



RISE

Retrofit information,
support & expertise

How to manage quality assurance and audit compliance

Supply chain advice pack

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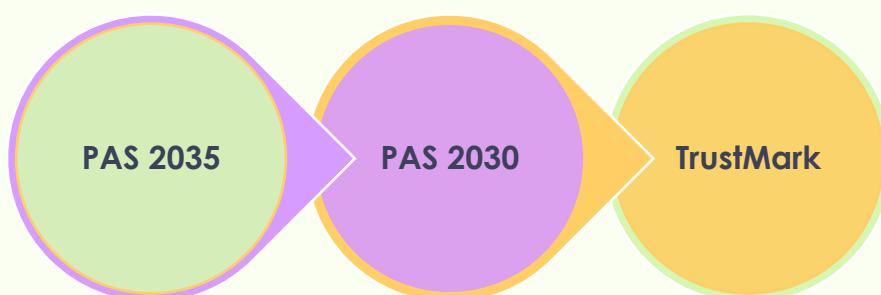
Introduction

Quality assurance (QA) and audit compliance are critical components of successful retrofit delivery. They help ensure that work is completed to the required standards, funding conditions are met, and residents receive high-quality, safe and effective retrofit measures.

For organisations seeking to work within government-funded programmes such as ECO4, Warm Homes: Local Grant and Warm Homes: Social Housing Fund, robust quality assurance processes are not optional. Evidence, documentation and compliance records must demonstrate that retrofit measures have been designed, installed and managed in accordance with standards such as PAS 2035, PAS 2030 and TrustMark requirements.

This guide provides a practical step-by-step approach to managing quality assurance and audit compliance throughout the retrofit delivery process.

Readers that would like this document in a more accessible format should contact rise@turntown.co.uk.



Step 1: Standards, accreditations and assurance requirements

Before delivering retrofit work, organisations must understand the quality standards, accreditations and compliance requirements that apply to the measures they are installing. These requirements are designed to ensure that retrofit projects deliver safe, high-quality outcomes for residents and represent good value for public funding.

Many retrofit projects are delivered under government-funded schemes, where compliance with standards such as PAS 2035, PAS 2030 and TrustMark is mandatory. Failure to understand these requirements can lead to installation defects, failed audits, rejected funding claims and reputational damage.¹

¹ [PAS 2035:2023 | 31 Aug 2024 | BSI Knowledge](#)

Key standards and schemes

1. **PAS 2035** sets out the framework for assessing, designing, managing and evaluating domestic retrofit projects using a whole-house approach.
2. **PAS 2030** specifies the requirements for the installation, process management and quality assurance of energy efficiency and retrofit measures.
3. **TrustMark** provides the quality assurance framework for government-funded domestic retrofit and requires evidence to be lodged within its Data Warehouse.

***Scheme-specific requirements may also apply depending on the funding route being used.*

What organisations should understand

Understanding these requirements at the outset reduces the risk of non-compliance, failed audits and rejected funding claims later in the project. Before starting work, organisations should establish:

- Which standards apply to the measures they deliver.
- What evidence must be collected throughout the project lifecycle.
- Who is responsible for maintaining compliance.
- How audits are conducted and what information auditors typically request.
- Any specific requirements imposed by clients, accreditation bodies or funding schemes.

Taking time to understand requirements from the outset helps **prevent problems later in the project** and creates a **solid foundation** for quality assurance activities.

Step 2: Define roles and responsibilities

One of the most common causes of compliance issues is uncertainty about responsibility. Many audit findings occur not because evidence does not exist, but because nobody has been formally assigned responsibility for collecting, reviewing or storing it.

Quality assurance should therefore be treated as a shared responsibility across the organisation, with clearly defined ownership for every stage of the retrofit process.

Organisational responsibilities

Each organisation should establish who is responsible for:

- Quality management and oversight
- Audit preparation
- Evidence collection
- Document control
- Corrective actions following audits

- Compliance with funding requirements

Individual responsibilities

Personnel involved in retrofit delivery should understand their specific responsibilities, including:

- Retrofit Coordinators
- Retrofit Assessors
- Retrofit Designers
- Installers
- Project Managers
- Administration and compliance teams

Clear accountability helps ensure that **evidence is collected consistently** and that issues can be **addressed quickly** when identified.



Step 3: Compliance requirements when working as a subcontractor

Many organisations operate as **subcontractors within larger delivery chains**.

Where another organisation holds the primary accreditation, certification or funding contract, subcontractors must understand:

- Which quality management system applies
- Required installation procedures
- Evidence collection expectations
- Reporting requirements
- Non-conformance management procedures
- Audit participation responsibilities

Subcontractors remain accountable for the quality and compliance of their work, regardless of which organisation holds the primary accreditation or funding agreement.

Failure to follow the lead contractor's procedures can result in **rejected evidence**, **failed audits** and **delays in payment**.

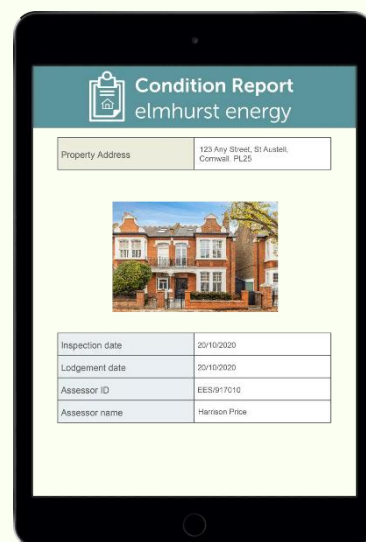
Step 4: Start collecting evidence early

One of the most common compliance issues occurs when evidence gathering is left until project completion.

Evidence should be collected throughout delivery

This may include:

- Property assessments
- Surveys
- Design documents
- Risk assessments
- Resident communications
- Consent forms
- Installation records
- Product specifications
- Commissioning documentation
- Before, during and after photographs



Source: Harpr.

TrustMark and funding audits routinely require evidence that **demonstrates the entire retrofit journey**, not just the completed installation.² A good rule is simple: if an activity takes place, **create a record of it** when it happens.

Step 5: Document management systems

Effective document management is one of the foundations of successful quality assurance and audit compliance, ensuring that the right information is available, accurate, traceable and accessible throughout the lifecycle of a retrofit project.

Key Principles

- Use consistent folder structures.
- Agree standard file naming conventions.
- Store documents securely.
- Maintain version control.
- Restrict editing permissions where appropriate.
- Ensure documents can be easily retrieved during audits.

² [TrustMark Data Warehouse • TrustMark](#)

Poor document management often leads to missing evidence, duplicated records and increased audit preparation time.

A structured system **allows organisations to respond quickly** when auditors request information.

Step 6: Build project evidence folders

Maintaining well-organised evidence folders throughout project delivery is one of the most effective ways to support quality assurance and audit compliance.

Folder category	Typical documents
Assessment and design	Surveys, retrofit assessments, designs
Installation	Photos, product information, installation records
Resident information	Consents, communications, complaints
Compliance and audit	Audit reports, corrective actions, TrustMark Submissions

Rather than attempting to gather documentation at the end of a project, organisations should establish project-specific evidence folders from the outset and update them as work progresses. The specific evidence required will vary depending on the funding route, measures installed and delivery model, but the categories below are commonly required across retrofit projects.

Evidence and continuous performance improvement

By keeping evidence organised under clearly defined categories, organisations can improve traceability, demonstrate compliance with relevant standards and provide a transparent record of project activities.

Well-maintained evidence folders also support knowledge sharing, continuous improvement and efficient project handovers, helping to ensure that quality assurance becomes an integrated part of delivery rather than an administrative exercise completed at the end of the project.

Step 7: Internal quality checks pre-audit

Audit compliance should not begin when an auditor arrives. Instead, organisations should build routine quality checks into their processes.

Internal audit checklist

Before submission or external audit, verify that:

1. All required documents are present.
2. Documentation is signed where necessary.

3. Required photographs have been captured.
4. Product details match installed measures.
5. Installation dates are consistent.
6. Correct versions of documents have been uploaded.
7. Required certifications are available.
8. Funding scheme requirements have been met.

Regular internal audits help **identify issues early** and create opportunities for **continuous improvement**.

Managing non-conformances

Where errors are identified:

1. Record the issue.
2. Investigate the root cause.
3. Implement corrective actions.
4. Monitor effectiveness.
5. Update procedures where necessary.

A proactive approach **demonstrates maturity** and strengthens **future audit performance**.

Step 8: Remember the resident throughout the process

Quality assurance is ultimately about delivering better outcomes for residents rather than simply passing audits.

Retrofit projects should maintain a strong focus on:

- Clear communication
- Resident safety
- Appropriate consent
- Minimising disruption
- Effective complaint handling
- Delivering expected performance improvements



Source: ECO Approach.

PAS 2035 was developed partly in response to historic concerns regarding poor-quality retrofit delivery and places significant emphasis on protecting householders and ensuring appropriate project oversight.

Organisations that prioritise resident experience alongside compliance are more likely to **achieve successful project outcomes** and **maintain a strong reputation** within the retrofit sector.³

Summary

Managing quality assurance and audit compliance requires planning, consistency and strong record keeping. Successful organisations understand applicable standards, assign clear responsibilities, collect evidence from the outset, maintain robust document management systems and carry out regular internal reviews.

Key actions for success

1. Understand standards, accreditations, and funding requirements that apply.
2. Clearly define organisational and individual responsibilities for compliance.
3. Begin evidence collection from the start of the project.
4. Maintain structured document management and evidence folders.
5. Carry out regular internal quality checks and audit reviews.
6. Address non-conformances promptly and implement corrective actions.
7. Keep residents at the centre of the delivery process.

By embedding quality assurance into everyday delivery rather than treating it as an end-of-project activity, organisations can reduce compliance risks, improve audit outcomes and provide better retrofit services for residents.

Resources

	Podcast: All RISE podcasts are available here .	
	Masterclass: All RISE masterclasses are available here .	
	Advice pack: All RISE advice packs available here .	
	Toolkit: "Property and Household Data Sources" available (here).	

³ [PAS 2035 Guide - Retrofit Academy](#)

This pack aims to share insights, good practices, and lessons learned from the sector. It is intended for informational purposes only and does not constitute as recommendations or endorsements of specific suppliers, products, or services or as legal advice. Please always check the latest regulations.



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