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## **MEMBER CODE OF ETHICS**

Each member of the Association shall conduct their business with integrity and in an ethical manner to earn and maintain the confidence of clients, colleagues, employers and the public, and to maintain the reputation of the Association.

Members shall pursue and maintain high standards of personal and professional conduct, and:

- a) Uphold at all times the standing of the Association, our Industry and its Code of Ethics and actively encourage colleagues to do the same.
- b) Act honestly and fairly in all business dealings.
- c) Uphold high standards of corporate governance and adopt terms of trade that would enhance the reputation of the industry as a sound, financially well-managed industry.
- d) Adopt risk management strategies, including maintenance of appropriate insurance coverage so that all parties are not unreasonably exposed to risk.
- e) Shall not represent by use of the AGHA logo or otherwise that their product or service is endorsed by AGHA unless such endorsement agreement exists.
- f) Cooperate with any inquiry conducted by AGHA to resolve any dispute involving consumers or another member.

In their relationships with clients or customers, members shall:

- a) Where a principal/agent relationship exists, act as faithful agents in both professional and business matters.
- b) Advise them of any conflict of interest situation as it may occur or as it is perceived.
- c) Give professional opinion as objectively as possible when asked to do so and accept responsibility for advice given, actions taken and omissions.
- d) Promptly respond to any client complaint about the service provided.

In their relationships with employees and others, members shall:

- a) Protect the safety, health and welfare of employees and the public.
- b) Not disclose any confidential information without the specific consent of the provider of that information unless compelled by law.
- c) Not harm or attempt to harm, maliciously or recklessly, directly or indirectly, the professional reputation of others.
- d) Respect the privacy of others by distributing personal details only in circumstances that would be reasonably expected by a person, and by communicating with the person only when it is relevant to the circumstance that gave rise to the giving of the personal detail, or otherwise when permission is granted.
- e) Respect the intellectual property of others in the industry, particularly when ideas, creativity, and advice has been provided in good faith, but no agreement is in place to use such intellectual property.
- f) Make every effort to resolve complaints and grievances in good faith through reasonable direct communication and negotiation.

### **Breach of Ethics:**

Any AGHA member, client or third party (called the complainant) can bring to the attention of AGHA a potential breach of the Code of Ethics. The following applies for dealing with the allegation:

1. In the first instance, the complainant shall raise the allegation of the breach of the code of ethics in writing to the AGHA Chief Executive Officer. The complainant needs to:
  - i. Outline the circumstances of the breach(s), providing as much information and evidence as possible to substantiate the complaint.
  - ii. State whether they wish their identity to remain confidential. In opting for confidentiality, it should be understood by the complainant that in some circumstances, such confidentiality might for a barrier to proper investigation.

2. The AGHA CEO shall respond to the complainant explaining the process and seeking any further information, including whether other complainants may be involved.
3. The AGHA CEO shall write in confidence to the member being the subject of the complaint, notifying them of the complaint and seeking an explanation for the alleged breach.
4. On recommendation of the CEO that the matter requires further investigation, it will be escalated to the AGHA Board of Directors.
5. Should the CEO recommend further action, the complainant may write to the President to seek that the Board of Directors take the complaint further. If the Board of Directors decides to not take the complaint further, such decision is final.
6. The Board of Directors shall deal with the issue on a confidential basis. If appropriate to the circumstances, they can:
  - i. Seek further evidence from the complainant, the member or other relevant parties.
  - ii. Decide that no further action is necessary.
  - iii. Call a meeting with the member and complainant to seek to resolve the matter.
  - iv. Call a formal meeting with the member where the member has the opportunity to put their case.
  - v. Rule that there has been a breach(s) or the Code of Ethics and instigate an appropriate disciplinary response.
7. Options for the Board of Directors if a breach is found are:
  - i. That the member is notified in writing that there has been a breach, and either giving a warning that should such a breach occur again, further action would be taken and/or stipulating that the member has been formally censured.
  - ii. That all AGHA members be notified of the breach.
  - iii. Cancellation of membership.