Title:	**Quidos QA Standards for Retrofit Coordinators**		
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Issued By:	**Billy Say**	**Date:**	**27/01/2021**
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Revision History

Issue	Issued	Approved	Reviewed
1.0	04/11/2019	04/11/2019	
1.1	27/01/2021	28/01/2021	

This document shall apply to all accredited Retrofit Coordinators, regardless of National registration, and supersede any previous copies.

These Standards shall be read in conjunction with the **Quidos Code of Conduct** and the **TrustMark Framework Operating requirements Annex A, B and C.**

1. Overview

As an Accreditation Scheme, we are responsible for ensuring that the quality of work carried out by our members is of a consistently high standard. In an evolving sector, it is important that high standards are established and maintained throughout every strand of the industry. This will help create the credibility of a Retrofit Project as an important part of the Retrofit Project that will result in the cutting of carbon emissions reducing energy consumption and saving money on fuel costs. It is vital that these high standards are implemented; both by us as an Accreditation Scheme, and you as an accredited Retrofit Coordinator.

The role of the Retrofit Coordinator is to identify, assess and manage technical and process risks whilst protecting their client's interest as well as public interest by overseeing the assessment of the dwelling.

The Retrofit Coordinator is responsible for:

- A retrofit risk assessment on each dwelling within the retrofit project;
- the creation of a retrofit project plan;
- the creation of a medium-term improvement plan (with implementation over a period of thirty years);
- the documentation of the project including information that is supplied by building owners, and other stakeholders involved in the project, including verifying installer claims of compliance with PAS2030.

2. Surveillance Audit Requirements

Requests for audit should not be seen as a burden, or be perceived as a punishment. For those Retrofit Coordinators who maintain high standards in their work, QA can be an opportunity to demonstrate this, or even to develop better practice. By periodic auditing of our members, we aim to ensure that all Retrofit Coordinators can prove themselves capable of providing the best service to the customer and the industry.

As a general rule, Quidos' minimum surveillance requirements are:

- At least 2% of all Retrofit Projects produced by Retrofit Coordinators through the Scheme are audited;
- Each Retrofit Coordinator will have their first two projects for each risk path audited;
- Each Retrofit Coordinator will be placed on 5% auditing for the first month or a minimum of 5 projects (whichever is achieved first).
- Where the coordinator has achieved 5 successful consecutive audit 'pass' outcomes, they shall be placed on 2% auditing.
- Each Retrofit Coordinator will be subject to further follow on audits should these audits fail.

Audit timescales can be found in **Appendix A** of this document.

There are other circumstances that would require surveillance checks:

- Customer complaints.

In addition to these requirements, we also undertake auditing on those projects that have needed amending following a surveillance auditing failure.

3. Surveillance Audit Evidence

As a practicing member of the Quidos Accreditation Scheme, you are required to keep detailed records from all Retrofit projects undertaken.

Whilst on-site, you should be asking yourself one question:

> ## "Would another Retrofit Coordinator be able to recreate the data set <u>fully</u> from this evidence without question?"

If *you* wouldn't be able to, the auditor almost certainly wouldn't either.

More details of the evidence, which needs to be provided for surveillance auditing, can be found in **Appendix B** of this document.

3.1 Uploading your Evidence

All evidence MUST be uploaded through iQ-Energy and lodged to the Data Warehouse, and <u>cannot</u> be submitted by email or Dropbox to the QA Team. This preserves the audit trail between Retrofit Coordinators and auditors, and makes the Retrofit Coordinator solely responsible for management of their data.

Your audit UPRN will appear in your Control Panel in iQ-Energy with a link to upload. Alternatively, evidence may be uploaded manually using the **Upload Files** button in the Control Panel menu. Just search for the requested UPRN and upload your files. Using the Upload Files option is also handy if you need to add further evidence to your evidence pack after your initial confirmation.
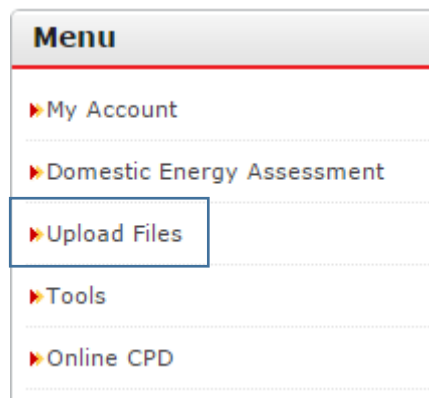
It's really important that Retrofit Coordinator double- and triple-check all files before pressing the **Confirm QA Upload** button. Once you press this button, you are confirming that all of the evidence you have uploaded are sufficient for the auditor to compete the audit. If this is not the case, it is likely that your audit will fail.
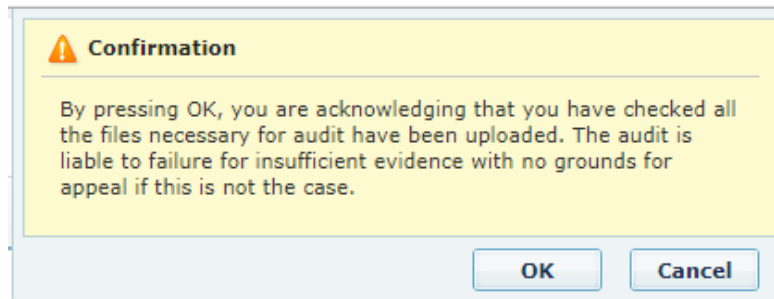
Photographic and documentary evidence is of particular importance; ensuring that they are clear and in context for the purposes required. We request that photographic evidence and documentary evidence be uploaded as separate files, and not pasted into a single document. This enables the surveillance auditors to check each image thoroughly.

All photographic evidence must include a date-stamp within the image or retain the associated metadata created by the camera when taking the photograph. You should ensure that, if using an image resizing program to aid in image uploading for audit, the metadata (EXIF) is maintained.

If the evidence is deemed to be of underwhelming quality, the Retrofit Coordinator will be advised that more care is required in future. If it is deemed that the evidence provided is not of sufficient quality to allow accurate auditing, the assessment cannot be audited, resulting in an audit failure, with the Retrofit Coordinator requiring further follow-on auditing.

As detailed in the Quidos Code of Conduct, it is essential that Retrofit Coordinators keep the records of each Retrofit project both secure and readily accessible. **We will not accept excuses related to missing QA information.**

4. Surveillance Auditing Process

Once the evidence has been submitted, it will be audited by a member of our Surveillance Auditing team. The Surveillance Auditor will review the work and establish whether or not the Retrofit Projects is acceptable, providing the Retrofit Coordinator with a feedback report for the audit upon completion.

Evidence Guidance can be found in **Appendix B** of this document.

4.1 How the report gets audited
- The Auditor works through the supplied evidence, and applies it to the PAS2035 **(See appendix B for more details).**
- Where evidence is omitted or insufficient to support any of the PAS2035, the appropriate worst-case scenario is assumed

- This is repeated until all the points of the PAS2035 have been checked and amended (if necessary);
- Once completed, any errors are listed as non-compliances and consideration as to whether any errors will affect the outcome of the retrofit project;
- Any changes that severely affect any of the things the Retrofit Coordinator is responsible for (see appendix B) are also noted as non-compliances;
- Finally, any areas of insufficient evidence are considered;
- The Auditor shall total the number of non-conformities and their type to determine the audit result.

4.2 The Audit Result

The retrofit project 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 pass demonstrates that a Retrofit Coordinator can competently and confidently follow the requirements of the PAS 2035 framework.

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.

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 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

See all things assessed in **Appendix B.**

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 coordinator. The project lodgement does not need to be superseded, but errors noted should not be replicated on future projects.

Fail (Technical)

The audit fails on a technical basis. There will be one or more errors in the project coordination which cause or contribute to a failure.

Where the number of minor non-conformities is 5 or more, the project, or defective part of the project, must be rectified by the Coordinator, in line with the below timescales.

Where a major non-conformity is present, the Retrofit Coordinator shall have their accreditation immediate suspended until such time as the matter is rectified.

Fail (Evidence)

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 project.

- Where evidence is missing/poor quality but available, this shall be supplied by the Coordinator following feedback and the audit can be reviewed. This evidence must then be placed on the Data Warehouse where deemed necessary by the Scheme following audit completion.
- Where evidence is missing and cannot be supplied, the audit remains a fail.
- Where evidence is not sufficient in quality and cannot be supplemented by quality evidence, the audit remains a fail.

All evidence errors must be acknowledged by the coordinator and not replicated in future projects.

6. Audit Appeals

If you genuinely believe that a Retrofit Project has been incorrectly audited against the evidence supplied, you have the opportunity of lodging an appeal against the decision. Within the *'Evidence'* section for the assessment, you will see an **Appeal** button.

By giving your reasons for appeal, we can review the auditor's decision and make a judgement. Audit appeals are never considered by the Surveillance Auditor that completed the audit. A member of the QA team who was not involved in the audit will consider the appeal.

When considering an appeal, we will always look at the audit as a whole and review all evidence and data inputs. This moderates the work of the Surveillance Auditor, and ensures that the Retrofit Coordinator is provided with the best possible feedback. This can mean that errors which were not initially noted by the Surveillance Auditor could contribute to a possible failure.

We would strongly advise Retrofit Coordinators to make appeals within 5-working days of the audit feedback.

Once your appeal has been submitted, we will aim to resolve the appeal within 5 working days, however we will always prioritise appeals following the failure of follow-on audits.

The appeal feedback is the final and binding decision of the QA Team and will not be reconsidered unless compelling additional evidence is provided. Auditing appeals will not be taken further once a response has been given.

7. Failure Consequences

7.1 Resolving an audit failure

7.1.1 Relodgement

In the event that the Retrofit project is declared defective, it will need to be re-submitted with the correct information in place within 5-working days. The onus is on the Retrofit Coordinator themselves to do this, using the audit feedback summary as guidance.

Defective Retrofit Projects shall <u>always</u> be cancelled by the Retrofit Coordinator.

Cancellations shall be processed through iQ-Energy, giving the Scheme Reference Number to be cancelled, the Scheme Reference Number of the replacement Retrofit Project, and the reason for cancellation. The QA team will occasionally process cancellations following audit failure, but the expectation shall always be on the Retrofit Assessor to cancel.

7.1.2 Additional Evidence

If you provide further evidence which would prove the Retrofit Project correct, you will not have to re-submit the project, however it would still be classified as an audit failure.

Although this might seem harsh, we expect Retrofit Coordinators to be professional in their operation, particularly in ensuring the collection of sufficient evidence to prove the Retrofit Assessment to be an accurate reflection of the dwelling. If this is not the case, we cannot turn a blind eye and are obliged to use a follow-on audit as a sanction.

From the date of failure, Retrofit Coordinators will also have 5-working days within which to appeal against the audit decision.

7.2 Follow-on Auditing

Should a Retrofit Coordinator fail an audit, they will be subject to an additional follow-on audit. This is to be confident that the Retrofit Assessor is following all the requirements of the PAS2035 methodology.

Where a Retrofit Coordinator passes the follow-on audit, they will continue on the 5% requirement until 5 successful 'pass' outcomes have been reached.

If the Retrofit Coordinator fails the follow-on audit, they will be subject to a suspension of accreditation pending the completion of remedial action. Once the remedial action is

completed, the Retrofit Coordinator will have their suspension lifted but still be subject to 5% auditing.

The remedial action will be in the form of a questionnaire, which will be selected by the QA team based on the issues which has caused the Retrofit Coordinator to fail their audits.

Should a Retrofit Coordinator continually fail audits and be seen to not take the advice of Quidos, then Quidos may have to complete a site visit audit. If the failures persist after this, Quidos may have to take further disciplinary action, which may include revocation of accreditation.

8. Additional Help and Advice

The QA and Tech Support team is always available to aid Retrofit Coordinators with any queries they might have about the auditing process.

The best way to contact the QA team is through the Quidos Support Log. This can be found by logging onto http://support.quidos.co.uk; alternatively, you can send an email which will log a support ticket to support@quidos.co.uk.

The telephone helpdesk service should only be used for **URGENT** telephone queries, such as an assessor on-site with a complex query which requires resolving.

The overuse of support channels *may* lead us to question your competency as a Retrofit Coordinator, requiring additional auditing.

APPENDIX A: Auditing Time Limits

From:	To:	Max. Time Limit	Exceptions	Sanctions
Scheme first requests audit evidence	Evidence uploaded to iQ-Energy	5 Working Days	5 working day extension for illness, hols, etc	Suspension if failure to upload [1]
Evidence received	Auditing completed	10 Working Days	Circumstances beyond our control	
Audit feedback (failure)	Lodgement of replacement EPC	5 Working Days	Appeals received within 5 working days	Suspension if not re-uploaded to data warehouse
Audit feedback (failure)	Appeal deadline	5 Working Days	We request all audit appeals to be submitted within 5 working days from the date of feedback receipt	
Follow on request[2]	Evidence uploaded to iQ-Energy	5 Working Days	5 working day extension for illness, hols, etc	Suspension if failure to upload [3]
Follow-on audit feedback (failure)	Where a follow-on audit fails, the Retrofit Coordinator shall be suspended **immediately** pending the completion of remedial action. Any appeals for follow-on audits are fast-tracked.			

[1] *Where a surveillance audit is uploaded after the specified timescale without extension or a 'reasonable or compelling' reason for late upload, the surveillance audit will be reviewed as normal for errors, but will <u>fail automatically for insufficient evidence</u>.*

[2] *Follow-on audits from random failures will be selected from the next month's audit selections.*

[3] *Follow-on audits are requested for upload within 5 working days in order to quickly follow up on a previous auditing failure.*

APPENDIX B: Evidence Collection Requirements

For audit, Retrofit Coordinators are required to supply sufficient evidence for the auditor to be able to replicate the Project without question. The auditor will be auditing against the PAS2035 and Annex C of the Trustmark Operating Requirements. The provision of insufficient evidence will lead to the failure of an audit.

The following are requirements for what Retrofit a Coordinator is responsible for collecting and completing when carry out a Retrofit Project.

Evidence for Upload	Notes
A Retrofit Risk Assessment	*A copy of the Risk Assessment.*
A Retrofit project plan	*Evidence of the completion of a retrofit project plan*
Retrofit Assessment	*A copy of the Retrofit Assessment*
Medium term improvement plan	*Evidence of the completion of a medium-term plan (with implementation over a period of thirty years)*
Documentation of the project	*All documentation used to support the accuracy of the Retrofit Project, including information that is supplied by building owners, and other stakeholders involved in the project*
Improvement Option Evaluation	*For every dwelling or dwelling type, before the retrofit design is prepared an 'Improvement option evaluation' shall be created to identify an appropriate package of EEMs. The evaluation shall make use of RdSAP, SAP or PHPP data provided by the Retrofit Assessment.*
Location of Specific Design Documentation	*Specification information about the package of EEM(s) (if appropriate)*
Handover Documentation	*All documentation where appropriate*
Monitoring and Evaluation	*Post Installation of measures: depending on the outcome of the monitoring and evaluation ensure the appropriate response, and raise through levels - basic, intermediate or advanced as required.*

As well as the above, you will also be required to upload photographic or documentary evidence to support the responsibilities set out in the PAS2035 and the Trustmark Framework Operating Requirements Annex C. The responsibilities that require evidence are:

- Project management including programming and advising on the budget
- Reporting to and advising the Client throughout the project
- Collating data and requiring the PAS 2035:2035 risk assessment
- Assessing and managing technical and procedural risks
- Establishing intended outcomes and agreeing them with the Client

- Coordinating and overseeing the project team (Advisor, Assessor, Designer, Installer, Evaluator)
- Carrying out, summarising and reporting the improvement option evaluation (Paths B and C)
- Preparing the medium-term low-carbon improvement plan (Paths B and C)
- Making or coordinating applications for statutory approvals
- Managing a tender process to identify and appoint Retrofit Installer(s)
- Negotiating contract(s) with Retrofit Installer(s) on behalf of the Client
- Providing toolbox talks to communicate the design intent and key messages
- Administering contract(s) with Retrofit Installer(s)
- Inspecting retrofit work to check progress, quality and compliance with the design
- Making defects inspections and specifying any necessary remedial works
- Overseeing the specified testing and commissioning of installed measures
- Overseeing the handover of the project on completion
- Adjudicating any disputes between the Client and the Retrofit Installer(s)
- Collating evidence and claiming compliance with PAS 2035:2019
- Issuing any certificates required by the contract
- Is making lodgements to the TrustMark Data Warehouse
- Bringing the project to a satisfactory conclusion
- Carrying out and reporting post-completion monitoring and evaluation

Remember the Auditor needs to be able to repeat this process using the photographic and documentary evidence provided.