

Building Science Institute, Ltd. Co. Policy 05-2022 Secondary Interests

This policy applies to Verification Organizations and the Building Science Institute, Ltd. Co, and the Building Science Institute Quality Council.

Referenced Documents

Building Science Institute, Ltd. Co. Policy 06 Impartiality & Objectivity

Building Science Institute, Ltd. Co. Policy 09 General Requirements for Verification Organizations

Building Science Institute, Ltd. Co. Process 001 Ethics Compliance & Homeowner Inquiry Resolution

Building Science Institute, Ltd. Co. Process 005 Quality Control Conformity Assessments for Verification Organizations

What is a Secondary Interest?

A secondary interest in the context of this policy is a circumstance that creates a risk that professional judgment or actions regarding the certification of individuals, homes, or the integrity of the ENERGY STAR® New Homes, Indoor airPlus, Zero Energy Ready Home, or the ERI certification programs and the Building Science Institute's Quality Management System of policies, processes, and procedures, will be unduly influenced by an interest that threatens or appears to threaten the impartiality and independence of the certification systems and Quality Management oversight by the Building Science Institute, Ltd. Co.

The existence of a secondary interest is NOT evidence of misconduct.

Secondary Interests

Secondary interests include, but are not limited to, work in:

- mechanical system design
- moisture control consulting
- indoor air quality consulting
- civil engineering
- architectural design
- residential development
- residential construction
- real estate sales
- real estate financing
- utility consulting
- building material manufacturing, sales, or installation
- HVAC equipment manufacturing, sales, or installation
- energy simulation software development
- direct management of employees who perform verifications

Secondary interests also include, but are not limited to, common ownership of companies engaged in such work and pay schemes for Verifiers and Software Analysts that may threaten or appear to threaten their conformance with Building Science Institute, Ltd. Co. Policy 06 Impartiality & Objectivity or Policy 09 General Requirements for Verification Organizations .

Secondary Interest Mitigation

Disclosure & Review

Verification organization secondary interests must be disclosed to and reviewed annually by the Building Science Institute's True North Quality Management Services. Verification organization secondary interests must be disclosed by the Verification Organization to their clients after successful review by True North Quality Management Services.

Building Science Institute, Ltd. Co. secondary interests are disclosed to and reviewed annually by the Building Science Institute's independent legal counsel & Quality Council, and must be disclosed to Building Science Institute clients, EPA ENERGY STAR® New Homes team, Indoor airPlus team, and DOE Zero Energy Ready Home team.

Building Science Institute Quality Council conflicts of interest are disclosed to and reviewed annually by the Building Science Institute's independent legal counsel and must be disclosed to the Building Science

Institute General Manager, EPA ENERGY STAR® New Homes team, Indoor airPlus team, and DOE Zero Energy Ready Home team.

Recusal

A secondary interest may be mitigated by the individual or organization with the conflicting interests recusing themselves from the circumstance that creates the conflict

Removal

A secondary interest may be mitigated by the individual or organization removing themselves from the circumstance that creates the risk or potential risk so the secondary interest is eliminated going forward.

How Secondary Interest Policy Violations are Determined

Secondary interest policy violations are determined through objective evidence uncovered during routine quality management work or conformity assessments performed under Building Science Institute, Ltd. Co. Process 05. If objective evidence supports that a risk or appearance of risk to the impartiality and independence of a Verification Organization, or the Building Science Institute was NOT mitigated through disclosure and review, recusal, or removal, the reviewer must report the failure to disclose, recuse, or remove in conformance with Building Science Institute, Ltd. Co. Process 001 Ethics Compliance and Homeowner Inquiry Resolution .

Objective evidence must be recorded and verifiable. Evidence must be verified by at least two of the following:

- Documents and records
- Verbal statements
- Repeated observations

Secondary Interest Disclosure Records

Secondary interest disclosure records are publicly available on the Building Science Institute, Ltd. Co. website, co- located with the publicly available information on Verification Organizations and the Building Science Institute, Ltd. Co.

Approved by The Building Science Institute, Ltd. Co. Quality Council on December 13, 2022.

Approve: Brian Christensen, Amber Wood, Erik Straite, Kevin Burk, Wes Davis

Reject: None

Not Voting: Brett Dillon, Chair

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