



RETROFIT
ACADEMY CIC



local energy
north west hub

CONTRACTING FOR PAS 2035 COMPLIANT RETROFIT

PHASE TWO – A LIVE TEST AT ST HELENS CEMENT CITY
BRIEFING 5: HOW TO ENSURE AN EFFECTIVE HANDOVER



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1. Introduction

This is Briefing 5 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 the 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”

Briefing Note 2: “Retrofit Assessment”

Briefing Note 3: “Medium Term Improvement Plans and Retrofit Coordinator Tasks”

Briefing Note 4 “The Customer Interface – Assessment and Coordination (Up to Design)”

Briefing 5: Handover

This is the fifth briefing in the series and will cover how to ensure an effective handover. There are five sub-sections to this briefing.

- A. The Need for a Handover**
- B. The Scope of Each Role**
- C. Mitigating Impacts**
- D. Handover Procedures**
- E. Key Lessons from the Project**

A THE NEED FOR A HANDOVER

The need for a handover process could arise from the decision to complete retrofit assessments during an initial stage of work ahead of a capital programme, either so that the information needed for funding applications is available or to facilitate the set-up of effective contracts for delivery. This requires the RC role to be split into two stages, with one person coordinating the project planning stages (up to and including the preparation of the Medium Term Improvement Plan) and a different person coordinating the project design and implementation stages. Therefore, this introduces an additional process that needs to be effective to ensure the successful implementation of the project, i.e. the handover of information from the first Coordinator to the second.

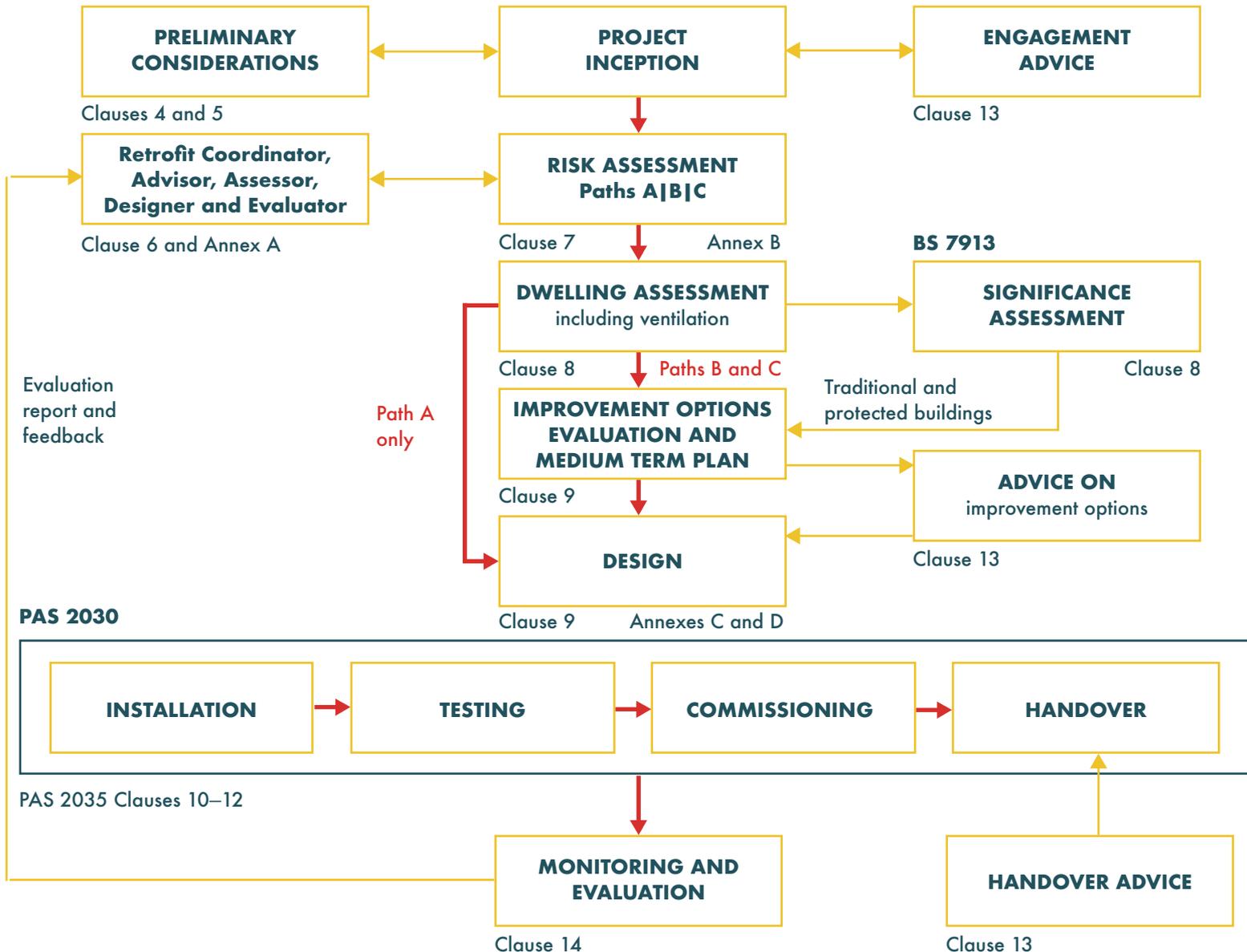
A number of challenges arise from this:

- PAS 2035 requires the RC to oversee the processes involved from start to finish, so it is not clear whether or not splitting the role in this way should be considered to be compliant.
- There is no opportunity to involve the Retrofit Designer (RD/RDs) in establishing the scope of the assessments and their suitability to meet the needs of the design. This increases the risk that additional site visits are needed to collect further information or details of the properties.
- The TrustMark lodgement procedures do not facilitate this, and there are issues with the lack of compatibility of the processes required of RCs by different accreditation schemes. The issues should be able to be resolved in the medium term, but in the short term, 'work around' procedures are required.
- The current direction of travel is for changes to the TrustMark Data Warehouse which will increase the granularity of the data held and also improve accessibility. This intended improvement would make early assessments less problematic in future, at least from the TrustMark perspective. However, there could still be challenges from the practices of some scheme providers.

B THE SCOPE OF EACH ROLE

The requirements for a handover depend to some extent on the scope that is defined for each role. In order to prepare for an effective handover, it is important to define in detail exactly what is and is not included in the work to be carried out in the first stage.

Since it is necessary to carry out the Improvement Options Evaluation (IOE) and Medium Term Improvement Plan in order to agree the measures to be included, the logical place to split the coordination is following this. Therefore, all the activities above the blue line on the diagram below would be included in Stage 1.



This would entail the inclusion of the following activities in the scope of work carried out by the Stage 1 Retrofit Coordinator:

Project inception. The main requirement of the RC at project inception is to identify and record the intended outcomes from the project. In the case of a project for a social landlord client, these are very likely to have effectively been defined already by the policies of the client and the reasons for the prioritisation of the dwellings involved.

Retrofit advice was not part of this project, but in some projects an Advisor may be involved in the initial engagement of households at project inception. In these cases, there would be a need to oversee the delivery of this advice and to ensure any issues raised by tenants that can be addressed by the project are included in the intended outcomes.

There may be other preliminary considerations that need to be dealt with at project inception, e.g. planning constraints.

Risk assessment. This is a desk-based exercise that the RC carries out at the start of the project to determine the risk Path. This in turn determines the requirements for the retrofit assessment, including the qualifications of the RA.

Retrofit assessment. This is the assessment of the dwelling(s) from a site visit by a suitably qualified RA. Full details of this are explained in Briefing Note 2.

Improvement Options Evaluation and Medium Term Improvement Plan. The Improvement Options Evaluation entails estimation of the costs of the improvement measures and the resultant cost effectiveness. Full details of this are explained in Briefing Note 3.

Advice on improvement options. We have shown this to be predominantly above the blue line in the diagram above and, therefore, within Stage 1. This is because the tenant / Resident Client should have a say in the decision regarding the measures to be installed in their home, so their input is needed before the project details are finalised. As explained in Briefing Note 4, this is formally the responsibility of the Designer in PAS 2035 (9.1.7) but it may be carried out indirectly via the tenant liaison role or the RC (in this case the Stage 1 Coordinator).

Alternatively, it might be agreed that this should be held back until Stage 2. That might be preferable if the proposed package of improvements was clear and likely to be popular with tenants so that it would be more useful to discuss the details of the design than the contents of the package. The client might also prefer not to raise tenants' expectations of getting the improvements too much until the funding is confirmed.

(There could also be a third option of providing the advice in each stage, i.e. at the end of Stage 1 when preparing the Medium Term Improvement Plan and at the start of Stage 2 as part of the design.)

C MITIGATING IMPACTS

A key concern is that it will be necessary, so far as possible, to anticipate what the RD will require from the assessments before the Designer is in place. That will require some proactive decision making by the Client and Coordinator.

One of the 'key lessons' described in Briefing Note 2 is that, ideally, a detailed scope should be agreed before assessments begin. Ideally, the RD would be involved in confirming that scope. However, it is worth bearing in mind that there will always be some uncertainty regarding what is required before the assessments are carried out. This adds another element to that uncertainty, but a good RA should be able to anticipate what the designer will need to know about the dwelling for the common improvement measures in most situations. That said, the risk that the designer will require further information when they see the assessment report cannot be eliminated.

The other concerns are around demonstrating compliance with PAS 2035, since the PAS 2035 document does not anticipate a handover being needed and the TrustMark and accreditation scheme procedures do not facilitate it.

The handover procedures need to be designed to demonstrate that all of the PAS 2035 requirements for the activities up to and including the Medium Term Improvement Plan have been fully met. This is essential so that the RC taking over the project can be confident that they can claim compliance and so that the information to demonstrate this is available in the event of the project being audited by the accreditation scheme or by TrustMark.

This can be facilitated by the use of The Retrofit Academy Process Software to record the outcomes, risk assessment and Medium Term Improvement Plan and to carry out the Improvement Options Evaluation. Other software solutions are available but The Retrofit Academy software will be familiar to all RCs and, once completed, it can be uploaded directly to the TrustMark portal, avoiding complications arising if the Coordinators use different accreditation schemes. As it is Excel-based, it can easily be transferred between different users and PDFs can be created at the handover point so that there is a permanent record of what was completed up to that point.

D HANDOVER PROCEDURES

Due to the current limitations of the TrustMark lodging process, it will be necessary for the handover to occur 'outside' of this, with lodgement occurring in Stage 2. The Coordinator of Stage 2 will, therefore, formally be the RC for the project and will need to ensure they are happy with the information provided from Stage 1, including checking that it is compliant with PAS 2035.

The information to be handed over will include:

The assessment report(s). There is no defined format for the assessment reports, so there is a variety of formats and systems used to generate these. The Coordinator will need to collate the reports as PDFs so that they can be delivered to the Coordinator and Designer who will be proceeding with the subsequent stages of the project.

Full SAP xml files (or PHPP files). These are the energy assessment software files that will have been used to generate the estimated energy cost and carbon savings for the Improvement Options Evaluation. These are not transferrable between different software systems so PDF files of the input data for the property as existing should also be provided to enable the assessments to be replicated in a different software package if necessary.

SAP worksheets. These may be needed to confirm that the Improvement Options Evaluation has been completed accurately. They should be provided (in PDF format) for each of the improvement options that have been evaluated and for the baseline assessment of each property as existing. (This may not be necessary if it is confirmed that the Coordinator taking over the project uses the same SAP software as the first Coordinator.)

TRA process software. This needs to be provided in Excel and PDF format with the following sections completed:

- Project outcomes (evaluation sheet)
- Risk assessment
- Activities (sheet labelled Path A, Path B or Path C as applicable). This sheet is used to record confirmation that all applicable activities (according to the risk Path) have been completed by the RC, RA and RD. The Coordinator section should be completed to sign off all activities under 'preliminaries', 'risk assessment' and 'whole dwelling assessment' (apart from the final one relating to information requested by the RD). All applicable points in the Assessor section should be fully completed.
- Measures sheet. This should include the details of quantities for each applicable measure together with any specific costs provided by or agreed with the Client.
- Improvement Options Evaluation. This should be fully completed.
- Medium Term Improvement Plan. This should be fully completed apart from the final section (improvement progress record).
- Ventilation assessment. This is the first part of the ventilation strategy sheet.

Other records collated by the Coordinator. Where applicable this is likely to include:

- Additional site photos taken by the Coordinator (if not duplicated in the assessment report)
- Copies of airtightness test reports (if applicable)
- Copies of any other specialist reports commissioned to supplement the retrofit assessment(s), e.g. structural reports

E KEY LESSONS FROM THE PROJECT



Key Lesson – TrustMark Lodgement: The TrustMark lodgement procedures do not currently allow for more than one RC to upload documentary evidence for a project. Therefore, all documentation etc collated by the first RC must be handed over to the second RC for uploading.

Key Lesson – Accreditation Schemes: The accreditation schemes differ in their flexibility regarding the format of information they will accept as evidence of compliance. As a result, it would be recommended that the second RC is required to be accredited by a scheme that will either accept evidence generated by other schemes' software/procedures or will accept evidence that is uploaded directly to the TrustMark portal (e.g. based on The Retrofit Academy Process Software).

Key Lesson – PAS 2035 Handover: Handover of the assessment of a property between RCs is not ideal, and there is a risk of non-compliance. However, from a programme management point of view for large retrofit schemes, there are circumstances where it may be necessary, and indeed an advantage to project formation. Procurement of the RC and RAs' functions should be mindful of the possibility that a handover will be necessary, and contracts should be scoped accordingly. Intended improvements to the functionality of the TrustMark Data Warehouse could mitigate at least some of the issues that have been identified.

Further information

Previous briefings

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)

For more information:

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