

# IREC

# CANDIDATE HANDBOOK



# **IREC Candidate Handbook**

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## INTRODUCTION

IREC is an ANSI-accredited Standards Developer and the sole owner of IREC Standard 01023: *General Requirements for the Accreditation of Clean Energy Technology Training*, IREC Standard 01024: *General Requirements for the Certification of Clean Energy Technology Instructors and Master Trainers*, and IREC Standard 14732: *General Requirements for the Accreditation of Clean Energy Certificate Programs*.

### **Purpose of this Document**

The Candidate Handbook is provided as a reference to the candidate as they prepare for and undergo the assessment process and maintain their credential. Along with this document, the candidate may find useful the following reference documents available on the IREC website:

#### **Guidance Documents**

- All About Assessments: Guidance for Applicants for the IREC Credential
- Basic Guidelines for Training Curriculum
- Job Task Analysis Guidance Document

#### **Application Forms**

- Training Providers
- Certificate Programs
- Instructors
- Master Trainers

#### **Standards**

- IREC Standard 01023 for Training Providers
- IREC Standard 01024 for Instructors and Master Trainers
- IREC Standard 14732 for Certificate Programs

For your reference, terms in **bolded blue text** are defined in the terminology section of the Handbook.

## THE VALUE OF THE IREC CREDENTIAL



An IREC credential is a nationally-recognized mark of quality training in the clean energy industry. Students, employers, funders and other stakeholders look for the IREC mark to find high quality, safe training that is aligned with industry needs.

Organizations and individuals who have attained the IREC credential can use the IREC mark in promotional and outreach materials to stand out in an increasingly chaotic marketplace.

An ANSI-accredited standards developer, IREC produces the standards upon which our clean energy credentials are based in cooperation with industry stakeholders, **including IREC credential holders**. Requirements for linkage with industry and job-focused training are gaining increased recognition at a national level as best practices for training standards for the clean energy industry and beyond.

In addition, credential holders consistently report that there was great value to the application and assessment process itself. Through the process of performing a self-assessment and making improvements to the training to meet the high-quality benchmark of an IREC standard, an organization or individual increases the quality of their training; a benefit to our entire industry.

Credential holders share the IREC philosophy that continuous improvement and collaboration with industry stakeholders benefit us all and foster the growth of the clean energy workforce.

## WHICH CREDENTIAL?

### Accreditation vs. Certification



**Certificate Program or Training Provider Accreditation is for organizations** that offer job-related training in clean energy technologies. Accredited Certificate Programs and Training Providers are legal entities (or part of a legal entity) with curricula that addresses one or more IREC-accepted job task analyses. Accreditation is specific to the **courses** which address the **job task analysis** under which they are awarded.

Accredited Training Providers may address clean energy topics as a distinct program (for example, “PV Design and Installation”) or as part of a larger, more general program (“Electrical Applications”).

Accredited Certificate Programs and Training Providers may own and maintain training facilities or may not, but all facilities used must meet the requirements of the Standard.

Accredited Certificate Programs and Training Providers use an IREC mark (see Appendix 1) in association with the courses included in the scope of their accreditation. The mark is intended to be used to promote a credential holder’s accredited offerings to potential students and to demonstrate to other stakeholders that training is of high quality and aligned with industry needs.

The accreditation applicant does not have to demonstrate that it has IREC certified personnel in order to apply for accreditation. However, there are requirements in the IREC standards specific to training-related personnel.

The IREC mark is not intended, nor permitted, to be used in association with training that has not been reviewed and accredited by IREC. An organization wishing to claim an IREC credential for their training must apply for and be awarded accreditation.

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*The IREC mark is not intended, nor permitted, to be used in association with training that has not been reviewed and accredited by IREC.*

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**Master Trainer or Instructor Certification is for individuals** actively engaged in teaching topics from one or more IREC-accepted job task analyses for the clean energy industry. The individual may be employed or under contract with a single training organization or teach for multiple organizations.

Certified Master Trainers or Instructors use the IREC mark ([see Appendix 1](#)) on their resume, business cards and other materials to demonstrate that they deliver high-quality training for the clean energy industry. They carry this certification regardless of where or for whom they teach. Certification belongs to an individual and is always claimed in association with the individual’s name and specific technology(s) taught (for example, Janet Jackson, IREC Certified Instructor for Energy Auditor).

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*Organizations that employ or contract with IREC Certified Master Trainers and Instructors may not in any way suggest that the organization or the training is certified, accredited or in any way endorsed by IREC.*

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## ELIGIBILITY REQUIREMENTS

### IREC Accredited Training Provider

In order to become accredited as a Training Provider, organizations must demonstrate through the application and assessment process that they meet all applicable requirements of IREC Standard 01023. This includes offering a **curriculum** that covers **in full** one or more IREC-accepted job task analyses (JTA). In order to be accredited, the training provider's curriculum must align with the most recent version of the applicable JTA or partial JTA.

Before applying as a Training Provider, confirm the following:

- ✓ Training provider is a legal entity
- ✓ Training prepares students for a defined job
- ✓ The Training Program has been delivered in its entirety at least once, including assessment and program evaluation
- ✓ Curricula covers topics from one or more **IREC-accepted job task analyses\***
- ✓ Training provider complies with all applicable Credentialing Program policies detailed in this Handbook.

\* See process for having your [JTA accepted by IREC](#)

### IREC Accredited Certificate Program

In order to become accredited as a Certificate Program, organizations must demonstrate through the application and assessment process that they meet all applicable requirements of IREC Standard 14732. This includes offering a market-valued certificate that covers one or more IREC-accepted job task analyses (JTA), and was developed in accordance with a **systematic program plan**. In order to be accredited, the program's curriculum must align with the most recent version of the applicable JTA.

Before applying as a Certificate Program, confirm the following:

- ✓ Certificate program is housed within a legal entity
- ✓ Training prepares students for a defined job
- ✓ Certificate program has been delivered in its entirety at least once, including assessment and program evaluation
- ✓ Curricula covers topics from one or more **IREC-accepted job task analyses\***
- ✓ A certificate is issued to individuals who fulfill the certificate program's published requirements
- ✓ The program is developed in accordance with a documented **systematic program plan**
- ✓ Certificate program complies with all applicable Credentialing Program policies detailed in this Handbook.

To receive either IREC Certificate Program or Training Provider Accreditation for specified courses that address a specific job task analysis, the candidate must provide sufficient evidence that program graduates will have the necessary knowledge and skills to perform successfully on the job. In most cases and for most job categories, training providers would need to ensure that entering students have specific background and experience to meet well-defined prerequisite requirements. For example, some

training providers require entering students to be licensed electricians for PV (photovoltaic) installer training, others require entering students to be licensed plumbers for solar thermal installer training. Basic math skills may be required for an energy auditor program, while energy auditor training may be a prerequisite to quality control inspector training. Depending on the job category and associated prerequisite requirements, the length of training required for accreditation may range from one week to several months to several years.

## **Auxiliary Sites**

For the purposes of this policy, “auxiliary sites” are sites that are regularly used by the applicant for hosting accredited training courses and with which the Provider has an established legal relationship. “Auxiliary sites” do not have their own course administration, nor do they operate with any degree of autonomy from the Provider. Another term for this kind of site might be a “branch.”

Auxiliary sites should be declared within the application. The candidate should demonstrate in its responses throughout the application that auxiliary sites meet the requirements of the IREC standards.

If an auxiliary site is added by the credential holder after it has achieved the IREC credential, the credential holder must inform IREC at the time of the annual report of the addition of the site and should describe how the site meets the facilities requirements and how the other applicable requirements of the standard are applied at the new site.

The credential holder may not claim the IREC credential and use the IREC Credentialing marks for auxiliary sites without first informing IREC that the site(s) exist assuring that the facility meets the requirements of the standard.

## **Affiliate Programs**

In some cases, Accredited Certificate Programs or Training Providers may develop or may be engaged in “affiliate” relationships with other programs. “Affiliate” programs are defined as educational programs that enjoy a legal connection through licensing to a parent (principal) program or organization, or through a national or regional organizational membership. Affiliate training bodies must share a common curriculum and must operate under agreements to honor the training and quality standards of the parent program, organization, or organizational membership.

The main or principal program may apply for accreditation in affiliation with other affiliate programs. In this case, the principal program must demonstrate in its application that all the affiliate programs meet the requirements in the IREC standards. If any one of the affiliate programs fails to maintain the standard, both the non-compliant affiliate organization and the principal program would be subject to revocation of their accreditation status.

The application for accreditation for affiliate programs is required to include:

- nature of the affiliation
- rules for administration, management and quality that are shared by principal program and affiliates

- signed testaments from the administrators of the principal and each affiliate program acknowledging their understanding of and adherence to the standard
- signed Code of Ethics, Ethics Representations and Agreement and Release Authorization from each program administrator

Candidates applying with affiliate programs pay the base application fee and \$500 for each additional affiliate program per principal application. See Program Fees.

IREC reserves the right to determine when the affiliate application method is acceptable. IREC also reserves the right to request documentation from affiliate partners and may require an on-site assessment at any or all of the affiliate partners, with the costs of the on-site assessments to be borne by the candidate.

### **Eligibility Issues**

All challenges regarding actions of, and by, the IREC Credentialing Program are governed by the IREC Procedures to Resolve Challenges and Complaints Related to Credentialing Eligibility and Irregularities ([Appendix 2](#)). These appeals procedures are the only way to resolve all IREC Credentialing Program application, eligibility, and other credentialing or certification/accreditation renewal challenges, complaints, and/or claims of irregularities.

## IREC Certified Instructor and Master Trainer

IREC certification as Instructor or Master Trainer indicates a breadth and depth of experience that the individual brings with them wherever they teach. ***Affiliation with an IREC Accredited Certificate Program or Training Provider is not required in order to apply for or maintain certification.*** To become certified as an Instructor or Master Trainer, a candidate must demonstrate through the application and assessment process that s/he meets all applicable requirements of IREC Standard 01024. This includes teaching topics from one or more IREC-accepted job task analyses.

IREC Certified Instructor	IREC Certified Master Trainer
<p>Before applying as an Instructor, confirm the following:</p> <ul style="list-style-type: none"> <li>✓ Teach topics from one or more IREC-accepted job task analyses</li> <li>✓ Minimum technology-specific experience required in last five years               <ul style="list-style-type: none"> <li>○ 80 hours classroom teaching</li> <li>○ 40 hours hands-on / lab teaching</li> <li>○ 30 hours continuing education</li> </ul> </li> <li>✓ Minimum 1000 hours (or half a year) practical in-field experience</li> <li>✓ Comply with all applicable Credentialing Program policies detailed in this Handbook</li> <li>✓ Produce third-party documentation of the experience above</li> </ul>	<p>Before applying as a Master Trainer, confirm the following:</p> <ul style="list-style-type: none"> <li>✓ Teach topics from one or more IREC-accepted job task analyses</li> <li>✓ Minimum technology-specific experience required in last five years               <ul style="list-style-type: none"> <li>○ 240 hours classroom teaching</li> <li>○ 100 hours hands-on / lab teaching</li> <li>○ 30 hours continuing education</li> <li>○ 12 hours training trainers</li> </ul> </li> <li>✓ Minimum 2000 hours (or one year) practical in-field experience</li> <li>✓ 32 hours instructional design and development</li> <li>✓ 60 hours training in education</li> <li>✓ Current professional industry-recognized credential, or license</li> <li>✓ Comply with all applicable Credentialing Program policies detailed in this Handbook</li> <li>✓ Produce third-party documentation of the experience above</li> </ul>

## Hours of Documented Experience

The candidate must provide documentation of contact hours of actual teaching, educational and practical experience. Specific requirements are described in Section 7 of IREC Standard 01024.

- IREC Certified Master Trainer: minimum **3850 contact hours**
- IREC Certified Instructor: minimum **2380 contact hours**

## Multiple Pathways to Certification

IREC recognizes that individuals working in the clean energy industry bring a considerable diversity in education and experience to the training arena. Therefore the experience requirements set forth in IREC Standard 01024 should allow candidates to demonstrate compliance through multiple pathways.

## ACCEPTANCE OF A JOB TASK ANALYSIS BY IREC

IREC does not restrict the development of a job task analysis to any one organization. Rather, IREC will review and accept a job task analysis (JTA) developed by education, training, and certifying organizations as long as it is consistent with the IREC guidelines shown here:

- The JTA must clearly define the job. More specifically, the overall objective of the training must be clearly stated in terms of what the trained individual should be able to accomplish under given conditions.
- The JTA should identify all of the tasks and subtasks required for competent performance. Inclusion of criticality and frequency of tasks and subtasks is highly recommended.
- The JTA should follow well-accepted procedures for occupational analysis, such as the use of a DACUM (Developing a Curriculum), and include review and validation by subject matter experts (SMEs).
- There is documentation of subject matter experts involved in the development of the JTA, their credentials and the process that was followed to create the job task analysis. The process of developing a job task analysis should include a balanced involvement of interested parties and should provide for impartiality.

Job task analyses already accepted by IREC can be found on the IREC website.

## JTA Acceptance

If an applicable JTA does not exist for a given specialty within a clean energy technology field, candidates are encouraged to participate in the formation of a relevant committee of subject-matter-experts to formulate the needed JTA.

## EMERITUS STATUS

The IREC Credentialing Program offers Emeritus status for IREC Certified Master Trainers or Instructors who no longer teach on a regular basis due to retirement. Certified individuals can voluntarily withdraw their status and continue to promote the fact that an IREC certification was previously held.



### Eligibility

An IREC Certified Master Trainer or Instructor may be eligible for Emeritus status if they are a credential holder in good standing **and have continuously held an IREC certification for at least five years**, but no longer regularly teach due to retirement. Retired credential holders who teach an occasional class may still be eligible.

### Application Process

IREC Certified Master Trainers or Instructors who would like to be considered for Emeritus status should complete the IREC Emeritus Application form in the IREC Direct online system. A one-time administrative fee of \$100 applies. This administrative fee replaces annual maintenance fees paid by an active credential holder.

Following IREC staff review of the Application form to confirm eligibility, the IREC Credentialing Award Committee will consider and make a ruling on the IREC Emeritus Application. Successful candidates will be awarded an IREC Emeritus Certificate.

### Benefits

IREC Emeritus Master Trainers and Instructors will be listed on the IREC website and are permitted to use the IREC Emeritus Master Trainer and Instructor program marks. They may also use the terms “IREC Emeritus Master Trainer” or “IREC Emeritus Instructor” on promotional items or marketing materials. Please see the IREC Trademark and Credentialing Mark Use Policy.

### Restrictions

IREC Emeritus Master Trainers and Instructors cannot advertise, promote or otherwise suggest that they are an IREC Certified Master Trainer or Instructor. The term “Emeritus” must be used at all times. They may not use the IREC Certified Master Trainer or Instructor program marks. Only IREC Emeritus Master Trainer and Instructor program marks may be used.

### Reinstatement of Certification

IREC Emeritus Master Trainers and Instructors can reapply for reinstatement of certified status if they resume teaching on a regular basis. Eligibility requirements apply.

If the term of the original certification is still valid, it may be reinstated without reapplication upon written request to the IREC Credentialing Program. The original expiration date of the award applies.

## PROGRAM FEES

### IREC Credentialing Application Fee and Refund Schedule

Fees can be paid using check or electronically in the IREC Direct online system.

		Refundable IF		
<b>Credential</b>	<b>Fee Due with Application</b>	<b>Candidacy is cancelled prior to Desk Assessor assignment</b>	<b>Additional Fees</b>	<b>Annual Fees Note: A 10% late fee will be assessed if paid after the anniversary date</b>
IREC Accredited Training Provider	\$3,500 base fee (includes one JTA), additional job task analyses \$1,000 each	Up to 80% of initial application fee *	On-site assessment actual travel costs, including assessor time spent on travel**	\$600 per job task analysis
IREC Accredited Certificate Program	\$3,500 base fee (includes one JTA), additional job task analyses \$1,000 each	Up to 80% of initial application fee *	On-site assessment actual travel costs, including assessor time spent on travel	\$600 per job task analysis
IREC Certified Master Trainer and Certified Instructor	\$700 base fee (includes one JTA/technology), additional job task analyses/technologies \$200 each	Up to 80% of initial application fee *	**	\$100 flat fee
Emeritus Status	\$100	Not refundable		N/A

IREC reserves the right to review and adjust fees periodically

\* The refund amount may be reduced, at IREC's discretion, to cover costs incurred in reviewing the application, travel, or other costs.

\*\* Additional fees may be assessed as needed to cover IREC and assessor(s) time requirements and

costs, including spot assessments.

\*\*\* IREC reserves the right to perform spot assessment, and fees will be assessed on a case-by-case basis. Fees include assessor fees plus travel costs, and assessor time spent on travel.

### **How to Pay**

Payments by credit card and check are acceptable. All credentialing payments are now handled through IREC Direct. Upon submission of your completed application form, you will be able to view fee information in IREC Direct and pay using check or credit card.

### **Additional Application Fees**

#### **Multiple Job Task Analyses**

If a candidate for accreditation submits more than one job task analysis as part of a single application, each additional job task analysis adds \$1,000 to the application fee. Candidates for Certified Master Trainer and Instructor pay an additional \$200 per additional JTA for the original application.

### **Staff Time Reimbursement**

The expected time investments on the part of the IREC staff and assessors for a typical candidate review are given in the Process section below. In addition to the routine application fees (listed above), IREC reserves the right to invoice candidates to cover excessive time required to review an incomplete or disorganized application. When an organization or individual requests assistance to resolve an issue or when staff is required to search/research the matter, the organization or individual may also be invoiced to reimburse staff time. If a new assessor is assigned at the candidate's request after an assessment has begun, additional charges may apply.

For time investments above and beyond the expected review times, candidates will be charged in half- and full-day increments as follows:

	Half Day	Full Day
Candidate Charge Rate:	\$350	\$700

**Candidates do not reimburse assessors directly.** IREC will invoice the organization or individual when additional time has been incurred by IREC staff, IREC Registered Assessors, or other third parties working under IREC's direction for the benefit of a candidate.

### **Copy Services**

If the IREC staff must reproduce copies of a candidate's application, addenda, or other paperwork, the

candidate will be billed for the cost at a commercial rate.

### **Travel Expenses**

In addition to the fixed application fee (listed in the chart above), candidates must also reimburse IREC for the travel costs incurred in conjunction with an on-site assessment team visit (when an onsite is required). Reimbursable items include: cost of travel, cost of assessor(s) time spent on travel, lodging expenses and per diem for assessor(s) in accordance with the IREC Travel Policy. Candidates do not reimburse assessor directly.

When an application covers more than one technology or job task analysis, IREC reserves the right to assign more than one assessor. The candidate is responsible for travel costs for all assessors assigned to an application by IREC.

### **Replacement or Additional Certificates**

IREC credential holders may request replacement or additional certificates by contacting IREC and enclosing \$10 per certificate.

### **Late Fees**

All fees are payable within thirty (30) days of the due date. Fees paid after thirty (30) days will be assessed a 10% penalty.

### **Returned Checks**

Returned checks will be charged a 5% penalty (minimum penalty \$25.)

### **Failure to Pay**

Failure of an organization or individual to pay fees, penalties, and evaluation costs within sixty (60) days of the due date will be taken by IREC as conclusive evidence that the organization/individual has voluntarily withdrawn its Candidate, Accredited, or Certified status. IREC will send the organization or individual a letter of revocation requiring the organization or individual to immediately cease claiming IREC Accredited/Certified status and to return the Certificate to IREC.

## **CANCELLATION REFUND POLICY**

If a candidacy is cancelled by IREC or voluntarily withdrawn by the candidate prior to the assignment of an Assessor, part of the Application Fee may be eligible for refund, at IREC's discretion, per the Fee and Refund chart above. The refund amount may be reduced, at IREC's discretion, to cover other costs incurred in processing and reviewing the application.

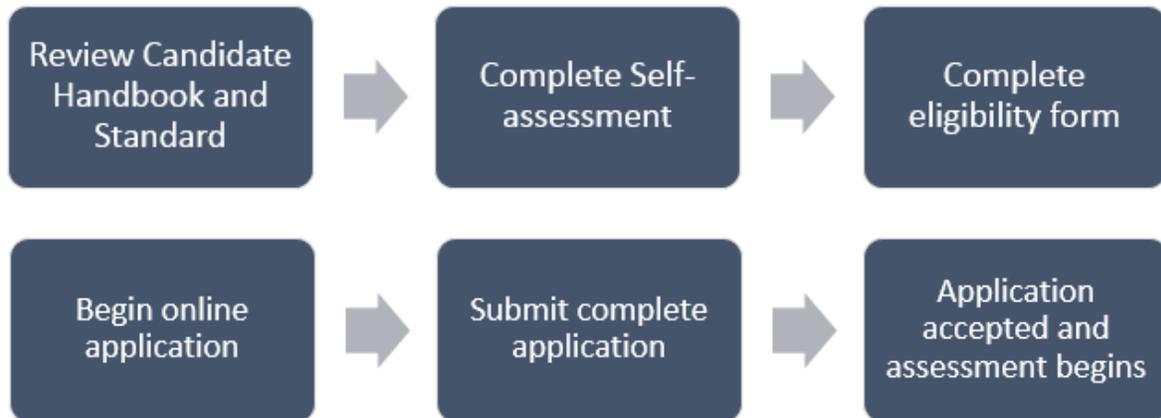
If application fees are received by IREC for an application that is not received by IREC, funds will only be held for up to 30 days before a full refund is issued.

### **Cancelled Assessment Refund Policies**

If an on-site assessment is cancelled after travel plans have been made or after the assessment has begun due to candidate withdrawal or error, IREC will not refund any portion of the candidate application fees. In addition, the candidate will be liable for any travel costs incurred by the assessor(s) and will receive an invoice for the same.

If an on-site assessment is cancelled after travel plans have been made or after the assessment has begun due to assessor or IREC error, or due to weather, natural disaster, or some unforeseen event not controllable or attributable to the candidate, IREC will reimburse the Candidate up to \$700 and may waive travel costs, at IREC's discretion.

## FIRST STEPS IN THE APPLICATION PROCESS



IREC reserves the right to make decisions about the credentialing process which may include waiving parts of the assessment process or adding to the assessment process where justified. OPTIONAL self-assessment materials can be found on [‘How to Apply’](#) page of IREC website.

### Basic Timeline

The assessment, including the on-site assessment if applicable, must be completed within the term of candidacy. **The term of a candidacy is nine (9) months for training provider or certificate program applicants and six (6) months for an instructor or master trainer applicants.** The term of candidacy begins when an application has been deemed materially complete by IREC and the candidate has paid the application fee. If at any time during the assessment process a candidate becomes non-responsive, this may be grounds for termination of the application by IREC. Candidates may request an extension of the term of candidacy by written request to IREC (email acceptable) which must include a reason for the request. IREC reserves the right to not accept requests for an extension of the term of candidacy, or to charge an additional fee for assessor time if the assessment continues.

A desk assessment should start within four (4) weeks of the candidate’s acceptance of the assessor nomination. The entire assessment and review process should conclude within the term of candidacy. **Candidate responsiveness can significantly impact assessment length.**

#### Term of Candidacy:

Accreditation: 9 Months

Certification: 6 Months

### Eligibility Form

All candidates are required to complete an eligibility form corresponding to the relevant credential, which is provided to you by IREC staff or through IREC’s online system, IREC Direct. This form asks that you identify job task analyses to be covered in the application, and walks you through a number of questions designed to determine your eligibility for the relevant credential (see “Eligibility” above). You will also be asked to identify the course names and provide a syllabus for courses which will be included in the scope of your accreditation. The IREC staff will review your Eligibility Form and communicate with

you if there are specific questions regarding eligibility. Once the eligibility determination is made, you will be given access to the relevant application form in IREC Direct.

## **Application**

A candidate will complete the applicable application form in IREC's online system, IREC Direct and submit payment to IREC either via check or credit card. The candidate or an authorized representative of the candidate organization will review, sign and submit as part of the application the IREC Code of Ethics, Ethics Representations and Agreement and Release Authorization. IREC staff will review the application content to ensure it is materially complete and request clarification or additional materials if it is not.

## **Resource Assessment**

When the application is deemed materially complete, IREC will conduct a resource assessment and choose an assessor. A resource assessment verifies that IREC has sufficient resources of knowledge, expertise, time, finances, and assessors to conduct the assessment of the given candidate. If IREC concludes that it does NOT have sufficient resources, it will inform the candidate of the closing of the candidacy and will explain why the Program was not qualified to conduct the accreditation or certification process.

For applications addressing multiple JTAs, IREC reserves the right to nominate more than one assessor.

## **Assessor Nomination**

Upon completion of the resource assessment, IREC will select an assessor within two weeks of application acceptance. The proposed assessor must divulge any conflicts of interest to IREC prior to being nominated to the candidate.

## **Candidate Confirmation of (or Objection to) an Assessor**

Once IREC has confirmed the assessor's availability, it will inform the candidate of the assessor nomination. The candidate has two weeks to confirm the nominated assessor in IREC Direct.

The candidate has an opportunity to object to the assigned assessor if the candidate perceives a **conflict of interest**. The candidate must inform IREC of the objection within two weeks or the appointment stands. If a candidate objects to an assigned assessor, IREC will select another assessor and follow the process again. A second rejection will require a ruling by an ad hoc Grievance Committee on whether to proceed with the candidate's assessment and whom to assign to the process.

## The Desk Assessment

### Receipt of the Application

Once the appointment of the assessor (or team of Assessors, hereinafter referred to as “Assessor”) has been finalized, IREC will provide the Assessor access to the full candidate application. The Assessor will confirm receipt with the candidate and inform them when they anticipate initiating the desk assessment process.

### Desk Assessment

The assigned Assessor will conduct a review of the candidate’s application materials, comparing the application materials to the applicable standard, and verifying that the candidate meets requirements of the standard.

### Iteration: Supplying Supplemental Documentation

In most cases, candidates will have some **nonconformities** or more information or clarification will need to be addressed as part of the desk assessment. The assessor will seek answers to questions and request additional documentation if necessary. All candidate-assessor interaction will be logged through comments in IREC Direct. While assessors must avoid entering into a “consultative” relationship with a candidate, the assessor may seek to resolve minor deficiencies by alerting the candidate to the deficiencies and allowing the candidate to make corrections where practical.

If at any time during the desk assessment process a candidate becomes non-responsive, the candidacy will lapse at the designated anniversary of the submission of a complete application. If an assessor should discover that a candidate has been less than completely honest and accurate in the application materials, the assessor will conclude the desk assessment immediately and notify IREC.

## Communications

Assessors communicate with candidates during the assessment by posting or responding to Comments on the application in IREC Direct.

Candidates receive an email notification of comments or responses logged by your assessor.

Even the most complete applications require some iteration. Be prepared to gather more evidence and documentation as part of the desk assessment process.

## **Conclusion of the Desk Assessment**

Upon completion of the desk assessment the Assessor will enter the necessary information in the desk assessment report form and make one of the following recommendations:

- a) Progression to the On-site assessment (OSA): if OSA is needed or progression to Award if OSA is not needed
- b) Termination: closure of the candidacy because the candidate does not meet the applicable standard
- c) Additional Assessment: An on-site assessment may be conducted if the desk assessment has revealed some serious concerns in the candidate's ability to meet the Standard, and the possibility exists that these concerns are capable of remediation with additional work on the part of the candidate. For example, in rare cases where an on-site assessment is not normally needed for an instructor or a master trainer, the assessor might recommend an on-site assessment instead of immediate award.

The Assessor will include justification for the recommendation.

Candidates for Certificate Program or Training Provider Accreditation undergo an on-site assessment as part of the review process. Candidates will have made every effort to resolve any nonconformities prior to being approved for the on-site assessment.

Instructor and Master Trainer candidates for certification will not usually undergo an on-site assessment. Exceptions will be made at IREC's discretion. IREC reserves the right to perform spot assessments. Travel costs and assessor time spent on travel fees for all on-site assessments are the responsibility of the candidate.

## **Additional Assessment**

In some cases, upon conclusion of the desk assessment the assessor may determine that, while the candidate is not currently in compliance with the applicable standard, compliance may be demonstrated through the submission of additional documentation. In such cases the file will be referred to IREC for determination of whether further documentation will be required / allowed. IREC will decide whether to send the assessor's desk assessment report and cover letter to the IREC Credentialing Award Committee for a ruling or whether to give the assessor approval to proceed directly with additional assessment. This may mean a continuation of the desk assessment or may mean movement to an on-site assessment where one is not normally needed.

The candidate will be expected to bear the additional expense of continued assessment, including the assessor's time, any travel costs, fees for assessor time spent on travel, or other expenses associated with the assessment. IREC will invoice the candidate accordingly, and payment should be received before the assessment process continues.

## **The On-site Assessment**



**CANDIDATES ARE PLEASED TO SHOW OFF THEIR TOP-NOTCH FACILITIES, PROGRAMS, STUDENTS AND INSTRUCTORS DURING THE ON-SITE ASSESSMENT.**

### **Continuation of Assessor**

As mentioned, candidates for Certificate Program and Training Provider Accreditation must submit to an on-site assessment as part of the review process. After receiving approval from IREC, the Assessor will work with the candidate to schedule an on-site assessment barring mitigating circumstances. Mitigating circumstances might include: the Assessor's intention to resign or IREC's intention to re-assign the Assessor.

If for any reason a new Assessor is to be appointed, IREC will follow the procedure for Assessor nomination. Unless there is a need for a change, the Assessor will continue as On-site Assessor.

### **Setting a Date for On-site assessment**

The Assessor will contact the candidate directly to schedule a date for the on-site assessment. The on-site assessment should take place within four months of the completion of the desk assessment unless mitigating circumstances can be documented. Although not required, it is preferable that the On-site assessment is scheduled to allow the assessor to observe part of a course.

Once a date has been agreed upon, the assessor shall send a communication to the candidate to confirm the logistics and agenda and provide an estimate of the expected travel costs.

### **On-site Assessment Fees**

The candidate must be current in any payments to IREC before the on-site assessment takes place.

Candidates for Certificate Program and Training Provider will have covered the basic costs of an on-site assessment in their application fees. However, if they have incurred additional assessment time, or if a candidate for a credential that usually does not need an on-site assessment is deemed to need one, the candidate will be invoiced by IREC. Payment must be received before the on-site assessment is scheduled.

Travel costs and Assessor time spent on travel fees will be invoiced separately after the conclusion of the on-site assessment.

### **Conducting an On-site Assessment**

The Assessor (or Assessor team) will visit the candidate organization or individual to conduct an on-site

assessment and verify that the facilities and resources described in the application materials actually exist and are maintained as described.

### **Closing Assessment Report**

At the conclusion of the on-site assessment, the Assessor(s) will meet with the candidate to review the findings in a closing assessment report. The candidate and the assessor shall sign the report, and a signed copy will be left with the candidate.

### **Conclusion of the On-site Assessment Corrective Action Plan**

Any nonconformities identified by the Assessor must be addressed by the candidate in the form of a corrective action plan which describes how the nonconformities will be corrected and which provides a timeline for all work to be completed. The candidate should submit the Corrective Action Plan within two weeks after the conclusion of the assessment.

### **Completion of the Closing Assessment Report**

If no nonconformities were found during the assessment, the Assessor prepares documents for Credentialing Award Committee review. If there were nonconformities and a corrective action plan was requested, the Assessor will wait to receive the candidate's corrective action plan. The Assessor will then have one week to write a cover letter for the closing assessment report giving one of the following recommendations to the IREC Award Committee:

- a) Award
- b) Termination: the candidate does not meet the applicable Standard
- c) Additional Assessment: the on-site assessment has revealed some flaws in the candidate's ability to meet the applicable standard serious enough to delay Award, but these flaws should be capable of remediation with additional work on the part of the candidate.

### **Final Invoice for Assessment**

The Assessor creates an invoice listing travel costs and time spent on travel associated with the on-site assessment and sends this to IREC. IREC invoices the candidate for these expenses. Interactions between the Assessor and the candidate are concluded by this stage.

### **IREC Credentialing Award Committee Ruling**

The IREC Credentialing Award Committee meets regularly throughout the year. After reviewing the Assessor's reports, the Credentialing Award Committee will meet with the Assessor(s) to discuss the Assessor's reports and recommendation. A copy of the Credentialing Award Committee ruling will be retained in the candidate file. IREC will send notice of the ruling to the candidate and to the Assessor.

The IREC Credentialing Award Committee will consider the assessor's recommendation and take one of the following actions with respect to the application:

- a) Award
- b) Termination: closure of the candidacy

- c) Additional Assessment. Due to nonconformities, continued exchange is recommended between IREC and the candidate in order to collect missing documentation or resolve nonconformities following the candidate's corrective action plan.

### **Awarding the Credential - Award Package**

IREC will send the successful candidate an award package along with notice of the IREC Credentialing Award Committee's Ruling. This package contains information about the term and limitations on the Award, instructions on how to maintain IREC Credential status, and a hard copy certificate.

### **Termination of Candidacy**

If the IREC Credentialing Award Committee rules for Termination, IREC will send a traceable letter to the candidate explaining the outcome. This communication will include instructions on how and when the candidate could re-apply for the IREC credential, or how to file an appeal under the IREC Procedures to Resolve Challenges and Complaints Related to Credentialing Eligibility and Irregularities (Appendix 2). Reinstatement of a terminated candidacy may result in additional assessor or program fees charged to the candidate.

### **Supplemental Documentation**

In some cases, the IREC Credentialing Award Committee may determine that a candidate does not satisfy the requirements for award but does not merit Termination of their candidacy. In these cases, IREC will follow the IREC Credentialing Award Committee's direction in communicating with the candidate, requesting further documentation and/or requesting clarification, re-engaging an Assessor, or other actions as appropriate. The candidate shall be responsible for any continuing or extra costs.

### **Additional Assessment**

After the credential is awarded, the IREC Credentialing Award Committee may determine that additional review or assessment is necessary due to changes in the administration, facility, training or other information received regarding the candidate. In those cases, IREC reserves the right to perform a spot assessment. The candidate shall be responsible for these costs.

## Completing the Online Application

IREC maintains documentation on the IREC website and also within IREC Direct on completing the online application.

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*The more clear you are in your application, the more quickly IREC and your assessor can work through your application with you.*

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## INSTRUCTOR/ MASTER TRAINER APPLICATIONS

### Documenting Experience

Section 7 of IREC Standard 01024 lists specific requirements for three types of experience: teaching, educational and practical. Here are some tips on ensuring that your application is complete and ready for assessment:

- **Documentation.** Supply documentation for all experience/ hours claimed.
  - Documentation generated by the candidate is not sufficient (for instance, a spreadsheet that tallies teaching hours, but has no verification from a supervisor/employers)
  - **Submit third-party documentation (evidence from a person, other than the candidate, who is in a position of authority to attest to the relevant experience).** The documentation must contain elements required in the application.
- **Co-instruction and online delivery.** Documentation must support the hours claimed.
- **Multiple JTAs.** Those applying for the IREC credential for the first time who teach topics from multiple IREC-accepted JTAs must respond to certain requirements with unique experience and evidence for the experience claimed in association with each JTA in order to be eligible for multiple credentials. **For requirements flagged as JTA specific, you must supply unique experience for each JTA for which you are applying for certification.**
- **Video.** A video of instruction may be acceptable evidence for certain requirements, but must be provided to IREC outside of IREC Direct, due to file size limits. Videos hosted on Vimeo, YouTube and other similar online services are examples of acceptable submissions. *You will need to grant the assessor access to any site that is ordinarily private.*
- **Other category.** If your experience does not fit neatly into the proposed categories, please submit documentation along with an explanation of how you meet the standard in the 'Other' category of the application.

## Applying for Certification under Multiple JTAs

Those applying for certification must respond to certain questions multiple times according to the JTAs which they are applying for certification. In certain cases experience documentation may be relevant to more than one JTA and can be claimed for multiple credentials. **For requirements flagged as JTA specific, you must supply unique experience, in terms of number of hours and through documentation, for each credential for which you applying.**

**Candidates applying for Master Trainer or Instructor Certification may only apply for a maximum of two JTAs per application, unless approved in advance by IREC.**



## JTA SPECIFIC EXPERIENCE REQUIREMENTS

If you want your credential to reflect that you teach topics from multiple IREC-accepted JTAs, you will need to supply documentation specific and unique to each JTA, specifically in the following areas:

- Section 1: Technology-specific teaching experience – classroom and hands-on/lab and training of trainers
- Section 2: Continuing education courses and conference participation
- Section 3: Relevant practical, hands-on work experience, and contributions to industry

## MAINTAINING THE IREC CREDENTIAL



YOU HAVE WORKED HARD TO EARN THE CREDENTIAL.  
BUT THE REAL VALUE IS SHOWN THROUGH CONTINUOUS  
IMPROVEMENT. USE YOUR ANNUAL MAINTENANCE AS A  
CHANCE TO REFLECT, PLAN, AND GROW.

### Annual Maintenance

An IREC credential is awarded for a period of five years. Each year during the award period, credential holders are required to complete an annual report and submit annual fees on time in order for their status to remain current. You may view the annual report relevant to your credential at any time, but will not be prompted to complete the annual report or make a payment until two (2) months before your annual anniversary date. Annual reports not complete by the anniversary date can result in suspension (one month after anniversary date) or ultimately revocation (two months after anniversary date).

All credential holders must respond to the applicable questions on the annual report form in IREC Direct. Any additional information requested in your award letter or as a result of your prior year's annual report should also be provided. Credential holders will also be required to demonstrate their use of the program marks to demonstrate compliance with the Mark Use Policy.

**Credential holders will complete one annual report form per year for all credentials held.** Applicable maintenance fees are due once per year. However, if credentials are held for multiple JTAs, the annual report form must address all JTAs that are relevant. Take for example a Training Provider that earned a credential for its Energy Auditor program in January 2013 and then a second credential for its Quality Control Inspector program in August 2013. One annual report form would be due January 2014. The report must contain up-to-date information on both the Energy Auditor and the Quality Control Inspector programs. The fee for the annual maintenance of both credentials would be due at the same time.

Annual reports or maintenance fees not received by the anniversary date can result in suspension (one month after anniversary date) or ultimately revocation of the credential (two months after anniversary date). Maintenance fees received after the anniversary date are subject to a 10% late fee.

### Reporting Substantive Changes and the Annual Report

As part of their annual report, credential holders are required to identify any substantive changes that may have a bearing on the scope or continuation of their accreditation or certification. These changes are identified by credential holder responses to the applicable questions in the annual report form. IREC staff will perform a review of the annual report form and request additional information or clarification. Rarely, further review up to and including an on-site assessment may be deemed appropriate. However, IREC reserves the right to perform spot assessments.

In the event that additional investigation or on-site assessment is warranted, the credential holder will

be invoiced by IREC for the costs of the investigation or assessment. The invoice must be paid before the investigatory or assessment work can be conducted.

### **Submitting the Annual Report**

The annual report is submitted using the IREC Direct online system. Payments by credit card and check are accepted.

### **Annual Fees**

All IREC credential holders are required to pay annual fees as detailed in the table below. Fees can be paid by check or credit card. ***The full annual report fee is paid once a year regardless of the number of credentials held.***

<b>Credential</b>	<b>Annual Fee</b>
IREC Accredited Training Provider and Certificate Program	\$600 per job task analysis
IREC Certified Master Trainer and Instructor	\$100

### **Late Fees**

The annual fees are due on the anniversary date of the credential. Fees paid after the anniversary date will be assessed a 10% penalty.

### **Returned Checks**

Returned checks will be charged a 5% penalty (minimum penalty \$25).

### **Refunds**

Annual fees are not refundable.

### **Failure to Pay**

Failure of an organization or individual to pay fees, penalties, and evaluation costs will be taken by IREC as conclusive evidence that the organization/individual has voluntarily withdrawn its candidate, accredited, or certified status. IREC will send the organization or individual a letter of revocation requiring the organization or individual to immediately cease claiming IREC status and return the award certificate.

## **Failure to Meet the Standard**

The IREC standards and the IREC Credentialing Program are designed to assure consumers and other stakeholders of the quality of clean energy training. Organizations or individuals must continuously satisfy the requirements of the applicable standard.

Credential holders who fail to demonstrate in their annual report that they continue to meet the requirements of the applicable standard or the IREC Code of Ethics and Certification/Accreditation Agreement will be subject to investigation. If an investigation fails to satisfy IREC that the organization or individual does in fact continue to meet the relevant standard and Code of Ethics, the organization or individual could have their status suspended or revoked.

Credential holders who make false or misleading claims related to their IREC status, or who display the IREC marks inappropriately, and who do not respond to requests for corrections, may also be subject to having their status revoked, following an investigation.

Credential holders whose status is revoked may file an appeal. See the IREC Procedures to Resolve Challenges and Complaints Related to Credentialing Eligibility and Irregularities or Ethics Case Procedures in the appendix.

In addition, IREC reserves the right to publicize the names of those credential holders whose status is revoked in order to prevent confusion or correct misunderstandings about the qualification of any given training organization or individual.

## **RENEWAL OF THE IREC CREDENTIAL**

### **Duration of the Award Status**

IREC credentials are awarded for a period of five years. During those five years, the credential holder is required to file an annual report each year and pay annual fees to maintain the credential in good standing.

### **Status Renewal Requirements for Credential Holders**

To renew your existing credential for another five years, you must demonstrate that you continue to meet the requirements of the relevant standard and its revisions, by completing an application similar to the one completed for initial accreditation. Those holding a current certification with IREC may be eligible to complete a streamlined application for recertification. Please contact the IREC staff to determine eligibility to use the streamlined form.

### **Status Renewal Fees**

The fee schedule for status renewal is listed in the Renewal Fees table below and replaces the annual maintenance fee for the year in which the status renewal takes place. All credentialing payments are now handled through the online system, IREC Direct. You will have the option of paying by credit card or check.

<b>Renewal Fees</b>	
IREC Accredited Training Provider and Certificate Program	\$3,500, additional job task analyses \$1,000 each
IREC Certified Master Trainer and Instructor	\$500

Candidates for recertification or reaccreditation must meet current eligibility requirements and have a complete application accepted by IREC by the five-year anniversary of their initial credential to remain in good standing through the assessment process.

**Eligibility Criteria**

Candidates for renewal must meet eligibility requirements for the applicable credential (see Eligibility Requirements), and in addition meet the following:

1. The current credential is in good standing, and the credential holder continues to uphold all Program policies as detailed in the Candidate Handbook.
2. A complete application with all required documentation is accepted by IREC by the expiration date of the current certification.
3. For Instructors and Master Trainers: must be actively teaching in the clean energy industry at the time of recertification application submission.

**IREC CREDENTIALING GENERAL PROGRAM POLICIES**

**Candidate Confidentiality**

The assessment and accreditation/certification of the candidate is an activity requiring a high degree of confidentiality. The findings, recommendations and other information relating to a candidate are exchanged within an atmosphere of trust, confidentiality, and professional integrity. IREC makes such information available to other agencies, accrediting bodies, organizations, or individuals only upon the approval of the participating candidate, pursuant to these policies, or as required by law. Basic information about a candidate, including name, organization and website are published on the IREC website ([www.irecusa.org](http://www.irecusa.org)) upon a candidate’s submission of an application for an IREC credential.

IREC will share specific information about candidates only with approved IREC Registered Assessors or others specifically charged to review or handle applications. Information that will be kept confidential includes but is not limited to the personally identifiable information of management, staff, students and

candidates, unless: the information is reasonably understood to pertain to unlawful activity; a court or governmental agency lawfully directs the release of the information; or the candidate expressly authorizes the release of specific information.

The participating candidate may disseminate any of the information it develops or receives from IREC, unless specifically marked as “Confidential” or “Not for Distribution”; however, such dissemination must occur only after the completion of the process, not during the process.

### **Publication of Credential Holder & Disciplinary Information**

IREC reserves the right to publish on the IREC website ([www.irecusa.org](http://www.irecusa.org)) the names, organizations and websites of individuals and organizations who have submitted a complete application or have been awarded accreditation or certification. In addition, IREC may make public the names of any credential holders that have voluntarily withdrawn their candidacy or credentialed status, have been subject to disciplinary procedures and/or revocation of the IREC credential or have been found to have violated the agreements of their accreditation or certification status.

### **Non-Discrimination**

IREC is dedicated to the principles of equal opportunity and equal access to its programs and services. IREC does not discriminate against any individual on the basis of religion, gender, ethnic background, nationality, disability, sexual orientation, or other reason prohibited by law. Policies and procedures are non-discriminatory and shall be administered in a non-discriminatory way. All IREC personnel will act objectively and shall be free from any undue commercial, financial and other pressures that could compromise impartiality.

IREC awards credentials without regard to a candidate’s membership or non-membership in any organization, association or other group.

### **Withdrawal of Status**

A candidate for accreditation or certification, an accredited organization, or a certified individual can withdraw its candidacy, accredited, or certified status at any time by notification to IREC in writing. When a credential holder voluntarily withdraws its award status, IREC will indicate in any public notice that the withdrawal was voluntary on the part of the credential holder.

Failure of an organization or individual to pay its fees, penalties, or other evaluation costs within 90 days of the due date will be taken by IREC as conclusive evidence that the organization or individual has voluntarily withdrawn its candidacy or accreditation/certification status.

Withdrawals or cancellations of candidacy may be subject to refunds, if applicable. Withdrawals do not relieve the candidate of financial obligations already incurred.

### **Corrections**

Misinformation published in IREC’s official publications shall be corrected in the next issue of the

relevant publication. Any misinformation submitted by letter to an organization or individual relative to its status as a candidate for accreditation or certification; its status as to meeting the policies, standards, and/or procedures of IREC; or the actions of IREC toward the organization or individual shall be corrected by letter. If the letter containing the misinformation was copied to any agency or other recognized accrediting agency or anyone else, the letter of correction shall be copied to every agency or person to whom the letter of misinformation was copied.

IREC will make public correction of any misleading or incorrect information made public concerning the candidacy or accredited/certified status of an organization or individual.

### **Use of Consultants**

Candidates for the IREC credential might wish to engage a consultant to provide assistance in understanding and meeting the requirements of the standards, conducting an internal audit, completing application materials or annual reports, or identifying the exhibits or other documentation needed to support or implement the application material.

While employing a consultant to aid with the preparation and submission of the application is allowed, most IREC credential holders report that the process of working through and filing an application is an essential learning experience. Candidates tell us that part of the value of an IREC credential is the application and assessment process. Candidates and credential holders are encouraged to conduct their own self-assessment and complete their application materials either themselves or through an in-house employee. If a contractor is employed to assist with the process, IREC encourages candidates and credential holders to work closely with the contractor and to maintain full ownership of the process and outcomes. Candidates, credential holders and training-related personnel are responsible for understanding and implementing all aspects covered under the applicable standard.

### **Electronic Communications**

Electronic communications, such as email or communications through IREC's online system, IREC Direct, will be considered an acceptable "written" means of communication between IREC, its agents and assessors, candidates, and credential holders. Assessors and candidates may also use electronic communication to conduct the Desk Assessment and any preparation for or follow-up to an On-site assessment.

### **Change of Contact Information**

All credential holders and candidates are required to inform IREC promptly of any change that would affect communication between IREC and the credential holder. Such changes shall include but are not limited to a change in email or mailing address or a change in the primary contact on the application or award. Credential holders and candidates should inform IREC of the change and update their information in IREC's online Credentialing Management System.

## **Liability**

IREC does not accept liability for mistakes made by credential holders.

## **Code of Ethics, Ethics Representations and Certification/Accreditation Agreement and Release Authorization.**

Each IREC candidate, or authorized representative for a candidate organization, is required to sign a Code of Ethics, Ethics Representations and Certification/ Accreditation Agreement and Release Authorization at the time they submit their full application. Candidates attest they will fulfill obligations as outlined in these documents. Amendments to the Code of Ethics, Ethics Representations and Certification/Accreditation Agreement and Release Authorization will be communicated as needed or required.

## **Ethics Reporting Requirement**

All IREC credential holders have a responsibility to both conduct their affairs in accordance with the IREC Code of Ethics and Program policies and to report ethics violations, whether internal or external, when they become aware of them. When IREC has any cause to believe that a candidate or credential holder has acted in an unethical manner, it will evaluate the matter and take appropriate action, as outlined in the IREC Ethics Case Procedures (Appendix 3). IREC reserves the right to remove accredited or certified status from credential holders shown to be in violation of the IREC Code of Ethics. In addition, IREC reserves the right to publicize the names or organizations or individuals for whom accreditation or certification are rescinded.

## **Scope of Award**

Only candidates who have received an award package from IREC and are a credential holder in good standing can claim to be accredited or certified by IREC.

IREC recognition includes a scope of approval, indicating the specific courses and technology or technical expertise for which the organization or individual has been evaluated. For example, if a Training Provider has been awarded a credential based on curricula evaluated against the IREC-accepted job task analysis for Energy Auditor, courses on biomass or solar heating are not IREC accredited and may not be marketed as such.

Organizations which use IREC Certified Master Trainers and Instructors may not in any way suggest that the organization or the training is certified, accredited, or in any way endorsed by IREC. Certification belongs to an individual and must always be used in association with the individual's name (for example, Janet Jackson, IREC Certified Instructor for Energy Auditor).

An Accredited Training Provider or Accredited Certificate Program may not claim the IREC credential or use the IREC marks/designations for auxiliary sites outside the scope of the IREC review unless they have informed IREC in writing of the additional sites and those sites have been included in the scope of

accreditation.

An Accredited Training Provider or Accredited Certificate Program may not claim IREC recognition or use the IREC marks/designations for affiliate programs, or for courses or curricula outside the scope of the IREC review without first following the application and recognition requirements and duly receiving an Award notice for affiliate programs or additional curricula.

A Certified Master Trainer or Instructor must include reference to the technology addressed in the scope of their certification when referring to their credentialed status (for example, Janet Jackson, IREC Certified Instructor for Energy Auditor).

Organizations and individuals awarded IREC recognition are required to strictly identify the scope of their Award in any printed, published, or public references to the Award.

Organizations and individuals that are found to be misrepresenting their status with IREC shall publish a correction in appropriate newspapers and/or other news media. Documentation that the correction has been made through the news media must be submitted to IREC. IREC reserves the right to take additional disciplinary actions if warranted.

### **Use of the Accreditation/Certification Marks and Designations**

Accredited organizations and certified individuals are encouraged to use the appropriate IREC marks and designations as an identifier on marketing materials, course materials, student certifications, transcripts, the business cards of personnel who fall under the scope of the IREC Award, or in course catalogs. Credential holders will receive a copy of the appropriate mark/designation in their award package.

Organizations that have not achieved accreditation and individuals who have not achieved certification shall under no circumstances use the IREC mark. IREC may prosecute organizations or individuals found in violation of this policy.

For complete information please refer to the IREC Trademark and Credentialing Mark Use Policy ([Appendix 1](#)).

### **Media Statements**

Candidate status does not confer any formal recognition by IREC. Therefore, candidates may not refer to their IREC candidate status in published statements. Only organizations or individuals that have received an Award Package from IREC and are in good standing can publicly claim to be accredited or certified by IREC.

***Organizations that have not achieved accreditation and individuals who have not achieved certification shall under no circumstances use the IREC mark.***

### **Advertising**

All public statements by candidates and credential holders must accurately convey the organization or individual's IREC status, and cannot include any false or misleading representations regarding the

organization, its programs, or services.

- a) All advertisements placed by a training organization or its representatives seeking prospective students, must clearly indicate that training is being offered, and shall not, either by actual statement, commission, or omission, imply that prospective employees are being sought.
- b) A record or copy of all promotional and advertising material must be kept on file from one assessment visit until the next.
- c) An accredited organization or certified individual assumes the responsibility for all representations made by the sales personnel or other employees in procuring students on its behalf.

## **Student Recruitment**

All recruitment activities used by candidates and credential holders must be truthful and cannot include any false or misleading representations concerning the organization, its programs and services, or employment. The following list of practices in student recruitment that must be avoided does not represent a complete listing, but demonstrates to candidates and credential holders the type of recruitment practices that are not within the scope of the IREC standard:

- a) Guaranteeing employment
- b) Misrepresenting job placement, employment opportunities, or potential salaries for those who complete the program (unless it is a training provider specifically tied to employment with a sponsoring employer)
- c) Misrepresenting program costs
- d) Misrepresenting abilities required to complete intended programs
- e) Misrepresenting sales personnel as career counselors
- f) Misrepresenting transfer of credit to another organization
- g) Misrepresenting its accreditation/certification status

## **Candidate and Credential Holder Legal Responsibility**

IREC candidates and credential holders should abide by local, state, and federal regulatory requirements. These Program policies are not intended to supersede any codes, requirements, or regulations.

### **Violations of IREC Program Policies by Non-Accredited Organizations or Non-Certified Individuals/ Eligibility for IREC Accreditation or Certification**

If a non-accredited organization or non-certified individual has been notified by IREC that they have violated the IREC Credentialing Program policies and if, after an appropriate opportunity to respond, the IREC Credentialing Program determines that a non-accredited organization or non-certified individual has acted contrary to IREC Credentialing Program policies, the organization or individual may be disqualified from, and otherwise ineligible to apply for, an IREC credential should one be sought in the future. The IREC Credentialing Program reserves the right to issue any other appropriate sanctions or conditions related to eligibility for IREC credentials.

## Change of Ownership of an Accredited Body

When the ownership status of an IREC Accredited Training Provider or Certificate Program changes through merger, acquisition or sale, the credential holder is required to notify IREC by submitting a Change of Ownership Report which includes details about any substantive changes that may affect the quality or delivery of a program/course in relation to the requirements of the IREC Standard are assessed.

The following information must be included in the Change of Ownership Report:

- New ownership information including name of organization and contact information for person responsible for accredited program(s).
- IREC Code of Ethics signed by responsible person from new organization.
- Ethics Representations and Certification/Accreditation Agreement and Release Authorization signed by responsible person from new organization.
- Report of all substantive changes
  - Changes in instructors
    - Include resumes for all new instructors
  - Changes in facilities
  - Changes in curriculum
  - Changes in course or program structure
  - Changes in policies related to administration, management, development, and delivery of training
  - Report of any criminal or civil actions
  - Current marketing materials

The Change of Ownership Report should be submitted to the IREC Credentialing Program through email sent to [credentialing@irecusa.org](mailto:credentialing@irecusa.org).

A transfer fee of \$500 due upon submission of the Change of Ownership report. Transfer fees are as follows:

Once IREC becomes aware of the change of ownership, the provider's IREC Accreditation will be suspended pending review.

IREC staff will review the Change of Ownership report and take one of the following actions:

- Recommend transfer of accreditation and submit recommendation to Credentialing Award Committee for review
- Assign IREC Assessor for additional review

- If an Assessor is assigned, the candidate will be charged for the Assessor fees
- Assessor review may require additional information from candidate
- Assessor review may include an onsite assessment **(Note: In addition to Assessor fees, travel costs for all onsite assessments will be the responsibility of the candidate.)**
- After review, the IREC Assessor will submit a recommendation to the Credentialing Award Committee who will make the final determination

The initial review and determination process will be completed within 60 days of receipt of the Change of Ownership report. If an Assessor is assigned and/or an on-site assessment is required, the process will be completed within 90 days of the Assessor assignment.

## TERMINOLOGY

**Accreditation**— Third-party review and attestation of an entity’s conformance with an established standard. Accreditation is awarded for a fixed period of time and requires renewal.

**Certification** — Third-party review and attestation of an individual’s conformance with an established standard. Certification is awarded for a fixed period of time and requires renewal.

**Conflict of Interest** — A conflict between the various interests of an individual or organization that has the potential to lead to undue influence on professional judgments or actions.

**Course** — One or more discrete instructional sessions or a series of instructional sessions with a defined syllabus and stated expected outcomes. A series of courses taken together is often called a training program.

**Curriculum** — Broadly, a plan for the education of a student. This can include a program of studies (e.g., subjects), course content (e.g., topical outlines), planned learning experiences, or a series of learning outcomes. It is typically a written plan.

**IREC-Accepted Job Task Analysis** — A job task analysis that has been reviewed by IREC and accepted based on specific development guidelines. The job task analysis may be derived from one or more existing job task analyses and must define a specific job.

**IREC Certificate Program Accreditation** — A credential awarded to organizations who meet the requirements described in IREC Standard 14732 for issuing a market-valued certificate, including curricula aligned with one or more IREC-accepted job task analyses and developed in accordance with a systematic program plan.

**IREC Instructor Certification** — A credential awarded to professionals who have specific instructional as well as practical, in-field experience in the application of the knowledge and skills for which they deliver training. Certified instructors are deemed qualified to deliver high-quality training within the clean energy technology fields based on their ability to meet the requirements of this standard.

**IREC Master Trainer Certification** — A credential awarded to professionals who have specific instructional as well as practical, in-field experience in the application of the knowledge and skills for which they deliver training and meet the requirements of IREC Standard 01024. Certified master trainers are recognized within their industries as subject-matter experts and are deemed qualified to deliver high-quality training based on their ability to meet the requirements of this standard. In addition, master trainers train other instructors, have demonstrated instructional design experience, have formal education in teaching skills or pedagogy and hold a current professional industry-recognized credential or license.

**IREC Training Provider Accreditation** — A credential awarded to organizations which offer job-related training in clean energy technologies and practices and meet the requirements of IREC Standard 01023 for quality systems, resources, personnel and curriculum. Curricula is aligned with one or more IREC-accepted job task analyses. Training Providers offer programs of sufficient length and depth to properly prepare graduates to perform all of the tasks defined for successful performance in a job category.

**Job Task Analysis** — A formal, industry-accepted study, validated by a group of subject-matter experts that defines competencies in knowledge, skills, and attitudes as the basis for education/training curricula. Similar activities are also referred to as task analyses, practice analyses, and role-delineation

studies.

- a) Tasks are the individual functions, whether mental or physical, necessary to carry out an aspect of a specific job.
- b) Knowledge, Skills, and Attitudes (KSAs) include the physical and mental capabilities that a practitioner must possess to perform a job competently, ethically, and safely.

**Nonconformity** – A stated specific area in which an organization or individual does not meet the IREC Standard.

**Systematic Program Plan** - Any one of several processes recognized by education and training professionals that documents the creation or revision of educational programs, workshops, or courses using inter-related components of analysis, design, development, implementation, and evaluation.

**Training Program** —A course, sequence of courses, or learning events that focus on an area of specialized knowledge or information and have specific learning objectives covering one or more IREC-accepted job task analyses.

## APPENDIX 1: IREC TRADEMARK, CERTIFICATION MARK AND ACCREDITATION MARK USE POLICY

### I. TRADEMARK USE POLICY

#### A. Policy Purpose.

This Policy establishes the rules and requirements for use of all Interstate Renewable Energy Council, Inc. (IREC™) trademarks, including trademarks and service marks.

#### B. IREC Organizational Trademarks.

##### 1. Mark Ownership.

The following organizational trademarks (IREC Trademarks) are owned and controlled by IREC:

	<p style="text-align: center;">Interstate Renewable Energy Council, Inc.™</p>
<p style="text-align: center;">IREC™</p>	
<p style="text-align: center;">IREC Clean Energy Workforce Education Conference™</p>	

IREC retains the sole and exclusive rights to use the IREC Trademarks. IREC may create and use additional marks, as it deems appropriate.

2. Prohibited Use of IREC Trademarks.

Individuals, businesses, and other organizations, including IREC credential holders, are not permitted to use the IREC Trademarks. In certain circumstances, IREC may permit another organization to use a specific IREC Trademark, subject to an IREC-approved license agreement. Permission by the IREC Award Committee to use an IREC Certification or Accreditation Mark, identified in Sections II and III of this Policy, does not include authorization to use the IREC Trademarks.

3. Policy Violations and Related Matters.

IREC reserves, and may use, any and all remedies available under applicable laws and corporate policies to protect the IREC Trademarks. Infringement or other misuse of any IREC Trademarks will be challenged.

Following the receipt of information that an unauthorized use of an IREC Trademark may have occurred, IREC will determine if responsive action(s) will be taken in accordance with this Policy and applicable Federal and State laws.

**II. CERTIFICATION MARK USE POLICY**

**A. Policy Purpose.**

IREC certification marks and credentials (IREC Certification Marks) certify that authorized individuals performing clean energy training have satisfied applicable certification requirements established by IREC. IREC Certification Marks represent a standard of excellence in the field of clean energy training.

This Policy establishes the rules and requirements for use of the IREC Certification Marks, including proper use of the marks by credential holders on professional and business materials. All IREC authorized individuals should review this Policy carefully to ensure that all uses of the appropriate certification mark conform to the Policy requirements.

**B. IREC Certification Marks.**

1. Mark Ownership.

The following IREC Certification Marks are owned and controlled by IREC:

IREC Certified Master Trainer™	 <p><i>PV Installation Professional</i></p>
IREC Certified Instructor™	 <p><i>Energy Auditor</i></p>

IREC retains all trademark and other ownership rights concerning the IREC Certification Marks. IREC may create and use additional certification marks, as it deems appropriate.

2. Authorized Use of IREC Certification Marks.

IREC grants limited permission to use specific IREC Certification Marks to credential holders in good standing. Consistent with applicable law and corporate policies, IREC will ensure that the Certification Marks are displayed and otherwise used properly, as such use represents IREC certification to the public.

3. Prohibited Use of IREC Certification Marks.

Permission by IREC to use an IREC Certification Mark does not include authorization to use any IREC Trademarks or Accreditation Marks, which are identified in Section I and III of this Policy.

4. Persons and Organizations Authorized to Use IREC Certification Marks/ Credential holder Responsibilities.

Use of the Certification Marks is limited strictly to those individuals who are IREC credential holders in good standing. Each IREC credential holder is authorized to use only the Certification Mark which represents the appropriate certification and credential.

Each IREC credential holder accepts and assumes sole responsibility for understanding and satisfying all IREC organizational and legal requirements related to the use and display of the Certification Marks. Among other requirements, each credential holder is responsible for ensuring that the use of any

Certification Mark on professional and business-related materials (e.g., business cards, stationery and/or letterhead, email signatures, advertisements, brochures, websites, and signs) is consistent with this Policy, and is not in conflict with applicable laws. IREC assumes no responsibility concerning the interpretation or application of such legal requirements.

An IREC credential holder is prohibited from making any public statement or representation related to IREC certification that brings IREC into disrepute, that is materially false, or that is otherwise contrary to the interests of IREC.

IREC shall not be liable or otherwise responsible for any claims, complaints, suits, or damages whatsoever, relating to a credential holder's use or display of a Certification Mark.

5. Non-Assignability and Non-Transferability of IREC Certification Marks.

Permission to use the appropriate IREC Certification Mark is limited to the IREC credential holder and may not be transferred to, assigned to, or otherwise used by, any other individual, organization, business, or entity.

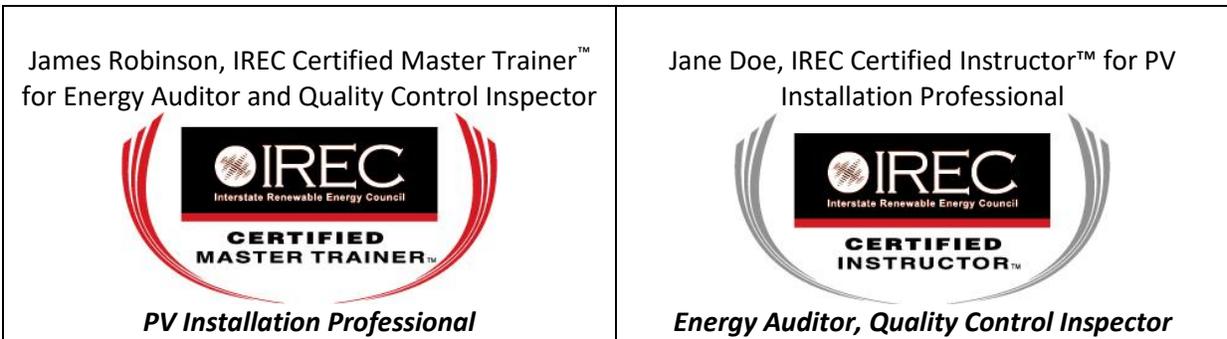
6. Proper Use and Appearance of IREC Certification Marks.

Each IREC credential holder may use the appropriate IREC Certification Mark on professional and business-related materials, consistent with the following rules:

- a. Proper Use. Each individual IREC credential holder must use the appropriate IREC Certification Mark only in conjunction with his/her name, and in connection with the services related to the certification, i.e., courses and educational training programs in the clean energy field. The Certification Marks may not be positioned, displayed, or used in a manner which may lead the public to believe that a company or organization is certified or otherwise endorsed by IREC.
- b. Proper Appearance. A Certification Mark must be associated only with the certified individual, who is authorized to use the Mark. Additionally, a Certification Mark should always be used in its entirety, and must always appear with the appropriate subscript/superscript “®” or “™” trademark symbol.

With respect to other affiliation marks and/or logos, the IREC Certification Mark may be located near such other marks or logos, but must remain separate and distinct so as to avoid confusion concerning the source of the certification, and to avoid the appearance that other marks, certifications, credentials, designations, or organizations are associated with, or endorsed by, IREC.

- c. Examples of Proper Use and Appearance. Proper use and appearance of the Certification Marks include, but are not limited to, the following examples.



Any questions concerning the proper use of Certification Marks should be submitted to the IREC Credentialing Program

7. Non-Interference with Use of Certification Marks by Other Credential holders.

An IREC credential holder may not prohibit, restrict, or otherwise limit the authorized and appropriate use of an IREC Certification Mark by another credential holder.

8. Violation Reporting Responsibilities.

Each IREC credential holder has the responsibility to report the unauthorized use, misuse, or other violation of this Policy to IREC in a timely manner. This reporting responsibility includes any circumstance where the use of an IREC Certification Mark is related to an individual or organization that is not an IREC credential holder, or where a Certification Mark is used improperly by an IREC credential holder.

9. Policy Violations and Related Matters.

IREC reserves, and may use, any and all remedies available under applicable laws and corporate policies to protect the IREC Certification Marks. Infringement or other misuse of an IREC Certification Mark will be challenged. IREC credential holders are required to cooperate fully in the review and resolution of such matters.

Following receipt of information that an inappropriate or unauthorized use of a Certification Mark may have occurred, IREC will determine if responsive action(s) will be taken consistent with IREC policies and applicable laws.

10. Disciplinary Actions Related to Mark Misuse by a Credential holder or Applicant.

Following notice and a fair opportunity to respond, an IREC credential holder or applicant who acts contrary to the terms of this Policy or applicable law, may be sanctioned under applicable IREC policies.

All mark misuse complaints and other matters concerning potential violations of this Policy by an applicant seeking IREC certification will be reviewed and resolved by the IREC Credentialing Program.

If the IREC Credentialing Program determines that an applicant has violated the terms of this Policy, IREC reserves the right to deny and reject the applicant's IREC Certification application, or issue other appropriate corrective conditions and/or sanctions. An applicant may request an informal review of an adverse decision by submitting a written request for review to IREC.

In addition, IREC may refer cases of certification mark misuse, infringement, or other similar matters to appropriate government agencies, or other organizations, or may initiate legal action.

11. Policy Violation Actions Concerning Third Parties.

Following the receipt of information indicating that an IREC Certification Mark may have been used without authorization or inappropriately by a third party individual, organization, or company, IREC will determine if responsive action(s) will be taken consistent with IREC policies and applicable laws.

**III. ACCREDITATION MARK USE POLICY**

**A. Policy Purpose.**

IREC accreditation marks (IREC Accreditation Marks) represent that qualified training programs providing education in the field of clean energy have satisfied applicable IREC program accreditation requirements established by IREC. IREC Accreditation Marks represent a standard of excellence in the clean energy field.

This Policy establishes the rules and requirements for use of the IREC Accreditation Marks, including proper use of the marks by accreditation holders on professional and business materials. All authorized accreditation holders should review this Policy carefully to ensure that all uses of the Accreditation Marks conform to the Policy requirements.

**B. IREC Accreditation Marks.**

1. Mark Ownership.

The following IREC Accreditation Marks are owned and controlled by IREC:

	<p>IREC Accredited Training Provider™</p>
	<p>IREC Accredited Certificate Program™</p>

IREC retains all trademark and other ownership rights related to the IREC Accreditation Marks. IREC may create and use additional accreditation marks and trademarks, as it deems appropriate.

2. Authorized Use of IREC Accreditation Marks.

IREC grants limited permission to use specific IREC Accreditation Marks to accreditation holders in good standing. Consistent with applicable law and corporate policies, IREC will ensure that the Accreditation Marks are displayed and otherwise used properly, as such use represents IREC Accreditation to the public.

3. Prohibited Use of IREC Accreditation Marks.

Permission by IREC to use an IREC Accreditation Mark does not include authorization to use any IREC Trademarks or Certification Marks, which are identified in Sections I and II of this Policy.

4. Persons and Organizations Authorized to Use IREC Accreditation Marks/ Accreditation Holder Responsibilities.

Use of the Accreditation Marks is limited strictly to those individuals, organizations, or businesses that are IREC accreditation holders in good standing.

Each IREC accreditation holder accepts and assumes sole responsibility for understanding and satisfying all applicable organizational and legal requirements related to the use and display of the Accreditation Marks. Among other requirements, each accreditation holder is responsible for ensuring that the use of any Accreditation Mark on professional and business-related materials (e.g., business cards, stationery

and/or letterhead, email signatures, advertisements, brochures, Internet websites, and signs) is consistent with this Policy, and is not in conflict with applicable laws. IREC assumes no responsibility concerning the interpretation or application of such legal requirements.

An IREC accreditation holder is prohibited from making any public statement or representation related to IREC Accreditation that brings IREC into disrepute, that is materially false, or that is otherwise contrary to the interests of IREC.

IREC shall not be liable or otherwise responsible for any claims, complaints, suits, or damages whatsoever, relating to use or display of an Accreditation Mark.

5. Non-Assignability and Non-Transferability of IREC Accreditation Marks.

Permission to use an IREC Accreditation Mark is limited to the IREC accreditation holder and may not be transferred to, assigned to, or otherwise used by, any other individual, organization, business, or entity.

6. Proper Use and Appearance of IREC Accreditation Marks.

Each accreditation holder may use the IREC Accreditation Marks on professional and business-related materials, consistent with the following rules:

- a. Proper Use. Each accreditation holder must use the Accreditation Mark only in conjunction with the clean energy course(s) or educational program(s) accredited by IREC. The Accreditation Marks may not be positioned, displayed, or used in a manner which may lead the public to believe that a company or organization is certified, accredited or otherwise endorsed by IREC.
- b. Proper Appearance. An Accreditation Mark must be associated only with the clean energy course(s) or educational program(s) accredited by IREC. Additionally, an Accreditation Mark must always be used in its entirety, and must always appear with the appropriate subscript/superscript “®” or “™” trademark symbol.

With respect to other affiliation marks and/or logos, the IREC Accreditation Mark may be located near these other marks or logos, but must remain separate and distinct so as to avoid confusion concerning the source of the accreditation, and to avoid the appearance that other marks, accreditations, credentials, designations, or organizations are associated with, or endorsed by, IREC.

- c. Examples of Proper Use and Appearance. Proper use and appearance of the Accreditation Marks include, but are not limited to, the following examples.

<p>ABC Renewable Energy</p> <p>Solar Installation 2-Day Workshop</p> 	<p>J&amp;B Solar Corporation</p> <p>Energy Auditor course</p> <p>IREC Accredited Training Provider™</p>

Any questions concerning the proper use of Accreditation Marks should be submitted to the IREC Credentialing Program.

7. Non-Interference with Use of Accreditation Marks by Other Accreditation Holders.

An IREC accreditation holder may not prohibit, restrict, or otherwise limit the authorized and appropriate use of an IREC Accreditation Mark by another accreditation holder.

8. Violation Reporting Responsibilities.

Each IREC accreditation holder has the responsibility to report the unauthorized use, misuse, or other violation of this Policy to IREC in a timely manner. This reporting responsibility includes any circumstances where the use of an IREC Accreditation Mark is related to an individual or organization that has not received accreditation for its training program(s), or where an Accreditation Mark is used improperly by an accreditation holder.

9. Policy Violations and Related Matters.

IREC reserves, and may use, any and all remedies available under applicable laws and corporate policies to protect the IREC Accreditation Marks. Infringement or other misuse of an IREC Accreditation Mark will

be challenged. IREC accreditation holders are required to cooperate fully in the review and resolution of such matters.

Following receipt of information that an inappropriate or unauthorized use of an Accreditation Mark may have occurred, IREC will determine if responsive action(s) will be taken consistent with this IREC policies and applicable laws.

10. Disciplinary Actions Related to Mark Misuse By an Accreditation Holder or Applicant.

Following notice and a fair opportunity to respond, an IREC accreditation holder or applicant who acts contrary to the terms of this Policy or applicable law, may be sanctioned under applicable IREC policies.

All mark misuse complaints and other matters concerning potential violations of this Policy by an applicant seeking IREC Accreditation will be reviewed and resolved by the IREC Credentialing Program. If the IREC Credentialing Program determines that an applicant has violated the terms of this Policy, IREC reserves the right to deny and reject the applicant's IREC Accreditation application, or issue other appropriate corrective conditions and/or sanctions. An applicant may request an informal review of an adverse decision by submitting a written request for review to IREC.

In addition, IREC may refer cases of accreditation mark misuse, infringement, or other similar matters to appropriate government agencies, or other organizations, or may initiate legal action.

11. Policy Violation Actions Concerning Third Parties.

Following the receipt of information indicating that an IREC Accreditation Mark may have been used without authorization or inappropriately by a third party individual, organization, or company, IREC will determine if responsive action(s) will be taken consistent with IREC policies and applicable laws.

Approval by the IREC Board of Directors Pending, expected October 2013

## APPENDIX 2: PROCEDURES TO RESOLVE CHALLENGES AND COMPLAINTS RELATED TO CREDENTIALING ELIGIBILITY AND IRREGULARITIES

### A. INTRODUCTION.

The Interstate Renewable Energy Council (IREC) maintains and administers a high-quality credentialing program for renewable energy and energy efficiency training professionals and organizations. Through the IREC Credentialing Program, IREC certifies clean energy training professionals and accredits qualified clean energy training programs that satisfy all applicable IREC Credentialing certification and accreditation requirements.

In order to receive IREC Certification/Accreditation, each candidate must satisfy all credentialing requirements, as set forth in the IREC Candidate Handbook, and the IREC Standard(s). In addition, IREC Certification/Accreditation candidates and credential holders must act in a manner, and conduct all professional services and business activities, consistent with IREC Credentialing Program ethics policies.

### B. GENERAL PROVISIONS.

- 1. Nature of the Process.** All challenges regarding actions of, and by, the IREC Credentialing Program are governed by the rules and procedures contained in this Policy. These appeals procedures are the only way to resolve all IREC Credentialing Program application, eligibility, and other credentialing or certification/accreditation renewal 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 credential holders are encouraged to communicate directly with the IREC Credentialing Program. If a party has retained an attorney, that attorney will be directed to communicate with the IREC Credentialing Program through the IREC legal counsel.

- 2. Participants.** The IREC President/Chief Executive Officer (CEO), IREC Committee for Resolution of Challenges & Complaints, and any other designated or authorized IREC Credentialing Program representative may be involved in deciding matters to be resolved or arising under this Policy.
- 3. Time Requirements.** The IREC Credentialing Program will make every effort to follow the time requirements noted in this Policy. However, the Program's inability to meet a time requirement will not prohibit the handling or final resolution of any matter arising under these procedures. IREC Certification/Accreditation candidates and credential holders are required to comply with all time requirements specified in this document. Unless provided otherwise, time extensions may be granted if a timely, written request explaining a reasonable cause is submitted to the IREC Credentialing Program.

4. **Litigation/Other Proceedings.** The IREC Credentialing Program may resolve a dispute arising under this Policy when civil or criminal litigation, or other proceedings related to the dispute are also before a court, government or other regulatory body, professional association, or credentialing organization. The IREC Credentialing Program 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 a matter under this Policy, all material prepared by, or submitted to, the IREC Credentialing Program will be confidential. Disclosure of material prepared by or submitted to the Program is permitted only when specifically authorized by an IREC Credentialing Program policy, the IREC CEO, or other authorized IREC Credentialing Program representative. In addition, the identity of the members of the Committee for Resolution of Challenges & Complaints will remain confidential and will not be released without the specific authorization of each member.

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

- a. Published certification/accreditation and eligibility criteria;
  - b. Records and materials which are disclosed as the result of a legal requirement;
  - c. Information concerning credential status that is posted on the IREC website.
  - d. All final published decisions and orders of the IREC Credentialing Program, the CEO, or the Committee for Resolution of Challenges & Complaints.
- 
6. **Failure to Disclose/Improper, False, or Misleading Representations.** The IREC Credentialing Program may temporarily or permanently prevent and bar an individual or organization from being certified or accredited, or may issue any other appropriate directive(s), where: a Program candidate or credential holder fails to disclose information related to credentialing requested by the IREC Credentialing Program; or, a candidate or credential holder makes an improper, false, or misleading representation to the IREC Credentialing Program.

Where a penalty, discipline, order, or other directive is issued by the IREC Credentialing Program under this Section, the candidate or credential holder involved may seek review and appeal under this Policy.

7. **Failure to Cooperate.** Where a candidate or credential holder fails or refuses to cooperate fully with the IREC Credentialing Program concerning matters arising under, or related to, this Policy, and it is determined that the lack of cooperation is without good cause, the IREC CEO or

authorized IREC Credentialing Program representative, or Committee for Resolution of Challenges & Complaints may penalize or discipline the individual or organization. Among other penalties or disciplines, the IREC Credentialing Program may temporarily or permanently prevent and bar an individual or organization from being credentialed or renewed, or may issue any other appropriate directive(s).

Where a penalty, discipline, order, or other directive is issued by the IREC Credentialing Program under this Section, the candidate or credential holder involved may seek review and appeal under this Policy.

- 8. Professional Complaint Matters.** Following notice, and a reasonable opportunity to present a response, the IREC Credentialing Program may temporarily or permanently prevent an individual from being credentialed or having their credential renewed, or may issue any other appropriate directive(s), where: the candidate or credential holder has been the subject of any complaint or similar matter related to the candidate/credential holder's professional conduct or business activities; or, the candidate or credential holder is the subject of matters or proceedings involving criminal charges, or other court matter that involves a jail sentence (imprisonment). The IREC Credentialing Program may take such action regardless of when the alleged violation occurred.

Where a penalty, discipline, order, or other directive is issued by IREC Credentialing Program under this Section, the candidate or credential holder involved may seek review and appeal under this Policy.

## **C. IREC CREDENTIALING PROGRAM CERTIFICATION/ACCREDITATION ELIGIBILITY ACTIONS AND DECISIONS**

- 1. Certification/Accreditation Application and Renewal Application Actions.** Under the supervision of the IREC CEO or his/her authorized representative, the IREC Credentialing Program will make one of the following decisions with regard to a candidate's application(s) for IREC Certification/Accreditation: (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 necessary eligibility requirements, or the candidate has breached an IREC Credentialing Program policy or rule.
- 2. Certification/Accreditation Actions.** The IREC Credentialing Program will make one of the following decisions with regard to a credential holder's Application: (a) grant certification/accreditation; (b) grant provisional certification/accreditation, pending satisfactory completion of all certification/accreditation renewal requirements; (c) request additional information; or, (d) terminate the Application on the ground(s) that the credential holder does not meet the criteria for certification/accreditation, or the credential holder has violated, or acted contrary to, an IREC Credentialing Program policy or rule.

**D. CIRCUMSTANCES FOR APPEAL OF AN ADVERSE IREC CREDENTIALING PROGRAM ACTION OR DECISION**

A candidate or credential holder may submit an appeal of an adverse IREC Credentialing Program decision under the following circumstances: the candidate or credential holder failed to satisfy a certification/accreditation or renewal requirement; or, was otherwise ineligible for IREC Credentialing Certification/Accreditation, or certification/accreditation renewal.

**E. INITIAL REQUEST FOR REVIEW/SUBMITTING A REQUEST FOR REVIEW TO THE IREC CREDENTIALING PROGRAM**

A candidate or credential holder may submit a written request for review of an adverse action or decision within thirty (30) days of the date of the action by notifying the IREC Credentialing Program in writing and stating with particularity: 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 credential holder must also provide accurate copies of all supporting documents. A request for review may be in letter or other clear written form, must identify the candidate or credential holder, and must state that the document is a Request for Review by the IREC Credentialing Program.

**F. INFORMAL REVIEW BY THE IREC EXECUTIVE DIRECTOR**

- 1. President/Chief Executive Officer (CEO) Actions.** Upon receipt, all Requests for Review are subject to an informal review by the IREC CEO or his/her designee. Following consideration of a request for review, the Executive Director or his/her designee will acknowledge receipt of the request within thirty (30) days, and may take one of the following actions:
  - a. Uphold or modify the adverse action or decision, or take other appropriate action; or,
  - b. Refer the matter to the IREC Credentialing Committee for Resolution of Challenges & Complaints for review and resolution as an appeal.
  
- 2. Referral of Request for Review/Appeal.** In the event that a request for review is referred to the IREC Credentialing Committee for Resolution of Challenges & Complaints for resolution, the CEO or his/her designee will provide the IREC Credentialing Committee for Resolution of Challenges & Complaints with all relevant materials, including the documents and materials submitted by the candidate or credential holder.

## **G. COMMITTEE FOR RESOLUTION OF CHALLENGES & COMPLAINTS**

- 1. Committee for Resolution of Challenges & Complaints.** The IREC Credentialing Advisory Board, will appoint at least three (3) Advisory Board members and/or IREC Credentialing Program credential holders in good standing, to serve as the IREC Credentialing Committee for Resolution of Challenges & Complaints to resolve each certification/accreditation eligibility appeal.
- 2. Circumstances and Limitations of Appeal.** Subject to the limitations below, in the following circumstances an appeal will be heard and resolved by the Committee for Resolution of Challenges & Complaints where: the matter has been referred by the CEO or his/her designee; or, a candidate or credential holder is dissatisfied with the final informal review and action of the CEO or his/her designee, and requests an appeal consistent with these procedures.

Only the following action and decision of the CEO or his/her designee may be appealed by the candidate or credential holder:

The candidate was found to be ineligible for accreditation or certification due to a failure to satisfy one or more of the certification/accreditation requirements, or was otherwise ineligible for certification/accreditation.

## **H. TIME PERIOD FOR APPEAL**

A candidate or credential holder seeking to present an appeal to the IREC Credentialing Committee for Resolution of Challenges & Complaints must submit a written appeal consistent with the requirements of these procedures, to the IREC Credentialing Program within thirty (30) days of the date of the final action and decision of the CEO or his/her designee. The time for filing the appeal may be extended by the IREC Credentialing Committee for Resolution of Challenges & Complaints upon written request by the candidate or credential holder received at least fifteen (15) days prior to the appeal deadline.

## **I. CONTENT OF APPEAL/GROUNDS FOR APPEAL**

- 1. Required Information for Appeal.** In order for an appeal to be considered by the IREC Credentialing Committee for Resolution of Challenges & Complaints, the appeal submission must contain the following information and material:
  - a.** The identity and signature of the individual candidate or credential holder (or authorized representative of a training organization) submitting the appeal;

- b. All objections, corrections, and factual information the candidate or credential holder believes to be relevant to the appeal;
  - c. The names, addresses, and telephone numbers of any persons with factual information relevant to the appeal, and a clear description of the factual information available from these persons; and,
  - d. Accurate copies of any and all relevant documents, exhibits, or other materials submitted in support of the appeal.
2. **Grounds for Appeal.** In order for an appeal to be considered by the IREC Credentialing Committee for Resolution of Challenges & Complaints, the appeal submission must contain substantial information supporting at least one of the following grounds, and a detailed explanation of the reasons for the appeal:
- a. The candidate’s eligibility for IREC Credentialing Certification/Accreditation was denied incorrectly;
  - b. The credential holder was incorrectly found ineligible for certification/accreditation renewal under IREC Credentialing Program requirements, and the credential holder would have qualified for renewal if the correct requirements had been applied.

**J. REQUESTS FOR APPEAL HEARING/HEARING PROCEDURE**

1. **Scheduling of Appeal/Telephone Hearings.** Within forty-five (45) days of receipt of a complete, proper, and written appeal, the IREC Credentialing Committee for Resolution of Challenges & Complaints will schedule a date and time for consideration of the appeal, generally not later than one-hundred twenty (120) days after receipt of the appeal, and notify the candidate or credential holder of the appeal date and time. Where the candidate or credential holder has requested a telephone hearing, the IREC Credentialing Committee for Resolution of Challenges & Complaints will convene, preside over, and conduct an appeal hearing.
2. **Appeal Hearings on the Written Record.** In the event that the candidate or credential holder does not request a telephone hearing, the appeal will be decided based on the appropriate written record, as determined by the IREC Credentialing Committee for Resolution of Challenges & Complaints.
3. **Appeal Determination/Decision of the Resolution Committee.** Following the close of the appeal record, the IREC Credentialing Committee for Resolution of Challenges & Complaints will review the record of the appeal, including the action or decision of the CEO or other authorized IREC Credentialing Program representative, and the information and materials received from the candidate or credential holder. The IREC Credentialing Committee for Resolution of Challenges & Complaints will resolve and decide the appeal based on the record, including

relevant and credible information presented by the candidate or credential holder. The appeal decision will include the findings of the IREC Credentialing Committee for Resolution of Challenges & Complaints and a summary of the relevant facts upon which the decision is based. The appeal decision will be prepared and issued under the direction of the IREC Credentialing Committee for Resolution of Challenges & Complaints, or other authorized representative, within thirty (30) days of the closing of the appeal record, or as soon thereafter as is practical.

**K. 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 CEO, his/her designee or the IREC ISPO Committee for Resolution of Challenges & Complaints, and the allowable time period for the filing of an appeal, under this Policy, has passed or lapsed; or,
- b. The appeal has been withdrawn or terminated by the candidate or credential holder.

Approved by the IREC Board of Directors on January 19, 2012

## APPENDIX 3: ETHICS CASE PROCEDURES

### INTRODUCTION

The Interstate Renewable Energy Council (IREC) maintains and administers a high-quality certification and accreditation program for clean energy training professionals and programs. Through the IREC Credentialing Program (IREC Credentialing Program), IREC certifies clean energy training professionals and accredits qualified clean energy training programs that satisfy all applicable IREC Credentialing Certification and Accreditation requirements.

This policy describes the only procedure for handling IREC Credentialing Program ethics cases. In order to receive IREC Credentialing Certification or Accreditation, each candidate must satisfy all required Credentialing requirements, as set forth in IREC Credentialing Program policies, including the IREC Credentialing Candidate Handbook. In addition, IREC Credentialing Program candidates must act and conduct all professional services and business activities consistent with the IREC Credentialing Program Code of Ethics. Each candidate agrees that: the procedures contained in this policy are a fair process for resolving all ethics matters; they will be bound by decisions made pursuant to these procedures; and, this policy does not constitute a contract between IREC and the candidate or credential holder.

#### A. GENERAL.

- 1. Nature of the Process.** This policy is applicable to IREC Credentialing Program Certification and Accreditation candidates and credential holders (candidates and credential holders), and is the only means to resolve all IREC Credentialing Program ethics charges and complaints. Designated IREC Credentialing Program representatives have the exclusive authority to process or end any ethics inquiry or case, regardless of circumstances. Candidates and credential holders agree that they will not challenge the authority of the IREC Credentialing Program to apply the Code of Ethics, the Ethics Case Procedures, and other policies, and will not challenge the results of any disciplinary action taken under these policies in a legal or government forum. The procedures contained in this policy are not formal legal proceedings, so most legal rules and practices are not observed. Designated IREC Credentialing Program representatives will review the pertinent information presented when considering ethics investigations, cases, and decisions.

This policy is designed to operate without the assistance of attorneys. Any Party may be represented by an attorney with respect to an ethics proceeding at the Party's sole expense. However, if a Party has retained an attorney, that attorney may be directed to communicate with the IREC Credentialing Program only through IREC Legal Counsel. The Parties are encouraged to communicate directly with designated IREC Credentialing Program representatives.

- 2. Participants.** Ethics cases may be decided by the IREC President/Chief Executive Officer or other designated IREC Credentialing Program representative or the Ethics Review Committee. A candidate or credential holder who is the subject of an ethics charge or complaint is identified as the Respondent in this policy. The person(s) initiating an ethics case against a candidate or credential holder is identified as the Complainant(s). The Respondent and the Complainant collectively are identified as the Parties.

3. **Complainants/Ethics Charge Statement.** Any person, group or, in appropriate cases, the IREC Credentialing Program, may initiate an ethics case and act as a Complainant. A Complainant, other than the IREC Credentialing Program, must: complete the information requested on the Charge Statement; and, submit the completed, signed Charge Statement to the IREC Credentialing Program. Each Ethics Charge Statement must include a detailed written description of the factual allegations supporting the ethics charge(s).
4. **Time Requirements.** The IREC Credentialing Program will make every effort to follow the time requirements set forth in this policy. However, a failure by IREC Credentialing Program representatives to meet a time guideline will not prohibit the final resolution of any ethics matter. Complainants and Respondents are required to comply with all time requirements specified in this policy. Time extensions or postponements may be granted by the IREC Credentialing Program in appropriate circumstances at the Program's sole discretion.
5. **Litigation/Other Proceedings.** The IREC Credentialing Program may accept, resolve, continue, or delay an Ethics Complaint when civil or criminal litigation, or other proceedings related to the complaint, have been, or are presently, before a court, regulatory agency, or professional body.
6. **Complaints Concerning Non-Candidates and Non-Credential Holders.** In the event that the IREC Credentialing Program receives an ethics inquiry or Ethics Charge Statement concerning an individual or organization who is not certified or accredited by the IREC Credentialing Program, or who is not a certification or accreditation candidate, a representative of the IREC Credentialing Program will inform the Complainant and may refer the Complainant to an appropriate authority or organization.
7. **Improper Disclosure/False or Misleading Responses.** A failure to disclose pertinent information, or a misleading disclosure, by a candidate or credential holder with respect to an ethics charge, criminal case, disciplinary proceeding, or similar matter concerning the candidate or credential holder may be a violation of this policy and other IREC Credentialing Program policies, and may result in discipline and/or other actions authorized by this policy.
8. **Time Limitations Concerning Complaints.** The IREC Credentialing Program may consider any Ethics Complaint concerning candidates and credential holders, regardless of:
  - a. Whether the Respondent was certified or accredited at the time of the alleged violation;
  - b. When the alleged violation occurred; or,
  - c. Whether the Respondent continues to hold or seek IREC Credentialing Certification or Accreditation during the course of any ethics case.
9. **Confidentiality.** In order to protect the privacy of the Parties in an ethics case, all related material prepared by, or submitted to, the IREC Credentialing Program will be confidential. Disclosure of material prepared by, or submitted to, the IREC Credentialing Program is permitted only when: specifically authorized by IREC Credentialing Program policy, the President/Chief Executive Officer or his/her authorized designee, or the Ethics Review Committee; or, required by an appropriate court

or government agency order. Until an ethics case has been closed or finalized pursuant to Section L, all Parties must maintain the confidentiality of all information related to the ethics case, including its existence.

If any Party discloses information related to the ethics case contrary to this policy, the IREC Credentialing Program may: dismiss the complaint and terminate the ethics case if the disclosure is by the Complainant; or, may impose any sanction allowed by this policy if the disclosure is by the Respondent. This rule, however, does not limit or restrict the ability of a Party to collect information relevant to the resolution of the ethics case, so long as the Party makes all reasonable efforts to maintain confidentiality.

**10. Failure to Cooperate.** If a Party refuses to fully cooperate with the IREC Credentialing Program, or participate concerning the ethics case, and it is determined that the lack of cooperation or participation was without good cause, the Program may take the following actions:

- a. Dismiss the Ethics Complaint and terminate the ethics case, if the Complainant is uncooperative; or,
- b. Impose any sanction allowed by this policy, if the Respondent is uncooperative.

No appeal of such IREC Credentialing Program actions is permitted.

**11. Resignation from IREC Credentialing Certification/Accreditation.** If a Respondent attempts to relinquish IREC Credentialing Certification or Accreditation, or withdraws an application during an ethics inquiry or case, the IREC Credentialing Program may continue the matter to a final resolution and decision according to this policy.

## **B. MEDIATION.**

**1. Cases Appropriate for Mediation.** The President/Chief Executive Officer or other designated IREC Credentialing Program representative will receive all Ethics Charge Statements and complaint communications, in order to determine whether the matter could be resolved fairly without a formal ethics review. The IREC Credentialing Program representative will consider: the seriousness of the allegations; the Respondent's background; the Respondent's prior conduct; and, any other relevant information or material. Ethics cases concerning charges issued by a regulatory agency or professional body, and those involving criminal or civil litigation, are not appropriate for mediation.

**2. Mediation Determination.** If the IREC Credentialing Program representative determines that a conduct matter is appropriate for mediation, and the Complainant and Respondent agree to mediation, all parties will make a reasonable and good faith effort to resolve the dispute to a fair, just, and voluntary conclusion.

**3. Successful Mediation.** If a conduct matter is resolved informally by mediation, the IREC Credentialing Program representative will prepare a report summarizing the terms of each mediated resolution of the conduct matter. A copy of the report will be forwarded to the Parties.

4. **Unsuccessful Mediation.** If a conduct matter is not resolved by mediation, the IREC Credentialing Program representative will refer the case to the Ethics Review Committee for resolution consistent with this policy.

**C. ETHICS INQUIRIES/ETHICS CHARGE STATEMENTS.**

1. **Ethics Inquiries.** The IREC Credentialing Program will provide an Ethics Charge Statement form to an individual or group submitting a complaint, along with the IREC Credentialing Program Code of Ethics and the Ethics Case Procedures. The IREC Credentialing Program will record all ethics inquiries and identify: the person(s) making the inquiry; the candidate or credential holder; and, the nature of the matter.
2. **Ethics Charge Statement/Description of Charges.** In order for the IREC Credentialing Program to consider an Ethics Complaint, a Complainant other than the IREC Credentialing Program must complete and submit an Ethics Charge Statement to the IREC Credentialing Program, including all information required by the form. The Ethics Charge Statement is a written communication from a Complainant describing the allegations against a candidate or credential holder, and the related Code of Ethics provisions. Public documents, such as newspaper stories, court decisions or orders, agency decisions, or other appropriate materials, also may be considered as supporting information. Documents submitted as part of an ethics inquiry or in support of an Ethics Charge Statement become the property of the IREC Credentialing Program, and will not be returned.

**D. ACCEPTANCE/REJECTION OF ETHICS CHARGES.**

1. **Initial Charge Statement Review.** When an Ethics Charge Statement is received by the IREC Credentialing Program, the IREC Credentialing Program representative will:
  - a. Review the material received and assign a case number to the ethics matter;
  - b. Review the allegations made concerning the charges;
  - c. Determine whether the charges are presented in sufficient detail to permit the IREC Credentialing Program to conduct a preliminary investigation; and, if necessary;
  - d. Contact the Complainant and/or other parties to request additional factual information.

The IREC Credentialing Program representative will send a letter to the Complainant and Respondent stating whether the charges submitted are accepted or rejected for a formal ethics investigation.

- 2. Charge Acceptance.** The IREC Credentialing Program representative will review an Ethics Charge Statement submitted by a Complainant, and then determine if it will become the subject of a formal Ethics Complaint and Investigation. The following information will be considered when determining if a charge is accepted or rejected:
- a. Whether the Respondent is a candidate or credential holder;
  - b. Whether a proven charge would constitute a violation of the IREC Credentialing Program Code of Ethics;
  - c. Whether the passage of time since the alleged violation requires that the charge(s) be rejected;
  - d. Whether relevant, reliable information or proof concerning the charge is available;
  - e. Whether the Complainant is willing to provide relevant information to the IREC Credentialing Program concerning the complaint(s); and,
  - f. Whether the charge appears to be justified or supported, considering the evidence available to the IREC Credentialing Program.

The IREC Credentialing Program representative will review the charge(s) and available information consistent with this policy section, and will: determine whether the matter could be resolved fairly without a formal ethics review, such as mediation, pursuant to Section B; issue a formal Ethics Complaint and Investigation Notice pursuant to Section E; or, reject the charge(s) pursuant to Section D.3.

- 3. Charge Rejection.** If the IREC Credentialing Program representative determines that a charge allegation should not become the subject of an Ethics Complaint, the charge(s) will be rejected. The IREC Credentialing Program representative will notify the Complainant and Respondent of the rejection, and the reason(s) for the rejection by letter within approximately thirty (30) days of the determination.
- 4. Appeal of Charge Rejection Determination.** Within thirty (30) days of the date of the IREC Credentialing Program representative's charge rejection letter, the Complainant may appeal to the Ethics Review Committee. In order for the Ethics Review Committee to consider the rejection, the Complainant must state the following in writing:
- a. The alleged procedural errors made by the IREC Credentialing Program representative related to this policy with respect to the charge rejection;
  - b. The specific provisions of the Code of Ethics believed violated; and,
  - c. The specific information believed to support the acceptance of the charge(s).

The Ethics Review Committee will convene to consider and decide any charge rejection appeal. Such decisions cannot be appealed.

**E: ETHICS COMPLAINTS AND INVESTIGATION.**

- 1. Ethics Complaint and Investigation Notices.** After an ethics charge is accepted, a formal Ethics Complaint and Investigation Notice (Ethics Complaint) will be sent to the Respondent and Complainant identifying each alleged Code of Ethics violation, and the factual information related to each complaint. The Ethics Complaint will be delivered to the Respondent and Complainant using a verifiable delivery service, and will be marked “Confidential.”

**F. ETHICS COMPLAINT RESPONSE.**

- 1. Submitting an Ethics Complaint Response.** Within thirty (30) days of the date of an Ethics Complaint, the Respondent must submit an Ethics Complaint Response (Complaint Response) according to the instructions in the Ethics Complaint. The Complaint Response must include the following:

- a. A full and accurate response to each complaint matter and alleged Code of Ethics violation;
- b. The identification and a copy of each document that the Respondent believes to be relevant to the resolution of the Ethics Complaint; and,
- c. Any other information that the Respondent believes will assist the IREC Credentialing Program representative in considering the Ethics Complaint fairly.

The Complaint Response, and any document(s) submitted in support of the Response, become the property of the IREC Credentialing Program, and will not be returned.

- 2. Response Deficiencies.** The IREC Credentialing Program representative may require the Respondent to provide additional information concerning a Complaint Response.
- 3. Optional Reply to Ethics Complaint Response.** The IREC Credentialing Program will forward a copy of the Complaint Response to the Complainant within approximately ten (10) days following the Program’s receipt of the Response. The Complainant may submit a written Reply to the Respondent’s Complaint Response within ten (10) days of the mailing date of the Response to the Complainant. If submitted, the Reply must fully explain all objections that the Complainant wishes to present concerning the Complaint Response.
- 4. Optional Response to Complainant Reply.** The IREC Credentialing Program will forward a Complainant’s Reply to the Respondent within approximately ten (10) days following the Program’s receipt of the Reply. The Respondent may submit a written Response to the Complainant’s Reply within ten (10) days of the mailing date of the Reply to the Respondent. The Response must fully explain, and is limited to, any objections that the Respondent wishes to present concerning the Complainant’s Reply to the Complaint Response.

**G. PRELIMINARY ACTIONS AND ORDERS.**

- 1. Voluntary Temporary Suspension of Credential.** After an Ethics Complaint is issued, the Respondent may be asked to accept, and agree to, a temporary suspension of their credential and certain related conditions, which will remain in effect until the final resolution of the Complaint. This Voluntary Suspension Agreement will state that the Respondent's IREC Credentialing Program credential is suspended, and that the Respondent agrees to stop representing themselves as credentialed or otherwise endorsed by the IREC Credentialing Program until the final resolution of the Ethics Complaint. The Respondent will return, at their own expense, any credential materials to the IREC Credentialing Program to be held until the suspension or other disciplinary action has ended.
- 2. Involuntary Suspension of Credential.** If a Respondent does not agree to accept a Voluntary Suspension Agreement pursuant to Section G.1, the IREC Credentialing Program representative or the Ethics Review Committee may issue an Order temporarily suspending the Respondent's credential, and/or imposing appropriate conditions, consistent with this policy section. This Suspension Order will stay in effect until the final resolution of the Complaint.
- 3. Circumstances of Involuntary Suspension Orders.** Suspension Orders are authorized where:

  - a. The Respondent has been convicted of a criminal act by a court, or the Respondent has not contested a criminal charge;
  - b. The Respondent has been charged with a criminal act or violation of criminal law, and the charge or violation is pending before a court;
  - c. The Respondent has been found in violation of a law, regulation, or rule by a government regulatory body, or has been sanctioned or disciplined by a government regulatory body;
  - d. The Respondent is the subject of a formal complaint and/or investigation by a government regulatory body;
  - e. The Respondent has been found in violation of an ethics or disciplinary code of a professional association or certifying body;
  - f. The Respondent is the subject of a formal complaint and/or investigation by a professional association or certifying body concerning ethics or disciplinary matters; or,
  - g. The Respondent is the subject of litigation directly relating to their professional or business activities.
- 4. Other Preliminary Orders.** The IREC Credentialing Program representative or the Ethics Review Committee may require the Respondent to do or to refrain from doing certain acts by Preliminary or Temporary Order, including the submission of information and/or documents relevant to an ethics case review. Any Temporary and Preliminary Order will be reasonably related to the Ethics Complaint under consideration, or to a Party's responsibilities under the Code of Ethics.

5. **Failure to Comply with Preliminary Orders.** The IREC Credentialing Program representative or the Ethics Review Committee may discipline a Respondent who fails to comply with a Preliminary or Temporary Order. In determining the appropriate discipline, the IREC Credentialing Program representative or the Ethics Review Committee will consider the severity of the failure to comply and other relevant factors. Preliminary and Temporary Orders cannot be appealed.

## H. IREC CREDENTIALING PROGRAM REPRESENTATIVE COMPLAINT REVIEW AND RESOLUTION.

1. **IREC Credentialing Program Representative Resolution of Complaints/Decision and Order.** The IREC Credentialing Program representative will consider and resolve the Ethics Complaint under this policy, based on the information in the record, and issue a Final Decision and Order, consistent with Section I. The final Decision and Order of the IREC Credentialing Program representative is binding on the Parties. An adverse Decision and Order may be appealed to the Ethics Review Committee by the Respondent, consistent with the requirements of this policy.

## I. IREC CREDENTIALING PROGRAM REPRESENTATIVE CASE DECISION AND ORDER.

1. **Ethics Case Decision and Order.** Approximately thirty (30) days after an ethics case record is closed, or as soon as practical, the IREC Credentialing Program representative will prepare an Ethics Case Decision and Order, and will send the Decision to the Parties.

2. **Contents of the Ethics Case Decision.** The following information will be included in the Ethics Case Decision:

- a. A summary of the case, including the positions of the Parties;
- b. A summary of the relevant factual findings based on the record;
- c. A final ruling on each IREC Credentialing Program Code of Ethics complaint;
- d. A statement of the disciplinary and remedial action(s) imposed, if any; and,
- e. Any other appropriate directive(s) consistent with the Decision.

3. **Ethics Case Order.** The IREC Credentialing Program representative may issue an Ethics Case Order that includes any of the following actions and information:

- a. An order directing the Respondent to stop or end any behavior or acts found to be in violation of the Code of Ethics or related IREC Credentialing Program policies;
- b. A statement of the disciplinary and remedial action(s) imposed, and a requirement that

the Respondent comply immediately with these action(s); and/or,

- c. Any other appropriate directive(s) consistent with the Decision and IREC Credentialing Program policies.

**J. DISCIPLINARY ACTIONS.**

- 1. Disciplinary Actions Available.** When a Respondent has been found to have violated the Code of Ethics, the IREC Credentialing Program representative may issue and order one or more of the following disciplinary and remedial actions:

- a. A recommendation to the IREC Credentialing Advisory Board that the candidate be ineligible for IREC Credentialing Certification or Accreditation, or that a credential holder be ineligible for certification or accreditation renewal;
- b. A requirement that the Respondent take corrective action(s), or fulfill appropriate conditions;
- c. A private reprimand and censure related to the Code of Ethics violation(s);
- d. A public reprimand and censure related to the Code of Ethics violation(s);
- e. A term of certification/accreditation probation for any period of up to three (3) years, which may include conditions related to the Respondent's conduct;
- f. Suspension of the Respondent's Certification/Accreditation for a period of not less than six (6) months and not more than three (3) years, which will include the requirements that the Respondent return to the IREC Credentialing Program all original or copied credential materials for the suspension period, and immediately stop any professional identification or affiliation with the IREC Credentialing Program during the suspension period; and,
- g. Revocation of the Respondent's Certification/Accreditation, which will include the requirements that the Respondent return to the IREC Credentialing Program all original or copied credential materials, and immediately stop all identification or affiliation with the IREC Credentialing Program.

- 2. Referral and Notification Action.** An IREC Credentialing Program representative may notify appropriate government agencies or professional organizations of any final disciplinary action(s) taken concerning a Respondent by sending a copy of the final Ethics Case Decision and Order or Ethics Appeals Decision. The IREC Credentialing Program representative may send this Decision notification after the time period for the Respondent to appeal an adverse decision has lapsed. During an appeal period, the IREC Credentialing Program may respond to inquiries concerning ethics cases, and may indicate the existence of a complaint.

- 3. Publication of Disciplinary Action.** Following the closure of an ethics case, the IREC Credentialing Program may publish or release a final Ethics Case Decision or Appeal Decision.

Any Party or interested individual may request the publication of any final Decision, consistent with this policy. However, the IREC Credentialing Program may grant or deny such requests, and these decisions cannot be appealed.

#### **K. ETHICS REVIEW COMMITTEE APPEALS.**

- 1. Ethics Review Committee Appeals.** The IREC Credentialing Program Ethics Review Committee will be responsible for resolving all appeals concerning Ethics Case Decisions of the IREC Credentialing Program representative. The Ethics Review Committee Chair will preside over and conduct each appeal hearing, with at least two (2) Ethics Review Committee members, consistent with this policy. No Ethics Review Committee member may participate in an appeal where the Committee member has had a business, employment, or personal relationship with a Party to the ethics case, or where there otherwise appears to be a possible conflict of interest related to such participation.
- 2. Time Period for Appeals to the Ethics Review Committee.** Within thirty (30) days of the date of an adverse Ethics Case Decision by the IREC Credentialing Program representative, the Respondent may appeal all or a portion of the Decision and Order to the Ethics Review Committee pursuant to this policy Section. Any appeals received beyond this time period will not be reviewed or considered by the Ethics Review Committee.
- 3. Grounds for Appeal to the Ethics Review Committee.** An adverse Decision of the IREC Credentialing Program representative may be affirmed, reversed, or otherwise modified by the Ethics Review Committee on appeal. However, the grounds for appeal of an adverse Decision are strictly limited to the following:
  - a. Procedural Error: The IREC Credentialing Program representative misapplied a procedure contained in this policy, and this misapplication prejudiced the Respondent;
  - b. New or Previously Undiscovered Information: Following the closing of the hearing record, the Respondent has found relevant information that was not previously in their possession, that was not reasonably available prior to the closure of the record, and that could have affected the Ethics Case Decision;
  - c. Misapplication of the Ethics Code: The IREC Credentialing Program representative Decision misapplied the provisions of the Code of Ethics, and the misapplication prejudiced the Respondent; and/or,
  - d. Contrary to the Information Presented: The Ethics Case Decision is contrary to the most substantial information provided in the record.

With respect to Sections K.3(a) and K.3(c), above, the Ethics Review Committee will consider only arguments that were presented to the IREC Credentialing Program representative prior to the closing of the hearing record.

4. **Contents of Appeal/Letter of Appeal.** In order to submit an appeal to the Ethics Review Committee under this policy Section, the Respondent must submit a written appeal document to the Ethics Review Committee in the time period specified in Section K.2, which contains the following information and material:
  - a. The ethics case name, case number, and the date of the IREC Credentialing Program representative Decision;
  - b. A statement of the grounds for the appeal under Section K.3, above, and a complete explanation of the reasons that the Respondent believes the Ethics Case Decision should be reversed or otherwise modified; and,
  - c. Accurate, complete copies of any material that supports the Respondent's appeal.

The Respondent's appeal, and any document(s) submitted in support of the appeal, become the property of the IREC Credentialing Program, and will not be returned.

5. **Appeal Deficiencies.** The Ethics Review Committee may require the Respondent to clarify, supplement, or amend the information presented in an appeal.
6. **Appeal Rejection.** If the Ethics Review Committee determines that an appeal does not meet the requirements of this policy, or does not otherwise require further review under this policy, the Committee Chair will reject the appeal. The Committee Chair will notify the Complainant and Respondent of the appeal rejection, as well as the reason(s) for the rejection. Appeal rejection decisions cannot be appealed.
7. **Optional Reply to Appeal Letter.** Within fifteen (15) days of the date of a Respondent's appeal, the Complainant may submit a written Reply to the appeal to the Ethics Review Committee. This Reply must fully explain all objections that the Complainant wishes to present to the Ethics Review Committee concerning the appeal.
8. **Optional Response to Complainant Reply.** If an optional Reply to the appeal is submitted by the Complainant, the Review Committee will forward the Reply to the Respondent within approximately ten (10) days following the receipt of the Reply. The Respondent may submit a written Response to the Complainant's Reply within ten (10) days of the mailing date of the Reply. The Response must fully explain, and is limited to, any objections that the Respondent wishes to present to the Ethics Review Committee concerning the Complainant's Reply to the appeal.
9. **Request to Appear Before the Ethics Review Committee.** The Complainant or Respondent may request to participate in the Ethics Review Committee's review of the appeal via telephone conference. The Committee Chair will determine whether to grant, deny, or limit the request. In the event a request to participate is denied, such decision cannot be appealed. The Complainant and/or Respondent are solely responsible for their expenses related to the appeal.

**10. Ethics Review Committee Review of Appeals.** Within one hundred and eighty (180) days after the submission of a complete appeal, or as soon after as is practical, the Ethics Review Committee will convene to review and determine the outcome and final resolution of the appeal. The Ethics Review Committee will review the case record, any appeal submissions presented by the Parties, and/or any other information determined to be relevant. Thereafter, the Ethics Review Committee will determine the appeal by majority vote in closed session.

**11. Ethics Review Committee Appeal Decisions and Orders.** Within thirty (30) days of conclusion of the Ethics Review Committee's determination concerning the appeal, or as soon after as is practical, the Committee Chair, on behalf of the Ethics Review Committee, will issue an Appeal Decision and Order (Appeal Decision) explaining the outcome of the appeal. With respect to each appeal, the Appeal Decision will include the following:

- a. A summary of any relevant portions of the Ethics Case Decision and Order;
- b. A summary of any relevant procedural or factual findings made by the Ethics Review Committee;
- c. The ruling(s) and decisions with respect to each matter under appeal; and,
- d. The Review Committee final Order affirming, reversing, amending, or otherwise modifying any portion of the Ethics Case Decision and Order, including any disciplinary or remedial action(s).

Copies of the Committee Appeal Decision will be sent to the Parties using a verifiable delivery service.

**L. FINALIZING AND CLOSING ETHICS CASES.**

**1. Events That Will Cause Closure of an Ethics Case.** An ethics case will be closed and all proceedings ended when any of the following occur:

- a. The Charge Statement has not been accepted and the charges have been rejected as the basis for an Ethics Complaint, and all related appeal rights have ended;
- b. A final Ethics Case Decision or Appeal Decision has been issued, and all related appeal rights have ended; or,
- c. An Ethics Complaint has been terminated or withdrawn by the Complainant(s).

**2. Events Which Will Cause an Ethics Case Decision and Order to Become Final.** An Ethics Case Decision that is not appealed will be final. The Appeal Decision of the Ethics Review Committee will be final, and no further appeals will be available to any Party.

**M. REINSTATEMENT AND REAPPLICATION PROCEDURES FOLLOWING PROBATION, SUSPENSION, AND REVOCATION ORDERS.**

- 1. Probation Orders/Reinstatement or Referral.** Following the expiration of a final Probation Order, the IREC Credentialing Program representative will determine whether the Respondent has satisfied the terms of the Probation Order. If the Respondent has completely satisfied the terms of probation, the IREC Credentialing Program representative will reinstate the credential holder to full certification/accreditation status. If the Respondent has not satisfied the terms of probation, the IREC Credentialing Program representative will refer the case to the IREC Credentialing Advisory Board for review and action consistent with this policy, including, but not limited to, continuation of the Probation Order and/or the issuance of additional disciplinary or remedial actions.
- 2. Suspension Orders/Reinstatement Requests.** After a final Suspension Order issued under this policy has expired, a Respondent may submit a Request for Credential Reinstatement (Reinstatement Request) to the IREC Credentialing Program representative, consistent with the requirements of this policy Section. The IREC Credentialing Program representative will review the Reinstatement Request and prepare a recommendation to the IREC Credentialing Advisory Board concerning the Request.
- 3. Revocation Orders/Reapplication Petition.** Five (5) years after a final Revocation Order is issued under this policy, a Respondent may submit a Petition for Permission to Reapply for a Credential (Reapplication Petition) to the IREC Credentialing Program representative, consistent with the requirements of this policy Section. The IREC Credentialing Program representative will review the Petition and prepare a recommendation to the IREC Credentialing Advisory Board concerning the Petition.
- 4. Contents of Reinstatement Requests and Reapplication Petitions.** Following the receipt of a recommendation from the IREC Credentialing Program representative the IREC Credentialing Advisory Board will consider Reinstatement Requests and Reapplication Petitions from candidates and credential holders who have been the subject of final Suspension or Revocation Orders. Reinstatement Requests and Reapplication Petitions must include the following information:
  - a. The ethics case name, case number, and the date of the final Ethics Decision;
  - b. A statement explaining the reasons that the Respondent believes the Reinstatement Request or the Reapplication Petition should be granted, including the reasons that the Respondent should now receive certification or accreditation, or be eligible for certification or accreditation; and,
  - c. Accurate and complete copies of any documents or other materials that support the Request or Petition.
- 5. IREC Credentialing Advisory Board Reinstatement Request and Reapplication Petition Review.** Within ninety (90) days after a complete Reinstatement Request or Reapplication Petition is submitted to the IREC Credentialing Program, or as soon after as is practical, the IREC Credentialing Advisory Board will review the Request or Petition. Requests to participate in the review will be granted at the sole discretion of the Advisory Board. Each Request or Petition will

be considered by a quorum of the Advisory Board in a closed meeting. During these deliberations, the Advisory Board will review the information presented by the Respondent, and any other relevant information, and determine the final outcome of the Request or Petition by majority vote.

- 6. IREC Credentialing Advisory Board Reinstatement Request and Reapplication Petition Decisions and Orders.** Within thirty (30) days after the IREC Credentialing Advisory Board has completed its review of a Reinstatement Request or Reapplication Petition, or as soon as is practical, the Advisory Board will prepare and issue a Decision and Order concerning the Request or Petition. The final Advisory Board Decision and Order will indicate whether the Request or Petition is granted, denied, or continued to a later date. If appropriate, the Advisory Board Decision and Order will indicate any conditions of certification/accreditation, or certification/accreditation renewal. The IREC Credentialing Advisory Board Decision and Order will be sent to the Parties using a verifiable delivery service. While no appeal of the Advisory Board Decision and Order is permitted, the Respondent may submit a new Request or Petition pursuant to this Section, two (2) or more years after the issuance of the Advisory Board Decision and Order.

Approved by the IREC Board of Directors on January 19, 2012