



Sterling Accreditation Limited
Setting the Standard

Member Disciplinary Process

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1. Introduction

This process is to be read in conjunction with the Sterling Accreditation Code of Conduct document, the QA Auditing practices and procedures manual and the member complaints procedure..

The Disciplinary procedure is set out to provide a clear and effective process to deal with Energy Assessors who breach the duties and responsibilities of the Sterling Accreditation Scheme Standards.

An Initial evaluation of the issue is undertaken by a senior manager of Sterling Accreditation, who decides whether the infringement is to be treated as a minor or major infringement and depending on the decision, the following sections are applicable.

Energy Assessors who are deemed to be in breach of these standards will be referred to the Sterling Accreditation Disciplinary Committee as described in this document.

Sterling Accreditation reserves the right to refer a case to the Disciplinary Committee if there is a complaint by a third party, or suspicion of breach the terms and conditions of the scheme, by an Energy Assessor who is a Member of the Sterling Accreditation Scheme.

In the case of complaint being received from a customer about an Energy Assessor, the Sterling Accreditation Scheme Customer Complaint Policy is followed. Where the outcome of a complaint is deemed to be a breach of the Code of Conduct by the Energy Assessor, then the Sterling Accreditation Disciplinary procedure as outlined in this policy is then implemented.

2. Minor Infringement

When Sterling Accreditation considers an infringement to be a minor breach or considers some other minor breach of the Membership Terms to have occurred then the following process is followed:

1. An informal written warning is issued to the Energy Assessor identifying the breach and outlining what action is required to avoid future breaches
2. A formal written warning is issued if the Energy Assessor fails to comply with the informal written warning
3. If the Energy Assessor still fails to comply with the formal warning then the issues are dealt with as if it were a “major infringement” (as detailed below).

The rights of the Energy Assessor to appeal to such a warning are set out below.

3. Major Infringement

When Sterling Accreditation considers an infringement to be a major breach, or considers some other serious breach of the Membership Terms has occurred, then Sterling Accreditation takes one of the following actions depending upon the severity of the breach:



- Where a minor infringement has been escalated to become a serious infringement a further formal written warning is issued to the Energy Assessor identifying the breach and outlining what action is required to avoid future breaches. The matter is also referred to the Sterling Accreditation Disciplinary Committee
- Issue a formal written warning to the Energy Assessor identifying the breach and outlining what action is required to avoid future breaches. If the Energy Assessor fails to comply with the formal written warning then the matter will be referred to the Disciplinary Committee as set out below
- In a case of an extremely serious infringement, Sterling Accreditation reserves the right to refer the matter directly to the Disciplinary Committee, giving the Energy Assessor formal written notice of the reasons for doing so and suspending the Energy Assessors membership until the matter has been heard by the Disciplinary Committee.

4. Disciplinary Committee

The Sterling Accreditation Disciplinary committee will consist of three members of the Sterling auditing team , at least one of whom is a senior member and one who will be an accredited Energy Assessor qualified to the relevant strand to the enquiry.

The Sterling Accreditation Disciplinary Committee will convene to hear all matters within 14 business days of the matter being referred to it.

Full details of the allegations made against the Energy Assessor together with all relevant information presented to the Sterling Accreditation Disciplinary Committee is circulated at least seven business days prior to the date of the hearing. Such information includes:

- Specific details of the action which allegedly breaches the Code of Conduct or Membership Terms
- Appropriate evidence to support the allegation.

An Energy Assessor may be accompanied and/or represented at the hearing.

Each party is given an opportunity to present their position, cross-examine the other party and present witnesses or independent experts as either party considers appropriate.

All hearings have a secretary who will minute the hearing, but who will have no right to vote.

Decisions of the Disciplinary Committee are made by majority vote and subject to the Appeal Procedure shall be binding on the parties.

Within 7 business days of the hearing, Sterling Accreditation formally communicates the decision of the Disciplinary Committee in writing to the Energy Assessor. The decision states:

- Confirmation of whether or not there have been any breaches of the Code of Conduct or the Membership Terms
- Any sanction to be imposed on the Member including suspension, striking-off of



membership or retraining as required

A copy of the Minutes of the hearing is also provided.

Likely decisions to be made by the Disciplinary Committee are:

- Insufficient information – further information requested
- Complaint not upheld - no further action to be taken
- Complaint partially upheld - corrective action to be taken as identified
- Complaint fully upheld - corrective action is undertaken as required.

If the Committee's decision is that the complaint is partially or fully upheld, this could involve the Energy Assessor:

- undertaking retraining in software / particular aspects of professional competence
- being suspended by Sterling Accreditation pending further training / assessments
- having a full revocation of Accreditation and other Accreditation Schemes and the National Register being informed.

If the Scheme Member wishes to appeal against one or more elements of the Sterling Accreditation Disciplinary Committee's hearing; or Sterling Accreditation's decision under the Infringement Procedure they may, within 28 days of that decision seek to appeal any such decision by giving written notice that they wish to refer the matter to the Sterling Accreditation independent Appeals Committee and to state the reasons for the appeal and providing any relevant documentation on the Sterling member appeals form (See Sterling Accreditation member appeal process SQAD 7.1).