

# Energy Companies Obligation (ECO): Monitoring Regime for Householder Status

## Guidance

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### Overview:

This document sets out our requirements for implementing a monitoring regime to evidence householder status under the Energy Companies Obligation (ECO).

Evidence of householder eligibility is a requirement for the Home Heating Cost Reduction Obligation (HHCRO) and a monitoring regime is one of two ways in which suppliers can choose to meet this requirement. The other is audit.

ECO is a government energy efficiency scheme which places obligations on larger energy suppliers to deliver energy efficiency measures at domestic premises. ECO operates alongside the Green Deal.

If you have any queries, please send them to: [eco@ofgem.gov.uk](mailto:eco@ofgem.gov.uk).

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# 1. Monitoring Regime for Householders

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## Introduction

- 1.1. For a measure to be credited towards HHCRO, it must be delivered to a householder. As explained in paragraph 7.20 of the *Energy Companies Obligation (ECO): Guidance for Suppliers (version 1.1a)* (Guidance)<sup>1</sup>, a supplier must satisfy us that the person receiving the measure is a householder. A supplier can do this through:
  - a. an audit regime, developed and delivered by us; or
  - b. a monitoring regime, delivered by suppliers.
- 1.2. This document outlines our requirements for how to implement a householder monitoring regime. Please read in conjunction with the checklist for its jurisdiction (England, Wales or Scotland), which are available in Annexes 2, 3 and 4.
- 1.3. The term householder is defined in Schedule 2 of the Electricity and Gas (Energy Companies Obligation) Order 2012 (Order)<sup>2</sup> and relates to the nature of a person's right to occupy the premises. Householder is defined differently for England, Wales and Scotland<sup>3</sup>.
- 1.4. As outlined in Chapter 7 of the Guidance, there are different categories of householder. This regime and associated checklists are primarily intended for leaseholder, freeholder and tenant categories. A supplier may wish to use a monitoring regime for the remaining categories of householder for England and Wales<sup>4</sup> or Scotland<sup>5</sup>. In this case, the supplier should contact us with documentation that demonstrates that a person is in a particular category of householder.

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<sup>1</sup> <https://www.ofgem.gov.uk/ofgem-publications/87527/energycompaniesobligationecoguidanceforsuppliersversion11a.pdf>

<sup>2</sup> A full copy of the Order can be found at: <http://www.legislation.gov.uk/uksi/2012/3018/contents/made>.

<sup>3</sup> As noted below, we have provided separate checklists for each jurisdiction.

<sup>4</sup> Which include: a holder of a licence to occupy, where the licence is for occupancy in 'an almshouse' that is maintained by a charity; and a holder of an assured agricultural occupancy under Part IV of the Housing Act 1988.

<sup>5</sup> Which include: a tenant (including a sub-tenant) who occupies the domestic premises under the term of the person's contract of employment; a tenant (including a sub-tenant) who occupies the domestic premises under a licence to occupy; and a tenant (included a sub-tenant) who occupies the domestic premises as a cottar (within the meaning of section 12(5) of the Crofters (Scotland) Act.

- 1.5. Suppliers who decide to use a monitoring regime must contact us before implementing the regime to ensure all the requirements are met. This will include proposed timelines and categories of measures which will be subject to monitoring (see paragraph 1.10). We will try to approve timelines and chosen categories in a timely manner.
- 1.6. If an installer is unsure whether a supplier has a monitoring regime in place, or any aspect of the monitoring regime or checklist, it should contact the supplier directly.

## How to monitor

### Independence and competence of monitoring agents

- 1.7. Suppliers must be satisfied that monitoring is done by an agent who is independent from the supplier, installer, or any other party involved in installing the measure (the monitoring agent). Suppliers are responsible for the quality of the monitoring and accuracy of the results.
- 1.8. The contract between a supplier and a monitoring agent must not provide for 'payment by results'. In other words, payment for the services of the monitoring agent must not depend on whether monitoring of a particular measure results in a 'pass' or 'fail'. The relevant sections of the contract evidencing this should be made available to us upon request.

### Timing of monitoring

- 1.9. Monitoring must take place after the measure is completed. This can occur on the same day as completion<sup>6</sup>. This can be before or after the measure is notified to us. Monitoring may also be completed at the same time as monitoring of Affordable Warmth Group status, or technical monitoring (providing the requirements for each regime are met).

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<sup>6</sup> See chapter 9 of the Guidance for further information on completion of a measure.

## Defining what must be monitored

- 1.10. If a supplier is planning to use a monitoring regime it must clearly define the time period and category of measures it will monitor. These categories of measures must be identifiable as fields detailed in the ECO Notification Data Dictionary<sup>7</sup>.
- 1.11. For example, categories which may be used include:
  - a. Measure type (eg Qualifying Boiler)
  - b. Delivery route (eg measures not bought through brokerage)
  - c. Tenure
  - d. Postcode (the first one or two letters of the postcode, eg L or SW).
- 1.12. Per quarter, suppliers may choose one or more categories to include in a monitoring regime. Once the supplier has selected categories for a particular quarter, it cannot then change to an audit regime during that same quarter.

## Defining the monitoring sample

- 1.13. Before monitoring begins, a supplier must submit to the ECO inbox ([eco@ofgem.gov.uk](mailto:eco@ofgem.gov.uk)) a list of all HHCRO measures which will be subject to a monitoring regime in a defined period (see paragraph 1.9).
  - 1.14. This list of measures can be sent to us in batches throughout the period, but the sum of these lists must include all HHCRO measures elected for monitoring in that period.
  - 1.15. Each batch of measures received by us must be monitored at an initial rate which is statistically significant<sup>8</sup>, or five per cent (whichever is lower) after the exclusion of 'no responses' and 'unable to monitor' (see paragraph 1.30 for more information on dealing with instances of no response and paragraph 1.32 for instances of unable to monitor). The measures chosen for monitoring make up the 'monitoring sample'.
  - 1.16. We will sort the list of measures received from suppliers by postcode, or other criteria identified by us, and indicate which measure is the starting point for
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<sup>7</sup> The ECO Notification Data Dictionary is available on our website at:

<https://www.ofgem.gov.uk/publications-and-updates/eco-notification-data-dictionary-v1.2>

<sup>8</sup> For information on calculating a significant sample refer to Annex 1.

the monitoring sample. Monitoring must be conducted on each measure that follows the starting point, until the correct sample size of measures is monitored. A monitoring agent must not 'skip' a measure in a list. In other words, the agent must record a pass, fail, no response or unable to monitor against each measure in the list – until the required sample size is monitored.

- 1.17. If any measures on the lists provided to monitoring agents are 'skipped' (ie do not have a pass, fail, no response or unable to monitor recorded against them) then we may determine that the monitoring regime has been inadequately conducted (see paragraph 1.43 below).

### The monitoring checklists

- 1.18. We have developed checklists to assist with monitoring householder eligibility. There are separate checklists for England, Wales and Scotland.
- 1.19. Suppliers must use the checklists prepared by us, unless we have confirmed that a supplier may do otherwise. Suppliers may adapt the format of the checklists to match their own systems, as long as the content is not changed.
- 1.20. We may ask for the completed checklists to be sent to us for the purposes of audit at any time before the end of 31 January 2016<sup>9</sup>.
- 1.21. The checklists are the basis of the monitoring report, for all monitoring done in each quarter. The monitoring report will cover the full sample of measures monitored and should contain details of:
- a. The name and company of the monitoring agent
  - b. The supplier and installer responsible for installing the measure
  - c. The date of completion of the measure
  - d. The date of monitoring
  - e. The postcode for each measure monitored
  - f. The measure reference number and measure type
  - g. The number and percentage of passes and failures found, by measure
  - h. Reasons for all failures, by measure

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<sup>9</sup> Refer to Appendix 1 of the Guidance.

- i. Any other relevant information requested by us.
- 1.22. The summary report should provide a list of 'no responses' by measure, the reasons for all 'no responses' by measure and the total number of 'no responses'. It should also provide the same information for measures in the category 'unable to monitor'.

### What constitutes a pass?

- 1.23. Householder status may be demonstrated in one of two ways: by seeing documents provided by the householder (such as a copy of the tenancy agreement), or through a desk-based exercise (eg conducting a search of relevant registers to confirm the landlord is not listed). The documents to see and relevant registers for each category of householder are included in the checklists.
- 1.24. Where a monitoring agent either sees the documents or, in the case of an excluded tenant, confirms the landlord is not listed on a relevant register (as shown in the checklist) then the measure should be recorded as a pass.
- 1.25. In any case where a monitoring agent sees documents other than those in the checklist which the agent believes evidence householder, then the agent may contact us to obtain our agreement that the documents are sufficient evidence. The measure will then be recorded in the checklist as a pass. If this is the case, a supplier must be able to provide us with written evidence of our agreement.

### What constitutes a failure?

- 1.26. Where the monitoring agent is unable to see documents to verify that a person is a householder<sup>10</sup> or, in the case of an excluded tenant, confirms the landlord is listed on a relevant register (as detailed in the checklist), the measure must be recorded on the checklist as a fail. This includes cases where the monitoring agent is unable to see documents because:
- a. The consumer is unwilling or unable to produce relevant documents
  - b. The consumer has refused to agree to a monitoring visit.

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<sup>10</sup> For a list of documents that evidence householder please refer to Appendix 1 of the Guidance.

- 1.27. In the case of excluded tenants, if the monitoring agent confirms that the landlord is listed on one of the registers identified in the checklist, this will constitute a fail.
- 1.28. Where a measure is recorded as a fail and notified to us, we will ask the supplier to provide other evidence of householder status. If the supplier is unable to provide information that satisfies us that a measure was delivered to a householder, we will be unable to determine that the measure is a qualifying action under HHCRO and will not attribute cost savings to that measure.
- 1.29. Where monitoring results show that a particular percentage of the measures within a monitoring sample produce a fail (as defined in paragraph 1.26) then the supplier will be required to do more monitoring (as described in paragraphs 1.36 to 1.41).

### Dealing with no responses

- 1.30. A 'no response' should be recorded where there is no response from the householder to any attempted communication from the monitoring agent.
- 1.31. 'No responses' do not form part of the monitoring sample. However, as noted above, all instances of 'no responses' must be reported to us by the monitoring agent.

### Unable to Monitor

- 1.32. This monitoring regime and the associated checklists are primarily designed for the categories of householder which relate to leaseholder, freeholder and tenant. Where in the course of monitoring, the monitoring agent discovers a householder who belongs to one of the categories of householder not included in the checklist (such as a holder of an agricultural lease or a cottar), it should record 'unable to monitor'.
- 1.33. These will not form part of the monitoring sample. However, all instances of 'unable to monitor' must be reported to us by the monitoring agent.

### Interaction with householders

- 1.34. To reduce the risk of failure, we suggest that suppliers inform the householder at the time of installation that monitoring may take place at a later date, when an independent monitoring agent will need to see documents which demonstrate eligibility.



## Monitoring results

### Monitoring reports

- 1.35. We require the results of monitoring to be reported to us on a quarterly basis, from the start date of monitoring as agreed with us (see paragraph 1.5). The monitoring reports should be submitted to us within one month of the end of each quarter.

### Fail rates

- 1.36. If the number of failures in a quarter does not exceed five per cent of the monitoring sample (the failure threshold) then no extra monitoring will be needed for the HHCRO measures completed in that quarter.
- 1.37. If the failure rate exceeds the five per cent failure threshold, additional monitoring must be done on the measures completed in that quarter. This additional monitoring will initially mean the sample size to be monitored must increase to ten per cent of the total of measures for that quarter.
- 1.38. If failures continue to exceed the five per cent failure threshold, the monitoring sample must be increased in ten per cent increments to a maximum of 100 per cent for that quarter.
- 1.39. Suppliers should only provide a single report with the single failure rate for each quarter. They do not need to disaggregate the failure rates for each increment monitored.
- 1.40. Any escalation in monitoring rates during a quarter does not carry over into the next quarter. Each monitoring quarter must be sampled at an initial rate which is statistically significant<sup>11</sup>, or five per cent (whichever is lower), after the exclusion of 'no responses' and responses of 'unable to monitor'.
- 1.41. If monitoring results indicate what we think are significant rates of failure against measures with a particular characteristic (eg measures delivered within a particular area or by a particular installer), we may require additional monitoring of those measures – even though the overall rate of failure for the monitoring sample may be less than five per cent.

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<sup>11</sup> For information on calculating a significant sample refer to Annex 5.

## Auditing of monitoring processes

- 1.42. We may audit the processes, or conduct of, a householder monitoring regime. For the purpose of audit, a supplier must be able to produce any relevant documents (for example the checklists and contractual agreement between the supplier and monitoring agents). This audit will not require suppliers to produce copies of documents the checklist is based on (such as leasehold or tenancy agreements).
- 1.43. If we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of the results of monitoring then we may:
  - a. withdraw our agreement for the supplier to use a householder monitoring regime in the future
  - b. require further monitoring against any list of measures that were previously monitored (regardless of whether the earlier monitoring established a rate of failure of five per cent or more).
- 1.44. As noted above, no audit of documents the checklists are based on (for example, tenancy agreements) will be conducted.

## The Data Protection Act 1998

- 1.45. It is the responsibility of a supplier to ensure that its monitoring regime meets the requirements of the Data Protection Act 1998.

## 2. Documents for evidencing that a person is a householder

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### Introduction

This section details the relevant documentation which is eligible as evidence of householder status.

Documents must establish that the relevant person was a householder at some point during the course of promotion of the measure.

There may be cases where the relevant documents described here are not available. In such a case, before installing a measure, we may agree to accept other documents as evidence of householder status. In these instances, a supplier will need to produce the agreed document to Ofgem on request.

### Section A – General information

For more on the general information to be provided by the monitoring agent, please refer to Section A of the checklist in Appendix C.

### England and Wales

#### Section B – Freeholder

##### ***One of the following documents:***

- A Land Registry search on the property naming the occupier as the freeholder/owner. The search must be dated within 18 months before the date of completion of the measure; or
- A mortgage statement for the property naming the occupier as the mortgagor. The statement must be dated within 18 months before the date of completion of the measure.

Where the land is unregistered ONLY

1. A copy of the title deeds naming the occupier as the freeholder/owner.

***or***

2. A completed Ofgem template<sup>12</sup> which provides a declaration from a professional third party confirming he/she holds the Title Deeds for the property and those deeds name the occupier as the freeholder/owner.<sup>13</sup>

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<sup>12</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>13</sup> For example a solicitor, land conveyor, banker, accountant, mortgage lender.

**or**

3. A completed Ofgem template<sup>14</sup> which provides a declaration from a professional third party confirming that, following an investigation, the Title Deeds have been lost or destroyed, and he/she is satisfied that the occupier is the freeholder/owner.<sup>15</sup>

The statements must be dated within 18 months before the date of completion of the measure.

### **Section C – Leaseholder**

#### ***One of the following documents:***

- A Land Registry search on the property naming the occupier as the leaseholder. The search must be dated within 18 months before the date of completion of the measure.

**or**

- A mortgage statement for the property naming the occupier as the mortgagor. The statement must be dated within 18 months before the date of completion of the measure.

**or**

- Where the land is unregistered ONLY – a copy of the lease naming the occupier as the leaseholder.

### **Section D - Tenants**

#### ***One of the following documents:***

- An extract from a current written tenancy agreement. The extract must show:
  - Address of the property
  - Term of the tenancy
  - Name of the landlord and the tenant
  - Signatures of tenant and landlord.

The end of the tenancy must not be earlier than 18 months before the date of completion of the measure.

- If a written tenancy agreement between the landlord and the tenant has expired, a completed Ofgem template<sup>16</sup> signed by both landlord and tenant confirming the occupancy agreement. The statement must be dated within 18 months before the date of completing the measure.

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<sup>14</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>15</sup> For example a solicitor, land conveyer, banker, accountant, mortgage lender.

<sup>16</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

- If a written tenancy agreement between the landlord and the tenant has never existed, a completed Ofgem template<sup>17</sup> signed by both landlord and tenant confirming the occupancy agreement. The statement must be dated within 18 months before the date of completing the measure.

### **Occupancy of an almshouse**

#### ***A supplier will need to produce both of the following documents:***

- A copy of the licence to occupy, naming the occupier as the licensee. The end of the term of the licence must not be earlier than 18 months before the date of completion of the measure

***and***

- A copy of the constitution of the charity that operates the almshouse.

### **An assured agricultural tenancy**

#### ***The following document:***

- A supplier will need to produce the agreement that establishes the assured agricultural tenancy.

### **A protected tenancy**

#### ***The following document:***

- A supplier will need to produce the agreement that establishes the protected tenancy.

### **Section E - Excluded Tenant**

#### ***A supplier will need to search and record the following:***

- Name of Local Authority Landlord (England and Wales)
- Name of Arms Length Management Organisation (England only)
- Name of Registered Social Landlord (England and Wales)
- Name of Housing Association (for Agricultural Occupancies in Wales, the name of Housing Association is required only if the tenancy was created before 15 January 1989)
- Name of Housing Co-operative (England and Wales)
- Charity registration number (England) **or** the name of the Housing Trust which is a Charity (Wales).

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<sup>17</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

## Scotland

### Section B - Owner

#### ***One of the following documents:***

- A land registry search on the property naming the occupier as the owner. The search must be dated within 18 months before the date of completion of the measure.

***or***

- A mortgage statement for the property naming the occupier as the mortgagor. The statement must be dated within 18 months before the date of completion of the measure.

***or***

- Where the land is unregistered ONLY –

1. A copy of the title deeds naming the occupier as the owner;

or

2. A completed Ofgem template<sup>18</sup> which provides a declaration from a professional third party confirming he/she holds the Title Deeds for the property and those deeds name the occupier as the freeholder/owner.<sup>19</sup>

or

3. A completed Ofgem template which provides a declaration from a professional third party confirming that, following an investigation, the Title Deeds have been lost or destroyed and he/she is satisfied that the occupier is the freeholder/owner.<sup>20 21</sup>

The statements must be dated within 18 months before the date of completion of the measure.

### Section C – Tenant

#### ***One of the following documents:***

- An extract from a current written tenancy agreement, or written licence to occupy. The extract must show:
  - Address of the property

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<sup>18</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>19</sup> For example a solicitor, land conveyor, banker, accountant, mortgage lender.

<sup>20</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>21</sup> For example a solicitor, land conveyor, banker, accountant, mortgage lender.

- Term of the tenancy/licence to occupy
- Name of the landlord and the tenant/licensee
- Signatures of tenant/licensee and landlord.

The end of the tenancy/licence to occupy must not be earlier than 18 months before the date of completion of the measure.

- If a written tenancy agreement or licence to occupy has expired, a completed Ofgem template signed by both landlord and tenant/licensee. The statement must be dated within 18 months before the date of completing the measure.<sup>22</sup>
- If a written tenancy agreement or licence to occupy has never existed, a completed Ofgem template signed by both landlord and tenant/licensee. The statement must be dated within 18 months before the date of completion of the measure.<sup>23</sup>
- A contract of employment containing a term permitting the occupier to live in the premises.
- Where the occupier is occupying premises as a cottar, a statement of occupancy signed by both landlord and tenant/licensee. The statement must be dated within 18 months before the date of completion of the measure.<sup>24</sup>

## **Section D – Excluded Tenant**

### ***A supplier will need to search and record the following:***

- Name of Local Authority
- Name of registered social landlord and registration number.

## **All jurisdictions**

If the householder is a member of the AWG, documents demonstrating receipt of AWG benefits will normally be sufficient to evidence that the householder resides at the relevant domestic premises.

### **Householders who are not AWG members: documents that demonstrate the householder occupies the premises.**

If the householder is not a member of the AWG, a supplier will need to produce one of the following documents to demonstrate that the householder lives at the relevant domestic premises:

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<sup>22</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-unwritten-tenancy-agreements>

<sup>23</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-unwritten-tenancy-agreements>

<sup>24</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-unwritten-tenancy-agreements>

- Utility bill, phone bill or TV licence
- Council tax letter or letter from the council
- Mortgage statement or bank statement
- Extract from electoral or open register
- Other official documentation as agreed with Ofgem.

***The document must be dated within 18 months before the date of completion of the measure.***

### **Occupier of a mobile home**

***Scenario 1: The occupier owns the mobile home and rents the pitch on which the home is situated. In this scenario a supplier will need to produce both of the following documents:***

a) A signed pitch agreement based on the 'Written Statement under the Mobile Homes Act' naming the owner as the occupier renting the pitch,

***and***

b) Official correspondence evidencing that the premises is the person's sole or main residence. Official correspondence, as listed above, must be dated no earlier than 18 months before the completion of the measure.

***Scenario 2: The occupier rents the mobile home from a person who owns the home, and that owner rents the pitch on which the home is situated. In this scenario a supplier will need to produce both of the following documents:***

a) A current written tenancy agreement. If the written tenancy agreement has expired, or if no written tenancy agreement was or is in place<sup>25</sup>, a completed Ofgem template signed by both landlord and tenant confirming the occupancy agreement.<sup>26</sup>

***and***

b) Official documents evidencing that the premises are the person's sole or main residence. Official documentation, as listed above, must be dated no earlier than 18 months before the completion of the measure.

### **Documents relating to a change of name**

There are cases where a person who is the householder changes his or her name, with the result that:

- the person's old name appears on the document that demonstrates the person's householder status (eg the registry search, title deeds or mortgage



statement if the person is a freeholder/leaseholder/owner or the tenancy agreement if the person is a tenant)

**and**

- the person's new name appears on AWG benefit documents or other official documents (described above).

In such a case, a supplier will need to produce a signed declaration from the person that their name has changed. The declaration should be prepared using the template on our website.<sup>27</sup>

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# Appendices

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# Appendix 1 – Calculating a Significantly Significant Sample

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## Overview

As detailed in paragraph 1.15 above, each batch of measures received by us must be monitored at an initial rate which is statistically significant, or 5% (whichever is lower).

## Calculating your sample

The below equations should be used to determine the initial sample for monitoring:

- a. 5% Sample = [Population Size]\*0.05
- b. Statistically Significant Sample (SSS) =  $1824.76 / (1 + (1823.76 / [\text{Population Size}]))$ . This is based on a confidence level of 95% and interval of 1 with an expected failure rate of no more than 5%<sup>28</sup>. This is widely accepted as a reasonable level of statistical significance.

## Standard sample sizes

Table 1 gives pre-calculated sample size for both statistically significant samples (SSS) and 5%.

Population	SSS	5%
100	95	5
500	392	25
1,000	646	50
5,000	1,337	250
10,000	1,543	500
50,000	1,761	2,500

Table 1: Pre-calculated samples

\*Formula:  $(Z^2 * P * (1 - P)) / C^2 = 1824.76$

Confidence Interval = 0.01

Z score (95% confidence level) of 1.96

P (failure rate) of 5%

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<sup>28</sup> Refer to Bartlet et al. (2001) Organizational Research: Determining Appropriate Sample Size in Survey Research: <http://www.osra.org/itlpj/bartlettktorlikihiggins.pdf>

## Overview

As detailed in paragraph 1.15 above, each batch of measures received by us must be monitored at an initial rate which is statistically significant, or 5% (whichever is lower).

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The below equations should be used to determine the initial sample for monitoring:

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# Appendix 2 – Householders England: a checklist for monitoring agents

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## What is the checklist for?

This checklist helps monitoring agents carry out checks under the Energy Companies Obligation (ECO). Detailed information on the requirements of ECO is in our guidance document<sup>30</sup>, *Energy Companies Obligation (ECO): Guidance for Suppliers (version 1.1a)*.

## Completing the checklist

The information in the checklist will form the basis of our decision on whether the consumer is a 'householder' for the purposes of ECO.

You should make sure that you:

- ✓ Complete all relevant sections
- ✓ Sign and date the checklist
- ✓ Record which eligible documents you have seen, where appropriate
- ✓ Record which criteria have been met from seeing the correct documentation
- ✓ Record whether the monitoring resulted in a 'pass' or 'fail', or alternatively record instances where you have been unable to contact the consumer. If you are unable to monitor the householder type you should also record this.

## Layout of the checklist

Section A of the checklist comprises all the general information you need to record for every measure monitored. Every subsection must be completed.

Sections B to E focus on different categories of householder. For a pass to be recorded in section I, you must complete one or more of these sections, including all subsections.

Only record information that can be identified on one of the eligible documents or registers stated. If alternative documentation exists which proves householder status, the supplier must have had written agreement from us confirming this documentation is eligible. If the document is not one of the eligible documents in the

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<sup>30</sup> Energy Companies Obligation (ECO): Guidance for Suppliers:  
<https://www.ofgem.gov.uk/ofgem-publications/88469/energycompaniesobligationecoguidanceforsuppliersversion1.1a.pdf>

checklist and we have not provided written agreement, you should classify that measure as a fail. The only exception is in section D when the householder type is unable to be monitored – in this instance the measure is not counted towards the sample.

If you're not able to contact the consumer, you should complete section F.

If you are unable to see the required documentation, you should record this as a fail in section H.

### **Accuracy of the checklist**

It is important to note that you are responsible for seeing and recording the consumer's householder documentation as detailed in the checklist and record a 'pass' or 'fail' based on this. By signing the checklist you are declaring that all information provided is accurate and correct.

### **Audit**

We may audit householder monitoring. For this reason you should keep a copy of the checklist.

Please note that we won't ask you to produce copies of the householder documents the checklist is based on (such as tenancy agreements or land registry searches).

If, following an audit, we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of monitoring results, we may:

- Withdraw our agreement for the supplier to use a householder monitoring regime in the future; or
- Require further monitoring against any list of measures that were previously monitored (regardless of the failure rate).

## **SECTION A: GENERAL INFORMATION**

### **A1. Property Details - please complete the following details**

<b>Postcode:</b>	<b>Visit date:</b>
------------------	--------------------

### **A2. Monitoring information - please complete the following details**

<b>Monitoring Company</b>	
<b>Supplier responsible for measure</b>	

### **A3. Measure information – please complete for every measure being monitored at the property. (If necessary use an extra sheet of paper).**

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<b>Measure reference(s)</b>				
<b>Measure type(s)</b>				
<b>Installer(s) of measure</b>				
<b>Date of completion of measure(s)</b>				

### **A4. If you have been unable to contact the consumer, go to Section F.**

### **A5. Is the Householder also a member of the AWG?**

<b>TICK ONE</b>			<b>Next steps</b>
<input type="checkbox"/>	YES	Householder and AWG member are the same person	<b>GO TO QUESTION A6</b>
<input type="checkbox"/>	NO	AWG member resides with the householder	<b>GO TO QUESTION A7</b>

**A6. Have you the official correspondence showing the AWG member resides at the same premises to which the measure was delivered? This must be dated within 18 months of the date of completion of the measure: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Mortgage Statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**A7. Which of the following is the householder?**

<b>TICK ONE</b>	<b>Householder status</b>	<b>Next steps</b>
<input type="checkbox"/>	Freeholder	<b>GO TO SECTION B</b>
<input type="checkbox"/>	Leaseholder	<b>GO TO SECTION C</b>
<input type="checkbox"/>	Tenant	<b>GO TO SECTION D</b>

**SECTION B – FREEHOLDER**

**B1. Have you seen the freeholder’s Land Registry search on the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Land Registry Search number and date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION I</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B2</b>

**B2. Have you seen the freeholder’s Mortgage Statement for the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Mortgage Statement date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION I</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B3</b>



**B3. Where the land is unregistered ONLY<sup>31</sup> - Have you seen one of the following documents for the same property and the freeholder named in those sighted for question B1?:**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	YES - a copy of the Title Deeds	<b>GO TO SECTION H</b>
<input type="checkbox"/>	YES - where Title Deeds are held by a third party, a completed Ofgem template <sup>32</sup> from the holder of the Title Deeds confirming he/she holds the Title Deeds	<b>GO TO SECTION H</b>
<input type="checkbox"/>	YES - where Title Deeds are lost or destroyed, a completed Ofgem template <sup>33</sup> signed by a solicitor/land conveyer confirmed	<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO	<b>GO TO SECTION B4</b>

**B4. Where the occupier owns a park home, have you seen a pitch agreement, naming the occupier as the person renting the pitch:**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	YES	<b>GO TO SECTION B5</b>
<input type="checkbox"/>	NO	<b>GO TO QUESTION G</b>

**B5. Where the occupier owns the park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Mortgage Statement		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Bank statement		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO SECTION H</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

<sup>31</sup> Where the property has been bequeathed but not yet registered to the householder, a completed Ofgem template signed by the executor / administrator of the estate should be seen.

<sup>32</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>33</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

## **SECTION C – LEASEHOLDER**

**C1. Have you seen the leaseholder’s Land Registry search on the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Land Registry Search number and date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION C2</b>

**C2. Have you seen the leaseholder’s Mortgage Statement for the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Mortgage Statement date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION C3</b>

**C3. Where the land is unregistered ONLY - Have you seen a copy of the leaseholder’s lease?:**

<b>TICK ONE</b>		<b>Date lease originally signed</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION G</b>

## **SECTION D – TENANT**

**D1. Which of the following is the tenant?**

<b>TICK ONE</b>	<b>Tenant status</b>	<b>Next steps</b>
<input type="checkbox"/>	Tenant of a park home	<b>GO TO QUESTION D2</b>
<input type="checkbox"/>	Holder of an assured agricultural occupancy under Part IV of the Housing ACT 1988	<b>GO TO QUESTION D3</b>
<input type="checkbox"/>	A protected tenant under section 1, Part 1 of the Rent Act 1977	<b>GO TO QUESTION D4</b>
<input type="checkbox"/>	Tenant occupying the premises under a licence to occupy, where the licence is for occupancy in an almshouse that is maintained by a charity	<b>GO TO QUESTION D5</b>
<input type="checkbox"/>	Tenant of domestic premises <b>(NOT INCLUDING ANY OF THE TENANCY TYPES ABOVE)</b> <sup>34</sup>	<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	None of the above	<b>GO TO SECTION G</b>

<sup>34</sup> Tenant of domestic premises’ is a tenant occupying the premises under a tenancy agreement or a licence to occupy

**D2. Where the occupier is a tenant of a park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Mortgage Statement		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**D3. Where the tenant is a holder of an assured agricultural occupancy, have you seen the following document which states both the landlord's name and address and the tenant's name and address?: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A copy of the licence to occupy		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Document not seen		<b>GO TO SECTION G</b>

**D4. Where the householder is a protected tenant, have you seen the following document which states both the landlord's name and address and the tenant's name and address: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A tenancy agreement that established the protected tenancy		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Document not seen		<b>GO TO SECTION G</b>

**D5. License to occupy in an 'almshouse' maintained by a charity – I confirm I have seen documents which state both the tenant's name and address: (must sight evidence of both licence to occupy and the constitution of the charity)**

	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A <b>current</b> licence to occupy <b>AND</b>		<b>GO TO QUESTION D4</b>
<input type="checkbox"/>	A copy of the constitution of the charity		
<input type="checkbox"/>	One or both documents not seen		<b>GO TO SECTION G</b>

**D6. Have you seen the following document which states both the landlord's and the tenant's name and address?: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A <b>current</b> written tenancy agreement (the end of the tenancy must not be earlier than 18 months before the date of completion of a measure)		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	If written tenancy agreement <b>expired</b> , a completed Ofgem template of tenancy signed by both landlord and tenant <sup>35</sup>		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	If <b>no</b> written tenancy agreement was or is in place, a completed Ofgem template of tenancy signed by both landlord and tenant <sup>36</sup>		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**D7. What is the name of the landlord, as listed in the document seen?:**

<b>Name of landlord</b>	<b>Next steps</b>
	<b>GO TO SECTION E</b>

<sup>35</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>36</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

## **SECTION E - EXCLUDED TENANT**

**E1. Local Authority Landlord – Have you completed a search of the “Find your Local Authority”<sup>37</sup> function on the Direct Gov website and the landlord named in D4 is included on that list?:**

<b>TICK ONE</b>		<b>Name of Local Authority</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E2</b>

**E2. Arm’s Length Management Organisation – Have you completed a search of the “National Federation of ALMOs Members”<sup>38</sup> on the National Federation of ALMOs website and the landlord named in D4 is listed on that register?:**

<b>TICK ONE</b>		<b>Name of ALMO</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E3</b>

**E3. Registered Social Landlord – Have you completed a search of the list of “current registered providers”<sup>39</sup> on the Homes and Communities Agency website and the landlord named in D4 is included on the list? (please select the most up-to-date list):**

<b>TICK ONE</b>		<b>Name of Registered Social Landlord</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E4</b>

**E4. Housing Association Landlord – Have you completed a search of the Mutuels Public Register<sup>40</sup> and the landlord named in D4 is included on that register?:**

<b>TICK ONE</b>		<b>Name of housing association</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E5</b>

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<sup>37</sup> <http://local.direct.gov.uk/LDGRedirect/Start.do?mode=1>

<sup>38</sup> <http://www.almos.org.uk/members>

<sup>39</sup> <http://www.homesandcommunities.co.uk/ourwork/registrations-and-de-registrations>

<sup>40</sup> <https://mutuals.fsa.gov.uk/Search.aspx>

**E5. Housing Co-operative Landlord – Have you completed a search on the Directory of Housing Co-operatives<sup>41</sup> and the landlord named in D4 is included on that register?:**

<b>TICK ONE</b>		<b>Name of housing co-operative</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E6</b>

**SECTION F – NO RESPONSE**

**E6. Charity Landlord – Have you completed a search of the Charity Commission Register<sup>42</sup> and the landlord named in D4 is included on that register?:**

<b>TICK ONE</b>		<b>Charity registration number:</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION H</b>

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<sup>41</sup> <http://www.uk.coop/directory/all>

<sup>42</sup> <http://www.charitycommission.gov.uk/search-for-a-charity/>

Where there has been no response from the householder to any attempted communication from the monitoring agent, the measure should be recorded as a 'no response'. Please complete the details in the following box.

Unable to contact consumer		Next steps
No. of attempts	Method(s) of contact attempts	GO TO SECTION I

**SECTION G – FAIL**

Where you have been unable to see documents to verify that a person is a householder<sup>43</sup> or, in the case of an excluded tenant, have confirmed the landlord is listed on a relevant register, the measure should be recorded as a fail. Please complete the details in this box.

	Reason for failure	Next steps
<input type="checkbox"/>	Unable to see documents	GO TO SECTION I
<input type="checkbox"/>	Landlord is on one of the registers listed in Section E	GO TO SECTION I

**SECTION H – PASS**

Where you have been able to see documents to verify that a person is a householder<sup>44</sup> or, in the case of an excluded tenant, confirmed the landlord is not listed on a relevant register, the measure should be recorded as a pass. Please complete the details in this box.

	Monitoring result	Next steps
<input type="checkbox"/>	Pass	GO TO SECTION I

**SECTION I - MONITORING AGENT SIGNATURE**

By signing this checklist, I acknowledge all information provided to be correct

MONITORING AGENT INFORMATION
Agent Company/Ref: Agent Name (BLOCK CAPITALS): Agent Signature: Date:

<sup>43</sup> For a list of documents that evidence householder please refer to section 7.39 and Appendix 1 of the ECO Guidance for Suppliers.

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# Annex 3 – Householders Wales: a checklist for monitoring agents

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## What is the checklist for?

This checklist helps monitoring agents carry out checks under the Energy Companies Obligation (ECO). Detailed information on the requirements of ECO is in our guidance document<sup>45</sup>, *Energy Companies Obligation (ECO): Guidance for Suppliers (version 1.2)*.

## Completing the checklist

The information in the checklist will form the basis of our decision on whether the consumer is a 'householder' for the purposes of ECO.

You should make sure that you:

- ✓ Complete all relevant sections
- ✓ Sign and date the checklist
- ✓ Record which eligible documents you have seen, where appropriate
- ✓ Record which criteria have been met from seeing the correct documentation
- ✓ Record whether the monitoring resulted in a 'pass' or 'fail', or alternatively record instances where you have been unable to contact the consumer. If you are unable to monitor the householder type you should also record this.

## Layout of the checklist

Section A of the checklist comprises all the general information you need to record for every measure monitored. Every subsection must be completed.

Sections B to E focus on different categories of householder. For a pass to be recorded in section I, you must complete one or more of these sections, including all subsections.

Only record information that can be identified on one of the eligible documents or registers stated. If alternative documentation exists which proves householder status, the supplier must have gained written agreement from us confirming this documentation is eligible. If the document is not one of the eligible documents in the

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<sup>45</sup> [Energy Companies Obligation \(ECO\): Guidance for Suppliers \(version 1.1a\):  
https://www.ofgem.gov.uk/ofgem-publications/88469/energycompaniesobligationecoguidanceforsuppliersversion1.1a.pdf](https://www.ofgem.gov.uk/ofgem-publications/88469/energycompaniesobligationecoguidanceforsuppliersversion1.1a.pdf)



checklist and we have not provided written agreement, you should classify that measure as a fail. The only exception is in section D when the householder type is unable to be monitored – in this instance the measure is not counted towards the sample.

If you're not able to contact the consumer, you should complete section F.

If you are unable to see the required documentation, you should record this as a fail in section H.

### **Accuracy of the checklist**

It is important to note that you are responsible for seeing and recording the consumer's householder documentation as detailed in the checklist and record a 'pass' or 'fail' based on this. By signing the checklist you are declaring that all information provided is accurate and correct.

### **Audit**

We may audit householder monitoring. For this reason you should keep a copy of the checklist.

Please note that we won't ask you to produce copies of the householder documents the checklist is based on (such as tenancy agreements or land registry searches).

If, following an audit, we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of monitoring results we may:

- Withdraw our agreement for the supplier to use a householder monitoring regime in the future; or
- Require further monitoring against any list of measures that were previously monitored (regardless of the failure rate).

## **SECTION A: GENERAL INFORMATION**

### **A1. Property details - please complete the following details**

<b>Postcode:</b>	<b>Visit date:</b>
------------------	--------------------

### **A2. Monitoring information - please complete the following details**

<b>Monitoring Company</b>	
<b>Supplier responsible for measure</b>	

### **A3. Measure information – please complete for every measure monitored at the property. (If necessary use an extra sheet of paper).**

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<b>Measure reference(s)</b>				
<b>Measure type(s)</b>				
<b>Installer(s) of measure</b>				
<b>Date of completion of measure(s)</b>				

### **A4. If you have been unable to contact the householder, go to Section F.**

### **A5. Is the Householder also a member of the AWG?**

<b>TICK ONE</b>			<b>Next steps</b>
<input type="checkbox"/>	YES	Householder and AWG member are the same person	<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	NO	AWG member resides with the householder	<b>GO TO QUESTION A6</b>

**A6. Have you seen the official correspondence showing the AWG member resides at the same premises to which the measure was delivered. This must be dated within 18 months of the date of completion of the measure?: (select one)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Mortgage Statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**A7. Which of the following is the householder?**

	<b>Householder status</b>	<b>Next steps</b>
<input type="checkbox"/>	Freeholder	<b>GO TO SECTION B</b>
<input type="checkbox"/>	Leaseholder	<b>GO TO SECTION C</b>
<input type="checkbox"/>	Tenant	<b>GO TO SECTION D</b>

**SECTION B – FREEHOLDER**

**B1. Have you seen the freeholder’s Land Registry search on the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Land Registry search number and date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B2</b>

**B2. Have you seen the freeholder’s Mortgage Statement for the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Mortgage Statement date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B3</b>

**B3. Where the land is unregistered ONLY<sup>46</sup> - Have you seen one of the following documents for the same property and the freeholder named in those sighted for question B1?:**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	YES - a copy of the Title Deeds	<b>GO TO SECTION H</b>
<input type="checkbox"/>	YES - where Title Deeds are held by a third party, a completed Ofgem template <sup>47</sup> from the holder of the Title Deeds confirming he/she holds the Title Deeds	<b>GO TO SECTION H</b>
<input type="checkbox"/>	YES - where Title Deeds are lost or destroyed, a completed Ofgem template <sup>48</sup> signed by a solicitor/land conveyer confirmed	<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO	<b>GO TO SECTION B4</b>

**B4. Where the occupier owns a park home, have you seen a pitch agreement, naming the occupier as the person renting the pitch:**

<b>TICK ONE</b>		<b>Next steps</b>
<input type="checkbox"/>	YES	<b>GO TO SECTION B5</b>
<input type="checkbox"/>	NO	<b>GO TO QUESTION G</b>

**B5. Where the occupier owns the park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Mortgage Statement		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Bank statement		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO SECTION H</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO SECTION H</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

<sup>46</sup> Where the property has been bequeathed but not yet registered to the householder, a completed Ofgem template signed by the executor / administrator of the estate should be seen.

<sup>47</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>48</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

## **SECTION C – LEASEHOLDER**

**C1. Have you seen the leaseholder’s Land Registry search on the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Land Registry Search number and date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION C2</b>

**C2. Have you seen the leaseholder’s Mortgage Statement for the property dated within 18 months of the date of completion of the measure?:**

<b>TICK ONE</b>		<b>Mortgage Statement date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION C3</b>

**C3. Where the land is unregistered ONLY - have you seen a copy of the householder’s lease or a solicitors letter confirming he/she holds the lease for the property:**

<b>TICK ONE</b>		<b>Date lease originally signed</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION H</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION G</b>

## **SECTION D – TENANT**

**D1. Which of the following is the tenant?**

<b>TICK ONE</b>	<b>Tenant status</b>	<b>Next steps</b>
<input type="checkbox"/>	Tenant of a park home	<b>GO TO QUESTION D2</b>
<input type="checkbox"/>	Holder of an assured agricultural occupancy under Part IV of the Housing ACT 1988	<b>GO TO QUESTION D3</b>
<input type="checkbox"/>	A protected tenant under section 1, Part 1 of the Rent Act 1977	<b>GO TO QUESTION D4</b>
<input type="checkbox"/>	Tenant occupying the premises under a licence to occupy, where the licence is for occupancy in an almshouse that is maintained by a charity	<b>GO TO QUESTION D5</b>
<input type="checkbox"/>	Tenant of domestic premises <b>(NOT INCLUDING ANY OF THE TENANCY TYPES ABOVE)</b>	<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	None of the above	<b>GO TO SECTION G</b>

**D2. Where the occupier is a tenant of a park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Mortgage statement		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION D6</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**D3. Where the tenant is a holder of an assured agricultural occupancy, have you seen the following document which states both the landlord's name and address and the tenant's name and address?: (select one)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A copy of the licence to occupy		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Document not seen		<b>GO TO SECTION G</b>

**D4. Where the householder is a protected tenant, have you seen the following document which states both the landlord's name and address and the tenant's name and address?: (select one)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A tenancy agreement that established the protected tenancy		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Document not seen		<b>GO TO SECTION G</b>

**D5. License to occupy in an 'almshouse' maintained by a charity – I confirm I have seen documents which state both the tenant's name and address: (must see evidence of both a licence to occupy and the constitution of the charity)**

	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A <b>current</b> licence to occupy <b>AND</b>		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	A copy of the constitution of the charity		
<input type="checkbox"/>	One or both documents not seen		<b>GO TO SECTION G</b>

**D6. Have you seen one of these documents which states both the landlord's name and address and the tenant's name and address?: (select one)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A <b>current</b> written tenancy agreement (the end of the tenancy must not be earlier than 18 months before the date of completion of a measure)		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	If written tenancy agreement <b>expired</b> , a completed Ofgem template of tenancy signed by both landlord and tenant <sup>49</sup>		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	If <b>no</b> written tenancy agreement was or is in place, a completed Ofgem template of tenancy signed by both landlord and tenant <sup>50</sup>		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION D7</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION G</b>

**D7. What is the name of the landlord, as listed in the document seen?:**

<b>Name of landlord</b>	<b>Next steps</b>
	<b>GO TO SECTION E</b>

**SECTION E - EXCLUDED TENANT**

**E1. Local Authority Landlord – Have you completed a search of the Welsh Government's list of Local Authorities<sup>51</sup> and the landlord named in D4 is included on that list?:**

<b>TICK ONE</b>		<b>Name of Local Authority</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E2</b>

<sup>49</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>50</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>51</sup> <http://wales.gov.uk/topics/localgovernment/localauthorities/?lang=en>

**E2. Registered Social Landlord – Have you completed a search of the Welsh Government’s “Alphabetical Listing of Registered Social Landlords in Wales”<sup>52</sup> and the landlord named in D4 is included on that list?:**

<b>TICK ONE</b>		<b>Name of registered social landlord</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E3</b>

**E3. Housing Co-operative Landlord – Have you completed a search of the Directory of Housing Co-operatives<sup>53</sup> and the landlord named in D4 is included on that directory?:**

<b>TICK ONE</b>		<b>Name of housing co-operative</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E4</b>

**E4. Is the date the tenancy was created as listed in the documentation provided for D3 before 15 January 1989?:**

<b>TICK ONE</b>		<b>Date created</b>	
<input type="checkbox"/>	YES		<b>GO TO QUESTION E5</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION H</b>

**E5. Housing Association Landlord – Have you completed a search of the Mutuels Public Register<sup>54</sup> and the landlord named in D4 is included on that register?:**

<b>TICK ONE</b>		<b>Name of housing association</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION E6</b>

**E6. Housing Trust which is a Charity – Have you completed a search of the Charity Commission Register<sup>55</sup> and the landlord named in D4 is included on that register?:**

<b>TICK ONE</b>		<b>Name of charity</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION H</b>

<sup>52</sup><http://wales.gov.uk/topics/housingandcommunity/housing/publications/contactrsls/?lang=en>

<sup>53</sup><http://www.uk.coop/directory/all>

<sup>54</sup><https://mutuals.fsa.gov.uk/Search.aspx>

<sup>55</sup><http://www.charitycommission.gov.uk/search-for-a-charity/>



**SECTION F – NO RESPONSE**

Where there has been no response from the householder to any attempted communication from the monitoring agent, the measure should be recorded as a 'no response'. Please complete the details in this box.

Unable to contact consumer		Next steps
No. of attempts	Method(s) of contact attempts	GO TO SECTION I

**SECTION G – FAIL**

Where you have been unable to see documents to verify that a person is a householder<sup>56</sup> or, in the case of an excluded tenant, have confirmed the landlord is listed on a relevant register, the measure should be recorded as a fail. Please complete the details in the following box.

	Reason for failure	Next steps
<input type="checkbox"/>	Unable to see documents	GO TO SECTION I
<input type="checkbox"/>	Landlord is on one of the registers listed in Section E	GO TO SECTION I

**SECTION H – PASS**

Where you have been able to see documents to verify that a person is a householder<sup>57</sup> or, in the case of an excluded tenant, confirmed the landlord is not listed on a relevant register, the measure should be recorded as a pass. Please complete the details in this box.

	Monitoring result	Next steps
<input type="checkbox"/>	Pass	GO TO SECTION I

**SECTION I - MONITORING AGENT SIGNATURE**

By signing this checklist, I acknowledge all information provided to be correct

MONITORING AGENT INFORMATION
Agent Company/Ref: Agent Name (BLOCK CAPITALS): Agent Signature: Date:

<sup>56</sup> For a list of documents that evidence householder please refer to section 7.39 and Appendix 1 of the ECO Guidance for Suppliers.

<sup>57</sup> For a list of documents that evidence householder please refer to section 7.39 and Appendix 1 of the ECO Guidance for Suppliers.

# Annex 4 – Householders Scotland: a checklist for monitoring agents

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## What is the checklist for?

This checklist helps monitoring agents carry out checks under the Energy Companies Obligation (ECO). Detailed information on the requirements of ECO is in our guidance document<sup>58</sup>, *Energy Companies Obligation (ECO): Guidance for Suppliers (version 1.2)*.

## Completing the checklist

The information in the checklist will form the basis of our decision on whether the consumer is a 'householder' for the purposes of ECO.

You should make sure that you:

- ✓ Complete all relevant sections
- ✓ Sign and date the checklist
- ✓ Record which eligible documents you have seen, where appropriate
- ✓ Record which criteria have been met from seeing the correct documentation
- ✓ Record whether the monitoring resulted in a 'pass' or 'fail', or alternatively record instances where you have been unable to contact the consumer. If you are unable to monitor the householder type you should also record this.

## Layout of the checklist

Section A of the checklist comprises all the general information you need to record for every measure monitored. Every subsection must be completed.

Sections B to D focus on different categories of householder. To record a pass in section I, you must complete one or more of these sections, including all subsections.

Only record information that can be identified on one of the eligible documents or registers stated. If alternative documentation exists which proves householder status, the supplier must have gained written agreement from us confirming this documentation is eligible. If the document is not one of the eligible documents in the checklist and we have not provided written agreement, you should classify that measure as a fail. The only exception is in section C when the householder type is unable to be monitored – in this instance the measure is not counted towards the sample.

If you're not able to contact the consumer, you should complete section E.

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<sup>58</sup> Energy Companies Obligation (ECO): Guidance for Suppliers:  
<https://www.ofgem.gov.uk/ofgem-publications/88469/energycompaniesobligationecoguidanceforsuppliersversion1.1a.pdf>

If you're not able to contact the consumer, you should complete section F.

If you are unable to see the required documentation, you should record this as a fail in section G.

### **Accuracy of the checklist**

It is important to note that you are responsible for seeing and recording the consumer's householder documentation as detailed in the checklist and record a 'pass' or 'fail' based on this. By signing the checklist you are declaring that all information provided is accurate and correct.

### **Audit**

We may audit householder monitoring. For this reason you should keep a copy of the checklist.

We won't ask you to produce copies of the householder documents the checklist is based on (such as tenancy agreements or land registry searches).

If, following an audit, we have reasonable grounds to believe that monitoring has been conducted in a way that undermines the reliability of monitoring results we may:

- Withdraw our agreement for the supplier to use a householder monitoring regime in the future; or
- Require further monitoring against any list of measures that were previously monitored (regardless of the failure rate).

## **SECTION A: GENERAL INFORMATION**

### **A1. Property Details - please complete the following details**

<b>Postcode:</b>	<b>Visit date:</b>
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### **A2. Monitoring information - please complete the following details**

<b>Monitoring Company</b>	
<b>Supplier responsible for measure</b>	

### **A3. Measure information – please complete for every measure being monitored at the property. (If necessary use an extra sheet of paper).**

	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<b>Measure reference(s)</b>				
<b>Measure type(s)</b>				
<b>Installer(s) of measure</b>				
<b>Date of completion of measure(s)</b>				

### **A4. If you have been unable to contact the householder, go to Section E.**

### **A5. Is the Householder also a member of the AWG**

<b>TICK ONE</b>			<b>Next steps</b>
<input type="checkbox"/>	YES	Householder and AWG member are the same person	<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	NO	AWG member resides with the householder	<b>GO TO QUESTION A6</b>

**A6. Have you the official correspondence showing the AWG member resides at the same premises to which the measure was delivered. This must be dated within 18 months of the date of completion of the measure: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Mortgage statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION A7</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION F</b>

**A7. Which of the following is the householder?**

<b>TICK ONE</b>	<b>Householder status</b>	<b>Next steps</b>
<input type="checkbox"/>	Owner	<b>GO TO SECTION B</b>
<input type="checkbox"/>	Tenant	<b>GO TO SECTION C</b>

**SECTION B – OWNERS**

**B1. Have you seen the owner’s Land Registry search for the property dated within 18 months of the date of completion of the measure:**

<b>TICK ONE</b>		<b>Land Registry Search number and date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B2</b>

**B2. Have you seen the owner’s Mortgage Statement for the property dated within 18 months of the date of completion of the measure:**

<b>TICK ONE</b>		<b>Mortgage Statement date</b>	<b>Next steps</b>
<input type="checkbox"/>	YES		<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION B3</b>

**B3. Where the land is unregistered ONLY<sup>59</sup> - Have you seen one of the following documents for the same property and the freeholder named in those sighted for question B1:**

<b>TICK ONE</b>	Document	Next steps
<input type="checkbox"/>	YES - a copy of the Title Deeds	<b>GO TO SECTION G</b>
<input type="checkbox"/>	YES - where Title Deeds are held by a third party, a completed Ofgem template <sup>60</sup> from the holder of the Title Deeds confirming he/she holds the Title Deeds	<b>GO TO SECTION G</b>
<input type="checkbox"/>	YES - where Title Deeds are lost or destroyed, a completed Ofgem template <sup>61</sup> signed by a solicitor/land conveyer confirmed	<b>GO TO SECTION G</b>
<input type="checkbox"/>	NO	<b>GO TO SECTION B4</b>

**B4. Where the occupier owns a park home, have you seen a pitch agreement, naming the occupier as the person renting the pitch:**

<b>TICK ONE</b>			Next steps
<input type="checkbox"/>	YES	Pitch agreement seen	<b>GO TO SECTION B5</b>
<input type="checkbox"/>	NO	No document seen	<b>GO TO SECTION F</b>

**B5. Where the occupier owns the park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	Document seen	Date of document	Next steps
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO SECTION G</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO SECTION G</b>
<input type="checkbox"/>	Mortgage statement		<b>GO TO SECTION G</b>
<input type="checkbox"/>	Bank statement		<b>GO TO SECTION G</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO SECTION G</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO SECTION G</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION F</b>

<sup>59</sup> Where the property has been bequeathed but not yet registered to the householder, a completed Ofgem template signed by the executor / administrator of the estate should be seen.

<sup>60</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>61</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

## **SECTION C – TENANT**

<b>C1. Which of the following is the tenant?</b>		
<b>TICK ONE</b>	<b>Tenant status</b>	<b>Next steps</b>
<input type="checkbox"/>	Tenant occupying the premises under the term of the person's <b>contract of employment</b>	<b>GO TO QUESTION C2</b>
<input type="checkbox"/>	Tenant occupying the premises as a <b>cottar</b>	<b>GO TO QUESTION C3</b>
<input type="checkbox"/>	Tenant of a <b>park home</b>	<b>GO TO QUESTION C4</b>
<input type="checkbox"/>	Tenant of domestic premises <sup>62</sup> ( <b>NOT INCLUDING ANY OF THE TENANCY TYPES ABOVE</b> )	<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	None of the above	<b>GO TO SECTION F</b>

<b>C2. Contract of Employment – I confirm I have seen documents which state both the tenant's and landlord's name and address, dated with 18 months: (must select one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Contract of employment stating the tenant occupies the premises as part of the contract terms		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	Official documentation <b>as agreed with Ofgem</b> (document name):		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION F</b>

<b>C3. Cottar – I confirm I have seen documents which state both the tenant's and landlord's name and address, dated with 18 months: (must select one option)</b>			
<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A statement of occupancy signed by both the landlord and the tenant/licensee		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	Official documentation <b>as agreed with Ofgem</b> (document name):		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION</b>

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<sup>62</sup> 'Tenant of domestic premises' is a tenant occupying the premises under a tenancy agreement or a licence to occupy.

**C4. Where the occupier is a tenant of a park home, evidence that the premises is the person's sole or main residence:**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	Utility bill, phone bill or TV licence		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	Council tax letter or letter from the council		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	Mortgage statement		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	Bank statement		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	Extract from electoral or open register		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION C5</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION</b>

**C5. Have you seen the following document which states both the landlord's name and address and the tenant's name and address, dated with 18 months: (must select one option)**

<b>TICK ONE</b>	<b>Document seen</b>	<b>Date of document</b>	<b>Next steps</b>
<input type="checkbox"/>	A <b>current</b> written tenancy agreement (the end of the tenancy must not be earlier than 18 months before the date of completion of a measure)		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	If written tenancy agreement <b>expired</b> , a completed Ofgem template of tenancy signed by both landlord and tenant <sup>63</sup>		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	If <b>no</b> written tenancy agreement was or is in place, a completed Ofgem template of tenancy signed by both landlord and tenant <sup>64</sup>		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	Other official documentation as agreed with Ofgem (document name):		<b>GO TO QUESTION C6</b>
<input type="checkbox"/>	None of the above have been seen		<b>GO TO SECTION</b>

<sup>63</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>

<sup>64</sup> <https://www.ofgem.gov.uk/publications-and-updates/home-heating-cost-reduction-obligation-hhcro-templates-evidence-householder>



**C6. What is the name of the landlord as listed in the document(s):**

Name of landlord	Next steps
	<b>GO TO SECTION D</b>

**SECTION D – EXCLUDED TENANT**

**D1. Local Authority Landlord – Have you completed a search of the Convention of Scottish Local Authorities list of Local Authorities<sup>65</sup> and the landlord named in C6 is included on that list:**

TICK ONE		Name of Local Authority	Next steps
<input type="checkbox"/>	YES		<b>GO TO SECTION F</b>
<input type="checkbox"/>	NO		<b>GO TO QUESTION D2</b>

**D2. Registered Social Landlord – Have you completed a search of the register of the Scottish Housing Regulator<sup>66</sup> and the Landlord named in C6 is included on that register:**

TICK ONE		Name of registered social landlord and registration number	Next steps
<input type="checkbox"/>	YES		<b>GO TO SECTION F</b>
<input type="checkbox"/>	NO		<b>GO TO SECTION G</b>

**SECTION E – NO RESPONSE**

Where there has been no response from the householder to any attempted communication from the monitoring agent, the measure should be recorded as a 'no response'. Please complete the details in the following box.

Unable to contact consumer		Next steps
No. of attempts	Method(s) of contact attempts	<b>GO TO SECTION H</b>

<sup>65</sup> <http://www.cosla.gov.uk/councils>

<sup>66</sup> [http://www.esystems.scottishhousingregulator.gov.uk/register/reg\\_pub\\_dsp.home](http://www.esystems.scottishhousingregulator.gov.uk/register/reg_pub_dsp.home)

**SECTION F – FAIL**

Where you have been unable to see documents to verify that a person is a householder<sup>67</sup> or, in the case of an excluded tenant, have confirmed the landlord is listed on a relevant register, the measure should be recorded as a fail. Please complete the details in this box.

	<b>Reason for failure</b>	<b>Next steps</b>
<input type="checkbox"/>	<b>Unable to see documents</b>	<b>GO TO SECTION H</b>
<input type="checkbox"/>	<b>Landlord is on one of the registers listed in Section E</b>	<b>GO TO SECTION H</b>

**SECTION G – PASS**

Where you have been able to see documents to verify that a person is a householder<sup>68</sup> or, in the case of an excluded tenant, confirmed the landlord is not listed on a relevant register, the measure should be recorded as a pass. Please complete the details in this box.

	<b>Monitoring result</b>	<b>Next steps</b>
<input type="checkbox"/>	<b>Pass</b>	<b>GO TO SECTION H</b>

**SECTION H - MONITORING AGENT SIGNATURE**

By signing this checklist, I acknowledge all information provided to be correct

<b>MONITORING AGENT INFORMATION</b>
Agent Company/Ref: Agent Name (BLOCK CAPITALS): Agent Signature: Date:

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<sup>67</sup> For a list of documents that evidence householder please refer to section 7.39 and Appendix 1 of the ECO Guidance for Suppliers.

<sup>68</sup> For a list of documents that evidence householder please refer to section 7.39 and Appendix 1 of the ECO Guidance for Suppliers.

# Annex 5 – Schedule 2 to the Order

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The definition of Householder is set out in Schedule 2 to the Electricity and Gas (Energy Companies Obligation) Order 2012<sup>69</sup>. This Schedule is replicated below.

## SCHEDULE 2 Article 2 MEANING OF HOUSEHOLDER

- 1.**—(1) In relation to England and Wales, householder means a person who is, in relation to domestic premises,—
- (a) a freeholder;
  - (b) a leaseholder with a term of 21 years or more unexpired at the time a supplier offers to carry out an action;
  - (c) a tenant, other than a tenant within sub-paragraph (f) or to whom sub-paragraph (2) applies;
  - (d) a holder of a licence to occupy, which meets the conditions in paragraph 12(a) and (b) of Schedule 1 to the Housing Act 1985**(b)**;
  - (e) a holder of an assured agricultural occupancy under Part 1 of the Housing Act 1988**(c)**; or
  - (f) a protected tenant under section 1, Part 1 of the Rent Act 1977**(d)**.
- (2) This sub-paragraph applies,—
- (a) in relation to premises in England, to a tenant of low cost rental accommodation; and
  - (b) in relation to premises in Wales, to—
    - (i) a tenant of a dwelling-house let under Part IV of the Housing Act 1985**(e)**;
    - (ii) a tenant of a dwelling let by a landlord registered as a social landlord under Chapter 1 of Part 1 of the Housing Act 1996**(f)**;
    - or
    - (iii) a tenant of a local authority, other than under Part IV of the Housing Act 1985.
- (3) In this paragraph—
- (a) “low cost rental accommodation” has the same meaning as in section 69 of the Housing and Regeneration Act 2008**(g)**;
  - (b) “tenant” includes a sub-tenant.
- 2.**—(1) In relation to Scotland, householder means a person who is the owner or tenant of domestic premises.
- (2) For the purposes of this paragraph—
- (a) “owner” includes any person who under the Land Clauses Acts**(a)** would be enabled to sell and convey land to promoters of an undertaking;
  - (b) “tenant” includes a sub-tenant and a person who—
    - (i) occupies a dwelling in terms of a contract of employment;
    - (ii) has a licence to occupy a dwelling; or
    - (iii) is a cottar within the meaning of section 12(5) of the Crofters (Scotland) Act 1993**(b)**, but excludes a tenant of a social landlord within the meaning of section 165 of the Housing (Scotland) Act 2010**(c)**.

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<sup>69</sup> Which can be found at <http://www.legislation.gov.uk/ukdsi/2012/9780111530276/contents>.

- (a) 1989 c.41.
  - (b) 1985 c.68. Paragraph 12 of Schedule 1 to the Housing Act 1985 was amended by section 78(1) of and paragraph 12 of Schedule 6 to the Charities Act 1992 (c.41).
  - (c) 1988 c.50.
  - (d) 1977 c.42.
  - (e) 1985 c.68.
  - (f) 1996 c.52. Chapter 1 of Part 1 was amended by sections 140 and 152, Schedule 16, paragraph 83, and Schedule 18, part VI of the Government of Wales Act 1998 (c.38), section 75 and Schedule 8, paragraphs 183 to 1816 of the Charities Act 2006 (c.50), sections 61 and 321, and Schedule 16 of the Housing and Regeneration Act 2008 (c.17), sections 2 and 8 of the Cooperative and Community Benefit Societies and Credit Unions Act 2010 (c.7), S.I. 2001/3649 and S.I. 2009/1941.
  - (g) 2008 c.17.20
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