

Retrofit Assessor and Coordinator Quality Plan

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1. Introduction

ecmk was set up over twelve years ago and is an accreditation scheme for Energy Assessors and facilitates lodgement of Energy Performance Certificates (EPC), Display Energy Certificates (DEC), and Air Conditioning Reports; quality training for Energy Assessors; accreditation services for the Green Deal; and is approved as ESOS Lead Assessor register.

Accreditation is available for all strands of Energy Assessment - Domestic, Non-Domestic, On Construction, ESOS, Display Energy Certificates, Air Conditioning inspectors as well as Retro Fit Assessors and Coordinators.

Based at their state-of-the-art offices in Solihull, UK, ecmk are proud to provide 7 days per week support to customers working in the office and out in the field Monday to Saturday 8am to 8pm and Sunday 9am to 1pm.

As a leading independent third-party accreditation body our assurance business, ecmk, approves and lists energy assessors on the Landmark website, accessible to all interested parties.

The ecmk Retro Fit Assessor/Coordinators Accreditation operates to the:

- TrustMark Framework Operating Requirements V2.0
- PAS 2035:2019

ecmk is committed to continuous improvement and responds to all opportunities to develop the operational effectiveness and quality delivery of the Scheme. The principal aim of the Scheme is to provide a high standard of quality assurance to protect the interests of all parties that rely on ecmk.

This Quality Plan is accompanied by Scheme Documents, as listed in Section 6, which together with their associated procedures, govern the way in which the scheme operates.

2. Accreditation Body – ecmk

ecmk are committed to the effective implementation and ongoing improvement of a Quality Management System satisfying the requirements of the product standard EN45011 and the transition into the standard ISO:17065.

ecmk have been a UKAS accredited accreditation body since 2012 and in this time have certificated various members from large companies to sole traders. Through a combination of surveillance, quality auditing and ongoing assessment we ensure that the appropriate quality standards are met. We will ensure that any member that we certificate meets the TrustMark Framework Operating Requirements, will be informed of any changes made to legislation and will show compliance with this.

ecmk are a legal entity and will be responsible for all accreditation activities. All procedures are non-discriminatory and re-administered in a non-discriminatory manner as we make our service available to all applications whose activities fall within the scope of operations.

Access to the accreditation process is not conditional upon the size of the member, membership with any associations or groups or the number of accreditations already administered.

ecmk are responsible for the impartiality of our accreditation activities and does not allow commercial, financial or other pressures to compromise impartiality. ecmk identify risks to impartiality on an ongoing basis through an Impartiality Committee and include all types of potential risks. During the accreditation process ecmk will not provide consultancy or advice which would aid a member through the barriers of accreditation.

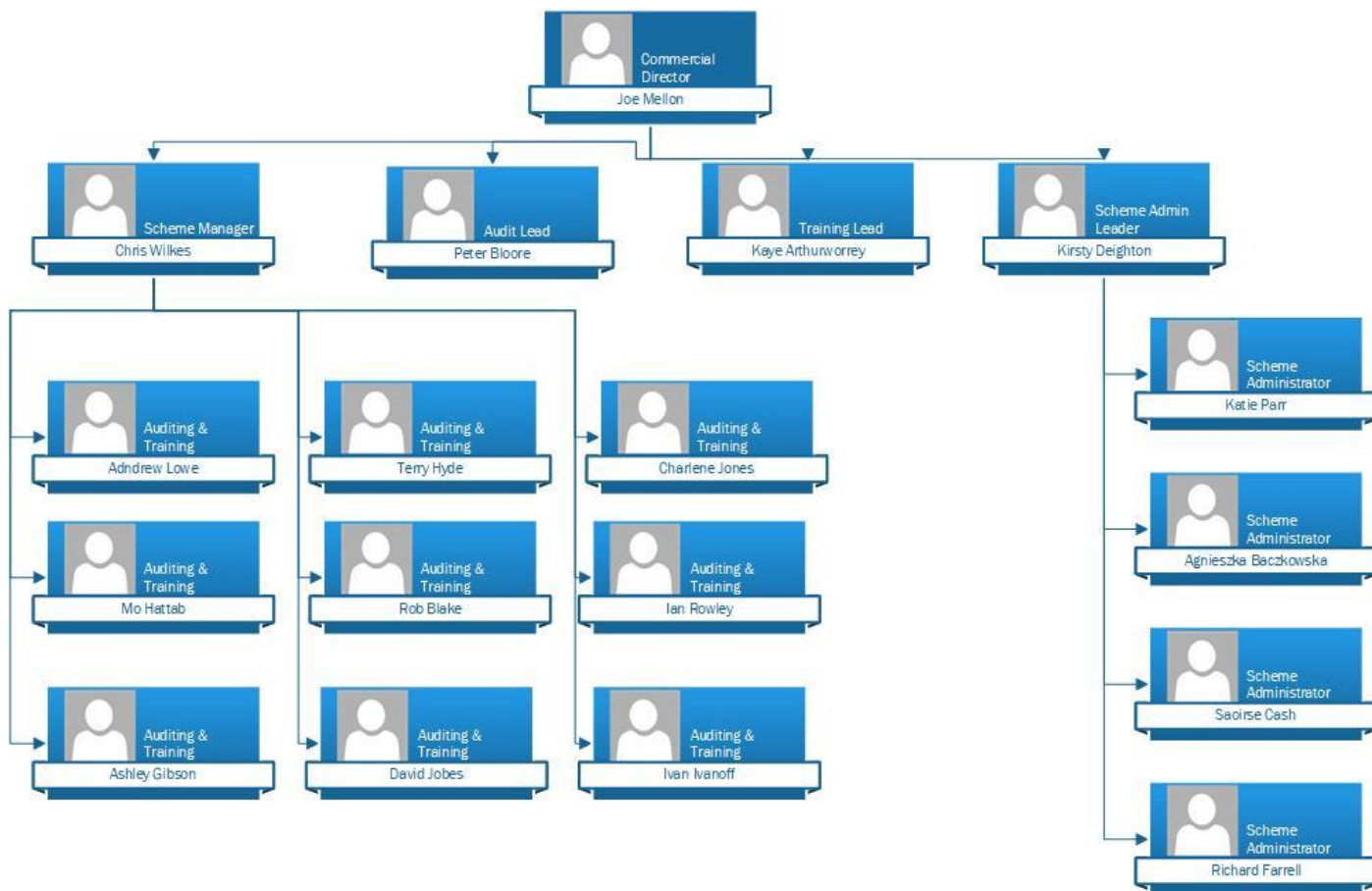
Additionally, ecmk are responsible, through legally enforceable commitments, for the management of all information obtained or created during the accreditation process. With the exception of information that the Retro Fit Assessor/Coordinator make publicly available, all other information is regarded as confidential.

It is the objective of ecmk to seek continual improvement in all aspects of our service and regular reviews are conducted to set new goals and decide measures for improvement. Employee training and competency monitoring is of the utmost importance and we ensure that our objectives are continued to be met.

As ecmk are also a Certification Scheme, all Retro Fit Assessor/Coordinators who are accredited with ecmk have access to Continual Professional Development and Technical Support.

Organisation Structure

Ecmk are an Accreditation Body that operate to the Trustmark frameworks. Please find below the organisation structure of ecmk.



Scheme Manager

The Scheme Manager is responsible for ensuring that sufficient resources are available to meet the requirements of ecmk's accreditation members. This may entail purchasing raw material, tooling, investing in new equipment, training existing staff and recruitment. The General Manager has overall responsibility for the finances of the scheme and is responsible for all decision-making regarding applications to the scheme.

Auditor

The Auditor can be responsible for carrying out the initial desktop audit of an applicant's systems and processes. Once this is completed, the Auditor can request a Head Office to test some of the processes and procedures to ensure that the applicant is working as per the documentation. The auditor also fulfils the evaluator role.

Administrator

The Administrator is responsible for the processing of new applications, renewals, and extensions to scope as well as working with the audit team to ensure a point of contact to the members. The Administrator may also complete the initial desktop audit and evaluation role.

If ecmk uses this ability to prevent a legitimate complaint from being lodged, ecmk shall be subject to disciplinary measures by a government framework.

3. Accreditation Process

When applying for accreditation with ecmk we will go through the following procedures:

- Application
- Desktop Review
- Raising Non-Conformances
- Head Office Visit (if required)
- Closure of Non-Conformances
- Evaluation
- Decision Making
- Accreditation

For details on each stage of the application process please see below.

Application

For each Retro Fit Assessor or Coordinator applicant a fully completed Application Form (ACC-501) must be received. The Application Form will request the following:

- Company information
- Name of primary contact
- Invoicing details

Desktop Review

Each Retrofit Assessor/Coordinator is accredited against the Framework Operating Requirements. To show compliance with this framework, ecmk request that the applicant provides us with copies of their qualifications and any other supporting evidence.

NB: For Retrofit Coordinator only

The Retrofit Coordinator must also supply copies of either;

- A) Quality Management System as well as Operational Procedures and Policies and/or
- B) Compliance to the PAS2030:2019 via a third party certification

The scheme will verify the presence of a robust and credible management system; Quality Management Systems shall cover all the required elements as detailed in the Framework Operating Requirements, which will include the following mandatory requirements:

- Control of documents
- Control of records
- Control of non-conforming products
- Corrective action
- Preventative action
- Internal audit
- Management review*

**not applicable to Sole traders*

In addition, members shall establish and operate procedures as detailed in the Framework Operating Requirements and the scheme will review all applications to ensure all requirements are met. Further details on these clauses can be found in Section 4 of this Quality Plan.

When the documents have been received, ecmk's Auditor will conduct a Desktop Review exercise to ensure compliance against the framework.

Raising Non-Conformances

When conducting a Desktop Review, the Auditor will document any issues found on the Desktop review form which, alongside written feedback, will give the applicant further guidance on the application.

Head Office Visit

Once the desktop review has been completed, the Auditor/Administrator may request a Head Office visit, if required, which will be conducted either at the applicant's main office or at ecmk. The Auditor/Administrator will check that all procedures are being met and that the Framework Operating Requirements has been followed. It is also an opportunity to resolve any outstanding Non-Conformances.

Closure of Non-Conformances

The scheme uses a risk-based approach which will reduce the audit schedule period by three months each time any of the following risk triggers are identified:

- "Major" non-compliance at accreditation audit or surveillance audit
- "Major" non-compliance during witnessed assessments
- "Major" non-compliance during the audit
- Upheld complaint(s) deemed to be major about the member regarding the service

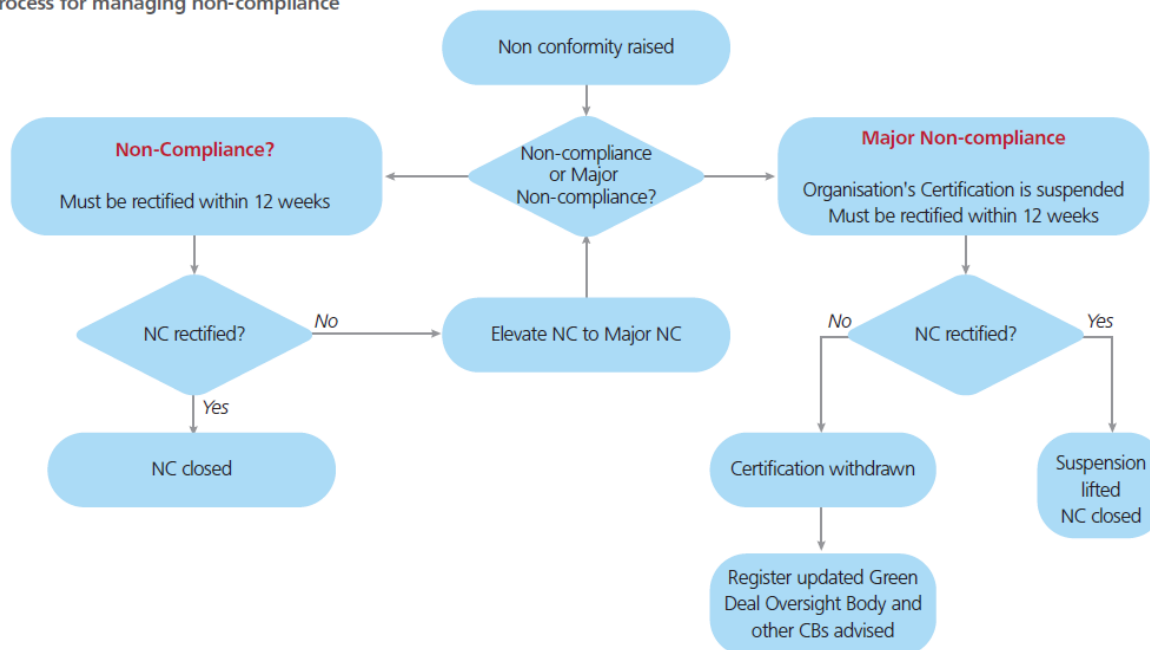
Non-conformities are categorised as follows:

- 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
- Accreditation cannot be granted until all non-compliances identified during the accreditation audit have been rectified

Process for managing non-compliance



Evaluation

Satisfied that all clauses in the framework have been met by the applicant, the Auditor/ Administrator will thoroughly review each stage of the application. This is then passed to an impartial Decision Maker.

Decision Making

The Decision Maker is an impartial member of **ecmk** who has not been involved in any other part of the accreditation process. This will enable them to have a clear view of the evidence. Decision Maker will review all evidence and provide justification on the decision made. If the decision is to decline accreditation, each Retrofit Assessor/Coordinator has the right to appeal the decision by following the Appeal Process ACC-112

Accreditation Granted

The Retrofit Assessor/Coordinator will be informed when a decision has been made to grant accreditation via e-mail. The Administrator will upload the member onto **ecmk's** portal and inform TrustMark of the new addition.

Post Accreditation Activities

Ongoing compliance monitoring will be conducted through Witnessed Assessments, Quality Auditing and Annual Reviews. Please see below for details on each stage.

Witnessed Assessment

Witness assessments may currently be completed with a minimum of at least 1 per year based on risk and results of desktop audits. This is for a Retrofit Coordinator only.

Quality Auditing

ecmk are required to quality audit 2% of all reports a year. Each Retrofit Assessor/Coordinator will be audited at least once per year (if active) and requests for audit information will be sent to the Retrofit Assessor/Coordinator on a monthly basis. The Retrofit Assessor/Coordinator will be responsible for providing **ecmk** with the audit evidence.

The Auditor will compile the feedback on Assessor Hub, and this is passed on to the member.

Annual Review

The Retrofit Assessor/Coordinator is subject to a yearly desktop review. This will include:

- Complaints handling
- CPD records
- Insurance

The Auditor will review all evidence against the Framework and feedback will be given.

Fees

The current accreditation fees are as follows:

Process	Fee
Yearly membership fee: Retrofit Assessor	£199 +VAT
Yearly membership fee: Retrofit Coordinator	£299 +VAT
Retrofit Assessor assessment fee	£5
Assessment fee for Retrofit Coordinator	Refer to the separate contract with CoreLogic
Witness Assessment and office visit (Retrofit Coordinator)	£495+VAT

4. Conditions for Accreditation

Transferring Accreditation

An existing Retrofit Assessor/Coordinator can apply to be transferred from their current accreditation body to **ecmk** without being treated as a new client, however this will be classified as an initial accreditation audit, may require an office visit. Any outstanding issues with the issuing accreditation body will be dealt with before accreditation and then will be transferred and the usual accreditation process will be followed. A scheme check will also take place with the out-going scheme.

Suspending or Withdrawing Accreditation

If at any time **ecmk** believe that there are reasons to remove a Retrofit Assessor/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

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 Assessor/Coordinator continues to be accredited.

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

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

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

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.

5. Framework Operating Requirements

All Retrofit Assessor/Coordinator must comply with the Framework Operating Requirements. Prior to accreditation being granted, each member must provide evidence of compliance to each clause in the Framework. The Framework will aid in forming the Quality Management System and Operational Procedures. Please see below for more detail of what is required from each clause.

Recognition of Retrofit Assessor/Coordinator

ecmk shall ensure that all Retrofit Assessor/Coordinators are suitably qualified and accredited to the relevant strand and that they are unable to lodge assessments whilst suspended.

Qualification and Competence of Retrofit Assessor/Coordinator's

ecmk shall ensure that all Retrofit Assessor/Coordinator's demonstrate competence in their role.

Insurance

Ecmk shall ensure that they hold 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

Robust and Credible Management Systems

Ecmk shall have a management system in place for dealing with activities such as:

- a) Control of documents
- b) Control of records
- c) Control of non-conforming services
- d) Corrective action
- e) Preventative action
- f) Internal audit
- g) Management review

Selection and Work Assignment

Ecmk shall assess all Retrofit Assessor/Coordinators against the eligibility criteria prior to assigning any work and ensure that they are assigned to work that is appropriate to their qualification.

Continual Professional Development

Ecmk shall ensure that their Retrofit Assessor/Coordinators complete the relevant amount of continual professional development and that training is provided on a regular basis.

A Retrofit Assessor must provide the scheme evidence of at least 10 hours of CPD per membership year

A Retrofit Coordinator must provide the scheme evidence of at least 25 hours of CPD per membership year

Sub-Contracting Work

Ecmk shall ensure that any sub-contractors meet the eligibility criteria that is relevant to the service.

Document and Record Keeping

Ecmk shall ensure that the member will maintain records of each assessment undertaken with details of who conducted the assessment, property details and supporting evidence. This information will be securely stored for at least 10 years.

Data Protection

Ecmk shall ensure that they comply with the relevant provision of the Data Protection Act 1998 and GDPR regulations have a policy in place for information sharing

Internal Audit and Corrective Action

Ecmk shall keep a schedule of assessments to be internally audited over a 12-month period and have a procedure in place for any corrective actions required.

Interaction with Customers

Ecmk shall instruct all Retrofit Assessor/Coordinators on interacting with customers regarding customer service requirements, collection of pre-survey information, cost of assessment etc.

Ecmk will monitor compliance to the Code of Conduct by emailing customers to complete a customer satisfaction survey, to monitor trends and complete root cause analysis

Claims of Conformity

Ecmk shall provide evidence where necessary of conformity with the Framework Operating Requirements.

Complaints Management

Ecmk shall have a policy in place for dealing with customer complaints.

Disciplinary and Appeals Procedures

Ecmk shall have a policy in place for dealing with disciplinary actions and appeals.

Operational Procedures

Ecmk shall ensure that all Retro Fit Assessor/Coordinators follow all operational procedures and complete an impartial assessment at all times.

6. Publicly Available Documents

All documents relating to the PAS 2035 and TrustMark Framework Operating Requirements are to be found at www.ecmk.co.uk and on the Assessor Hub portal for members

7. Contact Details

Please contact us if you require further information with regards to becoming a Retrofit Assessor/Coordinator with **ecmk** or if you wish to submit your application form:

Telephone: **0333 123 1418**

E-Mail: support@ecmk.co.uk

Address: **ecmk, Fore 2, 2 Huskisson Way, Shirley, Solihull, B90 4SS**

Version	Description of Change	Editor	Date of issue
1.0	Initial issue	SF	September 2019
1.1	Formatting and fee changes	SF	April 2020
1.2	Updating document for 17065 requirements	JM	August 2020
1.3	Update staff structure	SF	August 2020
1.4	Formatting	EH	October 2022
1.5	Staff Changes	Joe Mellon	18/11/2022