

Purpose

To describe the way in which ecmk assess and accredit members of the Retrofit Assessor Scheme 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.

Definitions

A **Retrofit Assessment** is the consideration of all evidence based upon a non-intrusive on-site assessment that will allow Retrofit Coordinators to create a Medium Term Improvement Plan compliant with the requirements of PAS 2035.

Retrofit Assessor - a person qualified to carry out a retrofit assessment.

A **Retrofit Assessment Report** - the written report that communicates the evidence of the *Retrofit Assessor* to the *Retrofit Coordinator*

All other definitions from the EPBR Scheme Operating Rules and PAS 2035 apply.

Procedure

1.0 General

1.1 Details of the Code of Conduct and Customer Charter can be found on the ecmk Assessor Hub portal and at www.ecmk.co.uk/downloads These are available, without charge to members, customers, complainants and others with a legitimate interest

1.2 The scheme will measure compliance with the Code of Conduct (Annex A) & Code(s) of Practice including dispute trends and root-cause analysis; and to make these available at audit. Please refer to ACC-325 Customer Satisfaction Survey.

1.3 Members are to be aware of all trades supported through TrustMark registration via the TrustMark website <https://www.trustmark.org.uk>

1.4 Members to the scheme are required to complete the application form ACC-501 and provide all required documents, as per the procedure ACC-101 Application and Accreditation Process.

2.0 Disciplinary Action

2.0 Members not meeting the scheme and TrustMark guidelines will be suspended as per the Suspending and Revoking Membership ACC-109

2.1 Details of members removed from the register; the scheme will inform TrustMark. Information relating to removed businesses may be shared between Scheme Providers to minimise risks

2.2 The scheme will provide TrustMark with monthly reporting on current sanctions and appeals as per reporting template:

- Registered Business details
- Cause of dispute
- Investigations undertaken
- Date and location of review
- Sanction decisions made

2.3 Should a sub-licence be revoked, the Scheme will work with TrustMark to transition all Registered Businesses to an appropriate alternative Scheme Provider, ensuring minimal disruption and detriment to their business and customers

3.0 Complaints

3.1 The scheme will co-operate fully with TrustMark on any dispute handling issues, and provide related documents and statements upon request as per the Complaints procedure ACC-401

4.0 Code of Conduct

4.0 Members are required to take appropriate steps when dealing with vulnerable people in their homes. Vulnerable consumers are those whose circumstances put them at risk of making an incorrect or inappropriate decision, or who are at risk of receiving inferior goods or services. Take the necessary effort and time to make sure that vulnerable consumers understand all aspects of signing a contract for goods and services and, where appropriate, suggest the involvement of a trusted friend or relative

4.1 Members are to ensure that TrustMark is used, promoted and protected in line with the requirements of the Brand Identity Guidelines and will act where breaches of the guidelines have been proven. Ensure that the TrustMark Brand IP is only used for the purposes for which it is licensed, and will not alter, deface or in any other way amend it or misrepresent it.

4.2 Members will receive a copy of the Brand Identity Guidelines and understand the permitted uses of the TrustMark Brand. The scheme will inform TrustMark of any perceived breaches of the Guidelines, and support TrustMark to police and manage instances of brand misuse.

4.3 The scheme will work within the industry to raise awareness of the TrustMark scheme with potential registrants, encouraging registration and membership of the scheme.

4.4 The scheme will work jointly with TrustMark and other agencies to raise the standards of work within the industry through awareness, compliance and communication of scheme benefits

4.5 Members are to ensure that consumers have suitable access to information and data about registered businesses to support choices and enable informed decision-making about works required on their homes and property. Information should include, but is not limited to:

- Registered business contact information
- Registered business work categories/scope registered
- Access to consumer guides and advice on installation methods and practices

- Feedback and complaints processes and contact information

4.6 The scheme and member will ensure compliance with all aspects of the General Data Protection Regulation (GDPR) and any other relevant data privacy and protection regulations (e.g. PCI_DSS) and legislation as may be applicable or come into force during operation of the scheme. Please refer to Code of Conduct ACC-406

5.0 Surveillance

5.1 The schemes will audit a minimum of 2% of Retrofit Assessments per year.

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

- The first assessment submitted to the TrustMark Data Warehouse for each risk path (A, B and C) will be audited
- Each Retrofit Assessor will be placed on 5% auditing for the first month or a minimum of 5 reports (whichever is achieved first).

Where the assessor has achieved 5 successful consecutive audit 'pass' outcomes, they shall be placed on 2% auditing

5.3 The assessor should supply sufficient evidence in for a third party to replicate the data inputs required to complete the RAR outputs.

5.4 The 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.

5.5 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

5.5 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 assessor. The report does not need to be replaced, but errors noted should not be replicated on future assessments.

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

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 report.

- Where evidence is missing/poor quality but available, then this can be supplied by the assessor following feedback and the audit can be reviewed. This evidence must then be passed onto the Coordinator 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 assessor and not replicated in future reports

5.6 All evidence must be submitted to the scheme within 5 working days of audit notification request.

5.7 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.

6.0 Continuous Professional Development

5.2 The scheme will sample 100% of members' CPD records each year to ensure the CPD obligations have been met on renewal of membership, as per CPD process ACC-104

5.3 The member must complete a minimum of at least 10 hours of CPD per year

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

Change History Record

Issue	Description of Change	Initials	Date
1.0	Initial issue	RE	01/08/2019
1.1	Add CPD hours and general formatting	SF	24/04/2020
1.2	General changes in procedure	SF	27/08/2020
1.3	General changes in procedure	SF	27/10/2020