

 "In the Public Interest"	NAESA International	
	QUALIFIED ELEVATOR INSPECTOR (QEI) EXAM APPLICATION  Please read the certification requirements, qualifications, and duties accompanying this application to determine your eligibility to take the test.	

LAST NAME:		FIRST NAME:		M.I.
HOME ADDRESS:			CITY:	STATE: ZIP:
HOME PHONE:	CELL PHONE:	FAX:		NAESA MEMBER:
EMAIL ADDRESS:		ID TYPE:	ID NUMBER:	
PRESENT POSITION:			LENGTH OF TIME IN PRESENT POSITION:	SELF-EMPLOYED:
PRESENT EMPLOYER:		NAME & TITLE OF SUPERVISOR:		
EMPLOYER ADDRESS:		CITY:	STATE:	ZIP:
WORK EMAIL:		WORK PHONE:	WORK FAX:	
ELEVATOR JURISDICTIONS IN YOUR AREA:			YEARS OF EXPERIENCE IN THE ELEVATOR INDUSTRY:	
CURRENT OR PREVIOUS QEI CERTIFICATIONS:		NAME OF CERTIFYING ORGANIZATION:		
CERTIFICATION NUMBER:		CERTIFICATION STATUS:		
REASON FOR SUSPENSION OR REVOCATION:				

"The NAESA International Certification Program contains provisions for a fair and equitable handling of disputes and provides for a detailed appeals mechanism for the resolution of disputes." *Certification Policies and Procedures Manual*

**Describe in detail your experience in the areas shown below: All information is subject to verification.**

**ELEVATOR CONSTRUCTION**

Years Performed:	DESCRIBE YOUR DUTIES AS AN ELEVATOR CONSTRUCTOR: (Attach separate sheet if needed)	EMPLOYER:

**ELEVATOR MAINTENANCE**

Years Performed:	DESCRIBE TYPES OF ELEVATOR MAINTENANCE YOU PERFORMED: (Attach separate sheet if needed)	EMPLOYER:

**ELEVATOR EQUIPMENT**

Years Performed:	DESCRIBE YOUR EXPERIENCE WITH VARIOUS ELEVATOR EQUIPMENT: (Attach separate sheet if needed)	EMPLOYER:

**ELEVATOR INSPECTION**

Years Performed:	DESCRIBE TYPES OF ELEVATOR INSPECTIONS YOU HAVE PERFORMED: (Attach separate sheet if needed)	EMPLOYER:

**ELEVATOR EQUIPMENT TESTING**

Years Performed:	DESCRIBE TESTS YOU HAVE PERFORMED ON ELEVATOR EQUIPMENT: (Attach separate sheet if needed)	EMPLOYER:

**DESCRIBE HOW YOU COMPLY WITH THE ASME QEI-1 STANDARD, SECTION 2.1**

(See 2.1 – Requirements, below) WHICH STATES “An inspector shall have verifiable experience of at least one year performing inspections and witnessing tests as specified in ASME A17.1 and ASME A18.1 under the direct observation of a QEI Certified Inspector and/or Inspector Supervisor.” Attach documents to support your experience statements, see experience requirements above. If experience is as a technician/mechanic, describe your work experience assisting in inspections and performing test. provide documentation

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**DESCRIBE HOW YOU COMPLY WITH THE ASME QEI-1 STANDARD, SECTION 2.2**

(See 2.2 – Duties, below) PERTAINING TO THE DUTIES OF AN INSPECTOR SPECIFICALLY IN MAKING ACCEPTANCE, ROUTINE AND, PERIODIC INSPECTIONS AND WITNESSING TESTS. Attach Documents to support your experience statements, see experience requirements above. If experience is as a technician/mechanic, describe your work experience assisting in inspections and performing tests. Provide documentation.

HIGHEST EDUCATION LEVEL ATTAINED (Circle One)	GRADE SCHOOL	HIGH SCHOOL/TECH	COLLEGE	GRADUATE SCHOOL
COLLEGE	DATE COMPLETED		DEGREE/CERTIFICATION	
GRADUATE SCHOOL	DATE COMPLETED		DEGREE/CERTIFICATION	
TECHNICAL VOCATIONAL SCHOOL	DATE COMPLETED		DEGREE/CERTIFICATION	
OTHER CERTIFICATES OF PROFESSIONAL/VOCATIONAL COMPETENCE OR LICENSES				
MEMBERSHIP IN PROFESSIONAL VOCATIONAL ASSOCIATIONS				
<b>I CERTIFY THAT ALL OF THE ABOVE IS TRUE TO THE BEST OF MY KNOWLEDGE.</b>				
<b>SIGNATURE</b>			<b>DATE</b>	
<p align="center"><b>YOU MUST INCLUDE SUPPORTING DOCUMENTATION OF YOUR EXPERIENCE/EDUCATION IN THE INDUSTRY.</b>                  Please attach copies of any certificates (including NEIEP, CAT and CET), licenses, degrees or other documentation to support the requirements noted below. Also include copies of any previous or current QEI certifications or any other official documentation that supports your claims as you have written in this application. Failure to provide this documentation will delay processing of your application.</p>				
<b>NAESA OFFICE USE ONLY</b>				
APPLICATION ACCEPTED YES      NO	VERIFICATION DATE	SOURCE		AUTHORIZED BY
TEST#	TEST DATE (mm/dd/yyyy)		TEST LOCATION	
TEST SCORE	PASS      FAIL	CERTIFICATION NUMBER C-	DATE ISSUED	DATE EXPIRES
COMMENTS				

**CANCELLATION POLICY: THE SEMINAR/COURSE FEE OR TEST FEE, LESS A \$50.00 CANCELLATION FEE, WILL BE REFUNDED IF WRITTEN NOTICE IS GIVEN TO NAESA AT LEAST TWO WEEKS PRIOR TO THE START DATE OF THE SEMINAR/COURSE OR TEST. NO REFUNDS WILL BE GIVEN AFTER THIS DATE. INDIVIDUALS WILL BE ALLOWED TO ATTEND A SUBSTITUTE SEMINAR/COURSE OR TEST WITHIN THE SAME CALENDAR YEAR WITHOUT INCURRING A CANCELLATION FEE IF THEY SUBMIT A WRITTEN REQUEST TO NAESA PRIOR TO THE ACTUAL DAY OF THE SEMINAR/COURSE OR TEST. NAESA INTERNATIONAL RESERVES THE RIGHT TO CANCEL THE COURSE.**

### Experience Requirements\*

- 1) Four (4) years' verifiable documented education and experience in the mechanical and/or electrical aspects in the elevator industry and is a person deemed to meet the A17.1 Code definition of "elevator personnel" and has at least one year's verifiable documented experience performing inspections and performing or witnessing tests as specified in A17.1 Sections 8.10 or 8.11 and A18.1. This year may be concurrent with the 4 years' experience. OR:
- 2) Two years of verifiable documented college courses in an elevator industry related engineering field (Documentation of education is required.) AND at least one year's verifiable documented experience performing inspections and performing or witnessing tests as specified in A17.1 Sections 8.10 or 8.11 and A18.1. OR:
- 3) Meet the definition of "elevator personnel"\*\*\* and have documented training AND at least one year's verifiable documented experience performing inspections and performing or witnessing tests as specified in A17.1 and A18.1 as one of the following:
  - a) an Elevator Inspector performing inspections for an enforcing authority, or
  - b) an Elevator Inspector trainee working under the direct supervision of an Elevator Inspector performing inspections for an enforcing authority, or
  - c) an Elevator Inspector performing inspections and licensed by or under the jurisdiction of an enforcing authority,
  - d) or an Elevator Inspector trainee licensed by or working under the direct supervision of a licensed Elevator Inspector performing inspections and working under the jurisdiction of an enforcing authority.
- 4) NAESA's Executive Director may require a notarized affidavit, signed by the applicant, attesting to their experience or education history if it's determined that all education/experience has been in situations where documentation was not required or where documentation cannot be produced.

\*\*A person deemed to meet the A17.1 Code definition of "elevator personnel" described as: "Persons who have been trained in the construction, maintenance, repair, inspection, or testing of equipment."

\*\*\*The term, "elevator industry-related engineering field", means that the academic contents of formal technical courses, or equivalent technical education, taken to achieve academic competency forms the requisite technical knowledge to design, analyze, or test, mechanical, structural, electrical, electro-mechanical, or computer engineering components, or systems relating to the vertical transportation field.

Documentation means photocopies of transcripts, inspection reports, time logs (If detailed description of work is included), time tickets (If detailed description of work is included), or other supporting documents which provide specific and detailed description of work performed.

### SPECIAL ACCOMODATION

NAESA is a proud supporter of the Americans with Disabilities Act. Reasonable accommodations for testing shall be provided at no cost to candidates with special medical needs covered under this Act. If you believe that you require non-standard conditions to take any NAESA certification examination, you must make a request in writing to the Executive Director, NAESA International, P.O. Box 4367 Mankato, MN 56002. Upon receipt of a written request, NAESA will issue to the candidate Special Accommodation Petition forms. These forms must be completed by the candidate and healthcare professionals to provide details and documentation relating to a disability. They must be returned to NAESA seventy-five (75) days prior to the date of the certification examination that you wish to take. **DO NOT SEND SPECIAL ACCOMODATION REQUESTS TO ANY OTHER ADDRESS AND DO NOT MAKE ANY REQUESTS ORALLY. ALL REQUESTS MUST BE IN WRITING.** NAESA International may submit information regarding the stated disability and your requested accommodation to our own expert advisers and reserves the right to provide only those reasonable accommodations as required by law.

### CERTIFICATION REQUIREMENTS FOR INSPECTORS: (Ref. QEI-1 Standard; latest edition)

#### 2.1 Qualifications

An inspector shall meet the definition of "Elevator Personnel" in ASME A17.1/CSA B44 Section 1.3 and have documented training and at least 1 year of experience performing inspections and performing or witnessing tests specified in ASME A17.1/CSA B44, CSA B311, ASME A18.1 or CSA B355m, and ANSI/ASSE A10.4 or CSA Z185 Verifiable evidence of training and experience shall be documented with the application for certification to the certifying organization. An inspector shall also verify that he or she meets the following qualifications (see Non-mandatory Appendix B for the recommended qualifications and duties of inspector trainees):

- a) knowledge of personal safety practices, including, but not limited to, the safety practices contained in the Safety Handbook necessary to perform the following:
  - 1) acceptance inspections of new construction
  - 2) routine and periodic inspections of existing equipment
  - 3) inspections of equipment in hazardous environments, where applicable
- b) familiarity with industry terminology, including the following:
  - 1) terms defined and used in ASME A17.1/CSA B44, CSA B311, ASME A18.1 or CSA B355, and ANSI/ASSE A10.4 or CSA Z185
  - 2) terms used in ASME 17.2
  - 3) terms defined and used in the National Electrical Code
  - 4) administrative terminology used by the jurisdictional authority
- c) ability to read architectural and installation drawings, including hoistway and machine room layouts
- d) working knowledge of electrical, electronic, and circuit construction principles, including but not limited to:
  - 1) voltage, currents, and resistance
  - 2) series and parallel circuits
  - 3) grounding
  - 4) ability to read circuit diagrams
- e) knowledge of the purpose and function of safety devices in the following locations:
  - 1) machine rooms and machinery spaces
  - 2) hoistways
  - 3) on the cars

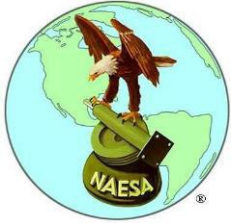
- 4) pits
  - 5) escalators, moving walks, and other related equipment
  - f) working knowledge of mechanical principles as applied to structures, machines, mechanisms, and the effects of traction on ropes and sheaves
  - g) working knowledge of hydraulic principles as applied to the operation of valves, pumps, plungers, piping, and buffers
  - h) working knowledge of the various types of equipment; their code requirements, uses, and limitations; and any special problems or applications as included in ASME A17.1/CSA B44, CSA B311 (past and present) ASME A18.1 or CSA B355, and ANSI/ASSE A10.4 or CSA Z185 and local regulation, and ASME QEI-1 and awareness of published interpretations of the standards committees
    - 1) classifications of usage:
      - a) passenger elevators
      - b) freight elevators (Classes A, B, C1, C2, and C3)
      - c) private residence elevators
      - d) sidewalk elevators
      - e) special purpose personnel elevators
      - f) inclined elevators
      - g) material lifts and dumbwaiters with automatic transfer devices
      - h) dumbwaiters
      - i) elevators used for construction
      - j) personnel hoists and employee elevators
    - 2) classifications of driving means:
      - a) traction
      - b) winding drum
      - c) hydraulic (direct-plunger hydraulic, electro-hydraulic, maintained-pressure hydraulic, and roped hydraulic)
      - d) screw machine
      - e) rack and pinion
      - f) hand
      - g) belt and chain drives
    - 3) escalators and moving walks
    - 4) inclined and vertical wheelchair lifts and stairway chairlifts (ASME A17.1b-1998 and earlier)
  - i) working knowledge of the functions and operation of elevator systems, including machines, motors, governors, and other machine room equipment; controllers; position devices; door operator systems; hoistway systems; safety system testing and functions; pit equipment; escalators; moving walks; electrical devices and hydraulics
  - j) knowledge of inspection and testing procedures as described in ASME A17.2
  - k) working knowledge of applicable building, fire, electrical, and accessibility codes
  - l) demonstrated ability to perform the duties specified in pars. 2.2
  - m) working knowledge of the requirements of ASME A17.3 and awareness of published interpretations of ASME A17.3
  - n) awareness of B44.1/A17.5 and standards Committee- Published interpretations to the extent that it is specified in ASME A17.1 and ASME A18.1
  - o) must have in his or her personal possession the latest edition of QEI-1, as well as the current editions of the documents referenced in para. 1.5.1
- p) must have workplace access to current editions of documents referenced in para. 1.5.2

## 2.2 Duties

The duties of an inspector include the following:

- a) making acceptance inspections and witnessing tests to determine whether all parts of the installation conform to the requirements of the applicable code or regulations and whether the required safety devices function as required therein
- b) making routine or periodic inspections and witnessing tests of existing installations to determine that the equipment is in apparent safe operating condition, has not been altered except in conformity to the applicable code or regulations, and performs in accordance with test requirements
- c) reporting the results of the inspection and testing in accordance with the appropriate administrative procedures and the following:
  - 1) the certified inspector's report shall include a clear description of the scope of the inspection performed, including the type of inspection (acceptance, periodic, or routine) and whether or not the inspection was performed in accordance with the applicable requirements of ASME A17.1/CSA B44, Section 8.10 or 8.11, or ASME A18.1, Section 10 or CSA B355, Appendix A2, or ANSI/ASSE A10.4 Section 26, or CSA Z185 Section 24. If any other type of inspection was performed, the report shall include a complete description of the scope of the inspection. The ASME checklist forms as published by ASME for electric elevators, hydraulic elevators, and escalators and moving walks shall only be used when the inspection complies with the requirements in ASME A17.1/CSA B44, Section 8.10 or 8.11.
  - 2) the report shall be signed by the certified inspector, and shall include his or her certification number and certifying agency.
  - 3) all Code deficiencies noted in the report shall include a reference to the applicable code and rule number(s).
  - 4) the report shall include the date and time that the inspection was conducted.

d) maintaining his or her personal copy of QEI-1 to be the latest edition, as well as the current edition of documents referenced in para 1.5.1



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# NAESA International

National Association of Elevator Safety Authorities

Executive Office

P.O. Box 4367

Mankato, MN 56002

Phone: 360-292-4968 Fax: 360-292-4973

Email: [emerald@naesai.org](mailto:emerald@naesai.org) Web: [www.naesai.org](http://www.naesai.org)



## QEI REGISTRATION FORM

Personal Information		Employer Information	
Full Name:		Company Name:	
Address:		Address:	
City/ State/Zip:		City/State/Zip:	
Home Phone:	Cell:	Work Phone:	Fax:
Email:		Job Title:	
		Website:	
DATE AND LOCATION SELECTION			
<b>Pick 1:</b> <input type="checkbox"/> QEI Training Course & Exam: <b>\$1295</b> ( <i>Membership included with passing grade</i> ) <input type="checkbox"/> Exam Only: <b>\$500</b> ( <i>Membership included with passing Grade</i> )		Date(s):	
		Location:	
PAYMENT METHOD			
<b>Total Amount: \$</b>		<i>Send registration form to address or fax number provided above. Registration forms will be accepted up to three (3) weeks prior to Training Course and/or exam date. NO REFUNDS ON NO-SHOWS</i>	
<input type="checkbox"/> Check <input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input type="checkbox"/> AMEX <input type="checkbox"/> MO		TOTAL AMOUNT:	
Credit Card #:		Exp. Date:	
Credit Card Billing Zip Code:		3 or 4 digit Security Code:	
Name as it appears on card:			
I hereby certify that the above information is true, accurate, and complete. SIGNATURE:			DATE:

### PLEASE NOTE:

APPLICATIONS WILL NOT BE PROCESSED UNTIL PAYMENT IS RECEIVED.

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**NAESA International RESERVES THE RIGHT TO CANCEL THE COURSE**



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## QEI EXAM ONLY REGISTRATION FORM

Personal Information		Employer Information	
Full Name:		Company Name:	
Address:		Address:	
City/ State/Zip:		City/State/Zip:	
Home Phone:		Work Phone:	
Cell:		Fax:	
Email:		Job Title:	
Date And Location Selection		Proctor Information (If Not Provided by NAESA) Please refer to NAESA's Proctor Policy.	
CITY & STATE:		PROCTOR NAME:	PROCTOR NAME:
DATE:		PROCTOR EMAIL:	PROCTOR EMAIL:
LOCATION TYPE:		PROCTOR PHONE #:	PROCTOR PHONE #:
PAYMENT METHOD			
<b>FEE:</b> For course and exam: \$1295 For exam only: \$500		Send registration forms to address or fax number provided above at least 3 weeks prior to the exam. NO REFUNDS ON NO-SHOWS	
Membership is including with a passing grade			
<input type="checkbox"/> Check <input type="checkbox"/> Visa <input type="checkbox"/> MasterCard <input type="checkbox"/> AMEX <input type="checkbox"/> MO		TOTAL AMOUNT:	
Credit Card #:		Exp. Date:	
Credit Card Billing Zip Code:		3 or 4 digit Security Code:	
Name as it appears on card:			
I hereby certify that the above information is true, accurate, and complete.			
SIGNATURE:			DATE:

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## Application Statement

6.1.2

All applicants must sign the following Application Statement and agree to all policies, procedures, and terms and conditions of certification in order to be eligible for certification with NAESA International. The statement follows.

I hereby apply for certification as a NAESA International Qualified Elevator Inspector. I understand that my certification depends on my ability to meet all requirements and qualifications. I certify that the information contained in this application is true, complete, and correct to the best of my knowledge and is made in good faith. I understand that NAESA International may need to gather additional information to clarify or supplement this application and I agree to supply it. I grant NAESA International the right to verify any information contained in the application, and the right to verify additional information relevant to my application. I further understand that if any information is later determined to be false, NAESA International reserves the right to revoke any certification that has been granted on the basis thereof.

6.1.7, 7.1.3

Should I be awarded the Qualified Inspector Certification with NAESA International, I agree to abide by the Exemplar Code of Ethics.

9.5.3

Should NAESA International suspend my certification at any time, during the time of suspension I will not use the logo or marks of certification.

9.1.2 e

I acknowledge that I may submit application for accommodation of disability related needs.

9.5.4

Should NAESA International withdraw my certification at any time I will return my certificate and cease use of the CEI designation and the logo of NAESA International.

9.7.2

In using the CEI designation and logo I will abide by the restrictions and conventions stated in this handbook. If notified of misuse by NAESA International, I will correct my use of CEI designation and logo as requested by NAESA International.

9.7.3

I hereby release, discharge, and exonerate NAESA International, its directors, officers, members, examiners, representatives, and agents, from any actions, suits, obligations, damages, claims or demands arising out of, or in connection with, any aspect of the application process including results or any other decision that may result in a decision to not issue me a certificate.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed First and Last Name: \_\_\_\_\_

## Certified Qualified Elevator Inspector Verification of Experience Form

6.1.2

This form is to be completed by an individual, such as an employer, supervisor, or certified inspector who can verify that the applicant meets the definition of “Elevator Personnel” as defined in the latest edition of ASME A17.1/CSA B44 Section 1.3 and has documented training and at least 1 year of experience performing inspections and performing or witnessing tests as specified in ASME A17.1/CSA B44 and A18.1. Documentation is maintained on file.

Verifiable evidence of training and experience shall be submitted by the applicant with their application for certification.

Please complete the following information.

Name of Applicant: \_\_\_\_\_

Name of Person Verifying Experience: \_\_\_\_\_

Relationship to Applicant: \_\_\_\_\_

Verifier’s Email address: \_\_\_\_\_

Verifier’s Phone number: \_\_\_\_\_

### **Verification Statement:**

*I verify that \_\_\_\_\_ (the applicant) meets the definition of “Elevator Personnel” as defined in ASME A17.1/CSA B44 Section 1.3 and has documented training and at least 1 year of experience performing inspections and performing or witnessing tests as specified in ASME A17.1/CSA B44 and A18.1. We maintain such documentation on file, and is available for inspection.*

Printed Name & Title : \_\_\_\_\_

Signature: \_\_\_\_\_

Name of Employer or Verifying Entity: \_\_\_\_\_

Qualified Elevator Inspector or Inspection Supervisor Certification #: \_\_\_\_\_

QEI Issuing Organization: \_\_\_\_\_

Dated: \_\_\_\_\_

# **NAESA International**

## **Exemplar Code of Ethics**

### **Certified Inspectors and Inspector Supervisors**

#### **Fundamental Principles**

**Inspectors and Inspector Supervisors shall uphold and advance the integrity, honor, and dignity of the inspecting profession by**

- 1. using their knowledge and skill for the enhancement of human welfare**
- 2. being honest and impartial, and serving with fidelity the public, their employers, and clients; and NAESA International**
- 3. striving to increase the competence, prestige, and integrity of the inspecting profession**

#### **Fundamental Standards**

- 1. Inspectors and Inspector Supervisors shall hold paramount the safety, health, and welfare of the public in accordance with the QEI-1 Standard in the performance of their professional duties.**
- 2. Inspectors and Inspector Supervisors shall perform services only in the areas of their competence.**
- 3. Inspectors and Inspector Supervisors shall continue their professional development throughout their careers and shall provide opportunities for the professional and ethical development of those inspectors under their supervision.**
- 4. Inspectors shall act in professional matters for each employer or client as faithful agents or trustees, and shall avoid conflicts of interest or the appearance of conflicts of interest.**
- 5. Inspectors and Inspector Supervisors shall build their professional reputations on the merit of their services and shall not compete unfairly with others.**
- 6. Inspectors and Inspector Supervisors shall associate only with reputable persons or organizations.**
- 7. Inspectors and Inspector Supervisors shall issue public statements and reports only in an objective, impartial, and truthful manner.**
- 8. Inspectors and Inspector Supervisors shall consider environmental impact in the performance of their professional duties.**
- 9. Inspectors accepting QEI Certification from NAESA International by this action agree to abide by NAESA International's Policy on Ethics (ref. QEI-1 Appendices F and G) and procedures for its implementation and accept their duty to report any violations of this code.**

**I agree to uphold NAESA International's Code of Ethics:**

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Printed Name:** \_\_\_\_\_ **FOR NAESA USE: Certification No:** \_\_\_\_\_



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## NAESA INTERNATIONAL'S POLICY ON CONFLICTS OF INTEREST

### I PREAMBLE

Each individual acting for or in the name of NAESA International as a QEI Certified Inspector or Inspector Supervisor is in a position of trust. Particularly since NAESA International holds as paramount the safety, health, and welfare of the general public, each such individual has a fundamental responsibility to exercise impartial professional judgment to enhance the QEI-1 elevator inspection profession in the public interest. NAESA International's Policy on Conflicts of Interest is intended to further assure the fairness, independence, objectivity, and public confidence in the integrity of all NAESA International and QEI-1 activities by establishing guidelines and procedures concerning conflicts of interest. It is acknowledged and understood that competent and knowledgeable individuals of recognized abilities, qualifications, and interests who participate in QEI-1 activities may have potential conflicts of interest. This Policy establishes guidelines and procedures to enable such individuals to act ethically and uphold the integrity of NAESA International's policies, rules, codes, and standards.

### II POLICY

(a) The potential for a conflict of interest exists whenever a person owes loyalty to multiple interests or organizations. Having different interests or loyalties does not constitute a conflict of interest when the action desired by each interest is the same. This situation may be described as a community of interest.

(b) A conflict of interest occurs when loyalty to one interest would impel a course of action different from that impelled by another interest. For example, while acting for or on behalf of an Authority Having Jurisdiction (AHJ), a QEI Inspector or Inspector Supervisor may consider a matter that directly affects the specific rather than the collective interests of the individual's employer, association, affiliation, or a competitor of the employer, association, or affiliation.

Where an individual may be under an obligation not to report in a fair, objective, and independent manner due to his/her membership, affiliation, or employment with another organization or company having policies, rules, directives, bylaws, agreements, or procedures that prohibit fair, objective, and independent reporting, a conflict of interest would exist. For example, if an individual performing an inspection would be influenced because of a directive from his/her supervisor or he/she is inspecting equipment on which he/she works, a fellow employee works, or on which a competitor works, a conflict of interest would arise.

In such instances, there could be a conflict of interest between exercise of the inspector's independent professional judgment on behalf of NAESA International, the Authority Having Jurisdiction (AHJ), and the public and the individual's loyalties and responsibilities to his/her employer, association, or another entity.

(c) It is the duty of the QEI Inspector or Inspector Supervisor acting for or on behalf of the Authority Having Jurisdiction (AHJ) to be aware of the possibility of a conflict of interest between their responsibilities to the Authority Having Jurisdiction (AHJ) and the public on the one hand and to their employer or another entity on the other. All QEI Inspectors and Inspector Supervisors have a fundamental responsibility to refrain from participating in QEI or compliance inspections when a competing interest precludes or inhibits the exercise of the QEI Inspector's or Inspector Supervisor's independent professional judgment on behalf of NAESA International, or the Authority Having Jurisdiction (AHJ), or when the nature of the competing

interest is such that the inspector's or inspector supervisor's continued activity would unreasonably jeopardize the integrity, independence, objectivity, or fairness of the inspection.

### III RESPONSIBILITIES

(a) Individual Responsibilities. In instances where it is clear to individual QEI Inspectors or Inspector Supervisors that their judgment with respect to the conducting of fair, objective, and independent inspections is controlled by their loyalty to a competing interest, they should disqualify themselves and refrain from participating in the activities regarding the conflict-affected matter.

In instances where individual QEI Inspectors or Inspector Supervisors believe that there may be the appearance of a conflict of interest, as in Part II(c) above, although they believe that their independent judgment will not be affected by a competing interest, the QEI Inspectors or Inspector Supervisors should nevertheless avail themselves of at least one of the following consultative courses of action:

Advise NAESA International of the potential conflict and the details creating the condition. Allow NAESA International to determine the appropriate course of action within the organization's operating procedures or bylaws and establish limitations, if required, to mitigate the potential results of the conflict.

Advise the Authority Having Jurisdiction (AHJ), employer, or contractor for which the Inspector or Inspector Supervisor is performing inspections of the potential conflict and the details creating the condition. Allow the relevant party to determine the appropriate course of action and establish limitations, if required, to mitigate the potential results of the conflict.

(b) Challenges by Other Members. Individuals wishing to challenge the behavior of an inspector with regards to NAESA's policy on Conflicts of Interest must submit a written complaint using the form contained in [Appendix 11a](#) of this handbook. All complaints will be handled in accordance with NAESA International's *Certification Policies and Procedures Manual*.

### IV IMPLEMENTATION

Individual QEI Inspectors and Inspector Supervisors have the primary responsibility for assuring their adherence to NAESA International's Policy on Conflicts of Interest. Nonetheless, given the sensitive nature of these considerations and in the interest of NAESA International in preserving the integrity of its reputation and processes, NAESA International retains responsibility for oversight in this area. NAESA International's Board of Certification shall have authority to review questions of conflicts of interest and to render opinions thereon.

NAESA International's Board of Certification may authorize NAESA's Executive Director, or Chair of the Board of Certification, to issue a letter of warning or admonishment to persons who violate this policy and refer the matter to the Board of Certification for processing as an ethics complaint under the Code of Ethics (Conduct) Policy. A decision of NAESA International's Board of Certification shall be binding and final if a letter of warning or admonishment is the course of action.

### V NAESA INTERNATIONAL'S STAFF

The provisions of this Policy are applicable to NAESA International's staff, as well as to the members of NAESA International's Board of Directors, Board of Certification, Executive Committee, Education Director(s), Advisors, Committee members, Instructors and individuals acting for or on behalf of NAESA International, as set forth above.

### VI USE OF QEI LOGO

NAESA's QEI logo ([Appendix 18](#)) is limited to use by individuals holding valid certified Inspector or Inspector Supervisor credentials issued by NAESA International. In addition to using this symbol in their certification documentation, these certified Inspectors may use the symbol for advertising or other literature. Should an Inspector's or Inspector Supervisor's certification be suspended or withdrawn for any reason, the individual must immediately cease the use of the title "Certified Qualified Elevator Inspector" or "Certified Qualified Elevator Inspector Supervisor" and acronym designation on stationery, websites,

business cards, and any and all promotional materials. Furthermore, the individual must discontinue use of all claims to certification that contains any reference to NAESA International or QEI certification as an Elevator Inspector or Inspector Supervisor upon suspension, or withdrawal of certification and return any certificates or certification cards issued by NAESA International.

### **VII USE OF NAESA INTERNATIONAL'S STATIONERY**

No member or officer may use NAESA International's logo, motto or material for private, business, political, or any other purpose without obtaining prior express permission of NAESA International's Executive Director or President. Said permission shall be in writing.

NAESA's Regions, as set forth under Article VIII, are entitled to use NAESA International's materials, motto and logo for official business only.

### **VIII NOTICE**

Each time an individual is certified to the QEI-1 standards by NAESA International, the individual shall at the time of certification be sent a copy of this Policy and NAESA International's Code of Ethics (Conduct) and should be advised to adhere to the provisions of these policies and codes when performing the duties of a QEI Inspector.

It is the responsibility of the individual to notify NAESA International of any changes in address or other relevant information.

### **IX ACCEPTANCE**

Before receiving certification or renewing his/her certification, each QEI Inspector and Inspector Supervisor shall acknowledge adherence to the conditions of this Policy and the Code of Ethics (Conduct). If this acknowledgement is not on file, the member may not be certified.

Note that when either this Policy or the Code of Ethics (Conduct) receives substantive revision as determined by NAESA International, all persons required to have a Conflict of Interest Statement on file shall receive a copy of the revised documents and shall be requested to acknowledge that he/she has received and reviewed a new Conflict of Interest Statement.

### **X OVERSIGHT**

When action is taken by an individual to comply with this Policy, that individual will be certified or recertified provided that all other requirements for certification or renewal of certification are met.

Adopted: February 2012

I have read and agree to adhere to NAESA International's Policy on Conflicts of Interest.

Printed Name: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_

## Candidate Confidentiality Agreement

9.1

6.1.7

To ensure the integrity of NAESA International's Certified Qualified Elevator Inspector examination, all candidates must sign the Candidate Confidentiality Agreement that follows:

I understand, acknowledge and agree:

- That the questions and answers of the exam are the exclusive and confidential property of NAESA International and are protected by NAESA International's intellectual property rights;
- That I will not disclose the exam questions or answers or discuss any of the content of the exam materials with any person, without prior written approval of NAESA International;
- That I will not remove from the examination room any exam materials of any kind provided to me or any other material related to the exam, including, without limitation, any notes or calculations;
- That I will not copy or attempt to make copies (written, photocopied, or otherwise) of any exam material, including, without limitation, any exam questions or answers;
- That I will not sell, license, distribute, give away, or obtain from any other source other than NAESA International the exam materials, questions or answers.
- That I will not create or contribute to certification efforts competitive with NAESA's scheme for a period of three years from taking the examination.
- I agree that my obligations under this Agreement shall continue in effect after the examination and, if applicable, after termination of my certification, regardless of the reason or reasons for termination, and whether such termination is voluntary or involuntary.
- I agree that any violation of this agreement shall constitute cause for revoking my certification.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed First and Last Name: \_\_\_\_\_