

Elmhurst Energy Energy Assessor Accreditation Code of Conduct



ELMHURST ENERGY SYSTEMS (EES)

Code of Conduct

Final Version V3

Drafted By:
Dr Gavin Dunn – Accreditation Manager
Andrew Jackson

For and on behalf of Elmhurst Energy Systems Ltd.



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1.0 Introduction

Elmhurst Energy Systems Ltd 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 Domestic Energy Assessors (DEA) offer and deliver their services. They are designed to represent a transparent system of conduct and regulation for DEAs Accredited by EES.

Users of EES software and services include Housing Associations, Local authorities, building companies, 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 was agreed by EES to be operative from 2nd April 2007 and will apply until replaced by an EES or any successor organisation Code of Conduct. This code applies to all Members accredited by the EES EPC certification scheme. It applies to all Members whatever type of business they are engaged in, including but not limited to, consumer, business to business, social, opinion, international or any other type of assessment and irrespective of the sector or methodologies used e.g. quantitative, qualitative.

3.0 The Purpose of the Code:

The Code of Conduct is designed to support all those engaged in production of Energy Performance Certificates. .

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



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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 are 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 shall take its provisions as a minimum requirement and fulfil any other responsibilities set down in law or by nationally agreed standards.

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

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

All EES Members should be aware that if 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.



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5.0 Personal interests and record keeping

Where a Member carries out an Energy Inspection for any property owned by themselves or an associate of theirs, or in which they or an associate of theirs has an interest, they must disclose the relevant facts including the nature and extent of their interest to the customer and prior to the Energy Survey 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;
- Completed Elmhurst RdSAP data collection form including written, Electronic, or the automatic pro-forma embedded into Elmhurst PDA / laptop software (paper version attached);
- Additional written site notes including electronic to cover 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, i.e. drill holes for cavity wall insulation;
 - Reasons behind no access to parts of the property affecting the RdSAP assessment;
 - Reasons for the removal of any EPC recommendations;
 - Must be complete, consistent, legible & sufficiently detailed;
- 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;
- 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. installer of boilers or estate agent wishing to market the property.



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6.0 Section A: Rules of Professional Conduct

6.1 Core Principals of Conduct

Members, shall at all times, conduct themselves in accordance with the core values, which means that they are expected to:

- 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;
- Know and 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 the EES board;
- 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, taking reasonable steps to ensure that they are such that 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 DEA must provide details of their Customer Complaints and feedback Procedures to every customer;
- In the first instance, complaints should be handled initially by the DEA 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.



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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 DEA profession;
- The high standards of professional conduct expected of a Member;
- Claim to or impliedly represent the views of EES unless using agreed media or you have the explicit authority of the EES board.

6.4 General

A Member shall take all reasonable steps to ensure that:

- EES must be advised of all formal complaints made to a DEA, 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 (even if not directly related to EES);
- Assessments must 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 the 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 the EES, the Accreditation Scheme or its membership;
- The authoritative standards for advertising applicable in the particular country are followed.



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7.0 LifeLong Learning (LLL)

To ensure that Customers receive a quality service and retain confidence in the scheme, all DEAs must initially undergo training or prove competence at the point of accreditation. To retain Accreditation with EES all DEAs will need to ensure that their competence is maintained and developed through Lifelong Learning.

- A Member should lodge through the EES system a minimum of 10 EPCs in each 12 month period that meet the requirements and standards defined in the scheme;
- A member shall complete a minimum of 10 hours of per year which can be documented;
- LLL shall be carried out in every year. LLL shall 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; and
 - time spent in administering a qualifying activity shall not be treated as LLL;
- DEA are to 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;
- DEA to keep a written record of their participation in qualifying activities in such form which shall include dates, subject-matters, speakers, total time spent;
 - LLL records will be made available on request by the scheme within 28 days;
 - LLL records should be kept for a minimum period of three years.



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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 professional body 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 been convicted or cautioned for a serious 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 eight data protection principles set out in the Act or similar provisions set out in comparable legislation outside the UK.



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