



Oversight Procedures

Per our CEC application to become an approved ATTCP, NLCAA oversees the ATEs and ATTs in two ways. There are Desk Audits and Field Inspections.

Desk Audits:

The Desk Audit process allows for a review of the NRCA Forms completed for the job in question for signs of “irregularities” or “inconsistencies” as determined by an NLCAA approved auditor or a computer “expert system”.

The ATE may accompany the ATT on the required Acceptance Testing job and review the Acceptance Testing Forms submitted; or review the Acceptance Testing Forms submitted by the ATT after job completion. This ensures that the ATT and ATE maintain communication through the years.

Desk Audit Process:

NLCAA or their agents will require a Desk Audit to be completed according to the following schedule:

- ATT's 1st project after certification.
- A random sample of no less than 1% of each ATT's completed projects. *
- ATT's 5th job after recertification (not to be the same project as a Field Inspection)

*The Random Sample will be conducted using the Pseudo Random Number Generator (PRNG)

Pseudo Random Number Generator (PRNG) refers to an algorithm that uses mathematical formulas to produce sequences of random numbers. PRNGs generate a sequence of numbers approximating the properties of random numbers.

- Step 1: ATE and ATT complete the required job to initiate a Desk Audit per the Oversight Procedures.
- Step 2: Within seven days of project completion, NLCAA sends the ATE and/or ATT notification that a Desk Audit will be completed for the project and payment is due.
- Step 3: The ATT and/or ATE must submit payment for the Desk Audit within thirty days of Desk Audit Notification. If the Audit payment is not received, NLCAA will initiate the complaint procedure against the ATT and/or ATE.
- Step 4: Within thirty days of project completion, NLCAA or their agents will review the Compliance Forms and an NLCAA representative will contact the ATT and/or ATE regarding the results.

Step 5: If a discrepancy is detected in the Acceptance Testing Form(s) against Testing procedures, the parties in question shall be contacted via telecommunications by an NLCAA approved auditor.

Should the response(s) of the audited ATE and/or ATT be deemed unsatisfactory, the auditor may require a second Desk Audit and/or a Field Inspection including all applicable fees.

Step 6: If, after the secondary oversight procedures are conducted, the results are still unsatisfactory, the NLCAA auditor will initiate the Complaint Procedure with applicable fees.

Field Inspections:

A Field Inspection consists of a minimum 2-hour building site visit during which the ATT performing acceptance testing will be observed and interviewed by an approved NLCAA inspector. The Field Inspection may include, but not be limited to, any of the following: verification of acceptance tests completed, observation of acceptance testing methods, testing of lighting controls by NLCAA or their agent(s), testing of additional lighting controls not sampled by the ATT performing acceptance tests.

This Field Inspection should occur on the next possible occasion after the ATE and/or ATT have been notified that a Field Inspection is required. The ATE is encouraged, but not required, to be onsite during the Field Inspection.

The NLCAA approved inspector will have a Field Inspection checklist to document what Acceptance Tests were performed and if the ATT accurately performed the testing procedures.

“At NLCAA we use the Field Inspections as a mentoring tool. NLCAA strives to continue teaching in any way we can. While the representative is in the field with the ATT, it is NLCAA’s goal to not only complete the required Field Inspection, but to also find ways of helping and improving the ATT’s testing capabilities whether they are just starting out or are seasoned testers.”

- Michael Scalzo, Executive Director

Field Inspection Process:

NLCAA or their agents will require a Field Inspection to be conducted according to the following schedule:

- ATT's 2nd to 5th project after certification.
- A random sample of no less than 1% of each ATT’s completed projects. *
- ATT's 1st to 25th job after recertification (not to be the same project as a Desk Audit).

*The Random Sample will be conducted using the Pseudo Random Number Generator (PRNG)

Pseudo Random Number Generator (PRNG) refers to an algorithm that uses mathematical formulas to produce sequences of random numbers. PRNGs generate a sequence of numbers approximating the properties of random numbers.

- Step 1: ATT hits the trigger to initiate a Field Inspection per the Oversight Procedures.
- Step 2: NLCAA or its agent notifies the ATE and/or ATT that a Field Inspection is required to be scheduled on the next possible project.
- Step 3: The ATT and/or ATE must schedule the Field Inspection and pay applicable fees to NLCAA.
- Step 4: Approved NLCAA inspector conducts the Field Inspection with the ATT (the ATE is encouraged, but not required, to be onsite during Inspection). The inspector completes the Field Inspection checklist and submits it to the NLCAA database.

If the results are deemed unsatisfactory by the Inspector, the Checklist will be reviewed by the NLCAA Executive Director for further actions.
- Step 5: The ATT and/or ATE will be notified of the Inspection results within twenty days after completion.

If the results are deemed unsatisfactory by the Executive Director, a second Field Inspection or Complaint Procedure may be required with applicable fees.
- Step 6: If, after a secondary Field Inspection is conducted, the results are still unsatisfactory, the NLCAA inspector and/or Executive Director will initiate the Complaint Procedure with applicable fees.