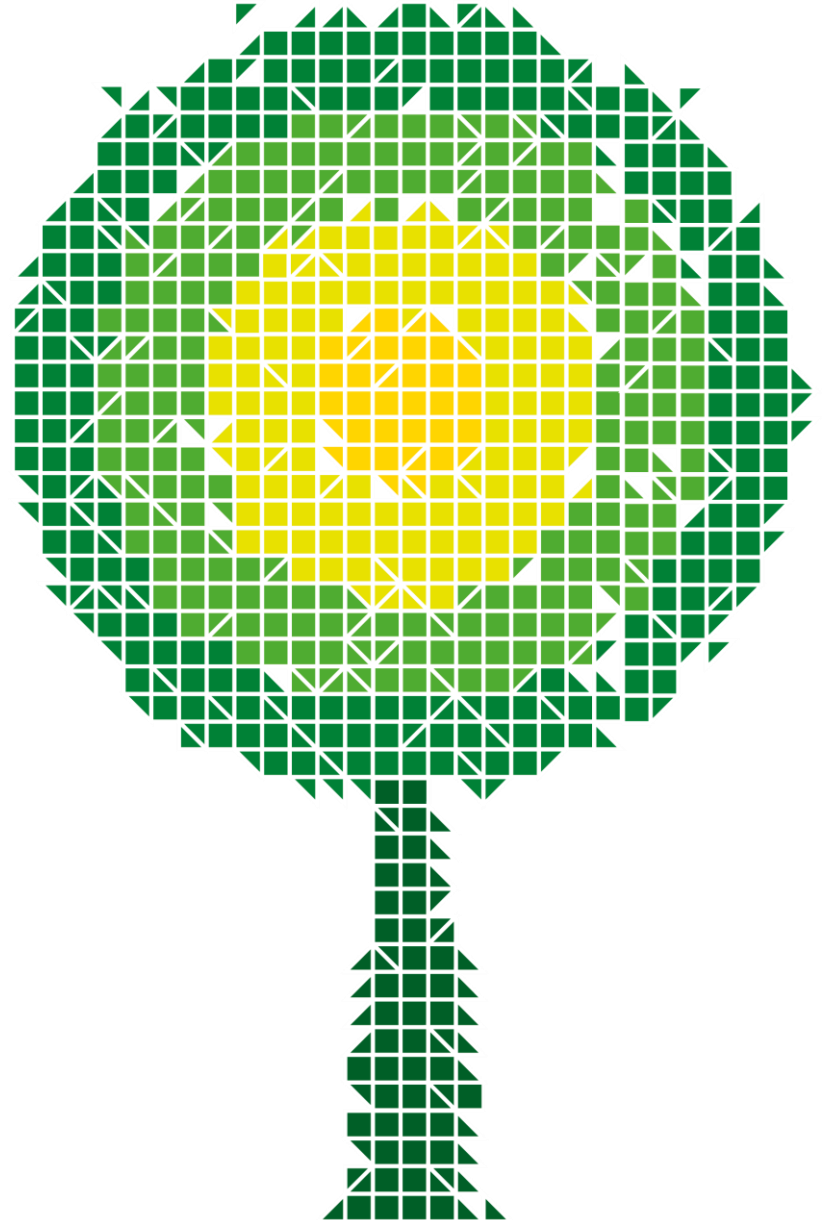


Green Deal Provider Application Guidance

Document V2.0



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1. INTRODUCTION

- The Energy Act 2011 (<http://www.legislation.gov.uk/ukpga/2011/16/contents/enacted>)
- The Green Deal Framework (Disclosure, Acknowledgment, Redress etc.) Regulations 2012 (<http://www.legislation.gov.uk/ukdsi/2012/9780111525227/contents>)
- The Green Deal Code of Practice (GD CoP) (<http://gdorb.decc.gov.uk/code-of-practice>).

Why has the Green Deal Provider application process been established?

Green Deal Providers (Providers) play the lead role in delivering Green Deal Plans to consumers and businesses and play a large part in managing market participant relations. As part of this role, Providers are required to establish business policies and procedures to comply with legislation and sign up to several industry IT systems and networks, as well as holding licences to add and access information via these systems. More on this is covered in the document, *Becoming an Active Green Deal Provider – Guidance*, which can be downloaded from the GD ORB website: (<http://gdorb.decc.gov.uk/providers/green-deal-provider-guidance>).

In order to establish and uphold standards for all of the Green Deal scheme's stakeholders, it is important to ensure applicant Providers are fit to operate to a high standard. To help achieve this, the Department of Energy and Climate Change (DECC) and the Green Deal Oversight and Registration Body (GD ORB) have established a process for organisations seeking to become authorised Providers.

Each prospective Provider is required to complete a Pre-Assessment Questionnaire (PAQ) and Fitness Test form. The PAQ is a light-touch examination of company information, references and proposed scope to operate in the market. The Fitness Test is a more detailed examination of each prospective organisation's suitability, taking into account internal procedures and professional standards, to act as a Provider. The process of applying for Provider authorisation can be lengthy due to the detailed nature of the information and evidence of competency that each prospective organisation is expected to provide. However, the period of time is largely dependent on the quality and suitability of the information supplied in respect to each question. A good submission is more likely to experience a reduced processing time for the GD ORB to provide a recommendation to the Secretary of State (SoS). Further information on processing timelines is covered in Section 2 – Indicative Timeline.



Please note, there is no application fee payable to the GD ORB in respect of the Provider authorisation process until July 2015. DECC is considering a fee for authorising applications and/or an annual fee for participants in the Green Deal, including Providers, from the 1st of August 2015.

1.1. The Role of the Green Deal Oversight and Registration Body (GD ORB)

On behalf of the SoS, the GD ORB provides administration and oversight of the Green Deal scheme. In relation to the Provider application process, the GD ORB is the first point of contact for all prospective Providers and will support applicants throughout the authorisation process, providing advice and support for any organisation seeking more information on the Provider's market role. Persons wishing to apply for authorisation should contact gdproviderapplications@gemserv.com in the first instance.

The GD ORB works to make the process as open, informative and transparent as possible. This is a detailed examination of fitness to act as a Provider, and as such applicant organisations may be asked to provide additional information or clarify aspects of their submission, to help ensure the application is as strong as possible. The GD ORB then makes a recommendation pertaining to the applicant's fitness to be authorised to the SoS. In turn, the SoS will review the submitted application and decide whether the applicant is fit to be authorised as a Provider and operate in the Green Deal market.

1.2. The Role of the Department of Energy and Climate Change (DECC)

The SoS will make the ultimate decision and this decision cannot be overturned by the GD ORB. For some subject areas, DECC may require applicant organisations to provide further details of how it proposes to conduct its business (for example, in relation to Tied Assessors). This is because DECC needs to be clear that an applicant will have procedures and safeguards in place to ensure that it operates in accordance with Green Deal legislation and the GD CoP. This kind of information will be particularly important where the applicant is a start-up business or does not have an established track record. If this is the case, DECC is likely to scrutinise the applicant's Fitness Test and supporting documentation in more detail. Where an applicant is successful, but the information provided has nevertheless raised some concerns, they will be monitored. The monitoring will form part of the GD ORB's Monitoring Strategy, which consists of gathering evidence of non-compliance and when necessary, referring participants to the Ombudsman or the SoS to impose sanctions. The Monitoring Strategy helps ensure the market-based scheme stays fair, balanced and



competitive. More on SoS sanctions is covered in the Green Deal Framework (Disclosure, Acknowledgment, Redress etc.) Regulations 2012, which is referred to in Section 3 – Responsibility of a Green Deal Provider.

1.3. Submitting a new application

If DECC is not satisfied with the information provided by the applicant organisation, the GD ORB will issue an 'Intention to Refuse' letter on behalf of the SoS, outlining the concerns raised with the PAQ, Fitness Test and/or supporting documentation.

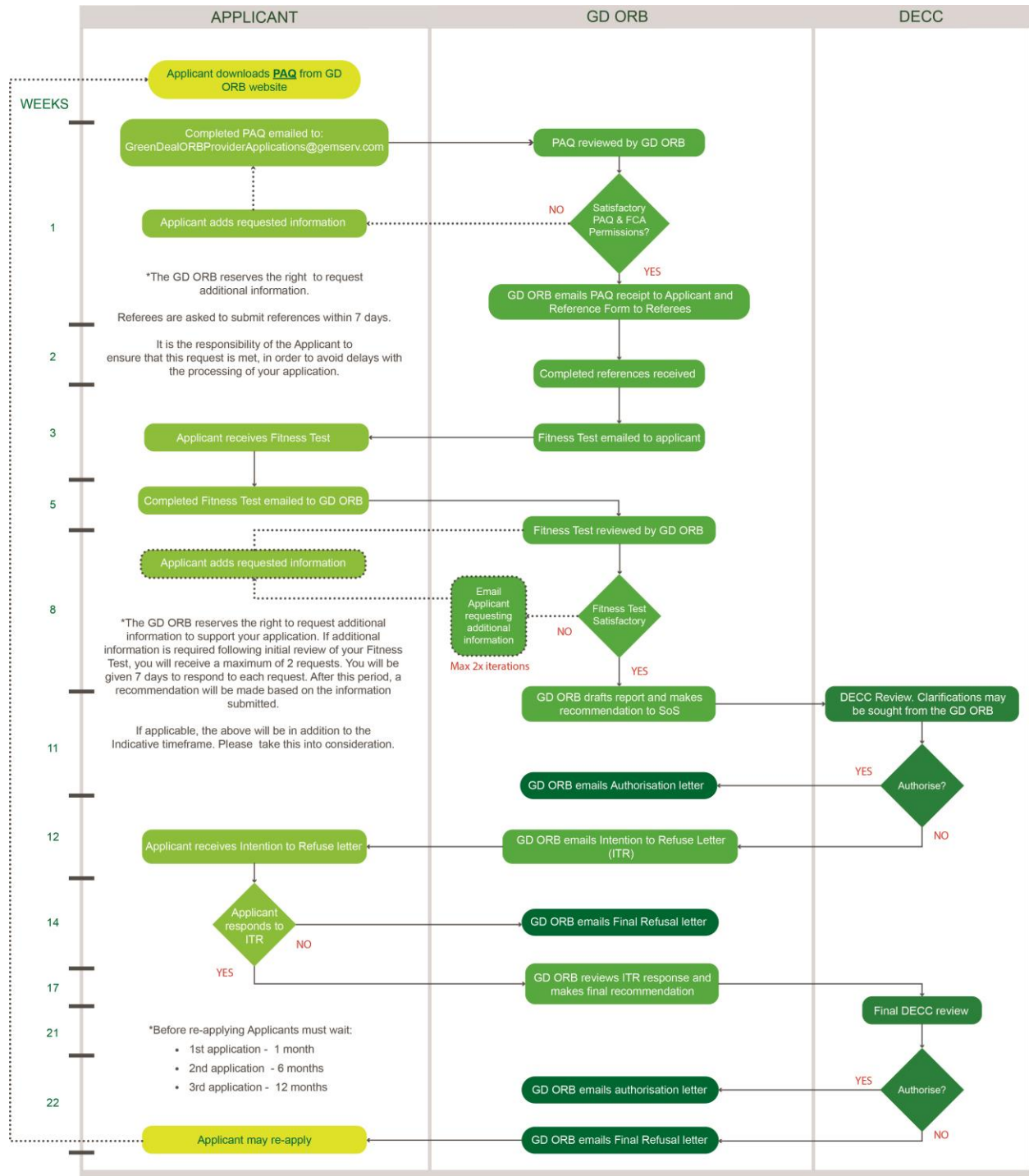
The SoS is likely to conclude that an applicant is not fit to act as a Provider if;

- there are significant concerns in relation to specific subject areas previously highlighted that have not been resolved;
- it is deemed that the applicant has acted dishonestly or in a misleading way in relation to the application itself; or
- there are concerns that the Directors of the applicant organisation or its parent companies may bring the scheme into disrepute.

The applicant is granted ten (10) working days to make written representations to the GD ORB to further support the application. If the applicant does not respond within this period, a 'Final Refusal' letter will be sent. The applicant is encouraged to contact the GD ORB before submitting their response, in order to discuss the concerns raised in more detail. Following submission of written representations, the GD ORB will assess the new information and make a final recommendation to DECC. If the information satisfactorily addresses the concerns raised, the GD ORB will overturn its original recommendation and recommend authorisation. If DECC agrees, the applicant will be sent an authorisation letter. If the information submitted still does not satisfactorily address previous concerns, the applicant shall receive a 'Final Refusal' letter.

If the application is unsuccessful, the GD ORB will provide guidance on how the applicant could improve prior to a second application. A second application can be sent to the GD ORB one (1) month after the prospective Provider receives the guidance. If the applicant is unsuccessful a second time, they will be able to submit a third application after six (6) months and twelve (12) months thereafter. There is no limit on how many times an organisation can submit an application to the GD ORB as long as the above timeframes are adhered to.

2. APPLICATION PROCESSING TIMELINE





The Application Processing timeline is to be used for guidance only. Please note there are a number of factors which may vary the length of time it takes to make a final recommendation and communicate the outcome to the applicant.

A good application will provide all documents and supporting evidence requested, answer all questions fully and the applicant will ensure any delays in preparing their responses are communicated to the GD ORB. If the GD ORB needs to repeatedly contact the applicant, for any reason, this may lead to longer processing times.



3. RESPONSIBILITY OF A GREEN DEAL PROVIDER

Providers are ultimately responsible for arranging, establishing and implementing Green Deal Plans. Significant duties which lie within these responsibilities consist of;

- creating a Quote for a Green Deal Plan based on recommendations from an authorised Assessor Organisation and the Provider's own pricing structure, terms and conditions;
- sourcing and providing finance for the Green Deal Plan (where to access finance is entirely the decision of the Provider and should be a key part of the applicant organisation's overall business strategy, and therefore researched comprehensively before an applicant organisation applies to be a Provider);
- organising for the installation of the agreed energy efficiency improvements to be carried out by an authorised Green Deal Installer; and
- ongoing consumer obligations in relation to the Green Deal Plan such as managing the relationship and quality of service, dealing with consumer complaints and providing information when a new Bill Payer moves into a property with a Green Deal attached to it. This should be sustained for the life of the Green Deal Plan, which could be up to 25 years. More on this is covered in the document, *Becoming an Active Green Deal Provider – Guidance*. <http://gdorb.decc.gov.uk/providers/green-deal-provider-guidance>

Important

Before submitting PAQ, applicant organisations wishing to apply for domestic authorisation must hold the requisite Financial Conduct Authority (FCA) permissions for carrying out regulated consumer credit activities, given that the Provider will be acting as a lender and providing credit to consumers. This is the responsibility of the applicant and the GD ORB cannot provide any guidance on the relevant permissions, as each organisation's degree of consumer credit activity is ultimately assessed by the FCA.

Applicant organisations holding interim permission, will be requested to apply for full authorisation at a non-specified date. For more information on any of these points, please visit <http://www.fca.org.uk>.

4. PRE-ASSESSMENT QUESTIONNAIRE

Once the applicant organisation holds the requisite Financial Conduct Authority (FCA) permissions, it may submit a Pre-Assessment Questionnaire to begin the authorisation process.

The PAQ sets out some basic questions and corporate information, these include, but are not limited to;

- the applicant organisation's name, trading address, contact details and where applicable, the company registration number, names of registered Directors and parent company details;
- if the applicant organisation has applied before, and if so, reasons for re-applying;
- any associations and links with other Provider applicants and/or authorised Providers;
- confirmation of whether authorisation is sought in respect of domestic properties and/or non-domestic properties;
- an estimated number of Green Deal Plans to be carried out in the first year of operation;
- how the applicant organisation plans to access finance; and
- two references from organisations that have supplied goods or services to your organisation. See Section 3 - References for more information.

Where the applicant is a company, the PAQ must be completed and signed (electronic signature) by a company Director or for other organisation types, a person with similar or appropriate authority, declaring that the information provided is accurate and the implications that any inaccurate or misleading information could have on the application are understood.

Green Deal Provider Authorisation

Pre-Assessment Questionnaire

Prior to submitting this Pre-assessment Questionnaire (PAQ), Applicants wishing to apply for domestic authorisation must contact the Financial Conduct Authority (FCA) to obtain the requisite consumer credit permissions to operate as a Green Deal Provider.

For further information please visit <http://www.fca.org.uk>

Please note that the Green Deal Oversight and Registration Body (GD ORB) is unable to process applications which do not hold the requisite permissions.

Prior to completing this PAQ, Applicants are advised to refer to the following, which should be read in conjunction with Part 1, Chapter 1 of the Energy Act 2011, the Green Deal Framework Regulations (Disclosure, Acknowledgement, Redress etc.) Regulations 2012 and the Green Deal Code of Practice (GD CoP):

- Guidance for Applicants
- Becoming an Active Green Deal Provider Guidance

Please visit: <http://qdorb.decc.gov.uk/providers/green-deal-provider-guidance> for details.

For information regarding estimated costs and indicative timescales for becoming a Green Deal Provider, please refer to the 'Guidance for Applicants' document which can be found on the GD ORB website.

Authorised Green Deal Providers will be subject to on-going monitoring against the Green Deal Code of Practice (CoP). Monitoring may include, but not be limited to, compliance visits and mystery shopping. Monitoring activity may be recorded.

This PAQ is to be completed by:-

- a) a Company Director, where the Applicant Organisation is a registered company, or
- b) a person with the appropriate authority, for all other types of Applicant Organisations.

The GD ORB may contact Applicants for further information to supplement their application. Completed PAQs must be submitted electronically via email to: gdproviderapplications@gemserv.com. Electronic signatures are acceptable.



Please note that providing false or misleading information on an application is likely to have a negative impact on the SoS's view of the applicant's fitness to act as a Provider.

More information on these requirements is covered in the form itself, which can be downloaded on the GD ORB website (<http://gdorb.decc.gov.uk/providers/become-a-provider>). This should be returned to gdproviderapplications@gemserv.com in a Microsoft Word format. Please note electronic copies only will be accepted.

Once the GD ORB receives a fully completed PAQ, evidence that the company holds requisite FCA Permissions and satisfactory references, it will be assessed. If the PAQ meets the criteria, the Operational Contact listed in the form will be notified via email with the Fitness Test attached as a Microsoft Word document.

5. REFERENCES

The PAQ requires the contact details of two references. These should be from organisations that the applicant has purchased goods or services from in the past two years or has developed a longstanding business relationship with. These references should be able to make a comment on an applicant organisation's conduct and history.

If the applicant is a newly-formed organisation and has limited connections in the market, it is acceptable to submit references from organisations that a company Director has had dealings with in the past.

Please note that the GD ORB reserves the right to approach referees for more information about an applicant or request further references. References must be sent from the referee directly to the GD ORB. The referee is asked to supply information, such as, whether the applicant organisation provides open and timely communications, is reliable and whether there have been any issues.

7. REFERENCE

Please provide contact details for two references from previous business associates, organisations you have purchased goods and services from, or you have supplied goods and services to.

REFEREE 1:

Referee Company Name:	Click here to enter text.
Referee Telephone Number:	Click here to enter text.
Referee Email Address:	Click here to enter text.
How Long Have You Been Associated With This Reference?:	Click here to enter text.
Referee Relationship:	Click here to enter text.

REFEREE 2:

Referee Company Name:	Click here to enter text.
Referee Telephone Number:	Click here to enter text.
Referee Email Address:	Click here to enter text.
How Long Have You Been Associated With This Reference?:	Click here to enter text.
Referee Relationship:	Click here to enter text.

Please Note: The Fitness Test will not be provided until the Green Deal ORB has received at least one satisfactory reference.

Important

The GD ORB **will not** issue the Fitness Test until satisfactory references are received from referees to support the application. The nominated referee will be issued a questionnaire by the GD ORB and asked to comment on the business practices of the applicant organisation. If the referee does not respond within seven (7) days, it is the responsibility of the Provider to contact their nominated referee, asking them to send the relevant documentation to gdproviderapplications@gemserv.com.



6. FITNESS TEST

The GD ORB will gather information from the Fitness Test which is required in order to assess whether the applicant is fit to be authorised as a Provider. This is a detailed examination of suitability to act as a Provider in the Green Deal market. The GD ORB will be in touch at the earliest opportunity to seek any clarifications or request further information to support your application before making a recommendation to the SoS. This chapter provides a description of:

- what information should be prepared and submitted;
- what the information is used to assess; and
- other information that should be considered.

Please note that not all points will be relevant to your Fitness Test form. For example, under section 2.4.5 – *Will sales staff members receive incentives (financial or otherwise) for sales generated?* – If staff members will not, please make us aware that this is the case rather than not responding. If a question has been asked, it is important that the applicant organisation produces a detailed response in the text box provided. Please note that one or two line answers will not be accepted by the GD ORB.


This should be returned to gdproviderapplications@gemserv.com in a Microsoft Word format. Please note only electronic copies will be accepted. If your email is larger than 20MB, it will be the applicant's responsibility to confirm with the GD ORB that they have received all of your documentation.

6.1. Useful information before starting your application.

6.1.1. What information will I need to prepare?

We will be asking for information on subjects to better understand your business model, your background and how you will engage in the Green Deal. Specifically you will be asked questions on:

- your organisation name, GDPA (Green Deal Provider Application) reference number and a point of contact for the authorisation process;
- authorisation details for any other relevant schemes such as Gas Safe or Trustmark;

- 
- membership details for a professional or trade body such as the Royal Institute of Chartered Surveyors;
 - criminal convictions or County Court Judgements (CCJs) of any Director or senior member of staff in the past five (5) years; and
 - bankruptcy or insolvency claims of any Director or senior member of staff in the past five (5) years.

You will also need to submit a profile on your organisation (300 words maximum). This is an opportunity to sell your business and plans for the Green Deal market, and should include detail of your organisation's journey, from formation to its current situation, as well as each Director's relevant skills, history and experience. Other relevant aspects include involvement in CERT (Carbon Emission Reduction Target) or CESP (Community Energy Saving Programme) schemes, other Green Deal certifications and areas of operation.

6.1.2. What will this information be used to assess?

It is important for the GD ORB to first establish the basic details of your company and more importantly your track record and reputation in the United Kingdom. By detailing the history of your organisation, whether in the renewable energy sector or other, it creates a context for your application and allows the GD ORB to understand why you have applied to become a Provider. It should be noted that any negative issues in this section, such as closure of a Director's other business/es or CCJs, should be detailed. If it is later discovered that you withheld information of this nature, it could have a detrimental impact on the GD ORB's recommendation to the SoS.

6.1.3. Other information to consider

The 'Question No.' column is in direct reference to that specific Fitness Test section. Please ensure that you do not exceed the maximum word limit, as indicated at the end of each question.



Question no.	What successful applicants also take into account when completing a fitness test	Green deal code of practice reference	What documents/evidence you could provide to support your application?
1.4	<ul style="list-style-type: none"> Please detail the issue, date of the issue and how exactly it was settled. Are you confident that it won't happen again? Why? List all the preventative measure(s) put in place. 	N/A	N/A
1.5	<ul style="list-style-type: none"> Please include all businesses that any of the Directors of the applicant organisation have been Directors of, regardless of the circumstances in which they closed. Please explain for each the circumstances in which the business closed and whether any creditors or consumers were adversely affected. 	N/A	<ul style="list-style-type: none"> Liquidator's Progress Report

6.2. Marketing and Sales

6.2.1. What information will I need to prepare?

We seek information regarding your past marketing and selling activities and future plans once you are established as a Provider. Specifically;

- any past or current investigations related to marketing and selling practices breaching consumer protection legislation;
- any past or current investigations carried out by the Advertising Standards Authority (ASA); and
- how you plan to market and sell the Green Deal and ensure this conforms to all applicable consumer protection legislation, ASA codes and the GD CoP.

6.2.2. What will this information be used to assess?

Accurate marketing and sales is crucial in establishing not only interest, but consumer confidence in the Green Deal. Misleading advertising can lead to consumer confusion and the generation of complaints, having an overall detrimental effect on the scheme. You will need to clearly



establish what your marketing material and sales practices will consist of and how your internal procedures ensure that this is in accordance with relevant legislation. An ideal application will have no history of breaching any consumer protection legislation or ASA standards. However, where an applicant has been found to be in breach of any of these, the GD ORB would expect to see evidence that any problems which led to that breach had been addressed and measures have been put in place to prevent recurrence in the future.

6.2.3. Other information to consider

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
2.3.2	<ul style="list-style-type: none"> What area of the Green Deal and/or your business of operations will you focus on in your marketing material? What information will you include in your material? What else will marketing and sales contain to comply with the GD CoP? Please demonstrate your understanding of all of section 3. 	Section 3 - Marketing and use of the Green Deal Quality Mark	<ul style="list-style-type: none"> Examples of Advertising
2.4.4	<ul style="list-style-type: none"> How exactly will you ensure staff compliance and what procedures will you have in place? Please provide detail on safeguards and how exactly these will be implemented. How will you ensure any leads obtained from other organisations were done so in accordance with the GD CoP and ASA codes? 	Section 3 - Marketing and use of the Green Deal Quality Mark	<ul style="list-style-type: none"> Sales Procedure

6.3. Assessments



6.3.1. What information will I need to prepare?

The majority of this section is dependent upon your intention to use Tied or Independent Assessors, therefore it is important for you to clarify your own understanding of each of these roles and whether this will apply to your organisation. Please note that if you tick Independent Assessors, but later during the application process the GD ORB discovers that this declaration was false, it could have a detrimental impact on the GD ORB's recommendation to the SoS. To clarify each role:

- An Independent Assessor would mean the Provider has no direct contact with any Assessor in the scheme. The Provider would simply accept any Green Deal Advice Report (GDAR) that the consumer has submitted to them for a Quote for a Plan.
- A Tied Assessor would include an Assessor who is not employed by the Green Deal Provider but is tied by any other means such as commission, consumer sharing or lead generation.

If the latter applies you will be asked questions on:

- the type of Green Deal approved software that Tied Assessors will use;
- the safeguards you will have in place to ensure Tied Assessors remain impartial and abide by other rules detailed in consumer protection legislation when carrying out a Green Deal Assessment and how these will be implemented;
- how consumer feedback will be obtained and used to improve services and/or compliance;
- how will Tied Assessors notify consumers of cooling off periods; and
- what actions will be taken if non-compliance is detected by a Tied Assessor.

6.3.2. What will this information be used to assess?

Assessors have a responsibility in instilling consumer confidence and market fairness in the Green Deal, and if a Provider is tied to an Assessor in any way, it is the responsibility of the Provider to ensure that the consumer's Green Deal Assessment is impartial and doesn't show preference towards the Provider, as well as being in accordance with relevant legislation. Therefore, a good applicant will have policies and procedures designed to ensure that Tied Assessors remain impartial when carrying out Green Deal Assessments.

6.3.3. Other information to consider



Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
3.1.2	<ul style="list-style-type: none"> Provide a clear understanding of each role and their primary differences. 		<ul style="list-style-type: none"> Tied Assessor Policy
3.2	<ul style="list-style-type: none"> What is the step by step process for each safeguard? For e.g. what specifically will an audit entail? 		<ul style="list-style-type: none"> Tied Assessor Procedure
3.2.2	<ul style="list-style-type: none"> What happens to feedback internally? How is it analysed and used to improve the service that the applicant organisation provides? 		<ul style="list-style-type: none"> Tied Assessor Procedure
3.2.4	<ul style="list-style-type: none"> Please specify the step by step procedure to be undertaken if non-compliance is detected. 		<ul style="list-style-type: none"> Tied Assessor Procedure

6.4. Quotes

6.4.1. What information will I need to prepare?

We will be asking about how you will ensure that all of Annex B, Part 1 of the GD CoP will be followed when producing a Green Deal Quote for a consumer. Each answer could draw from a fully developed, step by step procedure that you plan to follow, from receiving a GDAR to producing a Quote for a Green Deal Plan. Each applicant organisation's procedure will be unique to how they follow the requirements. For example, Energy Company Obligation (ECO) obligations may be revealed to the consumer in person, on paper and/or through a software application. The GD ORB recognises that you may not be aware of useful tools or software to assist in developing a Quote this early in the process, however it is up to the applicant organisation to research the most suitable to their business and develop a Quotes procedure accordingly. This will also provide you with the knowledge of the requirements to be able to produce Quotes as soon as you are operationally ready.

6.4.2. What will this information be used to assess?

In order to compare prices and secure the best deal for themselves, a Green Deal consumer should have the freedom to approach any Provider and ask for a Quote for a Green Deal Plan. A good application will include evidence that applicants have effective policies and procedures in place, along with understanding of the requirements in the Green Deal legislation and the GD CoP regarding the provision of Quotes for a Green Deal Plan and, in particular, the requirements regarding savings estimates and the amount of instalments.

6.4.3. Other information to consider

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
4.1.2-4.1.6	<ul style="list-style-type: none">Each answer in this section (4.1.2 - 4.1.6) should incorporate the GD CoP, but still be specific to the applicant organisation in terms of the procedure, the staff member (job title) involved and their level of involvement.	Part 1 of Annex B	<ul style="list-style-type: none">Quotes Procedure
4.1.7	<ul style="list-style-type: none">Please incorporate the GD CoP, however still be specific to the applicant organisation in terms of the information you choose to supply the consumer in the Quote i.e. the Provider may discuss in person paragraph 18 with the consumer, or supply this in writing on the Quote.	Part 1 of Annex B, paragraphs 10 to 28.	<ul style="list-style-type: none">Example Quote
4.1.9	<ul style="list-style-type: none">Please include a step by step internal procedure which begins <u>after</u> the applicant organisation receives a Green Deal Advice Report, to the point where a Quote is complete.	Part 1 of Annex B	<ul style="list-style-type: none">Quotes Procedure



4.1.10	<ul style="list-style-type: none"> Please explain in your own words the software being used and how it specifically functions to produce a Quote (the GD ORB cannot accept the software designer's guidance handbook). When using a software program to produce a Quote, usually the interface will need the user to input manual information, such as the Provider's own installation costs. Please detail <u>all</u> these manual inputs. When using a software program to produce a Quote, generally the interface will automatically extract specific information from the Green Deal Advice Report, such as the consumer's energy usage. Please list this information. 	N/A	<ul style="list-style-type: none"> Screenshots
4.1.11	<ul style="list-style-type: none"> What procedures and safeguards are in place? I.e. Will the Quote and its calculations be checked before it is presented to consumers? How will the discussion with consumers be monitored exactly? 	Part 1 of Annex B	N/A

6.5. Credit Provision

6.5.1. What information will I need to prepare?

You will be asked questions on the following:

- whether you have carried out any types of business that are regulated under the Consumer Credit Act 1974 in the past and, if so, what types of regulated business you have carried out;
- whether you have ever been investigated by the Office of Fair Trading (OFT) and/or Financial Conduct Authority (FCA) and details of these investigations if they have been carried out;
- whether you have ever been subject to OFT and/or FCA sanctions and for details if you have; and
- whether you have been investigated for breaching other codes.

6.5.2. What will this information be used to assess?

A good application will demonstrate that applicants have a track record of fair dealings when providing credit to consumers. DECC is likely to be concerned that an applicant may not be fit to act as a Provider if there is evidence that an applicant has not dealt fairly or in accordance with the law when providing credit to consumers in the past, and these issues have not been satisfactorily resolved.

6.6. Supply Chain Management

6.6.1. What information will I need to prepare?

We will be asking for information on how you interact with your supply chain, including information on your dealings with suppliers of products or services. Specifically you will be asked questions on:

- selection procedures and criteria for choosing a supplier;
- methods of communication;
- negotiation practices after a supplier is selected;
- procedures for handling supplier concerns;
- prompt payment procedures, including maintaining a record of Quotes and invoices;
- supply chain training plans, procedures, communication updates; and
- non-compliance procedures.

6.6.2. What will this information be used to assess?

As the Green Deal is a market-based scheme, it is important that Providers maintain supplier relationships in a professional and transparent capacity to reduce instability in the market and contractual disputes. A good application will include evidence that applicants have effective procedures in place. DECC could be concerned that an applicant may not be fit to act as a Provider if there is evidence that the applicant has a poor history of dealing fairly with those in its supply chain (e.g. paying them late, poor communications and un-negotiated terms of contracts), and cannot demonstrate that these issues have been addressed or that the applicant cannot show that it has suitable procedures in place to ensure that it will pay Green Deal Assessors and Installers and other suppliers promptly.



6.6.3. Other information to consider

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
<p><i>*A supplier is any business or individual that provides goods or services to your organisation.</i></p>			
6.1.1	<ul style="list-style-type: none"> How are suppliers selected? This could be an internal procedure followed by a relevant staff member of the applicant organisation. What is checked and/or taken into consideration? How will you ensure that suppliers have the correct training/accreditations to participate in the Green Deal? 	Part 4 of Annex B	<ul style="list-style-type: none"> Supplier Procedure Supplier Policy
6.1.4	<ul style="list-style-type: none"> What is the step by step internal process after the applicant organisation selects a supplier? How exactly are negotiating practices implemented during this period? Will terms and conditions be set and agreed to? 	N/A	<ul style="list-style-type: none"> Supplier Procedure Supplier Policy

6.7. Customer Services and Complaints Handling

6.7.1. What information will I need to prepare?

The way that a Provider deals with customers can have lasting impacts on the success of the Green Deal scheme, particularly in relation to complaints. For this reason, a clear process has been devised in the GD CoP. Your procedure should be unique, however, align in full the Complaints Handling Procedure set out in Section 4 of the GD CoP. To also gauge your experience in customer handling, you will be asked questions on:



details of the number of certain types of customer complaint made in relation to your business in the last three years, breaking this down into the different categories of complaint, and indicating in relation to each category how complaints have been resolved. The types of complaint that should be covered are complaints related to;

- (i) the installation of measures that can be installed under the Green Deal;
 - (ii) off-premises selling; and
 - (iii) ongoing customer service and contact.
- information on how many of these complaints have been referred to the Ombudsman services and a summary of the outcome in each case; and
 - procedures for handling general Green Deal customer enquiries.

Please note that evidence that an applicant has received lots of complaints, or that some customers have not been satisfied with the outcome, is not necessarily an indication that an applicant is not fit to act as a Provider.

6.7.2. What will this information be used to assess?

It is important that an applicant organisation has a clear procedure to deal with both customer complaints and queries. This is to not only ensure staff members have clear guidance on their responsibilities, but also to guarantee customers are being handled correctly. DECC is likely to be concerned that an applicant may not be fit to act as a Provider if there is evidence that the applicant has not dealt with complaints fairly or in a timely manner in the past, and the applicant cannot show that it has addressed these issues satisfactorily.

6.7.3. Other information to consider

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
7.1	<ul style="list-style-type: none"> State how many complaints you have received in the last 3 years for each category, compared to your overall total customer base. Include the nature of the complaint, what the outcomes were, lessons learnt and preventative measures to ensure similar complaints do not reoccur. If you are a new company with no complaints data, do any Directors have any experience of complaints handling? 	Section 4 - Customer Complaints, Dispute Resolution and Redress	<ul style="list-style-type: none"> Examples of complaints or case studies (with any confidential information removed)
	<ul style="list-style-type: none"> Please detail a step by step Green Deal specific Queries Handling Procedure including timescales, methods of communication, escalation procedures and resolution procedures (include job titles). Are queries logged or recorded and how is this information used? Will there be a specific team or individual staff member dealing with queries? 	N/A	<ul style="list-style-type: none"> Query Handling Procedure

6.8. Data Protection and Information Security

6.8.1. What information will I need to prepare?

As Providers will be handling large amounts of data, there is a responsibility to not only be aware of the Data Protection Act 1998, but to adopt data protection principles into their organisation values, policies and procedures. We will be asking how you plan to ensure that data protection legislation is adhered to and how information is kept secure. This can be evidenced by policies and procedures.

Specifically, you will also be asked questions on:

- safeguards to ensure data protection policies are adhered to by staff members, including non-compliance procedures;
- data protection training details;
- frequency of policy reviews; and
- Information Commissioners Office (ICO) registration details.

6.8.2. What will this information be used to assess?

The ramifications of data being incorrectly handled are substantial, in both a legal sense and to the reputation of the Green Deal scheme. It is also important that Green Deal consumers have faith that any sensitive data is being handled professionally, with care and consideration. We will be looking for evidence that robust plans are in place to ensure that appropriate legislation is complied with, information is kept securely where appropriate and that applicants understand their responsibilities in this area. DECC is likely to be concerned that an applicant may not be fit to act as a Provider if applicants display a lack of understanding of their obligations under relevant legislation.

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
8.1	<ul style="list-style-type: none"> Does your policy substantially cover all key areas including but not limited to; data collection, storage, access, security, disclosure and the 8 Data Protection Principles? 	N/A	<ul style="list-style-type: none"> Data Protection Policy
8.1.2	<ul style="list-style-type: none"> How will you ensure that your Data Protection Policy will be adhered to? I.e. Staff monitoring, audits, spot-checks, evaluations. 	N/A	N/A
8.1.6	<ul style="list-style-type: none"> If you are not ICO registered, please explain why not, or when you plan to become registered? 	N/A	<ul style="list-style-type: none"> ICO registration number

6.9. Health and Safety

6.9.1. What information will I need to prepare?

We will be asking for your company's Health and Safety Policy and more specifically:

- how you plan to ensure that staff members will adhere to it, including non-compliance procedures;
- training details; and
- frequency of policy reviews.

6.9.2. What will this information be used to assess?

Health and Safety should be at the forefront of any organisation's structure, regardless of its size or scope. This is particularly important for Providers, as they are responsible for the entirety of the Green Deal Plan, including the safety of the staff member or contractor who will be carrying out the installation of improvements. We will be looking for robust plans in place to ensure that appropriate legislation is complied with and that applicants understand their responsibilities in this area. DECC is likely to be concerned if applicants display a lack of understanding of their obligations under relevant legislation.

6.9.3. Other information to consider

Question No.	What successful applicants also take into account when completing a Fitness Test	Green Deal Code of Practice Reference	What documents/evidence you could provide to support your application?
9.1	<ul style="list-style-type: none">• Does your policy substantially cover all key areas including, but not limited to; instruction, supervision, emergency, evacuation, prevention of injury, prevention of ill health, potential hazards and equipment usage?	N/A	<ul style="list-style-type: none">• Health and Safety Policy
9.1.2	<ul style="list-style-type: none">• How will you ensure staff compliance? I.e. Staff monitoring, audits, spot-checks, evaluations.	N/A	<ul style="list-style-type: none">• Health and Safety Policy



Acronyms and Abbreviations

GD ORB	Green Deal Oversight and Registration Body
DECC	Department of Energy and Climate Change
SoS	Secretary of State (DECC)
GD CoP	Green Deal Code of Practice
PAQ	Pre-Assessment Questionnaire
GDPA	Green Deal Provider Application (reference no.)
GDAR	Green Deal Advice Report
CCA	Consumer Credit Act (1974)
FCA	Financial Conduct Authority
OFT	Office of Fair Trading
ASA	Advertising Standards Authority
ICO	Information Commissioners Office
CCJ	County Court Judgement
ECO	Energy Company Obligation
CERT	Carbon Emission Reduction Target
CESP	Community Energy Saving Programme



Contact Us

If you have any questions or require further information concerning any stage of the Provider applications process, please contact the GD ORB Helpdesk using the contact details below:

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