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1 DOCUMENT DETAILS

Scope



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To formalise BREEAM In-Use operating procedures between BRE Global Ltd, BREEAM In-Use Clients and BREEAM In-Use Auditors. This document is applicable to UK and International baseline assessments. The standard BREEAM In-Use certification is only available to assessments in England, Wales and Northern Ireland. For assessments outside of the UK Baseline certifications are awarded based upon UK criteria and energy methodology.

Professional surveyors, Facilities Management and Building Inspectors are the target audience for the Auditor role of BREEAM In-Use. Auditor training will be discussed later in this document.

This document will provide a broad overview of our operating procedures for the BREEAM In-Use Standard (BES 5058). Where more detailed information is available, a reference to the appropriate information will be provided within the structure of this document. References shall typically take the form of Local Procedural Documents or website links.

Audience

This document is intended for Licensed BREEAM In-Use Auditors and Clients. This document also acts as a procedural guide for BRE Global Ltd staff.

Multi tenanted Assets

The table below highlights the client type that each BREEAM In-Use part is aimed at, and how it can be assessed against BREEAM In-Use for multi-tenanted assets.

Part 1	<p>Asset performance – the inherent performance characteristics of the building based on its built form, construction and service</p> <p><u>Who is the assessment for?</u> Building Owner/Occupier</p> <p><u>How could it be used to assess a multi-tenanted asset?</u></p> <p>The building owner's assessment includes liaising with a sample of the occupiers to check whether central management practices are in place and fully implemented to meet the assessment criteria.</p> <p>Note: Samples should be representative and include a selection of different occupier types. As a general rule samples are based on the</p>
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	square root of the total number of occupiers. For example if you have 100 occupiers you would be expected to sample a minimum of 10 occupiers.
Part 2	<p>Building management performance – the management policies, procedures and practices related to the operation of the building; the actual consumption of key resources such as energy, water and other consumables; and environmental impacts such as carbon and waste generation</p> <p><u>Who is the assessment for?</u> Facility Management/Occupier</p> <p><u>How could it be used to assess a multi-tenanted asset?</u> The rating can be based on either common areas that a facility manager is responsible for or the occupier managed areas of the asset.</p>
Part 3	<p>Occupier management performance – the understanding and implementation of management policies, procedures and practices relating to the activities undertaken by the occupier within the asset (including staff engagement; and delivery of key outputs).</p> <p><u>Who is the assessment for?</u> Occupier</p> <p><u>How could it be used to assess a multi-tenanted asset?</u> Part 3 must be assessed at the occupier level. Multi-tenanted buildings cannot be assessed as a single asset under Part 3, as each occupier will have different management practices.</p>

Issues / Concerns / Complaints

If there are unresolved issues with the BREEAM services provided by BRE Global Ltd, in the first instance please contact the BREEAM Centre via email lnuse@bre.co.uk so that we may address your issues or concerns as effectively as possible.

2 GLOSSARY OF TERMS APPLICABLE TO THIS SCHEME

Advice – Recommendation which can be applicable to any organisation. Advice given must be non-specific.

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Assessment – Review of the client’s Asset, Building Management and Occupier Management rating. The assessment can be of all three of the above or individual components based on the certification route. Each certificate part can be requested by different organisations dependant on the responsibility of the building for that part of certification

Asset – The scope of the BREEAM In-Use assessment is defined by the boundaries of the asset. An asset does not have to include the whole building ; it could include just part of a building for example a single floor. In such cases the scope of BREEAM In-Use assessment must include all relevant amenity and service areas must be incorporated as part of the assessment. This may include shared amenity and service areas.

An asset cannot normally include more than one building. The only exception is where several buildings are connected and share common services to meet the majority of their demands and the buildings are similar in physical performance , for example in design and age. Policies must be the same across all of the buildings.

Note: If the same floor area is shared by more than one organisation the floor area can only be divided up into one asset.

Asset Manager – A BREEAM In-Use profile given to a person who is appointed by the Portfolio Manager to be responsible for the management of an asset. If the Manager so wished, they can assume the role of the Asset Manager at the same time as the Portfolio Manager. Theoretically, the Asset Manager will report directly to the Portfolio Owner. The Asset Manager cannot submit the completed assessment for verification to the selected BREEAM In-Use licensed Auditor.

Audit – this is a systematic review of the client’s answers to the questionnaire against the scheme requirements.

Auditor – subject to being trained and designated as competent and Licensed by BRE Global, the auditor will assist clients in the completion of their assessment and/or ensure that an assessment has been conducted appropriately within the terms of the scheme, and register the verified assessment for certification.

Consultancy – Specific targeted expert advice specific to an organisation. Examples of consultancy include writing procedures or quality plans; or advising on specific product recommendations.

Client – A person, business or organisation that registers and undertakes a BREEAM In-Use pre-assessment.

Key Performance Indicator (KPI) - measure of performance used for benchmarking and reporting.

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Owners, Occupants and Operators - people that may be part of a business or organisation, which have day-to-day responsibility for using and or maintaining the building.

Quality Assurance Audit – Conducted by BRE Global Ltd to ensure that the auditors are following the procedures outlined by the scheme.

Portfolio Owner – Nominee whose responsibility is to control all of the activities that fall in the scope of the BREEAM In-Use scheme (the Portfolio Owner initially registers the portfolio and is the main point of contact for BRE Global Ltd). The Portfolio Owner can assign Portfolio Managers to assist in the assessment activity. The Portfolio Owner can submit the completed assessment for verification to the selected BREEAM In-Use licensed Auditor. They are the only users that can purchase credits.

Portfolio Managers – Assigned by the Portfolio Owner, have the responsibility to complete assessment activities for a portfolio, a portfolio range, an asset or group of assets. The Portfolio Manager can submit the completed assessment for verification to the selected BREEAM In-Use licensed Auditor.

Property Manager – A representative that is not the asset owner, for example facility Management Company. They can submit the completed assessment for verification to the selected BREEAM In-Use licensed Auditor.

Rating – a summary rating of Acceptable, Pass, Good, Very Good, Excellent or Outstanding which is awarded when the appropriate number of credits have been achieved in each of the issue categories. A star rating from one star to six stars is awarded alongside the ratings of acceptable to outstanding.

Verified Data – Data that has been checked by a BREEAM In-Use auditor.

Website - Contains the following information:

- Presentations
- Details of any case studies that can be made public
- Standards and scheme documents
- Frequently Asked Question's
- BREEAM In-Use Online User Manual
- BREEAM In-Use Statistics

Weighting – A system whereby the number of points attained in each issue category is weighted according to the perceived importance of the environmental issue so that they can be summed into single overall 'rating'.

3 INTRODUCTION

What is included within the scheme document:

- How to apply

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- Training requirements
- Details of the assessment process
- Rules for certification
- BREG quality audits
- What certification mark can be used
- How to complain and appeal
- Change of details

Becoming a BREEAM In-Use Client

To become a BREEAM In-Use client an applicant must complete a BREEAM In-Use client training course and successfully complete a exam in order to be deemed competent. To access the online training course and exam please use the link on www.breeam.org/inuse.

Ideally BREEAM In-Use Client should have one or more of the following:

- Experience of environmental assessments of buildings
- Property/facilities management
- Assessment or auditing experience.

The training course for BREEAM In-Use clients is available online. Both Portfolio Owners and Portfolio Managers must undertake this training.

Once deemed competent the applicant will commit to a Licence Agreement which they must take up with BRE Global in order to assess assets under the BREEAM In-Use Scheme.

Stakeholder Responsibilities

3.1.1 BRE Global Ltd

- Developing and updating BREEAM In-Use Documents,
- Developing and updating BREEAM In-Use Online Assessment Tool,
- Providing competent auditor training courses,
- Providing examinations for individuals to become Licensed Auditors,
- Licensing of Organisations and Auditors,
- Quality Assurance checking of the Auditors processes,
- Certification of projects against BREEAM In-Use,
- Issuing BREEAM In-Use KPI reports,
- Maintaining a database of Licensed Auditors, Licensed Organisations and Certified Assessments,
- Publishing a list of BREEAM In-Use Licensed Auditors via www.greenbooklive.com,
- Publishing a list of BREEAM In-Use certified assets via www.greenbooklive.com.

3.1.2 BREEAM In-Use Auditor

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- Serving clients wishing to have a verified assessment against BREEAM In-Use and registering the verified assessment for certification,
- Auditing of evidence required for KPI reports,
- Quality assurance checking of the assessment process,
- Producing high-quality and professional audit reports,
- Advising and helping clients to improve performance and thereby save money,
- Offer additional services where qualified such as Energy Performance Certificates (EPC's) and Display Energy Certificates (DEC's).

3.1.3 BREEAM In-Use Client (Including tasks of the Portfolio Owner and Portfolio Manager)

- Registering assessments with BRE Global Ltd (Portfolio Manager, BREEAM In-Use Auditors can be appointed to conduct this on their behalf if requested),
- Co-ordinating the gathering of evidence as required and as specified by the BREEAM In-Use Online Assessment Tool and the Auditor,
- Completing the BREEAM In-Use Online Assessment Tool,
- Appointing an auditor (if applicable) to register the verified assessment for certification,
- Annual confirmation to state if there have been any significant changes made to the building performance for part 1 and 2,
- Appointing an auditor for surveillance visits.

4 TRAINING

Auditor Training

Following successful completion of the BREEAM In-Use Auditor course there will be an examination to assess the knowledge required to correctly identify and apply the BREEAM In-Use assessment criteria for the most up to date BREEAM In-Use software version.

For full details of the training options and fees refer to Local Procedures Document LP728 and LP729.

Any required re-examination will incur a fee (FS021).

Once deemed competent the applicant will be sent details of the Licence Agreement (PN504) they must take up with BRE Global in order to audit under the BREEAM In-Use Scheme. Once an auditor has successfully completed the training and

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examination they must apply for the BREEAM In-Use auditor licence within a year of the examination.

To meet the requirements of this scheme, each auditor must:

- Be a current qualified Assessor of one of the BRE Global BREEAM, Fire Risk or Energy Assessor schemes.
- Additional entry requirements include at least two years experience in one or more of the following professions:
 - Building surveying
 - Building regulatory (control) services
 - Facilities management
- Satisfactorily complete BREEAM In-Use training provided by BRE Global to gain the background knowledge and information on use of the online assessment tool and the specific assessment criteria.

BRE Global can also conduct audits directly on request. BRE Ltd Auditors conduct the audits on behalf of BRE Global. Every audit is quality checked by BRE Global.

5 LICENSING

A valid license must be held by BREEAM In-Use Auditors. Licensing is provided by BRE Global Ltd and the Licensing application forms and information will be sent to newly registered Auditors by BRE Global Ltd.

A license is held for a period of 1 year before a renewal is required. BRE Global Ltd will issue notification of a pending renewal to an organisation.

Full details of the licensing process, application forms, terms and conditions can be found in Local Procedure Document LP741-1

BREEAM In-Use Auditor

Successful completion of the BREEAM In-Use Auditor training course and exam will entitle the auditor to be registered as competent under this Scheme on the BREEAM database and consequently taken up the Auditor Licence Agreement.

The auditor can only undertake verification of data and produce certificates once they have signed a Licence Agreement with BREEAM.

A BREEAM In-Use Licence will permit auditors to verify a BREEAM In-Use Assessment and to register the assessment for certification for Parts 1 (Asset), Part 2 (Building Management) and Part 3 (Occupier Management) of BREEAM In-Use. It is a requirement for auditors to issue certificates following a declaration from the client that no significant changes have been made to the performance of the asset for both Part 1 and 2 certificates, following annual certificate renewals.

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BREEAM In-Use licensed auditors can also verify the evidence to support KPI reports.

BREEAM In-Use Client

The client can only enter data in the BREEAM In-Use Online Assessment Tool once they have completed the online training, passed the on-line exam and accepted our terms and conditions.

A BREEAM In-Use Licence will permit clients to enter data into the BREEAM In-Use Online Assessment Tool for Part 1 (Asset), Part 2 (Building Management) and Part 3 (Occupier Management), of the BREEAM In-Use Scheme.

Clients are required to notify their appointed BREEAM In-Use Auditor of any change to their asset or management practices.

Note: If you have registered your asset before the online system launch (6th December 2010) you will need to submit your unverified questionnaire to BRE Global to calculate. Two unverified calculated scores are included with in the scheme fees. For additional unverified calculated scores from BRE Global please see Fee Sheet (FS021). Please submit unverified calculated score requests to Inuse-UnverifiedScore@bre.co.uk.

6 FEES

The fees associated with this scheme are detailed in the fee sheet FS 021.

FS 021 lists the fees for;

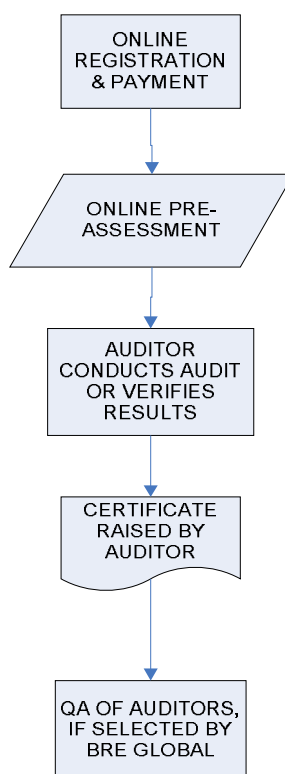
- Auditor Training and Licensing
- Asset Registration and Licensing
- Certification
- Client examination

7 THE ASSESSMENT PROCESS

Flow Chart

The flow chart (Figure 1) illustrates the assessment process. The following section provides further detail on each of the steps shown.

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Online Registration and Payment

To register the asset and gain access to the online assessment tool, the online terms and conditions and fees must be accepted by the client.

Payment card details will be requested and must then be accepted before access to the online assessment tool is granted.

Applications and payment are made using the online tool via www.assetsinuse.org.

Completion of the Online Assessment Tool

A client or a licensed auditor on behalf of the client can complete the Online Assessment Tool. The tool will provide all necessary instructions relating to its use and all evidence and calculations required. Guidance is given on the intent of the questions within the tool. Scores are positively based. The more questions positively answered the better the chance of achieving a higher rating.

Features of the Online Assessment Tool:

- Online training for clients
- Online scoring
- Online certificates
- BREEAM In-Use Licensed Auditors will be able to view detailed assessments before the site audit
- Collection of some of the data for audit can be collected remotely

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- Communication record between client and auditor
- Key Performance data can be uploaded and calculated against performance against key performance indicators

Auditor Verification

It is strongly advised, that to take full advantage of the scheme, BREEAM In-Use clients proceed to full certification. To do this they must have their assessment verified by an independent and licensed auditor. The auditor shall be contracted directly by the portfolio manager or portfolio owner. A list of Licensed Auditors can be found at www.greenbooklive.com

The BREEAM In-Use Auditor shall pay BRE Global the associated certificate fees appropriate to the number of certificates completed.

7.1.1 Site Visits

During visits to buildings, a representative of the client's organisation must at all times accompany the auditor and BRE Global quality assurance auditors as necessary.

The organisation is responsible for pointing out to the auditor and BRE Global quality assurance auditors, any Health and Safety requirements including details of any fire or evacuation procedures, and must supply any necessary protective equipment.

The organisation, auditor and quality assurance BRE Global auditor must at all time comply with the Health and Safety legislation.

BRE Global auditors are not permitted to operate any equipment or machinery to access information. If required this information must be accessed and supplied by the organisation's representatives.

Appropriately qualified auditors are encouraged to offer combined services of BREEAM In-Use and offer assessments such as Energy Certificates, Display Energy Certificates and Fire Risk Assessments.

7.1.2 Audit Visit – Review of Data entered in the Online Assessment Tool

In order to achieve full certification the licensed BREEAM In-Use auditor must visit the client and conduct an audit. The auditor can either conduct an audit from the very beginning and complete the online assessment form with the client or if the client has already conducted a pre-assessment the auditor will verify/audit the clients work during the audit.

For the audit visit, the auditor will review the evidence presented by the client and either enter the appropriate comments in the online assessment tool or will verify the

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evidence already entered in the pre-assessment. If the client has a portfolio of buildings the auditor may not need to visit all buildings identified on the application form if there is sufficient evidence that the client has applied the same processes and rigour to all buildings during the pre-assessment. For more information please see auditor guidance notes (GD061) which can be located on the BREEAM extranet www.breeam.org/extranet.

An audit starts with an opening meeting in accordance with local procedure (LP521) between the auditor and the applicant's management to explain the purpose of the visit, the scope of audit, the reporting method, the outline programme and the approximate time and purpose of a closing meeting. Auditors must keep a record of the opening and closing meeting.

Auditors are encouraged to give advice on sustainable issues as they conduct the audit and include advice given to the asset manager in their final audit report.

The auditor will conduct the following for:

Single asset

- Conduct audit and/or
- Ensure the accuracy of the data entry into the BREEAM In-Use Online Assessment Tool
- Verify the data and claims by on-site assessment of the asset.

Multiple assets and portfolios

- Conduct audit and/or
- Ensure the accuracy of the data entry into the BREEAM In-Use Online Assessment Tool
- Undertake on-site audits of an appropriate number of assets based on the following factors:
 1. whether procedures are established and centralised
 OR
 2. common to all assets;
 3. size of the assets;
 4. confidence in the management and systems of the assets

At the end of the audit visit the auditor holds a closing meeting in accordance with local procedure (LP521) with the applicant's management to discuss the credits awarded in each of the issue areas and may disclose an unverified interim rating.

7.1.3 Audit Report

The audit report will include the completed verified questionnaire and a summary sheet which includes auditor recommendations on where the Asset Manager can improve on sustainability aspects.

All company procedures, display energy certificates, energy performance certificates and utility bills must be current at the time the verified score is submitted to BRE Global Ltd.

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If clients have registered their asset before the online system launch (6th December 2010) the auditor will send the verified questionnaire and summary sheet to BRE Global Ltd via Inuse-VerifiedScore@bre.co.uk.

Auditor requirements:

1. Auditors are expected to retain all documents that relate to a BREEAM In-Use audit for a minimum of a four year period. All documents that relate to a BREEAM In-Use audit must be backed up in hard or electronic copies.
2. Auditors are required to keep up to date with current scheme rules by regularly reviewing updated revisions of the scheme documentation which can be found at www.breeam.org/inuse
3. It is a requirement of the scheme that auditors have Professional Indemnity (PI) insurance of a minimum limit of ≥ £1 000 000. It is the responsibility of the auditors to keep their insurance up to date. The status of insurance will be periodically checked by the scheme. If BREEAM In-Use auditors operate without the appropriate level of insurance specified by the scheme then BRE Global has the right to suspend the auditor's membership.

7.1.4 Potential Causes of Conflict with the Auditor's Role

1. BREEAM In-Use is a 3rd party independent certification scheme, auditors are therefore not permitted to audit their own companies or companies who employ them. This would be a clear conflict of interest. If an auditor works for a subsidiary of the company they are auditing, they need to be sure that there is no conflict of interest and they must inform BRE Global of the relationship between the companies including the roles of any common management structure.
2. Auditors can give advice during and after a BREEAM In-Use Audit providing that it is generic advice on the requirements of the scheme or clarifying the meaning of the answer options in the BREEAM In-Use questionnaire. They may also advise and are indeed encouraged to advise their clients in their assessment report on measures where they can improve their performance. Auditors may not offer direct consultancy during the certification process such as; writing procedures or quality plans for the client; or advising on specific product recommendations. If an auditor has been employed to provide consultancy then the audit of those aspects must be audited by another licensed auditor who must not be employed by the same organisation.

Asset Certification and Verified KPI Reports

The BREEAM In-Use online system will calculate the verified score and auditors will raise the appropriate certificate(s) and reports via the online system. Certification is only granted where the minimum number of credits meets the rating 'acceptable' or higher. See appendix 1 for further details.

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The certificate and report provides a label for the building that enables owners or occupants to gain recognition for the building's environmental performance "In Use".

Certificates and reports can be displayed in the building and used as part of an organisation's overall environmental statement for corporate social responsibility and sustainability.

The certificate and report is maintained and held in force subject to satisfactory completion of the requirements for maintenance of certification.

Organisations can get certificated to any of the three parts of the (BES 5058) BREEAM In-Use Technical Standard individually if requested.

If an assessment rating of unclassified is achieved a certificate will not be raised. For applicants where certification could not be recommended, the auditor will write to the client confirming that a full or partial re-assessment is required and explaining the reasons for this.

The auditor is responsible for issuing the certificate and report to the client. The auditor may only request BRE Global Ltd to produce the certificate once; additional certificates will be charged following the fee structure as outlined in Fee Sheet FS021.

The certificate contains the name and address of:

- The registered organisation undertaking the environmental assessment
- The licensed auditor's organisation details
- The asset that was assessed including a clear description of what the asset is. For example if the asset does not include the whole building give details such as:
1st floor of building X
Building address details

OR

- Public areas only of shopping centre X
Building address details
- the rating (level) achieved

National Scheme Operators (NSOs)

We have a number of National Scheme Operators operating a country specific version of BREEAM In-Use. National Scheme Operators are organisations that are licensed to develop and operate schemes that are adapted to the local conditions and are affiliated with BREEAM. More information about our work with National Scheme Operators can be found at <http://www.breeam.org/page.jsp?id=318> and further details of NSOs can be located at <http://www.breeam.org/podpage.jsp?id=367> under the schemes heading.

Where there is a NSO in operation BREEAM In-Use audits cannot be conducted directly through BRE Global via the BREEAM In-Use online system <http://www.breeaminuse.org.uk/BLogin.aspx>. Clients will need to register their asset directly

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with the NSO. NSO contact details can be located at <http://www.breeam.org/podpage.jsp?id=367> under the schemes heading. Details of an NSO launch will be communicated through BRE Global. There will be a transition period of 2 months once an NSO BREEAM In-Use scheme has been launched. Within the transition period clients/auditors have the chance to request that assets can be registered to the BREEAM In-Use system if there is an NSO in place. The request can only be made if a contract has been agreed between a client and an auditor. Clients/auditors will need to provide evidence of a contract or written discussions.

Assets that have already been certificated to BREEAM In-Use by BRE Global can retain their certification until a site visit is required at year 4 of the certification scheme if no significant changes have been made to the asset or management systems (see section 8.1.1 of this document for further details).

Quality Assurance of Auditors by BRE Global Ltd

BRE Global Ltd shall conduct the following checks on work undertaken by auditors:

Quality audits and Checks

Auditing the quality of auditor's work is a key function and responsibility of this scheme. A high standard of quality assurance is needed to protect the interests of all parties that are entitled to rely on the auditor's work. The procedure for quality assurance audit is summarised below. The results of the quality assurance audits will be reviewed by the Scheme Manager and will be used to make informed decisions about disciplinary or other actions which might be taken against the auditor. Fees payable as a result of actions taken under this clause are set out in the Fee Sheet (FS021).

The quality assurance audit process considers the key risk areas affecting the quality of the BREEAM In-Use certification:

- Level of experience of individual auditor
- Professional behaviour in dealings with other parties
- Professional competence in assessing energy and environmental performance compliance calculations
- Compliance with laid down standards
- Potential for fraud by auditors or their employers

These risks are essentially tied to the behaviours of auditors and their employers and are therefore not likely to occur on a random basis. A competent, diligent and honest individual will provide a service of an acceptable quality standard in the vast majority of cases. This scheme adopts a targeted, risk based approach to the quality assurance auditing of its members. This makes it possible to deliver a given level of confidence that appropriate quality standards are being maintained in the most cost effective way.

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The quality auditing requirements:

Client follow up review with at least 5% of audited assets to confirm that the correct proper process was followed, auditor conduct and behaviour was in line with expected standards and to identify trigger points that would indicate the need for a review of the completed certification.

Call in of auditor's records for at least 5% of audited assets for review by a BRE Global quality assurance auditor to judge the quality of the completed certification. An auditor is only requested to submit evidence and notes from an audit to BRE Global Ltd if they are selected as part of the 5%.

Periodic checks on the status of insurance will also be conducted during the call in of auditor's records. This can be done by sending the required information via email Inuse-QA@bre.co.uk or via post to BRE Global, BREEAM In-Use Team, B16, Room 211, Bucknalls Lane, Watford, Hertfordshire, WD25 9XX.

KPI Report Checking: To check the validity of the KPI report. This can be done by sending the required information via email Inuse-QA@bre.co.uk or via post to BRE Global, BREEAM In-Use Team, B16, Room 211, Bucknalls Lane, Watford, Hertfordshire, WD25 9XX.

Targeted witnessed assessments: To give a direct measure of the quality of the audit and certification. Auditors would be reviewed in their offices or on site as appropriate by a BRE Global quality assurance auditor. These would be on a risk basis and only conducted if there is a negative outcome of the call in of auditor records and/or the customer follow up review audit and/or a complaint was made against the auditor.

Review of any complaints associated with this scheme and their resolution. All complaints will be dealt with in accordance with BRE Global's Complaints and Appeals Procedure (PN 100).

7.1.5 Actions taken by BRE Global Ltd for non-compliance

If witnessed quality assurance audits are inhibited by the auditor then the auditor's membership may be at risk of termination. Refer to BRE Global's Terms and Conditions for Listing and Certification (PN101).

If the review of the sample of reports or the nature of complaints indicates failure to carry out the work correctly then additional audits or retraining may be required in order to achieve certification. This will typically be dealt with through suspension of certification which can lead to the withdrawal of certification and the corresponding listings in accordance with BRE Global's Terms and Conditions for Listing and Certification (PN101).

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Audit reports are monitored and a record is kept for each individual for errors identified. Individuals with a high number of errors in reports are subject to increased monitoring. There may be additional charges for this.

If BRE Global QA processes highlight inconsistencies within an audit the following actions may be taken

- The auditor may be required to undertake further training (at their expense)

AND / OR

- The auditor's registration and the license of the employing organisation may be suspended,

OR

- The auditor may choose to withdraw from the scheme.

Where registered auditors within a licensed organisation have not registered or submitted a BREEAM In-Use assessment within a 5 year period, or their audit reports are of consistently poor quality, qualified status will be reviewed and will only be maintained subject to satisfactory completion of re-training.

If an auditor is found to be incompetent by BRE Global then the cost of any re-auditing activities is the responsibility of the auditor.

8 MARKETING

Green Book Live Listing and Certification

When auditors are satisfied that the requirements of this scheme have been satisfactorily conducted and the minimum rating of Acceptable has been attained through certification, details of the Building(s) are forwarded to BRE Global Ltd and placed in the Green Book Live which can be accessed at www.greenbooklive.com. Details of registered auditors are also listed in the Green Book Live.

Note: Any assets self-assessed by the client must clearly state that the assessment has not been verified by a BREEAM In-Use licensed auditor. There shall be no implication on any written material that the asset assessment has been certificated.

Maintenance

Asset measurement registration must be valid in order to renew certificates. Certificates and KPI report renewal is subject to successful verification from a licensed BREEAM In-Use auditor. A written reminder will be sent to the relevant BREEAM In-Use licensed auditor that previously conducted the audit on the asset two months before certification is due. If we do not receive notification that the client wishes to renew their certification then it will be assumed that they no longer wish to have their asset certificated to the BREEAM In-Use scheme. A suspension letter will

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get sent out from the online system at the certificate renewal date. The BREEAM In-Use online system will become locked and the Greenbooklive listing will be withdrawn within 1 month of suspension unless we have written confirmation to states otherwise.

8.1.1 Certificate validity

Certificates are issued subject to the following periods of validity:

- Asset certificate (Part 1) 1 year
- Building Management certificate (Part 2) 1 year
- Occupier Management certificate (Part 3) 1 year

It is the clients responsibility to notify BRE Global of any significant changes to their asset or management practices that may affect their certification.

Annual Certificate Renewal

BRE Global will request confirmation from the client before annual certificate renewal to confirm no significant changes have been made to the performance of the asset for both Part 1 and 2 certificates. If significant changes have been made or the client does not send confirmation that no significant changes have been made, the asset will be subjected to an annual surveillance visit. Part 3 certificates require a surveillance visit annually.

If no significant changes have been made to the asset then the asset is only subjected to a surveillance visit every three years for part 1 and 2 certificates (see bullet points below) BRE Global will send a reminder notification to the auditor, 3 months prior to the certificate renewal date. Clients will be included in the correspondence, if we have records of their contact details.

Site visits required if there are no significant changes (Part 1 and 2 only):

- Year 1 (Initial site visit audit required)
- Year 2 No significant changes (surveillance site visit not required)
- Year 3 No significant changes (surveillance site visit not required)
- Year 4 No significant changes (surveillance site visit required)

Recertification

In the event that there is more than a 5% change in the assessment score, the existing certificate will become invalid and re-certification will be necessary.

Following any additional evidence received, the auditor can provide certification based on the following scenarios:

- Certification should be maintained at the existing rating.
- A new rating should be considered subject to addressing any additional objective evidence within 30 days.

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- A new rating and certificate should be generated.

If the number of credits achieved does not add up to the minimum rating 'ACCEPTABLE', the certificate and Green book Live listing is suspended and can only be lifted following a new and successful audit within a specified period to be advised by the auditor. If the reason(s) for suspension cannot be lifted, the certificate(s) and authority to use the BRE Global Mark will be withdrawn and cancelled.

In the event of non-conformance or for any other significant reasons, a reassessment may be necessary.

Where an owner or occupier wishes to voluntarily withdraw from the Scheme they can do this by not pressing the recertification button on the online system when they receive a recertification reminder email.

9 CERTIFICATION MARK

A licensed BREEAM In-Use auditor will be allocated a unique auditors licence number and will be able to use the BRE Global Mark or BREEAM logo as directed in the publication PN235 'BREEAM Logo and Marks – Guidance and rules for use'. The mark that can be used by licensed auditors is shown in figure 4. The certificated assets mark is shown in figure 5. The logo that can be used for this scheme is shown in figure 6.

Asset assessments certified to the BREEAM In-Use scheme will be allocated a unique certificate number and will be able to use the BREEAM and BRE Global mark as follows



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Figure 4: Certification mark used by licensed auditors



Figure 5: Certification mark for certificated assets



Figure 6: The BREEAM logo

Any queries on the use of the certification marks or logo should be referred to BRE Global Ltd Marketing, E: marketing@breglobal.co.uk or T: +44(0) 1923 664100.

10 COMPLAINTS AND APPEALS

BRE Global Ltd has a formal complaints procedure in place.

If any issues remain unresolved, or are of serious concern, clients may contact the BREEAM Centre via inuse@bre.co.uk, clearly indicating that they wish to elevate the issue to the status of a formal complaint.

This complaint will then be acknowledged after receipt to confirm that the formal procedure has been initiated. BRE Global Ltd will then aim to resolve the issue within the timescale laid out in the PN100 BRE Global (incorporating LPCB) Complaints and Appeals Procedure framework with which formal complaints are addressed.

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The licensed organisation employing the registered auditor will be expected to bear the costs of investigating complaints where appropriate.

11 CHANGE OF DETAILS

The licensed organisation and/or registered auditor shall give notice in writing to BRE Global Ltd of a change in legal constitution, trading or title, address, changes to the named individual on the certificate, or other significant particulars and declarations upon which the current certificate was granted. Such notice shall be given to BRE Global Ltd within thirty days of any change becoming effective.

Where the changes are such that the conditions under which certification was granted are significantly affected, the company will be advised of the actions, and any associated fees, that will be required to be completed to maintain certification. If a change of details occurs please submit a Request for Change of Details Form (BF053).

12 ENQUIRIES

For any queries regarding the scheme please email via lnuse@bre.co.uk

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Appendix 1- Scoring categories and Star ratings

Assessment score (%)	Assessment rating	Star rating
< 10	Unclassified	-
≥ 10 to <25	ACCEPTABLE	«
≥ 25 to <40	PASS	« «
≥ 40 to <55	GOOD	« « «
≥ 55 to <70	VERY GOOD	« « « «

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≥ 70 to <85	EXCELLENT	« « « « «
≥85	OUTSTANDING	« « « « « «

Note: Part 3 (Occupier Management) ratings are based upon the percentage achieved score and compliance to a set of minimum requirements.



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