



Sterling Accreditation Limited
Setting the Standard

Retrofit Assessor 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; and
 - Confidence in the integrity of the Accreditation Scheme, 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 Scheme are deemed to be “Retrofit 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 Retrofit 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:
 - SQAD1.4 – Operational Procedures for Members
 - SQAD4.2 – Membership Information
 - SQAD5.1.1 – Procedures for Monitoring Retrofit 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 A Retrofit 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 a Retrofit 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 A Retrofit Assessor.

3. Personal and Professional Standards

- 3.1 A Retrofit Assessor must also ensure compliance with the [TrustMark Code of Conduct](#) at all times
- 3.2 A Retrofit 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;
- 3.3 A Retrofit 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.
- 3.4 A Retrofit 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 Retrofit Assessment, 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. maintain the minimum of 10 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 Retrofit 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.

A Retrofit Assessor 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 6th Edition Code of Measuring Practice published by The Royal Institute of Chartered Surveyors.
- 4.2 The collection and recording of information shall be in accordance with the [PEPA Retrofit Assessor Scheme Requirements](#).

5. Conflicts of interest

- 5.1 A Retrofit Assessor must not prepare a report if it causes a conflict of interests with other parties
- 5.2 A Retrofit Assessor 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 Retrofit Assessor 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 Retrofit Assessor must use open, fair and honest sales practices only.



- 6.2 A Retrofit 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.

- 6.3 Any advertisement placed by A Retrofit 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.

- 6.4 A Retrofit 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.

- 6.5 If a Retrofit 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.

7. Dealings with clients and customers

- 7.1 A Retrofit 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 A Retrofit Assessor must provide a written contract to a client and be prepared to explain the contract details if asked to do so.

- 7.3 A Retrofit Assessor 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 Retrofit Assessor 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 Retrofit 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.

- 7.6 Client Surveys are undertaken to ensure A Retrofit Assessor complies with the Sterling Code of Conduct.

- 7.7 A Retrofit Assessor must, when asked to do so, make this Code available to interested parties upon request.



8. Confidentiality

8.1 A Retrofit Assessor 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 Retrofit Assessor 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 Retrofit 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.

9.2 A Retrofit Assessor must not unlawfully or unjustifiably discriminate against any individual in their practice as A Retrofit Assessor.

10. Insurance

10.1 A Retrofit 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.

10.2 A Retrofit Assessor 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 Retrofit Assessor must be aware of and must use it when handling a complaint made against them about their energy assessment work.

11.2 A Retrofit Assessor 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 Retrofit Assessor 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 Retrofit Assessor must keep a record of any complaints received

11.5 A Retrofit 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. 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