

## Schedule 5 and Schedule 6 Information for ADR Bodies

The Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015, require you to supply the competent authority (Chartered Trading Standards Institute) with your Schedule 5 (annual) and Schedule 6 (biennial) reports when they are due.

The Schedule 5 report must be supplied every year (including when you also supply your biennial report) and must be made available on your website as per the legislation. The Schedule 5 report must be supplied to the competent authority and uploaded onto the website within a month of the anniversary of your date of approval as an approved ADR body.

The Schedule 6 report must be supplied biennially and is not required to be available on your website, only sent to the competent authority. The years that you supply the biennial report, you still must supply an annual report in addition. The Schedule 6 report must be supplied to the competent authority within a month of the anniversary of your approval date. The information (data) (as per section 11.3 of the legislation) is to cover the whole (totals) of the 2-year reporting period.

All details of what must be included in the reports can be found below.

This is the minimum data required for reporting, but any other or extra data supplied would be much appreciated for further insight.

As of 1<sup>st</sup> January 2021, there have been several amendments made to the legislation due to Brexit. It is no longer a requirement of the legislation to handle cross-border disputes and report on these disputes. However, if you continue to handle cross-border disputes, we would ask that you supply any information in relation to these cases.

Additionally, if your ADR scheme's outcome is binding on either party, please provide us with the percentage of whether the outcome was ruled in the consumer or trader's favour at the end of the Schedule 5 and Schedule 6 report.

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## Schedule 5 - HIES – 1<sup>st</sup> August 2021 to 31<sup>st</sup> July 2022

Information to be included in an ADR entity's annual activity report

(a) the number of domestic disputes the ADR entity has received.

*(This is the total number including enquiries received, cases handled, and disputes rejected)*

No. enquiries received (domestic)	No. enquiries received (Cross-border)	No. disputes received (domestic)	No. disputes received (Cross-border)	No. disputes accepted (continued to case) (domestic)	No. disputes accepted (Continued to case) (Cross-border)
615	0	492 (Disputes can be received from consumers multiple times)	0	492	0

(b) the types of complaints to which the domestic disputes and cross-border disputes relate;  
*(please state as many different types as required)*

Types of disputes:

- Cancellation and Refunds 60- 12.2%
- Certification 25 – 5.1%
- Compensation 44 – 8.94%
- Customer Service 40 – 8.13%
- Failed Appointments 7 – 1.42%
- Finance 4 – 0.81%
- Fit / RHI 10 – 2.03%
- Generation 10 – 2.03%
- Incomplete Installation 17 – 3.45%
- Mis selling 32 – 6.5%
- Performance 39 – 7.91%
- Product 119 – 24.2%
- Workmanship 85 – 17.28%

- (c) a description of any systematic or significant problems that occur frequently and lead to disputes between consumers and traders of which the ADR entity has become aware due to its operations as an ADR entity.

Product faults is still the main reason for complaints into the Schemes. As it's the products there isn't much that the Schemes can do with this, all are generally covered under warranty. In addition with the rise in energy prices / Covid all the Schemes have seen an increase in installations however this brings its own problems as there are significant backlogs in supply.

With regards to workmanship, we have implemented an inspection regime for members who we receive frequent complaints regarding their workmanship. We then work with the member to help improve their processes to ensure the installation quality is enhanced. In addition we have monthly meetings with Certification Bodies like Napit and NICEIC to discuss common themes.

- (d) any recommendations the ADR entity may have as to how the problems referred to in paragraph (c) could be avoided or resolved in future, to raise traders' standards and to facilitate the exchange of information and best practices.

*(Please provide as much information as possible)*

HIES is in regular contact with the installers, listening to what their issues are trying to get to the root of the problem. We now have a network of sub-contractors to assist with demand that we can share with installers. We are currently in the process of updating our processes so that all installers are using the same approved paperwork, contracts, complaint procedures etc which we know will cut complaints as the processes will be crystal clear and not open to interpretation. In addition, we actively encourage our installers to call the Schemes to discuss issues with customers so that complaints can be resolved without the need for mediation.

- (e) the number of disputes which the ADR entity has refused to deal with, and the percentage share of the grounds set in paragraph 13 of Schedule 3 on which the ADR entity has declined to consider such disputes.

*(please provide a breakdown of reasons and a total number)*

Total no. of disputes rejected	0
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Reason	No. rejected	Percentage of rejected
a) the consumer has not attempted to contact the trader first	0	
b) the dispute was frivolous or vexatious	0	
c) the dispute had been previously considered by another ADR body or the court	0	
d) the value fell below the monetary value	0	
e) the consumer did not submit the disputes within the time period specified	0	
f) dealing with the dispute would have impaired the operation of the ADR body	0	



g) other (enquired too early, not yet complained to trader, trader not member, advice call etc...	0	
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- (f) the percentage of alternative dispute resolution procedures which were discontinued for operational reasons and, if known, the reasons for discontinuation.  
*(Please provide as many reasons as required)*

	No. discontinued	Percentage of discontinued
Discontinued for operational reasons	0	0

Reasons for discontinuation:

- (g) the average time taken to resolve domestic disputes and cross-border disputes.  
*(Please provide the average time from receipt of complaint to closure, AND the average time from complete complaint file to closure)*

	Domestic	Cross-border
Average time taken to resolve disputes (from receipt of complaint)	4 days (1 <sup>st</sup> Stage days 1-8)	
Average time taken to resolve disputes (from 'complete complaint file')	19 days (2 <sup>nd</sup> Stage)	

Total average time taken to resolve disputes	7 days
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- (h) the rate of compliance, if known, with the outcomes the alternative dispute resolution procedures (amongst your members, or those you provide ADR for)  
*(this is the number of traders who complied with the proposed outcome. Please provide a percentage)*

We do not measure or monitor this; consumers would come back if the agreement already made was not adhered to. This very rarely happens.

***(i) This point has been removed in amendments on 1 January 2021***

Please add any additional information or data you think might be useful or interesting at the bottom of this report.

*(Any extra data provided is useful)*

## Schedule 6 HIES – 1<sup>st</sup> August 2020 to 31<sup>st</sup> July 2022

Information which an ADR entity must communicate to relevant competent authority every two years

(a) the number of disputes received by the ADR entity and the types of complaints to which the disputes relate.

*(This is the total number including enquiries received, cases handled and disputes rejected with the subject of the dispute)*

No. enquiries received (domestic)	No. enquiries received (cross-border)	No. disputes received (domestic)	No. disputes received (cross-border)	No. disputes accepted (domestic)	No. disputes accepted (cross-border)
1103	0	869 (Disputes can be received from consumers multiple times)	0	869	0

Types of disputes:

- Cancellation and Refunds 71- 8.17%
- Certification 27 – 3.10%
- Compensation 60 – 6.90%
- Customer Service 95 – 10.93%
- Failed Appointments 9 – 1.04%
- Finance 11 – 1.27%
- Fit / RHI 13 – 1.50%
- Generation 16 – 1.84%
- Incomplete Installation 21 – 2.42%
- Mis selling 69 – 7.94%
- Performance 85 – 9.78%
- Product 251 – 28.9%
- Workmanship 141 – 16.21%

(b) the percentage share of alternative dispute resolution procedures which were discontinued before an outcome was reached.

*(% which were discontinued and reasons)*

Reason	No. disputes discontinued	Percentage discontinued
Rejected for operational reasons		
a) the consumer has not attempted to contact the trader first		
b) the dispute was frivolous or vexatious	2	0.31%
c) the dispute had been previously considered by another ADR body or the court		
d) the value fell below the monetary value		
e) the consumer did not submit the disputes within the time period specified		
f) dealing with the dispute would have impaired the operation of the ADR body		
Case withdrawn by consumer		
Case withdrawn by trader		
Solution reached without ADR		
The trader was not a member of the ADR scheme (if this is a requirement)		

- (c) the average time taken to resolve the disputes which the ADR entity has received;  
*(Please provide the average time from receipt of complaint to closure, AND the average time from complete complaint file to closure)*

	Domestic	Cross-border
Average time taken to resolve disputes (from receipt of complaint)	3 days (1 <sup>st</sup> Stage days 1-8)	
Average time taken to resolve disputes (from 'complete complaint file')	19 days (2 <sup>nd</sup> Stage)	

Total average time taken to resolve disputes	8 days
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- (d) the rate of compliance, if known, with the outcomes of its alternative dispute resolution procedures.  
*(This is the number of traders who complied with the proposed outcome. Please provide a percentage)*

We do not measure or monitor this, consumers would come back if the agreement already made was not adhered to. This very rarely happens

- (e) any recommendations the ADR entity may have as to how any systematic or significant problems that occur frequently and lead to disputes between consumers and traders could be avoided or resolved in future;  
*(please provide a description)*

HIES is in regular contact with the installers, listening to what their issues are trying to get to the root of the problem. We now have a network of sub-contractors to assist



with demand that we can share with installers. We are currently in the process of updating our processes so that all installers are using the same approved paperwork, contracts, complaint procedures etc which we know will cut complaints as the processes will be crystal clear and not open to interpretation. In addition, we actively encourage our installers to call the Schemes to discuss issues with customers so that complaints can be resolved without the need for mediation.

**(f) This point has been removed in amendments on 1 January 2021**

(g) where the ADR entity provided training to its ADR officials, details of the training it provides;

*(Please provide a list of all training undertaken by ADR officials over the past 2 years)*

Cathryn Wolfenden

18/3/2021	Green Home Grants Skills Training	ASHP / MCS and Trustmark Accreditation
15/6/2021	Consumer Rights Act 2015	The Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013.
30/11/2021	BEIS	RHI and BUS Scheme
21/1/2022	BEIS	BUS Scheme
10/3/2022	Masterclass ASHP	Looked at how design can affect the systems
8/4/2022	Vulnerability Training	Looking at how to spot this in all different walks of life and how to approach it

Tracy Gregson – Started in the business October 2021

October 2021 to present – on the job training with C Wolfenden
22/4/2022 – ASHP Noise assessments
8/4/2022 – Vulnerability training
23/6/2022 – Off site ASHP training
25/11/2022 – Hybrid heat pumps

(h) an assessment the effectiveness of an alternative dispute resolution procedure offered by the ADR entity and of possible ways of improving its performance.

*(Please provide as much information as possible)*

- Monitoring of the correct resource to meet ADR demand reviewed monthly.
- Investment in new Sales Force CRM system with Bespoke ADR module – This will improve reporting and analytics.



- Analysis of complaint data monthly to identify trends across the Schemes and secondary analysis to identify highest impacting members both on complaints reported and percentage to installations.

Please add any additional information or data you think might be useful or interesting at the bottom of this report. *(any extra data provided is useful)*