



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

## **Code of Conduct**

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This document sets out the Code of Conduct required for all 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 an Energy 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 Energy Assessors; and
  - Confidence in the integrity of the Accreditation Scheme, Energy Assessors and the Energy Performance Certificate (EPC), Display Energy Certificate (DEC) or Air Conditioning Inspection Report (ACIR).

## **2. Application**

- 2.1 For the purposes of this Code all “Members” of the Sterling Accreditation Scheme are deemed to be “Energy Assessors” 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 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 Energy Assessor 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:
  - SQAD\*.\* Sterling Application Process (for relevant application)
  - SQAD\*.\* Sterling Guidance notes for completing the Sterling Application pro forma documents (for relevant application)
  - SQAD\*.\* Sterling Competence Mapping for the NOS levels (for relevant NOS level - Applies to Non Domestic only)



- SQAD1.4 – Operational Procedures for Members
  - SQAD4.2 – Membership Information
  - SQAD5.1 – Procedures for Monitoring the work of Energy Assessors
  - 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 An Energy Assessor is 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 an Energy Assessor 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 an Energy Assessor.

### **3. Personal and Professional Standards**

- 3.1 An Energy Assessor 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;
- 3.2 An Energy Assessor 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.
- 3.3 An Energy Assessor 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 EPC, DEC or ACIR, under the Scheme, in a safe, secure and easily retrievable environment, suitable for Sterling or CLG 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. maintain the minimum of 10 hours of continuous professional development and an additional 5 hours per additional strand per year
13. complete their energy audits in the agreed time with the customer
14. ensure that their CLG approved energy auditing software is up to date and used at all times.
15. abide by the current published Government rules and requirements concerning Energy Assessor responsibility whilst undertaking energy inspections for buildings other than dwellings.

[A guide to energy performance certificates for the construction sale and let of non-dwellings.pdf](#)

[A guide to display energy certificates and advisory reports for public buildings.pdf](#)

[A guide to air conditioning inspections for buildings.pdf](#)

[http://www.sterlingaccreditation.com/documents/Guidance on the Inspection of Air Conditioning Systems in Scotland.pdf](http://www.sterlingaccreditation.com/documents/Guidance_on_the_Inspection_of_Air_Conditioning_Systems_in_Scotland.pdf)

[http://www.sterlingaccreditation.com/documents/Introduction to EPCs in Scotland.pdf](http://www.sterlingaccreditation.com/documents/Introduction_to_EPCs_in_Scotland.pdf)

[http://www.sterlingaccreditation.com/documents/Requirement to display an EPC in Scotland.pdf](http://www.sterlingaccreditation.com/documents/Requirement_to_display_an_EPC_in_Scotland.pdf)

3.4 An Energy Assessor must not engage in conduct that:

1. would be an abuse of their position as a Energy Assessor
2. damages the reputation of Energy Assessors
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 Energy Assessors by other professionals who may need to rely upon their work.



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

#### **4. Conflicts of interest**

- 4.1 An Energy Assessor must not prepare an EPC, DEC or ACIR if it causes a conflict of interests with other parties
- 4.2 An Energy Assessor must be vigilant to ensure that conflict of interest situations are identified and dealt with appropriately on a timely basis.
- 4.3 If, in the course of preparing an EPC, DEC or ACIR, a potential conflict of interest arises with the client or any other professional body, then the Energy Assessor must decline the instruction to prepare the Report. It is expected that in such circumstances the Sterling Accreditation Scheme Manager should be informed.

#### **5. Advertising and Marketing**

- 5.1 An Energy Assessor must use open, fair and honest sales practices only.
- 5.2 An Energy Assessor 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.

- 5.3 Any advertisement placed by an Energy Assessor 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.
- 5.4 An Energy Assessor 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.
- 5.5 If an Energy Assessor 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.

#### **6. Dealings with clients and customers**

- 6.1 An Energy Assessor'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 An Energy Assessor must provide a written contract to a client and be prepared to explain the contract details if asked to do so.
- 6.3 An Energy Assessor must be prepared to explain to clients, if asked to do so, the stages of inspection, data gathering, processing and production of the EPC, DEC or ACIR and associated recommendation and/or advisory reports.
- 6.4 An Energy Assessor must explain to a client that the EPC, DEC or ACIR has to be recorded on the Government Register with information and data gathered during the assessment.
- 6.5 An Energy Assessor 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.
- 6.6 Client Surveys are undertaken to ensure an Energy Assessor complies with the Sterling Code of Conduct.
- 6.7 An Energy Assessor must, when asked to do so, make this Code available to interested parties upon request.

## **7. Confidentiality**

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

## **8. Diversity**

- 8.1 An Energy Assessor 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.
- 8.2 An Energy Assessor must not unlawfully or unjustifiably discriminate against any individual in their practice as an Energy Assessor.

## **9. Insurance**

- 9.1 An Energy Assessor 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.



- 9.2 An Energy Assessor must provide Sterling Accreditation with written evidence of cover as and when required.

#### **10. Complaints procedure**

- 10.1 Sterling Accreditation has a customer complaints procedure which an Energy Assessor must be aware of and must use it when handling a complaint made against them about their energy assessment work.
- 10.2 An Energy Assessor must make the member complaints procedure available if asked to do so. Sterling Accreditation publishes its complaints procedure's on their public website.
- 10.3 An Energy Assessor must ensure that complaints are initially acknowledged in writing and also the acknowledgement sets out a likely timescale for resolving the complaint.
- 10.4 An Energy Assessor 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. An energy assessor must declare all complaints to Sterling Accreditation via the member complaints process



## **Acknowledgement**

I confirm that I have read and understood the Sterling Accreditation Limited Code of Conduct (SQAD1.1 Sterling Code of Conduct v2.8) and that I agree to be bound by its rules and requirements for the duration of my membership in the Sterling Accreditation scheme.

I understand and agree that information regarding the status of my membership with Sterling will be shared with DCLG, the Register Operator and other schemes who I am also registered with.

Name:.....

Signature:.....

Date:.....