CONTRACTING FOR PAS 2035 COMPLIANT RETROFIT

PHASE TWO – A LIVE TEST AT ST HELENS CEMENT CITY
BRIEFING 4: THE CUSTOMER INTERFACE – ASSESSMENT AND COORDINATION (UP TO DESIGN)
1. Introduction

This is Briefing 4 of a series of five that captures lessons learnt from a live test of PAS 2035 compliant assessment (and coordination) undertaken by The Retrofit Academy CIC on behalf of Local Energy North West Hub (LENW Hub).

This piece of work follows on from Phase 1, which consisted of a desktop study entitled; “Contracting for PAS 2035 Compliant Retrofit – A Guide for Local Authorities” [Retrofit Academy]. The Hub wanted to consider factors relevant to procurement and the contracting of Retrofit Assessors (RA/RAs) and Retrofit Coordinators (RC/RCs). Within Phase 1, four delivery models were described in response to discussions around PAS 2035 delivery for local authority led retrofit programmes.

There will be five key areas covered in a series of briefing notes that describe learnings from the live test, which investigate the PAS 2035 compliant retrofit from inception up to the lodgement of the Medium Term Improvement Plan (MTIP) as outlined below:

1. Pre-programme Activities
2. Retrofit Assessment
3. Medium Term Improvement Plans and Retrofit Coordinator Tasks
4. **The Customer Interface – Assessment and Coordination (Up to Design)**
5. How to Ensure an Effective Handover

2. Further Information

Further information on this pilot project, including background information, methodology and the site is contained in:

- Briefing Note 1: “Pre-programme Activities” (which includes the contextual information about the project).
- Briefing Note 2: “Retrofit Assessment”
- Briefing Note 3: “Medium Term Improvement Plans and Retrofit Coordinator Tasks”
- Briefing Note 5: “How to Ensure an Effective Handover”
Briefing 4: The Customer Interface – Assessment and Coordination (up to Design)

This is the fourth briefing in the series and will cover customer interactions. There are four sub-sections to this briefing.

A. PAS 2035 customer interaction requirements
B. Retrofit advice
C. Retrofit design and the customer
D. Key lessons from the project

A  PAS 2035 CUSTOMER INTERACTION REQUIREMENTS

PAS 2035 has a clear set of requirements for ensuring that the client is engaged in the process of retrofitting a dwelling. There may be multiple clients:

The Funding Client – such as a local authority or Combined Authority
The Landlord Client – the owner of a social or private rented home
The Resident Client – the person who lives in the home, this may be the owner or the tenant

This series of Retrofit Customer Journey Documents is designed to support your understanding of complying with PAS 2035 from a ‘Resident Client*’ perspective, aiming to inform and protect the interests of the Resident Client. It represents a streamlined version of the requirements of PAS 2035 detailed in a way that is clear to identify what is required of each role, including what they should ask and be able to answer, what they need to pass to the Funding client / Resident Client and additional good practice when engaging with people. It is critical that all roles have the confidence and knowledge to ask the right questions of the right people at the right time.

For all roles, there are key things which should not be done, key questions which should be asked or be answered, key documents provided and lastly issues that should be passed on to the funding client and the next role in the chain.

These have been categorised into four sections:

Key Restrictions - This section refers to key elements and pieces of information we would not expect to be discussed and which are specific to each role type. It is extremely important, for example, not to disclose opinions or any detail that may affect the retrofit outcomes and for the relevant information to be given and discussed by the appropriately qualified person.

*Resident Client refers to the occupiers/homeowners/tenants/residents/renters etc of the property. This term was coined by Aneaka Kellay, of Carbon Co-op, 2021.
**Key Resident Client Questions** - Anticipating questions from the Resident Client will help support consistency and build trust. Questions may arise in relation to wider housing needs or other additional queries. Although it is important to acknowledge and record these, it is equally important not to deviate from the retrofit task. Formulating standard responses to FAQs as well as ensuring the correct information is asked at key points by the relevant retrofit role will promote consistency in responses and avoidance of miscommunication.

**Key Info to Resident Client** - To ensure compliance, it is essential that the correct documentation is collected, collated and distributed by the appropriately qualified person in a format that is tailored to the audience. PAS 2035 requires that a minimum set of documents is owned by the resident client. Where key information is not collected/disseminated at the appropriate time and to the relevant person, key details may be missed thus increasing costs and causing project delays.

**Key Info to Retrofit Team/ Retrofit Coordinator** - To ensure compliance and the quality of retrofit works, all parties must be kept informed for the process to be successful. Ensuring consistent and accurate information is shared enables each retrofit role to successfully complete their part of the retrofit process in compliance with the specific clauses of PAS 2035. This section highlights information that is to be held/generated by each role and who should thereafter be in receipt/take responsibility for completion.

## B RETROFIT ADVICE

Retrofit Advice was not part of this project, but the Advisor is a fundamental role in both having an appropriately qualified person as well as delivering and recording advice at specific intervals on the project in accordance with PAS 2035 Clause 13. We are anticipating amends to what is required to be qualified to deliver retrofit advice, elaborating on existing requirements to go beyond behavioural issues and technologies. But full guidance on the information currently required at each stage is provided. PAS 2035 (13.4.1) states that retrofit advice shall be provided to householders at the following points in the retrofit process:

- on initial engagement of a household and inception of a retrofit project;
- on completion of the Improvement Options Evaluation;
- on completion of the retrofit design; and
- at the time of, or shortly after, handover of the completed installation.

There may be multiple personnel who engage with residents over the lifetime of a retrofit project/programme, and it is reasonable to assume that all the roles in PAS 2035 should engage directly. Where there is not the capacity to have liaison roles to ensure continuity, we have tried to identify the key areas that should be covered. For local authorities and social housing, it may be possible to provide call centre agents with basic information on the various stages of any project and guide them on what not to say as well as who to direct queries to for live projects.
C RETROFIT DESIGN AND THE CUSTOMER

Retrofit design was not part of this project, but the Designer would be required to engage with the Resident Client although this can be done alongside and in the presence of the RC. Depending upon the type of tenure and managing agent, the Retrofit Designer (RD/RDs) may engage directly or indirectly via the tenant liaison role or RC. However, the Designer is responsible for ensuring the most appropriate and compliant energy efficient measures are designed for each property. PAS 2035 9.1.7 states, “The RD shall review the technically appropriate measures with the Client and agree the measures to be applied to each dwelling included in the project”. Their role is like that of an architect (in most cases a Designer will be appropriately qualified as such). The Resident Client has a say in what is installed into their home, particularly when they own the property, and often aesthetics is a big discussion point where space is lost and building appearance is affected.

Further work is being done to establish a crib sheet for Designer, Installer and Evaluator customer interactions.
# Retrofit Customer Journey

<table>
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<th><strong>Key Restrictions</strong></th>
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[] Denotes reference to the clause number found in the PAS 2035:2019 Specification and Guidance
The Retrofit Coordinator is responsible for overseeing the assessment, identification, specification and evaluation of energy efficiency measures (EEMs) for installation and their subsequent in-use monitoring and evaluation. The below table outlines the interactions at each stage.

<table>
<thead>
<tr>
<th>RETROFIT COORDINATOR (RC)</th>
<th>RETROFIT ADVISOR (RAD)</th>
<th>RETROFIT ASSESSOR (RAs)</th>
<th>RETROFIT DESIGNER (RD)</th>
<th>RETROFIT INSTALLER (RI)</th>
<th>RETROFIT EVALUATOR (RE)</th>
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</thead>
<tbody>
<tr>
<td><strong>Delivers retrofit advice to Resident Clients</strong></td>
<td><strong>Assesses dwellings and supplies data</strong></td>
<td><strong>Qualifies to prepare a retrofit design</strong></td>
<td><strong>Undertakes the physical energy efficient works</strong></td>
<td><strong>Monitors, evaluates and provides feedback</strong></td>
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</table>

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<thead>
<tr>
<th><strong>Key Restrictions</strong></th>
<th>- No suggestion of solutions</th>
<th>- No money saving specifics</th>
<th>- No suggestion of solutions</th>
<th>- Adhere to funding specification targets</th>
<th>- No discussions of specifics</th>
<th>- No opinions on energy efficiency measures</th>
<th>- No discussions of individual results, circumstances</th>
<th>- No speculation on success of measures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Key Resident Client Questions</strong></td>
<td>- Will it save/cost money?</td>
<td>- Which rooms will require access?</td>
<td>- How do I decide what measures to get?</td>
<td>- What will be installed where?</td>
<td>- Who will see the data?</td>
<td>- Why do you need it?</td>
<td>- What does it mean for me?</td>
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<tr>
<td><strong>Key Info to Resident Client</strong></td>
<td>- Consumer Charter</td>
<td>- Occupancy Assessment</td>
<td>- Building regs approval</td>
<td>- Information and documents identified in Installation Method Statement [6.1]</td>
<td>- Feedback on outcomes</td>
<td>- Recommendations for behaviour change</td>
<td>- Data analysis</td>
<td>- Evaluation reports</td>
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<tr>
<td><strong>Permission must be sought by the Funding Client to enable access to documentation</strong></td>
<td>- Code of Conduct</td>
<td>- No timing specifics</td>
<td>- Design specification</td>
<td>- Recommendations for behaviour change</td>
<td>- Data analysis</td>
<td>- Evaluation reports</td>
<td>- Project review</td>
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<tr>
<td><strong>Key Info to Retrofit Team / Retrofit Coordinator</strong></td>
<td>- Recommendations for behaviour change</td>
<td>- Tenant vulnerabilities</td>
<td>- TrustMark certifications</td>
<td>- Tenant welfare</td>
<td>- Data analysis</td>
<td>- Evaluation reports</td>
<td>- Project review</td>
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<td></td>
<td>- Welfare concerns</td>
<td>- Accessibility needs</td>
<td>- EEMs specified</td>
<td>- Contact details</td>
<td>- Plans and specifications</td>
<td>- Installation records</td>
<td>- EEM accreditations e.g. MCS</td>
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**Retrofit Coordinator (RC)**

**Qualified as a specialist retrofit project manager, taking overall responsibility for overseeing the assessment, identification, specification and evaluation of energy efficiency measures (EEMs) for installation and their subsequent in-use monitoring and evaluation.**

### Key Restrictions

The Retrofit Coordinator is the fundamental role in ensuring the retrofit process is efficient and implemented accordingly. They are not, however, responsible for the success of the project but are critical for ensuring each element assigned to the correct professional (i.e., the Designer, the Installer, the Client, etc.) is delivered as required. They are not responsible for the individual tasks associated with the retrofit project, but they are responsible for ensuring the appropriately qualified team is in place to ensure efficient and effective delivery in compliance with PAS 2035.

### Key Questions

**From Resident Client:** Who will visit my home? How many visits will there be? What work will be completed? Who do I speak to if there is a problem? Do I need to move out? What is wrong with my home? What if the system fails? Will it be noisy? What if works are delayed, will I be compensated? How do I know you are trustworthy? Can I change my mind? Will it work as part of other works to my home, e.g., extensions?

**To Resident Client:** Do you have any concerns? Do you need any additional support, e.g., information in another format or help to move furniture? Do you know how much energy you currently use? Are you interested in being more involved? Do you understand the outcomes/process?

### Key Info to Resident Client

The RC will undertake the key components of the retrofit process and provide to the Client a Retrofit Risk Assessment, Improvement Option Evaluation and Medium-Term Improvement Plan ensuring that every dwelling has an assessment undertaken. The RC will identify Path A, B or C and apply the appropriate methodology. Key responsibilities regarding information sharing include:

- Ensuring advice is delivered as per PAS 2035 [1].
- Ensuring a key contact is established, offering a range of ways to contact, e.g., phone, email, letter, home visits.
- Overseeing information regarding the standards, code of conduct and code of practice and having it translated into customer-friendly terminology to ensure it is understood.
- Confirming: questionnaires are issued / initial data is collected / training needs and area-specific queries are identified.
- Securing collateral warranty, which provides assurance that all involved have complied with their professional appointment.
- Advising the Client of any need for statutory approvals (e.g., planning).
- Making the Client aware of any safety, vulnerabilities, wellbeing, safeguarding issues or risk associated with the dwelling itself and the owner-occupier.
- Issuing advice to the Resident Client or RA at timely intervals (e.g., project conception, design and post-installation).
- Establishing the outcomes with the Client at the beginning of the project before any other processes have taken place and subsequently agreeing the intended outcomes of the project [6.2.1] taking into account the initial condition of the building.
- Raising any retrofit role’s failure to comply with PAS 2035 with the Resident Client.

### Key Info to Funding Client

Additional documentation may be required, for example where the local authority requires access to data. Possible documentation to be discussed, designed and developed, e.g., Permissions Agreement, Data Release Forms. Permission must be sought by the Funding Client to access the documentation as stated above.

### Key Info to/from Retrofit Team

It is the RC’s responsibility to upload the relevant documentation to TrustMark and to ensure all information is up to date and accurate. It is also their responsibility to ensure and demonstrate compliance with PAS 2035. Retrofit Advisor - the RC will ensure general advice is given and at the correct intervals. Retrofit Assessor - instructed by the RC to collate data to pass on to the RD. Retrofit Designer - the primary relationship between design and installation lies with the RC and RI. Retrofit Installer - to work closely with the RC to ensure measures are installed as per design. Retrofit Evaluator - review and disseminate information to RC to feedback to the Client and project team.

### Key Documents to:

- RI - Retrofit Design Documents
- RI/RD - Copies of Retrofit Assessment
- RI - Toolbox Talks
- RA - Retrofit Advice as per clause 13 of PAS 2035

### Key Documents from:

- RD - Retrofit Design Documents
- RI - Pre-Install Inspection
- RI - Installation Testing
- RI - Commissioning
- RI - Handover (guides/manuals, guarantees, etc)
- RI - Complaints Record
- RA - Occupancy Assessment
- RE - Evaluator’s Report


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Delivers retrofit advice to Resident Clients. The Retrofit Advisor is the first point of contact for householders, setting expectations, signposting and helping orientate Resident Clients.

Key Restrictions
In order to manage residents’ expectations appropriately and effectively, it is important that the Retrofit Advisor does not suggest any potential solutions that may be installed or allude to any possible monetary values in terms of potential customer fuel bill savings or earnings, for example from a scheme such as the Renewable Heat Incentive (RHI) or Feed-in Tariffs (FIT). Specifics around timings are also discouraged, as many factors in the process are still to be identified at this stage.

Key Questions
From Resident Client: Who will visit my home? How many visits will there be? What work will be completed? Who do I speak to if there is a problem? Do I need to move out? What is wrong with my home? How do I know who is working on the project and that they are trusted? When do I need to pay? How does the process work?

To Resident Client: Do you have any concerns? Do you need any additional support, e.g. information in another format or help to move furniture? Do you know how much energy you currently use? Are you interested in being more involved? Do you have / can you get last 12 months energy bills? Do you need help to get them?

Key Info to Resident Client
This role may also be completed by the Retrofit Coordinator. Where an individual Advisor is appointed, they are required to ensure the following information is provided to the Resident Client:
- Details of the key contact, including a range of ways to contact, e.g. phone, email, letter, home visits. The Advisor should also ensure the Client’s contact preferences are communicated to the rest of the Retrofit Team.
- Information regarding the standards, quality assurance regimes, code of conduct and code of practice, which should be translated into Resident Client-friendly terminology to ensure it is understood.
- Questionnaires / initial data collection / identified training needs / answers to area-specific queries.
- The collateral warranty, which provides assurance that all involved have complied with their professional appointments.
- Information regarding any safety, vulnerabilities, welfare or accessibility issues in terms of the retrofit process as well as anything else raised that the Retrofit Team may need to be aware of, e.g. issues with the maintenance of current installations/appliances. It is important that the Resident Client is aware of what information is being shared.
- Specific property requirements that may affect future installations, such as removal of any key internal/external mechanisms, e.g. unusual entrances, etc. It is important that the Resident Client understands the details of the work.

Key Advice:
- Behavioural Advice
- Reducing Energy Costs
- Retrofit Technologies and EEMs
- Data Considerations
- Repairs and Maintenance Warranties

Key Advice:
- Payback and Carbon Cost Effectiveness
- Recommended EEMs
- Recommendation for new/updated EPC
- Retrofit Advice [13]
- Evaluation Outcomes

Key Info to Funding Client
Additional documentation may be required, for example where the local authority requires access to data. Possible documentation to be discussed, designed and developed, e.g. Permissions Agreement, Data Release Forms. Permission must be sought by the Funding Client to access the documentation as stated above.

Key Info to/from Retrofit Team
Clear and consistent communication is key, therefore contact details and access availability are critical to ensure projects run efficiently, particularly in terms of the Retrofit Advisor informing the Retrofit Assessor and Installer via the Retrofit Coordinator or directly.

Key Documents:
- Register Advice Report with TrustMark
- Advise Retrofit Coordinator of any issues/concerns

[Denotes reference to the clause number found in the PAS 2035:2019 Specification and Guidance. PAS 2035:2019 can be purchased at www.bsigroup.com]
**RETROFIT ASSESSOR (RAs)**

Carry out dwelling assessment and supply data to the Retrofit Coordinator.

### Key Restrictions

In order to manage Resident Client expectations appropriately and effectively, it is important that the Retrofit Assessor does not enter into any engagement regarding the current state of the property or allude to the reasons as to why it has been identified for retrofit. For example, do not discuss the age of the property, previous workmanship, use of technologies or any potential future works.

### Key Questions

**From Resident Client:** Why do you need to go in the loft? What are you looking for? Can you tell me the results of the assessment? Why do you need to make a hole in the wall? Will you need to come back? Can I see the results of the assessment? What if you find a problem?

**To Resident Client:** Are there any additional installations or adaptations to be made aware of (e.g., decking, boarded loft, etc)? Occupancy Assessment Questions. Do they know who their key contact is? Do you have 12 months energy bills available? Have you any warranties/guarantees/info on previously installed measures/alterations?

### Key Info to Resident Client

With regard to the current condition and history of the property, the Assessor needs to share with or receive from the Funding Client and Resident Client details that include:

- The approximate age of the property.
- The number and age of extensions and any supporting documentation.
- Documents for rooms in the roof.
- WARRANTIES AND CERTIFICATES, e.g., cavity wall and loft insulation, solar panels, extractor fans, boiler, hot water cylinder.
- Information about the heating and hot water systems / Last 12 months energy bills – gas and electricity.
- Copies of the Energy Assessment / Condition Report / Occupancy Assessment [8.5].
- Additional documentation depending on the risk level of the project, such as RICS Survey level 3, if traditional or historic – BS 7913 Significance Assessment, air permeability test and, at the Retrofit Coordinator’s discretion, a structural engineer’s report.

The Retrofit Assessor will ascertain with the Resident Client and make the Funding Client aware of any safety, vulnerabilities, wellbeing, safeguarding or risk issues associated with the dwelling itself and the residents.

### Key Info to Funding Client

Additional documentation may be required, for example where the local authority requires access to data. Possible documentation to be discussed, designed and developed, e.g., Permissions Agreement, Data Release Forms. Permission must be sought by the Funding Client to access the documentation as stated above.

### Key Info to/from Retrofit Team

As above - critical data is to be shared with the Retrofit Coordinator and Retrofit Designer for the Medium-Term Improvement Plan (MTIP) and Improvement Option Evaluation (IOE). Information to be shared with the Advisor on any issues raised in the Occupancy Assessment, e.g. use of current heating controls, energy awareness advice required. The Assessor must also raise any specific concerns regarding floor plans or existing infrastructure, including any anomalies or issues with current building performance vs expected performance.

### Key Documents:

- Occupancy Assessment
- Energy Bills
- Energy Report
- Whole Dwelling Assessment
- Areas of Concern

### Key Advice:

- Process of the Assessment
- Condition of Properties
- Areas of Concern

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**D  KEY LESSONS FROM THE PROJECT**

**Key Lesson – Assessments per Day:** Three assessments per day was the maximum that could be done to the standards required and with the chance for good customer service. This is what The Retrofit Academy would use as a guide.

**Key Lesson – Next Steps:** The assessor needs to understand and communicate to the resident what the next steps are for them.

**Key Lesson – Advice Continuity:** This estate has had many energy efficiency projects over many varied funding streams and the advice has been appropriate and repeated. Good practice would be to keep a record of all of the advice given over successive projects to ensure that it complies with funding requirements.

**Key Lesson – Outcomes Review:** Outcomes should be reviewed after assessments are undertaken. Information from assessments may feed into changes or adaptations of initial outcomes, and this needs to be done with the Resident Client.
Further information

Previous briefings
1. Pre-programme Activities
2. Retrofit Assessment
3. Medium Term Improvement Plans and Retrofit Coordinator Tasks

The next briefing in the series is ‘How to Ensure an Effective Handover’, which covers:

• The need for a handover
• The scope of each role
• Mitigating impacts
• Handover procedures
• Key lessons from the project

For more information:
https://www.retrofitacademy.org/
sally@retrofitacademy.org