

Blackpool Council

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CODE OF CONDUCT FOR SOLID WALL INSULATION PROJECTS



A Contractors' Code of Conduct for Solid Wall Insulation Retrofit Projects on Traditional Buildings

Prepared for Blackpool Council by NDM Heath Ltd and the STBA, July 2014

CODE OF CONDUCT FOR SOLID WALL INSULATION PROJECTS

This Code of Conduct has been drafted in order to provide Blackpool Council with quality assurances in relation to solid wall insulation (SWI) delivery projects. It is split into two sections, Pre-Qualification Requirements and Membership Requirements. Each section is broken into relevant areas, each of which includes standard requirements, evidence required and any special supporting requirements.

Contractors wishing to work with and be endorsed by Blackpool Council should ensure they comply with this Code. Such contractors will also be placed on our List of Approved SWI Contractors.

Information for Residents

The installation of energy efficiency measures in homes can have a big impact on energy bills and greatly improve comfort for residents. An important link to this is access to government grant schemes to support the cost of improvement measures, and promotion of such opportunities to householders.

If a home has solid walls (i.e. with no cavity) then adding insulation to these walls can have a significant impact on bills and comfort. However, installation can be a complex and temporarily disruptive activity, and residents can be put off if they cannot find contractors who have been shown to be knowledgeable, experienced and deliver acceptable standards of work. In order to give Blackpool Council and its residents confidence, this Code of Conduct has been created for those suppliers offering solid wall insulation in partnership with the Council. Residents using suppliers that have signed up to this code can rest assured that these suppliers:

- provide competent people to do the work;
- have internal processes that provide them with the latest information;
- have a proven track record of doing this work to a high level;
- have insurance and guarantees to cover you in the long term;
- use sales techniques that meet appropriate Government standards;
- manage quality effectively;
- keep good records.

We recommend reading through this comprehensive Code and look forward to working with contractors to install high-quality insulation programmes.

The areas covered by this Code of Conduct are shown in the table below.

PRE-QUALIFICATION REQUIREMENTS	MEMBERSHIP REQUIREMENTS
▪ Business and Financial Standing	▪ Supporting Blackpool Council in the Market
▪ CRB Checks	▪ Compliance and Breaches of Membership
▪ Health and Safety	▪ Disciplinary Proceedings
▪ Protecting the Environment	▪ Fair Trading Practice
▪ Insurance	▪ Honesty and Integrity
▪ Processes, Management of Installation Works and Records of Work Undertaken	▪ Consumer Credit Licence
▪ Quality Management Systems	▪ Continuing Development
▪ Competence and Supervision	▪ People, Equal Opportunity and Diversity
▪ Guarantees	▪ Dealing with Vulnerable Customers
▪ Complaints Handling and Management	▪ Respecting Other Members and the Blackpool Council Tender Process
▪ Subcontractors	▪ Advertising / Marketing / Communication / Branding
▪ Financial Advice	▪ Impartial Advice
	▪ Sales Techniques
	▪ Taking on the Work of Other Companies
	▪ Customer Service
	▪ Commercial Considerations with Customers
	▪ Commercial Considerations between Blackpool Council and Members
	▪ Collaborative Working on Site
	▪ Processes and Management of Work
	▪ Competence and Supervision
	▪ Quality Management Systems

N.B. Contractors can confirm they meet all Pre-Qualification Requirements by signing and returning the declaration at the end of this section. This is designed to avoid unnecessary bureaucracy, but contractors should be aware they must present evidence at any time if requested by Blackpool Council.

1. PRE-QUALIFICATION REQUIREMENTS

Title	Standard Requirements	Evidence	Special Support Requirements
Business and Financial Standing	Standard Requirements: Evidence of a minimum 2-year trading record in the name used to submit to Blackpool Council	2 years of formal accounts	Extra vigilance on works. Direct feedback from clients sought for each job until 2 years of accounts can be provided
Business and Financial Standing	Evidence of a minimum 12-month trading record in the name used to submit to Blackpool Council	2 different utility bills scanned and uploaded	Extra vigilance on works. Direct feedback from clients sought for each job until 2 years of accounts can be provided
Business and Financial Standing	Supply one referee from a recent completed job incorporating key areas of competence. Ensure their full address and telephone number are provided	Contact details	
CRB Checks	The lead person on any site must have a successful CRB check carried out. This therefore ensures that any individual surveyor must also have passed such a check	CRB checks for all relevant staff	
Health and Safety	Demonstrate appropriate arrangements for the management of health and safety in relation to the types of works for which membership is being sought	<p>For organisations with 5 or more employees: A written, signed, health and safety policy that sets out responsibilities and arrangements for the management of health and safety or alternative evidence of competence and arrangements for the management of health and safety</p>	<p>For organisations with less than 5 employees: Describe arrangements to membership officer. Commit to having a policy in place at least one year after joining</p>
Health and Safety	Demonstrate appropriate arrangements for the management of the presence of asbestos on site	As a minimum, awareness of the Control of Asbestos Regulations 2012. Briefing to be given at induction	
Health and Safety	Demonstrate appropriate arrangements for the management of health and safety in relation to the types of works for which membership is being sought	Compliance with Health and Safety act Work Act 1974	

Title	Standard Requirements	Evidence	Special Support Requirements
Health and Safety	Demonstrate appropriate arrangements for the management of health and safety in relation to the types of works for which membership is being sought	Monitoring, Audit and Review: Management reports relating to health and safety. Examples of site inspection reports. Workforce involvement: Consultation arrangements. Records of health and safety committees. Accident reporting: Arrangements to record accidents and incidents. Arrangements to report accidents and incidents	Minimum compliance is the reporting of reportable (RIDDOR) accidents to Blackpool Council
Health and Safety	Demonstrate appropriate arrangements for the management of health and safety in relation to the types of works for which membership is being sought	Method Statement and Risk Assessment: Examples of job-/site-specific risk assessments. Examples of safe systems of work/method statements. Welfare Provision: Arrangements in place or ensure welfare facilities in place	
Health and Safety	Demonstrate appropriate arrangements for the management of health and safety in relation to the types of works for which membership is being sought	Reporting: on annual review, report accident statistics to Blackpool Council	
Health and Safety	Access to competent health and safety advice – general and construction/sector related	Access to advice: Details of access to competent general and construction/sector related health and safety advice helpline/service. Small companies can use their trade association and professional institution support Larger firms should have in-house expertise	
Health and Safety	Access to competent health and safety advice – general and construction/sector related	In-house personnel: Details of the lead person on Health and Safety and their training	
Health and Safety	Be aware of arrangements and competence to enable compliance with the Construction, Design and Management Regulations	Declare awareness	

Title	Standard Requirements	Evidence	Special Support Requirements
Health and Safety	Demonstrate appropriate arrangements and competence to enable coordination of design work	Hazard Elimination & Risk Control in Design: Evidence of hazards eliminated and risks controlled in design process. Examples of how risks reduced through design. Method statement - Ensure arrangements to ensure co-operation and co-ordination of design work	
Protecting the Environment	Demonstrate appropriate arrangements for the management of protection of the immediate environment around the site in relation to the types of works for which membership is being sought	Incorporated into a briefing as part of induction	
Protecting the Environment	Demonstrate appropriate arrangements for the management protected species.	Incorporated into a briefing as part of induction	
Protecting the Environment	Be aware of the impact of ill-considered sourcing of materials and demonstrate commitment to reducing environmental impact through sourcing	Incorporated into a briefing as part of induction	
Insurance	Public liability Insurance: providing a minimum £2m cover for the types of work for which membership is being sought	Copy of policy schedule demonstrating relevant cover. Copy of certificate of insurance	
Insurance	Employers liability Insurance	Copy of policy schedule demonstrating relevant cover. Copy of certificate of insurance	
Insurance	Professional Indemnity Insurance providing a minimum £250k cover (where the type(s) of work for which membership is being sought include design elements)	Copy of policy schedule demonstrating relevant cover. Copy of certificate of insurance	
Processes, management of installation works and records of work undertaken	BEFORE WORK: Demonstrate commitment to compliance with Building Control, British Standards and Industry Standards	Declaration only	Declaration only
Processes, management of installation works and records of work undertaken	BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification 1) Gain approvals to work, including Planning Permissions	Submit method statement with key items included	Work up to using company own method statements by 2016

Title	Standard Requirements	Evidence	Special Support Requirements
Processes, management of installation works and records of work undertaken	<p>BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification</p> <p>2) Ensure adequate pre-notification of all stakeholders ahead of works such that they have time to prepare and ask questions if required</p>	Submit method statement with key items included	

Title	Standard Requirements	Evidence	Special Support Requirements
<p>Processes, management of installation works and records of work undertaken</p>	<p>BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification</p> <p>3) Method statements must be produced for all works. These can be generic statements for similar works, but as a minimum the key risks must be assessed for each site.</p> <p>The MS should include explicit consideration of each energy efficiency measure and the ancillary works required before and after, including the overall sequence of work. To save planning time, the MS should also include broad options for how to address changes to work plans if unexpected conditions occur.</p> <p>The MS should include details of design and detailing specifications agreed with Blackpool Council. This is important to ensure homogenous and appropriate installations in line with Blackpool Council’s design requirements, particularly in relation to traditional and conservation-grade stock. This will extend into the During Work requirements (see below). The MS should make explicit mention of how the proposed design and installation will address any points of weakness where either water ingress and/or thermal bridging are most likely, noting how such risks will be mitigated. This may be agreed with Blackpool Council at the time of agreeing the design and detailing.</p> <p>The MS should be in a condition to be submitted to the building owner for 100% transparency</p>	<p>Submit method statement with key items included:</p> <ul style="list-style-type: none"> a) the design specification obtained from the specifier, including the products/systems specified for that installation ; b) the required location-specific information including confirmed design requirements from Blackpool Council c) the method(s) for installing the product(s)/system(s) specified, including all constituent tasks and the identification of any relevant standards and specifications d) the tools and equipment required for the installation, including any requirement for calibration e) product/system-related checking, handling and storage instructions f) provision of installation instructions to operatives g) requirement for intermediate inspection h) the training and competence required of operatives by the installer and the arrangements to be made for their supervision to ensure installation of the measure(s) in compliance with this PAS and its relevant Annexes i) details of the sequence of tasks and identification of those undertaking each task (including the engagement of subcontractors) j) detail of any “commissioning” action required on the part of the installer; 	
<p>Blackpool Council – SWI Code of</p>	<p>Conduct – FINAL, July 2014</p>	<p>responsibility for the installed measure is handed over;</p>	<p>Page 8</p>

Title	Standard Requirements	Evidence	Special Support Requirements
		k) the information to be delivered to the customer at the time responsibility for the installed measure is handed over; l) procedures for installation control. This method statement shall include reference to any other measures already installed or to be installed at the same location that may have an impact on the installation or operation of the product(s) or system and the arrangements to be made for their co-operation.	
Processes, management of installation works and records of work undertaken	BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification 4) The member will ensure that formal confirmation of pre-approvals is received from client and/or funder (if required) if it is their responsibility for such activities	Agreement upon signature	All members to demonstrate by 2016
Processes, management of installation works and records of work undertaken	BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification 5) The member shall give due consideration to the requirements of other trades and professions on any job	Where multiple trades are required, a template issued by Blackpool Council will be completed and added as an annex to the method statement. This template will list out all contributing organisations, their roles and responsibilities and the team dependencies	All members to demonstrate by 2016

Title	Standard Requirements	Evidence	Special Support Requirements
Processes, management of installation works and records of work undertaken	<p>BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification</p> <p>6) Quality and handling of materials:</p> <p>The product(s) will be manufactured to, and with materials in accordance with Building Regulations, British, European standards</p> <p>The member shall ensure that, where storage, handling, packaging, and transportation of products takes place, it is done in a manner that protects the product from potential damage or minimises deterioration</p>	Submit method statement with key items included	All members to demonstrate by 2016
Processes, management of installation works and records of work undertaken	<p>BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification</p> <p>7) Where test equipment is needed in the retrofit process, the member shall keep calibration and verification records for equipment, gauges, measuring and test equipment shall include: a) equipment identification, including the measurement reference standard against which the equipment is calibrated; b) any out-of-specification readings when equipment is submitted for calibration; c) a statement of conformity to specification after each calibration or verification</p> <p>A site visit will also check suitable number of items of equipment to cope with the volume of work</p>	Upload Test Equipment Procedure	All members to demonstrate by 2016
Processes, management of installation works and records of work undertaken	<p>BEFORE WORK: Demonstrate appropriate arrangements to ensure that works are carried out in accordance with the relevant standards/design specification</p> <p>8) Commissioning: Where otherwise not covered by a measure-specific requirement, it shall be the responsibility of the installer to ensure the installed measure(s) is commissioned, in accordance with the manufacturer's instructions and the design specification and in conformance with any relevant statutory regulations</p>	Submit method statement with key items included	All members to demonstrate by 2016

Title	Standard Requirements	Evidence	Special Support Requirements
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>1) Pre-installation surveys: Obtain sufficient information relating to the proposed work including the client's requirements, materials specification, the property and location features</p>	Upload pre-survey procedure/form	All members to demonstrate by 2016
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>2) Confirming site conditions The installer must check the suitability of the property to receive the proposed measure and if in doubt seek additional advice from the specifier/designer and/or manufacturer of the system as required, as well as Blackpool Council where they require site-specific detailing</p>	Blackpool Council-agreed design & detailing list	
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work</p> <p>3) The member shall have a checklist that aligns with its method statement, for key items of work to be confirmed as completed and for other planning and logistical items to be checked off. This will include notification of interim inspections, client review meetings etc.</p> <p>Relevant information will be made available by Blackpool Council through their liaison office</p>	An example work checklist to be uploaded	
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>4) The member shall ensure that all products and materials are checked to so that the correct product/material has been supplied and the quantities are correct. Any critical measurements should be identified and records should indicate acceptance or rejection of products/materials</p> <p>This may be an addition to a typical work checklist</p>	An example work checklist to be uploaded	

Title	Standard Requirements	Evidence	Special Support Requirements
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>5) Intermediate inspections: The member must have awareness of the Building Control Regulations and notification requirements that apply to geographical area, by trade, for materials used and technical specifications</p> <p>Some work items requested by Blackpool Council will require specific interim inspections. This may be directly visual or photographic. The member agrees to comply with such requirements when they arise</p>	Competent Person Scheme membership	
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>6) In the event that the survey findings reveal potential installation problems, the installer shall notify the EEM specifier and any relevant statutory authorities, and work with the EEM specifier as necessary to develop a mutually agreed solution. The installer shall always obtain the written agreement of the EEM specifier to any introduction of changes.</p> <p>Any variation to the method statement and/or installation methods shall be defined, documented and agreed with the EEM specifier before proceeding</p>	Agree to abide upon signature	
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>7) The member shall have a procedure to demonstrate that the information contained in the method statement for each installation is available to, and has been used by, the operatives undertaking that installation</p>	Confirm that there is a 'briefing page' on each method statement that will be used for signature by site personnel	

Title	Standard Requirements	Evidence	Special Support Requirements
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>8) So that members set the standard for effective usage of buildings, a handover pack must be produced for each job which shall include:</p> <ul style="list-style-type: none"> - Instruction manuals, maintenance requirements and warranties where appropriate, are handed over to the consumer - Insulation, especially if hidden, will need to have attention drawn to it - Details of maintaining seals - A full description of the systems and items installed - Warranties and guarantees for the work <p>A competent person must deliver the handover pack and brief the building user in its contents. A copy of the pack should also be provided to Blackpool Council</p>	Agree to abide upon signature	
Processes, management of installation works and records of work undertaken	<p>DURING WORK: Demonstrate appropriate procedures are in place to effectively manage installation work.</p> <p>The installer must advise Blackpool Council of any installations that do not comply with the system designer's specification such as untreated areas as defined in the technical requirements of the insurer's scheme. The member must maintain traceable technical support to the installer</p>	Provide sample of process documentation	
Competence and supervision	Demonstrate appropriate competence to undertake the types of work for which membership is being sought	As stated in the relevant 'type of work' annexe	

Title	Standard Requirements	Evidence	Special Support Requirements
Guarantees	<p>Manufacturers' and installers' guarantees are intended to protect consumers if there are any faults with the energy generating system. These are needed by law. In all quotes state clearly the legal minimum guarantee that the client is entitled to.</p> <p>Customers will be offered, at no extra cost, a free 2-year workmanship guarantee in addition to the system guarantee</p> <p>Guarantees are offered irrespective of whether a subcontractor is sued.</p> <p>Where the work incorporates materials that are subject to a separate manufacturer's or other guarantee, the benefit of such guarantee shall be passed on to the customer by the member</p>	Agreement to comply	
Guarantees	The guarantee must be valid for a minimum of two years, and be transferable to the new owner in the event that the consumer moves home	Agreement to comply	
Guarantees	<p>In the event that they should fall into receivership, administration, or bankruptcy during the term of the installer's guarantee, members must have arrangements in place to ensure that the guarantee will be honoured. Such arrangements can include an insurance-backed workmanship warranty or a bond, for example.</p> <p>The member must inform the customer whether an additional charge is required for this to be put in place at quotation stage</p>	Agreement to comply	
Guarantees	Insurance backed guarantees are offered to the client for all works	Copy of policy schedule demonstrating relevant cover. Copy of certificate of insurance	

Title	Standard Requirements	Evidence	Special Support Requirements
Guarantees	<p>If a fault develops at any time, then the consumer is entitled to certain remedies by law.</p> <p>Where the operation of a guarantee is conditional upon appropriate use or maintenance of the installation by the customer, this shall be clearly stated in the terms of the guarantee.</p> <p>In the event of a fault developing, the member will offer the consumer a range of remedies, including to:</p> <ul style="list-style-type: none"> correct the fault on site, if this is practical and in line with the guarantee offered; provide replacement or extra equipment to restore the system to its original condition and make good any alterations that have been made; pay a refund that is at least equal to the full value of that part of the system that is faulty. (Members are encouraged to offer higher refunds than the strict minimum to recognise the inconvenience to the consumer.) <p>Members must not seek to limit the consumer's legal entitlements in the event of a fault developing, for example by disguising the availability of a number of remedies</p>	Agreement to comply	
Guarantees	<p>If members offer consumers any extended guarantees or additional warranties, members must tell consumers that these are optional, and set out clearly who is offering it, what the extra costs are, and the main benefits</p>	Agreement to comply	

Title	Standard Requirements	Evidence	Special Support Requirements
Complaints handling and management	<p>It is most desirable that complaints should be settled amicably between the member and the customer. In the event of any defect, complaint or problem, the customer is encouraged in the first instance to notify the member in writing as soon as practicable.</p> <p>if this does not create a suitable outcomes, contact the Trade Association of the company delivering the works.</p> <p>If no such membership is in place, the customer can contact Blackpool Council and use the Resolver facility to ensure this is as simple as possible for both parties, accessed via the Blackpool Council website.</p> <p>The member shall investigate the subject of a complaint and shall deal with it promptly and with courtesy. Any work arising from a valid complaint shall be dealt with promptly.</p> <p>To support all of this, the member will put in place and operate a documented and publically available complaints procedure</p>	Copy of complaints procedure	The company shall ensure a Complaints Procedure is in place within one year of initial membership approval
Complaints handling and management	<p>To have access to an alternative dispute resolution service that your client can be made aware of.</p> <p>Blackpool Council will work with trade associations to use their existing schemes</p>	Copy of complaints procedure, to include alternative dispute resolution	The company shall ensure a Complaints Procedure is in place within one year of initial membership approval
Complaints handling and management	<p>To have in place and operate a documented and publically available complaints procedure.</p> <p>In exceptional cases, for example in which the conciliator's recommendations are not acceptable, either side has the right to ask for the complaint to be referred to the independent arbitration service. Neither side is required to refer the dispute to independent arbitration, and may choose to deal with the matter in other ways, including by taking legal action. However, if the consumer asks that the complaint be referred for arbitration, the member must accede to the request</p>	Copy of complaints procedure, to include access to independent arbitration or mediation	The company shall ensure a Complaints Procedure is in place within one year of initial membership approval

Title	Standard Requirements	Evidence	Special Support Requirements
Complaints handling and management	<p>Requirement is to produce and maintain a record of all complaints received over at least the previous six years, together with the details of the action taken to resolve these complaints.</p> <p>Blackpool Council will use the Resolver application to handle the process and the recording of such complaints on behalf of the member. The member must agree to the use of Resolver</p>	Agree to abide upon signature	
Complaints handling and management	To inform Blackpool Council of all complaints received regardless of whether or not they relate to work that was procured through Blackpool Council, but may have happened on a client related to Blackpool Council	Requirement to be included in the application form and agreed to by signing the form	
Complaints handling and management	To agree to Blackpool Council contacting and/or communicating with Trading Standards if issues relating to membership of Blackpool Council or work procured through Blackpool Council arise	Requirement to be included in the application form and agreed to by signing the form	
Sub-contractors	Demonstrate appropriate procedures are in place to ensure that where sub-contractors are used to carry out work they are competent to do so	Records or documentation showing how technical competence and health and safety competence of sub-contractors is checked	
Sub-contractors	<p>Demonstrate appropriate procedures are in place to ensure that where sub-contractors are used to carry out work they are competent to do so.</p> <p>Subcontractors are required to uphold the same standards as the main contractors. Therefore, subcontractors will need to prove that they comply by completing the Blackpool Council PQQ for the work that they wish to carry out. They may not wish to contract directly to Blackpool Council, but completion of the checks provides appropriate evidence</p>	Records or documentation showing how technical competence and health and safety competence of sub-contractors is checked	
Financial Advice	Agree not to give financial advice to customers as per guidelines set by the FCA and use Blackpool Council staff to do so on your behalf. Alternatively gain the requisite licence to give financial advice directly	Any members with a CCA licence must submit the licence Unique Reference Number	Declaration only

PRE-QUALIFICATION REQUIREMENTS – DECLARATION

CONTRACTOR NAME:			
YEAR OF SIGNING:			
<p>DECLARATION:</p> <p>We confirm we meet all the Pre-Application Requirements set out in Blackpool Council’s <i>Code of Conduct for Solid Wall Insulation Projects</i> document.</p> <p>We confirm we will adhere to all the standard requirements set out in this document, and will provide any evidence requested by Blackpool Council in a timely manner.</p>			
Contractor Staff member:		Contractor Address:	
Position:		Telephone:	
Signature:		Email:	
Date:		Website:	

2. MEMBERSHIP REQUIREMENTS

Title	Standard Requirements	Evidence
Supporting Blackpool Council in the market	<p>Members are urged to promote the benefits of using a Blackpool Council SWI Scheme member to customers.</p> <p>Members will not act in any way to bring the Blackpool Council cooperative and all of its individual members into disrepute</p>	
Compliance and breaches of membership	<p>Upon signing up as a member an organisation is agreeing to comply with all elements of the Membership Principles.</p> <p>If at any stage a member realises they have breached the code in any way they must inform their liaison officer at Blackpool Council.</p> <p>If at any stage a member becomes aware that another member has breached any element of membership requirements of membership principles, it should be reported to a Liaison officer</p>	
Compliance and breaches of membership	<p>Members must ensure that all staff and temporary staff are briefed on the contents of the Membership Principles. Any staff not complying with Membership Principles will be considered a breach</p>	
Compliance and breaches of membership	<p>Blackpool Council will carry out the following monitoring and auditing measures, and report the results to the Membership Forum which reports to the Blackpool Council Board:</p> <ul style="list-style-type: none"> a. assess feedback from consumers obtained through consumer satisfaction surveys; b. analyse cases it is aware of in which members have not kept to the Code; c. carry out regular audit compliance checks of members' performance; d. analysis of conciliation and arbitration cases; and e. carry out 'mystery shopping' exercises to judge members' performance. <p>Blackpool Council will publish the results of this monitoring in an annual report, which it will make available to members and other relevant organisations that endorse the Blackpool Council scheme. The Membership Forum will then consider any issues and take any appropriate action</p>	
Disciplinary procedures	<p>A complaint or dispute concerning a member's performance is very different from a complaint about their professional conduct. A complaint about performance should be resolved by the member's own complaints procedures.</p> <p>Given that Blackpool Council will be hosting a Resolver portal, we will be able to check progress on complaints.</p> <p>Complaints about the professional misconduct or concerns regarding competency will be recorded and shared with the trade association, professional institution or competent person scheme</p>	

Title	Standard Requirements	Evidence
Disciplinary procedures	<p>In circumstances where it becomes apparent that there may have been a breach of scheme requirements. Blackpool Council Board may implement disciplinary action against the member firm, disciplinary action based on a three tier approach:</p> <p>a. Insufficient detail or case unfounded (Outcome – no disciplinary action taken).</p> <p>b) 1st action (advisory) level – verbal notice (Outcome – verbal instruction of business improvement actions to be made by the member firm, confirmed in writing to the member.)</p> <p>c. 2nd action level – serious warning notice (Outcome – formal written notice of urgent business improvement actions to be taken emphasising the need to take remedial action, the result of a re-occurrence/non-provision of information being expulsion.)</p> <p>d. 3rd action level – expulsion from membership (Outcome - expulsion from membership).</p> <p>All decisions will be proposed by the Membership Forum and actioned by the Board</p>	
Disciplinary procedures	<p>The Membership Forum will review performance of members if they have :</p> <ul style="list-style-type: none"> • Failed to investigate a complaint or carry out remedial work identified as necessary following a complaint • Failed to satisfy the requirements of the Surveillance or Quality Assurance frameworks as established by Blackpool Council and set out from time to time. • Has acted to the detriment of another Member. • Enters into a voluntary agreement with their creditors. • Commits a material breach of the Membership Principles or Rules that if capable of remedy is not remedied within 28 days. • Consistently fails to pay debts in a timely manner. • Ceases or threatens to cease business. <p>Termination of membership shall not absolve the Member from liabilities and responsibilities accrued during his membership</p>	
Fair Trading Practice	Do not undertake work for which they knowingly lack sufficient and adequate resources work safely or to meet their obligations	
Fair Trading Practice	The Member will comply with all UK law with regard to anti-bribery controls	
Fair Trading Practice - Compliance with UK and EU Law	<p>The Member must be committed to compliance with UK and EU competition law. The purpose of competition law is to preserve free, fair and efficient competition for the benefit of all companies operating in the industry and their clients.</p> <p>The Member agrees at all times to commit to ensuring the highest standards of competition law compliance within the sector by adhering in all of its business practices to the principle of fair competition and to ensure that construction companies do not engage in conduct which is anti-competitive</p>	

Title	Standard Requirements	Evidence
Fair Trading Practice - Collusion	<p>Members shall not collude in pricing when submitting proposals to Blackpool Council. Automatic monitors have been put in place to search for patterns.</p> <p>Members shall not exchange competitively sensitive information or engage in discussions that may lead to the co-ordination of competitive behaviour and, in particular, must not share information about current or future pricing intentions for tenders, or any element that might affect prices or pricing practices, including the exchange of cover prices.</p> <p>Members understand that co-operation with a competitor is justified only under the exceptions permitted by the competition rules or where they have been expressly required to enter into such arrangements by the client, for example, certain joint ventures and framework agreements, in which case such arrangements will be fully disclosed to the client and to Blackpool Council in advance of tendering</p>	
Fair Trading Practice - Declaring vested interests	<p>Members involved in any other business activity which might impact, even indirectly, on their practice of architecture, must declare that involvement to the client or employer before any contract is finalised. If the other activity is unacceptable to the client members should either withdraw from it during the engagement, or decline the work; if the other activity is unacceptable to the employer, members must withdraw from it during the employment or resign from/refuse to accept the job.</p> <p>Members must not undertake functions which require independence and impartiality if they are connected to the contracting party</p>	
Honesty and Integrity - Customer confidentiality	<p>Members must adhere to any reasonable contractual provisions regarding confidentiality and should also comply with the legal rights of privacy. e.g. taking photographs of private buildings from public highways with the intention of publishing them, or discussing private details with third parties such as journalists, if there has been no explicit permission to do so.</p> <p>Members should therefore ascertain from their clients what type of publicity they will allow about their project, and agree the terms and conditions for publication. This also applies to a member's own promotional material.</p> <p>Data held by members concerning others must be handled in accordance with the prevailing data protection legislation</p>	
Honesty and Integrity - recognising the need for external advice	<p>Members should seek appropriate advice when faced with a situation which they recognise as being outside their own or their practice's experience or capabilities.</p> <p>A key function of Blackpool Council is to match each member with other members by capability</p>	
Consumer Credit Licence	<p>Members will not advise customers on financial matters regarding potential retrofit work, unless an appropriate Consumer Credit License/Authorisation (CCL) is held. If no CCL is held by the member, they can 'signpost' the customer to Blackpool Council staff for Green Deal Brokering Advice</p>	

Title	Standard Requirements	Evidence
Continuing Development	<p>Members are expected to continue to develop and update their skills, knowledge and expertise throughout their careers for the benefit of their clients and the quality of the built environment.</p> <p>Professional members must adhere to the CPD set down by their institution.</p> <p>Trade based members must seek to ensure they have access to the latest intelligence</p>	
People, Equal Opportunity and Diversity	<p>Good employment practice will contribute positively to the effectiveness and influence of the cooperative and its members. It will also improve business opportunities, employment diversity and personal development, and is vital to our role in raising the quality of our built environment and benefiting society.</p> <p>The member will apply the National Working Rule Agreement where appropriate or maintain standards not less favourable to the employee</p>	Agree to abide upon signature
People, Equal Opportunity and Diversity	The member should have in place a clear process whereby staff are made aware of process to resolve disputes between staff and employers, in either direction	Company to provide a copy of the Equal Opportunities policy
People, Equal Opportunity and Diversity	The member agrees that any personnel engaged in work experience, training, secondment, student placements or internships shall be treated in the same manner as any other employee. The member shall refrain from providing any unpaid roles and as a minimum aim to achieve a Living Wage not just a minimum wage for personnel (http://www.livingwage.org.uk/what-living-wage)	Agree to abide upon signature
People, Equal Opportunity and Diversity	The member agrees not to discriminate on the grounds of gender, race or ethnic origin, sexual orientation, marital status, creed, nationality, disability or age and shall seek to eliminate such discrimination by others to promote equal opportunities	Company to provide a copy of the Equal Opportunities policy
People, Equal Opportunity and Diversity	<p>Members should have due regard for the religious, cultural or political interests of their staff and should try to accommodate them as far as is practicable.</p> <p>The member agrees to support its staff and suppliers should they be a 'conscientious objector' in a given situation and agreement to a withdrawal should not unreasonably be withheld</p>	Agree to abide upon signature
Dealing with Vulnerable Customers	In the case of vulnerable consumers, members are expected to provide extra care and support. Consumers may be vulnerable as a consequence of mental or physical infirmity, age, credulity, learning difficulties, illiteracy or if their first language is not English. The member must have been able reasonably to foresee this vulnerability. The information members provide should be appropriate to the consumer's needs. Members should take special care to ensure that the consumer understands the key documents, including the quotation, the contract and the guarantee arrangements. Where appropriate, members must seek the involvement of a trusted friend or relative	

Title	Standard Requirements	Evidence
Respecting other members and the Blackpool Council tender process	Members should not deliberately approach another Members' client in a conscious attempt to take over an active project. Members should therefore avoid, as far as possible, sending advertising mailshots, or any other forms of publicity, aimed at a specific project where it is apparent that another Member has already been appointed	
Advertising / Marketing / Communication / Branding - Use of logos	The Blackpool Council logo provides a guarantee of a high standard of service to consumers. It may only be used by members and can be found in different formats at www.blackpool.gov.uk/insulation . Members will use the Blackpool Council logo strictly in line with the brand guidelines the Board issues from time to time can also be found at www.blackpool.gov.uk/insulation . If members are entitled to use other logos, they must also follow the conditions of use for these, of use for these, so long as there is no conflict with the conditions set out in these Member Principles	
Advertising / Marketing / Communication / Branding - Use of advertisements and marketing material	Ensure that advertisements and marketing whether placed directly by the member or via a third party, shall be factual and relevant in substance and presentation. They must not contain information which is untrue, misleading, otherwise discreditable to the industry and Blackpool Council	
Advertising / Marketing / Communication / Branding - Telephone Sales	If a member undertakes telephone sales, they should consult the Telephone Preference database and not contact anyone listed on it	
Advertising / Marketing / Communication / Branding - Gathering leads from third parties	Members should not just not accept sales leads from persons who are known or suspected to engage in pressure sales techniques. Members must take reasonable steps to satisfy themselves about how other parties obtain sales leads before entering into arrangements with them	
Advertising / Marketing / Communication / Branding	Members must not offer payments or other remuneration which incentivise staff or other persons to engage in inappropriate sales techniques, or to recommend specific products or services when these may not be appropriate for the customer	
Impartial Advice	In order to build trust in our industry and to encourage more people to engage with the Blackpool Council cooperative, it is essential that Members are open about their role when engaging with customers. Members must ensure that in their contact with customers they clearly distinguish between (i) the impartial assessment of a property in question and recommendations produced via or alongside or instead of that assessment; and (ii) any additional marketing and sales activities, whether relating to Green Deal or other products or services	

Title	Standard Requirements	Evidence
Processes, management of installation works and records of work undertaken	<p>BEFORE WORK: Demonstrate commitment to ensuring that the whole house performance improves both in the current phase of work and others beyond.</p> <ul style="list-style-type: none"> - that all measures are planned to be installed as the manufacturer intended - that all measures designed for the installation into a building work together as a system - that all future measures are considered for works beyond the existing phase so that opportunities are no blocked and future work is facilitated 	
Sales Techniques	<p>Members' sales staff will treat customers with respect and courtesy at all times and will behave in a manner which reflects the integrity of Blackpool Council.</p> <p>Members will promote products and services based on their strengths and not on competitors' 'weaknesses'.</p> <p>Employees must not give false or misleading information about their company or the product, services or facilities being offered. They must not make any statement that is likely to mislead the consumer in any way. Sales employees and representatives, whether employed directly, sub-contracted or selling on the company's behalf, must not use any selling techniques designed to pressurise the consumer into making an immediate decision</p>	
Sales Techniques - Regulations	Members will comply with the Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013.	
Sales Techniques – Cold Calling	Members will not 'cold call' householders, In accordance with Blackpool's status as a no-cold-calling area	
If taking on the work of other companies - making arrangements	Blackpool Council is able to make arrangements for other similarly capable companies to carry out works in the event of an unforeseen circumstance that prevents the Member completing works, all processes then in progress or otherwise outstanding can be transferred to another Member and completed in accordance with the relevant standard, design specification and in accordance with this PAS2030 if relevant	
If taking on the work of other companies - verifying the work	When members are approached by clients to undertake work on an existing project, reasonable enquiries should be made to establish whether or not any other Members are already involved . If there are, members must clarify with the client whether their role will be to replace an appointed Member or take on separate work within the same project. Members should, unless there is a justifiable reason not to, inform the appointed Member that the client has approached them. However, if the client denies or fails to mention that another Member is already engaged for this work, Blackpool Council is unlikely to regard an omission to notify the original Member as misconduct	

Title	Standard Requirements	Evidence
If taking on the work of other companies - communications on the matter	<p>Acknowledging the contribution of others - The contribution of others to a member's work should be appropriately acknowledged. Members should not seek to pass off someone else's work as their own.</p> <p>Commenting on the work of others - Members engaged to review, appraise or comment on another member's work should do so fairly and objectively, based on their own knowledge and experience. Members should not engage in personal criticisms of other members, nor attempt to discredit their work in order to gain advantage</p>	
Customer Service - Making and keeping appointments	Members shall endeavour to be prompt when keeping to appointments and if likely to be more than 10 minutes late to an appointment, to make a telephone call to the client to notify them of this in advance when it is safe to do so.	
Customer Service - Behaviour and Appearance	In all work related activity, act professionally and adopt a form of behaviour and appearance that will not cause offence or embarrassment to others and shall not adopt a form of behaviour or appearance that could damage the dignity, standing and reputation of the industry and the Federation	
Customer Service - Respecting client property	Members must, as far as reasonably practicable, take care to avoid damage to clients' property and that of members of the public	
Customer Service - Identification cards	Members, and any employee or representative of a Member organisation must, on initial contact, disclose their identity to all customers and potential customers by showing an identification document along with details of their employer or other person they are acting on behalf of (where applicable) and provide an explanation of the specific services they are authorised to provide. They must disclose any links with other Members or third parties, any limitations on their independence (including any fees or commissions payable), and the products or services they wish to offer. This information must also be confirmed in writing at the earliest practicable opportunity	
Customer Service - Tidiness, Protection and Diligence	Members must leave the site in a clean and tidy condition and ready for use. Any waste will have been properly disposed of unless this is not included in the contract (non-emergency work) or what is included in the price (emergency work)	
Commercial considerations with customers - Form of contract	<p>All work that is to be engaged via Blackpool Council will have a contract in place. In the fullness of time. Blackpool Council will make available a suite of contracts which Members and Client can agree to use.</p> <p>Members should use every endeavour within the limits of the contract conditions to:-</p> <ul style="list-style-type: none"> (a) Complete contracts on time and within costs limits. (b) Fulfil obligations under contracts. (c) Establish that the client understands the contract and the implications of all variations. (d) Provide value for money 	

Title	Standard Requirements	Evidence
Commercial considerations with customers - Contract arrangements and obligations	Although Blackpool Council will help its members by providing a suit of contracts for use, it is not the responsibility of Blackpool Council to put in place, or ensure contractual obligations are met. It is however, the duty of Blackpool Council to make householders/customers aware of contract options but it is the responsibility of the Practitioner members themselves to make, agree and meet contractual arrangements and commitments	
Commercial considerations with customers - Form of contract	<p>When invited to quote for work, members should ensure that they have sufficient information about the work for the calculation of the price. Any quotation will clearly indicate the type and extent of the services (a defined scope of works) to be undertaken for that fee, and will also enable any subsequent changes to be identified.</p> <p>Blackpool Council will provide a facility to enable site visits to take place before pricing is finalised.</p> <p>Blackpool Council will also provide a template pricing format so that clients are fully appraised of what is and is not included in the price</p>	
Commercial considerations - using Blackpool Council Portal	Members are not to share software log in details with other members. This will be seen as collusion, and will be strictly dealt with through the disciplinary procedure. Members will receive pricing feedback via Blackpool Council in an anonymous way	
Commercial considerations with customers - Providing a quotation	<p>Blackpool Council will provide a portal for members which provides to a customer a quotation with the following items to which the Member must adhere:</p> <ul style="list-style-type: none"> an itemised list of the goods to be supplied; the price of goods and services to be supplied, shown separately, including the costs of any required safety checks and all taxes payable including VAT (at either 5% or 20%); an itemised list of all survey, design, installation and other services; items and services not included in the quotation, which the consumer will need to provide to complete the work, including permissions and approvals, any work needed to restore the property to its original state; site conditions and special circumstances beyond the control of the member which may result in extra chargeable work not covered by the quote, and hourly or daily rates which would apply in this situation; a timetable for supplying any goods and services for the property; business terms, including the payment method and timetable, how long the quote will be valid for and other conditions; completion dates for carrying out the work 	
Commercial considerations with customers - Providing a quotation	The quotation must be fully transparent to the services and goods on offer, with no hidden charges as the project progresses that should have been understood at quotation stage. This includes all ancillary works that are required to facilitate and finish off the work	

Title	Standard Requirements	Evidence
Commercial considerations with customers - Providing a quotation	Where a customer is expecting a certain saving on energy bills as a result of the work, this should be conveyed by an independent or at the least impartial organisation. It is important not to oversell goods and services based on overinflated potential savings. Where the estimate is based on some standard or 'average' premises, rather than being specific to the property, members must provide full details of the source of the assumptions that underpin the data	
Commercial considerations with customers - Providing a quotation	<p>Members will advise the consumer about any grants or other incentives available for the work and agree whose responsibility it is to apply for them.</p> <p>It is envisaged that Blackpool Council will provide staff that can support discussions with clients on this subject</p>	
Commercial considerations with customers - Providing a quotation	<p>Members who sign a contract with a consumer in the consumer's home must give the consumer the right to cancel without penalty for a period of 14 days. This is known as the cancellation period and must be given to the consumer on paper in the format as prescribed by the Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013.</p> <p>If the consumer wishes the work to begin within that 14-day period, their express permission must be sought. The consumer must also be made aware of what will happen then if they still wish to cancel within this 14-day period.</p> <p>To fail to notify the consumer of any of this constitutes a criminal offence and could result in prosecution. Members are strongly advised to contact their local authority Trading Standards services for advice on complying with these and any other relevant legislation</p>	
Commercial considerations with customers - Providing a quotation	Before the contract is signed, members must include certain required information on their contract. This information is required under the Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013 for 'off premises' contracts. The information, among other things must make reference to the consumer's 14-day right to cancel and must not be obscured or hidden in the small print. The contract must also include a cancellation form which will detail consumers' rights should they still wish to cancel work already commenced during the 14-day period. Members are strongly advised to refer to the Regulations or seek legal advice to ensure legal compliance	
Commercial considerations with customers - Formal acceptance by the client	<p>Work should not commence until both parties have signed the contract.</p> <p>Once an offer has been accepted by the customer, the member is under an obligation to carry out the work as stated in his offer, and the customer is under an obligation to pay for the work on satisfactory completion, subject to agreed arrangements for payments on account</p>	
Commercial considerations with customers - Formal acceptance by the client	Any invoice rendered by the member for interim payment on account shall represent no more than a reasonable valuation of the work done and materials delivered to the site up to the date of the invoice	

Title	Standard Requirements	Evidence
Commercial considerations with customers - Formal acceptance by the client	Develop a good working relationship with the client or their appointed representative. If you have any concerns about the work, discuss them with the client or their appointed representative as soon as possible	
Commercial considerations with customers - Dealing with variations	<p>Confirm verbally and in writing any changes to the work specified (variations or additional work) with details of any extra costs and obtain the client's authorisation in writing before any variations or additional work commence.</p> <p>The Blackpool Council portal will assist in these situations by ensuring all specifications are stored and shared and a mechanism for re-pricing is present</p>	
Commercial considerations with customers - Dealing with programme changes	Wherever practicable, the member shall state the expected dates for the start and completion of the work and keep the customer informed of any variation in these	
Commercial considerations with customers - the use of subcontractors	Members should not transfer or sub-contract their agreed responsibilities without first obtaining the written consent of the client	
Commercial considerations with customers - the use of subcontractors	Members agree to ensure that the customer is fully aware that a subcontractor is to be used. They must do so in advance and must communicate that all liabilities still rest with the Member, as well as insurances and guarantees etc.	
Commercial considerations with customers - snagging	<p>Agree a return date with the client to complete any defects or "snagging" which may have arisen during an agreed period within the contract.</p> <p>This can be managed through liaison with Blackpool Council</p>	
Commercial considerations with customers - suspending a service	Members should not evade their contractual obligations by abandoning a job without due reason or notice. Members should inform the client in writing of their intention to suspend, explain their reasons for doing so, and confirm whether or not the client has a licence to use any information, including drawings, specifications, calculations and other materials	
Collaborative working on site	All members should be aware of and consider the great opportunities that exist for other members and non-members on any retrofit project for improve safety, productivity and quality	
Processes and management of works	<p>Measure-Specific Design</p> <p>The installer shall not commence any installation without first having obtained a location-specific design specification for each measure to be installed, from the specifier</p>	

Title	Standard Requirements	Evidence
Processes and management of works	<p>A system for maintaining records – Blackpool Council will provide a facility to record the following:</p> <ul style="list-style-type: none"> Work location and address Actual commencement and completion date Surveys, designs, specifications and drawings Briefing records, scanned and uploaded Inspection records Test outcomes (if applicable) Commissioning records (if applicable) 	Agree to abide upon signature
Competence and supervision	<p>Keeping records - Keep training records/certificates of attendance. Keep records of induction training</p>	
Competence and supervision	<p>Allocating appropriate resources to works:</p> <p>The member must;</p> <ul style="list-style-type: none"> • Comply at all times with the surveillance requirements of any competent person scheme or relevant insurance backed guarantee scheme. • Point out when trainees are in use on site, via the method statement. • Ensure there is a minimum of one competent, carded operative to every four operatives on a site. • Provide all necessary tools and equipment including personal safety equipment in order to undertake the work safely, competently and in accordance with relevant regulatory requirements. • Withdraw an Operative from work where it is shown that an Operative no longer has the capability, intention or competence to undertake the installation of the system in the correct or safe manner. • Maintain a list of competent persons that are qualified to undertake each work item - the Blackpool Council Membership Register can be used for this 	
Competence and supervision	<p>Member shall specify a named individual "Nominee", whose responsibility shall be the control and overall supervision of all activities, which fall within the scope of the Scheme.</p> <p>The nominee has responsibility for the maintenance of the overall standards and quality of installation work undertaken by the member's organisation. It is their role to ensure that appropriate information for certification and other technical documentation is issued and that appropriate, suitably qualified Supervisors are assigned to the work and activities being assessed</p>	
Competence and supervision	<p>The members organisation must ensure that at least one person in the organisation should be a member of a recognised Competent Person Scheme in the eyes of DCLG for each of the key items of work that the organisations wishes to carry out.</p> <p>Where no CPS exists for the work item, the organisation will ensure that they use a common Generic Method Statement issued by Blackpool Council or if none is available, to comply with the rules on method statements herein</p>	Competency person scheme certificate for each work item

Title	Standard Requirements	Evidence
Competence and supervision	<ul style="list-style-type: none"> Oversee and inspect all personnel regularly and sufficiently to provide assurance of their continued competence and comply with the requirements of training within their competent person scheme or insurance scheme 	
Competence and supervision	Practitioner members who meet Blackpool Council membership entry requirements through the deemed to satisfy route by declaring existing Trade Association/Professional Institution or other certification/competence schemes, must inform Blackpool Council immediately if membership of any of these schemes is no longer applicable.	
Quality Management Systems	Have in place a maintained documented quality management system. If using a standard template provided by Blackpool Council, the member must take 100% ownership of it and keep it up to date	ISO9001 certificate demonstrates requirements
Quality Management Systems	The member shall have a system for ensuring all key documents are listed and controlled	ISO9001 certificate demonstrates requirements
Quality Management Systems	The member shall ensure that they have access to the latest editions of relevant external documents including any amendments	ISO9001 certificate demonstrates requirements Blackpool Council library will cover this when complete
Quality Management Systems	The member shall commit to carry out at least one internal audit for each of their work items per year. Records will be kept of each audit	ISO9001 certificate demonstrates requirements
Quality Management Systems	The member shall have procedures for corrective and preventive actions for problems and issues raised	ISO9001 certificate demonstrates requirements
Quality Management Systems	Members shall keep the following records: Internal audits Training records and competency checks Subcontract arrangements Equipment calibration checks Complaint records	ISO9001 certificate demonstrates requirements

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