



TRUSTMARK
Government Endorsed Quality

V1.0

TrustMark Licence Plus Scheme Provider Guidance for Extension to Scope, Application and Audit





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01

Background

The Licence Plus Scheme provides a transitional adoption of a 'whole house / fabric-first' approach for tradespersons improving domestic properties within the energy efficiency sector. It has been designed with the aim of helping build the much-needed supply chains by supporting the increased engagement of competent tradespersons in facilitating the drive for achieving the UKs 'net zero' targets. As the Licence Plus Scheme develops, TrustMark's ambition is to open the Scheme into the wider trade areas that are supported.

For the Licence Plus Scheme, we are adopting the property assessment principle in using the Reduced Data Standard Assessment Procedure (RdSAP) process to produce an Energy Performance Certificate (EPC); identifying the staged improvements that can be incorporated into the homeowner's project to create a plan of future improvements.

This document provides guidance for TrustMark Licensed Scheme Providers, regarding the audit and assessment requirements of the Licence Plus Scheme.

For the requirements of participation, please see the TrustMark Licence Plus - Requirements for Scheme Providers and Registered Businesses document. For any further queries regarding the Licence Plus Scheme audit, please contact the TrustMark Compliance Team at compliance@trustmark.org.uk to discuss your needs.

For an overview of the Licence Plus Scheme, please see 'Licence Plus Overview' which is available on the TrustMark website - <https://www.trustmark.org.uk/the-licence-plus-scheme>



02

Licence Plus Extension to Scope

Scheme Providers are responsible for ensuring the competency of businesses delivering work under the Licence Plus Scheme and must have policies and processes to establish that all requirements, detailed within the relevant TrustMark Licence Plus documentation, are being met and maintained by their Licence Plus Registered Businesses.

New Scheme Providers will require a TrustMark Licence for the suitable trade scope(s) compatible with the available Licence Plus Scheme Energy Efficiency Measures (EEM) / trade activities (trade scope) before participating in the Licence Plus Scheme.

Applications and audits for both can occur together.

Existing Scheme Providers wishing to participate in the Licence Plus Scheme are required to be already licensed for the suitable trade codes. If a Scheme Provider's existing trade codes are not compatible with the available Licence Plus Scheme EEM trade codes, then application and audit for both can occur together.

Both applications use the TrustMark Framework Operating Requirement and Code of Conduct as the audit criteria, along with suitable checks as described within this document and other TrustMark Licence Plus documentation.

Once a Scheme Provider has the necessary pre-requisites, the Licence Plus Scheme has two delivery options, either of which will require evidence of the capability (application, audit process and reporting) to recruit and onboard Registered Businesses. The Licence Plus Scheme Requirements are a specific, additional set of criteria.

Option 1 - **TrustMark** conducts on-site audit of a business's capability.

see section 04

Option 2 - **Scheme Provider** conducts on-site audits of a business's capability.

see section 05

To begin the application for a Licence Plus trade code, please complete and return the application form - see Appendix 1 within Section 6.



03

Audit and Compliance

All relevant surveillance must be conducted in line with the Quality Assurance (QA) requirements of Licence Plus Scheme, as described within the TrustMark Quality Assurance document, available on the TrustMark website - <https://www.trustmark.org.uk/the-licence-plus-scheme>.

Scheme Providers must conduct regular audit of their Licence Plus businesses to ensure that they install EEM, or conduct other trade activities, in compliance with Building Regulations and industry best practice.

After a satisfactory initial audit, ongoing on-site surveillance will revert to TrustMark's Quality Assurance Programme.

In addition, TrustMark will conduct a desktop audit of works lodged into the Data Warehouse. Non-compliance will be communicated by TrustMark directly to the business, with support from the Scheme Provider. This data will be shared between the Scheme Provider and TrustMark in line with the Framework Operating Requirements and relevant Licence Plus Scheme documentation.



04

TrustMark On-Site Surveillance – Option 1

If a Scheme Provider chooses ‘Option 1’ as their delivery model then TrustMark will conduct on-site inspections in line with the QA requirements of Licence Plus, as described within the TrustMark Quality Assurance document.

An application to participate and adopt this model of QA will involve the Scheme Provider completing an extension to scope for the relevant trade codes, where TrustMark will conduct an audit upon those relevant areas of trade, as detailed below.

During Scheme Application for Scope

During the Scheme Provider application to extend their scope, sufficient evidence will need to be submitted to TrustMark to evidence the following, including but not necessarily limited to:

- Licence Plus Scheme specific processes and/or methodology, mapped to the Licence Plus Scheme requirements.
- Checks to ensure the Registered Business can provide suitable financial protection.
- Suitable technical resource for the application of the extended trade scope.
- How Scheme Providers determine if the business has the capacity to oversee a project, including how the business ensures that an assessment of each building is completed by a competent person, in line with the Licence Plus Scheme Requirements.
- How the Scheme Provider determines/aids the business with delivering whole house retrofit. This includes any relevant checks, where necessary, regarding the use of approved products, pre inspection checks design, and building suitability.
- Relevant competence checks.
Competence is evidenced by valid Gas Safe Registration (GSR), Microgeneration Certification Scheme (MCS) Certification, PAS 2030 Certification, or Competent Person Scheme (CPS) registration. However, if no sector competence is available, then the Schemes Provider will need to establish and evidence their own competence framework.
- Relevant surveillance and checks on GSR, MCS Certification, sector best practice, or the use of sub-contractors.
- How the Scheme Provider will use data from TrustMark to enhance their surveillance of a Registered Business.
- Where non-compliance is identified how effectively can schemes support remediation, in line with the TrustMark Framework Operating Requirement.
- How will the Scheme Provider administer removals and new additions to Licence Plus.



Ongoing Scheme Delivery

Escalated non-compliance will be reported to the Scheme Provider.

Once a Registered Business is conducting work through the Licence Plus Scheme, the Scheme Provider must hold open communication with TrustMark regarding their business.

Those communications will include, but is not necessarily limited to:

- Frequent data sharing of on-site surveillance findings.
- Frequent communication to discuss businesses.
- Routine meetings to discuss on-site surveillance and desktop findings.
- Sharing and support of improvement plans for businesses of higher risk.
- Sharing and support of any action plans for businesses of concern.
- Sanctions and evidence of appropriate actions, where necessary.
- Collaboration with other TrustMark Scheme Providers to ensure compliance.



05

Scheme Provider On-Site Surveillance – Option 2

If a Scheme Provider chooses 'option 2' as their delivery model, then the Scheme Provider is responsible for conducting on-site surveillance in line with the QA requirements of the Licence Plus Scheme, as described within the TrustMark Quality Assurance document.

An application to participate and adopt this model of QA will involve the Scheme Provider completing an extension to scope for the relevant trade codes, where TrustMark will conduct an audit upon the relevant areas of trade, and scheme surveillance, as detailed below.

During Scheme Application for Scope

During the Scheme Provider application to extend their scope, sufficient evidence will need to be submitted to TrustMark to evidence the following, but is not necessarily limited to:

- Licence Plus specific processes and/or methodology, mapped to the Licence Plus requirements.
- Checks to ensure the Registered Business can provide suitable financial protection.
- Suitable technical resource for the application of the extended trade scope.
- How Scheme Providers determine if the business has the capacity to oversee a project, including how the business ensures that an assessment of each building is completed by a competent person, in line with the Licence Plus Scheme Requirements.
- How Schemes support a business by delivering whole house retrofit. This includes any relevant checks, if necessary, regarding the use of approved products, design, and building suitability.
- Relevant competence checks. Competence is evidenced by valid Gas Safe Registration (GSR), Microgeneration Certification Scheme (MCS) Certification, PAS 2030 Certification, or Competent Person Scheme (CPS) registration. However, if no sector competence is available, then the Schemes Provider will need to establish and evidence their own competence framework.
- Relevant surveillance and regular checks on Gas Safe Registration, MCS Certification, sector best practice, or the use of sub-contractors.
- How the Scheme Provider will use data from TrustMark to enhance their surveillance of a Registered Business.
- Where non-compliant, how effectively can schemes bring about rapid remediation, in line with the TrustMark Framework Operating Requirement.
- How will the Scheme Provider administer removals and new additions to Licence Plus.
- How the Scheme Provider will conduct the initial surveillance to prove competence in line with Licence Plus requirements.
- How the Scheme Provider will conduct ongoing surveillance and manage costings and additional checks depending on risk.
- How the Scheme Provider will feedback data to TrustMark.



Ongoing Scheme Delivery

Where a Licence Plus businesses' non-compliance is identified by the Scheme Provider, they must enforce remediation work.

Once a Registered Business is conducting work through Licence Plus, the scheme must hold open communication with TrustMark regarding their business. The following must be met, but is not limited to:

- Frequent data sharing of on-site surveillance findings to TrustMark.
- Frequent communication to discuss businesses.
- Routine meetings to discuss on-site surveillance and desktop findings.
- Sharing and support of improvement plans for businesses of higher risk.
- Sharing and support of any action plans for businesses of concern.
- Sanctions and evidence of appropriate actions, where necessary.
- Collaboration with other TrustMark Scheme Providers to ensure compliance.



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Application Form for Extension to Scope

A Scheme Provider, or applicant organisation, who wish to deliver the Licence Plus Scheme will have an introductory meeting with the TrustMark Compliance Team to discuss in detail what is needed to meet the requirements of the Licence Plus Scheme to support their application.

For applicant organisations, our core documents, the Framework Operating Requirements, Code of Conduct and Customer Charter can be found here:

<https://www.trustmark.org.uk/aboutus/useful-links>

The requirements of the Licence Plus Scheme, including additional information, can be found on our dedicated webpage: <https://www.trustmark.org.uk/the-licence-plus-scheme>

When completing an application, the audit criteria detailed in this document must be used, when deciding on the preferred delivery model.

Option 1 – TrustMark Conducts Onsite Audits of Registered Businesses

Option 2 – Scheme Provider Conducts Onsite Audits of Registered Businesses



Appendix 1 - TrustMark Extension to Scope Application Form

Please select your preferred delivery model:

Licence Plus Extension to Scope Application - Please indicate your preferred option with 'Y'	
OPTION 1 Scheme Provider Holds Compatible Scope <u>TrustMark</u> Conducts Onsite & Quality Assurance Functions	
OPTION 2 Scheme Provider Holds Compatible Scope <u>Scheme Provider</u> Conducts Onsite & Quality Assurance Functions	

Complete And Submit Licence Plus Extension to Scope and Supplementary Trade Scope Forms, available here: <https://www.trustmark.org.uk/the-licence-plus-scheme>

I apply on behalf of <Insert Organisation Name>

We will comply with the existing Framework Operating Requirements and have read and understood the additional requirements of the Licence Plus Scheme.
Signature:
Print Name:
Position:
Contact Details
Date:

TrustMark Internal Use Only
Date of Audit:
Auditor:
Position:
Signature



Ensuring that property and home improvement
businesses deliver quality services with
effective protection for consumers



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