



TRUSTMARK
Government Endorsed Quality



TrustMark Sanctions & Appeals

Policy

Version 1.0

November 2025

trustmark.org.uk

TrustMark [2005] Ltd Sanctions Policy

Introduction

TrustMark, as the only government endorsed quality scheme, is committed to maintaining the highest standards of quality and compliance within its network of Scheme Providers and those businesses and individuals registered with the Scheme.

This Sanctions Policy outlines the actions that TrustMark may take in response to suspected and confirmed non-compliance to ensure quality and protect consumers, including safeguarding against the risk of poor-quality services or work and consumer detriment.

Purpose

The Purpose of this document is to protect consumers and uphold the integrity of the TrustMark [2005] Ltd (TrustMark) scheme.

All Scheme Providers, Registered Businesses and Registered Individuals must comply with the *Framework Operating Requirements (FOR) (including Annexes A and B)* in accordance with individual sub-contract agreements between the relevant parties.

Under the terms of their sub licence (Operator Licence Agreement), a Scheme Provider must take appropriate and proportionate enforcement actions, including sanctions where necessary, to ensure compliance with *Framework Operating Requirements (FOR) (including Annexes A and B)* and associated standards.

This policy sets out the sanctions that TrustMark may apply to a Scheme Provider should they fail to meet those obligations, and actions TrustMark may request that a Scheme Provider take against a Registered Business or Registered Individual where there is evidence of non-compliance.

The structure follows a clear approach to ensure accountability, transparency, and consistency.

Definitions

Suspension or suspended	<p>A temporary removal of the rights and privileges associated with being a TrustMark Scheme Provider or Registered Business. During suspension, the entity is prohibited from promoting itself as TrustMark-registered, lodging work in the Data Warehouse, or participating in government-endorsed schemes. Suspension remains in effect until specified conditions or corrective actions are met to TrustMark's satisfaction, or until a final decision on reinstatement or removal is made under the sanctions and compliance process.</p>
Withdrawn (Scheme Provider)	<p>The formal and permanent termination of a TrustMark Sub-Licence Agreement, typically following a period of suspension during which the Scheme Provider failed to meet the required corrective actions or compliance standards. Once withdrawn, all rights to operate as a TrustMark Scheme Provider are revoked, including use of the TrustMark brand, access to the Data Warehouse, and authority to register or manage TrustMark Registered Businesses.</p>
Withdrawn, Deregistered or Deregistration (Registered Business or Individual)	<p>The formal and permanent removal of a business's or individual's TrustMark registration status, typically following a suspension period in which the Registered Business or Individual failed to address non-compliance or meet required standards. Once withdrawn, the business or individual loses all rights to use the TrustMark brand, access the Data Warehouse, or present as TrustMark-registered, and is no longer permitted to carry out work under the TrustMark scheme or associated government-funded programmes.</p>

Section 1: TrustMark Sanctions Policy for Scheme Providers

1 Breach of Licence Agreement or Payment Obligations

If you do not comply with your sub-licence agreement terms or fail to make payments to TrustMark,
→Then your ability to register businesses or individuals may be suspended and contractual enforcement pursued.

FOR Section:
4.5.4

2 Failure to Monitor and Manage Registered Businesses or Individuals

If you do not effectively monitor, assess, or enforce standards among your Registered Businesses or Individuals,
→Then your status as a TrustMark Scheme Provider may be suspended or withdrawn.

FOR Section:
6.1.3, 6.4.1

3 Excessive Disputes or Compliance Failures

If your scheme is linked to excessive disputes, unresolved complaints, or persistent performance failures,
→Then TrustMark will initiate an audit and corrective action plan. Failure to comply may result in removal from the TrustMark scheme.

FOR Section:
7.1.4

4 Obstruction or Failure During TrustMark Audits

If you do not cooperate fully with TrustMark compliance audits or fail to implement corrective actions within agreed timescales,
→Then your Scheme Provider licence may be suspended or withdrawn.

FOR Section:
6.2.2, 6.2.3

5 Failure to Share Required Data

If you do not submit required data for performance monitoring or refuse data sharing with TrustMark,
→Then you will be placed under compliance review and may face suspension.

FOR Section:
4.5.3, 16.2.2

6 Inadequate Dispute Management

If your dispute resolution process is not responsive, fair, or compliant with the FOR,
→ Then you will be placed under compliance review and may face suspension.

FOR Section:
8.2.1, 8.2.4, 8.2.5

7 Failure to Act on Vulnerable Consumer Protections

If you do not provide appropriate support for vulnerable consumers during complaint handling,
→Then TrustMark may initiate a formal review and suspend new registrations until compliance is demonstrated.

FOR Section:
8.2.2

8 Allowing Phoenix Companies or Non-Declared open Non-Compliance

If you register a business that has failed to declare prior TrustMark history or outstanding remedial work or complaints,
→Then your scheme will be required to resolve the breach with the business and you may be subject to investigation to ensure proper processes are in place.

FOR Section
6.1.3 & FOR
Annex A Section:
1.1.1

9 Improper Use or Oversight of TrustMark Branding

If your scheme fails to prevent or address misuse of the TrustMark brand by members,
→Then you may be issued a formal warning or an additional compliance review.

FOR Section:
11.2.1-11.2.5

10 Non-Delivery of Scheme Requirements Under Annex B

If you do not meet the expectations for oversight of PAS/MCS certification, Data Warehouse lodgement, or energy efficiency work under government funded and capital schemes.
→Then TrustMark may pause or withdraw your approval to operate within funded schemes.

FOR: Annex B

Section 2: TrustMark Sanctions Policy for Registered Businesses or Individuals

1 Core Sanctions (FOR Sections 1-16)

Failure to comply with the Code of Conduct or Customer Charter
→ Then your registration may be suspended or withdrawn.

FOR Section:
5.1.1, 5.2.1

2 Excessive complaints or unresolved non-compliance after 12 weeks

→ Then your business may be suspended while being investigated and may lead to your registration being withdrawn.

FOR Section:
7.2.3

3 Legal action or Alternative Dispute Resolution initiated against your business

→ Then your business may be immediately suspended from the register pending investigation.

FOR Section:
7.2.1

4 Unauthorised uses of the TrustMark brand or logo

→ Then you may be reported to relevant bodies, sanctioned, or registration withdrawn.

FOR Section:
11.2.1-11.2.5

5 Refusal to remediate non-compliant work

→ Then your TrustMark status may be suspended until remediation is completed.

FOR Section:
6.4.3, 14.2.2 (c)

6 Obstruction of investigation or enforcement processes

→ Then sanctions may include removal from the register.

FOR Section:
7.2.3

7 Provision of false, incomplete, or misleading data

→ Then your registration may be suspended or withdrawn.

FOR Annex A,
Section: 1.1

8 Failure to cooperate in dispute resolution with consumers

→ Then your business may be removed from TrustMark and reported to relevant bodies.

FOR Section:
8.2.5

Additional Sanctions (Annex B - Energy Efficiency Requirements)

Under TrustMark’s regulatory role, it has the right to independently review the suitability of a Registered Business or Individual to remain in the TrustMark scheme. Where evidence supports concerns, TrustMark may investigate and following the agreed sanctions policy and removal procedures, suspend or permanently withdraw the business or individual from registration to uphold consumer protection and scheme integrity.

<p>9 Non-compliance with PAS 2030 / PAS 2035 / MCS standards → Then your business may be suspended or deregistered from the register or for works under ECO or other government schemes.</p>	<p>FOR Annex B Section: PAS/MCS Compliance Requirements</p>
<p>10 Failure to lodge work in the TrustMark Data Warehouse where required → Then your business may lose lodgement permissions and may face suspension.</p>	<p>FOR Annex B Section: Lodgement Requirements</p>
<p>11 Use of unqualified or unregistered persons in Retrofit roles → Then your business or you as an individual (Retrofit Assessor / Coordinator) may be deregistered or face scheme sanctions.</p>	<p>FOR Section: 4.3.6, 4.3.7 & 6.4.1 & Annex B Section: Retrofit Role Requirements</p>
<p>12 Failure to remediate works flagged in TrustMark audits and/or non-payment of the non-compliance fee → Then registration may be suspended until works are corrected and verified or withdrawn.</p>	<p>FOR Annex B Section: Audit and Remediation</p>
<p>13 Use of non-compliant financial protection mechanisms → Then your business may be suspended while investigated and excluded from scheme-funded works and delivery.</p>	<p>FOR Section: 10.2; & Annex B</p>
<p>14 Use of unregistered subcontractors for Retrofit or ECO works → Then your business may face deregistration or financial penalties from the scheme administrator</p>	<p>FOR Annex, A Section: 1.4.9 & Annex B</p>

Enforcement and Appeals Process

Once the sanction(s) has been communicated, Scheme Providers, businesses or individuals to whom sanctions have been applied, have the right to appeal.

Appeals must be submitted in writing to the Appeals Administrator within 10-working days of the sanction being applied.

The appeal must include:

- The name, address and status of the party appealing the sanction. TrustMark Licence Number supplied if applicable.
- Correspondence address if different to the one supplied.
- Details of the sanction being appealed.
- The grounds on which the appeal is based.
- The outcome being sought.
- Documentation and evidence to support the appeal.

On receipt of a request for an appeal, the following staged actions will be taken:

- **Stage 1:** Appeals will be reviewed by a Senior Management TrustMark panel who have had no previous involvement with the decision to apply the sanction which is the subject of the appeal. If the decision is not accepted;
- **Stage 2:** The appeal will be referred to the Independent TrustMark Non-Executive Board for review and final decision and communicated back to the appellant.

TrustMark will action appeals within 30-working days of receipt. Where there is a delay beyond our control TrustMark will notify the party of the reasons and the revised period.

Where an appeal is accepted for consideration (Stage 1), the party will pay the Appeal Fee of £750 (plus VAT) before the appeal is processed or the Independent TrustMark Non-Executive Board is convened for the purpose of reviewing the appeal.

If an appeal is successful and the sanction lifted, any charges paid for non-compliance will be reimbursed in full, no costs incurred by the party will be recoverable.

TrustMark will not consider an appeal that is:

- Frivolous or vexatious in nature.
- Not supported by suitable evidence.
- Where the party simply does not like the sanction(s) applied.
- Already subject to an investigation and there are no new findings.

Once we have made an appeal decision, no further appeals may be made.

Appeals Administrator
TrustMark (2005) Limited
Arena Business Centre
Grosvenor House, Basing View
Basingstoke
RG21 4HG

Email: compliance@trustmark.org.uk

Outcomes and data collected during Sanctions activities may be shared with appropriate authorised groups including but not restricted to UKAS, OFGEM, Department of Energy Security & Net Zero (DESNZ), Department for Business & Trade (DBT), Certification Bodies.

At our discretion, TrustMark may publish details of suspended or withdrawn Registered Businesses and Individuals on our public-facing website. This may occur following formal notification from a Scheme Provider or as a result of direct action taken by TrustMark. The publication of such information supports transparency within the scheme and allows consumers and stakeholders to make informed decisions.