



# *Architectural EPC*

# On Construction Domestic Energy Assessment

# ACCREDITATION SCHEME GUIDE

## **VERSION 4.0 - August 2011**

Incorporating Northern Ireland and Approved Prior Experiential Learning (APEL) Application Route

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**This Document and should be read in Conjunction with the Scheme Training Materials and the Additional Documents on the Scheme Website**

## 1. Background

The Chartered Institute of Architectural Technologists (CIAT) originally formed as the Society for Architectural and Associated Technicians (SAAT) in 1965. CIAT is the professional and qualifying body in Architectural Technology with over 9,500 members working and studying in the UK and worldwide.

Chartered Architectural Technologists (MCIAT) provide architectural design services and solutions, specialising in the science of architecture and building design and construction for production and performance in use. CIAT was formed in July 2005 upon the Incorporation by Royal Charter of its predecessor, the British Institute of Architectural Technologists (BIAT) in formal recognition of the standards set and maintained by BIAT and the integrative role, skills and expertise of its Members. <http://www.ciat.org.uk/>

The Royal Institute of British Architects (RIBA) is the UK body for architecture and the architectural profession. RIBA provides support for around forty thousand members worldwide in the form of training, technical services, publications, events and sets standards for the education of architects, both in the UK and overseas. RIBA works with government to improve the design quality of public buildings, new homes and new communities. <http://www.architecture.com/>

The Royal Society of Ulster Architects (RSUA) is the professional body for chartered architects in Northern Ireland with around 900 members. Established in 1901 its objectives include the general advancement of architecture and the promotion and maintenance of a high standard of qualification in the profession. The RSUA formed a direct alliance with the RIBA in 1925 and continues to act for the RIBA in Northern Ireland. <http://www.rsua.org.uk>

**Architectural EPC** – Is an On Construction Domestic Energy Assessors Accreditation Scheme –and is primarily aimed at recognising those Architects, Architectural Technologists, Architectural Technicians and other Construction Professionals who have significant and relevant experience of Domestic Energy Assessment and accrediting them as having achieved competence in this work.

The requirements for approval of Accreditation Schemes are set out in:

*No 991 BUILDING AND BUILDINGS, ENGLAND AND WALES - The Energy Performance of Buildings (Certificates and Inspections) (England and Wales) Regulations 2007.*

and

*The Energy Performance of Buildings (Certificates and Inspections) Regulations (Northern Ireland) 2008 (No. 107)*

The Scheme is provided in compliance with the Scheme Operating Requirements (SOR) published by the Department of Communities and Local Government (DCLG)

**Architectural EPC's** application to operate an Accreditation Scheme for Energy Assessors, meeting the conditions set out in regulation 17F(3) of the Building Regulations 2010 as amended, received approval on 9 January 2008.

**Architectural EPC** is provided on a joint venture basis with Just-Ask Services Limited, utilising a secure online data system.

## 2. Glossary of Terms and Abbreviations

### 2.1. Scheme Management

APEL Assessment Panel	The Panel is made up of Chartered Members of CIAT and/or RIBA/RSUA/RIAS who are also either Members of a CLG recognised Accreditation Scheme or they can demonstrate that they have obtained equivalent competency within that of a CLG recognised Accreditation Scheme. The Assessment Panel's role is to review all APEL applications assessed minimum of two Assessors will review each application.
Audit Panel	Auditors are appointed by the Review Panel.
Conduct Panel	The Panel established under the Conduct and Disciplinary Procedures to consider allegations of breaches of the Code of Conduct and to agree actions in relation to the complaint
Independent Quality Assessor	Independent Quality Assessors (IQA) undertake both random and target Quality Assessment Checks of EPCs
Review Panel	The Panel consists of a senior member of staff from CIAT or RIBA/RSUA, a senior member from CIAT and a senior member from RIBA/RSUA and a representative of Just-Ask Services Limited.  The Panel has responsibility for the smooth delivery of the Scheme, monitoring the work of the administration, Audit Panel and Conduct Panels, as well assessing an appeals against the decisions of the Conduct Panel.
Scheme Director	Responsible for directing the work of the Scheme Administrator preparing reports for CIAT and RIBA/RSUA, liaising with CLG/DFPNI.
Scheme Administrator	Responsible for day to day administration of the Scheme.
System Manager	Applications Manager responsible for the management of the online data infrastructure.

## 2.2. Scheme Terminology

APEL	Accreditation of Prior Experiential Learning.
Applicant	An individual who applies to join the Scheme.
ARB	Architects Registration Board.
<b>Architectural EPC</b>	On Construction Domestic Energy Assessors Accreditation Scheme.
ACIAT	Associate Member of the Chartered Institute of Architectural Technologists
Auditor	A Member of the <b>Architectural EPC</b> team responsible for carrying out Audits of Members of the <b>Architectural EPC</b> Scheme.
Central Registry	The registry that holds and logs all the Energy Performance Certificates for England, Wales and Northern Ireland. Registry responsible for assigning a Unique Property Reference Number (UPRN) to each property address on the register. This is maintained by Landmark on behalf of CLG at: <a href="https://www.epcregister.com/">https://www.epcregister.com/</a> and on behalf of the DFPNI at: <a href="http://www.niepcregister.com">www.niepcregister.com</a>
CIAT	Chartered Institute of Architectural Technologists.
CIC	Construction Industry Council
Competency Checks	A series of online tests covering Training Modules 1-4.
Competent Person	A Member of a Competent Persons Scheme recognised by CLG to prepare a design Standard Assessment Procedure (SAP) for energy rating of dwellings ratings.
Construction Professional	Applicants that have been involved in dwelling design and energy performance for a number of years with recognised qualifications and / or membership of a professional institute other than Architects or Architectural Technologists
CPD	Continuing Professional Development
Data System	The online data infrastructure system.
DCLG	Department of Communities and Local Government
DFPNI	Department of Finance and Personnel Northern Ireland.
Employer	A company, partnership, Limited Liability Partnership (LLP) or sole practitioner.
Energy Assessor	Approved On Construction Domestic Energy Assessor.

EPBD	<i>European Directive 2002/91/EC(2003) - Energy Performance in Buildings Directive.</i>
EPC	Energy Performance Certificate.
FRIAS	Fellow of the Royal Incorporation of Architects in Scotland.
Just-Ask Services Limited	The <b>Architectural EPC</b> online data services partner.
MCIAT	Chartered Member of the Chartered Institute of Architectural Technologists.
Member of <b>Architectural EPC</b>	Applicants that have been successful in completing the <b>Architectural EPC</b> Training Modules and SAP tests where necessary or have transferred membership from an equivalent Accreditation Scheme and have been registered as a Scheme Member.
OCDEA	On Construction Domestic Energy Assessor.
IQA	Independent Quality Assessor.
Professional Institutes	Chartered Institute of Architectural Technologists (CIAT), Royal Institute of British Architects (RIBA), Royal Society Ulster Architects (RSUA) and other construction related Professional Institutes.
Register	The register of <b>Architectural EPC</b> Energy Performance Certificates (EPCs) and Approved Energy Assessors as maintained by <b>Architectural EPC</b> .
RIAS	Royal Incorporation of Architects in Scotland also used to indicate membership of the RIAS (see FRIAS above).
RIAS-Energy Design Certification	A Scheme which approves Certifiers of Design for <i>Section 6 - Energy (Domestic)</i> under <i>The Building (Scotland) Act 2003</i> . The Scheme is provided by RIAS in partnership with Just-Ask Services Limited.
RIBA	Royal Institute of British Architects / Member of the RIBA.
RSUA	Royal Society Ulster Architects.
SAP	Government Standard Assessment Procedure for Energy rating of dwellings, currently <i>SAP 2005 version 9.81</i> .
SAP Tests	A series of tests based on existing dwelling designs for applicants to demonstrate their understanding of the SAP methodology.
SOR	The Scheme Operating Requirements issued by DCLG
TCIAT	Professionally Qualified Architectural Technicians.

### 3. Registration Process

To become a Member of **Architectural EPC**, the Applicant begins by registering a note of interest on the website at [www.architectural-epc.co.uk](http://www.architectural-epc.co.uk).

The registration and subscription process is online to avoid the proliferation of yet more paperwork and stream line the management of the scheme.

At key points, the Scheme Administrator will (and where necessary on the authority of the Scheme Director) validate the information supplied by the applicant to either authorise the Applicant to proceed to the next step or contact the Applicant with further information and advice.

**Architectural EPC** has to ensure, as far as possible, that each applicant:

- is who they say they are and Applicants must therefore subscribe via a secure banking process and provide a signed Code of Conduct countersigned either by a senior colleague or a fully qualified Member of a professional institute
- does have the qualifications and memberships they claim
- has not been refused membership or removed from membership of another OCDEA Accreditation Scheme
- has PI Insurance (to a minimum of £50,000) in place

**Architectural-EPC** is also required to share with the CLG and other Accreditation Schemes details of any members who are removed from the Scheme.

All applicants must demonstrate that they meet the competences within the National Occupational Standards for On Construction Domestic Energy Assessors<sup>1</sup> as required by CLG

These can be demonstrated either by acquiring the **ABBE** Level 3 Diploma in On Construction Energy Assessment or by Approved Prior Experiential Learning (APEL).

In addition each applicant must have successfully completed 5 Practical SAP Tests which cover a range of criteria identified by CLG.

Applicants to **Architectural EPC** will:

- be MCIAT, TCIAT or ARB registered Architects, or
- have provided proof that they are a Construction Professional with relevant and recent experience, or
- have provided proof of membership of a “Competent Persons” Scheme

in addition they can:

- provide proof of an ABBE Level 3 Diploma in On Construction Domestic Energy Assessment qualification, or
- demonstrate they have attained Approved Prior Experiential Learning, using the APEL application form,

all applicants will be required to pass the **Architectural EPC** on-line competency tests (to demonstrate general competency in line with the NOS requirements) and the 5 practical SAP Tests.

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<sup>1</sup> <http://www.assetskills.org/PropertyAndPlanning/PropertyNOS.aspx>

Individual APEL applicants will be required to demonstrate that they have a broad range of skills which meet the NOS requirements. **Architectural EPC** has mapped MCIAT, TCIAT and Architects qualifications against the NOS and provides guidance on which sections of the NOS they are deemed to be pre-qualified for.

Members of other OCDEA Accreditation Schemes will have achieved membership through either qualification or APEL. Those who followed the APEL route post January 2009 must provide a copy of their APEL assessment for checking. Those who completed APEL pre January 2009 will need to complete APEL with **Architectural EPC**.

Notwithstanding which category an applicant falls into, they must demonstrate at the point of obtaining membership that their competencies are up to date.

In order to do this **Architectural EPC** provides combined CPD/top up training and online testing to ensure all applicants are up to date with SAP/EPC terminology, legislation and methodology which all applicants must undertake. In addition **Architectural EPC** provides 5 SAP Tests which are independently marked and all of which must be passed.

The reason **Architectural EPC** has decided that all applicants must undertake and pass all the tests is to ensure a minimum threshold is maintained for all members of the scheme and support the quality assurance aspects of the scheme

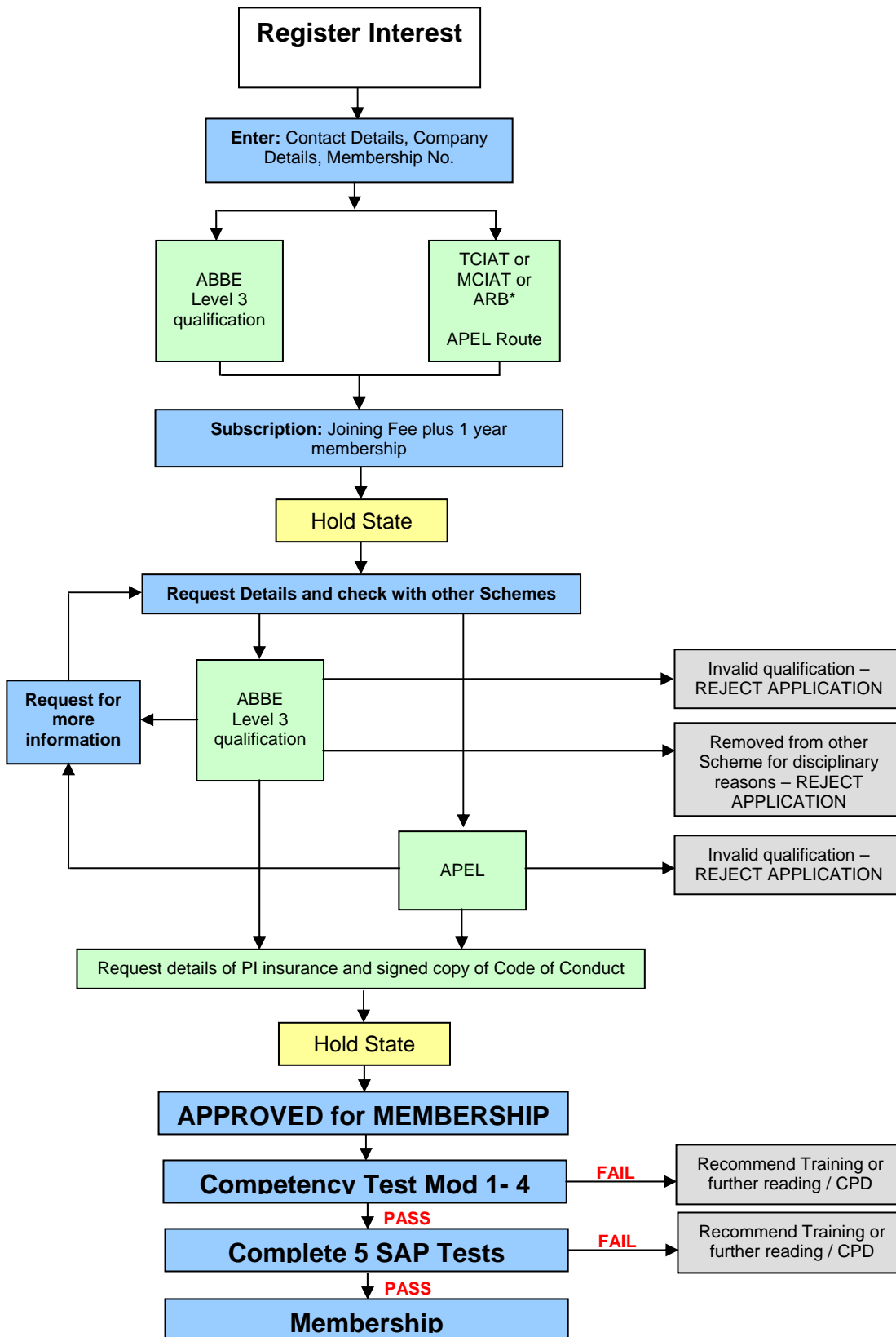
## 3.1. Registration Milestones

1. Enter details and register note of interest
  - a) name
  - b) company
  - c) address
  - d) telephone/Email
  - e) membership number
2. Confirm whether:
  - a) You are a member of Professional Institute and your membership number:
  - b) If you were a member of a FAERO recognised Competent Person's Scheme
  - c) Have an ABBE Level 3 qualification in Energy Assessment of new dwellings
  - d) Transferring from another OCDEA Accreditation Scheme
3. Subscription
  - a) online credit/debit card processing
  - b) joining fee to cover registration administration
  - c) annual subscription to cover operational and Quality Assurance
4. Holding State 1: Verify details
  - a) Scheme Administrator verifies the contact details and the membership details including PI insurance
  - b) Scheme Administrator verifies the Member's credentials and qualifications required for Scheme membership
  - c) Scheme Administrator passes (where appropriate) APEL form to APEL Assessor for assessment
  - d) APEL Assessor passes APEL assessment back to Scheme Administrator who informs applicant of the results
5. Competency Checks

Applicants undertake the online CPD/top up training modules
6. Holding State 2: Pass/Fail
  - a) Pass is verified online
  - b) Fail: Scheme Administrator verifies with Applicant any deficiencies in knowledge and recommends the appropriate training solution
7. Holding State 3: SAP Competency Checks

Applicants must pass 5 SAP Tests
8. Holding State 4: Pass/Fail
  - a) Pass is verified online
  - b) Fail: Scheme Administrator verifies with Applicant any deficiencies in knowledge and recommends appropriate training solution
9. Membership
  - a) Applicant is now a full Member of the Scheme and can create and lodge EPCs.
  - b) as part of the ongoing Quality Assurance, the Member can expect to be Audited at least once every five years

### 3.2. Registration Flow Chart



## 4. Compliance Requirements

**Architectural EPC** has been formulated in line with a model accreditation system developed under the aegis of the Secretary of State. This model was developed to promote comparability and commonality across Accreditation Schemes and to assure quality and consistency of standards operated by institutions accrediting Members who are professionals in Energy Assessment.

**Architectural EPC** provides Members of Professional Institutes with an additional Member's service and will accredit On Construction Domestic Energy Assessors. This accreditation ensures that consumers can have confidence in the Energy Performance Certificates (EPC) as well as the Energy Assessors responsible for them.

Members of **Architectural EPC** must demonstrate compliance with the seven key criteria outlined below.

### 4.1. Membership

*"Ensuring that members of the Scheme are "fit and proper" persons to undertake energy assessments and that they operate within a code of conduct which is actively enforced by the Scheme".*

Membership of the Scheme is open to those who are:

- Chartered or Associate Members or Professionally Qualified Architectural Technicians of CIAT
- architects as recognised by ARB, many of whom will also be Members of RIBA, RSUA and/or an Associate or Fellow of RIAS
- such other Construction Professionals as the Scheme is minded to accept as Members on an individual basis.

As well as appropriate experience/training which covers all 4 modules of the NOS candidates must be able to produce five accurate SAP Energy Assessments.

Candidates must fulfil the following criteria:

- adopt the appropriate procedures in undertaking Energy Assessments as laid down by the Scheme
- demonstrate through a combination of appropriate qualifications, Accreditation of Prior Experiential Learning (APEL) and top up training that they have sufficient experience and expertise in specified aspects of energy performance of domestic buildings
- declare that they will only undertake Energy Assessments within the level of their competency
- agree to undertake appropriate CPD and declare at annual intervals their CPD record
- undertake to understand the Scheme's requirements as described in the Scheme Guide and supplementary documentation and provide their clients with copies of the Code of Conduct and their Statutory Rights
- abide by the **Architectural EPC** Code of Conduct
- keep Project Logbooks/Information Checklists that detail all Energy Assessments undertaken together with a record of the source materials and notes from which the input data was taken
- agree to submit evidence of their Assessment practice to Audit by **Architectural EPC** on request, including all Project Logbooks of Assessments and Information Checklists.

Scheme Members may describe themselves as an On Construction Domestic Energy Assessor. Membership does not entitle the use of designatory letters. Individual Members

will be issued with a Certificate of Membership of the Scheme. Certificates remain the property of **Architectural EPC** and must be returned to **Architectural EPC** should the individual cease to be a Member of the Scheme for whatever reason.

In order to obtain and retain Membership of **Architectural EPC**, candidates must:

- maintain Membership of CIAT, RIBA, RSUA and/or RIAS adhering to the relevant Code of Conduct(s), maintaining PI Insurance and undertaking CPD as required, or
- remain on the ARB's register, or
- remain a Member of any construction related Professional Institute which imposes a requirement to adhere to a Code of Conduct, maintain PI Insurance and undertake CPD as required, or
- provide sufficient and compelling experience based evidence to allow membership, (such as long term industry expertise, or membership of an equivalent scheme)

All Members will be required to

- pay an initial registration and annual membership fee as detailed on the Scheme website<sup>1</sup> and
- provide evidence that appropriate PI Insurance is in place (minimum cover to be £50k), and
- sign the **Architectural EPC** Code of Conduct and
- undertake a minimum of 10 hours relevant CPD per year.

If a record of CPD cannot be made available on request the Member will be immediately suspended pending investigation by the Conduct Panel. Auditors may request details of any CPD undertaken during the audit process.

Where Members of the Scheme are also Members of CIAT, RIBA, RSUA or RIAS and/or they are registered with ARB and they retire, are removed or resign they must inform **Architectural EPC** immediately and, membership of **Architectural EPC** may be suspended if the Member has relied on such membership to gain membership of **Architectural EPC**.

In the event that an Applicant does not meet any or all of the qualifying criteria they will be advised in writing and offered the opportunity to resubmit after gaining the necessary membership and/or qualifications.

A register of On Construction Domestic Energy Assessors will be maintained by the Scheme Administrator. In the event of termination of membership or resignation, entries will be removed from the register within twenty-four hours.

In the event of removal from the register CLG and the other OCDEA Accreditation Schemes will be informed.

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<sup>1</sup> Registration and annual fees are subject to periodic review by the Scheme Review Panel and excludes the cost of checking APEL applications, checking submitted SAPs, Auditing and checking 2% of an Energy Assessor's SAPs per annum

## 4.2. Experience and Qualifications

*“Ensuring that members of the Scheme are qualified to undertake energy assessments”.*

Membership of an On Construction Domestic Energy Assessors Accreditation Scheme is founded on a demonstration of skill and competence as outline in section 3 above.

**Architectural EPC** wishes to promote the opportunity to become an On Construction Domestic Energy Assessor to all qualifying members of the Construction Professions. To qualify to prepare an EPC, each Applicant must first register interest with the Scheme and demonstrate that they meet each of the Scheme requirements.

**Architectural EPC** will accredit those applicants who can demonstrate that they have:

- been awarded an ABBE Level 3 Diploma in On Construction Energy Assessment which meets the National Occupancy Standards<sup>1</sup> or,
- met the requirements of the APEL route.

However to minimise the amount of additional training and administration for architects, Chartered Architectural Technologists and professionally Qualified Architectural Technicians **Architectural EPC** has:

- Mapped the professional qualifications of Chartered Architectural Technologists (MCIAT), Architectural Technicians (TCIAT) and architects
- Developed CPD/training materials and online competency tests, which demonstrate that an applicant has acquired the knowledge and understanding to infill any shortfall to the National Occupational Standards.

The Training Modules document details this process; however, the basic requirements of the Scheme are outlined in Section 3 of this Guide.

## 4.3. Professional Indemnity Insurance

*“Ensuring that Members of the Scheme have in force suitable indemnity cover”*

It is a Statutory Requirement that all Schemes accrediting On Construction Domestic Energy Assessors must set out procedures to ensure a minimum indemnity cover of £50,000 for each claim in relation to any particular EPC.

Members of **Architectural EPC** may practice alone or work with other professionals to offer services directly to clients. To do so they must comply with certain regulations and obtain and maintain adequate Professional Indemnity (PI) insurance.

This mandatory requirement will be strictly policed and enforced by **Architectural EPC** who will suspend or expel Members for failure to comply. **Architectural EPC** considers that this policy is in the best interest of the Member and the consumer/client, thereby protecting the interests of all.

Each Applicant must provide a copy of their (or their employer's) current Certificate of Professional Indemnity Insurance to **Architectural EPC** as part the application process and subsequently on its renewal in order to maintain Membership.

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<sup>1</sup> Currently the only courses available are offered by The Awarding Body for the Built Environment (ABBE) [www.abbeqa.co.uk](http://www.abbeqa.co.uk)

## 4.4. Operational Procedures

*“Ensuring that Members of the Scheme use operational procedures that ensure consistency and accuracy of Energy Assessments”*

Key to the delivery of the Scheme is an online, secure data infrastructure (see Section 5 - Software as a Service). At the heart of the data infrastructure lies a “Rules Driven Transactional Engine” which imposes a uniform approach to Energy Assessment in line with the National Calculation Methodology as well as an electronic Audit Trail which allows **Architectural EPC** to review the entire activity of any individual Energy Assessor.

Along with the collection and permanent storage of the data fields as required by CLG the system will also store all Members’ details, training and assessment history together with creating an assessment by assessment Audit Trail for use by the Auditors.

In addition to the online data infrastructure, it is a requirement that all Members maintain a Project Logbook which will include:

- **Architectural EPC** Membership Certificate
- Copies of relevant qualifications / APEL forms etc
- details of all relevant CPD
- Auditor’s Notes and any other formal communication from **Architectural EPC**
- Information Checklists for each project

Where the Member’s sole duty regarding a particular project is providing an Energy Performance Certificate, the information supplied to the Energy Assessor should also be retained and archived for a period of ten years. If the Energy Assessment is being provided as part of a range of services, then it is sufficient to note the archive location of the primary source material rather than duplicate printed or electronic records.

At the core of preparing an Energy Assessment is the use of the National Calculation Methodology (currently *SAP*). **Architectural EPC** has a partnership with Energy Design Tools to allow the use of their *SAP / EPC* Calculator. Details of the *SAP / EPC* calculator can be found on <http://www.energydesigntools.co.uk/> including the costs involved in using the EDT software.

All EPCs must be registered online with the Central Registry which is being provided by Landmark on behalf of CLG. The registration process includes the creation of both a Report Registration Number (RRN) and Unique Property Reference Number (UPRN) which ensures that there is only one EPC linked to a specific postal address.

The **Architectural EPC** data system is configured with a pre-defined set of real time warning attributes and a series of trend analysis tools. The real time warnings will check to ensure that minimum and maximum standards are within the Scheme guidelines. The trend analysis tools will highlight changes that are outside the normal pattern of certification. Both of these options will adhere to standard statistical techniques and aid the Audit Panel in the Audit processes.

All data pertaining to the Scheme provision will be kept secure and backed up in line with industry standards.

## 4.5. Quality Assurance

*“Maintaining active quality assurance procedures”*

### 4.5.1 Quality Assurance

The core of a Quality Assurance (QA) system requires detailed and methodical record keeping in order to allow the Independent Quality Assessors (IQA) and Scheme Auditors to undertake their duties thoroughly and efficiently. All Members of **Architectural EPC** are required to adhere to the following six basic requirements:

1. produce accurate Energy Performance Certificates<sup>1</sup>
2. adhere to the **Architectural EPC** Code of Conduct
3. maintain a Project Logbook, which includes Information Checklists for each project
4. retain either directly or note the location of any and all project information (drawings and specifications, contractors confirmation of site work, etc.) that were used in preparing EPCs
5. provide evidence of relevant CPD
6. complete the online Audit Trail for each EPC.

Number six of the list above is an automatic part of generating each EPC. The provision of a data based infrastructure cannot ensure that an Energy Assessor undertakes their duties as fully and as competently as they should. However, the data based infrastructure will impose a methodology on Energy Assessors which records the data inputs required to undertake a SAP and prepare an EPC in a consistent and complete way.

### 4.5.2 EPC Quality Assessment Checks

In order to ensure that the EPCs produced by OCDEAs regular Quality Assurance Checks will be undertaken in line with the Schemes EPC Quality Checks document, published on the Schemes website [www.Architectural-EPC.co.uk](http://www.Architectural-EPC.co.uk)

The numbers and sampling methods are laid down by DCLG and cover both random and targeted sampling.

Once established as a process beyond the initial “bedding-in” period, **Architectural EPC** intends to undertake a detailed analysis of the performance of the Scheme Membership, identifying the mean level of competency through both auditing (of procedures and practices) and monitoring completed assessments.

**Architectural EPC** anticipates refining both the auditing and monitoring of Members in line with their membership activity, performance and experience. Any such refinements will be undertaken after consultation with CLG.

### 4.5.3 Invalid EPCs

EPCs that are proven to be invalid, whether through regular monitoring, auditing procedures or as a result of a complaint must be corrected and re-lodged at no cost to the original client / building owner.

Where the On Construction Domestic Energy Assessor is unable or unwilling to re-lodge and EPC the Scheme will then appoint a new On Construction Domestic Energy Assessor to undertake the energy assessment from the beginning.

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<sup>1</sup> DCLG define accuracy as a DER value within +/- 4% of the true value

The resulting assessment and EPC will be registered in the appropriate way and issued free of charge to the original client. **Architectural EPC** can recover any costs associated with this procedure from the original On Construction Domestic Energy Assessor.

#### 4.5.4 Auditing Procedures

Every Member will be audited at least once in any five year period. The Audit Panel will develop a program of audits based on activity across the whole membership. Audits will be triggered by the program, or a complaint, or as deemed necessary by **Architectural EPC** at any time.

The Auditing process considers four questions:

1. has the Member maintained appropriate PI, undertaken CPD etc?
2. has the Member worked within their competency?
3. has the Member followed the correct procedure and recorded all the relevant information?
4. has the Member undertaken accurate Energy Assessments?

Trigger points for an Audit include:

- a Member's relative activity and performance
- the receipt of a complaint or other extraneous event
- benchmarking the procedures and checking the consistency of the Audit Panel.

Those Members who are also members of CIAT, RIBA, RSUA and RIAS must adhere to the requirement to undertake CPD and may be called upon to provide evidence that they have been doing so. All other Members will be expected to maintain a CPD diary which will be inspected as part of the audit process.

**Architectural EPC** reserves the right to phase the audit programme in order to make sensible use of resources. During the initial operation of the Scheme, audits will be arranged such that approximately 20% of Members are considered each year. **Architectural EPC** will give at least ten working days' notice of an audit.

Statistical samples will be used to compare performance standards against agreed targets set by the Secretary of State.

**Architectural EPC** will appoint Auditors who must declare any current or past conflicts of interest.

Audits will normally be undertaken by a combination of the following.

- a desk-based analysis of the Members activity and the audit trails created in the data systems
- calling for a Member to provide additional details of specific Energy Assessments
- a request for a Member to attend an interview
- a visit to the Member's place of work.

The Auditors will consider:

- the Energy Assessor's records, including the Project Logbook of certificates issued, copies of certificates, Information Checklists retained by the Energy Assessor and notes on the procedures used
- any complaints together with any responses to complaints
- the declaration of qualifications/APEL at the point of Membership application

- the Energy Assessor's CPD record
- the Energy Assessor's certification profile/audit trail
- any other information deemed relevant by the Auditors.

On completion the Audit team will make one of the following recommendations:

- Successful audit; Certifier should remain on Register for remainder of five year period, or
- Unsuccessful audit; specify remedial action, audit again within six months, or
- Unsuccessful audit; suspend membership and specify remedial action, audit again when member has completed additional training etc, or
- Unsuccessful audit; terminate membership.

**Architectural EPC** will be notified immediately of serious complaints or breach of duty. The Scheme shall have the right to call for an emergency audit if the circumstances dictate.

Instances of non-compliance with the requirements of the Scheme will be brought to the attention of the Conduct Panel, who shall take action as they deem necessary and appropriate, including:

- reprimand
- removal from the Scheme
- reporting to the Architects Registration Board and / or
- reporting to the disciplinary panel of the relevant Professional Institute.

## 4.6. Conduct and Disciplinary Procedures

*“Facilitating the resolution of complaints against Members of the Scheme”*

**Architectural EPCs** Conduct and Disciplinary Procedures is published on the scheme website alongside **Architectural EPCs** Complaint and Appeal Procedure

In addition to this, Members of the scheme must have in place their own internal complaints procedure and must notify **Architectural EPC** of any and all complaints that they receive and the actions that they subsequently take. In the event that such complaints are not satisfactorily resolved they should be referred to **Architectural EPC** and will be dealt with as if directly received.

The **Architectural EPC** Complaint and Appeal Procedure is a robust system created to support both the Members and their clients'/consumers' interests.

In the event that **Architectural EPC** becomes aware of any criminal activity, they will report the Member(s) concerned to the relevant police authorities as well as any relevant Professional Institutes.

## 4.7. Appeals Procedures

### 4.7.1 Internal Appeals Procedure Following a Complaint

An appeal can be made by either the Complainant or may be the subject of the complaint against the decision of the Conduct Panel.

Such appeals are dealt with initially by the Review Panel. Both parties to the original complaint are informed of the appeal process. The appellant is given the opportunity to present the grounds for their appeal. The Review Panel will assess the grounds on which the appeal is based including, but not restricted to:

- The implementation of the Scheme Procedures
- The provision of factual information
- The validity of the decision of the Conduct Panel

In forming their opinion the Appeal Panel can take into account precedent set by previous Conduct Panel and Appeal Panel decisions. The Appeal Panel can make the following decisions:

- Dismiss the appeal
- Request that the Conduct Panel review their decision and provide guidance
- Refer the subject of the complaint to their professional body
- Refer the appeal to the 3<sup>rd</sup> party independent appeal procedure that **Architectural EPC** has established through the Construction Industry Council.

### 4.7.2 Independent Appeals Procedure Following a Complaint

**Architectural EPC** has established an external 3<sup>rd</sup> party independent appeal procedure with the Construction Industry Council (CIC).

The right to an independent appeal is primarily intended for a client body who has commissioned an Energy Performance Certificate (EPC) and having made a complaint to the On Construction Domestic Energy Assessor, which has subsequently escalated through **Architectural EPC's** Complaint Procedure, Conduct Procedure (if applicable) and internal Appeals Procedure remains dissatisfied.

In exceptional circumstances the **Architectural EPC** Review panel may directly refer an appeal to the CIC.

In accordance with the Conduct and Disciplinary Procedure, there is an Independent Appeals Procedure operated by the Construction Industry Council (CIC) which allows all parties to appeal the decision made by the Conduct Panel on specific grounds. Any request to appeal must be made in writing and must be received within 28-days (or 35-days for residents overseas) from the date of notification of the decision of the Conduct Panel. Should a request for an appeal be made, this will be forwarded to CIC. From this point CIC will be the direct contact regarding this procedure.

For further information on the Appeals Procedure and the specific grounds that can be appealed on, please visit the CIC website [www.cic.org.uk](http://www.cic.org.uk) or contact them direct on 020 7399 7400.

## 4.8. Register of Members

### *“Establishing and maintaining a register of Members”*

Applicants to the Scheme will only be allowed to apply online, where they will be asked to provide confirmation of their name, business address, employer, and their CIAT, or RIBA, or RSUA, or RIAS registration number (as appropriate). An additional box is provided for those who can demonstrate considerable industry experience but fall outside of the previous categories.

The Scheme Administrator will validate these details against those held by the relevant Professional Institutes or request further information, where appropriate, before the Applicant is authorised to proceed through the membership process.

In the event that a Member, Associate or Fellow ceases to be a member of CIAT, RIBA, RSUA or RIAS, all bodies have agreed to inform the Scheme Administrator. Each Institute operates a comprehensive database of membership details which will immediately flag the status of an individual Member, thus allowing the Institute to report to the Scheme Administrator straight away.

The date on which an Energy Assessor enters and leaves the register will be retained. This information will be publicly available via the **Architectural EPC** website. Alongside the electronic data files, the Scheme Administrator will maintain a paper copy of the Energy Assessors details, including any statements of competence, confirmation/changes of detail, Auditors notes and disciplinary or conduct procedures undertaken.

**Architectural EPC** is happy to share information with other Scheme providers as required, on a mutually agreed basis, under the regulations of the current Data Protection Act.

The information held in the database can only be accessed through the use of the available reporting tools. These reporting tools will only provide data in a format that fully complies with the current Data Protection Act regulations. In addition, the use of any data extracted from the system will also be covered by the Data Protection Act as applied to **Architectural EPC**.

Architectural EPC will from time to time share the membership and disciplinary status of Energy Assessors with other providers of On Construction Domestic Energy Assessor Schemes and the Department of Communities and Local Government (DCLG) as laid down in the Scheme Operation Requirements (SORs) published by DCLG.

## 5. Creating an Energy Performance Certificate

### 5.1. Preparing a Dwelling Specific SAP

Energy Performance Certificates (EPCs) are created online in a straightforward process. It is recommended that the Energy Assessor has all the information required at hand in order to complete the process as quickly and efficiently as possible. However, the online data system does allow the Assessor to stop and restart the process at any point without losing any data entered.

The process also allows for the production of one or more dwelling specific EPCs within any given project on an “as needs” basis. However, EPCs must be based on a dwelling specific SAP. If more than one dwelling has been covered by a generic design SAP at Building Consent stage, the Energy Assessor must prepare an individual SAP which incorporates:

- the specific location and orientation of the dwelling
- any design changes made during the progress of the works
- the results of an air pressure test if applicable
- the performance of any designed elements or equipment selection by a contractor, for example, the specific boiler installed.

At the core of preparing an Energy Assessment is the use of the National Calculation Methodology (currently *SAP 2005 version 9.81, to be replaced by SAP 2009 as of 1<sup>st</sup> March 2011*). **Architectural EPC** has a partnership with Energy Design Tools to allow the use of their SAP / EPC Calculator. Details of the SAP / EPC calculator can be found on <http://www.energydesigntools.co.uk/> including the costs involved in using the EDT software.

The Energy Assessor is responsible for ensuring that all data entered in to the SAP / EPC calculator.

**Communities and Local Government (CLG) has issued guidance for the use of Data Gatherers in producing Energy Performance Certificates.**

**Data Gathering is not applicable to On Construction Domestic Energy Assessment as only the Energy Assessor can complete and upload an EPC to the Central register through Architectural-EPC.**

### 5.2. Energy Efficiency Recommendations

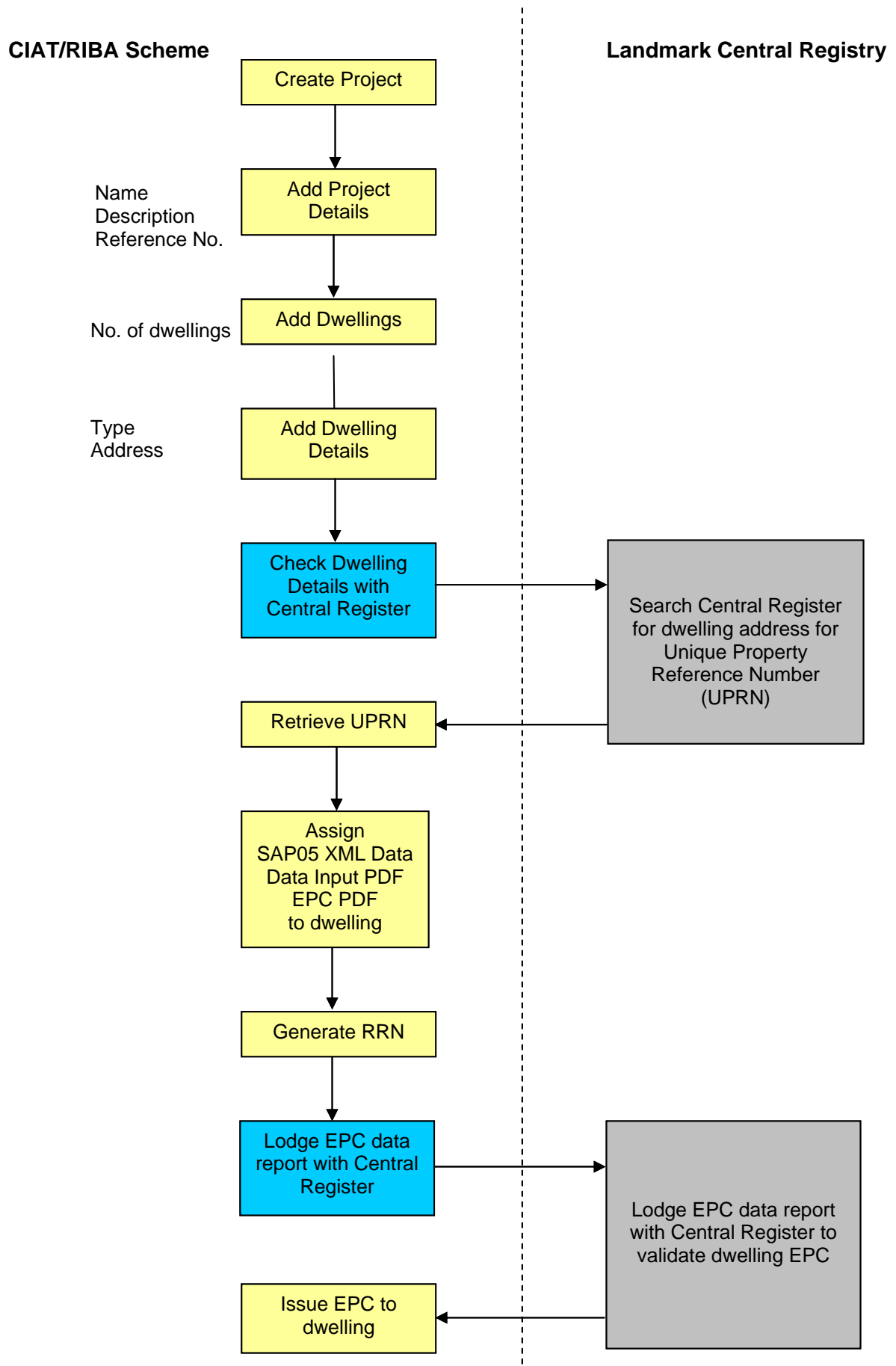
Energy Design Tools SAP calculator complies with *SAP 2005 version 9.81*, which includes the requirement to select and analyse potential energy efficiency measures. EDT are currently working towards *SAP 2009* approval in time for the 1<sup>st</sup> March 2011 deadline.

### 5.3. Producing an EPC: Milestones

1. Create a new project - a project holds all the information relating to a group of dwellings under a single development
2. Enter the project details
  - a. name of the project
  - b. reference number for the project

- c. site address
  - d. description of the project
3. Add dwelling(s)
  - a. add any number of dwellings within a single project
4. Enter dwelling details
  - a. type of dwelling
  - b. address
5. Check address with Central Registry
  - a. a link to Landmark will verify the address and return the Unique Property Reference Number (UPRN)
  - b. if address cannot be confirmed, request a new UPRN for the dwelling
  - c. assign UPRN to each dwelling and associated full address
6. Assign SAP data for each dwelling with a UPRN
  - a. SAP2005 XML data
  - b. SAP Data Input PDF
  - c. EPC PDF
7. Generate Report Reference Number
  - a. used to uniquely identify the EPC for each dwelling in the Central Register
8. Lodge the SAP data and EPC with Landmark
9. Issue EPC to dwelling for Home Information pack and display
10. Certification process complete

### 5.4. Producing an EPC



## 6. **Architectural EPCs Online Data Base Solution**

### 6.1. **Software as a Service (SaaS)**

Over the last five years, most companies have invested in the Internet Protocol (IP) infrastructure to ensure that the internet is a strategic part of their external communications. SaaS exploits this to provide services that previously would have required the purchase and maintenance of software applications on individual PCs within a company.

**Architectural EPC** has adopted this method of service delivery as it has a number of major advantages:

- **Architectural EPC** can maintain the functionality of the system online much easier than by supporting individual applications
- individual applications would not generate the detailed audit trail which streamlines the audit process and provides feedback to the **Architectural EPC** Review Panel
- the cost of the Scheme relates directly to use and can be individually costed to projects
- the online processes allow individual Members to manage their own production of EPCs via a standard browser.

### 6.2. **System Features**

Just-Ask Services Limited provides **Architectural EPC** with a data infrastructure which utilises PC servers as both webservers and database servers running under Microsoft Server 2005, IIS v6 and SQL Server Enterprise. All systems are firewall protected with operational redundancy and full on and off-site backup. Typical Service Level Agreement (SLA) figures show better than 99.99% up time.

#### 6.2.1 **Registration and Approval**

The user partition of the database engine governs the attributes of each Member to control the features they can access and the audit trail of their data. The engine allows the registration and approval processes to be integrated into the certification process both internally and from an external source.

In addition, there are various levels of user access from view only, through standard user options up to system manager. The Scheme Administrator and System Manager have access to the integrated management console that can configure the system and generate reports.

#### 6.2.2 **Competency Checks**

The use of online multiple-choice tests has proven successful in the checking of individual competencies. The tests use a combination of:

- training modules
- a series of randomly selected questions
- multiple-choice answers
- a twenty minute time limit per module
- Pass/Fail based on a requirement to score 100% within a limited number of opportunities to answer each module.

The online testing procedure provides **Architectural EPC** with a detailed overview of each Member as well as the training materials and online questions themselves.

### **6.2.3 Certification Processes**

Using the Just-Ask Services Limited “Rules Driven Database Transaction Engine”, the certification process is developed within a controlled milestone driven environment. Each milestone can be configured through a series of independent rules and constructs which are clearly laid out and explained in detail within the *Architectural EPC* Training Modules and User Guide.

### **6.2.4 Links to Government Systems**

The *Architectural EPC* infrastructure uses Industry standards to ensure integration into a wide range of existing systems, including the Central Database provided by Landmark on behalf of CLG and include:

- XML for a structured view of the content
- web Services, HTML, SSL as a means of communications
- PDFs and Spreadsheets for standard reporting.

*Architectural EPC* received approval to move to the live lodgement site of the Central Register on 9 March 2008.

### **6.2.5 Audit Trail**

The data that is entered and retrieved from the database is controlled through the “Rules Driven Database Transaction Engine”. All data is date and time stamped, checked for referential integrity and archived for completeness. This provides a standard platform for developing the reporting structure to guarantee a full and proper audit trail.

Access to this information is restricted to the Scheme Administrator and System Manager and is used for the auditing and review processes described in this Guide.

### **6.2.6 Verification**

External access to the system is securely managed, but limited access can be authorised to specifically verify that a Member is currently approved to undertake Energy Assessments.

### **6.2.7 Management Console**

All the features within the system can be controlled by the System Manager from the browser based management console. This console can configure a wide range of system features including:

- member details
- contact details
- system status statistics
- pricing
- reports.