

inclusive policy, social development

GK consulting



Strengthening and streamlining energy advice and redress

**An independent review of the adequacy of energy
advice and redress - appendices**

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Appendix

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Outcome data from advice providers

7. Accessible and visible - all those who want/need to use the service can
8. Comprehensive and integrated - consumers get maximum support for minimal effort
9. The different modes of advice provision available
10. Expert and professional - frontline staff have the skills and knowledge necessary to identify and address clients' needs, operate with the highest standards of customer care and deliver fair decisions
11. Adequately resourced - the service can deliver in line with need
12. Effective and efficient - builds clients' confidence and their capacity to successfully navigate the markets for themselves while providing good value to the taxpayer

Outcome data from redress providers

13. Accessible and visible - all those who want/need to use the service can
14. Adequately resourced - the service can deliver in line with need
15. Effective and efficient - builds clients' confidence and their capacity to successfully navigate the markets for themselves while providing good value to the taxpayer

Appendix 1

Document review to determine a definition of adequate energy advice provision

Source	Performance criteria
<p>Final Stage Impact Assessment for the Green Deal and Energy Company Obligation (DECC, June 2012)</p> <p>https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/42984/5533-final-stage-impact-assessment-for-the-green-deal-a.pdf</p>	<p>Delivery principles:</p> <ul style="list-style-type: none"> • Independent – advisors are not tied to any provider so the consumer can use home assessment to shop around other providers • Expert – home assessors are to be qualified and certified • Impartial and consistent – use approved assessment tools • Accessible – telephone, email, digital functions, resources in accessible formats • Comprehensive – covers linked issues including Feed-in Tariffs and Renewable Heat Incentive <p>Outcomes:</p> <ul style="list-style-type: none"> • Improves trust across the supply chain • Increases customer awareness of Green Deal opportunities • Gives confidence to consumers • Increases consideration of other energy efficiency improvements – Energy Performance Certificates, smart meters, Renewable Heat Incentive and Feed-in Tariffs <p>Key Performance Indicators (KPIs):</p> <ul style="list-style-type: none"> • Costs • Projected number of customers using service per annum • Communication channels
<p>Making the Connection (Centre for Consumers and Essential Services, University of Leicester, 2011 for Consumer Focus)</p> <p>http://www.consumerfocus.org.uk/files/2011/10/Making-the-connection.pdf</p>	<ul style="list-style-type: none"> • Comprehensive – covers interlocking and overlapping issues covering the energy supply, electricity and gas distribution and energy services (energy efficiency, micro-generation and metering) markets • Integrated – capable of addressing all aspects of consumer queries rather than forcing consumers to contact a series of different organisations. Provision integrated at national level to support local and regional advisors. • Trusted and expert – independent of industry and employing staff with the training and skills to deal with increasingly complex consumer. Has the necessary capacity, capability and expertise to meet consumer advice needs in the future. Should also be consistent and accurate. • Accessible – all consumers can access the advice they need in ways that meet their requirements, particularly those of consumers in vulnerable circumstances; multiple channels for consumers to communicate, including free/low-charge helpline
<p>Principles for Coherent</p>	<ul style="list-style-type: none"> • Accessible and visible – recognised and trusted by clients, has convenient entry points and is open at times and in places that

Source	Performance criteria
<p>Information Advice and Guidance Delivery (National Information Advice and Guidance Board, 2004 for the Secretary of State for Education and Employment)</p> <p>http://www.workabout.org.uk/aboutus/documents/PrinciplesforCoherentIAGDelivery.pdf</p>	<p>suit clients' needs</p> <ul style="list-style-type: none"> • Professional and knowledgeable – frontline staff should have the skills and knowledge to identify quickly and effectively the client's needs. They should have the skills and knowledge either to address the client's needs or to signpost or to refer them to suitable alternative provision. • Effective connections – clients may be signposted or referred to the services they need; links between services should be clear from the client's perspective; where necessary, clients should be supported in their transition between services • Availability, quality and delivery – targeted at the needs of clients, and informed by social and economic priorities at local, regional and national levels • Diversity – the range of services should reflect the diversity of clients' needs • Impartial – should support clients to make informed decisions based on their needs and circumstances • Responsive – should reflect clients' present and future needs • Friendly and welcoming – should encourage clients to engage successfully with the service • Enabling – support clients to manage their own way through the sector • Awareness – adults should be aware of the services that are relevant to them, and have well-informed expectations of those services
<p>Scottish Citizens Advice Bureau values and principles</p> <p>http://www.cas.org.uk/about-us/about-bureaux/our-values-and-principles</p>	<ul style="list-style-type: none"> • A free service • Confidentiality – nothing learned from clients is shared without consent • Impartiality – provide information solely on the basis of its potential usefulness to the client, and representations made on behalf of clients will faithfully attempt to express the client's personal intentions and points of view • Independence – no other individual agency or individual, even if they are giving financial support or other aid to bureaux, will influence the decision-making process • Accessibility – premises that are centrally located, easy to enter, welcoming in appearance and open at times suited to local demand; publicise services, especially in areas and among groups where the service is apparently underused • Effectiveness – measured by the extent to which clients are helped to clarify problems and concerns, the accuracy and completeness of any information provided, the usefulness of any advice given and the appropriateness of any assistance provided to enable clients to carry out the course of action chosen • Community accountability – committee of management should include people elected by the local public at its Annual General Meeting or nominated by relevant local bodies giving financial support, organisations working in related fields and bodies representing potential clients • Client's right to decide – clients have a right to set their own objectives and to decide whether or not to accept the advice and assistance offered to them • A voluntary service • Empowerment – bureaux seek to assist clients to help themselves • Information retrieval – use the evidence collected to exercise a responsible influence on the development of social policies

Source	Performance criteria
	<p>and services</p> <ul style="list-style-type: none"> • A generalist service – bureaux provide information, advice and assistance on any topic; no-one calling at a Citizens Advice Bureau will be turned away because it does not deal with that type of problem. Where bureaux do not supplement this generalist service with appropriate specialisms, clients will be put in touch with specialists as required and where possible. • Equality of opportunity – obligations under equalities legislation and will work to comply with the guidance issued by the Equality and Human Rights Commission.
<p>Scottish National Standards for Information and Advice Providers: A Quality Assurance Framework (Scottish Government, 2009)</p> <p>http://www.scotland.gov.uk/Publications/2010/10/08154126/0</p>	<ul style="list-style-type: none"> • Management – ensures that there is effective management of the service and its resources (e.g. clear management structures, documented procedures, complying with all relevant general legislation) • Planning – aim to ensure that all members of the community have access to high-quality information and advice. The planning of services is a key component of developing a quality service (e.g. clear remit, design plans based on evidence of consumer needs, regular independent review and evaluation) • Accessibility and customer care – should be accessible to all members of the community and operate with the highest standards of customer care (e.g. review of premises, awareness of service, information in a range of formats, opening hours, interpreters, complaints and redress procedure) • Providing the service – services operating to these standards must have processes that ensure an effective and efficient service for their users (e.g. independent, accurate, referrals for a consistent and seamless service, well-organised case files, record service usage) • Competence – services using these standards must ensure that all staff gain, maintain and develop the skills and knowledge necessary to meet the needs of their service users (e.g. commitment to equal opportunities, training and development, external supervision, knowledge of other relevant agencies in their localities) • Resourcing – have the resources necessary to underpin the delivery of the service (e.g. accessible premises, human resource planning, annual budgets sufficient to deliver plans)
<p>Confidence Code (Ofgem, 2013)</p> <p>https://www.ofgem.gov.uk/information-consumers/domestic-consumers/switching-your-energy-supplier/confidence-code</p>	<p>The Confidence Code is a Code of Practice that governs independent energy price comparison sites. It sets out the minimum requirements that a provider of an internet domestic gas and electricity price comparison service (service provider) must meet in order to be, and remain, accredited by Ofgem. Ofgem took over responsibility for managing the Code from Consumer Focus in March 2013 and is currently reviewing it. The Confidence Code insists that its members follow key principles for how they must operate their service:</p> <ul style="list-style-type: none"> • Independence and impartiality – from energy suppliers; payments from suppliers are acceptable but there must be transparency about them and it must not influence content • Tariffs and price comparisons – ideally comprehensive and for all payment types, but some exceptions are possible, including social tariffs; Ofgem must be notified of requests to remove tariffs still available; time-limited tariffs must come with explicit warning messages; the energy components of bundled tariffs must be separated out

Source	Performance criteria
	<ul style="list-style-type: none"> • Control and management – of the information on the website is the responsibility of the service provider; other providers can use its calculator but may not claim to be accredited • Payment methods – explain standard credit, direct debit and payment by prepayment meter • Results and filters – must list 10 cheapest tariffs available; additional filters are permissible; results pages must be readily available but switching online-only results are also permissible as long as clearly labelled • Quality of service and energy efficiency – can assign ratings to suppliers’ performance and invite consumers’ ratings but using an Ofgem-approved methodology that is published on their website; must give energy efficiency advice or signpost to other relevant energy efficiency information or programmes, as a minimum including contact details for the Energy Saving Trust, as well as informing consumers of the availability of grant schemes such as Warm Front, The Energy Assistance Package (Scotland), the Home Energy Efficiency Scheme (Wales) and the Carbon Emissions Reductions Target • Accuracy and updating tariffs – date of updates must be on the website and be ideally with 2 days of changes; certain types of discounts are exempt from calculations; displaying current tariff and spend details • Annual audit – independent audit to be conducted according to Ofgem’s terms of reference; also quarterly and ad hoc audits • Complaint handling – must establish and operate an effective consumer complaint and enquiry handling procedure and respond to any complaint or enquiry within seven working days of receipt. <p>Using a site with the Confidence Code logo means that the process of switching energy supplier should be easier, more reliable and reassuring for consumers. The sites covered by the Confidence Code act independently of suppliers, so the options and prices are displayed in a fair and unbiased way. They can help you find the best deal for you in your local area and provide you with a free and easy-to-use switching service. They also give detailed information on each tariff, including gas and electricity unit prices and any discounts that are available.</p>

Appendix 2

Document review to determine a definition of adequate energy redress provision

Source	Performance criteria
<p>Implementing the Alternative Dispute Resolution Directive and Online Dispute Resolution Regulation (BIS, March 2014)</p> <p>https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/288199/bis-14-575-implementing-alternative-dispute-resolution-directive-and-online-dispute-resolution-regulation-consultation.pdf</p>	<p>A Directive on consumer Alternative Dispute Resolution (ADR) came into force in July 2013. The UK has to transpose the requirements of the ADR Directive into national law by 9 July 2015. Once the Directive is implemented, all ADR schemes must meet the requirements of the Directive. The principal obligation on the UK Government under the Directive is to ensure that ADR provided by a certified ADR body is available for any dispute concerning contractual obligations between a consumer and a business. The Government has to ensure that certified UK ADR providers follow specific operational rules. The main operational rules are:</p> <ul style="list-style-type: none"> • Free/nominal charge – the ADR procedure must be free of charge or available at a nominal fee for consumers • Timely – disputes must be concluded within 90 days of receiving the complete complaint file; this timeframe can be extended in the case of highly complex disputes; ADR providers have three weeks from receiving a complaint file in which to inform the parties concerned if they are refusing to deal with a case • Expert & impartial – individuals who oversee disputes must have the necessary expertise and be independent and impartial • Accountable – ADR providers must make available specific information about their organisation, methods and cases they deal with, and provide annual activity reports • Accessible – consumers must have the option to submit a complaint (and supporting documentation) and to exchange information, either online or offline <p>To address gaps in redress provision, BIS propose a residual ADR scheme and a consumer complaints helpdesk to signpost consumers (administered by Citizens Advice). BIS propose going beyond the operational rules and favour the ombudsman model for the residual ADR scheme because of these features:</p> <ul style="list-style-type: none"> • Independent – a separate and independent body is more trusted by consumers and generates faith that any decisions made are impartial • Binding – arrive at a binding decision for one or both of the parties, if this model suits that particular sector <p>Consultees were undecided on whether ADR should be compulsory for business.</p> <p>Outcomes:</p> <ul style="list-style-type: none"> • Increased redress for consumers means that spending can be re-allocated to businesses with a better record for quality (in provision of goods/services) • Increased consumer confidence in markets from wider coverage of ADR <p>KPIs:</p>

Source	Performance criteria
	<p>Monetary benefits to:</p> <ul style="list-style-type: none"> • Business – reduced costs of preparing for court cases as more cases dealt with through ADR: £0.3m-£1.6m p.a. • Government – reduced costs of court system as more cases dealt with through ADR: TBD • Consumers – redress from ADR cases in consumers’ favour <p>Other key non-monetised benefits to consumers/society:</p> <ul style="list-style-type: none"> • Improved clarity for consumers in navigating the ADR landscape as a result of the complaints helpdesk supporting improved confidence in markets • Improved competition in markets supporting lower prices and growth. Arises through: <ul style="list-style-type: none"> ○ increased redress for consumers, which means that spending can be re-allocated to businesses with a better record for quality (in provision of goods/services) ○ increased consumer confidence in markets from wider coverage of ADR • Faster, cheaper and more straightforward means of obtaining redress than the legal system <p>Costs to:</p> <ul style="list-style-type: none"> • Business: <ul style="list-style-type: none"> ○ Cost of providing ADR/ODR information to consumers: £25.3m-£38.0m (one-off cost), £0.5m-£0.7m p.a. ○ Creation of a competent authority to monitor compliance with the Directive: £0.1m p.a. ○ Fees to residual ADR body as a result of additional ADR cases (from year 1): £0.9m-£9.6m p.a. ○ Cost of preparing additional ADR cases: £0.4m-£2.0m p.a. ○ Redress from additional ADR cases in consumers’ favour (transfer to consumers): £0.4m-£2.0m p.a. • Government: <ul style="list-style-type: none"> ○ Creation of a competent authority to monitor compliance with the Directive: £0.2m (one-off cost) ○ Cost of establishing and funding residual ADR body (year 0): £4.0m-£6.0m (one-off cost) ○ Cost of operating consumer-facing complaints helpdesk: £0.1m p.a. (one-off cost of creating helpdesk TBD). • Consumers: <ul style="list-style-type: none"> ○ Cost of preparing additional ADR cases: £0.1m-£0.3m p.a.
<p>Effective complaint handling – a discussion document written for Consumer Focus</p> <p>(Cosmo Graham, Centre for Consumers and Essentials</p>	<p>Draws on BSI ISO 10003:2007, <i>Guidelines For Dispute Resolution External To Organisations</i>, which provides guidance for organisations to plan, design, develop, operate, maintain and improve effective and efficient external dispute resolution for product-related complaints.</p> <ul style="list-style-type: none"> • Information – clear information about a consumer’s entitlement to a good or service, as well as clear information about complaint processes

Source	Performance criteria
<p>Services, 2012)</p> <p>http://www.consumerfocus.org.uk/files/2012/09/Effective-complaint-handling-a-discussion-document.pdf</p>	<ul style="list-style-type: none"> • Accessibility – complaint handling systems should be free of charge and fully accessible to all consumers, including people in vulnerable situations • Consumer support and empowerment – the ability to call on third-party help when making a complaint • Fairness – processes and decisions need to be fair and based on publicly available rules and criteria • Effectiveness and performance – dealing with complaints in a timely fashion, ensuring positive improvements in service delivery and performance monitoring and auditing • Resolution and redress – the ability to resolve the problem, a range of remedies (including financial compensation) and the ability to tackle systemic issues • Independence – independent of those complained against • Accountability – publicly available information on how the service works and how it is governed • Resources – adequate resources and flexibility to deal with present and future demands • Consumer involvement – complaint handling systems need to be informed by consumers’ views and experiences
<p>Making the Connection (Centre for Consumers and Essential Services, University of Leicester, 2011 for Consumer Focus)</p> <p>http://www.consumerfocus.org.uk/files/2011/10/Making-the-connection.pdf</p>	<p>This provides a mixture of principles for adequate provision and recommendations:</p> <ul style="list-style-type: none"> • Clear – energy bills will need to tell consumers who to turn to if things go wrong, this will be much clearer if there is a one-stop enquiries and complaints-handling service for all the different energy services • Comprehensive and simplified – the artificial divisions in redress arrangements need to be tackled, with consumers of energy services and products able to access one ombudsman service • Meeting the needs of vulnerable consumers – the remit of the Extra Help Unit should be expanded to deal with the spectrum of possible consumer problems • Streamlined and simple – consumers should not be forced to contact a series of different organisations to get their complaints resolved • An integrated system & timely – with clear protocols and systems for consumer referrals, set timescales for referrals and handling complaints and procedures for identifying and dealing with emerging systemic issues that cross organisational boundaries • Accessible and affordable – access to complaint handling and redress must be free of charge for consumers • Providing quality assurance – all bodies involved must adhere to commonly accepted principles of good complaint handling; this needs to be accompanied by effective monitoring, supervision and compliance arrangements; proper recording and reporting is required to provide an effective service to clients and to enable systemic problems to be identified
<p>Criteria for the Recognition of Ombudsman Offices</p>	<p>The British and Irish Ombudsman Association (BIOA) has set out criteria for membership. BIOA has two classes of members: ombudsmen and complaint handlers. The criteria for ombudsmen are:</p> <ul style="list-style-type: none"> • Independence – demonstrable independence from those being investigated, including employment terms; sole power to

Source	Performance criteria
<p>(British and Irish Ombudsman Association, 2011)</p> <p>http://www.ombudsmanassociation.org/criteria.php</p>	<p>determine whether a complaint is within its jurisdiction</p> <ul style="list-style-type: none"> • Fairness – impartial and in accordance with legislation and good practice; provide reasons for decision • Effectiveness – adequate staffing and funding; service publicised by those subject to investigation; straightforward procedures; free of charge to complainants; able to pursue complaints without permission of those being investigated; decisions binding or non-compliance publicised • Openness and transparency – widely known why the scheme exists, what it does and what to expect from it; publish information on its legal constitution, governance and funding; publish anonymised reports of investigations • Accountability – annual report and accounts <p>The Association expects users of ombudsmen schemes in the public and private sectors to have comprehensive and coherent coverage and clear and simple access to ombudsmen, and will take account of this when considering applications for membership of the Association. In the case of private sector schemes, the Association is opposed to the fragmentation of redress schemes within a single industry. The Association prefers there to be a single ombudsman within an industry. Where more than one scheme is established within an industry, the Association will normally only afford recognition to the scheme or schemes to which a substantial number of firms in the industry belong.</p>
<p>Principles of Good Complaint Handling</p> <p>(Parliamentary and Health Service Ombudsman, 2009)</p> <p>http://www.ombudsman.org.uk/data/assets/pdf_file/0005/1040/0188-Principles-of-Good-Complaint-Handling-bookletweb.pdf</p>	<p>Good complaint handling by public bodies means:</p> <ul style="list-style-type: none"> • Getting it right – compliance with legislation; supportive leadership; integral part of service; focus on outcomes; signposting through the procedure • Being customer focused – clear and simple procedures; accessible; dealing with complainants promptly and sensitively understand the complaint and the outcome sought; responding flexibly and in a co-ordinated fashion • Being open and accountable – publishing clear, accurate and complete information about how to complain, how and when to take complaints further, and service standards for handling complaints; providing honest, evidence-based explanations and giving reasons for decisions; and keeping full and accurate records • Acting fairly and proportionately – treating the complainant impartially; investigate complaints thoroughly and fairly; decisions are proportionate, appropriate and fair; decision-maker is independent and fair • Putting things right – acknowledging mistakes and apologising where appropriate; providing prompt, appropriate and proportionate remedies; considering all the relevant factors of the case when offering remedies; taking account of any injustice or hardship that results from pursuing the complaint as well as from the original dispute • Seeking continuous improvement – using all feedback and the lessons learnt from complaints to improve service design and delivery; having systems in place to record, analyse and report on the learning from complaints; regularly reviewing the lessons to be learnt from complaints; where appropriate, telling the complainant about the lessons learnt and changes made to services, guidance or policy

Source	Performance criteria
<p>Approval criteria for redress schemes in the energy sector (Ofgem, 2008)</p> <p>http://webarchive.nationalarchives.gov.uk/20080806055225/http://www.ofgem.gov.uk/MARKETS/RETMKTS/COMPL/CONSREP/Documents1/Redress%20Schemes%20Decision.pdf</p>	<p>The Consumers Estate Agents and Redress (CEAR) Act 2007 enables the Secretary of State to make an Order that requires regulated electricity and gas suppliers, and operators of certain gas and electricity networks, to be a member of an approved redress scheme to investigate and determine complaints relating to the activities of those suppliers and network operators. The Act makes Ofgem responsible for approving redress schemes for the energy sector, while having regard to certain operational aspects and the principles of best practice. The Energy Ombudsman achieved statutory status as it met the following criteria:</p> <ul style="list-style-type: none"> • Independence, governance and fees for redress scheme members – independent of regulated providers and consumer and safeguards to ensure impartiality including: procedures governing appointment, termination, length of appointment; management oversight; terms of reference; determining if complaint within jurisdiction; fee structure; reallocation of case fees • Accessibility – need high levels of awareness among consumers; free/nominal charge; internal complaint handling procedures; 8 weeks for resolution; procedures for engaging with scheme must be straightforward; explanations of the procedure provided to consumers; translation and hearing/visual impairment support; multiple communication channels; staff can be authorised to complete forms on consumers’ behalf • Effectiveness – prompt; cost-effective; fair and sufficient scope in terms of the type of complaint it can consider and range of enforceable remedies, including such things as resourcing, expertise, dedicated referral process for systemic issues and signposting • Public accountability – for ensuring consumer confidence in its decision-making; requires transparency on decisions, scheme performance and readily understandable reports such as annual reports
<p>The Gas and Electricity (Consumer Complaints Handling Standards) Regulations 2008</p> <p>http://www.legislation.gov.uk/uksi/2008/1898/pdfs/uksi_20081898_en.pdf</p>	<p>The Consumers Estate Agents and Redress (CEAR) Act 2007 sought to encourage energy industries to take greater responsibility for their customers' complaints, and so required the introduction of new complaint handling standards for energy companies (excluding Northern Ireland). The resulting regulations encompass the following:</p> <p>Standards for handling complaints from domestic and micro-business customers:</p> <ul style="list-style-type: none"> • Regulated providers’ complaints handling procedure – each step must set out and be easily understood; permit oral and written submissions; provide contact details of independent sources of help and the right to refer to a qualifying redress scheme if the complaint remains unresolved or a timescale has lapsed; set out the remedies available • Recording complaints upon receipt – files must contain key contact details, date of contact, summary of issues, action taken, preferred mode of communication, explanation if provider considers complaint resolved

Source	Performance criteria
	<ul style="list-style-type: none"> • Recording handling of complaints – dates of resolution and informing consumers of their right to use a redress scheme • Signposting consumers to the redress scheme if complaints cannot be resolved – sets out the nature of remedies and that it is free of charge to the consumer; to be communicated the first working day after the provider has established it is unable to resolve the complaint • Allocation and maintenance of adequate resources for complaints handling • Section 12 and 13 of CEAR complaints (micro-enterprises and domestic customers that are disconnected, threatened with disconnection or PPM failure or considered vulnerable) – additional procedures need to be agreed with the National Consumer Council (responsibilities now with Citizens Advice) for supporting vulnerable complainants • Referral of consumers from Consumer Direct – must make arrangements for effective referrals from Consumer Direct (helpline now residing with Citizens Advice) <p>Supply of information to consumers:</p> <ul style="list-style-type: none"> • Information to be provided to consumers – complaints procedure information must be prominently on its website; annually all consumers must be informed of the existence of the procedure; a leaflet should be available on request • Publication of information on complaints – publish an annual report prominently on their website and provide a copy on request

Appendix 3

Information request template

Organisation profile	
Organisation name	
Discrete funded activity reviewed here (if applicable, for example, because under government contract). Please repeat exercise for each activity in a new column.	Funded activity X
Contact in case of queries (name, tel no, email)	
Accessibility & visibility of the service	
Levels of awareness – domestic consumers (Data from ad hoc/routine surveys completed by yours or another organisation. Please use most recent data.)	Add details and relevant hyperlinks as text.....
Levels of awareness – micro-enterprises	Add details and relevant hyperlinks as text.....
Projected number of clients p.a. for the last 3 years	201__ - _____ clients 201__ - _____ clients 201__ - _____ clients
Usage levels for domestic consumers including: - clients p.a. (average over last 3 years, last full years' actual) - top 5 issues contacted about and volume for most recent complete year	_____ domestic clients p.a. (average over last 3 years) _____ domestic clients in last full year (state year) - 20____ 1 _____ (issue), _____ (volume) in 20____ 2 _____ (issue), _____ (volume) in 20____ 3 _____ (issue), _____ (volume) in 20____ 4 _____ (issue), _____ (volume) in 20____ 5 _____ (issue), _____ (volume) in 20____

<p>Usage levels for micro-enterprises including:</p> <ul style="list-style-type: none"> - clients p.a. (average over last 3 years, last full years' actual) - top 5 issues contacted about and volume for most recent complete year 	<p>_____ micro-enterprise clients p.a. (average over last 3 years)</p> <p>_____ micro-enterprise clients in last full year (state year) - 20____</p> <p>1 _____(issue), _____ (volume) in 20____</p> <p>2 _____(issue), _____ (volume) in 20____</p> <p>3 _____(issue), _____ (volume) in 20____</p> <p>4 _____(issue), _____ (volume) in 20____</p> <p>5 _____(issue), _____ (volume) in 20____</p>
<p>Charges to clients (including telephone)</p>	<p>£_____ for _____</p>
<p>Option to conduct communication online or offline PLUS details of communication channels available (suggestions include: face-to-face, telephone, email, digital functions e.g. website, web-chat, social media)</p>	<p>YES/NO (delete as appropriate) Add details and relevant hyperlinks as text.....</p>
<p>Details of services for vulnerable consumers (suggestions include: centrally located premises; service is open at times to suit demand; resources in accessible formats; interpreters and support for those with sensory impairments; third-party representation permitted; compliant with obligations under equalities legislation and guidance; tailored service for vulnerable consumers)</p>	<p>Add details and relevant hyperlinks as text.....</p>
<p>Independence & impartiality</p>	
<p>Levels of client, industry and policy-makers trust in service provider (From ad-hoc/routine survey conducted by your organisation/another. If available, please provide details for stakeholders separately.)</p>	<p>Add details and relevant hyperlinks as text.....</p>

Details of procedures used to ensure independence from industry	Separate organisation – YES/NO (delete as appropriate) Procedures to ensure independence: Management structures – YES/NO Employment terms – YES/NO Use of independently approved tools/standards/legislation/good practice to aid impartiality and consistency – YES/NO Client confidentiality – YES/NO Details of other measures, commentary and relevant hyperlinks as text.....
Expertise & professionalism	
Level of complaints about advice provider by domestic consumers (last 3 years ending with last complete year)	201__ - _____ complaints 201__ - _____ complaints 201__ - _____ complaints
Level of complaints about advice provider by micro-enterprises (last 3 years ending with last complete year)	201__ - _____ complaints 201__ - _____ complaints 201__ - _____ complaints
Level of client satisfaction for domestic consumer clients with the process (not outcome) (From ad-hoc/routine survey conducted by your organisation/another)	In 20__ , _% of domestic clients were satisfied with the process
Level of client satisfaction for micro-enterprise consumer clients with the process (not outcome) (From ad-hoc/routine survey conducted by your organisation/another)	In 20__ , _% of micro-enterprise clients were satisfied with the process
Details of significant service quality issues identified (either through internal or independent assessments)	Add details and hyperlinks as text
Comprehensiveness of service & integration with other providers	
Advice or redress provider	Advice/redress provider (delete as appropriate)
Geographical responsibility	England/Ireland/Scotland/Wales (delete as appropriate)
Consumer issues and markets covered as part of formal remit	Add details and hyperlinks as text
Consumer type served as part of formal remit	Domestic/micro-enterprise/vulnerable/advisor (delete as appropriate)

Key omissions identified in remit	Add details and hyperlinks as text..... For each issue assign RED/AMBER/GREEN to indicate perceived negative impact on consumers, industry and the economy
Signposting – % and volume of clients that are signposted to other providers (including discrete services provided within your organisation) because their issues are outside of remit (last complete year)	In 201__,_% and _ (number) were signposted to other providers (including discrete services provided within your organisation) because their issues were outside of our remit
Referrals – organisations clients referred on to – details of top 5, providing % and volume	In 201____, top 5 referrals from our service were: 1 _____ (provider) - _____% , _____ (volume) 2 _____ (provider) - _____% , _____ (volume) 3 _____ (provider) - _____% , _____ (volume) 4 _____ (provider) - _____% , _____ (volume) 5 _____ (provider) - _____% , _____ (volume)
Warm transfers – % and volume of customers handed immediately over (warm transfers) to signposted organisation (e.g. calls put through, emails forwarded)	In 201__,_% and _ (number) were handed immediately over (warm transferred) to other providers (including discrete services provided within your organisation) because their issues were outside of our remit
Top 5 sources of referrals to your service – % and volumes for each; state year (suggestions include energy company, another agency – stating which one, internal referral if you supply more than one discretely funded service within your organisation)	In 201____, top 5 referrals to our service were: 1 _____ (provider) - _____% , _____ (volume) 2 _____ (provider) - _____% , _____ (volume) 3 _____ (provider) - _____% , _____ (volume) 4 _____ (provider) - _____% , _____ (volume) 5 _____ (provider) - _____% , _____ (volume)
Adequately resourced	
Funding – who funds the organisation’s advice/redress activities (e.g. through licence fee, directly from industry, via government fund paid for by consumers etc), by how much and over what timescale? Separately funded discreet activities should be listed and reviewed in separate columns.	Source of funding _____ Amount £ _____ for _____ time period
Cost of set up and year set up OR anticipated costs and launch year if in development (e.g. from impact assessment/tender)	£ _____ to set-up in 201_____ Add details, commentary, hyperlinks as text.....

Cost – annual including average over last 3 years and last full years’ actual	In 201__ running costs were £ _____ In 201__ running costs were £ _____ In 201__ running costs were £ _____
Details of current/future resourcing shortfalls identified (e.g. money, staff, premises)	Resourcing shortfalls identified include..... Assign red/amber/green to each issue to indicate significance Add details, commentary, hyperlinks as text.....
Effectiveness & Efficiency	
% and volume of client issues resolved where they are within remit	In 201_____ % and _____ (number) of client issues were resolved
Cost – per client and by issue	In 201__ running cost per client was £ _____ (no. of clients/running costs for same year) In 201__ running cost per issue was £ _____ (no. of issues/running costs for same year)
Performance – please report performance against own targets/KPIs/dashboard for most recent complete year, stating what year. Please be as candid as possible, going beyond annual report assessments to include internal targets (confidentiality will be protected in the final report). Please also report on key findings from others' evaluations of your performance, providing commentary as appropriate.	Add details as text and hyperlinks.....
For redress providers only, are decisions binding on energy companies?	Yes/No/NA (delete as appropriate)
For redress providers only, what remedies are available?	Yes/No/NA (delete as appropriate)
Responsiveness & future-proof	
Details of unmet consumer needs identified (from your own market intelligence/management information/issues around remit and referrals/others’ research)	Add details as text and hyperlinks.....
Planned service developments to respond to unmet needs	Add details as text and hyperlinks.....
For redress providers, % of disputes concluded within 90 days of receiving complaint file	In 201____ , _____ % of disputes concluded within 90 days of receiving complaint file OR N/A

<p>For redress providers, % of cases outside of remit that are informed within 3 weeks of receipt of file</p>	<p>In 201____, _____ % of cases that are informed that they are outside of remit within 3 weeks of receipt of file OR N/A</p>
<p>Transparency & accountability</p>	
<p>What legislation, guidance and/or licence conditions underpin your role and companies' requirements to refer to your organisation, if any? If none, please state that this is the case.</p>	<p>Add details as text and hyperlinks.....</p>
<p>Provision of publicly available information about the organisation, including its legal constitution, its governance, funding, methods and cases they deal with and impact (e.g. annual activity reports)</p>	<p>Please provide hyperlinks to and indicate if information is also available offline for the following:</p> <ul style="list-style-type: none"> • legal constitution • governance • funding • procedures/methods • cases you deal with • impact including annual activity reports

Appendix 4

Interview schedule

ENERGY ADVICE & REDRESS INTERVIEW SCHEDULE		
Organisation profile		
1	Organisation name	
2	Contact name, phone and email	
Performance/benefits		
3	<p>Do you agree these are appropriate desirable outcomes for energy advice and/or redress?</p> <ul style="list-style-type: none">• All those who want/need to use the service can• The service is trusted, which in turn enhances usage and industry responsiveness• Advice/decisions on complaints help improve standards of service from energy providers• Frontline staff have the skills and knowledge necessary to identify and address clients' needs, operate with the highest standards of customer care and deliver fair decisions. This in turn enhances all outcomes for consumers, energy providers and the economy.• Consumers get maximum support for minimal effort• Service can deliver in line with expectations and need• Build clients' confidence and their capacity to successfully navigate the markets for themselves• Low cost per client/issue versus other advice/redress providers• Service provided aligns with consumer needs• Continual improvement – advice/redress provider's service standards are driven upwards	
	Informed by the answers to the information request and	

	your experience, how effective do you consider your organisation to be in delivering these outcomes?	
Consumer needs – current and future		
4	What do you think are the greatest areas of consumer need for advice and redress across the energy sector?	
5	Do you see this changing in the future? If so how?	
6	What do you think are the areas of greatest unmet need? Why? What needs to be done to address it?	
7	How well do you think the needs of vulnerable consumers are being met?	
8	How well do you think the needs of energy advisors are being met?	
9	In an ideal world, what changes in support/provision would you make to ensure that there was adequate advice/redress? What would be of greatest value? What do you think is feasible?	

Appendix 5

Contributors

Organisation	Advice/redress schemes	Contributor
Citizens Advice	Extra Help Unit	Natasha Murray (information request)
Citizens Advice	Complaints Helpdesk	Julia Durham (information request)
Citizens Advice	Energy Best Deal Extra	David Jones (information request)
Citizens Advice	Citizens Advice consumer service	Julia Durham (information request)
Citizens Advice	Overview	Audrey Gallacher & Sue Russell (interview) Andrew Regan (background information)
Citizens Advice Scotland	Overview	Fraser Stewart
Ofgem	Renewable Heat Incentive Enquiry Line	Paul Heigl (queries on domestic line)
Energy UK	Home Heat Helpline	Kerry Levan (information request & interview)
Energy Saving Trust	Energy Saving Advice Service	David Weatherall (background information to support information request & interview)
Energy Saving Trust	Home Energy Scotland	Laura McGadie (background information to support information request & interview)
Zero Waste Scotland	Resource Efficient Scotland Advice and Support Service	Anna Gooding (information request)
DECC	Big Energy Saving Network	David Newton (background information to support information request & interview)
Department for Business, Innovation & Skills	Alternative Dispute Resolution Directive, Consumer & Competition Policy	Nick Mawhinney (interview) Peter Lovitt (update Nick Mawhinney's successor)
Welsh Government	Business Wales	Sion Jones (information request)
Welsh Government	Overview	Marcus Hill (interview)
Micro-generation Certification Scheme	Micro-generation Certification Scheme	Tom Chapman (information request & interview)

Organisation	Advice/redress schemes	Contributor
Renewable Energy Association Limited	Renewable Energy Consumer Code	Virginia Graham (interview) John Munton, CEDR (information request) Sarah Rubinson (information request)
Ombudsman Services	Energy Ombudsman	David Jones (interview) Steve Campbell (information request)
Ombudsman Services	Green Deal Ombudsman	John Baguley & Mark Glover (background information to inform information request & interview)
Ofgem	Overview	Marcus Clements (background information)

N.B. The reviewer was unsuccessful in attempts to gain information from or interview the Scottish Government and Welsh Government, and was unsuccessful in attempts to interview Ofgem.

Appendix 6

Interviewees' feedback on the proposed outcomes for advice and redress providers

N.B. The interviews were conducted on the basis that all comments would remain anonymous.

Outcomes		Interviewee's comments
1	All those who want/need to use the service can	Awareness and low barriers to use through good accessibility is very important. Without this, usage remains low and potential benefits are not achieved. Energy companies need to work with consumer organisations to support this. The ADR Directive raises the bar on this. Links with Outcome 5.
2	The service is trusted, which in turn enhances usage and industry responsiveness	Very important. Industry initiatives are treated with suspicion by consumers. Industry initiatives drive consumers back to suppliers who should be supporting them and, if recognised as industry initiatives (rather than being lost in a funding pot), can help build trust.
3	Advice/decisions on complaints help improve standards of service from energy providers	Agreed. Industry will be more responsive to redress providers' feedback if their decisions are seen as fair. An important function of a redress provider is to give feedback to industry to help them improve their processes. No – it is the regulator's role to drive industry improvements. Is this more applicable to redress?
4	Frontline staff have the skills and knowledge necessary to identify and address clients' needs, operate with the highest standards of customer care and deliver fair decisions. This in turn enhances all outcomes for consumers, energy providers and the economy.	Definitely. It is important to be able to level the playing field between consumers and energy suppliers by helping 'translate' the issues for both parties.
5	Consumers get maximum support for minimal effort	Very much agree. The need to go through an energy company's complaints procedure prior to using the redress scheme may set the effort level too high.

6	Service can deliver in line with expectations and need	<p>Needs refinement.</p> <p>The ADR Directive suggests a 90-day deadline for redress providers to resolve complaints. Some providers say this is too short. For consumers it is too long.</p> <p>Services should align with consumer expectations but not their expectations of a complaint decision, as these may be unrealistic.</p> <p>Expectations management is important.</p> <p>Consumers expect to have to call one organisation only.</p> <p>Service contracts may not align with consumer need – cost is a common constraint (e.g. restrictions on the advice topics, call length, the number of users).</p> <p>Provision should align with policy objectives. Policy objectives should align with consumer need.</p> <p>Align with need, not expectations. Where contractual restrictions restrict responding to need, it is for providers to raise this with policy-makers.</p> <p>Links with Outcome 10.</p>
7	Build clients' confidence and their capacity to successfully navigate the markets for themselves	<p>Definitely (advice provider).</p> <p>Unsure (redress provider).</p> <p>Signposting is an important benefit (redress provider).</p>
8	Low cost per client/issue versus other advice/redress providers	<p>Cost-efficiency evaluations need to consider the nature of the service provided – more intensive services with vulnerable consumers cost more.</p> <p>Competition risks focusing on cost as the key outcome and losing out on other benefits as a result.</p> <p>Alternative suggested – good value to the taxpayer.</p>
9	Service provided aligns with consumer needs	Repeats Outcome 6.
10	Continual improvement – advice/redress providers' service standards are driven upwards	<p>Agreed but difficult to deliver.</p> <p>Again, government funding contracts may limit improvements possible.</p> <p>A chain of sub-contractors and delivery partners may also be involved in providing advice, fragmenting accountability for service standards.</p>

Appendix 7

Accessible and visible - all those who want/need to use the service can

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Advice initiative	Outcome measures					
	Awareness	Usage levels - domestic	Usage levels - micro-business	Charges to clients	Communication channels	Services for vulnerable consumers
Great Britain and England only						
Citizens Advice consumer service	Usage at 99% of target. 21% found out about the service via the internet, 13% from energy bills, 6% supplier website, 2% used service previously.	69,658 issues/cases in 2014. N.B. This includes micro-business.	Approximately 9% of clients are micro-business	Depending on use of landline or mobile and 08 or 03 number, calls may be free or cost in excess of 8p-£3.20 for an average of 8 min call waiting	Webform, telephone, textphone, letter	Benchmarked against the Inclusive Service Provision British Standard (unpublished report – confidential)
Energy Saving Advice Service	Usage 32% of target (calculated using targets set out in DECC/EST contract for the provision of ESAS and actual use figures-public document but provided by DECC)	290,000 in 2014 (combined with micro-enterprises) (see ESAS data published by DECC)	See domestic	Call charges at national rates	Telephone, email and digital	Contract requires all channels to be accessible, e.g. braille and large print; textphone; website to meet with COI guidance and advise compliance with BS8878; range of languages including Welsh
Home Heat Helpline	No data	25,000	N/A		Telephone	Permits third-party representation; minicom
Extra Help Unit	Usage at 100% of target	6,238	750	0800 for landlines and 0141 for mobiles so they	Telephone, letter, fax, email	Benchmarked against the Inclusive Service Provision British Standard (unpublished) – major elements met

Advice initiative	Outcome measures					
	Awareness	Usage levels - domestic	Usage levels - micro-business	Charges to clients	Communication channels	Services for vulnerable consumers
				are charged at a local rate		with action plan to address shortfalls. Use interpreters, third party representation, staff do not have strict time limits on calls, consistent named caseworker, asking the right questions of callers is important to support them effectively.
Energy Best Deal Extra	Usage of 290% exceeds target	4,376	N/A		Face-to-face in over 3,500 locations, phone and email	Support levels vary as each bureau is an independent organisation
Big Energy Saving Network	Usage of 125% exceeds target (see grant offer fund)	Figure shared is confidential	N/A		Face-to-face as a minimum	No data
Micro-generation Certification Scheme Helpdesk	No data	1,682 (combined with micro-enterprises)	See domestic	0207 number	Telephone, email	Support consumers to complete forms (but rarely completed form for them), will send out paperwork in the post
Wales						
Nest	Usage of 137% exceeds target	20,600 (see Annual report 2013-14)	N/A	No data	No data	No data. Remit includes to ensure that Welsh Assembly Government support and advice is inclusive and takes people's needs into account (for example, ensure that advice meets accessibility standards and that programmes are delivered with cultural sensitivities in mind)
Resource Efficient Wales	No data	No data	No data	No data	No data	No data
Business Wales	Usage at 100% of target	N/A	170	Fully subsidised	Primarily face-to-face,	Majority of meetings at client

Advice initiative	Outcome measures					
	Awareness	Usage levels - domestic	Usage levels - micro-business	Charges to clients	Communication channels	Services for vulnerable consumers
					email and telephone, social media, website	premises
Scotland						
Home Energy Scotland	No data	312,000 (see Annual Review 2014)	840 in 2012/13	No data	No data	Outreach, changed from 0800 to 0808 number to make cheaper for mobile calls
Resource Efficient Scotland Advice and Support Service	Usage at 72% of target (one-to-one support). The website received 30,230 unique visitors in FY 2013/14, with 149,292 individuals receiving programme communications.	No data	377	No data	No data	No data

Appendix 8

Comprehensive and integrated - consumers get maximum support for minimal effort

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Advice initiative	Referrals IN	Referrals OUT
Great Britain and England only		
Citizens Advice consumer service	<p>Have formal referral protocol arrangements with: all trading standards in GB; Energy Ombudsman; 'big 6' energy suppliers; Extra Help Unit</p> <p>Internet search for consumer service (21%), energy bill (13%), energy supplier website (6%) used service before (2%),</p>	<p>4,061 signposts, including (greatest first): Energy Ombudsman; Consumer Focus website, ESAS, Shelter. Primarily done to complement advice already provided, not because issues are out of scope.</p> <p>In 2014, top 5 referrals were to: Extra Help Unit (12%), followed by all energy suppliers (7%), and Ombudsman Services (1%).</p> <p>In 2014, 3,879 warm transfers</p>
Energy Saving Advice Service	<p>Internet (36%), energy bill (17%), word of mouth (14%), other (8%), previous contact (6%), Warm Front (6%)</p>	<p>Signposting/referrals are required as part of the contract instead of warm transfers</p> <p>Green Deal complaints – may be referred back to the company, then certification scheme, then Green Deal Ombudsman</p> <p>Micro-generation complaints – referred to company then MCS or RECC</p> <p>ECO – voluntary agreement with ECO-obligated companies to follow up referrals from ESAS</p> <p>Benefits advice – the Citizens Advice consumer service</p> <p>Switching – Ofgem website</p>
Home Heat Helpline	<p>This changes each month depending on PR activity but the top 5 are: press; word of mouth; Age UK; Citizens Advice; MPs</p>	<p>Signposting/referrals is part of the remit of the helpline, especially to energy suppliers – its USP – drives back to suppliers</p> <p>In 2014, top 5 referrals were to: energy supplier (52%); ESAS (18%); Green Deal (7%); the Turn2us and local councils. 30% were warm transferred to energy supplier.</p>
Extra Help Unit	<p>In 2014, top 5 referrals to our service were: Citizens Advice consumer service (90%, 6,364), Ombudsman Services: Energy (3%, 237), Consumer (2%, 144), Ofgem (2%, 139), Citizens Advice Bureaux (1%, 68)</p>	<p>Refer routinely to local bureaux for debt advice, food banks in extreme circumstances, Samaritans, social services and police where threat to life</p>

Advice initiative	Referrals IN	Referrals OUT
	We have referral guidelines in place with the Citizens Advice consumer service and Ombudsman Services: Energy to ensure that consumers are referred to the Extra Help Unit	
Energy Best Deal Extra	46% came from another service in Citizens Advice (14% via Energy Best Deal group, 27% recommendation of someone who had used the service, 5% Financial capability group)	N/A
Big Energy Saving Network	No data	No data
Micro-generation Certification Scheme Helpdesk	Anecdotally, the Energy Saving Advice Service, energy suppliers and Ofgem	No data logged
Wales		
Nest	No data	Over 7,000 referrals made in 2013/14 Income maximisation – have formalised referral arrangements Benefit entitlement checks. In 2013/14, nearly 1,900 referred. Also referred for Warm Homes Discount, winter fuel payment and energy tariff advice. Money management and debt advice – referrals to Money Advice Trust Energy efficiency measure installation – British Gas Local referrals – enabling care & repair services (472), fire service (115) ECO & Green Deal – ESAS; over 6,000 referred to ESAS (32% were likely to be ECO eligible customers and 68% Green Deal) (see Annual report 2013-14)
Resource Efficient Wales	Integrated with Business Wales	Business Wales
Business Wales	No data	In 2014, top 5 referrals were to: internal business advisors; Carbon Trust; Natural Resource Wales: Workboost Wales; British Gas Micro Business Fund
Scotland		
Home Energy Scotland	No data	RES on Green Deal, micro-business. Have links with local authorities and community liaison officers to set up referral network to try to reach out advice to those who need it.
Resource Efficient	In 2013/14, top referrals to the service were:	In 2013/14, 99 organisations were referred to one of our partner

Advice initiative	Referrals IN	Referrals OUT
Scotland Advice and Support Service	1. Visit Scotland – 47 (58%) 2. Energy Savings Trust – 29 (36% of referrals) 3. SEPA – 4 (5% of referrals) 4. Scottish Enterprise – 1 (1% of referrals)	organisations (including Energy Savings Trust (ESAS) – 83%/50, Business Gateway – 13%/8; HES; SEPA – 3%/2; Scottish Enterprise – 1%/1) because they required additional support with other areas of their business that are not within our remit. All referrals are made as warm transfers.

Appendix 9

The different modes of advice provision available

Advice initiative	Telephone	Face-to-face & one-to-one	Face-to-face & group	One-off	Long-term	Outreach
Great Britain and England only						
Citizens Advice consumer service	✓	✗	✗	✓	✗	✗
Energy Saving Advice Service	✓	✗	✗	✓	✗	✗
Home Heat Helpline	✓	✗	✗	✓	✗	✗
Extra Help Unit	✓	✗	✗	✓	✓	✗
Energy Best Deal Extra	✗	✓	✗	✓	✓	✗
Big Energy Saving Network	✗	✓	✓	✓	✗	✓
Micro-generation Certification Scheme Helpdesk	✓	✗	✗	✓	✗	✗
Wales						
Nest	✓	✓	✗	✓	✓	✗
Resource Efficient Wales	✓	✓	✗	✓	✗	✗
Business Wales	✓	✓	✗	✓	✗	✗
Scotland						
Home Energy Scotland	✓	✓	✗	✓	✓	✓
Resource Efficient Scotland Advice &	✓	✓	✓	✓	✓	✗

Support Service						
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Appendix 10

Expert and professional - frontline staff have the skills and knowledge necessary to identify and address clients' needs, operate with the highest standards of customer care and deliver fair decisions

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Advice initiative	Outcome measures		
	Complaints about advice provider	Satisfaction with service	Significant service quality issues identified
Citizens Advice consumer service	Began monitoring last year; in 2014, 25 complaints	87% satisfied; this will in future be split for domestic and micro-enterprises	28% of cases reviewed do not achieve a good quality status. This is on target. However, current priorities for service improvement include the following: <ul style="list-style-type: none"> • Coding – specifically the use of clarity of bill issue code • Improving the depth of advice offered • Improving quality case notes to support increased partner reliance on notes (general issue, not consumer specific) • Criminal law training – CPR referrals lack specificity (general issue, not consumer specific) • Focus on quality is making call control more important • Complete advice – increasing added value by exploring ADR schemes and support organisations • Focus on trader information
Energy Saving Advice Service	No data	No data	No data
Home Heat Helpline	None	In 2014, 90% satisfaction and net promoter score of 70-90% (50% is good)	No data
Extra Help Unit	In 2012, 22 domestic	In 2014, 88% domestic	Looking to have a dedicated quality role

Advice initiative	Outcome measures		
	Complaints about advice provider	Satisfaction with service	Significant service quality issues identified
	& 5 micro-enterprise In 2013, 17 domestic & 3 micro-enterprise In 2014, 10 domestic & 1 micro-enterprise	& 86% micro-enterprises	
Energy Best Deal Extra	No data	No data	
Big Energy Saving Network	Confidential data provided on independent evaluation	Confidential data provided on independent evaluation	Confidential data provided on independent evaluation
Micro-generation Certification Scheme Helpdesk	No data		
Nest	No data	No data	No data
Resource Efficient Wales	No data	No data	No data
Business Wales	No data	No data	No data
Home Energy Scotland	No data	No data	No data
Resource Efficient Scotland Advice and Support Service	None	No data; plan to bring satisfaction evaluation this year	

Appendix 11

Adequately resourced - the service can deliver in line with need

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Advice initiative	Source of funding	Annual cost (funding organisation)
Great Britain and England only		
Citizens Advice consumer service	Consumer – industry levy administered by BIS	Funding is on an agreed cost per contact basis Confidential data has been withheld
Energy Saving Advice Service	Taxpayer via DECC	Green Deal Impact Assessment projects £12.1m p.a. based on 1.4m calls, but the actual number of calls is considerably less (see Green Deal Impact Assessment)
Home Heat Helpline	Consumers of the 7 largest energy suppliers	£700,000 in 2013/14. Costs have varied annually in accordance with number of contributing suppliers and call volumes
Extra Help Unit	Consumers via industry levy administered by DECC	No data provided
Energy Best Deal Extra	Consumers – via Ofgem, including both from Energy UK and redistributed company fines	£550,000 for 6 months; £3.6m until April 2016
Big Energy Saving Network	DECC	£900,000-£1 m in 2013/14 (DECC), about £1m in 2014/15
Micro-generation Certification Scheme Helpdesk	Fees paid by trade organisations through their membership fees	£150k set-up costs in 2008/9; operational costs withheld.
Wales		
Nest	Welsh Government	Funding for advice component not separated from the whole of Nest funding
Resource Efficient Wales	Welsh Government	No data
Business Wales	European Regional Development Fund and Welsh Government-matched funding	£6m but timescale unknown
Scotland		

Home Energy Scotland	Scottish Government	£3m in 2013/14 (see HEEPS delivery report 2013-14)
Resource Efficient Scotland Advice and Support Service	Scottish Government	£2.6m in 2013/14 with £59k set-up costs

Appendix 12

Effective and efficient - builds clients' confidence and their capacity to successfully navigate the markets for themselves while providing good value to the taxpayer

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Advice initiative	Provider performance indicators	Performance against indicators
Great Britain and England only.		
Citizens Advice consumer service	% considering issues resolved Contacts and files monitored are categorised as 'good' Contact centre availability, Mon-Fri, 9am-5pm Customer wait time (from end of recorded message) Abandonment rate (from 5 seconds after IVR) Online form response time (from receipt) Overall customer satisfaction Overall service partner satisfaction Consumer detriment (OFT/TSI method) Also procedural performance indicators: <ul style="list-style-type: none"> • Complaints • Data completion • QM benchmarking • % of quality and performance reviews late 	54% (2014/15 first survey) 73% (target 70%) 100% (target 99.5%) 84% (target 80%) 3% (target 5%) 95% (target 100%) 97% (target 80%) 66% (target 70%) £11 saved for every £1 spent (£3.50 saving)
Energy Saving Advice Service	ESAS reported to the ECC select committee that it reports to DECC on the following: <ul style="list-style-type: none"> • Call volumes, including: calls offered and answered, calls answered within service level and average call handle time • Contract service levels, including: customer satisfaction, complaints and number of referrals 	Data withheld

Advice initiative	Provider performance indicators	Performance against indicators
	<ul style="list-style-type: none"> • CRM customer details, including: customer details (inc. local authority and country), how caller heard about ESAS, and the reason for call and call outcome • Referrals data to ECO Affordable Warmth, participating energy suppliers and previously CERT suppliers <p>EST can provide evidence to demonstrate the service is helping callers towards energy saving action through:</p> <ul style="list-style-type: none"> • outcome indicators such as referral and installed measures through monthly reports and follow up • communications with callers • what is effective in relation to Green Deal take-up through analysis of reasons for high conversion rate to referrals /installations • indications of distributional impact through analysis of calls, referrals and installations by segment or geographical area • unintended impacts of the service picked up through follow-up communications with caller and analysis of low conversion rate of referrals • cost avoided on bills due to Green Deal measures installed • measures installed outside of Green Deal but influenced by Green Deal infrastructure. <p>(see EST submission to select committee)</p> <p>According to the tender materials, DECC has agreed high and minimum performance service levels for technical performance and customer service, and these are reported monthly. Under-performance at defined levels results in money being paid back to DECC. These include: call waiting times, response times for emails, caller satisfaction, complaints about service, % of calls leading to referrals.</p> <p>Other KPIs include: response time to emails, timescales for complaint resolution, timescale for providing information on ECO eligibility.</p>	

Advice initiative	Provider performance indicators	Performance against indicators
	The Green Deal tender document – service efficiency, customer satisfaction, customer outcomes and management information (see tender)	
Home Heat Helpline	Call centre KPIs in relation to call handling times, pick-up, mid-call transfer, target group, benefits and low income are all being met Call volumes are below target and therefore the cost per call will be below target	Within target Met Below target – possibly due to mild weather; they are using a contingency to try to drive calls through increased PR
Extra Help Unit	Quarterly reporting to BIS has evolved and is driven by the Extra Help Unit (confidential)	Extra Help Unit finding it difficult to cope with spike in numbers
Energy Best Deal Extra	% of clients finding session helpful Interviews to assess helpful aspects of service	92%; there was evidence in the interview responses that the multi-faceted approach offered by Citizens Advice Bureaux through Energy Best Deal Extra, in terms of support regarding benefit and debt advice, switching, and energy efficiency, was a successful and much appreciated strategy. Signposting to additional help and resources was of significant benefit to some consumers. This included resources such as electrical appliances courtesy of energy companies, or in calling landlords about essentials like cookers. Evaluation of energy best deal - the scheme had a significant and positive impact on the consumers and frontline workers who attended the sessions. Virtually all the consumers said they found the advice useful and most said they would take positive action, such as contacting an energy supplier.
Big Energy Saving Network	Confidential independent survey evaluation looked at: <ul style="list-style-type: none"> • % reporting feeling more informed and empowered • % taking subsequent action and what actions these were (e.g. light bulbs, change tariff, ECO application) • Target consumers (non-British, low income, benefit claimants, prepayment meter users, disabilities, off gas grid, over 65, with dependent children, no internet access, no experience of switching, chronic illness) • Advice providers targeting consumers more effectively 	Confidential
Micro-generation Certification	No data	No data

Advice initiative	Provider performance indicators	Performance against indicators
Scheme Helpdesk		
Wales		
Nest	<p>Since Nest is largely a mechanism to encourage take-up of government schemes, the accuracy of referrals is important. This is reflected in the KPIs:</p> <ul style="list-style-type: none"> • % referred to ESAS eligible to take up government schemes (referral accuracy) • % referred for WHD eligible • % getting home safety reports after referral to fire service • Energy Bill savings • Potential income increases identified (average phh/year total/scheme total) 	<ul style="list-style-type: none"> • In 2013/14, of those referred to ESAS, 32% were likely to be ECO-eligible customers and 68% Green Deal • 11% qualified • 18% • £475phh • £2,084 average phh/ £730K this year /£1.4m over 3 years <p>Over the last year Nest has improved the screening process for referrals to third parties, aiming to improve the quality of the lead provided. This has led to a reduction in the volume of some third-party referrals but increased the number of successful outputs. In 2012/13, focused on developing partner referral network and improving the experience. Stakeholder Board also established to help identify and target vulnerable and hard to reach households that are most in need of the support Nest can provide (see Annual report 2013-14).</p>
Resource Efficient Wales	Post-service follow up to measure outcomes. Currently developing evaluation framework.	No data
Business Wales	No data	No data
Scotland		
Home Energy Scotland	<p>Performance reporting is completed for the entirety of the fuel poverty programme, with advice only being one component of this. Key measures: Climate change impact (tonnes of CO2 saved over lifetime of measures) Net gain in HH income over lifetime of measures £saved to £spent = HH income gearing</p> <p>Advice translating into measure installation, receipt of bill reduction or benefited from a payment method switch.</p>	<p>3.8 in 2012/3 but area-based home insulation scheme better (as well as climate change impact), possibly reflecting less-effective targeting of national schemes Delivery lesson – front-end integration (i.e. arrangements that ensure the customer has access to all relevant assistance triggered through first contact) is an important factor in ensuring maximum benefit and minimum effort for the customer.</p> <p>5% conversion of advice into installation</p>
Resource		In the first year of operation (2013/14 financial year):

Advice initiative	Provider performance indicators	Performance against indicators
Efficient Scotland Advice and Support Service	Individuals receiving programme communications Number of one-to-one supports Identified savings	149,000 with a target of 40,000 – 373% of target 554 with a target of 770 – 72% of target £12m with a target of £21m – 57% of target

Appendix 13

Accessible and visible - all those who want/need to use the service can

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Redress scheme	Outcome measures					
	Awareness	Usage - domestic	Usage - micro-business	Charges to clients	Communications channels	Services for vulnerable consumers
Ombudsman Services: Energy	No data but Ofgem (2013) survey commissioned research: 34% domestic consumers and 27% micro-businesses were not aware that they could take their complaint to an Independent Energy Ombudsman.	38,519 in 2014 Annual report says 2013/14 26,700, 132% more than previous year and 67% more than forecasted (see Annual report 2013-14) 87,542 initial contacts Resourced to resolve in excess of 70K cases for 2015 financial year	2,450 in 2014	03 telephone number to make cheaper from mobiles too	Telephone, letter, email and via an online form available on their website. They are also exploring the use of social media including Twitter, Facebook and LinkedIn.	OSE offers a number of ways in which vulnerable consumers can access its services, including: <ul style="list-style-type: none"> • TypeTalk • Large print and braille versions of documents • Access to a sign language interpreter • Foreign language telephone translation service • Third-party representation permitted • Extended opening times (see Meeting your needs Equality & Diversity strategy) <p>Doing more to raise profile with certain groups, for example, students and with Energy UK to improve signposting to them</p>
Green Deal Ombudsman	Badged as Ombudsman Services: Energy on energy bills and uses the					

Redress scheme	Outcome measures					
	Awareness	Usage - domestic	Usage - micro-business	Charges to clients	Communications channels	Services for vulnerable consumers
	same phone number					
Renewable Energy Consumer Code	Total of 1,595 customer satisfaction surveys were returned in 2013. Of those consumers who did not give such positive feedback, 23% said they were not made aware of a complaints procedure and 18% said they were not made aware of the Consumer Code before they signed the contract.	In 2013, 8% of domestic consumers who complained to RECC about a RECC member resolved their complaint through the Independent Arbitration Service 1,301 complaints in 2013 (domestic and micro-business combined) to RECC. Of these, one-third fell within RECC's remit and have either been resolved or are still in the process of being resolved. Of those that have been resolved, 7 were referred to the conciliation service and 18 were referred to the independent arbitration service. More details of complaint type are available online (see Annual report 2013).	In 2013, 1% of complaints were by non-domestic consumers	£100+VAT for domestic, £200+VAT for micro-business; refundable if found in their favour	Telephone, email, fax, post, website	RECC requires completion of online forms, which can be printed off and posted to them by an advisor The consumer may give their permission for a friend, relative or other agent (e.g. Citizens Advice Bureau) to deal with a complaint on their behalf
Micro-	No data	2012 – 2,734 clients	See	0207	A helpdesk phone line that	Can submit complaints by phone as

Redress scheme	Outcome measures					
	Awareness	Usage - domestic	Usage - micro-business	Charges to clients	Communications channels	Services for vulnerable consumers
generation Certification Scheme		2013 – 3,552 clients 2014 – 1,682 clients Complaints are a subset of client numbers 374 in 2013; 199 in 2014 – both consumer types	domestic	telephone number only	is open weekdays 9am-5pm A helpdesk email inbox Enquiries can be submitted via the website using a form or directly to mcs@gemserv.com	well as electronically Where appropriate they: <ul style="list-style-type: none"> • support customers to complete forms over the phone, providing detailed advice and guidance • send out paper versions of forms where appropriate • permit third-party representation

Appendix 14

Adequately resourced - the service can deliver in line with need

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Redress scheme	Sources of funding	Annual costs
Ombudsman Services: Energy	Energy companies via subscription and case fees. Case fees vary according to product complexity.	2013/14 – £10.534m 2012/13 – £7.557m 2011/12 – £6.184m Cashflow is in a strong position and the company employs a very prudent approach to retaining cash in its surplus to account for 'Risks' logged on its Corporate Risk Register.
Green Deal Ombudsman	DECC pay for set-up costs and fixed running costs for first 2 years. Case fees payable by Green Deal providers and will be dependent on the complexity of the cases (see Green Deal Impact Assessment).	Green Deal Impact Assessment £0.3m for first two years to Government and £1.3 to providers (GDIA)
Renewable Energy Consumer Code	Consumer complainant Industry	Publicly available data is as follows: RECC pays £350 excluding VAT for each conciliation (there were only 7 in 2013) Each arbitration costs £450 excluding VAT (£100 excluding VAT payable by each of the consumer and member, with RECC paying the balance)
Micro-generation Certification Scheme	Product manufacturers and installers. Annual members fee and per-installation fee	Set-up £150K in 2008/9. No funding shortfalls identified. Other data withheld.

Appendix 15

Effective and efficient - builds clients' confidence and their capacity to successfully navigate the markets for themselves while providing good value to the taxpayer

N.B. All data was compiled from completed information requests, calculations based on figures provided in the information requests and publicly available information. Unless referenced, all data was provided by the organisations.

Redress scheme	Provider indicators	Performance against indicators
Ombudsman Services: Energy	<p>Time to resolve dispute:</p> <p>42 days</p> <p>56 days</p> <p>Beyond SLAs</p> <p>% energy companies required to make financial awards</p> <p>Total complaints resolved 15,031, pre-investigation case closure 3%, early resolution 3%, mutually acceptable settlement 50%, OS decision 44%</p> <p>KPIs:</p> <p>Calls answered in less than 2 mins – 82%</p> <p>In less than 5 mins – 94%</p> <p>Correspondence within 10 days – 76%</p> <p>Also:</p> <p>Total initial contacts and how they got in touch</p> <p>Complaints received inside and OTOR</p> <p>Total complaints resolved and stage of resolution</p> <p>Total awards and remedies – by type</p> <p>Complaint types</p>	<p>65% (increased to 99% as recruitment and training took effect)</p> <p>81%</p> <p>19%</p> <p>76%</p>

Redress scheme	Provider indicators	Performance against indicators
	<p>The number of complaints resolved Types of new contacts received The total contacts responded to Channels that contacts used (phone, email) Complaint types Reasons for accepting a complaint Complaints forms issued and returned Informally and formally resolved % Awards and financial breakdown.</p>	
Green Deal Ombudsman	<p>The number of complaints resolved Types of new contacts received The total contacts responded to Channels that contacts used (phone, email) Complaint types Reasons for accepting a complaint Complaints forms issued and returned Informally and formally resolved % Awards and financial breakdown.</p>	
Renewable Energy Consumer Code	<p>RECC has been approved under the Trading Standard Institute's Consumer Code Approval Scheme. This makes recommendations for KPIs and wants to encourage use of a KPI on consumer detriment. Suggestions include:</p> <p>Compliance Complaints Customer satisfaction Demographics of member sub-groups Assess feedback from consumers obtained through consumer satisfaction surveys Analyse cases it is aware of in which Code members have not complied with the Code Carry out regular audit compliance checks of Code members' performance Analyse conciliation and arbitration case outcomes Carry out mystery shopping exercises to judge Code members' performance Code administrator will publish the results of this monitoring in an annual</p>	<p>Data provided is not in the same format as TSI's recommendations. It includes:</p> <p>Complaint numbers – 1,301 Number referred to conciliation – 7 Number referred to independent arbitration service – 18 (1 to micro-business arbitration) Customer satisfaction with members – 50% rated members, with an average 10/10 on the functioning of the system, and 53% on the way it was sold. Other details also available. Number of organisations complained about – 521 Number of complaints per organisation complained about – 366 had just one complaint, with 9 having 20 or more Complaints outside of remit – e.g. 18 per cent of all</p>

Redress scheme	Provider indicators	Performance against indicators
	<p>report, which it will make available</p> <p>(see full core criteria and guidance, the compliance and performance measurement guidelines and guidance notes)</p>	<p>complaints were for RECC</p> <p>Complaint resolution rates by solution type – e.g. complaint handlers managed to resolve 4 out of 5 of the complaints allocated to them</p> <p>Average time to achieve resolution – 18.6 weeks.</p> <p>However, when another organisation was involved (such as an MCS Certification Body), it took on average 23.6 weeks to resolve each one.</p> <p>Outcomes for conciliation – e.g. for 2 cases the consumer then pursued the case through the courts (see Annual report 2013)</p>
<p>Micro-generation Certification Scheme (MCS)</p>	<p>Customer satisfaction</p> <p>Cases resolved</p> <p>% resolved within 90 days</p> <p>% cases informed outside of remit within 3 weeks</p> <p>Their consultation to introduce an arbitration framework indicates other future KPIs:</p> <ul style="list-style-type: none"> • Demand – what level of demand has there been for arbitration? • Cost – does the cost model work? • Independent inspections and technical reports – are any additional independent inspections and technical reports required? • Trigger points – is it clear when disputes can be referred to arbitration? • Outcomes of arbitration – what sort of issues have been referred to arbitration and what has been the outcome? • Stakeholder feedback – what is the feedback from the arbitrators, CBs, installers and customers? • Installer behaviour – has there been any noticeable change in installer behaviour as a result of arbitration being introduced? • Customer satisfaction – are customers more satisfied with MCS as a result of arbitration being available? • Administrative support – how much administrative support is required by the MCS Administrator? • Claim value – what is the average claim value? How many disputes 	<p>8.5/10</p> <p>100%</p> <p>69% (Aug 2012-Dec 2014)</p> <p>100% (Aug 2012-Dec 2014)</p>

Redress scheme	Provider indicators	Performance against indicators
	<p>exceed the limit prescribed for MCS?</p> <ul style="list-style-type: none">• Disputes referred to arbitration and outcome <p>(see Arbitration consultation document)</p>	