



**RIAS-regs**

## **Scheme Guide**

**Version v7.0 February 2023**

**RIAS**  
The Royal Incorporation  
of Architects in Scotland

## **PREFACE**

The RIAS-regs has been established in accordance with the requirements of the Building (Scotland) Act 2003, Building (Scotland) Regulations 2004 as amended, to approve construction professionals as Certifiers of Design for one or more of the sections of the Technical Standards (covered by the Scheme) published by the Building Standards Division of the Scottish Government.

The RIAS-regs Schemes are a joint initiative by the RIAS and Home Energy and Data Home Data Services Ltd. This Guide describes the Schemes and their operation and is issued by the Scheme Provider.

This Scheme Guide, Version 6.0 August 2018, supersedes all previous versions.

Information about RIAS may be found at [www.rias.org.uk/](http://www.rias.org.uk/) and about the Scheme at [www.rias-regs.co.uk](http://www.rias-regs.co.uk)

Persons who are approved to certify the design of Section 6 - Energy (Domestic) and (Non-domestic) under the Building (Scotland) Act 2003 appear on the Buildings Standards Division Certification Register which is maintained by them and can be viewed at [www.certificationregister.co.uk/](http://www.certificationregister.co.uk/)

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**Disclaimer**

Whilst every effort has been made to ensure that all the information contained in this guide is correct at the time of writing this cannot be guaranteed. Neither the Royal Incorporation of Architects in Scotland nor RIAS-regs or any bodies or individuals associated with the Schemes can accept any loss or liability on the part of readers or Approved Certifiers of Design.

## 1 (A) GLOSSARY OF TERMS AND ABBREVIATIONS

Act	Building (Scotland) Act 2003
Approved Body	A firm, public body, or other organisation that is a member of the Scheme.
Approved Certifier	An Approved Certifier of Design (Section 6 – Energy) Domestic and/or Non-domestic
BSD	Building Standards Division of the Scottish Government (formerly SBSA – Scottish Building Standards Agency)
Building Regulations	Building (Scotland) Regulations 2004 as amended
CABE	Chartered Institute of Building Engineers
Certificate	A Certificate of Design (Section 6 – Domestic or Non-domestic) issued by an Approved Certifier
Certification Coordinator	A person employed by an Approved Body who countersigns Certificates of Design
CIAT	Chartered Institute of Architectural Technologists
DSM	Dynamic Simulation Modelling
CIBSE	Chartered Institute of Building Services Engineers
EPBD	The European Buildings Directive 2002/91/EC (2003) and recast 2010/31/EU (2012)
EPC	Energy Performance Certificate
Firm	A company, partnership, LLP, or sole practitioner
LABSS	Local Authority Building Standards Scotland
Procedure Regulations	Building (Procedures) (Scotland) Regulations 2004
Register	The Certification Register of Approved Certifiers of Design, Approved Bodies and Schemes maintained by the Building Standards Division of the Scottish Government (BSD), formerly the Scottish Building Standards Agency (SBSA) certification register. The Certification Register is available for viewing at <a href="http://www.scotland.gov.uk/bsd">www.scotland.gov.uk/bsd</a> .
RIAS	The Royal Incorporation of Architects in Scotland
RIAS Services Limited	Is a wholly owned trading subsidiary of RIAS; a company limited by guarantee the operation of RIAS Services Limited is wholly under the control of the RIAS
SAP	Government Standard Assessment Procedure for energy rating of dwellings
SBEM	Government Simplified Building Energy Model for energy rating of non-domestic buildings

Sole Practitioner	An Approved Certifier who is also solely responsible for the management of the Approved Body to which they belong and which does not employ any other Approved Certifiers
Verifier	Body appointed by Scottish Ministers to oversee the administration of the building warrant process - currently the 32 Scottish Local Authorities

See also the Glossary in the *BSD (2009) Scottish Building Standards Certification Handbook for schemes approved under Section 7(2) of the Building (Scotland) Act 2003*.

## 1 (B) DEFINITIONS

Approved Body	A firm, public body, or other organisation that employs at least one Approved Certifier of Design, operates systems to check compliance with <i>Building (Scotland) Regulations 2004</i> , holds appropriate insurances and provides access for Approved Certifiers of Design to up-to-date regulations, codes, guidance, and training. Bodies approved by a Scheme Provider cannot certify compliance with the building regulations - a registered Certification Coordinator must countersign Certificates of Design issued by an Approved Certifier of Design.
Approved Certifier of Design	An individual with the appropriate understanding of their role, the qualifications and the experience required to certify that specified aspects of design comply with the <i>Building (Scotland) Regulations 2004</i> and subsequent amendments. Approved Certifiers of Design may be approved by a Scheme Provider under Section 7(2) of the Act or by the Scottish Ministers under Section 7(1). They may only issue Certificates of Design that are counter-signed by an Approved Certification Coordinator on behalf of an Approved Body. They must keep a record of all the Certificates of Design that they issue.
Certificates of Design	A building owner/developer may use a Certificate of Design to support an application for building warrant. A Certificate of Design certifies that the design described in the application complies with the <i>Building (Scotland) Regulations 2004</i> and subsequent amendments. The Certificate is only valid under the Act when issued by an Approved Certifier of Design. Each Certificate of Design issued by a section 7(2) Approved Certifier of Design must be counter-signed by the Certification Coordinator of an Approved Body that belongs to the same Scheme.
Certification Coordinator	An individual registered as responsible for signing Certificates of Design on behalf of an Approved Body. The Certification Coordinator acts as the contact point for the Approved Body and is responsible for maintaining the system of checking, insurance, policies, access to documents, training, and handling complaints for that Approved Body.
Scheme Provider	An organisation that operates one or more Schemes to certify compliance with the <i>Building (Scotland) Regulations 2004</i> and subsequent amendments 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.
Verifier	Verifiers are appointed to verify that work complies with Building (Scotland) Regulations 2004, and subsequent amendments, both in terms of design and construction. Scottish Ministers have appointed the 32 Local Authorities in Scotland as Verifiers. The work of verification will usually be undertaken by their Building Standards Departments. Verifiers undertake “necessary checks” before verifying applications for building warrants and must make “reasonable enquiry” to assess whether completion certificates should be accepted when the works are complete. They must accept Certificates of Design by registered Approved Certifiers of Design or construction as conclusive of the matters certified. Verifiers do not scrutinise certified matters and are only expected to check that, for Section 7(2) approvals, the Approved Certifier of Design and the Approved Body were appropriately registered on the date the Certificate was signed.

## 2. LEGISLATION AND BSD GUIDANCE

Copies of statutory documents can be downloaded from the Office of Public Sector Information:  
[www.opsi.gov.uk/](http://www.opsi.gov.uk/)

<b>Building (Scotland) Acts</b>
<i>The Building (Scotland) Act 2003</i>
<i>The Building (Scotland) Act 2003 (Commencement No. 1, Transitional Provisions and Savings) Order 2004</i>
<i>The Building (Scotland) Act 2003 (Exemptions for Defence and National Security) Order 2009</i>
<i>The Building (Scotland) Act 2003 (Commencement No. 2, and Transitional Provisions) Order 2009</i>
<i>The Buildings (Recovery of Expenses) (Scotland) Act 2014</i>
<i>The Building (Scotland) Act 2003 (Charging Orders) Regulations 2014</i>
<b>Building (Scotland) Regulations</b>
<i>The Building (Scotland) Regulations 2004</i>
<i>The Building Standards Advisory Committee (Scotland) Regulations 2004</i>
<i>The Building (Scotland) Amendment Regulations 2006</i>
<i>The Building (Scotland) Amendment Regulations 2007</i>
<i>The Building (Scotland) Amendment Regulations 2008</i>
<i>The Building (Scotland) Amendment Regulations 2009</i>
<i>The Building (Scotland) Amendment Regulations 2010</i>
<i>The Building (Scotland) Amendment Regulations 2011</i>
<i>The Building (Scotland) Amendment Regulations 2012 (SSI 2012/209)</i>
<i>The Building (Miscellaneous Amendment) (Scotland) Regulations 2013</i>
<i>The Building (Scotland) Amendment Regulations 2014</i>
<i>The Building (Scotland) Amendment Regulations 2015</i>
<i>The Building (Scotland) Amendment Regulations 2016</i>
<i>The Building (Miscellaneous Amendment) (Scotland) Regulations 2017</i>
<i>The Building (Miscellaneous Amendment) (Scotland) Amendment Regulations 2017</i>
<i>The Building (Scotland) Amendment Regulations 2019</i>
<i>The Building (Scotland) Amendment Regulations 2020</i>
<i>The Building (Scotland) Amendment (Amendment) Regulations 2022</i>
<b>Building (Scotland) Procedural</b>
<i>The Building (Procedures)(Scotland) Regulations 2004</i>
<i>The Building (Procedures)(Scotland) Amendment Regulations 2007</i>
<i>The Building (Procedures)(Scotland) Amendment Regulations 2009</i>
<i>The Building (Scotland) Amendment Regulations 2011</i>
<i>The Building (Miscellaneous Amendment) (Scotland) Regulations 2013</i>
<i>The Building (Miscellaneous Amendments) (Scotland) Regulations 2017</i>
<i>The Building (Miscellaneous Amendments) (Scotland) Amendment Regulations 2017</i>

<b>Building (Forms)</b>
<i>The Building (Forms) (Scotland) Regulations 2005</i>
<i>The Building (Forms) (Scotland) Amendment Regulations 2006</i>
<i>The Building (Forms) (Scotland) Amendment Regulations 2007</i>
<i>The Building (Scotland) Amendment Regulations 2011</i>
<i>The Building (Miscellaneous Amendment) (Scotland) Regulations 2013</i>
<b>Energy Performance Regulations</b>
<i>The Energy Performance of Buildings (Scotland) Amendments Regulations 2008</i>
<i>The Energy Performance of Buildings (Scotland) Regulations 2008</i>
<i>The Energy Performance of Buildings (Scotland) Amendment (No2) Regulations 2012 (SSI 2012/208)</i>
<i>The Energy Performance of Buildings (Scotland) Amendment Regulations 2012 (SSI 2012/190)</i>
<i>The Energy Performance of Buildings (Scotland) Amendment (No3) Regulations 2012</i>
<i>The Energy Performance of Buildings (Scotland) Amendment Regulations 2013</i>
<i>The Energy Performance of Buildings (Scotland) Amendment Regulations 2015</i>
<i>The Energy Performance of Buildings (Scotland) Amendment Regulations 2016</i>
<i>The Assessment of Energy Performance of Non-domestic Buildings (Scotland) Regulations 2016</i>
<i>The Energy Performance of Buildings (Scotland) Amendment Regulations 2017</i>
<b>BSD Guidance</b>
<i>BSD (2007) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2008) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2009) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2010) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2011) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2013) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2015) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>BSD (2017) Scottish Building Standards Technical Handbook: Domestic &amp; Non-domestic</i>
<i>Domestic Building Services Compliance Guide for Scotland 2015</i>
<i>Non-domestic Building Services Compliance Guide for Scotland</i>
<i>Procedural Handbook 3<sup>rd</sup> Edition 2013 Version 1.4</i>
<i>Procedural Guidance on Certification including Information to be submitted with a Building warrant Application</i>
<i>Certification Handbook for schemes approved under Section 7(2) and direct appointments under Section 7(1) of the Building (Scotland) Act 2003. May 2012 Edition 3</i>
<i>Accredited Construction Details (Scotland) (2007)</i>
<i>Accredited Construction Details (Scotland) (2010)</i> <ul style="list-style-type: none"> <li>• <i>Introduction and Principles (Updated June 2011)</i></li> <li>• <i>Part 1 - Full Fill masonry Construction Details</i></li> <li>• <i>Part 2 - Partial Fill masonry Construction Details</i></li> <li>• <i>Part 3 - Timber Frame Construction Details</i></li> <li>• <i>Part 1 - Metal Frame Construction Details</i></li> <li>• <i>Part 1 - Additional Common Junction Details</i></li> </ul>
<i>Accredited Construction Details (Scotland) 2015</i>
<i>Method for Testing in Support of Section 5 - Noise and Section 6 - Energy</i>



<i>Guide to the Condensing Boiler Installation Assessment Procedure</i>
<i>National Calculation Methodology (NCM) Modelling Guide for Non-domestic Buildings in Scotland June 2010</i>
<i>National Calculation Methodology (NCM) Modelling Guide for Non-domestic Buildings in Scotland June 2015</i>
<i>6.A - Tables of U-values and thermal conductivity</i>
<i>6.B - Worked examples of U-value calculations using the combined method</i>
<i>6.C - U-values of ground floors and basements</i>
<p><i>Safe and sustainable installation of low carbon equipment:</i></p> <ul style="list-style-type: none"> <li>• <i>Introduction to the Guides</i></li> <li>• <i>Air Source Heat Pumps (ASHP)</i></li> <li>• <i>Ground Source Heat Pumps and Water Source Heat Pumps (GSHP and WSHP)</i></li> <li>• <i>Solar Thermal Systems or Solar Hot Water</i></li> <li>• <i>Biomass Installations</i></li> <li>• <i>Photovoltaics</i></li> </ul>
<i>New guidance in support of Section 3: Environment 2015</i>
<b>Other Guidance</b>
<i>SAP2005 - The Government's Standard Assessment Procedure for Energy Rating of Dwellings v9.83</i>
<i>SAP2012 - The Government's Standard Assessment Procedure for Energy Rating of Dwellings v9.90</i>
<i>SAP2012 Conventions v5.0 12 September 2013</i>
<i>SAP2012 - The Government's Standard Assessment Procedure for Energy Rating of Dwellings v9.92</i>
<i>SAP2012 Conventions v6.0 20 October 2015</i>
<i>SAP2012 Conventions v7.0 31 August 2017</i>
<i>BRE Report 262 'Thermal insulation, avoiding risks' 2002 edition Reprinted 2006</i>
<i>BRE Digest 398 Continuous Mechanical Ventilation in Dwellings: Design, Installation and Operation Sept 1994</i>
<i>BR 443 (2006 Edition) U-values, 'conventions for U-Value calculations'</i>
<i>BRE 497 – Conventions for calculating linear thermal transmittance and temperature factors</i>
<i>BRE IP 1/06 – Assessing the effects of thermal bridging at junctions and around openings</i>
<i>HVCA - Guide to Ductwork Leakage Testing DW/143</i>
<i>CE29 Domestic Heating by Oil: Energy Savings Trust (EST)</i>
<i>CE30 Domestic Heating by Gas: Energy Savings Trust (EST)</i>
<i>CE47 Domestic Heating by Solid Fuel: Energy Savings Trust (EST)</i>
<i>CE54 Domestic Heating Sizing Method (2010 Edition)</i>
<i>CE83 Energy-efficient refurbishment of existing housing: Energy Savings Trust (EST)</i>

The following documents relate to the calculation of U-values for specific products and materials and the Approved Certifier of Design should make reasonable efforts to ensure that when provided U-values by third parties they have adhered to the advice contained within these Standards.

BS 12939:2001	Thermal performance of building materials and products. Determination of thermal resistance by means of guarded hot plate and heat flow meter methods. Thick products of high and medium thermal resistance
BS 1566-1:2002	Copper indirect cylinders for domestic purposes - Open vented copper cylinders – Requirements and test methods
BS 1566-2:1984	Copper indirect cylinders for domestic purposes - Specification for single feed indirect cylinders
BS 3198:1981	Specification for copper hot water storage combination units for domestic purposes
BS 5422:2009	Method for specifying thermal insulating materials for pipes, tanks, vessels, ductwork and equipment operating within the temperature range -40°C to +700°C
BS 5864:2004	Installation and maintenance of gas-fired ducted air heaters of rated input not exceeding 70 kW net (2nd and 3rd family gases)
BS 8206: Part 2: 2008	Lighting for buildings. Code of practice for daylighting
PAS 67: 2008	Laboratory tests to determine the heating and electrical performance of heat-led microcogeneration packages primarily intended for heating dwellings
BS EN 483: 2000+A4:2007	Gas-fire central heating boilers. Type C boilers of nominal heat output not exceeding 70 kW
BS EN 525: 2009	Non-domestic direct gas-fired forced convection air heaters for space heating not exceeding a net heat input of 300 kW
BS EN 621: 2009	Non-domestic gas-fired forced convection air heaters for space heating not exceeding a net heat input of 300 kW, without a fan to assist transportation of combustion air and/or combustion products
BS EN 778: 2009	Domestic gas-fired forced convection air heaters for space heating not exceeding a net heat input of 70 kW, without a fan to assist transportation of combustion air and/or combustion products
BS EN 1020: 2009	Non-domestic forced convection gas-fired air heaters for space heating not exceeding a net heat input of 300 kW incorporating a fan to assist transportation of combustion air or combustion products
BS EN 1319: 1999	Domestic gas-fired forced convection air heaters for space heating, with a fan-assisted burners not exceeding a net heat output of 70kW

BS EN 1507: 2006	Ventilation for buildings. Sheet metal air ducts with rectangular section. Requirements for strength and leakage
BS EN 1566-1: 2000	Plastics piping systems for soil and waste discharge (low and high temperature) within building structure - chlorinated poly (vinyl chloride) (PVC-C) specifications for pipes, fittings and the system
BS EN 5864: 2004	Installation and maintenance of gas-fired ducted air heaters of rated output not exceeding 70 kW (second and third family gases). Specification.
BS EN ISO 6946: 2007	Building components and building elements. Thermal resistance and thermal transmittance - Calculation method
BS EN ISO 8990: 1996	Thermal insulation. Determination of steady-state thermal transmission properties. Calibrated and guarded hot box
BS EN ISO 10077-1: 2006	Thermal performance of windows, doors and shutters Calculation of thermal transmittance - Simplified method
BS EN ISO 10077-2: 2003	Thermal performance of windows, doors and shutters. Calculation of thermal transmittance - Numerical method for frames
BS EN ISO 10211: 2007	Thermal bridges in building construction. Heat flows and surface temperatures. Detailed calculations
BS EN 12237: 2003	Ventilation for buildings. Ductwork. Strength and leakage of circular sheet metal ducts
BS EN 12524: 2000	Building materials and products. Hygrothermal properties – Tabulated design values
BS EN 12567-2: 2005	Thermal performance of windows and doors - determination of thermal transmittance by hot box method roof windows and other projecting windows
BS EN 12664:2001	Thermal performance of building materials and products. Determination of thermal resistance by means of guarded hot plate and heat flow meter methods. Dry and moist products of medium and low thermal resistance
BS EN 12667:2001	Thermal performance of building materials and products. Determination of thermal resistance by means of guarded hot plate and heat flow meter methods. Products of high and medium thermal resistance
BS EN 12975-1:2006	Thermal performance of building materials and products - determination of thermal resistance by means of guarded hot plate and heat flow meter methods - thick products of high and medium thermal resistance - includes corr14030 Dec 02
BS EN 12975-1: 2006	Thermal solar systems and components - solar collectors general requirements - includes amd16423 May 06

BS EN ISO 13370: 2007	Thermal performance of buildings. Heat transfer via the ground. Calculation methods
BS EN ISO 13789: 2007	Thermal performance of buildings. Transmission heat loss coefficient - Calculation method
BS EN 13829: 2001	Thermal performance of buildings - determination of air permeability of buildings - fan pressurisation method'
BS EN 13842: 2004	Oil fired forced convection air heaters. Stationary and transportable for space heating
BS EN 14511: 2007	Air conditioners, liquid chilling packages and heat pumps with electrically driven compressors for space heating and cooling
BS EN 15232: 2007	Energy performance of buildings. Impact of building automation, controls and building management
BS EN 15450: 2007	Heating systems in buildings. Design of heat pump heating systems

The Standards are available from:

BSI  
Chiswick High Road  
London  
W4 4AL

Telephone: 020 8996 9001

Fax: 020 8996 7001

[www.bsonline.bsi-global.com](http://www.bsonline.bsi-global.com)

[www.bsi-global.com/](http://www.bsi-global.com/)

### 3. FOREWORD

#### 3.1 Section 6 (Domestic)

*The Building (Scotland) Act 2003* provides the opportunity for design professionals in Scotland to be able to certify that a design meets one or more sections of the Technical Standards to the regulations. This comes with responsibility and a requirement to achieve a level of expertise in a Section of the Technical Standards that allows their work in that particular area to be exempt from the scrutiny of verification.

Certification of Design is only possible for those designers if they have gained membership of a Certification Scheme approved by Scottish Ministers.

RIAS Services Limited (a wholly owned subsidiary of the Royal Incorporation of Architects in Scotland) was approved as a Scheme Provider for Section 6 - Energy (Domestic) Buildings by the Scottish Government on the 21<sup>st</sup> August 2007. The Scheme is designed as a membership service available to ARB registered architects, CIAT Chartered and Technician Members (MCIAT and TCIAT), Corporate Members of and Low Carbon Consultants (LCCs) accredited by the Chartered Institute of Building Services Engineers (CIBSE) and other Construction Professionals.

RIAS Services Limited was approved as a Scheme Provider for Section 6 - Energy (Non-domestic) Buildings by the Scottish Government on the 28<sup>th</sup> November 2013. This application was made with the active support of the Chartered Institute of Building Services Engineers (CIBSE).

The two Schemes have separate approval processes and applicants to RIAS-regs may apply to be approved as an Approved Certifier of Design for:

- Section 6 - Energy (Domestic) and/or
- Section 6 - Energy (Non-domestic) and/or
- Section 6 - Energy (Non-domestic) AB (Advanced Buildings)

The distinction between Non-domestic and Advanced Non-domestic buildings is internal to the Non-domestic Scheme and recognises that for a small class of complex designs additional skills are required by Approved Certifiers of Design (Section 6 – Energy) Non-domestic.

In practice the procedural processes of application, approval and certification practice are the same for all Approved Certifiers of Design. Similarly, Section 6 - Energy (Domestic and Non-domestic) of the Technical Standards follows the same framework. The differences lie in back stop values, requirements for efficiencies and control systems and the calculation methodologies used for new buildings.

In the case of domestic dwellings, Approved Certifiers of Design (Section 6 – Energy) Domestic will be able to certify that the energy design of new dwellings, conversions that form new dwellings and alterations or extensions to dwellings is compliant

In the case of non-domestic buildings, Approved Certifiers of Design (Section 6 – Energy) Non-domestic will be able to certify that the energy design of new non-domestic buildings, conversions that change the use of an existing building and alterations or extensions to non-domestic buildings is compliant.

For Advanced Buildings Approved Certifiers of Design (Section 6 – Energy) Non-domestic AB will be required to demonstrate those additional specialist design skills required to demonstrate compliance under the Technical Standards.

#### 3.2 Authority

Under Section 7(2) of the *Building (Scotland) Act 2003*, the Scottish Ministers may approve Schemes, in accordance with persons (whether as individuals or bodies corporate or unincorporated) who are presently members of those Schemes, who are for the time being members of schemes are entitled to exercise for the purposes of this Act, the function of an Approved Certifier of Design.

To fulfil their role properly, Approved Certifiers of Design must have adequate support from their employers or the firms to whom they are contracted to certify a project.

To provide Certification of Design services, a firm (company, partnership, LLP or sole practitioner), public body, or other organisation must meet the conditions required to become a member of the Scheme as an Approved Body. The Scheme Provider will assess all applications for membership from individuals and firms.

All Certificates of Design must be signed by both an Approved Certifier of Design and the Certification Coordinator of the Approved Body employing the Approved Certifier of Design; in the case of a small practice this may be the same individual.

The RIAS will be responsible for operating the Scheme which is subject to audit by the Building Standards Division of the Scottish Government (BSD).

The Scheme Provider will commission audits of the certification practice of Approved Certifiers of Design and Approved Bodies, put in place procedures for registering Approved Certifiers of Design, Approved Bodies and Certification Coordinators and develop and implement disciplinary and appeal procedures in line with the requirements of the Scheme as approved by Scottish Ministers.

This document describes the Schemes, their management and the management processes. The Schemes are based on the guidance given in BSD's Certification Handbook.

The Scottish Building Standards Certification Handbook and Procedural Handbook describe the provisions of the Act and of the Building (Procedures) (Scotland) Regulations 2004, as amended.

## **4. THE SCHEMES**

### **4.1 Authority and Scope of the Schemes**

- 4.1.1 The authority for the Scheme is derived from Section 7(2) of the Act. The Scheme places the responsibility for certification on its members.
- 4.1.2 The scope of the Schemes for Certification of Design (Section 6 – Energy) Domestic and Non-domestic Buildings is the certification of work described in applications for building warrant or amendment to building warrant as complying with the Building (Scotland) Regulations 2004 as amended.
- 4.1.3 It is necessary for Approved Certifiers of Design to be clear about the scope of work covered by any Certificate of Design that they sign in relation to a particular project. In this context, reference should be made to the definition of ‘building’ contained within the Act and reproduced in BSD’s Technical Handbooks.
- 4.1.4 The Schemes are provided by RIAS Services Limited in partnership with Home Energy and Services Limited on behalf of the Royal Incorporation of Architects in Scotland.
- 4.1.5 The Scheme Provider is subject to audit by BSD.

### **4.2 Membership of the Schemes**

- 4.2.1 Membership of the Schemes is subject to criteria defined by RIAS and approved by the Scottish Ministers. Details of the application process and qualifying membership criteria can be found on the Schemes website.
- 4.2.2 RIAS will forward details of membership of the Schemes to the BSD Certification Register every 7 days, or within 24 hours in the case of termination or resignation of membership, or at change of Approved Body.
- 4.2.3 Members may hold one or more subscriptions to one or more Schemes. The Scheme's IT system reflects these designations in the register forwarded to BSD and prevents an Approved Certifier of Design from creating a Certificate of Design for any section of the Technical Standards other than the Section(s) in which they have demonstrated competency.
- 4.2.4 Membership of the Schemes (both individual membership and membership of bodies) is subject to the requirements and rules of the Schemes including maintaining competency, PI Insurance and operating within a Quality Assurance regime etc as well as being subject to the payment of a membership fee and an annual fee subscription per subscription.
- 4.2.5 Both Approved Bodies and Approved Certifiers of Design are subject to audit at any time to be decided as necessary by RIAS-regs with a backstop requirement of at least once every 3 years. In order to facilitate this RIAS-regs has implementing a requirement for Audit Returns to be submitted by Approved Certifiers of Design as and when requested by the Review Panel. Failure to complete an Audit Return will lead to suspension and possible termination. Such Audit Returns will allow the Scheme to undertake remote Audits, minimising the cost and inconvenience to Approved Certifiers of Design and to the Scheme.
- 4.2.6 An individual member is entitled to exercise the function of an Approved Certifier of Design. That function is to examine the work described in an application for building warrant and, where appropriate, to certify that the design complies with the Building (Scotland) Regulations 2004 as amended with respect to those Sections of the Technical Standards where they have demonstrated competency. Approved Certifiers of Design should also certify compliance of an amended design where an amendment to building warrant is required following a previous Certificate of Design. An Approved Certifier of Design must not certify any work that does not comply with the relevant Section of the Technical Standards and must not certify any work that has not been

checked for compliance with the Technical Standards. An Approved Certifier of Design issues a Certificate of Design (generated on-line and registered with the Scheme) to the Applicant (or their Agent) for submission as part of the building warrant or amendment to building warrant process. The Applicant or their Agent submits the application to the Verifier.

- 4.2.7 A firm, public body, or other organisation that is a member of one or more of the Schemes may act as an Approved Body to supply certification services within the scope of each Scheme.
- 4.2.8 An Approved Body must employ at least one Approved Certifier of Design, support the work of Approved Certifiers in specified ways, hold appropriate levels of professional indemnity insurance, and designate a Certification Coordinator who may or may not be an Approved Certifier.
- 4.2.9 The Certification Coordinator of the Approved Body that is contracted to provide certification services for the building warrant application must countersign certificates issued by the Approved Certifier of Design.
- 4.2.10 An Approved Certifier of Design is given a personal registration number for each Subscription to a Scheme, which relates to a specific Approved Body. If subsequently they change Approved Body, they must resubscribe. If they are employed by a firm not on the Register, the individual cannot act as an Approved Certifier of Design until they take out a new Subscription and that firm is approved as a new Approved Body.
- 4.2.11 Membership is restricted to individual ARB registered architects, Chartered and Technician grade of Members of the Chartered Institute of Architectural Technologists (MCiAT or TCiAT) and Corporate Members of, and Low Carbon Consultants (LCC) approved by the Chartered Institute of Building Services Engineers (CIBSE), plus those other Construction Professionals who can demonstrate that they meet the requirements of the published criteria. All applicants must demonstrate that they have professional indemnity insurance in place to cover their work as an Approved Certifier of Design and sign the Scheme's Code of Conduct.
- 4.2.12 Where Approved Certifiers of Design relied in part on registration or membership of an organisation as noted above they must notify RIAS-regs immediately if they cease to be a member for any reason. RIAS-regs will undertake similar individual checks in the event of a complaint or an early audit.

### 4.3 Management of the Scheme

- 4.3.1 The trading activities of the Royal Incorporation of Architects in Scotland (RIAS) are run by its wholly owned subsidiary company RIAS Services Limited, which remits any profits to the Incorporation by gift aid. The Incorporation owns the entire issued share capital of RIAS Services Limited. Management of RIAS Services Limited is provided by the Incorporation.
- 4.3.2 RIAS Services Limited is the Scheme Provider. The Schemes are managed on behalf of RIAS Services Limited by the RIAS in partnership with Home Energy and Data Services Limited.

RIAS have appointed a Head of Certification who is responsible for the day-to-day management of the Schemes and is assisted by a Scheme Administrator.

Home Energy and Data Services Limited's provide technical and IT support and has responsibilities to manage the website and assist in the promotion of the Schemes.

- 4.3.3 The role of the Head of Certification has been defined by RIAS Council it is crucial to the smooth running of the Scheme and includes:
- Confirm the approval of Certifiers of Design and Approved Bodies
  - Refer matters to the Review, Disciplinary and Conduct Panels for further consideration



- Direct the overall management of the processes
- Manage the auditing of Approved Certifiers of Design and Approved Bodies.

The Head of Certification should be a senior member of the Architectural profession with experience in managing an architectural practice or similar business / department and is appointed by RIAS Council. The Head of Certification must not be:

- A Member of the Scheme
- Currently engaged in a business which is also an Approved Body
- Have any direct financial interest in the viability of the scheme or any Scheme Member or Approved Body

The Head of Certification's duties include:

- Preparing reports for RIAS Council
- Liaising with the Building Standards Division of the Scottish Government (BSD), other Schemes and stakeholders
- Convening and Chairing the Review Panel
- Ensuring that the Scheme adheres with the Scheme policies and procedures, in particular the Scheme Membership, Auditing and Compliant Procedures
- Supporting the role of the Disciplinary, Conduct and Appeal Panels
- Managing the day-to-day work of the Scheme Administrator, ensuring that suitable cover over holiday periods and periods of absence etc
- Liaising with the IT partner for the Scheme
- Setting and review the remit of external consultants to the Scheme
- Continuing to develop opportunities to promote and expand the Scheme as directed by RIAS Council
- Appointing Scheme Auditors
- Ensuring Scheme Auditors are adequately trained and resourced
- Developing an audit program
- Managing the delivery of the audit program

4.3.4 The assessment, auditing, and approval of membership are directed by a Review Panel which is appointed and Chaired by the Head of Certification in line with the requirements of this Guide and associated documents

4.3.5 The Schemes Review Panel shall principally comprise members of the RIAS, CIAT and CIBSE and be constituted as follows:

- One Nominee of RIAS
- One Nominee of CIAT
- One Nominee of CIBSE
- One Nominee of Home Energy and Data Services Limited
- The Head of Certification
- Members whom the Review Panel care to co-opt

The Head of Certification shall chair the Panel.

4.3.6 Approved Certifiers of Design shall have an obligation to serve on the Review Panel, if called. (Remuneration and expenses will be given at a rate set from time to time by the RIAS).

4.3.7 Scheme Auditors shall be appointed by the Review Panel and will be required to declare any potential conflict of interest and withdraw if necessary (See the auditing procedures on the Scheme website).

4.3.8 Scheme Auditors may also serve on the Review Panel.

## 4.4 Criteria for Individual Membership

### 4.4.1 Pre-qualification

Application for membership to a Scheme includes a pre-qualification stage where applicants must be able to demonstrate that they are registered with the Architects Registration Board or are either a Chartered Architectural Technologist (MCIAT) or a professionally qualified Architectural Technician (TCIAT) or are a Corporate Member of or a Low Carbon Consultant (LCC) approved by the Chartered Institute of Building Services Engineers (CIBSE).

Or they are a suitably qualified Construction Professional who can demonstrate that they have attained a minimum level of relevant experience and qualifications. These are:

- a minimum of an NVQ or SVQ Level IV or equivalent qualification in a construction related discipline
- a minimum of 5 years experience in preparing building warrant submissions, including drawings, specifications and supporting information etc
- specific training related to the energy design & performance of buildings or can demonstrate that 2 recent building warrants have been granted by a Scottish local authority based on a DER / TER (Section 6 - Energy (Domestic) Buildings) or BER / TER (Section 6 - Energy (Non-domestic) Buildings) compliance calculation that they have prepared.

Those Members of the Scheme who are already Approved Certifiers of Design for one or more Sections of the Technical Standards prequalify to apply for approval by Schemes covering other Sections of the Technical Standards but must demonstrate competency as any other candidate.

In addition, to become Approved Certifiers of Design all Applicants must:

- Successfully complete the on-line training modules relevant to the Section(s) of the Technical Standards applied for, details of which are published on the Scheme website
- in the case of Section 6 - Energy (Domestic) Buildings successfully complete a Practical SAP Test
- in the case of Section 6 - Energy (Non-domestic) Buildings successfully complete a Practical iSBEM course – (RIAS-regs have partnered with the University of Strathclyde who provide a suitable course) or provide evidence that they have successfully completed a training course approved by CIBSE in the use of one or more software systems, approved by BSD for demonstrating compliance
- Agree to adhere to the Schemes Code of Conduct (available on the Schemes' website)
- Agree to adhere to the Code of Conduct of any relevant Professional Body (such as RIAS, CIAT, CIBSE etc) that the Applicant may be a Member of and membership of which they have relied upon as part of their application
- Confirm that they are attached to an organisation approved by the Scheme as an Approved Body, which provides the resources and PI Insurance cover for the Approved Certifier of Design and which has appointed a Certification Coordinator
- Provide an Audit Return of their activities on request.

### 4.4.2 On-Line Training Modules

Two sets of six on-line test modules have been developed (covering Section 6 - Energy (Domestic) Buildings and (Non-domestic) Buildings, in order to ensure that all Approved Certifiers of Design have demonstrated that they have met a minimum threshold of competency. Each Module covers a specific area of competency:

- Module 1: Roles, Duties and Procedures
- Module 2: Design Limits
- Module 3: Alterations, Extensions and Conversions
- Module 4A & B: Calculation Methods for New Dwellings / Non-domestic Buildings
- Module 5: Other Section 6 Issues
- Module 6: Other Section 1- 5 and 7 Issues

Applicants are provided with a set of Learning Modules, aimed at supporting them in undertaking the on-line tests which are designed to be undertaken in the Applicants own time and at their own pace.

Each test comprises of 5 multi-choice questions selected at random from a pool of approximately 20. Each test is undertaken as an open book exercise and the questions are designed to replicate the checking process that an Approved Certifier of Design must use in certifying projects. The intention is that any trick questions are avoided, however close attention is needed to the precise wording of questions and thresholds for compliance within the Technical Standards.

Each test has a 20-minute window and once completed and submitted applicants are automatically informed, by RIAS-regs IT system, of the number of correct answers out of 5. To pass the test all 5 *must* be correctly answered. Where the applicant fails one or more questions they are informed of their score out of 5. They are not informed which questions were answered correctly or incorrectly.

The Applicant then has the opportunity, to retake the test (in total up to 5 times), again the questions are randomly drawn from the overall pool of questions, which is the reason for not disclosing earlier detailed results.

If after 5 attempts the Applicant has still not passed the test they can request help from the Technical Advisor to whom they can outline any problems they have encountered. RIAS-regs will then assess their specific answers to the on-line tests and suggest further reading / revision. RIAS-regs can then allow the Applicant to retake the on-line test if it is felt the Applicant has taken steps to augment their competency in the specific area.

In addition, RIAS-regs monitors the overall results of the on-line questions, periodically reviewing and refreshing questions in response to:

- Changes in the Technical Standards
- Questions or answers that are poorly worded
- Questions that are too easily answered
- Questions which appear to be too obscure

Applicants are encouraged to highlight to RIAS-regs any questions which they feel are poorly worded or to which the answers seem incorrect, relative to the edition of the Technical Standards cited. In this way RIAS-regs is able to ensure that the on-line tests remain relevant and maintain a consistently high threshold for demonstrating competency across the Scheme.

#### 4.4.3 Practical SAP Tests: Section 6 - Energy (Domestic) Buildings

Having demonstrated competency in understanding and applying the Technical Standards through the on-line tests, Applicants to the Section 6 (Energy) Domestic Scheme must also undertake a Practical SAP Test. Applicants are provided with a set of drawings and requested that they undertake a DER/TER calculation using any SAP 2012 software program currently approved by the Scottish Government.

They are then requested to complete an Excel spreadsheet which includes both key input data and outputs from the calculations. Both the calculation and spreadsheet are sent to Home Energy and Data Services (HEADS) Limited (who developed the test on behalf of RIAS-regs) for independent marking.

HEADS also provide a copy of "SAP – a User Friendly Guide" which outlines in detail the testing and marking procedure, including a list of frequently made mistakes. On receipt of an Applicants Excel spreadsheet the key data points are entered into a master spreadsheet which includes both the correct data and algorithms which mark the Applicants data relative to the correct data.

In order to pass the test, the Applicants DER value must be within +/-4% of the correct value (as laid down by DCLG in their guidance to On Construction Domestic Energy Assessment Scheme Providers operating in England and Wales).

An additional 41 significant inputs to the DER/TER calculation and the TER output are also checked which between them could be penalised by up to 62 “black marks”. Regardless of the accuracy of the DER figure a test also fails if it scores 10 or more “black marks”. This is to ensure that the test is not inadvertently passed while containing self-correcting errors.

The master spreadsheet also has algorithms relating to the Effective Air Change Rate and HLP data which are not marked (as they are influenced by a number of factors) but if they are incorrect this points the Applicant in the direction of their mistakes.

Once marked via Excel HEADS also look at the Applicants DER/TER calculation to ensure a match. The outcome of the test is either:

Test passed - HEADS informs RIAS-regs, provides a copy of the test result to both Scheme Administrator and Applicant and the Applicants details are updated within the IT System, or

Test failed – HEADS provides the Applicant with a copy of the test result and a commentary regarding which areas of the calculation they should focus on, without disclosing specific input errors. Applicants are then invited to resubmit tests.

Due to the volume of testing HEADS has undertaken they have built up an extensive knowledge of the likely mistakes, that Applicants make, and the process of practical testing not only demonstrates competency, but sharpens Applicants knowledge of SAP.

#### 4.4.3 iSBEM Course: Section 6 - Energy (Non-domestic) Buildings

For those applicants with no previous experience or formal training in the use of iSBEM or an approved software a series of on-line courses have been developed with Strathclyde University which lead up to a practical iSBEM test. <https://onlineshop.strath.ac.uk/product-catalogue/engineering-faculty/mechanical-aerospace-engineering/courses/riascibse-certifier-of-design-training>

#### 4.4.4 Existing Calculation Competency: Section 6 - Energy (Non-domestic) Buildings

Applicants who have already undertaken or plan to undertake an approved training course in the use of a software calculation program approved by the Building Standards Division of the Scottish Government, as listed at: <http://www.scotland.gov.uk/Topics/Built-Environment/Building/Building-standards/techbooks/sextsixprg> will be recognised as able to use that software on presentation of their training certificate or other suitable evidence.

#### 4.4.5 Code of Conduct

Applicants will be made aware at their first registration, of the Auditing Procedures, which are available on the Schemes website. These indicate that non-compliance could have very serious consequences in terms of their position as Approved Certifiers of Design, the status of the Approved Body, of which they are part, and their membership of professional bodies.

In issuing Certificates of Design, Approved Certifiers of Design are expected to be truthful and act within their level of competency and in line with the requirements of the Schemes and Scottish Legislation. The consequence of not doing so is that they may be reprimanded, suspended or struck off the Register. In addition, the majority of Approved Certifiers of Design will be members of a Professional Body to which any infringement or complaint will be notified.

A copy of the Code of Conduct is available on the Schemes website.

#### 4.4.5 Beyond that, candidates must:

1. adopt appropriate procedures to satisfy themselves of the compliance or non-compliance of design work described in an application for building warrant or amendment to building warrant
  2. declare that they will only certify if they have sufficient knowledge and understanding of the Building (Scotland) Regulations 2004 (as amended), the Technical Handbooks; relevant codes of practice and design guides
  3. agree to undertake appropriate CPD and to declare on request their CPD record
  4. declare their experience and expertise in specified aspects of energy performance of buildings and to take account of this declaration in their certification practice
  5. undertake to understand the Schemes' requirements as described in this Scheme Guide
  6. undertake to abide by the Code of Conduct
  7. agree to submit evidence of their certification practice to audit by RIAS-regs on request, including the logbook
- 4.4.6 Individual Scheme members may describe themselves as an Approved Certifier of Design citing the relevant Section(s) of the Technical Standards.
- 4.4.7 Membership does not entitle the use of letters of designation after their name however the Scottish Government encourages the use of the "Approved Certifier of Design" logo, which is available on request from the Scheme Administrator.
- 4.4.8 Approved Certifiers of Design will be issued with a certificate of membership of the relevant Schemes. Certificates remain the property of the Scheme and must be returned to the Head of Certification, on request, should the Approved Certifier of Design cease to be a member of the Scheme for whatever reason.

## 4.5 Criteria for Membership of Approved Bodies

- 4.5.1 Criteria for the membership of firms, public bodies, or other organisations are given below. Approved Bodies are required to:
1. Employ at least one Approved Certifier of Design.
  2. Have in place appropriate auditable checking procedures to assure the quality of certification activities (formal accreditation such as ISO90001 is not mandatory).
  3. Agree to maintain adequate professional indemnity cover for any project certified by an Approved Certifier of Design.
  4. Provide access for Approved Certifiers of Design to all relevant legislation, handbooks, codes, standards and guides.
  5. Make provision to promote the continuing professional development of Approved Certifiers of Design.
  6. Designate a Certification Coordinator to countersign certificates completed by a Approved Certifier who is employed by the Approved Body.
  7. Undertake to understand the Schemes' requirements as described in this Scheme Guide and associated documentation.
  8. Undertake to abide by the Code of Conduct.
  9. Report any changes in staffing to the Schemes with regard to Approved Certifiers of Design or the Certification Coordinator.
  10. Keep a logbook that demonstrates that certification is:
    - being undertaken in a diligent and thorough manner
    - that the Approved Body has in place the policies and procedures required by the Scheme
    - that the resources required by an Approved Certifier of Design are available, and
    - that records are available of all certificates issued, together with a record of the certified design – for full details see the Scheme's Quality Assurance Guidance for Approved Bodies, a copy of which is available at the Scheme website
  11. Provide an Audit Return of their Certification Activities in line with the most recent version of RIAS-regs Audit procedures, on request.
- 4.5.3 Approved Bodies are geographically fixed and corporate bodies. Those with more than one office are required to seek Approved Body status for each branch office that wishes to offer certification services. Each office must have at least one Approved Certifier of

Design, to be eligible for membership. An Approved Certifier of Design can, however, be associated with more than one Approved Body.

- 4.5.4 A sole practitioner can be an Approved Certifier of Design, a Certification Coordinator and an Approved Body, as long as, they satisfy the membership criteria for each.
- 4.5.5 An Approved Body may describe itself as an Approved Body for Certification of Design (Designating the sections of the Technical Standards covered by the Approved Certifiers of Design employed by the Approved Body).
- 4.5.6 Approved Bodies will be issued with a certificate of membership of the appropriate Scheme, Certificates remain the property of the Scheme and must be returned to the Head of Certification, on request, should the Approved Body cease to be a member of the Scheme for whatever reason.
- 4.5.7 The Scottish Government encourages the use of the “Approved Certifier” logo by Approved Bodies, which is available on request from the Scheme Administrator

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

- 4.6.1 The Approved Certifier of Design should be satisfied that their knowledge and experience enable them to discharge the responsibility of certifying a particular design.
- 4.6.2 An Approved Certifier of Design must undertake certification in a methodical manner providing the Certification Coordinator with copies of:
  - Certificates and any attendant Schedule 1
  - Certification checklists
  - A copy of the design information or a record of its location
  - A copy of any detailed calculations relied upon to demonstrate compliance
- 4.6.3 An Approved Certifier of Design must ensure that they pass to those other members of the design team and the building warrant Applicant/Agent a signed copy of the certification checklist to ensure that no other section of the Technical Standards are compromised and where necessary coordinate with those other Approved Certifiers of Design who may be certifying other sections of the Technical Standards.
- 4.6.5 The Certificate of Design applies to the whole of the work described in the application for building warrant covered by the Scheme in question.
- 4.6.6 Where part of the works includes the provision of materials, components or systems by specialist contractors the Approved Certifier of Design should append a “Schedule 1” to the Certificate of Design detailing those elements and the minimum performance required. The Approved Certifier of Design must coordinate with other Designers, Approved Certifiers of Design and Applicants/Agents, particularly where other Certificates of Design include Schedule 1’s.
- 4.6.7 The Approved Certifier of Design must take account of any requirements of the Technical Standards which may influence whether the design satisfies the Building (Scotland) Regulations 2004 as amended at the time that a building warrant is applied for.
- 4.6.8 In all cases, the design must be checked by an Approved Certifier of Design and countersigned by the Certification Coordinator of an Approved Body. The design may, however, be undertaken by any competent person.
- 4.6.10 Schedule 2 to the Act prohibits a Verifier from certifying any design for which they also act as Verifier. Any Approved Certifier of Design that is employed by a Verifier, or an Approved Body that is also a Verifier, is not entitled to issue any Certificates of Design that relate to an application it is Verifying.
- 4.6.11 The adoption of appropriate levels of checking of designs before they are certified is a fundamental part of the Scheme.

- 4.6.12 In some cases, building projects may be granted a staged building warrant, permitting details of future stages to be provided later with an application to amend the building warrant. Ideally the same Approved Certifier of Design should be used at each stage, but a change of Approved Certifier of Design may in some circumstances be unavoidable.
- 4.6.13 It must be clearly understood that the Design Certificate relates to the compliance of the design of the building with the relevant section of the Technical Standards. In the case of a staged building warrant the Approved Certifier of Design must be satisfied that the work included in each stage either complies with the requirements of the relevant section of the Technical Standards or in so far as it has an impact on future stages will not compromise the ability to meet the compliance requirements of the relevant section of the Technical Standards. The signing of a Certificate of Design in respect of design work which has yet to be completed is contrary to the intentions of both the Regulations and the Scheme and may lead to disciplinary action or prosecution.
- 4.6.14 If for any reason the Approved Certifier of Design of the initial stages of the work is no longer available, the Approved Certifier of Design of the later stages of the works must not sign the relevant Certificate(s) of Design until they have satisfied themselves of the adequacy of all of the preceding stages of the work and the mutual compatibility of the various stages of the works.
- 4.6.15 Individuals may change their employment during the course of their careers. A change of employer may have implications in respect of staged building warrants for work, which has yet to be completed. This situation may be handled in one of two ways:
1. Although the Approved Certifier of Design must be employed by an Approved Body at the time of certification, there is no requirement for the same Approved Body to be the Approved Certifier's employer for all stages of the project, and to be named as such on each Certificate of Design. It is therefore acceptable for the Approved Body to change between building warrant stages. However, if this approach is adopted it must be clearly understood that the Approved Body for the later stages of the project is also accepting certification responsibility for the earlier stages of the works.
  3. Alternatively, the initial Approved Body can retain all responsibility for the project and appoint a different Approved Certifier of Design (in which case the requirements of 4.6.11 above will apply).
- 4.6.16 In any circumstances relating to staged building warrants where it is necessary for the Approved Certifier of Design or Approved Body to change during the course of the building warrant application process, the Applicant for the building warrant should write to the Verifier pointing out the change, detailing how it has been dealt with and confirming that both the Approved Certifier of Design and Approved Body are accepting responsibility for compliance with the regulations for all stages of the project. A new Approved Body should secure an appropriate appointment from the client covering the provision of certification services for the entire project.
- 4.6.17 All applications for staged building warrants shall clearly define the extent of the works covered in detail by the application and accompanying Certificate of Design. The Certificate of Design covers the whole building on the building warrant application but confirms that only the design for the current stage is complete.
- 4.6.18 The duty to comply with the Technical Standards rests with the applicant for a building warrant, usually a building owner or developer. (Note that an applicant may use an agent to make an application). Once the building is complete, the "Relevant Person" (as defined by the Act) must submit to the Verifier a Completion Certificate confirming that the building complies with both the Building (Scotland) Regulations and the building warrant. The Approved Certifier of Design should ensure that the Relevant Person has been supplied with any information regarding the design, which the Approved Certifier of Design regards as necessary to enable a Completion Certificate to be accepted.

- 4.6.19 The ability on the part of the Approved Certifier of Design to sign a Certificate of Design does not mean that the Applicant or Agent is relieved from presenting that information which describes the design to the verifier (including drawings, specifications and DER / TER or BER / TER compliance calculations etc). This is to allow the verifier to access the works on completion.

## 4.7 Duties of an Approved Body

- 4.7.1 The Approved Body must provide an environment that supports the Approved Certifier of Design and maintain the conditions under which it was approved. The criteria for membership of an Approved Body are given in 4.5.1
- 4.7.2 Approved bodies shall put in place internal procedures for recording and reporting Certificates of Design, and shall keep these for a minimum of 25 years:
- Copies of the Approved Certifier of Design, Certification Coordinator and Approved Body's certificates of membership
  - Copies of all Certificates of Design issued
  - Copies of any correspondence with the Scheme and Auditors Notes
  - Copies of all certification checklists
  - Copies of all relevant calculations / drawings and specifications, such as:
    - Copies of the building warrant application drawings
    - Copies of U-value calculations
    - Copies of compensatory calculations
    - Copies of DER/TER or BER/TER compliance calculations
    - Manufacturers trade literature
    - Specialist contractors design information

In an instance where the Approved Body is also the Applicant or Agent it is not necessary to replicate drawings and specifications etc, which are kept elsewhere in hard copy by the Approved Body. Reference should be made to the Quality Assurance for Approved Bodies Guidance published by the Scheme

- 4.7.3 The Certification Coordinator of an Approved Body must not countersign Certificates of Design for any period during which the Body does not employ an Approved Certifier of Design.
- 4.7.4 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 must be reported to RIAS-reg.
- 4.7.5 An Approved Body is also required to allocate adequate time and resources 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 Approved Certifier of Design.
- 4.7.6 Approved Bodies must make provision to ensure that an Approved Certifier of Design who they employ is adequately protected from financial loss, as a consequence of, undertaking certification work on their behalf.
- 4.7.7 Approved Bodies must undertake a review of the risks associated with any Approved Certifier of Design appointment and ensure that appointments have been based on appropriate contractual terms and conditions. Consideration should be given to limiting liabilities as an Approved Certifier of Design through separate appointments to those as designer.
- 4.7.8 Approved Bodies must provide RIAS-reg with a copy of their Audit Return, covering all aspects of Certification, within 30 days of request, in line with the latest Auditing



Procedures.

#### **4.8 Code of Conduct**

- 4.8.1 Approved Certifiers of Design will adhere to the Code of Conduct of the Scheme (which can be found on the Schemes website) as well as Codes of Conduct of RIAS, CIAT, CIBSE or any other Professional Body of which an Approved Certifier of Design may also be a Member as appropriate.

#### **4.9 Complaints, Conduct, Disciplinary and Appeals Procedures**

- 4.9.1 The Schemes have complaint, conduct, disciplinary and appeal procedures which are available on the Schemes' website.

## 5. MEMBERSHIP PROCESSES

### 5.1 Applications for Membership

- 5.1.1 A guide to applicants is available on the Schemes' website, detailing the membership criteria and the process of applying.
- 5.1.2 All applicants must pay an initial subscription fee, in order to, undertake the on-line competency tests. Payment of this fee is no guarantee that an applicant will be accepted as a Member of any Scheme as this relies on a demonstration of competency and the provision of both proof of PI Insurance and an acceptance of the Schemes' Code of Conduct etc.
- 5.1.3 Approved Certifiers of Design must pay an annual subscription to remain on the register. Membership will run annually from the date of first subscription.
- 5.1.4 There is a certificate registration fee for each Certificate of Design accompanying a building warrant application when issued under the scheme. The current charges are posted on the schemes' website and are subject to review and amendment by the Scheme Review Panel.
- 5.1.5 Each Certificate will carry a unique identification number.
- 5.1.6 Applications for membership are to be submitted on-line to RIAS-regs at [www.RIAS-regs.co.uk](http://www.RIAS-regs.co.uk). Once verified by the Scheme Administrator (ARB, CIAT and CIBSE applicants) or approved by the Review Board (Other Construction Professionals) applicants can subscribe to the competency tests.
- 5.1.7 Payment of all fees are made on-line by debit card or credit card, unless specifically agreed otherwise with the RIAS-regs.
- 5.1.8 In subscribing to a Scheme, applicants confirm that they agree to obey the rules of the Schemes as laid down in this Guide and associated documents.
- 5.1.9 An appeal to RIAS-regs may be lodged if an application for membership is rejected (see the complaints procedure on the Schemes' website).

### 5.2 Assessment of Applications for Membership

- 5.2.1 ARB registered Architects, MCIAT, TCIAT Corporate Members of and Low Carbon Consultants (LCC) approved by CIBSE have an automatic right of membership, (subject to demonstrating competency) once the Schemes' Administrator has verified their memberships. For all other applications the Review Panel will review individual applications against the Membership Criteria published on the Schemes' website.
- 5.2.2 Members of the Review Panel must declare any current or past interest in candidates.
- 5.2.3 The Review Panel may conclude that the application:
  - 1. Does not satisfy the criteria for membership.
  - 2. Satisfies the criteria for membership.
  - 3. Cannot be decided and call for more information or invite the applicant for interview.
- 5.2.4 The Review Panel will advise the Head of Certification who will approve an application or not and the Schemes' Administrator will inform the applicant of the outcome.
- 5.2.5 In the event that an application is rejected BSD will be notified of the name of the applicant and the reason for the rejection.

### **5.3 Maintaining Membership**

- 5.3.1 Fees are subject to review by the Review Panel. (For up to date figures refer to the Schemes' website).
- 5.3.2 The annual membership fee is generated automatically by the Schemes' IT system. An Approved Certifier of Design cannot continue to certify until these are paid on-line. If fees remain unpaid for 12 months, the membership of the Approved Certifier will be terminated. A full re-application is required prior to re-instatement.
- 5.3.3 Approved Certifiers of Design must provide a CPD log annually.
- 5.3.5 Approved Bodies are required to maintain an up to date logbook of all Certificates of Design issued.
- 5.3.6 Approved Bodies must retain, for audit purposes, evidence of professional indemnity insurance for all projects certified.
- 5.3.7 The Certification Coordinator of an Approved Body is not permitted to countersign Certificates of Design during any period when the body does not employ at least one Approved Certifier of Design and must inform the Scheme of any such periods.
- 5.3.8 Any Approved Certifier of Design or Approved Body who wishes to resign their membership must inform the Scheme immediately who will notify BSD by the end of the next working day.
- 5.3.9 Membership may be terminated, or other disciplinary action taken, at any time following properly conducted appeals and disciplinary procedures (see the Schemes' website). The Scheme will notify BSD by the end of the next working day.

### **5.4 Auditing of Approved Certifiers and Approved Bodies**

Details of the auditing process and guidelines are available on the Scheme website.

### **5.5 Auditing of the Scheme**

The management of the Scheme including membership assessment, auditing, and approval processes is subject to audit by the BSD on behalf of the Scottish Ministers.

Audit reports are published on the Building Standards Division of the Scottish Governments website:

<http://www.scotland.gov.uk/Topics/Built-Environment/Building/Building-standards/profinfo/cert/certaudit>

## 6. FURTHER INFORMATION

### 6.1 Certification Register

- 6.1.1 The Building Standards Division of the Scottish Government (BSD), (formerly the Scottish Building Standards Agency (SBSA)) Certification Register is the only authoritative list of Approved Certifiers of Design, Approved Bodies, Schemes and Scheme providers. The Register is maintained and kept up to date by BSD. The Register is available for inspection [www.certificationregister.co.uk/](http://www.certificationregister.co.uk/)

### 6.2 RIAS-regs

- 6.2.1 The Scheme website [www.rias-regs.co.uk](http://www.rias-regs.co.uk) provides further information in both an FAQ section and downloadable documents.
- 6.2.2 Otherwise enquiries should be addressed to:

Scheme Administrator  
RIAS-regs  
Royal Incorporation of Architects in Scotland  
15 Rutland Square  
Edinburgh  
EH1 2BE

[rias-regs@rias.org.uk](mailto:rias-regs@rias.org.uk)

Tel 0131 229 7545  
Fax 0131 228 2188