



Firm Instrument Verification Process Defined

Approved change as of July 1, 2022

The Designated Certified Professional (DCP), for each discipline the firm holds, will attest to meeting the instrument requirements and sign the firm Code of Ethics and Arbitration Agreement when they pay their annual fees, in addition to submitting their recertification, annually, via certelligence. The deadline to do this is December 31.

The Designated Certified Professional, in each discipline the Firm holds, will be required to do the following by December 31, to maintain NEBB certification.
Submit 6 CECs
Attest that the firm meets the most current NEBB instrument requirements and sign the Firm Code of Ethics and Arbitration Agreement
Pay annual fees for the individual and firm, as well as your local chapter

At the completion of the recertification, new certificates, and stamps will be electronically issued for one year. The expiration date will now reflect December 31. The DCP does not have to do anything else until the next recertification period opens unless the firm is picked to be verified. NEBB Headquarters will conduct an instrument verification randomly, on an annual basis.

My firm was picked for instrument verification. What happens next?

The NEBB Technical Director (TD) will contact the local chapter to start the verification process. Notification of the instrument verification will be sent to the DCP(s) in the firm. The DCP will be required to submit calibration sheets, and specification sheets for the firm-owned instruments in accordance with the Procedural Standard for each discipline the firm holds. The firm will have 30 days to provide this information to the chapter and the NEBB TD, via upload to a share file folder (a link will be provided to the firm).

How do I submit my calibration and specification sheets?

Cover sheets will be provided for you to use, for each discipline. Using the Sharefile link provided in the notification, upload the required calibration sheets, and specification sheets to the folder, within 30 days of the notification. The calibration sheets will first be reviewed by the chapter TCC (per the OP, chapters have 45 days to review). The TCC will be looking at the calibration and specification sheets to verify compliance with the most current NEBB instrument requirements.

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My instrument verification was approved. What happens next?

If all is in order with the calibration sheets that are collected for each discipline, the chapter will send the approval to the NEBB TD via the approval sheet. NEBB staff will then take the Chapter Verification Form and calibration sheets and upload them to the firm's certelligence profile for historical purposes.

My calibration sheets were not compliant. What happens next?

If there are non-complaint calibration sheets, the chapter TCC will notify the NEBB TD and DCP(s) accordingly. The TCC and TD will review and determine what next steps should be taken, on a case-by-case basis, depending on the non-compliance factor. The DCP(s) of the firm should make every effort to take corrective action and follow any recommendations to get into compliance. If unable to satisfy the verification, the chapter will submit its non-recommendation to NEBB, using the Chapter Verification Form. The next steps will be taken in accordance with the Operational Procedures.

Examples of corrective actions for firms who fail the instrument verification, as defined in the Operational Procedures:

- Written corrective action
- Informal mediation
- Administrative Action
- Mentoring
- Suspension



FAQs

Q: How does my firm submit its recertification, annually?

A: The Designated Certified Professional for each discipline the firm holds will fill out the attestation page during the individual recertification submission that confirms the firm instrumentation meets the NEBB requirements.

Q: What is on the attestation page?

A. The following:

- Confirm the Firm meets the most current instrument requirements for each discipline the Firm holds
- Sign the firm Code of Ethics
- Sign the firm Arbitration
- Provide Firm Officer contact information
- Pay NEBB annual fees
- Pay Chapter fees

Q: What happens when my firm is picked for instrument verification?

A: The NEBB TD will work in collaboration with the Chapter TCC, following the approved Instrument Verification Process.

Q: Who participates in the Instrument Verification Process?

A: Firms will randomly be chosen for instrument verification by the NEBB Headquarters. The NEBB TD will then engage the local chapter TCC to collaborate in the review.

Q: What happens if my firm fails the Instrument Verification?

A: Non-compliance submissions will be handled as per the NEBB Operational Procedures and may require the Chapter Affairs Committee for additional support to decide on corrective action.

Examples of corrective actions for firms who fail the instrument verification:

- Written corrective action
- Informal mediation
- Administrative Action
- Mentoring
- Suspension

Q: Where can I find the most current NEBB-approved instrument list?

A: This list can be found on www.nebb.org.

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Q: Is there a certain way the firm must submit the calibration sheets for review?

A. Yes, each discipline has a form for the respective DCP to fill out and submit with the calibration and specification sheets for all required instruments.

Q: Once I am told my firm has been picked for instrument verification when do I have to have the submission uploaded for review?

A. 30 days

Q: How long does the chapter have to review the submission?

A. Up to 45 days

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