

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 and Credential holder 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 or Credential holder 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 or Credential holder 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 or Credential holder 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 or Credential holder 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 or Credential holder 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, Certificant or Credential holder. 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 or Credential holder 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, Certificant or Credential holder 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, Certificant or Credential holder 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 the Policy.