



Retrofit Co-ordinator Scheme Document ACC-801

Purpose

To describe the framework of principles and requirements for ecmk Ltd to provide TrustMark registration of Retrofit Co-ordinators to meet the requirements in the PAS 2035, Trustmark Framework and Code of Conduct

Scope

This procedure is applicable to all areas of operation for the **ecmk** Accreditation Scheme and no changes are permitted without the authorisation of the Scheme Manager.

Responsibilities

It is the responsibility of the Scheme Manager to ensure that this procedure is carried out as specified, and only staff who have received audit training or are suitably qualified undertake auditing on behalf of the company.

General

Principles and Requirements

1.0 Providers can register individual persons that meet the initial and on-going eligibility requirements for the Scheme(s) they wish to participate in.

1.1 The individual will be a TrustMark Registered Business or be registered against a TrustMark Registered Business either as an employee or via an alternative formalised contracted arrangement.

1.1 The scheme will supply TrustMark with details of the Registered Business and the individuals registered against that business.

1.2 To complement the approach taken by the scheme, TrustMark will also monitor the outputs of the Co-ordinators lodged in the Data Warehouse within TrustMark's PAS 2035 compliance activities. The monitoring will be a blend of desktop and on-site audit.

1.3 Non-compliance of intended outcome and performance failures will be monitored for resolution to PAS 2035, within an agreed action plan for re-lodgement where necessary.
Non-compliance will also be reported to TrustMark for the appropriate action.

1.4 Ensure consumers are not exploited or disadvantaged, with the respect for the needs of vulnerable consumers.

The Role of the Retrofit Co-ordinator

1.4 The role protects both client and public interest and is responsible for overseeing retrofit projects from initial engagement to handover, i.e. risk, whole house and ventilation assessments, design, installation, handover, declarations of compliance, subsequent monitoring and evaluation and lodgement into the data warehouse. Responsibilities are detailed as follows:

- Project management including programming and advising on the budget
- Reporting to and advising the Client throughout the project
- Collating data and requiring the PAS 2035 risk assessment
- Assessing and managing technical and procedural risks
- Establishing intended outcomes and agreeing them with the Client
- Coordinating and overseeing the project team (Advisor, Assessor, Designer, Evaluator)
- Carrying out, summarising and reporting the improvement option evaluation (Paths B and C)
- Preparing the medium-term low-carbon improvement plan (Paths B and C)
- Making or coordinating applications for statutory approvals
- Managing a tender process to identify and appoint Retrofit Installer(s)
- Negotiating contract(s) with Retrofit Installer(s) on behalf of the Client
- Providing toolbox talks to communicate the design intent and key messages
- Administering contract(s) with Retrofit Installer(s)
- Inspecting retrofit work to check progress, quality and compliance with the design
- Making defects inspections and specifying any necessary remedial works
- Overseeing the specified testing and commissioning of installed measures
- Overseeing the handover of the project on completion
- Adjudicating any disputes between the Client and the Retrofit Installer(s)
- Collating evidence and claiming compliance with PAS 2035
- Issuing any certificates required by the contract
- Bringing the project to a satisfactory conclusion
- Carrying out and reporting post-completion monitoring and evaluation

Requirements for the Accreditation of a Retrofit Co-ordinator

Records

2.0 The scheme shall maintain records of:

- all individuals that it has audited for compliance with PAS 2035: 2019 including
- the numbers and dates of any claims of compliance with PAS 2035:2019
- where relevant, a record of any funding scheme that applied to the project
- the identity of Retrofit Co-ordinators, in a manner that can be made available to potential customers or other interested parties
- the identity of any Retrofit Co-ordinator who has been suspended or withdrawn, together with the date of and reason for, that action
- Records shall be retained for the minimum period as specified within the respective foundation document e.g. the MHCLG Scheme Operating Requirements or PAS 2035 and TrustMark requirements
- Maintain records of all applicable works and activities for the greater of 10 years or the length of any associated financial protection

Retrofit Project Compliance

3.0 Initial

Taking account of the number and scale of projects, the scheme may request on-site pre, mid and post audit activities, to confirm that the Retrofit Co-ordinator:

- can demonstrate the required qualification for the role. The Retrofit Coordinator must hold the Level 5 Diploma in Retrofit Coordination and Risk Management qualification.
- has in place and uses processes that deliver with the requirements of PAS 2035:2019
- has the necessary records / templates, filing and retrieval system
- has the required access to perform Data Warehouse lodgements
- can verify claims of installer compliance with PAS 2030

Surveillance

4.0 The scheme will complete ongoing checks and monitoring of each member using a blend of on and off-site assessments and reviews based on risk and experience of the members. The scheme will desktop audit at least 2% of assessments completed per year per member. Witness assessments will currently be completed with a minimum of at least 1 per year based on risk and results of desktop audits.

4.1 The monitoring of members will consider sector specific standards, codes of practice and scheme rules.

4.2 The scheme will use the results of assessment visits, audits and dispute investigation to inform risk rating, sample size, type and frequency of the ongoing audit regime for each member.

4.3 In addition, any new entrants to the scheme must be audited in line with the below;

- The first two projects lodged for each risk path (A, B and C) will be audited
- Each Retrofit Coordinator will be placed on 5% auditing for the first month or a minimum of 5 projects (whichever is achieved first).
- Where the coordinator has achieved 5 successful consecutive audit 'pass' outcomes, they shall be placed on 2% auditing.

4.4 The coordinator should supply sufficient evidence for a third party to replicate the tasks required to complete the coordination of the project.

4.5 The retrofit project audit will result in a Pass or Fail outcome. The Auditor shall total the number of non-conformities and their type to determine the audit result. An audit shall be marked as a fail where 5 or more single minor non-conformities and/or any single major non-conformity have been identified.

4.6 Non-conformities are categorised as follows:

- *Minor Non-compliance:* No significant impact on the customer or other stakeholders associated with the non-compliance. The scheme will inform the member of the nature of the shortcoming and require evidence of action taken to rectify the non-compliance.



- *Major non-compliance:* Compelling evidence that the member has failed to meet the Framework, in a way that has had a major impact on the customer or other stakeholders. The member shall be suspended until the non-compliance is rectified. Major non-compliance shall be counted as a risk trigger against the member.

The scheme will consider the following factors when reviewing the impact of the non-compliance:

- The level of harm which flowed from the non-compliance
- Whether the non-compliance has occurred in other cases
- Whether other bodies have imposed sanctions in relation to the non-compliance
- Whether the member has accepted responsibility for the non-compliance
- Whether the member made a financial benefit from the non-compliance, or intended to make such a gain for themselves or a commercial partner

4.7 Audit Outcomes

Pass – the audit passes with no feedback

Pass with comments – the audit passes, however feedback is given, and this should be read and understood by the coordinator. The project lodgement does not need to be superseded, but errors noted should not be replicated on future projects.

Technical Fail – The audit fails on a technical basis. There will be one or more errors in the project coordination which cause or contribute to a failure. The project or defective part of the project must be rectified by the coordinator in line with the below timescales. All errors must be acknowledged by the coordinator and not replicated in future projects.

Evidence Fail – The audit fails on the basis that the evidence is not supplied, or not sufficient in quality to allow the audit to be completed. This may cover all or part of the project.

- Where evidence is missing/poor quality but available, then this can be supplied by the coordinator following feedback and the audit can be reviewed. This evidence must then be placed on the TrustMark data warehouse where deemed necessary by the scheme following audit completion.
- Where evidence is missing and cannot be supplied, then the audit remains a fail.
- Where evidence is not sufficient in quality and cannot be supplemented by quality evidence then the audit remains a fail.

All evidence errors must be acknowledged by the coordinator and not replicated in future projects.

4.9 All evidence must be submitted to the scheme within 5 working days of audit notification request. All submitted audits must be completed within a timely fashion and as soon as possible. All completed audit feedback must be sent within 2 working days of audit completion.

Non-Conformance

5.0 The scheme shall determine a non-conformance (observation or major and minor) approach with actions / sanctions to be taken in the event of such a non-conformance.

5.1 Non-conformance will be logged and reported on the non-conformance log and report sent to the member



5.2 The non-conformance log is to be completed and returned to the scheme within 10 working days demonstrating how the non-conformance has been rectified and closed

Claims of Conformity to PAS 2035:2019

6.0 The scheme shall ensure that any such claims made by Retrofit Co-ordinators are verified by competence, process and records.

6.1 All records must be stored on the PAS HUB and/or Assessor Hub portals for a minimum of 10 years

6.2 Retrofit Coordinators must obtain the Level 5 Diploma in Retrofit Coordination and Risk Management.

Monitoring and Evaluation

7.0 Retrofit Projects shall have a detailed schedule of monitoring arrangements and their outcomes recorded.

Suspending or Withdrawing Accreditation

8.0 If at any time **ecmk** believe that there are reasons to remove a Retrofit Coordinator from accreditation, it will do so immediately. Conditions or actions that may warrant removal include:

- Out of date insurance
- Failure to submit documentation
- Misuse of Marks of Conformity
- Breach of Code of Practice

8.1 If the accreditation is withdrawn or suspended then ecmk shall take immediate action and make all necessary modifications to formal documents, public information, and authorisation for use of marks etc. in order to ensure it provides no indication that the Retrofit Coordinator continues to be accredited.

8.2 When a Retrofit Coordinator is suspended the Administrator shall inform the Retrofit Coordinator of actions needed to end suspension and restore accreditation and any other actions required.

8.3 If accreditation is reinstated after suspension or reduction, **ecmk** shall make all necessary modifications to formal documents, public information and marks of conformity.

8.4 Suspensions and withdrawals are recorded on the Assessor Hub portal and TrustMark will be informed accordingly.

8.5 If the scheme were to voluntarily withdraw or have the sub-license revoked, the scheme will work with TrustMark to transition members to an appropriate Scheme Provider.

Insurance

9.0 Ecmk shall ensure that the Retrofit Coordinator holds the relevant insurance to cover the scope of activities. This will cover the appropriate amount for each strand being applied for and it will include both Public Liability and Professional Indemnity.

The requirements are as follows;

Professional Indemnity - £250,000 per claim

Public Liability - £1,000,000 per claim



Complaints

10.0 Retrofit Coordinators must have a complaints procedure and be made available on request from the scheme.

CPD Requirements

11.0 Members must provide the scheme at least 25 hours of Continuing Professional Development per membership year (excluding compulsory CPD enforced by Scheme)

11.1 An annual Personal Development Plan will be required to be maintained by Retrofit Coordinators and reviewed at membership renewal

Appeals

12.0 The scheme shall operate an appeal process to handle complaints by Retrofit Coordinators in relation to any Scheme decisions.

12.1 Retrofit Coordinators can appeal revocation of their membership to a Third Party Appeals panel.

Change History Record

| Issue | Description of Change | Initials | Date |
|-------|--|----------|-------------|
| 1.0 | Initial issue | SF | August 2019 |
| 1.1 | Increased CPD from 10 hours to 25 hours per year | SF | April 2020 |
| 1.2 | Amendments to meet QP | SF | August 2020 |
| 1.3 | Audit regime to meet new Trustmark standards | SF | August 2020 |

