

# Green Deal Provider Authorisation – Guidance for Applicants

24<sup>th</sup> August 2012

# Green Deal Provider Authorisation – Guidance for Applicants

## 1. Introduction

In order to provide confidence to customers and investors, it is important to ensure Green Deal Providers are operating to a high standard. Businesses will need to be authorised and abide by certain authorisation requirements to operate as a Green Deal Provider. The Energy Act 2011 therefore provides that a Green Deal Plan can only be established by a person who is authorised to act as a Green Deal Provider.

All Green Deal Providers must:

- Comply with the Green Deal Code of Practice. This can be found <http://www.decc.gov.uk/assets/decc/11/tackling-climate-change/green-deal/5680-draft-green-deal-code-of-practice-.pdf>;
- Meet the requirements set out in the Green Deal Framework Regulations (which are published on the following website - <http://www.legislation.gov.uk/ukdsi/2012/9780111525227/contents>

A summary of the process for becoming authorised to act as a Green Deal Provider, and obtain access to the Green Deal payment remittance mechanism, is set out in the flow diagram and the bullet points below.



- Persons wishing to become a Green Deal Provider must therefore apply to be a Green Deal Provider through the Green Deal Oversight and Registration Body (the “ORB”).
- Applicants must hold a valid Consumer Credit Act 1974 (“CCA”) licence if they wish to be authorised to offer Green Deal plans in respect of domestic properties, unless they are exempt from the requirement to hold a licence under section 21 of the CCA.

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- The Secretary of State will assess whether an applicant is fit to be authorised as a Green Deal Provider and operate in the Green Deal market. More detail is set out at page 5 below. Information required to conduct this fitness test is required to be supplied to the Oversight and Registration Body who will then make a recommendation to the Secretary of State regarding suitability for authorisation. If the Secretary of State considers that the applicant is a fit person, the application will be granted.
- If the application is granted, the Oversight and Registration Body will place the applicant's details on the register of Green Deal Providers. This is the point at which the applicant is authorised. The earliest date when successful applicants will be placed on the register is 1<sup>st</sup> October 2012.
- Once authorisation has been granted, successful applicants are required to:-
  - sign the Green Deal Arrangements Agreement (GDAA), a contract between Green Deal Providers and electricity suppliers governing the payment collection and remittance process;
  - become members of the Green Deal Ombudsman and Investigation Service. Applicants will be required to confirm when submitting their application for authorisation that they will apply for Ombudsman membership.
- Successful applicants will also need to:-
  - obtain access to the Green Deal Central Charge Database. Green Deal Providers will work with the Green Deal Registration and Oversight Body to ensure systems are adequate;
  - become authorised users of the register of energy performance certificates (the "EPC Register"). The EPC Register operators (Landmark Information Group in England and Wales and Energy Savings Trust in Scotland) will issue guidance to help Green Deal Providers once they have been authorised.

Once authorised, and once the legislation governing the establishment of Green Deal Plans comes fully into force on 28<sup>th</sup> January 2013, Green Deal Providers will be able to enter into Green Deal Plans with customers. They will also be able to receive payments from bill payers via electricity suppliers from 1<sup>st</sup> March 2013.

## 2. How do I become a Green Deal Provider?

### **Application to Green Deal Oversight and Registration Body**

The Green Deal Oversight and Registration Body will, on behalf of the Secretary of State, manage the authorisation scheme for participants in the Green Deal.

It will deal with applications for authorisation to act as a Green Deal Provider. It will also monitor the conduct of Green Deal Providers.

#### Applying for Authorisation

The Green Deal Oversight and Registration Body will be the first point of contact for all prospective Green Deal Providers, and will provide support to applicants throughout the authorisation process. Persons wishing to apply for authorisation should contact [gdproviderapplications@gemserv.com](mailto:gdproviderapplications@gemserv.com) in the first instance.

There will be no application or authorisation fee for Green Deal Providers for the first two years (August 2012 to July 2014) of the Green Deal authorisation scheme. DECC is considering whether there should be a fee for authorisation applications and/or an annual fee for participants in the Green Deal, including Providers, after this.

Upon contacting the Oversight Body, applicants will be asked to fill out a pre-assessment questionnaire. This questionnaire is the first step to becoming authorised as a Provider which sets out some basic questions and corporate information needed for the application. Once this has been returned to the Oversight and Registration Body, the applicant will be sent the application form for the fitness test for completion.

Where the applicant is a company, both the pre-assessment questionnaire and the fitness test form must be signed by a company director, declaring that the information provided is accurate and the implications that any inaccurate or misleading information could have on the application are understood. This can be an electronic signature. Providing false or misleading information on an application is likely to have a negative impact on the Secretary of State's view of the applicant's fitness to act as a Green Deal Provider.

Once the pre-assessment questionnaire and fitness test form are completed and have been assessed by the Oversight Body, they will be passed to the Secretary of State to decide on the applicant's fitness to act as a Green Deal Provider.

## Pre-Assessment Questionnaire

The information required on the pre-assessment questionnaire will include:

- Confirmation of whether authorisation is sought in respect of:
  - (a) domestic properties and non-domestic properties; or
  - (b) non-domestic properties only.
  
- If authorisation is sought in respect of domestic properties:
  - The number of the applicant's CCA licence and the type of business which is authorised by that licence; or
  - If the applicant does not require a CCA licence under s.21 of the Consumer Credit Act 1974, an explanation to that effect together with reasons.
  - If the applicant is in the process of applying for a CCA license, the pre-assessment questionnaire can be submitted in advance but the formal date of the application will be the date of receipt of the CCA licence information.
  
- Corporate information, including:
  - The applicant's name
  - The applicant's trading address
  - The applicant's contact details
  - If the applicant is a company, its company registration number
  - The names of any registered directors

## Fitness Test Form

### *Background and approach*

The Oversight and Registration Body will gather information which is required in order to assess whether the applicant is fit to be authorised as a Green Deal Provider. This is a detailed examination of suitability to act as a Green Deal Provider.

Pages 3 to 22 set out a description of the information which should be provided in relation to possible areas of work that an applicant might engage in as a Green Deal Provider. For each area, applicants will need to provide ORB with the answer to the questions, provide references and/or provide evidence of competency.

Further to the receipt of your completed Fitness Test the ORB will provide you with feedback within 28 days. We 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 Secretary of State regarding your organisation's fitness to become an authorised Green Deal Provider.

If your initial application is unsuccessful we will provide you with guidance on how you could improve a second application. Your second application can be sent to the ORB after 1 month of receiving our guidance. If you are unsuccessful a second time, you will be able to submit a third application after 6 months and 12 months thereafter. There is no limit on how many times you can submit an application to the ORB as long as you abide by the above timeframes.

### References

Where references are required, they must be sent from the referee directly to ORB and should be from someone the Green Deal Provider has dealt with in the last two years. If it is not possible to obtain references, please state why. Please note that the ORB will contact the applicant's referees using the referee contact information provided in the Fitness Test. The ORB will send referees a reference form to complete which will be sent back to the ORB directly. Reference letters or emails sent to the ORB from a referee instead of the reference form will not be accepted.

References should comment on an applicant's conduct in a relevant business area. For example, in relation to supply chain management, references should indicate how an applicant deals with those in its supply chain, such as whether it pays suppliers on time.

DECC reserves the right to approach referees for more information or to require more references. DECC will be cross checking information provided in the fitness test form with the references and any additional information received from regulatory bodies and ombudsman services.

### Evidence of competency

Evidence of competency could include details of your policies and procedures.

For some subject areas the ORB requires applicants to provide details of how it proposes to conduct its business (for example, in relation to tied assessors). This is because the ORB needs to be clear that an applicant will have procedures in place to ensure that it operates in accordance with Green Deal legislation and the Green Deal Code of Practice. This kind of information will be particularly important where the applicant does not have an established track record in a relevant business area; if this is the case, the ORB is likely to look at the applicant's plans in more detail.

The information received will be used to assess the applicant's fitness to act as a Green Deal Provider and the outcome will be communicated to the applicant by ORB.

Where an applicant is successful, but the information provided has nevertheless raised some concerns, these will be kept in mind in monitoring that Green Deal Provider's compliance with the requirements of the scheme.

The Secretary of State is likely to conclude that an applicant is not fit to act as a Green Deal Provider if:-

- the Secretary of State has significant concerns in relation to any of the subject areas listed below that have not been resolved; or
- the Secretary of State considers that the applicant has acted dishonestly or in a misleading way in relation to the application itself.

Where applicants are unsuccessful, they are encouraged to approach ORB for feedback on how to resolve any concerns which led to their application being refused.

### Pending CCA Licence

If you are applying to become a domestic Green Deal Provider and your CCA licence is currently pending, you may send a completed Fitness Test to the ORB. Please note your Fitness Test will then be processed once your CCA Licence has been confirmed and verified by the ORB.

### Market Participant Identifier (MPID)

Potential Providers are encouraged to apply for a Market Participant Identifier, or MPID for short, upon receipt of the Fitness Test forms from the ORB. A MPID is your unique identifier for sending messages over the Data Transfer Network and it helps other stakeholders in the industry to identify your organisation as a Provider. You can apply for a MPID straight away which involves filling out one of two forms that can be downloaded from the Green Deal page of the MRASCo website [www.mrasco.com/](http://www.mrasco.com/)

If you are a new Market Participant and would like to request a MPID, please complete the **GDFM1** form and return it to [GDCC@gemserv.com/](mailto:GDCC@gemserv.com) If you are an existing market participant requiring a new Green Deal Market role code please complete the **GDFM2** and sent it to the same address.

On receipt of a valid request, MRASCo will process the information received, and confirm the date for publication of the Market Domain Data (MDD) version that will (subject to BSC approval) contain the new MPID and associated Market Roles. MRASCo will be in touch with you within 4 to 6 weeks from the date of your application.

Potential Providers are encouraged to contact Electralink **after** you have submitted your application to MRASCO for a Market Participant Identifier. The Data Transfer Service (DTS) is a managed private network for the transmission of data and information amongst participants in the electricity industry. Various options for connection to the DTS are available. Visit the Green Deal page on website [www.electralink.co.uk](http://www.electralink.co.uk) for more information, or contact the **Electralink Switchboard on: 020 7432 3000**.

### ***Information to be provided by applicants in relation to the fitness test***

The fitness test form requires applicants to provide the following information, to enable the Secretary of State to determine whether they are fit to act as a Green Deal Provider:-

#### Section 1 - General questions:

We will be asking for information on subjects including those listed below to better understand your business, your background and how you will engage in the Green Deal. We are interested in:

- whether your organisation is authorised under any other relevant scheme such as Gassafe or Trustmark;
- whether your organisation is a member of a professional body such as the Royal Institution of Chartered Surveyors or Royal Institute of British Architects;
- how many Green Deal Plans your organisation is planning to enter into in the first year of authorisation;
- details of training you will be offering to your staff in relation to the Green Deal to make sure they are competent to Green Deal standards;
- whether any senior members of staff or directors have unspent criminal convictions or have had a civil court judgement made against them.

## Section 2 - Marketing and sales:

We will be asking you for information about:

- whether you have ever been investigated for a breach of consumer protection legislation in relation to marketing and selling procedures and whether you were found to be in breach;
- whether you ever been investigated by the Advertising Standards Authority (the “ASA”) and whether you were found to be in breach of their standards;
- how you plan to market and sell the Green Deal and how you plan to ensure that marketing and sales is carried out in accordance with all applicable consumer protection legislation, the ASA Codes, and the Green Deal Code of Practice;

We will also be asking for references regarding your marketing and selling procedures.

DECC will be looking for a candidate that has no history of breaching any consumer protection legislation or ASA standards. Where an applicant has been found to be in breach of consumer protection legislation or the ASA Codes, DECC would want to see evidence that any problems which led to that breach had been addressed.

Where an applicant does not have prior experience in marketing or sales, robust policies and procedures to ensure that the required standards will be met and appropriate marketing proposals, coupled with references from previous business associations on your selling procedures could indicate your fitness. If you are unable to provide DECC with references, please indicate why.

DECC is likely to be concerned that an applicant may not be fit if:-

- there is evidence of repeated breaches of consumer protection legislation or the ASA Codes;
- the applicant does not appear to have resolved issues which led to a breach; or

- the applicant does not appear to have suitable plans to ensure that marketing and selling in relation to Green Deal Plans is carried out in accordance with consumer protection legislation, the ASA Codes or the Green Deal Code of Practice.

### Section 3 - Assessment:

We will be asking you for information about:

- whether you propose to use tied or independent assessors or both (a tied assessor would include an assessor who is not employed by the Green Deal Provider but is tied by some other means such as commission);
- where you are using tied assessors, how you will ensure they remain impartial when carrying out Green Deal Assessments;
- how you plan to ensure tied assessors maintain a high level of consumer protection, in accordance with the Framework Regulations and Code of Practice;
- how you plan to supervise tied assessors.

DECC will be looking for evidence that applicants have policies and procedures designed to ensure that tied assessors remain impartial when carrying out Green Deal Assessments. This could include provision of specific software tools for them to use, obliging them to use something that prompts them to act in accordance with the relevant requirements. DECC will also be looking to see whether applicants have procedures in place to ensure that tied assessors act in line with the Code of Practice.

DECC is likely to be concerned that an applicant may not be fit to act as a Green Deal Provider if the applicant will be using tied assessors and does not have adequate policies or procedures in place to ensure that those assessors:-

- remain impartial when carrying out Green Deal Assessments; and
- comply with consumer protection legislation, the ASA Codes and the Green Deal Code of Practice.

### Section 4 - Quotes:

We will be asking for information on:

- how you will ensure that you comply with Part 1 of Annex B to the Code of Practice, regarding the provision of quotes for Green Deal Plans;
- how you will ensure that you comply with the Green Deal Golden Rule – that is, the requirements in section 4(4) and (5) of the Energy Act 2011, regulations 27 to 33 of the Framework Regulations and paragraphs 10 to 17 of Annex B to the Code of Practice regarding estimates of savings on energy bills, estimates of the period over which savings will be realised, and instalments payable under a Green Deal Plan.

DECC will be looking for evidence that applicants have policies and procedures in place and that they understand the requirements in the Green Deal legislation and the Code of Practice regarding the provision of quotes for a Green Deal Plan and, in particular, the requirements regarding savings estimates and the amount of instalments. Applicants are encouraged to submit any evidence of previous experience of providing quotes – whether in a similar area of business or not.

DECC is likely to be concerned that an applicant may not be fit to act as a Green Deal Provider if:-

- the applicant does not have adequate policies or procedures in place to ensure that quotes are provided in accordance with Part 1 of Annex B to the Code of Practice;
- the applicant cannot show an adequate understanding of the Golden Rule and how it will comply with it.

#### Section 5 - Credit Provision (only required where an applicant is applying for authorisation in relation to domestic properties):

We will be asking for information 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 ever been investigated by the Office of Fair Trading and details of these investigations if they have been carried out;
- whether you have ever been subject to Office of Fair Trading sanctions and for details if you have.

DECC will be looking for evidence that applicants have a good 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 Green Deal 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.

#### Section 6 - Supply Chain Management:

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. We would like to see evidence of your conduct through references from two businesses from whom you have purchased goods or services (e.g. product suppliers, or sub-contractors) or someone you have supplied goods or services to, regarding their dealings with you, including their experience of negotiating with you, communicating with you and whether they were paid promptly. If you are not able to provide references, DECC would like to know why.

DECC will be looking, where possible, for evidence of fair dealings with those in the applicant's supply chain such as paying them on time. The Code of Practice requires Green Deal Providers to pay Green Deal Assessors and Green Deal Installers promptly and to comply with the prompt payment code in relation to all suppliers (see paragraphs 105 and 106 of Annex B), and so DECC will also be looking for evidence that applicants have suitable procedures in place to do so.

DECC could be concerned that an applicant may not be fit to act as a Green Deal 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 show that these issues have been addressed; or
- 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.

### Section 7 - Customer Services and Complaints Handling:

We will be asking for information on the following:

- 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.

DECC will be looking for evidence that applicants deal with customer complaints fairly and resolve them to the customer's satisfaction where possible in a reasonable period of time (e.g. eight weeks.)

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 Green Deal Provider. However, it is important that applicants have policies and procedures in place to comply with the complaints handling procedure set out in section 4 of the Code of Practice.

DECC is likely to be concerned that an applicant may not be fit to act as a Green Deal Provider if there is evidence that:-

- the applicant has not dealt with complaints fairly or quickly in the past, and the applicant cannot show that it has addressed these issues satisfactorily; or
- the applicant does not have adequate policies or procedures to deal with customer complaints in accordance with section 4 of the Code of Practice.

### Section 8 - Data Protection and Information Security:

This is crucial to the Green Deal as Green Deal Providers will be handling large amounts of data.

We will be asking how you plan to ensure that data protection legislation is adhered to and information is kept securely. This can be evidenced by policies and procedures.

DECC will be looking for robust plans in place to ensure that appropriate legislation is complied with and information 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 Green Deal Provider if applicants display a lack of understanding of their obligations under relevant legislation.

### Section 9 - Health and Safety:

We will be asking for information on how you intend to comply with relevant health and safety legislation. This can be evidenced by policies and procedures.

DECC 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.

### 3. Further information for applicants regarding requirements under the CCA and the Green Deal authorisation scheme

#### **CCA Licensing requirements:**

Any Green Deal Provider offering Green Deal Plans which are regulated consumer credit agreements will need to hold a valid CCA licence (unless it is not required to hold a licence under section 21 of the CCA).

Green Deal Plans where the bill payer is a domestic customer are very likely to be regulated consumer credit agreements. However, there will be other types of Green Deal Plan which are likely to be regulated consumer credit agreements, including Plans where the bill payer is a sole trader, small partnership or other unincorporated body and which are not entered into wholly for business purposes.

Applicants are encouraged to seek legal advice if they are in any doubt as to whether they require a CCA licence or the circumstances in which a Green Deal Plan will be a regulated consumer credit agreement.

The type of CCA licence that a Green Deal Provider will require is a category A licence (consumer credit business). If a Provider is involved in ancillary credit business, such as credit brokerage or debt adjusting, it will need additional categories of licence to cover those activities.

Please see the guidance on credit licensing available on the Office of Fair Trading website, at: <http://www.offt.gov.uk/OFTwork/credit-licensing/>.

OFT's Licensing Enquiries team are available on 08457 22 44 99 or email [enquiries@oft.gsi.gov.uk](mailto:enquiries@oft.gsi.gov.uk).

#### **Green Deal Arrangements Agreement (GDAA):**

Green Deal Providers will also need to sign up to the GDAA. This is a contract between electricity suppliers (as collectors of the Green Deal charge), Green Deal Providers and Finance Parties.

The agreement sets out the terms, conditions and administrative costs for Providers and suppliers interacting with the Green Deal Central Charge Database. Its primary aim is to ensure that Green Deal instalments are appropriately collected from the customer's electricity bill and remitted to the Provider, or their nominated finance provider, by the customer's electricity supplier. The GDAA also includes provisions for the exchange of information between suppliers, Providers and their customers related to Green Deal payments.

All Green Deal Providers must be party to the GDAA. Likewise, larger electricity suppliers (those with more than 250,000 customers) and smaller electricity suppliers that have opted-in to participation in the Green Deal must be signatories of the GDAA.

In September, a copy of the GDAA will be published on the Green Deal Oversight and Registration Body website ([www.decc.gov.uk/orb](http://www.decc.gov.uk/orb)). If an application for authorisation to act as a Green Deal Provider is successful, the Green Deal Oversight and Registration Body will provide the applicant with information regarding accession to the GDAA.

The governance provisions in the GDAA provide that the GDAA Panel (which includes electricity supplier and Provider representatives) will consider all applications from Providers who wish to accede to the GDAA.

The Panel will prepare an Accession Agreement that the Provider must enter into. The Provider will then be able to request access to the Green Deal Central Charge database from MRASCo (GDCC@gemserv.com ).

### **Obtaining Access to the Green Deal Central Charge Database (GDCC)**

For electricity suppliers to collect Green Deal payments via electricity bills, the electricity supplier and the Green Deal Provider (and, if relevant, the nominated finance provider) will need to share certain data items such as the period to which the payment relates. These data items will enable the Green Deal Provider and supplier to ensure that their customer is correctly billed, for the correct period, and to issue accurate statements.

This process of managing information related to the collection and remittance of the Green Deal charge between suppliers and Providers is facilitated by the Green Deal Central Charge Database (GDCC), which is accessed via the Data Transfer Network (DTN) already used by electricity suppliers to manage the flow of information between organisations.

Green Deal Providers will need to obtain access to both the DTN and the GDCC. There are a number of steps to do so:

1. Once authorised, Green Deal Providers will need to contact the Master Registration Agreement Service Company central administration Service (CAS) to request a Market Participant ID (MPID). Similarly, if an organisation is already in possession of a valid MPID in another role (e.g. as a Supplier), a new MPID (which corresponds to this new market role) will be required. The MPID and Market Role Codes are used to route data to and from the GDCC via the DTN. The request process for an MPID will involve filling out an application form, which is available from the MRASCo website: <http://www.mrasco.com/>. Green Deal Providers should expect the process of obtaining an MPID and Role Code to take 6-8 weeks.

2. On receipt of a valid request for an MPID, MRASCo will process the information received and then issue the Provider with a MPID and associated Market Role Code. The Role Code specifies the participant's role within the DTN and controls how they can use the system.
3. Once the MPID and Market Role Code has been received, Providers will need to apply for a connection to the DTN. The DTN is managed by Electralink (see <http://www.electralink.co.uk/Green%20Deal> for further guidance). Providers will need to complete the Data Transfer Services (DTS) Connection Application Form (an electronic version is available on the Electralink website), and accede to the Data Transfer Services Agreement (D TSA). Providers will be charged a one off fee of £100 to access the network, as well as a quarterly standing charge. In addition, Providers will be subject to Traffic Usage Charges, to be charged monthly in arrears. Please be advised that the total timeframe for securing access to the DTN system could take up to 10 weeks for Providers requiring high-volume connections, although it is expected that the majority of Providers will use a remote connection, application for which can be processed in around 10 working days.
4. Sign the MRASCo Access Agreement for the Green Deal Central Charge database (GDCC) in order to be granted access. The access agreement process can also be found on the MRASCo website.

In total, securing an MPID, market role code, access to the DTN, and accession to the GDCC Access Agreement should take 8-12 weeks.

Providers will also need to appoint a "remittance processor", a third party organisation (likely to be the "remittance person" as defined in the GDAA), to act on their behalf to receive information regarding Green Deal charges collected and remitted (or reclaimed) by the supplier. Information on how to set up as a remittance processor is available on the MRASCo website: [http://www.mrasco.com/index.php?option=com\\_content&view=article&id=63&Itemid=110](http://www.mrasco.com/index.php?option=com_content&view=article&id=63&Itemid=110). Should a Provider wish to self-remit, a separate Market Role Code will need to be procured from MRASCo.

### **Obtaining access to the EPC Registers**

At different stages in the Green Deal process, Green Deal Providers will need access to their customers' Energy Performance Certificates. Energy Performance Certificates are stored on a database known as the "EPC Register". Green Deal Providers will require authenticated access in order to view EPC's, and to retrieve and update particular elements of the EPC following the installation of measures under the Green Deal. The ability of Green Deal Providers or Green Deal Advisers to update the asset rating of a building post installation of measures under a Green Deal Plan, and to add the necessary Green Deal Plan information for disclosure, is crucial for the operation of the Green Deal.

The EPC Register for England and Wales is operated by Landmark Information Group on behalf of DCLG and DECC. The EPC Register for Scotland is operated by Energy Savings Trust.

Access to the Live Operational Register will be subject to the Green Deal Provider accepting the terms and conditions of the register operator and the results of various test procedures to prove successful system connectivity within a secure environment. The register operator will issue technical guidance to the Green Deal Provider, once they have secured authorisation.

### **Green Deal Ombudsman and Investigation Service**

Green Deal Providers are required to be members of the redress scheme for the Green Deal – the Green Deal Ombudsman and Investigation Service. This is operated by “Ombudsman Services Ltd”. Once the authorisation stage is complete, Green Deal Providers will be able to apply separately for membership of the Ombudsman scheme via the Ombudsman Service’s own website (a link will direct Providers from the Oversight and Registration Body’s website). Membership of the Ombudsman will be confirmed to the Green Deal Provider by email, and payment must be made within the timescale stated in the confirmation, for the membership to be activated. The Oversight and Registration Body will verify membership with the Ombudsman, 21 days after authorisation.

When Green Deal Providers complete the online membership application, this process generates a deed poll, which states that the Green Deal Provider agrees: (i) to the Ombudsman’s terms of reference; and (ii) to comply with a final decision proposed by the Ombudsman as a resolution to a dispute which the consumer has accepted. The deed poll is a legally binding document which is enforceable in a court by the consumer or by Ombudsman Services. The deed poll must therefore be signed on behalf of the Provider by a person who has the appropriate authority.

The Green Deal Ombudsman and Investigation Service’s main role will be to determine redress for consumers and report to the Oversight and Registration Body. Where their work provides evidence of a potential breach of the Code of Practice or Framework Regulations, they will refer this to the Oversight and Registration Body. The Oversight and Registration Body will review this evidence and determine whether further investigation or sanction may be required. The Ombudsman will report separately to the ORB, and they may need to ask the Green Deal Provider for further information. Details about the complaints handling process and how complaints are resolved is also available on the Ombudsman Services website.

For further information about the membership process including the online forms to be completed and fees payable, please see the Ombudsman Services website. <http://www.ombudsman-services.org/>

If you would prefer to speak to someone about joining the Green Deal Ombudsman and Investigation Service, you can phone Ombudsman Services on 01925 430870 or send an email to [applications@ombudsman-services.org](mailto:applications@ombudsman-services.org).

#### 4. Key Contacts

**Green Deal Oversight and Registration Body:**

Website: [www.decc.gov.uk/orb](http://www.decc.gov.uk/orb)

Email: [gdproviderapplications@gemserv.com](mailto:gdproviderapplications@gemserv.com)

Telephone: 020 7090 1031

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