

Appendix B: Code of Ethics, Code of Conduct and Conflict of Interest

B1 Code of Ethics

All parties that are registered, licensed or designated to deliver Natural Resources Canada's Housing Initiatives will abide by the following:

- exercise their duties with integrity, fairness and impartiality;
- uphold, maintain and, wherever possible, improve the professional integrity, reputation and practice of Natural Resources Canada's Housing Initiatives;
- collect no personal information other than what is required for Natural Resources Canada's Housing Initiatives and to not disclose information from any evaluation except as required for quality assurance purposes;
- ensure that marketing approaches shall not use the Natural Resources Canada's Housing Initiatives to imply any endorsement of an organization's particular product or service; and
- seek the homeowner's informed and written consent when disclosing information to a third party for another purpose related to Natural Resources Canada's Housing Initiatives, where such disclosure is permitted and is advantageous to the customer.

B2 Code of Conduct

All parties that are registered, licensed or designated to deliver Natural Resources Canada's Housing Initiatives will abide by the following:

- comply with the provisions of the applicable Natural Resources Canada registration or Licence Agreement;
- comply with the regulations, codes and standards under which they are working;
- immediately report to Natural Resources Canada (ghd-compliance.conformite-dme@nrca-nrcan.gc.ca) any perceived violation(s), or any attempt to pressure or force a registered or designated individual to violate the EnerGuide Rating System Procedural documents, including the Code of Ethics, Code of Conduct and Conflict of Interest provisions herein;
- maintain respect when engaging with Natural Resources Canada personnel (any form of harassment, including disrespectful language and excessive engagement, towards Natural Resources Canada personnel will not be tolerated and will result in compliance action in accordance with **section 10**);
- verify the information on the registration documentation. If the information is incorrect, inform the service organization as soon as possible so that a correct registration document can be issued;
- not attempt to cheat on Natural Resources Canada examinations nor attempt to bribe or misuse their own or their associate's qualifications, knowledge, training, experience, work responsibilities or registration credentials;
- inform their service organization in the event that their registration has expired, was suspended or withdrawn;
- only sign documents for which they have the professional knowledge and direct supervisory control;

- undertake only those testing activities for which they are competent by virtue of their training, experience, qualification or registration;
- perform their on-site evaluations with proper regard for the environment and the safety, health and well-being of the public;
- respect the confidentiality of information provided by an employer, colleague or member of the public; and
- conduct themselves in a responsible manner, disclose any conflict of interests (send to the Compliance Team at this email address: ghd-compliance.conformite-dme@nrcan-rncan.gc.ca), and be fair and equitable when dealing with employers, colleagues, clients and associates.

B3 Conflict of Interest

All parties that are registered, licensed or designated to deliver Natural Resources Canada’s Housing Initiatives will abide by the following:

- avoid any real or perceived conflict of interest in the delivery of the EnerGuide Rating System and Natural Resources Canada’s housing initiatives (see definition of “conflict of interest” in the context of the delivery of EnerGuide Rating System below);
- advise the homeowner/builder in writing at the earliest opportunity, if affiliated, or associated, or related, in any way to a business or business unit which offers services or products related to the Natural Resources Canada’s Housing Initiatives;
- ensure that, when making recommendations, the interests of the customer are always placed above those of any corporation or business;
- disclose any and all activities that may be considered to be a real or perceived conflict with the mandate and objectives of Natural Resources Canada’s Housing Initiatives;
- not accept commissions or allowances from other parties (ex. contractors, manufacturers, distributors, or other retrofit service providers) dealing with a client in connection with a home energy evaluation under any circumstances;
- builders and home retrofitting contractors may not act as the energy advisor for any home energy evaluation and labelling for which they were involved in the construction or renovation;
- energy advisors may not act as the energy advisor for any home energy evaluation and labelling for their own personal properties/dwellings; and
- make all observations and recommendations based on facts supported by a home energy evaluation or by research performed by a recognized professional source.

In the context of the delivery of EnerGuide Rating System services, a “conflict of interest” is defined as a situation whereby an energy advisor or service organization’s responsibilities under the EnerGuide Rating System could be unduly influenced by their private or financial interests, or if their delivery of the EnerGuide Rating System provides an opportunity to further their private or financial interests, calling into question their impartiality.

If a service organization or energy advisor is involved in multiple lines of business that may result in a real or perceived conflict of interest (e.g., providing home retrofitting services), this must be reported to NRCan and a mitigation strategy must be approved by NRCan. At a minimum, the company names must be different, and there must be a degree of separation between the provision of services.

NRCan's Housing Initiatives, and the provision of ERS services, must not be used to sell other types of services.

NOTE: There are certain services (e.g., home inspections, HVAC design and engineering, working as a city planner or municipal permit issuer) that Natural Resources Canada does not consider a conflict of interest. If an energy advisor or service organization is unsure whether a business or personal relationship represents a conflict of interest, please contact the Compliance Team for a determination at this email address: ghd-compliance.conformite-dme@nrcan-rncan.gc.ca

Failure to comply with the *Code of Ethics*, *Code of Conduct* and *Conflict of Interest* requirements shall be dealt with under arrangements for handling complaints and appeals and may necessitate corrective measures such as the termination of the registration process, the suspension or withdrawal of registration, notification of the employer and appropriate regulatory authorities and, if appropriate, additional legal action.