



RISE

Retrofit information,
support & expertise

How to become compliant for retrofit delivery

Supply chain advice pack

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www.riseretrofit.org.uk



Introduction

To deliver retrofit compliantly organisations must have the right people, processes, and quality controls in place. This means working to the required standards and following industry frameworks such as PAS 2035 and Trustmark, maintaining accurate records, and carrying out accurate quality checks throughout delivery.

Step 1: Understand compliance responsibilities

To deliver retrofit projects compliantly, organisations should understand the standards, regulations, contractual obligations, and funding requirements that apply to project delivery:

- Maintain the required certifications
- Meet applicable Building Regulations
- Fulfil Trustmark requirements
- Keep accurate records
- Work collaboratively with partners

Step 2: Maintain the right accreditations and certifications

Organisations should understand the quality standards, accreditations and compliance requirements relevant to the services that are being delivered.

Many retrofit projects are delivered under government funding where compliance with PAS2035/PAS2030, and Trustmark is mandatory.

PAS2030 - Specifies the requirements for installation, process management and quality assurance of retrofit efficiency measures.

PAS 20235 - Outlines the framework and methodology for assessing, designing and managing domestic retrofit projects.

Trustmark- Provides the quality assurance framework for government funded retrofit projects requiring evidence to be logged within its data warehouse.

Step 3: Compliance process

Following a clear compliance process helps to ensure that works align with project requirements, quality standards. A compliance process provides a structured approach to identifying requirements, implementing controls, monitoring delivery, and maintaining evidence. In practice, this typically involves identifying standards and obligations, translating them into procedures and checklists, assigning responsibilities, and carrying out regular reviews to confirm compliance is being maintained. Any issues or non-compliances should be recorded, addressed, and tracked to resolution, creating a clear audit trail throughout project delivery.

To maintain compliance throughout delivery, the following should be applied:

- Map the rules and scope to identify all applicable requirements, standards, funding conditions, and contractual obligations.
- Write simple procedures to clearly set out how compliance requirements will be met, monitored, and evidenced, including required documentation and approval processes.
- Build checklists to support consistent delivery and provide assurance that requirements are being addressed at key stages of the project.
- Assign clear responsibilities so everyone understands their role in maintaining compliance throughout the project, including ownership of compliance activities, reviews, and record keeping.

Step 4: Managing customer data and GDPR

During retrofit delivery, organisations may need to collect resident information to assess properties, coordinate works and evidence outcomes. Any personal data must be managed in line with GDPR requirements. Actions organisations should take when managing data:

- Collect – Only obtain the details required for the project.
- Store – Keep data only for the time that it is required, purge data on a regular basis and once the project has concluded.
- Share – Restrict data access; be clear at the beginning of the project that data may be shared and with who.
- Protect – Train the project team on data security, and privacy rules. Have a breach plan in place.

Step 5: Keep accurate records and evidence

Organisations should collect and maintain evidence throughout project delivery and retain records for a minimum of 15 years after project completion, for projects aligned with PAS 2035 and Trustmark-approved retrofit projects, or longer where required by funding or contractual warranty obligations. Records should also support project handover. Allowing asset managers and residents to access information on installed measures, warranties and maintenance requirements. Key records may include:

- Installer and product Certificates
- Surveys
- Design documents
- Risk assessments
- Resident communications
- Consent forms
- Installation records
- Product specifications
- Handover information
- User guidance for residents

Step 6: Having a competent workforce

Organisations should ensure everyone involved in delivery has the skills, knowledge and qualifications required for their role. Organisations should also maintain competence records for all staff involved in retrofit delivery. This may include training records, qualifications, certifications, CPD activities, toolbox talks, competency assessments, skills matrices and records of role-specific authorisations.

Keeping an up-to-date training and competence register helps demonstrate that individuals are suitably qualified for their responsibilities, supports audit requirements and provides evidence that workforce competence is being actively monitored, maintained and reviewed.

Staying compliant during installation and delivery

Effective on-site compliance helps ensure work is delivered in accordance with approved requirements.

- Follow approved designs, specifications, and procedures.
- Manage and document changes through approved control processes.
- Undertake site inspections, audits, and quality assurance checks.
- Maintain accurate records to evidence compliance.

- Identify and address non-conformances and corrective actions promptly.
- Escalate issues early to prevent impacts on quality, safety, or delivery.
- Maintain records of inspections, audits, issue logs, risk registers and corrective actions to demonstrate competence in identifying, escalating and resolving issues.

Step 7: Prepare for audits and compliance checks

To ensure audit readiness, organisations should embed compliance checks in their day-to-day operations. Routine quality checks help ensure requirements are met and reduce the risk of issues during external audits.

Before submission or an audit, verify that:

- All required documents are complete and available.
- Documentation has been signed where required.
- Required photographs have been captured and retained.
- Product details accurately match installed measures.
- Installation dates are consistent across records.
- The correct versions of documents have been uploaded.
- Relevant certifications are in place and accessible.
- Funding scheme requirements have been met.

Regular internal audits can help identify issues early, improve data quality, and support continuous improvement.

Managing non-conformances

When non-conformances or errors are identified, organisations should follow a structured process to support effective resolution:

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

Taking a proactive approach to non-conformance management strengthens audit performance, supports continuous improvement and helps prevent recurring issues

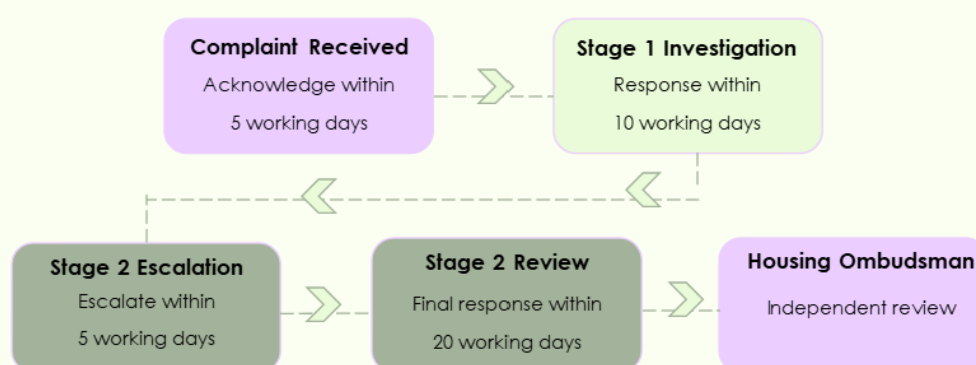
Step 8: Dealing with complaints effectively

To resolve concerns quickly and prevent escalation, organisations should have a clear and accessible complaints process in place. Before works begin, residents should be provided with information on how to raise concerns, provide feedback or make a complaint, including points of contact and escalation routes.

Consider:

- Does your existing complaints process cover retrofit activities?
- Are roles, responsibilities, and escalation routes clearly defined?
- Are complaint response times communicated to residents?
- Is learning from complaints used to improve future delivery?

The diagram below provides an example complaints escalation process and timescales.



Step 9: Build long-term relationships

To strengthen future opportunities within the retrofit supply chain, organisations should focus on consistent compliance, quality delivery and continuous improvement. Demonstrating reliability, addressing issues proactively and learning from feedback can help build trust, enhance reputation and support long-term partnerships.

Resources



Podcast: All RISE podcasts are available [here](#).

Podcast: "navigating retrofit with data with Knauf" available [here](#).



Masterclass: All RISE masterclasses are available [here](#).

Masterclass: "Data: getting it right" available [here](#).



Advice pack: All RISE advice packs available [here](#).

Toolkit: "Property and Household Data Sources" available [here](#).



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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