



elmhurst energy

accreditation

**OP03 - Elmhurst Energy
Energy Assessor Accreditation
Code of Conduct**

**ELMHURST ENERGY SYSTEMS (EES)
Code of Conduct**

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

Table of Contents

1.0 Introduction	3
2.0 The Code of Conduct.....	3
3.0 The Purpose of the Code:.....	3
4.0 General Information	4
5.0 Personal interests and record keeping	5
6.0 Section A: Rules of Professional Conduct	8
6.1 Core Principals of Conduct.....	8
6.2 Dealing with Customers	8
6.3 Briefing others	8
6.4 General	9
7.0 Continuing Professional Development (CPD).....	10
8.0 EES Disciplinary Regulations	11

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

1.0 Introduction

Elmhurst Energy Systems Ltd (EES) has been trading for over 20 years and has core values of professionalism, excellence, and effectiveness. The EES Code of Conduct provides a framework within which Energy Assessors offer and deliver their services. It is designed to represent a transparent system of conduct and regulation for Energy Assessors accredited by EES.

Users of EES software and services include housing associations, local authorities, building contractors, surveyors and architects.

EES is a major supplier of systems, services and training and offers various energy qualifications as well as training and professional development resources to support them.

2.0 The Code of Conduct

This edition of the Code of Conduct is operative from 5th December 2008 and will apply until replaced by EES or any successor organisation Code of Conduct. This Code applies to all Members accredited by an EES accreditation scheme whatever type of business they are engaged in, irrespective of the sector or methodologies used e.g. quantitative or qualitative.

3.0 The Purpose of the Code:

The Code of Conduct is designed to support all those engaged in production of energy assessments, including Energy Performance Certificates (EPC) and Display Energy Certificates (DEC).

The Code is intended to reassure the general public and other interested parties that assessments are carried out in a professional and ethical manner.

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

4.0 General Information

It is the responsibility of Members to keep themselves updated on changes or amendments to any part of this Code which will be published from time to time and announced in publications and on the web pages of EES. If in doubt about the interpretation of the Code, members may consult EES.

The EES Code of Conduct does not take precedence over national law. Members responsible for international research should regard its provisions as a minimum requirement and fulfil any other responsibilities set down in law or by nationally agreed standards. Complaints made to Elmhurst are free of charge and this does not affect the statutory rights of the homeowner/client;

All rules set out in Section 6 must be observed and adhered to by all EES Members with any involvement, or with any responsibility. This means that more than one EES Member might be in breach of a rule in respect of the same matter.

Note that EES will usually apply its discretion to proceed only against the most senior EES Member(s) where more than one EES Member is involved in a matter under complaint. EES reserves the right to proceed with an investigation and other relevant processes against all such Members under its 'Rejection / Revocation Procedures'.

All EES Members should be aware that if they are found to be in breach of any of the rules in Section 8 of this document, they will be deemed guilty of unprofessional conduct and disciplinary action may be taken against them.

For further information about the EES disciplinary procedure, EES Members are referred to the relevant section in this Code and the 'Rejection / Revocation Procedures'.

Insurance is mandatory for all schemes and it is the duty of the member to ensure that the correct level of insurance is in place. The table below provides detail of the requirements for the schemes.

Energy Assessor Accreditation	Public Liability (PL)	Professional Indemnity (PI)
Domestic Energy Assessor	Included in EPC fee	Included in EPC fee
New Build Dwellings Energy Assessor	Not required	£250k min, or appropriate level for work being carried out
Commercial Level 3 Energy Assessor	Included in EPC fee	Included in EPC fee
Commercial Level 4 Energy Assessor	Included in EPC fee	Included in EPC fee
Display Energy Certificates Energy Assessor	Included in DEC fee	Included in DEC fee

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

5.0 Personal Interests and Record Keeping

Where a Member carries out an energy inspection or assessment for a property they or an associate of theirs either owns or has an interest, they must disclose the relevant facts including the nature and extent of their interest, to the customer prior to the service taking place.

The minimum expectation of the Accreditation scheme for site notes:

- The member shall at all times keep properly written records as are necessary to allow them to fulfil all obligations under the scheme and to EES
- These records must be complete, consistent, legible & sufficiently detailed;
- Any 'Declaration of Interest' should be recorded on the EES Accreditation application in the appropriate field and noted on the site notes N.B declarations of interest cover interest in the property and interest in potential sales e.g. an installer of boilers or insulation, or an agent wishing to market the property;
- Site notes must be securely stored for fifteen years
- Site notes must be made available in an electronic form to the accreditation scheme within one working week on request
- Reasons for the removal of any EPC / DEC advisory recommendations must be recorded in the site notes
- The reasons for being unable to access specific parts of a property may affect the assessment and must be recorded in the site notes
- Site notes must be written by the Energy Assessor, or an approved representative of the Energy Assessor. Any text or photographs that are the result of a visit by an approved representative, or have been created by an approved representative must be attributed to that person. This is particularly important when submitting EPCs that are either Sampled or Cloned.

Monitoring is required to ensure EPCs and DECAs are produced to an appropriate standard.

A minimum of 1% for recently qualified Energy Assessors and up to 4% of the first 100 EPC / DECAs go through a Desktop Review to ensure they meet the required standard. The documentary evidence (detailed in the table below) will be requested and the data reviewed by EES. Where no significant errors are found no further action is needed. However, if errors are identified action will be taken using the Escalation Process. Initially this is likely to be increasing the level of monitoring of the Energy Assessor.

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

Energy Assessor Accreditation	Audit Requirement
Domestic Energy Assessor	<ul style="list-style-type: none"> • Completed EES RdSAP data collection form including written, electronic, or the automatic pro-forma embedded into EES PDA / laptop software • Additional written site notes including an electronic version as a minimum; • Sketch plan of the property with dimensions • Evidence observed of any materials and any improvements already completed at the property that affect the RDSAP dataset, e.g. drill holes for cavity wall insulation • Photographic evidence of the front and rear elevations, extensions and/or conservatory, boiler or primary space heating, hot water tank and heating controls
New Build Dwellings Energy Assessor	<ul style="list-style-type: none"> • Full building plans • Building specifications • Copy of the SAP 2005 survey forms • Copy of U-value calculations • Copy of SAP calculations
Commercial Level 3 Energy Assessor	<ul style="list-style-type: none"> • Building plans (if available) marked showing zones, or sketch plan of the property with dimensions and zones marked • Building specifications • BRUKL document • CD or e-mail containing the 'Project NCT' SBEM output file • Written and photographic site notes providing evidence of any relevant features, or any decisions
Commercial Level 4 Energy Assessor	<ul style="list-style-type: none"> • Building plans marked showing zones (mandatory for new build), or sketch plan of the property with dimensions and zones marked; • Building Specifications • BRUKL document (for new build) • CD or e-mail containing the 'Project NCT' SBEM output file • Written and photographic site notes providing evidence of any relevant features, or any decisions

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

Display Energy Certificates Energy Assessor	<ul style="list-style-type: none">• Display Energy Certificate;• Full technical tables;• Advisory Reports;• Copy of calculations;• Building plans (if available) marked showing zones, or sketch plan of the property with dimensions and zones marked;• Written or photographic site notes providing evidence of any relevant features, or for any decisions;• Evidence of meter readings.
---	---

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

6.0 Section A: Rules of Professional Conduct

6.1 Core Principles of Conduct

Members shall at all times conduct themselves in accordance with the core values;

- Conform to all relevant national and international laws
- Act with integrity
- Always be honest
- Be open and transparent in their dealings
- Be accountable for all their actions
- Be accountable for the people with whom they work
- Ensure any sub-contractors are aware of and adhere to this code
- Act within their limitations
- Be objective at all times
- Treat others with respect
- Set a good example
- Treat personal data they may become aware of in the course of an assessment with care and not to reveal it to any third party unless specifically authorised by a representative of EES
- Ensure that assessments are carried out, reported and documented accurately, transparently, objectively and to appropriate quality
- Provide written notification to their client or prospective client of the terms on which they are to act and shall inform their client in writing that a copy of the Member's Complaints Handling Procedure is available on request
- Members with responsibility for implementing processes, procedures and contracts, take reasonable steps to ensure this Code is unlikely to be breached or caused to be breached by others unknowingly or unintentionally
- Declare any conflicts of interest

6.2 Dealing with Customers

Members should note that:

- The Energy Assessor must provide details of their customer complaints and feedback procedures to every customer
- In the first instance, complaints should be handled initially by the Energy Assessor or their employer and escalated to EES as required
- Members must advise customers of the EES complaints and comments processes
- The building occupant's co-operation is voluntary and must be based on adequate, and not misleading, information about the general purpose and nature of the assessment
- The rights of occupants as private individuals will be respected by Assessors and they will not be harmed or disadvantaged as the result of cooperating in an assessment

6.3 Briefing Others

In addition, in the course of carrying out any work, the Member or any person acting on their behalf or at their instruction or inducement shall not act in a manner which compromises or impairs, or is likely to compromise or impair, any of the following:

- The integrity of the Member
- The reputation of the EES other accredited members or the energy assessor profession
- The high standards of professional conduct expected of a Member

The reputation or views of EES unless the assessor has the explicit authority of EES

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

6.4 General

A Member shall take all reasonable steps to ensure:

- EES is advised of all formal complaints made to a Energy Assessor, or their employer
- Complaints are defined as any complaint lodged in writing by letter or e-mail and concerning any matter related to the EPC or DEC (even if not directly related to EES); Complaints made to Elmhurst are free of charge and this does not affect the statutory rights of the homeowner/client;
- Assessments conform to the national and international legislation relevant to a given project, including in particular the Data Protection Act 1998 or other comparable legislation applicable outside the UK
- Any publicity, method of advertising or marketing activity for which they are responsible is not inaccurate, misleading or likely to cause public offence or annoyance
- Any reference to EES, the accreditation scheme, and the use of any logo or design belonging to it, shall be strictly in accordance with the guidelines for the use of that material
- Use of any such logo or design does not adversely affect the standing of EES, the accreditation scheme or its membership
- The authoritative standards for advertising applicable in the particular country are followed.

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

7.0 Continuing Professional Development (CPD)

To ensure that customers receive a quality service and retain confidence in the scheme, all Energy Assessors must initially undergo training or prove competence at the point of accreditation. To retain accreditation with EES all Energy Assessors will need to ensure that their competence is maintained and developed through Continuing Professional Development (CPD).

- A Member should lodge through the EES system a minimum number of EPC or DEC's in each 12 month period (see table below) that meet the requirements and standards defined in the scheme
- A member shall complete the minimum number of hours relevant CPD for the specific Energy Assessor accreditation scheme (see table below) which is documented and of an acceptable standard
- CPD shall be carried out in every year. This should be computed as follows:
 - the maximum time attributable to any qualifying activity shall be the duration from the opening to the close of any formal event calculated to the nearest half hour or from the commencement to the completion of other informal activities;
 - when a Member attends for only part of a qualifying activity, only the time attended shall be counted
 - time spent in administering a qualifying activity shall not be treated as CPD
- Energy Assessors must record no less frequently than every 12 complete calendar months their learning objectives, the date on which they were last recorded, updated or reconfirmed, and the manner(s) in which they intend to meet those objectives
- Energy Assessors should keep a written record of their participation in qualifying activities in such form which shall include dates, subject-matters, speakers, total time spent
 - CPD records will be made available on request by the scheme within 28 days
 - CPD records should be kept for a minimum period of three years.

Energy Assessor Accreditation	CPD Requirement
Domestic Energy Assessor	10 Hours CPD in year prior to renewal Produce 10 EPCs
New Build Dwellings Energy Assessor	10 Hours CPD in year prior to renewal Produce 10 EPCs
Commercial Level 3 Energy Assessor	10 Hours CPD in year prior to renewal Produce 5 EPCs
Commercial Level 4 Energy Assessor	10 Hours CPD in year prior to renewal Produce 5 EPCs
Display Energy Certificates Energy Assessor	10 Hours CPD in year prior to renewal Produce 5 DEC's

OP03 - Elmhurst Energy Energy Assessor Accreditation Code of Conduct

8.0 EES Disciplinary Regulations

Under the EES Disciplinary Regulations, membership may be withdrawn or other disciplinary action taken, if a Member is deemed guilty of unprofessional conduct. This is defined as a Member:

- Being guilty of any act or conduct which, in the opinion of EES, might bring discredit on the profession, the accreditation scheme, or its Members;
- Being found by EES to be guilty of any breach of the rules set out in Section 6 of this Code of Conduct;
- Being found by EES to be guilty of any breach of the provisions set out in any EES binding guideline laid down from time-to-time by EES;
- Being found by EES to be guilty of any breach of any other regulations laid down from time-to-time by EES;
- Being convicted or cautioned for an arrestable offence
- Failing, without good reason to assist, EES in the investigation of a complaint
- In the absence of mitigating circumstances having become bankrupt or having made any arrangement or composition with their creditors;
- Being found to be in breach of the Data Protection Act 1998 or other comparable legislation applicable outside the UK. Or being found, by EES, to have infringed any of the data protection principles set out in the Act or similar provisions set out in comparable legislation outside the UK.