

## **Appendix I: NABCEP Code of Ethics & Standards of Conduct**

Among other primary goals, the NABCEP is dedicated to the implementation of appropriate professional standards designed to protect consumers and the profession. NABCEP certificants and candidates are expected to act in an appropriate manner, which promotes the integrity of, and reflects positively on, the practitioner, the NABCEP, and the renewable energy profession, consistent with accepted moral, ethical, and legal standards.

### **NABCEP CODE OF ETHICS**

As a professional in the fields of renewable and sustainable energy and energy efficiency technologies, a NABCEP certificant or candidate has the obligation to:

- deal with all clients, consumers, and other professionals and professional organizations fairly and in a timely manner;
- provide safe and quality services to clients and consumers;
- respect and promote the rights of clients and consumers by offering only professional services that he/she is qualified to perform, and by adequately informing clients and consumers about nature of proposed services, including any relevant concerns or risks;
- maintain the confidentiality and privacy of all client and consumer information;
- avoid conduct which may cause a conflict with client or others;
- engage in moral and ethical business practices, including accurate and truthful representations concerning professional information and system performance expectations;
- be truthful with regard to research sources, findings, and related professional activities;
- maintain accurate and complete business and professional records;
- respect the intellectual property and contributions of others;
- further the professionalism of renewable energy industry services; and,
- behave in a courteous and professional manner when communicating with NABCEP representatives.

### **NABCEP STANDARDS OF CONDUCT**

The following NABCEP Ethical Standards of Conduct describe appropriate and enforceable professional practice standards, and set forth the minimal ethical standards of professional conduct for NABCEP certificants and candidates. These Ethical Standards of Conduct also serve as a professional resource for renewable energy industry practitioners, as well as for those served by NABCEP certificants and candidates, in the case of a possible ethical violation.

#### **SECTION A: COMPLIANCE WITH LAWS, POLICIES, AND RULES RELATING TO THE PROFESSION**

1. The NABCEP certificant/candidate will be aware of, and comply with, all applicable federal, state, and local laws and regulations governing the profession. The NABCEP certificant/candidate will not knowingly participate in, or assist, any acts that are contrary to applicable professional laws and regulations. Lack of awareness or misunderstanding of these laws and regulations does not excuse inappropriate or unethical behavior.
2. The NABCEP certificant/candidate will be aware of, and comply with, all NABCEP rules, policies, and procedures, including rules concerning the appropriate use of NABCEP certification marks and the proper representation of NABCEP credentials. Lack of awareness or misunderstanding of a NABCEP rule, policy, or procedure does not excuse inappropriate or unethical behavior. The NABCEP certificant/candidate will not knowingly participate in, or assist, any acts that are contrary to NABCEP rules, policies, and procedures.
3. The NABCEP certificant/candidate will make all reasonable and appropriate efforts to promote compliance with, and awareness of, all applicable laws, regulations, and NABCEP rules and policies governing the profession.

4. The NABCEP certificant/candidate will make all reasonable and appropriate efforts to prevent violations of applicable laws, regulations, and NABCEP rules and policies governing the profession.
5. The NABCEP certificant/candidate will provide accurate, truthful, and complete information to NABCEP concerning all certification related eligibility information, and will submit valid application materials for fulfillment of current certification and recertification requirements.
6. The NABCEP certificant/candidate will maintain the security, and prevent the disclosure, of NABCEP certification examination information and materials.
7. The NABCEP certificant/candidate will report possible violations of this Code of Ethics to the appropriate NABCEP representative(s).
8. The NABCEP certificant/candidate will cooperate fully with the NABCEP concerning the review of possible ethics violations and the collection of related information.

## **SECTION B: PROFESSIONAL PRACTICE**

1. The NABCEP certificant/candidate will deliver safe, competent services in a timely manner, and will provide quality services with appropriate professional skill and competence.
2. The NABCEP certificant/candidate will recognize the limitations of his/her professional ability, and will only provide and deliver professional services for which he/she is qualified. The NABCEP certificant/candidate will be responsible for determining his/her own professional abilities based on his/her education, knowledge, competency, credentials, extent of practice experience in the field, and other relevant considerations.
3. The NABCEP certificant/candidate will provide clients and consumers with adequate and detailed information regarding the nature of proposed services, and the related options, outcomes, risks, and concerns.
4. The NABCEP certificant/candidate will use all professional resources in a technically appropriate and efficient manner.
5. The NABCEP certificant/candidate will provide services based on client or consumer requests and needs, and will avoid unnecessary services. The NABCEP certificant/candidate will provide services that are both appropriate and necessary to satisfying client or consumer requests and needs.
6. The NABCEP certificant/candidate will exercise diligence and thoroughness in providing services, and in making professional assessments and recommendations solely for the benefit of the client or consumer. The NABCEP certificant/candidate who offers his/her services to the public will not decline a client or consumer based on age, gender, race, color, sexual orientation, national origin, disability, religious affiliation, or any other basis that would constitute unlawful discrimination.
7. The NABCEP certificant/candidate will prepare and maintain all necessary, required, or otherwise appropriate records concerning his/her professional practice, including complete and accurate client and consumer services records.
8. The NABCEP certificant/candidate will not delegate the responsibility to provide professional services to an unqualified person. Where supervision is appropriate and necessary, the NABCEP certificant/candidate will not delegate responsibility for the provision of professional services without providing appropriate supervision.
9. The NABCEP certificant/candidate will not act in a manner that may compromise his/her professional judgment, performance, or obligation to deal fairly with all clients and consumers.
10. The NABCEP certificant/candidate will be truthful and accurate in all advertising and representations concerning professional qualifications, experience, competency, and performance of services, including representations related to professional status and/or areas of competence. The NABCEP certificant/candidate will not make false or deceptive statements concerning professional or occupational training, experience, competence, ability, academic training or degrees, credentials, institutional or association affiliations, services, or fees for services.
11. The NABCEP certificant/candidate will not knowingly make false or misleading statements about, or guarantees concerning, any service or the efficacy of any renewable energy system, product, or device, orally or in writing.

## **SECTION C: CONFLICT OF INTEREST AND APPEARANCE OF IMPROPRIETY**

1. The NABCEP certificant/candidate will not engage in conduct that may cause an actual or perceived conflict between his/her own interests and the interests of his/her client or organization. The NABCEP certificant/candidate will avoid conduct that causes an appearance of impropriety.

2. The NABCEP certificant/candidate will act to protect the interests of the client or consumer before his/her own interests, unless such action is in conflict with any legal, ethical, or professional obligation.
3. The NABCEP certificant/candidate will disclose to clients and organizations any circumstance that could be construed as a conflict of interest or an appearance of impropriety, or that could otherwise influence or interfere with the exercise of professional judgment.
4. The NABCEP certificant/candidate will refrain from offering or accepting inappropriate payments, gifts, or other forms of compensation for personal gain, unless in conformity with applicable laws, regulations, and NABCEP rules and policies.

#### **SECTION D: COMPENSATION AND REFERRAL DISCLOSURES**

1. If responsible for setting professional fees and related costs, the NABCEP certificant/candidate will charge fair, reasonable, and appropriate fees for all professional services, and will provide clients and consumers with truthful and accurate information concerning such services.
2. The NABCEP certificant/candidate will charge fees that accurately reflect the services provided to the client or consumer.
3. The NABCEP certificant/candidate will make all appropriate disclosures to clients and consumers and prospective clients and consumers regarding any benefit paid to others for recommending or referring his/her services.
4. The NABCEP certificant/candidate will make all appropriate disclosures to clients and consumers and prospective clients and consumers regarding any benefit received for recommending or referring the services of another individual.

#### **SECTION E: CLIENT CONFIDENTIALITY AND PRIVACY**

1. The NABCEP certificant/candidate will maintain and respect the confidentiality of all client and consumer information obtained in the course of a professional relationship, unless: the information pertains to illegal activity; the client or consumer expressly directs the release of specific information; or, a court or government agency lawfully directs the release of the information.
2. The NABCEP certificant/candidate will respect and maintain the privacy of his/her clients and consumers.

#### **SECTION F: RESEARCH AND PROFESSIONAL ACTIVITIES**

1. The NABCEP certificant/candidate will be accurate and truthful, and otherwise act in an appropriate manner, with regard to research findings and other professional activities, and will make reasonable and diligent efforts to avoid any material misrepresentations.
2. The NABCEP certificant/candidate will maintain appropriate, accurate, and complete records with respect to research and other professional activities.
3. When preparing, developing, or presenting research or other professional information and materials, the NABCEP certificant/candidate will not copy or use, in substantially similar form, materials prepared by others without acknowledging the correct source and identifying the name of the author and/or publisher of such material.
4. The NABCEP certificant/candidate will respect and protect the intellectual property rights of others, and will otherwise recognize and protect the professional contributions of others.

#### **SECTION G: MISCONDUCT PROHIBITIONS**

1. The NABCEP certificant/candidate will not engage in any criminal misconduct relating to his/her professional activities.
2. The NABCEP certificant/candidate will not engage in conduct involving dishonesty, fraud, deceit, or misrepresentation relating to his/her professional activities.
3. The NABCEP certificant/candidate will not engage in unlawful discrimination relating to his/her professional activities.
5. The NABCEP certificant/candidate will avoid any behavior that is clearly contrary to accepted moral, ethical, or legal standards, and that may compromise the integrity of, or reflect negatively on, the profession.