with its accreditation application that the energy rating software used to produce energy ratings are properly licensed and has successfully passed the “RESNET Rating Software Testing Specifications and Verification Procedures” to ensure that the software complies with the national home energy rating technical standards that are contained in Chapter Three of these standards. The “RESNET Rating Software Testing Specifications and Verification Procedures” are posted on RESNET’s Web site at [http://www.natresnet.org/programs/software/software\\_test.pdf](http://www.natresnet.org/programs/software/software_test.pdf).~~

~~102.2.2—Documentation that home energy rating software program used by the home energy rating system passed BESTEST developed by the National Renewable Energy Laboratory, “Home Energy Rating System Building Energy Simulation Test (HERS BESTEST),” Vols. 1 & 2 (NREL/TP-472-7332); using the criteria and example acceptability ranges as set forth in Appendix H of the above document.~~

## ~~103—ACCREDITATION PROCESS~~

### ~~103.1—Accreditation Process Requirements~~

~~103.1.1—National home energy rating system accreditation will be through the RESNET QUALITY Assurance and Ethics Committee appointed by the RESNET Board.~~

~~103.1.2 Home energy rating systems must meet the accreditation criteria listed above.~~

~~103.1.3 The Residential Energy Services Network (RESNET) will maintain the database of accredited home energy rating systems, “The National Registry of Accredited Rating ProviderProvidersProviders” which is posted at <http://www.resnet.us/programs/providerProvidersProviders/directory.aspx>.~~

~~103.1.4 Application Process:~~

~~103.1.4.1 A home energy rating system seeking accreditation must file its application developed by RESNET. Upon receiving an application, RESNET staff will review the application using the accreditation standards set forth herein and forward to the RESNET QUALITY Assurance and Ethics Committee.~~

~~103.1.5 Confidentiality of Information. Any home energy rating system submitting the required application information and desiring to have certain information treated as confidential in order to limit disclosure shall, at the time of submission, attach a statement specifying the proprietary information and requesting confidentiality. The request for confidentiality will be limited in the state energy office review by state law.~~

~~103.1.6 Review and Notification.~~

~~103.1.6.1 Applications reviewed under 103.1.4.1. Within 30 days of receipt of a complete application, RESNET staff will review the submission for compliance to the accreditation standards set forth within and either: forward the application and review checklist to the RESNET QUALITY Assurance and Ethics Committee and notify the home energy rating system of this action, or forward to the applicant a request for additional information or clarification.~~

~~103.1.6.2 Within 30 days of receipt of the completed application and review checklist, the RESNET QUALITY Assurance and Ethics Committee will review the submissions, make a determination of whether the applicant meets the accreditation standard, and if it does issue a unique home energy rating system accreditation identification number. This initial accreditation is valid for a period of three years from the date of issuance. The accreditation will be incorporated into a national registry of accredited home energy rating systems and listed on the RESNET web site on the Internet. In order to maintain currency and credibility for the registry, renewal of accreditation is required annually.~~

~~103.1.6.3 If the RESNET QUALITY Assurance and Ethics Committee determines that the applicant does not meet the accreditation standard, it shall inform the home energy rating system, identify where the applicant failed to meet the accreditation standard, and inform the applicant its right of remedy under 109.3.~~

~~104 ACCREDITED HOME ENERGY RATING SYSTEMS~~

#### **~~104.1—Responsibilities of Accredited Home Energy Rating Systems~~**

~~The accredited home energy rating system is responsible for insuring that all of the ratings issued by the system comply with all of the criteria by which the system was accredited.~~

### **~~105—QUALITY ASSURANCE~~**

#### **~~105.1—RESNET QUALITY Assurance Review of Accredited Provider~~Providers~~Providers~~**

~~105.1.1—RESNET shall randomly select a limited number of accredited provider~~Providers~~Providers~~ ~~annually and conduct a review of their files. The RESNET Board of Directors shall determine the number of provider~~Providers~~Providers~~ ~~that shall be reviewed on an annual basis and who will provide the QUALITY assurance review. An accredited rating provider~~Provider ~~may have the right to challenge the QUALITY assurance reviewer for cause.~~

~~105.1.2—Records that may be reviewed include:~~

~~105.1.2.1—Rating electronic files~~

~~105.1.2.2—Rating QUALITY assurance records~~

~~105.1.2.3—Complaint files~~

~~105.1.2.4—Rater~~Rater ~~agreements~~

~~105.1.2.5—Rater~~Rater ~~registry~~

~~105.1.2.6—Disclosure files~~

~~105.1.3—Significant inconsistencies or errors in the files reviewed may result in a field review.~~

### **~~106—RESNET ETHICS COMMITTEE~~**

#### **~~106.1—Purpose of Committee~~**

~~The RESNET Ethics Committee shall have the responsibility of investigating ethics complaints and reporting findings and recommendations to the RESNET Board of Directors.~~

~~106.1.1—Composition of the Committee:~~

~~106.1.1.1—The ethics committee will be composed of five members.~~

~~106.1.1.2—The members of the ethics committee shall be appointed by the RESNET Board of Directors.~~

~~106.1.1.3 Ethics committee members shall have staggered two-year terms.~~

## ~~107 ETHICS COMPLAINTS~~

### ~~107.1 Filing of Ethics Complaints~~

~~107.1.1 Complaints may be filed against an accredited provider Provider for violating the RESNET Code of Ethics, for failing to enforce the ethics code with their certified Rater Raters Raters, or for failure to adhere to the accreditation requirements.~~

~~107.1.2 A complaint shall document the alleged violation(s). The complaint shall also be specific about which section(s) of the Code of Ethics or the accreditation standards have been violated. To be considered, the full and complete complaint shall be sent by registered mail to the Executive Director of RESNET and contain the following information:~~

~~107.1.2.1 The name of the complainant and contact information~~

~~107.1.2.2 The accredited provider Provider that is the subject of the complaint~~

~~107.1.2.3 A complete description of the alleged violation(s)~~

~~107.1.2.4 A recitation of all the facts documenting the complaint including contact information~~

~~107.1.2.5 Copies of any relevant documents~~

### ~~107.2 Investigation of Complaints~~

~~107.2.1 The RESNET Executive Director shall assign a case number and forward the complaint to the Ethics Committee. The committee shall consider the documentation contained in 107.1.2 in making a decision whether to proceed or dismiss the complaint.~~

~~107.2.2 In cases where the Ethics Committee finds the documentation submitted does not meet the minimum standards for a complaint, the complaint may be dismissed. Both parties shall be notified by registered mail of the Ethics Committee's finding.~~

~~107.2.3 Upon a decision by the Ethics Committee that the complaint should proceed to the next step, the RESNET Executive Director shall send a copy of the complaint by registered mail to the subject of the complaint immediately. The respondent has 30 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 registered mail.~~

~~107.2.4 Upon receipt of the response, the RESNET Executive Director shall immediately forward the response to the RESNET Ethics Committee for consideration and action. Within~~

~~thirty (30) days of receiving the complaint, the Ethics Committee shall take action on the complaint. The action may include, but is not limited to:~~

~~107.2.4.1 Dismissal of complaint.~~

~~107.2.4.2 Requirement that the rating provider~~Provider~~ take steps to correct the problem.~~

~~107.2.4.3 Recommendation of sanctions to the RESNET Board under Section 109 of this chapter.~~

~~107.2.5 All parties to the complaint shall be informed by registered mail of the Ethics Committee's action.~~

~~107.2.6 All complaints, responses, and supporting documentation shall be handled in strict confidence by the RESNET staff, the Ethics Committee, and the Board of Directors.~~

## ~~108 RENEWAL~~

### ~~108.1 Home energy rating system application for renewal~~

~~108.1.1 Home energy rating systems must submit an "Application for Renewal" no later than 120 days prior to the expiration of the current accreditation period. Renewal shall be required annually after the issuance of the unique accreditation registration number by the Mortgage Industry Home Energy Rating System Accreditation Committee. Renewal applications will be processed in the same manner as an initial application.~~

~~108.1.2 Late Application. Applications received later than specified above will be processed, to the maximum extent feasible, so that the accreditation does not expire. Should the expiration date pass, the applicant will be granted an extension not to exceed 30 days.~~

~~108.1.3 Successful Renewals. Successful renewals will be noted on the national registry and communicated to the applicant by the Mortgage Industry Home Energy Rating System Accreditation Committee.~~

~~108.1.4 Renewal Applications Extending Beyond the Grace Period. Renewals extending beyond the grace period will 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.~~

~~108.1.5 Accreditation Not Renewed. Home energy rating systems that elect not to renew or fail to meet renewal requirements will be removed from the national registry and so advised.~~

~~108.1.6 Appeals. Home energy rating systems whose accreditation has been revoked, and are exercising their right of appeal will be noted as pending and the home energy rating system will be advised to cease representing themselves as accredited until the appeal is resolved.~~

~~108.1.7~~ ~~Program Element Changes.~~ It is the home energy rating system's responsibility to provide the Mortgage Industry Home Energy Rating System Accreditation Committee with any proposed changes in the program's minimum home energy rater ~~Rater~~ certification procedures, minimum rater ~~Rater~~ training standards, minimum rater ~~Rater~~ certification standards, operation policies and procedures, information contained in the rating report or other information that effects its meeting the minimum accreditation criteria. Proposed changes will be evaluated by the accrediting review body in the same manner as the original or renewal application.

### 103 RATING SOFTWARE

~~108.1.8~~103.1 For the purposes of conducting Home Energy Ratings, as defined in these Standards, Providers shall be required to use the most current version of one of the RESNET approved rating software programs contained in the "National Registry of Accredited Rating Software Programs posted on the RESNET website.

103.2 ~~Rating Tool Software~~ Changes. Should changes that affect the calculated results of the home energy rating occur in the engineering algorithms of ~~the a RESNET approved~~ home energy rating system's tool software program, the home energy rating system will be required to submit verification that the tool continues to meet the BESTEST criteria for accreditation purposes. Providers shall also be required to use one of the currently approved versions of their chosen software are contained in the "National Registry of Accredited Rating Software Programs posted at <http://www.natresnet.org/programs/software/directory.htm>, as follows do the following:

~~108.1.8.1~~103.2.1 Transition period. On announcement of a new software version release, ~~providers~~ Providers have a maximum of 60 days to begin all new ratings with the new version.

~~108.1.8.2~~103.2.2 This requirement only applies to changes mandated by the technical standard or otherwise affecting the calculations of the rating score or projected energy savings.

~~108.1.8.3~~103.2.3 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 final rating on that property. Providers, at their option, may update to the latest software version for in-process ratings.

### ~~109~~ ~~SUSPENSION AND REVOCATION OF ACCREDITATION~~

#### ~~109.1~~ ~~For failure to correct deficiencies of home energy rating system~~

~~109.1.1~~ Probation. ~~If RESNET determines at any time that a home energy rating system has failed to adhere to the accreditation requirements, RESNET shall notify the home energy rating system 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. The notice of probation may be appealed to the RESNET QUALITY Assurance and Ethics Subcommittee in accordance with procedures set forth in Section 110.2.~~

~~**109.1.2**—Suspension.—In the event that the deficiencies have not been remedied as specified or can not be otherwise redressed to RESNET’s satisfaction, RESNET shall have the authority to immediately initiate suspension by issuance of a Notice of Suspension effective for a specified date set forth in such notification. Such Suspension shall follow the due process procedures contained in 109.3 below. The notice may be appealed to the RESNET QUALITY Assurance and Ethic’s Appeals Subcommittee in accordance with procedures set forth in Section 110.2.~~

~~**109.1.3**—Revocation.—In the event that the specified deficiencies are not corrected as specified in the Notice of Suspension, or the deficiencies are deemed to be of a sufficiently serious nature, a Notice of Revocation shall be issued by RESNET after review by the QUALITY Assurance and Ethics Committee’s Appeals and Ethics Subcommittee. Such Revocation shall follow the due process procedures contained in 109.3 below. The Notice of Revocation may be appealed to the RESNET QUALITY Assurance and Ethics Committee in accordance with the procedures set forth in Section 110.2.~~

## **109.2—For Cause**

~~**109.2.1**—Any home energy rating system accredited by the RESNET Board of Directors may have the accreditation revoked in any of the following circumstances:~~

~~**109.2.1.1**—Upon a determination by RESNET that a home energy rating system has acted in such a manner as to impair the objectivity or integrity of the accreditation program or harm the reputation of the accreditation committee including, but not limited to submission of false information to the accreditation review body, or failure to submit to the accreditation review body any material information required to be submitted by the home energy rating system, in connection with obtaining or maintaining accreditation; knowingly or negligently issuing ratings that fail to meet all of the accreditation criteria; or misrepresentation by the home energy rating system in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the home energy rating system.~~

~~**109.2.1.2**—Pursuant to any of the express provisions of Section 109.3 or any of the express provisions of the accreditation application, including but not limited to the following:~~

~~**109.2.1.2.1**—Home energy rating system goes out of business;~~

~~**109.2.1.2.2**—Home energy rating system does not re-apply at the end of existing accreditation period;~~

~~**109.2.1.2.3**—Failure to satisfy accreditation requirements on renewal;~~

~~**109.2.1.2.4**—Investigated and validated consumer complaints;~~

~~109.2.1.2.5—Willful misconduct;~~

~~109.2.1.2.6—Failure to disclose a self-serving interest.~~

### ~~109.3—Suspension/Revocation Due Process~~

~~109.3.1—RESNET shall comply with the following due process procedures in considering any suspension or revocation actions against an accredited home energy rating system after exhausting the appeals process specified in 110.2:~~

~~109.3.1.1—Notice. RESNET may, at its discretion, initiate a proposed suspension or revocation action against an accredited home energy rating system by providing the rating system written notice of the action sent by certified mail, return receipt requested, to the last known address of the rating system. Such notice shall inform the subject rating program of the entire basis and justification for the proposed action.~~

~~109.3.1.2—Contest of Proposed Suspension/Revocation. After exhausting the appeals process a respondent may contest a suspension/revocation by requesting a hearing with RESNET within 30 days of receipt of the determination of the appeal process.~~

~~109.3.1.3—Hearing. If the respondent files a timely response contesting the proposed suspension/revocation and requests a hearing, RESNET will appoint an independent, unbiased, and qualified hearing officer and issue a decision on the suspension/revocation. The hearing officer will review the notice of suspension/revocation and the respondent's contest. If the hearing officer finds that the respondent's contest has raised substantiated and valid factual argument to the contrary of the proposed suspension/revocation, the respondent shall be afforded an opportunity to participate in an open and public telephonic hearing, and to submit additional documentary evidence, and rebuttal argument to any material contained in the original notice of suspension/revocation or developed during the course of the hearing officer's investigation. The notice shall be provided to the respondent by written notice by certified mail, return receipt requested, to the last known address of the rating system at a minimum of 120 days before the scheduled hearing.~~

~~109.3.1.4—Hearing Officer's Decision. The hearing officer shall issue a written decision on the proposed suspension/revocation that is based on all the information contained in the hearing record including statements of the factual and legal basis of the decision. If the hearing officer decides to impose suspension or revocation, the decision must include findings regarding all disputed materials, and justification for all findings. A suspension/revocation decision by the hearing officer shall take effect upon the issuance of the hearing officer's decision and the written notification of such decision to the respondent.~~

~~109.3.1.5—No ex parte Communication. No ex parte communication between the parties and the hearing officer shall be allowed.~~

~~109.3.1.6 Notification of state's determination. Where a state has statutory authority to regulate home energy rating system and the state has followed its due process in suspending or revoking a rating system, the state is encouraged to notify RESNET of the action and the reasons for such action.~~

## ~~110 APPLICATION APPEAL PROCESS~~

~~Appeals procedures for applications not approved, suspended or revoked.~~

### ~~110.1 Notification~~

~~110.1.1 RESNET shall notify the home energy rating system and the accreditation review body of any decisions. Additionally, RESNET shall clearly notify the home energy rating system of the procedures and right to remedy.~~

### ~~110.2 Appeal~~

~~110.2.1 In the event that an accreditation application has been denied or revoked, or if the home energy rating system has been placed on probation or suspended, the home energy rating system shall have the right, for a period of 30 calendar days after the date of notice, to appeal to the RESNET QUALITY Assurance and Ethics Committee's Appeals and Ethics Subcommittee. The response shall contain all pertinent and substantive information and argument that is in contradiction to the proposed suspension/revocation, including identification of all disputed materials and facts.~~

~~In the event that an accreditation application was not approved or the accreditation has been suspended, the home energy rating system shall have the right, for a period of 30 calendar days after the date of notice, to appeal to the RESNET Board of Directors.~~

~~110.2.1.1 An appeal shall be in writing and sent by certified mail or other method which provides evidence of delivery to the Chairman of the RESNET QUALITY Assurance and Ethics Committee and shall specify the basis for the appeal.~~

~~110.2.1.2 The appellant home energy rating system may, at the time of noticing its appeal, request in writing, a hearing by the RESNET QUALITY Assurance and Ethics Committee's Appeals and Ethics Subcommittee. In such an event, the subcommittee shall, not later than 7 calendar days after the filing of the notice of appeal, notify the appellant home energy rating system of the date of the hearing, which shall be held as expeditiously as possible, but not later than 30 calendar days after the receipt of the notice of appeal.~~

~~110.2.1.3 In the event that a home energy rating system's appeal of its probation or suspension is rejected by the RESNET QUALITY Assurance Committee and Ethics Committee's Appeals and Ethics Subcommittee, the home energy rating system shall have the right, for a period of 30 calendar days after the date of the notification of the denial of the appeal to appeal to the RESNET QUALITY Assurance and Ethics Committee.~~

~~**110.2.1.4** In the event that a home energy rating system's appeal of its revocation is rejected by RESNET QUALITY Assurance and Ethics Committee, the home energy rating system shall have the right for a period of 30 calendar days after the notification of the denial of the appeal to appeal to the RESNET Board of Directors.~~

# Chapter Two

## RESNET Standards

### 200 RESNET NATIONAL STANDARD FOR RATER TRAINING AND CERTIFICATION

#### 201 GENERAL PROVISIONS

##### 201.1 Purpose

The provisions of this document are intended to establish national ~~rater~~Rater training and certification standards which an accredited home energy rating ~~system~~Provider shall follow in certifying home energy ~~raters~~Raters. This enhances the goal of producing nationally uniform energy efficiency ratings for residential buildings.

**201.1.1 Relationship to other Standards.** These standards are a companion document to the “National Accreditation Procedures for Home Energy Rating Systems” as promulgated and maintained by the National Association of State Energy Officials (NASEO) and the Residential Energy Services Network (RESNET) and the “National Home Energy Rating Technical Guidelines” as promulgated and maintained by NASEO. Both guidelines are recognized by the mortgage industry.

**201.1.2 Relationship to State Law.** These standards specifically recognize the authority of each state that has a state law which requires certification or licensing of home energy rating ~~systems~~Providers. To the extent that such state laws differ from these standards, state law shall govern.

##### 201.2 Scope

These standards apply to the training and certification of energy ~~raters~~Raters who will be accepted by nationally accredited home energy rating ~~systems~~Providers. An energy rating identifies the energy features and estimates the energy performance of a home and does not identify structural or health and safety problems of a home.

#### 202 DEFINITIONS AND ACRONYMS

**Accreditation Procedures** - The set of standards and procedures entitled “Mortgage Industry National Home Energy Rating System ~~Accreditation~~ Standards” as published and maintained by ~~NASEO and~~ RESNET.

**Accredited Rating System Provider** - A home energy rating ~~system~~Provider accredited through the Mortgage Industry National Home Energy Rating System ~~Accreditation~~ Standards.

**Accredited Rater Training Provider or Training Provider** - A home energy ~~rater~~Rater training organization accredited by RESNET.

***Certified Home Energy Rater or Rater*** - The person trained by an Accredited Training Provider and certified by an accredited home energy rating ~~provider~~Provider to inspect a home to evaluate the minimum rated features and prepare an energy efficiency rating (see also Rating Field Inspector and Senior Certified Rater). A ~~rater~~Rater may employ or use a Rating Field Inspector to perform the physical inspection tasks allowed under that job designation. This definition does not restrict a Rater from conducting the inspections and necessary basic performance tests (blower door & duct blaster) to produce a home energy rating. The certified home energy Rater remains responsible for the accuracy of the information contained in the rating.

***Confirmed Rating*** - An energy rating accomplished using data gathered from an on-site audit inspection and, if required, performance testing of the physical building and its installed systems and equipment.

***Certified Rater Trainer*** - Class instructor who has demonstrated, by means of passing the RESNET National Rater Trainer Competency Test, mastery of the building science and rating system and competency necessary to effectively teach ~~rater~~Rater training courses.

***Energy Efficiency Rating*** - An unbiased indication of a home's relative energy efficiency based on consistent inspection procedures, operating assumptions, climate data and calculation methods.

***Energy Saving Measure or Feature*** - Any material, component, device, system, construction method, process, or combination thereof that will result in a reduction of energy use.

***EPAct*** - The U.S. Energy Policy Act of 1992.

***Examination*** - Test administered by an accredited Rater Training Provider from questions developed by National Rater Training Provider Accreditation Committee.

***HERS*** - Home Energy Rating System.

***HERS Provider*** - A firm or organization that develops, manages, and operates a home energy rating ~~system~~program.

***Home*** - A one or two family dwelling, or multi-family dwelling of three stories or less.

***NASEO*** - National Association of Energy Officials

***National Core Rater Test*** - Computer-based examination developed by the Residential Energy Services Network's (RESNET) Training and Education Committee and administered by RESNET.

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

**National Rater Training Provider Accreditation Body** - The Residential Energy Services Network (RESNET) is the National Rater Training Provider Accreditation Body.

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

**Rated Home** - The specific home being evaluated using the rating procedures contained in the National Home Energy Rating Technical Guidelines.

**Rater Specialty Certification** – Professional building performance certification recognized by RESNET as part of a Home Energy Rater’s advanced certification.

**Rater Trainer** - An individual designated by the Accredited Rater Training Provider to provide instruction and assistance to trainees.

**Rating Field Inspector** – A Field Inspector is the entry level of ~~rater~~Rater certification. A Field Inspector under the direct supervision of a certified home energy ~~rater~~Rater may conduct the inspections and necessary basic performance tests (blower door& duct blaster) to produce a home energy rating. This category requires the ability to identify and quantify building components and systems.

**Rating Tool** - A procedure for calculating a home’s energy efficiency rating, annual energy consumption, and annual energy costs.

**Reference Home** - A hypothetical home configured in accordance with the specifications set forth in the National Home Energy Rating Technical Guidelines for the purpose of calculating rating scores.

**RESNET** - Residential Energy Services Network

**RESNET National Rater Trainer Competency Test** – Certification test developed and administered by RESNET to ensure that accredited ~~rater~~Rater training ~~provider~~Providers’ trainers have the requisite knowledge and competence to serve as trainers for prospective certified Raters. The test is based on the national core competency exam developed and maintained by RESNET.

**RESNET Training and Education Committee** - The accreditation committee that reviews and approves applications from Rater Training Providers for national accreditation.

**Senior Certified Rater** – A senior ~~rater~~Rater is the first category of advanced ~~rater~~Rater certification. Senior Certified Raters have demonstrated that they have the increased experience and knowledge base to interpret the findings of a rating and make recommendations on how the home can be improved.

## **203 TRAINING AND EDUCATION COMMITTEE**

### **203.1 RESNET Training and Education Committee**

~~**203.1.1 Composition.** The RESNET Training and Education Committee shall be appointed by and serve at the pleasure of the RESNET Board of Directors. Committee membership. The Training and Education 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.~~

**203.1.2 Responsibilities.** The RESNET Training and Education Committee shall review and approve the following:

**203.1.2.1** Applications from prospective Rater Training Providers for accreditation in accordance with this Standard;

**203.1.2.2 Accreditation Renewal Application.** Annually review and modify, if necessary, the following:

**203.1.2.2.1** Core competency examination questions;

**203.1.2.2.2** Time limits for the core examination;

**203.1.2.2.3** Passing scores for the core examination; and

**203.1.2.2.4** Annual accreditation fee.

## 204 ACCREDITED TRAINING PROVIDERS

### 204.1 Requirements for Accredited Home Energy Training Providers

**204.1.1 Duties and Responsibilities.** In order to maintain their accreditation in good standing, all Training Providers shall fully discharge the following duties and responsibilities. Failure to properly discharge all of these duties and responsibilities shall constitute grounds for disciplinary action in accordance with Section 212 of this Standard.

**204.1.1.1** Hold the national core competency questions of the national test administered by RESNET in the strictest confidence.

**204.1.1.2** Maintain a record, for a period of three years, of all training materials and trainee data, including:

**204.1.1.2.1** Historical records of all training schedules and curricula,

**204.1.1.2.2** Historical records of all training attendance records,

**204.1.1.2.3** Historical records of all examinations and individual examination results,

**204.1.1.2.4** Historical records of all certifications issued to any individuals,

**204.1.1.2.5** Copies of the most up-to-date instructor presentation materials, training manuals, user manuals, course handouts and any other training materials use for training purposes,

**204.1.1.2.6** Copies of all current policies, standards, guidelines and procedures in use by the Training Provider.

**204.1.1.3** Maintain acceptable accounting practices, suitable to satisfy the requirements of independent audit procedures.

**204.1.1.4** Maintain up-to-date training materials and courseware and provide for adequate training facilities.

**204.1.1.5** Maintain certified trainers, who have been certified by RESNET by passing the National Rater Trainer Competency Test, and who satisfy the minimum trainer competencies in accordance with Section 206.1 of this chapter.

**204.1.2** Privileges and rights. All accredited Training Providers in good standing shall have certain privileges and rights, as follows:

**204.1.2.1** The privilege to display the accreditation seal of the National Accreditation Body on any publications, displays, presentations or marketing materials published, authorized for publication or otherwise issued by the Training Provider.

**204.1.2.2** The privilege to make and use any trademarked, copyrighted or otherwise restricted materials other than the national core test developed by RESNET for marketing Rater Training Courses or Training Providers or for recruiting Rater trainees, instructors or trainers.

**204.1.2.3** Copies of all current policies, standards, guidelines and procedures in use by the Training Provider.

**204.1.2.4** The right to present evidence, arguments and a vigorous defense in any action brought under these standards by any party against a Training Provider.

## **205 HOME ENERGY RATINGS**

### **205.1 Home Energy Rating Knowledge Base and Skills Set**

**205.1.1** The following comprise a list of knowledge base and skills are necessary for home energy ratings. Training Providers shall use a certified trainer who has successfully passed the RESNET National Rater Training Competency Test and that their training curricula are sufficiently comprehensive to effectively teach these materials to prospective Home Energy Raters (See Section 6.1). Prospective Home Energy Raters, to become certified, shall demonstrate proficiency through passing the RESNET national core test and other training ~~provider~~Provider written examinations and observations.

**205.1.1.1** Building Energy Performance.

**205.1.1.1.1** Basic energy principles.

**205.1.1.1.1.1** Energy terminology, units and conversions.

**205.1.1.1.1.2** Heat transfer principles

**205.1.1.1.1.2.1** Conduction

**205.1.1.1.1.2.1.1** R-values & U-values

**205.1.1.1.1.2.1.2** UA concepts

**205.1.1.1.1.2.1.3** Parallel paths

**205.1.1.1.1.2.2** Convection

**205.1.1.1.1.2.2.1** Film coefficients

**205.1.1.1.1.2.2.2** Buoyancy

**205.1.1.1.1.2.2.3** Forced air flows

**205.1.1.1.1.2.3** Radiation

**205.1.1.1.1.2.3.1** Solar (absorptance + reflectance + transmittance = 1.0)

**205.1.1.1.1.2.3.2** Far infrared (emittance = absorptance)

**205.1.1.1.1.3** Moisture Principles

**205.1.1.1.1.3.1** Properties

**205.1.1.1.1.3.1.1** Dew point

**205.1.1.1.1.3.1.2** Relative Humidity

**205.1.1.1.1.3.1.3** Evaporation & condensation

**205.1.1.1.1.3.2** Transport Mechanisms

**205.1.1.1.1.3.2.1** Rain and ground water

**205.1.1.1.1.3.2.2** Capillary action

**205.1.1.1.1.3.2.3** Air transported

**205.1.1.1.1.3.2.4** Vapor Diffusion



**205.1.1.1.2.2.2** Determination of efficiency (nameplate, age-based defaults, etc.)

**205.1.1.1.2.3** Sizing & design

**205.1.1.1.2.3.1** Impacts on energy use

**205.1.1.1.2.3.2** Impacts on humidity control

**205.1.1.1.2.4** Controls

**205.1.1.1.2.4.1** Standard thermostats

**205.1.1.1.2.4.2** Programmable thermostats

**205.1.1.1.2.4.3** Multi-zone

**205.1.1.1.2.5** Distribution systems

**205.1.1.1.2.5.1** Duct types

**205.1.1.1.2.5.2** Restricted returns

**205.1.1.1.2.5.2.1** Closed interior doors

**205.1.1.1.2.5.2.2** Return ducts and grills

**205.1.1.1.2.5.3** Leakage

**205.1.1.1.2.6** Fresh air ventilation

**205.1.1.1.2.6.1** Supply, exhaust and balanced flow systems

**205.1.1.1.2.6.2** Heat exchange systems

**205.1.1.1.2.6.3** Energy/enthalpy exchange systems

**205.1.1.1.2.6.4** Exchanger efficiency, fan power and duty cycle characteristics

**205.1.1.1.2.7** Renewable energy systems

**205.1.1.1.2.7.1** Active and passive space heating systems

**205.1.1.1.2.7.2** Solar hot water systems

**205.1.1.1.2.7.3** Photovoltaic systems

**205.1.1.1.2.7.4** Wind generation

**205.1.1.1.3 Diagnostic testing procedures**

**205.1.1.1.3.1 Building air tightness**

**205.1.1.1.3.1.1 Multipoint pressure testing**

**205.1.1.1.3.1.2 C, n, p and R2**

**205.1.1.1.3.2 Air distribution system air tightness**

**205.1.1.1.3.2.1 Pressure pan threshold tests**

**205.1.1.1.3.2.2 Duct air leakage measurements**

**205.1.1.1.3.2.2.1 cfm25<sub>total</sub>**

**205.1.1.1.3.2.2.2 cfm25<sub>out</sub>**

**205.1.1.1.3.2.3 Pressure measurements**

**205.1.1.1.3.2.3.1 Operational (by home and its equipment)**

**205.1.1.1.3.2.3.2 Imposed (by blower door, etc.)**

**205.1.1.1.3.2.4 Air heat and moisture measurements**

**205.1.1.1.3.2.4.1 Airflows**

**205.1.1.1.3.2.4.2 Temperatures**

**205.1.1.1.3.2.4.3 Relative humidity**

**205.1.2 Identifying minimum rated features as defined in the National Home Energy Rating Technical Guidelines:**

**205.1.2.1** Identify basic home construction types; ramifications of these for energy usage.

**205.1.2.2** Produce a scaled and dimensioned sketch of a home.

**205.1.2.3** Identification of insulation defects and ability to account for them in energy analysis tool inputs.

**205.1.2.4** Identify and document the features of the rated home in accordance with the requirements of Section B.5. and Appendix A of the National Home Energy Rating Technical Guidelines.

**205.1.2.5** Identifying potential building problems

**205.1.2.5.1** Health and safety concerns

**205.1.2.5.2** Building durability issues

**205.1.2.5.3** Potential comfort problems

**205.1.2.5.4** Possible elevated energy use

**205.1.2.6** Rating Procedures

**205.1.2.6.1** Understanding construction documents

**205.1.2.6.1.1** Building drawings

**205.1.2.6.1.2** Specifications

**205.1.2.6.2** Field data collection (including photo documentation)

**205.1.2.6.2.1** Physical measurements

**205.1.2.6.2.1.1** Completing scaled sketches

**205.1.2.6.2.1.2** Measuring building dimensions

**205.1.2.6.2.1.3** Determining building orientations

**205.1.2.6.2.1.4** Measuring window overhang lengths and heights

**205.1.2.6.2.1.5** Determining roof slopes, gable heights, etc.

**205.1.2.6.2.1.6** Calculating gross and net areas and volumes.

**205.1.2.6.2.2** Energy feature documentation

**205.1.2.6.2.2.1** Energy Analysis (Software) tool data requirements

**205.1.2.6.2.2.2** Developing and using field inspection forms

**205.1.2.6.2.2.3** Organizing data entry procedures

**205.1.2.6.2.3** Characterizing envelope features

**205.1.2.6.2.3.1** Determining wall types

**205.1.2.6.2.3.2** Determining window and door types and characteristics

**205.1.2.6.2.3.3** Determining envelope insulation types, thickness, thermal characteristics and weighted average thermal values

**205.1.2.6.2.3.4** Determining duct system characteristics (duct types, insulation value, location with respect to the thermal and air barrier)

**205.1.2.6.2.4** Equipment efficiencies determination

**205.1.2.6.2.4.1** Nameplate data

**205.1.2.6.2.4.2** ARI and GAMA guides

**205.1.2.6.2.4.3** Age-based defaults

**205.1.2.6.2.4.4** In situ measurements

**205.1.2.6.2.5** Performance testing

**205.1.2.6.2.5.1** Envelope leakage

**205.1.2.6.2.5.2** Air distribution system leakage

**205.1.2.6.3** Local climate impacts

**205.1.2.6.3.1** Major US climate zones

**205.1.2.6.3.2** 97.5% and 2.5% design conditions

**205.1.2.6.3.3** Cooling and heating design trade-offs

**205.1.2.6.4** Utility prices

**205.1.2.6.4.1** Revenue-based pricing

**205.1.2.6.4.2** Reliable sources

**205.1.2.6.5** Reports

**205.1.2.6.5.1** Minimum reporting requirements

**205.1.2.6.5.2** Improvement analysis

**205.1.2.6.5.3** Projected and confirmed ratings

**205.1.2.7** Operating Procedures and Office Administration

**205.1.2.7.1** National guidelines and standards

**205.1.2.7.1.1** Accreditation Procedures

**205.1.2.7.1.2** Technical Guidelines

**205.1.2.7.1.3** Training & Certification Standards

**205.1.2.7.2** Understanding the Reference home and rating method

**205.1.2.7.2.1** Reference Home as defined in B.2 of the National Home Energy Rating Technical Guidelines (“Twin” home concept): “The reference home is the geometric twin of the rated home, configured to a standard set of thermal performance characteristics, from which the energy budget, that is the basis for comparison, is derived.”

**205.1.2.7.2.2** HERS Score computation using the Normalized Modified Loads Rating Method

**205.1.2.7.3** Uses of a Rating

**205.1.2.7.3.1** Builder assistance

**205.1.2.7.3.1.1** Cost effective building design assistance

**205.1.2.7.3.1.2** QUALITY assurance assistance

**205.1.2.7.3.1.3** Marketing

**205.1.2.7.3.2** Program qualifications

**205.1.2.7.3.2.1** EPA [ENERGY](#) [energy Star](#) [STAR](#)®

**205.1.2.7.3.2.2** Utility

**205.1.2.7.3.2.3** Other

**205.1.2.7.3.3** Financing advantages

**205.1.2.7.3.3.1** Energy Efficient Mortgages (EEM)

**205.1.2.7.3.3.2** Energy Improvement Mortgages (EIM)

**205.1.2.7.3.4** Energy Code compliance

**205.1.2.7.3.5** Added appraisal value

**205.1.2.7.3.6** Consumer education

**205.1.2.7.4** Understanding real estate, financing and economic terminology

#### **205.1.2.7.5 Dealing with clients**

**205.1.2.7.5.1** Understanding the business aspects of being an energy ~~rater~~Rater

**205.1.2.7.5.2** Cultivating builder, banker and real estate partners.

**205.1.2.7.5.3** Knowing who the customer is.

**205.1.2.7.5.4** Providing excellent service.

#### **205.1.2.7.6 Ethics and disclosure**

### **205.2 Rating Field Inspector Knowledge and Skills Set**

**205.2.1** The following comprise a list of knowledge base and skills necessary to be certified as a Rating Field Inspector:

**205.2.1.1** Completion of Rating Field Inspector training by a RESNET accredited Rater Training Provider.

**205.2.1.2** A rating Field Inspector candidate has the option of challenging the classroom training by passing the RESNET National Rating Field Inspector Test.

**205.2.1.3** A Rating Field Inspector shall pass the National Field Inspector Test administered by RESNET. A candidate who passes the test must still comply with the training field testing requirement.

**205.2.1.4** Upon passing the RESNET National Rating Field Inspector Test, the Rating Field Inspection candidate shall complete five probationary inspections, including basic performance tests under the direct supervision of a certified rater who has accurately completed twenty five (25) confirmed ratings. The rater's Quality Assurance Designee shall certify that the rater has completed ratings on 25 houses and the files do not have substantial errors detected through quality assurance review process.

### **205.3 Senior Certified Knowledge and Skills Set**

**205.3.1** The following comprise a list of knowledge base and skills necessary to be certified as a Senior Certified Rater:

**205.3.1.1** Experience as a certified energy ~~rater~~Rater for a period of at least one year.

**205.3.1.2** Documentation having accurately completed ratings and performance tests of a minimum of 25 homes.

**205.3.1.3** Certification in a minimum of two Rater Specialty Certifications.

**205.3.1.4** Demonstrate the ability to complete a rating and all required performance testing, without the use of any reference material, in the presence of a ~~rater~~Rater trainer or QUALITY assurance designee.

**205.3.1.5** Passing the National Senior Rater Test administered by RESNET.

**205.3.2** A National Senior Rater must also publicly demonstrate before a jury of 5, approved by the Technical Committee and composed of at least 3 of his/her peers and at least one Certified Trainer and at least one QUALITY Assurance Designee, that he or she is competent in all areas by passing an oral exam, designed to determine if the National Senior Rater candidate can successfully diagnose and discuss in detail the building science phenomena that underlie a complex home energy rating case study, approved by the Training and Certification Committee.

## **205.4 Rater Specialty Certification**

**205.4.1** RESNET will formally recognize ~~rater~~Raters' optional specialty certification(s) by independent programs in closely related fields of building performance, above and beyond RESNET's ~~rater~~Rater certification. In order to be recognized by RESNET the program must submit an application developed by the RESNET Training and Education Committee. The RESNET Training and Education Committee will select programs based upon the following criteria:

**205.4.1.1** The organization offering the certification shall have a credible reputation.

**205.4.1.2** The training and certification is conducted by competent and qualified instructors in the prescribed field of instruction.

**205.4.1.3** The organization offering the certification shall have a credible training and testing process as part of their certification.

**205.4.1.4** The organization shall have clear, effective, and documented independent QUALITY assurance procedures.

**205.4.1.5** The organization shall have a clear, effective and documented discipline process.

## **206 MINIMUM COMPETENCIES**

### **206.1 Minimum Rater Training Provider Competencies**

**206.1.1** A Rater Training Provider shall maintain certified trainers demonstrating the following skills:

**206.1.1.1** Mastery of the Home Energy Rating System knowledge base and skills set given by Section 205.1 of this chapter. The certified trainers shall demonstrate these skills by passing the RESNET National Rater Training Competency Test.

**206.1.1.2** Ability to communicate effectively the methods, procedures, knowledge and skills given in Section 5 of this Standard to produce accurate and fair Home Energy Ratings from building drawings and specifications and from field inspections and performance testing in accordance with the National Home Energy Rating Technical Guidelines.

**206.1.1.3** Understanding of the purposes and benefits of home energy ratings and ability to communicate these to students.

**206.1.1.4** Understanding the basics of energy efficient mortgages, energy improvements mortgages and related products and ability to communicate these to students.

**206.1.2** Minimum Rater Competencies. A Certified Rater shall pass examinations comprising, at a minimum, the national core test administered by RESNET and complete a minimum of two ratings in the presence of a trainer. This examination may either follow training or it may be taken as a challenge examination. Specifically, a Certified Rater shall demonstrate the following skills:

**206.1.2.1** Ability to accurately gather from building drawings and specification or from field inspections and product specification and nameplate information and/or determine through field performance testing all input data required by home energy rating ~~system~~-software to produce accurate and fair home energy ratings in accordance with the National Home Energy Rating Technical Guidelines.

**206.1.2.2** Understanding of the purposes and benefits of home energy ratings and ability to communicate these to potential customers.

**206.1.2.3** Understanding the basics of energy efficient mortgages, energy improvement mortgages and related products and ability to communicate these to potential customers.

## **207 CERTIFIED TRAINING**

### **207.1 Minimum Certified Training Requirements**

**207.1.1** The curriculum shall be designed to ensure that the Rater trainee is proficient as a Home Energy Rater as defined by Section 206.1.2, Minimum Rater Competencies, as given above.

**207.1.2** Successful completion of ~~rate~~Rater training requires that the Rater trainee pass a written examination comprising, at a minimum, the RESNET National Core Competency Test administered by RESNET and complete a minimum of two ratings in the presence of a trainer.

**207.1.3** Rater certification by an Accredited Rating Provider shall be achieved within 1 year of successful completion of Rater training or training certification shall be null and void.

## **208 EXAMINATIONS**

### **208.1 Certified Rater Trainer**

**208.1.1** Written examination. Examinations may be given at completion of classroom training or may be given in the form of a “challenge” exam to individuals who have not undergone classroom training.

**208.1.1.1** National core competency test. RESNET shall directly administer the National Rater Training Competency Test to prospective ~~rater~~Rater trainers seeking certification. The ~~rater~~Rater training ~~provider~~Provider seeking accreditation shall submit the names of certified ~~rater~~Rater trainers it intends to use; and RESNET will verify whether they have passed the RESNET National Rater Training Competency Test.

**208.1.1.1.1** RESNET National Rater Training Competency Test.

**208.1.1.1.2** Overseen by a proctor. A proctor is an individual designated by RESNET to oversee the written National Rater Training Competency examination.

**208.1.1.1.3** Time limited

### **208.1.2 Rater Candidates.**

**208.1.2.1** Written examination. Examinations may be given at completion of classroom training or may be given in the form of a “challenge” exam to individuals who have not undergone classroom training.

**208.1.2.1.1** RESNET National Rater Training Competency Test

**208.1.2.1.2** Open book (& student notes)

**208.1.2.1.3** Overseen by a proctor. A proctor is an individual designated by the Accredited Training Provider to oversee the written examination.

**208.1.2.1.4** Time limited

## 209 Professional Development for Rater Trainers

209.1 Rater Trainers annually shall complete a two hour RESNET roundtable on current information AND complete one (1) of the following activities:

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

209.1.2 Complete 12 hours of RESNET approved CEU’s; or

209.1.3 Instruct a minimum of ten (10) rater certification classes.

209.2 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 and the two hour roundtable for Quality Assurance Designees (see Section 904.7.3). 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.

## ~~209 CONTINUING EDUCATION~~

### ~~209.1 Continuing Education Requirements for Certified Raters~~

~~209.1.1 Continuing education units must be recognized by RESNET. Certified Rater trainer continuing education shall consist of a minimum of twelve hours annually.~~

~~209.1.2 Continuing education units shall be approved by the Accredited Rating System Provider and shall consist of the number of hours required by the Mortgage Industry National Home Energy Rating System Accreditation Procedures.~~

## ~~210 RATER TRAINING PROVIDERS ACCREDITATION CRITERIA~~

### ~~210.1 Accreditation of Rater Training Provider~~ Minimum Standards for Rater Training Provider Accreditation

Rater Training Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A Rating Training Provider must specifically meet the following minimum standards for Accreditation:

~~210.1.1 Training Providers shall be accredited by the National Rater Training Provider Accreditation Committee (TPAC) through the auspices of the National Rater Training Provider Accreditation Body.~~

#### ~~210.1.1.1 Application Procedure.~~

~~210.1.1.1.1 Applicants shall demonstrate that their training meets the criteria established through this Standard. Documentation shall include:~~

~~210.1.1.1.1.1 Training curriculum~~

~~210.1.1.1.1.2 Training materials and manuals~~

~~210.1.1.1.1.3 Examination materials~~

~~210.1.1.1.1.4 Facilities description~~

~~210.1.1.1.1.5 Organization description~~

~~210.1.1.1.1.6 Principals and staff qualifications (detailed resumes)~~

~~210.1.1.1.2 Applications shall be submitted to the National Rater Training Provider Accreditation Body and reviewed and approved by the National Rater Training Provider Accreditation Committee~~

~~210.1.1.1.3 Application Review Procedure. A National Training Provider Accreditation Committee (TPAC) comprised of individuals consisting of members of Rater Training Providers, Rating System Providers, and Certified Raters shall provide review and approval or rejection of the application documents.~~

~~210.1.1.1.4 Confidentiality of Information. Any Rater Training Provider submitting the required application information and desiring to have certain information treated as confidential in order to limit disclosure shall, at the time of submission, attach a statement specifying the proprietary information and requesting confidentiality.~~

~~210.1.1.2 Review and Notification. Within 120 days of a complete application, the accrediting body will review the submission for compliance to the accreditation standards set forth within and accredit the Rater Training Provider or forward a request for additional information or clarification.~~

~~210.1.1.3 If the TPAC determines that the application meets the Standard, it shall provide a copy of all documentation and written approval of the application to the National Rater Training Accreditation Body, who shall issue a unique Rater Training Provider accreditation identification number. The initial accreditation is valid for a period of three years from the date of issuance. The accreditation will be incorporated into a national registry of accredited home energy Rater Training Providers and listed on the RESNET web site on the Internet. In order to maintain accreditation in good standing, renewal of accreditation is required triennially.~~

~~210.1.1.4 If the TPAC determines that the applicant does not meet the accreditation Standard, it shall inform the applicant, identify where the applicant failed to meet the accreditation Standard, and inform the applicant of its right of remedy under Section 13 of this Standard. A rejected applicant has the right to call for an on-site review and evaluation of their training program by a designee of the TPAC.~~

~~210.1.1.4.1 A fee for the on-site review shall be established by the TPAC and paid by the organization seeking accreditation.~~

~~210.1.1.4.2 Evaluation criteria for the on-site review shall be established by the TPAC.~~

~~210.1.1.4.3 Full Accreditation shall be granted only upon the successful completion of on-site evaluation.~~

~~210.1.1.5 Responsibility of Accredited Training Provider. The Accredited Training Provider is responsible for ensuring that all of their training sessions comply with all of the criteria for which the Training Provider was accredited.~~

~~210.1.1.6 Accreditation Fee. An annual accreditation fee shall be established by TPAC.~~

~~210.1.1.7—Application Fee. An Accreditation application fee equal to the annual accreditation fee shall be paid by training organizations seeking accreditation. This application fee shall also constitute the accreditation fee for the first year of accreditation.~~

## ~~211—ACCREDITATION RENEWAL~~

### ~~211.1—Rater Training Providers Application for Renewal~~

~~211.1.1—Rater Training Providers Application for Renewal. Rater Training Providers shall submit an “Application for Renewal” no later than 120 days prior to the expiration of the current accreditation period. Renewal shall be required every three years after the issuance of the unique accreditation registration number by the national accreditation body. Renewal applications will be processed in the same manner as the initial application.~~

~~211.1.2—Late Application. Applications received later than specified above will be processed, to the maximum extent feasible, so that the accreditation does not expire. Should the expiration date pass, the applicant may be granted an extension not to exceed 30 days.~~

~~211.1.3—Successful Renewals. Successful renewals will be noted on the national registry.~~

~~211.1.4—Renewal Applications Extending Beyond the Grace Period. Renewals extending beyond the grace period will 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.~~

~~211.1.5—Accreditation Not Renewed. Rater Training Providers that elect not to renew or fail to meet renewal requirements will be removed from the national registry and so advised.~~

~~211.1.6—Appeals. Rater Training Providers whose accreditation has been revoked, and are exercising their right of appeal will be notified as pending and the Training Provider will be advised to cease representing themselves as accredited until the appeal is resolved.~~

~~211.1.7—Program Element Changes. It is the accredited rater Training Provider’s responsibility to provide the national accrediting body with any proposed changes in the organization’s minimum training procedures, examinations and principals or other information that effects the minimum accreditation criteria. Proposed changes will be evaluated by the accrediting review body in the same manner as the original or renewal application.~~

## ~~212—SUSPENSION OR REVOCATION OF ACCREDITATION~~

### ~~212.1—Suspension or Revocation of Accreditation of Rater Training Providers~~

~~212.1.1—For Failure to Correct Deficiencies. If the national accrediting body determines at any time that a Rater Training Provider has failed to adhere to the accreditation requirements, the accreditation body shall notify the Training Provider of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken not later than 30 calendar days after the date set forth in such notification.~~

~~212.1.1.1~~—In the event that the deficiencies have not been remedied, the national accrediting body shall have the authority to immediately begin the process of suspension by issuance of a Notice of Suspension Proceedings. Such Suspension Proceedings shall follow the due process procedures contained in Section 212.1.3 below. The notice may be appealed in accordance with procedures set forth in Section 213.

~~212.1.1.2~~—In the event that the specified deficiencies are not corrected within the application period set forth in the Notice of Suspension, a Notice of Revocation Proceeding shall be issued by the accreditation body. Such Revocation Proceeding shall follow the due process procedures contained in Section 212.1.2 below. The Notice of Revocation may be appealed in accordance with the procedures set forth in Section 212.1.3.

~~212.1.2~~ For Cause. Any Rater Training Provider accredited by the accrediting body may have their accreditation revoked in any of the following circumstances:

~~212.1.2.1~~ Upon determination by the accrediting body that a Rater Training Provider has acted in such a manner as to impair the objectivity or integrity of the accrediting program or harm the reputation of the accrediting body including, but not limited to submission of false information to the accreditation review body, or failure to submit to the accreditation review body any material information required to be submitted by the Training Provider, in connection with obtaining or maintaining accreditation; knowingly or negligently issuing training certifications that fail to meet all of the accreditation criteria; or misrepresentation by the Training Provider in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the Training Provider.

~~212.1.2.2~~ Pursuant to any of the express provisions of Section 210.1 or any of the express provisions of the accreditation application including but not limited to the following:

~~212.1.2.2.1~~ Rater Training Provider goes out of business;

~~212.1.2.2.2~~ Rater Training Provider does not re-apply at the end of existing accreditation period;

~~212.1.2.2.3~~ Failure to satisfy accreditation requirements on renewal;

~~212.1.2.2.4~~ Investigated and validated consumer complaints;

~~212.1.2.2.5~~ Willful misconduct;

~~212.1.2.2.6~~ Failure to disclose a conflict of interest.

~~212.1.2.3~~ Upon expiration of a Training Provider's right to appeal, a suspension of accreditation pursuant to Section 212.1.2.

~~212.1.3~~ Suspension/Revocation Due Process. The national accreditation body shall comply with the following due process procedures in considering any suspension or revocation actions against an accredited rater Training Provider.

~~**212.1.3.1**—Notice.~~ The accrediting body may, at its discretion, initiate a proposed suspension or revocation action against an accredited Training Provider by providing the Training Provider and the accrediting review body written notice of the proposed action sent by certified mail, return receipt requested, to the last known address of the Training Provider. Such notice shall inform the Training Provider of the entire basis and justification for the proposed action.

~~**212.1.3.2**—Contest of Proposed Suspension/Revocation.~~ A respondent may contest a proposed suspension/revocation by filing a response with the accrediting body within 30 days of receipt of the notice. The response shall contain all pertinent and substantive information and argument that is in contradiction to the proposed suspension/revocation, including identification of all disputed materials and facts. If the respondent fails to file said response within the allotted time, the accrediting body may, at its discretion, suspend/revoke the accreditation of the respondent effective immediately upon written notification to the respondent.

~~**212.1.3.3**—Hearing.~~ If the respondent files a timely response contesting the proposed suspension/revocation and requests a hearing, the national accrediting body will appoint an independent, unbiased, and qualified hearing officer and issue a decision on the proposed suspension/revocation. The hearing officer will review the notice of suspension/revocation and the respondent's contest. If the hearing officer finds that the respondent's contest has raised substantiated and valid factual argument to the contrary of the proposed suspension/revocation, the respondent shall be afforded an opportunity to participate in an open and public hearing, and to submit additional documentary evidence, and rebuttal argument to any material contained in the original notice of suspension/revocation or developed during the course of the hearing officer's investigation. The notice shall be provided to the respondent by written notice by certified mail, return receipt requested, to the last known address of the rating system at a minimum of 120 days before the scheduled hearing.

~~**212.1.3.4**—Hearing Officer's Decision.~~ The hearing officer shall issue a written decision on the proposed suspension/revocation that is based on all the information contained in the hearing record including statements of the factual and legal basis of the decision. If the hearing officer decides to impose suspension or revocation, the decision must include findings regarding all disputed materials, and justification for all findings. A suspension/revocation decision by the hearing officer shall take effect upon the issuance of the hearing officer's decision and the written notification of such decision to the respondent.

~~**212.1.3.5**—No Ex Parte Communication.~~ No ex parte communication between the parties and the hearing officer shall be allowed.

~~**212.1.3.6**—Notification of state's determination.~~ Where a state has statutory authority to regulate Rater training and the state has followed its due process in suspending or revoking a Rater Training Provider's rights, the state is encouraged to notify RESNET of the action and the reasons for such action.

## ~~213—APPEALS PROCEDURES~~

### ~~213.1—Appeals Procedures for Non-Approved, Suspended, or Revoked Applications~~

~~213.1.1—Notification. The national accrediting body shall notify the rater Training Provider and the RESNET Training and Education Committee of any and all disciplinary actions. Additionally, the Committee shall clearly notify the Training Provider of all procedures and rights to remedy.~~

#### ~~213.1.2—Appeal:~~

~~213.1.2.1—In the event that an accreditation application was not approved or the accreditation has been suspended, the rater Training Provider shall have the right, for a period of 30 calendar days after the date of notice, to appeal to the national accrediting body.~~

~~213.1.2.2—In the event that a Training Provider's accreditation is suspended following the expiration of the period to appeal a suspension, in the absence of an appeal having been taken, the Training Provider shall have the right, at its election, for a period of 30 calendar days after the date of issue of a Notice of Suspension, to appeal to the national accrediting body.~~

~~213.1.2.3—An appeal shall be in writing and sent by certified mail or other method which provides evidence of delivery to the RESNET Executive Director and shall specify the basis for the appeal.~~

~~213.1.2.4—The appellant Training Provider may, at the time of noticing its appeal, request in writing, a hearing. In such an event, the national accrediting body shall, not later than 7 calendar days after the filing of the notice of appeal, appoint a hearing officer and notify the appellant Training Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than 30 calendar days after the receipt of the notice of appeal.~~

## 214 RECIPROCITY

### 214.1 Reciprocity among Jurisdictions

214.1.1 Nationally accredited Home Energy Rating ~~Systems~~Providers shall accept certified training provided by an accredited Training Provider as meeting the core competencies for a Home Energy Rater. Accredited Home Energy Rating ~~System~~Providers may add additional training requirements needed to address their specific program, climate, software or administrative requirements.

# Chapter Four

## RESNET ~~STANDARDS~~Standards

### **400 RESNET NATIONAL STANDARD FOR BUILDER OPTION PACKAGES PROVIDER ACCREDITATION PROCEDURES**

#### **401 BACKGROUND**

The following procedures for accrediting Building Option Package (BOP) ~~providers~~Providers have been developed and adopted by the Residential Energy Services Network (RESNET). BOPs were developed by the U.S. Environmental Protection Agency (EPA), can be used by builders to demonstrate compliance to the ENERGY STAR<sup>®</sup> Homes Program standard. The BOPs have been demonstrated to meet the Home Energy Rating score threshold adopted by the Environmental Protection Agency under “worse case” scenarios and involve the same building performance inspection as a home energy rating. ~~The accreditation criteria is based upon Chapter One of the Mortgage Industry National Home Energy Rating System Accreditation.~~

##### **401.1 Purpose**

The purpose of this procedure is to ensure that accurate and consistent BOPs are implemented by accredited BOP ~~providers~~Providers nationwide to increase the credibility of BOPs and the ENERGY STAR<sup>®</sup> Homes program

##### **401.2 Scope**

**401.2.1** This document sets out the procedures for the accreditation of BOP ~~providers~~Providers so their results will be acceptable to the housing industry and consumers.

**401.2.2** There may be instances in which state laws or regulations will have additional requirements to those specified in this document.

#### **402 DEFINITIONS**

***Building Option Package (BOP)*** - Developed by EPA, a prescriptive option that builders can use to demonstrate compliance to the ENERGY STAR<sup>®</sup> Homes Program standard. The BOPs have been demonstrated to meet the ENERGY STAR<sup>®</sup> Homes performance guidelines under “worse case” scenarios and involve the same building performance inspection as a home energy rating.

**BOP Inspector** - A person trained to inspect and evaluate the energy features of a home and conduct necessary diagnostic testing and collect all of the data necessary to confirm that the home complies with the BOP. The training shall be conducted by a RESNET accredited ~~rater~~Rater training ~~provider~~Provider.

**BOP Provider** - An entity accredited by RESNET that oversees the BOP inspectors and issues the BOP certification that the home meets the ~~Energy~~ENERGY STAR<sup>®</sup> guidelines.

### **403 ACCREDITATION CRITERIA**

**403.1 Minimum Standards for BOP Providers Accreditation**  
BOP Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A BOP ~~provider~~Provider must specifically meet the following minimum standards for Accreditation:

#### **403.1.1 Minimum BOP Inspector Training Standards:**

**403.1.1.1** A BOP ~~provider~~Provider must provide for BOP inspector certification by requiring inspectors to successfully complete a RESNET accredited home energy ~~rater~~Rater training courses and to demonstrate competence in completing BOP performance inspections in the field. The following elements must be included in its BOP inspector training:

**403.1.1.1.1** Basics of building science

**403.1.1.1.2** Thermal resistance of insulating materials

**403.1.1.1.3** Space heating/cooling equipment efficiency

**403.1.1.1.4** Blower door testing procedures

**403.1.1.1.5** Duct leakage and testing procedures

**403.1.1.1.6** Determining the efficiency of windows

**403.1.1.1.7** Basic principles of BOPs

**403.1.1.1.8** BOP ~~provider~~Provider's policies and procedures for inspectors

**403.1.1.1.9** QUALITY assurance procedures

#### **403.1.2 Certification Standards**

**403.1.2.1** Certification and recertification of BOP inspectors shall be through a RESNET accredited home energy ~~rater~~Rater training ~~provider~~Provider, which shall include the following provisions:

**403.1.2.1.1** Initial classroom and/or field training.

**403.1.2.1.2** Performance evaluation of ability to perform accurate BOP inspections including passing the national RESNET test.

**403.1.2.1.3** Continuing Education - 12 hours of education and training approved by the BOP ~~provider~~Provider during the three years of certification. Ten hours of the training shall be training approved by RESNET.

**403.1.2.1.4** Recertification of BOP inspectors no less than every three years

**403.1.3** Minimum Standards For BOP Provider's Operation Policies and Procedures must be written and provide for the following:

**403.1.3.1** Field inspection of all homes for verifying technical specifications.

**403.1.3.2** Blower Door Test completed on all homes claiming credit for reduced air infiltration lower than the default value.

**403.1.3.3** Duct testing completed on all homes claiming credit for reduced air distribution system leakage lower than the default value.

**403.1.3.4** Written BOP inspector discipline procedures that includes progressive discipline involving Probation - Suspension - Termination

**403.1.3.5** Quality Assurance by BOP Providers

~~403.1.3.5.1 BOP Providers that are not already Rating Providers must have a wWritten inspector~~QUALITY Assurance Process that conforms to Chapter 9 of these Standards.~~control process that at a minimum contains the following provisions:~~

~~403.1.3.5.1-2~~ QUALITY Assurance Designee Have a QUALITY Assurance Designee that oversees the Provider's compliance with the requirement of this Chapter and Chapter 9 of these Standards.

~~403.1.3.5.1.1~~ A BOP Provider~~Provider~~ shall designate an officer, employee, or contractor to be responsible for QUALITY assurance within the organization. The responsibilities of the designee shall include:

~~403.1.3.5.1.1.1~~ Maintenance of QUALITY assurance files

~~403.1.3.5.1.1.2~~ Review of ratings by inspector trainees and during the probationary period

~~403.1.3.5.1.1.3—Monitoring of BOP inspections by certified inspectors~~

~~403.1.3.5.1.2—The designated officer, employee, or contractor responsible for QUALITY assurance shall demonstrate sufficient experience with the BOP inspection knowledge base and skills to review the work of trainees and certified raterRatersRaters. Sufficient experience shall be demonstrated by either of the following:~~

~~403.1.3.5.1.2.1—Certification as a RaterRater Trainer~~

~~403.1.3.5.1.2.2—Passing the RESNET QUALITY Assurance Designee Test~~

~~403.1.3.5.1.3—Proof of qualification shall be submitted with an application for accreditation.~~

~~403.1.3.5.1.4—If the QUALITY assurance designee leaves the home energy rating system, the providerProvider shall have sixty (60) calendar days to notify RESNET of the new designated officer or employee, or be subject to suspension of the accreditation under the provisions of Chapter One, Section 9, Suspension and Revocation of Accreditation.~~

~~403.1.3.5.2—Written raterRater QUALITY control process that includes at a minimum the following:~~

~~403.1.3.5.2.1—The providerProvider's QUALITY assurance designee shall be responsible for the internal review of BOP inspections submitted by its inspectors, including:~~

~~403.1.3.5.2.1.1—Review of BOP inspections conducted during the inspectors' probation period—Prior to certifying an inspector candidate the providerProvider shall review at least 5 probationary BOP inspections performed by the inspector candidate within 12 months of training.~~

~~403.1.3.5.2.2—Review of BOP inspection data files—For each BOP inspector, the providerProvider's QUALITY assurance designee shall annually evaluate a minimum of 10% of each inspector's inspection data files. The providerProvider shall resolve any problems detected during these reviews. Excessive problems will trigger field monitoring of the BOP inspector.~~

~~403.1.3.5.2.3—Field Monitored BOP inspections—For each BOP inspector, the providerProvider's QUALITY assurance designee shall be responsible for an annual evaluation of the greater of one home or one percent of the inspector's annual total of homes for which BOP inspections were provided. The providerProvider's QUALITY assurance designee shall ensure that a BOP inspection is independently repeated to determine whether the inspection and/or diagnostic testing was accurately completed by the inspector, and determine whether information was completely collected and reported.~~

**403.1.3.5.3** BOP Inspection Recordkeeping. ~~Provider~~Providers~~Providers~~ and/or their certified BOP inspectors shall maintain records for each BOP inspection.

**403.1.3.5.3.1** The QUALITY assurance record for each home shall contain at a minimum the electronic copy of the inspection file.

**403.1.3.5.3.2** The record for each inspection shall be maintained for a minimum of three years.

**403.1.3.5.4** BOP Inspector-Registry

**403.1.3.5.4.1** The ~~provider~~Provider shall maintain a registry of all their certified BOP inspectors. The ~~provider~~Provider will also keep on file the names and contact information for all, including company name, mailing address, voice phone number, fax number, and email address. Upon request the ~~provider~~Provider shall provide to RESNET its registry of certified ~~raters~~Raters.

**403.1.3.5.5** Complaint Response System.

**403.1.3.5.5.1** Each ~~provider~~Provider shall have a system for receiving complaints. The ~~provider~~Provider shall respond to and resolve complaints related to BOP inspections and field verification and diagnostic testing services and reports. Providers shall ensure that inspectors inform purchasers and recipients of ratings and field verifications about the complaint system. Each ~~provider~~Provider shall retain records of complaints received and responses to complaints for a minimum of three years after the date of the complaint.

~~**403.1.3.5.6**—RESNET QUALITY Assurance Review of Accredited Provider.~~

~~**403.1.3.5.6.1**—RESNET shall randomly select a limited number of accredited ~~provider~~Providers~~Providers~~ annually and conduct a review of their files. The RESNET Board of Directors shall determine the number of ~~provider~~Providers~~Providers~~ that shall be reviewed on an annual basis and who will provide the QUALITY assurance review. An accredited rating ~~provider~~Provider may have the right to challenge the QUALITY assurance reviewer for cause.~~

~~**403.1.3.5.6.1.1**—Records which may be reviewed include:~~

~~**403.1.3.5.6.1.1.1**—BOP inspection files~~

~~**403.1.3.5.6.1.1.2**—BOP inspection QUALITY assurance records~~

~~**403.1.3.5.6.1.1.3**—Complaint files~~

~~**403.1.3.5.6.1.1.4**—BOP inspector agreements~~

~~**403.1.3.5.6.1.1.5**—BOP inspector registry~~

~~**403.1.3.5.6.1.1.6**—Disclosure files~~

~~403.1.3.5.6.1.2—Significant inconsistencies or errors in the files reviewed may result in a field review.~~

**403.1.3.6** Knowledge of other EPA methods for labeling a home as ENERGY STAR<sup>®</sup>.

**403.1.3.7** Written conflict of interest provisions that prohibit undisclosed conflicts of interest but allow waiver with advanced disclosure. The “Home Energy Rating Standard Disclosure” form adopted by the RESNET Board of Directors shall be completed for each home that receives a BOP inspection and shall be provided to the rating client and made available to the home owner/buyer. Each form shall include, at a minimum, the name of the community/ subdivision and 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 BOP inspector’s involvement with the home at the time the final ENERGY STAR<sup>®</sup> certificate is issued). For the purposes of completing this Disclosure, “Rater’s employer” is defined as including any affiliate entities. Recognizing that a number of different relationships may occur between the inspector or the inspector’s employer and the rating client and/or homeowner and/or the marketplace in general, the BOP 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.

#### **403.1.4 Technical Requirements for BOPs**

**403.1.4.1** The BOP ~~provider~~Provider can only use BOPs approved by the EPA ENERGY STAR<sup>®</sup> Homes Program.

**403.1.4.2** Monthly Energy Savings. For a Fannie Mae energy efficient mortgage, the BOP ~~provider~~Provider shall calculate the monthly energy savings that the BOP achieves over the HERS Reference Home in accordance with the provisions of 303.3.3.3.2.2 of Chapter 3 of this standard.

**403.1.4.3** Energy Value. For a Fannie Mae energy efficient mortgage, the BOP ~~provider~~Provider shall calculate the energy savings value of the BOP in accordance with the provisions of 303.3.3.2.1 of Chapter 3 of this standard.

**403.1.4.4** Specialized requirements. Where specific BOPS approved by EPA have technical requirements that are outside the normal range of BOP inspector skills, specialized training shall be provided to inspectors by the BOP ~~provider~~Provider to inspect for compliance with those BOPs.

### ~~404 ACCREDITATION PROCESS~~

#### ~~404.1—National BOP Provider Provider Accreditation~~

~~National BOP Provider Provider Accreditation will be through the Residential Energy Services Network (RESNET) and recognized by the EPA ENERGY STAR Home Program.~~

#### **~~404.2—BOP Provider Provider Accreditation Criteria~~**

~~BOP provider Providers Providers must meet the accreditation criteria listed above.~~

#### **~~404.3—National Registry of BOP Provider Providers Providers~~**

~~The Residential Energy Services Network (RESNET) will maintain the database of accredited BOP provider Providers Providers titled, “National Registry of BOP Provider Providers Providers” and is posted at [http://www.natresnet.org/programs/bop\\_provider Providers Providers/default.htm](http://www.natresnet.org/programs/bop_provider Providers Providers/default.htm)~~

#### **~~404.4—Confidentiality of Information~~**

~~Any BOP provider Provider submitting the required application information and desiring to have certain information treated as confidential in order to limit disclosure shall, at the time of submission, attach a statement specifying the proprietary information and requesting confidentiality.~~

#### **~~404.5—Review and Notification~~**

~~**404.5.1**—Within 15 days of receipt of the completed application, RESNET will do an initial review of the application and provisional BOP Provider Provider accreditation can be granted to applicants during the remaining application review process. This provisional accreditation is valid during the period of application review and is terminated upon RESNET’s determining whether the applicant meets the accreditation standard and notifying the applicant.~~

~~**404.5.2**—Applications reviewed under 5.D.1, “RESNET Review” Within 45 days of receipt of a complete application, the BOP accrediting review committee will review the submission for compliance to the accreditation standards set forth within and either: forward the application and review checklist to RESNET and notify the applicant of this action, or forward to the applicant a request for additional information or clarification.~~

~~**404.5.3**—Within 15 days of receipt of the recommendation of the BOP accrediting review committee, RESNET will review the submissions, make a determination of whether the applicant meets the accreditation standard, and if it does issue a unique BOP provider Provider accreditation identification number. This initial accreditation is valid for a period of three years from the date of issuance. The accreditation will be incorporated into a national registry of accredited BOP provider Providers Providers and listed on the RESNET web site on the Internet. In order to maintain currency and credibility for the registry, renewal of accreditation is required triennially.~~

~~**404.5.4**—If RESNET determines that the applicant does not meet the accreditation standard, it shall inform the applicant, identify where the applicant failed to meet the accreditation standard, and inform the applicant its right of remedy under 8.B.~~

#### **~~404.6—Responsibilities of Accredited BOP Provider Providers Providers~~**

~~The accredited BOP provider Provider is responsible for insuring that all of the BOP inspections conducted issued by the system comply with all of the criteria by which the system was accredited.~~

## ~~405—RENEWAL~~

### ~~405.1—BOP Provider~~Provider ~~Application for Renewal~~

~~405.1.1—Accredited BOP provider~~Providers~~Providers~~ must submit an “Application for Renewal” no later than 120 days prior to the expiration of the current accreditation period. Renewal shall be required every three years after the issuance of the unique accreditation registration number by RESNET. Renewal applications will be processed in the same manner as an initial application.

### ~~405.2—Late Application~~

~~405.2.1—Applications received later than specified above will be processed, to the maximum extent feasible, so that the accreditation does not expire. Should the expiration date pass, the applicant will be granted an extension not to exceed 30 days.~~

### ~~405.3—Successful Renewals~~

~~405.3.1—Successful renewals will be noted on the national registry and communicated to the applicant by RESNET.~~

### ~~405.4—Renewal Applications Extending Beyond the Grace Period~~

~~405.4.1—Renewals extending beyond the grace period will 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.~~

### ~~405.5—Accreditation Not Renewed~~

~~Accredited BOP provider~~Providers~~Providers~~ that elect not to renew or fail to meet renewal requirements will be removed from the national registry and so advised.

### ~~405.6—Appeals~~

~~405.6.1—BOP provider~~Providers~~Providers~~ whose accreditation has been revoked, and are exercising their right of appeal will be noted as pending and the BOP provider~~Provider~~ will be advised to cease representing themselves as accredited until the appeal is resolved.

### ~~405.7—Program Element Changes~~

~~405.7.1—It is the accredited BOP provider~~Provider~~'s~~ responsibility to provide RESNET with any proposed changes in the program’s minimum BOP inspector certification procedures, minimum inspector training standards, minimum inspector certification standards, operation policies and procedures, or other information that effects its meeting the minimum accreditation criteria. Proposed changes will be evaluated by the accrediting review body in the same manner as the original or renewal application.

## ~~406—SUSPENSION AND REVOCATION OF ACCREDITATION~~

### ~~406.1—For Failure to Correct Deficiencies of the Accredited BOP Provider~~Provider

~~406.1.1—If RESNET determines at any time that an accredited BOP provider~~Provider ~~has failed to adhere to the accreditation requirements, the accreditation committee shall notify the BOP provider~~Provider ~~of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken not later than 30 calendar days after the date set forth in such notification.~~

~~406.1.1.1—In the event that the deficiencies have not been remedied, RESNET shall have the authority to immediately begin the process of suspension by issuance of a Notice of Suspension Proceedings. Such Suspension Proceedings shall follow the due process procedures contained in 7.C below. The notice may be appealed in accordance with procedures set forth in Section 8.0.~~

~~406.1.1.2—In the event that the specified deficiencies are not corrected within the application period set forth in the Notice of Suspension, a Notice of Revocation Proceeding shall be issued by the accreditation committee. Such Revocation Proceedings shall follow the due process procedures contained in 7.C below. The Notice of Revocation may be appealed in accordance with the procedures set forth in Section 8.0.~~

### ~~406.2—For Cause~~

~~406.2.1—Any BOP provider~~Provider ~~accredited by RESNET may have the accreditation revoked in any of the following circumstances:~~

~~406.2.1.1—Upon a determination by RESENT that an accredited BOP provider~~Provider ~~has acted in such a manner as to impair the objectivity or integrity of the accreditation program or harm the reputation of the accreditation committee including, but not limited to submission of false information to the accreditation review body, or failure to submit to the accreditation review body any material information required to be submitted by the BOP provider~~Provider~~, in connection with obtaining or maintaining accreditation; knowingly or negligently issuing BOP checklists that fail to meet all of the accreditation criteria; or misrepresentation by the BOP provider~~Provider ~~in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the BOP provider~~Provider~~.~~

~~406.2.1.2—Pursuant to any of the express provisions of Section 406.1 or any of the express provisions of the accreditation application, including but not limited to the following:~~

~~406.2.1.2.1—BOP provider~~Provider ~~goes out of business;~~

~~406.2.1.2.2—BOP provider~~Provider ~~does not re-apply at the end of existing accreditation period;~~

~~406.2.1.2.3—Failure to satisfy accreditation requirements on renewal;~~

~~406.2.1.2.4 Investigated and validated consumer complaints;~~

~~406.2.1.2.5 Willful misconduct;~~

~~406.2.1.2.6 Failure to disclose a self-serving interest.~~

~~406.2.1.3 Upon expiration of a BOP providerProvider's right to appeal a suspension of accreditation pursuant to Section 7.A.1.~~

### ~~406.3 Suspension/Revocation Due Process~~

~~406.3.1 RESNET shall comply with the following due process procedures in considering any suspension or revocation actions against an accredited BOP providerProvider:~~

#### ~~406.3.1.1 Notice~~

~~406.3.1.1.1 RESNET may, at its discretion, initiate a proposed suspension or revocation action against an accredited BOP providerProvider by providing the providerProvider and the accrediting review body that reviewed the BOP providerProvider's application written notice of the proposed action sent by certified mail, return receipt requested, to the last known address of the BOP providerProvider. Such notice shall inform the subject BOP providerProvider of the entire basis and justification for the proposed action.~~

#### ~~406.3.1.2 Contest of Proposed Suspension/Revocation.~~

~~406.3.1.2.1 A respondent may contest a proposed suspension/revocation by filing a response with RESNET within 30 days of receipt of the notice. The response shall contain all pertinent and substantive information and argument that is in contradiction to the proposed suspension/revocation, including identification of all disputed materials and facts. If the respondent fails to file said response within the allotted time, RESNET may, in its discretion, suspend/revoke the accreditation of the respondent effective immediately upon written notification to the respondent.~~

#### ~~406.3.1.3 Hearing~~

~~406.3.1.3.1 If the respondent files a timely response contesting the proposed suspension/revocation and requests a hearing, RESNET will appoint an independent, unbiased, and qualified hearing officer and issue a decision on the proposed suspension/revocation. The hearing officer will review the notice of suspension/revocation and the respondent's contest. If the hearing officer finds that the respondent's contest has raised substantiated and valid factual argument to the contrary of the proposed suspension/revocation, the respondent shall be afforded an opportunity to participate in an open and public telephonic hearing, and to submit additional documentary evidence, and rebuttal argument to any material contained in the original notice of suspension/revocation or developed during the course of the hearing officer's investigation. The notice shall be provided to the respondent by written notice by certified mail, return receipt requested, to the last known address of the BOP providerProvider at a minimum of 120 days before the scheduled hearing.~~

#### ~~406.3.1.4—Hearing Officer’s Decision~~

~~406.3.1.4.1—The hearing officer shall issue a written decision on the proposed suspension/revocation that is based on all the information contained in the hearing record including statements of the factual and legal basis of the decision. If the hearing officer decides to impose suspension or revocation, the decision must include findings regarding all disputed materials, and justification for all findings. A suspension/revocation decision by the hearing officer shall take effect upon the issuance of the hearing officer’s decision and the written notification of such decision to the respondent.~~

#### ~~406.3.1.5—No Ex Parte Communication~~

~~406.3.1.5.1—No Ex Parte communication between the parties and the hearing officer shall be allowed.~~

### ~~407—APPEALS PROCEDURES FOR APPLICATION NOT BEING APPROVED, SUSPENSION, OR REVOCATION~~

#### ~~407.1—Notification~~

~~407.1.1—RESNET shall notify the BOP provider Provider and the accreditation review body of any decisions. Additionally, the committee shall clearly notify the BOP provider Provider of the procedures and right to remedy.~~

#### ~~407.2—Appeal~~

~~407.2.1—In the event that an accreditation application was not approved or the accreditation has been suspended, the BOP provider Provider shall have the right, for a period of 30 calendar days after the date of notice, to appeal to RESNET.~~

~~407.2.2—In the event that a BOP provider Provider’s accreditation is suspended following the expiration of the period to appeal a suspension, in the absence of an appeal having been taken, the BOP provider Provider shall have the right, at its election, for a period of 30 calendar days after the date of issue of a Notice of Suspension, to appeal to RESNET.~~

~~407.2.3—An appeal shall be in writing and sent by certified mail or other method which provides evidence of delivery to the Executive Director of RESNET and shall specify the basis for the appeal.~~

~~407.2.4—The appellant BOP provider Provider may, at the time of noticing its appeal, request in writing, a hearing by RESNET. In such an event, the accreditation committee shall, not later than 7 calendar days after the filing of the notice of appeal, notify the appellant BOP provider Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than 30 calendar days after the receipt of the notice of appeal.~~

# Chapter Five

## 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** RESNET will accept on an on-going 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 amend the standard.

##### 501.4.2 Process for submitting proposals to change 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 three (3) representatives of the home energy rating industry and three (3) representatives of state energy offices to serve staggered, three-year terms on the Standards Procedure Revision Evaluation Committee. The Revision Evaluation 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 Revision Evaluation Committee, proposals to change shall be posted on the RESNET Web Page 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 Revision Evaluation Committee shall meet to reconcile public comments with the initial comments of the Revision Evaluation 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.

**501.4.3.1.4** Proposals for change receiving two-thirds majority support from the Revision Evaluation 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 Revision Evaluation Committee shall be approved by a simple majority of the RESNET Board of Directors. Rejection of proposals from the Revision Evaluation 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 Revision Evaluation 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 Six

## RESNET Standards

### 600 ~~RESNET NATIONAL STANDARD FOR ACCREDITATION STANDARD FOR SAMPLING PROVIDERS RATINGS~~

#### 601 GENERAL PROVISIONS

##### 601.1 Purpose

Sampling is intended to provide certification that a group of new homes meets a particular threshold such as ENERGY STAR<sup>®</sup>, energy code compliance, or qualification for an energy efficiency lending program. It is based on pre-analysis of building plans meeting the intended qualification (e.g. a HERS Index threshold), and subsequent random testing and inspections of a sample set of the homes as-built. Certifying a group of homes by sampling entitles the customer to documentation certifying that the homes meet the desired threshold; it does not constitute a confirmed HERS rating on any home.

##### 601.2 Scope

This chapter sets out the procedures for the accreditation of Sampling Providers. Accredited Sampling Providers shall assume all warranties and liabilities associated with the sampling of homes. RESNET does not provide any warranty, either explicit or implied, that sampled homes will meet or exceed the threshold specifications for the sample set. There may be instances in which state laws or regulations differ from these Standards. In such instances, state law or regulation shall take precedence over this standard.

#### 602 DEFINITIONS AND ACRONYMS

***Additional Failure*** – When additional instances of initial failure(s) are identified in one or more of the other homes in the sample set being tested or inspected.

***Failed Item*** – A “failed item” constitutes a category of failure, such as insulation installation, duct leakage, prescriptive air sealing requirements, insulation enclosure, eave baffles, mechanical system efficiency, window specifications, etc. For the purpose of follow-up inspections, a “failed item” is not limited to the specific instance in a home but to that category of the minimum rated features as it applies to that home design.

***Failure*** - When one or more of the threshold specifications is not met during the testing and inspection process.

***Initial Failure*** - When one or more failure(s) are first identified in a home during the sampling process.

***Metropolitan Area*** - Metropolitan and micropolitan statistical areas as defined by the United States Office of Management and Budget (OMB) and published by the United States Census Bureau at [www.census.gov/population/www/estimates/aboutmetro](http://www.census.gov/population/www/estimates/aboutmetro) (the most current edition).

In areas not included in any defined Metropolitan Area, individual counties may be substituted for the purpose of applying the sampling process.

**Sample Set** - A specific group of homes from which one or more individual homes are randomly selected for sampling controls.

**Sampling** - An application of the Home Energy Rating process whereby fewer than 100% of a builder's new homes are randomly inspected and tested in order to evaluate compliance with a set of threshold specifications.

**Sampling Controls** - A collection or set of required tests and inspections performed for a sample set of homes in order to confirm that the threshold specifications have been met. "Sampling controls" may refer to the entire set of tests and inspections, or to a particular phase that constitutes a defined subset of those tests and inspections (e.g. pre-drywall, final, HVAC, windows and orientation, etc).

**Sampling Provider** - An entity, accredited through these standards, that oversees the sampling process and issues the sampling certifications that homes meet a particular set of threshold specifications such as the ENERGY STAR<sup>®</sup> specifications adopted by the U.S. Environmental Protection Agency.

**Threshold Specifications** - A set of qualification criteria which are established for a sample set based on worst-case Projected Ratings with consideration of all options, and in worst-case orientation, or a set of prescriptive specifications such as the ENERGY STAR<sup>®</sup> prescriptive path adopted by the U.S. Environmental Protection Agency.

## **603 TECHNICAL REQUIREMENTS FOR SAMPLING**

### **603.1 Compliance Requirements**

The testing and inspection of homes for minimum rated features shall be conducted in compliance with the procedures for conducting home energy ratings and Builder Option Packages (BOPs) contained in this Standard.

### **603.2 Homes Eligible to be Sampled**

The homes being sampled shall be of the same construction type using the same envelope systems.

### **603.3 Analysis of Homes**

A worst-case analysis shall be performed on each home plan, considering worst-case orientation, all known option packages, and applicable site location(s). If an option or change in the design of the structure is made that differs from those used in the initial analysis in a way that would require more stringent threshold specifications, then that home must be individually rated. At a minimum, a certified ~~rate~~Rater shall oversee this process.

### **603.4 Labeling of Homes**

**603.4.1** Every home plan within a given sample set shall be assigned the same HERS Index as determined by the threshold specification for that floor plan.

**603.4.2** Every home subjected to this sampling Standard shall be provided with a label in accordance with Section 303.3 of these standards, which contains the following statement: “This home has been certified using a sampling protocol in accordance with Chapter 6 of the RESNET Standards (see <http://resnet.usstandards/> . This label shall be located on the electrical panel and the font shall be a minimum of 10 points.

### **603.5 Sample Set of Homes**

Sampling controls may be applied to any sample set of homes within the same subdivision or metropolitan area and climate zone (as specified in the most current edition of the IECC), provided the criteria in Item 603.2 are met and:

**603.5.1** Each sample set is made up of homes at the same stage of construction (e.g. pre-drywall, final);

**603.5.2** For each stage of construction, each sample set will be comprised of homes eligible for the applicable sampling controls within a 30 calendar day period. For example: a sample set that is defined for a pre-drywall inspection must include homes that are eligible for that pre-drywall inspection within a given 30-day period. If fewer than seven (7) homes are available for that phase of inspection, the sample set must be cut off at the number of homes that are available within that 30-day period. This sample set need not be carried through to final inspection; in fact, a whole new sample set may be defined for the final inspection phase based on the homes available for that phase within a new, 30-day period applied to that phase of tests and inspections.

**603.5.3** Each home subject to sampling is required to be part of an identified set of sampling controls for each test or inspection that is sampled;

**603.5.4** Each participating subdivision within a metropolitan area is subject to sampling controls on at least one home in any 90 calendar day period;

**603.5.5** Each participating subdivision within a metropolitan area must start a minimum of one home in any 90 calendar day period.

### **603.6 Application of Sampling**

The application of the sampling controls in this standard are only required for those tests and inspections that are not conducted on every home. Sampling controls shall be conducted for any tests and inspections not conducted on every home, according to the field testing and inspection requirements of 303.6.2.

### **603.7 Sampling Controls**

**603.7.1** A complete set of Sampling Controls shall be performed at a minimum ratio of one (1) test or inspection per seven (7) homes within a given sample set. At a minimum, a certified ~~rater~~Rater shall oversee this process.

**603.7.2** Sampling Providers may complete the sampling controls collectively on a single home or distribute the tests and inspections across several homes within a given sample set,

provided the total number of individual tests and inspections meets or exceeds the minimum ratio set forth in 603.7.1.

**603.7.3** To qualify for sampling in a metropolitan area, a builder shall first complete, without any incidence of failure, a complete set of sampling controls on at least seven (7) consecutive homes in that metropolitan area. For this initial phase of testing and inspections, the complete set of sampling controls shall be performed on each of the seven (7) homes.

**603.7.3.1** Exception: A builder who has been implementing a sampling process for certifying homes in a specific metropolitan area under the EPA's ENERGY STAR<sup>®</sup> for Homes program as of January 1, 2008, will be allowed a one-time exception to 603.7.3 for that metropolitan area.

**603.7.3.2:** For each newly started subdivision, sampling may begin only after three (3) consecutive homes have been completed without any incidence of failure.

**603.7.4** Having successfully met the requirements of 603.7.3, a Sampling Provider may complete sampling controls for a builder indefinitely until a “failure” occurs or any of the criteria set forth in 603.2 are no longer met.

**603.7.5** A complete set of sampling controls, whether performed on a single home or spread across several homes, must be completed whether or not one or more failure(s) are found.

**603.7.6** When an “initial failure” occurs, the failed item(s) shall be tested or inspected in two (2) additional homes selected from the same sample set. Testing and/or inspections for any item(s) that may become inaccessible during the construction process, (e.g. wall insulation) must be timed so additional testing and/or inspections can occur on other homes in the sample set before they become inaccessible for inspection or testing.

**603.7.7** When an “additional failure” occurs, in one or more of the two (2) additional homes, the failed item(s) shall be tested or inspected in the remaining four (4) homes selected for the same sample set.

**603.7.8** Until the failure is corrected in all identified (failed) homes in the sample set, none of the homes shall be deemed to meet the threshold or labeling criteria.

### **603.8 Multiple “Additional Failures”**

Action is required if three (3) “additional failures” occur within a ninety (90) calendar day period. The required action depends on whether those “additional failures” apply to the same failed item or various failed items.

**603.8.1** If the multiple “additional failures” all apply to the same failed item, the builder shall submit to 100% inspection of that failed item, for a minimum of seven (7) homes, before resuming sampling of that item. Remaining unrelated sampling controls may be conducted on a sampled basis throughout this process.

**603.8.2** If the multiple “additional failures” apply to various failed items, or additional failed items are found during testing and inspection of additional homes, the builder must begin again and complete 603.7.3 at a minimum, before continuing with sampling.

**603.8.3** Exception: If a builder conducts a “root cause analysis” on an item or items covered under 603.8.1 or 603.8.2, and submits it in writing to the sampling ~~provider~~Provider, sampling may resume as soon as the ~~provider~~Provider deems that the solution has been implemented. The “root cause analysis” report shall contain at a minimum:

**603.8.3.1** A written description of the problem(s) covered by the analysis;

**603.8.3.2** A written explanation of the underlying reason(s) that the problem(s) occurred (e.g. inadequate training of subcontractor(s) or site supervisors, insufficient information or inadequate detail in the plans or specifications, etc);

**603.8.3.3** A written description of a clearly defined process to correct the underlying cause(s);

**603.8.3.4** A written description of when and how that process has been carried out;

**603.8.3.5** A copy of the root cause analysis report shall be kept by the sampling ~~provider~~Provider as part of the QA file, for a period of time of three (3) years, consistent with the requirements of 102.1.4.8.2.

## **603.9 QUALITY Assurance by Sampling Providers**

~~603.9.1 The Sampling Provider’s Rating Provider QA Designee shall be responsible for monitoring compliance with the sampling process and maintaining records in accordance with the requirements of Chapter 9.~~

~~603.9.2 Accredited Sampling ProviderProviders shall comply with the rating providerProvider QUALITY assurance procedures contained in Chapter One of this standard. In addition to the Quality Assurance requirements specified in Chapter 9 for Home Energy Rating Providers, a Sampling Provider’s QUALITY assurance process shall include, at a minimum, the following:~~

~~603.9.2.1 Minimum QA requirements. For the purpose of the QUALITY control requirements in 102.1.4.8, a~~All homes that are qualified by the use of sampling shall be considered to be rated homes. QA file review and field monitoring shall be conducted on a percentage of all the homes certified or qualified under sampling, rather than the percentage of tested and inspected homes.

~~603.9.2.2~~ The field QA required in ~~102.1.4.8~~Chapter 9 may be conducted on any of the qualified or certified homes within the sample sets, and shall not be limited to the tested and inspected homes.

~~603.9.3~~ The provider's QA Designee shall be responsible for monitoring compliance with the sampling process and maintaining records in accordance with the requirements of 102.1.4.8.2.

## **604 ~~SAMPLING PROVIDER~~PROVIDER-ACCREDITATION CRITERIA**

### **604.1 ~~Certification Standards~~ Minimum Standards for Home Energy Rating Sampling Provider Accreditation**

~~Certification and recertification of rater~~Raters~~Raters~~ responsible for sampling inspections shall meet the minimum requirements for ~~rater~~Raters~~Raters~~ contained in Chapter Two of this standard. Home Energy Rating Sampling Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A Sampling Provider must specifically meet the following minimum standards for Accreditation.

### **604.2 ~~National Registry of Accredited Sampling Provider~~Providers~~Providers~~**

~~The Residential Energy Services Network (RESNET) will maintain the national registry of accredited Sampling Provider~~Providers~~Providers~~ and will post it on its web site.

### **604.3 ~~Minimum Requirements~~**

~~604.3.1~~ Sampling Provider accreditation will be through the Residential Energy Services Network (RESNET).

604.3.3 All Sampling Providers shall be accredited by RESNET as Home Energy Rating Providers, and maintain their accreditation in good standing.

~~604.3.2~~ Sampling Providers must maintain status as accredited Home Energy Rating Providers in good standing.

~~604.3.3~~ All Sampling Providers shall be accredited by RESNET as a Home Energy Rating Providers.

**604.3.4** A Sampling ~~Provider~~Provider's accreditation must be renewed annually by RESNET.

**604.3.5** In order to be eligible to be a Sampling Provider, the RESNET accredited rating ~~provider~~Provider shall complete a minimum of twenty-five (25) confirmed ratings that have been documented to be accurate by the ~~rating~~Rating ~~provider's~~Provider's QUALITY assurance designee.

~~604.3.5.1~~ Exception: A ~~Provider~~Provider who has been implementing a sampling process for certifying homes in a specific metropolitan area under the EPA's ENERGY STAR for Homes program as of January 1, 2008, will be allowed a one time exception to 604.3.5 for that metropolitan area.

**604.3.6** The Sampling ~~Provider~~Provider shall demonstrate to RESNET a minimum insurance coverage of \$1,000,000 in general liability coverage and \$1,000,000 in professional liability coverage.

**604.3.7** Builders can-not use the sampling standard to certify or qualify homes in which they have a financial interest.

#### **~~604.4 Path to Sampling Provider Accreditation~~**

**~~604.4.1~~** RESNET shall appoint a “Sampling Accreditation Review Committee” (the Committee) to review applications for Sampling Provider program accreditation and renewal.

**~~604.4.2~~** An entity seeking accreditation must file with RESNET an “Application For Sampling Provider Program Accreditation” (Application).

**~~604.4.3~~** Confidentiality of Information. Any Sampling Provider submitting the required application information and desiring to have certain information treated as confidential in order to limit disclosure shall, at the time of submission, attach a statement specifying the proprietary information and requesting confidentiality.

#### **~~604.4.4 Review and Notification.~~**

**~~604.4.4.1~~** Within twenty one (21) days of receipt of an Application, RESNET staff will do an initial review to determine whether the applicant and its raters are eligible for accreditation under sections 604.3. Upon completion of the initial review, RESNET staff will either return the application to applicant with a request for additional information, forward the complete Application to the Committee for review or take action in accordance with 604.4.4.5.

**~~604.4.4.2~~** Within forty five (45) days of receipt of a complete Application, the Committee will review the submission for compliance with these accreditation standards and forward the Application and a review checklist to RESNET staff with a recommendation for approval, denial, or a request for additional information or clarification.

**~~604.4.4.2.1~~** Within thirty (30) days of receipt of additional information or clarification from the applicant, the Committee will forward the Application and a review checklist to RESNET staff with a recommendation for approval, denial, or a request for additional information or clarification.

**~~604.4.4.2.2~~** Within fifteen (15) days of receipt from the Committee of its recommendation or request for additional information or clarification, RESNET will notify the applicant of the need for additional information or clarification, take action in accordance with 604.4.4.5, or issue a unique Sampling Provider Accreditation identification number.

**~~604.4.4.2.3~~** This initial accreditation is valid for a period of one year from the date of issuance. The accreditation will be incorporated into a national registry of accredited Sampling Providers and listed on the RESNET web site. In order to maintain currency and credibility for the registry, renewal of accreditation is required annually.

~~604.4.4.2.4—If RESNET determines that the applicant does not meet the accreditation standard, it shall inform the applicant, identify where the applicant failed to meet the accreditation standard, and inform the applicant of their right of appeal under 607.~~

#### **604.4.5 Responsibilities of Accredited Sampling Providers**

**604.4.5.1** Sampling Providers are responsible for ensuring that all of the Sampling inspections conducted and issued by their sampling program are in compliance with all of the criteria by which the system was accredited.

**604.4.5.2** Sampling Providers are responsible for ensuring that the specifications for the minimum rated features for the sampled homes be communicated to the personnel or trades responsible for completing the work.

**604.4.5.3** Minimum Standards For Sampling Provider’s Operation Policies and Procedures must be written and provide for the following:

**604.4.5.3.1** Field inspections and tracking of all homes in the sample set for verifying threshold technical specifications and tracking failures and re-inspections;

**604.4.5.3.2** Blower Door Testing completed for sample sets in which the threshold specifications include credit for reduced air infiltration lower than the default value;

**604.4.5.3.3** Duct testing completed for sample sets in which the threshold specifications include credit for reduced air distribution system leakage lower than the default value;

**604.4.5.3.4** Sampling Inspector discipline procedures that include progressive discipline involving Probation - Suspension – Termination.

#### ~~**605—RENEWAL**~~

##### ~~**605.1 Sampling Provider Application for Renewal**~~

~~Accredited Sampling Providers must submit an “Application for Renewal” (Renewal Application) no later than one hundred twenty (120) days prior to the expiration of the current accreditation period. Renewal shall be required one year after the issuance of the unique accreditation registration number by RESNET. Renewal applications will be processed in the same manner as an initial application.~~

##### ~~**605.2 Late Application**~~

~~Renewal Applications received later than specified above will be processed, to the maximum extent feasible, so that the accreditation does not expire. Should the expiration date pass, the applicant will be granted an extension not to exceed thirty (30) days.~~

##### ~~**605.3 Successful Renewals**~~

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

#### **~~605.4 Renewal Applications Extending Beyond the Grace Period~~**

~~Renewals extending beyond the grace period will 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.~~

#### **~~605.5 Accreditation Not Renewed~~**

~~Accredited Sampling Providers that elect not to renew or fail to meet renewal requirements will be removed from the national registry and so advised. Providers have the right to appeal a non-renewal decision (see section 608).~~

#### **~~605.6 Appeals~~**

~~A Sampling Provider whose accreditation has been revoked, and is exercising their right of appeal (see section 607) will be noted as pending and the Sampling Provider will be advised to cease representing themselves as accredited until the appeal is resolved.~~

#### **~~605.7 Program Element Changes~~**

~~It is the accredited Sampling Provider’s responsibility to provide RESNET with any proposed changes in the sampling program’s minimum sampling inspector certification procedures, minimum inspector training standards, minimum inspector certification standards, operation policies and procedures, or other information that effects its meeting the minimum accreditation criteria. Proposed changes will be evaluated by RESNET in the same manner as the original or renewal application.~~

### **~~606 SUSPENSION AND REVOCATION OF ACCREDITATION~~**

#### **~~606.1 Notification~~**

~~RESNET shall provide written notification to the Sampling Provider of any decisions under this section. All notices shall be sent by certified mail, return receipt requested, to the last known address of the Provider. 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 607.~~

#### **~~606.2 Reasons For Suspension/Revocation~~**

~~**606.2.1** Failure to Correct Deficiencies of the Accredited Sampling Provider’s Sampling Program. If RESNET determines at any time that an accredited Sampling Provider has failed to adhere to the accreditation requirements for the Provider’s sampling program, RESNET shall notify the Sampling Provider of the specified deficiencies and shall require that specific corrective action, set forth in the notification, be taken not later than thirty (30) calendar days after the date set forth in such notification.~~

~~**606.2.1.1** In the event that the deficiencies have not been remedied as stipulated in 606.2.1, RESNET shall have the authority to immediately begin the process of suspension by issuance of a Notice of Suspension Proceedings. Such Suspension Proceedings shall follow the due process procedures contained in 606.3.~~

~~**606.2.1.2** In the event that the deficiencies have not been remedied within the period set forth in the Notice of Suspension, RESNET shall have the authority to immediately begin~~

~~the process of revocation by issuance of a Notice of Revocation Proceedings. Such Revocation Proceedings shall follow the due process procedures contained in 606.3.~~

~~**606.2.2 Cause.** Any Sampling Provider accredited by RESNET may have their accreditation revoked in any of the following circumstances:~~

~~**606.2.2.1** Upon a determination by RESNET that an accredited Sampling Provider has acted in such a manner as to impair the objectivity or integrity of the Provider's sampling program or harm the reputation of RESNET including, but not limited to, submission of false information to RESNET, or failure to submit to RESNET any material information required to be submitted by the Sampling Provider, in accordance with obtaining or maintaining accreditation; knowingly or negligently issuing Sampling checklists that fail to meet all of the accreditation criteria; or misrepresentation by the Sampling Provider in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the Sampling Provider.~~

~~**606.2.2.2** Pursuant to any of the express provisions of sections 604 or 605, or any of the following:~~

~~**606.2.2.2.1** Sampling Provider goes out of business;~~

~~**606.2.2.2.2** Sampling Provider does not re-apply at the end of existing accreditation period;~~

~~**606.2.2.2.3** Failure to satisfy accreditation requirements on renewal;~~

~~**606.2.2.2.4** Investigated and validated consumer complaints;~~

~~**606.2.2.2.5** Willful misconduct;~~

~~**606.2.2.2.6** Failure to disclose a self-serving interest.~~

~~**606.2.2.3** Upon expiration of a Sampling Provider's right to appeal a suspension of accreditation pursuant to section 607.~~

### ~~**606.3 Suspension/Revocation Due Process**~~

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

~~**606.3.1** RESNET may, at its discretion, initiate a suspension or revocation action against an accredited Sampling Provider in accordance with 606.2 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.~~

~~**606.3.2** Contest of Proposed Suspension/Revocation. A Provider may contest a suspension/revocation by requesting a hearing with RESNET within 30 days of receipt of a notice of suspension/revocation.~~

~~606.3.3 Hearing. If the Provider files a timely response contesting the suspension/revocation and requests a hearing, RESNET will appoint an independent, unbiased, and qualified hearing officer to issue a decision on the suspension/revocation. The hearing officer will review the notice of suspension/revocation and the Provider's contest. If the hearing officer finds that the Provider's contest has raised substantiated and valid factual argument to the contrary of the proposed suspension/revocation, the Provider shall be afforded an opportunity to participate in an open and public telephonic hearing and to submit additional documentary evidence and a rebuttal argument to any material contained in the original notice of suspension/revocation developed during the course of the hearing officer's investigation. Notice of the Hearing shall be provided to the Provider a minimum of 120 days before the scheduled hearing.~~

~~606.3.4 Hearing Officer's Decision. The hearing officer shall issue a written decision on the proposed suspension/revocation that is based on all the information contained in the hearing record including statements of the factual and legal basis of the decision. If the hearing officer decides to impose suspension or revocation, the decision must include findings regarding all disputed materials, and justification for all findings. A suspension/revocation decision by the hearing officer shall take effect upon the issuance of the hearing officer's decision and the date written notification of such decision is sent to the Provider.~~

~~606.3.5 No Ex Parte Communication. No ex Parte communication between the parties and the hearing officer shall be allowed.~~

## ~~607 APPEALS PROCEDURES FOR NON-APPROVAL OR RENEWAL OF APPLICATIONS, SUSPENSIONS, OR REVOCATIONS~~

### ~~607.1 Notification~~

~~RESNET shall provide written notification to the Sampling Provider of any decisions under this section. All notices shall be sent by certified mail, return receipt requested, to the last known address of the Provider. 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 remedy.~~

### ~~607.2 Appeal~~

~~607.2.1 Appeals to the RESNET QUALITY Assurance and Ethics Committee's Appeals and Ethics Subcommittee.~~

~~607.2.1.1 In the event that an Application or Renewal Application has been denied or revoked, or if the Provider has been placed on probation or suspended, the Provider shall have the right, for a period of 30 calendar days after the date of notice, to appeal to the RESNET QUALITY Assurance and Ethics Committee's Appeals and Ethics Subcommittee.~~

~~607.2.1.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention Chairman of the RESNET QUALITY Assurance and Ethics Committee.~~

~~607.2.1.3 Appeals shall contain all pertinent and substantive information and arguments that are in contradiction to the proposed suspension/revocation, including identification of all disputed materials and facts.~~

~~607.2.1.4 The appellant Provider may, at the time of noticing its appeal, request a hearing by the RESNET QUALITY Assurance and Ethics Committee's Appeals and Ethics Subcommittee. In such an event, the subcommittee shall, not later than 7 calendar days after the filing of the notice of appeal, notify the appellant Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than 30 calendar days after the receipt of the notice of appeal.~~

~~607.2.2 Appeals to the RESNET QUALITY Assurance and Ethics Committee.~~

~~607.2.2.1 In the event that a Provider's appeal of its probation or suspension is rejected by the RESNET QUALITY Assurance Committee and Ethics Committee's Appeals and Ethics Subcommittee, the Provider shall have the right, for a period of 30 calendar days after the date of the notification of the denial of the appeal to appeal to the RESNET QUALITY Assurance and Ethics Committee.~~

~~607.2.2.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention Chairman of the RESNET QUALITY Assurance and Ethics Committee.~~

~~607.2.2.3 The appellant Provider may, at the time of noticing its appeal, request a hearing by the RESNET QUALITY Assurance and Ethics Committee. In such an event, the Committee shall, not later than 7 calendar days after the filing of the notice of appeal, notify the appellant Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than 30 calendar days after the receipt of the notice of appeal.~~

~~607.2.3 Appeals to the RESNET Board of Directors.~~

~~607.2.3.1 In the event that a Provider's appeal of its probation or suspension is rejected by the RESNET QUALITY Assurance Committee, the Provider shall have the right, for a period of 30 calendar days after the date of the notification of the denial of the appeal to appeal to the RESNET Board of Directors.~~

~~607.2.3.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention President of the RESNET Board of Directors.~~

## ~~608 REVISION OF ACCREDITATION PROCEDURES~~

### ~~Revision and Amending Sampling Accreditation Procedures~~

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

~~608.1.1 To respond to periodic reviews by RESNET staff and committees;~~

~~608.1.2 To respond to changes in law;~~

~~608.1.3 To respond to technological innovations; and~~

~~608.1.4 To respond to proposals for change from interested parties.~~

#### **Periodic Review of Accreditation Procedures**

~~At least triennially, the provisions set forth in these accreditation procedures shall be reviewed by a Revision Evaluation Review Committee appointed by RESNET. The review committee may be composed of representatives of the EPA ENERGY STAR Homes Program, accredited home energy rating systems, and accredited Sampling Providers.~~

~~608.1.5 At a minimum, this review shall include consideration and evaluation of changes in the law, technological innovations, and comments received from interested parties.~~

#### **Process for Submitting Proposals to Change Accreditation Procedures**

~~608.1.6 Proposals to change these accreditation procedures may be submitted in writing, at any time, to RESNET.~~

~~608.1.7 All proposals to change that meet the criteria set forth in this section of these procedures shall be accepted for consideration and evaluation.~~

~~608.1.8 Proposals to change these accreditation procedures shall include the following:~~

~~608.1.8.1 Identification of the proposal to change, including the following minimum information:~~

~~608.1.8.1.1 Proponent(s) full name(s);~~

~~608.1.8.1.2 Organizational affiliation(s) or representation(s);~~

~~608.1.8.1.3 Full mailing address (es);~~

~~608.1.8.1.4 Daytime phone number(s);~~

~~608.1.8.1.5 Signature of primary proponent; and~~

~~608.1.8.1.6 Date.~~

~~608.1.9 Specific revisions to the procedures in a format that clearly identifies the manner in which the procedures are to be altered (i.e. underline/strikeout format or equivalent). Any proposal to change that does not include proposed alteration(s) shall be rejected and returned to the proponent.~~

~~608.1.10 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).~~

~~608.1.11~~ Supporting documentation may be needed for the reasonable evaluation of the proposal.

#### ~~608.4 Proposals to Change these Procedures Shall be Considered and Evaluated at Least Annually~~

~~608.4.1~~ The effective date of any annual revisions to these accreditation procedures shall be January 1.

~~608.4.2~~ Only those proposals to change that are received on or prior to the last working day of June shall be considered for the revisions to these accreditation procedures that may become effective on January 1 of the following year.

#### ~~608.5 Accreditation Procedure Revision Process~~

~~608.5.1~~ Revision to these accreditation procedures shall occur only after the relevant proposals to change have been subjected to public scrutiny and comment using the following review process:

~~608.5.1.1~~ The Revision Evaluation Review 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.

~~608.5.1.2~~ Following initial evaluation by the Revision Evaluation Review Committee, proposals to change shall be posted on the RESNET web site for a period of not less than thirty (30) days during which public comment shall be accepted.

~~608.5.1.3~~ Following the public comment period, the Revision Evaluation Review Committee shall meet to reconcile public comments with the initial comments of the Revision Evaluation 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.

~~608.5.1.4~~ Proposals for change receiving two-thirds majority support from the Revision Evaluation Review Committee after public comment shall be incorporated into a set of revised accreditation procedures.

~~608.5.2~~ The revised accreditation procedures shall be published on the RESNET web site and submitted to the original adopting members of these accreditation procedures not later than the end of September each year in which changes are recommended.

## **609 EFFECTIVE DATES**

### **609.1 QUALITY Assurance**

July 1, 2007 – Section 603.9 shall be implemented by all sampling ~~raters~~Raters and ~~providers~~Providers.

## **609.2 Effective Date of Standard**

January 1, 2008 – The remainder of Chapter 6 shall be implemented by all sampling ~~raters~~  
~~and providers~~Providers

# Chapter Seven

## RESNET Standards

### 700 RESNET NATIONAL STANDARD FOR HOME ENERGY AUDITS

#### 701 GENERAL PROVISIONS

##### 701.1 Purpose

The provisions of this Standard are intended to define a framework for a home energy audit process. An accredited Provider or a program may apply this Standard to improve the energy performance of existing homes through uniform, comprehensive home energy audits for existing residential buildings. This Standard is intended to result in investments by building owners that produce the following outcomes:

- Increase the energy efficiency of homes;
- Increase the comfort of homes;
- Increase the durability of homes;
- Ensure that energy improvement recommendations are portrayed with reasonable and consistent projections of energy savings;
- Reduce the risk that energy improvement recommendations will contribute to health, safety, or building durability problems; and
- Reduce waste and pollution, protecting the environment.

**701.2. National Standard for Home Energy Assessment Levels** There are two categories of assessment defined in this standard:

1. Home Energy Survey
  - a. On-Line Home Energy Survey
  - b. In-Home Home Energy Survey
  - c. Diagnostic Home Energy Survey
2. Comprehensive Home Energy Audit

**701.3 Relationship to Other Standards** This Chapter is a companion Chapter to the “National Accreditation Procedures for Home Energy Rating Systems” (Chapter 1 of this Standard), “National Rater Training and Certifying Standard” (Chapter 2 of this Standard), and “National Energy Rating Technical Standards” (Chapter 3 of this Standard) as promulgated and maintained by the Residential Energy Services Network (RESNET) and recognized by the mortgage industry and programs promoting the improved energy performance of buildings.

**701.4 Relationship to State Law** This Standard specifically recognizes that some state laws or regulations have additional requirements to those specified in this document. To the extent that such state laws or regulations differ from these Standards, state law or regulation shall govern.

## 701.5 Scope

### 701.5.1 Application of Standards

This Standard applies to existing site-constructed or manufactured, single- and multi-family residential buildings three stories or less in height, with the exception of hotels and motels.

## 702 DEFINITIONS AND ACRONYMS

**BPI** - Building Performance Institute

**Certified Building Analyst (BA)** - An individual who successfully passes the BPI written and field examination requirements for certification in order to evaluate the performance of a home, taking into account systems, physical conditions and other energy and non-energy characteristics of the home.

**Certified Contractor** - A contractor accredited by the Building Performance Institute (BPI) or an equivalent certification organization recognized by the Home Performance with ENERGY STAR<sup>®</sup> Program to complete specific home performance improvement work.

**Certified Home Energy Rater** - An individual who is certified by an accredited home energy Rating Provider to inspect and test a home in order to evaluate the minimum rated features established by RESNET and prepare a home energy rating according to Chapters One and Three of the RESNET Mortgage Industry National Home Energy Rating Standards.

**Comprehensive Home Energy Audit** - A level of the RESNET Home Energy Audit process defined by this ~~standard~~Standard to include the evaluation, diagnosis and proposed treatment of an existing home. The Comprehensive Home Energy Audit may be based on a Home Performance Assessment (~~“Comprehensive Home Performance Energy Audit”~~) or Home Energy Rating (~~“Comprehensive HERS Audit”~~), in accordance with the criteria established by this Standard. A homeowner may elect to go through this process with or without a prior Home Energy Survey ~~or Diagnostic Home Energy Survey~~.

**Auditor** - An individual who is certified by a RESNET accredited ~~Comprehensive Home Energy Audit Survey~~ Provider to conduct comprehensive home energy audits. Auditors shall be certified as Home Energy Raters by a RESNET accredited Home Energy Rating Provider.

**Data Collection** - The gathering of information on building energy features, energy use history and other relevant building and building operation information.

**Diagnostic Home Energy Survey** - A level of the RESNET Home Energy Survey in accordance with this ~~standard~~Standard; consisting of an In-Home Home Energy Survey and additional diagnostic testing.

**Diagnostic Testing** - The use of building performance-testing equipment (e.g. blower door, duct blaster, flow hood, infrared camera, CO monitor, etc.) to measure, assess and document specific performance characteristics of the building system.

**Energy Efficiency Rating or Energy Rating** - See Home Energy Rating

**Energy Saving Measure or Feature** - Any material, component, device, system, construction method, process or combination thereof that will result in a reduction of energy use.

**Evaluation** - An analysis of the data collected from any survey or audit, on-site data collection and performance testing, available energy usage records to determine energy use and potential savings from improvements.

### ~~HERS~~ - Home Energy Rating System

**HERS Index** - A numerical integer value produced by a Home Energy Rating that represents the relative energy use of a Rated Home as compared to the energy use of the HERS Reference Home, and where an Index value of 100 represents the energy use of the HERS Reference Home and an Index value of 0 (zero) represents a home that uses zero net purchased energy.

**HERS Provider** - An organization accredited by RESNET in accordance with section 102 of the Mortgage Industry National Home Energy Rating Systems Standards to develop, manage, and operate a home energy rating systemprogram.

**Home** - A building with one or more dwelling units that has three or fewer stories above grade, or a single dwelling unit within a building of three or fewer stories above grade.

**Home Energy Assessment** - Defined by this standard as one of two levels of energy assessment of a home, including Home Energy Survey and Comprehensive Home Energy Audit.

**Home Energy Rating** - An unbiased indication of a home's relative energy performance based on consistent inspection procedures, operating assumptions, climate data and calculation methods in accordance with the "National Energy Rating Technical Standards" (Chapter 3 of this Standard).

**Home Energy Rating System or HERS<sup>®</sup>** - The materials and procedures needed to operate a home energy rating program including, but not limited to: marketing materials, training materials, publications, rating software, QUALITY control system, data collection and maintenance systems, agreements, data collection sheets, home owner reports, and other related materials and services.

**Home Performance Assessment** - A detailed evaluation of the condition of a home as a building system, including evaluation of all materials, components, features, systems and subsystems that affect the energy use of the home.

**Home Performance with ~~Energy~~ENERGY StarSTAR<sup>®</sup> (HPwES)** - A national program developed by the U.S. Environmental Protection Agency (EPA) and the U.S. Department of Energy (DOE), that offers a comprehensive, whole-house approach to improving energy efficiency and comfort of homes, while maintaining or improving safety.

**Home Energy Survey** - A level of the RESNET Home Energy Audit process defined by this standard to include one of the following, as defined further in this Standard: On-Line Home Energy Survey, In-Home Home Energy Survey, Diagnostic Home Energy Survey

**Home Energy Survey Provider** - An organization accredited by RESNET in accordance with Section 703 of the Mortgage Industry National Home Energy Rating Systems Standards to certify ~~individuals~~Home Energy Survey Professionals to perform Home Energy Surveys and Auditors to perform Comprehensive Home Energy Audits in accordance with this ~~s~~Standard, and to maintain QUALITY assurance of the Home Energy Survey process.

**Home Energy Survey Professional** - An individual certified by an accredited Home Energy Survey Provider to conduct Home Energy Surveys.

**In-Home Home Energy Survey** - A level of the RESNET Home Energy Assessment process defined by this ~~standard~~Standard intended to assess both the general energy performance of the home and the level of the commitment to action on the part of the homeowner. The survey may include data be collected and reported on-line by the homeowner or by a home energy survey professional for the purpose of further analysis and general identification of home performance problems. The intent of the energy survey is to refer homeowners to the next level if it is determined that the home needs further analysis, and the homeowner is motivated to invest in improvements. The On-Line or In-Home Home Energy Survey is not required if the homeowner wishes to directly pursue a Diagnostic Home Energy Survey or Comprehensive Home Energy Audit.

**On-Line Home Energy Survey** - A level of the RESNET Home Energy Survey in accordance with this Standard that is Aa basic energy review of a home using an internet-based tool or software.

**Performance Testing** - Testing conducted to evaluate the performance of a system or component using specified performance metrics.

**Rating Software** - A computerized procedure that is accredited by RESNET for the purpose of conducting home energy ratings and calculating the annual energy consumption, annual energy costs and a HERS Index for a home.

**RESNET** - Residential Energy Services Network

## 703 ~~HOME ENERGY AUDIT~~ ACCREDITATION CRITERIA

### 703.1 Minimum Standards for Home Energy Survey Provider~~Provider~~ Accreditation

Home Energy Survey Providers shall be accredited in accordance with the Accreditation Process specified in Chapter 9 of these Standards. A Home Energy Survey Provider must specifically meet the following minimum standards for Accreditation.

~~703.1.1 Home Energy Survey Provider A Home Energy Survey provider~~Provider shall be accredited in accordance with the following provisions. ~~The accreditation requirements encompass both In-Home and Diagnostic Home Energy Surveys.~~

~~703.1.2 A Home Energy Survey Provider~~Provider shall be accredited by RESNET as specified in Section 102 of the Mortgage Industry National Home Energy Rating Systems Standards.

703.1.3 Home Energy Survey Professional and Auditor Certification Standard. Certification and recertification of Home Energy Survey Professionals and Auditors shall be ~~by~~ accredited by Home Energy Survey Providers, who shall abide by the following provisions:

703.1.3.1 A Home Energy Survey Provider shall provide documentation that their Home Energy Survey Professionals ~~home energy survey professionals and Auditors~~ meet the following certification provisions:

703.1.3.1.1 Performance evaluation of ability to perform accurate Home Energy Surveys in accordance with sections 704 and 705. Each Home Energy Survey Professional and Auditor shall complete a probationary period where close supervision is provided by the ~~provider~~Provider's QA ~~designee~~Designee. The probationary period covers a minimum of three home energy surveys after which the QA Designee shall determine if additional training is needed. A Home Energy Survey Professional and Auditor shall be certified only for the category of survey for which he or she has been tested and evaluated.

703.1.3.1.2 Continuing Education. Home Energy Survey Professionals and Auditors shall have 12 hours of continuing education and training units approved by the Home Energy Survey Provider in every three year period.

703.1.3.1.3 Home Energy Survey Professional and Auditor Testing. All certified Home Energy Survey Professionals and Auditors shall pass the national Home Energy Survey Professional test administered by RESNET.

703.1.3.1.4 Recertification of Home Energy Survey Professionals and Auditors by the ~~provider~~Provider shall occur not less than every three years.

703.1.3.1.5 Home Energy Survey Professional and Auditor Agreements. As a condition of Home Energy Survey Professional and Auditor certification, each

Provider shall ensure that each certified Home Energy Survey Professional and Auditor ~~home energy survey professional~~ enters into a written agreement with the Provider to provide Home Energy Survey and/or Comprehensive Home Energy Audit field verification services in compliance with these ~~standards~~ Standards. An unexecuted copy of the Home Energy Survey Professional written agreement shall be provided to RESNET with the ~~provider~~ Provider's accreditation application, and again within 60 days of making changes to the agreement. The written agreement shall, at a minimum require Home Energy Survey Professionals and Auditors to:

**703.1.3.1.5.1** Provide Home Energy Survey and/or Comprehensive Home Energy Audit verification services in compliance with these standards;

**703.1.3.1.5.2** Provide accurate and fair In-Home Home Energy Surveys; and

**703.1.3.1.5.3** Comply with the RESNET Code of Ethics. The Code of Ethics shall be attached to the written agreement.

**703.1.4** Minimum Standards for Home Energy Survey Provider Operation Policies and Procedures shall be submitted in written form to RESNET for approval, and shall at a minimum provide for the following:

**703.1.4.1** Written conflict of interest provisions that prohibit undisclosed conflicts of interest, but may allow waiver with advanced disclosure. The "Home Energy Survey Standard Disclosure" form adopted by the RESNET Board of Directors shall be completed for each home that receives a Home Energy Survey and shall be provided to the Home Energy Survey Professional's client and made available to the homeowner. Each form shall include, at a minimum, the address of the home. Each form shall accurately reflect the proper disclosure for the home that it represents. For the purpose of completing this disclosure, "Survey professional's employer" includes any affiliate entities. Recognizing that a number of different relationships may exist among the Home Energy Survey Professional or the Home Energy Survey Professional's employer, other contractors that may complete work on the home, and the survey client and/or homeowner, the Home Energy Survey Provider shall ensure that all disclosures are adequately addressed by the ~~provider~~ Provider's QUALITY assurance plan, in accordance with the relevant QUALITY assurance provisions of the standards.

**703.1.4.2** Written Home Energy Survey Professional discipline procedures that include progressive discipline for probation, suspension, and decertification.

**703.1.4.3** Quality Assurance by Home Energy Survey Providers

703.1.4.3.1 The Provider's Rating Provider QA Designee shall be responsible for monitoring compliance with the Home Energy Survey process and maintaining records in accordance with the requirements of Chapter 9.

~~A written Home Energy Survey QUALITY control process that includes, at a minimum the following:~~

~~**703.1.4.3.1 QUALITY Assurance Designee**~~

~~**703.1.4.3.1.1** A Home Energy Survey Provider shall designate an officer, employee, or contractor to be responsible for QUALITY assurance within the organization. This definition does not prohibit a rating provider's QUALITY Assurance Designee from having a qualified certified Home Energy Survey Professional perform the required QUALITY assurance file review functions. The responsibilities of the designee shall include:~~

~~**703.1.4.3.1.1.1** Maintenance of QUALITY assurance files~~

~~**703.1.4.3.1.1.2** Review of in-home energy surveys during the probationary period of the Home Energy Survey Professional~~

~~**703.1.4.3.1.1.3** Monitoring on the in-home energy surveys by certified Home Energy Survey Professionals.~~

~~**703.1.4.3.1.2** The designated officer, employee, or contractor responsible for QUALITY assurance shall demonstrate sufficient experience with the Home Energy Survey Professional knowledge base and skills given in Section 705.1 of the Standard to review the work of certified Home Energy Survey Professionals. Sufficient experience shall be demonstrated by either of the following:~~

~~**703.1.4.3.1.2.1** Certification as a Rating Provider QUALITY Assurance Designee~~

~~**703.1.4.3.1.2.2** Certification as a home energy rater and completing accurate ratings on a minimum of 25 homes~~

~~**703.1.4.3.1.2.3** Proof of qualification shall be submitted with an application for accreditation.~~

~~**703.1.4.3.2** The Provider's QUALITY assurance designee shall be responsible for the internal review of Home Energy Surveys submitted by its Home Energy Survey Professionals, including:~~

~~**703.1.4.3.2.1** Review of the Home Energy Surveys conducted during the home energy survey professional's probation period. Prior to certifying a Home Energy Survey Professional candidate, the Provider shall review at least three probationary Home Energy Surveys performed by the Home Energy Survey Professional within 12 months.~~

~~**703.1.4.3.2.2** Review of energy survey reports. For each Home Energy Survey Professional, the Provider's QUALITY assurance designee shall~~

~~annually evaluate a minimum of 10% of each Home Energy Survey Professional's Home Energy Survey reports. The Provider shall resolve any problems detected during these reviews.~~

**703.1.4.4** Home Energy Survey Professional Registry. The ~~provider~~Provider shall maintain a registry of all of its certified Home Energy Survey Professionals and Auditors. The ~~provider~~Provider shall also keep on file the names and contact information for all certified Home Energy Survey Professionals and Auditors, including company name, mailing address, voice phone number, fax number, and email address. Upon request, the ~~provider~~Provider shall provide to RESNET its registry of certified Home Energy Survey Professionals and Auditors.

**703.1.4.5** Complaint Response Process. Each Provider shall have a system available for receiving complaints. The Provider shall respond to and resolve complaints related to Home Energy Surveys and Comprehensive Home Energy Audit and reports. Providers shall ensure that Home Energy Survey Professionals and Auditors inform clients about the complaint process. Each Provider shall retain records of complaints received and responses to complaints for a minimum of three years after the date of the complaint.

### ~~703.2 Comprehensive Home Energy Audit Provider Accreditation~~

~~A Comprehensive Home Energy Audit provider shall be accredited by RESNET as a Rating Provider in accordance with the provisions of Section 102 of the Mortgage Industry National Home Energy Rating Systems Standards.~~

## **704 NATIONAL HOME ENERGY AUDIT PROCEDURES**

### **704.1 Home Energy Survey**

The purpose of the Home Energy Survey is to determine the general condition of the home with respect to energy performance and the homeowner's potential willingness to improve the home's energy performance. The Home Energy Survey shall produce a report that shows a general range of a home's energy efficiency based on specific criteria (insulation, equipment age, general condition, energy usage and costs) and a lookup matrix based on regional norms and climate, as approved by RESNET. An example includes the U.S. Department of Energy's Home Energy Saver. The Home Energy Survey is not required if the homeowner wishes to directly pursue a Diagnostic Home Energy Survey or a Comprehensive Home Energy Audit. The Home Energy Survey may take one of two forms: a computerized On-Line Home Energy Survey approved by RESNET or an In-Home Energy Survey conducted by a certified Home Energy Survey Professional.

**704.1.1 On-Line Home Energy Survey.** The On-Line Home Energy Survey shall collect substantially the same data and information and shall be subject to the same limitations as the In-Home Home Energy Survey. On-line Home Energy Survey instruments shall be hosted by a RESNET accredited Survey Provider or another

organization approved by RESNET and the on-line instrument shall be approved by RESNET.

**704.1.2 In-Home Home Energy Survey.** This Home Energy Survey shall include on-site visual inspection of the energy features of the dwelling unit, and documentation of its general condition, including envelope features and ages; equipment types, characteristics and ages; and, appliance and lighting characteristics. Where available, the In-Home Home Energy Survey shall include a review of utility use and billing history. The In-Home Home Energy Survey is a visual inspection only and does not require the use of a blower door, duct leakage test, an infrared camera or other test equipment. An In-Home Home Energy Survey is not a prerequisite for the Diagnostic Home Energy Survey or Comprehensive Home Energy Audit.

**704.1.2.1** The Home Energy Survey Professional shall interview the homeowner regarding energy and comfort problems. The Home Energy Survey Professional shall explain the limitations of the In-Home Energy Survey and provide an overview of the Comprehensive Home Energy Audit. The interview shall include, but is not limited to, the following subject areas:

**704.1.2.1.1** Comfort complaints, including areas of the home that are too hot or too cold.

**704.1.2.1.2** Energy billing concerns.

**704.1.2.1.3** The potential for the homeowner to move to a Comprehensive Home Energy Audit.

**704.1.2.1.4** Interest in potential home energy performance improvements.

**704.1.2.2** The Home Energy Survey Professional shall inform the homeowner of low cost/no cost improvements that can be implemented by the homeowner.

**704.1.2.3** The Home Energy Survey Professional shall request copies of utility bills or written permission to obtain the energy use information from the utility company, and use them to produce an estimate of generalized end-uses (base, heating, and cooling).

**704.1.2.4** The Home Energy Survey Professional shall advise the homeowner on where to locate qualified individuals to conduct a Diagnostic Home Energy Survey or a Comprehensive Home Energy Audit and/or qualified contractors to complete the work on the home.

**704.1.2.5. Minimum Procedures for an In-Home Energy Survey:**

**704.1.2.5.1** The Home Energy Survey Professional shall complete a standardized survey form approved by the Residential Energy Services Network (RESNET). The survey form will require the Survey Professional to visually review the home and to measure or estimate the following features:

**704.1.2.5.1.1** R-values of wall/ceiling/floor insulation

**704.1.2.5.1.2** Square footage and approximate age of home

**704.1.2.5.1.3** Type of windows: glazing type(s) and frame material(s)

**704.1.2.5.1.4** Type, model number, and location of heating/cooling system(s)

**704.1.2.5.1.5** Type of ductwork, location and R-value of duct insulation, and any indications of previous duct sealing

**704.1.2.5.1.6** Type of foundation is crawl, basement, or slab

**704.1.2.5.1.7** Checklist of common air-leakage sites indicating likely opportunities for leakage reduction

**704.1.2.5.1.8** Estimated age and efficiency of major appliances such as dishwashers, refrigerators, freezers, washing machines and dryers

**704.1.2.5.1.9** Number and type of hardwired light fixtures and screw-in bulbs in portable lamps suitable for energy efficient re-lamping

**704.1.2.5.1.10** Visual indications of condensation

**704.1.2.5.1.11** Presence and location of exhaust fans, and determination of whether they are vented outdoors

**704.1.2.5.1.12** Number and type of water fixtures (e.g. faucets, showerheads)

**704.1.2.5.1.13** Presence and type(s) of combustion equipment; identification of visually identifiable evidence of flame rollout, blocked chimney, and corroded or missing vent connector.

**704.1.2.5.2** The following elements are outside the scope of an In-Home, Home Energy Survey:

**704.1.2.5.2.1** The use of blower doors, duct leakage test equipment or an infrared camera.

**704.1.2.5.2.2** Any other diagnostic testing of the home

**704.1.2.5.2.3** Quantification of any levels of air tightness, duct tightness, or ventilation.

**704.1.2.5.2.4** Energy savings estimates may only be generalized and presented along with the qualification that a Comprehensive Home Energy Audit must be obtained to calculate energy savings estimates.

#### **704.1.2.5.2.5** Combustion appliance testing

### **704.1.2.6 Minimum In-Home Energy Survey Report**

**704.1.2.6.1** At the completion of the In-Home Energy Survey the Home Energy Survey Professional shall provide the homeowner a standardized report approved by the Residential Energy Services Network (RESNET), signed by the Home Energy Survey Professional. The report at a minimum shall provide information to the homeowner that addresses:

**704.1.2.6.1.1** All data collected in accordance with Section 704.1.2.5.1, above

**704.1.2.6.1.2** Whole-house solutions overview of how the home works as a system and how to prioritize actions.

**704.1.2.6.1.3** QUALITY installation of HVAC equipment including: proper sizing of equipment, duct sealing, and refrigerant charge and air flow.

**704.1.2.6.1.4** QUALITY building envelope air sealing and proper levels of insulation.

**704.1.2.6.1.5** Overview of ENERGY STAR<sup>®</sup> or better products and appliances.

**704.1.2.6.1.6** Information regarding access to a Comprehensive Home Energy Audit.

**704.1.2.6.1.7** Non-energy benefits of improving the energy efficiency of the home including reduction of carbon emissions.

**704.1.2.6.1.8** General statement regarding opportunities to improve the thermal envelope, mechanical equipment, lighting and appliances in the home.

**704.1.2.6.1.9** General discussion of concerns regarding combustion safety.

**704.1.2.6.1.10** A safety notification form adopted by the Residential Energy Services Network that is filled out and presented when obvious problems are observed in accordance with 704.1.2.5.1.

#### **704.1.2.7 Limitations**

Unless certified as a Home Energy Rater, Building Analyst, or by another program recognized by RESNET, the Home Energy Survey Professional shall not produce a detailed written work scope for improvements as part of an In-Home Energy Survey.

**704.1.3 Diagnostic Home Energy Survey** A homeowner may elect to go through this process with or without a prior In-Home Home Energy Survey. The Diagnostic Home Energy Survey includes all of the provisions of the In-Home Energy Survey (Section

**704.1.2**), with the exception of the diagnostic testing and reporting restrictions listed in section **704.1.2.5.2**, and with the inclusion of diagnostic testing as follows:

**704.1.3.1** A Home Energy Survey Professional completes a Diagnostic Home Energy Survey by performing the following:

**704.3.1.1.1** Carry out the provisions of Section 704.1.2 Energy Survey with the exception of the restrictions given in section 704.1.2.5.2.

**704.3.1.1.2** If a blower door air leakage test is performed on the home, it shall be conducted in accordance with the envelope testing requirements contained in the “National Energy Rating Technical Standards” (Chapter 3 and Appendix A of this Standard). The results shall be presented on the Diagnostic Survey report.

**704.3.1.1.3** If a duct leakage test is performed on the home, it shall be conducted in accordance with the duct testing requirements contained in the “National Energy Rating Technical Standards” (Chapter 3 and Appendix A of this Standard), whenever one or more duct systems are present for heating or cooling systems in the house. The results shall be presented on the Diagnostic Survey report.

**704.3.1.1.4** Additional diagnostic testing and reporting is optional and left up to the discretion of the Home Energy Survey Professional, program or entity offering the Diagnostic Home Energy Survey.

## **704.2 Comprehensive Home Energy Audit**

The purpose of the Comprehensive Home Energy Audit is to cause improvement to be made to the audited home. The Comprehensive Audit includes an evaluation, performance testing and proposed treatments for improvement of an existing home. The evaluation shall include a review of the data collected from any previous energy audit or survey, any further required measurement and performance testing, combustion appliance testing, and a computerized simulation analysis of the home's energy performance and a calculation of the energy and environmental savings from improving the energy performance of the home. The performance analysis shall determine the scope of work for the home. The qualified Auditor shall guide the homeowner to a Certified Contractor. A homeowner may elect to go through this process without a requirement of a prior Home Energy Survey or a Diagnostic Energy Survey. A properly certified employee or agent of a Certified Contractor may complete a Comprehensive Audit, provided that a standard financial interest disclosure is provided to the homeowner in accordance with Section 703.1.4.1 of this Standard.

**704.2.1** The Comprehensive Home Energy Audit shall include all of the following procedures:

**704.2.1.1** The procedures adopted by the Residential Energy Services Network for the certified Home Energy Rater classification and

**704.2.1.2** The procedures adopted by the Building Performance Institute for the certified Building Analyst classification.

## **705 REQUIRED SKILLS AND CERTIFICATION**

### **705.1 Minimum skills and knowledge base required to conduct an In-Home Home Energy Survey**

**705.1.1** Basics of heat transfer concepts

**705.1.2** Basics of building performance testing

**705.1.3** Basics of air distribution leakage

**705.1.4** Calculating gross and net areas

**705.1.5** Definitions/energy terminology

**705.1.6** Basic combustion appliance concerns

**705.1.7** Basics of envelope leakage, thermal bypass, thermal bridging

**705.1.8** Determining envelope insulation

**705.1.8.1** Presence/absence of insulation and when observable, the QUALITY of its installation

**705.1.8.2** Recommended levels of insulation by climate zone

**705.1.9** HVAC – determining equipment efficiencies from model numbers or default tables

**705.1.10** Household appliances – determine efficiency from model numbers or vintage

**705.1.11** Energy units

**705.1.12** Measuring building dimensions

**705.1.13** Identification and documentation of energy survey inspected features of the home

**705.1.14** Basics of specifications

**705.1.15** Determining window and door efficiency

**705.1.16** Determining building orientation and shading characteristics

**705.1.17** Defining the thermal boundaries

**705.1.18** Basics of measure interaction, expected life, and bundling for optimal performance considering the house as a system and the emerging need for deep savings

**705.2 Minimum skills and knowledge base required for an individual to conduct a Diagnostic Home Energy Survey**

**705.2.1** The skills and knowledge required for an individual to conduct a Home Energy Survey in accordance with section 705.1 of this standard.

**705.2.2** Ability to perform building envelope leakage testing in accordance with the envelope testing requirements contained in the “National Energy Rating Technical Standards” (Chapter 3 of this Standard).

**705.2.3** Ability to perform duct leakage testing in accordance with the duct testing requirements contained in the “National Energy Rating Technical Standards” (Chapter 3 of this Standard).

**705.2.4** Familiarity with local climate conditions and climate specific practices.

**705.3 Minimum certification required for an individual to conduct a Comprehensive Home Energy Audit**

**705.3.1** The certified Auditor shall be a Home Energy Rater certified by a RESNET accredited Rating Provider, and a Building Analyst certified by the Building Performance Institute. At a minimum, the certified Auditor shall be trained and certified to accomplish the following functions:

**705.3.1.1** Prepare a detailed work scope in accordance with the BPI *Building Analyst Standards*; and

**705.3.1.2** Perform combustion testing in accordance with the BPI *Building Analyst Standards*; and

**705.3.1.3** Conduct building simulation and performance analysis and provide HERS Ratings in accordance with the requirements of the *Mortgage Industry National Home Energy Rating System Standards*.

**705.3.2** A person certified by another home performance certification program recognized by the Residential Energy Services Network.

**706. GENERAL LIMITATIONS AND EXCLUSIONS**

**706.1 General limitations**

**706.1.1** The energy use information contained in the In-Home Home Energy Survey report does not constitute any warranty of energy cost or savings.

**706.1.2** Inspections that are performed in accordance with these standards:

**706.1.2.1** Are not technically exhaustive.

**706.1.2.2** Will not identify concealed conditions or latent defects.

**706.1.2.3** The Comprehensive Home Energy Audit is not intended to be an inspection of the structural soundness of the home or any other attributes of the home other than the home's energy features.

**706.1.2.4** The Home Energy Survey is not applicable to building design and construction features except those specified in the minimum required features listed in section 704.1.2.5.

# **Chapter Nine**

## **RESNET Standards**

### **900 RESNET NATIONAL STANDARD FOR QUALITY ASSURANCE**

#### **901 GENERAL PROVISIONS**

##### **901.1 Purpose**

Home energy ratings are increasingly being recognized as the national standard for the rating of a building's energy performance. A critical function and responsibility of RESNET is to ensure the integrity of the home energy rating system as specified in these Standards. Additionally, RESNET has the responsibility of accrediting Providers (Rating Providers, BOP Providers, Sampling Providers, Home Energy Survey Providers, and Quality Assurance Providers) who are the primary delivery and oversight mechanism for home energy ratings and the home energy rating system. This chapter outlines the responsibilities of RESNET and Providers for quality assurance, the role of the Quality Assurance and Ethics Committee, the accreditation criteria for QA Providers, 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**

**Accreditation Identification Number (AIN)** – A unique accreditation number assigned to each Provider for each Provider category accreditation.

**Quality Assurance (QA)** – The planned and systematic processes intended to ensure compliance with current applicable standards in a systematic, reliable fashion.

**Quality Assurance Plan** – A Provider's written quality assurance processes and procedures as specifically required in Section 904 of this Chapter.

**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 904.7 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 904.7.4 of this Chapter.

**Quality Assurance & Ethics Committee (QA Committee)** – A Standing Committee of the RESNET organization that is responsible for the oversight of RESNET's rating quality assurance program, the review and approval of all Applications for Provider

accreditation, and review and ruling on the merits of formal Ethics and Consumer Complaints received by RESNET.

*Ethics & Appeals Subcommittee* – A subcommittee of the QA Committee that is responsible for investigating ethics and consumer complaints and hearing a Provider’s appeal of its non-approval or renewal of an application, probation, suspension, or revocation.

*Low-Volume Raters* – Raters which complete less than twenty five (25) ratings per year or less than fifty (50) ratings over a two year period.

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

903.1 RESNET shall randomly select a limited number of accredited Providers and conduct an annual review of their Quality Assurance records. The RESNET Board of Directors shall determine the number of Providers that shall be reviewed on an annual basis and who will provide the quality assurance review. An accredited Rating Provider may have the right to challenge the quality assurance reviewer for cause. Records that may be reviewed include:

903.1.1 Rating electronic files

903.1.2 Rating quality assurance records

903.1.3 Complaint files

903.1.4 Rater agreements

903.1.5 Rater registry

903.1.6 Disclosure files

903.2 Significant inconsistencies or errors in the files reviewed may result in an on-site review by RESNET.

### **904 QUALITY ASSURANCE REQUIREMENTS FOR 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. In other words, 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.

904.2 Providers are responsible for completing an annual submission of QA results to RESNET. RESNET shall designate the date submissions are due, the content of each submission, and the time frame for which data shall be provided, e.g. January 1<sup>st</sup> through December 31<sup>st</sup>.

904.3 Review of rating data files. For each Rater, the Provider's QA Designee shall annually evaluate a minimum of 10% of each Rater's rating data files.

904.4 On-site inspections of ratings.

904.4.1 For each Rater, the Provider's QA Designee shall be responsible for an on-site field evaluation of the greater of one (1) home or one percent (1%) of the Rater's annual total of homes for which confirmed or sampled ratings and diagnostic testing services were provided.

904.4.2 As part of the on-site inspection of ratings, the QA Designee shall ensure that a rating is independently repeated to determine whether the rating and/or diagnostic testing was 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.

904.5 The QA Designee shall work with the Provider to resolve any problems detected during data file reviews and on-site inspections of ratings. Excessive problems will trigger field monitoring of the Rater by the QA Designee.

904.6 QA of Low-Volume Raters

904.6.1 A Rating Provider may petition the QA Committee to waive the QA on-site inspection procedure for Raters that complete less than twenty five (25) ratings per year or less than fifty (50) ratings over a two year period (Low-Volume Raters). Said petition must provide full justification for the requested exemption.

904.6.2 The Provider shall provide a set of alternative QA procedures (e.g. increased percentage review of rating data files, digital photo documentation) that ensure that the Provider meets the intent of the on-site inspection requirement.

904.6.3 In no case shall the Provider's alternative procedures allow less than one percent (1%) or one (1) on-site inspection, whichever is greater, based on the sum total of all ratings performed by all Low-Volume Raters who are certified by said Provider.

904.6.4 In no case shall the Provider's alternative procedures allow a Low-Volume Rater to go more than two (2) years without a QA on-site inspection of their work.

904.6.5 If there are consistent or substantial errors discovered in the review of rating data files, an on-site inspection shall be conducted.

904.7 Quality Assurance Designee (QA Designee)

A Home Energy Rating Provider and BOP Provider shall designate an officer, employee, or contractor to be the Quality Assurance Designee for the organization, responsible for quality assurance within the organization.

904.7.1 The designated officer, employee, or contractor responsible for quality assurance shall meet the following minimum requirements:

904.7.1.1 Previous certification as a Home Energy Rater;

904.7.1.2 Complete accurate ratings on a minimum of twenty-five (25) homes;

904.7.1.3 Demonstrate sufficient experience with the Home Energy Rating System knowledge base and skills given in Section 205.1 of Chapter Two of these Standards to review the work of Rater candidates and certified Raters;

904.7.1.4 Passing the RESNET Quality Assurance Designee Test.

904.7.2 Additionally, QA Designee's shall, at a minimum, demonstrate their experience as follows for the individual Provider categories:

904.7.2.1 QA Designee for BOP Providers

904.7.2.1.1 Knowledge of Chapter 4 of these Standards pertaining to BOP Ratings;

904.7.2.1.2 Sufficient experience with BOP inspections in general

904.7.2.1.3 Sufficient experience and knowledge of the EPA's BOP packages and minimum testing and inspection requirements;

904.7.2.2 QA Designee for Sampling Providers

904.7.2.2.1 Knowledge of Chapter 6 of these Standards pertaining to Sample Ratings;

904.7.2.2.2 Sufficient experience with sampling inspections.

904.7.2.3 QA Designee for Home Energy Survey Providers

904.7.2.3.1 Knowledge of Chapter 7 of these Standards pertaining to Home Energy Surveys;

904.7.2.3.2 Sufficient experience with Home Energy Surveys;

904.7.3 Professional Development for QA Designees

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

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

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

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

904.7.3.2 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.

904.7.4 Proof of QA Designee qualification shall be submitted by Providers with an application for accreditation.

904.7.5 The QA Designee shall have a signed agreement with the Provider to be the Provider's QA Designee.

904.7.6 If the QA Designee leaves the home energy rating Provider, the Provider shall have sixty (60) calendar days to notify RESNET of the new designated officer, employee, or contractor or be subject to suspension of the accreditation under the provisions of Section 908 of this Chapter, Suspension and Revocation of Accreditation.

904.7.7 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.

904.7.7.1 A QA Delegate must be a certified Home Energy Rater and have successfully and accurately completed, on a minimum of 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 25 homes.

904.7.7.2 With the annual QA submissions to RESNET, the QA Designee shall provide a listing of the certified Rater(s) it has delegated to undertake QA reviews on behalf of the Designee. The QA Designee is responsible for ensuring that the QA Delegate maintains their qualifications to be a QA Delegate, i.e. certification as a Rater.

904.7.8 The responsibilities of a QA Designee shall include:

904.7.8.1 Maintenance of quality assurance files;

904.7.8.2 Review of ratings conducted during a new Raters' 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 Certified Training Provider and satisfactorily completed a minimum of three (3) probationary ratings within twelve (12) months of a Rater completing their Rater training;

904.7.8.3 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) with a maximum allowable variance of +/- 5% on annual loads (i.e. heating, cooling and water heater loads as impacted by insulation assessment, blower door tests, duct leakage to outside, sq. ft. of windows, weather station selection, etc.).

904.7.8.4 In accordance with Sections 904.3 through 904.6, monitor ratings (BOP, Sampled, Home Energy Survey) conducted by certified Raters;

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

904.7.8.6 Maintenance of records for all ratings and tax credit verifications.

904.7.8.6.1 The QA record for each home shall contain at a minimum an electronic copy of the building file.

904.7.8.6.2 The record for each rating/tax credit verification shall be maintained for a minimum of three (3) years.

904.7.8.6.3 Upon RESNET's request, a Provider shall submit to RESNET the number of homes for which ratings/tax credit verifications were provided since the last data submittal. The ratings/tax credit verification 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.

904.8 The potential penalty for non-compliance with Section 904 is the individual losing QA Designee status and the Provider being subject to probation, suspension or revocation in accordance with Section 908.

## **905 QUALITY ASSURANCE AND ETHICS COMMITTEE**

905.1 Committee membership. The Quality Assurance and Ethics 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.

905.2 Committee responsibilities. The QA Committee shall have the following responsibilities:

905.2.1 Oversight of RESNET's rating quality assurance program as defined in this chapter;

905.2.2 Authority to review and approve all Applications for Provider accreditation;

905.2.3 Through the Ethics and Appeals Subcommittee, review and rule on the merits of formal Ethics Complaints received by RESNET;

905.2.4 Through the Ethics and Appeals Subcommittee, review and rule on the merits of Consumer Complaints received by RESNET;

905.2.5 Through the Ethics and Appeals Subcommittee, review and rule on the merits of all appeals of non-approval or renewal of an application, probation, suspension, or revocation.

905.3 Ethics and Appeals Subcommittee. The Ethics and Appeals Subcommittee 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 QA Committee.

905.3.1 Committee membership. The Ethics and Appeals Subcommittee shall be Chaired by the Chair of the QA Committee. The Chair of the QA Committee may appoint another member of the Ethics and Appeals Subcommittee to Chair the Committee. The Committee shall be composed of a minimum of four (4) additional members, appointed by the Chair of the QA Committee, from the QA Committee.

## **906 ETHICS AND CONSUMER COMPLAINTS**

### **906.1 Filing of ethics complaints**

906.1.1 Ethics complaints may be filed against an accredited Provider for violating the RESNET Code of Ethics, failing to enforce the Code of Ethics with their certified Raters, or failure to comply with the specific requirements set forth in the RESNET Standards.

906.1.2 An ethics complaint shall document the alleged violation(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 sent by registered mail to the Executive Director of RESNET and contain the following information:

906.1.2.1 The name of the complainant and contact information;

906.1.2.2 The accredited Provider that is the subject of the complaint;

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

906.1.2.4 A recitation of all the facts documenting the complaint including contact information;

906.1.2.5 Copies of any relevant documents.

## 906.2 Investigation of ethics complaints

906.2.1 The RESNET Executive Director shall assign a case number and forward the ethics complaint to the Ethics and Appeals Subcommittee. The Subcommittee shall consider the documentation contained in 906.1.2 in making a decision whether to proceed or dismiss the complaint.

906.2.2 In cases where the Ethics and Appeals Subcommittee finds the documentation submitted does not meet the minimum standards for an ethics complaint, the complaint may be dismissed. Both parties shall be notified by registered mail of the Ethics and Appeals Subcommittee's finding.

906.2.3 Upon a decision by the Ethics and Appeals Subcommittee that the ethics complaint should proceed to the next step, the RESNET Executive Director shall send a copy of the complaint by registered mail to the subject of the complaint immediately. The respondent has 30 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 registered mail.

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

906.2.4.1 Dismissal of complaint;

906.2.4.2 Requirement that the rating Provider take steps to correct the problem;

906.2.4.3 Recommendation to the QA Committee of sanctions under Section 908 (Suspension and Revocation of Accreditation) of this chapter.

906.2.5 All parties to the complaint shall be informed by registered mail of the Ethics and Appeals Subcommittee's action.

## 906.3 Filing of Consumer Complaints

906.3.1 Consumer Complaints may be filed by consumers who have grievances against RESNET, a Provider accredited by RESNET, or a Rater certified by an accredited Provider.

906.3.2 RESNET shall implement a Consumer Complaint Response Process to address and investigate consumer complaints.

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

## **907 PROVIDER ACCREDITATION AND RENEWAL PROCESS**

### 907.1 National Registry of Accredited Providers

RESNET shall maintain a national registry of accredited Providers and will post the registry on its web site. The following Provider categories shall have individual registries.

907.1.1 Home Energy Rating Provider

907.1.2 Home Energy Rating Software Provider

907.1.3 Training Provider

907.1.4 Builder Option Package (BOP) Provider

907.1.5 Sampling Provider

907.1.6 Home Energy Survey Provider

### 907.2 Provider Accreditation Process

907.2.1 Approval of accreditation applications shall be handled by the following RESNET Committees:

907.2.1.1 The QA Committee shall be responsible for the approval of accreditation applications for the following Provider categories:

907.2.1.1.1 Home Energy Rating Provider

907.2.1.1.2 Builder Option Package (BOP) Provider

907.2.1.1.3 Sampling Provider

907.2.1.1.4 Home Energy Survey Provider

907.2.1.1 The Training and Education Committee shall be responsible for the approval of accreditation applications for Rater Training Providers.

907.2.2 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.

907.2.3 Confidentiality of Information. Any applicant for a Providerhip 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.

907.2.4 Review and Notification.

907.2.4.1 RESNET staff action. Within twenty-one (21) calendar 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:

907.2.4.1.1 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 fourteen (14) calendar days to take action in accordance with 907.2.4.1.2 or 907.2.4.1.3

907.2.4.1.2 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 QA or Training and Education Committee that the application be approved.

907.2.4.1.3 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 QA or Training and Education 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.).

907.2.4.2 QA or Training and Education Committee action. Within fourteen (14) calendar days of receipt of a recommendation for approval or denial from RESNET staff, the Committee shall do one of the following:

907.2.4.2.1 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 fourteen (14) calendar days to render a decision in accordance with 907.2.4.2.2 or 907.2.4.2.3.

907.2.4.2.2 Approve the application.

907.2.4.2.3 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 909 of this Chapter.

907.2.4.3 Within seven (7) calendar days of a decision by the Committee, RESNET staff shall inform the applicant in writing of the status of their application.

907.2.5 For each approved application, RESNET shall issue a unique Accreditation Identification Number (AIN) to the Provider for the Provider category approved and, in accordance with 907.1, the accreditation will be incorporated into the respective national registry of accredited Providers.

907.2.6 Term of accreditation.

907.2.6.1 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 907.3.

907.2.6.2 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.

907.3 Accreditation Renewal Process

907.3.1 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.

907.3.2 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.

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

907.3.4 Late applications.

907.3.4.1 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 QA or Training and Education Committee, at its sole

discretion, may grant an extension with a grace period not to exceed thirty (30) days.

907.3.4.2 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.

907.3.5 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 909 of this Chapter.

907.3.6 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.

## **908 SUSPENSION AND REVOCATION OF ACCREDITATION**

908.1 Notification. RESNET shall provide written notification to Providers of any decisions under this section. All notices shall be sent by certified mail, return receipt requested, to the last known address of the Provider. 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 909 of this Chapter.

908.2 Reasons for suspension/revocation. Any Provider accredited by RESNET may have their accreditation suspended or revoked in any of the following circumstances

908.2.1 Failure to correct deficiencies. If RESNET determines at any time that an accredited Provider has failed to adhere to the accreditation requirements as established by these standards and approved as part of the Provider’s accreditation, 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 thirty (30) calendar days after the date set forth in such notification.

908.2.1.1 In the event that the deficiencies have not been remedied as stipulated in 908.2.1, RESNET shall have the authority to immediately begin the process of suspension by issuance of a Notice of Suspension Proceedings. Such Suspension Proceedings shall follow the due process procedures contained in 908.3.

908.2.1.2 In the event that the deficiencies have not been remedied within the period set forth in a Notice of Suspension, RESNET shall have the authority to immediately begin the process of revocation by issuance of a Notice of Revocation Proceedings. Such Revocation Proceedings shall follow the due process procedures contained in 908.3.

908.2.2 Acting in such a manner as to impair the objectivity or integrity of the Provider or harm the reputation of RESNET including;

908.2.3 Submission of false information to RESNET, or failure to submit to RESNET any material information required to be submitted by the Provider, in accordance with obtaining or maintaining accreditation;

908.2.4 Knowingly or negligently issuing ratings or reports required to be or purported to be completed in accordance with the RESNET Standards which are not;

908.2.5 Misrepresentation by the Provider in advertising or promotional materials of its accreditation status in general or with respect to any service provided by the Provider;

908.2.6 Pursuant to any of the express provisions of sections 907.3.5, non renewal;

908.2.7 Provider goes out of business;

908.2.8 Provider does not re-apply at the end of accreditation period;

908.2.9 Investigated and validated consumer complaints;

908.2.10 Upon expiration of a Provider's right to appeal a suspension of accreditation pursuant to Section 909 of this Chapter.

908.2.11 Willful misconduct;

908.2.12 Failure to disclose a self-serving interest to clients via the RESNET Home Energy Rating Standard Disclosure form.

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

908.3.1 RESNET may, at its discretion, initiate a 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.

908.3.2 Contest of proposed suspension/revocation. A Provider may contest a suspension/revocation by requesting a hearing with RESNET within thirty (30) calendar days of receipt of a notice of suspension/revocation.

908.3.3 Hearing. If the Provider files a timely response contesting the suspension/revocation and requests a hearing, RESNET will appoint an independent, unbiased, and qualified hearing officer to issue a decision on the suspension/revocation. The hearing officer will review the notice of

suspension/revocation and the Provider's contest. If the hearing officer finds that the Provider's contest has raised substantiated and valid factual arguments to the contrary of the proposed suspension/revocation, the Provider shall be afforded an opportunity to participate in an open and public telephonic hearing and to submit additional documentary evidence and a rebuttal argument to any material contained in the original notice of suspension/revocation developed during the course of the hearing officer's investigation. Notice of the Hearing shall be provided to the Provider a minimum of 120 days before the scheduled hearing.

908.3.4 Hearing Officer's Decision. Within thirty (30) days after the hearing, the hearing officer shall issue a written decision on the proposed suspension/revocation that is based on all the information contained in the hearing record including statements of the factual and legal basis of the decision. If the hearing officer decides to impose suspension or revocation, the decision must include findings regarding all disputed materials, and justification for all findings. A suspension/revocation decision by the hearing officer shall take effect upon the issuance of the hearing officer's decision and the date written notification of such decision is sent to the Provider.

908.3.5 Appeal of Hearing Officer's Decision on Suspension/Revocation. A Provider may appeal a Hearing Officer's decision on suspension/revocation by filing an appeal to the QA Committee's Ethics and Appeals Subcommittee in accordance with section 909.

908.3.6 No ex parte communication. No ex parte communication between the parties and the hearing officer shall be allowed.

## **909 APPEALS PROCEDURES FOR NON-APPROVAL OR RENEWAL OF APPLICATIONS, SUSPENSIONS, OR REVOCATIONS**

909.1 Notification. RESNET shall provide written notification to the Appellant of any decisions under this section. All notices shall be sent by certified mail, return receipt requested, to the last known address of the Provider. 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 remedy.

### 909.2 Appeal

909.2.1 Appeals to the RESNET QA Committee's Ethics and Appeals Subcommittee.

909.2.1.1 In the event that an Application or Renewal Application has been denied, or if a Provider has been placed on probation, or if a Provider's accreditation has been suspended or revoked, the Provider shall have the right, for a period of thirty (30) calendar days after the date of notice, to appeal to the RESNET Ethics and Appeals Subcommittee.

909.2.1.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention Chairman of the RESNET QA Committee.

909.2.1.3 Appeals shall contain all pertinent and substantive information and arguments that are in contradiction to the proposed non-approval or renewal of an application, probation, suspension, or revocation, including identification of all disputed materials and facts.

909.2.1.4 The appellant Provider may, at the time of noticing its appeal, request a telephonic hearing by the RESNET QA Committee's Ethics and Appeals Subcommittee. In such an event, the Subcommittee shall, not later than seven (7) calendar days after the filing of the notice of appeal, notify the appellant Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than thirty (30) calendar days after the receipt of the notice of appeal.

#### 909.2.2 Appeals to the RESNET Quality Assurance and Ethics Committee.

909.2.2.1 In the event that a Provider's appeal of its probation, suspension, or revocation is rejected by the Ethics and Appeals Subcommittee, the Provider shall have the right, for a period of thirty (30) calendar days after the date of the notification of the denial of the appeal, to appeal to the RESNET QA Committee.

909.2.2.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention Chairman of the RESNET QA Committee.

909.2.2.3 The appellant Provider may, at the time of noticing its appeal, request a telephonic hearing by the QA Committee. In such an event, the Committee shall, not later than seven (7) calendar days after the filing of the notice of appeal, notify the appellant Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than thirty (30) calendar days after the receipt of the notice of appeal.

#### 909.2.3 Appeals to the RESNET Board of Directors

909.2.3.1 In the event that a Provider's appeal of its non-approval or renewal of an application is rejected by the Ethics and Appeals Subcommittee or probation, suspension, or revocation is rejected by the QA Committee, the Provider shall have the right, for a period of thirty (30) calendar days after the date of the notification of the denial of the appeal, to appeal to the RESNET Board of Directors.

909.2.3.2 Appeals shall be in writing and sent by certified mail, or other method which provides evidence of delivery, to RESNET, attention President of the RESNET Board of Directors.

909.2.3.3 The appellant Provider may, at the time of noticing its appeal, request a telephonic hearing by the RESNET Board. Within thirty (30) days, the Board must

render a decision as to whether it chooses to hear the appeal and whether or not the hearing shall be telephonic or closed. If the Board chooses to hear the appeal, the Board shall, not later than seven (7) calendar days after the decision to hear the appeal, notify the appellant Provider of the date of the hearing, which shall be held as expeditiously as possible, but not later than thirty (30) calendar days after notification that the appeal will be heard.

#### **910 EFFECTIVE DATE**

910.1 The effective date of these changes to the RESNET Standards shall be January 1, 2010.