

NABCEP™

Certification Handbook



PV Installation
Professional



PV Technical Sales
Professional



Small Wind
Installer



Solar Heating
Installer



Raising Standards. Promoting Confidence.

Applications for all NABCEP Certifications are available at:

WWW.NABCEP.ORG

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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 a non-profit certification organization for professionals 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 voluntary personnel certification for professionals in the renewable energy industry, including NABCEP PV Installation Professional™, NABCEP Solar Heating Installer™, and NABCEP PV Technical Sales Professional™. Individuals seeking these certifications must meet the requirements of one of the qualifying categories established by the NABCEP Board of Directors, agree to a Code of Ethics, pay all required fees, and pass an examination. Certified individuals (Certificants) must complete minimum related continuing education and experience requirements, and pay a recertification fee, to maintain certification during each three-year certification period. This *Certification Handbook* contains information about NABCEP's certification programs. It provides guidance and policies for applying, achieving, and maintaining a personnel certification from NABCEP.

Incorporated in 2002, the mission of NABCEP is to work with and support the renewable energy and energy efficiency industries, professionals, and stakeholders to develop and implement quality credentialing and certification programs for practitioners. 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.

NABCEP is a nationally recognized credentialing body formed to set competency standards for professional practitioners in the fields of renewable energy and energy efficiency. NABCEP follows best practices of the certification field in the development and operation of all of its certification programs. NABCEP PV Installation Professional Certification (formerly NABCEP Solar PV Installer Certification) has been accredited to the rigorous international ANSI/ISO/IEC 17024 standard for personnel certification bodies since 2007, and the NABCEP Solar Heating Installer Certification became accredited in 2013.

Voluntary certification for renewable energy professionals:

- Promotes the status and credibility of renewable energy practices
- Promotes consumer confidence in renewable energy technologies
- Promotes worker safety and skill
- Advances uniform professional standards by holding certificants to a Code of Ethics
- Commits certificants to continued professional development through maintenance of the credential

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 Overview

2.1 Purpose

Certification - *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.*

Certification assures the public, employers and practitioners that a certified professional possess the skills and knowledge necessary to competently carry out the work processes of a specific field as outlined in the relevant Job Task Analysis, and that he/she is committed to continued professional training and education and adherence to ethical practices.

2.2 Certification Timeline

Application Deadline to submit completed Application and remit Application Fee	10 weeks and one day (71 days) prior to each Examination
Applicants notified of eligibility or ineligibility	No later than 3 weeks after the Application Deadline
Exam Scheduling Deadline to schedule exam and remit Examination Fee	6 weeks and one day (43 days) prior to Examination
Candidates sent Exam Admission Slip via e-mail	No less than two weeks prior to examination
Examination	Twice Annually (Spring & Fall)
Candidate Notification Candidates are sent notification of exam results via Postal Service	No more than 6 weeks after exam date
Certificates Awarded Certificates are mailed via Postal Service to new NABCEP Certified Installers and new Certificants are listed on website	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 Certification Period

Certification is valid for three (3) years from the date of issuance. Certificants must meet the requirements for recertification (see Section 13) by the end of each three-year period in order to be eligible to renew their certification. Certificants may perpetually repeat the recertification process every three years for as long as they continue to meet the established requirements for continuing education and practice. NABCEP shall regularly review and update standards and requirements as needed.

2.4 Fees

All fees are non-refundable and non-transferable, except as may be allowed by procedures contained in this Handbook.

Application Fee – per electronically submitted application.....	\$125
Application Fee – per paper application.....	\$175
Examination Fee – per first time candidate per certification exam.....	\$375

Re-examination Fee – per each re-take of an examination	\$275
Hand Score Fee – per each request to hand verify an exam score	\$50
Recertification Fee – per electronically submitted application.....	\$390
Recertification Fee – per paper application.....	\$440
Certification Renewal Fee – per recertification within first year of expiration.....	\$50
Certification Renewal Fee – per recertification within second or third year of expiration.....	\$100
Replacement Document Fee – per request.....	\$25

Fees are payable to the North American Board of Certified Energy Practitioners (NABCEP) via credit card, check or money order. Payments that are not remitted electronically through the website must be submitted with a Payment Remittance Form (Appendix IV). All fees are subject to change without notice.

3 PV Installation Professional Certification Requirements

3.1 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 below
- Complete an application form documenting requirements
- Sign and agree to uphold the NABCEP Code of Ethics
- Pay Application and Examination Fees to NABCEP
- Pass a written examination
- Once certified complete continuing education and experience requirements, submit a recertification application, and pay a Recertification Fee, within the recertification timeframe

3.2 Qualifying for the Examination

There are several ways that an individual may qualify to sit for the certification examination (Qualifying Categories). NABCEP recognizes that professionals in the field of renewable energy and energy efficient technologies receive their training and work experiences in a variety of ways; therefore, each Qualifying Category 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 Installation Professional Certification Examination, every Applicant will need to document:

- 1) Completion of a minimum of 10 hours of OSHA Outreach Training Program for the Construction Industry training (or state or provincial equivalent); **AND**
- 2) Completion of 58 cumulative hours of training as defined in Section 3.5.2 below (NOTE: These hours of training do not need to be in addition to apprenticeship or degree coursework if the requirements of Section 3.5.2 were met within the curriculum); **AND**
- 3) That he/she meets all of the requirements of **ONE** of the following Qualification Categories:

CATEGORY A

- i. Decision making role in the installation of five (5) PV systems in compliance with the requirements of Section 3.3 below;

CATEGORY B

- i. Licensure as a contractor in good standing in solar or electrical construction-related areas; **AND**
- ii. Decision making role in the installation of three (3) PV systems in compliance with Section 3.3

CATEGORY C

- i. Four (4) years of electrical construction-related experience working for a licensed contractor; **AND**
- ii. Decision making role in the installation of three (3) PV systems in compliance with Section 3.3

CATEGORY D

- i. Three (3) years of experience in a U.S. Department of Labor Registered Electrical Construction Trade Apprenticeship Program; **AND**
- ii. Decision making role in the installation of three (3) PV systems in compliance with Section 3.3

CATEGORY E

- i. Two (2) or four (4) year degree in a field related to renewable energy, construction technology, electrical technology, or engineering technology; **OR** Four (4) year degree in a field related to electrical, mechanical, structural, or civil engineering, or architecture; **AND**
- ii. Decision making role in the installation of three (3) PV systems in compliance with Section 3.3

NABCEP CERTIFIED PV INSTALLATION PROFESSIONAL ELIGIBILITY REQUIREMENTS SUMMARY TABLE

All Applicants must be at least 18 years of age; document a minimum of 10 hours of OSHA Outreach Training Program for the Construction Industry training (or state or provincial equivalent); complete at least 58 hours of relevant qualified training (see Section 3.5.2); sign a Code of Ethics; and pay all applicable fees.

Category	Who	Minimum Experience
A	Professional with a documented decision making role in the installation of PV systems – such as Lead Installers, System Designers, Project Managers, Site Managers, Foreman, Electricians, System Engineers, and Quality Assurance / Commissioning Agents	Documented decision making role in the installation of five (5) PV systems
B	Existing licensed contractor in good standing in a solar or electrical construction trade	Documented decision making role in the installation of three (3) PV systems
C	Four (4) years of electrical construction-related experience working for a licensed contractor (includes licensee or owner/operator)	
D	Three (3) years of experience in a U.S. Dept. of Labor Registered Electrical Construction Trade Apprenticeship Program	
E	Two (2) or more year renewable energy, construction technology, electrical technology, or engineering technology degree; or four (4) or more year electrical, mechanical, structural or civil engineering, or architecture degree	

3.3 Experience Requirements

All systems submitted with the application must meet the following minimum criteria:

- A. The Applicant shall have performed in a decision making role, which had material impact on the quality and serviceability of the installation. Examples of such roles include, but are not limited to: Lead Installers, System Designers, Project Managers, Site Managers, Foreman, Electricians, System Engineers, and Quality Assurance / Commissioning Agents. Due to the variety of decision making roles that may be involved with any particular system installation, more than one person may qualify for each system; however, each individual must document their specific role and their level of responsibility for the quality and serviceability of the installation.
- B. Installation must have been completed within the two calendar years prior to the application submission date.
- C. All system must have a minimum rating of 1 kW DC (STC).

3.4 Documenting Experience

For each PV system, an Applicant must submit documentation that summarizes system information, documents system completion, and verifies his/her decision making role. NABCEP reserves the right to contact system owners/operators, permitting authorities, employers, and sub-contractors to verify the Applicant's work experience and decision making authority.

3.4.1 System Summary

To document experience as a PV installation professional, Applicants are asked in the application to provide a concise description of the system and the work performed, including:

- System location
- Date performed
- System info (PV array size, number of inverters and total cumulative inverter capacity)
- Name and phone number of installation contractor
- Name and phone number of contractor listed on the permit or inspection
- Description of work performed by the Applicant

3.4.2 Documenting System Installation

To document the system completion date and that the system was installed according to applicable codes, an Applicant must submit a copy of Electrical and/or Building Permit(s) and Final Inspection Report(s) issued by the Local Authority Having Jurisdiction (AHJ) for each system submitted. In regions where permits and inspection reports are not issued, the Applicant may submit an inspection report that was written by an independent qualified electrician recognized by the AHJ or an independent certified electrical inspector.

3.4.3 Documenting Decision Making Role

If the Applicant was named on the permit/inspection document(s) then no additional documentation is needed to verify that he/she held a decision making role that had material impact on the quality and serviceability of the installation. To document that the Applicant who is not named on the permit/inspection document(s) did hold a decision making role during the design, project management, installation, and/or commissioning/quality assurance process, the Applicant must submit one of the following:

- A. A signed letter on letterhead from the person, or a member of senior management from the company, that is named on the permit/inspection document(s). The letter must clearly explain the role(s) and the decision making authority that the Applicant held for the system design, project management, installation, and/or commissioning/quality assurance process for the system installation; **OR**
- B. Design plans and/or line drawings that identify the Applicant as being responsible for the design; **OR**

- C. A commissioning or quality assurance report that identifies the Applicant as being responsible for the system commissioning or quality assurance process.

3.5 Training Requirements

3.5.1 OSHA 10 Training

All Applicants must show proof of completion of a minimum of 10 hours of the Occupational Safety and Health Administration (OSHA) Outreach Training Program for the Construction Industry, or state or provincial equivalent. To find an OSHA class visit: 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.” Eighteen (18) of the twenty (20) additional hours of training from a 30-hour OSHA course may be applied to the 58 hours of training that is required for all Qualifying Categories (see Section 3.5.2.D).

3.5.2 PV Training

PV training must meet the following criteria to be accepted in an application:

- A. All training was completed in the five calendar years prior to the submission 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” PV installation and design principles and practices as outlined in the NABCEP PV Installation Professional Job Task Analysis (as opposed to “fundamental” or “introductory” PV installation and design principles and practices as outlined in the NABCEP PV Associate Learning Objectives). This 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 (Accredited Universities, Colleges, Community Colleges, etc.) (<http://ope.ed.gov/accreditation/search.aspx>)
 - II. U.S. Department of Labor Registered Apprenticeship Training Programs (www.doleta.gov/oa/)
 - III. Interstate Renewable Energy Council (IREC) Accredited Training Providers for the NABCEP PV Installation Professional Job Task Analysis (<http://www.irecusa.org/credentialing/credential-holders/>)
 - IV. American National Standards Institute (ANSI)/IREC 14732 Accredited Certificate Programs (<https://www.ansica.org/wwwversion2/outside/ANRECDirectory.asp?menuID=229>) or ANSI/ASTM 2659 Accredited Certificate Programs (<https://www.ansica.org/wwwversion2/outside/CAPDirectory.asp?menuID=212>) that are based on the NABCEP PV Installation Professional Job Task Analysis
 - V. Training institutions approved by State Contractor Licensing Boards or Canadian Provincial equivalents

- VI. State or Provincial Department of Education or equivalent licensed Vocational / Technical training programs

NOTE: Courses offered by private training organizations or businesses that are not accredited or otherwise recognized by a third-party as described above, will not be accepted for the minimum of 40 hours of advanced 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 electrical or building codes relevant to the installation of PV systems
 - II. Associate Level coursework through a NABCEP Registered NABCEP Associate Provider, provided that a passing score achievement was obtained on the NABCEP PV Associate Exam. NOTE: Introductory/Fundamental level courses leading to the NABCEP Associate 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 Installation Professional Certification
 - V. Any other coursework that addresses topics included in the NABCEP PV Installation Professional Job Task Analysis, such as courses taught by a non-accredited training organization

3.6 Documenting Training

To document training, the Applicant must 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 installation 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 that details how many hours were spent covering the NABCEP PV Installation Professional Certification Job Task Analysis or relevant codes.

3.7 Documenting Licensure

If the Applicant's Qualifying Category requires that they hold a specific license (see Section 3.2), or if a license for solar installation is required in the jurisdiction in which the work was performed, the Applicant must submit a copy of his/her licenses with the application.

3.8 Documenting Employment or Apprenticeship

An Applicant applying under Qualifying Categories C or D (see Section 3.2), must submit documentation for the required work experience. For Category C the Applicant will need to submit a signed letter from the current or most recent licensed contractor(s) that verify the Applicant's employment duration and job duties.

For Category D the Applicant will need to submit a copy of the Certificate of Apprenticeship Completion.

3.9 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 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 Qualifying for the Examination

There are several ways that an individual may qualify to sit for the Solar Heating 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. 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.

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

A1) Four (4) years of experience installing Solar Hot Water Systems (see Section 4.3 for definition of years of experience); **OR**

A2) Two (2) years of experience installing Solar Pool Heating Systems in addition to completion of 16 hours cumulative of training (see Sections 4.3 and 4.5 for definitions of years of experience and training)

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 Installer Systems in addition to completion of 40 hours cumulative of training (see Sections 4.3 and 4.5 for definitions of years of experience and training)

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 Installer Systems (see Section 4.3 for definition of years of experience)

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 Sections 4.3 and 4.5 for definition of years of experience and training)

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 Sections 4.3 and 4.5 for definition of years of experience and training)

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 Sections 4.3 and 4.5 for definition of years of experience and training)

CATEGORY G

Four (4) year engineering degree from an accredited educational institution, including (1) year experience installing Solar Heating Systems (see Sections 4.3 and 4.5 for definition of years of experience and training)

CATEGORY H

NABCEP PV Installation Professional Certification (see Section 3) AND 16 hours cumulative of training (see Section 4.5), AND installation of at least two solar hot water systems (see Sections 4.3 and 4.5 for definition of years of experience and training). 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.

4.3 Experience Requirements

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.

4.4 Documenting Experience

4.4.1 Documenting Employment

For the Applicant to demonstrate that they have been working in the Solar Heating Installer field for the number of years required by the Qualifying Category chosen, Applicants are asked on the Application Form 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.

4.4.2 Documenting Installations

In order to document the minimum 2-systems required per year of experience, Applicants are asked in the Application Form to list qualifying installed systems 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 per year of experience require permitting and inspection by a Authority Having Jurisdiction – 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 for consideration:

- A line-drawing of the system showing all components
- A bill of sale or signed contract for services
- Warranty information specific to the customer as available

- Notification of approval of rebate or other incentive
- A signed letter from the Applicant's supervisor or employer stating that they were the lead installer of that system.
- A signed letter from the Customer attesting to the completion of the system.

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

4.5 Training Requirements

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 and/or instructors that are certified by the Interstate Renewable Energy Council (IREC). Full list of accredited training programs and certified instructors can be found at www.IRECusa.org under "Credentialing".

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 by IREC
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

Training and Education Requirements for Categories A2, B and H

NABCEP will accept training to meet eligibility requirements for Category A2, Category B, and Category H when the training meets the following outcomes:

- a) 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.

4.6 Documenting Training

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, the Applicant must provide documentation related to the education or training. To document training, the Applicant must 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 Solar Heating Installation. 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 that details how many hours were spent covering the NABCEP Solar Heating Installer Job Task Analysis or relevant codes.

4.7 Documenting Licensure

If a license for solar heating installer 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 PV Technical Sales Professional Certification Requirements

5.1 Eligibility Requirements

In order to be eligible for NABCEP PV Technical Sales Professional Certification, applicants must satisfy the following requirements:

- Be at least 18 years of age;
- Complete the OSHA 10 Hour Construction Training Course Class (a Certificate of course completion must be submitted with Application);
- Satisfy at least one (1) of the qualifying certification eligibility categories (Qualifying Categories) identified below;
- Complete the NABCEP PV Technical Sales Professional Certification Examination Application (printed or online application);
- Accept the NABCEP Code of Ethics & Standards of Conduct;
- Pay applicable Application fees; and,
- Achieve a passing score on the NABCEP PV Technical Sales Professional Certification Examination.

5.2 Qualifying for the Examination

The NABCEP Board of Directors and PV Technical Sales Professional Technical Committee have established the following seven (7) Qualifying Categories for NABCEP PV Technical Sales Professional Certification. Applicants must satisfy at least one (1) of the following categories in order to qualify for certification.

A. Qualifying Category A

- At least sixty (60) cumulative hours of training directly related to the NABCEP PV Technical Sales Professional Job Task Analysis;
- Verifiable sales experience, including the completion of at least four (4) PV Installation system sales proposals within the twelve (12) month period prior to applying for the NABCEP PV Technical Sales Professional Certification; and,
- Achieve a passing score on the NABCEP PV Associate Examination.

B. Qualifying Category B

- At least thirty-two (32) cumulative hours of training directly related to the NABCEP PV Technical Sales Professional Job Task Analysis;
- Verifiable sales experience, including the completion of at least eight (8) PV Installation system sales proposals within the twenty-four (24) month period prior to applying for the NABCEP PV Technical Sales Professional Certification; and,

- Achieve a passing score on the NABCEP PV Associate Examination.

C. Qualifying Category C

- Associates Degree from an accredited educational institution in renewable energy technology or related field of study;
- Verifiable sales experience, including the completion of at least four (4) PV Installation system sales proposals within the twelve (12) month period prior to applying for the NABCEP PV Technical Sales Professional Certification; and,
- Achieve a passing score on the NABCEP PV Associate Examination.

D. Qualifying Category D

- Bachelor's Degree from an accredited educational institution; and,
- Verifiable sales experience, including the completion of at least four (4) PV Installation system sales proposals within the twelve (12) month period prior to applying for the NABCEP PV Technical Sales Professional Certification.

E. Qualifying Category E

- Currently credentialed as a NABCEP PV Installation Professional in good standing; or,
- Currently recognized by NABCEP as a NABCEP Certified PV Installation Professional Emeritus.

NOTE: A minimum of thirty (30) hours of additional training in non-installation aspects of the PV Technical Sales Job Task Analysis is strongly recommended.

F. Qualifying Category F

- Currently licensed as an electrician in the State in which the applicant performs his/her occupational activities; and,
- Achieve a passing score on the NABCEP PV Associate Examination.

NOTE: A minimum of thirty (30) hours of additional training in all aspects of the PV Technical Sales Job Task Analysis is strongly recommended.

G. Qualifying Category G

- Verifiable sales experience, including the completion of at least twenty (20) PV Installation system sales proposals within the sixty (60) month period prior to applying for the NABCEP PV Technical Sales Certification; and,
- At least five (5) years of cumulative, documented PV Installation systems sales-related experience.

NOTE: A minimum of thirty (30) hours of additional training in all aspects of the PV Technical Sales Job Task Analysis is strongly recommended.

5.3 Experience Requirements

A. Definitions

1. **Verifiable Sales Experience**

Verifiable sales experience = actively engaged in PV Installation systems sales-related activities, including the completion of the number of PV Installation system proposals required by the applicant's Qualifying Category. See Section II. Sales related activities include engaging in the sale and/or design of PV Installation systems, such as, individuals employed as sales managers, site analysts, system designers, technical support personnel, and project finance analysts.

For each of the four (4) PV Installation system proposals to be completed in each twelve (12) month period prior to applying for NABCEP PV Technical Sales Professional Certification, the following requirements apply:

- At least two (2) must have resulted in completed sales and installation;
- At least two (2) must relate to systems 2kW DC (peak) or larger;
- At least one (1) of the installations must be a system that is grid connected; and,
- No more than one (1) proposal may be submitted to a relative or someone residing at the applicant's address. This proposal must have resulted in a completed sales and installation.

Examples of Appropriate Verifiable Sales Experience:

➤ *Qualifying Category A*

Applicant must submit documentation showing at least 4 proposals completed in the 12-month period prior to applying for certification, including at least: 2 resulting in completed sales and installation; 2 that relate to systems larger than 2kW (peak); and, 1 that is grid connected.

➤ *Qualifying Category F*

Applicant must submit documentation showing at least 20 proposals completed in a 60-month period prior to applying for certification, including at least: 10 resulting in completed sales and installation; 10 that relate to systems larger than 2kW (peak); and, 5 that are grid connected.

5.4 Documenting Experience

1. Proposal Documentation.

All proposals and related proprietary information will be treated as confidential.

For each of the Qualifying Categories requiring verifiable sales experience, an applicant must submit the identified number of sales proposals for PV Installation systems, consistent with the

requirements of Section III.A. All PV Installation systems claimed must be accompanied by a complete and accurate copy of the original proposal. See, definition of “proposal” in Section III.A.3.

If the applicant’s name is not identified on a proposal, then that proposal must be accompanied by a letter from the applicant’s employer or supervisor stating that the applicant was the person who performed a lead role in the development of the proposal, or held a position of responsibility in reviewing and approving the proposal developed by others. Please note: only one person can claim any proposal submitted on a NABCEP PV Technical Sales Professional application. No duplicate proposals will be accepted.

Sales proposals must include the following information: proposed PV system size in kW; evidence of a shade analysis; the amount of kWh the PV Installation system is expected to produce annually; the revenue that the electricity generated will produce; the total cost of the system; any incentive or tax benefits that may be applied to the total cost. Additional information may include the internal rate of return (IRR), payback period, cash flow over the life of the system, non-financial benefits, and any income that will be gained from renewable energy credits.

2. Permits and Inspection Records. If the PV Installation system identified in a proposal has been installed, the applicant must submit electrical permits and inspection records.
3. Customer Letters. If the system has been sold but not installed, the applicant must submit a signed letter (emails will not be accepted) from the customer stating that he/she is satisfied with the sales process and the purchased PV Installation system. If the system was proposed and NOT sold, the applicant must submit a signed letter (emails will not be accepted) from the customer stating that he/she is satisfied with the sales proposal and the reason why they did not purchase the system.
4. Additional Information and Documentation.
When completing the application, applicants will be asked to describe the scope of work he/she was responsible for on each installation. NABCEP reserves the right to contact system owners/ operators, permitting authorities, and responsible contractors to verify work listed in the Application. The NABCEP Application Review Committee will make decisions regarding applicant eligibility based on the Application information and documentation submitted in support of the Application.

5.5 Training Requirements

Applicants applying through Qualifying Categories A and B must submit documentation supporting the required cumulative hours of training directly related to the subjects identified in the NABCEP Certified PV Technical Sales Professional Job Task Analysis.

- A. Acceptable Training. NABCEP will accept training that meets the following requirements:
 1. Formal Training Format. The training program must have a formal training format, which includes a teacher-student structure, i.e., a student and an instructing source. Acceptable training formats may include:
 - a. In-person/classroom training courses led by an instructor and/or discussion leader; or,
 - b. Activities in which a student is engaged in a planned learning event, receives

feedback concerning his/her progress, and the student's progress is monitored. In some cases, such activities may be distance learning, i.e., the student is separated from faculty and other students. Examples include computer-assisted instruction, interactive video/CD/DVD, and/or website learning.

2. Training Covers PV Technical Sales Job Task Analysis Subjects. The training must directly relate to the subjects identified in the NABCEP PV Technical Sales Professional Job Task Analysis.

B. Acceptable Training Providers. Acceptable training providers include, but are not limited to:

1. An educational institution accredited by an accreditation organization recognized by the U.S. Department of Education (e.g., universities and community colleges) or a similar Canadian government agency;
2. Independent renewable energy training programs. **NOTE:** NABCEP recommends that applicants consider training courses accredited by IREC, or taught by instructors certified by IREC. Please visit www.IRECusa.org for full course listings;
3. Apprenticeship training programs recognized by the U.S. Department of Labor or equivalent programs, or those recognized by a Canadian government agency;
4. Training programs approved by State or Provincial Contractor Licensing Boards; and,
5. Vocational technical training programs.

Although additional training is not required for Qualifying Categories C through G, NABCEP strongly encourages training in all aspects of the PV Technical Sales Professional Job Task Analysis. Such training may assist applicants in achieving a passing score on the PV Technical Sales Professional Certification Examination.

5.6 Documenting Training

Following is a list of documents and materials that an applicant must submit with his/her PV Technical Sales Professional Certification Application:

A. Applicants applying under Qualifying Categories A and B

- Copies of certificates of completion for each training program AND,
- If the title of the course does not specify a subject matter specifically related to the PV Technical Sales Professional Job Task Analysis, NABCEP requires a signed letter from the training program instructor(s) or educational program administrator(s) identifying the specific aspects of the PV Technical Sales Professional Job Task Analysis covered by the training and number of contacts hours spent covering those subjects.

B. Applicants applying under Qualifying Categories C and D

- A copy of the official diploma and academic transcript from an accredited educational institution.

C. Applicants applying under Qualifying Categories A, B, C, E, or F

- Applicants must identify the professional credential, certificate, and/or occupational license held

as satisfying the applicable certification eligibility Qualifying Category AND,

- Copies of the credential certificate or license indicating current, active status as a credential holder or licensee in good standing.

5.7 NABCEP PV Associate Examination Requirement

Qualifying Categories A, B, C, and F require an applicant to successfully pass the NABCEP PV Associate Examination, which demonstrates a basic understanding of PV system design and installation. The NABCEP PV Associate Examination is not a certification exam.

Training courses directly related to preparation for the NABCEP PV Associate Examination will not count towards the requisite cumulative training hours for Qualifying Categories A and B unless subjects identified in the PV Technical Sales Professional Job Task Analysis (JTA) are covered by such courses. In order for such training coursework to be accepted by NABCEP, the applicant must submit documentation signed by the course instructor or program administrator detailing the material covered and time spent covering PV Technical Sales JTA subjects.

For information concerning the NABCEP PV Associate Examination and for the complete list of all current, registered NABCEP Associate Providers, please visit the NABCEP website, located at: www.nabcep.org/entry-level-program-2/for-students.

5.8 Documenting Licensure

If a license 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 Small Wind Installer Certification Requirements

6.1 The Small Wind Certified Installer

The NABCEP Board of Directors indefinitely suspended the administration of the NABCEP Small Wind Installer Certification Examination as of September 2012. As such, NABCEP is no longer accepting new applications for the Small Wind Installer Certification.

Existing Small Wind Installers Certificants will have their Certification remain active. Small Wind Installer Certifications will be valid and recognized as long as each Certificant continues to meet the terms of certification and recertification. These terms include: continuing practice in the field; attaining a minimum number of continuing education hours; and, submitting recertification applications on a three year cycle. Small Wind Installer Certificants will continue to be listed on the NABCEP Certificant Registry.

7 Application for Certification

7.1 Application Process

To apply for any of NABCEP's certifications, and qualify to take each certification examination, an Applicant must complete an application and submit supporting documentation that verifies that they meet the minimum education and experience eligibility requirements for that certification. 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.
- 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 online. An additional fee of \$50 will be charged for all applications submitted in hardcopy, paper form. This fee is to cover the staff time for completing the online application for Applicant utilizing the information provided in the paper application. All applications are maintained in the online system, whether originally submitted electronically or in hardcopy.
- 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 select their examination location and pay the Examination (or Re-Examination) fee using the exam scheduling function of the online myNABCEP system. **Being accepted to sit for the Exam does not mean that the Candidate has been scheduled.** Please see Section 8.1 below for details on Exam Scheduling.
- Only Candidates who have scheduled will be sent an examination admission slip with examination reporting instructions. The admission slip will be e-mailed to the address associated with the Candidate's application. E-mails are delivered from mynabcep@nabcep.org. **Candidates should add this address, and any addresses sent from @nabcep.org to their "safe senders" list to help assure successful deliver of important certification related communications from NABCEP.**

7.2 Verification of Employment and Education

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

7.3 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.

7.4 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. This letter will include instructions on how to schedule by the exam scheduling deadline for the examination date that they wish to sit for.

If upon review of an application the Applicant is deemed ineligible, they will be notified and informed of the reason(s) for this finding. The Applicant will be provided with one opportunity to reapply to sit for the exam by correcting the application and resubmitting it for review. If the Applicant is deemed to be ineligible after a second review, the application will be rejected. If the application is rejected, a new application and application fee must be submitted for the Applicant to be considered for certification again. All current eligibility requirements must be met at the time of both original application submission and resubmission.

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).

7.5 Refund Policy

The application fee is non-refundable.

7.6 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.

8 Preparing To Take the Examination

8.1 Scheduling Examination Site & Time

Upon approval of an application for certification, the Candidate will receive an approval letter via the email address associated with their account. The approval letter provides information for scheduling an examination. Exam Scheduling must be completed at (43) forty-three 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 Exams are scheduled. 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 Authorization to Test (ATT) Letter, which they must bring with them to the exam site, along with one government issued photo I.D. The ATT Letter will contain the date, time and location of the examination.

8.2 Exam Content

Each examination consists of seventy (70) equally weighted multiple-choice questions, with four (4) choices per question. Sixty (60) of the questions are scored and ten (10) of the questions are un-scored pilot questions. The pilot questions are randomly distributed throughout the examination and are not identified.

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 Analyses have been conducted to assure that the content of the examination reflects the tasks and knowledge required of the practitioner. 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 and Solar Heating 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.

8.3 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 make this request at the time of exam scheduling. 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.

8.4 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.

9 Taking the Examination

9.1 Admission to the Examination

At least two weeks prior to the exam, Candidates will receive an Authorization to Test (ATT) Letter, which they must bring with them to the exam site. The ATT Letter will include the date, time and location of the examination.

Candidates sitting for the PV Installation Professional Exam or PV Technical Sales Exam will receive their Admission Slip via the email address associated with their my.nabcep.org account. These Candidates should add mynabcep@nabcep.org to their safe sender list to avoid having important emails sent to a junk/spam folder. If you do not receive your ATT letter at least two weeks before the exam, you may print your own copy by logging into your account at my.nabcep.org and selecting your exam date under the heading "Authorization to Test Letter."

Candidates sitting for the Solar Heating Installer Exam will receive their ATT letter from the email address: applications@nabcep.org. This address should be added to candidate's safe sender list to avoid being sent to a junk/spam folder. If you do not receive your ATT letter at least two weeks prior to the exam, please contact NABCEP to obtain a copy.

In addition, the Candidate **MUST SHOW A CURRENT PHOTO I.D. THAT EXACTLY MATCHES THE NAME ON THE ATT LETTER 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.

9.2 What to Bring to the Exam

All materials required to take the examination will be provided for each Candidate at the test site, including:

1. 2014 National Electrical Code, NFPA 70 (PV Installation Professional Exam only)
2. Calculator - a Casio fx260 or a similar model (all exams)
3. Two #2 pencils (all exams)
4. Scratch Paper

All materials will be returned to the Proctor at the end of the exam, where they will be inspected. No changes should 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.

No food or drink 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.

9.3 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.
- Water bottles, beverages or food of any kind.

- 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.

9.4 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.

9.5 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.

9.6 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.

10 Examination Administrative Policies

10.1 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 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.
- 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.

10.2 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.

10.3 Late Arrivals

Candidates are encouraged to arrive at least sixty (60) 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 Candidates 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 below and he/she successfully files for an exception).

10.4 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.

10.5 Exam Location Change

Candidates who have already scheduled and paid for their exam may find they need to change the location of their test that they have selected. Candidates may change their selected exam location up until 30 days prior to the scheduled exam for no fee. NABCEP will attempt to accommodate location changes requested within 30 days of the scheduled examination; however, location changes cannot be guaranteed within 30 days of the

examination. To attempt to change the selected exam location within 30 days of the exam, Candidates should contact the Applications Coordinator by phone or email at: 518-631-2751 or kcasey@nabcep.org. An Examination Location Change Fee of \$50.00 will be charged if a location change is able to be processed within 30 days of the exam, and a new ATT letter will be sent to the Candidate.

10.6 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. Appearing to the examination site late (see Section 10.3), is considered a Failure to Appear.

10.7 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.

11 Scoring and Grade Notification

11.1 Pre-Test Exam Questions

All of NABCEP's Certification Examinations may contain a 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.

11.2 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.

11.3 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 score on the NABCEP PV Installation Professional Certification Examination.

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

A scaled score of 75 is required to achieve a passing score on the NABCEP PV Technical Sales Professional Certification Examination.

11.4 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 or by email.

11.5 Contents of the Score Report

Candidates who fail the exam will receive their scaled score for the full exam and for each major content domain. For a definition of a scaled score, see Section 11.2 for Scoring Procedures. NABCEP provides domain level scores to candidates who do not pass the examination. NABCEP believes that this information can be helpful in identifying areas where a candidate may need more education and/or experience in order to pass the overall examination; however, it must be noted that **individual performance in each domain should be interpreted very cautiously**. Because there are fewer questions in each domain than on the overall exam, **domain-level performance is less reliable than the total scaled score**. Some domains may only have three or four questions, and it is not possible to report how difficult or easy any of these questions may have been compared to others.

When retaking the certification examination, it is important to prepare for questions in all of the domains and tasks outlined in the JTA. A candidate who neglects to study or practice tasks in the domains in which their performance was strongest could result in worse performance on those domains when taking a different version of the examination. Candidates must achieve a passing score on the full examination during a single attempt. Domain level scores may not be combined together from multiple examination attempts in order to obtain a passing score.

Candidates who pass the certification exam will not receive any score information in their results letter.

11.6 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.

11.7 Challenging Examination Results

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* (See Appendix V: Forms) with the requisite fee of \$50.00. All such requests must be sent to NABCEP as directed in the application.

After the hand graded score has been provided, 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 16 and the Appeals Procedure in Appendix II)

11.8 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 7.6). For each subsequent attempt, Candidates will be required to pay a re-examination fee of \$275. 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 10.6).

11.9 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 10.4)

12 Certification Status

12.1 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, Appendix III). Certificants will receive a frameable certificate and information on maintaining the credential through the Recertification Program when they are notified of their successful certification.

12.2 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, stationary, 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.

12.3 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.

12.4 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.

13 Recertification

13.1 Introduction

NABCEP sponsors and administers a rigorous, examination-based, professional certification programs. 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.

13.1.1 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.

13.1.2 Basic Requirements for Recertification

To become recertified, a NABCEP Certificant must document relevant work experience and at least 18 contact hours of continuing education over the course of their 3-year certification cycle. 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.

The requirements specific for each certification can be found below in Section 13.2 for the PV Installation Professional Certification, Section 13.3 for Solar Heating Installer, Section 13.4 for PV Technical Sales Professional and Section 13.5 for Small Wind Installer.

As an alternative to meeting continuing education requirements for any certification, 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.

13.1.3 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.

13.1.4 Application Time Line

Certificants are encouraged to file a Recertification Application and pay a \$390 Recertification Fee at least ninety (90) days prior to the expiration of their certification. Certificants who fail to recertify before their certification expires will be required to pay a Certification Renewal Fee in addition to the Recertification Fee.

Expired Certificants may renew their certification at any time within three years following their certification expiration date. During this time, the certificant is NOT certified by NABCEP nor may claim to be so. Expired Certificants are removed from the Certified Locator directory immediately upon expiration of the certification. During this certification renewal period, an individual will be permitted to recertify without having to re-apply or re-exam. Once the three year certification renewal period has ended, expired certificants must reapply and re-exam in order to become certified again.

Individuals recertifying within the first year following the expiration date will be required to pay a Certification Renewal Fee of \$50 in addition to the Recertification Fee. Those recertifying during the second or third year following their certification expiration date will be required to pay a Certification Renewal Fee of \$100 in addition to the Recertification Fee.

The Certificant's expiration date will not change depending on at what point in the renewal cycle the individual meets recertification requirements. Certificants renewing within the first, second, or third year of the renewal period, or prior to expiration, will all have their new expiration date set as three years from the previous expiration date.

13.1.5 Application Process

Certificants must log in to their account to recertify on-line and pay the recertification fee through NABCEP's secure on-line merchant account at my.nabcep.org. Certificants email address and password are required to log in. If a certificant forgot his/her information please first use the "forgot password" option on the log in screen. If you continue to have trouble accessing your account, please contact the NABCEP office. Certificants may also submit a recertification application via hardcopy.

The recertification application must include documentation of training certificates (for continuing education) and permit or inspection records (for installation experience). The documents should be uploaded directly into the recertification application for review.

13.1.6 Notification of Recertification Acceptance

After the application is reviewed by NABCEP Staff, Applicants will receive a confirmation e-mail 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 an e-mail stating why the Application was not accepted. Certificants 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)

13.2 PV Installation Professional Recertification Requirements

Consistent with the terms of this policy, NABCEP Certified PV Installation Professionals must satisfy the following requirements in order to recertify.

13.2.1 Installation Requirements

To maintain certification, the Certified PV Installation Professional must document that they had a decision-making role on the installation of three (3) Qualifying PV Installation Systems over the course of the three-year certification period.

13.2.2 Definition of a Qualifying PV Installation System

The system installations required for recertification must meet the same minimum requirements as those for initial certification eligibility. See Section 3 for specific requirements.

13.2.3 Documenting 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 for specific requirements.

13.2.4 Continuing Education Requirements for PV Installation Professional 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 Installation Professional 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.

13.3 Solar Heating Installer Recertification Requirements

Consistent with the terms of this policy, NABCEP Certified Solar Heating Installers must satisfy the following requirements in order to recertify.

13.3.1 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.

13.3.2 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 for specific requirements.

13.3.3 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 4.4.2 for specific requirements.

13.3.4 Continuing Education Requirements for Solar Heating Installer 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 Installer references listed on the NABCEP website (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.

13.4 PV Technical Sales Professional Recertification Requirements

Consistent with the terms of this policy, NABCEP Certified PV Technical Sales Professionals must satisfy the following requirements in order to recertify.

13.4.1 Requirements

To maintain certification, the certified PV Technical Sales professional must document the sale of six (6) Qualifying PV systems over the course of the three-year certification period and 18 hours of Continuing Education.

13.4.2 Definition of a Qualifying PV Installation System

The Certified PV Technical Sales Professional must be engaging in the sale and/or design of PV Installation systems, including but not limited to, individuals employed as sales managers, site analysts, system designers, technical support personnel, and project finance analysts and submit appropriate documentation as specified below. At least 3 of the 6 PV systems must be 2 kW DC (peak) or larger and at least two (2) installations must be grid connected.

13.4.3 Documenting the Sale of a Qualifying PV Installation System

Sales proposals submitted for recertification must meet the same documentation requirements as those for initial eligibility for the certification to qualify. See Section 5 for specific requirements.

13.4.4 Continuing Education Requirements for PV Technical Sales Professional Recertification

To fulfill their continuing education requirements, NABCEP Certified PV Technical Sales Professionals must meet the following specific continuing education requirements:

- At least 12 contact hours of technical training related to the most recent version of the NABCEP PV Technical Sales Professional Job Task Analysis;
- 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.

13.5 Small Wind Installer Recertification Requirements

Consistent with the terms of this policy, NABCEP Certified Small Wind Installers must satisfy the following requirements in order to recertify.

13.5.1 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.

13.5.2 Definition of a Qualifying Small Wind System

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 three (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.

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.

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

13.5.3 Documenting Small Wind System Installations

Copies of permit and inspection certificates for the qualifying small wind system are required. If the Applicant was named on the permit/inspection document(s) then no additional documentation is needed to verify that

he/she held a decision making role. To document that the Applicant who is not named on the permit/inspection document(s) did hold a decision making role during the design, project management, installation, and/or commissioning/quality assurance process, the Applicant must submit one of the following:

- A. A signed letter on letterhead from the person, or a member of senior management from the company, that is named on the permit/inspection document(s). The letter must clearly explain the role(s) and the decision making authority that the Applicant held for the system design, project management, installation, and/or commissioning/quality assurance process for the system installation; **OR**
- B. Design plans and/or line drawings that identify the Applicant as being responsible for the design; **OR**
- C. A commissioning or quality assurance report that identifies the Applicant as being responsible for the system commissioning or quality assurance process.

13.5.4 Continuing Education Requirements for Small Wind Installer Recertification

NABCEP Certified Small Wind Installers are required to satisfy the following specific continuing education requirements:

- At least 12 contact hours of technical Small Wind Installer 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 and safety.
- An additional 6 contact hours of instruction related to Small Wind installation that may be technical or non-technical.

13.6 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 required to attach documentation 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, an employer letter, or other documentation.

13.7 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.

13.8 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 > 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.

13.9 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 below 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.

13.9.1 Criteria and Allowance for Teaching Credits

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

- The course must be offered through an organization that would meet the education requirements for initial certification
- The content of the course must be limited to the content subjects in line with the Continuing Education requirements specific to recertification
- 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.

13.9.2 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.

13.9.3 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.

13.10 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.

13.11 General Recertification Guidelines

13.11.1 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.

13.11.2 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.

13.11.3 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.

13.11.4 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.

13.12 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:

13.12.1 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.

13.12.2 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.

13.12.3 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.

14 Voluntary, Optional Changes in Certification Status

14.1 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.

14.1.1 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.

14.1.2 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.

14.1.3 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.

14.1.4 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.

14.1.5 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.

14.1.6 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.

14.1.7 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.

15 Confidentiality

15.1 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 Applicant's 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.

15.2 Confidentiality of Scores

Individual Candidate scores shall remain confidential (see Section 11.6), unless a Candidate agrees in writing to release his/her score to specific authorities, such as a state board of licensure.

15.3 Certificant Registry

NABCEP will maintain a Certificant Registry as a free benefit for Certificants and the public. The Certificant Registry will contain the name and professional contact information of Certificants. This database will be made available in a secure, online format, free of charge.

16 Grievances & Appeals

16.1 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.

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

16.2 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 Applicant, 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 Applicant, Candidate, or Certificant wants to submit in support of the appeal.

16.3 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).

17 Contacting NABCEP

17.1 Obtain Information and Ask Questions

Please contact the Board office at (800) 654-0021, or visit our website at 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

17.2 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.

17.3 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 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 Candidates and Certificants 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 Candidate or Certificant 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 Candidates and Certificants. 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: NABCEP 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:

"NABCEP Certified PV Installation Professional"

"NABCEP Certified PV Technical Sales Professional"

"NABCEP Certified Solar Heating Installer"

"NABCEP Certified Small Wind Installer"

1. Policy Purposes

The "NABCEP Certified PV Installation Professional", "NABCEP Certified PV Technical Sales Professional", "NABCEP Certified Solar Heating Installer", "NABCEP Certified Small Wind Installer", and accompanying design trademark, certification mark and credential (the Mark) is owned and controlled by the North American Board of Certified Energy Practitioners (NABCEP) and its Board of Directors. The NABCEP Board grants the Mark 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 installation, solar photovoltaic technical sales, solar heating installation, or small wind installation, 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, but not limited to, telephone directory listings or advertisements, business cards, letterhead, brochures, signs, stationary, packages, websites, 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 "TM" 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 Installation Professional" without the design, or "NABCEP Certified Solar PV Installation Professional" without the design. Such uses must always appear with the superscript "TM" symbol, and should NOT on the same line 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. The proper font for the certificant's name and/or certification number is "Arial Bold," in a font size such that the text is proportional to, or slightly smaller than, the text in the design mark.



Proper use of Mark without design:

John Doe

NABCEP Certified PV Installation Professional™

Jane Doe

North American Board of Certified Energy Practitioners 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 PV Technical Sales Professional™

Jane Doe, NABCEP Certified Solar Heating Installer™

John Doe
Certified PV Installation Professional

Jane Doe
NABCEP Certified

- E. Other Requirements. Incorporation of the Mark with the marks, designations, or logos related to other credentials, groups, or organizations are 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. 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.

B. 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. 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.

B. 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, B above.

Appendix V: Forms

Sample 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



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SAMPLE EXAM SCHEDULING FORM

SOLAR HEATING INSTALLER CANDIDATES ARE PROVIDED WITH FORM WHEN APPROVED TO TAKE THE EXAMINATION. FORM IS DUE WITH PAYMENT BY THE EXAM SCHEDULING DEADLINE.

Please type or print all information clearly.

1. IDENTIFICATION INFORMATION

Last Name	First	Middle	Suffix
Current Mailing Address: 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 1st and 2nd choice of exam location:

<input type="checkbox"/> Spring 2014	<input type="checkbox"/> Solar Heating Installer
<input type="checkbox"/> Fall 2014	
<input type="checkbox"/>	

<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

Exam seating may be limited, and NABCEP will schedule Applicants on a first-come, first-paid basis.

3. FEES (check one)

☐ \$375 First time exam fee \$275 for 2nd ☐ 3rd ☐ or 4th ☐ time taking the exam

- ☐ Check or money order payable to NABCEP.
- ☐ Credit card payments may only be taken over the phone. Please call the NABCEP office at 800-654-0021 to process any visa, mastercard, or amex credit card payments.

4. Special Accommodations

Are you requesting special testing accommodations? Yes ☐ No ☐

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 please refer to the *Candidate Information Handbook*.

Send Exam Scheduling form and Payment to:

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

Phone: (800) 654-0021 • Fax: (518) 899-1092

applications@nabcep.org



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PAYMENT REMITTANCE FORM

Please fill in the following boxes **EXACTLY** as shown on your **credit card billing statement**. Illegible, incomplete or missing information will delay or prevent processing.

1. IDENTIFICATION INFORMATION			
Last Name or Company Name on Card	First	Middle	Suffix
Credit Card Billing Address: Street Address or P.O. Box			
Address line 2			
City	State	Zip Code	Country
Phone Number	E-Mail Address		
2. Certification Type			
This regards certification in: <input type="checkbox"/> PV Installation Professional <input type="checkbox"/> Solar Heating Installer <input type="checkbox"/> Small Wind Installer <input type="checkbox"/> PV Technical Sales			
3. FEES (check one)			
<input type="checkbox"/> \$125 Application Fee (electronic submission)	<input type="checkbox"/> \$175 Application Fee (hardcopy submission)		
<input type="checkbox"/> \$375 Exam Fee (first time examination)	<input type="checkbox"/> \$275 Exam Fee (examination retake)		
<input type="checkbox"/> \$390 Recertification Application fee	<input type="checkbox"/> \$50 or \$100 Certification Renewal Fee		
<input type="checkbox"/> \$50 Exam Location Change Fee	<input type="checkbox"/> \$25 Duplicate Document fee		
<input type="checkbox"/> Check or money order payable to NABCEP			
<input type="checkbox"/> Credit card payments may only be taken over the phone. Please call the NABCEP office at 800-654-0021 to process any visa, mastercard, or amex credit card payments.			
4. Signature and Date			
I affirm that the information I have provided in this form is correct and I authorize NABCEP to proceed with the above credit card charge.			
Signature: _____		Date: _____	
Please send Payment Remittance Form to: NABCEP 56 Clifton Country Road, Suite 202, Clifton Park, NY, 12065 Fax: (518) 899-1092 Email: applications@nabcep.org			



SAMPLE EXAMINATION CHANGE FORM

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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"/>	Spring 2013	<input type="checkbox"/>	PV Installation Professional
<input type="checkbox"/>	Fall 2013	<input type="checkbox"/>	Solar Heating Installer
<input type="checkbox"/>	Spring 2014	<input type="checkbox"/>	PV Technical Sales Professional

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.

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

Send Change of Address or Name Form to:

NABCEP

56 Clifton Country Road

Clifton Park, NY, 12065

Fax: (518) 899-1092

Email: applications@nabcep.org



DUPLICATE DOCUMENT REQUEST FORM

Raising Standards. Promoting Confidence.

Please type or print all information.

1. PERSONAL INFORMATION				
Last Name	First	Middle	Suffix	
Current Mailing Address: Street Address or P.O. Box				
Address line 2				
City	State	Zip Code	Country	
Primary Phone Number		E-Mail Address (optional)		
NABCEP Certification Number				
Has your address or name changed since you applied for eligibility to sit for the NABCEP exam? 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				
Each Duplicate Document: \$25.00 <i>Please enclose one of the following methods of payment with your application as shown below:</i> ____ Check or money order payable to NABCEP ____ Credit card payments may only be taken over the phone. Please call the NABCEP office at 800-654-0021 to process any visa, mastercard, or amex credit card payments.				
Send Duplicate Document Request Form to: <div style="text-align: center;">NABCEP 56 Clifton Country Road, Suite 202 Clifton Park, NY, 12065 Fax: (518) 899-1092, Email: info@nabcep.org Please allow 6-8 weeks for delivery of new certificate.</div>				



HAND GRADE of ANSWER SHEET REQUEST FORM

Raising Standards. Promoting Confidence.

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): ☐ PV Installation Professional ☐ Solar Heating Installer
☐ PV Technical Sales Professional

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**
- ☐ Credit card payments may only be taken over the phone. Please call the NABCEP office at 800-654-0021 to process any visa, mastercard, or amex credit card payments.

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.

NABCEP[™] SPECIAL ACCOMMODATIONS REQUEST FORM

Raising Standards. Promoting Confidence.

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:

- ☐ PV Installation Professional
- ☐ Solar Heating Installer
- ☐ PV Technical Sales Professional

Please type or print all information clearly

1. Personal Information		
Name: Last	First	Middle Initial
Phone Number:	Anticipated Exam Date:	
Email Address:	Anticipated Exam Site:	
2. Reason for Request		
I am requesting an exam accommodation due to: a disability <input type="checkbox"/> a religious observance <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		
<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 <input type="checkbox"/> No <input type="checkbox"/>		
<i>If you have ever received special accommodation please provide the following information</i>		
Year of accommodation	Type of accommodation	Name of institution/organization that provided accommodation
5. Documentation of Need for Accommodation		
<p>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.</p> <p>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.</p>		
Documentation from a healthcare professional is attached: Yes <input type="checkbox"/> No <input type="checkbox"/>		
Documentation from a religious authority is attached: Yes <input type="checkbox"/> No <input type="checkbox"/>		
5. Signature		
I attest that the information contained in this document or attached to it is true and correct.		
<div style="display: flex; justify-content: space-between;"> Signature: _____ Date: _____ </div>		