



Rialtas na hÉireann
Government of Ireland

One Stop Shop

Operational and Quality Requirements Guide

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1 Overview

The Programme for Government and the Climate Action Plan set ambitious goals to reduce greenhouse gas emissions from buildings, including our homes, with targets to retrofit 500,000 homes to a Building Energy Rating (“BER”) of B2 and to install 400,000 heat pumps in existing buildings by 2030.

These targets represent a very significant increase in both the volume and depth of retrofit activity. A half million homes equates to almost 30% of all residential buildings in Ireland. In order to achieve these targets, we must transform the way we deliver retrofits by scaling up existing approaches that work and developing new, innovative solutions.

The Government envisages organisations acting as a one stop shop (“OSS”) as critical actors in making retrofit easier and more attractive to homeowners to carry out. The OSS’s will facilitate larger more efficient aggregated projects and will bring benefits both for homeowners and to the supply side. They will combine the different components associated with retrofit projects including demand generation, home assessments, grant application, contractor engagement, project management, quality assurance and finance provision. The scale of our targets offers an opportunity for the development and growth of OSS’s, project coordinators, contractors and other elements of the supply chain.

This document sets out operational and quality assurance requirements for OSS’s who will be operating under SEAI programmes providing survey, design, supply, installation, commissioning and handover of retrofit works. This document should be read in conjunction with scheme documents; Scheme Guidelines, Code of Practices (“COP’s”), and the Domestic Technical Standards and Specifications (“DTSS”).

Further information on the SEAI programmes is available on the SEAI website.

2 Introduction

The quality of the home energy upgrade is the responsibility of the OSS. SEAI’s role is to monitor the delivery of the home energy upgrades to ensure that they meet the requirements and standards of the scheme. When registering as an OSS the company demonstrates that they have a **Quality Management System** in place to manage their business. This will help to ensure and demonstrate that the OSS has the ability to implement works to standards required for the home energy upgrade.

The OSS shall provide SEAI with their policies and procedures, these documents provide assurance the OSS can meet the required standards. The OSS is required to operate a documented internal review of completed works to the requirements and standards set in the Domestic Technical Standards and Specification.

This means that each OSS is responsible for managing their clients (homeowners), the works of their contractors and sub-contractors, and this is described through their **Quality Plan**. The Quality Plan provides a means of relating specific requirements of the process, product, service, project, or contract, to work methods and practices. This Quality Plan can also provide the framework for meeting the requirements of the scheme. Quality Plans are most effective when they are integrated with other management plans.

The One Stop Shop shall operate a Quality Management System which ensures that the home energy upgrade works carried out meet the requirements and expected quality standards of the scheme. This document describes the SEAI approach and template to support OSS on their journey to compliance.

2.1 SEAI Approach

The quality of service provided to the homeowner and the quality of the home energy upgrade by the OSS are fundamental to the success of the scheme. This delivery of quality service will be examined by SEAI through 5 key pillars:



Figure 1: SEAI: Pillars of Quality Strategy

- **Registration:** The registration process is the first step in ensuring a high-quality experience for the customer and ultimately an effective and reliable home energy upgrade. In order to ensure each registered OSS has all the necessary skills to deliver home energy upgrades, there is a two-stage registration process. OSS needs to provide the items described in this document as part of their registration application.
- **Grant and Payment Governance:** There are 2 main components to the oversight approach (1) Eligibility & Automated Governance Checks and (2) Inspections. These items are chiefly compliance issues and ensure the adherence to the broad guidelines of the scheme. These processes will ensure good governance within the scheme. However, insights gained within these processes will be fed back into the overall quality approach and seek to improve quality in the programme across the key areas.
- **Partnership Approach:** The OSS will provide ongoing reports of home energy upgrades completed including; customer acquisition, measures completed; outcomes of OSS audits and inspections and an OSS implementation of outcomes/observations of SEAI inspections and audits. This will support the SEAI programme team in monitoring OSS operations and performance. SEAI will carry out quality assurance activities which can include site inspection or remote audits, any issues found through these are the responsibility of the OSS to address.
- **Quarterly Business Review:** A quarterly business review will be carried out which includes assessment of the OSS business operations on customer focus, administration and technical performance. The OSS will be required to provide a Quarterly Business Report in advance of the Quarterly Business Review, and a sample of applications will be selected by SEAI for review.
- **Annual Audit:** Ensuring that OSS has the right policies and procedures in place to manage their operations and delivery of home energy upgrades. This will be demonstrated through an audit of their processes. This annual audit of the One Stop Shop will be carried out by an external auditor.

3 Alignment to ISO Standards

SEAI will align Home Energy Upgrade scheme to the principles and approach of ISO, as this will help companies whether they are certified or not to ISO to demonstrate their capabilities in a common set of language and formats with which they may be familiar. SEAI will recognise systems certified to ISO 9001 and ISO 10005 and which meet the requirements of the scheme and those set out in this document. For companies without certification, a Quality Plan written in accordance with 10005 will help the OSS demonstrate that they have the appropriate quality management system.

ISO (the International Organisation for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). It provides standardization across an array of products and companies. Its main goal is to facilitate trade, but its focus is on process improvement, safety, and quality in several areas.

ISO 9001 is the international standard that underlines the requirements for a quality management system (QMS). It ensures that an organization continues to offer quality products and operates correctly under its regulatory measures. ISO 9001 has 7 main pillars:

- ISO 9001:2015 Clause 4: Context of the Organisation
- ISO 9001:2015 Clause 5: Leadership
- ISO 9001:2015 Clause 6: Planning
- ISO 9001:2015 Clause 7: Support
- ISO 9001:2015 Clause 8: Operation
- ISO 9001:2015 Clause 9: Performance evaluation
- ISO 9001:2015 Clause 10: Improvement

ISO 10005 provides guidelines for establishing, reviewing, accepting, applying, and revising quality plans. It is applicable to quality plans for any intended output, be that a process, product, service, or contract. It is focused primarily on the provision of outputs and is not a guide to the planning of quality management system development. It is applicable whether an organisation has a management system in conformity with ISO 9001. ISO 10005 has 4 main pillars:

- ISO 10005:2018 Clause 4: Using a Quality plan
- ISO 10005:2018 Clause 5: Development of a Quality plan
- ISO 10005:2018 Clause 6: Content of the Quality plan
- ISO 10005:2018 Clause 7: Operation and control of the Quality plan

The length and detail of the document and descriptions should be proportional to the processes and procedures they represent. The document should contain the steps required to complete that process. The level of detail in the procedure should reflect the importance of the procedure.

4 Quality Management System

The OSS shall operate a Quality Management System to ensure that every home upgraded by them meets the requirements of the Scheme. The aim of the Quality Plan and the Quality Management System is to improve overall operations of an organisation. Its approach is to work with the current processes and procedures in a company to identify which are successful, to identify if any improvements are needed in the current processes and procedures or if there are any gaps which need specifying. Independent auditing of the OSS processes and procedures will provide a baseline on which to measure ongoing improvement of the organization.

In essence if an organisation has clear, robust processes and procedures in place to ensure that every installation is compliant, it allows the OSS to focus and support staff training/succession to maintain these standards. Periodic reviews of processes and procedures are prudent where new technologies become available. The QMS does not have to be a single document, it can be a collection of procedures, documents, software packages and tools to help the OSS fulfil its operations.

For the registration application, the OSS is required to provide documents to demonstrate that they have the processes and procedures to ensure they have the appropriate resources, good customer care, are able to manage the works and ensure works are monitored and delivered to the requirements, a commitment to continuous improvement, robust audit processes and procedures, technical capability and knowledge, and annual review of their business.



Figure 2: OSS Quality Management System

4.1 One Stop Shop Resources (Personnel)

The success of an organisation depends heavily on employees. Well trained supported staff are key to an organisation’s development. The OSS should document each role required for the energy upgrade works and the individual fulfilling the activities within each role. A role maybe filled by either one or more individuals. The individual competency requirements for each specific measure are described in the Domestic Technical Standards and Specifications. The roles and activities to deliver home energy

upgrades goes beyond the technical measures specified in the DTSS and the OSS shall ensure that all the roles are documented (marketing, sales, administration, project management, etc...). This means all roles need to be documented so it is clear to all employees and to SEAI who is responsible.

The OSS should ensure they have sufficient competent resources to satisfy all the home energy upgrade measures required. The people under the direct control of the One Stop Shop can be direct employees or contracted personnel. The One Stop Shop should ensure that these people have the required competency to complete their work and have received adequate training.

The OSS personnel procedure should include the following elements (aligned to ISO 9001 clause 7.1.2):

Participants/Responsibilities:

- All Managers
- Heads of Department
- Supervisors

Deliverables/Outputs:

- Defined Roles and Responsibilities
- Performance management
- Learning & development
- Succession planning
- CV's

4.2 Customer Care

The OSS shall have a documented customer care procedure for dealing with homeowners. OSS will have at minimum the following elements considered in their procedures:

1. Dealing with Customers Engagement
 - a. targeted advertising campaigns and promotions of energy services,
 - b. internet and social media marketing,
 - c. open house type events,
 - d. community based information evenings,
 - e. the provision of on-line information, awareness & training events
2. Technical Assessment/ BER
3. Answering Customer queries
4. Contract signing
5. Customer relations during works
6. Addressing Customer Issues

The customer care procedure should include the following elements (aligned to ISO 9001 clause 9.1.2):

Approach

- Amending and implementing the procedure
- Methods of capturing customer feedback and perceptions
- Methods of complaint handling and product returns/reworks.

Participants/Responsibilities

- Management Representative
- Operational Managers
- Process Owners

Deliverables/Outputs

- Authorized and implemented procedure
- Customer Charter
- Customer Satisfaction Survey
- Customer Feedback Log
- Pre-works Contracts

Sample KPI's

- Number of contacts received
- Turnaround time
- Customer Satisfaction

4.3 Works Assessment

The One Stop Shop shall have audit, inspection and corrective action procedures. The guidelines require that at least 20% of works must be audits. These should consider at minimum

- each type of energy upgrade measure or technology installed,
- include mid-work assessments for those works which cannot be easily verified post-works such as air tightness, wall insulation and other measures
- the whole retrofit as a system,
- be representative across varying manufacturers and models, and
- be representative across works carried out by different installers and contractors.

The root causes of issues found should be identified and examined and outcomes documented. Any corrective actions shall include the rectification of the issue or fault found and ensure actions are implemented to prevent re-occurrence.

The One Stop Shop should maintain complete records of the home energy upgrades as per the Domestic technical Standards and Specifications and any scheme requirements. They also should retain documentation of their reworks and audit procedures.

The works assessment and re-works procedures should consider ISO 10005 6.0 and 7.0 and ensure that the procedures cover:

1. How employee/contractor is assessed
2. How H&S is addressed
3. How works are reviewed (Site Visits, Site meetings, Specification compliance, sign off process, Quality sign off process, After care - system is installed but can the home owner use it (for example heat pumps), Evidence of Inspection and Waste management policy and certification
4. How reworks are addressed
5. Further training
6. Customer Complaints

Outputs

- Site reports
- Site meeting minutes
- Specification Compliance form
- Quality Compliance form

Support Processes

- Customer Care and After care policy
- Training
- Managerial Contractor review

Toolkit

- Use current market products, e,g snag apps - these Apps are widely available and are possibly being used by some OSS's already

Sample KPIs'

- Cost per incident
- Recurring incidents
- Number of unresolved incidents

4.4 Continual Improvement

The OSS shall have documented procedures for continual improvement. This will support the continued development and innovation of the company (new technologies, ways of working, digitisation) and shall ensure that non-conformities are corrected and prevented. The aim is to continually improve the quality of the home energy upgrade and eliminate non-conformities so that they are not repeated. Embedding this principle in the OSS operations can support the development of a culture of prevention and continuous improvement and empower staff to solve issues.

Actions here can be initiated from a variety of sources; audits, inspections, training, new technology assessment, complaints, changes to products or regulations and others.

The One Stop Shop shall have a nonconformity and corrective action procedure (aligned to ISO 9001 8.7 &10.2 and ISO 10005 6.15). This would consider the following

Approach

- Amending and implementing the procedure
- Documented procedure
- Nonconforming output log
- Corrective action form and log
- Root-cause analysis techniques
- Train affected staff on how to report non-conformances and issues for corrective action

Participants/Responsibilities

- Management Representative
- Operational Managers
- Process Owners
- All Managers
- Heads of Department
- Affected staff

Deliverables/Outputs

- Define action to address nonconformity

- State implementation / completion date and person responsible
- Authorized and implemented procedure
- Training presentations
- Handouts
- Training attendance records

4.5 Audit Procedure

The One Stop Shop will need to have an audit procedure where they can assess the delivery and performance of their operations and works. This would focus on their operations as a whole, for instance how the customer service is performing, how complaints/issues that arise are managed and how learnings from their outcomes are implemented, all to drive improvement in the delivery of service to the homeowner. Similarly with more conventionally though audit procedure where the focus is on the energy upgrades works delivered at the home, One Stop Shop are required to audit their works as part of their quality plan. This audit procedure should be comprehensive and consider representative of the works being completed, considering any risk factors.

The audits should be carried out by a competent person or auditor. Best practice would be that this person is separate from the person or contractor who carried out the works, for instance a One Stop Shop employee auditing works carried out by an installer. The One Stop Shop shall retain documents related to the home energy upgrades for **7 years**.

Any issues discovered by the One Stop Shop should be addressed and rectified. Any major endemic issues should be reported to SEAI, this is to ensure that common issues for the industry can be addressed together with the wider One Stop Shop sector.

The aim is that the audit procedures are aligned to ISO 9001 9.2 and ISO 10005 6.17, this would include:

Approach

- Amending and implementing the procedure
- Selecting auditors
- Devising an audit programme/schedule
- Audit reporting records

Participants/Responsibilities

- Management Representative
- Auditors

Deliverables/Outputs

- Authorized and implemented procedure
- Audit programme/schedule
- Audit reports

4.6 Technical Reference Documents

The One Stop Shop shall have access to current editions of required documents, standards and regulations required to complete their work. These would include at minimum:

- NSAI S.R 54: 2014

- Domestic Technical Standards and Specifications (DTSS)
- One Stop Shop documentation and registration guidelines and terms and conditions
- Scheme guidelines, documentation and terms and conditions
- Building regulations
- Planning regulations
- Wiring regulations
- Health & safety regulations
- Better Energy Homes-QADP
- Desktop Audit Photo Guidance Rev.1
- ISO 9001:2015 Quality Management Systems – Requirements
- ISO 10005:2018 Quality Management – Guidelines for Quality Plans
- ISO 14001:2015 Environmental management systems — Requirements and guidance for use
- Best Practice guidelines for the preparation of resource management plans for construction and demolition projects

4.7 OSS Annual audit

The One Stop Shop should have an independent audit of their operations completed each year by an independent auditor. This should focus on their operations, procedures and also consider each type of energy upgrades completed to ensure that the works and operations are meeting the scheme requirements and also meeting the One Stop Shop's operation requirements.

The outcomes of this review and any resulting actions shall be provided to SEAI.

5 Operations and Quality Management

SEAI approach to monitoring and support One Stop Shops is

- Ongoing desktop and onsite audits/inspections
- Quarterly Business Reviews
- Annual Audit
- OSS Development

5.1 Ongoing desktop and onsite audits/inspections

SEAI will undertake as part of our quality assurance delivery both desktop and on-site audit functions. This will mean that we will undertake a percentage audit of applications and request for payments submitted by the One Stop Shop. The purpose is to evaluate the home energy upgrades and One Stop Shop performance in the schemes and ensure that the installations meet the relevant standards. This will mean that reworks can be required of issues discovered and that the One Stop Shop will be required to demonstrate how their operations have considered these issues and implemented corrective actions. The audit and inspection level and volume will be adjusted based on the compliance by the One Stop Shop

SEAI may also carry out additional accompanied inspections, where together with the One Stop Shop and contractors carry out assessment of the works during installation. The aim of these is to support the delivery of quality installations and One Stop Shop development.

5.2 Quarterly Business Reviews

The One stop Shop will prepare a Quarterly Business Review which will be scheduled for every three months to review their operations and performance as described in the OSS Operational Guide. This will include:

5.2.1 Customer Engagement and Pipeline:

The OSS should be able to demonstrate how they will engage effectively with customers, manage the interactions and be able to act on issues affecting customer satisfaction. The OSS will provide a report detailing:

- Metrics on throughput – leads, applications, contracts, HEA, works
- Quotes issued to homeowners
- Codified reasons for customers not proceeding
- Customer satisfaction and feedback
- Voice of the customer / Survey outcomes
- Complaints
- Activities or events

5.2.2 Strategic Progress:

The OSS shall provide a report of their review of their OSS progress with the plans and metrics as established in the strategic plan provided on registration including anticipated growth and rate of completions

5.2.3 Administration:

The OSS shall provide a report covering a review of administration and operational effectiveness:

- Applications
- Offers
- Request for payment
- Errors – additional details required
- Common issues
- RCA and implementation of corrective action

In depth review of specific applications will be carried out to assess the end-to-end operations including customer services and adherence to technical requirements. This will include reviewing documentation demonstrating appropriate management of works (minutes, action logs, internal QA), handover documentation to homeowner and required technical and administrative documentation (invoices, certifications, commissioning reports, etc...) as required for the home energy upgrades.

5.2.4 Financial Review:

The OSS shall provide a report of financial elements of individual projects including provision of documentation such as:

- Quotations
- Contract with homeowner
- Invoices
- Evidence of Payment

5.2.5 Technical Review:

The OSS shall provide a report of home energy upgrades completed in the quarter covering technical aspects of completed projects to include:

- Measures completed
- Review of the Home Energy Assessment performed
- Outcomes of OSS audits and inspections
- Review of SEAI inspections and audits
- Assessment of quality performance and actions to continuously improve quality
- Review of resource management plan for the retrofit works (to ensure that at least 70% C&D waste is managed as required in the guidelines)
- Review of a selection of Home Energy Assessments
- Review of site photographs for installed measures
- All relevant QA reports and supporting documentation
- Any certifications in line with the relevant technical standards

Outcomes of the review of technical performance will feed into supports and training provided to improve the quality of the supply chain as well as informing inspection selection.

Information requested in respect of a quarterly review must be provided to SEAI or its agent within 5 working days of receipt of request for that information. Failure to provide information within the required timeline may result in restriction or removal of access to the grant portal for the OSS.

An OSS with poor performance may be required to provide more frequent reviews or increased levels of audits/inspections. This is at the discretion of SEAI.

SEAI or a third party may seek to review or audit the performance of the QMS of an OSS.

5.3 SEAI review of Annual Audit

Following the completion of the One Stop Shop's annual audit, the One Stop Shop shall schedule a review of the outcomes and actions with SEAI. This should be scheduled for 12 months after initial registration as a One Stop Shop.

5.4 One Stop Shop Development

One Stop Shops are required to commit to developing and improving the standards and quality of home energy upgrades completed by the sector and to participate in One Stop Shop Workshops and groups related to delivery of high-quality home energy upgrades. This will include technical, quality, and customer service.