



CACEA

Canadian Association of
Consulting Energy Advisors

Policies & Processes

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OVERVIEW AND PURPOSE

The Accessibility Policy demonstrates the Canadian Association of Consulting Energy Advisors' ("CACEA") commitment to limiting barriers and improving accessibility for people with disabilities and ensure that CACEA complies with related legislation.

GENERAL REQUIREMENTS

CACEA will use reasonable efforts to ensure that its policies, practices and procedures reflect the following:

- A. CACEA will ensure that all people, including those with disabilities, have access to its services.
- B. All services will be provided in a manner that recognizes the principles of independence and dignity.
- C. Every effort will be made to ensure that the services provided to those with disabilities are integrated with those provided to those without disabilities unless an alternative measure is necessary to enable a person with a disability to access the Association's services.
- D. CACEA will ensure its volunteers are trained on customer service requirements in regard to people with disabilities. Training will be provided in a way that best suits the duties of volunteers.
- E. Third party contractors who deliver goods and services on behalf of CACEA are required to meet legislative requirements of accessible customer service and adhere to CACEA's Accessibility Policy.

SPECIFIC REQUIREMENTS

- A. **Assistive Devices:** A person with a disability may provide his/her own assistive device to enable them to access CACEA's services, unless the device poses a health or safety risk to him/herself or others. In this case, CACEA may offer the person with a disability other reasonable measures to assist him/her in accessing the services, where such other measures are available. CACEA will take reasonable measures to assist in obtaining access to the device if notified at least 30 days in advance of such requirements.
- B. **Service Animals:** CACEA will accommodate the use of service animals by those with disabilities who are accessing Association services unless the animal is otherwise excluded by law. The person with the disability will be responsible to ensure the service animal is in good health, does not pose health or safety risks and is under their care and control at all times.
- C. **Support Persons:** Where a person with a disability is accompanied by a support person who can be a paid support worker, volunteer, friend or family member, CACEA will ensure that both are permitted to enter the premises together and the person with a disability has access to the support person while on the premises. If an admission fee is required for a support person's attendance at an event (e.g. a conference) CACEA will provide advance notice of the amount.
- D. **Communications:** When communicating with a person with a disability, CACEA will ensure that it is done in a manner that respects the person's dignity and independence. When providing documents or materials to a person with a disability, CACEA will provide them in a format that takes the person's disability into account. If an alternative format is requested, every attempt will be made to accommodate the request within a reasonable time frame.
- E. **Service Disruption/Notice of Service Disruption:** Temporary disruptions in CACEA's services may occur due to reasons that may or may not be within the Association's control or knowledge. CACEA will make every effort to provide notice of disruptions to the public and/or Association members.

POLICY REVIEW AND MODIFICATION

The board will review the policy annually to ensure proper practices, legislative compliance and to ensure that the policy respects and promote the dignity and independence of people with disabilities.

STATEMENT OF PURPOSE

Canadian Association of Consulting Energy Advisors (CACEA) is committed to complying with all laws regulating professional associations and avoiding improper conduct from an antitrust standpoint when members are participating in CACEA meetings and/or acting as a representative of the association.

OBJECTIVES

The Policy and Guidelines have been created to assist members to conduct themselves in a manner that avoids the appearance of questionable conduct under the Competition Act (the Act). The Act is a federal statute whose general purpose is to maintain and encourage effective competition in Canada by prohibiting activities that might reduce or prevent competition or harm consumers. The Act includes prohibitions on how competitors may deal with each other and how businesses treat suppliers and customers. The Policy provides guidelines to ensure that CACEA members and its representatives conduct themselves in a way that avoids even the appearance of questionable conduct under the Act.

RESPONSIBILITY

The Policy and Guidelines apply to CACEA members, directors, volunteers, representatives and stakeholders (herein referred to as “Members”). It is designed to ensure Members do not engage in illegal activity knowingly or inadvertently such as fixing prices, allocating markets or customers, bid-rigging, price maintenance, exclusive dealing, deceptive practices, boycotts, and most other anticompetitive actions and actions that could be considered an abuse of dominance. CACEA will neither permit nor condone anti-competitive behavior, whether willful or inadvertent, in connection with any CACEA activity. As part of the association’s Code of Conduct, all Members are required to abide by the CACEA Antitrust Policy and governing laws.

The chair of CACEA meetings will ensure that all Members have reviewed the Policy and Guidelines and will read the following antitrust statement prior to each meeting as a reminder of their obligations and responsibilities:

“It is the policy of Canadian Association of Consulting Energy Advisors and its Members to comply with laws and regulations applicable to their activities and ensure that while conducting CACEA business they abide by the Antitrust Policy and Guidelines and governing laws.”

GENERAL POLICY

CACEA encourages active participation by its Members in order to add value to the member engaging in association-related affairs, and to further CACEA’s mission. To ensure compliance, Members are required to consider the following while representing or engaging in CACEA business:

Dos

1. Review the meeting agenda in advance of the meeting, including committee meetings.
2. Confine discussions with competitors to the immediate subjects related to the meeting.
3. Review minutes and committee minutes and report mistakes.
4. Be sensitive to discussions that might raise concern and be alert to improper activities.
5. Voice concerns immediately if improper discussions arise or if you perceive that improper discussions are taking place.
6. In the event of an impropriety, leave the meeting with your departure noted in the minutes and report the incident to those responsible for their corporate compliance.
7. Consult with legal counsel or CACEA before raising any matters or making any statement that you think may involve competitively sensitive information.
8. Seek legal advice before reaching agreements on sensitive competition issues.
9. Use an impartial, third party to collect and aggregate commercially sensitive information and to preserve anonymity of the data collected.

10. Speak in generalities. Provided this may not lessen or be likely to lessen competition members consider for example:
 - Exchanging statistics/information about aggregate responses to generic trends, e.g. generic technologies, industry voluntary standards, accessible programs
 - Cooperating on research and development for the benefit of the sector which may result in the development of sector at large industry standards, benchmarks, best practices.

Don't

1. Participate in discussions you think is improper.
2. Discuss the possibility of what might be seen as an agreement to boycott and/or refrain from purchasing or using any products or services from any supplier.
3. Discuss relationships with suppliers and customers including specific complaints or issues.
4. Avoid conversations of the strategic, competitive, marketing nature such as singling out a particular company for derision in a group setting, market segmentation, and geographic territories.
5. Promote false or misleading representation to the public.
6. Discuss pricing including anything that might directly or indirectly affect pricing such as costs, discounts, payment terms, profit levels, production schedules, cost margins, possible increase or decrease of prices, pricing procedures, credit terms or control of sales or fees such as costs, discounts, terms of sale, warranties, profit margins, individual company's future marketing plans, bidding plans, pricing policies or refusal to deals.
7. Divide customers, markets or territories with competitors.
8. Require a customer to buy a product only from you.
9. Disparage a competitor's product.
10. Joke about antitrust compliance.

OVERVIEW AND PURPOSE

The Association Project and Consultancy Policy provides transparency to stakeholders and members as well as important guidelines and restrictions related to potential project and contract work, consultancy and calls for expertise and input.

GENERAL GUIDELINES, PROVISION AND RESTRICTIONS

The following defines situations whereby CACEA may participate in research activities, projects and/or consultancy initiatives and may also receive payment for its services and/or contributions.

All initiatives under consideration must be in line with and support CACEA's mission, values and mandate. They must also directly or indirectly benefit the members and/or profession.

The association is committed to ensure transparency to members and stakeholders when engaging and/or participating in research, projects and/or consultancy.

All Memorandums of Understanding (MoU) must outline and define contractual obligations and accountability; specific roles, responsibilities and deliverables as well as revenue sharing and other financial commitments, and be approved by the board or appropriate committee.

- A. CACEA may participate in formal Requests for Information (RFI), even when members are included in the RFI process.
- B. CACEA may engage in sole-sourced and/or direct contract work provided that the scope of work is applicable to CACEA's resources and expertise, and the work does not put CACEA in direct competition with its members.
- C. CACEA may engage in a joint initiative provided the work does not put CACEA in direct competition with its members. In the event that CACEA engages in a joint venture, a formal MoU will be required (refer to above).
- D. To avoid direct competition with members, CACEA will not respond as a primary proponent to competitive Requests for Proposals (RFP) that would also be made available to members. However, CACEA is able to partner with other respondents and/or a successful candidate and may agree to be listed on multiple teams if its participation is deemed to be appropriate and is not in competition with CACEA members. The conditions of these partnerships are to be negotiated on a case-by-case basis and include a formal MoU (refer to above).
- E. CACEA may be formally engaged as a "supplier" and/or expert to assist a member and/or stakeholder who has an independent contract, providing that the partnership does not preclude other members from engaging the association. In this situation, there must be a formal MoU between the parties (refer to above).
- F. CACEA may provide a letter of support for an individual member and/or stakeholder's bid for work. This would be in the form of a supporting letter stating the participant's qualification and role in the organization and/or the association's support of the proposed initiative.
- G. In other cases, or in situations where contract work is proposed that is either regionally specific or that otherwise falls outside the above situations, CACEA's board will review each case individually for appropriate response.

ANNUAL REVIEW

The Policy will be reviewed annually by the board of directors.

OVERVIEW

The board of directors of the Canadian Association of Consulting Energy Advisors (“CACEA”) is responsible for upholding the association’s integrity and best interest. This Policy applies to members of the board of directors, committees, volunteers and contractors (“Members”) and clarifies roles and behaviours; provides best practices when carrying out CACEA’s business; demonstrates effective governance practices; and provides a consistent and transparent framework of oversight, disclosure and review.

GENERAL EXPECTATIONS

1. Members recognize and support CACEA’s vision, mission and values and participate in open and inclusive dialogue without advocacy or partisanship.
2. Members shall act in the best interests of CACEA and will not disclose information deemed confidential (that which is not available to the general public or has been declared confidential) during their tenure and for five
3. (5) years after their term of office.
4. Members shall not represent and/or speak on behalf of CACEA unless otherwise instructed by the board.
5. Members must promptly disclose a potential, real or perceived conflict of interest as soon as the issue arises. If he/she is uncertain there is a conflict of interest, the chair can provide advice. Whether a conflict of interest is “real”, “potential”, or “perceived”; the same duty to disclose applies.
6. Other Members who are aware of a real, potential or perceived conflict of interest of a fellow Members must raise the issue with the Member and, if unresolved, with the chair.
7. Every attempt should be made to resolve such matters expeditiously and fairly.
8. If there is doubt about a real or perceived conflict, the board will determine by vote if a conflict exists. The Member must abstain from any discussion on the matter, shall not attempt to influence the outcome, shall refrain from voting on the matter and may be asked to leave the room for the discussion or vote. If there is no quorum once the Member has left, the remaining Members will constitute quorum for the vote.
9. The disclosure and decision as to whether a conflict exists will be recorded in the meeting minutes.
10. If a Member fails to disclose his/ her interest and potential conflicts, or refuses to abide by the ruling, the board may impose sanctions, including the suspension or the removal of the Member.
11. Full disclosure in itself, does not remove a conflict of interest. The board ruling is final.

DEFINITION OF CONFLICT OF INTEREST

A “conflict of interest” occurs when a Member, members of their family (spouse, children, dependents or other related persons occupying the same house), business partners or close personal associates, directly or indirectly benefits from their position on the Board or Committee. It can include and/or all of the following:

1. Having direct or indirect interest, financial or otherwise (including that of a shareholder, creditor or debtor) in organizations supplying CACEA with goods and services.
2. Having access to financial or other resources for personal use (e.g. transportation, training, supplies, etc.)
3. Having direct or indirect influence on a vendor, supplier, or those doing or seeking business with CACEA and which may potentially influence the decision process in favour of a particular vendor.
4. Seeking, receiving or accepting benefits from those doing or seeking to do business with CACEA.
5. Participating in or taking advantage of a business opportunity or activity in which CACEA has an interest.
6. Being a member of the board or staff of another organization, which has material interests that conflict with the interests of CACEA; and, dealing with matters on one board which might affect the other boards.
7. Involvement direct or indirect hiring, firing, supervision, grievance, evaluation, promotion or remuneration of a family member, business associate or friend of the director.

ANNUAL REVIEW

Members will receive a copy of the Policy and sign a Compliance Acknowledgement form. This Policy will be reviewed annually by the board of directors.



OVERVIEW AND PURPOSE

The Board of Directors Policy defines the general requirements of Canadian Association of Consulting Energy Advisors (“CACEA”) board of directors (“the Board”), directors and officers; the terms of office; the process by which to replace and/or add new directors; and board meeting requirements beyond what is prescribed by the association Bylaws.

GENERAL REQUIREMENTS OF THE BOARD AND DIRECTORS

- A. The Board is entrusted to manage and/or supervise the management of the activities and affairs of CACEA Directors Terms of Reference.
- B. The Board shall consist of a minimum of 6 and a maximum of 12 directors. The precise number of the directors shall be determined by the membership by ordinary resolution or if the ordinary resolution empowers the board to determine the number of directors, by resolution of the Board.
- C. Directors must:
 - be no less than 18 years of age.
 - not have been found by a court or elsewhere to be mentally incompetent
 - not have the status of being bankrupt
 - be an individual and owner or employee of a voting Member in good standing;
- D. The CACEA Board shall represent the sector. No more than 25% of the board may be suppliers or service providers unless otherwise approved by the board.
- E. Directors may participate at meetings either in person or by telephone, electronic or other means as determined by the Board.
- F. Each year directors, returning and newly elected, are required to sign a “Director’s Consent Form”.
- G. Affiliates (Associate and Trainee) are not eligible to be directors. They may, however, be invited to attend board meetings.
- H. Directors and officers will not be remunerated for their services but may be reimbursed if an expense is incurred by them to perform their role.
- I. Responsibilities of individual directors include:
 - ensure adequate resources and manage effectively.
 - contribute to discussions, forward suggestions, concerns, support, dissent and comments to the board or executive director, even when not attending a meeting.
 - be aware of the building and energy efficiency trends and issues.
 - determine, articulate and monitor CACEA’s vision, mission, strategy, member value proposition and initiatives.
 - be informed and adhere to CACEA’s articles of incorporation and legislation as well as its bylaws, policies and procedures and ensure legal and ethical integrity and accountability.
 - be prepared to take action and to support and assist in initiatives as required.
 - follow through in a timely fashion when action is requested or required.
 - represent the membership’s interest and provide leadership.
 - Enhance CACEA’s public standing and promote CACEA’s initiatives.
 - assist the Board in carrying out its fiduciary responsibilities, ensuring good governance.
 - Respect the confidential nature of CACEA business and individual information.

TERMS OF OFFICE

- A. Directors are elected at the Annual General Meeting (AGM) which must be held within six months of the fiscal year-end (September 30th). During the AGM, the Nominating Committee informs the members of the directors who have not completed their full term of office and a slate of directors is proposed per the Nominations and Election Policy.
- B. Director terms run from January/February until January/February of the following year.

- C. Directors-elect will be invited to participate in Board meetings prior to the start of the official board term to facilitate succession planning and orientation. During this interim period, they are not entitled to vote on board decisions.
- D. The chair will determine which guests, e.g. Affiliates (Associate and Trainee), can attend board meetings.
- E. A single term of office for a director is two years. Directors may serve on the Board for four consecutive 2 year terms. After that time, they may be required to remain off the board for one year, unless the CACEA board of directors' votes to request an extension and the director agreed to stand.
- F. Directors appoint the officers of the Board at the first board meeting of the term. The current president, past president and incoming president recommend the list of officers for the board to consider. As with the Board, no more than 75% of the officer positions will be suppliers and/or service providers.
- G. The officer positions are President, Vice President, Secretary/Treasurer and Past President. The Executive Director serves as an ex officio member of the Board. Each officer serves a term of one year unless the Board votes to request an extension and the director agreed to stand.
- H. The directors will make every effort to ensure there is diversity on the Board.
- I. If the members do not elect the required number of directors, the Board may fill vacant positions. It may not increase the number of Board positions approved by the members unless the number of directors has been delegated to the Board. If a member vote is required, the Board must call a special Members meeting and follow the Nominations and Election Policy.
- J. A director who fills a vacancy, will hold office for the unexpired term of their predecessor.

BOARD MEETINGS

- A. Directors are expected to attend all regular and special Board meetings as well as member meetings.
- B. Directors are expected to provide pre-read reports as requested within the timeframe noted.
- C. If a director is unable to attend a Board meeting, he/she is responsible for reviewing the Board materials and ensuring he/she is aware of the decisions made in their absence. Directors may not vote on board decisions by proxy.
- D. The majority of the directors constitutes quorum.
- E. Each director can exercise one vote at the board meeting.
- F. The content discussed during board meetings is confidential unless otherwise noted in the meeting.
- G. Directors are responsible for disclosing and/or identifying any conflict of interest as per the requirements noted in the Confidentiality, Non-disclosure and Conflict of interest Policy.
- H. If a director misses three consecutive meetings, they may be removed as a director of the association.

OVERVIEW AND PURPOSE

The Board Nomination and Election Policy enables the Canadian Association of Consulting Energy Advisors (CACEA) to demonstrate sound governance practices and ensures fair, transparent and equitable evaluation, deliberation and practices related to nominating and electing national leaders. The purpose of the Policy is to describe the process by which the board will select candidates; identify clear expectations and guidelines; address the Nomination Committee structure; outline nomination requirements; and define how eligible directors are elected to the national board of directors by the membership. The policy is designed to follow the requirements that are defined and outlined in the CACEA Bylaws.

GENERAL NOMINATION POLICY

- A. The board shall appoint a Nomination Committee to oversee the nominations and election process.
- B. The Nomination Committee shall be chaired by the past president, unless otherwise determined by the board, and may include board and non-board members to ensure an open and inclusive process that represents member interests.
- C. The Nomination Committee shall be responsible for identifying the number of open board positions and seeking qualified individuals to serve as national directors for a two-year term of office.
- D. The Nomination Committee will distribute a formal “Call for Nominations” to the membership by email that will identify the number of open board positions; related Terms of Reference that identify required competencies and board requirements; the timeline of the nomination and election process; and any other relevant requirements.
- E. No nominated candidate will be eligible to serve as a director unless they have fulfilled the requirements identified in the official “Call for Nominations”.
- F. The board shall be composed of voting Members. Unless there is a special resolution of the board, there will be a minimum of seventy-five (75)% of the directors shall be an energy advisor (EA).
- G. All applications received will be scrubbed of any identifying information before distributed to the Nomination Committee to ensure that the selection supports the association’s Diversity, Equity and Inclusion Policy.
- H. The Nomination Committee shall review all candidates, consider their skills, experience, and background, to the fullest extent possible, recommend nominees and a slate that includes candidates for election that reflects the membership.

QUALIFICATIONS AND SKILLS

The qualifications and skills of the candidate considered by the Nomination Committee include:

- 1. is not less than 18 years of age.
- 2. has not been found by a court or elsewhere to be mentally incompetent
- 3. has not the status of being bankrupt
- 4. is a voting Member in good standing;
- 5. is willing to serve as a director, and commit the time necessary to the performance of the duties of a director such as: attending quarterly meetings, the Annual General Meeting (AGM) and other special meetings; contributing time and effort for CACEA’s betterment; supporting and working to further CACEA’s goals and vision; devoting time to fulfill their duties as a director; and possessing a leadership orientation and desire to add value to CACEA, its members, and the industry;
- 6. has proven leadership attributes and the ability to work collaboratively, strategically and engage in debate and discussion;
- 7. has experience in the building and energy sectors and a strong sector network;
- 8. has previous experience serving on a board (either for-profit or non-profit) and/or knowledge of opportunities and challenges facing non-profits;

9. can contribute to the board's focus on identifying the opportunities to advance EAs while also improving and expanding upon national programs and services that support and benefit the profession and our members; and
10. meet the criteria outlined in the Terms of Reference for open director positions as well as any other criteria specifically relevant to the open position.

NOMINATION PROCESS FOR DIRECTORS

- A. Candidates are responsible for determining their eligibility.
- B. Nominees must be members in good standing with voting privileges.
- C. Candidates must submit within the required time frame identified in the "Call for Nominations"; a completed Nomination Form; and a signature of endorsement by a CACEA Member in good standing with voting privileges.
- D. Incomplete applications received after the deadline will not be considered.
- E. The Nomination Committee will convene five (5) months prior to the Annual Meeting to provide sufficient time for the Nomination Committee to review the nomination materials and work with the board to determine the number of open positions for the upcoming board term.
- F. The Nomination Committee will review all applications, conduct interviews as required and forward a recommended slate of nominees to the board of directors that are in compliance with the Bylaws, ensure the board of directors as a whole represent the range of participants in the industry and maintain continued leadership and effective governance practices.

ELECTION PROCESS FOR DIRECTORS

- A. The Nomination Committee will recommend a slate of nominees, based on the candidates identified during the nomination process, to the board for approval.
- B. In the event that the Nomination Committee identifies multiple qualified candidates for open board positions and determine that a ballot vote of the membership is required, the Nomination Committee will oversee an election process prior to the AGM, by way of a ballot to the membership.
 1. The ballot will be sent to members in good standing who are eligible to vote well in advance of the AGM to provide sufficient time to receive and tabulate the ballots.
 2. The ballot will be sent to the designated representative for the membership.
 3. The ballot will include:
 - the list of qualified candidates with a summary of their eligibility and credentials;
 - clear instructions on the voting and tabulation process;
 - the timeline of when the ballots are to be received in order to be tabulated;
 - the date and location of the AGM; and
 - verification that the ballot has been submitted by a qualified member.
 4. The Nomination Committee will put forward the slate of directors resulting from the ballot for board approval and ratification by the members at the AGM.
- C. The members may vote for the slate of directors either in person at the Annual General Meeting or by appointing a proxy holder who is a member in good standing and can act at the meeting in a manner and to the extent authorized by the proxy.
 - The proxy must be in writing and include the name of the proxy holder; the member's name and signature; and instructions on how the proxy holder can vote on the member's behalf.
- D. The majority vote "rules".

ANNUAL REVIEW

This Policy will be reviewed annually by the board of directors and/or should the Bylaws be revised.

OVERVIEW AND PURPOSE

CACEA holds its Members and representatives (Associates) to a high standard. The Code of Ethics and Professional Conduct (the “Code”) applies to all CACEA Members and Associates. They must abide by the Code, subscribing to the letter and spirit of the Code in all their Association and professional activities.

Members and Associates must abide by the following:

A. **Competence:**

- Maintain competence in fulfilling their responsibilities and provide services honestly and diligently.
- Abide by all of Natural Resources Canada's (NRCan) EnerGuide Rating System and licensing compliance requirements where they apply.
- Abide by the technical requirements of other programs and labels.
- Abide by the technical requirements of the Provincial/Territory, Municipal, and National Building Code of Canada (NBC) and all related compliance requirements, standards, and guidance documents.
- Provide sound judgment and demonstrate exemplary professionalism in pursuing their duties.
- Recognize their limitations and perform only services that may be done competently based on their license, training, and experience.
- Work within the scope of the expertise of their responsibilities and services, providing counsel/consultation only within this scope and considering the consequence of such counsel/consultation.
- Ensure those under their authority or supervision have the required skills, licenses, and competencies to conduct their assigned tasks.

B. **Integrity:**

- Maintain honesty, integrity, fairness, impartiality, and objectivity in all activities.
- Act in good faith towards all parties involved in their services.
- Not be influenced and avoid conflict of interest or activities that compromise, or appear to compromise professional independence, objectivity, and the integrity of all professional duties.
- Disclose any situations of conflict of interest to all involved.
- Represent their licenses, qualifications, experience, and CACEA membership accurately, professionally, and not knowingly make false or misleading statements.

C. **Respect in the Workplace:**

- Support, promote, and apply the principles of human rights, equity, dignity, and respect in the workplace.
- Recognize that discrimination based on race, creed, colour, language, national origin, political or religious affiliation, sex, sexual orientation, age, marital status, family relationship, and disability is unacceptable.

D. **Ongoing Professional Development:**

- Continue development throughout their career and support EAs, Members, and Associates to develop skills, knowledge, and abilities.
- Adhere to the Association's annual continuing education requirements (18 CEC for Full and Junior Members; 25 CEC for Master Energy Advisors (MEA)).

E. **Confidentiality:**

- Protect the confidentiality of all acquired information and disclose information only when properly authorized or legally obligated.
- Respect and honour the exclusive privilege of member-only content, discounts, and opportunities.

F. **Professional Requirements:**

- Keep apprised of all relevant laws, regulations, license requirements, and recognized standards of practice related to their duties.

G. Support of the Profession and Other Professionals

- Uphold the honour and prestige of their profession and the Association.
- Recognize and respect the original work, integrity, and ability of their peers.
- Uphold, maintain, promote, and improve the professional integrity and reputation of EAs.

H. Representation and Support of the Association:

- Comply with the relevant provisions of the CACEA bylaws, policies, and membership requirements.
- Not use membership in such a manner as to bring the Association into disrepute, nor make statements about CACEA, the membership, and the EA profession which CACEA may consider misleading or unauthorized.
- Make it clear when a personal opinion, position, or approach differs from CACEA's.
- Use the CACEA logo and branding per the Association's guidelines, standards, and requirements.
- Promote and support the work of CACEA and serve as an ambassador of the Association.

NON-COMPLIANCE PROCEDURE

- Failure to uphold the Code may result in suspension or removal.
- Complaints against a Member or Associate must be in writing and emailed to the executive director at manager@cacea.ca. The board of directors will follow the process outlined in CACEA's Bylaws.
- Non-compliance concerns related to the EnerGuide Rating System by a CACEA Member or Associate should be forwarded to NRCan at HCP_Compliance-conformite_PCL@nrcan-rncan.gc.ca and the executive director copied on the email.

ANNUAL REVIEW

The board of directors will conduct an annual review of the Code.



OVERVIEW AND PURPOSE

The Corporate Credit Card Policy applies to all card holders who are assigned a corporate credit card for the Canadian Association of Consulting Energy Advisors (CACEA) and sets out the use, limitations, and responsibilities. CACEA's Aeroplan credit card is secured against a separate bank account with Canada Trust Toronto Dominion Bank and is meant to allow access to efficient, flexible, and alternative means of payment for approved expenses.

GENERAL POLICY

- A. The board shall determine who should receive a corporate credit card.
- B. The Executive Director (ED) will have access to the CACEA credit card.
- C. The ED is responsible for abiding by the bank's credit card agreement and requirements and CACEA's Materials Commitment Policy and supports the general Payment Processes which are approved by the board annually.
- D. The credit card shall be used for regular monthly subscriptions and business expenditures which are in line with the approved annual budget or by a board resolution.
- E. The credit card has a credit limit of \$5,000 in total.
- F. The use of the credit card for cash advances and/or electronic cash transfers is strictly prohibited.
- G. Any "points" that are accumulated will be used for approved company purchases.
- H. Charging for personal expenses on the credit card is forbidden in any circumstances.
- I. Expenditures associated with the credit card must have corresponding original receipts to facilitate monthly reconciliation by the ED and bookkeeper. These receipts must be saved in a shared "payables" drive for reference by the executive director, the bookkeeper, the board, and the public accountant as required and referenced in the Payables Tracking Sheet with the associate general ledger accounting code as well as a description of the expense.
- J. The treasurer and/or a CACEA officer reserves the right to view monthly credit card statements.
- K. Lost or stolen cards must be reported immediately to the credit card provider, and the board must be made aware of the missing card.
- L. The credit card balance must be paid in full each month unless otherwise approved by the board.

ANNUAL REVIEW

A review of the Corporate Credit Card Policy shall be reviewed by the board of directors annually.

OVERVIEW AND PURPOSE

The Canadian Association of Consulting Energy Advisor's (CACEA) Diversity, Inclusion and Equity Policy provides transparency to stakeholders and members guides the work and focus of the association, the board, staff, volunteers and members.

GENERAL GUIDELINES, PROVISION AND RESTRCITIONS

CACEA is committed to a diverse, inclusive, and equitable environment where all board members, staff, volunteers, and members feel respected and valued regardless of gender, age, race, ethnicity, national origin, sexual orientation or identity, disability, education, or any other bias.

CACEA is committed to the following:

- We will be non-discriminatory and provide equal opportunities for employment, volunteering, and advancement in all areas of our work and promoting this practice within our community.
- We will respect the value that diverse life experiences bring to our association, board and leadership.
- We will model diversity, inclusion, and equity and maintain fair and equal treatment for all.
- The board's philosophy on its goals to provide leadership for diversity, inclusion, and equity includes:
 - Aiming to recognize and address inequities in our policies, programs, and services.
 - Being transparent about diversity in all our interactions.
 - Leading with respect and tolerance and encouraging staff and volunteers to do the same.

ANNUAL REVIEW

The Policy will be reviewed annually by the board of directors.

OVERVIEW AND PURPOSE

The Material Commitment Policy allows Canadian Association of Consulting Energy Advisors (CACEA) to work within a framework for contract review, contract signing authority, assigning authority where appropriate. It provides for sound stewardship, manages risks, clarifies roles and ensures that CACEA complies with its contractual obligations and avoids conflicting commitments. The Policy applies to all types of Material Commitments made on behalf of CACEA and shall be followed by all board members, committee members, and officers of CACEA ("Members").

"Material Commitment" includes any oral or written agreement that commits CACEA to any obligation.

GENERAL POLICY

- A. No Member shall commit CACEA to any Material Commitment until it has been approved by the board or signing authority.
- B. CACEA will not enter into any Material Contracts that may be considered a direct, indirect or potential conflict of interest. In the event that a Member has a direct, indirect or potential Conflict with one or more parties involved in a Material Contract, he/she shall promptly notify the president of the board of the Conflict, and in keeping with the Conflict of Interest Policy, to ensure the board has all information regarding the Material Contract before acting on it.
- C. The executive director, has the authority to enter into commitments that are valued at \$750 or lower and that fall within the board approved budget.
- D. The CACEA chair has the authority to enter into Material Commitments that are valued between
- E. \$751 and \$2,500 and that fall within the board approved budget.
- F. Any Material Commitments over \$2,500 or for those items that are not within the board approved budget regardless of the authority awarded to the executive director and/or the chair requires the approval of the board of directors.

SIGNING AUTHORITY

The CACEA chair is the main signatory on any contracts and can delegate who he/she sees fit to act as the main point of contact in dealing with a vendor. All cheques and electronic payments require two authorized signatories, one of whom must be an officer of the association. This can include the chair, vice chair or treasurer of the board.

MATERIAL COMMITMENTS FILING REQUIREMENTS

Signed copies of all contracts will be filed at the CACEA Drop Box.

ANNUAL REVIEW

A review of the Material Commitment Policy shall be reviewed by the board of directors annually.

OVERVIEW

Membership in the Canadian Association of Consulting Energy Advisors (CACEA) is special, and you voluntarily have become part of this prestigious organization to forward the commitments of representing credible and respected Energy Advisor professionals. Its Board of Directors (Board) is the governing body and holds the legal and fiduciary authority on behalf of the Association and its membership. This includes the authority to discipline members, up to and including Expulsion from CACEA.

CACEA members of all categories are subject to discipline if the member's conduct conflicts with the Association's membership requirements, Bylaws, policies, and CACEA's Code of Ethics and Professional Conduct ("Code"). The Member Discipline Policy ("Policy") outlines CACEA's process for receiving complaints, investigating, and taking disciplinary action against a CACEA members. It also applies to non-members who hold CACEA credentials (e.g., Qualified Integrated Design Process (IDP) Facilitators) for violations of the Code and outlines the roles of the Board of Directors, the Discipline Committee ("DC") and the prescribed disciplinary processes.

EXPECTED STANDARD OF CACEA MEMBER CONDUCT

CACEA Members and Affiliates are held to a high standard of ethical and professional conduct as outlined in the Code.

- In addition to abiding by the Code, Full and Junior Members must comply with the following requirements:
- Hold a minimum of \$1M Errors and Omissions insurance
- Provide an Annual Service Organization (SO) Verification Letter
- Maintain an annual minimum of 18 continuing education credits (CECs)

Master Energy Advisor (MEA)

Of note, CACEA holds Master Energy Advisors (MEA) to the highest standard of Professional Conduct, as outlined in the Policy. MEAs represent a highly experienced and committed group of Energy Advisors who demonstrate a high-level of expertise, consultancy skills, and professionalism. They are trusted industry partners and advisors; and serve as examples and ambassadors for CACEA's overarching principles and purpose.

Therefore, MEAs are held to a higher standard than CACEA Full and Junior Members and are required to:

- abide by the above-mentioned standards and commitment,
- maintain an annual minimum of 25 CECs; and
- demonstrate high levels of professionalism in their services as well as in how they represent the Association and themselves to their clients and other stakeholders.

CONFIDENTIALITY OF COMPLAINTS

All written complaints, conversations, documents, or other activities involving an alleged Violation are confidential and will not be revealed in any manner to anyone except those Association Members involved in the investigative process, the Complainant (if known) and the Respondent. Neither the Complainant nor any Member involved in the investigative process may disclose that a Complaint was filed or that they are participating in any investigation, nor may they discuss its contents with anyone other than those involved in the investigative process.

Disclosing any information pertaining to a Complaint is a Violation and will be subject to disciplinary proceedings. Even if the Respondent discloses information about the Complaint to anyone not involved in the process, the obligation of confidentiality on the part of the participants and CACEA remains in effect.

In the event of a Suspension or Expulsion, CACEA reserves the right to share the Board's decision with NRCAN, the SO(s), and other relevant stakeholders such as program and label providers. In addition, CACEA will remove references to the Member from its website listings and other public-facing materials. The final decision will be filed permanently on the Member's record in the Membership folder.

DEFINITIONS

- A. "Appeal Committee" is defined in these Disciplinary Procedures in the Appeals section.
- B. "Association" means the Canadian Association of Consulting Energy Advisors (CACEA).
- C. "Code" means the Code of Ethics and Professional Conduct Policy of the Association.
- D. "Committee" or "Discipline Committee" means the CACEA Discipline Committee, where action by the Committee is indicated.
- E. "Complainant" means the person or persons submitting the Complaint.
- F. "Complaint" means the allegation of a Violation of the Code, Bylaws, Policies, and Membership Requirements, submitted in writing as outlined in these procedures.
- G. "Credentials" or "Credentialing" refers to the professional designations, qualifications, or certifications awarded by CACEA that an individual may earn through experience and education requirements provided by the Association, including, but not limited to the MEA and Qualified IDP Facilitator.
- H. "Chair" means the Chair of the Discipline Committee.
- I. "Rules" means all rules and regulations of the Association found in the Code, Bylaws, Policies, and Membership Requirements.
- J. "Violation" means a Violation of the Code, Bylaws, Policies, and Membership Requirements.
- K. "Expulsion" means a complete and permanent termination of membership or any affiliation with the Association, or, if not a member, a complete and permanent termination of the right to use any Credentials granted to them by CACEA.
- L. "Member" means any member, including Full, Junior, Associate, Trainee, Supplier and Corporate, whose membership is in good standing with the Association.
- M. "Probable Cause" means an apparent state of facts found to exist upon reasonable inquiry which would induce a reasonably intelligent and prudent person to believe that the Respondent has committed a Violation.
- N. "Respondent" means any individual bound by the Rules of the Association who has been alleged to have committed a Violation.
- O. "Reprimand" means a serious written warning calling the attention of the Respondent to a Violation of the Rules.
- P. "Rules" means the Association's Code, Bylaws, Policies, and Membership Requirements.
- Q. "Suspension" means a temporary revocation of the rights and privileges of membership in the Association or, if not a member, a temporary revocation of any Credentials granted to such non-member by the Association.

COMPLAINTS

- A. Any Member or outside stakeholder who believes that misconduct or a Violation has been committed by a Member can submit a written Complaint. All Complaints for alleged Violations will be promptly filed by the Office under the Member Complaint folder in CACEA's Dropbox. Complaints filed more than six (6) months after **learning** of the alleged Violation, and if the alleged Violation happened more than two years prior to the complaint, **may** be dismissed as untimely at the Discipline Committee's discretion.
- B. Written complaints should highlight a Violation of CACEA's Code and Rules and include factual details supporting the Complaint. Specific details including dates, places, documents, photos are important. The complaint should include a clear definition and factual details.
- C. All Complaints must be submitted in writing to the Board, which will review the Complaint to determine if it needs to be referred to the Discipline Committee to review.
- D. The Board will review the complaint and may:
 - Dismiss the Complaint if it is considered trivial or vexatious.
 - Determine that the Complaint is incomplete or insufficient and either dismiss it, notifying the Complainant, or request additional information to better assess the Complaint.

- Determine that the Complaint does not fall within the jurisdiction of this policy and refer it to the appropriate body with jurisdiction, e.g. Natural Resources Canada (NRCAN).
 - Determine that the Complaint is worth further investigation.
- E. If the Board determines that the Complaint is worth further investigation, the President (or a Board-appointed designate) will acknowledge CACEA's receipt of the Complaint in writing to the Complainant within ten (10) calendar days and advise them that the matter will be referred to a Discipline Committee for review.
- F. The Board may also recommend that the Complainant consider notifying the licensing body, NRCAN, using the following email address: HCP_Compliance-conformite_PCL@nrcan-rncan.gc.ca.
- G. The President (or a Board-appointed designate) will also notify the Respondent in writing that a Complaint has been filed, the nature of the Complaint, and the name of the Complainant. The Respondent will be provided with a copy of the Complaint and supporting documents, along with a copy of the Code of Ethics and Professional Conduct Policy and these Disciplinary Procedures.
- H. A notice of conviction of a local, provincial, territorial, or federal felony, indictable offenses, any misdemeanor, or summary conviction which reflects adversely on the professional character, trustfulness, morality, or reputation of a Member or a Credentialed non-member will be considered as an official Complaint.
- I. A notice that any other professional organization to which the Member or Credentialed non-member belongs, and/or any licensing or regulatory agency under which he or she is licensed or otherwise affiliated, has sanctioned the individual under its ethics or professional conduct rules will also be considered as an official Complaint.

APPOINTMENT OF A DISCIPLINE COMMITTEE: PROBABLE CAUSE INVESTIGATION:

- A. The Board will appoint a Discipline Committee comprised of three (3) Directors of the Board or Past Directors, and where at least two (2) are NOT from the same region as the Complainant or known to the Complainant. The Executive Director will be an ex officio member of the Committee.
- B. The Committee, in keeping with the requirements set out in the Bylaws, has an overall responsibility to ensure procedural fairness is respected at all times during the disciplinary process and to carry out the process in a timely manner and in keeping with this Policy.
- C. The Discipline Committee will consider the seriousness of the charges, whether or not the Complaint constitutes a Violation of the Code or Association Rules, the relationship between the Complainant and the Respondent, the professional standing and truthfulness of the parties and witnesses, and any other facts the Committee deems appropriate. It may also interview the Complainant, the Respondent, or others it considers necessary to aid in the investigation. The Committee will complete its investigation within forty-five (45) calendar days of receiving the written Complaint.
- D. After an investigation, the Discipline Committee may make one of the following findings:
- There is *No Probable Cause* to believe that the Respondent has committed a Violation and, therefore, the Complaint should be dismissed.
 - There is *Probable Cause* to believe that the Respondent has committed a Violation(s) which can be specifically identified, and that the Respondent should receive a written Reprimand.
 - There is *Probable Cause* to believe that the Respondent has committed a Violation(s) which can be specifically defined and that the disciplinary action should result in Suspension or Expulsion.
- E. The Board is responsible for reviewing the Discipline Committee's recommendations and determining the course of action by a majority vote, whether it is to accept the Committee's findings or request additional investigations.

DISCIPLINE AND DISCIPLINE COMMITTEE FINDING

- A. No Probable Cause:

If the Discipline Committee determines there is *No Probable Cause*, the Board will be notified, and the President (or Board-appointed representative) will immediately give written notice of the finding to the Complainant and the Respondent. The formal Complaint will also be dismissed and all files pertaining to it be destroyed.

B. Probable Cause:

If the Discipline Committee determined there is *Probable Cause* that may require the Reprimand, Suspension or Expulsion of the Respondent, the committee must report their findings to the Board, outlining the steps taken in their investigation and the rationale behind their recommended course of action. The President (or Board-appointed representative) will notify the Respondent in writing by electronic mail, with a return receipt requested, of the Committee's findings and recommendations. The Respondent will have thirty (30) calendar days from the receipt of the written notice to respond to the President (or Board-appointed representative) within such thirty (30) calendar days. The Board will consider the alleged Violation and any responses offered by the Respondent or additional information by other parties and make a final decision and course of action.

The President (or Board-appointed representative) will notify the Respondent in writing by electronic mail, with a return receipt requested, of the decision.

TYPES OF DISCIPLINARY ACTIONS UPON FINDING OF PROBABLE CAUSE:

If the Board deems there is Probable Cause that the Respondent committed a Violation, one of the following disciplinary actions may be recommended and implemented, depending on the nature and seriousness of the Violation.

The Board determines, by a majority vote, whether to accept the DC's recommendations or to send the matter back to the DC for further consideration based on Board discussion.

A. Reprimand

- A written reprimand specifies the nature of Respondent's misconduct and informs the Respondent that further disciplinary action may be taken if the misconduct is not corrected.
- A copy of the written Reprimand will be saved in the Member's membership file in CACEA's Dropbox after the official notification of the Reprimand has been provided to the Respondent. It will not be published or made known to the membership and/or the general public.
- Additional disciplinary action of an educational nature may be required if the Violation indicates this is necessary or desirable, as the determined by the Board.
- Reprimands may address single incidents of breaching the Code, Bylaws, Member Requirements and Policies that generally do not result in harm to others.

B. Suspension

- A Suspension starts thirty (30) calendar days following the receipt of the Respondent's written reply to the Suspension notification and ends at the stipulated expiration datetime by the Board. The Office is responsible for monitoring the Suspension timelines and notifying the member when the Suspension is lifted.
- If the Respondent files an appeal within thirty (30) calendar days of receiving the decision, the Suspension will not be implemented until a final decision is made by the Board.
- During the Suspension period, the suspended individual may not represent themselves as a CACEA Member in any manner, nor during that time utilize or refer to any of the Credentials received from the Association; or participate in CACEA educational offerings even, as a non-member.
- At the end of the Suspension period, and subject to any additional disciplinary educational requirements having been fulfilled, the suspended person will automatically be restored to previous membership status, provided they still meet CACEA's membership requirements. Evidence of their membership will also be reinstated.

- A suspended MEA will not be reinstated as an MEA unless they demonstrate to the MEA Committee that they meet the criteria and principles of the designation.
- An IDP Facilitator or Qualified CSA F280 Whole-house service provider will not be reinstated with CACEA credentials. They must re-enroll in the training programs.
- Any reference to the Suspended member will be removed from the CACEA website, committee lists, and other public-facing materials until their suspension period is over and the return to being a recognized member.

C. Expulsion

- An Expulsion becomes effective thirty (30) calendar days following receipt by electronic mail with return receipt requested, by the Respondent of the Expulsion notice.
- If the Respondent files an appeal within thirty (30) calendar days of receipt of the decision the Expulsion will not be implemented until a final decision is made by the Board.
- Upon the effective date of Expulsion, all reference by the Respondent to membership in, Credentialing by, or affiliation with, the Association must, in whatever form, immediately cease.
- CACEA reserves the right to share the Suspension with NRCAN, the SO, and other relevant stakeholders. This information may also be communicated to the membership and the general public including the website, committee lists, newsletter distributions and other public-facing materials. The Expulsion will remain permanently on the Respondent's record at Headquarters.
- The grounds for Expulsion will include but not be limited to the following:
 - Conviction of a felony.
 - Conviction of any act discreditable to or inimical to the best interest of CACEA.
 - It is determined that the Member's application for membership or Credentialing was materially falsified at the time membership or career path status was granted, or that he or she knowingly failed to provide complete, factual information, which, if disclosed, would have resulted in the denial of the application for membership in or Credentialing by the Association.
 - It is determined that the Member has been dishonest, lied or knowingly and materially misrepresented or withheld information in the course of their professional activities.
 - The Member is found in violation of the Articles, By-laws, Code of Conduct, or written policies of the Association.
 - The Member engages in conduct detrimental to the interests or reputation of the Association, as determined by the Board.
 - The Member fails to maintain required professional credentials or good standing as a licensed Energy Advisor.
 - Failure to meet the qualifications for membership, as described in Article 10.1 of these By-laws, renders the Member ineligible.
 - The Member fails to renew membership by payment of the annual membership fee, as outlined in Section 10.3 of the By-laws.
 - The Member resigns by delivering a written resignation to the President of the Board or their designate, effective on the date specified in the resignation.
 - Death of the Member occurs, in the case of an individual.
 - Dissolution of the Member occurs, in the case of a corporation.
 - The Member's term of membership expires.
 - The Association is liquidated or dissolved under the Act.

- The Member is expelled in accordance with disciplinary procedures.
- Any other reason deemed reasonable and consistent with the purpose and best interests of the Association is determined by the Board.

NOTE: Suspensions and Expulsions typically address major infractions and instances of misconduct that result, or have the potential to result, in harm to other persons, to CACEA, or to the EA profession. Examples of major infractions include but are not limited to:

- Up to three official infractions that involved a formal reprimand.
- Activities or behavior that interfere with professional conduct.
- Deliberate disregard for CACEA Bylaws and policies and rules of the NRCan.
- Conduct that intentionally damages the image, credibility or reputation of CACEA, a member(s), or the EA profession.

APPEALS

- A. The Respondent may, within thirty (30) calendar days of receiving the Board's decision, give written notice to the President (or the Board-appointed representative) that they are appealing the decision by electronic mail, with a return receipt requested. If no appeal notice is made or received by the President (or Board-appointed representative) within the thirty (30) calendar days period, the original decision stands.
- B. If, within the thirty (30) calendar days period, the Respondent makes a written notice of appeal to the President (or Board-appointed representative), and either denies the charges in whole or in part, or admits the charges in whole or in part, but requests a meeting to discuss alternative actions, the President will convene an Appeal Committee within fifteen (15) calendar days of receiving the appeal notice.

APPEAL COMMITTEE:

- A. The Appeal Committee will meet within fifteen (15) calendar days of the notice of appeal and include at least three (3) Members, which may include past Board members or MEAs who were not previously aware of or involved with the Complaint process and who do not have a conflict of interest with the Complainant or Respondent. The Appeal Committee will appoint a Chair who will coordinate a meeting with the Respondent within forty-five (45) calendar days of the appeal notice (and subject to the availability of all parties).
- B. The Appeal Committee has the burden of proving a Violation based on the evidence provided and determining when it is more likely than not that a Violation was committed by the Respondent.
- C. Immediately after the Appeal meeting, the Appeal Committee will meet to discuss its findings. Within thirty (30) calendar days of the meeting, it will submit, in writing, its findings and recommendations to the Board and to the Respondent by electronic mail, return receipt requested.
- D. The decision of the Appeal Committee is final, and there can be no further appeals.

COMPLAINT RESOLUTION BY MUTUAL AGREEMENT

Complaints may be resolved by mutual agreement of the Respondent and the Association, provided that the terms and conditions of such agreement are approved in advance by the Board.

RESIGNATIONS

- A. A Respondent, who is a Member, may not voluntarily resign from the Association at any time after receiving formal notice of a Complaint. Any resignation will be deemed an admission of a Violation and will result in an automatic Expulsion from the Association.
- B. When the Respondent is given notice of the Complaint and the next steps defined, they will be advised that resignation from the Association will be deemed an admission of a Violation and will result in automatic Expulsion and publication in Right of Way magazine.

- C. CACEA reserves the right to share the Member's (or non-member's) Expulsion due to a resignation with NRCan, the SO, and other relevant stakeholders, as well as through sources of information to the membership and the general public, including the website, committee lists, newsletter distributions, and other public-facing materials.
- D. When an Expulsion resulting from a Resignation occurs, the CACEA Office will document the reason behind the Expulsion in the Association files and Member record. At this time, the Discipline Committee will suspend investigative activities and rule the matter closed.

TIME EXTENSIONS

The Association reserves the right to extend the Disciplinary timelines if there is a good cause/reason for an extension. The extension must be granted by the Board (or the authorization given by the Board to the President, Discipline Committee or Appeal Committee) and only when the request for an extension is received in writing and within the defined Disciplinary Procedure timelines.

REINSTATEMENT NOT PERMITTED

- A. A former Member who has been expelled from the Association will not be eligible for reinstatement and may not apply to become a CACEA Member at any time, regardless of whether they change organizations and/or an SO(s) from those they were associated with at the time of Expulsion. The Expulsion ruling will be documented in the former Member's record, and there will be no Appeal.
- B. A Credentialed non-member whose Credentials have been terminated through a formal decision about a Complaint will not be eligible to have the Credentials reinstated and may not reapply for Credentialing at any time. Expulsion will be documented in the former Credentialed non-member's record, and there will be no Appeal.

NOTICES

Provision in these Disciplinary Procedures which require that written notice be given to any individual may be given by electronic mail to the individual's email address on file with the Association. Any individual who does not have an email address will be provided with notice by an alternative method.

If any registered or certified mail is returned because the addressee's whereabouts are unknown, a copy will be sent by first-class mail to the addressee's last known address on file with the Association. If any registered or certified mail is, for any reason, refused by the addressee, a copy will be sent to the addressee by first-class mail. In either case, the addressee will be considered properly served, and all deadlines will be tolled from the date the first-class mail copy was posted.

ANNUAL REVIEW

A review of the Member Discipline Policy will be reviewed by the Board of Directors annually.

OVERVIEW AND PURPOSE

This Privacy Policy is applicable to the Canadian Association of Consulting Energy Advisors (“CACEA”). The Policy demonstrates CACEA’s commitment to privacy and providing safe websites for visitors of all ages. The Policy identifies how CACEA gathers and uses information on this website (the “Site”). CACEA complies with Canadian Federal and Provincial privacy laws and regulations including the Personal Information and Electronic Documents Act.

Although users are not required to register to access our Site, they may be asked to provide personal information when visiting certain sections of the Site and to access requested products or services. The use of the Sites signifies the user’s acknowledgement and consent to the CACEA Privacy Policy. If a user does not agree to this Privacy Policy, they should not continue to use the Site.

By using this Site, the user signifies acceptance of our Privacy Policy and any changes in effect at the time of use, and will adhere to its terms and conditions. By submitting personal information, the user agrees it will be governed by this Policy.

LINKS TO OTHER SITES

The Site may have links to other sites. Links to third party websites are provided as a convenience and for informational purposes only. The Privacy Policy applies only to the Site and not to websites of other organizations to which the Sites is linked. CACEA does not endorse, nor is responsible for the content or privacy practices of other sites. Users are encouraged to be aware when they leave the Site and to read the privacy statements of any other site that collects personally identifiable information and/or make any necessary inquiries in respect of that privacy policy with the operator of the linked site.

COLLECTION OF PERSONAL INFORMATION

Personal Information is the information about users that identifies them as an individual (e.g. name, address, e-mail address, or telephone number). CACEA is the sole owners of the information collected on the Site. It only has access to/collect information provided voluntarily provide by email, online applications and registrations, surveys, feedback questionnaires, or other direct contact with users.

USE PERSONAL INFORMATION

Before forwarding any personal information, be advised that information gathered may be used in the aggregate for research and development relating to the Sites and/or for future site development and, if asked, to send promotional materials. CACEA may use information gathered for the following:

- to monitor interest in products and services;
- to tailor Site content by collecting information about user preferences using page view analytics; and/or
- to send information about CACEA and promotional material about products and services.

USER ACCESS AND CONTROL OVER INFORMATION

With user permission, information gathered may be used for marketing and promotional purposes by CACEA, provided notice of this fact is made available online. Users have the option of opting out of future contact by e-mail request or modifying the registration information provided. In addition a user can or request the following at any time by email or telephone (see contact below):

- to view his/her personal information that has been gathered;
- to change/correct or delete his/her specific data; and/or
- to express concerns about the use of his/her data.

DISCLOSURE OF INFORMATION

CACEA will not share, sell or rent your information with any third party outside of our organization, other than as necessary to fulfill your request (e.g. process an order). CACEA will not disclose personal information that has been provided on its Sites to any third parties other than to a CACEA agent except:

1. in accordance with the terms of this Privacy Policy, or

2. to comply with legal requirements such as a law, regulation, warrant, subpoena or court order, and/or
3. if a user reports an adverse event/side effect, in which case the CACEA may be required to disclose such information to bodies such as, but not limited to, Canadian and/or international regulatory authorities.

Note, any of these disclosures may involve the storage or processing of personal information outside of Canada and may therefore be subject to different privacy laws than those applicable in Canada, including laws that require the disclosure of personal information to governmental authorities under circumstances that are different than those that apply in Canada.

SHARING OF INFORMATION

CACEA may from time to time share aggregated demographic information with stakeholders. This is not linked to personal information that can identify an individual. Note, CACEA uses an outside membership and event software provider and credit card processing company. These companies do not retain, share, store or use personally identifiable information for any secondary purposes beyond filling your order.

CACEA also partners with companies that provide specific services to our members such as our Member Affinity partners. When the user signs up for these services, CACEA will share names, or other contact information needed for the third party to provide these services. These parties are not permitted to use personally identifiable information except for the purpose of providing these services.

SECURITY

CACEA takes precautions to protect your information. When sensitive information is submitted through the website, personal information is protected both online and offline. When sensitive information is collected (e.g. credit card data) the information is encrypted and transmitted in a secure way. To verify this, look for a lock icon in the address bar and looking for "https" at the beginning of the address of the Web page. CACEA also protects information offline. Only CACEA representatives who require access to personal information in order to perform a specific job (e.g. membership processing) have access to identifiable information. The computers/servers where personally identifiable information is stored are kept in a secure environment.

POLICY CHANGE

Revisions to CACEA's Privacy Policy will be posted on the Site so that users are informed about the information collected, its use and the circumstances under which it may disclose it.

QUESTIONS AND/OR CONCERNS

If you believe CACEA is not abiding by its Privacy Policy, contact us at info@cacea.ca or 1-888-315-2774.

TERMS OF USE

The CACEA Member Directory provides an opportunity to source a CACEA member to inquire about the services they provide and to facilitate networking between members.

The Directory may not be used to sell or market a business, product, or service; to solicit contributions, sponsorships, or business opportunities; or for any unlawful use. The contents of the Directory may not be used to generate mailing lists, e-mail lists, phone lists, or other lists for any commercial purposes.

By using the Directory, you agree not to solicit the members included on this list unless your solicitation is a direct result of having obtained the members' contact information from another source in the ordinary course of your business. You agree not to release or sell the Directory or its contents to any third parties. Nothing herein shall prohibit or limit the use of information generally available to the public.

By accessing the CACEA Member Directory, you are agreeing to these terms and conditions. If you are unsure about the appropriate uses of the Directory, please contact info@cacea.ca.

CACEA MEMBER DIRECTORY DO'S AND DON'TS

Do's

- Do utilize the directory for professional networking purposes.
- Do contact a member for insight, ideas, and general feedback on how to handle a particular issue.
- Do contact members to discuss news and topics relevant to the field.
- Do share content with members that is solely informative or educational e.g. to learn about the services they provide.

Don'ts

- Don't make unsolicited contact with other members to describe or promote your business or services, or to make a sale.
- Don't use the directory to promote your clients.
- Don't use the directory contents to generate bulk communications, direct mail, or e-blast lists.
- Don't share the directory with third parties.

STATEMENT OF PURPOSE

This document outlines the process and accountability related to CACEA's financial transactions to ensure a transparent process and clear lines of responsibility, accountability and record keeping.

SIGNATORIES AND BANKING

- Currently 2 board members and the executive director (ED) [Amelie Caron, Zenon Pilipowicz, and Cindy Gareau] are signatories with the bank.
- The ED and a director (Luke Dolan) have banking cards which allow them full access to the account either in person, through an ATM and/or other electronic means.
- The ED is the holder of the cheques.

REVENUE

- The ED will be responsible for depositing and tracking payments made to the association.
- Payments may be made by online payments through the website, by cheques and/or e-transfers.
- AffiniPay is the credit card provider for online payments
- Online payment activity is tracked through software reports.
- For cheque payments, the ED will use the Bank Deposit Tracking sheet to record and monitor the deposits and ensure that the revenue is attributed to the correct chart of accounts.
- E-transfers related to membership will be tracked through the CACEA website. The ED will record e-transfers on the individual member record.
- All other e-transfer may be recorded on the Banking Deposit Tracking sheet to ensure the revenue is attributed to the correct bookkeeping chart of accounts.

EXPENSES

- All bills to be paid should be forwarded to the ED for tracking and payment.
- All bills paid must have supporting documentation.
- All expenses incurred must comply with the Material Commitment Policy.
- All payments must be noted on the Accounts Payable Tracking sheet.
- All payments must be approved before being paid and in line with the Material Commitment Policy and/or in any other manner approved by the board.
- Invoices generated by ED must be pre-approved by an officer and according to the material commitment policy. The director(s) approval will be recorded using the Accounts Payable Tracking sheet and the approved email saved for future reference. Once approved the ED may be authorized to pay the invoice.
- If more than one authorization is required, the authorizations must be recorded on the Accounts Payable Tracking sheet before the invoice is paid.

BOOKKEEPING

- CACEA's financial activity shall be recorded using QuickBooks.
- The bookkeeper will reference the web-based reports, the Bank Deposit Tracking sheet and the Accounts Payable Tracking sheet along with support documentation as required.
- Tracking documents will be housed on a shared drive with access by directors, ED and bookkeeper:
 - CACEA Manager: Financial; YEAR/ Accounts Payable Tracking;
 - CACEA Manager: Financial; YEAR/Accounts Payable Support Documents;
 - CACEA Manager: Financial; YEAR/Bank Deposit Tracking;
 - CACEA Manager: Financial; YEAR/ Bank Deposit Support Documents.