

Specification for Certification Bodies Certifying the Green Deal Advice Service

Version 203/2012

24/12/2012

WITHDRAWN

Table of Contents

1. Introduction	1
1.1 Contractual and Legal Considerations	1
2. Scope	2
3. Terms and Definitions	3
4. General Requirements for the Assessment and Certification Framework	7
4.1 Application and Certification	7
4.2 Ongoing Surveillance	8
4.3 Non-Compliance and Suspension	10
4.4 Certification Records	11
5. Eligibility Criteria	11
5.1 General	11
5.2 Recognition of Green Deal Advisors as a DEA/ NDEA in England and Wales	12
5.3 Recognition of Green Deal Advisors to Produce Energy Performance Certificates in Scotland	12
5.4 Qualification and Competence of Green Deal Advisors	12
5.5 Insurance	13
6. Management and Monitoring of the Green Deal Advice Service	13
6.1 General	13
6.2 Robust and Credible Management Systems	13
6.3 Selection and Work Assignment	13
6.4 Continuing Professional Development (CPD)	14
6.5 Sub-Contracting Green Deal Advice Work	14
6.6 Green Deal Assessment Control – Documents, Record Keeping and Information Management	14
6.7 Internal Audit and Corrective Action	14
6.8 Interaction with Customers	15
6.9 Claims of Conformity	15
6.10 Complaints Management	15
6.11 Disciplinary and Appeals Procedures	16
7. Operational Procedures	16
7.1 General	16
7.2 Quality Assurance	16

7.3	Preparation for the Green Deal Advice Service	16
7.4	During the Green Deal Advice Service	17
7.5	Producing and Lodging the Green Deal Advice Report	17
Annex A – Reference Documents and Tools		18
Annex B – Certification System and Sample Sizes		19
Annex C – Matrix of Audit Procedures		20

WITHDRAWN

WITHDRAWN

1. Introduction

1. This Specification has been developed by the Department of Energy and Climate Change (DECC), in conjunction with relevant expert bodies and interested parties, to provide additional requirements (to those contained in BS EN 45011) against which the Green Deal Accreditation Body will accredit Certification Bodies to certify organisations who intend to provide the Green Deal Advice Service (hereafter referred to as “the Service”).

2. Before being eligible to provide certification against the separate Specification for Organisations providing Green Deal Advice Service, Certification Bodies must first achieve United Kingdom Accreditation Service (UKAS) accreditation against BS EN 45011 and accreditation against this Specification. They can then begin certifying Organisations and apply for authorisation from the Green Deal Registration and Oversight Body appointed by the DECC Secretary of State.

3. This Specification has been produced exclusively in connection with the Green Deal, which is a market framework based on the key principle that the cost of some energy related changes to properties can be recovered through the resulting savings on fuel bills. The Energy Act 2011 creates a financing mechanism that will allow the installation of energy saving measures in both domestic and non-domestic properties at no upfront cost. Note that in the Energy Act 2011, the Framework Regulations and the Green Deal Code of Practice the Organisation providing the Service is known as the Green Deal Assessor.

4. The role of a Green Deal Advisor, contracted by a certified and authorised Organisation, will be to carry out a Green Deal “qualifying assessment” (hereafter referred to as ‘the Green Deal Assessment’) and produce a Green Deal Advice Report, on behalf of the Organisation, that explains the findings and recommendations from that Green Deal Assessment. This will be a pre-requisite for any person who wishes to take out a Green Deal Plan in order to pay for the installation of energy efficiency measures at their property.

5. DECC retains ownership of this Specification, which is not to be regarded as a British Standard, European Standard or International Standard. DECC will continue to use this Specification to set the requirements for the Green Deal Advice Service, in particular the operational procedures for carrying out the Green Deal Assessment.

1.1 Contractual and Legal Considerations

6. Compliance with this Specification does not in itself confer immunity from legal obligations. Therefore this Specification does not include, for example, a requirement to observe Health and Safety, with which it is assumed users of this Specification will be in compliance.

2. Scope

7. This Specification is intended for UKAS Accredited Certification Bodies who wish to certify organisations intending to provide the Service, against the separate Specification for Organisations providing the Green Deal Advice Service, and should be used in conjunction with that separate Specification. The diagram below illustrates the main parties involved in third party assurance and Registration and Oversight of the service. References to the 'Green Deal Scheme Standard' should be construed as including both this Specification and the associated Specification for Organisations providing the Green Deal Advice Service.

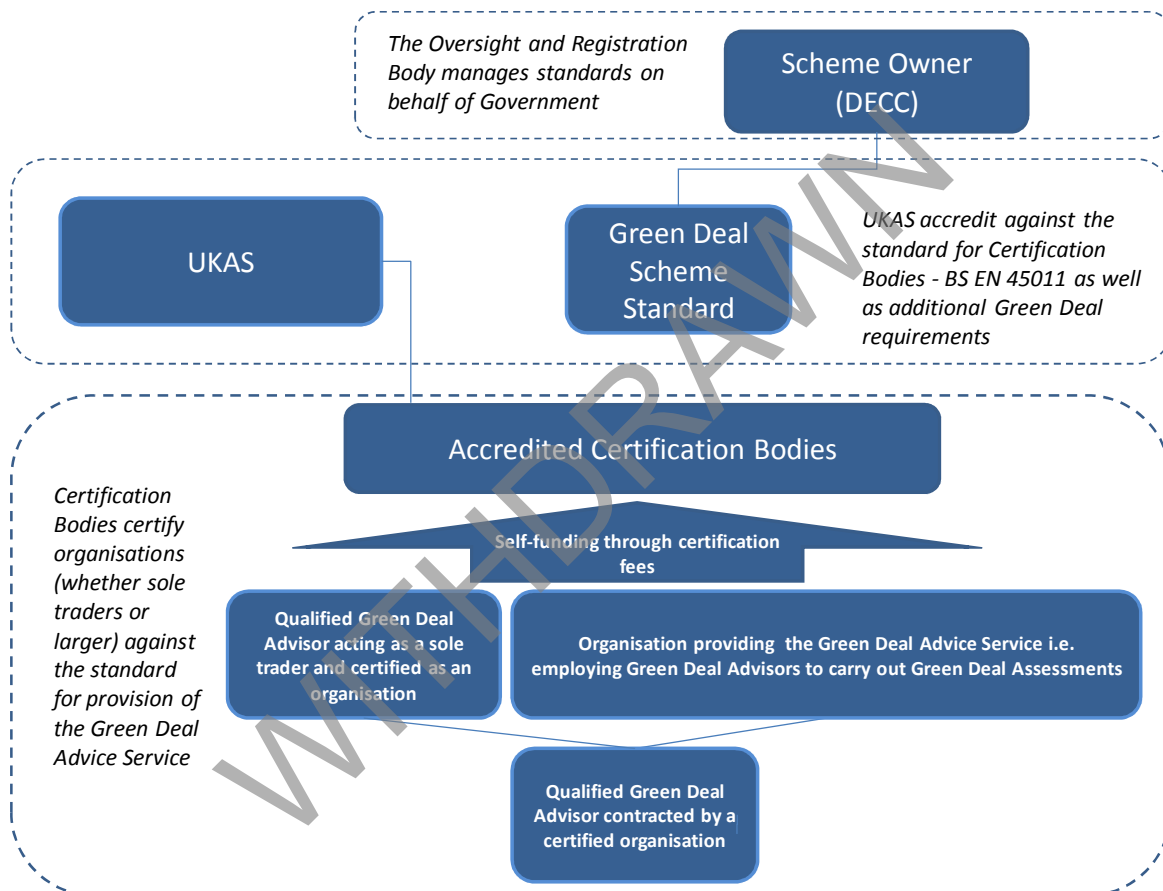


Figure 1. Parties involved in third party assurance and oversight of the Green Deal Advice Service

3. Terms and Definitions

Approved Organisation

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

Approved Software

Any software that has been approved by DECC as compliant with applicable software specifications. The software specifications require any software to accurately and consistently produce results that are consistent with the occupancy assessment methodology for domestic properties and iSBEM methodology for non-domestic properties.

Audit

Systematic, independent, documented process for obtaining records, statements of fact or other relevant information, including inspecting and evaluating them objectively to determine the extent to which specified requirements are fulfilled.

Note: Based on BS EN ISO/ IEC 17000 (4.4).

Continuing Professional Development (CPD)

The means by which people maintain their knowledge and skills related to their professional lives.

Contracted Green Deal Advisor

An individual employed or contracted by an Organisation to carry out Green Deal Assessments according to the Specification for Organisations providing the Green Deal Advice Service. The Green Deal Advisor must be accredited by an Energy Performance of Buildings Directive (EPBD) Accreditation Scheme as a Domestic/ Non-Domestic Energy Assessor (or be a member of an Approved Organisation in Scotland) and qualified under the Green Deal Advisor National Occupational Standards.

Customer

A property owner, landlord and/or tenant of a building who has requested the Green Deal Advice Service. May be referred to as the 'client' in the 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 produce an Energy Performance Certificate in England and Wales.

Energy Act 2011

The Bill of Parliament passed in October 2011 that set the framework for the Green Deal scheme.

Further information on the Energy Act 2011 can be found at

http://www.decc.gov.uk/en/content/cms/legislation/energy_act2011/energy_act2011.aspx.

EPBD Accreditation Scheme

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

Energy Performance Certificate (EPC)

A certificate that 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. 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.

The Framework Regulations

The Green Deal Framework (Disclosure, Acknowledgment, Redress etc.) Regulations 2012 (SI 2012/2079), referred to as the Framework Regulations in this Specification, is secondary legislation that provides more detailed requirements for the operation of the Green Deal scheme.

Green Deal Advice Report

The report produced by a Green Deal Advisor, on behalf of an Organisation providing the Service, as a consequence of a Green Deal Assessment of a property..

Green Deal Advice Service or Service

The scope of services that can be delivered by an Organisation, according to the separate Specification for Organisations providing the Green Deal Advice Service. The Service includes carrying out a Green Deal Assessment and recommending energy efficiency improvements.

Green Deal Assessor Certification Body or Certification Body

A Certification Body assessed and accredited by the Green Deal Accreditation Body as defined in the Green Deal Code of Practice against the requirement of BS EN 45011 to provide certification within

the specified scope of this Specification. Referred to as the 'Certification Body' within this Specification.

Green Deal Assessment

A Green Deal Assessment (referred to as a 'qualifying assessment' in the Energy Act 2011 and the Framework Regulations) will act as a gateway to the Green Deal. A Green Deal Assessment must be undertaken before a person may enter into a Green Deal Plan.

Green Deal Code of Practice

Sets out the criteria that Green Deal Participants (Assessors, Installers and Providers) and Green Deal Certification Bodies must meet and adhere to when operating within the Green Deal framework. The Code of Practice also specifies requirements for products and systems that are used within the Green Deal.

Green Deal Installer

An installer certified and authorised to install energy efficiency measures specified under the Green Deal.

Green Deal Ombudsman

Ombudsman appointed by the DECC Secretary of State to provide customer redress for the Green Deal.

Green Deal Registration and Oversight Body

The body appointed from 2012 to act on behalf of the DECC Secretary of State in the management of the Green Deal scheme. Its functions include overseeing a register of authorised Green Deal Participants as well as managing the Green Deal Quality Mark and Code of Practice.

Green Deal Plan

The Green Deal Provider and customer will agree a 'Green Deal Plan' to set out the agreed amount and term of repayments.

Green Deal Provider

An organisation that is authorised by the Secretary of State to act as a finance provider under the Green Deal, according to the provisions of the Green Deal Framework Regulations and Code of Practice.

National Occupational Standards (NOS)

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 organisation, and apply across the UK.

Non-compliance

Deviation from specific requirements in relation to this Specification or the separate Specification for Organisations providing the Green Deal Advice Service. Referred to as a 'non-conformity' in the BS EN 45011 standard.

Operator of the Register of Energy Performance Certificates (England and Wales)

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

Operator of the Register of Energy Performance Certificates (Scotland)

Operator appointed by Government in Scotland to hold the register upon which EPCs are stored and retrieved.

Organisation providing the Green Deal Advice Service, or Organisation

Company of any size that is providing the Service, is authorised by the Secretary of State to act as a Green Deal Assessor, and is listed on a public register of Green Deal Assessors. This shall include sole traders unless there are specific provisions or exemptions for sole traders, as stated in this Specification in Section 5.1 Robust and Credible Management Systems, paragraph 29 (f) and (g); 5.3 Continuing Professional Development paragraph 36 (c); 5.6 Internal Audit and Corrective Action, paragraph 45; and, 5.10 Disciplinary and Appeals Procedures, paragraph 51. The Organisation is referred to as the 'Green Deal Assessor' in the Energy Act 2011, Green Deal Framework Regulations and Green Deal Code of Practice.

Occupancy assessment

A part of the Green Deal Assessment in the domestic sector that provides information about how the current occupant(s) of a property use(s) energy.

Sole trader

For the purposes of this Specification a sole trader is an unincorporated business entity owned and run by the same person. Organisations that employ or contract additional Green Deal Advisors shall not be considered sole traders within this Specification.

Note: Further definitions are available in the Specification for Organisations providing the Green Deal Advice Service

References

Specification for organisations providing the Green Deal Advice Service

4. General Requirements for the Assessment and Certification Framework

8. The certification system operated by the Certification Body shall comply with BS EN 45011 in relation to the provisions of this Specification and the Specification for Organisations providing the Green Deal Advice Service.

9. This section provides the requirements for the assessment and certification framework to be followed by Certification Bodies in assessing conformity with the Specification for Organisations providing the Green Deal Advice Service. In addition, Sections 5 to 7 provide guidance on specific audit procedures that Certification Bodies must follow with a summary provided at Annex C. This document shall be used in conjunction with the Specification for Organisations providing the Green Deal Advice Service which provides the requirements for Organisations delivering the Green Deal Advice Service.

4.1 Application and Certification

4.1.1 Application

10. In addition to the requirements of BS EN 45011 the Certification Body shall obtain, at initial application, information about the Organisation which is required to meet the requirements in the Framework Regulations and the Green Deal Code of Practice in respect of authorisation and registration with the Green Deal Registration and Oversight Body.

4.1.2 Certification Audit

11. The Organisation will be unable to provide the Service until it is certified under the Specification for Organisations providing the Green Deal Advice Service. As such, at the initial application the Organisation may not have fully implemented or be operating all the required formal procedures.

12. The Certification Body shall conduct the initial Certification Audit and grant certification based on the conditions at (a) to (c) in this paragraph:

- a) An Organisation's fulfilment of eligibility requirements as outlined in Section 4 of the Specification for Organisations providing the Green Deal Advice Service;
- b) A review of an Organisation's management systems as outlined in the Section 5 of the Specification for Organisations providing the Green Deal Advice Service; and
- c) A review of the operational procedures and relevant documents as outlined in the Section 6 of the Specification for Organisations providing the Green Deal Advice Service.

Note: In most cases the Certification Audit shall take place at the registered office of the Organisation. However, in exceptional circumstances dependent on size and structure of the Organisation, the Certification Body may agree to conduct the Certification Audit at an alternative offsite location or via video conferencing. The Certification Body shall document the justification where this approach has been adopted.

13. Certification shall be granted for five years and shall be subject to ongoing surveillance audits. After five years, the Certification Body shall conduct a re-certification Audit on the Organisation based on the requirements outlined in paragraph 12.

4.2 Ongoing Surveillance

4.2.1 Surveillance Audit

14. The Certification Body shall complete an annual desktop surveillance audit of an Organisation that it has certified, during which the Certification Body shall carry out the activities at (a) to (e) in this paragraph:

- a) Confirm ongoing compliance with eligibility requirements as outlined in Section 4 of the Specification for organisations providing the Green Deal Advice Service;
- b) Request information on any changes to an Organisation's management systems and operational procedures and verify that changes comply with applicable requirements;
- c) Sample five per cent (or at least one) of the contracted Green Deal Advisor records to verify that the eligibility requirements for the Organisations in respect to their contracted Green Deal Advisors have been met, i.e. training, Continuing Professional Development (CPD) and appraisal records and their qualifications in relation to work assigned;
- d) Sample 10 per cent (or at least one, if any) of the complaint records in relation to the Service to review implementation of an Organisation's complaints procedure and verify that the complaints are handled in accordance to the procedure outlined in the separate Specification for Organisations providing the Green Deal Advice Service; and
- e) Review internal audit records and implementation of corrective action.

4.2.2 Green Deal Advice Report Audit

15. The Certification Body shall ensure that two per cent of domestic and two per cent of non-domestic Green Deal Advice Reports, lodged on behalf of each certified Organisation, are audited per year. As a minimum, the Certification Body shall audit the items at (a) and (b) in this clause:

- a) One domestic Green Deal Advice Report quarterly for each domestic Green Deal Advisor (if any are lodged); and
- b) One non-domestic Green Deal Advice Report for each non-domestic Green Deal Advisor every six months (if any are lodged).

16. During a Green Deal Advice Report audit the Certification Body shall verify the items (a) to (c) in this paragraph:

- a) The Green Deal Assessment work assigned by the Organisation to the contracted Green Deal Advisor is in accordance with the qualification and competence requirements outlined in the Specification for Organisations providing the Green Deal Advice Services;
- b) The EPC that is used is valid and suitable for the Green Deal Assessment as per the requirements outlined in paragraphs 66, 67 and 68 of the Specification for Organisations providing the Green Deal Advice Service; and
- c) Compliance with the operational procedures and lodgement of the Green Deal Advice Report for domestic or non-domestic properties in England and Wales or Scotland, as applicable and as outlined in the Specification for Organisations providing the Green Deal Advice Service.

17. In relation to auditing the occupancy assessment (domestic properties) and a non-domestic Green Deal Advice Report (non-domestic properties), the Certification Body shall assess and verify that the necessary activities have been carried out in accordance with the separate Specification for Organisations providing the Green Deal Advice Service, that documentary evidence has been collected and stored and that the evidence and outputs of the assessment are consistent with each other. This shall include verification of the evidence at (a) to (f) in this paragraph, as appropriate:

- a) Data collection methods and accuracy of data input;
- b) Breakdown of customer's energy use compared to typical energy use;
- c) Any revised savings for the recommended package;
- d) Data collection for, and relevance of, alternative packages included in the Green Deal Advice Report;
- e) Any behavioural advice provided to the customer in writing; and
- f) Communication in writing of any subsidies to the customer where appropriate.

Note: The guidance for carrying out the occupancy assessment (domestic) and a non-domestic Green Deal Advice Report will be published separately.

4.2.3 Witnessed Assessments

18. The Certification Body shall conduct witnessed assessments of the Green Deal Advice Service carried out by contracted Green Deal Advisors to establish compliance with the conditions at (a) and (b) in this paragraph:

- a) Instructions provided by the Organisation in relation to customer interaction as outlined in paragraph 48 of the Specification for Organisations providing the Green Deal Advice Service; and
- b) Operational procedures as outlined in section 6 of the Specification for Organisations providing the Green Deal Advice Service.

19. A sample of contracted Green Deal Advisors shall be evaluated through witnessed assessments within the first six months of initial certification being granted. This sample size shall be calculated as

a square root of an Organisation's contracted Green Deal Advisors rounded up to the next whole number. Please see Annex B at the end of this Specification for details of the sample sizes.

20. Following the first set of witnessed assessments, a sample (as described in paragraph 19) of contracted Green Deal Advisors shall be evaluated through ongoing witnessed assessments at least every 12 months. A risk-based approach shall reduce the period by three months each time any of the following risk triggers are identified:

- a) Major non-compliance at certification audit or surveillance audit;
- b) Major non-compliance during witnessed assessments;
- c) Major non-compliance during Green Deal Advice Report audit; or
- d) Upheld complaint(s) deemed to be significant or major about the Organisation regarding the Service.

21. Where an Organisation provides both a domestic and non-domestic service, the sample for witnessed assessments shall be determined by:

- a) Inclusion of both domestic and non-domestic Green Deal Advisors; and
- b) The risk-based approach according to risk triggers outlined in paragraph 20.

4.3 Non-Compliance and Suspension

22. In relation to the seriousness of the non-compliances, the following guidance shall be used:

- a) *Non-compliance*: Deviation from specified certification requirements defined in the Specification for Organisations providing the Green Deal Advice Service. Depending on the nature of the non-compliance, the Organisation may be allowed to continue or may be subject to suspension until the non-compliance is rectified; and
- b) *Major non-compliance*: Non-compliance as described in clause (a) with compelling evidence that the Organisation has failed to meet the Specification for Organisations providing the Green Deal Advice Service, in a way that has had a major impact on the customer or other stakeholders. The Organisation shall be suspended until the major non-compliance is rectified. Major non-compliance shall be counted as a risk trigger against the Organisation.

23. The Certification Body shall take into account the following factors when considering the impact of the non-compliance:

- a) The level of harm that flowed from the non-compliance;
- b) Whether the non-compliance has occurred in a number of other cases;
- c) Whether other bodies have imposed sanctions in relation to the non-compliance;
- d) Whether the Organisation has accepted responsibility for the non-compliance; and
- e) Whether the Organisation made a financial benefit from the non-compliance, or intended to make such a gain for themselves or a commercial partner.

24. Any non-compliance must be rectified within 12 weeks and the Certification Body shall check on, and record, the effectiveness of remedial action. The Certification Body shall have an escalation process in place if remedial action does not substantively remedy the shortcoming:

- a) In the event of failure to rectify a non-compliance within 12 weeks the non-compliance shall be treated as a major non-compliance. The Organisation shall be suspended until this major non-compliance is rectified; and
- b) In the event of failure to rectify a major non-compliance within 12 weeks the certification shall be withdrawn.

25. Certification cannot be granted until all non-compliances identified during the certification audit have been rectified.

4.4 Certification Records

26. The Certification Body shall maintain the records at (a) to (c) in this paragraph:

- a) A list of all certified Organisations and all Green Deal Advisors employed or subcontracted by them;
- b) A list of Organisations in relation to which certification or authorisation to provide the Service has been withdrawn or suspended; and
- c) The expiry dates of any documents submitted as part of an Organisation's certification i.e. insurance policies.

27. The Certification Body shall make the information described in the paragraph 26 (a) to (c) available to the Green Deal Registration and Oversight Body within the timeframes specified by the Green Deal Registration and Oversight Body.

28. Records of certifications and suspensions or withdrawals shall be retained by Certification Bodies for seven years.

5. Eligibility Criteria

5.1 General

29. This section provides information on audit procedures to be followed when checking compliance with Section 4 of the Specification for Organisations providing the Green Deal Advice Service. All the requirements stipulated in Section 5 below shall be verified when conducting both the certification audit and annual surveillance audit.

30. The Certification Body shall ensure that the Organisation applying for the certification to provide the Service is currently not suspended by another Certification Body. This information will be made available by the Green Deal Registration and Oversight Body.

31. The Certification Body shall verify that any significant changes that have occurred since the previous certification audit or surveillance audit have been communicated by the Organisation to the Certification Body as outlined in the paragraph 15 of the Specification for Organisations providing the Green Deal Advice Service.

5.2 Recognition of Green Deal Advisors as a DEA/ NDEA in England and Wales

32. The Certification Body shall confirm that a robust procedure is in place to ensure that all Green Deal Advisors associated with an Organisation are currently recognised by the Operator of the Register of Energy Performance Certificates (England and Wales) as active members of an Energy Performance Building Directive (EPBD) Accreditation Scheme for either DEAs or NDEAs.

33. Where an Organisation requests to expand the scope of their certification by contracting a new Green Deal Advisor, the Certification Body shall confirm that the Organisation has a procedure in place to verify that the new Advisor holds a current valid membership with an EPBD Accreditation Scheme as described in paragraph 32.

5.3 Recognition of Green Deal Advisors to Produce Energy Performance Certificates in Scotland

34. The Certification Body shall confirm that a robust procedure is in place to ensure that all Green Deal Advisors associated with an Organisation are currently recognised by the Operator of the Register of Energy Performance Certificates (Scotland) as an Approved Organisation, as appointed by Scottish Ministers in the production of domestic or non-domestic Energy Performance Certificates, as applicable.

35. Where an Organisation requests to expand the scope of their certification by contracting a new Green Deal Advisor, the Certification Body shall confirm that the Organisation has a procedure in place to verify that the new Green Deal Advisor holds a current valid membership with an Approved Organisation as described in paragraph 34.

5.4 Qualification and Competence of Green Deal Advisors

36. The Certification Body shall verify that all contracted Green Deal Advisors fulfil the qualifications and competence criteria relevant to the particular service they deliver and their country of operation, as described in paragraph 22 of the Specification for Organisations providing the Green Deal Advice Service.

5.5 Insurance

37. The Certification Body shall verify the presence of a valid insurance policy with an appropriate insurance cover as outlined in Section 4.6 of the Specification for Organisations providing the Green Deal Advice Service. A policy should be issued by a firm included on the Financial Services Authority (FSA) register as 'Authorised', 'EEA Authorised' or as an 'Appointed Representative'.

38. The Certification Body shall request the Organisation to provide evidence of a valid policy at the certification audit, at the surveillance audit and on the renewal date of the insurance policy.

39. The Certification Body shall request that the Organisation surrendering their certification provide evidence on how they will ensure professional indemnity cover of at least six years as outlined in the paragraph 27 of the Specification for Organisations providing the Green Deal Advice Service. A failure to do so shall be reported to the Green Deal Registration and Oversight Body.

40. Organisations may be included under a third party insurance policy. The Certification Body shall verify the level of cover with the third party organisation or insurer as appropriate.

Note: The Certification Body may also provide insurance cover to the Organisations but must be able to demonstrate to UKAS that this is in line with impartiality requirements of BS EN 450011.

6. Management and Monitoring of the Green Deal Advice Service

6.1 General

41. This section provides information on audit procedures to be followed when checking compliance with Section 5 of the Specification for Organisations providing the Green Deal Advice Service.

6.2 Robust and Credible Management Systems

42. At the time of the certification audit and the surveillance audit, the Certification Body shall verify the presence of a robust and credible management system as outlined in the Section 5 of the Specification for Organisations providing the Green Deal Advice Service.

6.3 Selection and Work Assignment

43. At the time of the surveillance audit, the Certification Body shall audit a sample five per cent (or at least one) of the Green Deal Advisor records to verify that assignment of Green Deal Advisors is relevant to their qualification.

6.4 Continuing Professional Development (CPD)

44. At the time of the certification audit, the Certification Body shall verify the Organisation's procedure for identifying and organising CPD to ensure all elements of the Specification for Organisations providing the Green Deal Advice Service are captured.

45. At the time of the surveillance audit, the Certification Body shall verify that the Organisation has made provision for Green Deal Advisors to undertake the required CPD by auditing a sample of five per cent (or at least one) of the appraisals and training records or any other relevant personnel records as noted in the procedure.

46. At the time of the surveillance audit, the Certification Body shall request information from the Organisation regarding any changes to the procedures for identifying and organising CPD.

6.5 Sub-Contracting Green Deal Advice Work

47. At the time of the certification audit and the surveillance audit, the Certification Body shall verify that the Organisation applies all their procedures and policies related to the Service consistently across all Green Deal Advisors, including subcontractors.

6.6 Green Deal Assessment Control – Documents, Record Keeping and Information Management

48. At the time of the certification audit, the Certification Body shall verify the procedure through which the Organisation records the Service delivered and the associated information. The Certification Body shall also verify the Organisation's document retention periods.

49. At the time of the certification audit and the surveillance audit, the Certification Body shall verify that there is evidence that the Organisation has registered with the Public Register of Data Controllers by notifying the Information Commissioner's Office (ICO) and has agreed to information sharing, as outlined in the paragraphs 43 and 44 of the Specification for Organisations providing the Green Deal Advice Service.

6.7 Internal Audit and Corrective Action

50. At the time of the certification audit, the Certification Body shall verify that the Organisation has a documented procedure for auditing Green Deal Assessments and dealing with any resulting corrective actions. At the time of the surveillance audit, the Certification Body shall check for any changes in procedures.

51. At the time of the surveillance audit, the Certification Body shall verify that at least five per cent (or at least one) of Green Deal Assessments have been audited internally every 12 months.

Note: Organisations which are sole traders shall have in place a procedure for self assessment to meet the requirement in paragraph 51.

6.8 Interaction with Customers

52. At the time of the certification audit, the Certification Body shall review the Organisation's procedure for instructing Green Deal Advisors on dealing with customers. During the witnessed assessments the Certification Body shall verify the implementation of the procedure. Organisations which are sole traders are exempt from producing a written procedure but shall demonstrate compliance to the requirements outlined in the paragraph 48 of the Specification for Organisations providing the Green Deal Advice Service.

6.9 Claims of Conformity

53. At the time of the certification audit and the witnessed assessment, the Certification Body shall review documentation issued to customers by the Organisation to ensure it meets the requirements of paragraph 49 of the Specification for Organisations providing the Green Deal Advice Service.

6.10 Complaints Management

54. At the certification audit the Certification Body shall verify the presence of a documented complaints procedure. At the annual surveillance audit the Certification Body shall verify the operation of the procedure by sampling 10 per cent (or at least one) of the complaints recorded (if any recorded) against the Organisation regarding the Service.

55. The Certification Body shall have a documented procedure in place to handle complaints about Organisations it has granted certification to.

56. In addition, the Certification Body shall carry out the activities at (a) to (f) in this paragraph:

- a) Request the Organisation to inform the Certification Body of all complaints received from customers and Green Deal Participants, and to disclose all material correspondence and other evidence required if requested;
- b) Receive, record and address complaints received from customers or Green Deal Participants about an Organisation it has granted certification to;
- 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) Inform the Green Deal Registration and Oversight Body if the complaint is not resolved;

- e) Respond to any recommendations made by the Green Deal Ombudsman in their investigation of a customer redress case using evidence provided by the Ombudsman; and
- f) Report any misuse or unauthorised use of the Green Deal Quality Mark identified by or reported to them to the Green Deal Registration and Oversight Body.

6.11 Disciplinary and Appeals Procedures

57. At the time of the certification audit, the Certification Body shall verify the Organisation's documented disciplinary procedure. At the time of the surveillance audit the Certification Body shall verify the operation of the procedure. This requirement is not relevant to sole traders.

58. At the time of the certification audit, the Certification Body shall also ensure that there are procedures in place through which a Green Deal Advisor can appeal against a disciplinary action brought by the Organisation. This requirement is not relevant to sole traders.

7. Operational Procedures

7.1 General

59. At the time of the witnessed assessment, the Certification Body shall verify that the Green Deal Advisors contracted by Organisations it has certified have acted with impartiality, in accordance with the operational procedures and paragraph 11 of the Specification for Organisations providing the Green Deal Advice Service, and have allowed sufficient time to conduct assessments.

7.2 Quality Assurance

60. At the time of the witnessed assessment, the Certification Body shall conduct ongoing risk-based witnessed assessments as outlined in Section 4 of this Specification.

61. The Certification Body shall conduct ongoing Green Deal Advice Report audits as outlined in Section 4 of this Specification.

7.3 Preparation for the Green Deal Advice Service

62. At the time of the witnesses assessment, the Certification Body shall review the adequacy of the information provided to the customer by the Organisation about the Service. At the time of the certification audit, the Certification Body shall verify the Organisation's procedure for providing this information.

63. At the time of the certification audit and the surveillance audit, the Certification Body shall review the Organisation's mechanisms for capturing pre-visit information and how information is stored.

64. At the time of the certification audit and the surveillance audit, the Certification Body shall review the process through which the Organisation assigns Green Deal Advisors to specific domestic and non-domestic properties based on their qualifications and competence and in relation to the information provided by the customer.

7.4 During the Green Deal Advice Service

65. At the time of the witnessed assessment, the Certification Body shall verify the process through which Green Deal Advisors conduct the Service, give information to the customer and record the details of the visit.

66. At the time of the certification audit and the witnessed assessment, the Certification Body shall verify the mechanisms through which a Green Deal Advisor records that the customer has been informed of all the information given prior to and during the Green Deal Advice visit.

67. At the time of the witnessed assessment, the Certification Body shall verify that Green Deal Advisors are using the Approved Software (more information in Annex A).

7.5 Producing and Lodging the Green Deal Advice Report

68. At the time of the certification audit, the Certification Body shall verify the processes used by the Organisation to produce, lodge and issue a Green Deal Advice Report to the customer, including their interaction with EPBD Accreditation Schemes (in England and Wales) and/or Approved Organisations (in Scotland) regarding the lodgement of EPCs. At the time of the Green Deal Advice Report audit, the Certification Body shall verify that the Green Deal Advice Report meets all criteria regarding content and format and has been issued within the Organisation's stated time frame.

69. In England and Wales, the Certification Body shall ensure that the occupancy assessment and the Green Deal Advice Report, containing operational data, is lodged into the Landmark Register within two weeks of the Green Deal Assessment taking place and under its own unique reference number.

70. In Scotland, the Certification Body shall ensure that the occupancy assessment and the Green Deal Advice Report, containing operational data, is lodged into the Scottish EPC register within two weeks of the Green Deal Assessment taking place and under its own unique reference number.

Annex A – Reference Documents and Tools

Reference document or tool	Description
Green Deal Occupancy Assessment Software and Conventions/ Guidance	This is any software approved by DECC to accurately and consistently produce results that are consistent with the Green Deal Occupancy Assessment methodology. A list of currently approved software is available at www.bre.co.uk/sap2009/page.jsp?id=1642
iSBEM (Green Deal module)	This is any software approved by DECC to accurately and consistently produce results that are consistent with the non-domestic Green Deal assessment methodology. A list of currently approved software is available at www.gdtool.bre.co.uk .
Green Deal Code of Practice	The Code of Practice has been developed following the Green Deal consultation and is currently before Parliament. The Code of Practice is available from www.greendealorb.co.uk/code-of-practice .
Green Deal Quality Mark Guidelines	The Green Deal Quality Mark went live in August 2012 and allows businesses to demonstrate that they are authorised to operate under the Green Deal. The Green Deal Quality Mark Guidelines are available from www.greendealorb.co.uk/green-deal-branding-guidelines .
National Occupational Standards for Green Deal Advisors	The current National Occupational Standards for Green Deal Advisors are available from Asset Skills : http://www.assetskills.org/PropertyAndPlanning/EPBDGreenDealNOS.aspx .
RdSAP Conventions for use of full SAP	New RdSAP Conventions are available on www.bre.co.uk/filelibrary/accreditation/sap_conventions/v4/120912_SAP_Conventions_Issue_v4.0.pdf .
ESAS (in England and Wales) and ESSAC (in Scotland)	The Energy Saving Advice Service (for England and Wales) was launched in April 2012. In Scotland, the ESSAC network is an existing service and began offering Green Deal and ECO advice in summer 2012.

Annex B – Certification System and Sample Sizes

Organisation details	Organisation	Green Deal Advisors	Audit type	Certification audit every 5 years	Desktop annual surveillance audit	Witnessed assessments (in the first six months and ongoing at least every 12 months)	Green Deal Advice Report audits
	1	1	Sample size	1	1	1	Domestic: 2% audited per year. As a minimum, per each domestic Green Deal Advisor, one domestic Green Deal Advice Report every three months Non-domestic: 2% audited per year. As minimum, per each non-domestic Green Deal Advisor, one non domestic Green Deal Advice Report every six months
	1	2		1	1	2	
	1	5		1	1	3	
	1	10		1	1	4	
	1	20		1	1	5	
	1	30		1	1	6	
	1	50		1	1	8	
	1	100		1	1	10	
	1	150		1	1	13	
	1	200		1	1	14	
	1	250		1	1	15	

Annex C – Matrix of Audit Procedures

	Requirement	Audit requirement guidelines				Additional information
Section	Specification for Organisations providing the Green Deal Advice service	Certification Audit	Surveillance Audit	GDAR Check	Witnessed Assessments	Specification for Certification Bodies certifying the Green Deal Advice service
4	12	✓	✓	✓	✓	
	13	✓	✓	✓	✓	
	14	✓				30
	15	✓	✓			31
	16	✓	✓	✓	✓	32;33
	17	✓	✓	✓	✓	32;33
	18	✓	✓	✓	✓	32;33
	19	✓	✓	✓	✓	34;35
	20	✓	✓	✓	✓	34;35
	21	✓	✓	✓	✓	34;35
	22	✓	✓			36
	23	✓	✓			31
	24	✓	✓			37;38
	25	✓	✓			37;38
	26	✓	✓			37;38
5	27	When surrendering their certification				39
	28	✓	✓			41
	29	✓	✓			42
	30	✓	✓	✓	✓	
	31	✓	✓		✓	43
	32	✓	✓	✓	✓	43
	33	✓	✓			43
	34	✓	✓			44;45;46
	35	✓				44;45;46
	36		✓			45
	37	✓	✓			44;45
	38	✓	✓			47
	39	✓	✓	✓	✓	47
	40	✓	✓			48
	41	✓	✓			48
	42		✓			48
	43	✓	✓			49
	44	✓	✓			48
	45	✓	✓			50;51
	46	✓	✓			50;51
	47	✓	✓			50;51
	48	✓	✓		✓	52
	49	✓			✓	53
	50	✓	✓			54
	51	✓	✓			57
	52	✓				58

Annex C – Matrix of Audit Procedures continued

	Requirement	Audit requirement guidelines				Additional information
Section	Specification for Organisations providing the Green Deal Advice service	Certification Audit	Surveillance Audit	GDAR Check	Witnessed Assessments	Specification for Certification Bodies certifying the Green Deal Advice service
7	53	✓	✓	✓	✓	59
	54			✓	✓	59
	55				✓	59
	56		✓		✓	64
	57	✓			✓	62;63
	58	✓			✓	59
	59	✓			✓	62;63
	60	✓		✓	✓	63
	61	✓		✓	✓	63
	62			✓	✓	
	63			✓	✓	
	64				✓	64
	65			✓	✓	
	66			✓		
	67			✓		
	68			✓		
	69				✓	65
	70				✓	65
	71				✓	65;66
	72				✓	65;66
	73				✓	65
	74				✓	65
	75				✓	67
	76				✓	65
	77				✓	65
	78				✓	67
	79				✓	66
	80				✓	66
	81			✓	✓	65;66
	82			✓		68
	83			✓		68
	84			✓		68
	85			✓		68
	86			✓		68
	87			✓		68
	88			✓		68
	89	✓				