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# **Specification for the provision of Green Deal Advisor Services**

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*[DN: leave space for acknowledgments following pilot]*

## Introduction

1. This standard has been developed on behalf of the Department of Energy and Climate Change (DECC) to provide a specification for the provision of Green Deal Advisor Services. The primary role of a Green Deal Advisor (GDA) is to carry out a Green Deal assessment, which is a pre-requisite for the delivery of the Green Deal Financing Mechanism.
2. This standard has been produced exclusively in connection with the Green Deal, which is a market framework based on the key principle that some energy efficiency related changes to properties pay for themselves, in effect, through the resulting savings on fuel bills. The Energy Act 2011 creates a financing mechanism that will allow the installation of energy efficiency measures in both domestic and non-domestic properties at no upfront cost. Note that in the Energy Act 2011, associated regulations and Green Deal Code of Practice the Green Deal Advisor is known as the Green Deal assessor.
3. DECC retains ownership of this standard, which is not to be regarded as a British Standard, European Standard or International Standard. DECC will continue to use this standard to set the requirements for the Green Deal Advisor service, in particular the operational procedures for carrying out the Green Deal assessment. This standard is intended primarily for '**organisations**' of any size who will apply to be certified to deliver GDA Services, but other parties e.g. Certification Bodies, Green Deal installers and Green Deal Providers may also find it useful.

### Presentational conventions

4. The draft provisions of this standard are presented in roman (i.e. upright) type. Its requirements are expressed in sentences in which the principal auxiliary verb is "shall".
5. *Commentary, explanation and policy notes are presented in italic type.*

### Contractual and legal considerations

6. This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application. **Compliance with this standard does not in itself confer immunity from legal obligations.**

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*[DN: In future draft may include a high-level illustration here of the structure of relationships that a GDA has e.g. with customer, installer/provider, Certification Body, Oversight Body etc.]*

## Scope

7. This standard sets out the requirements for the delivery of Green Deal Advisor Services to customers/clients who have requested a Green Deal assessment. This includes:
  - Eligibility criteria - that is, requirements of the organisation such as GDA authorisation;
  - Requirements for the management and monitoring of the service by the organisation, such as people management, complaints management, information management;
  - Operational procedures, including what shall be delivered by the organisation prior to, during and after the visit to carry out a Green Deal assessment and produce a Green Deal Advice Report (GDAR).
8. Where necessary, this standard separates out requirements that are specific to domestic and non-domestic properties. Organisations may apply to be certified to deliver Green Deal Advisor Services in one or both sectors. The standard covers the generic requirements common across sectors as well as the sector-specific requirements relevant to their application.
9. The requirements are applicable in England, Wales and Scotland. Where necessary, differences in the requirements between countries are specified.
10. The requirements for the service must be met by any entity claiming conformance with it. *[supplemented by some annexes – probably mock-up assessment-related paperwork]*. This standard does not include requirements relating to the certification of compliance against it by independent third party Certification Bodies. This subject is covered by the 'Guidelines for Certification Bodies certifying Green Deal Advisor Services', developed in conjunction with this standard and found at *[reference location]*. DECC has appointed the United Kingdom Accreditation Service (UKAS) to accredit Certification Bodies against the requirements of those guidelines.

*[DN: the full structure of the Green Deal and in particular some of the elements of delivering the Green Deal assessment have not yet been confirmed. Outstanding issues or policies to be finalised are flagged throughout.]*

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## **Terms and definitions**

### **Accreditation of Prior Experiential Learning (APEL)**

The accreditation of prior experiential learning, that is, the award of credit for learning based on prior experience or relevant qualifications, which can count towards new qualifications.

### **Approved Organisation**

An organisation approved by the Scottish Ministers in accordance The Energy Performance of Building (Scotland) Regulations 2008 whose members may issue Energy Performance Certificates.

### **Authorisation**

The term used in the Green Deal Framework Regulations to describe when a Green Deal participant has satisfied the necessary criteria to be permitted to deliver within the Green Deal scheme.

### **Authorised Green Deal Advisor (GDA)**

An employee or subcontractor of an Organisation delivering Green Deal Advisor Services, authorised to carry out Green Deal assessments. Referred to as the 'green deal assessor' in the Framework Regulations and Code of Practice.

### **Customer**

Property owner, landlord and / or tenant of a building who has requested Green Deal Advisor Services. *[DN: May be referred to as 'client' in non-domestic sector.]*

### **Display Energy Certificate (DEC)**

Display Energy Certificates (DECs) show the actual energy usage of a public building (the Operational Rating) and allow the public to see the energy efficiency of a building. This is based on the energy consumption of the building as recorded by gas, electricity and other meters. The DEC should be displayed at all times in a prominent place clearly visible to the public. A DEC is always accompanied by an Advisory Report that lists cost effective measures to improve the energy rating of the building. DECs apply in England and Wales only.

### **Domestic/Non-Domestic Energy Assessor (DEA/NDEA)**

Person accredited by an EPBD Accreditation Scheme to undertake an Energy Performance Certificate in England and Wales.

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## **Domestic property**

A building or part of a building intended to be occupied as a dwelling.

## **Energy Act 2011**

The Bill of Parliament passed in October 2011 that set the framework for the Green Deal scheme. The Energy Act has been designed to provide for a step change in the provision of energy efficiency measures to homes and businesses, and make improvements to our framework to enable and secure, low-carbon energy supplies and fair competition in the energy markets. *[DN: provide web reference]*

## **Energy Company Obligation (ECO)**

A new Energy Company Obligation (ECO) to replace the existing Carbon Emissions Reduction Target (CERT) and the Community Energy Saving Programme (CESP) , which will both expire in 2012. Together, Green Deal and ECO are designed to help support three government objectives: to reduce UK Greenhouse Gas Emissions (GHGs), maintain the security of UK energy supply and tackle fuel poverty.

## **EPBD Accreditation Scheme**

Energy Performance of Buildings Directive (EPBD) Scheme, which is in receipt of an approval letter from the Secretary of State of the Department of Communities and Local Government and accredits energy assessors in England and Wales.

## **Energy Performance Certificate (EPC)**

An Energy Performance Certificate shows the energy performance rating of a building (domestic or non-domestic) and is required whenever a building is constructed or marketed for sale or rent. It is produced using standard methods with standard assumptions about energy usage so that the energy efficiency of one building can easily be compared with another building of the same type. The certificate includes recommendations on ways to improve energy efficiency to save money.

## **EPC Adviser tool**

Online tool that disaggregates domestic EPC data and enables consumers to model different scenarios for making their home more energy-efficient.

## **Green Deal Advisor Services**

The scope of Services that can be delivered by the organisation, according to the specification in this document.

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*[DN: A GDA may also be employed by others e.g. Green Deal Providers to deliver additional Services within the same visit, but these Services are not part of the GDA role, nor are they certified or monitored through this specification.]*

### **Green Deal Advice Report (GDAR)**

The report issued by a Green Deal Advisor, which provides all outputs from the Green Deal assessment.

### **Green Deal assessment**

The mandatory qualifying assessment that is carried out in order for an offer of Green Deal finance to be made. It comprises the visual inspection and data collection that is carried out by an authorised Green Deal Advisor on site at a property in order to produce a Green Deal Advice Report.

### **Green Deal assessor Certification Body**

Body assessed and approved by the Green Deal accreditation body *[DN: as defined in the Code of Practice; in this case UKAS]* against the requirement of BS EN 45011 to provide certification within the specified scope of this standard.

### **Green Deal Code of Practice**

The Green Deal Code of Practice sets out the criteria that assessors, products and systems, installer and providers must meet and adhere to in order to be able operate under the Green Deal banner.

### **Green Deal Framework Regulations**

Secondary legislation *[to be]* laid in 2012 to provide more detailed requirements for the delivery of the Green Deal scheme.

### **Green Deal Installer**

Installer certified to carry out the installation of energy efficiency measures covered by Green Deal finance.

### **Green Deal Oversight Body**

*[DN: Body to be appointed to act on behalf of the DECC SoS in the management of the Green Deal scheme.]*

### **Green Deal Provider**

Company that is authorised to act as a finance provider under Green Deal, according to the provisions of the Green Deal Framework Regulations and Code of Practice.

### **Green Deal Remote Advice Service**

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*[DN: The Government intends to support a remote advice service, which will consist of an advice telephone line and website. This will provide: independent and impartial information and support to consumers, referral to accredited Green Deal assessors, installers and providers and act as an entry point for those who may be eligible for extra support through ECO (see section on referrals in chapter 5). It will also provide advice and referral to assist customers if something goes wrong that can't be fixed by the Green Deal provider. There will be a separate remote advice service in Scotland - More details to follow].*

### **National Occupational Standards (NOS)**

National Occupational Standards (NOS) are statements of the standards of performance individuals must achieve when carrying out functions in the workplace, together with specifications of the underpinning knowledge and understanding. NOS are developed for employers by employers through the relevant Sector Skills Council or standards setting organization, and apply across the UK.

### **Non-domestic property**

A building or part of a building that is not a dwelling.

### **Operator of the Register of Energy Performance Certificates**

Operator appointed by Government in England and Wales to hold the register upon which EPCs, DECs and Air-Conditioning Certificates are stored and retrieved.

### **Organisation**

Company of any size that is providing Green Deal Advisor Services.

### **RdSAP**

The Reduced Data Standard Assessment Procedure (RdSAP) was introduced in 2005 as a method of assessing the performance of existing dwellings. It is one of the UK's national calculation methodology in calculating the energy performance of buildings.

### **SAP**

The Standard Assessment Procedure (SAP) is the UK Government's national calculation methodology for assessing and comparing the energy and environmental performance of dwellings. Its purpose is to provide accurate and reliable assessments of dwelling energy performances that are needed to underpin energy and environmental policy initiatives.

### **SBEM**

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The Simplified Building Energy Model is the UK Government's national calculation methodology for analysing the energy consumption of non-domestic buildings. The tool helps to determine CO<sub>2</sub> emission rates for new buildings in compliance with Part L of the Building Regulations (England and Wales) and equivalent Regulations in Scotland, Northern Ireland, the Republic of Ireland and Jersey. It is also used to generate Energy Performance Certificates for non-domestic buildings in construction, for sale or let.

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## **Section 1: Eligibility criteria**

### **General**

11. Organisations shall meet the requirements of this specification before their GDA Services can be employed by a customer/client.
12. Organisations shall only employ 'authorised Green Deal assessors' as defined in the Energy Act 2011 and Green Deal regulations in the delivery of GDA Services.
13. Organisations who have been suspended by one Certification Body due to a failure to implement the requirements in this specification document shall not be allowed to practice for any other Certification Bodies until that suspension has been revoked and requirements are met.

### **Authorisation of GDAs as DEAs/NDEAs in England and Wales**

*[DN: GDAs will be expected to produce or check the accuracy of Energy Performance Certificates (EPCs) as part of the Green Deal assessment. The production of EPCs is governed by the Energy Performance of Buildings Directive (EPBD), which is implemented separately in England and Wales, and in Scotland. However, the Green Deal assessment methodology will be common across Great Britain.]*

14. Organisations shall ensure employee GDAs are currently recognised by the Operator of the Register of Energy Performance Certificates as active members of an EPBD Accreditation Scheme for either DEAs or NDEAs according to the type of building for which the assessment is being provided. In doing so, Organisations shall confirm that employee GDAs meet the requirements of the DEA/NDEA National Occupational Standards.
15. Any GDA that is suspended from any EPBD Accreditation Scheme, for whatever reason, will not be allowed to practice as a GDA until that suspension is reversed.

### **Authorisation of GDAs to produce Energy Performance Certificates in Scotland**

16. Organisations shall ensure that employee GDAs intending to provide assessment services for domestic buildings in Scotland have first obtained and will maintain membership of an Approved Organisation, appointed by Scottish Ministers in the production of domestic Energy Performance Certificates.
17. Organisations shall ensure that employee GDAs intending to provide assessment services for non-domestic buildings in Scotland have first obtained and will

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maintain membership of an Approved Organisation, appointed by Scottish Ministers in the production of non-domestic Energy Performance Certificates.

18. Any GDA that ceases to hold membership of an Approved Organisation will not be allowed to practice as a GDA until membership of an Approved Organisation is once again held.

19. Any GDA that is suspended from membership of an Approved Organisation, for whatever reason, will not be allowed to practice as a GDA until that suspension is reversed.

### **Qualification and competence of Green Deal Advisors**

20. Organisations shall ensure that all employee GDAs possess either:

- a) A qualification that reflects the full GDA National Occupational Standards (NOS) see Annex C; or
- b) A qualification covering the DEA/NDEA NOS (as appropriate to role) plus a 'top-up' qualification consisting of the additional units in the GDA NOS.

These qualifications must be from an Awarding Organisation endorsed by Asset Skills.

*[DN: Demonstration of competence against some NOS may be through a DECC-approved process for obtaining 'credit' for Accredited Prior Experiential Learning (APEL) which may include qualifications and/or other demonstrable relevant skills and knowledge. The policy and guidance on APEL is currently being developed. This will apply to both domestic and non-domestic GDA roles. DECC is exploring what, if any, role Certification Bodies may play in assessing APEL. DECC is also looking at the possibility of common assessment for all potential GDAs, for the elements of GDA role that are completely new.]*

### **Code of Practice**

21. Organisations shall provide a written undertaking to abide by the Green Deal Code of Practice *[DN: Further detail TBC]*.

### **Authorisation of Green Deal Advisors**

22. Organisations shall ensure that details of their employee GDAs are provided in accordance with requirements set out in the Green Deal Framework Regulations for registration on the Green Deal register. *[DN: this register is expected to be managed by the Green Deal Oversight Body, to be appointed by DECC]*.

23. Organisations and employee GDAs shall use the Green Deal Quality Mark, issued on authorisation, as it applies to Green Deal Advisor Services in accordance with the guidelines at Annex B.

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## **Insurance**

24. Organisations shall ensure that they and any employee GDAs have arrangements to cover liability for the entirety of the GDA service undertaken under the scope of this specification.

*[DN: levels of insurance to be determined following further consultation with the insurance industry. There may be different levels for the domestic and non-domestic sectors].*

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## **Section 2: Requirements for the management and monitoring of the GDA service**

### **General**

25. Organisations shall have procedures in place to protect employee GDAs' health and safety at work, including guidance on lone working and how to respond to harassment and abuse.

### **Robust and credible management systems**

26. Organisations shall have formal procedures in place that can successfully implement the requirements of this specification and shall review their procedures in response to any change to the Green Deal assessment process or this specification.

27. Organisations shall demonstrate that they operate robust and credible management systems. Organisations shall have ISO 9001 certification from an accredited Certification Body, or have in place procedures for dealing with the following activities:

- a) Control of Documents;
- b) Control of Records;
- c) Internal Audit;
- d) Control of non-conforming products;
- e) Corrective Action;
- f) Preventative Action.

28. In addition, organisations shall establish and operate procedures listed in paragraphs **29** to **51** below, and procedures to monitor the effectiveness of these.

### **Selection, work assignment and Continual Professional Development (CPD)**

29. Organisations shall assess employee GDAs against the eligibility criteria as described in section 1 of this specification prior to assigning them to deliver GDA Services. In particular, organisations shall systematically check that employee GDAs remain recognised by the Operator of the Register of Energy Performance Certificates as active members of an EPBD Accreditation Scheme.

30. Organisations shall assign employee GDAs to carry out Green Deal assessments commensurate with the skill and competence required to deliver. This must include allocation of GDAs to domestic and/or non-domestic Green Deal assessments as appropriate to their competence and accreditation status. Assignment of the employee GDA shall include consideration of any other skills and experience that may be beneficial to the successful outcome of the

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assessment, for example skills in applying the full SAP procedure in cases of non-standard or complex construction.

31. Organisations shall maintain a record of the employee GDAs assigned to each Green Deal assessment.

*[DN: Intend to add something here about assigning GDAs to update EPCs/disclosure information and charging for this]*

32. In England and Wales, organisations shall facilitate employee GDAs' maintenance of their competence to practice as DEAs/NDEAs (as applicable) according to the CPD requirements of their EPBD Scheme.

33. In Scotland, organisations shall facilitate employee GDAs' maintenance of their competence to practice as an EPC assessor in accordance with the CPD requirements of their Approved Organisations and Operating requirements set by Scottish Government.

34. Organisations shall ensure that employee GDAs have access to any pre-approved training and CPD required or recommended to maintain their competence to practice under the Green Deal. In particular, organisations shall ensure that their employee GDAs undertake appropriate CPD in response to:

- a) Changes to the requirements set out by the Green Deal Oversight Body on behalf of the DECC Secretary of State and administered by Certification Bodies *[This may include CPD relating to updates to software, to National Occupational Standards or to the Green Deal Advisor Syllabus. CPD will usually be assessed.]*;
- b) Changes in regulations;
- c) A performance appraisal that identifies a development need;
- d) Corrective action identified through monitoring activities;
- e) Customer feedback.

35. Organisations shall establish and maintain records of current capability, training and competence for each employee GDA.

*[DN: DECC is considering mandating a set number of hours to be spent by GDAs on CPD, over and above what is required for their EPBD accreditation. It is likely there will be a central list of approved CPD for GDAs; it is not intended that this will be determined by the Certification Body.]*

### **Engagement of subcontract GDAs**

36. Organisations shall ensure that arrangements to sub-contract any part of a Green Deal assessment to another certified organisation include requirements that the sub-contractor comply with all requirements of this specification document that are relevant to the tasks to be undertaken.

*[DN: This is most likely to apply in the situation of specialist advice for some non-domestic assessments. More to add here.]*

### **Green Deal Assessment control - documents, record keeping and information management**

37. Organisations shall validate that the Green Deal assessments undertaken conform to this specification.

38. Organisations shall establish and maintain records containing at least the information identified in a) through k) of this clause, in relation to each Green Deal assessment undertaken.

- a) Location of the assessment;
- b) Type of assessment i.e. domestic/non-domestic;
- c) Dates of assessment commissioning, delivery and completion;
- d) Reference number of Green Deal Advice Report lodged *[DN: and/or the GDAR itself TBC]*;
- e) Details of any problems encountered and corrections agreed;
- f) Name of GDA who carried out the assessment;
- h) Signed customer sign-off sheet – providing confirmation that the consumer has understood the report;
- i) *[DN: possible further validation by organisation that assessment has been carried out correctly]*;
- j) Customer complaints (if any);
- k) Site notes, photographs and other supporting information relating to the assessment.

39. Organisations shall ensure that all information associated with the provision of GDA Services, including that specified in paragraph 38, is securely stored for the greater of:

- a) Six years;
- b) The period required to ensure run-off cover for professional indemnity (PI) insurance.

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Organisations shall also make this information available to the relevant Certification Body, the accreditation body or Green Deal Oversight Body when requested.

40. Organisations shall have systems that ensure data protection. In particular, organisations shall ensure that information obtained by employee GDAs remains confidential outside of requirements to provide that information to:

- a) The organisation or individual who has commissioned the work;
- b) The GDA for the purpose of preparing a quotation;
- c) Where required, the Certification Body;
- d) Where required, the Green Deal Oversight Body;
- e) Lodge the EPC and/or Green Deal Advice Report, on the appropriate registries.

41. Organisations shall agree to their current or past Certification Body sharing information with other Certification Bodies and other relevant third parties (including UKAS, insurance underwriters, the Green Deal Oversight Body, DECC and those acting on behalf of DECC) where appropriate, which allows for investigation of (but not limited to):

- a) Their compliance with the requirements of this specification;
- b) Any ongoing or completed disciplinary actions;
- c) Complaints against the organisation or their employee GDAs;
- d) Details of Qualifications, APEL assessments and CPD/competency assessments;
- d) The outcome of any monitoring undertaken by Certification Bodies.

#### **Internal feedback**

42. Organisations (with the exception of sole traders) shall acknowledge and document all internally generated feedback from employee GDAs, positive or negative, prior to being investigated and corrected where judged beneficial. Any decision not to take corrective action on negative feedback shall be documented including the reasons for reaching the decision.

#### **Internal audit and corrective action**

43. Organisations shall keep a schedule of audits of Green Deal assessments to be undertaken to check compliance with this specification and shall keep records of such audits and any resulting actions.

44. Organisations shall identify, systematically examine the cause and consequences of issues raised during internal audit and document the findings.

45. Organisations shall carry out corrective action including rectification of the particular occurrence(s) identified during internal audit and initiate measures to prevent recurrence.

### **Interaction with customers**

46. Organisations shall instruct each GDA likely to have direct contact with customers, as to how to act in response to an approach from customers especially but not exclusively in respect of:

- a) The collection of pre-visit information;
- b) Pre-notified customer requirements and expectations particularly issues of work timing and access;
- c) Organisation-stipulated customer service requirements;
- d) Customer questions or requests for information;
- e) Customer request for additional Services outside the scope of the GDA role and this specification;
- f) Customer complaint or other customer feedback in respect some aspect of the assessment or assessment process – including how to record and who to inform;
- g) Meeting the GDAs' general responsibility for observing the customer service principles and requirements set out in the Green Deal Code of Practice.

47. Where a Certification Body approaches an organisation's customers to receive feedback, the organisation must not seek to influence the selection of customers or the way in which customers respond.

### **Claims of conformity**

48. Organisations shall provide evidence for the GDA Services for which conformity with this specification is claimed by the inclusion of the following information in associated documentation including any documentation issued to the customer:

- a) The name and date of this specification;
- b) Identification of any aspects of this specification that are particularly relevant e.g. domestic;
- c) The postal address of the property for which the Green Deal assessment was carried out;
- d) The name and trade mark of the organisation;
- e) The registration number of the GDA who carried out the assessment.

## **Complaints management**

49. Organisations shall:

- a) Receive, record and address all complaints from their customers of Green Deal assessments, where the direct business relationship is with the customer;
- b) Receive, record and address complaints received from a Green Deal Provider, where the direct business relationship is with the Provider;
- c) Inform customers what their procedures are, and what further recourse is available, including informing their customers that accessing the Green Deal complaints procedures does not affect their statutory rights;
- d) Investigate all complaints from customers or Green Deal Providers and seek to resolve them swiftly;
- e) Ensure that records of complaints include actions taken to resolve issues that have been the subject of complaint and of the outcome including evidence that the customer or Green Deal Provider making the complaint is satisfied with the outcome;
- f) Inform their Certification Body of all complaints received from customers or Green Deal Providers and disclose all material correspondence and other evidence requested if requested;
- g) Confirm to the customer or Green Deal Provider and the Certification Body that complaints from customers or Green Deal providers has been addressed and the issue(s) resolved;
- h) Escalate the complaint if it is not resolved *[DN: may refer to Green Deal redress procedures/Code of Practice]*.

## **Disciplinary and appeals procedures**

50. Organisations shall have in place a disciplinary procedure. Sole traders are exempt from this but are covered by their Certification Body's corrective action procedure.

51. Green Deal Advisors affected by disciplinary procedures shall have the right to appeal to the body disciplining them. There shall also be the right of appeal to an independent third party appeals mechanism operated by the Green Deal Oversight Body, or another organisation appointed by DECC, in line with the terms of reference of that body.

## **Section 3: Operational procedures**

### **General**

52. Organisations shall ensure that all employee GDAs follow the operational procedures described in this section.

53. Organisations shall ensure that all employee GDAs act impartially in providing Green Deal Advice, as per the requirements of the Energy Act 2011 and the Green Deal Code of Practice.

54. Organisations shall ensure that employee GDAs are allowed sufficient time for the inspection necessary to deliver a Green Deal assessment, produce the Green Deal Advice Report and carry out all necessary follow up actions required by this specification.

### **Preparation for the Green Deal assessment**

*[DN: Further consideration is needed as to how the following processes/interactions may vary slightly in cases where an organisation is commissioned by a Green Deal Provider, and how this will be written into the paragraphs below]*

55. Organisations shall, during first contact with a customer, establish whether the primary use of the property for which a Green Deal assessment is being requested is domestic or non-domestic, as well as basic information about size, building type, services and complexity. The organisation shall use this information to assign an GDA employee with the necessary skills and competence to a particular job.

### **Information provided to all customers**

56. Organisations shall ensure that the customer – whether domestic or non-domestic - who has commissioned the assessment receives the following information in a manner that is clear and accessible by the customer:

- a) The background to the Green Deal assessment and why it is necessary;
- b) The scope of the Green Deal assessment – what will be done;
- c) That consent is required from the property owner prior to the visit (if the customer request comes from a tenant);
- d) What information will be required from the customer before and during the visit (e.g. energy bill data and occupancy information);
- e) What information will be recorded for monitoring and compliance purposes (e.g. photographs and site notes);

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- f) What the outputs of the assessment will be and look like i.e. the features of the Green Deal Advice Report;
- g) That the GDAR is 'portable' and may be taken to any Green Deal provider to request a quote for installation of measures;
- h) That they will be asked to sign a 'customer sign-off sheet'
- i) Any charges and terms & conditions associated with the provision of GDA Services;
- j) Disclosure of any commercial affiliations that the organisation and/or the GDA to be assigned the job may have, and any other disclosure;
- k) Requirements associated with consumer protection legislation;
- l) Who will have access to the information collected as part of the Green Deal assessment;
- m) They have freedom of choice such that they can approach other GDAs/Green Deal providers if they wish to do so;
- n) That the Energy Performance Certificate provided with the GDAR will be updated after any installation of measures carried out as part of taking out a Green Deal plan. *[DN: There may be some further detail to add here]*

57. Organisations shall provide clarity that, in cases where the customer has requested any Services that fall outside of the GDA role described in this specification, that this 'other advice' is not part of the Green Deal assessment and is not subject to certification.

**Information provided specifically to domestic customers**

58. Organisations shall ensure that, in addition to the information to be provided according to paragraph 56, domestic customers also receive the following information:

- a) What access to the domestic property will be required (e.g. loft access) in order to carry out the inspection;
- b) That there are circumstances in which some customers may be entitled to a free assessment under the Energy Company Obligation (ECO) and information about how they can contact the Green Deal Remote Advice Services *[DN: including Scottish advice service TBC]* to find out more.

**Information requested from domestic customers**

59. Organisations or their employee GDAs shall request and record the information at a) to n) from the customer – whether domestic or non-domestic – prior to carrying out the Green Deal assessment visit.

- a) The name of the customer or their appointed representative who will be present at the property during the visit;
- b) Address of the property;

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- c) Whether the property already has a domestic EPC;
- d) Whether there is already a Green Deal plan in place for the property or one recently paid off;
- e) The form of tenure e.g. owner occupied; rented;
- f) If rented, confirmation that consent for the assessment to be carried out has been obtained;
- g) Approximate age and type of property e.g. pre-1900 Victorian;
- h) Accessibility of loft, and any other access issues – if the customer declares any accessibility problems the organisation/their employee GDA will request that, where possible, these are rectified ahead of the visit and set out efforts that have been taken to resolve the issues;
- i) Primary method of heating the property;
- j) Secondary method of heating the property, if any;
- k) Whether the property is on / off gas grid;
- l) Whether they know of any existing energy saving measures installed (e.g. loft / cavity wall insulation);
- m) Whether they will have energy bills information available - these should be available by the time of the visit by the GDA;
- n) Whether the building is listed, is in a conservation area, or has other known constraints associated with planning.

**Information exchange prior to a non-domestic Green Deal assessment visit**

60. Organisations shall ensure that, in addition to the information provided in paragraph 56, they also discuss and record the following with non-domestic customers:

- a) The name of the customer or their appointed representative who will be present at the property during the visit;
- b) Address of the property;
- c) What type of business is conducted in the property and any implications for the visit such as timing, health and safety, skills of assessor, likely referral to specialist assessor;
- d) Size of property, or the part of the property, that is for assessment;
- e) Whether the property already has a non-domestic EPC, Display Energy Certificate (DEC), Air-conditioning inspection and Advisory reports and/or any other recent energy audit reports;
- f) Whether there is already a Green Deal plan in place for the property or one recently paid off;
- g) The form of tenure e.g. owner occupied; rented;
- h) If rented, confirmation that consent for the assessment to be carried out has been obtained;

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- i) Approximate age and type of property e.g. purpose-built office block, warehouse, converted residential property;
- j) What access is available to each part of the building to carry out a visual inspection, what access is necessary in order to carry out the inspection and how any accessibility issues should be resolved prior to the Green Deal assessment visit;
- k) Primary method of heating the property;
- l) Secondary method of heating the property, if any;
- m) Whether the property is on / off gas grid;
- n) Whether they know of any existing energy saving measures installed already at the property;
- o) Whether they will have energy bill information available - these should be available by the time of the visit by the GDA;
- p) Whether the building is listed, is in a conservation area, or has other known constraints associated with planning.

*[DN: May add more here specific to non-domestic]*

**Deciding whether to apply RdSAP or full SAP to domestic properties**

*61. [DN: Policy and procedures on this To Be Confirmed]*

**Confirming the contract with the customer**

62. Organisations shall, following the exchange of information associated with paragraphs 55 to 61 above, carry out a final appraisal of whether the GDA assigned to the job has the right skills and competencies (e.g. domestic or non-domestic) to carry out the assessment, and if not, the organisation shall either assign a suitable GDA, or, if no suitable GDA can be assigned, decline the job.

*63. [DN: Policy about agreeing a contract with the customer To Be Confirmed]*

64. Organisations shall ensure that the decision to decline a job is communicated to the customer verbally and in writing, explaining the reasons why.

**Further activities necessary prior to carrying out assessment visit**

65. Organisations shall ensure that, following the exchange of information and the acceptance of a job with a customer, they or the employee GDA assigned to the job carries out the following activities:

- a) Checking whether an EPC/DEC/Air-conditioning certificate (as appropriate to the building sector) exists for the property (whether the current occupant was aware of existence or not), and if so whether it is valid for the Green

Deal (i.e. produced post-April 2012) and that the relevant certificates are available;

- b) Reviewing local factors such as planning constraints and accessibility.

## **During the Green Deal assessment**

### **Preliminaries**

66. The GDA assigned to the job by the organisation shall ensure that the customer (or their appointed representative) is present at the property before entering the property, and shall show their identification.
67. The GDA shall confirm the physical scope of the assessment (e.g. whole/part of building) with the customer. In the event that the actual circumstances of the property and assessment required are not as envisaged following the exchange of information as described in paragraphs 55 to 60 (as applicable to the sector), the GDA shall notify the organisation and agree how to proceed. The assessment shall not commence until a solution has been agreed.
68. While on site and before beginning the assessment, the GDA shall ensure that the customer is informed of:
  - a) What the Green Deal assessment is for and how it can be used to obtain a quote for Green Deal finance;
  - b) Any charges associated with the assessment and on what basis they are being charged;
  - c) Any commercial affiliations of the organisation and the GDA, and the difference between the impartial assessment and any additional Services they may have commissioned, which fall outside the scope of the impartial assessment, including 'other advice' (covered in paragraph 80);
  - d) The fact that there are circumstances in which those eligible for support from ECO, and how they can contact the Green Deal remote advice services *[DN: including the Scottish advice service TBC if property is in Scotland]*;
  - e) The scope of the assessment and the visual inspection/access that it requires, including information recorded for monitoring and compliance purposes (such as photographs and site notes);
  - f) What information will be required from the customer (e.g. historic energy use information to allow the occupancy assessment to be undertaken) and who will have access to the information recorded;
  - g) What the outputs following the provision of Green Deal Advice will be.

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69. The GDA shall take questions from the customer, and record any which are material to the provision of Green Deal advice.

## **Information collection**

### **Domestic Green Deal assessment – fabric and physical assets**

70. The GDA shall check that a valid domestic EPC produced prior to the Green Deal assessment visit still reflects the property on the day of the Green Deal assessment visit. In doing this, the GDA shall check the data recorded when the EPC was produced and ensure that they are consistent with the property on the day of the Green Deal assessment. In particular the GDA shall check that there have been no major structural changes e.g. extensions, addition of conservatory, new roof.

*[DN: More policy detail to be added on EPC validity and the procedure used when checking the accuracy/applicability of an existing valid domestic EPC.]*

71. In cases where an existing valid domestic EPC is deemed to be inaccurate or not wholly applicable to the property on the day of the Green Deal assessment visit, the GDA shall collect data to reflect the changes since the EPC was produced and re-run the *[post-April 2012 version xxx]* RdSAP assessment procedure with the new data, to produce a new EPC for the property of the format mandated for England and Wales, or Scotland, as appropriate.

72. In cases where no valid domestic EPC exists for the property, the GDA shall use the *[post-April 2012 version xxx]* RdSAP assessment procedure to produce a new EPC for the property, of the format mandated for England and Wales, or Scotland, as appropriate. The exception will be cases where full SAP is being applied following the considerations given in paragraph 61 above.

### **Non-domestic Green Deal assessment – fabric and physical assets**

73. The GDA shall check that a valid non-domestic EPC produced prior to the Green Deal assessment visit still reflects the property on the day of the Green Deal assessment visit. In doing this, the GDA shall check the underlying data and site notes recorded when the EPC was produced and ensure that they are consistent with the property on the day of the Green Deal assessment. In particular the GDA shall have been no major structural changes e.g. extensions.

*[DN: More policy detail to be added on EPC validity and the procedure used when checking the accuracy/applicability of an existing valid non-domestic EPC.]*

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74. In cases where an existing valid non-domestic EPC is deemed to be inaccurate or not wholly applicable to the property on the day of the Green Deal assessment visit, the GDA shall collect data to reflect the changes since the EPC was produced and re-run the *[version xxx]* SBEM assessment procedure with the new data, to produce a new non-domestic EPC for the property of the format mandated for England and Wales, or Scotland, as appropriate.

75. In cases where no valid non-domestic EPC exists for the property, the GDA shall use the *[version xxx]* SBEM assessment procedure to produce a new non-domestic EPC for the property, of the format mandated for England and Wales, or Scotland, as appropriate.

### **Domestic Green Deal assessment - occupancy**

*[DN: The scope and methodology for the domestic occupancy assessment is currently under development so content in this section is limited in scope. There is likely to be overlap here with later section on production of the Green Deal Advice Report. Some further consideration is also to be given to when the explanation of the report might take place e.g. during or after visit]*

76. The GDA shall:

- a) Explain to the customer the purpose and scope of the occupancy assessment and associated advice;
- b) Identify and record the meter serial number and Meter Point Administration Number (MPAN) for the electricity meter at the property;
- c) Ask the occupier the questions mandated in the occupancy assessment software *[version xxxxx]* and enter data as required;
- d) Identify the actual energy use for the household as reflected in existing energy bills;
- e) Make an assessment of whether the standard predictions in the EPC for the property reflect actual use by the current householder, or whether they are higher or lower than typical use;
- f) Explain the results of the occupancy assessment, in particular the GDA must explain the household factors that make a difference e.g. number of occupants, hours at home each day, thermostat setting and annual energy bill;
- g) Make an assessment of the likely suitability of Green Deal finance to the current householder and communicate this;
- h) Discuss possible 'packages' of measures appropriate to the customer;
- i) Explain to the householder any 'ways to save today' and 'other ways to avoid waste in your home' suggested on the occupancy assessment

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- j) provide behavioural advice on *[other?]* free and low cost ways to reduce energy use, which are relevant to the customer;
- k) Explain what the EPC Adviser tool does;
- l) Explain the possible benefits of ECO *[if applicable]*;
- m) Signpost the customer to further sources of advice (usually the Green Deal Remote Advice Service) if he/she is unable to answer a particular question;
- n) Explain the availability of Feed-in-Tariffs, Renewable Heat Incentive and other relevant incentives, and where they can find out more about them.

### **Non-Domestic Green Deal assessment – occupancy and modelling**

*[DN: As with domestic, the scope and methodology for the non-domestic occupancy assessment is currently under development so content in this section is limited in scope – notes below are from policy colleagues. There is likely to be overlap here with later section on production of the Green Deal Advice Report. Some further consideration is also to be given to when the explanation of the report might take place e.g. during or after visit]*

77. The GDA shall:

- a) Assess the quality of building management according to an approved method in order to establish the 'management score' and the potential for improving this score;
- b) Identify recommendations for operational/behavioural measures as a result of the management score assessment, and any other observations made during the 'survey' of the building;
- c) Enter existing energy data into the Green Deal assessment tool (either using raw data or a DEC);
- d) Identify any measures for which specialist input is required to establish energy savings.

### Modelling

- e) Using the software tool in 'EPC' mode, they will enter the data relevant to the EPC assessment. Generate the update EPC and assign activities to each zone as usual;
- f) They now switch the software tool to 'Green Deal' mode;
- g) Create customised activity types according to the conventions for tailoring standard assumptions and the information gathered about the use of the building;
- h) Reassign the activities in the building model to become the tailored activities as needed;

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- i) Assign the management score for the building (as a result of the information gathered as above);
- j) Assign the potential management score for the building;
- k) Run the model to compare the baseline building with the better managed potential building in order to establish the savings possible in association with building management;
- l) Using their knowledge of the EPC recommended measures and the wider potentially eligible measures for Green Deal, identify measures that should be considered for the building *[TBC how many?]*;
- m) If the recipient of Green Deal Advice has any preferences as to specific measures which they wish to implement, the GDA shall identify the benefits associated with those preferences where they are able to do so;
- n) Apply these measures to the model in order to determine the estimated savings associated with the package of all measure and individual measures as necessary. *[TBC Measures guidance on treatment of packages]*;
- o) Record the assumptions for the scenarios run;
- p) Carry out the normalisation part of the assessment using information gathered about the energy consumption in the building. (more to come);
- q) Provide running cost savings estimate based on crude energy tariff.

*[DN: There may need to be a section on the commissioning and inclusion of specialist further advice for some non-domestic properties].*

**Provision of 'other advice'**

*[DN: Further consideration is to be given to how to log any other advice given]*

78. Any advice or service which falls outside of the Green Deal assessment as described in this specification, provided during the same visit that Green Deal Advice is provided, is defined as "other advice". Organisations shall allow the provision of "other advice" to a customer only if it is clear that the customer has been informed that the "other advice" is separate from that provided under the Green Deal, is not covered by the monitoring and compliance procedures for Green Deal and may not be impartial.

**Producing and lodging the Green Deal Advice Report**

*[DN: need to determine where to write in the explanations to be given – in occupancy section above or in this section. Also need to determine whether any/all of this activity is expected to take place in the customer's house at the time of inspection. Note that, as with the existing EPC software, there may be a number of market providers of approved GDAR software.]*

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79. The GDA shall present the findings, generated by approved GDAR software, to the customer, including the impact of the specific occupancy patterns and use will have on energy savings and the recommendations arising from the EPC.
80. When presenting these findings, the GDA shall explain to the customer any limitations concerning the advice arising from the occupancy assessment.
81. The GDA shall record all advice provided in the Green Deal Advice Report, and will record evidence and the reasoning behind this advice where it is not generated by software.
82. The GDA shall inform the customer what the possible next steps are, and what to do if on reflection they have more queries.
83. The compilation of the Green Deal Advisory Report shall be in the format specified at Annex D.
84. The GDA who conducted the site visit shall write and lodge the components of the GDAR (*[Summary sheet TBC]*, EPC and Occupancy Assessment) in the relevant registries. In particular:
  - a) In England and Wales, the EPC shall be lodged through existing EPBD accreditation schemes and occupancy assessment lodged by the Green Deal Certification Body in a separate register *TBC [DN: there will be a unique identifier that links the reports]*
  - b) In Scotland, the EPC will be lodged through the existing EPBD arrangements *[DN: arrangements for lodging the occupancy assessment TBC]*
  - c) The occupancy assessment and summary sheet shall be lodged by the GDA via their Certification Body.
85. The GDA shall ensure that the customer has received the complete GDAR *[DN: we may specify a timeframe]*.

#### **Customer sign-off**

*[DN: A customer sign-off sheet may be used for auditing purposes to confirm that the GDA performed particular activities in relation to this specification]*

86. The GDA shall explain the points on the GDAR customer sign-off sheet (see Annex E) to the customer and ensure that they obtain the customer's signature.
87. The GDA shall remind the customer of the complaints/redress procedure which applies to the provision of GDA Services.
88. *[DN: if not covered above: where necessary and/or desired by a non-domestic customer, a further site visit involving specialist input may be required]*

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**Follow up after Green Deal installation**

*[DN: Policy on this area is in development. May make provision for organisation/employee GDA to update the EPC following installation, on behalf of a GD Provider].*

**Annex A**

**Assessor annex to Code of Practice**

*[DN: The Code of Practice is subject to public consultations during Autumn 2011.]*

**Annex B**

**Green Deal Quality Mark guidelines**

*[DN: these are currently in development]*

**Annex C**

**National Occupational Standards for Green Deal Advisors and APEL guidance**

*[DN: these are currently in development]*

**Annex D**

**Green Deal Advice Report (GDAR)**

*[DN: this is currently in development.]*

**Annex E**

**Customer sign-off sheet**

*[DN: The inclusion of this as an addendum to the GDAR is currently under consideration.]*