



Title:	DPI Competency Register Terms and Conditions		
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Revision History

[illegible]



Terms & Conditions v1.1

Documents to be read in conjunction with this document:

- *The DPI Competency Register Code of Conduct*
- *DPI Competency Register Membership Agreement*
- *DPI Register Complaints, Disciplinary and Appeals Procedure*
- *DPI Competency Register Pricing Terms and Conditions.*

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DPI COMPETENCY REGISTER – TERMS & CONDITIONS

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Part One – Register Rules

This document, along with the DPI Competency Register Code of Conduct, sets out the terms of the DPI competency Register powered by Quidos (to be known as “**QAS**”).

1. Competent Member Registration

1.1.1. To apply to become a member of the QAS DPI Competency Register, the following information will be available from the QAS website:

1.1.2. How to Apply for Membership and what it entails

1.1.3. DPI competency Register Code of Conduct

1.1.4. DPI Competency Register Terms and Conditions

1.1.5. DPI Competency Register Pricing Terms and Conditions

1.1.6. The Complaints, Disciplinary & Appeals Procedure

1.2. The QAS website will collate the following data in line with GDPR:

1.2.1. the Application Form, via an online form

1.3. The applicant will submit the following information to the QAS:

1.3.1. copy of the membership signatory page

1.3.2. A copy of the member details page of their Passport or a copy of photo-card/ paper counterpart of their current driving licence

1.3.3. Evidence of Address

1.3.4. Details of their DPI competency qualification

1.3.5. the DPI competency Complaints Procedure

1.3.6. Full payment arrangements (Direct Debit)

1.3.7. Evidence of insurance cover

2. Preliminary Checking of Applications Received

Upon receipt of an application, the preliminary checks detailed below will be carried out:

- 2.1. Check that all required documentation has been received, completed correctly, and all relevant agreements are signed. The application will not proceed until full documentation has been received.
- 2.2. Check that the applicant holds the relevant qualification and/or is experienced enough to operate as a full DPI Competent member, see Section 5.

3. Checking on Applicants Suitability

- 3.1. Applicants must provide a signed declaration that their DPI competency operations will be covered by a customer complaints policy that meets the standards set out in Section 8.
- 3.2. Provided the registration has been successfully completed, the applicant will be sent a Membership confirmation containing:
 - Certificate of membership via email
- 3.3. Upon despatch of the Membership confirmation the new member will be formally entered on the Register of DPI competent assessors on the Quidos website.

4. QAS Records kept on Members

All details and documentation relating to every applicant will be entered onto the QAS management system, regardless of the final outcome. General Data Protection Regulation (GDPR) (EU) 2016/679 – QAS is regulated under GDPR (as registered members of the Information Commissioners Office) and undertakes to process members and applicants' data in accordance with the legal requirements of the Act. The data from the member or applicant will be used as stated upon entry and not disclosed to any third parties, other than when we are required to or permitted to by law, or when the EA has given consent.

The information recorded on the database will include, but is not restricted to, the following:

- 4.1. Name (and previous names)
- 4.2. Date of Birth
- 4.3. Nationality (and for Non EU members, details of Work Permit)
- 4.4. Unique Membership number
- 4.5. Qualification Type and date of qualification
- 4.6. Contact details
- 4.7. Date of application
- 4.8. Copy of current DBS check certificate
- 4.9. Signed Membership Agreement
- 4.10. Current status of application
- 4.11. Membership Status
- 4.12. Employer, if any

Additionally, the QAS will maintain an online public register whose information can be viewed at any time. This information is limited to the name, number, and status of

membership of the DPI competent member. A telephone 'customer service' number will also be publicised for the public seeking to engage a DPI competent member.

5. DPI competency qualification

The QAS will check that the relevant qualification and experience is valid. The qualification must satisfy the DPI competency register's requirements.

6. Maintaining DPI competency Membership

6.1. Changes effecting eligibility

Following any changes to the DPI competent member circumstances, DPI competent member is required to submit a disclosure statement, within which they are required, as a condition of their membership, to disclose any change in status which could affect their eligibility.

The QAS will take into account DPI competent member performance, as determined by its monitoring processes to evaluate if the change in circumstances will affect the DPI competent member eligibility.

If a DPI competent member is declared as Inactive, Suspended or Struck Off by the QAS, then the reason for this status change must be given in writing to the member.

6.2. Cancellations

If a member cancels his membership with the QAS for any reason, the Membership fee will not be refunded.

7. DPI competency Compliance

7.1 By signing the Membership Agreement, and agreeing to comply with this DPI competency Register Code of Conduct and Terms & Conditions, the applicant has undertaken to:

- Read and understand the published Code of Conduct
- Read and understand any specific requirements defined by the QAS
- Have the appropriate internal procedures in place to ensure Customer protection

All the relevant literature will be available on the QAS website.

7.2 The QAS will operate a number of audits to ensure that members abide by its rules and so ensure customer protection:

7.3 The QAS will ensure that its members:

- Continue to maintain satisfactory complaints procedures.

7.3.1 If the DPI competent member is not an active member of QAS at the time the transgression is exposed, charges may be applied to undertake the additional checks required to resolve the matter. A DPI competent member may be categorised as not an active member if he/she is prevented from using the DPI competency register. For example, in the occurrence the DPI competent member is suspended or

struck off from QAS or a lapsed membership. These charges will be applied at the discretion of the QAS team.

7.3.2 Surveillance audit in line with DPI competency Standards.

7.4 The QAS will keep records of all monitoring activities so that accurate statistics can be derived from these.

8 Handling Customer Complaints

- 8.1 The QAS requires, that all members should operate an appropriate customer complaint policy.
- 8.2 This policy should be based upon a process of escalation, commencing with attempts to resolve the issue at DPI competent member or DPI competent member employer level, then escalation to the QAS.
- 8.3 The total process should not impose any form of cost on the complainant. Overall complaints related costs should be borne by the DPI competent member or the DPI competent member Employer unless taken to appeal.
- 8.4 The DPI competent member or the DPI competent member Employer must keep full and accurate records of all Customer complaints.
- 8.5 When a customer complaint is received, and properly recorded, the DPI competent member or the DPI competent member Employer should formally notify the complainant of their rights under the customer complaints policy. The policy must make it clear that it does not in any way prevent a complainant from following their normal recourse to Law.
- 8.6 The DPI competent member or the DPI competent member Employer must take all possible actions to resolve the customer's complaint.
- 8.7 Upon escalation, the QAS will review all of the facts related to the complaint. Further clarification may be requested from the various parties. The QAS will make it clear to the customer that these deliberations do not in any way prevent or obstruct their recourse to Law.
- 8.8 If a customer complaint is received directly by the QAS, the relevant DPI competent member / DPI competent member Employer will be notified immediately, and the complaint will be passed to them for resolution. The only exception to this process is if the complaint concerns a possible criminal offence, in which case the QAS will notify the Police.
- 8.9 In the event that the DPI competent member or the DPI competent member Employer receives a customer complaint about the QAS itself, this should be fully recorded as to the nature and circumstance. In this instance, and that where the QAS is notified of the same sort of complaint, directly by the complainant, acknowledgement will be made, in writing, within 5 working days.

If the complaint cannot be resolved by the QAS, the Customer is to be referred to an independent third-party panel who will assess the complaint and provide an outcome.

The independent third-party panel will be responsible for providing an independent review and decision to any complaints and/or disciplinary procedures and any appeal made.

9 Disciplinary Processes

9.1 Disciplinary Processes resulting from Monitoring Procedures

- 9.1.1 The QAS has monitoring procedures in place that provide checks that all registered members are carrying out their activities in accordance with defined performance criteria.
- 9.1.2 If the DPI competent member is found to be in breach of these defined performance criteria, the duties as defined by the QAS, or found to be acting outside the Inspecting and Reporting Requirements, the infringement will be reviewed by the QAS.
- 9.1.3 In instances of minor infringement, the QAS will issue a written informal warning containing clear instruction on how the codes have been breached, and what action is required to avoid future breaches. This being designed to prevent the matter developing into a serious infringement.
- 9.1.4 In instances of serious infringement, the QAS will inform the DPI competent member of all actions to be taken, which may include suspension/strike off of the DPI competent member account whilst the infringement is considered further.
- 9.1.5 Following consideration, the QAS will take one of the following actions, depending on the background and severity of the infringement:
 - 9.1.5.1 In the case of a minor infringement that becomes a serious infringement, issue a formal warning containing clear instructions on how the codes have been breached.

9.2 Disciplinary Process as a result of a Customer Complaint

In the event that the QAS itself receives a complaint from a customer the DPI complaints process will be followed. Where a complaint against a DPI competent member is subsequently confirmed to be a breach of the defined performance criteria, then the disciplinary processes described above will be implemented.

9.3 Appeals Procedure

- 9.3.1 In the instance where DPI competent member have been warned by the QAS for minor infringements, (see Section 9.1.3), and where they do not accept the warning and wish to appeal, they should place, in writing, the full details related to the matter, including the reasons for their appeal, and send this to the QAS. The Register will review the matter, and either confirm or modify its warning. This review is final, but does not prevent the DPI competent member from proceeding to Law.

The QAS's Independent Third-Party Panel will review the matter and will formally advise the DPI competent member of the findings. These findings are final but do not prevent the DPI competent member from proceeding to Law.

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The Appeals Process is not designed to detract from the rights of a DPI competent member under Human Rights Legislation, or other Legal Statutes.

10 Membership Appeals

DPI competent people have the right to appeal against disciplinary sanctions involving suspension or withdrawal of membership. In this instance the DPI competent member should follow Quidos Complaints, Disciplinary and Appeals procedure. Any findings are final but do not prevent the EA from proceeding to Law.

The Appeals Processes is not designed to detract from the rights of a DPI competent member under Human Rights Legislation, or other Legal Statutes.

11 Insurance for DPI competent member

A DPI competent member will need to provide to Qidos Professional Indemnity Insurance (PI) and Public Liability Insurance (PL) and other insurance cover (if necessary).

11.1 Professional Indemnity Insurance (PI):

- 11.1.1 Minimum cover of £100,000.
- 11.1.2 Must be current and in date.
- 11.1.3 A copy of the certificate must be provided showing the policy holder name, level of cover and expiry date.

11.2 Public Liability Insurance (PL):

- 11.2.1 Minimum cover of £1,000,000.
- 11.2.2 Must be current and in date.
- 11.2.3 A copy of the certificate must be provided showing the policy holder name, level of cover and expiry date.

11.3 Both policies must remain in date through out membership as a DPI competent member.

12 Governance

The QAS follows governance standards to ensure that it registers DPI competent member in accordance with relevant legislation, and without any conflict of interest with any DPI competent panel it may run, or with any subsidiaries or associated joint ventures.

QAS will co-operate with any authorised officer of an enforcement authority making enquiries of the register for the purposes of carrying out the authority's duties under the legislation.