

Environmental Technology Surveyor Solar Photovoltaic Code of Conduct

Produced By:
Mark Rollins – General Manager

Authorised By:
Mr Matt Ferguson - Managing Director

On behalf of Stroma Ltd

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1.0 The Code of Conduct

This Code of Conduct applies to all Stroma Environmental Technology Surveyor undertaking training and surveys. For the purpose of this document the Environmental Technology Surveyor will be referred to as the 'surveyor'.

The Stroma Code of Conduct includes the following principles:

1. Ensuring that the surveyor is fit and proper to undertake the surveys and that they operate within the specified scheme rules.
2. Ensuring that the surveyor is qualified to undertake surveys.
3. Ensuring that the surveyor adopts consistent operational procedures to guarantee the consistency and accuracy of surveys undertaken.
4. To maintain and demonstrate quality assurance procedures.
5. Providing a transparent complaints procedure to ensure rapid and effective complaint handling, relating to the activity of surveyor.
6. Establishing and maintaining a database of all surveyor members.
7. Ensuring financial probity, financial stability and operational resilience.
8. Ensuring continual improvements to the administrative and operational systems that are compliant with the relevant legislation.

2.0 The Purpose of the Code of Conduct

The purpose of the Code of Conduct is:

1. To support all those engaged in the production of Environmental Technology Surveys.
2. To reassure the general public and other interested parties that surveys are carried out in a professional and ethical manner and adhere to the current legislation.

3.0 General Information

Amendments to the Code of Conduct may be published from time to time and it is the responsibility of candidates and the surveyor to keep themselves updated on the changes made. However, Stroma will inform all parties of any changes to the published information. The Code of Conduct is freely available on the Stroma website under the 'Resource Centre'. A request for a copy can be submitted to Stroma by emailing network@stroma.com.

This Code of Conduct does not take precedence over national law. Candidates and surveyor members shall take its provisions as a minimum requirement and fulfil any other responsibilities set down in law or by nationally agreed standards.

Any candidate or surveyor member found to be in breach of the Code of Conduct may also be in breach of national or international laws and similarly any candidate or surveyor member in breach of national or international laws may also be in breach of the relevant Stroma Code of Conduct.

3.1 Breach of the Code of Conduct

All candidates and surveyor members should be aware that if they are found to be in breach of any requirements of the Code of Conduct disciplinary action may be taken against them as detailed in the "Escalation Policy".

4.0 Conflicts of Interest and Record Keeping

Where a surveyor member carries out a survey for any property:

- Owned by themselves,
- Owned by an associate of theirs,
- In which they are associated, or
- Where a financial interest is held

they **must**:

- Disclose their relationship on the documentation,
- Disclose the extent of their interest to the customer prior to the survey taking place, and
- If uncertain on what to do, refer to Stroma for guidance.

5.0 Record Keeping

The minimum expectation for surveyor members is that they will adhere to record keeping as follows:

1. The surveyor shall, at all times, keep properly written records as are necessary to allow them to fulfil all obligations under the scheme.
2. The member shall complete all Stroma data collection forms including written or electronic versions.
3. An explanation behind the reasons preventing access to parts of the property affecting the property survey.
4. They must be complete, consistent, legible & sufficiently detailed.
5. All notes must be securely stored for 15 years.
6. All notes should be made available in an electronic form (as a PDF) to the scheme within one working week on request.
7. Any 'Declaration of Interest' must be recorded on the notes (e.g. declaration of a conflict of interest in the property or interest in the potential sale). Refer to section 5.0 for further details.

6.0 Rules of Professional Conduct

6.1 Core Principals of Conduct

Candidates and surveyor members shall, at all times, conduct themselves in accordance with core principals as detailed below:

1. Conform to all relevant national and international laws.
2. Act with integrity at all times.
3. Always be honest.
4. Be open and transparent in their dealings at all times.
5. Be accountable for all of their actions.
6. Be accountable for the people with whom they work.
7. Not use sub-contractors to undertake surveys unless they are existing Stroma surveyor members.
8. Not undertake work for any other surveyor survey company whilst on the Stroma scheme.
9. Know and act within their personal and professional limitations.
10. Be objective at all times.
11. Treat others with respect.
12. Set a good example as representatives of the surveyor scheme.
13. Treat personal data that they encounter during the course of a survey with care and not to reveal it to any third party unless specifically authorised by a representative of the Stroma.
14. Ensure that all surveys are carried out, reported and documented accurately and in a timely fashion.
15. Ensure that all surveys are carried out transparently, objectively and to appropriate standards.
16. Provide written notification to their client or prospective client of the terms on which they are to act and inform their client in writing that a copy of the Stroma Complaints handling procedure is available on request.
17. Surveyor members with responsibility for implementing processes, procedures and contracts must undertake reasonable steps to ensure that this Code of Conduct is unlikely to be breached or caused to be breached by others unknowingly or unintentionally.
18. Declare any known conflicts of interest.
19. Must not provide any survey details to another surveyor company without the authorisation of Stroma.
20. Ensuring Stroma is provided with an updated CRB every 3 years, based on the date of issue not length of membership.
21. Provide notification to Stroma of any arrestable offences as outlined in the 'Fit and Proper Policy' document since membership was granted.
22. Notify Stroma of any offence(s) that are not covered in the CRB.

6.2 Dealing with Customers

surveyor members should note that:

1. The surveyor member must provide Stroma with details of their customer complaints and feedback procedures.
2. The surveyor member must provide details of their complaints procedure to every client that they are instructed to produce a certificate for.
3. The surveyor member must explain that any complaints received will not affect the statutory rights of the client or homeowner. This must be referenced in the written communication to the client or homeowner.

4. In the first instance, complaints should be handled by the surveyor member or their employer and escalated to Stroma as required.
5. surveyor members must advise customers of the Stroma 'Complaints Procedure' when they have received a complaint.
6. In situations where the building is occupied, the occupant's co-operation is voluntary and must be based on adequate and accurate information about the general purpose and nature of the survey.
7. The rights of occupants as private individuals will be respected by surveyor members' and they will not be harmed or disadvantaged as a result of co-operating in a survey.
8. The surveyor member must show their Stroma ID on all survey visits.
9. The surveyor member should not enter a dwelling if a minor (16 years or less) is solely in charge of the dwelling. The surveyor member should re-arrange the appointment with the original contact.
10. The surveyor member is permitted to enter a dwelling where the occupants are over the retirement age. In such instances, the surveyor member must take extra care to show their ID card.

6.3 Briefing Others

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

1. The integrity of the surveyor member.
2. The reputation of the Stroma or other surveyor members or the relevant profession.
3. The high standards of professional conduct expected of a surveyor member.
4. Claim or imply that they represent the views of Stroma unless using agreed media or are in possession of the explicit authority of the Stroma Board.

6.4 General Notes

1. A surveyor member must undertake all reasonable steps to ensure that Stroma is advised of all formal complaints made to them or their employer, in relation to the surveyor scheme.
2. For the purpose of clarification, 'complaints' are defined as any complaint lodged in writing (by letter or e-mail) concerning any matter related to a survey.
3. Surveys 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.
4. All surveys completed must be notified to Stroma.
5. 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.
6. Any reference to the Stroma surveyor 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.
7. Use of any such logo or design does not adversely affect the standing of the scheme or its membership.
8. surveyor members can complete a subject access request to Stroma in accordance the the Data Protection Act 1998. This must be made in writing for the attention of the General Manager.

7.0 Application Documentation

Stroma cannot return any original applications or their supporting documentation, as these form part of our quality survey (QA) records. Stroma therefore recommends that an applicant maintains copies of all of their original application and documentation.

8.0 Continuing Professional Development / Lifelong Learning

To ensure that customers receive a high quality service and retain confidence in the scheme, all energy surveyor members must initially undergo training to demonstrate competence.

To retain membership with Stroma, all surveyor members will need to ensure that the required level of competence is maintained.

9.0 Disciplinary Regulations

Under the Disciplinary Regulations, membership may be revoked from (part of or all of) the surveyor scheme and/or other disciplinary action may be taken, if a surveyor member is deemed to be guilty of unprofessional conduct.

For the purpose of clarification, a surveyor member may be found to be guilty of unprofessional conduct in the following situations:

1. Being convicted or cautioned for a serious arrestable offence.
2. Being guilty of any act or conduct which, in the opinion of Stroma, might discredit the profession, the professional body or its surveyor members.
3. Being found guilty of any breach of the rules set out in Section 6 of this Code of Conduct.
4. Being found guilty of any breach of the provisions set out in any guidelines or rules laid down by Stroma
5. To be found working for another surveyor company whilst still a member of Stroma's scheme.
6. Be found to have not submitted survey records to Stroma.
7. Being found guilty of any breach of any other regulations laid down by Stroma.
8. Failing, without good reason, to assist Stroma in the investigation of a complaint.
9. In the absence of mitigating circumstances having become bankrupt or having made any arrangement or composition with their creditors.
10. Failing to notify Stroma of any offences that would breach to requirements of the 'Fit and Proper Policy'.
11. Being found to be in breach of the Data Protection Act 1998 or other comparable legislation applicable outside the UK.
12. Being found by Stroma to have infringed any of the eight Data Protection Act principles set out in the Act or similar provisions' set out in comparable legislation outside the UK.

Disciplinary Regulations will follow a process of indentifying the seriousness of the offence based on 3 levels, which are defined below:

1. Minor Transgression.
2. Significant Transgression.
3. Major Transgression.

A detailed overview, of each of the 3 transgressions, is detailed below:

Minor Transgression

Is defined as having no significant impact on the client or stakeholder associated with the transgression. The surveyor member will be informed and issued with an appropriate response and their future conduct monitored. An example of this could be where a misunderstanding of an element of the code of conduct occurs and it doesn't significantly impact on the client.

Significant Transgression

Is defined as having a significant impact on the client or stakeholder. Depending on the nature of the transgression, the surveyor member will be required to undertake additional training to modify their behaviour whilst still retaining their membership. Suspension of the surveyor member will be applied if the training is not completed within an agreed timescale. An example of this could be where feedback is received from a client as part of a standard feedback exercise. The feedback indicates a significantly higher than usual level of discontent with the surveyor members behaviour, however no complaint has been received by Stroma.

Major Transgression

Is defined as Stroma have received compelling evidence that a surveyor member has failed to meet the standards set out in the 'Code of Conduct', in a way which has a major impact on the client or other stakeholders. In this instance, the surveyor member will be suspended pending a disciplinary hearing. An example of this could be where a surveyor member has provided specific advice to a property owner, outside of their remit of knowledge, which is aimed at securing additional work. Or where there has been a failure to disclose Stroma's 'Complaints Procedure' to the property owner or stakeholder on request from them.

In the event that, in identifying a minor or significant transgression, Stroma will monitor, and record the effectiveness of any remedial action.

All surveyor members have the right to appeal any disciplinary decision made by Stroma. The Appeals Panel will arbitrate between the scheme member and Stroma, to come to a successful resolution of the appeal. Please refer to Stroma's 'Escalation Policy' for further information.

For further clarification concerning the actions that Stroma will undertake for any member found to be in breach of the disciplinary regulations, please refer to Stroma's 'Escalation Policy'.