



## ASSOCIATION OF ENERGY ENGINEERS

### CODE OF ETHICS FOR ISO 50001 LEAD AUDITORS (ISO 50001 LA)

The Cp EnMS, to uphold and advance the honor and dignity of the profession and in keeping with high standards of ethical conduct:

#### PRINCIPLES

- *Will be honest and impartial, and will serve the public, employers, and clients, with professionalism and devotion;*
- *Will strive to increase the competence and prestige of the profession;*
- *Will use his or her knowledge and skill for the advancement of human welfare.*

#### CODES OF PRACTICE

1. The ISO 50001 LA will be guided in all professional relations by the highest standards of integrity, and will act in professional matters for each client or employer as a faithful agent or trustee.
2. The ISO 50001 LA will have proper regard for the safety, health, and welfare of the public in the performance of professional duties.
3. The ISO 50001 LA will avoid all conduct or practice likely to discredit the profession or deceive the public.
4. The ISO 50001 LA will endeavor to extend public knowledge, appreciation of engineering and its achievements in order to protect the profession from misrepresentation and misunderstanding.
5. The ISO 50001 LA will express an opinion on an engineering subject only when founded on adequate knowledge and honest conviction.
6. The ISO 50001 LA will not disclose confidential information concerning the business affairs or technical processes of any present or former client or employer without consent.
7. The ISO 50001 LA will endeavor to avoid conflicts of interest with his employer or client, but when unavoidable, he or she shall fully disclose the circumstances to employer or client.
8. The ISO 50001 LA will uphold the principle of appropriate and adequate compensation for those engaged in engineering work.

9. The ISO 50001 LA will cooperate in extending the effectiveness of the profession by exchanging information and experience with other engineers and students, and will endeavor to provide opportunity for the professional development and advancement of engineers under his or her supervision.

10. The ISO 50001 LA will notify AEE immediately should he or she become fully or partially disabled and unable to carry out the full responsibilities of an ISO 50001 LA. Subsequently, he or she will advertise and contract to undertake only those capabilities as an ISO 50001 LA which he or she is able to completely fulfill.

### MAINTAINING CERTIFICATION

The continuing education of ISO 50001 Lead Auditors is essential to cope with the rapidly changing field of energy auditing. An ISO 50001 LA must complete 15 Audit Days (5 of which are as the role of lead auditor) and 10 professional development hours every three years and submit a completed Renewal Form to the Certification Director to remain certified. ISO 50001 LA renewal notices are emailed in the 3<sup>rd</sup> year of recertification six months prior to the expiration date, which falls on December 31st of that year.

Professional development hours for recertification can be accumulated at any time, within the three year period. *For example, individuals receiving an ISO 50001 LA certification in 2019, must file a record of 15 Audit Days and 10 professional development hours with the Certification Director by December 31, 2022 to receive an ISO 50001 LA certificate for another 3-year period.*

If an ISO 50001 LA is for any reason rendered unable to perform the duties required of them as an ISO 50001 LA, they will notify the Certification Director immediately.

*Credits are not maintained by AEE during the three year period. It is the responsibility of the individual to maintain a record and submit this information at the time of renewal.*

#### **Training Activities for applicable for ISO 50001 LA Renewal include:**

auditing, energy performance, measurement and verification, process improvement, project management, energy systems, integration of ISO 50001 with other Management Systems (MS) standards, and auditing of MS standards

### SUSPENSION OR REVOCATION OF CERTIFICATION

**Continuing Education Requirements.** If an ISO 50001 LA does not accumulate the required professional development hours, certification shall terminate, unless in the judgment of the Certification Board, extenuating circumstances exist and the deficiency can be readily overcome. ISO 50001 LA suspension or revocation may also be invoked for failure to pay ISO 50001 LA exam/application or renewal fees.

**The Complaint Process.** Any ISO 50001 LA professional who violates the ISO 50001 LA Code of Ethics will have his/her Certification revoked. Any AEE member or Company or individual who witnesses a breach in the ISO 50001 LA Code of Ethics is encouraged to file a complaint with the ISO 50001 LA Board. The ISO 50001 LA Board is responsible for having the witness substantiate the violation and conducting a hearing to determine said breach.

The ISO 50001 LA Board has the responsibility to investigate any and all alleged violations of the Energy Engineer/ISO 50001 Lead Auditors Code of Conduct. In addition, the ISO 50001 LA Board shall have the responsibility and authority to review the work product of an ISO 50001 LA, when deficiencies in quality and potential error(s) in analysis and calculations are alleged.

Once an alleged violation of either Ethics or Competence is filed with the ISO 50001 LA Board, the board shall first acquire all possible information of the occurrence for internal review. Should the Board determine that the potential of a violation exists, the Board will interview both the witness as well as the ISO 50001 LA responsible.

The ISO 50001 LA in question will have the opportunity to refute the claim and provide evidence to the contrary. The ISO 50001 LA shall have ample opportunity to provide appropriate evidence, additional information, the opinions of other Energy Engineers/ISO 50001 LA's, as well as further data to attempt to refute the allegations.

The ISO 50001 LA Board shall conduct an independent and impartial hearing. Any Board member having a personal relationship with the ISO 50001 LA being investigated shall be excluded from participation.

The initial objective of such a hearing shall be to provide a venue for the accusing party and the accused ISO 50001 LA to explain and gain mutual understanding of the issues involved in the dispute and resolve them in an amicable manner. Should such mutual understanding not be reached then the Board may move forward with further procedures up to and including Suspension or Revocation of the ISO 50001 LA's Certification.

**Suspension and Revocation.** The ISO 50001 LA Board, upon finding a violation of either the Ethical Standards or the Competence of a ISO 50001 Lead Auditor, shall, by means of a vote having a 2/3 majority, decide to Suspend or Revoke the Certification of a ISO 50001 LA.

Suspension may be issued for violations deemed less serious, and where the ISO 50001 LA in question has demonstrated the ability and desire to take the corrective actions required to remedy the violation(s).

Suspension for Competence violations will be continued until the ISO 50001 LA in question receives additional remedial training as may be indicated by the Board and until such time as the Board reviews the Mandatory re-testing of the ISO 50001 LA involved. An ISO 50001 LA who has his or her Certification Suspended shall not be reinstated until such time as the additional training and testing has been completed and approved by the ISO 50001 LA Board.

Revocation of the Certification of an ISO50001 LA is a very serious matter and is usually permanent. If the ISO 50001 LA Board revokes the Certification of a ISO 50001 LA for cause,

as has been determined by a finding of all the facts in the hearing, then the individual shall be barred from holding Certification as a ISO 50001 LA. Notice of Revocation of this Certification shall also be furnished to the Chair of each Certification Board within the AEE for possible revocation of other AEE Certifications.

**Reinstatement.** An ISO 50001 LA who has had his or her Certification Suspended or Revoked may apply for reinstatement conditioned upon a sufficient change in circumstances that would warrant the Board's consideration.

An ISO 50001 LA may be reinstated after demonstrating such remedial training and testing as may be determined by the Board. An ISO 50001 LA who is applying for reinstatement will usually be required to work under the supervision of an Energy Engineer or ISO 50001 LA for a period of six months to demonstrate competence and compliance with standards.