


**Scheme Document:  
Scheme for  
Certification of  
Design (Section 6 –  
Energy) for  
Domestic Buildings**

BRE Global

**August 2009**

**Revision 2**

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		Revision No:	2
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## Scheme Document: Scheme for Certification of Design (Section 6 – Energy) for Domestic Buildings

**BRE Global**

**August 2009**

The Scheme for **Certification of Design (Section 6 – Energy) for Domestic Buildings** was established by BRE Global. This Scheme Document is a Guide to scheme members, Verifiers, the building industry and members of the public on the operation of the scheme and is issued by the BRE Global Approved Certifier of Design (ACD) Team.

Persons who are approved to certify the energy design of buildings (domestic and non-domestic) under the Building (Scotland) Act 2003 appear on the Certification Register. The Register is maintained by the Building Standards Division of the Scottish Government on behalf of Scottish Ministers, at [www.sbsa.gov.uk](http://www.sbsa.gov.uk), an up to date database will also be maintained by BRE Global.

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## Glossary of terms

**ACD** Approved Certifiers of Design

**Act** Building (Scotland) Act 2003

**Applicant** The applicant for a building warrant is usually a building owner or a developer. The applicant must demonstrate the compliance of their proposals with the Building (Scotland) Regulations 2004 as amended and they may choose to do so by submitting certificates by Approved Certifiers of Design (Section 6 - Energy) in support of their application for building warrant. (Note that an applicant may use an agent to make an application.)

**Approved Body** A firm, public body, or other organisation that is a member of the Scheme

**Building Regulations** Building (Scotland) Regulations 2004 as amended

**Building Standards Division (BSD)** the Scottish Government Division (part of the Directorate of the Built Environment) responsible for the Building Regulations and associated Certification schemes

**Certificate** A certificate of design issued by an Approved Certifier of Design

**Certifier** An Approved Certifier of Design who is a member of the scheme and is able to certify the compliance of energy design to Section 6.

**Certification Coordinator** A person employed by an Approved Body who countersigns Certificates

**Energy Design** The design of a building that involves the thermal performance of the building fabric, fuel and power consumption for heating, cooling and lighting


**Firm** A company, partnership, contractor, or sole practitioner

**Register** The register of Approved Certifiers of Design, Approved Certifiers of Construction, Approved Bodies and Schemes maintained by the Building Standards Division on behalf of the Scottish Ministers at [www.sbsa.gov.uk](http://www.sbsa.gov.uk).

**SAP** The national calculation methodology for domestic buildings. Approved SAP software is normally used to assess compliance with Section 6 Energy – Domestic.

**Scheme** The Scheme for the Certification of Design (Section 6 Energy – Domestic)


**Scheme Provider** An organisation that operates one or more schemes to certify compliance with the Building (Scotland) Regulations 2004 for specified aspects of a project. The BSD criteria for approval of scheme providers include evidence of status, expertise in relevant aspects of design or construction, capacity to operate schemes, financial probity, and appropriate disciplinary procedures.

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**Sole practitioner** A single professional who does not employ any other person and who is not an employee of any other type of firm.

**Verifier** Body appointed by Scottish Ministers to oversee the administration of the building warrant process. For the foreseeable future, these bodies will be Scottish Local Authorities

See also the Glossary in the Building Standards Division Certification Handbook.


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## Legislation and Building Standards Division Guidance

The following legislation and guidance documents are relevant to the operation of this certification scheme:

- Building (Scotland) Act
- Building (Scotland) Regulations as amended
- Building (Procedures) (Scotland) Regulations
- Building (Fees) (Scotland) Regulations
- Building (Forms) (Scotland) Regulations, (Model forms are available from [www.sbsa.gov.uk](http://www.sbsa.gov.uk) )
- BSD Scottish Building Standards Technical Handbook: Domestic – Section 6 Energy.
- BSD Scottish Building Standards Technical Handbook: Non-Domestic – Section 6 Energy.
- BSD Scottish Building Standards Procedural Handbook
- BSD Scottish Building Standards Certification Handbook for schemes approved under Section 7(2) of the Building (Scotland) Act

Users of this Scheme Document should refer to [www.sbsa.gov.uk](http://www.sbsa.gov.uk) for the most up to date versions of the regulations and technical handbooks.

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## 1 Introduction

The purpose of building regulations, as defined by the Building (Scotland) Act 2003 is to secure the health, safety, welfare and convenience of people, to further the conservation of fuel and power, and to further the achievement of sustainable development, with respect to the design, construction, demolition and conversion of buildings and the provision of services, fittings and equipment in or in connection with buildings.


Prior to 1st May 2005, compliance with the requirements of the Building (Scotland) Act 1959 and associated building regulations was achieved using Technical Standards set by the Scottish Government. The Building Control system was administered and enforced by local authorities.

A new system was introduced under the Act and the Building (Scotland) Regulations 2004, based on building standards that define the functions a building has to perform. This approach introduced greater flexibility than the former system of Technical Standards that could only be altered by a Scottish Statutory Instrument. The new system accommodates the rapid change necessary to comply with the requirements of the Construction Products Directive, which aims to ensure that building regulations should not form a barrier to trade, and for the adoption of harmonised European Standards.

Under the current system, designers of buildings have more opportunity to offer alternative ways of complying with the functional standards. However, the risk to public safety, as a consequence of inadequate building performance, is related more directly now to the competence and integrity of the individuals involved with the design process.

The current system introduced the possibility of certification of compliance with the building regulations by Approved Certifiers of Design and Approved Certifiers of Construction. The system is grounded on the principle that suitably qualified and experienced building professionals can accept responsibility for ensuring compliance with the building regulations, without the need for detailed scrutiny of design by Verifiers, provided they are employed by reputable firms or organisations that operate a system of careful checking.

Certification may only be undertaken by persons approved under Section 7(1) of the Act or by members of schemes approved under Section 7(2) of the Act. Section 7(2) states: 'The Scottish Ministers may approve schemes in accordance with which persons (whether individuals or bodies corporate or unincorporate) who are for the time being members of the schemes are entitled to exercise for the purposes of this Act the functions of (either or both) –(a) an Approved Certifier of Design, (b) an Approved Certifier of Construction.'

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On 11 July 2007, the Scottish Ministers approved an Approved Certifiers of Design scheme as follows:

- Certification of Design (Section 6 – Energy) for Domestic Buildings.

The Scottish Government through Building Standards Division (BSD) appointed BRE Global (BRE G) to act as Scheme Provider for this scheme on 11 July 2007.

In order to establish the competence of those certifying the design of buildings, Approved Certifiers of Design (Section 6 – Energy) for Domestic buildings are approved for membership of the Scheme and placed on a Certification Register maintained by the BSD. An individual member of the Scheme may perform the functions of an Approved Certifier of Design (Section 6 – Energy) Domestic.

To fulfil their role properly, Certifiers must have adequate support from their employers, or the firms to whom they are contracted to certify a project (i.e. the Approved Body). In order to provide certification services, a firm (company, partnership, contractor or sole practitioner), public body or other organisation must meet the conditions to become a member of the Scheme as an Approved Body.


All Certificates of Design must be signed by both an Approved Certifier and the Certification Coordinator of the Approved Body employing the Approved Certifier. BRE Global (BRE G) through the Approved Certifier of Design (ACD) Team is responsible for operating the Scheme and is subject to audit by BSD. The ACD Team assesses all applications for membership from individuals and firms. BRE G undertakes audits of the certification practice of Scheme members.

A client, design practice or consultancy firm can arrange a contract with an Approved Body to provide certification services or clients can directly appoint an Approved Body to the design team. However, Certification is optional and the building warrant applicant can submit all design information, calculations and specifications in the traditional manner to the Verifier.

It is important that all parties involved in the design, construction, and approval of buildings covered by the Building Regulations clearly recognise and understand the differences between the system prior to May 2005 and that introduced under the new Regulations, and under the associated provisions of this Scheme.

It is the responsibility of the Approved Body which employs the Certifier to negotiate appropriate fee levels commensurate with the work involved and to permit the Certifier adequate time and resources to undertake all enquiries necessary to satisfy themselves that works covered by the certificate comply with the building regulations. Approved Bodies should enter into a contract agreement with the developer or designer to undertake the work and issue the Certificate of Design. The responsibilities of Approved Bodies and Approved Certifiers of Design are set out in detail in this document.


The new building standards system came into effect on 1 May 2005 and applies to projects where the building warrant application is lodged after that date. The Mandatory Functional Standards and associated technical guidance associated with

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Section 6 - Energy (Domestic) were revised and become effective from 1 May 2007. This Scheme applies to projects applied for after that date.

This document describes the Scheme, its management and the management processes. The Scottish Building Standards Certification Handbook and Procedural Handbook describe the provisions of the Act and of the Building (Procedures) (Scotland) Regulations 2004.

The Scheme is based on the guidance given in BSD's Certification Handbook.

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## 2 The scheme

There has been a requirement for the provision of a signed Certificate of Design that provides proof that the energy design of a domestic building complies with current building regulations.

The procedure regulations make provision for organisations to provide schemes, termed 'Scheme Providers'. For an organisation to be appointed as a Scheme Provider, application must be made to the BSD. Applicants are required to demonstrate that they possess the expertise and capacity to administer a certification scheme.

BRE G applied both for approval of a Scheme and to become a Scheme Provider for Section 6 - Energy (Domestic).

The Scheme for Certification of Design (Section 6 Energy – Domestic) was approved under Section 7(2) by the Scottish Ministers on 11 July 2007 and BRE was appointed as a Scheme Provider on the same date.

The function of BRE G is to administer the Scheme, deal with any complaints and appeals, and report to the BSD on membership of the Scheme and the certificates issued.

### 2.1 Authority and scope of the Scheme

The authority for the Scheme is derived from Section 6 of the Act. The Scheme places the responsibility for certification on its members.

The Scope of the Scheme is the compliance of domestic buildings with building regulations, Section 6 Energy. All standards, 6.1 to 6.10, are covered by the Scheme.


The scope of the Scheme for Certification of Design (Section 6 – Energy) for Domestic Buildings is the certification of the calculation of energy rating and carbon index using approved SAP software ([www.bre.co.uk/sap2005](http://www.bre.co.uk/sap2005)). Such information is essential to comply with the current building regulations.

It is necessary for Certifiers to be clear about the scope of work covered by any Certificate of Design that they sign in relation to a particular project.

The Scheme is subject to regular audit by the BSD, as set out in Section 5.

### 2.2 Membership of the Scheme

Membership of the Scheme is open to any individual and any organisation that meets the membership criteria outlined in this Guide.

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BRE G will forward details of membership of the Scheme to the BSD Certification Register within 24 hours of acceptance of new members, or within 24 hours in the case of suspension, termination or resignation of membership.

Membership of the Scheme (both Approved Certifier membership and membership of Approved Bodies) is renewable and is subject to the payment of a fee on joining the Scheme and an annual membership fee.

Members are subject to audit at any time to be decided as necessary by BRE (termed an emergency audit), but at a maximum interval of three years.

Membership remains valid for a period of three years. After three years the Scheme Provider will assess the appropriateness of continuing membership of the Scheme by assessing competence through audit (in the three year period) and ensuring that appropriate training has taken place. Further training and examination may need to be undertaken.

### **Approved Certifiers**

An individual or sole practitioner member is entitled to exercise the function of an Approved Certifier of Design.

The function of a Certifier is to examine the energy design of domestic buildings and where appropriate to certify that they comply with the Building Regulations.

A Certifier must not certify any work that has not been checked for compliance with the building regulations. A Certifier issues a Certificate of Design, using the prescribed form (see sample in Appendix 1), to the applicant for building warrant noting the number of the certificate in a logbook.


A Schedule of Competence will be prepared for each Approved Certifier of Design, which will be completed during the application assessment process, see Appendix 2. This will define the type of domestic building project that is within the Certifier's competence. The Schedule will be signed off by the Certifier and the Certification Coordinator of the Approved Body. BRE Global will require Approved Bodies to monitor the activities of Certifiers to ensure that they keep within the areas identified on the Schedule. The Schedule will be kept within the Certification Logbook that will be held by all Approved Bodies. The Schedule of Competence can be expanded and updated with more training and gaining of competence being demonstrated. The issue of the Schedule of Competence will be addressed at the audit.

### **Approved Body**

A firm, public body, or other organisation that is a member of the Scheme may act as an Approved Body to supply certification services within the scope of the Scheme.

An Approved Body must employ at least one Approved Certifier of Design; it holds appropriate levels of public liability insurance, personal indemnity insurance and employers liability insurance and designates a Certification Coordinator.

The Certification Coordinator of the Approved Body must countersign certificates issued by the Certifier under the scheme. The Coordinator oversees the checking

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system used by the certifier to ensure that best practice is being followed. As set out in the Scheme Document all activities will be recorded and maintained through the Certifier's Logbook. The role of the Certification Coordinator is set out further in BSD's Certification Handbook.

### **Registration numbers**

A Certifier is given a personal registration number and may leave an Approved Body without loss of that number. The individual uses that number if subsequently employed by another Approved Body. However, if subsequently employed by a firm not on the Register (i.e. not an Approved Body), the individual cannot act as a Certifier.

### **Access to training**

Access to training is a key requisite for the membership of Approved Bodies to the Scheme. Approved Bodies should commit to allowing Certifiers time for training and to finance such training as necessary; this will be checked as part of the audit process. Suitable training will be provided each year by the Scheme Provider, but other forms of training and CPD will also be accepted, see Appendix 3. The Approved Body will provide access to technical documentation policies as part of the application process, see Appendix 12.


## **2.3 Scheme management**

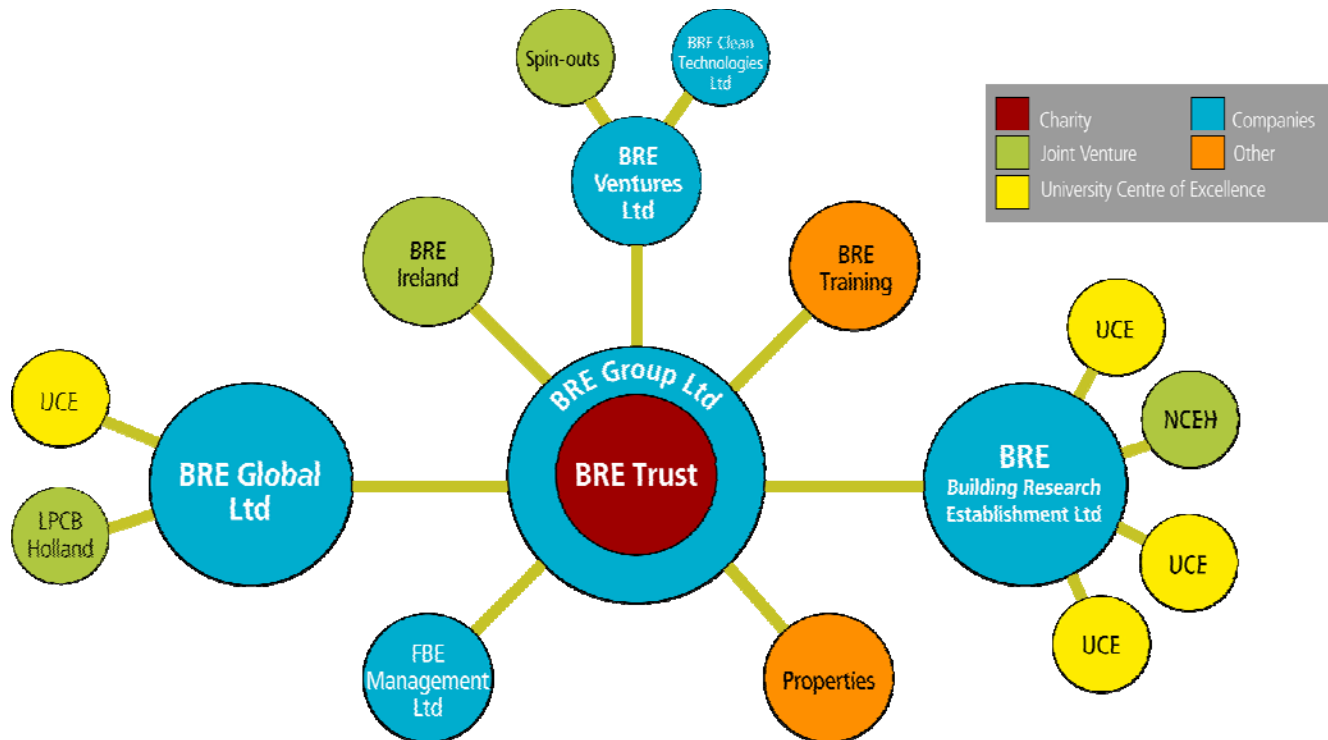
### **BRE Global**

BRE Global provides independent third party confirmation that products, systems and installers meet and continue to meet appropriate standards. BRE G currently operates schemes in the following sectors:

- Construction
- Energy
- Environment
- Life safety
- Property protection.

The governance structure ensures absolute independence, impartiality and objectivity, see figure 2.1. The Trust is the largest UK charity dedicated specifically to research and education in the built environment.

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**Figure 2.1: Organisation structure**

BRE G's Quality Policy is to promote excellence and innovation through provision of assurance that products, systems, services, personnel and designs comply with specified standards, other normative documents and agreed criteria. To this end BRE G seeks the following:

- to work only in areas in which we have expertise;
- to have management system that meet the requirements of EN 45011, EN 45012 and EN 17020, ISO 17024 and ISO 17025 (the appropriate standards);
- to have staff who are trained in and expected to comply with the procedures, which are relevant to their work;
- to ensure procedures and administration are non-discriminatory and administered in a non-discriminatory manner; and
- to have policies and procedures in place to help us to avoid all conflicts of interest and preserve impartiality.

The three main quality objectives are to ensure the following:

- certification schemes and other activities meet the needs of all stakeholders;
- systems, procedures and staff meet the requirements of the appropriate standards; and
- to continuously improve our service to our customers and stakeholders.

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Many BRE G schemes are UKAS accredited to the following standards:

- EN45012 Management systems certification
- EN45011 Product certification including installation (Part P)
- ISO 17024 Personnel certification

UKAS accreditation ensures correct operation in accordance with the accreditation standards which require our organisation to be independent and impartial. BRE G's accreditation number is 007 and our accreditation schedules are available in PDF format at [www.ukas.com](http://www.ukas.com).

In addition to certification capabilities BRE G is also a Notified Body for the following European Directives:

- Construction Products Directive (CPD)
- Marine Equipment Directive (MED)
- Pressure Equipment Directive (PED)
- Transportable Pressure Equipment Directive (TPED).


This Scheme Document is specific to the ACD Scheme for Section 6 (Energy) of Domestic Buildings. The procedures and guidance given here is used in preference to any general procedures provided by BRE G.

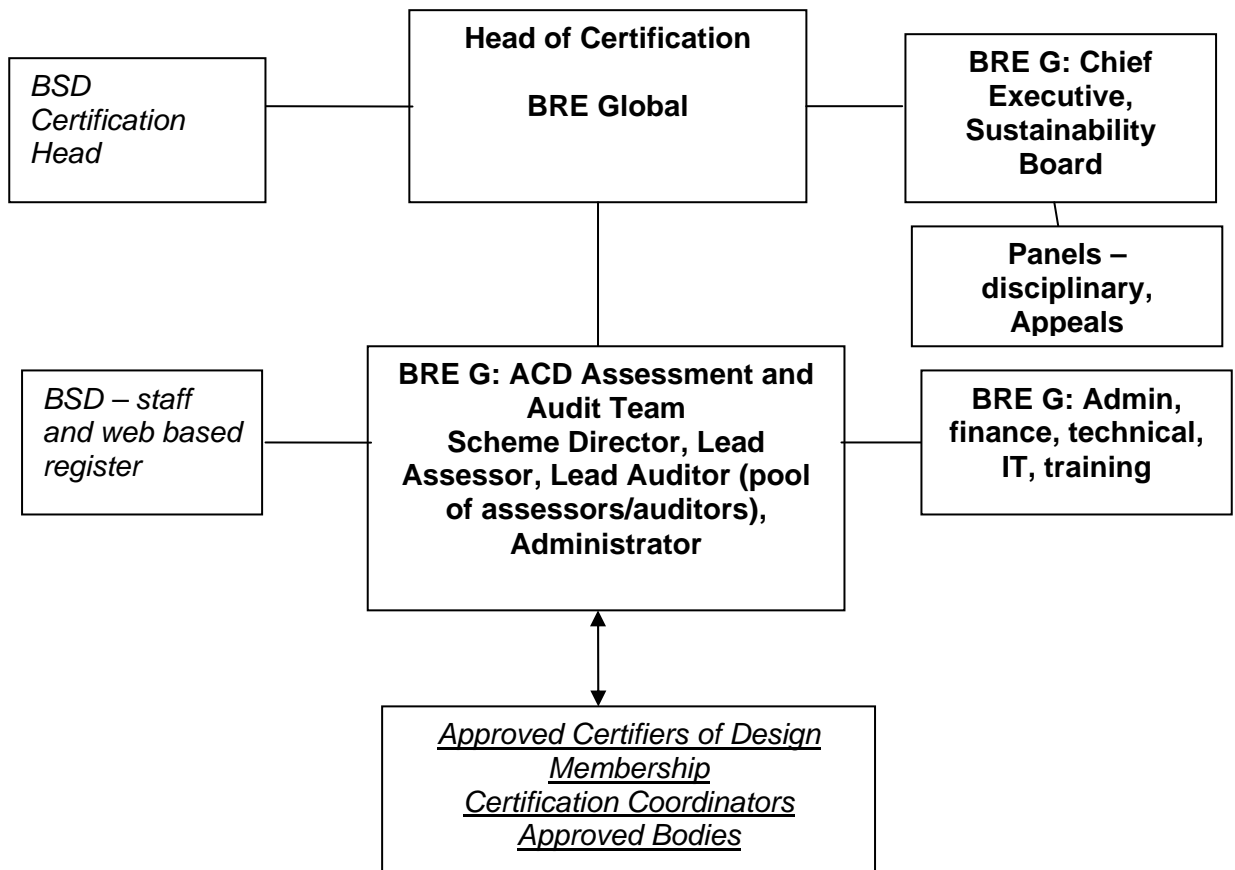
### **The ACD Team**

The ACD team structure is shown in figure 2.2. The Head of Certification is responsible for all aspects of the scheme, whilst the day to day functions are managed by the Scheme Director, the Lead Assessor, the Lead Auditor and the Scheme Administrator. The Chief Executive of BRE Global and the Sustainability Board (independent Board of BRE G) provide guidance to the team and ensure that standards are being maintained. The Scheme Director is responsible for direct correspondence and reporting to BSD. The Lead Assessor is responsible for correspondence to Scheme Members.

There will be one Head of Certification (Certification Head of Certification), one Scheme Director, one Lead Assessor (Technical Head of Certification), one Lead Auditor and one Administrator. The Lead Assessor will be responsible for undertaking assessments as well as managing the work of any Support Assessors. The Lead Assessor and Support Assessors will themselves be qualified and trained to the level of an Approved Certifier.

The ACD Team must declare any conflict of interest with regard to applicants for membership or members of the Scheme.

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**Figure 2.2: ACD team structure**

#### 2.4 Criteria for individual membership

Membership is restricted to individuals who have a minimum of qualifications related to the energy design of buildings.

Individual membership of the Scheme is open to persons with a minimum level of qualification, as follows:

- Membership of an appropriate professional body (e.g. RIAS, RIBA, RICS, CIOB, IMechE, IStructE, IEEE, CIAT, Institute of Energy, CIBSE or other appropriate professional body).
- Level IV SVQ/NVQ qualification in an appropriate subject, with membership of a professional body.
- At the discretion of the Scheme Provider, where equivalence to the above two levels can be demonstrated. Applicants who are not qualified to level IV should submit details of relevant projects undertaken at application stage. The

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Scheme's Lead Assessor will request such information if it is not provided before membership can be granted.

The latter category is intended to allow members of considerable energy design experience of domestic buildings, but who are not members of professional bodies or Level IV qualified to join the scheme. All applicants will need to demonstrate competence through an examination in any case and the opportunity for specific training for all applicants exists

In order to ensure that the final category is used in only appropriate circumstances the following guidance will be followed by the Lead Assessor:


- Granting membership of the scheme to individuals at the discretion of the Scheme Provider should only be made in a limited number of circumstances, it should not be the normal manner of entry to membership.
- An individual will be required to demonstrate by virtue of a suitable CV and of work related to the energy design of domestic buildings their suitability for membership. Additional information on project work undertaken may be requested by the Scheme's Lead Assessor.
- An individual will be required to demonstrate by virtue of experience in a design practice, engineering practice or energy auditing practice their familiarity and practical application of the energy design of domestic buildings.
- An individual will be required to demonstrate by virtue of experience in the familiarity and practical experience of the building regulations, including Sections 1 to 5, but especially Section 6, for domestic buildings that they can certify compliance of a buildings energy design with the building regulations.
- An individual will be required to pass the examination set by the Scheme Provider, and give evidence that suitable training has been undertaken.

All Approved Certifiers of Design must successfully undertake and complete BRE Global's examination(s) to demonstrate knowledge and experience of the Scottish Building Standards system and energy design of domestic buildings.

Membership will only be awarded on satisfactorily completing an examination for domestic building certification. This will include examination in the use of the national calculation methodologies and energy design standards for domestic buildings.

Beyond that, candidates should fulfil the following criteria:

- (1) to have supervisory experience in the construction design industry;
- (2) to agree to adopt appropriate procedures to satisfy themselves of the compliance or non-compliance of the design of construction work described in an application for building warrant or amendment to warrant;
- (3) to declare that they will only certify work if they have sufficient knowledge and understanding of the Building regulations, relevant codes of practice and of the Technical Handbooks.

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(4) to undertake training in the energy design of buildings and national calculation methodologies, and to maintain competence.

(5) to undertake to understand the Scheme's requirements as described in this Scheme Guide.

(6) to undertake to abide by the Scheme Code of Conduct.

(7) to record in a logbook details of all certificates issued together with a record of the basis of decisions on compliance and details of any 3rd party relied on in making decisions on compliance.

(8) to agree to submit evidence of their certification practice to audit by BRE G on request, including the logbook of certificates issued.

(9) to agree to submit evidence of their certification practice when BRE G is subject to audit by BSD.

(9) to have undertaken and passed successfully examination in the Certification of the energy design of domestic buildings. Certifiers of Design will be expected to operate only within their Schedule of Competence.

The examination may be undertaken before application or simultaneously with an application.

An individual Scheme member, a Certifier, may describe himself or herself as an Approved Certifier of Design. A firm that belongs to the Scheme may describe itself as an Approved Body.

Membership does not entitle the use of letters such as 'AC', 'ACD', AB or 'BSD' or any logo of BSD and the Scottish Government. BRE G will issue a Scheme Member's Certificate to all Approved Certifiers and Approved Bodies. Members of the BRE G Scheme are entitled to use the 'BRE Certification Tick Mark' in accordance with the terms given in their letter of acceptance onto the Scheme.


Registration of Approved Certifiers and Bodies can be checked at [www.sbsa.gov.uk](http://www.sbsa.gov.uk).

## **2.5 Criteria for membership of bodies**

Criteria for the membership of firms, public bodies, or other organisations are given below. Approved Bodies are required to comply with the following:

(1) employ at least one Approved Certifier of Design so that applications must either: be accompanied by an application for membership of an individual who is permanently employed by the body; or identify an individual who has already achieved Certifier status with another Approved Body but who has transferred their employment to the applicant's permanent staff;

(2) agree to adopt appropriate auditable checking procedures to assure the quality of certification activities (formal accreditation such as ISO9000 is not a requirement);

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(3) agree to hold public liability insurance and professional indemnity insurance normally to a value of at least £2m and, where appropriate, employers liability insurance;

(4) provide access for Certifiers to all relevant legislation, handbooks, codes standards and guides;

(5) make provision to promote the training and development of Approved Certifiers of Design, in support of certification activities (including both technical and procedural training) to an appropriate level;

(6) designate a Certification Coordinator to countersign certificates completed by a Certifier who is employed or otherwise engaged by the Approved Body;

(7) maintain a logbook of all certificates issued. This logbook is to be used by all Certifiers employed by the Approved Body.

(8) undertake to understand the Scheme's requirements as described in this Scheme Document;

(9) undertake to abide by the Scheme Code of Conduct;

(10) report changes in staffing, within two working days, to the Lead Assessor at BRE G with regard to Approved Certifiers of Design or the Certification Coordinator;

(11) agree to audit of their certification activities by BRE G on request.

(12) agree to cooperate with BRE G in audits of the Scheme Provider by BSD.

Bodies with more than one office are required to make a separate application for each branch office that wishes to offer certification services. Only offices or branch offices that employ at least one Certifier are eligible for membership.


A sole practitioner can be both a Certifier and an Approved Body. The Sole Practitioner will submit a single application form (for Approved Certifiers), but indicate their status as a Sole Practitioner and provide insurance and quality assurance procedures.

See Section 4 for issues concerned with the criteria for assessment, approval and audit of membership.

## **2.6 Duties of an Approved Certifier of Design**

The Certifier should be satisfied that their knowledge and experience enables them to discharge the responsibility of certifying particular work, bearing in mind the nature of the project. If appropriate, the Certifier should call on other suitably qualified and experienced persons for advice. However, certification is the responsibility of the Certifier alone.

A Certifier must undertake certification in a methodical manner, for example by using a checklist for each project, and record sufficient detail in a logbook which can be

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audited by BRE G. Checklists have been developed by BRE (see Appendix 7) and logbook and project filing requirements (see Appendix 8).

The Certifier must take account of the impact of their work and ensure it does not impinge on the overall integrity of the building and that it complies with building regulations. Certifiers must take account of all requirements of the building regulations in certifying compliance with Section 6.

In all cases, a design must be certified by a Certifier and countersigned by the Certification Coordinator of an Approved Body that is a member of this scheme.

Schedule 2 to the Act prohibits a Verifier from certifying any matter for which they act as verifier. This means that a Certifier who is employed by a local authority may only certify work that is verified by a different local authority.

## **2.7 Duties of an Approved Body**

The Approved Body must provide an environment that supports the Certifier and maintain the conditions under which it was approved.

The Certification Coordinator of an Approved Body must not countersign certificates for any period during which the Body does not employ an Approved Certifier.

The Certification Coordinator is responsible for ensuring that the conditions under which the Approved Body was approved are fulfilled and maintained, except in the case of a change of Certification Coordinator.

Any change of Certification Coordinator or Approved Certifier of Design must be reported to BRE G by the Approved Body, within two working days.


An Approved Body is also required to allocate adequate time and resource to the certification process in order to provide the support described above. An Approved Body should advise their clients of the amount of time and cost associated with the certification process prior to accepting appointment of their Certifier.

## **2.8 Code of Conduct**

The Scheme is dependent on trust and strict adherence to this Code of Conduct. All Approved Certifiers of Design and Certification Coordinators will sign a code of conduct, see Appendix 4.

The Scheme requires that its members, the persons employed or engaged by BRE G, and members of any board or panel intended to further the purposes of the Scheme and BRE G, as follows:

- (1) act with integrity and fairness;
- (2) have regard to the public interest and to the interests of all those affected by their activities;
- (3) do not maliciously or recklessly injure or attempt to injure the reputation of another person;
- (4) avoid conflicts of interest;

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(5) uphold the reputation of the Scheme.

The Scheme requires that individual members that perform the function of Approved Certifiers of Design, as follows:


- (1) exercise appropriate skill, care, diligence and judgement in undertaking the certification of Improved Design with respect to the Building regulations;
- (2) do not misrepresent themselves as having expertise and experience that they do not possess;
- (3) maintain and broaden their expertise;
- (4) undertake only those tasks for which they have appropriate expertise and experience;
- (5) do not certify work carried out by others without carrying out necessary checks to satisfy themselves of the adequacy of the work and compatibility within the whole structure;
- (6) acknowledge that for some projects they may lack appropriate experience to enable them to act as the Certifier; and
- (7) disclose to BRE Global if they have been convicted of an offence by a court or have been subject to an adverse finding of any kind by any tribunal, court or other authority.
- (8) the Approved Certifier must be a member of the design team with continuous involvement in the design process.

## **2.9 Disputes, complaints and appeals**

Disputes, complaints and appeals are considered in the following context:

- Disputes, complaints and appeals by applicants to the scheme and scheme members against decisions by BRE Global.
- Disputes, complaints and appeals by organisations and individuals arising from the activities of BRE Global, or the energy certification schemes operated by BRE Global.
- Disputes, complaints and appeals by organisations and individuals against members of the scheme that are to be investigated by BRE Global.

All disputes, complaints and appeals will be considered by BRE Global using defined properly conducted procedures that comply with the performance requirements given in the BSD Certification Handbook. Key aspects of the response will include prompt action within the defined time limits to acknowledge the complaint, to take account of it through the defined procedures, to notify the BSD and the complainant of the outcome and to publish the result as required. Local authorities will also be contacted if the conduct panel decide that the complaint alleges that an Approved Certifier has breached section 11(4) of the Building (Scotland) Act 2003.

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The Scheme undertakes certification procedures in accordance with:

- The Building (Scotland) Act 2003
- The Building (Scotland) (Procedures) Regulations 2004
- The conditions, limitations, and rules of the scheme(s) to which they belong
- Guidance in the Procedural Handbook and the Building (Procedure) (Scotland) Regulations 2004
- Guidance in the Certification Handbook issued in association with the Building (Procedure) (Scotland) Regulations 2004

All complaints should be in writing and addressed to:

The Head of Certification  
ACD Scheme  
BRE Global  
Scottish Enterprise Technology Park  
East Kilbride  
G75 0QF.

All complaints received by BRE Global are investigated and disciplinary actions taken where appropriate.

Note: disputes are not logged as complaints but dealt with by the Scheme Director; unsatisfactory resolution of a dispute may escalate to a complaint.


A complaint may be made directly to the Head of Certification in writing. Otherwise a dispute may escalate into a complaint. In order for this escalation to be recognised by the Scheme Provider a complaint must be received in writing by the Head of Certification clearly setting out all previous correspondence involved at the dispute stage.

### **2.9.1 Disputes, complaints and appeals by candidates for scheme membership or scheme members**

Any dispute, complaint or appeal by a candidate for scheme membership and existing scheme members should be made as follows:

- Dispute – by communication with the Scheme Director.
- Complaint or appeal – in writing to the Head of Certification.

Any dispute, complaint or appeal may arise as a result of issues such as failure of an examination, rejection of an application for scheme membership or the result of an audit.

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All correspondence and meeting notes associated with disputes, complaints and appeals will be retained on file and be made available to BSD on request.

Where a dispute or complaint is raised as a result of refusal of membership then the complaints process is not appropriate and the matter should go straight to the appeals process set out below.

### **Disputes**

The process for handling disputes is as follows:

- Scheme Director receives verbal communication or note of dispute from Candidate.
- Scheme Director investigates dispute with ACD Team (Administrator, Lead Assessor and Lead Auditor) and Head of Certification where required.
- Scheme Director reaches a decision on dispute, which may either reject the candidate's claim or accept the claim and put in place measures to satisfy the outcome.
- Candidate is informed of decision in writing by the Scheme Director.

This process should be completed within no more than 10 working days from note of dispute being received by BRE.

BSD will be informed where a decision by the Scheme Director is likely to cause issues for Certification. The decision on informing BSD is made by the Scheme Director.

### **Complaints**


Complaints will only be considered where they are received in writing by the Head of Certification.

The process for handling complaints is outlined in the flowchart of Appendix 5.

Building Standards Division shall be informed (by email) at each step of the complaint by the Head of Certification.

The process of handling a complaint is as follows:

- Step 1: Head of Certification, responsible for co-ordinating the response to any complaint, by requesting and collating information, convening meetings, and notifying relevant parties. Arranges meeting of the Conduct Panel, unless complaint can be resolved by the Head of Certification.
- Step 2: Certification Conduct Panel, responsible for deciding whether or not any complaint merits consideration by the certification disciplinary panel, or may be resolved by requiring specific work or other action (except fines), or should be rejected. The Panel meets and decides whether or not the Disciplinary Panel is required.

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- Step 3: Certification Disciplinary Panel, responsible for hearing and determining any complaint concerning a member of a scheme that alleges a breach of section 11(4) of the Building (Scotland) Act 2003, or any other complaint that the certification conduct panel considers merits a hearing. The Panel meets and determines the response to the complaint.
- Step 4: Head of Certification is informed of the outcome and writes to the party making the complaint.

The Certification Conduct Panel is composed of at least three senior staff of BRE Global (Head of Certification, Sustainable Schemes Manager and Senior Administrator).

The Certification Disciplinary Panel is composed of senior staff of BRE Global, including the at least three Directors of BRE Global (typically the COO and one other).

The roles and responsibilities of the Certification Disciplinary Panel are as follows:

- Chief Operating Officer: Chairs the panel, makes expert input into complaint resolution, voting on outcome.
- Two further Directors of BRE Global: Expert input into complaints, voting on outcome.

The Head of Certification is responsible for communication of the result of the complaint to the complainant, Building Standards Division and the ACD Team.

The total time from receiving a complaint to communication to the complainant should be no more than 20 working days.

## Appeals


An appeal may be made against any decision of BRE Global to refuse or revoke certification by writing to the Head of Certification clearly setting out the grounds for the appeal. Appendix 6 provides the process by which appeals will be assessed. Appeals will be allowed only in the case of procedural issues.

BRE Global reserves the right to charge up to £1000.00 to the appellant in the event that the appeal is unsuccessful.

The process to be undertaken in an appeal is as follows:

Step 1: The appeal is received in writing and reviewed by the Head of Certification and if the situation can be resolved to the satisfaction of the Appellant and BRE Global then it does not progress beyond this point and the fee is refunded. Appeals are only allowed in the case of procedural issues.

Step 2: Provisional arrangements are then made for an Appeal Panel (with an independent chair) to meet within 20 working days of receipt of the appeal. If the appeal can be resolved by the Head of Certification then the appeal panel will not meet.

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Step 3: An Appeal Panel will consist of three members of the BRE Global Sustainability Board who:

- have not been directly involved in the decision under appeal and
- have no direct interest in the decision.

The Chairman of the BRE Global Sustainability Board will agree the composition of the Appeal Panel with BRE Global.

Step 4: The appellant is given notice of the date set for the appeal, advised of the constitution of the Appeal Panel and invited to be present. The appellant has the right to state objections to the constitution of the Appeal Panel within two working days of receipt of notice. In this case, the objection will be considered by the Chairman of the Sustainability Board and the membership of the Appeal Panel amended if necessary.

Step 5: An Appeal Panel may uphold or quash the decision of BRE Global following a review of the circumstances surrounding the appeal. The Appellant will be informed of the Appeal Panel's decision. BSD and the ACD Team are informed.

The Appeal Panel is composed of three members of the BRE Sustainability Board, plus the Head of Certification. The members of the Appeal Panel are drawn from external organisations and act as a governance body for BRE Global. The following members will have roles and responsibilities:

- Chairman: an independent member, raises all issues with the panel, has voting right.
- Members No. 2 and 3: independent members, discuss all issues and votes on outcome.
- Head of Certification: informs panel on all matters relevant to the case, takes minutes, no voting right.

The maximum time between written receipt of the appeal and the decision by the Appeal Panel is 20 working days.

### **2.9.2 Disputes, complaints and appeals by individuals or organisations against BRE Global**


Any dispute, complaint or appeal by a candidate for scheme membership or existing scheme member should be made as follows:

- Dispute – by communication with the Scheme Director.
- Complaint or appeal – in writing to the Head of Certification.

All correspondence and meeting notes associated with disputes, complaints and appeals will be retained on file and be made available to BSD on request.

### **Disputes**

The process for handling disputes is as follows:

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- Scheme Director receives verbal communication or note of dispute from Candidate.
- Scheme Director investigates dispute with ACD Team (Administrator, Lead Assessor and Lead Auditor) and Head of Certification where required.
- Scheme Director reaches a decision on dispute, which may either reject the candidate's claim or accept the claim and put in place measures to satisfy the outcome.
- Candidate is informed of decision in writing by the Scheme Director.

This process should be completed within no more than 10 working days from note of dispute being received by BRE.

BSD will be informed where a decision by the Scheme Director is likely to cause issues for Certification. The decision on informing BSD is made by the Scheme Director.

### **Complaints**


Complaints will only be considered where they are received in writing by the Head of Certification.

The process for handling complaints is outlined in the flowchart of Appendix 5.

Building Standards Division shall be informed (by email) at each step of the complaint by the Head of Certification.

The process of handling a complaint is as follows:

- Step 1: Head of Certification, responsible for co-ordinating the response to any complaint, by requesting and collating information, convening meetings, and notifying relevant parties. Arranges meeting of the Conduct Panel, unless complaint can be resolved by the Head of Certification.
- Step 2: Certification Conduct Panel, responsible for deciding whether or not any complaint merits consideration by the certification disciplinary panel, or may be resolved by requiring specific work or other action (except fines), or should be rejected. The Panel meets and decides whether or not the Disciplinary Panel is required.
- Step 3: Certification Disciplinary Panel, responsible for hearing and determining any complaint concerning a member of a scheme that alleges a breach of section 11(4) of the Building (Scotland) Act 2003, or any other complaint that the certification conduct panel considers merits a hearing. The Panel meets and determines the response to the complaint.
- Step 4: Head of Certification is informed of the outcome and writes to the party making the complaint.

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The Certification Conduct Panel is composed of at least three senior staff of BRE Global (Head of Certification, Sustainable Schemes Manager and Senior Administrator).

The Certification Disciplinary Panel is composed of senior staff of BRE Global, including the at least three Directors of BRE Global (typically the COO and one other).

The roles and responsibilities of the Certification Disciplinary Panel are as follows:

- Chief Operating Officer: Chairs the panel, makes expert input into complaint resolution, voting on outcome.
- Two further Directors of BRE Global: Expert input into complaints, voting on outcome.

The Head of Certification is responsible for communication of the result of the complaint to the complainant, Building Standards Division and the ACD Team.

The total time from receiving a complaint to communication to the complainant should be no more than 20 working days.

## Appeals

An appeal may be made against any decision of BRE Global to refuse or revoke certification by writing to the Head of Certification clearly setting out the grounds for the appeal. Appendix 6 provides the process by which appeals will be assessed. Appeals will be allowed only in the case of procedural issues.

BRE Global reserves the right to charge up to £1000.00 to the appellant in the event that the appeal is unsuccessful.

The process to be undertaken in an appeal is as follows:


Step 1: The appeal is received in writing and reviewed by the Head of Certification and if the situation can be resolved to the satisfaction of the Appellant and BRE Global then it does not progress beyond this point and the fee is refunded. Appeals are only allowed in the case of procedural issues.

Step 2: Provisional arrangements are then made for an Appeal Panel (with an independent chair) to meet within 20 working days of receipt of the appeal. If the appeal can be resolved by the Head of Certification then the appeal panel will not meet.

Step 3: An Appeal Panel will consist of three members of the BRE Global Sustainability Board who:

- have not been directly involved in the decision under appeal and
- have no direct interest in the decision.

The Chairman of the BRE Global Sustainability Board will agree the composition of the Appeal Panel with BRE Global.

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Step 4: The appellant is given notice of the date set for the appeal, advised of the constitution of the Appeal Panel and invited to be present. The appellant has the right to state objections to the constitution of the Appeal Panel within two working days of receipt of notice. In this case, the objection will be considered by the Chairman of the Sustainability Board and the membership of the Appeal Panel amended if necessary.

Step 5: An Appeal Panel may uphold or quash the decision of BRE Global following a review of the circumstances surrounding the appeal. The Appellant will be informed of the Appeal Panel's decision. BSD and the ACD Team are informed.

The Appeal Panel is composed of three members of the BRE Sustainability Board, plus the Head of Certification. The members of the Appeal Panel are drawn from external organisations and act as a governance body for BRE Global. The following members will have roles and responsibilities:

- Chairman: an independent member, raises all issues with the panel, has voting right.
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The maximum time between written receipt of the appeal and the decision by the Appeal Panel is 20 working days.

### **2.9.3 Disputes, complaints and appeals by individuals and organisations against Scheme Members**

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- Dispute – by communication with the Scheme Director.
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All correspondence and meeting notes associated with disputes, complaints and appeals will be retained on file and be made available to BSD on request.

### **Disputes**

The process for handling disputes is as follows:

- Scheme Director receives verbal communication or note of dispute from Candidate.
- Scheme Director investigates dispute with ACD Team (Administrator, Lead Assessor and Lead Auditor) and Head of Certification where required.
- Scheme Director reaches a decision on dispute, which may either reject the candidate's claim or accept the claim and put in place measures to satisfy the outcome.

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- Candidate is informed of decision in writing by the Scheme Director.

This process should be completed within no more than 10 working days from note of dispute being received by BRE.

BSD will be informed where a decision by the Scheme Director is likely to cause issues for Certification. The decision on informing BSD is made by the Scheme Director.

### **Complaints**

Complaints will only be considered where they are received in writing by the Head of Certification.

The process for handling complaints is outlined in the flowchart of Appendix 5.

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- Step 2: Certification Conduct Panel, responsible for deciding whether or not any complaint merits consideration by the certification disciplinary panel, or may be resolved by requiring specific work or other action (except fines), or should be rejected. The Panel meets and decides whether or not the Disciplinary Panel is required.
- Step 3: Certification Disciplinary Panel, responsible for hearing and determining any complaint concerning a member of a scheme that alleges a breach of section 11(4) of the Building (Scotland) Act 2003, or any other complaint that the certification conduct panel considers merits a hearing. The Panel meets and determines the response to the complaint.
- Step 4: Head of Certification is informed of the outcome and writes to the party making the complaint.

The Certification Conduct Panel is composed of at least three senior staff of BRE Global (Head of Certification, Sustainable Schemes Manager and Senior Administrator).

The Certification Disciplinary Panel is composed of senior staff of BRE Global, including the at least three Directors of BRE Global (typically the COO and one other).

The roles and responsibilities of the Certification Disciplinary Panel are as follows:

- Chief Operating Officer: Chairs the panel, makes expert input into complaint resolution, voting on outcome.

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- Two further Directors of BRE Global: Expert input into complaints, voting on outcome.

The Head of Certification is responsible for communication of the result of the complaint to the complainant, Building Standards Division and the ACD Team.

The total time from receiving a complaint to communication to the complainant should be no more than 20 working days.

### Appeals

An appeal may be made against any decision of BRE Global to refuse or revoke certification by writing to the Head of Certification clearly setting out the grounds for the appeal. Appendix 6 provides the process by which appeals will be assessed. Appeals will be allowed only in the case of procedural issues.

BRE Global reserves the right to charge up to £1000.00 to the appellant in the event that the appeal is unsuccessful.

The process to be undertaken in an appeal is as follows:

Step 1: The appeal is received in writing and reviewed by the Head of Certification and if the situation can be resolved to the satisfaction of the Appellant and BRE Global then it does not progress beyond this point and the fee is refunded. Appeals are only allowed in the case of procedural issues.

Step 2: Provisional arrangements are then made for an Appeal Panel (with an independent chair) to meet within 20 working days of receipt of the appeal. If the appeal can be resolved by the Head of Certification then the appeal panel will not meet.


Step 3: An Appeal Panel will consist of three members of the BRE Global Sustainability Board who:

- have not been directly involved in the decision under appeal and
- have no direct interest in the decision.

The Chairman of the BRE Global Sustainability Board will agree the composition of the Appeal Panel with BRE Global.

Step 4: The appellant is given notice of the date set for the appeal, advised of the constitution of the Appeal Panel and invited to be present. The appellant has the right to state objections to the constitution of the Appeal Panel within two working days of receipt of notice. In this case, the objection will be considered by the Chairman of the Sustainability Board and the membership of the Appeal Panel amended if necessary.

Step 5: An Appeal Panel may uphold or quash the decision of BRE Global following a review of the circumstances surrounding the appeal. The Appellant will be informed of the Appeal Panel's decision. BSD and the ACD Team are informed.

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The Appeal Panel is composed of three members of the BRE Sustainability Board, plus the Head of Certification. The members of the Appeal Panel are drawn from external organisations and act as a governance body for BRE Global. The following members will have roles and responsibilities:

- Chairman: an independent member, raises all issues with the panel, has voting right.
- Members No. 2 and 3: independent members, discuss all issues and votes on outcome.
- Head of Certification: informs panel on all matters relevant to the case, takes minutes, no voting right.


The maximum time between written receipt of the appeal and the decision by the Appeal Panel is 20 working days.

## **2.10 Disciplinary procedure and action**

Where the outcome of a dispute, complaint or appeal is such that the Approved Certifier of Design or Approved Body is subject to disciplinary action then it is the responsibility of the Head of Certification to communicate this outcome to all parties. The findings of the dispute, complaint or appeal will be communicated to the Scheme Member and the course of action to be followed explained.

Membership will be terminated if a member of the Scheme is found by the Scheme Disciplinary Panel to have recklessly issued a certificate. Any alleged breach of section 11(4) of the (Building Scotland) Act will be reported to the relevant local authority, which is a reporting agency for the Procurator Fiscal.

Membership may be terminated or other disciplinary action taken at any time if the conduct or action of a member of the Scheme is found by the Certification Disciplinary Panel to breach the Codes of Conduct given in this Scheme Document.

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### 3 Certification practice

#### 3.1 Certification of Compliance with the Building Regulations

A client who commissions a project that is subject to building warrant may choose to engage an Approved Body which provides domestic energy certification services. They may use the BSD Certification Register to find such a body, or to check the registration of a known firm. The Certifier should be part of the design team and be included at all stages.

It is imperative that, when certifying the compliance of energy design, the process by which compliance was assessed is recorded in writing and placed on file. The record of the Certifier's assessment process is subject to audit at any stage after submission of the warrant. It is, therefore, essential that all such records be placed on file without delay. Assessing compliance is not a retrospective activity and must precede the signing of the certificate.


Certification should include scrutiny of design assumptions, calculation methods, drawings, relevant parts of the specification, and other documents as appropriate. Appendix 7 provides further details on the items that are required in order for an Approved Certifier of Design to certify a domestic building for compliance with Section 6.

Approved Certifiers of Design will be required to retain a logbook of certification, see sample requirements in Appendix 8. It should include all relevant information, the certification checklist, copies of certificates issued and details of all assessments undertaken. The logbook is an essential component required to continue to demonstrate competence of the Certifier and it should be kept up to date for audit purposes. The Approved Body will be expected to ensure that Approved Certifiers of Design maintain a logbook for audit inspection at any time by BRE Global.

#### 3.2 Certificate of Design

A Certificate of Design is a standard form, see sample in Appendix 1. The Certifier completes the form and it is signed by the Certifier and the Certification Coordinator on behalf of the Approved Body that employs or engages the Certifier. The resulting Certificate is supplied to the applicant for building warrant and is submitted along with this application to the verifier.

The Certificate must include a certificate number issued by BRE G and project details that are entered as part of the process to download the Certificate of Design. Certificates are available to Approved Certifiers via access on the BRE Global Scheme IT System ([www.bre.co.uk/acd](http://www.bre.co.uk/acd)). Certifiers who are members of the Scheme are given a registration number and password to the member's area to download a unique Certificate of Design. Payment of a fee is made for downloading the unique Certificate.

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The Approved Certifier of Design should also enter the date at which the Certificate was signed by themselves and the Approved Body Certification Coordinator by accessing the member's area. The Certificate of Design may be signed only when compliance with the building regulations have been satisfied fully (Section 6). This may be at a date later that the Certificate was downloaded.

Part A of the Certificate is a declaration by the Certifier:

- (1) of the nature of the work certified (relevant building standards regulation(s), building use, scope of certification);
- (2) that the Design complies with the building regulations.
- (3) that he/she is registered as an Approved Certifier.

The Certificate also includes a declaration of how specified aspects of the project was certified, which serves as a checklist and will be used in auditing.

The Certifier states:


'I certify that, having exercised reasonable skill care and diligence in consideration of the design proposal for the project described in the application:

- i) The energy design complies with the Building (Scotland) Regulations 2004 (as amended) with respect to Standards 6.1 to 6.10 (Domestic)
- ii) Where this certificate relates to an application for a stage, the design of this stage is consistent with the design of any previously certified stages.
- iii) I am registered by Building Standards Division as competent to certify the design of such work.
- iv) The building when converted in accordance with the warrant application, will comply with the requirements applicable to energy contained within Regulation 12 of the Building (Scotland) Regulations 2004 (as amended).'

Part B of the Certificate is a statement by the Certification Coordinator of the Approved Body:

- 'I confirm that the person signing Part A is an Approved Certifier of Design and is a principal in or is employed by this Approved Body. This body is registered by Building Standards Division to provide certification services for Design (Section 6 - Energy) and employs at least one approved certifier under that scheme. I am registered as certification coordinator for this body.'

A Certificate of Design and Energy Performance Certificate (for each building) may be submitted in support of a Building Warrant and/or a Completion Certificate. The Verifier is required to register details of the certificate in Part 1 of the local authority's Building Standards Register, which is an electronic record, and to keep a copy of the certificate in Part 2 of the Building Standards Register. Both parts of local authority Building Standards Registers must be accessible to the public.

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BRE G, as the scheme provider, is required to report to the BSD all certificates issued by the members of the Scheme, at no more than three month intervals. Approved Bodies should retain a copy of the Certificate and pass a copy to the Scheme Provider.

Certificates will be recorded on BRE G's IT system in order for them to be reported to BSD. Certifiers will access the certificate and pay an appropriate amount depending on the building warrant fee (see section 4).

A Certificate of Design entitles the building warrant applicant to a 10% discount on the warrant fee. However, this will only be permissible when the Certificate of Design is submitted with the building warrant application.

### **3.3 Role of the Approved Certifier of Design in a building project**


Appendix 7 shows a checklist that can be used by Approved Certifiers of Design in the course of certification work. The Certifier will be a member of the project design team. All information is therefore required in order to certify to Section 6, but the Certifier should record any omissions with justification within the Certification Logbook.

The checklist is primarily to help the Certifier and the responsibility for completing it lies with the Certifier. The Certifier may hand over the checklist at the outset and ask the applicant to supply the information available at that time. As the design work proceeds the Certifier records additional information included on the checklist as it becomes available. This helps the Approved Certifier to adopt a methodical approach to certification and the completed checklist forms part of the audit by the scheme provider.


The checklist is primarily a guidance document for the Certifier and for those others involved with the design team. The building warrant applicant may be a lay or professional person. If they are a lay person then they are likely to rely on their professional design team to act on their behalf by sourcing the relevant information. It is considered that the sourcing of information in order to Certify to Section 6 will be a two way process between the design professionals working on behalf of the warrant applicant and the Certifier.

An Approved Certifier of Design can use the checklist in order to confirm that all relevant information has been produced in order to determine compliance with Section 6. The information may be made available by another professional from the design team or alternatively it may be provided by the Approved Certifier. The Approved Certifier will need to record when information has been provided or obtained and record the suitability. In the case of insufficient information then the Certifier will seek more information from the other members of the design team or carry out further work to supply this information.

There are a variety of ways in which the checklist can be used in the Certification process, but the Approved Certifier must ultimately record the availability of the information and justify reasons for not including specific items.

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Subcontractor designed packages and staged warrants can present an issue for the certification process. Guidance has been produced by BRE Global and is included in Appendix 9.

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## 4 Membership process

The membership process is provided in this section, including applications, assessments, maintenance and auditing. In addition, BSD will undertake audits of the scheme operated by BRE G.

The flowchart in Appendix 10 shows the process of application and assessment. The flowchart in Appendix 11 shows the audit process.

### 4.1 Applications for membership

Applications will be received by BRE from any suitable applicants, including those for Approved Bodies, Certifiers of Design and Sole Practitioners. Sample application forms are given in Appendix 12.


All information relating to the application process is available on line at [www.bre.co.uk/acd](http://www.bre.co.uk/acd). Payment of the membership joining fee should be made on application for membership to BRE Global. Payment should be made by cheque or through an invoice if required. Once the payment has cleared then the application will be assessed by the Scheme Administrator who will record receipt of application and fee, check for completeness and create a new file for the applicant. The application will be returned if not complete or passed to the scheme assessor if complete for assessment. A checking and verification form is started for each Approved Certifier of Design and Approved Body. The process set out in Section 4.2 will be used by The ACD Team.

The applicant will be informed of the decision by the Scheme Administrator on behalf of the Head of Certification. The joining fees for the scheme are as set out in table 4.1.

Approved Certifiers of Design	Individual Membership	£50
	(exam fee)	£600
Approved Body	Firm, public body, etc	£350
	(site visit – if required)	£600
Sole practitioner	Sole trader, self employed	£350
	(site visit – if required)	£600

**Table 4.1: Joining fees (VAT to be added to all)**

Certifiers also need to display competence through examination, which is normally part of the application process. The BRE Global ACD Energy Examination costs £600 (See Appendix 3).

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## 4.2 Assessment of membership applications

BRE Global has appointed a team of Head of Certification, Scheme Director, Lead Assessor and Support Assessors, as well as the Scheme Administrator. A checklist has been developed for the application process, see Appendix 13.

The Scheme Administrator first checks completeness of the application, enters details onto the ACD database and starts the Checking and Verification form. Incomplete applications are returned, whilst complete applications are forwarded to the Lead Assessor. References will be requested by the Scheme Administrator. The Scheme Administrator will request that the Code of Conduct and Schedule of Competence will be completed and signed.

It will be the responsibility of the Assessors to ensure that the application for either Approved Body or Certifier meets the requirements of the scheme. Any conflict of interest of assessors must be declared prior to assessment commencing.

The Assessor will normally undertake assessment of application within four weeks of receipt, and all references have been obtained.

Assessors will grade the application as follows:

- Satisfies membership criteria
- Does not satisfy membership criteria.

In the case of the latter the Lead Assessor will correspond directly with the applicant for further information or to reject the application.


Assessors will complete a checking and verification form to record all decisions made. A recommendation will be made either to accept application, reject application or to ask for further points of clarification, by the Lead Assessor. Support Assessors cannot themselves decide on suitability, sign off is required for quality assurance purposes. In cases of uncertainty Support Assessors will seek advice from the Lead Assessor. Further guidance should be given by the Head of Certification.

The Scheme Director will check all applications and complete the Checking and Verification Form prior to submission to the Head of Certification.

The Head of Certification, or delegated person, will sign off all assessments made. The Checking and Verification Form will be signed off and a letter of acceptance prepared for the Applicant.

The Certifier and/or Approved Body details will be placed onto the BSD Certification Register, if successful. Each Certifier and Approved Body will be provided with a Registration Number. This will be used on all certificates issued and the numbers will be unique. Unique and secure user names and passwords will be provided to Certifiers to access Certificates of Design as detailed above.

The Head of Certification will sign off applications as required. If the Head of Certification considers that the application form is insufficient to assess the suitability of an Approved Body then a joining audit visit may be required.

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The applicant will be informed of the decision of BRE Global on membership by the Lead Assessor. If successful then two letters will be sent, the first with the Certifiers Registration Number and user name for the member's area of the web site. The second letter will contain their password for the member's area. These items are sent separately for security of the system. Certifiers should not disclose their password to any other person.

Approved Bodies will have their membership confirmed by letter, which will detail their registration number. Certification Coordinators do not undertake Certificate downloads and therefore they do not have access to the member's area of the website.

### 4.3 Maintaining membership

Membership is subject to an annual fee as set out in table 4.2.

Approved Certifiers of Design	Individual Membership	£50
Approved Body	Firm, public body, etc	£350
Sole practitioner	Sole trader, self employed	£350

**Table 4.2: Annual fees (VAT to be added to all)**

If fees for membership remain outstanding for one month then membership will be suspended. If fees remain unpaid for three months then the membership will be terminated. A full application is required with audit of previous work prior to reinstatement. The annual fees will be due one year after the membership has been granted, i.e. the date on the acceptance letter from BRE Global.

Certifiers are required to maintain an up to date logbook for all Certification projects.


Certifiers who wish to amend the Schedule of Competence may make separate applications at any time. This may require further examination and application of a fee.

Approved Bodies shall retain for audit purposes evidence of Professional Indemnity Insurance cover, Public Liability Insurance and Employers Liability Insurance where appropriate.

The Certification Coordinator is not allowed to sign certificates in any period when the Approved Body does not employ at least one Approved Certifier of Design. BRE Global must be informed on any such periods.

Any member that wishes to resign their membership can do so with immediate effect by writing to the Head of Certification. No refund will be provided on membership fees.

Any Approved Certifier of Design who leaves their firm (Approved Body) will be temporarily suspended until such time as they become an employee of another Approved Body or a Sole Practitioner. An Approved Body that does not employ an Approved Certifier of Design cannot issue Certificates of Design.

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Membership may be suspended or terminated as a result of complaints and disciplinary procedures being activated (see Section 2.9). BRE Global will inform BSD within 24 hours of any such instance.

Auditing of scheme members will be carried out at a frequency of no greater than three years. Successful completion of the audit will be a prerequisite for continuing membership. Audit processes are described in the following section.

Certification register update files will be supplied by BRE G to BSD on suspension and termination of membership.

#### **4.4 Auditing – scheme membership and certificates issued**

The members of the scheme will be audited, the flowchart in Appendix 11 provides details of the process. Audits will include the following:


- One audit during first three years of membership. Approximately one month notice provided.
- Emergency audits initiated by complaints and/or unusual circumstances existing (e.g. large contract being assessed). No more than one week notice provided.
- Audits may be required for renewal of membership, at three yearly intervals. Three months notice provided.

BRE G will undertake audits of major projects. Any project of warrant fee greater than £10,000 should be reported by the Approved Body to BRE G and an emergency project audit may be undertaken. BRE G will ensure that the project is within the capability of the Certifier prior to the work going ahead. The Certification logbook may be inspected at any time during the work.

The system for auditing the Approved Bodies and Certifiers will include the following:

- At the initial random audit, three yearly audit or emergency audit BRE Global will inform the Approved Body's Certification Coordinator of the date and requirements for the audit.
- The Approved Body and Certifiers will be required to submit their Certification Logbook to BRE Global prior to the audit (at least 24 hours).
- Auditors will visit the premises of the Approved Body and Certifiers and undertake audit using a checklist of items, see Appendix 11.
- A selection of projects will be assessed for each Certifier.
- The auditors will ensure that access to relevant information on building standards is available and that Certifiers CPD records are acceptable.

One or two auditors will be assigned to an Approved Body and their Certifiers, depending on the size of the firm, number of certifiers and their projects undertaken in the period covered. The Lead Auditor and Support Auditors will themselves be qualified and trained to the level of Certifier. The training they will receive will be to

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the same standard as expected for Certifiers. The auditor training will include sections 1 to 5 of the Technical Handbook.

The auditor will provide a verbal report to the Certification Coordinator at the time of the audit. However, a written report and cover letter will be provided to the Approved Body. The audit will be signed off by the Head of Certification prior to release to the Approved Body for quality assurance purposes. Where the audit is not undertaken by the Lead Auditor then this person shall check the audit prior to it being submitted to the Head of Certification. The audit process shall use a checklist and flow chart to ensure compliance with good practice, this has been developed from existing BRE Global schemes.

If the audit is satisfactory then the scheme membership will be renewed and the Approved Body and Certifier will remain on the Register. If there are minor non-conformities then these will be reported and a follow up visit arranged. If there is an unsatisfactory audit then membership will be suspended pending further consideration by the Head of Certification and if necessary the Certification Disciplinary Panel.

Further information on the audit process and reporting is given in Appendix 11.


#### **4.5 Auditing of Scheme by BSD**

The management of the Scheme by BRE Global, including membership assessment, auditing and approval processes is subject to annual audit by the BSD on behalf of the Scottish Ministers. There is a cost to BRE Global for the audit by BSD.


#### **4.6 Summary of Fees**

A summary of the fees involved in the Approved Certifiers of Design (Section 6 – Energy) for Domestic Buildings Energy Scheme are as follows:

- Joining fee – Approved Certifiers of Design (individuals) - £50.00; payable on application to join scheme.
- Approved Bodies (firms) - £350.00; payable on application to join scheme.
- Sole practitioner (individual in practice) - £350.00; payable on application to join scheme.
- Training/Examination fee (per Approved Certifier of Design) - £1345.00; note that this is further broken down to £600 for the exam, and £495 for Part 1 training and £250 for Part 2 training. Payable on applying to sit examination.
- Annual renewal Approved Certifier of Design - £50.00; payable 12 months after joining Scheme.
- Annual renewal Approved Body - £350.00; payable 12 months after joining Scheme.
- Annual renewal Sole Practitioner - £350.00; payable 12 months after joining Scheme.

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- Certificate fees – 1% of warrant fee, with a minimum fee of £25 to be charged per Certificate; payable when Certificate number is downloaded from BRE Global on line Scheme IT System.
- Note – VAT to be added to all the above.

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## 5 Further information

### 5.1 The Building Standards Division Certification Register

The BSD Certification Register is the only authoritative list of approved certifiers, approved bodies, schemes and scheme providers. The Register is maintained and kept up to date by the BSD. The Register is available for inspection at: [www.sbsa.gov.uk](http://www.sbsa.gov.uk).

### 5.2 BRE Global

Enquiries about the Scheme may be answered at the [www.bre.co.uk/acd](http://www.bre.co.uk/acd). Otherwise enquiries should be addressed to:

BRE Global

Scottish Enterprise Technology Park


East Kilbride

G75 0RZ

TEL: 01355 576200

[acd@bre.co.uk](mailto:acd@bre.co.uk)

The ACD Team will provide advice to Approved Certifiers of Design and Approved Bodies on any issue that does not involve a dispute, complaint or appeal (see Section 2.9) in the conduct of their roles in accordance with this Scheme Document.

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Appendix 1: Sample Certificate of Design: Energy

<b>New Build:</b>		<b>Alterations/Extension:</b>		<b>Conversion:</b>	
<b>Certificate No:</b>		<b>Building Warrant Number (if amendment)</b>			
<b>Parent Certificate No. (if Staged Certificate):</b>		<b>Schedule 1 Form Attached (YES/NO):</b>			

**Part A: to be completed by the Approved Certifier of Design**

<b>Project Location</b> (As described in Warrant Application)	
<b>Description of Works</b>	
<b>Stage Number and Description</b> (if applicable)	

I certify that, having exercised reasonable skill care and diligence in consideration of the design proposal for the project described in the application:

- i) The energy design complies with the Building (Scotland) Regulations 2004 (as amended) with respect to **Standards 6.1 to 6.10 (Domestic)**
- ii) Where this certificate relates to an application for a stage, the design of this stage is consistent with the design of any previously certified stages.
- iii) I am registered by the Scottish Government Building Standards Division as competent to certify the design of such work.
- iv) **Where this certificate relates to a conversion**, the building when converted in accordance with the warrant application, will comply with the requirements applicable to energy contained within Regulation 12 of the Building (Scotland) Regulations 2004 (as amended).


**Note 1:** This certificate has been issued in support of an application for building warrant under the Building (Scotland) Act 2003 only and must not be used or relied upon for any other purposes including under any contract to which the Certifier is not a party. **Note 2:** This certificate must relate to the building regulations in force at the date the building warrant application is made. **Note 3:** This certificate relates solely to the design of the building (or the design up to the stage of construction to which the certificate relates) and does not certify any aspects of construction. **Note 4:** Any energy details which have yet to be designed in detail and for which a performance specification has been supplied with the building warrant application are listed in Schedule 1 accompanying this Certificate.

Signature		<b>Day</b>	<b>Month</b>	<b>Year</b>	Certifier registration number -
Name				200	<b>BRE1-D-XXXXX</b>

**Part B: to be completed by the certification coordinator of the Approved Body**


I confirm that the person signing Part A is an Approved Certifier of Design and is a principal in or is employed by this Approved Body. This body is registered by the Scottish Government Building Standards Division to provide certification services for Design (Section 6 - Energy) Domestic and employs at least one approved certifier under that scheme. I am registered as certification coordinator for this body.
--

Signature		<b>Day</b>	<b>Month</b>	<b>Year</b>	Body registration number -
Name				200	<b>BRE1-DB-XXXXX</b>

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## Appendix 2: Sample schedule of competence

<b>Schedule of Competence Approved Certifiers of Design: Domestic Energy</b>		
<b>Name:</b>		
<b>Approved Body name or sole trader:</b>		
<b>Building Type and limits</b>	<b>Evidence provided</b>	<b>Approved by Assessor</b>
<i>To be completed by applicant</i>		<i>To be completed by assessor</i>
<b>Guidance notes:</b> <ul style="list-style-type: none"> <li>• The applicant should during the application process enter details of the competence in the above table. This should focus on type of building (e.g. bungalows, 2 storey houses, flatted dwellings, etc), it should describe any limitations on building size, etc.</li> <li>• The applicant should provide evidence of involvement in the energy design of these buildings in the application process. A short description of involvement with supporting design information will suffice. Recent experience is preferred, but longer term experience in the last ten years is also acceptable.</li> <li>• The schedule of competence can be updated on an annual basis to take account of expanding experience.</li> </ul>		

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## Appendix 3: Training materials and examination from BRE Global

### Introduction


BRE Global will make training and an assessment examination available for all applicants as an Approved Certifier of Design. Successful completion of the examination is a prerequisite for membership of the Scheme as an Approved Certifier. Applicants must show that they have attended a BSD approved course on the Certification Scheme and Duties and Responsibilities involved.

This appendix gives details of the training materials and the examination.

### Training materials

The training offered by BRE Global focuses on the following:

- Certification schemes, and the scope of the Approved Certifiers of Design for Domestic Energy.
- Details of the Scheme,
  - how it operates,
  - the activities, processes and issues are involved,
  - who is involved and
  - what systems are in place.
- The roles and responsibilities of Approved Certifiers, building standards system and warrant applications.
- The roles and responsibilities of the Certification Coordinator
- The roles and responsibilities of others involved in the Certification Process.
- Understanding Section 6 - Energy.
- Understanding how to Certify to Section 6 (Standards 6.1 to 6.10).
- Understanding the potential interactions between Section 6 and Sections 1 to 5.
- The use of SAP software to assess the energy performance of dwellings
- Alternative commercial approved software for domestic buildings.
- Issuing Energy Performance Certificates and a compliance statement for domestic buildings.

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The training and examination will be offered in a package as follows:

- ACD Training Part 1 - 2 days related to the use of SAP and other models to assess compliance.
- ACD Training Part 2 - training in other relevant aspects, covering building standards and the role of the Certifier, undertaken over one day.
- ACD Examination Part 3 - the exam will take place on Day 4, approximately one month later than the training.

BRE Global will run courses at regular intervals in order to ensure that there is sufficient opportunity to gain entry to the Scheme.

Training and examinations can be booked on line via [www.bre.co.uk/acd](http://www.bre.co.uk/acd). Applicants unable to book online or requiring further information should contact the Scheme Administrator at [acd@bre.co.uk](mailto:acd@bre.co.uk).

The training will be delivered in suitable training accommodation in locations around Scotland. The course material will include PowerPoint slide handouts, written guidance and information related to the operation of the Scheme and practical based SAP training. Worked examples will be included in the SAP training.

Each delegate to the training will be provided with a handout pack.


### **Examination**

The examination will include the following:

- demonstration of knowledge and competence in Section 6
- demonstration of knowledge and competence in Sections 1 to 5
- demonstration of understanding and ability to use SAP software, and other national calculation support tools
- demonstration of knowledge in building regulations, warrant applications and the role of Certification in the Building Standards system.

The examination would be undertaken over one day, it will not be split. The examination will involve the following:

- multiple choice questions – particularly related to building standards, certification and understanding of the Scheme. This part of the examination will take around 60 minutes to complete and will involve up to 50 questions. A pass mark of 70% is required.
- written exercises – related to understanding of Section 6, and influence of Sections 1 to 5. In addition, issues related to the energy design of domestic buildings. This part of the examination will involve four written questions from a choice of six questions. It will take 90 minutes to complete and a pass mark of 70% is required.

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- worked examples - involving an exercise to undertake a SAP evaluation of a domestic building. BRE will allow candidates to complete this part of the examination in no more than three hours. The worked example will require demonstration of successful completion of work sheets and a short written report. A pass mark of 70% is required.

The examination will be undertaken in a suitable venue with all necessary materials and support provided by BRE Global staff.

The Lead Assessor would be responsible for the examination of candidates and undertaking the assessment of each exam paper and practical tests.

BRE Global expects a pass rate of applicants of around 75% first time and over 95% the second time. The Lead Assessor and Head of Certification will determine if more than one re-examination is possible for candidates.


In the event of the failure of any part of the examination then the candidate will be required to undertake a resit of that part of the examination. In the event of a borderline failure of any part of the examination the Lead Assessor and Scheme Director may determine that a corrective exercise may be undertaken in place of a resit. This may involve one of the following:

- Undertake further training related to the area of deficiency.
- Undertake an interview with the Lead Assessor.
- Undertake an exercise based set by the Lead Assessor.

This approach will be allowed only in specific circumstances at the discretion of the Scheme Provider, there is no automatic right or choice by candidates to join the scheme. Additional charge will be levied by BRE Global for any of the above.

The examination results will remain valid for a period of six months from the date the candidate received the results. Application to join the Scheme should be undertaken within this period of time. After this period of time the Scheme Provider may require the candidate to take a further examination.

In the event of major changes to the building standards (Section 6 – Energy) all Certifiers of Design and applicants may be required to undertake further training and examination.

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## Appendix 4: Code of conduct

### Scheme for Certification of Design (Section 6 – Energy) for Domestic Buildings

As an Approved Certifier of Design / Certification Coordinator, I will:

- (1) act with integrity and fairness;
- (2) have regard to the public interest and to the interests of all those affected by their activities;
- (3) not maliciously or recklessly injure or attempt to injure the reputation of another person;
- (4) avoid conflicts of interest;
- (5) uphold the reputation of the Scheme.


The function of Approved Certifiers of Approved Design and Certification Coordinator will be discharged , as follows:

- (1) exercise appropriate skill, care, diligence and judgement in undertaking the certification of energy design with respect to the Building (Scotland) Regulations 2004 as amended;
- (2) do not misrepresent themselves as having expertise and experience that they do not possess;
- (3) maintain and broaden their expertise;
- (4) undertake only those tasks for which they have appropriate expertise and experience;
- (5) do not certify work carried out by others without carrying out necessary checks to satisfy themselves of the adequacy of the work and compatibility within the whole building;
- (6) acknowledge that for some projects they may lack appropriate experience to enable them to act as the Certifier; and
- (7) disclose to BRE Global if they have been convicted of an offence by a court or have been subject to an adverse finding of any kind by any tribunal, court or other authority.
- (8) be part of the design team with a continuous involvement in the design process.

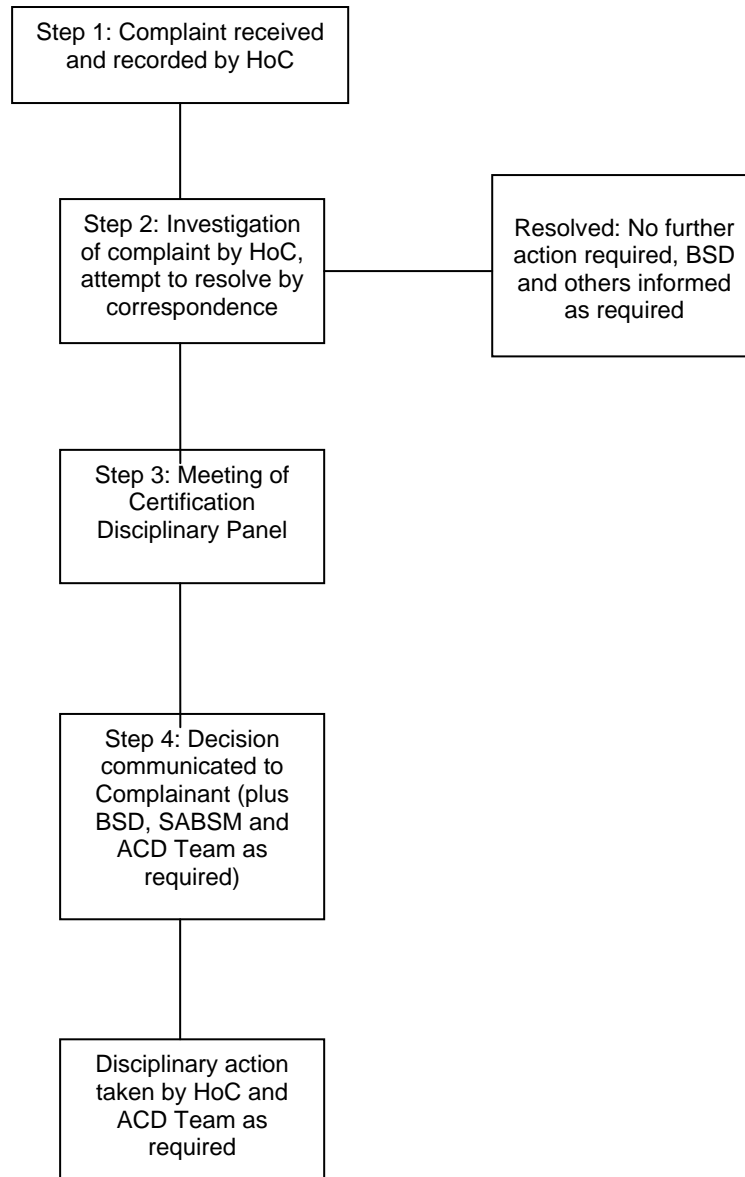
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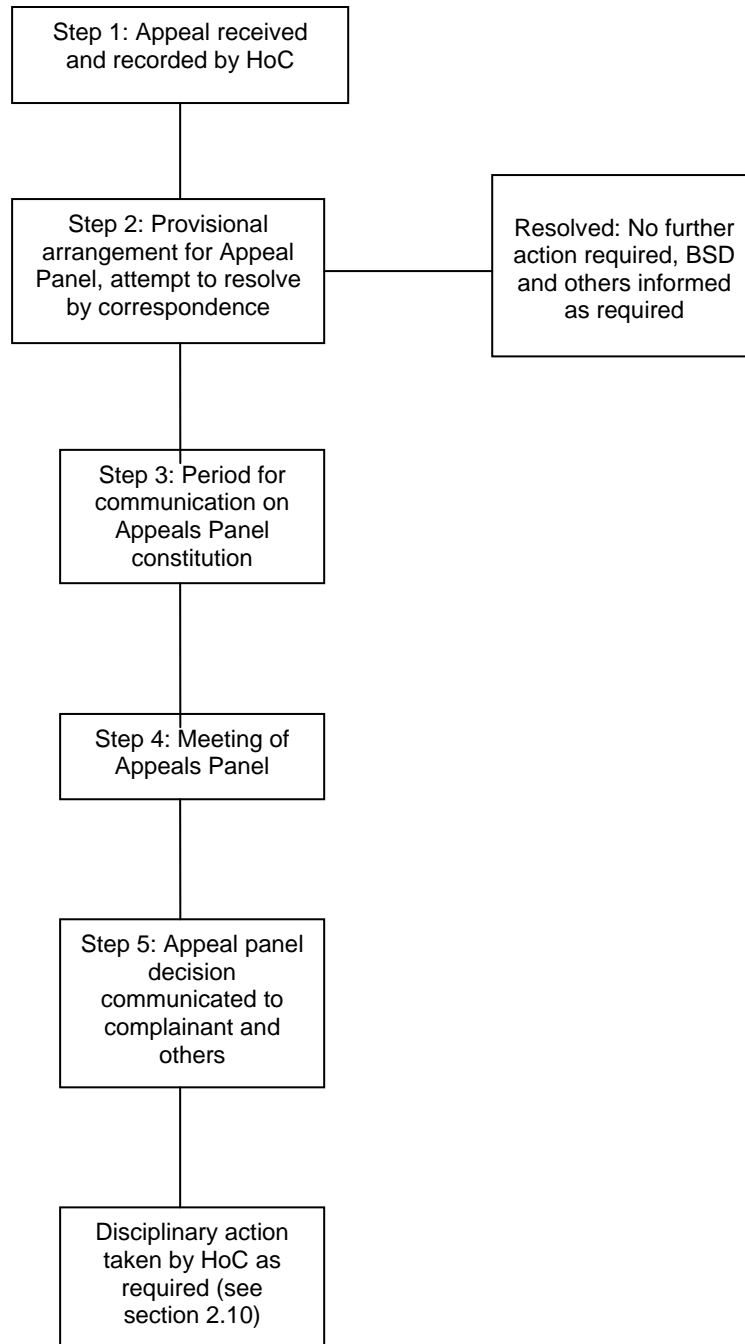
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### Appendix 5: Process for handling complaints - flowchart



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### Appendix 6: Appeals procedure – flowchart



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## Appendix 7: Checklist of items for the Certification process: Section 6 Domestic

Item	Description
Specifications	Bills of Quantities or other forms of written specification. This will relate to the building fabric, services and any energy other relevant energy aspect.
Building Design drawings	Relevant drawings of building elements (wall, roof, floor, etc sections), junctions, components.
Services Design drawings	Relevant drawings of services related to use of energy in the building and assessed against the Standards in section 6.
Contractor packages	Details of all contractor designed packages, including specifications, drawings and trade literature.
Trade literature	Copies of all relevant manufacturers trade literature relevant to building fabric or services components.
Certificates by third parties	Copies of all relevant certificates issued by third parties on products used in the building fabric, services or other relevant energy using products.
CE Marking and other national information	Copies of CE marking information, or similar product information, on building fabric, services of other relevant energy using products.
Building integrated renewables	Information on the technology and performance of building integrated renewables, if they are used.
Carbon emissions and energy use calculations – Standard 6.1	Outputs, results and reports from SAP or other means of assessing compliance with Standard 6.1. This should be supported with full calculations, illustrating the logic applied.
U-value calculations, insulation and airtightness – relevant to Standards 6.1 and 6.2	Relevant U-value calculations or information relevant to use in SAP for Section 6.1.  All relevant information on insulation used in walls, floors, roofs, etc. for Standard 6.2.  All relevant airtightness information for Standard 6.2.
Heating and hot water – Standard 6.3	Relevant information on the heating and hot water systems to provide energy efficiency in accordance with Standard 6.3.
Pipes, ducts and	Thermal insulation information for pipes, ducts and vessels in

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vessels – Standard 6.4	accordance with Standard 6.4.
Artificial and display lighting – Section 6.5	Information on the energy efficiency and controls for artificial and display lighting in accordance with Standard 6.5.
Mechanical ventilation and air conditioning – Standard 6.6	Information on the building fabric of the building, and the energy efficiency of the ventilation and cooling systems in accordance with Standard 6.6.
Commissioning of services – Standard 6.7	Information on the commissioning process and testing for relevant services of Standard 6.7.
Logbook information – Standard 6.8	Information to be included in any logbook for the building as per Standard 6.8.
Energy Performance Certificate – Standard 6.9	Although primarily a construction matter rather than design, information should be provided that is relevant to production of the energy performance certificate as per Standard 6.9. The approach to achieving the EPC for any particular type of building should also be included.
Metering – Standard 6.10	Information is required on fuel consumption meters to be used in the building – as per Standard 6.10.
General	<p>All other relevant energy design information necessary to ensure coordination between Section 6 and all other Sections.</p> <p>Description and relevance to be given by the Approved Certifier in the Certification Logbook.</p>

Note: For some projects the requirements for information to Certify to Section 6 will differ. Where it is not necessary to have all above information for Certification purposes, then this should be recorded in the Certification Handbook by the Approved Certifier with justification. Any additional information should be noted under general and a justification for its inclusion provided.

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## Appendix 8: Certification logbook and project files

The Certification Logbook should be kept by all Approved Certifiers of Design and Approved Bodies (including Sole Practitioners).


The Logbook is kept with all Certification work undertaken by an Approved Body. This will allow the work to be audited readily.

Entries should be made in the Logbook for each Certification project. The Certification Logbook will contain at the least details of the following:

- Client details
- Approved Certifier details
- Project details
- How compliance was determined
- The dates the work commenced and certificates were signed, together with any details of staged warrants, Schedule 1 and Form Q (see Appendix 9).
- Whether or not an Energy Performance Certificate(s) is to be produced for the work.
- Details of any disputes or complaints.
- Any other relevant details.

Each Certification project file should contain the following (as relevant to the project):

- Copies of all Certificates issued
- Copy of any checklist used by the Certifier (see Appendix 7)
- Record of how compliance was achieved
- Record of any third parties used
- Record of correspondence with client and other parties
- Record of particular problems encountered and their resolution
- Declaration that job is within competence of Certifier
- Statement from Certification Coordinator of quality control for each project
- Copy of contract with client, including terms and conditions
- Copy of the Certificate of Design and if required Energy Performance Certificate(s).

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## Appendix 9: Advice on subcontractor designed packages

### Certification of Contractor Designed Details

#### Introduction

On many construction projects standard components or details are designed by a specialist contractor often some time after the general layout design of the domestic building has been completed. Typical components which fall into this group are roofs, cladding, connections, etc. Other key components may be chosen on the basis of information presented in manufacturer's catalogues or test certification however these may not be specified at the time the warrant application has been lodged.


The nature of the construction process is such that work frequently commences on site before all of the detailed design has been completed. Building Warrants must be obtained before work commences and can be a precondition of funding being made available to enable the award of specialist sub-contracts. The building warrant process and the associated energy certification process must be sufficiently flexible to accommodate the realities of construction while still providing the necessary safeguards to the conservation of fuel and power.

If a certificate from an Approved Certifier of Design is submitted then Verifiers should not require design calculations or challenge the design.

#### Post Warrant Contractor Designed Details

The BRE Global scheme has introduced an option which will permit the certification of specific details to be undertaken some time after the certification of the general energy arrangement has been completed and a warrant (or staged warrant) has been granted by the verifier. The key features of this option are as follows:

- The design certificate must be accompanied by Schedule 1 listing any items or details which the certificate does not cover in detail.
- The warrant plans accompanying the application must contain a performance specification for any items or details listed in the schedule to the design certificate.
- The Certifier will receive information from the specialist contractor that demonstrates compliance with the performance specification and compatibility with the previously certified design once this is available.
- If the design does not comply with the performance specification but does satisfy the requirements of the regulations then an application to amend the warrant must be made.
- A building warrant, granted by a Verifier for an application accompanied by a certificate described above, will be accompanied by a notice that is to be returned to the Verifier once the certifier is satisfied regarding the design of the detail.

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- The notice will be signed by the Certifier and by the Approved Body.
- The Local Authority Verifier will refuse to accept a completion certificate unless the notification has been returned.

This procedure should only be used to deal with clearly defined contractor designed details. The Notification Form is a standard document which will be used by all verifiers in a model format specified by the BSD.

The steps to be followed when applying this option are set out in the following:

- Step1 Building Warrant Application lodged

Certifier issues a design certificate for building or stage accompanied by a schedule listing details to be contractor designed later but which are described in the application by performance specification(s).

- Step 2 Verifier issues Building Warrant

The building warrant is accompanied by a Form:

“Notification of Finalisation of Energy Details”

- Step 3 Client appoints specialist contractor

Other work included within warrant can commence on site.

- Step 4 Specialist contractor supplies project Certifier with design detail(s)

Certifier checks contractor design for compliance with performance specification(s) and for consistency with the overall energy design. Any divergence from this would require an amendment to Warrant.

- Step 5 Project Certifier approves design and returns signed notification to the Verifier


Notification also needs to be signed by the Approved Body. Certifiers should retain a copy of the signed notification for audit purposes.

- Step 6 Client submits completion certificate to Verifier.

Before accepting a completion certificate from the applicant the Verifier will check that a notification has been returned relating to any details previously listed in a schedule to the design certificate(s)

### **Staged Warrants**

Staged Warrants may be used to enable an early site start by restricting the content of the design included within the early stages solely to the structure. A verifier may grant a warrant with a condition that information on later stages (which will be listed in the warrant form) is to be provided later. This will allow such stages, accompanied by the appropriate certification, to pass quickly through the verification process. A first stage comprising only foundation and sub-structure may be lodged as soon as these elements have been certified and work may commence thereafter. There may be no detailed energy requirements in the first stage, but the Approved Certifier would still be expected to produce a Certificate on the design to that


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time. Ensure that only certified works are included in the staged application as other matters that are included in the package then the warrant will take longer to process.

The Approved Certifier must issue a separate certificate for each stage and the BSD Procedural handbook states that the certificate must relate only to the work included in a particular stage. It is however the responsibility of a Certifier to make sure that a design certified for a particular stage is also consistent with the design of any previously Certified stages. One Certifier will sign all of the certificates submitted for a particular project.

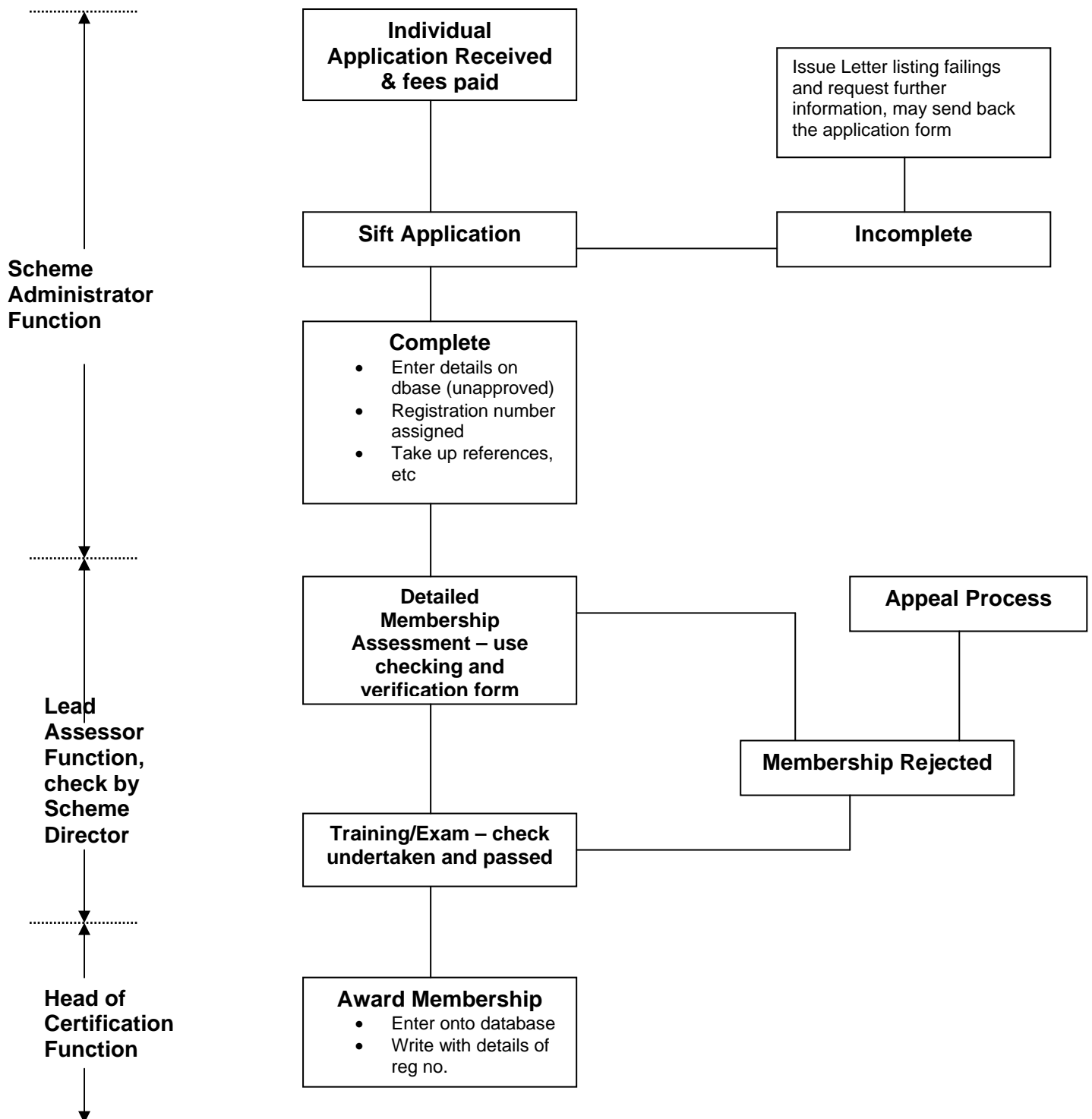
Work on subsequent stages must not commence until the design of these have been submitted to the verifier and a staged warrant granted. The client carries a risk that subsequent changes, perhaps arising out of building regulation compliance issues not previously identified, this could require costly changes to an already constructed stage.


The choice of appropriate stages is a matter for agreement between the applicant and the local authority verifier. The Procedure Regulations do prescribe stages however this is limited to the construction of foundations or any other stages as the verifier considers appropriate having regard to guidance issued by Scottish Ministers. The Approved Certifier should be prepared to offer advice on this matter to the client. For a detailed explanation of the staged warrant procedure readers should consult the relevant sections of the Scheme Document issued by BRE Global and the procedural guidance issued by BSD.

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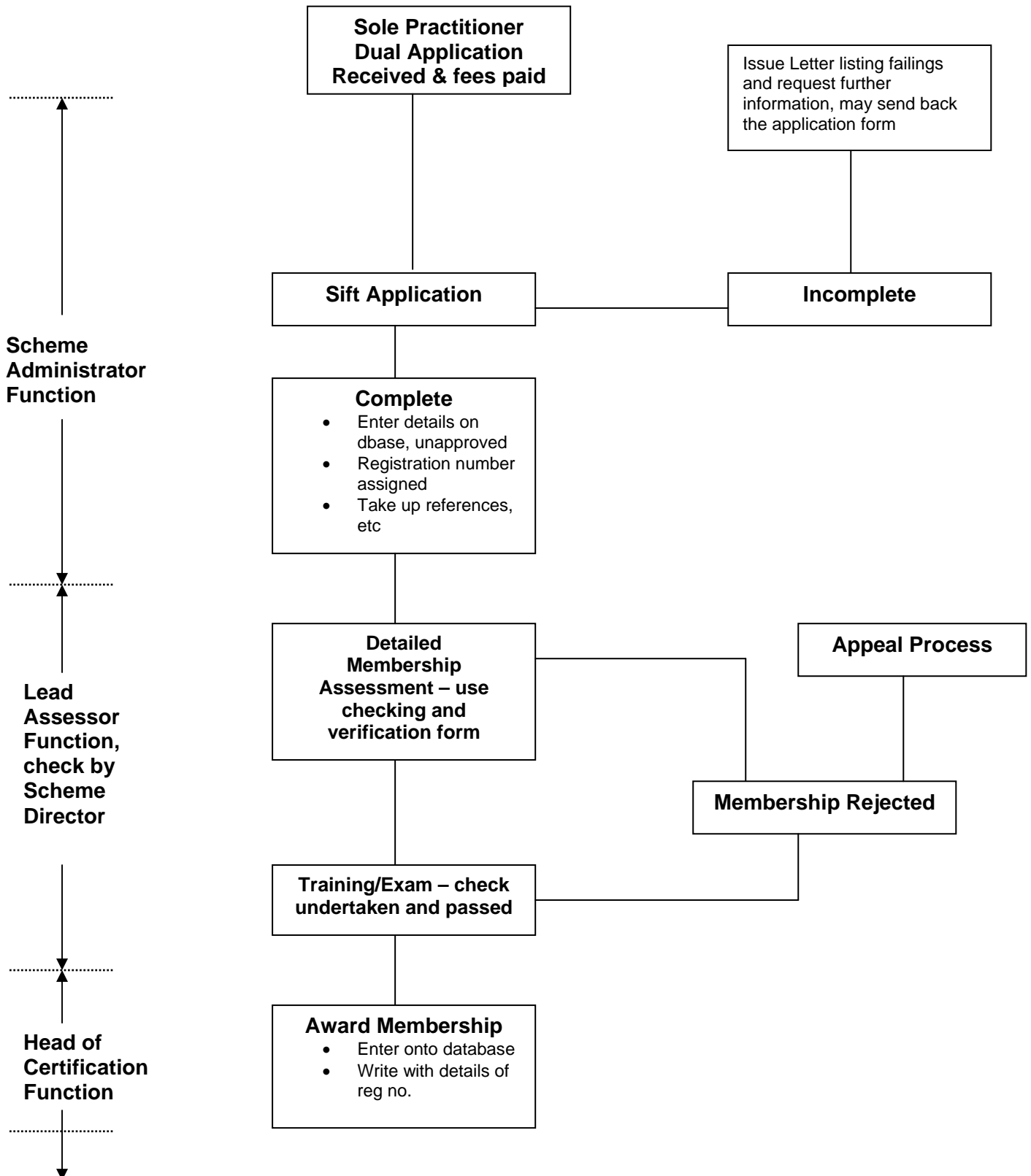
## Appendix 10: Application and assessment process – flowcharts


### Application Process – Individual ACD



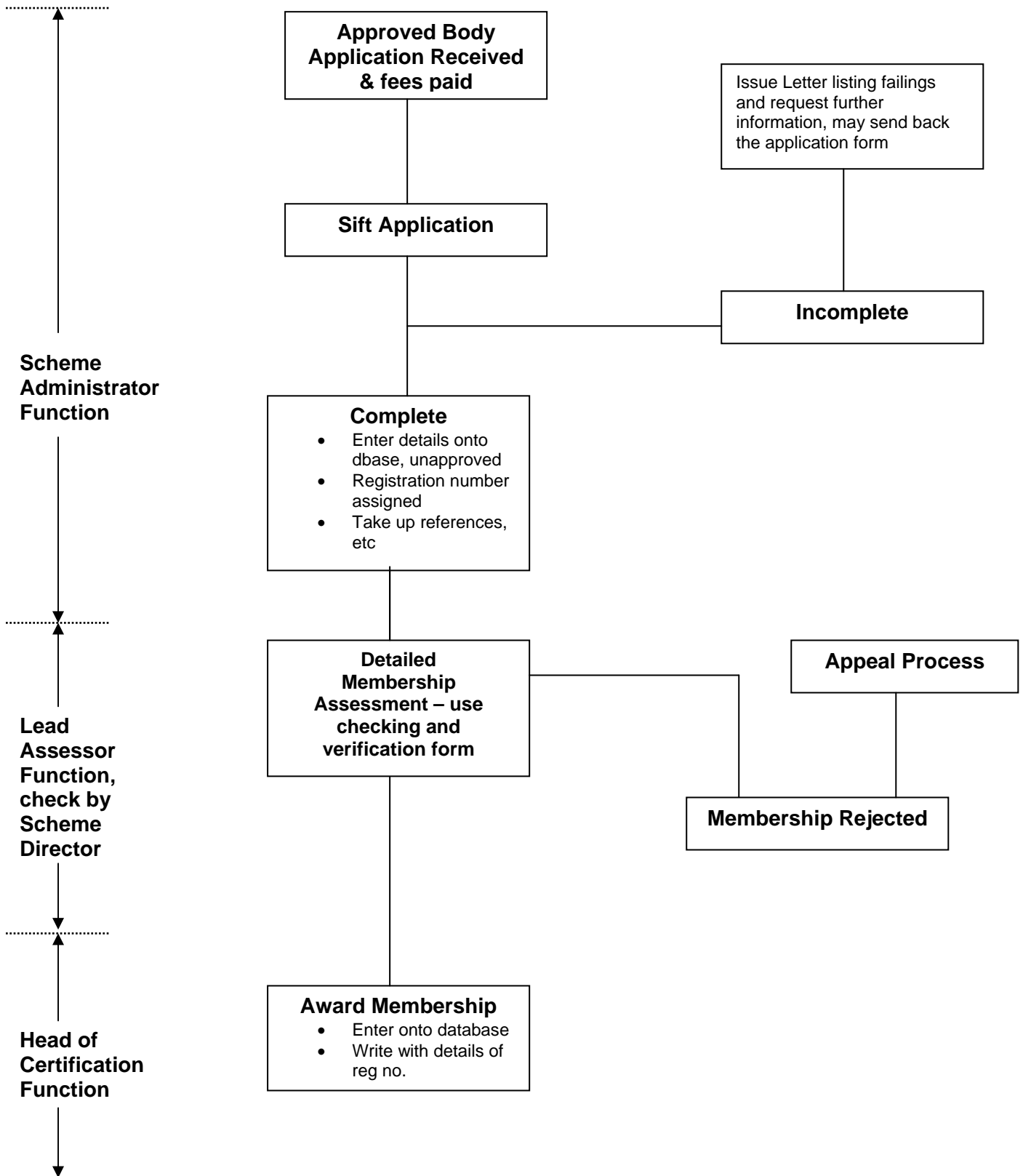
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## Application Process – Sole Practitioners



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## Application Process – Approved Body



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## **Appendix 11: Approved Body and Approved Certifier Audit**

### **Approved Certifiers of Design Domestic And Non-domestic**

#### **Scheme Members**

#### **Audit Process Documentation**

#### **Guidance for Auditors**

#### **and Certifiers and Coordinators of Approved Bodies**

This documentation sets out BRE's approach to undertaking audits of scheme members. It also covers the training requirements for auditors.


Information for prospective Approved Bodies and Approved Certifiers of Design, and members of the public are provided in the Scheme Documents.

Prior to undertaking an audit of a Scheme Member, the Lead Auditor will provide an outline plan for the specific audit to the Approved Body.

All correspondence regarding the Audit will be undertaken between the Lead auditor and the Certification Coordinator of the Approved Body. The Coordinator will be responsible for ensuring that all Certifiers are available for the audit. Sole practitioners acting as Certifiers will be approached directly.

The audit will include the Approved Body and the Approved Certifiers of Design.

BRE Global provides training to all Auditors, this includes a mock audit.

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### **Audit requirements and process**

The members of the scheme will be audited. Audits will include the following:

- One audit during first three years of membership, approximately one month notice will be provided to the Certification Coordinator of the Approved Body.
- Emergency audits initiated by complaints and/or unusual circumstances existing (e.g. large contract being assessed). No more than one week notice provided.
- Audits may be required for renewal of membership, at three yearly intervals. Three months notice provided.


BRE Global will undertake audits of major projects. Any project of warrant fee greater than £10,000 should be reported by the Approved Body to BRE Global and an emergency project audit may be undertaken. BRE Global will ensure that the project is within the capability of the Certifier prior to the work going ahead. The Certification logbook may be inspected at any time during the work.

The system for auditing the Approved Bodies and Certifiers will include the following:

- At the initial random audit, three yearly audit or emergency audit BRE Global will inform the Approved Body's Certification Coordinator of the date and requirements for the audit.
- The Approved Body and Certifiers will be required to submit their Certification Logbook to BRE Global prior to the audit (at least 24 hours).
- BRE Global auditors will visit the premises of the Approved Body and Certifiers and undertake audit using a checklist of items, see table 1.
- A selection of projects will be assessed for each Certifier.
- The auditors will ensure that access to relevant information on building standards is available and that Certifiers CPD records are acceptable.

One or two auditors will be assigned to an Approved Body and their Certifiers, depending on the size of the firm, number of certifiers and their projects undertaken in the period covered. The Lead Auditor and Support Auditors will themselves be qualified and trained to the level of Certifier. The training they will receive will be to the same standard as expected for Certifiers, see later section of this document. The auditor training will include sections 1 to 5 of the Technical Handbook.


The auditor will provide a verbal report to the Certification Coordinator at the time of the audit. However, a written report and cover letter will be provided to the Approved Body. The audit will be signed off by the Head of Certification prior to release to the Approved Body for quality assurance purposes. Where the audit is not undertaken by the Lead Auditor then this person shall check the audit prior to it being submitted to the Head of Certification. The audit process shall use a checklist and flow chart to ensure compliance with good practice, this has been developed from existing BRE Global schemes.

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If the audit is satisfactory then the scheme membership will be renewed and the Approved Body and Certifier will remain on the Register. If there are minor non-conformities then these will be reported and a follow up visit arranged. If there is an unsatisfactory audit then membership will be suspended pending further consideration by the Head of Certification and the Disciplinary panel.

**Table 1: Checklist for Audit process - Approved Body**

Step	Description	Completed/initials/date
1	<p>Scheme Administrator informs Approved Body of proposed date of audit.</p> <p>3 year audit or renewal audit – one month notice/three months notice Emergency audit – seven calendar days notice</p>	
2	<p>Auditor appointed by lead auditor to undertake audit (if not lead auditor).</p> <p>Contact made with Approved Body Certification Coordinator.</p>	
3	<p>Certification logbooks submitted by Approved Body for all Certifiers of Design</p> <p>Minimum 24 hour before audit</p>	
4	<p>Audit undertaken:</p> <p>Certifiers work checked – selection or all projects depending on numbers</p> <p>AB – quality system checked, including access to information for Certifiers</p> <p>Certifiers CPD checked, access to up to date technical information checked, Certification 'library' of information checked</p> <p>Interviews with all certifiers</p> <p>Interviews with Certification coordinator(s)</p> <p>Logbook and checklists returned with comments by auditor</p> <p>Verbal report given to Certifiers and Coordinators</p>	


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	<p>Checks made on Certificates</p> <p>Checks made on Certification System used by Approved Body and Certifier, including filing, sign off of Certificates, etc.</p> <p>Quality Assurance used by Certifiers and Approved Bodies for Certification Process</p> <p>All relevant health and safety issues to be addressed</p> <p>Other issues addressed during audit to be recorded by auditor</p>	
5	Written report made by Auditor to Lead Auditor and Head of Certification for sign off	
6	<p>Action taken</p> <p>Successful audit – continue scheme membership</p> <p>Partially unsuccessful – provide actions and follow up within six months (the follow-up may include a further audit or check that remedial actions have taken place)</p> <p>Unsuccessful audit – carry out suspension and possible termination of membership</p>	
7	Report given to Approved Body and Certifier with recommendations	
8	BRE Global CEO and Board informed of audit within one month	
9	BSD informed of any suspension or termination within 24 hours	

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**Appendix 12: Sample application forms – Certifiers, Sole Traders and Approved Bodies**


Please refer to the website, [www.bre.co.uk/acd](http://www.bre.co.uk/acd).

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## Appendix 13: Checklist and verification form for application and assessment

Name:

Activity to check							BRE Scotland	BRE Global Ltd	
								Scheme checker 1	Scheme Checker 2
<b>Application form</b>									
All sections completed									
Signed by applicant									
Signed by company (where applicable)									
<b>Payment</b>									
Cheque, CC payment or Invoice									
<b>Training and exams</b>									
	Training Dates Attended	Attempt 1	Attempt 2	Attempt 3	Date passed Exam	Verified by			
Part 1									
Part 2									
Part 3									
<b>References</b>									
2 references requested									
2 satisfactory references received									
<b>Code of Conduct</b>									
Signed by the appropriate person?									
<b>Schedule of Competence</b>									
Signed by the appropriate person?									
<b>Insurance if Approved Body or if Sole Practitioner</b>									
Is the insurance amount correct?									
Is the insurance valid at current date?									
Does the insurance cover both public liability and professional indemnity?									
<b>CV</b>									
Is there a copy of a CV?									
<b>Certificate of Incorporation Approved Body or if Sole Practitioner</b>									
Is there a copy of the certificate of incorporation (where appropriate)?									
<b>CPD Record</b>									
Is there evidence of CPD ?									
<b>BRE Global Certificate Re-issue</b>									
Original Certificate									
Change of details form									
Suspension and withdrawal form									
Have all outstanding invoices been paid?									

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## **Appendix 14: Terms and Conditions**

A copy of the BRE Global Terms and Conditions (PN 101) can be downloaded from the website – [www.bre.co.uk/acd](http://www.bre.co.uk/acd).