

## **Register of Professional Energy Consultants Code of Professional Conduct**

As a Consultant on the Register of Professional Energy Consultants, you are personally accountable for your actions to your clients.

You must:

- Obtain consent and signature before you start fee-paying work on their behalf.
- Protect confidential information received through the course of your working relationship with the client.
- Recognise the value of other consultants' work in a professional manner at all times and work with other consultants in the client's best interests. A consultant must not advise a client in any case which exceeds his capacity, training and competence.
- Maintain your professional knowledge and competence on a continuous basis so that you may offer the very best standard of consultancy, whilst assisting others to develop.
- Be trustworthy and not exploit the client. Declare conflicts of interest in writing.
- Act to identify and minimise risk in writing to the clients.
- Reject bribery, avoid deceptive acts, take steps to prevent corruptive practices or professional misconduct, and make positive efforts to ensure others also do likewise.
- Act at all times honourably, responsibly and lawfully and uphold the reputation, standing and dignity of the profession.

In order to facilitate the advancement of Energy Consultancy by preserving the respect in which the community holds persons who are engaged in the profession of Energy Consultancy, every member of the Register shall, for as long as he continues to be a Registered Consultant, comply with the Code of Professional Conduct sections 1 to 3 below.

### **SECTION 1: Purpose of the Code of Professional Conduct**

1.1 The Code is intended to:

- Inform registered consultants of the high standards of professional conduct and practice to which they are required to adhere and give advice in relation to their consultancy.
- Inform the client of the standard of professional conduct and practice they can expect of a registered consultant.

Consultants are personally responsible for their actions. This means they are answerable for their actions and omissions. Consultants have a duty of care to clients, who are entitled to receive correct advice and they are bound by the laws of the United Kingdom or other countries in which they are consulting.

1.2 Scope of the Code

The Code sets expected standards. It is not an exhaustive set of rules. The Code deals with the conduct of consultants.

### 1.3 Points of fact

The Registered Consultant must remain in charge of the client's advice and will be accountable for the advice offered. The consultant retains ultimate responsibility for the management of the client throughout. An individual who does not possess the necessary qualifications could clearly not purport to consult and advise in areas where they are neither professionally trained nor up to date.

## **SECTION 2: Conduct of a Registered Consultant in their dealings with clients**

### ***2.1 The interest of the client is paramount***

The relationship between consultant and their clients is based on trust and on the principle that the correct advice to the client is paramount. Consultants must take care to observe this trust and principle whilst being aware of their professional knowledge in the field they are advising on. Record keeping should be legible, attributable and kept together with any correspondence relevant to the project completed.

### ***2.2 Honesty with regard to investigations and advice***

The recorded history must be an accurate record of attendance, advice, observations and a record of client consent where appropriate. They should be considered to be admissible as evidence in a Court of Law.

### ***2.3 Acceptance of responsibility for the work completed on behalf of clients***

Registered Consultants shall be free to choose whom they shall accept as clients. On accepting a client, Consultants who work together in any capacity in the same practice, are advised to provide the client with written confirmation of:

- The name and status of the person responsible for the client's agreed contract.
- The person responsible for supervising the client's overall contract of work if this is different from the above.
- The person to approach in the event of any problem with any contract if this is not the above.
- Any conflicts of interest which should be declared in writing.

It shall also give written notification of any change, whenever practicable before it occurs, or if that is not possible, as soon as reasonably practicable afterwards.

### ***2.4 Guidance when unable to help***

In any case where a consultant discovers that the client requires advice which is outside the consultant's scope of competency, the consultant shall advise the client of this. An alternative consultant should be used who has the relevant experience for this work. The consultant should agree this approach in writing with the client. The advice must be recorded for the consultant's protection.

### ***2.5 Reports on behalf of third parties***

Before a consultant prepares a report on behalf of a third party, such as an employer or insurance company, barrister or lawyer the consultant shall obtain the client's consent in writing to the release of information to the third party and shall ensure at the outset that the client is aware of the purpose of the report and of the obligation which the consultant has towards the third party.

### ***2.6 Notification of fees***

Registered consultants shall ensure that details of their fees and all payments to be received are made known to clients by way of notice in writing before liability for payment is incurred.

### ***2.7 Commercial transactions***

Consultants who supply to a client goods of any description shall ensure that such goods are likely to be beneficial to the client.

### ***2.8 Environmental sustainability***

The work undertaken by consultants should be setting high standards to minimise environmental impact for the client and the local community. An up-to-date knowledge of current regulations and impending changes is an essential part of what Consultants are expected to know.

### ***2.9 Registered Consultants' obligations***

- Notify the Register if convicted of a criminal offence or upon becoming bankrupt or disqualified as a Company Director.
- Notify the Register of any significant violation of the Register's Code of Professional Conduct by another Registered Consultant.
- Consultants must hold and maintain professional indemnity insurance of £250,000. This must be maintained for two years following leaving the Register or retiring or changing profession if work has been completed which is covered by this insurance. Current certificates of insurance are to be submitted on application to the Register and at each annual renewal.
- Avoid preventable risk and danger by complying with all applicable Health and Safety regulations.

### ***2.10 Complaints and claims by clients***

Registered Consultants shall deal promptly and fairly with any complaint or claim made against them by a client. In particular, they shall establish within their consultancies and make known to their client a formal complaints procedure, and shall notify clients of their right to refer to the Register of Professional Energy Consultants any complaint unresolved by internal means of resolution.

Where a client wishes to make a complaint against a Registered Consultant, the consultant shall give to the client such assistance as is reasonable in the circumstances.

Where a Registered Consultant wishes to make a complaint against another Registered Consultant the consultant shall approach the Register directly in writing to the address below.

Following a complaint being received by the Register a consultant will be appointed to speak to and, if necessary, meet with the client with a view to resolving the outstanding issues to the originally agreed specification agreed with the consultant until the work is completed, this being at no additional cost to the client. Registered Consultants about whom a complaint is received should be prepared to work with any appointed consultants in supporting the correction of faults.

The EI reserves the right to suspend a consultant from the Register pending investigation on receipt of a formal complaint on a matter within the scope of this Code, or in any matter which it believes may otherwise bring the Register into disrepute.

### **SECTION 3: Dealing with allegations of improper conduct**

3.1 In the Code of Professional Conduct “improper conduct” shall mean a failure to comply with all sections above of the Code or the making of any false representation when applying for membership of the Register or any act or omission which shall have rendered the member unfit to remain a Registered Consultant or shall be injurious to the Register.

3.2 The Disciplinary and Appeals procedure is available from the Energy Institute.

Register of Professional Energy Consultants  
Energy Institute  
61 New Cavendish Street  
London  
W1G 7AR  
t: +44 (0)20 7467 7100 (switchboard)  
e: [register@energyinst.org](mailto:register@energyinst.org)  
w: <https://www.energyinst.org/industry/rpec>