



***Sterling Accreditation Limited***  
*Setting the Standard*

## **Retrofit Assessor & Coordinator Code of Conduct**

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This document sets out the Code of Conduct required for all Retrofit Assessor Members of the Sterling Accreditation Scheme.

## **1. Introduction**

- 1.1 This Code sets out the principles and practices, in general terms, of the conduct required by all Energy Assessors when going about their business either under the auspices of this Scheme or otherwise, where their actions may affect the reputation of the Scheme or energy assessments in general.
- 1.2 This Code also informs customers, employers, clients and members of the public about the standards of conduct that they can expect from A Retrofit Assessor.
- 1.3 This Code forms part of a wider breadth of processes, procedures, registration documentation and disciplinary information with which Energy Assessors must comply.
- 1.4 The objective of this Code is to promote:
  - The best standards of practice by Retrofit Assessors, Coordinators; and
  - Confidence in the integrity of the Accreditation Scheme, Retrofit Coordinators, Retrofit Assessors, Energy Assessors and the Energy Performance Certificate (EPC).

## **2. Application**

- 2.1 For the purposes of this Code all “Members” of the Sterling Accreditation Retrofit Scheme are deemed to be either a “Retrofit Assessor” or a “Retrofit Coordinator” and have the same meaning
- 2.2 Words denoting the singular number only include the plural and vice versa.
- 2.3 Words denoting any gender include all genders and words denoting persons include firms and corporations and vice versa
- 2.4 This Code applies to all Members of the Sterling Accreditation Retrofit Scheme whilst undertaking energy assessments as a Member of the Scheme and also more widely when undertaking other business that could bring the Scheme or an energy assessment into disrepute.
- 2.5 Each Member must ensure that they understand and comply with this Code of Conduct and all other all other requirements as listed below, which in its entirety constitutes the Sterling Accreditation Scheme standards, current copies of which are available on the Sterling Website:
  - SQAD1.4 – Operational Procedures for Members
  - SQAD4.2 – Membership Information
  - SQAD5.1.1 – Procedures for Monitoring Retrofit Assessments and Projects
  - SQAD7.1 – Member Appeal Process
  - SQAD7.2 – Member Disciplinary Process
  - SQAD7.3 – Member Complaints Handling Procedure



➤ SQAD7.4 – Customer & Third Party Complaints Procedure

2.6 Members are expected to ensure that all those working under their supervision, or assisting them in the production of energy assessments, conform to this Code where appropriate.

2.7 A failure to comply with the Standards set out in the Code and guidance will generally lead to disciplinary action being taken against a Member which may include suspension or a withdrawal of accreditation from the National Register. Refer to the Disciplinary and Appeal Process documentation for further details as a Retrofit Assessor.

**3. Personal and Professional Standards**

3.1 A Member must also ensure compliance with the [TrustMark Code of Conduct](#) at all times

3.2 A Member is expected to act in a professional manner at all times and in particular:

1. To act with integrity;
2. Be honest and trustworthy;
3. Be open and transparent in their work;

3.3 A Member is required to disclose in writing to Sterling Accreditation any or all of the following matters if:

1. they have been referred to a disciplinary hearing by another Accreditation Scheme; professional body; trade association; regulatory body; or another similar organisation
2. a disciplinary allegation has been found proven against them by another Accreditation Scheme; professional body; trade association; regulatory body; or another similar organisation
3. they have had their certification refused, suspended or withdrawn
4. they enter into bankruptcy proceedings or a director's disqualification order
5. they are bankrupt or are a disqualified director
6. they enter into an individual voluntary arrangement with creditors.

3.4 A Member is required to:

1. operate only within the scope of their accreditation and within the scope of their professional ability and competence
2. carry out their work with diligence, skill and care
3. undertake their assessments without bias and give unbiased opinions if required to do so
4. ensure that their professional knowledge and skills are kept up to date
5. maintain a record of each Continuous Professional Development (CPD) course undertaken
6. observe and concur with current laws and statutory codes of practice that affect their work



7. store all documentation associated with producing each Retrofit Assessment / Project, under the Scheme, in a safe, secure and easily retrievable environment, suitable for Sterling or TrustMark auditing requirements, for a period of fifteen years
8. obtain permission from Sterling Accreditation before copying or reproducing any publication or document supplied by Sterling Accreditation
9. obtain permission from Sterling Accreditation before copying, reproducing or making any use of Sterling Accreditation's logo or any of their endorsements
10. retain their membership of the Sterling Accreditation Scheme and keep up to date with any registrations and payment of fees
11. maintain knowledge and current understanding of the EPBD and other related regulations by attending CPD events
12. Retrofit Assessors maintain the minimum of 10 hours of continuous professional development and Retrofit Coordinators maintain the minimum 25 hours of continuous professional development
13. complete their energy audits in the agreed time with the customer
14. ensure that their approved energy auditing software is up to date and used at all times.

3.5 A Member must not engage in conduct that:

1. would be an abuse of their position as a Retrofit Member
2. damages the reputation of the Retrofit Process
3. diminishes public confidence in the Accreditation Scheme; Energy Assessors; energy assessments; or the resulting Energy Performance Certificates, Display Energy Certificates or Air Conditioning Inspection Reports
4. damage the trust placed in the Retrofit Process by other professionals who may need to rely upon their work.

A Member must not give or accept any inducement, gift or hospitality that may affect or is perceived to affect their judgment or findings.

#### **4. Collecting data and recording of evidence**

- 4.1 Measurements shall be recorded in accordance with the 6<sup>th</sup> Edition Code of Measuring Practice published by The Royal Institute of Chartered Surveyors.
- 4.2 'Desktop' Style retrofit coordination service is not permitted; Retrofit Coordinators are required to visit the site of every project.
- 4.3 Retrofit Coordinators will need to provide evidence of attending site
- 4.4 Retrofit coordinators shall only submit work that they have completed; signing off other people's work is not permitted.
- 4.5 The collection and recording of information shall be in accordance with either the [PEPA Retrofit Assessor Scheme Requirements](#) or the [Retrofit Coordinator Scheme Requirements](#).



**5. Conflicts of interest**

- 5.1 A Member must not prepare a report if it causes a conflict of interests with other parties
- 5.2 A Member must be vigilant to ensure that conflict of interest situations are identified and dealt with appropriately on a timely basis.
- 5.3 If, in the course of preparing a report, a potential conflict of interest arises with the client or any other professional body, then the Member must decline the instruction to prepare the Report. It is expected that in such circumstances the Sterling Accreditation Scheme Manager should be informed.

**6. Advertising and Marketing**

- 6.1 A Member must use open, fair and honest sales practices only.
- 6.2 A Member may only promote and advertise their services in a clear, honest and lawful manner.

Refer to Sterling Accreditation and use the Sterling Accreditation mark in accordance with the specified requirements for the use of the mark.

- 6.3 Any advertisement placed by A Member must comply with the Sterling Accreditation scheme standards and with appropriate statutory and national standards to ensure that all advertisements are legal, honest and truthful and that they are clearly identifiable as an advertisement.
- 6.4 A Member must not:
  - 1 engage in any commercial practices that are misleading or likely to mislead
  - 2 use physical force, harassment, coercion or undue influence
  - 3 be party to charging fees that are discriminatory or excessive
  - 4 exploit the trust vulnerability or lack of experience of clients
  - 5 encourage or condone unsafe dishonest or harmful practices.
- 6.5 If a Member offers other services and/or products, they must act lawfully and responsibly in providing details of those services and/or products and declare to the Scheme Manager any financial benefit that they may receive as a result of the client using those services and/or products.

**7. Dealings with clients and customers**

- 7.1 A Member's offer to perform services, whether directly or indirectly through a third party, must be clear, truthful and contain all relevant pre-contractual information agreed in the terms and conditions.
- 6.2 A Member must provide a written contract to a client and be prepared to explain the contract details if asked to do so.



- 7.3 A Member must be prepared to explain to clients, if asked to do so, the stages of inspection, data gathering, processing and production of the report.
- 7.4 A Member must explain to a client that the report has to be recorded on the TrustMark Register with information and data gathered during the assessment.
- 7.5 A Member is required to keep records of all correspondence or discussions to queries raised by a customer. These records are required to be made available for review by the scheme when requested.
- 7.6 Client Surveys are undertaken to ensure A Member complies with the Sterling Code of Conduct.
- 7.7 A Member must, when asked to do so, make this Code available to interested parties upon request.

## **8. Confidentiality**

- 8.1 A Member must treat all clients' personal information as confidential, store and not reveal any personal information about the client unless:
- the client has given permission for the information to be revealed
  - the Retrofit Assessor has to reveal the information by law.
- 8.2 A Member must notify a client that their contact details may be used during the process of monitoring the compliance and performance of Energy Assessors.

## **9. Diversity**

- 9.1 A Member must not discriminate against any individual on the basis of gender, race, and disability or allow their views of the lifestyle, culture, belief, colour, gender, sexuality or age of others to prejudice their professional practice and relationships.
- 9.2 A Member must not unlawfully or unjustifiably discriminate against any individual in their practice as A Retrofit Assessor.

## **10. Insurance**

- 10.1 A Member must ensure that they have appropriate indemnity insurance cover in place in order to undertake their work. Minimum levels of cover are set out in the Sterling Accreditation Scheme standards – the Sterling PII Guidance document.
- 10.2 A Member must provide Sterling Accreditation with written evidence of cover as and when required.

## **11. Complaints procedure**

- 11.1 Sterling Accreditation has a customer complaints procedure (SQAD 7.4) which A Member must be aware of and must use it when handling a complaint made against them about their energy assessment work.



- 11.2 A Member must make the member complaints procedure available if asked to do so. Sterling Accreditation publishes its complaints procedure's on their public website.
- 11.3 A Member must ensure that complaints are initially acknowledged in writing and also the acknowledgement sets out a likely timescale for resolving the complaint.
- 11.4 A Member must keep a record of any complaints received
- 11.5 A Member must inform a complainant that if they want to take their complaint further, the complaint can be referred to the Sterling Accreditation Scheme Complaints Handling Process. A Retrofit Assessor must declare all complaints to Sterling Accreditation via the member complaints process

**12. General Data Protection Regulation**

Sterling Accreditation will ensure compliance with the General Data Protection Regulation (GDPR) when processing the personal information that you have provided to us. Sterling Accreditation will only use this information in accordance with the handling of your application, auditing, disciplinary actions and complaints. If you need more information about our GDPR Policy and how your personal data is being used and stored, please visit our website: [www.sterlingaccreditation.com](http://www.sterlingaccreditation.com)