

# NABCEP

## Candidate Information Handbook for the



NABCEP  
Solar Photovoltaic Installer  
Certification®



NABCEP  
Solar Heating Installer  
Certification™



NABCEP  
Small Wind Installer  
Certification™



Applications for all NABCEP Certifications are available at:

[WWW.NABCEP.ORG](http://WWW.NABCEP.ORG)

There is a \$25 Application Fee Discount for applications submitted more than one month prior to the application deadline.

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**STATEMENT OF NONDISCRIMINATORY POLICY**

The North American Board of Certified Energy Practitioners is dedicated to the principles of equal opportunity and equal access to its programs and services. NABCEP does not discriminate against any individual on the basis of religion, gender, ethnic background, nationality, disability, sexual orientation, or other reason prohibited by law. NABCEP grants certification without regard to an applicant's membership or non-membership on any organization, association or other group.

***Disclaimer Statement:***

- *NABCEP is the national certification organization for professional installers in the field of renewable energy.*
- *NABCEP issues voluntary certification credentials to those qualified professionals who satisfy eligibility requirements established by the Board of Directors.*
- *NABCEP certification is not a professional license issued by a government agency, and does not authorize a certificant to practice.*
- *NABCEP certificants must comply with all legal requirements related to practice, including licensing laws*

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## 1 Introduction

The North American Board of Certified Energy Practitioners (NABCEP) offers a voluntary personnel certification program for professionals who install solar photovoltaic (PV) power systems, solar heating systems, and small wind systems. Candidates seeking these certifications must meet the requirements of one of the NABCEP eligibility and experience categories established by subject matter experts along with public review, and pass an examination to become certified. Candidates must complete continuing education and continuing installation requirements to maintain certification on three-year cycles. This *Candidate Information Handbook* contains information about the three Certification Programs. It provides guidance and policies for applying, achieving, and maintaining a personnel Certification from NABCEP.

The mission of NABCEP is to support, and work with, the renewable energy and energy efficiency industries, professionals, and stakeholders to develop and implement quality credentialing and certification programs for practitioners.

NABCEP is a nationally recognized credentialing body formed to set competency standards for professional practitioners in the fields of renewable and sustainable energy. Practitioners who choose to become certified must demonstrate their competence in the field and their commitment to upholding high standards of ethical and professional practice.

Voluntary certification for renewable energy professionals will:

- Promote the status and credibility of renewable energy practices
- Promote consumer confidence in renewable energy technologies
- Promote worker safety and skill
- Advance uniform professional standards by holding certified installers to a Code of Ethics
- Commit certified installers to continued professional development through maintenance of the credential

Incorporated in March 2002, NABCEP follows the best practices of the certification field in developing standards and competencies for voluntary certification. This includes practices established by the National Commission for Certifying Agencies (NCCA) and ISO/ IEC Standard 17024. In September of 2007, NABCEP's Solar PV Installer Certification Program earned the prestigious ANSI/ ISO/ IEC 17024 Accreditation.

NABCEP is committed to providing a certification program of quality and integrity for the professionals and public consumers it is designed to serve. In addition to guiding candidates for certification through the application, examination, and maintenance procedures for each Certification, this *Handbook* contains policies regarding candidate rights and the integrity of the NABCEP credential.

**Each individual applicant should read this *Handbook* thoroughly in preparation for applying for certification. This *Handbook* covers the entire application, examination, certification, and recertification process.**

## 2 Certification Overview

### 2.1 Certification Purpose

Certification assures the public, employers and practitioners that a nationally certified professional in the fields of renewable and sustainable energy and energy efficiency technologies possess the skills and knowledge

necessary to competently carry out the work processes of specific field(s), and that he/ she is committed to continued professional training and education and adherence to ethical practices.

## 2.2 Definition of Certification

Certification is defined as: *a procedure by which an independent third-party gives written assurance that a professional conforms to specified standards, usually by holding professionals in a specific field to a set of requirements including a written examination. As a result of meeting the requirements and passing the exam, professionals receive a certificate, which they can display publicly to witness their proficiency.*

### NABCEP Certification Timeline

<b>Deadline to submit completed Application with Application Fee</b>	<b>10 weeks and one day (71 days) prior to desired exam date</b>
Applicants notified of eligibility or ineligibility	No later than 3 weeks after the Application deadline
<b>Deadline to submit Exam Scheduling Form with Examination Fee (see Section 7.1)</b>	<b>6 weeks and one day (43 days) prior to desired exam date</b>
Candidates sent Exam Admission Slip via e-mail	No less than two weeks prior to exam date
<b>Examination</b>	
Candidates sent notification of exam results via Postal Service	No more than 6 weeks after exam date
Certificates mailed via Postal Service to new NABCEP Certified Installers	No more than 6 weeks after notification of results

Exact deadline calendar dates pertaining to upcoming administrations of the examination will be posted on the NABCEP website and are available upon request.

## 2.3 NABCEP Certification Cycle

Certification is valid for three (3) years from the date of issuance. Certificants will need to meet the established standards and requirements for recertification (see Section 12) in order to renew their certification status at the end of the three-year period. Certificants can repeat the recertification process every three years perpetually as long as they continue to meet the established standards and requirements for continuing education and practice. NABCEP shall regularly review and update standards and requirements as needed.

## 2.4 Fees

Application Fee – per electronically submitted application (non-refundable).....	\$100
Application Fee – per paper application (non-refundable).....	\$150
Early Application Discount – per application submitted more than 30 days before deadline.....	(\$25)
Examination Fee – per first time candidate per certification exam.....	\$300
Re-examination Fee – per each re-take of an examination (see Section 10.9).....	\$200
Recertification Fee – per electronically submitted application (every 3 years, see Section 12).....	\$300
Recertification Fee – per paper application (every 3 years, see Section 12).....	\$350
Late Fee – per late recertification application (see Section 12.1.4).....	\$50
Replacement Document Fee – per request (see Section 11.3).....	\$25

Fees are payable to the North American Board of Certified Energy Practitioners (NABCEP) via credit card, check or money order with a Payment Remittance Form (Appendix IV). All fees are subject to change without notice.

## 3 Solar PV Installer Certification Requirements

### 3.1 Eligibility Requirements for the Solar PV Installer Certification

To become certified and maintain certification, the applicant must minimally

- Be at least 18 years of age
- Meet prerequisites of related experience and/ or education as outlined in Section 3.2 below
- Complete an application form documenting requirements
- Sign and agree to uphold a Code of Ethics
- Pay Application and Examination Fees to NABCEP
- Pass a written examination
- Complete continuing education and installation requirements, and pay a Recertification Fee, within the recertification timeframe

### 3.2 Qualifications for the Solar PV Installer Certification Examination

There are several ways that an individual may qualify to sit for the certification examination. NABCEP recognizes that professionals in the field of renewable and sustainable energy and energy efficient technologies receive their training and work experiences in a variety of ways. Therefore each requirement to qualify for the exam stipulates specific training and/ or experience. NABCEP Staff will review each application to determine compliance with eligibility criteria. Compliance with the requirements of one of the Qualifying Categories below must be documented.

To qualify to sit for the NABCEP PV Installer Certification Examination, every applicant will need to provide documentation as defined in Sections 3.6 to 3.10 to demonstrate:

- 1) A minimum of 10 hours of OSHA approved Construction Industry safety training by presenting an OSHA 10 card (or state or provincial equivalent) **AND**
- 2) That he/ she meets at least **ONE** of the following minimum entry requirement categories:

#### **CATEGORY A**

- i. Completion of 58 cumulative hours of training as defined in Section 3.5 below; **AND**
- ii. Installation of five (5) PV systems in compliance with the requirements of Section 3.4 below;

#### **CATEGORY B**

- i. Licensure as a contractor in good standing in solar or electrical construction-related areas; **AND**
- ii. Completion of 58 cumulative hours of training as defined in Section 3.5 below; **AND**
- iii. Installation of three (3) PV systems in compliance with Section 3.4 below

#### **CATEGORY C**

- i. Four (4) years of electrical construction-related experience working for a licensed contractor; **AND**
- ii. Completion of 58 cumulative hours of training as defined in Section 3.5 below; **AND**
- iii. Installation of three (3) PV systems in compliance with Section 3.4 below

## CATEGORY D

- i. Three (3) years of experience in a U.S. Department of Labor Registered electrical construction trade Apprenticeship Program; **AND**
- ii. Completion of 58 cumulative hours of training as defined in Section 3.5 below; **NOTE: Training does not need to be in addition to apprenticeship training coursework if requirements of Section 3.5 are met within the curriculum; AND**
- iii. Installation of three (3) PV systems in compliance with Section 3.4 below

## CATEGORY E

- i. Two (2) or four (4) year degree in a field related to electrical construction, electrical engineering technology, or renewable energy technology; **OR**
- ii. Four (4) year degree in a field related to mechanical, structural, or civil engineering technology; **AND**
- iii. Completion of 58 cumulative hours of training as defined in Section 3.5 below; **NOTE: Training does not need to be in addition to degree coursework if requirements of Section 3.5 are met within the curriculum; AND**
- iv. Installation of three (3) PV systems in compliance with Section 3.4 below

SUMMARY TABLE OF NABCEP SOLAR PV INSTALLER ELIGIBILITY REQUIREMENTS			
Requirements for all applicants	Be at least 18 years of age and Document a minimum of 10 hours of OSHA approved Construction Industry safety training by presenting a 10 OSHA card (or state or provincial equivalent).		
Category	Who	PV Installation Experience	Education
A	Any PV Installer	Five (5) PV Systems	58 Hours (see Section 3.5)
B	An existing licensed contractor in good standing in solar or electrical construction-related areas	Three (3) PV Systems	
C	Someone with four (4) years of electrical construction-related experience working for a licensed contractor (includes licensee or owner/ operator)		
D	Someone with three (3) years of experience in a U.S. Dept. of Labor Registered electrical construction trade Apprenticeship Program		
E	Holder of a two (2) or four (4) year electrical construction-related, electrical engineering technology, renewable energy technology/ technician degree, or a four (4) year degree in mechanical, structural or civil engineering		

### 3.3 OSHA 10 Hour Requirement

All applicants must show proof of completion of an OSHA 10 Hour Construction Industry class or its equivalent. To find an OSHA class visit: [www.osha.gov/dte/outreach/courses.html](http://www.osha.gov/dte/outreach/courses.html).

NOTE: NABCEP strongly recommends the completion of an OSHA 30 Hour Construction Industry course. OSHA states that “the 10-hour class is intended for entry level workers” and “the 30-hour class is more appropriate for supervisors or workers with some safety responsibility.” Additional note: 18 of the 20 additional hours of training in the 30 hour class may be applied to the 58 hour training qualification requirements in all Categories as described in Section 3.5.1.d

### 3.4 Solar PV Installation Requirements

#### 3.4.1 Installation and System Requirements

The applicant shall perform the role of the individual responsible for the installation of the solar PV systems as the foreman, supervisor, site manager, or experienced worker performing all aspects of PV installation work without direct supervision – see Section 3.7 on how to document experience.

Systems submitted with the application must meet the following minimum criteria:

- All installations must have occurred within the two calendar years prior to the application start date
- At least fifty percent (50%) of the submitted systems must have an inverter rated 2 kW AC or greater continuous. At least fifty percent means that two of three (2 of 3) or three of five (3 of 5) systems submitted meet this requirement.
- All systems submitted must have a minimum rating of 1 kW DC (STC).

### 3.5 Solar PV Training Requirements

#### 3.5.1 Training must meet the following criteria to be accepted in an application:

- A. The training was completed in the three calendar years prior to the start of the application.
- B. All training must have a formal training format, with a teacher-learner structure. This implies a connection between a learner and a learning source. This can include web-based training in which the student is separated from faculty and other students but where the learner receives feedback and the student’s progress is monitored. All hour requirements are based on “contact hours” between the teacher and the learner.
- C. A minimum of forty (40) of the fifty eight (58) prescribed hours must cover advanced solar PV installation and design principles and practices addressed in the NABCEP PV Installer Job Task Analysis. All advanced PV training must be offered by one of the following education providers:
  - I. Institutions accredited by an agency recognized by the federal Department of Education, or Canadian equivalent (Universities, Community Colleges, etc.)
  - II. U.S. Department of Labor Registered Apprenticeship Training Programs ([www.doleta.gov/ oa/](http://www.doleta.gov/oa/) )
  - III. Training Programs accredited, Independent Instructors, or Independent Master Trainers certified by the Interstate Renewable Energy Council (IREC) to IREC or IREC ISPQ Standards ([www.irecusa.org](http://www.irecusa.org))
  - IV. Training institutions approved by State Contractor Licensing Boards or Canadian Provincial equivalents
  - V. State or Provincial Department of Education or equivalent registered Vocational / Technical training programs

NOTE: Courses offered by private training organizations or businesses that are not accredited or taught by instructors certified by a recognized third-party will not be accepted for the minimum of 40 hours of advanced solar PV installation and design training.

- D. A maximum of eighteen (18) of the fifty eight (58) prescribed hours may be obtained from non-accredited, non-certified sources such as:
- I. Courses covering building and electrical codes relevant to the installation of solar PV systems
  - II. Entry Level coursework through a NABCEP Registered PV Entry Level Exam Provider, provided that a passing score achievement was obtained on the NABCEP PV Entry Level Exam. NOTE: Courses leading to the NABCEP Entry Level Exam do not qualify for the minimum 40 hours of advanced PV installation and design.
  - III. Additional OSHA or equivalent workplace safety courses above and beyond the required OSHA 10 hour course
  - IV. Training programs and courses that are registered with NABCEP for Continuing Education Credits for the PV Installer Certification
  - V. Any other coursework that addresses topics included in the NABCEP PV Installer Job Task Analysis (NOTE: the applicant will need to submit a course outline and signed letter from the training provider detailing how many hours were spent covering the NABCEP Solar PV Installer Job Task Analysis in the course.)

### 3.6 Documenting Training

When documenting training, the applicant will be required to submit a certificate of completion or a transcript for each completed training program or course used to meet the minimum training requirements. All certificates of completion and transcripts must clearly state that the course covered subject matter directly related to advanced PV or the National Electric Code. If the subject matter of the course is not clearly stated in the title, then the applicant must provide a course outline and a signed letter from the training provider or instructor detailing how many hours were spent covering the NABCEP Solar PV Installer Job Task Analysis or relevant codes.

### 3.7 Documentation Requirements for Solar PV System Installations

Each system must be supported with permit(s) and final inspection report(s) issued by the Local Authority Having Jurisdiction. In regions where final inspection reports are not issued, the applicant may hire an independent, qualified electrician recognized by the Authority Having Jurisdiction (AHJ), or independent certified electrical inspector, to write an inspection report. If the applicant is not specifically named on the permit and/ or inspection report, they must also submit documentation that he/ she was the senior person responsible for the installation of the system.

To document experience, applicants are asked in the Application Form to provide a concise description of work performed at the job site for each of the qualifying installed systems, including:

- System location
- System size
- List of major components
- Level of responsibility on the jobsite (job description)
- Number of full-time equivalent workers supervised
- Any other pertinent information

To show that the applicant held the responsible role in the installation of the system, the applicant must submit the following documentation for each system:

- To document the system size and inverter capacity the applicant must submit design plans and/ or line drawings.
- Electrical permitting and inspection documents for the system installed.
- If the applicant's name is not specifically listed on the permit and/ or inspection report, then the individual who is named, or a member of senior management from the company named, must provide a signed letter on company letterhead that verifies the responsible role that the applicant maintained for the installation of the system.
- In cases where the permit and or inspection report does not identify the individual or company performing the work, or the individual or business the work is being performed for, NABCEP will require documentation that links the applicant to the installation.

NOTE: NABCEP reserves the right to contact system owners/ operators, permitting authorities, and responsible contractors to verify work listed in this Section.

### 3.8 Documenting Licensure

If the applicant's qualifying category requires that they hold a specific license (Category B), or if a license for solar installation is required in the jurisdiction in which the work was performed, applicants must submit a copy of their licenses with their application.

### 3.9 Documenting Employment

Applicants applying under qualifying Categories C or D, must submit documentation for the required experience, starting with the current employment. The applicant will need to submit a job description, a summary of the number and type of solar PV systems they helped install (if applicable), and provide contact information for their supervisor.

A signed letter from the current or most recent supervisor is required to verify the applicant's employment. If the applicant is self-employed, they must provide a detailed description of the work that they do as it relates to PV installation. The self-employed applicant's installation documentation will provide additional "proof of employment".

### 3.10 Documenting Education

Applicants applying under qualifying Category E must submit copies of official transcripts or diplomas attesting to the completion of the degree(s) or certificate(s) earned.

## 4 Solar Heating Installer Certification Requirements

### 4.1 Eligibility Requirements

To become certified and maintain certification, the applicant must minimally:

- Be at least 18 years of age
- Meet prerequisites of related experience and/ or education as outlined in Section 4.2.1 below
- Complete an application form documenting requirements
- Sign and agree to uphold a code of ethics
- Pay application and exam fee
- Pass a written exam
- Complete continuing education and installation requirements within the recertification timeframe

## 4.2 Education, Training and Experience Prerequisites

There are several ways that an individual may qualify to sit for the certification examination. NABCEP recognizes that professionals in the field of renewable and sustainable energy and energy efficient technologies receive their training and work experiences in a variety of ways. Therefore each requirement to qualify for the exam stipulates specific training and/or experience. NABCEP Staff will review each application to determine compliance with eligibility criteria. Compliance with the requirements of one of the Qualifying Categories below must be documented.

### 4.2.1 Qualifying Categories for the Solar Heating Installer Certification Examination

To qualify to sit for the NABCEP Solar Heating Installer Certification examination, the candidate must demonstrate that he/ she meets at least **ONE** of the following minimum entry requirement Categories:

#### CATEGORY A

- 1) Four (4) years of experience installing Solar Hot Water Systems (see definition of years of experience in Section 4.2.2 below); **OR**
- 2) Two (2) years of experience installing Solar Pool Heating Systems in addition to completion of 16 hours cumulative of training (see definition of years of experience and training in Sections 4.2.2 and 4.2.4 below)

*Note: If a candidate chooses Category A they must choose ONE of the two options listed above.*

#### CATEGORY B

Two (2) years of experience installing Solar Heating Systems in addition to completion of 40 hours cumulative of training (see definition of experience and training in Section 4.2.2 and Section 4.2.5 below)

#### CATEGORY C

Be an existing licensed contractor in good standing in solar or construction-related areas with one (1) year of experience installing Solar Heating Systems (see definition of years of experience in Section 4.2.2 below)

#### CATEGORY D

Four (4) years of HVAC, mechanical, pipe-fitting or plumbing-related experience working for a licensed contractor, including one (1) year of experience installing Solar Heating systems (see definition of experience and training in Section 4.2.2 below)

#### CATEGORY E

Three (3) years of experience in a Department of Labor Registered construction trade Apprenticeship Program, including one (1) year of experience installing Solar Heating Systems (see definition of experience and training in Section 4.2.2 below)

#### CATEGORY F

Two (2) year construction related, or engineering technology, or renewable energy technology or technician degree from an accredited educational institution plus one (1) year of experience installing Solar Heating Systems (see definition of experience and training in Section 4.2.2 below)

#### CATEGORY G

Four (4) year engineering degree from an accredited educational institution, including (1) year experience installing Solar Heating Systems (see definition of experience and training in Section 4.2.2 below)

**CATEGORY H**

NABCEP® Solar PV Installer Certification (see Section 3) AND 16 hours cumulative of training (see Section 4.2.4 below), AND installation of at least two solar hot water systems (see definition of experience and training in Section 4.2.2 below). These two systems require permitting and inspection process by a permitting authority – OR – in the absence of such, an appropriate underwriter authorized to provide an inspection certificate. In regions where neither of these inspection options exists, the Executive Director or the Application Review Committee will judge experience based on supplied documentation.

**4.2.2 Definition of Experience for the Solar Heating Installer Certification**

One (1) year of experience must include service, repair and/ or installation of 2 solar heating systems. This year of service MUST include:

- A **responsible role** on the job installing two (2) solar hot water systems, in the role of foreman, supervisor, site manager, or experienced worker performing solar hot water installation of work without direct supervision.

**4.2.3 Training and Education (Optional)**

Although training is strongly encouraged, it is not a requirement for achieving this certification when applicants meet other entry requirements. However, the exam is such that some level of training will likely be necessary for most applicants to achieve a passing score. It is recommended that applicants look for training courses that are accredited or instructors that are certified by the Interstate Renewable Energy Council (IREC) to IREC or IREC ISPQ (Institute of Sustainable Power Quality) standards. A Full list of accredited training programs and certified instructors can be found at [www.IRECUsa.org](http://www.IRECUsa.org) under Workforce Development.

**4.2.4 Training and Education Requirements for Category A Option (1-b) and Category H**

NABCEP will accept training to meet eligibility requirements for Category A option (1-b) and Category H when the training meets the following outcomes:

- a) A minimum of 16 hours cumulative (can include product training)
- b) Have a formal training format, with a teacher-learner structure. This implies a connection between a learner and a learning source. It can include classroom time led by an instructor and/ or discussion leader. It can also include activities in which a learner is engaged in a planned learning event in which he/ she is separated from faculty and other students but where the learner receives some sort of feedback and the learner's progress is monitored. Examples include computer-assisted instruction, interactive video/ CD/ DVD and/ or web site learning.
- c) Covers core competencies from the Solar Heating Installer Task Analysis, including demonstration of motor skills; the applicable plumbing, roofing, electrical and other Codes; safety work practices and codes.

Please view the Section below for types of training programs that will be accepted.

**4.2.5 Training and Education Requirements for Category B**

NABCEP will accept training to meet entry requirement Category B when the training meets the following outcomes:

- a) a minimum of 40 hours cumulative (can include product training)
- b) Have a formal training format, with a teacher-learner structure. This implies a connection between a learner and a learning source. It can include classroom time led by an instructor and/ or discussion

leader. It can also include activities in which a learner is engaged in a planned learning event in which he/ she is separated from faculty and other students but where the learner receives some sort of feedback and the learner's progress is monitored. Examples include computer-assisted instruction, interactive video/ CD/ DVD and/ or web site learning.

- c) Covers core competencies from the NABCEP Solar Heating Job Task Analysis, including demonstration of motor skills; the applicable plumbing, roofing, electrical and other Codes, safety work practices and codes.

Types of training programs may include but are not limited to:

1. Offered by an institution accredited by an agency recognized by the federal Department of Education (Universities, Community Colleges, etc.)
2. Dedicated independent training programs such as those accredited IREC ISPQ
3. Department of Labor Registered Apprenticeship training programs
4. State or Provincial Contractor Licensing Board approved training programs
5. Vocational/ Technical training programs
6. NABCEP Registered Continuing Education Courses

### 4.3 Documentation of Employment, Experience, & Education

For the applicant to demonstrate that they have been working in the Solar Heating field for the number of years required by the Qualifying Category chosen (see Section 4.2.1), the Application Form will ask to list Solar Heating-related employment in chronological order, starting with most current employment. The applicant will need to write a job description, summarize the number and type of systems installed, and provide contact information for a supervisor. In addition, a supervisor will need to sign off on the applicant's current or most recent employment. If the applicant is self-employed, they must self-sign off on a detailed description of their work. The applicant's Solar Heating installations will act as verification of employment.

Formal education and training are optional depending on the Qualifying Category chosen, though NABCEP believes that applicants will benefit from quality training when preparing to take the certification exam. If the Qualifying Category requires education, copies of official transcripts or diplomas attesting to the applicant's attendance and degrees earned will need to be attached to the application form.

### 4.4 Documentation of Solar Heating System Installations

In order to document the minimum 2-systems required per year of experience, candidates are asked in the Application Form to list qualifying installed systems (see Section 4.2.2 above) and provide a concise description of work performed at the job site, including the system size, a list of components, the level of their responsibility on the jobsite, number of full-time equivalent workers supervised, and any other pertinent information.

These two (2) systems require permitting and inspection process by a permitting authority – OR – in the absence of such, an appropriate underwriter authorized to provide an inspection certificate. In regions where neither of these inspection options exists, the applicant may submit the following to be reviewed by the Executive Director or the Application Review Committee:

- A line-drawing of the system showing all components
- A photo of the collector(s)
- Photo(s) of the conventional and storage tanks (if there is one)
- Warranty information as available

- A signed letter from the applicant's supervisor or employer stating that they were the lead installer of that system.

The Executive Director or Application Review Committee will judge experience based on supplied documentation.

NABCEP reserves the right to contact system owners/ operators, permitting authorities, and responsible contractors to verify work listed in this Section.

### 4.5 Licensure Requirement

If a license for solar heating installation is required in the jurisdiction in which the work is performed, candidates must submit their license number -- or the license number under which the work was performed.

## 5 Small Wind Installer Certification Requirements

### 5.1 Eligibility Requirements for the SW Installer Certification

To become certified and maintain certification, the applicant must minimally:

- Be at least 18 years of age
- Meet prerequisites of related experience and/ or education as outlined in Section 5.2.1 below
- Complete an application form documenting requirements
- Sign and agree to uphold a code of ethics
- Pay application and exam fee
- Pass a written exam
- Complete continuing education and installation requirements within the recertification timeframe

### 5.2 Education, Training and Experience Prerequisites

There are several ways that an individual may qualify to sit for the NABCEP Small Wind Installer Certification Examination. NABCEP recognizes that professionals in the field of renewable and sustainable energy and energy efficient technologies receive their training and work experiences in a variety of ways. NABCEP also recognizes that installation experience, and not accumulated years, is the critical factor in determining a person's experience and readiness to sit for the Small Wind Installer Certification Exam; therefore, each qualifying category for the exam stipulates specific training and/ or experience requirements. NABCEP staff will review each application to determine compliance with eligibility criteria. Compliance with the requirements of **one** of the **Qualifying Categories** listed below must be documented.

#### 5.2.1 Qualifying Categories for the Small Wind Installer Certification Examination

To qualify to sit for the NABCEP Small Wind Installer Certification examination, the candidate must demonstrate that he/ she meets at least **ONE** of the following minimum entry requirement categories:

#### CATEGORY A

- Minimum of 70 hours cumulative training (see installation and training definition in Sections 5.2.2 and 5.2.3 below) ; **AND**
- Four (4) small wind system installations completed within 4 years prior to submitting the application

## CATEGORY B

- i. Three years of experience as a contractor with relevant experience in concrete, foundations, electrical, and/ or tower construction; **AND**
- ii. Four (4) wind system installations completed within four (4) years prior to submitting the application (see installation definition in Sections 5.2.2 below)

## CATEGORY C

- i. Three years in a Department of Labor Registered Apprenticeship Training Program with training relevant to wind systems and their installation; **AND**
- ii. Four (4) small wind installations completed within four (4) years prior to submitting the application (see installation definition in Sections 5.2.2 below)

## CATEGORY D

- i. Two (2) year or four (4) year construction related, engineering technology, engineering, or renewable energy technology/ technician degree from an accredited educational institution including training relevant to wind systems and their installation; **AND**
- ii. Four (4) small wind installations completed within four (4) years prior to submitting the application (see installation definition in Sections 5.2.2 below)

## CATEGORY E

- i. Be an IREC ISPQ Certified Small Wind Instructor or Master Trainer or have instructed a minimum of 400 Hours of training that cover core competencies of the Job Task Analysis at an acceptable training institution; **AND**
- ii. Four (4) small wind installations completed within four (4) years prior to submitting the application (see installation definition in Sections 5.2.2 below)

### 5.2.2 Definition and Qualification of Small Wind Installation Experience

A small wind energy system is defined as a grid connected or off-grid system, with or without batteries, rated at 100 kW or less. There are three (3) Levels of experience under which an applicant may qualify to sit for the NABCEP Small Wind Installer Certification Exam. These levels are reflective of an installer's experience with different types of small wind energy system types, tower types, and tower heights. An installer must qualify under one of the three experience levels for the installation of small wind systems.

*Note: Once certified at a certain level, a Small Wind Certified Installer™ may change their certification level by submitting the appropriate information to NABCEP by using the Small Wind Installer Certification Level Change Form.*

#### Level 1 Certification

- No minimum rotor diameter, swept area, or tower height for any of the installations
- At least two of the four (2 of 4) installations must have been continuously operational for a minimum of one (1) year
- At least one of the four (1 of 4) must be installed on a guyed, tilt-up tower
- At least one of the four (1 of 4) must be a crane installation on a tower

#### Level 2 Certification

- At least two of the four (2 of 4) installations must have been continuously operational for a minimum of one (1) year
- At least one of the four (1 of 4) must be a crane installation on a minimum of an 80' tall tower
- At least two of the four (2 of 4) installations must be of turbines with minimum rotor diameters of 11.5' or greater than 100 square feet of swept area

## Level 3 Certification

- At least two of the four (2 of 4) submitted installations must have been continuously operational for a minimum of one (1) year
- At least one of the four (1 of 4) must be installed on a minimum of an 80' high guyed tilt-up tower
- At least one of the four (1 of 4) must be a crane installation on a minimum of an 80' tall tower
- At least two of the four installations must be of turbines with minimum rotor diameters of 11.5' or greater than 100 square feet of swept area

SMALL WIND SYSTEM INSTALLATION EXPERIENCE LEVEL SUMMARY CHART						
Experience Level	Total # of Systems Required	# of systems operation for min. 1 year	Crane Installs	Tilt-Up Installs	Tower Height	Rotor Diameter or Swept Area Requirement
Level 1	4	2	1	1	None	None
Level 2	4	2	1	NA	Crane - 80'	2 installs with 100 sq./ft. or 11.5' rotor diameter min.
Level 3	4	2	1	1	Crane - 80' Tilt-Up - 80'	2 installs with 100 sq./ft. or 11.5' rotor diameter min.

For purposes of this process, a Small Wind installation will qualify only if the applicant has a *responsible role* in decision-making on the job. This includes the foreman, supervisor, manager, instructor, or mentor responsible for the small wind installation, or experienced person performing tasks direct without supervision. Up to two (3) applicants can claim to have a responsible role on an installation. There may be workers, subcontractors, interns, or apprentices that do not carry the charge of responsibility on the jobsite but who are aspiring to this role. In these cases, the supervisor may be called upon to make a judgment as to the role of the worker in the process of documenting their experience.

References will be requested and evaluated by NABCEP. Please review Section 5.3 on how to document training and installation experience.

### 5.2.3 Training and Education for Small Wind Installer Certification

Although training is strongly encouraged, it is not a requirement for achieving this certification when candidates meet other entry requirements. However, the exam is such that some level of training will likely be necessary for most applicants to achieve a passing score. It is recommended that applicants look for training courses that are accredited or instructors that are certified by the Interstate Renewable Energy Council (IREC) to IREC or IREC ISPQ (Institute of Sustainable Power Quality) standards. A Full list of accredited training programs and certified instructors can be found at [www.IRECUsa.org](http://www.IRECUsa.org) under Workforce Development.

NABCEP will accept training to meet entry requirement Category A when the training meets the following outcomes:

- 70 accumulated hours of classroom training which must include:

- A minimum of 35 hours of active participation in hands-on or in the field training
- Site assessment and tower sizing training
- Training on turbine performance estimation for specific site conditions

**Acceptable training institutions may include but are not limited to:**

- Training programs accredited by the Interstate Renewable Energy Council (IREC) to Institute for Sustainable Power Quality Standards (ISPQ)
- Training recognized by a state renewable energy public benefits program
- Training offered by an institution accredited by an agency recognized by the federal Department of Education
- NABCEP Registered Continuing Education courses for the NABCEP Small Wind Installer Certification

#### **5.2.4 Training Related Installations**

NABCEP recognizes Small Wind installations performed by participants during the course of a workshop or training program. The typical goal of these installations is to provide participants with hands-on experience in simulated on-the-job conditions. Acceptable practices and requirements for purposes of using training related installations to meet experience requirements are listed below:

1. It is acceptable for the student responsible for the installation to use other students as his/ her “crew” as would be customary in an regular installation for a customer
2. Up to 3 students and their instructor per training course may claim the title of “responsible installer” for purposes of listing the installation on the NABCEP Application.
3. Up to 2 of these training-related installations is allowed per NABCEP application.
4. Upon successful completion of the installation, a Letter of Reference from the instructor should document that the applicant played a key role in the installation equals one installation.

### **5.3 Documentation of Employment, Experience, & Education**

To show that the applicant has been working in the Small Wind field for the number of years required by the Qualifying Category chosen (see Section 5.2.1 above), the applicant must list Small Wind related employment in chronological order, starting with most current employment. The applicant will need to write a job description, summarize the number and type of systems installed, and provide contact information for a supervisor. In addition, a supervisor will need to sign off on current or most recent employment. If the applicant is self-employed, they must self-sign a detailed description of their job. The applicant’s Small Wind installations will act as verification of employment.

Formal education and training are optional depending on the Qualifying Category chosen, even though NABCEP believes that applicants will benefit from quality training when preparing to take the certification exam. If the Qualifying Category requires education, copies of official transcripts or diplomas attesting to the applicant’s attendance and degrees earned will need to be attached to the application.

## 5.4 Documentation of Small Wind System Installations

In order to document the minimum 4-systems required, applicants are asked to list qualifying installed systems (see Section 5.2.2 above) and provide a concise description of work performed at the job site, including the system size, a list of components, the level of their responsibility on the jobsite, number of full-time equivalent workers supervised, and any other pertinent information.

Up to three (3) applicants can claim to have a responsible role on the same installation. There may be workers, subcontractors, interns, or apprentices that do not carry the charge of responsibility on the jobsite but who are aspiring to this role. In these cases, the supervisor may be called upon to make a judgment as to the role of the worker in the process of documenting their experience.

In addition, for each system, applicants will need to provide: a) location of the job site, including some combination of the following: county, lot #, and/ or physical address; b) if required in the jurisdiction, permit number(s) and permitting authority for any permits required to perform the work; c) system-owner contact information; d) a photograph of the system (optional); and e) copies of any inspection certificates or permits involved.

NABCEP reserves the right to contact system owners/ operators, permitting authorities, and responsible contractors to verify work listed in this Section.

The applicant must attach supporting documents to the application to verify the installations, including:

Copies of any permits or inspection certificates acquired; a letter from the system owner; as built design documents; a letter from the building inspector, permitting authority, or authority having jurisdiction (AHJ); final invoice from installation company; or letter from a public benefits program.

*Note: A letter from the system owner or public benefits program is mandatory to support the requirement that at least two of the four installations must have been continuously operational for a minimum of 1 year.*

In cases where insufficient information is supplied on any of the four (4) required systems, the Executive Director or the Application Review Committee (details in Section 6.3) will make decisions about eligibility based on supplied documentation. Optional documentation includes anything that the applicant believes will help verify the installation and demonstrate their responsible role such as, letters from customers, design plans, photos, a letter from an employer, or other documentation.

## 5.5 Licensure Requirement

If a license for Small Wind installation is required in the jurisdiction in which the work is performed, candidates must submit their license number -- or the license number under which the work was performed.

# 6 [Application for Certification](#)

## 6.1 Application Process

To apply for the certification, and qualify to take the certification examination, an applicant must complete an application and submit supporting documentation that verifies that they meet the minimum education and experience eligibility requirements. The application must be submitted electronically or postmarked **at least ten weeks and one day (71 days) prior** to the exam date. The applicant should keep a duplicate copy of all documents for their records. All information and documents submitted to NABCEP will not be returned.

- The applicant should review the Qualification Categories for eligibility and select the category that best describes their experiences (see Section 3.2.1 for Solar PV, Section 4.2.1 for Solar Heating and Section 5.2.1 for Small Wind above).

- The applicant must complete and sign the application for the given Certification. Applications may be found on the website: <http://www.nabcep.org>. NABCEP **strongly** encourages applicants to electronically complete and submit the application at <http://forms.nabcep.org>. An additional fee of \$50 will be charged for all applications submitted in hardcopy, paper form (see Section 2.4).
- The applicant must submit the application with the appropriate application fee. The applicant may pay by credit card through a secure website when paying for an electronically submitted application. If a hardcopy application is submitted by mail or fax, the applicant must include a *Payment Remittance Form* with the application and fee.
- When accepted to sit for the Certification Exam, a candidate must submit an *Exam Scheduling Form* in order to sit for the exam. **Being accepted to sit for the Exam does not mean that the candidate has been scheduled.** Please see Section 7.1 below for details on Exam Scheduling.
- Once a candidate has been scheduled, they will receive an admission slip to the e-mail address listed in the application.

## 6.2 Verification of Employment and Education

In an effort to serve the public's trust, NABCEP reserves the right to verify information on candidate application and recertification materials. Failure to report truthfully may result in the denial and/or revocation of certification.

## 6.3 Application Review

NABCEP staff, under the supervision and guidance of the Executive Director, review every application to verify that compliance with minimum eligibility requirements has been met by the applicant and is properly documented. An Application Review Committee reviews any application for which NABCEP staff is unable to determine if the applicant does or does not meet the eligibility requirements. This Committee is made up of three to five NABCEP-selected subject matter experts who have an understanding of the different types of situations and constraints encountered by practitioners in the field. Reviewers will be non-competitive industry peers with no financial or other affiliation with applicants -- every effort will be made to ensure the objectivity of the Reviewers, and they will be charged to act in a manner that is fair, consistent, and justifiable.

## 6.4 Notification of Eligibility or Ineligibility

An applicant applying for certification in conjunction with a specific exam administration will receive notice of eligibility or ineligibility to sit for the certification examination no later than 3 weeks after the Application Deadline.

If the application is complete, and the applicant has sufficiently demonstrated their compliance with the minimum eligibility requirements, they will be sent a letter via e-mail announcing their eligibility to take the examination. Along with the letter, the applicant will be sent an Exam Scheduling Form that must be completed, and submitted with payment of the examination fee, by the exam scheduling deadline for the examination date that they wish to take the exam.

If an application is deemed ineligible, the applicant will be notified and informed of the reason(s) for this finding and will be provided with six months from the date the application was submitted and paid for. During this time the applicant may reapply to sit for the exam by correcting the application and resubmitting it for review. If after six months the application has not been completed or corrected, the application will expire. If this occurs a new application and application fee must be submitted.

If an applicant chooses to appeal the finding of ineligibility, they may do so in writing to the Executive Director of NABCEP within thirty (30) days of the receipt of notification of ineligibility (see Appeals Policy in Appendix II).

## 6.5 Refund Policy

The application fee is non-refundable.

## 6.6 Eligibility Period

An applicant that has been accepted to sit for the examination (candidate) is eligible to take the exam for a period of two years from the date that notification that they have been approved to sit for the examination was sent. The candidate may take the exam up to a maximum of four times during this two year period. If the candidate does not pass the exam during this eligibility period they must reapply as a new applicant by submitting a new complete application and remit another application fee to become eligible to take the examination again.

# 7 Preparing To Take the Examination

## 7.1 Scheduling Examination Site & Time

Upon approval of an application for certification, the candidate will receive an approval letter and an *Examination Scheduling Form*. The approval letter provides information for scheduling an examination. The *Examination Scheduling Form* must be submitted electronically, mailed or faxed at least (30) thirty days before the desired examination date.

NABCEP will make every effort to accommodate candidates into the site requested, but in the event that a particular test site reaches maximum capacity, seating for that particular test site will be granted on a first-come, first-paid basis as *Examination Scheduling Forms* are received. Candidates whose requested test site is full or unavailable will be notified with other options.

Approximately two weeks prior to the exam, candidates will receive an Admission Slip, which they must bring with them to the exam site, along with one government issued photo I.D. The Admission Slip will contain the date, time and location of the examination.

## 7.2 Exam Content

The examination consists of approximately:

- Sixty (60) equally weighted multiple-choice questions, with four (4) choices per question for the Solar PV Installer Certification Exam
- Seventy (70) equally weighted multiple-choice questions, with four (4) choices per question for the Solar Heating Installer Certification Exam
- Sixty (60) equally weighted multiple-choice questions, with four (4) choices per question for the Small Wind Installer Certification Exam

**The time limit for the examination is four (4) hours.** Exam questions cover fundamental trade knowledge, codes and standards, and accepted industry practice in the context of installation scenarios using system diagrams and equipment specifications. The content for the examination is based on a Job Task Analysis developed for each Certification. Please find the respective Job Task Analysis on the NABCEP website for the major job/ task areas and percentage of questions in each area:

Job Task Analysis have been conducted to assure that the content of the examination reflects the tasks and knowledge required of the practitioner who specify, install and maintain Solar PV, Solar Heating or Small Wind power generation systems and equipment. A Job Task Analysis gives a detailed description of job activities and their significance with regard to job requirements and consumer protection. As part of the job analysis study, a survey was conducted of industry professionals, including manufacturers, contractors, codes

and standards developers, researchers and educators. The job analysis study also assures that examination content is up to date and relevant to current practice. Subject Matter Experts (SME's) are used to research and develop examination questions for each of the content areas on the exam. All of the questions undergo extensive review and editing. For a copy of the complete PV, Solar Heating and Small Wind Installer Task Analysis', please see: <http://www.nabcep.org>

In addition to the specific content areas listed above, knowledge and skills in the following areas are required:

- Reading and interpreting plans and specifications
- Reading and interpreting codes and standards
- Basic mathematics (addition, subtraction, multiplication, division, calculations of area and volume, fractions, decimals, percentages, calculating the sides of triangles, square roots, powers of numbers, and solving simple algebraic equations for unknown variables)

Candidates should be prepared to respond to examination questions on any of the content areas listed in the Job Task Analysis. Questions asked and content areas tested on previous examinations should not be assumed to be the only possible questions to be asked or content areas to be tested on this examination.

### 7.3 Special Testing Accommodations

The NABCEP Board complies with the provisions of the Americans with Disabilities Act (42 U.S.C. Section 12101, et. seq.) and with Title VII of the Civil Rights Act, as amended (42 U.S.C. Section 2000e, et. seq.).

All applicants who desire special testing accommodations due to a disability or religious observance must complete the section on the Application Form indicating that special accommodations are required and submit the *Request for Special Accommodations Form* which can be found in Appendix IV. It is the responsibility of the candidate to provide advance notice and appropriate documentation of the disability or religious observance, along with specifications of the type of accommodations or aids that will be required, when the Application form is submitted.

NABCEP will not pay any costs an individual may incur in obtaining the required diagnosis and recommendation for accommodation. However, NABCEP will pay for any reasonable accommodation(s) that are provided during the exam. NABCEP shall notify the applicant regarding the acceptance of the request in advance of the Examination date. Appropriate arrangements and accommodation(s) shall be made for all candidates with disabilities who file the appropriate request and include appropriate documentation, unless an accommodation changes the nature of the test. Under no conditions will an accommodation be made which changes the nature of the test.

### 7.4 English as a Second Language

Renewable Energy installers in the U.S. must currently be able to speak and read English in order to understand system instructions and design specifications. Therefore the certification examinations are written and administered in the English language and materials will be provided only in English. Until training and hardware components begin to feature other languages in sufficient quantity to enable non-English speaking installers other language options in which they can practice competently in the renewable energy field, the application, examination, and materials will remain in English.

## 8 Taking the Examination

### 8.1 Admission to the Examination

At least two weeks prior to the exam, candidates will receive an Admission Slip, which they must bring with them to the exam site. The Admission Slip will include the date, time and location of the examination.

In addition, the candidate **MUST SHOW A CURRENT PHOTO I.D. THAT EXACTLY MATCHES THE NAME ON THE ADMISSION SLIP TO GAIN ADMISSION TO THE TEST SITE.** The candidate must provide one of the following valid government-issued documents bearing a picture, name, and signature to gain admission to the test site: a driver's license, photo identification card, passport, or military identification card. Examples of non-acceptable identification include, but are not limited to: student ID, employer-issued ID, library cards, and credit cards.

Candidates who are unable to produce the required identification at the exam site will not be permitted to take the exam. Under these circumstances candidates will be considered absent and will forfeit the full exam fee and will be required to re-schedule the exam and pay all applicable re-examination fees.

Candidates should report to the test site no later than the time indicated on the admission slip and examination schedule. It is recommended that candidates arrive at the examination site no later than thirty (30) minutes prior to the examination time. Additional time needed for procedures, payments, delays, traffic, parking, weather, etc., should be considered when arranging transportation to the examination site.

### 8.2 What to Bring to the Exam

The NABCEP certification exam is designed to be completed with the aid of the National Electrical Code® for the Solar PV & Small Wind Installer Certification Exam. The text and materials required to take the **test will be provided for each candidate** at the test site, including:

1. National Electrical Code, NFPA 70 (**2011 for Solar PV and 2008 for Small Wind Installer Certification Exam**)
2. Calculator - a Casio fx260 or a similar model
3. Two #2 pencils

All materials will be returned to the Proctor at the end of the exam, where they will be inspected. No changes are to be made to the National Electrical Code® text or to the calculators, and under no condition will these items leave the testing room at any time.

In addition to the materials that NABCEP will supply, candidates may bring water in a closeable container. No other food items are allowed in the testing room. Any personal items or supplies needed during the examination must be encased in a clear plastic bag, no larger than 8.5" X 11" in size. Please be advised that due to circumstances beyond our control, examination sites may experience minor disturbances. It is recommended that candidates who are sensitive to noise bring earplugs.

### 8.3 What Not to Bring to the Examination

Unauthorized supplies will be subject to removal by the testing officials at the examination site. The following items are **NOT** allowed in the examination room and will be confiscated during the exam and returned afterward:

- Watches – a clock will be provided in the room.
- Any part of workbooks and materials, bound or loose-leaf notes.

- Handwritten and typewritten notes are not allowed.
- Pull-off labels, removable tabs, paper clips, or metal clamps.
- Paper, writing tablets, or notepads.
- Highlighters.
- Personal calculators and electronic organizers.
- Cameras, tape recorders, or computers.
- Pagers, electronic transmitting devices, or telephones.
- Canisters of mace, pepper spray, or other personal defense items.
- Purses, briefcases, portfolios, fanny packs, or backpacks – a space within the testing room will be provided for candidates to leave bags of this kind. Any personal supplies required during the examination such as inhalers, medication, extra glasses, tissues, etc. should be placed in a clear plastic bag no larger than 8.5” x 11.

## 8.4 Attire – What to Wear for the Exam

Candidates should dress comfortably, but appropriately, for the examination. The examination rooms are usually climate controlled. However, it is not always possible to maintain a temperature that is preferred by each candidate. It is suggested that candidates bring a sweater or jacket to use in the event that the temperature is cooler than individual preference.

Baseball caps or hats, unless they have religious significance, are not allowed to be worn in the test room and must be placed with the other personal belongings if brought into the room.

## 8.5 Answer Sheets

Candidates must follow the examination Proctor’s instructions on completing the answer sheet. It is the candidate’s responsibility to correctly “bubble” in their “candidate identification number” and “examination number.” Answers must be recorded on the answer sheet provided at the examination. Answers recorded in the examination booklet or on scratch paper will NOT be scored.

*It is recommended that candidates fill in answers on the answer sheet as they complete each question rather than waiting until the end of the examination. Candidates who wait until the 15-minute time warning to transfer answers from the test booklet to the answer sheet normally do NOT have enough time to transfer all answers. Candidates CANNOT complete any answers after time is called. Candidates will ONLY receive Credit for answers completed on the answer sheet. Candidates must turn in completed answer sheets, all examination materials, and scratch paper when time is called for the exam.*

## 8.6 Test Taking Advice

The advice offered here is presented primarily to help candidates demonstrate the knowledge they possess and maximize their chances of passing the examination.

- Read all instructions carefully.
- Candidates should periodically check their progress and pace. The more questions answered, the better the chance of achieving a passing score.
- There is no penalty for guessing, so candidates should answer every question. It is recommended that candidates record an answer for each question, even if not confident in the answer. Blank answers will be counted as incorrect.

- Candidates may note the questions that they want to reconsider in the examination booklet and return to them later.
- Candidates should speak to a proctor immediately concerning any problems that occur during the examination. Proctors will not answer any questions related to the content of the examination, but may be able to assist with eliminating distractions or other issues.
- Before the exam day, candidates should ensure that they know the exact location of the examination site, the best way to get there, where parking can be found, and the actual location of the testing room.

## 9 Examination Administrative Policies

### 9.1 Rules

The examination supervisor and proctors are the designated agents for maintaining a secure and proper administration of the examination. On behalf of NABCEP, administrators are required to enforce the following rules.

- There is to be no talking or moving around during the test. Any irregular candidate conduct which violates the standards of test administration, such as communicating with any other candidate during the administration of an examination or copying answers from another candidate during the administration of the examination, is strictly prohibited and grounds for dismissal from the examination. Examination materials will be confiscated. Any candidate involved in such behavior will be removed from the exam room, reported to NABCEP, and may be prohibited from taking the exam again.
- If a candidate has an emergency or needs to use the restroom, he or she should raise his/ her hand. The Proctor will take the test materials and secure them, then give the candidate permission to leave the room. Only one candidate at a time is permitted to leave the room.
- There is to be no smoking, eating, or drinking (except water) by candidates in the test room.
- Personal items besides immediate necessities (which will be in plastic bags no larger than 8.5" x 11") will be stored at the front or back of the test room, or in an adjacent room.
- The Proctor and assistants cannot answer any questions about test items during the test. Candidates should do the best they can on each item. Examination supervisors and proctors are NOT qualified or authorized to answer questions concerning the examination content; however, they will do their best to help with any procedural questions and address other concerns.
- If a candidate feels there is a misprint or an error within an item, the candidate should raise his or her hand. He or she will receive a Candidate Comment Form, which will be collected at the end of the exam.
- No examination materials, documents, or memoranda of any kind are to be taken from the examination room.
- Water can be brought into the testing room in a container with a lid.
- Candidates are prohibited from writing or marking anything in any reference book or materials, and doing so is grounds for confiscation of these documents by the exam administrators.
- Due to the noise associated with gathering reference books and materials at the end of the examination, candidates who have not completed the exam yet when the 15-minute time limit is

announced may not be permitted to leave the test center until time is called. Candidates will be asked to remain in their seats until time is called in order to minimize the disruption to candidates still testing.

## 9.2 Exam Security

Any candidate who communicates with, or gives or receives help to others during the exam will be dismissed from the examination room. Candidates involved in such behavior will be reported to NABCEP and their exam will not be scored. Examination fees will not be refunded and the candidate may be prohibited from taking the examination in the future.

The performance of all candidates is monitored and may be analyzed to detect fraud. This information is reported to NABCEP. Candidates who violate security measures will not have their exam scored and may be prohibited from taking the examination pending investigation of the violation.

All exam materials, including all questions, answer booklets, and score sheets are the copyrighted property of NABCEP. Any distribution of these materials through reproduction or oral or written communication is strictly prohibited.

## 9.3 Late Arrivals

Applicants are encouraged to arrive at least thirty (30) minutes before the scheduled start time for the examination. All candidates who arrive before the scheduled start time of the examination will be processed and seated for the examination. Once all applicants are processed, the doors to the exam room will be closed to further admission and the test will begin. Candidates who arrive after the doors are closed will not be admitted and will be considered to have missed the examination. These candidates can reapply for a subsequent examination time and pay the re-examination fee (unless a candidate's situation meets the specific exceptions listed in Section 9.4 below and he/ she successfully files for an exception).

## 9.4 Cancellation and Rescheduling Policy

If a candidate is scheduled to take an examination and cannot attend, they must file an Examination Change Form within 30 days of a scheduled exam. All exam date and location changes are subject to availability. If the requested date or location has filled to capacity, a change request may have to be processed for a later date, or for the site provided as a second choice.

NO CHANGES will be made within 30 days of a scheduled exam unless:

- 1) A serious illness of the candidate or an immediate family member
- 2) Death in the immediate family
- 3) Disabling accident
- 4) Unscheduled air travel delay
- 5) Court appearance or jury duty
- 6) Unexpected military duty call-up
- 7) Natural or man-made disasters

For any of the above-mentioned exceptions, a candidate must submit an Examination Change Form AND supporting evidence in writing within four (4) days after the scheduled examination date. NABCEP reserves the right to request additional evidence to support the exception and to deny requests for exception. Candidates for whom an excuse is accepted will be allowed to select a later exam date to which the fee will be applied. The examination fee is non-refundable. Candidates for whom an excuse is found to be not acceptable will forfeit their entire exam fee and will be required to reschedule the examination and pay a re-examination fee should they wish to continue the certification process. Companies that pay for an employee's examination MAY NOT transfer the examination registration fee to another employee.

## 9.5 Failure to Appear

Candidates who fail to appear for the examination will forfeit their entire exam fee and will be required to reschedule the examination and pay a re-examination fee unless they meet cancellation policy guidelines above. (See Fee Schedule in Section 2.4)

## 9.6 Comment Prior to Scoring

Following completion of the examination, candidates may comment in writing on any questions that they believe contain errors in content or on the administrative conditions of the examination. Comment forms will be available in the examination room at the conclusion of the exam, and will be collected and forwarded to the Examination Committee. If the Examination Committee judges that an item(s) should not be scored, all affected candidates scores will be corrected accordingly.

## 10 Scoring and Grade Notification

### 10.1 Pre-Test Exam Questions

All of NABCEP's Certification Examinations may contain a small number of pre-test or "pilot test" questions. These questions are NOT scored. The purpose of pre-testing questions during the administration of an examination is to gather data on the performance of these items. In order to accurately test the performance of these items, they will not be identified. Including pre-test questions on an examination is a common practice used by many national and state examination programs and is a critical step in developing additional test items and ensuring the continued reliability and validity of the examination. The time allowed for testing has been evaluated to ensure there is adequate time for completing both scored and pre-test questions.

### 10.2 Scoring Procedures

Answer sheets will be scored electronically. A statistical comparison of all responses may be performed as a quality control process to verify the accuracy of examination grades and the performance of test items. Any irregularities identified by this analysis may be considered grounds for denial of certification. Scores must be ratified by the NABCEP Board of Directors prior to their release.

### 10.3 Determination of Passing Score

The passing score of NABCEP certification examinations is set by a criterion-referenced standard-setting exercise by experts in the field under the guidance of a psychometrician. The NABCEP certification examination is not be graded "on a curve" – any candidate who meets the entry requirements and achieves a passing score on the examination will be certified.

Because different test forms may vary slightly in difficulty from one to another, it is desirable to have scores reported as scaled scores. Scaled scores are statistically derived by adjusting the raw score (the number of questions a candidate answers correctly) by a factor that accounts for the difficulty of a particular exam format relative to other formats. A total scaled score is used to determine pass or fail status and is reported as a scaled score ranging between 0 and 99.

A scaled score of 70 is required to achieve a passing status on the NABCEP Solar PV Installer Certification Examination.

A scaled score of 75 is required to achieve a passing status on the NABCEP Solar Heating Installer Certification Examination.

A scaled score of 75 is required to achieve a passing status on the NABCEP Small Wind Installer Certification Examination.

#### 10.4 Exam Scoring Time Frame

Exam score reports will be completed and mailed to the candidate prior to six (6) weeks following the administration of the exam. Grade results and or pass/ fail status will not be given out over the telephone.

Exam results for the first examination of the Small Wind Installer Certification will be mailed out nine (9) weeks after the administration of the exam.

#### 10.5 Contents of the Score Report

Candidates will receive the passing score and their scaled score in their score report. For a definition of a scaled score, see Scoring Procedures in Section 10.3.

#### 10.6 Score Information Made Public

The only information made public regarding the exam will be the major domains being tested, the number and type of questions, and the score required to pass the exam. The following aggregate data about scores may be released for each administration of the exam: number of applicants, number of candidates tested, number and percentage passing the exam, number and percentage of first-time test takers passing the exam, and number of administration sites.

#### 10.7 Challenging Examination Results

Candidates who feel that their score is inaccurate can send an official appeal to the NABCEP Executive Director within thirty (30) days of receiving their score report. (See Section 15 and the Appeals Procedure, Section D in Appendix II)

#### 10.8 Re-scoring

NABCEP employs a rigorous process to ensure that no errors occur in the scoring of candidate answer sheets, including a review of all answer sheets for any possible marking errors, a quality control scoring audit and a statistical analysis of all questions. Due to the accuracy of electronically-scanned scoring, changes as a result of re-scoring are highly unlikely. However, a candidate may request a hand-score of his answer sheets by filling out and submitting the *Application to Hand Grade Answer Sheet* with the requisite fee of \$25.00. All such requests must be sent to NABCEP as directed in the application.

#### 10.9 Re-Examination Information

Candidates who fail the examination will be permitted to retake the multiple times during the 24-month period during which the candidate's application is "active" (see Section 6.6). For each subsequent attempt, candidates will be required to pay a re-examination fee of \$200. Following this 24-month period, a candidate failing to pass must re-apply as a new candidate. Failing to appear for a scheduled examination will be considered an examination time (see Section 7.5).

#### 10.10 Cancellation of Scores

NABCEP is responsible for the integrity of the scores they report. On rare occasions, circumstances such as a technical malfunction or candidate misconduct may render a score invalid. NABCEP is committed to rectifying such discrepancies as expeditiously as possible. NABCEP reserves the right to cancel any examination scores if, in the sole opinion of NABCEP, there is adequate reason to question its validity. In the event of cancellation, NABCEP at its discretion may (1) offer the individual an opportunity to take the examination again at no additional fee or (2) revoke or otherwise take action with regard to the application or certification of a candidate or certificant deemed to be in violation of any policies or procedures of NABCEP applicable to the appropriate Certification program. (See Section 11.4)

## **11** Certification Status

### **11.1** Duration of Certification Credential

Certification is valid for three (3) years following the date of issuance. During that time a certificant may use the certification designation after their name to show that they are certified (see Certification Mark Use Policy in Appendix III of this *Handbook*). Certificants will receive a frameable certificate and information on maintaining the credential through the Recertification Program when they are notified of their successful certification.

### **11.2** Displaying a Certification Mark

Only persons certified by the NABCEP, who maintain active certification status and are in good standing, are authorized to use a NABCEP Certification Mark. Each certified individual may use the Mark in professional advertising and informational materials, including telephone directory listings or advertisements, business cards, letterhead, brochures, signs, stationery, packages, and other similar marketing materials, consistent with the rules as explained in Appendix III, "Certification Mark Use Policy." The Mark is personal to the certified individual and may not be transferred or assigned to any other individual, organization, business, or entity. Certificates may not be displayed for purposes other than verification of the professional's credential and should be displayed only when the certification is current and the certificant is in good standing with NABCEP.

### **11.3** Replacement Certificates

In the event that a certificate arrives damaged or with incorrect name spelling, certificants should immediately notify NABCEP for a replacement certificate. In the event of a name change or in the case of loss, certificants may request a replacement certificate using the form contained in this *Candidate Information Handbook*. A fee of \$25 will be charged for each replacement certificate except in cases where damage or typographical errors are immediately reported to NABCEP upon receipt of the certificate.

### **11.4** Misconduct

Applicants for initial certification and recertification, and candidates for the examination who have been determined to be involved in fraud, misrepresentation, or inappropriate behavior in the application, examination, or recertification process will be subject to disciplinary action which may result in denial or removal of the NABCEP credential.

## **12** Recertification

### **12.1** Introduction

NABCEP sponsors and administers a rigorous, examination-based, professional certification programs – the NABCEP Solar PV, Solar Heating and Small Wind Installer Certifications. Certificants are granted the conditional right to use the NABCEP credential and certification mark but must demonstrate an ongoing professional commitment to the field of given certification by satisfying the requirements of this Program. NABCEP Recertification assures that the certificant remains committed to continued professional training and education and adherences to the NABCEP Code of Ethics.

This policy establishes and explains the requirements which must be satisfied in order to maintain certification and related information including the standards, guidelines, and procedures of NABCEP Recertification. Inquiries or questions concerning this policy should be directed to the NABCEP office.

### **12.1.1 Statement of Purposes**

NABCEP Recertification is intended to: require reasonable and appropriate continuing educational and professional activities; enhance the ongoing professional development of certificants; encourage and recognize individualized learning opportunities; and provide a standardized, objective, and straightforward process for attaining and recording professional development activities.

### **12.1.2 Basic Requirements for Recertification**

To become recertified, a NABCEP Certificant must document installation experience over the course of their 3-year certification cycle and obtain at least 18 contact hours of continuing education. The requirements specific for each certification can be found below in Section 12.2 for the Solar PV Certification, Section 12.3 for Solar Heating and Section 12.4 for Small Wind.

### **12.1.3 Recertification Cycle**

Each recertification cycle will be a three (3) year period. The first recertification cycle begins on the date of initial certification, and expires three years after that initial date of certification. The initial certification date is the date printed on the NABCEP Certificate. Thereafter, each recertification cycle will be a three (3) year period starting on the same date (plus 3 years, plus 6 years, etc.) as the initial date of certification and ending three years after the starting date.

### **12.1.4 Application Time Line**

Certificants are encouraged to file a Recertification Application and pay a \$300 fee at least ninety (90) days prior to the expiration of their certificate.

Certificants who fail to recertify before their certificate expires will be required to pay a late fee of \$50 in addition to the \$300 Recertification Fee.

### **12.1.5 Application Process**

The Recertification Application is not required to include copies of training certificates awarded for Continuing Education classes, nor do permitting and inspection records need to be attached for installation experience; however, if a certificant is chosen for a random audit, they will be required to submit proper documentation to verify compliance with requirements.

Certificants may logon to recertify on-line and pay the recertification fee through NABCEP's secure on-line merchant account at <https://forms.nabcep.org/>. Certificants may also submit a recertification application via hardcopy.

### **12.1.6 Notification of Recertification Acceptance**

After the application is reviewed by NABCEP Staff, applicants will receive notice of the status of Recertification within approximately eight (8) weeks after submitting a Recertification Application. If the Recertification is approved, the certificant will receive a new Certificate with a new expiration date.

If the application for Recertification is denied, the certificant will receive a letter stating why the Application was not accepted. Candidates will have thirty (30) days to supply additional information if it was requested, or to appeal the denial in writing to the Executive Director of NABCEP. (See Appeals Policy in Appendix II)

### **12.1.7 Inactive Status**

Inactive status may be granted to certificants on a case-by-case basis for special circumstances such as illness, injury, military duties or personal hardship. An inactive status may be granted to a certificant for up to a maximum of three years. The request for inactive status must be made in writing not later than one (1) month

following the expiration date on the candidate's certificate. This request must include a statement of the special circumstances leading to the request and an estimate of when the certificant expects to meet recertification requirements. During this time, the certificant is not certified by NABCEP nor may claim to be so. The certificant will be required to suspend use of the NABCEP credential and will return the certificate to NABCEP headquarters. Once an applicant applies to reactivate certification status, the Executive Director or the Application Review Committee will determine the length of time the applicant has to meet recertification requirements.

## 12.2 Solar PV Recertification Requirements

Consistent with the terms of this policy, certificants must satisfy the following requirements in order to maintain certification after each three (3) year period.

### 12.2.1 Installation Requirements and Surveillance

To maintain certification, the Certified PV Installer must document that he/ she was the lead installer on the installation of three (3) Qualifying PV Systems over the course of the three-year certification period.

Additionally each certificant must provide the NABCEP Quality Assessment Survey to the owners of at least three (3) Qualifying Systems (System Owners). The System Owners will complete and return the Assessment Surveys to NABCEP. During the first two (2) years of a certification period, each certificant must ensure that NABCEP has received at least one (1) Assessment Survey from a System Owner. The remaining two (2) Assessment Surveys must be received by NABCEP prior to the end of the three (3) year certification period. *All requirements and documents pertaining to surveillance are provided in the Appendix IV of this Handbook.*

### 12.2.2 Definition of a Solar PV Qualifying System

The system installations required for recertification must meet the same minimum requirements as those for initial certification eligibility. See Section 3.4 above for specific requirements.

### 12.2.3 Documenting Solar PV System Installations

System installations submitted for recertification must meet the same documentation requirements as those for initial eligibility for the certification to qualify. See Section 3.7 above for specific requirements.

## 12.3 Solar Heating Recertification Requirements

Consistent with the terms of this policy, certificants must satisfy the following requirements in order to maintain certification.

### 12.3.1 Installation Requirements

To maintain certification, the Certified Solar Heating Installer must document that they were the lead installer on the installation of three (3) Qualifying Solar Heating Systems over the course of the three-year certification period.

### 12.3.2 Definition of a Qualifying Solar Heating System

The system installations required for recertification must meet the same minimum requirements as those for initial certification eligibility. See Section 4.2.2 above for specific requirements.

### 12.3.3 Documenting Solar Heating System Installations

System installations submitted for recertification must meet the same documentation requirements as those for initial eligibility for the certification to qualify. See Section 4.4 above for specific requirements.

## **12.4 Small Wind Recertification Requirements**

Consistent with the terms of this policy, certificants must satisfy the following requirements in order to maintain certification.

### **12.4.1 Installation Requirements**

To maintain certification, the Certified Small Wind Installer must document that they were one (of up to three per installation) responsible installers for the installation of three (3) Qualifying Small Wind Systems over the course of the three-year certification period.

### **12.4.2 Definition of a Qualifying Small Wind System**

The system installations required for recertification must meet the same minimum requirements as those for initial certification eligibility. See Section 5.2.2 above for specific requirements.

### **12.4.3 Documenting Small Wind System Installations**

System installations submitted for recertification must meet the same documentation requirements as those for initial eligibility for the certification to qualify. See Section 5.4 above for specific requirements.

## **12.5 Verification of Information by NABCEP**

NABCEP reserves the right to contact system owners/ operators, permitting authorities, and responsible contractors to verify work listed in this Section. A certificant is not required to attach copies of permits or inspections to the Recertification Application. Other optional documentation includes anything that the certificant believes verifies the installation and demonstrates their responsible role. For example: letters from customers, design plans, photographs, an employer letter, or other documentation.

## **12.6 Licensure Requirement**

If a license for small wind installation is required in the jurisdiction in which the work is performed, certificants must list their license number(s) -- or the license number under which the work was performed on their application for recertification.

## **12.7 Continuing Education Requirements**

In addition to the Installation Requirements detailed above, certificants must accrue a minimum number of eighteen (18) contact hours of continuing education during each recertification cycle, which is a three (3) year period.

A contact hour equals one 60-minute clock hour of organized learning activity including interaction between learner and instructor or learner and materials which have been prepared to cause learning. The number of contact hours for the course must be specified by the provider before the course is offered. Credit is not awarded for time spent on sales presentations, breaks, travel, receptions, or meals.

All contact hour credits are subject to approval and confirmation by NABCEP.

### **12.7.1 Continuing Education Requirements for Solar PV Recertification**

NABCEP certificants are required to satisfy the following specific continuing education requirements:

- At least 6 contact hours on the latest version of the National Electrical Code, including Article 690 and other Sections relevant to the installation of PV systems;
- At least 6 contact hours of technical PV related to the most recent version of the NABCEP PV Installer Task Analysis or complementary standards relevant to photovoltaic installation and technology;

- An additional 6 contact hours of instruction related to PV or renewable energy that may be technical or non-technical. Examples of acceptable non-technical instruction are listed below in Section 12.12

As an alternative, the certificant may schedule, and successfully complete, the current NABCEP Certification Examination related to his/ her NABCEP certification. A passing score on the Certification Examination is required, and the Examination must be completed prior to the end of the current Certification Period.

### 12.7.2 Continuing Education Requirements for Solar Heating Recertification

NABCEP certificants are required to satisfy the following specific continuing education requirements:

- At least 6 hours related to any of the primary Solar Heating references listed on the NABCEP website ([www.nabcep.org](http://www.nabcep.org)) under “Resources”;
- At least 6 contact hours of technical Solar Heating related to the most recent version of the NABCEP Solar Heating Installer Task Analysis or complementary standards relevant to Solar Heating system installation and technology;
- An additional 6 contact hours of instruction related to Solar Heating or renewable energy that may be technical or non-technical. Examples of acceptable non-technical instruction are listed below in Section 12.12

### 12.7.3 Continuing Education Requirements for Small Wind Recertification

NABCEP certificants are required to satisfy the following specific continuing education requirements:

- At least 12 contact hours of technical Small Wind instruction related to the most recent version of the NABCEP Small Wind Installer Task Analysis including courses relevant to Small Wind installation covering building and/ or electrical code & safety.
- An additional 6 contact hours of instruction related to Small Wind installation that may be technical or non-technical. Examples of acceptable non-technical instruction are listed below in Section 12.12

## 12.8 Qualifying Activities for Contact Hours through Participation in Classes, Training Seminars and Related Offerings

Unless otherwise permitted by this policy, in order to be accepted and approved by NABCEP, continuing education activities must be relevant and technology specific to the certification being recertified. Participation in the following educational activities will qualify for continuing education for recertification:

1. **College or University Courses:** Credit may be earned by successfully completing academic coursework at an accredited university or college during the current recertification cycle. Courses may be “audited for credit” if completed and a passing grade is received.
  - i. Documentation Required: Certificants must maintain a transcript, grade report, or verification form issued by the educational institution, which indicates a passing grade in the course and a course description.
2. **Registered Apprenticeship Training:** Credit may be earned by successfully completing coursework in a U.S. Department of Labor Approved Apprenticeship Program.
  - i. Documentation Required: Certificants must maintain a certificate or letter verifying attendance and a program description.
3. **State or Provincial Contractor Licensing Board Approved Training:** Credit may be earned by successfully completing coursework delivered by a state or provincial Contractor Licensing Board approved training.
  - i. Documentation Required: Certificants must maintain a certificate or letter verifying attendance and a program description.

4. **Interstate Renewable Energy Council (IREC) Institute for Sustainable Power Quality (ISPQ), or similar accrediting body, Accredited/Certified Training:**

Credit may be earned by successfully completing coursework through a(n):

- IREC ISPQ Accredited Training Program
- IREC ISPQ Accredited Continuing Education Provider advanced level (not entry level) course
- Course taught by an IREC ISPQ Certified Instructor or Certified Master Trainer
  - i. Documentation Required: Certificants must maintain a certificate or letter verifying attendance and a program description.

5. **Registered NABCEP Continuing Education Courses:** Credit may be earned by successfully completing coursework that is registered for Continuing Education Credit with NABCEP. Providers of these courses adhere to content standards established by NABCEP and are authorized to issue credit certificates to individuals who complete registered courses. A listing of NABCEP registered courses is posted on the NABCEP website at [www.nabcep.org](http://www.nabcep.org) > Recertification.

- i. Documentation Required: Certificants must maintain a certificate or letter verifying attendance and a program description.

6. **Seminars, Workshops, and Professional Conference Presentations:** Credit may be earned for attending seminars, workshops, or other presentations offered by as part of a professional level conference.

- i. Documentation Required: Certificants must maintain a NABCEP Continuing Education Credit Form or letter signed by the presenter verifying attendance, and a program description.

## 12.9 Qualifying Activities for Contact Hours through Instructing, Teaching, Authoring, Publishing or Presenting

In addition to attendance at qualified educational and training events, NABCEP grants limited continuing education contact hours to certificants who: instruct and teach qualifying courses; author qualifying articles or publications; and/ or, present qualifying lectures, seminars or workshops. In order to qualify for continuing education contact hours, such activities should include research or study related to the appropriate Job Task Analysis, course content subjects listed in Section 12.10 or that will enhance and promote quality professional knowledge or practice. The total maximum number of combined continuing education credits permitted for teaching, publishing, and presenting is twelve (12) within a recertification period.

### 12.9.1 Criteria and Allowance for Teaching Credits

Qualified continuing education instructional and teaching activities must satisfy the following requirements:

- The course must be offered through organizations identified in Sections 12.10
- The content of the course must be limited to the content subjects in line with the Continuing Education requirements specific to recertification in Section 12.9
- The certificant must be a primary instructor for the course;
- The certificant must be qualified to teach the course by experience, education, and/ or training; and
- The certificant must provide appropriate materials consistent with these requirements.

Continuing education contact hours for teaching activities will be determined based on the number of actual instructional, contact hours, and cannot exceed twelve (12) contact hours per three (3) year recertification period. Continuing education contact hours may be claimed only once within a recertification period for each specific course offering.

## 12.9.2 Criteria and Allowance for Publications Credits

Qualified continuing education activities related to the authorship of articles, book chapters, or other publications (publications) must satisfy the following requirements:

- The content of the publication must address, and be limited to, the content subjects in line with the Continuing Education requirements specific to recertification in Section 12.9
- The publication must appear in a peer-reviewed journal, a book, or other similar format related directly to the photovoltaic or renewable energy fields;
- The certificant must be qualified to author the publication by experience, education, and/ or training;
- The certificant must be a primary author of the publication; and,
- The certificant must provide a complete copy or link to the publication, including an identification of the authors.

Continuing education contact hours for authoring a publication will be limited to two (2) contact hours per publication within a three (3) year recertification period, pending NABCEP review of the publication.

## 12.9.3 Criteria and Allowance for Credits Related to Preparing and Presenting Technical Information at Conferences, Lectures, Seminars or Workshops

Qualified continuing education activities related to a conference, lecture or seminar presentation (presentations) must satisfy the following requirements:

- The content of the presentation must be limited to the content subjects in line with the Continuing Education requirements specific to recertification in Section 12.9
- The certificant must be a (or one of the) primary presenter(s) of the presentation;
- The presentation should provide attendees with the opportunity to question the presenter;
- The certificant must be qualified to make the presentation by experience, education, and/ or training;
- The certificant must provide an appropriate professional resume and presentation description consistent with these requirements; and,
- The certificant must provide a document from the organizational sponsor verifying the presentation activity and explaining the time and content of the presentation.

Continuing education contact hours for presentation activities will be determined based on the number of actual presentation hours and the number of hours that a certificant would receive for attending the presentation. The presenter will receive the same number of continuing education contact hours as a certificant who attends the presentation would receive. Continuing education contact hours for presentation activities will be determined based on the number of actual presentation contact hours and cannot exceed twelve (12) contact hours per three (3) year recertification period.

## 12.10 Related Technical or Non-Technical Course Content Options

Examples of acceptable continuing education course topics include the following subjects:

- Acceptance testing of renewable energy system installations
- Accounting
- Battery technology
- Building codes
- Building construction
- Building energy efficiency
- Building-integrated photovoltaic products
- Business contracting
- Business law
- Combined heat and power systems
- Construction safety practices
- Design review, evaluation and certification of PV systems
- Design review, evaluation and certification of solar heating systems
- Design review, evaluation and certification of small wind systems
- Distributed resources
- Electric generators and motors
- Electric utility system operation
- Electrical circuits

- Electrical safety practices
- Electrical system design
- Energy conservation
- Energy storage systems
- Inspection of photovoltaic systems
- Inverter system design and operation (grid-tied, stand-alone, multi-mode)
- Licensing, permitting, inspection and interconnection of grid-tied PV systems
- Lightning protection
- Load management strategies
- Maintenance and troubleshooting
- Mechanical system design
- National Electrical Code
- National Electrical Safety Code
- Photovoltaic and solid-state devices
- Photovoltaic system design (grid-tied, stand-alone, hybrid)
- Photovoltaic systems engineering
- Qualification testing of photovoltaic modules
- Roofing practices
- Solar and renewable energy resources
- Testing and certification of stand-alone photovoltaic systems
- Testing, certification and labeling of photovoltaic modules
- Testing, certification and labeling of solar heating collectors
- Testing, certification and labeling of small wind turbines
- Wind turbines

### 12.11 Ethical Practice Requirement

As a part of the recertification process, certificants will be required to attest that they have maintained and will continue to maintain practices in conformity with the NABCEP Code of Ethics. Violation of the Code of Ethics may be grounds for disciplinary action.

Certificants for recertification must be in good standing with NABCEP. Certificants against whom complaints are brought will be notified and will have the opportunity to refute the complaints filed against them. If a review process finds the certificant in violation of the Code of Ethics or if he/ she is consistently performing work that does not reflect the skills and experience required for certification, certification status may be revoked and the certificant may be denied the opportunity to attain recertification status.

### 12.12 General Recertification Guidelines

#### 12.12.1 Granting Credit

All recertification activities submitted for credit are subject to review and approval by NABCEP. Credit for each qualifying activity will be granted on a one-time only basis. In all cases, credit is granted only after the educational or professional activity has been completed and documented. Credit is not granted for time spent at social functions or for breaks.

#### 12.12.2 Credit Denial

NABCEP reserves the sole and exclusive right to evaluate all activities and programs on an individual basis and at its discretion, to deny credits for those activities that fail to meet the terms of this policy and other NABCEP requirements. In its evaluation, NABCEP will consider the number of credits indicated for a program by other providers. However, NABCEP reserves the sole and exclusive right to make all final determinations concerning the number of credits granted for each activity. The certificant will be notified when credits are reduced or denied, including a statement indicating the basis for such action.

#### 12.12.3 Maintenance of Personal Recertification Records

As explained in this policy, each category of qualifying recertification activities indicates the information and materials that must be collected and maintained in order to receive credit. Certificants must maintain the applicable records and documentation related to each reported recertification activity for at least twelve (12)

months after the current recertification cycle has ended. Such records should be stored in a safe and secure manner.

#### **12.12.4 Application for Certification Renewal**

An Application for Certification Renewal will be mailed (hard copy or electronically) to each certificant during the final six (6) months of the current recertification cycle. Upon receipt of a completed Recertification Application, the recertification fee of \$300, and satisfactory completion of the continuing education credit requirement for the current recertification cycle, NABCEP will send an updated Recertification Certificate to the certificant.

### **12.13 Mandatory Recertification Audits**

Each year, NABCEP will randomly select a percentage of certificants for a recertification audit in order to verify compliance with this policy. Certificants selected for audit must comply with all audit instructions and requirements and must submit copies of the applicable documentation supporting all reported recertification activities for the current or most recent recertification cycle. Such documentation must be submitted to NABCEP and returned with the Recertification Application. Failure to satisfy or comply with audit requirements will result in suspension or revocation of certification consistent with the terms of this policy.

### **12.14 Failure to Satisfy Recertification Requirements**

Certificants who fail to satisfy the recertification requirements prior to the conclusion of the current recertification cycle will become inactive and placed on an inactive list of certificants. The following terms apply, unless otherwise provided by this policy:

#### **12.14.1 Suspension**

Following the issuance of a suspension notice, the certificant will be placed on immediate suspension status for up to a one (1) year period or until such time as the certificant fulfills the relevant recertification requirements. In the event of certification suspension, the applicable dates for the following recertification cycle remain effective and are not altered, i.e., the suspension period will be concurrent with the first year in current recertification cycle. Upon satisfactory completion of all relevant recertification requirements, the certificant will be returned to active certification status.

#### **12.14.2 Revocation**

Failure to satisfy the relevant requirements within a one (1) year period after the conclusion of a recertification cycle (during the suspension period) will result in revocation and termination of certification. Unless otherwise directed by NABCEP or other authorized NABCEP representative, a revoked or terminated certification may not be reinstated. In order to receive certified status, a former certificant must reapply for certification and satisfy all requirements of the initial certification process.

#### **12.14.3 Prohibited Use of Credential**

A certificant whose certification has been suspended or revoked may not represent himself or herself as an active certificant or as certified by NABCEP and may not use the NABCEP Certification Mark until such time as he or she receives notice from NABCEP that the relevant recertification requirements have been satisfied or his or her active certification status has been reinstated, consistent with the terms of this policy.

## **13 Voluntary, Optional Changes in Certification Status**

### **13.1 Emeritus Status**

Emeritus status allows individuals who have previously held NABCEP Certification, to remain within and participate with NABCEP after their certification has expired. The Emeritus designation represents that the individual was previously certified by NABCEP but is no longer professionally engaged in the job defined by the Job Task Analysis. The Emeritus status is not a credential, but is recognition that the individual was previously certified by NABCEP.

#### **13.1.1 Eligibility**

A certificant in good standing, who wishes to voluntarily relinquish his/ her certification due to retirement or inactivity, and who has abided by the Code of Ethics, is eligible to receive Emeritus status. Emeritus status is limited to qualified individuals who no longer receive primary remuneration from practicing in the installation field and have been certificants in good standing for the last two consecutive years. Upon approval of the Emeritus status application, an Emeritus status document is issued by NABCEP.

#### **13.1.2 Related Fees**

An Emeritus status individual is not required to meet NABCEP recertification requirements or to pay certification renewal fees. There is a one-time fee for Emeritus status, as established by NABCEP each year.

#### **13.1.3 Recognition and Participation**

An Emeritus status individual is no longer entitled to receive recognition in the registry of certificants. The Emeritus individual remains eligible to participate in NABCEP activities.

#### **13.1.4 Use of Emeritus Status Credential and Mark**

An Emeritus status individual is granted permission to use the Emeritus status designation as directed by NABCEP. Emeritus individuals are not permitted to use the NABCEP Mark or credential unless they have returned to active certification status consistent with the terms of this policy.

#### **13.1.5 Reinstatement to Active Certification Status**

An Emeritus status individual who returns to active practice and wishes to use the NABCEP Mark or credential in conjunction with professional practice is required to seek reinstatement of active certification status. If such reinstatement to active status is requested prior to the time the Emeritus individual's active certification would have expired, i.e., within the certification expiration date that was in effect at the time of the status change to Emeritus status, the individual may request that active status be reinstated by paying all applicable fees at the time of reinstatement. An Emeritus individual who wishes to reactivate certification status within one (1) year beyond the expiration date of active certification must satisfy the applicable recertification requirements and provide all applicable documentation. An Emeritus individual who has remained in the inactive Emeritus status more than one (1) year beyond the expiration date of active certification must reapply for certification and satisfy all requirements of the initial certification process.

#### **13.1.6 Relinquishment of the Credential**

A certificant in good standing may voluntarily relinquish his or her certification by submitting a written request to NABCEP indicating acceptance of, and agreement to, the following terms. Such certificants will be removed from active certificant records.

### **13.1.7 Prohibited Use of the Credential**

A certificant who voluntarily relinquishes his or her certification may not represent him or herself as an active certificant or as certified by NABCEP. An Emeritus status individual may not use the NABCEP Mark until such time that he or she satisfies the relevant recertification requirements or has his or her active certification reinstated.

## **14 Candidate Confidentiality**

### **14.1 Confidentiality of Application Materials**

An applicant's materials for certification and recertification shall remain confidential, unless authorized by other NABCEP policies and practices or unless otherwise stipulated in writing by the applicant. Only members of the Application Review Committee, staff, and designated individuals acting on behalf of the Board shall have access to these documents. NABCEP will take all reasonable precautions to ensure that candidate application information will not be released to 3rd parties. Upon certification, professional contact information will be considered public information and may be made available to the public upon request.

### **14.2 Confidentiality of Scores**

Individual candidate scores shall remain confidential (see Section 10.6 above), unless a candidate agrees in writing to release his/ her score to specific authorities, such as a state board of licensure.

### **14.3 Certificant Registry**

NABCEP will maintain a certificant registry as a free benefit for certificants and the public containing the name and professional contact information of certificants. This database will be made available in a secure, online format, free of charge.

## **15 Grievances & Appeals**

### **15.1 Grounds for Appeal**

NABCEP is directed, administered, and supervised by the NABCEP Board of Directors. All challenges regarding actions of and by NABCEP are governed by the comprehensive and exclusive rules contained in the Certification Appeal Procedures (see Appendix II). This appeal process is the only way to resolve all NABCEP application, eligibility, examination, and other certification or recertification challenges, complaints, and/or claims of irregularities.

A candidate or certificant may submit to the Executive Director an initial appeal (request for review) of an adverse NABCEP action or decision based on any of the following grounds:

- a. The candidate was found to be ineligible to take or complete the Certification Examination;
- b. The candidate did not pass or successfully complete the Certification Examination; or,
- c. The candidate or certificant failed to satisfy a certification or recertification requirement, including those requirements related to qualifications, education, and experience, or was otherwise ineligible for certification or recertification.

In order for a request for review to be considered by the Executive Director, the written request must be received by NABCEP within thirty (30) days of the date of the adverse action.

### **15.2 Appeal Procedures**

In order for an appeal to be considered by the Certification Appeals Committee, the appeal submission must contain the following information:

- a. The identity and signature of the candidate or certificant submitting the appeal;
- b. A detailed explanation of the reasons and basis for the appeal, as defined and limited by Section E.2 in the Appeals Procedure
- c. All objections, corrections, and factual information the candidate or certificant believes to be relevant to the appeal;
- d. The names, addresses, telephone numbers, and email addresses, if available, of any persons with factual information relevant to the appeal, and a clear description of the factual information available from these persons; and,
- e. Copies of any and all relevant documents, exhibits, or other information the candidate or certificant wants to submit in support of the appeal.

### **15.3 Complaint, Dispute, & Grievance Policy**

The Complaint, Dispute, and Grievance Resolution Policy (available online or by contacting NABCEP) will apply to any grievance matter concerning an action, policy or practice of the NABCEP as a corporate body; NABCEP candidates or certificants; the NABCEP Board of Directors and Officers; NABCEP executive management and staff; NABCEP Committee members; and NABCEP volunteers and representatives acting on behalf of the NABCEP (parties).

## **16 Contacting NABCEP**

### **16.1 Obtain Information and Ask Questions**

Please contact the Board office at (800) 654-0021, or visit our website at [www.nabcep.org](http://www.nabcep.org) for additional information.

North American Board of Certified Energy Practitioners  
56 Clifton Country Road, Suite 202  
Clifton Park, NY, 12065  
**Email:** info@nabcep.org  
**Phone:** (800) 654-0021  
**Fax:** (518) 899-1092

### **16.2 Change of Address or Name**

A Change of Address/ Name form is contained in this handbook. Candidates may return the form to NABCEP, along with required proof if a name change has occurred, at any time. In addition, all candidates will be given an opportunity to file a change of address at the examination site.

### **16.3 Other Policies**

Other NABCEP policies, including the Ethics Case Procedure and the Complaint, Dispute and Grievance Resolution Policy, are available online at [www.nabcep.org](http://www.nabcep.org) or by contacting NABCEP at the contact info listed above.

## **Appendix I: NABCEP Code of Ethics & Standards of Conduct**

Among other primary goals, the NABCEP is dedicated to the implementation of appropriate professional standards designed to protect consumers and the profession. NABCEP certificants and candidates are expected to act in an appropriate manner, which promotes the integrity of, and reflects positively on, the practitioner, the NABCEP, and the renewable energy profession, consistent with accepted moral, ethical, and legal standards.

### **NABCEP CODE OF ETHICS**

As a professional in the fields of renewable and sustainable energy and energy efficiency technologies, a NABCEP certificant or candidate has the obligation to:

- deal with all clients, consumers, and other professionals and professional organizations fairly and in a timely manner;
- provide safe and quality services to clients and consumers;
- respect and promote the rights of clients and consumers by offering only professional services that he/ she is qualified to perform, and by adequately informing clients and consumers about nature of proposed services, including any relevant concerns or risks;
- maintain the confidentiality and privacy of all client and consumer information;
- avoid conduct which may cause a conflict with client or others;
- engage in moral and ethical business practices, including accurate and truthful representations concerning professional information and system performance expectations;
- be truthful with regard to research sources, findings, and related professional activities;
- maintain accurate and complete business and professional records;
- respect the intellectual property and contributions of others;
- further the professionalism of renewable energy industry services; and,
- behave in a courteous and professional manner when communicating with NABCEP representatives.

### **NABCEP STANDARDS OF CONDUCT**

The following NABCEP Ethical Standards of Conduct describe appropriate and enforceable professional practice standards, and set forth the minimal ethical standards of professional conduct for NABCEP certificants and candidates. These Ethical Standards of Conduct also serve as a professional resource for renewable energy industry practitioners, as well as for those served by NABCEP certificants and candidates, in the case of a possible ethical violation.

#### **SECTION A: COMPLIANCE WITH LAWS, POLICIES, AND RULES RELATING TO THE PROFESSION**

1. The NABCEP certificant/ candidate will be aware of, and comply with, all applicable federal, state, and local laws and regulations governing the profession. The NABCEP certificant/ candidate will not knowingly participate in, or assist, any acts that are contrary to applicable professional laws and regulations. Lack of awareness or misunderstanding of these laws and regulations does not excuse inappropriate or unethical behavior.

2. The NABCEP certificant/ candidate will be aware of, and comply with, all NABCEP rules, policies, and procedures, including rules concerning the appropriate use of NABCEP certification marks and the proper representation of NABCEP credentials. Lack of awareness or misunderstanding of a NABCEP rule, policy, or procedure does not excuse inappropriate or unethical behavior. The NABCEP certificant/ candidate will not knowingly participate in, or assist, any acts that are contrary to NABCEP rules, policies, and procedures.

3. The NABCEP certificant/ candidate will make all reasonable and appropriate efforts to promote compliance with, and awareness of, all applicable laws, regulations, and NABCEP rules and policies governing the profession.

4. The NABCEP certificant/ candidate will make all reasonable and appropriate efforts to prevent violations of applicable laws, regulations, and NABCEP rules and policies governing the profession.

5. The NABCEP certificant/ candidate will provide accurate, truthful, and complete information to NABCEP concerning all certification related eligibility information, and will submit valid application materials for fulfillment of current certification and recertification requirements.

6. The NABCEP certificant/ candidate will maintain the security, and prevent the disclosure, of NABCEP certification examination information and materials.

7. The NABCEP certificant/ candidate will report possible violations of this Code of Ethics to the appropriate NABCEP representative(s).

8. The NABCEP certificant/ candidate will cooperate fully with the NABCEP concerning the review of possible ethics violations and the collection of related information.

## **SECTION B: PROFESSIONAL PRACTICE**

1. The NABCEP certificant/ candidate will deliver safe, competent services in a timely manner, and will provide quality services with appropriate professional skill and competence.

2. The NABCEP certificant/ candidate will recognize the limitations of his/ her professional ability, and will only provide and deliver professional services for which he/ she is qualified. The NABCEP certificant/ candidate will be responsible for determining his/ her own professional abilities based on his/ her education, knowledge, competency, credentials, extent of practice experience in the field, and other relevant considerations.

3. The NABCEP certificant/ candidate will provide clients and consumers with adequate and detailed information regarding the nature of proposed services, and the related options, outcomes, risks, and concerns.

4. The NABCEP certificant/ candidate will use all professional resources in a technically appropriate and efficient manner.

5. The NABCEP certificant/ candidate will provide services based on client or consumer requests and needs, and will avoid unnecessary services. The NABCEP certificant/ candidate will provide services that are both appropriate and necessary to satisfying client or consumer requests and needs.

6. The NABCEP certificant/ candidate will exercise diligence and thoroughness in providing services, and in making professional assessments and recommendations solely for the benefit of the client or consumer. The NABCEP certificant/ candidate who offers his/ her services to the public will not decline a client or consumer based on age, gender, race, color, sexual orientation, national origin, disability, religious affiliation, or any other basis that would constitute unlawful discrimination.

7. The NABCEP certificant/ candidate will prepare and maintain all necessary, required, or otherwise appropriate records concerning his/ her professional practice, including complete and accurate client and consumer services records.

8. The NABCEP certificant/ candidate will not delegate the responsibility to provide professional services to an unqualified person. Where supervision is appropriate and necessary, the NABCEP certificant/ candidate will not delegate responsibility for the provision of professional services without providing appropriate supervision.

9. The NABCEP certificant/ candidate will not act in a manner that may compromise his/ her professional judgment, performance, or obligation to deal fairly with all clients and consumers.

10. The NABCEP certificant/ candidate will be truthful and accurate in all advertising and representations concerning professional qualifications, experience, competency, and performance of services, including representations related to professional status and/ or areas of competence. The NABCEP certificant/ candidate will not make false or deceptive statements concerning professional or occupational training, experience, competence, ability, academic training or degrees, credentials, institutional or association affiliations, services, or fees for services.

11. The NABCEP certificant/ candidate will not knowingly make false or misleading statements about, or guarantees concerning, any service or the efficacy of any renewable energy system, product, or device, orally or in writing.

## **SECTION C: CONFLICT OF INTEREST AND APPEARANCE OF IMPROPRIETY**

1. The NABCEP certificant/ candidate will not engage in conduct that may cause an actual or perceived conflict between his/ her own interests and the interests of his/ her client or organization. The NABCEP certificant/ candidate will avoid conduct that causes an appearance of impropriety.

2. The NABCEP certificant/ candidate will act to protect the interests of the client or consumer before his/ her own interests, unless such action is in conflict with any legal, ethical, or professional obligation.

3. The NABCEP certificant/ candidate will disclose to clients and organizations any circumstance that could be construed as a conflict of interest or an appearance of impropriety, or that could otherwise influence or interfere with the exercise of professional judgment.

4. The NABCEP certificant/ candidate will refrain from offering or accepting inappropriate payments, gifts, or other forms of compensation for personal gain, unless in conformity with applicable laws, regulations, and NABCEP rules and policies.

#### **SECTION D: COMPENSATION AND REFERRAL DISCLOSURES**

1. If responsible for setting professional fees and related costs, the NABCEP certificant/ candidate will charge fair, reasonable, and appropriate fees for all professional services, and will provide clients and consumers with truthful and accurate information concerning such services.

2. The NABCEP certificant/ candidate will charge fees that accurately reflect the services provided to the client or consumer.

3. The NABCEP certificant/ candidate will make all appropriate disclosures to clients and consumers and prospective clients and consumers regarding any benefit paid to others for recommending or referring his/ her services.

4. The NABCEP certificant/ candidate will make all appropriate disclosures to clients and consumers and prospective clients and consumers regarding any benefit received for recommending or referring the services of another individual.

#### **SECTION E: CLIENT CONFIDENTIALITY AND PRIVACY**

1. The NABCEP certificant/ candidate will maintain and respect the confidentiality of all client and consumer information obtained in the course of a professional relationship, unless: the information pertains to illegal activity; the client or consumer expressly directs the release of specific information; or, a court or government agency lawfully directs the release of the information.

2. The NABCEP certificant/ candidate will respect and maintain the privacy of his/ her clients and consumers.

#### **SECTION F: RESEARCH AND PROFESSIONAL ACTIVITIES**

1. The NABCEP certificant/ candidate will be accurate and truthful, and otherwise act in an appropriate manner, with regard to research findings and other professional activities, and will make reasonable and diligent efforts to avoid any material misrepresentations.

2. The NABCEP certificant/ candidate will maintain appropriate, accurate, and complete records with respect to research and other professional activities.

3. When preparing, developing, or presenting research or other professional information and materials, the NABCEP certificant/ candidate will not copy or use, in substantially similar form, materials prepared by others without acknowledging the correct source and identifying the name of the author and/ or publisher of such material.

4. The NABCEP certificant/ candidate will respect and protect the intellectual property rights of others, and will otherwise recognize and protect the professional contributions of others.

#### **SECTION G: MISCONDUCT PROHIBITIONS**

1. The NABCEP certificant/ candidate will not engage in any criminal misconduct relating to his/ her professional activities.

2. The NABCEP certificant/ candidate will not engage in conduct involving dishonesty, fraud, deceit, or misrepresentation relating to his/ her professional activities.

3. The NABCEP certificant/ candidate will not engage in unlawful discrimination relating to his/ her professional activities.

4. The NABCEP certificant/ candidate will avoid any behavior that is clearly contrary to accepted moral, ethical, or legal standards, and that may compromise the integrity of, or reflect negatively on, the profession

## Appendix II: NABCEP Appeals Policy

### **A. Introduction**

The North American Board of Certified Energy Practitioners, Inc. (NABCEP), is a private, non-profit, professional credentialing organization that sponsors the development, maintenance, evaluation, promotion, and administration of a rigorous, examination-based certification program in the fields of renewable and sustainable energy and energy efficiency technologies. The purpose and goal of NABCEP is to assess and measure objectively the professional knowledge of renewable energy industry practitioners, and to promote the advancement of the renewable energy industry by identifying to professionals and the public those practitioners who have voluntarily met and satisfied relevant NABCEP standards.

In order to be certified by NABCEP, each candidate must: satisfy all education and experience eligibility and credentials requirements established by the NABCEP Board of Directors; and pass a written certification examination. In addition, all individuals certified by the NABCEP must demonstrate an ongoing professional commitment to the fields of renewable and sustainable energy and energy efficiency technologies in order to maintain certification.

NABCEP eligibility standards and certification requirements are applied fairly, impartially, and consistent with applicable laws. The NABCEP will not discriminate against any candidate or certificant on the basis of an unlawful reason, and will grant certification without regard to a candidate's or certificant's membership or non-membership in any organization, association, or other group.

NABCEP certificants and candidates seeking certification or recertification agree that: these procedures are a fair process for resolving certification complaint or appeal matters; they will be bound by decisions made pursuant to these procedures; these procedures are governed by the principles of the law of the State of Nevada; and, these procedures do not constitute a contract between the NABCEP and the candidate or certificant.

### **B. General Provisions**

1. **Nature of the Process.** The NABCEP is directed, administered, and supervised by the NABCEP Board of Directors. All challenges regarding actions of and by the NABCEP are governed by the comprehensive and exclusive rules contained in these procedures. This appeal process is the only way to resolve all NABCEP application, eligibility, examination, and other certification or recertification challenges, complaints, and/ or claims of irregularities.

Because these informal procedures are not legal proceedings, they are designed to operate without the assistance of attorneys. While a party may choose to be represented by an attorney, candidates and certificants are encouraged to communicate directly with the NABCEP. If a party has retained an attorney, that attorney will be directed to communicate with the NABCEP through the NABCEP Legal Counsel.

2. **Participants.** The NABCEP Executive Director, the Certification Appeals Committee, the NABCEP Board of Directors, and any other authorized representative of the NABCEP, may be involved in deciding matters to be resolved or arising under these procedures.

3. **Time Requirements.** The NABCEP will make every effort to follow the time requirements noted in these appeal procedures. However, the NABCEP's failure to meet a time requirement will not prohibit the consideration or final resolution of any matter arising under these procedures. NABCEP candidates or certificants are required to comply with all time requirements specified in this document. Unless provided otherwise, time extensions or postponements may be granted by the NABCEP if a timely, written request explaining a reasonable cause is submitted, consistent with these procedures.

4. **Litigation/ Other Proceedings.** The NABCEP may accept and resolve a dispute arising under these proceedings when civil or criminal litigation, or other proceedings related to the dispute are also before a court,

regulatory agency, or professional body. The NABCEP may also continue or delay the resolution of any appeal, complaint, or other matter.

5. Confidentiality. In order to protect the privacy of all parties involved in matters arising under these procedures, all material prepared by, or submitted to, the NABCEP will be confidential. Disclosure of material prepared by, or submitted to, the NABCEP is permitted only when specifically authorized by NABCEP policy, the Board of Directors, the Certification Appeals Committee, or the Executive Director.

Among other information, the NABCEP will not consider the following materials and documents to be confidential:

- a. Published certification and eligibility criteria;
- b. Records and materials that are disclosed as the result of a legal requirement;
- c. Upon the written request of a candidate or certificant, any certification information concerning certification status or application materials which the candidate or certificant would like made available to other credentialing agencies, professional organizations, or similar bodies; and,
- d. All decisions and orders of the Board of Directors, the Certification Appeals Committee, or the Executive Director, which are considered final and closed, consistent with these procedures.

6. Failure to Disclose/ Improper, False, or Misleading Representations. Where a candidate or certificant fails to disclose information related to certification or recertification requested by the NABCEP, or where a candidate or certificant makes an improper, false, or misleading representation to the NABCEP, the Executive Director, Certification Appeals Committee, the Board of Directors, or other authorized representative may penalize or discipline the individual, and/ or issue corrective action related to such failure or improper representation. The NABCEP may temporarily or permanently prevent and bar an individual from being certified or recertified, or may issue any other appropriate directive(s).

Where a penalty, discipline, order, or other directive is issued by the NABCEP under this Section, the candidate or certificant involved may seek review and appeal under these procedures.

7. Party Conduct/ Failure to Cooperate. All parties must behave in a courteous and professional manner when communicating with NABCEP representatives. Where a candidate or certificant fails or refuses to cooperate fully with the NABCEP concerning matters arising under, or related to, these procedures, and it is determined that the lack of cooperation is without good cause, the Executive Director, Certification Appeals Committee, the Board of Directors, or other authorized representative may penalize or discipline the individual, and/ or issue corrective action related to such failure to cooperate. The NABCEP may temporarily or permanently prevent and bar an individual from being certified or recertified, or may issue any other appropriate directive(s).

Where a penalty, discipline, order, or other directive is issued by the NABCEP under this Section, the candidate or certificant involved may seek review and appeal under these procedures.

8. Professional Complaint Matters. Following notice, and a reasonable opportunity to present a response, the Executive Director, Certification Appeals Committee, the Board of Directors, or other authorized representative may temporarily or permanently prevent an individual from being certified or recertified, or may issue any other appropriate directive(s), where the candidate or certificant was the subject of any complaint or similar matter relating to his/ her professional activities as a renewable energy industry practitioner, or where the candidate or certificant is the subject of matters or proceedings involving criminal charges, lesser offenses, or similar matters regardless of: when the alleged violation occurred; and, whether the professional license of the candidate or certificant was in good standing at the time of the NABCEP decision or action.

Where a penalty, discipline, order, or other directive is issued by the NABCEP under this Section, the candidate or certificant involved may seek review and appeal under these procedures.

### **C. Actions and Decisions Concerning the Certification Process**

1. Certification Application Actions. Under the supervision of the Executive Director acting with the guidance of the Application Review Committee, the NABCEP will make one of the following determinations and decisions with regard to a candidate's application for NABCEP certification examination eligibility: (a) accept the application; (b) request additional or supplemental information; or, (c) reject the application on the ground(s) that the candidate does not meet the relevant certification eligibility requirements, or the candidate has violated, or acted contrary to, a NABCEP policy or rule.

2. Certification Examination(s) Actions. The NABCEP will notify each candidate whether he/ she has achieved a passing or failing score on the Certification Examination. Where a candidate acts contrary to NABCEP policies during the administration of any Certification Examination(s) or Section, the candidate may be prevented from taking or completing the Examination(s), or other appropriate action may be issued.

3. Recertification Application Actions. The NABCEP will make one of the following decisions with regard to a certificant's Recertification Application: (a) grant recertification; (b) conditionally accept the Recertification Application, pending satisfactory completion of all recertification requirements; (c) request additional information; or, (d) reject the application on the ground(s) that the certificant does not meet the necessary criteria for recertification, or the certificant has violated, or acted contrary to, a NABCEP policy or rule.

#### **D. Initial Request for Review/NABCEP Executive Director**

1. Grounds for Initial Appeal (Request for Review). A candidate or certificant may submit to the Executive Director an initial appeal (request for review) of an adverse NABCEP action or decision based on any of the following grounds:

- a. The candidate was found to be ineligible to take or complete the Certification Examination;
- b. The candidate did not pass or successfully complete the Certification Examination; or,
- c. The candidate or certificant failed to satisfy a certification or recertification requirement, including those requirements related to qualifications, education, and experience, or was otherwise ineligible for certification or recertification.

2. Content of a Request for Review. A candidate or certificant may submit a written request for review of an adverse certification-related action or decision by notifying the Executive Director in writing. The candidate or certificant must state and explain in detail the nature of the request and the specific facts and circumstances supporting the request, including all reasons why the action or decision should be changed or modified. The candidate or certificant must also provide accurate copies of all supporting documents.

3. Time Period for Submitting Request for Review. In order for a request for review to be considered by the Executive Director, the written request must be received by NABCEP within thirty (30) days of the date of the adverse action.

4. Executive Director Actions. Upon receipt, all requests for review will be considered informally by the Executive Director or other authorized NABCEP representative. Following review of the candidate's or certificant's request for review, the Executive Director will acknowledge receipt of the request within thirty (30) days, and may take the following actions:

- a. Informal Resolution. The Executive Director will resolve and decide the matter based on the record, including relevant and credible information presented by the candidate or certificant. The informal resolution will include the findings of the Executive Director and a summary of the relevant facts upon which the decision is based, and may uphold or modify the adverse action or decision, or indicate other appropriate action. The Executive Director will issue the informal resolution within thirty (30) days of receipt of the request, or as soon thereafter as is practical; or,
- b. Referral of Request. The Executive Director will refer the matter to the Certification Appeals Committee for resolution as an appeal. The Executive Director will provide the Certification Appeals Committee with all relevant materials, including the documents and materials submitted by the candidate or certificant.

## **E. Appeal/Certification Appeals Committee**

1. **Certification Appeals Committee.** At least three (3) members of the NABCEP Appeals, Grievance, and Ethics Committee will be appointed to serve as the Certification Appeals Committee to resolve appeals or referred matters. Subject to the limitations set forth in these procedures, the Certification Appeals Committee will hear and resolve a first appeal where: the matter has been referred by the Executive Director; or, a candidate or certificant is dissatisfied with the final informal review and action of the Executive Director, and requests an appeal consistent with these procedures.

2. **Grounds for Appeal.** In order for an appeal to be considered by the Certification Appeals Committee, the appeal submission must contain substantial information supporting at least one of the following grounds:

- a. The candidate's eligibility to sit for the Certification Examination(s), or other eligibility for certification, was denied incorrectly;
- b. The candidate's Certification Examination(s) was scored incorrectly, or was not credited with an appropriate response to particular questions, and as a direct result of the incorrect scoring the candidate is entitled to receive a passing score on the examination(s);
- c. The candidate was barred or otherwise prohibited incorrectly from taking the Certification Examination(s) or from becoming certified; or,
- d. The certificant's Recertification Application was incorrectly rejected under the relevant recertification standards, and the certificant would have qualified for recertification if the correct standards had been applied, or the certificant was otherwise incorrectly found ineligible for recertification.

3. **Content of Appeal.** In order for an appeal to be considered by the Certification Appeals Committee, the appeal submission must contain the following information:

- a. The identity and signature of the candidate or certificant submitting the appeal;
- b. A detailed explanation of the reasons and basis for the appeal, as defined and limited by Section E.2, above
- c. All objections, corrections, and factual information the candidate or certificant believes to be relevant to the appeal;
- d. The names, addresses, telephone numbers, and email addresses, if available, of any persons with factual information relevant to the appeal, and a clear description of the factual information available from these persons; and,
- e. Copies of any and all relevant documents, exhibits, or other information the candidate or certificant wants to submit in support of the appeal.

4. **Time Period for Submitting Appeal.** A candidate or certificant seeking to present an appeal must submit a written, signed appeal, consistent with the requirements of these procedures, to the Certification Appeals Committee within thirty (30) days of the date of the final action and decision of the Executive Director. Upon written request by the candidate or certificant received at least ten (10) days prior to the appeal deadline, the Certification Appeals Committee Chair may, in his or her discretion, extend the time period for filing the appeal. Denials of time extension requests are not subject to appeal. Appeals received beyond given time periods will not be reviewed or considered by the Certification Appeals Committee, except upon a written request showing good cause, as determined by the Certification Appeals Committee.

5. **Appeal Deficiencies.** The Certification Appeals Committee Chair may require the candidate or certificant to clarify, supplement, or amend an appeal submission.

6. **Appeal Rejection.** If the Certification Appeals Committee Chair determines that an appeal does not meet the appeal requirements or otherwise warrant further formal review, consistent with the requirements set forth in these procedures, the appeal will be rejected. The Certification Appeals Committee Chair will notify the candidate or certificant of the rejection, as well as the reason(s) for the rejection, by letter within twenty-one (21) days of the determination. Appeal rejection determinations are not subject to appeal.

7. **Appeal Hearing Requests.** In the first appeal submission, the candidate or certificant may request to participate in the informal hearing. In the event that the candidate or certificant does not request to participate

in the hearing, the appeal will be resolved and decided based on the appropriate written record, as determined by the Certification Appeals Committee.

8. **Scheduling of Appeal Hearing.** Within forty-five (45) days of receipt of a complete and proper written appeal, the Certification Appeals Committee will schedule a hearing date and time for appeal consideration, generally not later than one-hundred twenty (120) days after receipt of the appeal, and will notify the candidate or certificant of the hearing date and time. Where the candidate or certificant has requested participation in the hearing, the candidate or certificant may be required to provide additional information concerning hearing presentation requirements prior to the hearing date. The Certification Appeals Committee will conduct an informal hearing designed to review and consider all of the available proof and information, including the record of the initial request for review and the materials submitted by the candidate or certificant.

9. **Decision of the Certification Appeals Committee.** The Certification Appeals Committee will resolve and decide the appeal based on the record, including relevant and credible information presented by the candidate or certificant, NABCEP policies, and, if applicable, the action or decision of the Executive Director. The Certification Appeals Committee Decision will include the Committee findings and a summary of the relevant facts upon which the decision is based, and may uphold or modify the decision of the Executive Director, or indicate other appropriate action. The Certification Appeals Committee will issue the Decision within thirty (30) days of the end of the appeal review, or as soon thereafter as is practical.

#### **F. Final Appeal/NABCEP Board of Directors**

1. **NABCEP Board of Directors.** The NABCEP Board of Directors, or a panel of three (3) or more Board Directors designated to represent the Board of Directors, will resolve each final appeal. Subject to the limitations set forth in these procedures, the Board of Directors will hear and resolve a final appeal where a candidate or certificant is dissatisfied with the Certification Appeals Committee Decision, and submits an appropriate appeal consistent with these procedures.

2. **Grounds for Final Appeal.** In order for an appeal to be considered by the Board of Directors, the appeal submission must contain substantial information supporting at least one of the following grounds. The grounds upon which a final appeal may be based are strictly limited to the following:

- a. **Procedural Error:** The Certification Appeals Committee Decision misapplied a procedural rule contained in these rules, and the rule misapplication significantly prejudiced the candidate or certificant with respect to the outcome of the appeal decision;
- b. **New or Previously Undiscovered Information:** Following the issuance of the Certification Appeals Committee Decision, the candidate or certificant located relevant information and facts that were not previously available and that would have significantly affected the outcome of the Certification Appeals Committee Decision in the candidate's or certificant's favor;
- c. **Misapplication of Certification Standards:** The Certification Appeals Committee Decision misapplied the relevant certification or recertification standards, and the misapplication significantly prejudiced the candidate or certificant and the outcome of the appeal decision; or,
- d. **Contrary to the Information Presented:** The Certification Appeals Committee Decision clearly is contrary to the most substantial information in the record.

With respect to the grounds listed in Sections 1.a. and 1.c., above, the Board of Directors will consider only arguments that were previously presented to the Certification Appeals Committee.

3. **Contents of Final Appeal.** In order for an appeal to be considered by the Board of Directors, the appeal submission must contain the following information:

- a. The identity and signature of the candidate or certificant submitting the appeal;
- b. A detailed explanation of the reasons and basis for the appeal, as defined and limited by Section F.1, above;
- c. All objections, corrections, and factual information the candidate or certificant believes to be relevant to the appeal, including all documents and exhibits in support of the appeal;

- d. The names, addresses, and telephone numbers of any persons not previously identified with factual information relevant to the appeal, and a clear description of the factual information available from these persons; and,
- e. Copies of any and all relevant documents, exhibits, or other information the candidate or certificant wants to submit in support of the appeal.

4. **Time Period for Submitting Final Appeal.** A candidate or certificant seeking to present a final appeal must submit a written, signed appeal, consistent with the requirements of these procedures, to the Board of Directors within thirty (30) days of the date of the Certification Appeals Committee Decision. Upon written request by the candidate or certificant received at least ten (10) days prior to the appeal deadline, the Board Chair or authorized representative may, in his or her discretion, extend the time period for filing the appeal. Denials of time extension requests are not subject to appeal. Appeals received beyond given time periods will not be reviewed or considered by the Board of Directors, except upon a written request showing good cause, as determined by the Board of Directors.

5. **Final Appeal Deficiencies.** The Board Chair or authorized representative may require the candidate or certificant to clarify, supplement, or amend an appeal submission.

6. **Final Appeal Rejection.** If the Board Chair or authorized representative determines that an appeal does not meet the final appeal requirements or otherwise warrant further formal review, consistent with the requirements set forth in these procedures, the appeal will be rejected. The Board Chair or authorized representative will notify the candidate or certificant of the rejection, as well as the reason(s) for the rejection, by letter within approximately twenty-one (21) days of the determination. Appeal rejection determinations are not subject to appeal.

7. **Scheduling of Final Appeal Hearing.** Within sixty (60) days of receipt of a complete and proper written appeal, the Board of Directors will schedule a hearing date for appeal consideration, generally not later than the next or second regularly scheduled Board meeting, and will notify the candidate or certificant of the date. The Board of Directors will conduct an informal hearing designed to review and consider all of the available proof and information, including the record of the first appeal and the materials submitted by the candidate or certificant.

8. **Final Appeal Decision of the Board of Directors.** The Board of Directors will resolve and decide the appeal based on the record, including relevant and credible information presented by the candidate or certificant, NABCEP policies, and the action or decision of the Certification Appeals Committee. The Final Appeal Decision will include the findings of the Board of Directors and a summary of the relevant facts upon which the decision is based, and may uphold or modify the decision of the Certification Appeals Committee, or indicate other appropriate action. The Board of Directors will issue the Final Appeal Decision within thirty (30) days of the end of the appeal review, or as soon thereafter as is practical.

## **G. Finalizing and Closing Appeals**

1. **Conditions for Closing the Appeal.** An appeal will be closed, and all proceedings ended, when any of the following occurs:

- a. An appeal has been resolved and decided by the Executive Director, the Certification Appeals Committee, or the Board of Directors, and the allowable time period for the filing of an appeal under these procedures and rules has passed or lapsed; or,
- b. The appeal has been withdrawn or terminated by the candidate or certificant

## Appendix III: Certification Mark Use Policy

This policy explains the importance of ensuring proper mark use, the corresponding rules for use of the mark by certificants, and the procedures and possible penalties for violation of the policy and rules.



**North American Board of Certified Energy Practitioners, Inc. (NABCEP)  
Policy and Rules for Use of the Trademark with Design Marks:**

*"North American Board of Certified Energy Practitioners Certified Solar PV Installer"*

*"North American Board of Certified Energy Practitioners Certified Solar Heating Installer"*

*"North American Board of Certified Energy Practitioners Certified Small Wind Installer"*

*"North American Board of Certified Energy Practitioners Certified PV Technical Sales Professional"*

### **1. Policy Purposes**

The "North American Board of Certified Energy Practitioners Certified Solar PV Installer", North American Board of Certified Energy Practitioners Certified Solar Heating Installer", "North American Board of Certified Energy Practitioners Certified Small Wind Installer" and accompanying Design trademark, certification mark and credential (the Mark) is owned and controlled by NABCEP and its Board of Directors. The Mark is granted by the NABCEP Board to qualified renewable energy practitioners, who satisfy all applicable certification requirements. Consistent with applicable law and corporate policies, NABCEP must ensure that the Mark is used properly and correctly, as it represents NABCEP certification to the public.

NABCEP retains all trademark, certification mark, and other ownership rights concerning the Mark. NABCEP therefore reserves, and may use, the full range of legal remedies and certification-related sanctions available under applicable laws and corporate policies to protect the Mark. Infringement of any NABCEP trademark or certification mark will be challenged. Inappropriate or incorrect uses of any NABCEP mark may, therefore, be subject to organizational or legal action for mark infringement and other claims if such uses are contrary to law or corporate policy, e.g., where a use creates a likelihood of confusion with the proper use of a NABCEP mark, without regard to the certification status of the individual involved. Questions concerning the proper use of the Mark should be submitted to the NABCEP in writing.

Each certified individual accepts and assumes all, and the sole, responsibility for understanding and satisfying any governmental and legal requirements, including those requirements which may apply to the use, display and/ or advertising of the Mark. It is the responsibility of the certified individual to ensure that the use of the Mark on professional and business related materials (e.g., stationary, signs, cards or advertisements) is NOT in conflict with the laws of the State in which that individual practices. NABCEP assumes no responsibility concerning the application of such governmental and legal requirements pertaining to the use, display and/ or advertising of the Mark.

In no event shall the NABCEP be liable for any damages whatsoever, including any special, indirect, or consequential damages relating to the use of the Mark, whether in an action in contract, negligence, or other law arising out of, or in connection with, the use of such Mark in any locality, State, or country in which the use of the Mark presents a conflict with any laws of that locality, State, or country.

Use of the Mark is subject to the following NABCEP certification mark use policies and rules.

**2. Persons Authorized to Use the Mark**

Only persons certified by the NABCEP, who maintain active certification status and are in good standing, are authorized to use the Mark. The Mark must be used to identify only those persons who have demonstrated satisfactory technical knowledge to apply the appropriate professional skills necessary in the field of solar photovoltaic, solar heating or small wind technology, in accordance with the certification standards established by the NABCEP Board of Directors.

**3. Non-Assignability and Non-Transferability of the Mark**

The Mark is personal to the certified individual and may not be transferred or assigned to any other individual, organization, business, or entity.

**4. Appearance and Proper Use of the Mark**

Each certified individual may use the Mark in professional advertising and informational materials, including telephone directory listings or advertisements, business cards, letterhead, brochures, signs, stationary, packages, and other similar marketing materials, consistent with the following rules:

- A. Proper Use. Each certified individual must use the Mark in conjunction with his/ her name and the services related to the certification. The Mark may only be displayed in association with the certified individual. The Mark may not be positioned, displayed, or used in a manner which may lead the public to believe that a company (organization) itself is certified or otherwise endorsed by the NABCEP. For example, the Mark may appear immediately above, below, or otherwise adjacent to the name of the certified individual, but may not appear immediately above, below, or otherwise adjacent to the name of the certified individual's employer or company (organization).
- B. Proper Appearance. The Mark must be associated solely with the certified individual, who is authorized to use the Mark. The Mark should always be used in its entirety, and must always appear with the subscript "®" trademark symbol. Alternate forms of the Mark include, but are not limited to, the words "North American Board of Certified Energy Practitioners Certified Solar PV Installer" without the design, or "NABCEP Certified Solar PV Installer" without the design. Such uses must always appear with the superscript "™" symbol, and should NOT be used immediately following the name of the certified individual, or in any way that would create the appearance that the alternate mark form is being used as a title or degree.
- C. Examples of Proper Use and Appearance. Proper use and appearance of the Mark include, but are not limited to, the following examples.



John Doe



Certification #03142003-09



Jane Doe  
Certification #03142003-29

Proper use of Mark without design

John Doe  
North American Board of Certified Energy Practitioners Certified Solar PV Installer ™

Jane Doe  
NABCEP Certified Solar Heating Installer ™

- D. Examples of Improper Use and Appearance. Improper use and appearance of the Mark include, but are not limited to, the following examples.

John Doe, North American Board of Certified Energy Practitioners Certified Solar PV Installer

Jane Doe, NABCEP Certified Solar Heating Installer

John Doe, Certified Solar Installer

- E. Other Requirements. Incorporation of the Mark with the marks, designations, or logos related to other credentials, groups, or organizations is prohibited. The Mark may be used on the same page as other affiliation marks or logos, but must remain separate and distinct.

## **5. Non-Interference with Use of the Mark by Other Certified Individuals**

A certified individual may not prohibit, restrict, or otherwise limit the authorized and appropriate use of the Mark by another certified individual.

## **6. Violation Reporting Responsibilities**

A certified individual has the responsibility to report the unauthorized use, misuse, or other violation of this policy to the NABCEP, including any circumstances where a certified individual becomes aware of the use of the Mark by an individual who is not certified, or of the improper use of the Mark by a certified individual.

## **7. Policy Violations and Related Actions**

Following receipt of information that an inappropriate or unauthorized use of the Mark may have occurred, the NABCEP, in consultation with legal counsel, will determine if appropriate response actions will be taken. The NABCEP may take any of the following actions, or other appropriate measures. A certified individual is required to cooperate fully in the review and resolution of such matters.

- A. A copy of the alleged inappropriate or unauthorized Mark or designation use will be obtained and reviewed to determine whether a violation of the policy has occurred;
- B. Upon determination of a policy violation, written correspondence will be issued by an authorized NABCEP representative to the individual(s) or organization(s) involved, explaining, among other items: the nature of the objectionable or unauthorized use; the relevant NABCEP policy and law; and, the requirement that the individual cease and desist from the objectionable or unauthorized use immediately and in the future;
- C. Upon determination of a policy violation, written correspondence will be sent by an authorized NABCEP representative to the individual(s) and organization(s) involved, requesting that the individual accept and sign an agreement to, among other items: cease the existing objectionable or unauthorized use; abide by all terms of the NABCEP policy in the future; and, provide corrected copies of all offending materials; and,
- D. Where an individual using the Mark in an objectionable or unauthorized manner fails to respond to, or refuses to comply with, NABCEP requirements to cease and desist from such use, the Board may initiate appropriate legal actions and/ or disciplinary proceedings, as set forth in the policy.

## **8. Certification Mark Related Disciplinary Measures**

Following notice and a fair opportunity to respond, a certified individual who acts contrary to the terms of this policy or applicable law may be sanctioned by the NABCEP. Such sanctions may include:

- A. Denial and rejection of the individual's recertification application;
- B. Private reprimand and censure, including appropriate conditions or directives;
- C. Public reprimand and censure, including appropriate conditions or directives;

- D. Certification probation for a given period of time, including appropriate conditions or directives;
- E. Suspension of certification for a given period of time, including appropriate conditions or directives;
- F. Revocation of certification, including appropriate directives; and,
- G. Other measures that the Board deems appropriate.

In addition, cases of Mark misuse, infringement, or other similar matters may be referred to the Ethics Committee for review under the NABCEP Ethics Case Procedures.

## Appendix IV: Certification Compliance Monitoring Policy

The NABCEP Board of Directors adopts the following Certification Compliance Monitoring Policy (Policy) to establish an appropriate process to monitor certificant compliance with the NABCEP certification maintenance requirements. Specifically, this Policy explains the conditions to be satisfied for continuing certification, and the process for reviewing compliance with these conditions in an appropriate and impartial manner. A certificant must submit information confirming that he/ she possesses the occupational knowledge and skills necessary to perform competently as a certified practitioner in the field of renewable and sustainable energy. This Policy also is designed to confirm continuing satisfactory work activities.

### **I. CERTIFICATION COMPLIANCE METHODS AND REQUIREMENTS.**

In order to demonstrate compliance with the NABCEP certification and recertification process, certificants must satisfy the following requirements during each three (3) year Certification Period.

#### **A. Quality Assessment Surveys.**

During the Certification Period, the certificant will document the satisfactory installation and completion of three (3) Qualifying Systems related to the relevant NABCEP Certification. In order to be accepted by NABCEP, an Assessment Survey must show that the certificant has performed the referenced installation in a competent and complete manner.

Consistent with this requirement, the certificant will: provide NABCEP Quality Assessment Surveys to the owners of at least three (3) Qualifying Systems (System Owners); and, request that the System Owners complete and return the Assessment Surveys to NABCEP. During the first two (2) years of a Certification Period, the certificant will ensure that NABCEP has received at least (1) Assessment Survey from a System Owner. The remaining Assessment Surveys must be received by NABCEP prior to the end of the Certification Period.

#### **B. Alternative Certification Maintenance Requirements/ Continuing Education and Examination Requirements.**

Prior to the end of each three (3) year Certification Period, the certificant will complete at least eighteen (18) contact hours of approved continuing education consistent with the NABCEP recertification requirements and policies. Confirmation of the completion of these continuing education hours will be submitted to NABCEP with the recertification application.

In the alternative, the certificant will schedule, and successfully complete, the current NABCEP Certification Examination related to his/ her NABCEP certification. A passing score on the Certification Examination is required, and the Examination must be completed prior to the end of the current Certification Period.

#### **C. Certificant Ethics Reporting Requirements/ Disclosure of Complaint and Regulatory Matters.**

As a condition of NABCEP certification and recertification, the applicant/ certificant must accept, and act consistent with, the NABCEP Code of Ethics and Ethical Standards of Conduct (Code of Ethics), and related policies. In support of this certification requirement, the applicant/ certificant must report to NABCEP legal, disciplinary, and similar matters that relate to their competence and ethical behavior.

Specifically, within sixty (60) days of receiving notice, the applicant/ certificant must disclose the following matters in writing to NABCEP:

1. Any charge, complaint or conviction related to a criminal matter, or other court matter that involves a jail sentence (imprisonment);
2. Any complaint or charge by a government or other regulatory body, professional association, or certifying organization;
3. A violation of any law, regulation, or policy by a government or other regulatory body, professional association, or certifying organization; or,
4. Any other court or governmental matter or proceeding, related to his or her professional practice or business activities.

If the applicant/ certificant fails to disclose such information to NABCEP in a timely and accurate manner, NABCEP may initiate an ethics disciplinary complaint pursuant to the Ethics Case Procedures. Such ethics complaint may result in the imposition of sanctions, including certification suspension or revocation.

**D. Complaint Communications from Interested Parties and Regulatory Authorities.**

Consistent with the NABCEP Code of Ethics, and other certification policies, NABCEP will accept, review, and resolve communications from the public and regulatory authorities alleging improper conduct or incompetent performance by an applicant or certificant. Such communications will contain the information necessary to evaluate the applicant's/ certificant's conduct or performance under the relevant NABCEP policies.

**II. CERTIFICATION COMPLIANCE AND MONITORING PROCESS.**

**A. Quality Assessment Survey Review Procedure.**

At the beginning of the Certification Period, NABCEP will advise certificants of the Quality Assessment Survey requirement and the related Survey submission schedule. If the certificant fails to submit the Quality Assessment Surveys by the required deadline(s), NABCEP will advise the certificant that the requirement must be satisfied within a specified time period. Until such time as the requirement is satisfied, the certificant will be placed on conditional certification status. If the necessary surveys are not submitted to NABCEP by the specified time, the certificant will be subject to certification suspension or revocation. NABCEP retains the right to extend the compliance period upon a showing of good and sufficient cause by the certificant.

**B. Certification Maintenance Review Procedure.**

At the beginning of the Certification Period, NABCEP will advise certificants of their responsibility to either: complete the necessary continuing education hours related to recertification, and submit the required information to NABCEP; or, schedule and successfully complete the current Certification Examination. All continuing education activities submitted for credit are subject to review and approval by NABCEP, and credit is granted only after the educational or professional activity has been completed and appropriately documented. NABCEP has the right to evaluate all activities and programs submitted by the certificant and, at its sole discretion, deny credits for any activity that fails to satisfy continuing education requirements.

NABCEP performs an annual mandatory recertification audit in order to ensure compliance with this Policy. Each year, NABCEP will randomly select a percentage of certificants for a mandatory recertification audit. Certificants selected for this audit must comply with all audit instructions and requirements, and must submit copies of the required documentation supporting each reported

recertification activity for the current or most recent Certification Period. Failure to satisfy or comply with audit requirements will result in certification suspension or revocation pursuant to the relevant NABCEP policies.

**C. Certificant Ethics Reporting Review Procedure.**

NABCEP will review all applicant and certificant ethics reporting and disclosure documents to determine whether information has been submitted in a timely manner, and whether the reported information may be subject to review under the Code of Ethics. In the event that the reported information results in the issuance of an ethics complaint by NABCEP, the ethics matter will be processed pursuant to the Ethics Case Procedures.

When NABCEP determines that an applicant or certificant has acted contrary to the Code of Ethics, NABCEP may issue any of the following disciplinary or remedial actions: denial and rejection of any certification or recertification application; specific training, supervision, and/ or instruction concerning professional activities, or other appropriate conditions; private or public reprimand and censure; certification probation for a period of up to three (3) years; suspension of certification for a period of no less than six (6) months, and no more than three (3) years; and/ or, revocation of certification. Ethics Case Procedures, Section E, 8.

**D. Complaint Communications Review Procedure.**

In order to support the Code of Ethics, and to advise the public and regulatory authorities of NABCEP's professional practice standards, NABCEP will publish the current Code of Ethics on its Internet site. NABCEP will review all complaint communications from the public and regulatory authorities alleging improper conduct or incompetent performance by an applicant or certificant to determine if the matter is subject to review under the Code of Ethics. In the event that the reported information results in the issuance of an ethics complaint by NABCEP, the ethics matter will be processed pursuant to the Ethics Case Procedures.

If an individual is found to violate the Code of Ethics, NABCEP may issue any of the disciplinary or remedial actions described in Policy Section II, C above.

## **Appendix IV Materials**

### **Certification Compliance Customer Cover Letter and Customer Survey**



Dear PV System Owner,

**RE: NABCEP QUALITY ASSESSMENT SURVEY**

A NABCEP Certified PV Installer installed your PV system. They worked hard to achieve this highly respected certification and must complete certain actions to maintain their certification. The NABCEP PV Installer Certification is accredited to the highest international standard for personnel certification (ANSI 17024) by ANSI (American National Standards Institute). One of the ANSI requirements for certification programs is a Quality Assurance (QA) program. Your installer is required to present some of their customers with the attached Quality Assurance survey for completion as part of the terms of their certification.

When you hired a NABCEP Certified Installer you choose someone who meets the industry's "gold standard". Completing this survey will help ensure that these standards are maintained. The point of the survey is to let customers express their level of satisfaction with the installed System, and to help ensure that NABCEP Certified Installers continue to work at the highest level of performance in the industry.

To ensure your privacy we offer you the option of returning the survey to NABCEP directly (address on letterhead). You may, if you wish, also give it to your installer to return. In either case please complete all parts the survey and use additional pages if any narrative is required that space on the survey doesn't allow for.

Thanks in advance for your cooperation and prompt response. If you have any questions or concerns about the Quality Assessment Survey or related NABCEP policies, please do not hesitate to contact me by email or phone.

Sincerely yours,

Ezra Auerbach

A handwritten signature in black ink, appearing to read "Ezra Auerbach". The signature is fluid and somewhat abstract, with a long horizontal stroke extending to the right.

Executive Director NABCEP

Email: [eauerbach@nabcep.org](mailto:eauerbach@nabcep.org)

Tel: (800) 654-0021



**QUALITY ASSESSMENT SURVEY** Please return to NABCEP  
**TO BE COMPLETED BY CERTIFIED INSTALLER:**

Name of NABCEP Certified PV Installer

\_\_\_\_\_

Certification No.: \_\_\_\_\_

System Owner:

\_\_\_\_\_

System Address:

\_\_\_\_\_

Owner Telephone Number: \_\_\_\_\_

Owner Email Address: \_\_\_\_\_

**TO BE COMPLETED BY SYSTEM OWNER:**

1. Upon completion of the System installation, did the System work as expected?  
Yes  No

If no, please identify and explain all deficiencies or problems that you experienced.

2. Did the System installation cause any leaks or property damage?  
Yes  No

If yes, please identify and explain the nature of such leaks and/ or damage.

3. Did the System installation cause any other problems or deficiencies that needed resolution during or after the installation of the System?  
Yes  No

If yes, please identify and explain such problems or deficiencies, and whether they were satisfactorily resolved in a timely, professional manner by the Installer?

System Owner Signature \_\_\_\_\_ Date \_\_\_\_\_

**North American Board of Certified Energy Practitioners**

**Appendix V: Forms**

Exam Scheduling Form

Payment Remittance Form

Examination Change Form

Change of Address or Name

Duplicate Document Request

Application to Hand Grade Answer Sheet

Special Accommodations Request Form



# EXAM SCHEDULING FORM

Candidates must complete and return this form AFTER having received notice of approval to sit for the Certification Exam and **NO LESS THAN six weeks and one day (43 days) before the examination date.**

Please type or print all information clearly.  
FOR SOLAR PV, SOLAR HEATING OR SMALL WIND INSTALLER EXAM ONLY

1. IDENTIFICATION INFORMATION													
Last Name	First	Middle	Suffix										
<b>Current Mailing Address:</b> Street Address or P.O. Box													
Address line 2													
City	State	Zip Code	Country										
Phone Number	E-Mail Address												
<input type="checkbox"/> My address or name has changed since I applied for eligibility to sit for the NABCEP exam													
2. EXAM SCHEDULING													
Please select one exam date, mark one exam category and select a 1 <sup>st</sup> and 2 <sup>nd</sup> choice of exam location:													
<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width: 50%;">March 24, 2012</td><td style="width: 50%;"></td></tr> <tr><td>Fall 2012 – TBD</td><td></td></tr> </table>	March 24, 2012		Fall 2012 – TBD		<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Solar PV Installer</td><td style="width: 50%;"></td></tr> <tr><td>Solar Heating Installer</td><td></td></tr> <tr><td>Small Wind</td><td></td></tr> </table>	Solar PV Installer		Solar Heating Installer		Small Wind		DO NOT Use This Form to Schedule for the PV Technical Sales Exam	
March 24, 2012													
Fall 2012 – TBD													
Solar PV Installer													
Solar Heating Installer													
Small Wind													
AZ01 – Arizona	MA01 – Massachusetts	NY02 – Upstate New York											
CA05 – Northern California	MN03 – Minnesota	OH01 – Ohio											
CA04 – Southern California	MD01 – Maryland	OR01 – Oregon											
CO01 – Colorado	NC01 – North Carolina	TN01 - Tennessee											
FL01 – Florida	NJ02 – New Jersey	TX01 – Texas											
HI01 – Hawaii	NM02 – New Mexico	CN01 – Alberta											
IL01 – Illinois	NY01 – New York, NY	ON01 – Ontario											
Exam seating may be limited, and NABCEP will schedule applicants on a first-come, first-paid basis. All fees must be paid in full 30 days prior to exam date.													
3. FEES (check one)													
<input type="checkbox"/> \$300 First time exam fee		<input type="checkbox"/> \$200 for 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> or 4 <sup>th</sup> <input type="checkbox"/> time taking the exam											
<input type="checkbox"/> Check or money order payable to NABCEP.		<input type="checkbox"/> VISA	<input type="checkbox"/> MasterCard										
Name on card: _____		Signature: _____											
Billing address on credit card statement _____													
<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width: 25%; height: 20px;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr> </table>					<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width: 25%; height: 20px;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr> </table>					<table border="1" style="width:100%; border-collapse: collapse;"> <tr><td style="width: 25%; height: 20px;"></td><td style="width: 25%;"></td><td style="width: 25%;"></td></tr> </table>			
M M / Y Y Expiration Date	Credit Card number (do not use spaces or dashes)	CRN											
4. Special Accommodations													
Are you requesting special testing accommodations? Yes <input type="checkbox"/> No <input type="checkbox"/>													
If yes, did you already submit a Request for Special Accommodations Form? If not, it must be attached, with appropriate documentation, to this Exam Scheduling Form. For details see Section 5.3 of the <i>Candidate Information Handbook</i> .													
<b>Send Exam Scheduling form and Payment to:</b> NABCEP 56 Clifton Country Road, Suite 202, Clifton Park, NY, 12065 Phone: (800) 654-0021 • Fax: (518) 899-1092 <a href="mailto:applications@nabcep.org">applications@nabcep.org</a>													
Please call if you have not received your admission slip at two weeks prior to the exam.													



**EXAMINATION CHANGE FORM**

**STEP ONE:** Please fill in the following boxes **EXACTLY** as currently shown on your current application. **PRINT NAME CLEARLY.** Illegible, incomplete or missing information will delay or prevent processing.

Candidate Name
----------------

Currently registered for: Exam Date
Location

**STEP TWO: CHANGE OF DATE:** (Use this section **ONLY** if making a change of exam date. If no change of date, skip to **STEP THREE.**) *Circle or mark the desired exam period.*

<input type="checkbox"/> March 24, 2012	<input type="checkbox"/> Solar PV Installer
<input type="checkbox"/> September 22, 2012	<input type="checkbox"/> Solar Heating Installer
<input type="checkbox"/>	<input type="checkbox"/> Small Wind Installer

**STEP THREE: SITE CHANGE REQUEST:** (Use this section **ONLY** if making a request for a site change. A site may be denied due to capacity constraints, or availability, so please mark an alternate choice. If no change to site, skip to **STEP FOUR.**)

<input type="checkbox"/> AZ01 – Arizona	<input type="checkbox"/> MA01 – Massachusetts	<input type="checkbox"/> NY02 – Upstate New York
<input type="checkbox"/> CA05 – Northern California	<input type="checkbox"/> MN03 – Minnesota	<input type="checkbox"/> OH01 – Ohio
<input type="checkbox"/> CA04 – Southern California	<input type="checkbox"/> MD01 – Maryland	<input type="checkbox"/> OR01 – Oregon
<input type="checkbox"/> CO01 – Colorado	<input type="checkbox"/> NC01 – North Carolina	<input type="checkbox"/> TN01 – Tennessee
<input type="checkbox"/> FL01 – Florida	<input type="checkbox"/> NJ02 – New Jersey	<input type="checkbox"/> TX01 – Texas
<input type="checkbox"/> HI01 – Hawaii	<input type="checkbox"/> NM02 – New Mexico	<input type="checkbox"/> CN01 – Alberta
<input type="checkbox"/> IL01 – Illinois	<input type="checkbox"/> NY01 – New York, NY	<input type="checkbox"/> ON01 – Ontario

**STEP FOUR: SIGN AND DATE:** I acknowledge that I am the test candidate and request these changes.

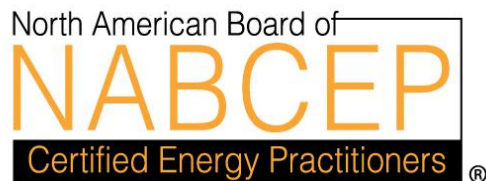
\_\_\_\_\_  
 (Signature)

\_\_\_\_\_  
 (Date)

Please mail, email as an attachment or send by fax to:

**NABCEP**  
**56 Clifton Country Road, Suite 202**  
**Clifton Park, NY, 12065**

Fax: (518) 899-1092  
 Email: Applications@nabcep.org



## CHANGE of ADDRESS or NAME FORM

Please type or print all information.

1.PERSONAL INFORMATION			
Last Name	First	Middle	Suffix
<b>Current Mailing Address:</b> Street Address or P.O. Box			
Address line 2			
City	State	Zip Code	Country
<b>Current Residence Address</b> (If different than mailing address above): Street Address or P.O. Box			
Address line 2			
City			
<b>Primary Phone Number</b>		<b>E-Mail Address</b> (optional)	
<p align="center"><b>Has your address changed since you applied for eligibility to sit for the NABCEP exam?</b> If so, please list your old address below.</p>			
<b>Prior Address:</b> Street Address or P.O. Box, City, State, Zip			
City	State	Zip Code	Country
<p align="center"><b>Has your name changed since you applied for eligibility to sit for the NABCEP exam?</b> If so, please list your OLD name below.</p>			
<b>Old Name</b>			
<b>Reason for Change</b>			

<p><b>Send Change of Address or Name Form to:</b>  NABCEP  56 Clifton Country Road  Clifton Park, NY, 12065  Fax: (518) 899-1092  Email: <a href="mailto:applications@nabcep.org">applications@nabcep.org</a></p>
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## DUPLICATE DOCUMENT REQUEST FORM

Please type or print all information.

1. PERSONAL INFORMATION																									
Last Name	First	Middle	Suffix																						
<b>Current Mailing Address:</b> Street Address or P.O. Box																									
Address line 2																									
City	State	Zip Code	Country																						
<b>Primary Phone Number</b>		<b>E-Mail Address</b> (optional)																							
<b>NABCEP Certification Number</b>																									
<b>Has your address or name changed since you applied for eligibility to sit for the NABCEP exam?</b> If so, please attach a "Change of Address or Name" form.																									
2. Reason for Request																									
<input type="checkbox"/> Score Report		<input type="checkbox"/> Certificate																							
3. FEE																									
<b>Each Duplicate Document: \$25.00</b>																									
<i>Please enclose one of the following methods of payment with your application as shown below:</i>																									
___ Check or money order <b>payable to NABCEP</b>																									
___ VISA    ___ Mastercard    Name on card: _____																									
Signature of cardholder: _____																									
<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table> M M / Y Y					<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td> </tr> </table> Credit Card number (do not use spaces or dashes)																				
Expiration Date on credit card: _____																									
<b>Send Duplicate Document Request Form to:</b>  <div style="text-align: center;">           NABCEP            56 Clifton Country Road, Suite 202            Clifton Park, NY, 12065            Fax: (518) 899-1092            Email: <a href="mailto:info@nabcep.org">info@nabcep.org</a>  <b>Please allow 6-8 weeks for delivery of new certificate.</b> </div>																									



## HAND GRADE of ANSWER SHEET REQUEST FORM

Print clearly and legibly all required information requested below:

Last Name \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Daytime Phone Number with Area Code: \_\_\_\_\_ Fax Number \_\_\_\_\_

Date of Exam \_\_\_/\_\_\_/\_\_\_ (\*Hand-grade requests must be made within 90 days of the test date. Applications received after 90-days will be returned to the candidate.)

Exam (please check one):  Solar Photovoltaic  Solar Heating  Small Wind

**Hand Grade Fee: \$50.00**

*Please enclose one of the following methods of payment with your application as shown below:*

Check or money order **payable to NABCEP**

VISA

Mastercard

Name on card: \_\_\_\_\_

Signature of cardholder: \_\_\_\_\_

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M M / Y Y

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Credit Card number (do not use spaces or dashes)

Expiration Date on credit card: \_\_\_\_\_

**Application with check payment must be mailed to:**

**NABCEP, 56 Clifton Country Road, Suite 202, Clifton Park, NY, 12065**

**Application with credit card payment may be mailed to the above address or faxed to:**

**NABCEP: (518) 899-1092**

I understand that this process confirms that the optical reader correctly graded answer sheet. This process is performed by NABCEP's Professional Testing Contractor. The optical reader and the statistical process that they use is state of the art.

**SIGNATURE:** \_\_\_\_\_

Results will be mailed to the address listed above.



## SPECIAL ACCOMMODATIONS REQUEST FORM

*The North American Board of Certified Energy Practitioners, Inc. (NABCEP) complies with the Americans with Disabilities Act of 1990. To ensure equal opportunities for all qualified persons, NABCEP will make reasonable accommodations for candidates when appropriate. If you require special accommodations related to a disability in order to take the examination, please complete this form and return it with your examination application. The information you provide and any documentation regarding your disability and your need or accommodation will be treated with strict confidentiality. Review of requests for accommodations can take 3-4 weeks or more and should be submitted as far in advanced as possible.*

For which of the examinations below are you requesting accommodation:

- Photovoltaic Installer Certification
- Solar Heating Installer Certification
- Small Wind Installer Certification

Please type or print all information clearly

1. Personal Information		
<b>Name: Last</b>	<b>First</b>	<b>Middle Initial</b>
<b>Phone Number:</b>	<b>Anticipated Exam Date:</b>	
<b>Email Address:</b>	<b>Anticipated Exam Site:</b>	
2. Reason for Request		
<i>I am requesting an exam accommodation due to:</i> a disability <input type="checkbox"/> a religious observance <input type="checkbox"/> other <input type="checkbox"/>		
Please provide a detailed explanation of the reason(s) why you are seeking accommodation(s). For example, if you are seeking accommodation due to a disability, you should explain how it substantially limits one or more of your sensory, manual, speaking or other functional skills (e.g., disability that significantly impairs your ability to read, concentrate, or otherwise complete the examination). Attach additional pages if need.		

### 3. Special Accommodation Needed

Please select the accommodation(s) you are requesting

<input type="checkbox"/> Time and a half	<input type="checkbox"/> Additional _____ minutes	<input type="checkbox"/> Assistance completing answer sheet
<input type="checkbox"/> Reader	<input type="checkbox"/> Magnified print	<input type="checkbox"/> Separate Room
<input type="checkbox"/> Extra or extended breaks (without additional exam time)	<input type="checkbox"/> Sign language interpreter or printed copies of verbal instructions	<input type="checkbox"/> Paper and pencil version of computerized exam
<input type="checkbox"/> Other: (please specify)		

### 4. Accommodation History

Have you ever received special accommodations:   **Yes**                     **No**   
 If you have ever received special accommodation please provide the following information

Year of accommodation	Type of accommodation	Name of institution/organization that provided accommodation

### 5. Documentation of Need for Accommodation

**If you are requesting an accommodation due to a health condition or a functional disability, you must provide NABCEP with written documentation from an appropriate health care professional supporting the accommodation you are requesting. This documentation must include a specific diagnosis of your health condition and/or functional disability, results from all assessments that were used to determine the diagnosis, and a specific recommendation for the special testing accommodation(s) that you require. In most cases, this documentation cannot be dated later than three years previous. NABCEP will not pay any cost you may incur in obtaining the required diagnosis and recommendation; however, NABCEP will pay for any reasonable accommodations that are provided for you.**

**If you are requesting an accommodation due to a religious observance, you must provide a letter from an appropriate religious authority attesting to the nature of the religious observance that is in conflict with the scheduled examination date.**

Documentation from a healthcare professional is attached:   **Yes**    **No**   
 Documentation from a religious authority is attached:           **Yes**    **No**

### 5. Signature

I attest that the information contained in this document or attached to it is true and correct.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_