

## **NABCEP 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.**

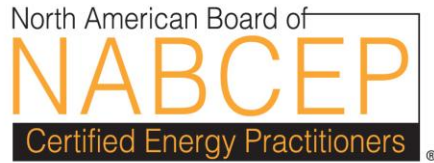
During the Certification Period, the certificant will document the satisfactory installation and completion of three (3) Qualifying Systems related to the relevant NABCEP Certification. In order to be accepted by NABCEP, an Assessment Survey must show that the certificant has performed the referenced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

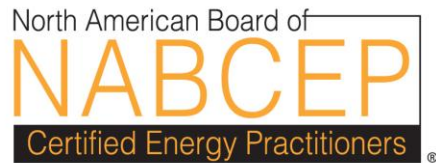
At the beginning of the Certification Period, NABCEP will advise certificants of their responsibility to either: complete the necessary continuing education hours related to recertification, and submit the required information to NABCEP; or, schedule and successfully complete the current Certification 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.