

Document Version Control

Version	Date	Author	Rationale
1.0	28/08/2018	SMB	Document issued to coincide with 2017 Annual Report.

Key Compliance Areas Outcome 2017

RECC's Annual report includes an explanation of the Code's monitoring strategy and of the 10 Key Compliance Areas under which RECC records the results of:

- a rolling Consumer Satisfaction Questionnaire (CSQ)
- compliance audits of members and
- consumer complaints.

The current analysis presents the monitoring results for each of these elements separately (as set out in RECC's Annual Report). It then brings these results together, along with some additional data, to show the performance overall against each Compliance Area.

The 10 Key Compliance Areas

CA1: Awareness of consumer protection / RECC (including staff training)

CA2: Microgeneration Certification Scheme (MCS)

CA3: Marketing and selling

CA4: Estimates/quotes, particularly performance estimates and financial incentive

CA5: Finance agreements

CA6: Contracts and cancellation rights

CA7: Taking and protection of deposits and advanced payments

CA8: Completing the installation

CA9: After –sales (guarantees, workmanship warranties and warranty protection, after sales support: customer service)

CA10: Disputes numbers, handling, procedures

Monitoring results

Figures 1 to 3 show the results graphically under each of the Compliance Areas areas in:

- RECC's Consumer Satisfaction Questionnaire (Figure 1)
- audits of members (Figure 2) and
- complaints about members (Figure 3).

Figure 1: percentage of consumers responding positively to survey questions

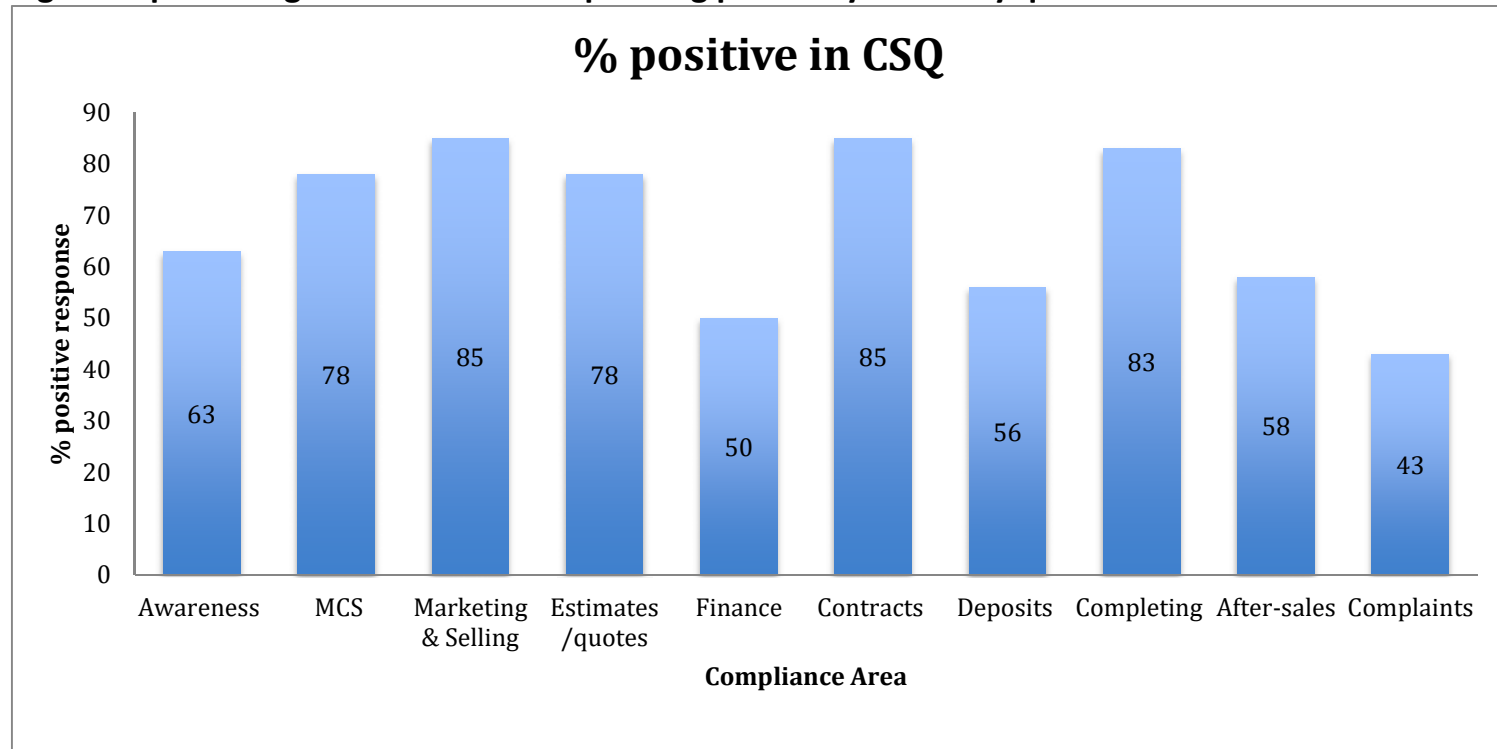


Figure 2: % of audited members compliant on each Compliance Area at audit

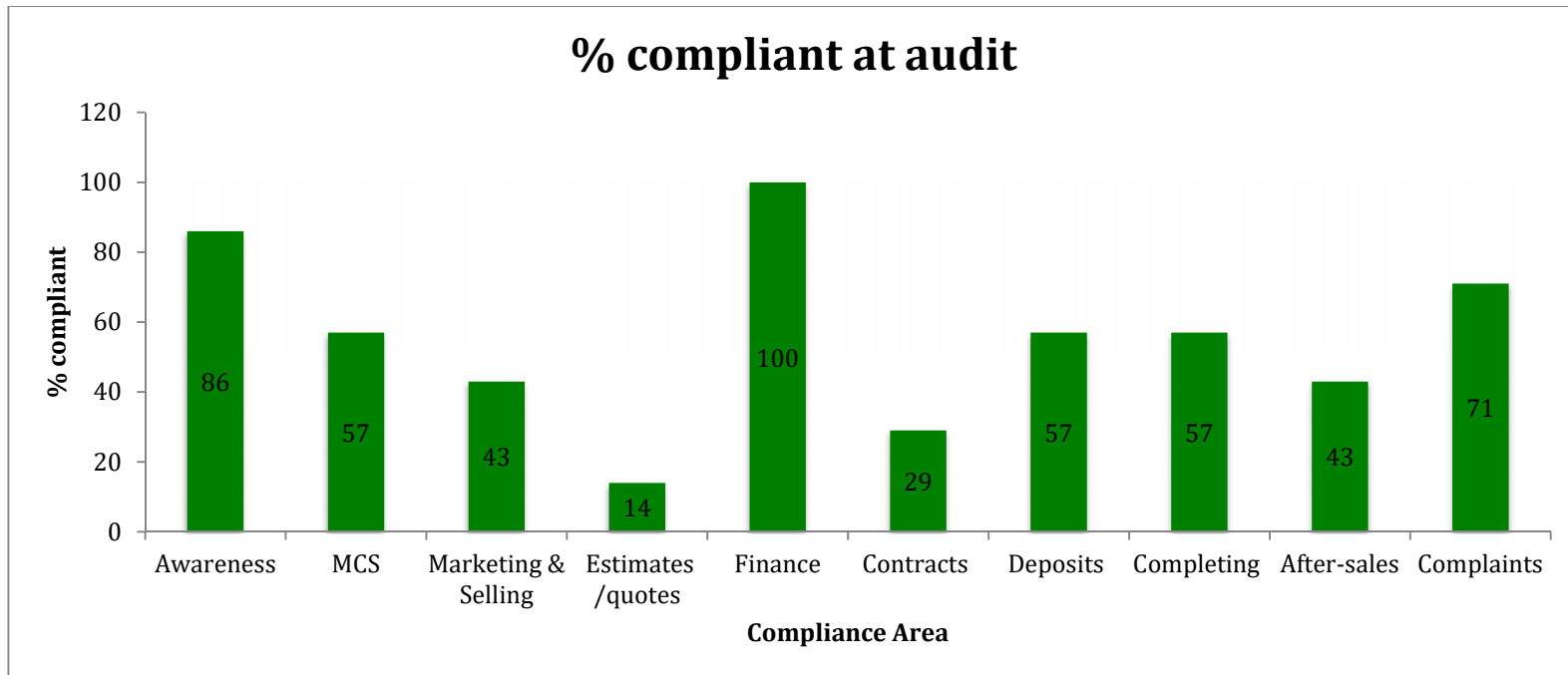
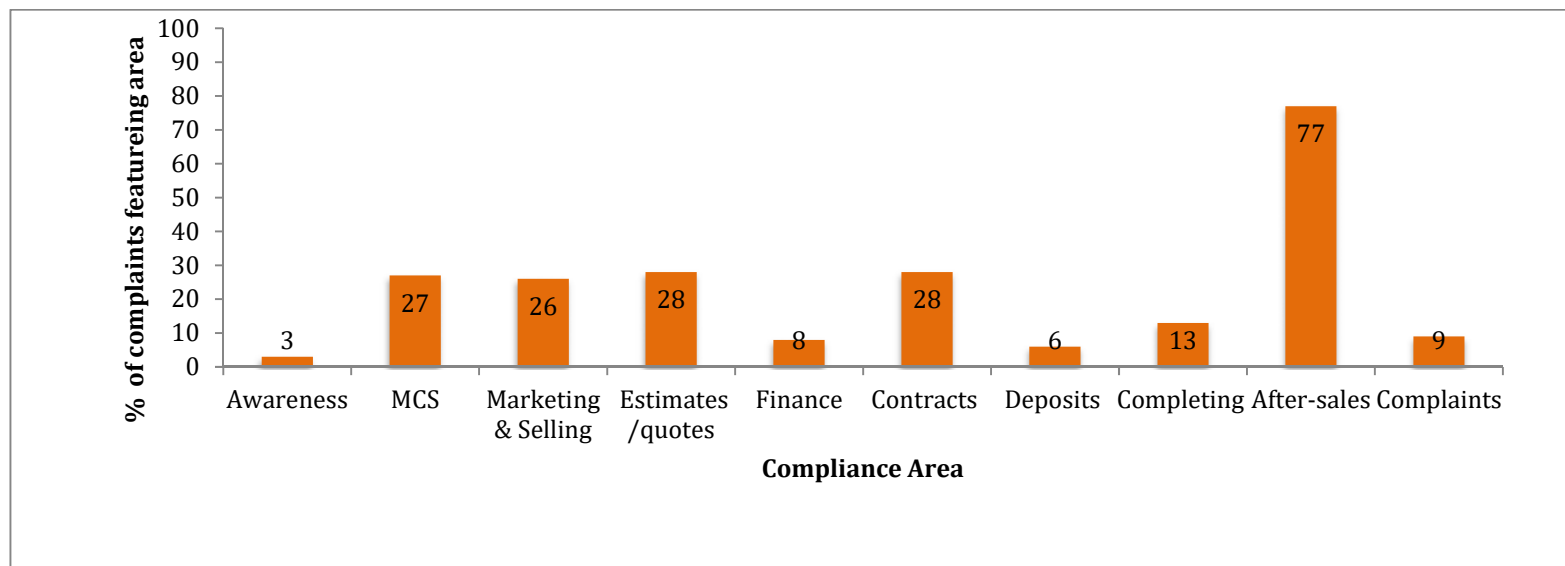


Figure 3: % of disputes registered in which Compliance area featured



The Annual Report provides more detailed commentary on each of these planks of the monitoring programme (see pp 13-14, 11-12 and 18-25, respectively). Highlighted points include:

- overall the majority of consumers who provided feedback were positive about their experience with RECC members, with nearly six in ten (57%) rating their overall experience as 4/5 or 5/5, indicating they were satisfied or very satisfied; a similar proportion (59%) rated the quality of work 4/5 or 5/5; and 62 per cent were satisfied or very satisfied with customer service.
- the most frequent area of non-compliance found at audits was in estimates/quotes, followed by contracts and cancellation rights;

- after-sales (guarantees, workmanship warranties and warranty protection, after-sales support and customer service) was the most frequently-featured Compliance Area in disputes.

As the Annual Report outlines, RECC has used these results to steer its work in producing model documents, running webinars and providing training, as well as in providing the focus of its compliance activities.

The following section brings together all the performance measures from the monitoring programme under each of the 10 Compliance Areas.

Performance measures

Table 1 provides the 10 Key Compliance Areas with all associated performance measures against which RECC undertook to report. The areas are shaded to show their relative priority – the darker the shade, the higher the priority.

Table 1: Performance by Compliance Area

<i>CA1: Awareness of consumer protection / RECC (including staff training)</i>
<ul style="list-style-type: none"> • 63% of CSQ respondents said they had been made aware of RECC • 86% overall audit compliance in this area • 100% of members at audit providing consumer leaflet with quotes • 14% of members at audit with link to RECC on their website • 26 (3%) disputes registered featuring a CA1 issue • Members completed 108 exams on RECC’s online training
<i>CA2: Microgeneration Certification Scheme (MCS)</i>
<ul style="list-style-type: none"> • 78% of CSQ responders indicating receipt of MCS handover documents within 10 days • 57% overall audit compliance on this area • 100% of members at audit who are MCS-certified for the relevant technologies

- 209 (27%) disputes registered featuring a CA2 issue
- 23% of complaints predominantly or partly about technical issues, which are referred on to MCS Certification Bodies (CBs)

CA3: Marketing and selling

- More than six in ten (62%) rated the company 4/5 or 5/5 on how the system was sold to them
- 43% overall audit compliance on this area
- 202 (26%) disputes registered featuring marketing and selling

CA4: Estimates/quotes, particularly performance estimates and financial incentive

- 78% of CSQ responders indicating the performance of the system as well as what this meant in financial terms were explained clearly to them
- 14% overall audit compliance in this area
- 222 (28%) disputes registered featuring estimates etc

CA5: Finance agreements: overall audit compliance

- 5% of CSQ responders indicating that they took finance, 50% of whom consider they were given adequate information and documentation
- 29% of the members audited indicated they are offering finance. Of these, 100% were found to be compliant.
- 45 (8%) disputes registered featuring finance agreements with members

CA6: Contracts and cancellation rights

- 85% of CSQ responders indicating no concerns about the contract they signed

- 73% of CSQ responders said they were made aware of the cancellation period
- 29% overall audit compliance in this area
- 216 (28%) disputes registered featuring contractual issues and/or cancellation rights

CA7: Taking and protection of deposits and advanced payments

- 65% of CSQ respondents indicating they paid a deposit, of which 56% said they'd received an insurance policy protecting it
- 57% overall audit compliance in this area
- 71% of members who indicated at audit that they take deposits provided evidence of deposit insurance in place at audit; of those that did not, 50% subsequently provided evidence and the remaining 50% were being followed up by RECC
- 46 (6%) disputes registered featuring deposit issues

CA8: Completing the installation

- 60% of consumers completing CSQ questionnaires were satisfied or very satisfied with the quality of work
- 83% of CSQ responders said their system was delivered and installed on time
- 57% overall audit compliance in this area
- 101 (13%) disputes registered featuring issues relating to completing the installation

CA9: After –sales (guarantees, workmanship warranties and warranty protection, after sales support: customer service)

- 75% of CSQ respondents indicating they were provided with at least a 2-year workmanship warranty
- 58% of CSQ respondents indicating they received an insurance policy for the warranty
- 43% overall audit compliance in this area
- 604 (77%) disputes registered featuring after-sales issues

CA10: Disputes numbers, handling, procedures

- 43% of CSQ respondents indicating they were made aware of a dispute resolution procedure
- 30% of CSQ respondents indicating they made a complaint to the member; of these, 8% were satisfied with its handling
- 71% overall audit compliance in this area
- 67 (9%) disputes registered featuring issues relating to complaints to members
- 780 disputes registered by RECC, of which:

- 179 within RECC's remit
- 61 feedback about members
- 261 feedback about non-members
- 181 referred onwards

- number of disputes received by issue – in order of CA

- CA1: 26
- CA2: 209
- CA3: 202
- CA4: 222
- CA5: 45
- CA6: 216
- CA7: 46
- CA8: 101
- CA9: 604
- CA10: 67

- 52 (49%) of in-remit disputes resolved in 2016 were resolved by RECC dispute resolution case workers (see Table 3 below).

Table 2: Disputes registered with RECC by technology and as % of all domestic installations of that technology

Technology	Percentage	Disputes registered with RECC	Total domestic installations
ASHP	2.1	115	5538
Biomass	9.1	56	617
GSHP	2.5	29	1141
Solar PV	2.3	484	21325
Solar thermal	5.3	37	703

Table 3: Elements of dispute resolution brokered by RECC case workers

Elements of resolution brokered by RECC*	Number ¹
Total resolutions by RECC	52
Of which:	
o refunds	22
o compensation/price reduction	16
o goodwill gesture	1
o cancellation of contract and/or amendment	6
o removal of system/repair/remedy problem	14
o fulfilled terms of agreement	2
o provision of documentation	2

**Resolving disputes may involve more than one element, hence the total number of elements of resolution is greater than the total number of resolved disputes.*

¹ In a further 3 cases, the company assisted the consumer in obtaining a higher tariff (1), the member did not pursue the matter further (1) or the settlement between the parties is unknown (1).
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Table 4: Average length of time taken for RECC case-workers to resolve disputes

<ul style="list-style-type: none">• 8 weeks was the average length of time taken by RECC case workers from start of formal mediation to resolve disputes
<ul style="list-style-type: none">• 53 (51%) of in-remit disputes resolved in 2017 were resolved by means of independent arbitration