



Rialtas na hÉireann
Government of Ireland

One Stop Shop (OSS) Registration Guidelines 2022

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1 Introduction

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 OSSs 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 OSSs, project coordinators, contractors and other elements of the supply chain.

The Irish Government has also placed an obligation on key energy utilities, fuel importers and named market players to meet specified energy saving targets as part of a multi-annual Energy Efficiency Obligation Scheme (“**EEOS**”). These are collectively known as “Obligated Parties”.

The **EEOS** is a legal obligation on certain companies that sell large amounts of energy (“**Obligated Parties** to achieve energy efficiency savings each year. The Obligated Parties have targets to deliver savings from energy efficiency measures under **EEOS**. Obligated Parties offer supports to homes or businesses to make them more energy efficient. Obligated Parties often contract with the market to engage agents or OSSs who deliver energy savings on their behalf. It is desirable that OSSs be aligned to Obligated Parties and where possible utilize their support for their operations and to drive further retrofit projects.

This document sets out operational guidelines for OSSs that will be operating under SEAI grant schemes. This document should be read in conjunction with the various scheme documents; Scheme Guidelines, Code of Practices (“**COP’s**”), and the Domestic Technical Standards and Specifications (“**DTSS**”).

OSSs will be registered with SEAI to allow them access SEAI grant schemes that are available for participation through OSSs. In 2022, this will include the National Home Energy Upgrade Scheme. There are already other existing grant schemes in which OSSs can participate and further schemes may be developed in the future that OSSs can participate in.

Further information on the various SEAI grant schemes is available on the SEAI website.

2 What is a One Stop Shop?

An OSS is an entity which offers and delivers an end-to-end service to advise on and carry out all aspects of a home energy upgrade/retrofit. It provides a unified and cohesive offering to homeowners to upgrade their homes. The offering must be seamless and integrated with no visible handovers of customer communication or relationships within the home energy upgrade project. The OSS should provide a service covering the whole customer journey from information provision and technical direction, to works completion and provision of financial support, as well as the monitoring of savings. Communication with all project stakeholders throughout the process is also a crucial element of the OSS role. The OSS will manage the grant application process. The homeowner will contract solely with the OSS for their overall home energy upgrade project.

2.1 The Role of a One Stop Shop

The purpose of an OSS is to simplify the pathway to retrofitting a home for the homeowner. They shall offer a full range of energy upgrades in line with Government policy. They are responsible for managing the process for each homeowner, from advising homeowners on energy efficiency upgrades to ensuring that all grant related works are carried out. They shall provide one point of contact for assessment, grant funding, suppliers and works contractors. The OSS shall ensure all works are completed in accordance with SEAI's DTSS (Domestic Technical Standards and Specifications). An OSS will be permitted to apply for grant funding on behalf of homeowners and in return an OSS will be required to perform important governance tasks which will be outlined in detail in the appointment agreement between the OSS and SEAI.

Introducing the role of the OSS into home energy upgrades is intended to achieve the following:

- **Simplify** the retrofit process for a homeowner. Bringing all the services and knowledge together and presenting options to the homeowner in a clear and understandable way.
- **Accelerate** retrofit by informing, motivating, and assisting homeowners to follow through with energy efficiency investments.
- Improve the average **retrofit depth** in terms of energy performance because an OSS walks the homeowner through the full renovation journey.
- **Manage** the technical assessments and BER, design options, completion and commissioning of the work and provide after-care service for homeowners.
- Bring together groups of homes for retrofit, delivering **economies of scale** by, for example, purchasing the required energy efficiency measures like heat pumps in volume price discounting; efficiencies in delivery; developing new ways and innovation in processes and technologies.
- Inform and manage **access to incentives** available through SEAI grants and Energy Supplier Obligations.
- Ease access to **financing** and help provide information on attractive loan rates.

Approval to be a One Stop Shop

Applicants must apply to SEAI to become a registered OSS (see section 5). SEAI will assess them against set eligibility criteria as outlined below and provide confirmation on whether or not the applicant has met the criteria. Once the OSS meets the eligibility criteria, it will then need to submit a strategic plan to SEAI for assessment and agreement before it can be fully approved as an OSS and enter into an OSS appointment agreement with SEAI. This will then give the OSS access to multi-annual budgeting timeframes which means it can complete homes across calendar years, with no project year-end deadlines, within grant schemes that allow this facility.

2.2 Responsibilities of a One Stop Shop

OSSs are responsible for the end-to-end processing of grant applications from advising homeowners on energy efficiency upgrades to ensuring that all grant related works are carried out by competent contractors, and that works are completed, in accordance with the relevant grant scheme rules and SEAI's DTSS and applicable COPs.

OSSs will be authorised by SEAI to submit grant applications and to receive grant monies on a homeowner's behalf. OSSs are also authorised to undertake additional administrative tasks related to the processing of grant applications on behalf of homeowners. OSSs will be given access to the relevant SEAI grant system (including SEAI's National Home Energy Upgrade Scheme grant system through a website) to enable the OSSs to execute full end-to-end transaction processing for all grant-aided measures. For example, in respect of the National Home Energy Upgrade Scheme, these transactions include:

- assessing the home to provide advice and solutions on the most suitable proposed upgrade and provide a full Home Energy Assessment to the homeowner
- offering and, if applicable, providing full energy upgrades to homes to achieve energy savings
- explaining to the homeowner about the energy upgrade works and the complete OSS process, including the terms and conditions of the relevant grant scheme, and to obtain the informed consent of the homeowner
- applying for and obtaining grant approval on behalf of the homeowner, with their consent
- entering into a fully transparent contract with the homeowner in advance of works
- carrying out, or arranging for the carrying out of, upgrades in compliance with the terms and conditions contained in the Contractor Registration Form, DTSS, COP.
- submitting grant payment requests to SEAI
- ensuring that any issues/complaints are properly managed
- maintaining records of the energy upgrade works
- ensuring pre- and post-works BER assessments are properly performed, and that the relevant BER certificates are published and issued to homeowners
- ensuring that all other terms and conditions of the scheme are fulfilled

It is the responsibility of the OSS to manage their agents/contractors and to manage the quality assurance process on all grant-funded projects.

The OSS must have a Quality Management System (see section 4) in place and is responsible for the development, implementation, operation, and continual improvement of their Quality Management System e.g. ISO 9001 or equivalent. These responsibilities will include the following:

- Ensuring that an appropriate Quality Management System is implemented and maintained in order to deliver high quality energy upgrades works with attaching credits,
- Ensuring that adequate resources are in place for the deployment of the Quality Management System,
- Ensuring that adequate process checks are carried out in order to identify improvement opportunities to the process,
- Ensuring that all suppliers, agents and contractors are informed of the Quality Management System and that internal procedures developed in support of the Quality Management System are adhered to.

2.3 Obligated Party

Obligated Parties have annual targets for making energy efficiency savings in homes and businesses. It is desirable that an OSS be aligned with at least one Obligated Party in achieving energy saving targets for energy upgrade works carried out under SEAI grant schemes. If the OSS has such a contract in place they should furnish written confirmation of this contract from the Obligated Party to SEAI along with the completed OSS Registration application form, outlining the Obligated Party contribution in terms of cents per kWh saving or other contributions as applicable.

2.4 Other roles/responsibilities

OSSs must have a contract in place with each agent/contractor who works under their auspices and must ensure that their contractors are properly competent and/or registered with SEAI as required to carry out the grant-aided measures under the relevant grant schemes, and in compliance with all SEAI requirements for such contractors.

3 One Stop Shop Requirements

There are a number of clearly defined minimum eligibility criteria in order to apply to become an OSS. The applicant must be able to demonstrate that they can meet the criteria under the key areas as outlined below and as described in detail in section 5:

1. Financial Probity and Business Standing
2. Organisational Capability and Technical Competence
3. Governance and Legal Requirements
4. Business Systems and IT Capability
5. Market Engagement
6. Skilled Workforce (direct or partnerships)
7. Quality Assurance
8. Obligated Party if relevant
9. Commitment as a partner and key stakeholder in national retrofit

3.1 Financial Probity and Business Standing

The OSS must be a registered business entity (or part thereof) with Irish Revenue Tax Clearance. It must have a solid and stable financial position so that prospective clients are provided with confidence and assurance that their project will be managed to completion and that their funds will be secure. As SEAI will be paying homeowner grants through the OSS, it will need to be sure that these funds will be securely transferred/discounted to the final customer.

Elements to be checked under this area are further outlined in detail in section 5 but include the following:

- Irish Revenue Tax Clearance
- Turnover Minimum for OSS is €1 million per annum
- Clean audit report for previous 2 years
- Financial Liquidity and ratio test analysis
- Directors Declaration of Professional Business Standing

3.2 Organisational Capability and Technical Competence

The OSS must have the management, administrative and technical expertise to assess homes and provide upgrade paths to suit homeowner needs (timing, budget, suitability). It must also have the competence to manage the supply chain, deliver the retrofit upgrades and support the homeowner in aftercare.

Elements for assessment under this area will include:

- Ability of organisational structures to perform as an OSS
This means a demonstrated capacity to manage complex upgrade projects within an end to end life cycle including
 - project management and business solutions capability
 - ability to identify and implement best practice solutions and commitment to continuous improvement
 - adequate processes and guides to manage all documentation required
 - structures and systems to manage and address the full life-cycle of client transactions and grant applications and processing of energy credits

- Resource Capability
This will include the capacity to deliver integrated energy efficiency works demonstrating
 - ability to carry out all technical and design works
 - customer facing capacity and systems to interact with homeowners, contractors and other stakeholders.
 - all required technical competencies available to deliver retrofits (assessors, designers, surveyors, installers, contractors etc).
 - capability to design and deliver correct retrofit solutions for homeowners
 - ability to manage the completion of works to required standards

- Marketing and engagement plan to secure a customer pipeline including future development and growth plans with indicative annual home retrofit numbers

3.3 Governance and Legal

The OSS must have the capability to manage the governance of complex home retrofit projects that may include a large number of clients with varying requirements, timelines, contracts and financing models. This includes transparent, efficient, and responsive processes including financial, legal and regulatory requirements as well as a robust end to end quality management system. Applicants to the OSS programme will be asked to demonstrate conformity to legal requirements, insurance, and taxation as follows:

- Minimum insurance criteria required:
 - Employer's Liability €13m
 - Public Liability €6.5m
 - Professional Indemnity Insurance €2.5m in aggregate or €1m for any one claim
- Documented Health and Safety Management Policy
- Documented Environmental Management System
- Quality Assurance Management System- Certification or Alignment
 - Demonstrate responsibility and ownership of quality and delivery through documented QMS
- Regularly reviewed and updated Risk Register and mitigation strategy for each risk identified
- Secure and comprehensive IT System Capability including compliance with GDPR

- Customer Charter/Policy demonstrating the applicant's commitment to excellent customer service

3.4 Green Procurement

OSSs must ensure that products and services provided consider efficiency, sustainability and green procurement.

The Triple E Products Register is a benchmark register of best in class energy efficient products. Products on this register all meet a minimum set of stringent efficiency criteria and typically will be of a best in class efficiency standard. As such, procuring against this register will provide you with the assurance that you are purchasing a product of very high efficiency.

Projects are encouraged to commit to the purchase of plant, machinery or equipment from the relevant product/technology categories listed on the Triple E register or equivalent where appropriate.

OSS must ensure that all products and technologies meet the Ecodesign regulations for home energy upgrades. Further details of this can be found in the DTSS.

3.5 Circular economy and waste management

The appropriate management of materials and waste can have significant benefits in terms of sustainability for retrofit projects. OSS shall ensure that for each property undergoing energy upgrade works at least 70% (by weight) of the non-hazardous construction and demolition waste generated on site, is prepared for reuse, recycling and other material recovery as per Directive 2008/98/EC and in accordance with the waste hierarchy and the EU Construction and Demolition Waste Management Protocol. OSS shall prepare a resource management plan for the retrofit works according to the best practice guidelines from the EPA.

3.6 Various Grant Scheme Requirements

OSSs must at all times be aware of and familiar with the terms and conditions of the various residential grant schemes within SEAI. They must also understand and adhere to the rules associated with administering the various grant schemes, which have been developed to ensure consistent and transparent management of public monies. OSS should assess applicants to ascertain which grant scheme is most suitable for their purposes, including referring those in energy poverty to the Warmer Homes Scheme where relevant.

The National Home Energy Upgrade Scheme 2022 is specifically designed to use OSSs to deliver retrofits and engage with homeowners and the supply chain. Application for grant funding on behalf of homeowners under this Scheme will be the sole responsibility of the OSS. For full details of this scheme and how to apply, see the National Home Energy Upgrade Scheme Guidelines and other ancillary documentation available on the SEAI website. There are already other existing grant schemes in which OSSs can participate and further schemes may be developed in the future for OSSs to participate.

4 Operations and Quality Assurance

The quality of service delivery by OSSs is central to the reputation and effectiveness of the OSS programme. This is for the purpose of achieving energy savings for homeowners and value for public monies. That quality of service has two key dimensions: competence and compliance.

OSSs will be audited on an annual basis with respect to technical and administrative compliance with the requirements of the programme. Each OSS will provide a quarterly report on its operations. SEAI may review quality records more frequently and reserves the right to engage with the OSS and audit same more frequently, particularly where signs of risk of non-compliance are emerging. Where an OSS's performance falls outside of the required performance levels then appropriate guidance and / or sanctions will be notified to the OSS, including where specific measures are not meeting any relevant scheme's requirements.

4.1 Quality Management System

Each OSS is required have a quality management system in place for their operations, which includes, customer focus, managed processes, continuous improvement and controls such as audit and inspection. Each OSS will ensure independent verification of the quality of their operations and upgrade works carried out by them/their agents or contractors under individual grant schemes, and SEAI will require access to these results.

Each OSS is ultimately responsible for the quality of all upgrade works carried out and operational processes in place as part of the OSS programme and under each relevant grant scheme. This includes ensuring that works meet all required technical standards, operational processes are functioning as defined and that high levels of customer satisfaction are maintained at all stages of the process. SEAI will review the OSS's performance in this regard. This will be monitored and assessed through ongoing audits, quarterly business review and annual audit.

4.2 Quarterly Review

The OSS 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 and Quality Requirements Guide. This will include:

- Customer Engagement/ Pipeline
- Strategic Progress in line with the OSS's agreed strategic plan
- Administration
- Financial Review
- Technical Review

Further details are available in the Operations and Quality Requirements Guide.

4.3 Annual audit

OSSs are required to complete an annual audit of their operations and works. These audits shall be conducted by an auditor or competent person who is independent of the OSS. Following receipt of the audit report each year the OSS shall schedule a review of the outcomes and actions with SEAI. The first audit shall be scheduled and completed by the OSS 12 months after initial registration as an OSS, and shall continue annually thereafter.

4.4 Terms and conditions of the various grant schemes

OSSs are required to adhere to guidelines, processes and rules that apply under the OSS programme, as well as those under any other grant scheme documentation that applies to the relevant upgrade works, to ensure appropriate use of the various grant systems, and management of grant related paperwork. Failure to adhere

to these guidelines, processes and/or rules may result in grant applications and/or payment requests being declined. It may also lead to SEAI invoking sanctions under the OSS appointment agreement (see section 4.6 below). Separately, quality assurance and disciplinary procedures under the relevant grant scheme may also apply.

OSSs must ensure that the terms and conditions of the various grant schemes in which they are participating are thoroughly understood and complied with by all staff members, and agents/contractors acting on their behalf who are involved directly or indirectly in delivering programme to homeowners. This includes, but is not limited to, call centre staff, sales, advice, installation, administration, quality and finance. OSSs should also ensure that the said terms and conditions are reviewed with, understood by, and fully accepted by each homeowner before any grant application is made by the OSS on that homeowner's behalf. Additionally, a contract must be in place between the homeowner and the OSS. SEAI may issue either a template customer contract or minimum requirements for what customer contracts should include from time to time. If SEAI does issue such a template contract or minimum requirements, the OSS shall ensure they are implemented in its customer contracts entered into following the date of issue of such by SEAI.

The terms and conditions of the various grant schemes may change from time to time. SEAI will endeavour to keep OSSs informed of any changes, however it is ultimately the OSSs responsibility to ensure that the most up to date terms and conditions are supplied to staff, agents/contractors and the homeowner at all times.

4.5 Segregation of Duties

One of the principal ways of ensuring governance on a grant system is by segregating the duties assigned to personnel using the system working on SEAI grant schemes, so that no one individual can complete the relevant grant scheme application and payment process from end to end. In practice this means that each OSS will be provided with a number of different login profiles. Each of these logins will have specific access rights to enable the user to carry-out their own specific tasks. SEAI expects that each OSS will ensure that their users will have access to only one profile type and that segregation of duties is maintained by their team at all times.

4.6 Sanctions

Where SEAI identifies any breaches of the OSS appointment agreement, any breaches of the relevant grant scheme terms and/or any quality management issues then SEAI will have various rights of remediation, suspension and termination provided for in the OSS appointment agreement.

SEAI will have a right to initiate a remediation process if it has material concerns about the OSS's performance. This process will entail the OSS preparing a remediation plan aimed at addressing SEAI's concerns. This plan must be agreed with SEAI and then implemented in accordance with the agreed timescales. It is SEAI's expectation that this remediation process will be the first step in any sanctions process but SEAI does reserve the right to enforce more serious sanctions if the situation requires it.

SEAI will have a right to suspend the OSS if material failings are identified. During the period of suspension the OSS will not be able to make any new grant funding applications and SEAI reserves the right to withhold payment on any current grant applications. SEAI will also have the right to inform the relevant homeowners of the OSS's suspension.

The final sanction is termination of the appointment agreement. This sanction will apply to serious breaches

and also recurrent breaches which are not addressed through the remediation process and / or during a period of suspension. Termination means the OSS will no longer be able to hold itself out as an OSS nor engage with SEAI grant schemes. As with suspension, SEAI will have the right to inform relevant homeowners of the OSS's termination and to inform the homeowners of their rights and options in relation to SEAI funding. SEAI has the right to proceed directly to termination if the situation warrants it.

Please see the OSS appointment agreement for further detail on the remediation, suspension and termination rights SEAI has under that agreement.

The SEAI Customer Charter and Customer Action Plan (which can be found here - <https://www.seai.ie/customer-charter/>), including the appeal process provided for therein, will apply to OSSs. If an OSS has any concerns with the actions of SEAI relating to the appointment agreement it may avail of the process provided for therein.

4.7 Data Collection

The OSS will be required to gather application information for the grant administration purposes and provide this to SEAI. This will include homeowner names, address, telephone number, email and MPRN. The homeowner's email will be used to communicate with the homeowner on the grant administration and processing. In order to assess the impact of installed measures SEAI will collect pre and post works data, this data will be provided by the OSS through the grant process. This data may also be used by SEAI for scheme review or development.

Data relating to the works completed and grants claimed by OSSs will be assessed by SEAI to ensure that the energy savings have been achieved and will be sustained. This assessment will verify that energy upgrades have been properly installed in line with the code of practice and the correct grant has been applied for and deducted from the cost borne by the homeowner. This data may also be used by SEAI for scheme review or development. The OSS will be required to ensure that Data Subjects are aware of this data collection and use.

SEAI may make contact with homeowners for a period of up to 5 years after the relevant grant has been processed in order to request their voluntary participation in surveys or other forms of feedback or to request the voluntary provision of energy data or other information which may be used to determine the impact and achievements of the relevant grant scheme and for scheme review or development. SEAI may also develop and publish case studies (protecting as appropriate all personal, confidential or commercially sensitive information/data). The OSS will ensure that Data Subjects are aware of this data collection and use. The OSS will ensure that the Contact Preference Form is completed and submitted to SEAI.

To support ongoing monitoring and evaluation the OSS may be required to capture customer data and provide to SEAI for analysis. This data will include information on the home, homeowner and energy usage. These checks will help SEAI to monitor, review and analyse the scheme by:

- Providing confidence that the energy savings reported by SEAI as being attributed towards OSS have been achieved.
- Helping reassure the homeowner that the energy upgrades claimed under the relevant programme are installed correctly.
- Reassuring OSSs that the relevant programme is implemented fairly, with a level playing field for all participants.
- Supporting the continued development of the relevant programme.
- Supporting the review of the efficacy of the relevant scheme.

- Measuring output data to validate anticipated energy savings.

This data may also be used by SEAI for scheme review or development purposes. The OSS will be required to ensure that Data Subjects are aware of this data collection and use.

The OSS will be asked annually to provide case studies to SEAI which sets out the main elements of the relevant project (key partners, numbers of properties, and types of works, project costs (totals), project duration, critical success factors / learnings). These will be used for further development of the relevant programme. Where this includes personal data, the OSS will ensure that Data Subjects are aware of this data collection and use.

4.8 Marketing

OSSs shall meet any applicable marketing requirements or guidelines issued by SEAI from time to time. In addition:

- any marketing activities should acknowledge the funding received from SEAI;
- where signage or displays are being created in relation to particular buildings or events, then the OSS should request the SEAI logo from SEAI for inclusion accordingly; and
- SEAI should be provided with copies of any relevant press releases or promotional materials prior to finalisation.

5 OSS Registration - Application Process

OSS applicants must apply to SEAI to become a registered OSS. SEAI will assess them against set pre-qualification eligibility criteria as outlined below and reject or approve as appropriate. If an OSS meets the eligibility criteria, it will then need to submit a full application and strategic plan to SEAI for assessment and agreement before they can be fully registered as an OSS and become a party to an OSS appointment agreement with SEAI. This encompasses a two-step process to apply to become an OSS:

1. Pre-qualification questionnaire
2. Application form and Strategic Plan

5.1 Pre-Qualification

The pre-qualification questionnaire contains a number of clearly defined minimum eligibility criteria which must be met in order for an application to be further reviewed. Once these are reviewed and deemed acceptable the application can progress to step two. The eligibility criteria are outlined below:

- Turnover of at least €1 million
- Clean (i.e. unqualified) audit report for previous 2 years
- Financial Liquidity and ratio test analysis
- Directors Professional Business Standing
- Ability of organisational structures to perform as an OSS
- Resource Capability
- Insurance Criteria – Minimum Levels of Insurance Required
- Quality Assurance Management System- Certification or Alignment
- IT System Capability
- Health and Safety Management
- Environmental Management System
- Obligated Party Alignment if in place

The pre-qualification form will be reviewed by SEAI and if successful the applicant will be invited to make a full application.

5.2 Application Form and Strategic Plan

If an applicant successfully meets all pre-qualification criteria, it must then complete the application form and provide sufficient evidence to demonstrate compliance with all of the application criteria requested and the ability to deliver the OSS services through the programme. The applicant must also provide its strategic plan, which will include a minimum 2 year forward focused plan outlining the applicant's approach to home energy upgrades and describe its development and growth plans and how it will address market engagement including an area-based approach to engagement and achieving economies of scale.

The application form requires the following information to be provided:

1. Vision and Mission for the Organisation

Each applicant should provide a view of its business plan if it is accepted as an OSS by SEAI. This should include the OSS's vision for the business in the future and how the business will deliver to its homeowners and stakeholders. The applicant should describe the position of its business currently in the marketplace and how it will evolve and transform to deliver on the long-term vision and mission as an OSS.

2. SWOT Analysis and ongoing Risk Management Approach

The applicant should provide an analysis of the various strengths, weaknesses, opportunities, and threats for its business as an OSS in the retrofit market. This should include a full risk analysis including an environmental analysis of the business the OSS is in, and mitigants that it has in place to deal with each of those risks.

The applicant should outline its ongoing Risk Management Approach which should include:

- Management oversight and structure for reporting information to its senior management team
- Risk Management policies and procedures including control and mitigation

3. Long Term Goals and Capacity and Growth Plan

The applicant should describe its three (3) year goals (SMART Goals¹) and how these goals align with its OSS mission and vision statements. This should set out the various milestones, and describe markets, supply chain and operational growth and expansion plans, and how they will be achieved. The figures should be broken down into yearly objectives for upgrading homes and how each will be achieved, measured and delivered upon. This should include a detailed action plan for growth and delivery in the business and should address the following matters:

- Strategic Plan for growth in numbers of home upgrades completed over 3-year period and how that relates to other information provided and current capacity
- Marketing Plans for growth in engaging and capturing customers, describing routes to consumer engagement, and linkage with overall capacity plan. This should encompass

¹ SMART Goals are **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-Bound

approach to working with SEAI and other stakeholders’ promotion and marketing initiatives to support national strategies and targets for home energy retrofits

- Resource growth plan - additional plans in order to achieve delivery growth (training, new hires, partnerships, different specialties)
- Financial plan
- Operational plan
- Approach and plans for achieving economies of scale and feeding into the Just Transition²

4. Approach to Service Delivery and Project Management Approach

The applicant will be required to outline its approach to service delivery and project management including how it will market to and capture consumer interest, as well as onboarding customers and providing excellent and seamless customer service and project delivery. This should include:

- End to end project management approach
- Management and integration of sub- contractors/ partners
- Process Management and Improvement
- Evaluation and Measurement including post-works customer satisfaction surveys
- Customer Charter and approach to customer engagement, service and delivery. This approach should demonstrate the applicant’s commitment to excellent customer service, and detail its complaints, appeals and redress procedures, to include
 - Templates of formal contracts with homeowners, contractors & obligated parties.
 - Providing each homeowner with a fully transparent Customer Agreement including the Terms and Conditions, which should be signed by both the OSS and the homeowner and dated at the time of signing.
 - providing homeowners with links to, or information on finance options for their upgrade project, and outlining any future plans to develop fully integrated financing offering to homeowners.
- Process Improvement

5. Approach to QMS including Technical Quality

Under the SEAI OSS programme there is a minimum requirement for an OSS to:

- Hold a recognised quality management certification (“**QMC**”) or be in the process of obtaining a QMC
- Have a full end-to-end QMS in place
- Provide to SEAI quarterly QA/Audit Reports on its performance as an OSS

The applicant should provide an outline of its approach to quality management including:

- Documented quality management system and alignment with the principles of ISO9001 or equivalent to consider total quality processes including but not limited to technical quality
- Evaluation and Measurement Plan
- Previous inspection pass rates in SEAI or other relevant programmes and grant schemes

6. Resources

The applicant must be able to demonstrate its delivery model in a tangible way, including an organisational chart showing how the applicant and its formal partnerships can deliver a smooth and complete consumer home energy upgrade journey. This includes a clear outline of the ability to engage, secure and onboard the

² [gov.ie](http://www.gov.ie) - Just Transition Progress Reports (www.gov.ie)

required resources to deliver a quality product. The applicant should demonstrate competency frameworks to engage its staff in upskilling or recruit resources where they are missing skills/competencies.

With this in mind, the applicant will be required to outline its resource plan for the business both currently and within the planned growth phase. This should include an organisational chart indicating the proposed personnel and roles, including those that are fulfilled by named partners. Within this outline, the applicant should ensure it provides details on the following:

- the senior management team
- Skills of technical staff (adequacy of crews) breadth and relevant technical partnerships. What internal / external resources are in place to allow for the full suite of technical services required under the scheme guidelines
- Indicate those resources with ultimate responsibility for quality assurance of projects
- Relevant resources across customer engagement & marketing, finance, IT and administration. What level of senior management and support staff are in place across non - technical areas?
- Adequacy of segregation of duties

Applicants should also provide CV's in an **Appendix** to the application form for the key people involved, their specific role within the proposed OSS programme, current role within the applicant organisation and key skills/experience. This should include at least one full-time Project Manager/Quality Assurance Manager to oversee all works being carried out under the OSS programme and provide the name, competencies and qualifications of this individual.

When compiling the resource plan, the applicant will need to take cognisance of the following:

- The need to use competent, qualified and, where required, registered contractors and installers based on predetermined appropriate education, training, skills and experience having regard to the competency assessment of suppliers, contractors and employees related to the quality of energy upgrade works under the scope of the quality framework.
- The need to monitor the allocation of resources to ensure that the resources are sufficient to deliver reliable and valid grant-aided energy upgrades to customers consistently.
- The need for segregation of duties, and detail how the segregation of duties will be managed on an ongoing basis.
- The need to provide ongoing training programmes to ensure staff are fully trained on the relevant SEAI grants schemes and the OSS process, ensuring all key personnel are fully compliant with the programme rules, Domestic Technical Standards and Specifications (DTSS) and Code of Practices. Applicants should provide details of proposed training programmes in this regard.

7. Data Security, Storage and Disaster Recovery

In the course of administering grant applications on behalf of homeowners, an OSS will be responsible for the processing, archiving and safekeeping of a variety of original documents, forms and local computer records, while ensuring adherence to GDPR requirements.

The applicant will be required to outline the policies that will apply to the management of customer data and the administration of grants as an OSS and at its proposed OSS facilities to include data security for both digital and hardcopy records, incorporating restoration procedures and compliance with audit trail requirements.

An OSS must be able to accept, track, process, share and assure the required information and documentation

on behalf of homeowners, suppliers and contractors, and where necessary provide this to SEAI in a suitable digital format that meets data and privacy requirements. An OSS must also have the capability to connect with and interact with SEAI grant management systems.

In the application form, therefore, the applicant should describe:

- IT system to manage and track enquiries, customers, contractors and other stakeholders at all stages of the retrofit journey
- Processes to include continuous improvement focusing on challenges and identifying solutions
- Track progress and report on KPIs, dashboard and reporting to SEAI
- IT system to provide design solutions for the retrofit
- Data Security, General Data Protection Regulations (GDPR), Storage and Disaster Recovery
- Segregation of Duties (identify and record who does what for accountability, where needed)
- Support for homeowners who wish to engage and submit applications offline

5.3 Application Evaluation Criteria and Scoring

Applications will be evaluated using the following criteria.

In addition to meeting all of the minimum pre-qualification eligibility criteria, sufficient evidence must be submitted within the application to demonstrate compliance with achieving the following criteria.

Criteria	Max Score	Comments
1. Vision and Mission	10 *Minimum Score: 7	
2. SWOT and Risk Management	15 *Minimum Score: 9	
3. Growth and Capacity Plans	15 *Minimum Score: 9	
4. Service Delivery and Project Management	20 *Minimum Score: 14	
5. QMS	15 *Minimum Score: 9	
6. Resources	15 *Minimum Score: 10	
7. Data Management	10 *Minimum Score: 7	
Total	100 *Minimum Score: 65	

*** In all cases, SEAI reserves the right to reject an application by an OSS applicant in the event that**

any of the above criteria are not met.

Outline of Scoring Matrix

Scoring Bands		Scoring Methodology Meaning
4	(76 — 100% of Maximum Available Marks)	Meets all of the requirement to a high level: The Organisation’s proposal is assessed as meeting all elements of the stated requirement and as demonstrating a high to very high level of quality, detail, clarity, credibility and understanding.
3	(51 — 75% of Maximum Available Marks)	Meets all of the requirement: The Organisation’s proposal is assessed as meeting all elements of the stated requirement and as demonstrating an acceptable to good level of quality, detail, clarity, credibility, and understanding.
2	(26 — 50% of Maximum Available Marks)	Meets the majority of the requirement: The Organisation’s proposal is assessed as meeting the majority, but not all of the elements of the stated requirement, or is lacking in some elements of quality, detail, clarity, credibility or understanding.
1	(1 — 25% of Maximum Available Marks)	Meets some of the requirement: The Organisation’s proposal is assessed as meeting only some of the elements of the stated requirement, but not the majority and is lacking in a number of elements of quality, detail, clarity, credibility or understanding.
0	0% of Maximum Available Marks	No answer/does not meet requirement: Response is assessed as not appropriately meeting any of the elements of the stated requirement.

5.4 OSS Appointment Agreement

Please see SEAI website for Agreement Template

5.5 Privacy Notice

1. General statement - We respect your privacy

The Sustainable Energy Authority of Ireland (“SEAI”) fully respects your right to privacy. This Privacy Notice (“Notice”) is intended to help you understand what Personal Data SEAI collects about you, why we collect it, what we do with it, who we may share it with and how we protect it. When we talk about “Personal Data” in this Notice, we mean any information relating to you, either directly or indirectly.

This Notice also details the rights available to you in relation to how we hold and use your Personal Data, how to exercise those rights, and what to do if you require more information or wish to make a complaint.

2. Who is responsible for your information

SEAI is responsible for your information.

This Notice applies to SEAI, a public authority established under the Sustainable Energy Act 2002, located at 3 Park Place, Hatch Street Upper, Dublin, D02 FX65

The use of “we”, “us”, “our” and “ours” in this Notice refer to SEAI. For more information about us, please see our About webpage <https://www.seai.ie/about/>.

If you want to get in touch and seek to exercise your rights as described below, please contact us at dataprotection@seai.ie.

3. Who this Notice Applies To

In operating the National Home Energy Upgrade Scheme (“Programme”), we collect and process information which relates to a variety of categories of individuals. These include individuals who may not have a direct relationship with SEAI. We have described below the main types of individuals whose information we collect, use and otherwise process in connection with the Programme.

- Representatives of One Stop Shops, i.e. company making the grant application on behalf of the homeowner and managing the home energy upgrade process
- Homeowners, i.e. persons whose home is upgraded and is ultimately the beneficiary of the Grant funding
- BER Assessors, i.e. Registered assessors who provide certification pre and post a Project
- Technical Advisors who carry out technical assessments in conjunction with the heat pump grant
- Contractors who carry out works in the course of the home energy upgrade project

4. Who We Receive Information From

We receive your information from a variety of sources, including directly from you and also from third parties in particular from the One Stop Shop. For example, in the course of assessing an Application for a Grant, we will receive from the Applicant personal data regarding potential homeowners and their home.

5. Information We Collect and how We Use It

In the course of administering the Programme, we collect or receive information in different ways and relating to various groups of individuals (described in section 3 above). We use this information for a number of purposes, including those described further below.

The types of Personal Data that we collect and process include, but are not limited to

- your name and contact details, including your address, phone number and email address;
- Meter Point Reference Number (MPRN);
- information about your interactions with us, such as customer service records, including complaints and claims;
- any other information relating to you that you provide to us, or is provided to us by the One

- Stop Shop, or that we collect about you in connection with our relationship with you;
- Building Energy Rating (BER) data & other technical building data or energy performance data relating to your property;
- Information, including photographs, collected as part of an inspections process;
- information relating to potential energy upgrade measures identified;
- Information on energy upgrade measures completed and grants provided.
- Information provided to us as part of any follow up research or feedback process.

We use this Personal Data to:

- register the One Stop Shop and have a point of contact for ongoing communications;
- perform our functions as a public authority and, in particular, assessing the Application and administering the award of a Grant, including carrying out inspections of properties, conducting research on the impact of the Programme and development of case studies;
- provide customer service to you and contact you if required to respond to any communications you might send to us;
- comply with our legal obligations;
- protect or enforce our rights or the rights of any third party;
- establish, exercise or defend legal claims;
- improve the services which we provide to you;
- improve our existing schemes;
- develop new schemes;
- contact you in relation to other grants which may be available to you;
- respond to requests and providing information;
- monitor and evaluation of compliance with the terms and conditions of the scheme;
- detect and prevent fraud and other crime.

6. Information You Give Us About Other People

If you provide information to us about any person other than yourself, you should ensure that you have a legal basis for doing so and that you have complied with your transparency obligations under data protection law.

7. Our Legal Bases

In order to collect, use, share, and otherwise process your information for the purposes described in this Notice, we rely on a number of legal bases, some of which are mentioned above, including where:

- necessary for the performance of tasks that we carry out in the public interest or in the exercise of official authority vested in us by law (including the Sustainable Energy Act 2002);
- necessary for the performance of a contract with you, such as the Grant Agreement;
- necessary in order to take steps at your request prior to entering into a contract with you; or
- necessary for compliance with a legal obligation that applies to us.

8. Sharing Your Information

In the course of administering the Programme, we share information with various third parties, as set out below. We do this based upon the legal bases and exceptions mentioned in section 7 of this Notice.

- **Service Providers:** We may share your Personal Data to help us administer the Programme and communicate with you. Categories of service providers include companies who provide inspection services, outsourced business process providers, IT software and hosting providers and records-storage companies. Where such third parties are processors, these third parties are contractually required to use it only to provide their service to us and are contractually barred from using it for their own purposes.
- **Experts, advisors, lawyers and others connected to the administration of the Programme:** We share your information with a variety of third parties so we can administer the Programme. This may include sharing your information with advisers, solicitors and law firms, and other experts.
- **Legal and safety reasons:** We may retain, preserve, or share your information if we have a good-faith belief that it is reasonably necessary to (a) respond, based on applicable law, to a legal request (e.g., a subpoena, search warrant, court order, or other request from government or law enforcement agency); (b) detect, investigate, prevent, and address fraud and other illegal activity, security, or technical issues; (c) protect our rights, property, or safety; (d) enforce the Grant Agreement or any other contracts we have with you or a third party which relates to you; (e) prevent physical injury or other harm to any person or entity, including you and members of the public.
- **Research:** We may include your Personal Data in research studies to assess the impact and benefits of the Programme. The outcome of these studies may be published or we may publish individual case studies. However, we will ensure that you will not be identifiable in any such studies, without your consent, which will be separately obtained.

9. Retention

We may retain your information for as long as necessary in light of the purposes set out in this Notice, including for the purposes of satisfying any legal, accounting, or reporting requirements and, where required for SEAI to assert or defend against legal claims, until the end of the relevant retention period or until the claims in question have been settled.

To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your Personal Data, the purposes for which we process your Personal Data and whether we can achieve those purposes through other means, and the applicable legal requirements. We also consider regulatory guidance, as appropriate.

Financial and personal grant data will be retained for 7 years or until 31/12/2032 (Whichever is longer).

10. Your Rights

You have a number of rights in relation to your information that we process. To exercise these rights, please contact us at dataprotection@seai.ie.

While some of these rights apply generally, certain rights apply only in specific circumstances. We describe these rights below.

- **Access:** You have the right to request access to your information that we control.
- **Data Portability:** You have the right to request that some of your personal information that

you initially provided to us is returned to you or another controller in a commonly used machine readable format.

- **Rectify, Restrict and Delete:** You have the right to ask us to restrict the processing of your information or to rectify or delete your information. Please note that despite a deletion request, we may continue to process your information if we have a legal basis to do so.
- **Object:** If we process your information in the public interest, you can object in certain circumstances. In such cases, where legally required to do so, we will cease processing your information unless we have compelling legitimate grounds to continue processing or where it is needed for legal reasons.
- **Complain:** You have the right to submit a complaint about our use of your information with your local supervisory authority or SEAI's supervisory authority, the [Irish Data Protection Commission](#).

These rights are subject to a number of exceptions under law.

11. Amending The Notice

From time to time, we may amend this Notice. This might happen, for example, where we make changes to the Programme. If we make material changes to the Notice, we will take steps to notify you, such as by posting a notice on our website. The Notice was last updated at the date indicated further below.

12. Contact Us

If you want to exercise your rights (described above), or if you have any questions about this Notice, please contact us as follows:

Data Protection Officer
Sustainable Energy Authority of Ireland
3 Park Place
Hatch Street Upper
Dublin 2
D02 FX65

Tel: +353-1-8082100

Email: dataprotection@seai.ie

Last updated: January 2022