

CERTIFICATION OF CONSTRUCTION

(Drainage, Heating & Plumbing)

SCHEME GUIDE

Building Standards
Approved Certifier



**The Scottish
Government**



SBSC
Scottish Building Services Certification

Building Standards
Approved Certifier



**The Scottish
Government**

GUIDE TO THE SCHEME FOR CERTIFICATION OF CONSTRUCTION (DRAINAGE, HEATING & PLUMBING)

*In accordance with the requirements of the:
Building (Scotland) Act 2003
Building (Procedure) (Scotland) Regulations 2004*

The Scheme for Certification of Construction (Drainage, Heating & Plumbing) was approved by Scottish Ministers on 1 December 2009.

This Guide describes the Scheme and its operation and is published by SNIPEF, which was approved as Scheme Provider, on behalf of the Scottish Ministers, by the Building Standards Division (BSD) of the Scottish Government's Directorate for the Built Environment.

Further information about SNIPEF and the scheme can be found at www.snipef.org.

Persons and organisations that are approved to certify construction of drainage, heating and plumbing installations under the Building (Scotland) Act 2003 appear on the Certification Register. The Register is held by the Building Standards Division on behalf of Scottish Ministers at www.certificationregister.co.uk.

Scottish Building Services Certification (SBSC) is a single portal owned by SELECT, NICEIC and SNIPEF for the production of certificates under the scheme.

For more information on the SBSC visit www.sbsc.uk.net

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A. GLOSSARY OF TERMS AND ABBREVIATIONS

<i>The Act</i>	Building (Scotland) Act 2003 established the Building Standards system in Scotland.
<i>Building Regulations</i>	The Building (Scotland) Regulations 2004 apply to the design, construction and demolition of buildings in Scotland.
<i>Building Standards</i>	The functional standards that a conversion or completed building must fulfil to comply with Building Regulations.
<i>Technical Handbooks</i>	Guidance issued by Scottish Ministers on compliance with the Building Standards technical requirements.
<i>The Procedure Regulations</i>	The Building (Procedure) (Scotland) Regulations 2004 detail the procedures set up by the Act.
<i>The Scheme</i>	Scheme for Certification of Construction (Drainage, Heating & Plumbing).
<i>BSD (Building Standards Division)</i>	The Scottish Government's Directorate for the Built Environment, Building Standards Division.
<i>Building Warrant</i>	Authorisation from a Verifier to carry out work where the Building Regulations apply. Building Regulation 5 Schedule 3 shows the work that is exempt from requiring building warrant approval.
<i>Certificate of Construction</i>	The certificate provided by an Approved Certifier of Construction to confirm that the work carried out under a building warrant complies with the Building Regulations at the time the warrant was approved.
<i>Completion Certificate</i>	The certificate submitted to the Verifier to confirm that the building has been constructed or converted in accordance with the Building Warrant and Building Regulations.
<i>Approved Body</i>	An enterprise (sole trader, partnership, private limited company, public limited company or other legal entity) registered in a Certification scheme to employ and support Approved Certifiers of Construction.
<i>Approved Certifier of Construction</i>	An individual registered with a Certification scheme to determine compliance of drainage, heating and plumbing installations with the Scottish Building Standards and provide Certificates of Construction.
<i>Verifiers</i>	Bodies appointed by Scottish Government Ministers to oversee the Building Standards system. Currently each Local Authority is appointed for their own geographical area.

Relevant Person	The building owner, tenant or developer who submits a Completion Certificate for work carried out under a Building Warrant.
Legislation	<p>Building (Scotland) Act 2003</p> <p>Building (Scotland) Regulations 2004 (as amended)</p> <p>Building (Procedure) (Scotland) Regulations 2004</p> <p>Building (Fees) (Scotland) Regulations 2008</p> <p>Building (Forms) (Scotland) Regulations 2004</p>
Guidance on The Scottish Building Regulations	<p>The Scottish Building Standards Technical Handbook: Domestic (2011) (As amended).</p> <p>The Scottish Building Standards Technical Handbook: Non-Domestic (2011) (As amended).</p> <p>The Scottish Building Standards Procedural Handbook (2011) (As amended).</p> <p>The Scottish Building Standards Certification Handbook (2012) for schemes approved under Section 7(2) of the Building (Scotland) Act 2003 (As amended).</p>
Industry Guidance	Plumbing & Heating Installers' Guide to Certification and the Scottish Building Standards
Scottish Building Services Certification (SBSC)	<p>The SBSC exists to support the Scottish building services industry delivery of the Certification requirements of The Building (Scotland) Act 2003.</p> <p>SBSC provides an information platform for the industry and allows individuals and companies to register as Certifiers and to manage the Certification process.</p> <p>For more information on the SBSC visit http://www.sbsc.uk.net</p>

B. BACKGROUND

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

Until May 2005, compliance with the requirements of the Building (Scotland) Act 1959 and associated building regulations was achieved using Technical Standards set by the Scottish Executive and administered by local authorities.

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

Under the new system, designers and constructors of buildings have more opportunity to offer alternative ways of complying with the functional standards. However, risk to public safety as a consequence of inadequate building performance relates also to the competence and integrity of individuals involved with the design and construction process.

The new system introduced certification with the building regulations by Approved Certifiers of Design and Approved Certifiers of Construction. On 1 December 2009, Scottish Ministers approved a Scheme for Certification of Construction (Drainage, Heating & Plumbing Installations) and the Building Standards Division (BSD) appointed SNIPEF to provide that Scheme.

In order to establish the competence of those certifying the drainage, heating or plumbing installations, qualified individuals will be approved for membership of the Scheme and placed on a Certification Register maintained by the BSD. An individual member of the Scheme may perform the functions of an Approved Approved Certifier of Construction (Drainage, Heating and Plumbing Installations).

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

An Approved Body must employ at least one Approved Certifier and appoint a Certification Co-ordinator whose role is to check and co-sign the Certificate of

Construction and ensure that the Approved Certifier holds the appropriate technical competencies for each “scheme scope” they certify.

Both an Approved Certifier and the Certification Co-ordinator of an Approved Body must sign all certificates. In cases where a firm is a sole trader then the individual can become the Approved Body, the Approved Certifier and the Certification Co-ordinator, so long as they meet the membership requirements.

SNIPEF is responsible for operating the Scheme and is subject to audit by the BSD. SNIPEF is also responsible for the assessment of all applications for membership from individuals and firms and will commission and evaluate audits of the certification practice of Scheme members.

A firm that chooses not to become an Approved Body is not precluded from carrying out drainage, heating and plumbing installation or commissioning work related to a building warrant but the work will be subject to the normal “reasonable inquiry” by the Verifier. Alternatively a firm can appoint an Approved Body to certify their work.

Approved Certifiers will be required to undertake additional actions, which may not previously have been considered to be part of their remit. It is the responsibility of the Approved Body which employs the Approved Certifier to ensure their estimates/quotations are commensurate with the work involved and to permit the Approved Certifier adequate time and resources to undertake all enquiries necessary to satisfy them that works covered by the Certificate of Construction comply with the building regulations.

No one apart from the Approved Certifier is allowed to issue a Certificate of Construction and they must not make false or misleading statements in certificates, or recklessly issue certificates. The Act introduces the possibility of criminal prosecution in the event of false or misleading statements in certificates or reckless certification. Any person signing a certificate who is not entitled to sign it could be subject to prosecution under the legislation.

This Guide describes the Scheme, its management, the processes for application for membership, the certification process and the actions to be taken by the Approved Certifier. The Scheme Guide and Technical Guide supplement the information given in the BSD Certification Handbook and Procedural Handbook which describe the provisions of the Act and of the Building (Procedure) (Scotland) Regulations 2004.

SNIPEF believes that the guidance and information contained in this Guide is correct, but all parties must rely on their own skill and judgement when making use of it. SNIPEF assumes no liability for any loss or damage caused by error or omission, whether as a result of negligence or any other cause. Any such liability is disclaimed.

The Guide may be amended by SNIPEF and re-issued in the light of experience of its use.

1. THE SCHEME

1.1 Introduction

- 1.1.1 The Scottish system of Building Control evolved from the Dean of Guild courts established within urban centres in the 16th and 17th centuries. The Burgh Police (Scotland) Act of 1892, spurred perhaps by the gathering pace of Victorian urban development, was a milestone in setting national standards for building construction for the first time through Parliament. In 1954 the Secretary of State for Scotland appointed a committee under the chairmanship of CW Graham Guest QC to review the existing law for the control of building standards, to recommend changes necessary to secure a system which would operate uniformly across Scotland and to take account of developments in new building techniques and materials. The Building (Scotland) Act 1959 was enacted incorporating most of the recommendations of the Guest Committee. With minor amendments over the years, this Act has remained the basis for control of building standards in Scotland.
- 1.1.2 The 1959 Act left the administration of the system at a local level. Each of the 32 Scottish local authorities, set up in 1995, has established a team of specialist building control staff, reporting to elected member committees, to administer the building standards function on behalf of the authority. Submission of plans and supporting documentation to the local authority is required and a building warrant must be obtained before construction can legally proceed on a building project.
- 1.1.3 The Building (Standards) Regulations were updated on several occasions since their introduction in 1959, the most recent version being the 1990 regulations. Technical Standards supporting these regulations were amended on six occasions since 1990.
- 1.1.4 The Building (Scotland) Act 2003 was introduced by the Scottish Parliament with the aim of modernising the building standards system in Scotland.
- 1.1.5 The Act is implemented through the Building (Scotland) Regulations 2004, which include the Building Standards, the Building (Procedure) (Scotland) Regulations 2004 and the Building (Fees) (Scotland) Regulations 2004.
- 1.1.6 The Technical Handbooks that accompany these building regulations offer guidance on the interpretation of the mandatory functional standards. The Procedural Handbook offers guidance on the Act and the procedure regulations and is supplemented by the Certification Handbook.
- 1.1.7 All legislation, guidance, procedural and technical handbooks are available on-line at www.scotland.gov.uk/bsd.

- 1.1.8 The Act introduced the concept of Verifiers which are appointed by Scottish Ministers to oversee the administration of the building warrant process, amongst other duties. Currently each local authority has been appointed as Verifier for their own geographical area.
- 1.1.9 The certification system described in the procedure regulations is grounded on the principle that suitably qualified and experienced building professionals and tradespeople can accept responsibility for ensuring compliance with the building regulations without the need for detailed scrutiny or inspection by local authorities, provided they are employed by reputable firms that operate a system of careful checking.
- 1.1.10 A valid Certificate of Construction (Drainage, Heating & Plumbing Installations) must be accepted by the Verifier as conclusive evidence of the compliance of the drainage/heating/plumbing installation with the Building Regulations. The Verifier is obliged by the Act to limit the process of verification to checking that the certificate is signed by persons who are appropriately registered at the date of signature, by using the on-line BSD Certification Register. For certified work, the Verifier will not undertake any inspection or make any assessment of the installation work. However, if in the course of examining non-certified work, the Verifier was to discover a mistake, omission, or inaccuracy in certified work, they should inform the applicant for building warrant.
- 1.1.11 Certification may only be undertaken by persons approved under Section 7(1) of the Act or by members of schemes approved under Section 7(2) of the Act which states:
- “The Scottish Ministers may approve schemes in accordance with which persons (whether individuals or Approved Bodies corporate or unincorporate) who are for the time being members of the schemes are entitled to exercise for the purposes of this Act the functions of (either or both) – (a) an Approved Certifier of design, (b) an Approved Certifier of construction”.*
- 1.1.12 The Building (Procedure) (Scotland) Regulations 2004 make provision for organisations to provide schemes, termed ‘Scheme Providers’. For an organisation to gain acceptance as a Scheme Provider, an application must be made to the BSD. Applicants are required to demonstrate that they possess the expertise and capacity to administer a certification scheme.
- 1.1.13 The Scheme for Certification of Construction (Drainage, Heating and Plumbing) was approved under Section 7(2) by the Scottish Ministers on 1 December 2009 and SNIPEF was approved as a Scheme Provider on the same date.
- 1.1.14 The function of SNIPEF is to administer the Scheme, deal with any complaints and appeals, and report to the BSD on membership of the Scheme and the certificates issued. SNIPEF will also assess the suitability of candidate

individuals and firms for membership and renewal of membership, and evaluate audit reports on the practice of certification by members.

1.1.15 A periodic audit of the application process will be undertaken by a Registration Board, drawn from representatives of the Plumbing Industry Licensing Scheme Complaints Panel.

1.1.16 Individual membership of the Scheme is open to persons who;

- Hold or are eligible to hold an Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or such other SNIJIB Registration card as specified (*See Appendix A*); and
- Hold a qualification in Water Byelaws/Regulations; and
- Hold appropriate additional qualifications as may be relevant to the designations specified within the Scope Guidance contained in Appendix C; and
- Undertake and successfully complete the industry's assessed Building Standards course to demonstrate knowledge and experience of the Scottish Building Standards system.

1.1.17 Members and staff of SNIPEF assist in the administration of the Scheme and have contributed to the preparation of this Guide.

1.2 Authority and scope

1.2.1 The authority for the Scheme is derived from Section 7(2) of the Act. The Scheme places the responsibility for certification on its members.

1.2.2 The scope of the Scheme for Certification of Construction (Drainage, Heating and Plumbing) is the certification of the installation and commissioning of, drainage, heating and plumbing installations carried out in accordance with Building (Scotland) Regulations 2004 (as amended) and the Building (Scotland) Act 2003.

1.2.3 It is necessary for Approved Certifiers to be clear about the scope of work covered by any Certificate of Construction that they sign in relation to a particular project. Certification is deemed to cover all work on the consumers' side of the "origin" of the drainage/heating and or plumbing installation. In this context, the "origin" of the drainage/heating/plumbing installation should be considered as the position at which the drainage/heating/plumbing installation becomes the responsibility of the consumer.

1.2.4 Additional guidance on certification is given in the BSD Certification Handbook (www.scotland.gov.uk/bsd).

1.2.5 The Scheme is subject to annual audit by the BSD.

1.2.6 A copy of the scheme scope which specifies the work for which a certificate of construction can be issued is contained in Appendix B.

1.3 Membership

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

1.3.2 SNIPEF will forward details of membership of the Scheme to the BSD Certification Register every 7 days, or within 24 hours in the case of termination of membership or resignation.

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

1.3.4 Members are subject to audit at any time to be decided as necessary by SNIPEF, but at a maximum interval of three years.

1.3.5 An individual member is entitled to exercise the function of an Approved Certifier of Construction (Drainage, Heating and Plumbing), referred to in this guide as an Approved Certifier. That function is to certify that the drainage/heating/plumbing installation complies with the Building (Scotland) Regulations 2004 (as amended).

1.3.6 An Approved Certifier must not certify any work that has not been checked for compliance with the building regulations or is outwith their competency. An Approved Certifier issues a Certificate of Construction (Drainage, Heating and Plumbing) using the prescribed form, to the building owner, developer or other relevant person who thereafter submits the Completion Certificate to the Verifier. The Approved Certifier is required to maintain a logbook showing the number and details of certificates issued.

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

1.3.8 An Approved Body must employ at least one Approved Certifier of Construction (Drainage, Heating and/or Plumbing), support the work of Approved Certifier in specified ways, hold appropriate levels of public liability insurance and designate a Certification Co-ordinator.

1.3.9 The Certification Co-ordinator of the Approved Body must countersign certificates issued by the Approved Certifier under the scheme and ensure that the Approved Certifier holds the appropriate technical competencies for each "scheme scope" they certify. The Certification Co-ordinator may or may not be an Approved Certifier.

1.3.10 An Approved Certifier will be issued with a personal registration number and may leave an Approved Body without loss of that number. The individual uses that number if subsequently employed by another Approved Body. However, if subsequently employed by a firm that is not on the Certification Register, the individual cannot act as an Approved Certifier.

1.3.11 Each Approved Certifier will be issued with a “Declaration of Competence” which specifies which designations he may certify. The Approved Certifier may add to these designations at any time by submitting an “Application to add to the existing approved certifier of construction scope”. (See *Appendix D*).

1.4 Scheme management

1.4.1 SNIPEF is an unincorporated Approved Body governed by its Constitution and registered under the Trade Union and Labour Relations (Consolidated) Act 1992. The SNIPEF Constitution may be seen at www.snipef.org

1.4.2 The Scheme management, administration and commercial activity will be undertaken by the following SNIPEF employees:

- Chief Executive
- Head of Certification
- Assistant Head of Membership Services
- Administrative staff
- Technical inspectors

Who will be responsible for:

- Assessment of applications, including technical inspections;
- Auditing the certification activities of firms that are members, including inspections of certified installations;
- Recommendations on membership of the Scheme;
- Certification training support;
- Operation of IT and other administrative systems;
- Continuing review of the operation of the Scheme;
- Implementation of the Scheme Code of Conduct;
- Appointment of SNIPEF employees to administer the scheme;
- Appointment of auditors;
- Fees for membership on joining, annual renewal of membership, certificate fees, and remuneration to auditors;
- Approval of reports on Scheme finances;
- Reporting on the Scheme to the BSD; and
- Implementation of any industry Code of Practice.

1.4.3. All employees are required to declare any conflict of interest with regard to applicants for membership or members of the Scheme.

1.4.4. The Plumbing Industry Licensing Scheme Board, which comprises:

- Two members of SNIPEF
- Two members of the Chartered Institute of Plumbing and Heating Engineering (CIPHE)
- One representative of the Scottish & Northern Ireland Joint Industry Board for the Plumbing Industry (SNIJIB)
- One representative of Scottish Water
- One representative of Unite the Union
- One representative of Northern Ireland Water
- One representative of the Chief Officers of Trading Standards in Scotland

Will provide representatives for the scheme;

- Disciplinary Panel;
- Appeals Panel; and
- Registration Board.

1.5 Criteria for individual membership

1.5.1 Membership is restricted to individuals who have the following:

- Hold or are eligible to hold an SNIJIB Advanced or Technician Plumber or Heating Engineer or Heating Technician registration card or other such SNIJIB Registration card as specified. (*See details of the SNIJIB Grading Scheme in Appendix A*).

1.5.2 Beyond that, candidates must fulfil the following criteria:

- (1) have a minimum of two years supervisory experience in the plumbing/gas installation industry;
- (2) hold a qualification in Water Byelaws or Water Regulations;
- (3) hold current and appropriate qualifications for each of the designations they wish to certify;
- (4) agree to adopt appropriate procedures to satisfy themselves of the compliance or non-compliance of construction work described in an application for building warrant or amendment to warrant;
- (5) declare that they will only certify work if they have sufficient knowledge and understanding of the Building (Scotland) Regulations 2004 (as amended), relevant codes of practice and of the Technical Handbooks;
- (6) agree to undertake and successfully complete the industry's approved Building Standards course, at least once every three years;
- (7) undertake to understand the Scheme's requirements as described in this Scheme Guide;
- (8) undertake to abide by the Scheme Code of Conduct;

- (9) record details of all certificates issued together with a record of the basis of decisions on compliance and details of any third party relied on in making decisions on compliance; and
 - (10) agree to submit evidence of their certification practice to audit by SNIPEF on request, including evidence showing certificates issued. (see 1.6.1(7)).
- 1.5.3 An individual Scheme member, an Approved Certifier, may describe him or herself as an Approved Certifier of Construction (Drainage, Heating and Plumbing).
- 1.5.4 A firm that belongs to the Scheme may describe itself as an Approved Body for the Certification of Construction (Drainage, Heating and Plumbing).
- 1.5.5 Membership entitles use of the name “Approved Approved Certifier” but does not entitle the use of designatory letters such as “AC”, “ACC”, or AB.
- 1.5.6 Registration of Approved Certifiers and Approved Bodies can be checked at www.certificationregister.co.uk

1.6 Criteria for membership of Approved Bodies

- 1.6.1 Criteria for the membership of firms, public Approved Bodies or other organisations are given below. Approved Bodies are required to:
- (1) employ at least one Approved Certifier of Construction (Drainage, Heating and Plumbing) so that applications must:
 - be accompanied by an application for membership of an individual who is permanently employed by the Approved Body; or
 - identify an individual who has already achieved Approved Certifier status with another Approved Body but who has transferred their employment to the applicant’s permanent staff;
 - (2) adopt appropriate auditable checking procedures to assure the quality of certification activities (formal accreditation such as ISO 9000 is not a requirement);
 - (3) hold public liability insurance to a value of at least £2m and, where appropriate, employers’ liability insurance;
 - (4) provide access for Approved Certifiers to all relevant legislation, handbooks, codes standards and guides;
 - (5) promote the training and development of Approved Certifiers of Construction (Drainage, Heating and Plumbing Installations), in support of certification activities (including both technical and procedural training) to an appropriate level (see 1.5.2. (4));

- (6) designate a Certification Co-ordinator to countersign certificates completed by a Approved Certifier who is employed or otherwise engaged by the Approved Body and ensure that the Approved Certifier holds the appropriate technical competencies for each “scheme scope” they certify;
- (7) maintain a log book of all certificates issued as detailed in 1.5.2 (9). This log book is to be used by all Approved Certifiers employed by the Approved Body;
- (8) undertake to understand the Scheme’s requirements as described in this Guide;
- (9) undertake to abide by the Scheme Code of Conduct;
- (10) report changes in staffing, within seven days, to SNIPEF with regard to Approved Certifiers of Construction (Drainage, Heating and Plumbing) or the Certification Co-ordinator; and
- (11) agree to an audit of their certification activities by SNIPEF on request.

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

1.6.3 A sole trader can be an Approved Certifier, an Approved Body and a Certification Co-ordinator but they must submit both application forms.

1.7 Duties of an Approved Certifier of Construction

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

1.7.2 An Approved Certifier must undertake certification in a methodical manner, for example by using a certification plan or a checklist for each project, and record sufficient detail in a log book which can be audited by SNIPEF. Checklists have been developed by SNIPEF and can be downloaded from the SBSC website (www.sbcs.uk.net).

1.7.3 Scottish Building Services Certification (SBSC) exists to support the Scottish building services industry delivery of the certification requirements of The Building (Scotland) Act 2003. SBSC provides an information platform for the industry and allows individuals and companies to register as Certifiers and to manage the Certification process.

1.7.4 The Approved Certifier must take account of the impact of their work and ensure it does not impinge on the overall integrity of the building and that it complies with building regulations.

- 1.7.5 In all cases, the drainage/heating/plumbing installation must be certified by an Approved Certifier and countersigned by the Certification Co-ordinator of an Approved Body which is a member of this scheme.
- 1.7.6 In general, the Approved Body carrying out the construction work will undertake the certification. It is recognised, however, that this will not always be the case and the construction Approved Body may wish to sub-contract certification to a third party Approved Body. For further information, see paragraph 4.2.8 of the BSD Certification Handbook.
- 1.7.7 Schedule 2 of the Act prohibits a Verifier from certifying any matter for which they act as Verifier. This means that an Approved Certifier who is employed by a local authority may only certify work that is verified by a different local authority.
- 1.7.8 It must be clearly understood that the Certificate of Construction must only relate to work that has **been completed and complies with the regulations** and is not a statement that **the work, after it is finished, will comply with the regulations**. The signing of a certificate in respect of work that has not been completed is contrary to the intentions of both the regulations and the Scheme and may lead to disciplinary action or prosecution.

1.8 Duties of an Approved Body

- 1.8.1 The Approved Body must provide an environment that supports the Approved Certifier and maintain the conditions under which it was approved. The duties of an Approved Body are given in 1.6.1 above.
- 1.8.2 The Certification Co-ordinator of an Approved Body must not countersign certificates for any period during which the Approved Body does not employ an Approved Certifier.
- 1.8.3 The Certification Co-ordinator 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 Co-ordinator.
- 1.8.4 Any change of Certification Co-ordinator or Approved Certifier of Construction must be reported to SNIPEF by the Approved Body within seven days.
- 1.8.5 An Approved Body is also required to allocate adequate time and resource to the certification process in order to provide the support described above. An Approved Body should advise its clients of the amount of time and cost associated with the certification process prior to accepting appointment of their Approved Certifier.

1.9 Code of Conduct

1.9.1 The Scheme is dependent on trust and strict adherence to this Code of Conduct.

1.9.2 The Scheme requires that its members, the persons employed or engaged by SNIPEF and members of any board or panel intended to further the purposes of the Scheme and SNIPEF:

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

1.9.3 The Scheme requires that individual members who perform the function of Approved Certifiers of Construction (Drainage, Heating and Plumbing Installations):

- exercise appropriate skill, care, diligence and judgement in undertaking the certification of Construction (Drainage, Heating and Plumbing Installations) with respect to the Building (Scotland) Regulations 2004 (as amended);
- do not misrepresent themselves as having expertise and experience that they do not possess;
- maintain and broaden their expertise;
- undertake only those tasks for which they have appropriate expertise and experience;
- do not certify work carried out by others without carrying out necessary checks to satisfy themselves of the adequacy of the work and compatibility within the whole structure;
- acknowledge that for some projects they may lack appropriate experience to enable them to act as the Approved Certifier; and
- disclose to SNIPEF if they have been convicted of any offence by a court or have been subject to an adverse finding of any kind by any tribunal, court or other authority.

1.10 Complaints and Appeals Procedure

1.10.1 As Scheme Provider, SNIPEF will take due account of any complaint received from:

- an applicant for building warrant;
- a member of the public, a building owner or developer or other relevant person;
- a Verifier;
- a local authority;

- an Approved Certifier of Design or Construction;
- another scheme provider; or
- the Scottish Government Building Standards Division,

which concerns the conduct of the membership of its scheme in connection with the Certification of Construction under the Building (Scotland) Act 2003 and the Building (Procedure) (Scotland) Regulations 2004 (As amended). SNIPEF will also take due account of an appeal against a decision on membership of its scheme.

1.10.1.2 Complaints against members of the scheme should be reported to the Customer Liaison Officer (CLO) who will advise the individual of the complaints procedure.

1.10.1.3 SNIPEF may reject a complaint on the grounds that it does not directly concern certification of construction under the Building (Scotland) Act 2003, or is outside the scope of the scheme. In these cases, SNIPEF may refer the complaint to the Plumbing Industry Licensing Scheme Liaison Officer who will consider if the complaint can be dealt with under the Plumbing Industry Complaints procedure.

1.10.2.0 Responsibility for responses to complaints and disciplinary proceedings will be allocated as follows:

1.10.2.1 **Head of Certification.** The Head of Certification shall be responsible for co-ordinating the response to any complaint concerning Approved Certifiers of Construction, or Approved Bodies, by requesting and collating information, convening meetings and notifying relevant parties.

1.10.2.2 **Certification Conduct Panel.** The Certification Conduct Panel will be responsible for deciding whether or not any complaint merits consideration by the Certification Disciplinary Panel, or may be resolved by requiring specific work or other action, (except fines), or should be rejected.

1.10.2.3 **Certification Disciplinary Panel.** The Certification Disciplinary Panel will be responsible for hearing and determining any complaint concerning a member of the scheme that alleges a breach of section 19(4) of the Building (Scotland) Act 2003, or any other complaint that the Certification Conduct Panel considers merits a hearing.

1.10.2.4 **Certification Appeals Panel.** The Certification Appeals Panel will be responsible for determining any appeal against a decision of the Certification Conduct Panel or Certification Disciplinary Panel, or any decision regarding membership of the scheme.

1.10.3.0 The Certification Conduct Panel will consist of the Head of Certification and SNIPEF's Assistant Head of Membership Services. The Panel will be responsible for deciding whether:

- 1.10.3.0.a the complaint is valid;
- 1.10.3.0.b an inspection will be carried out and what form any inspection should take;
- 1.10.3.0.c the complaint alleges breach of the Rules;
- 1.10.3.0.d the complaint alleges a breach of Section 19(4) of the Act;
- 1.10.3.0.e the Certification Disciplinary Panel should hear the complaint.

1.10.3.1 The Head of Certification will be responsible for co-ordinating the response to a complaint and recording it in a complaints register.

1.10.3.2 The Head of Certification will provide an acknowledgement of a complaint within 5 days and if it is decided that the complaint is valid, will issue notification of the complaint to the subject of the complaint including a request that they respond within 7 days.

1.10.3.3 The Assistant Head of Membership Services will organise the investigation and carry out the administration of any complaint. In the absence of the Head of Certification or the Assistant Head of Membership Services these tasks will be carried out by their deputies.

1.10.3.4 If it is decided that the complaint is justified and falls within the Certification Conduct Panel's remit then there shall be a prompt convention of the Certification Disciplinary Panel.

1.10.3.5 Notification of the decision of the Certification Conduct Panel to the complainant and the subject of the complaint, including the grounds for the decision will be made promptly after the conclusion of the investigation.

1.10.3.6 The Scottish Government Building Standards Division shall be notified of the decision of the Certification Conduct Panel that a complaint should be heard by the Certification Disciplinary Panel within 5 days of the decision being made. Notification will be made at the same time to the local authority, if the Certification Conduct Panel decides that a complaint alleges that an Approved Certifier of Construction has acted in breach of section 19(4) of the Building (Scotland) Act 2003.

1.10.3.7 The Certification Conduct Panel will always refer a complaint that alleges a breach of section 19(4) of the Building (Scotland) Act 2003 to the Certification Disciplinary Panel.

1.10.3.8 The Certification Conduct Panel will refer any valid complaint alleging that an Approved Certifier of Construction has not acted in accordance with other rules, limitations or conditions of the scheme to the Certification Disciplinary Panel.

1.10.3.9 If the complaint appears to concern a simple mistake, the Certification Conduct Panel may recommend that the complaint would merit a hearing by the Certification Disciplinary Panel if the subject of the complaint does not satisfactorily complete certain work within a specified period.

1.10.4.0 The Certification Disciplinary Panel is responsible for hearing and determining any complaint concerning a member of the scheme that alleges a breach of section 19(4) of the Building (Scotland) Act 2003, or any other complaint that the Certification Conduct Panel considers merits a hearing.

1.10.4.1 The Certification Disciplinary Panel will consist of three members of the Plumbing Industry Licensing Scheme Complaints Panel. The Head of Certification will attend Panel meetings in order to provide any necessary secretarial support.

1.10.4.2 The Complaints Panel is made up of the Customer Liaison Officer, a representative of Scottish Water, and the CEO of SNIPEF.

1.10.4.3 If a complaint is referred by the Certification Conduct Panel, a meeting of the Certification Disciplinary Panel will be convened promptly.

1.10.4.4 Any notification of a hearing by the Certification Disciplinary Panel to the complainant and the subject of the complaint will give the date of the hearing, require their attendance, and describe the process of the hearing.

1.10.4.5 If a complaint is made against both an Approved Certifier and an Approved Body, the Certification Disciplinary Panel will hold separate interviews of the Approved Certifier and the Certification Co-ordinator or other representative of the Approved Body.

1.10.4.6 Prompt notification of the decision of the Certification Disciplinary Panel will be made to the complainant and the subject of the complaint, including grounds for appeal and arrangements for any appeal.

1.10.4.7 Prompt notification will be made to the Scottish Government Building Standards Division of the decision of the Certification Disciplinary Panel and any notification of an appeal.

1.10.4.8 The Certification Disciplinary Panel will always terminate membership if they consider that an Approved Certifier of Construction has acted in breach of section 19(4) of the Building (Scotland) Act 2003.

1.10.4.9 The Certification Disciplinary Panel may recommend a sanction if an Approved Certifier of Construction has not acted in accordance with other rules, limitations or conditions of the scheme. Sanctions may include termination, reprimand or reprimand with an extraordinary audit within 6 months, but will not include fines.

1.10.4.10 Decisions of the Certification Disciplinary Panel are, subject to appeal, binding on the subject of the complaint.

1.10.5.0 The Appeals Panel will be responsible for determining any appeal against a decision of the Certification Conduct Panel or Certification Disciplinary Panel, or any decision regarding refusal of membership of the scheme.

1.10.5.1 The Appeals Panel will be made up of three members of the Plumbing Industry Licensing Scheme Board who have no involvement in any other part of the Scheme administration or have been involved in any part of the investigation or disciplinary process.

1.10.5.2 The SNIPEF Chief Executive will carry out the administration of appeals and act as secretary to the Appeals Panel.

1.10.5.3 Prompt notification of the appeals procedure will be issued to any individual or Approved Body whose application for membership or renewal of membership is rejected, or who is reprimanded, or whose membership is terminated.

1.10.5.4 The Appeals Panel shall notify the Scottish Government Building Standards Division of any Appeals Panel decision promptly.

1.10.5.5 Determinations by the Certification Disciplinary Panel and Appeals Panel will be made public on the scheme provider website.

1.10.5.6 The only grounds for an appeal against a decision of the Certification Conduct Panel or Certification Disciplinary Panel will be that the Panel was not properly constituted or conducted.

1.10.5.7 In the case of appeals against a decision on membership taken following assessment of an application for membership or renewal of membership, or following audit, the complaint may be rejected if the complainant did not attend an interview with the Appeals Panel in person if requested to do so, or failed to demonstrate that the assessment or audit was not properly conducted or the rules, limitations or conditions of the scheme were not correctly applied.

1.10.6.0 Standardised reports/checklists will be used to ensure consistent reporting by each Panel.

1.10.6.1 Recorded delivery postage and email will be used to promote certainty in delivery of notifications.

1.10.6.2 Appropriate time limits for each stage of the process are expressed in terms of the number of working days excluding Saturdays and Sundays (including any public holiday, or day appointed for public thanksgiving or mourning in Scotland).

Time limits are as follows:

10 days between receipt of a complaint and notification to the Scottish Government Building Standards Division that a complaint is to be heard by the Certification Disciplinary Panel.

20 days between notification that a complaint is to be heard by the Certification Disciplinary Panel and determination of the complaint.

10 days between notification of the determination of the complaint and receipt of notification of an appeal.

10 days between receipt of notification of a decision on membership and notification that an appeal is to be lodged.

20 days between receipt of notification of an appeal and determination of the appeal.

1.10.7.0 The following action will be taken in the case of a decision to terminate membership from the scheme.

1.10.7.1 If no appeal is made following the determination by the Certification Disciplinary Panel, SNIPEF will advise the Scottish Government Building Standards Division to record the date of termination on the Certification Register.

1.10.7.2 On determination of an appeal, SNIPEF will advise the Scottish Government Building Standards Division to record the date of termination on the Certification Register.

1.10.7.3 SNIPEF will investigate any certificate issued by the person terminated after the date of receipt of the complaint and if such investigation reveals the non-compliance of construction certified by the former member, SNIPEF will inform the Scottish Government Building Standards Division and will contact the relevant local authority in order that it may issue a building regulations enforcement notice.

1.10.7.4 Membership will be terminated if a member of the Scheme is found by the Certification Disciplinary Panel to have recklessly issued a certificate. Any alleged breach of section 19(4) of the Act will be reported to the relevant local authority, which is a reporting agency for the Procurator Fiscal.

1.10.7.5 Membership may be terminated or other disciplinary action taken at any time if the conduct or action of a member of the Scheme is found by the Certification Disciplinary Panel to breach the scheme code of Conduct.

1.10.8.0 Disciplinary procedures concerning certification shall not preclude action by SNIPEF following publication of the determination of a complaint, but the proceedings shall remain confidential.

1.10.8.1 The Scottish Ministers will not advise on the award of costs of any disciplinary process.

1.10.9.0 The responsibility and administration of complaints about the conduct of SNIPEF or its staff whilst engaged in carrying out their duties in connection with the Certification of Construction (Drainage, Heating and Plumbing) Scheme will be:

1.10.9.1 The Head of Certification, who will be responsible for co-ordinating the responses to these complaints and recording them in a complaints register.

1.10.9.2 The Assistant Head of Membership Services, who will carry out the investigation and administration of these complaints.

1.10.9.3 Any complaints of this nature will be reviewed by the Plumbing Industry Licensing Scheme Board.

2. CERTIFICATION PRACTICE

2.1 Certification of Compliance with the Building Regulations

- 2.1.1 A client who commissions a project that is subject to building warrant may choose to engage an Approved Body which provides certification services. They may use the BSD Certification Register to find such an Approved Body, or to check the registration of a firm.
- 2.1.2 It is imperative that, when certifying the compliance of a, drainage, heating and plumbing installation to the relevant Building Regulations, the process by which compliance was assessed is recorded in writing and placed on file.
- 2.1.3 The record of the Approved Certifier's assessment process is subject to audit at any stage after submission of the warrant. It is therefore essential that all such records be placed on file without delay. Assessing compliance is not a retrospective activity and must precede the signing of the certificate.
- 2.1.4 In this context, drainage, heating and/or plumbing installation work is assumed to comprise certain design calculations related to the installation, the recording on checklists of installation information, including compliance with the Building Regulations and all the relevant Building Standards.
- 2.1.5 Certification should include scrutiny of design assumptions, calculation methods, drawings, relevant parts of the specification and other documents as appropriate.
- 2.1.6 Approved Certifiers may establish conformity with the Building Regulations of any aspect of the drainage/heating/plumbing installation using any of the methods, alone or in combination that meet the conditions given in 1.7.1 to 1.7.7 inclusive.
- 2.1.7 The Approved Certifier should be aware that it is compliance with the Building Regulations that is being certified and not compliance with the relevant British Standards. Guidance on checking compliance with the Building Standards is given in the Plumbing Installers' Guide to Certification.

2.2 Certificate of Construction (Drainage, Heating and Plumbing)

- 2.2.1 A Certificate of Construction (Drainage, Heating and Plumbing Installations) is available from the SBSC website. The Approved Certifier completes the certificate and it is signed by the Approved Certifier and the Certification Co-ordinator on behalf of the Approved Body that employs or engages the Approved Certifier. The resulting Certificate of Construction is supplied to the building owner, developer or other relevant person who submits the Completion Certificate.

2.2.2 The Certificate must include a certificate number issued by the SBSC and the project address.

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

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

2.2.4 The Certificate also includes a declaration of how specified aspects of the project were certified, which serves as a checklist and will be used in auditing. The checklist must be retained by the Approved Body and is **not issued** as part of the certification process.

2.2.5 The Approved Certifier states:

'I certify that the drainage/heating/plumbing installation included in the construction work described in this certificate complies with the Building (Scotland) Regulations 2004 (as amended). I am registered by the Scottish Government Building Standards Division as competent to certify the construction of such work'.

2.2.6 Part B of the Certificate is a statement by the Certification Co-ordinator of the Approved Body:

'I confirm that the person who signed Part A of this Certificate is an Approved Certifier of Construction (Drainage, Heating and Plumbing Installations) and is employed by this Approved Body/has been sub-contracted by this Approved Body (delete as appropriate). This Approved Body is registered by the Scottish Government Building Standards Division to provide certification services for Construction (Drainage, Heating and Plumbing Installations) and employs at least one Approved Certifier under that scheme. I am registered as a Certification Co-ordinator for this Approved Body'.

2.2.7 A Certificate of Construction may be submitted in support of a Completion Certificate. The Verifier is required to register details of the certificate in Part 1 of the local authority's Building Standards Register, which is an electronic record fully accessible by the public, and to keep the certificate in Part 2 of the Building Standards Register.

2.2.8 SNIPEF, as Scheme Provider, is required to report to the BSD all certificates issued by the members of the Scheme.

2.2.9 A draft example of a Certificate of Construction (Drainage, Heating and Plumbing Installations) is given in Appendix C of this Guide.

2.2.10 The process of completion and issue of certificates is as follows:

- (1) The building owner, developer or other relevant person informs the Verifier at Building Warrant application stage that they intend to use an Approved Certifier of Construction. This notification should be accompanied by written confirmation of the name of the Approved Body and Approved Certifier, if known. Discount on the Building Warrant fee, as a result of using an Approved Certifier, is given at application stage.
- (2) During construction and upon completion, the nominated Approved Certifier of Construction must satisfy himself/herself that relevant work complies with the Building (Scotland) Regulations 2004 (as amended) and the Approved Certifier should only complete the Certificate of Construction when work is finished.
- (3) Prior to signing and issuing a certificate, the Approved Certifier uses their secure login to enter the certificate area of the SBSC website. The Approved Certifier enters the required information on-line and downloads and prints the completed certificate, which will be endorsed with a unique serial number. These details are then used for inclusion in the quarterly reporting on certificates by SNIPEF to BSD.
- (4) Certificates must be ordered in advance on-line or by contacting SBSC. SNIPEF will charge a certificate fee. This fee is currently fixed at £10 plus VAT for each certificate.
- (5) It is the responsibility of the Approved Body to pay the certificate fee, but it is expected that the cost will be recovered from the client. Payment will be made according to the terms of the invoice raised by SNIPEF. The certificate(s) will normally be released on application and not withheld until payment is received. If due payment is not received within one month of the invoice date, SNIPEF will instigate debt recovery procedures and statutory interest will be charged in accordance with the Late Payment Act 1996 and the Late Payment of Commercial Debts Regulations 2002. Non-payment or persistent late payment of fees may also lead to disciplinary measure being taken and, in extreme cases, may result in the removal of the Approved Body from the Register.
- (6) The certificate is completed, together with the relevant installations and commissioning certificates, and then signed by the Approved Certifier and the Certification Co-ordinator.
- (7) The signed certificate, together with relevant installation and commissioning certificates, is supplied to the building owner, developer or other relevant person who may use it to support the Completion Certificate for the building.

3. MEMBERSHIP PROCESS

3.1 Applications for membership

3.1.1 All applications for membership are to be submitted to SNIPEF.

3.1.2 The membership joining fee must be paid prior to the application being approved.

3.1.3 The application will be checked for completeness and the information entered in the 'application database'.

3.1.4 The annual joining fees are as follows:

- Approved Certifiers of Construction
(Drainage, Heating and Plumbing Installations)
SNIPEF Members **£110 + VAT** Non Members **£165 + VAT**
- Approved Bodies – SNIPEF members **Free**
- Other Approved Bodies **£500 + VAT**

3.1.5 An appeal may be lodged with SNIPEF if an application for membership is rejected.

3.1.6 If an Approved Certifier wishes to add to the scope of designation he can certify a fee of **£10 +VAT** will apply for each application.

3.2 Assessment of applications

3.2.1 All applicants for certification will be audited against the SNIPEF assessment criteria.

3.2.2 The assessors will grade each application in one of three ways:

- (1) does not satisfy the criteria for membership;
- (2) satisfies the criteria for membership; or
- (3) cannot be decided and that a reassessment should be undertaken after a period of not more than 6 months.

3.2.3 Applications recommended for membership or rejected for membership will be passed to the Head of Certification who will check that the scheme criteria has been correctly applied and determine whether or not the applicant satisfies the scheme requirements.

3.2.4 Applicants who consider that they have been dealt with unfairly may lodge an appeal to the Appeals Panel. (See 1.10.5).

3.3 Maintaining membership

3.3.1 Membership is subject to an annual subscription as follows:

- Approved Certifiers of Construction (Drainage, Heating and Plumbing Installations)
Members **£110 + VAT** Non Members **£165 + VAT**
- Approved Bodies: SNIPEF Members **Free**
- Other Approved Bodies **£500 + VAT**

Fees are subject to annual review.

3.3.2 If fees for membership as an Approved Certifier or Approved Body remain unpaid for one month after the due date, membership may be suspended. If fees remain unpaid for 3 months, the membership of the Approved Certifier or Approved Body is terminated. A full re-application is required prior to reinstatement.

3.3.3 Individual members who wish to continue as Approved Certifiers must successfully undertake and complete the industry's Building Standards course at a maximum interval of three years.

3.3.4 Individual members who wish to amend their range of certification services may make separate applications at any time.

3.3.5 Approved Bodies must retain, for audit purposes, evidence of public liability insurance and, where appropriate, employers' liability insurance.

3.3.6 The Certification Co-ordinator of the Approved Body is not permitted to countersign certificates during any period when the Approved Body does not employ at least one Approved Certifier and must inform SNIPEF of any such periods.

3.3.7 Any member who wishes to resign their membership must inform SNIPEF which will within 24 hours request that the resignation is noted on the BSD Certification Register.

3.3.8 Membership may be terminated at any time following properly conducted disciplinary and appeals procedure, see 1.10.4 and 1.10.5. SNIPEF will, within 24 hours of a termination decision, request that the termination is noted on the BSD Certification Register.

3.4 Auditing of Scheme membership and certificates issued

3.4.1 SNIPEF will audit certification practice by the membership of the Scheme and the certificates issued. Certification practice will be a key determining feature in setting the frequency of audits.

3.4.2 Three forms of audit may be undertaken:

- (1) for all members, audits at a maximum interval of 3 years from the latest approval of membership;
- (2) targeted audits at the request of the Head of Certification, following discovery or complaints of poor practice; and
- (3) random audits.

3.4.3 SNIPEF reserves the right to phase the audit programme in order to make sensible use of resources. During the initial operation of the Scheme, audits will be arranged such that approximately one third of members are considered each year. There will be no charge for audits, auditing will be financed from certificate fee income.

3.4.4 SNIPEF will give at least 10 working days notice of an audit.

3.4.5 Qualified staff will undertake audits. Due to the breadth of technologies covered by the Scheme, expertise specific to an installation may be resourced by the Head of Certification, in order to ensure compliance with the Building Regulations.

3.4.6 SNIPEF will appoint and employ auditors. The auditors will be required to complete the Scheme training course which will be operated for Approved Certifiers. This will ensure that they have appropriate knowledge of the Scheme and its operation. As auditors will be current practitioners they will be deemed to have a reasonable knowledge of the Building Regulations and will have access to assistance in the event of any queries. Auditors will be paid for their work.

3.4.7 Auditors must declare any current or past interest in Approved Certifiers or Approved Bodies.

3.4.8 Audits will normally be undertaken at the member's offices and then normally progress to at least one site. They will:

- (1) consider the record of the previous certification work (the Approved Body's register of certificates issued), that includes copies of certificates and checklists and notes on the procedures used;
- (2) consider evidence of support provided by the Approved Body to the Approved Certifier;
- (3) assess at least one example of certified work with regard to its compliance with the Building Regulations and the BSD Technical Handbooks;
- (4) consider any complaints together with the response to complaints;
- (5) request evidence of update training;
- (6) assess the compliance of the Approved Body and Approved Certifier against the Scheme assessment criteria;
- (7) report on the audit to the Registration Board.

3.5 Auditing of SNIPEF

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

4. FURTHER INFORMATION

4.1 The Building Standards Division Certification Register

- 4.1.1 The BSD Certification Register is the only authoritative list of Approved Certifiers, Approved Bodies, Schemes and Scheme Providers. The Register is maintained and kept up to date by the BSD. The Register is available for inspection at: www.scotland.gov.uk/bsd

4.2 SNIPEF

- 4.2.1 The SNIPEF website provides further information: www.snipef.org
- 4.2.2 Enquiries about the Scheme may be answered at the SNIPEF website. Otherwise enquiries should be addressed to:

SNIPEF
Bellevue House
22 Hopetoun Street
Edinburgh
EH7 4GH

Tel: 0131 556 0600
Fax: 0131 557 8409

APPENDIX A

PLUMBING INDUSTRY GRADING & REGISTRATION SCHEME DEFINITIONS AND CONDITIONS

The Scottish & Northern Ireland Joint Industry Board (hereinafter referred to as the JIB) operates a Grading and Registration Scheme for plumbing operatives and apprentices. Possession of a current JIB grading and Registration Card indicates that the operative has reached the industry required level of competence. The Board is affiliated to the Construction Skills Certification Scheme (CSCS) and now issues JIB/CSCS grading and Registration Cards which, in addition to the normal grading criteria requires individuals to successfully pass an Industry approved Health & Safety Test. To become an Approved Certifier of Construction, operatives need to hold either an Advanced or Technician or Heating engineer or Heating Technician registration card.

I. GRADING DEFINITIONS - PLUMBING OPERATIVES

(a) To be registered as a **Plumber**, an operative must:

- 1 have been a registered apprentice for at least four years (or have been an adult apprentice for 3 years prior to 1st January 2008).
- 2 have obtained one of the following:
 - the Modern Apprenticeship in Plumbing:SVQ Level 3 in MES Plumbing; or
 - the required number of modules of the SCOTVEC/JIB National Certificate in Plumbing at Stage 1 and Stage 2; or
 - the City and Guilds of London Institute Craft Course Certificate in Plumbing; or
 - such other qualification(s) as laid down from time to time by the JIB

And, must have carried out the related work experience element of their apprenticeship satisfactorily.

- 3 be able to carry out all plumbing installation and maintenance work to the standard and at the speed to be reasonably expected from a journeyman Plumber with the minimum of supervision.

(b) To be registered as an **Advanced Plumber**, an operative must:

- 1 have been a registered apprentice for at least four years (or has been an adult apprentice for 3 years prior to 1st January 2008); and
- 2 have had at least two years experience working as a Plumber; and

- 3 have obtained one of the following:
- the Modern Apprenticeship in Plumbing: SVQ Level 3 in MES Plumbing; or
 - the Craft Certificate in Plumbing and any two of the three welding certificates in the Advanced Craft Course Certificate (Construction Services Welding); or
 - the required number of modules of the SCOTVEC/JIB National Certificate in Advanced Plumbing at Stage 3; or
 - the City and Guilds of London Institute Advanced Craft Certificate in Plumbing; or
 - such other qualification(s) as laid down from time to time by the JIB.

And, must have carried out the related work experience element of their apprenticeship satisfactorily.

- 4 possess particular practical and productive skills and be able to work without supervision in the most efficient and economical manner and must be able to set out jobs from drawings and specifications and requisition the necessary installation materials and/or have technical and supervisory knowledge and skill beyond that expected of a Plumber.
- 5 may not have obtained the qualifications or modules specified in (3) but has had at least 5 years experience working as a Plumber and is deemed competent in accordance with this section (b), in which event he may be granted this grade by the JIB.

c) To be registered as a **Technician Plumber**, an operative must:

- 1 have been a registered apprentice for at least four years (or have been an adult apprentice for 3 years prior to 1st January 2008).
- 2 have obtained one of the following:
- the Modern Apprenticeship in Plumbing: SVQ Level 3 in MES Plumbing; or
 - the required number of modules of the SCOTVEC/JIB National Certificate in Technician Plumbing at Stage 4; or
 - the Plumbing Technician's Course Certificate; or
 - the Scottish Technical Education Council Certificate in Building Services (Plumbing); or
 - the Technician Education Council Certificate in Building Services (Plumbing); or
 - the City and Guilds of London Institute Plumbing Design and Quantities Course Certificate; or
 - such other qualification(s) as laid down from time to time by the JIB.

And must have carried out the related work experience element of their apprenticeship satisfactorily.

- 3 have exceptional technical skill, ability and experience beyond that expected of an Advanced Plumber and be able to lay out and prepare contract work in accordance with Building Regulations, Water Byelaws/Regulations, take off quantities and measure work, assess labour requirements and control and supervise all manner of plumbing installations in the most economic and effective way and achieve a high level of productivity.

and, either;

- 4 have had at least five years experience as an Advanced Plumber with a minimum of three years in a supervisory capacity in charge of plumbing installations of such a complexity and size as to require wide technical experience and organisational ability; or
- 5 may not have the full experience as required in (3), but is otherwise deemed competent in accordance with (1), (2) and (3) and his present employer wishes to have him graded as a Technician, in which event he may be granted this grade by the JIB.

2. GRADING DEFINITIONS – HEATING FITTERS

(a) To be registered as a **Heating Fitter**, an operative must:

- 1 have been an apprentice for at least four years (or have been an adult apprentice for 3 years prior to 1st January 2008).
- 2 have obtained one of the following:
 - the City and Guilds of London Institute Craft Course Certificates (Heating and Ventilating Fittings) and (Domestic Heating); or
 - must be able to carry out all domestic heating installations and maintenance work to the standard and speed to be reasonable expected from a Fitter with the minimum of supervision; or.
 - such other qualification(s) as laid down from time to time by the JIB.

And, must have carried out the related work experience element of their apprenticeship satisfactorily

(b) To be registered as a **Heating Engineer**, an operative must:

- 1 have been a registered apprentice for at least four years (or have been an adult apprentice for 3 years prior to 1st January 2008).
- 2 have had at least two years experience working as a Heating Fitter.

- 3 have obtained one of the following:
 - the City and Guilds of London Institute Advanced Craft Certificate (Heating and Ventilating Fitting); or
 - the Craft Certificate and any two of the three welding certificates in the Advanced Craft Course Certificate (Construction Services Welding); or
 - such other qualification(s) as laid down from time to time by the JIB.

And, must have carried out the related work experience element of their apprenticeship satisfactorily.

- 4 possess particular practical and productive skills and be able to work without supervision in the most efficient and economical manner and must be able to set out jobs from drawings and specifications and requisition the necessary installation materials and/or have technical and supervisory knowledge and skill beyond that expected of a Heating Fitter.
- 5 may not have obtained the technical certificates specified in (3) but has had at least 5 years experience working as a Domestic Heating Fitter and is otherwise qualified in accordance with this Section (b), in which event he may be granted this grade by the JIB.

(c) To be registered as a **Heating Technician**, an operative must:

- 1 have been a registered apprentice for at least four years (or have been an adult apprentice for 3 years prior to 1st January 2008).
- 2 have obtained one of the following:
 - the City and Guilds of London Institute Advanced Craft Certificate (Heating and Ventilating Fitting); or
 - the Craft Certificate and any two of the three welding certificates in the Advanced Craft Course Certificate (Construction Services Welding); or
 - such other qualification(s) as laid down from time to time by the JIB.

And, must have carried out the related work experience element of their apprenticeship satisfactorily.

- 3 have exceptional technical skill, ability and experience beyond that expected of an Heating Engineer and be able to lay out and prepare work in accordance with Building Regulations, Gas Regulations, Water Byelaws/Regulations, take off quantities and measure work, assess labour requirements and control and supervise all manner of heating installations in the most economic and effective way and achieve a high level of productivity.

and, either;

- 4 had at least five years experience as a Heating Engineer with a minimum of three years in a supervisory capacity in charge of heating installations of such a complexity and size as to require wide technical experience and organisational ability; or
- 5 may not have the full experience as required in (3), but is otherwise deemed competent in accordance with (1), (2) and (3) and his present employer wishes to have him graded as a Technician, in which event he may be granted this grade by the JIB.

APPENDIX B

SCHEME SCOPE AND QUALIFICATION REQUIREMENTS

Scheme Scope	Qualifications Required
1.0 The installation and commissioning of Above Ground Drainage	Approved Certifiers must hold a current Advanced or Technician Plumber SNIJIB Registration card or be eligible to qualify for such a card and hold a current Water Byelaws/Regulations qualification.
1.1 The installation and commissioning of Below Ground Drainage	Approved Certifiers must hold a current Advanced or Technician Plumber SNIJIB Registration card or be eligible to qualify for such a card and hold a current Water Byelaws/Regulations qualification.
2.0 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Gas installations up to 70kw	Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card and must hold the following qualifications: CCN1 and CEN1 or such other qualifications which may replace these and be registered with the appropriate Gas Safety Registration Scheme.
2.1 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Gas installations over 70kw	Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card and must hold the following qualifications: COCN1, ICPN1, CIGA1, CORT1, and TPCP1 or such other qualifications which may replace these and be registered with the appropriate Gas Safety Registration Scheme.
2.2 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Oil installations up to 45kw	Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card and must hold the following qualifications: OFTEC105E, OFTEC600A and either: OFTEC101and/or OFTEC102.
2.3 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Solid Fuel installations up to 50kw	Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card and must hold the following qualification: HETAS Wet system installer course.
2.4 The installation and commissioning of unvented hot water systems.	Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card and hold a current Water Byelaws/Regulations qualification, and hold an appropriate unvented qualification.

<p>2.5 The installation and commissioning of Solar Thermal Panels.</p> <p>2.6 The installation and commissioning of Biomass boilers.</p> <p>2.6 The installation and commissioning of Air Source Heat Pumps.</p> <p>2.7 The installation and commissioning of Ground Source Heat Pumps.</p>	<p>Approved Certifiers must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card, and must either hold an industry approved SVQ Level 3 Certificate in Renewable Technology in the relevant technology or hold a competence based qualification such as a BPEC course or such other qualification(s) which may be approved by the Scheme.</p>
<p>3.0 The installation and commissioning of electrical work in connection with 1.0 to 2.7 inclusive.</p> <p>Except:</p> <p>a) any new electrical circuit to the building;</p> <p>b) any extension or alteration to the building's electrical circuits (other than a single fused outlet connection);</p>	<p>Approved Certifiers must be either:</p> <ul style="list-style-type: none"> • An Approved Certifier of Construction (Electrical Installations to BS7671); or • Must hold a current Advanced or Technician Plumber or Heating Engineer or Heating Technician SNIJIB Registration card or be eligible to qualify for such a card, and must hold the following qualification: SVQ Unit 5 electrical course.

APPENDIX C

SAMPLE CERTIFICATE OF CONSTRUCTION

Certificate of Construction – Drainage, Heating and Plumbing

Warrant Number:

Verifier Issuing Warrant:

Certificate Number: SNP1--C- xxxxx -

Part A: To be completed by the Approved Certifier of Construction

- 1) Project Address:
As per the Building Warrant
- 2) Building use (tick as appropriate; can be both domestic and non-domestic)
 Domestic Non-Domestic
- 3) Nature of Work and Supporting Documents used to check compliance, tick as appropriate:
(A scheme checklist must be undertaken for each aspect of work included in the warrant but this will be retained by the Approved Certifier).

<i>Scheme Scope</i>	<i>Nature of Work</i>	<i>Scheme Checklist</i>
Above Ground Drainage		
Below Ground Drainage		
Gas Installations up to 70kw input. <i>Fixed combustion appliance and/or heating installations, providing space heating, hot water or cooking facilities.</i>		
Gas Installations over 70kw input. <i>Fixed combustion appliance and/or heating installations providing space heating, hot water or cooking facilities.</i>		
Oil Installations up to 45kw output. <i>Fixed combustion appliance and/or heating installations providing space heating, hot water or cooking facilities.</i>		
Solid Fuel Installations up to 50kw output. <i>Fixed combustion appliance and/or heating installations providing space heating, hot water or cooking facilities. (Includes biomass boilers).</i>		
Unvented Hot Water Systems.		
Solar Thermal panels. <i>Fixed combustion appliance and/or heating installation providing hot water</i>		
Air Source Heat Pump. <i>Fixed combustion appliance and/or heating installations providing space heating and hot water facilities.</i>		
Ground Source Heat Pump. <i>Fixed combustion appliance and/or heating installations providing space heating and hot water facilities.</i>		
Electrical work to BS 7671 connected to the installation of the above.		

I certify that the drainage, heating and/or plumbing installation included in the construction work described in this Certificate complies with the Building (Scotland) Regulations 2004 (as amended). I am registered by the Scottish Government Buildings Standards Division as competent to certify the construction of such work.

Name:

Signature:

Date:

Certifier Registration Number: SNP1- C-xxxxx

Part B: To be completed by the Certification Co-ordinator of the Approved Body

I confirm that the person who signed Part A of this Certificate is an Approved Certifier of Construction who is qualified and registered to certify the work and is employed by this body. This body is registered by the Scottish Government Building Standards Division to provide certification services for Certification of Construction (Drainage, Heating and Plumbing) and employs at least one approved certifier under that scheme.

I am registered as certification co-ordinator of this body.

Name:

Signature:

Company Name:

Approved Body Registration Number: SNP1-CB-xxxxx

Date:

APPENDIX D INSTRUCTIONS FOR ORDERING AND MANAGING CERTIFICATES OF CONSTRUCTION

1 Logging In

- 1.1. Log onto the Scottish Building Standards Certification website
www.sbsc.uk.net
- 1.2. Click on the word **Log In** shown in the top right of the screen
- 1.3. Enter your **own Approved Body** number in the Registration ID box
e.g.

S	N	P	1	C	B	X	X	X	X	X
---	---	---	---	---	---	---	---	---	---	---

- 1.4. Enter your **own** password
- 1.5. Click on the “Log In” button

2 To Order Certificates

- 2.1. Click on the Order Certificates option
- 2.2. Select the number of Certificates required
- 2.3. Insert a purchase order number (if applicable)
- 2.4. Press “Place Order” button

Note: When your order has been approved you will receive an email confirming that they are available to use

3 To Manage Certificates

- 3.1. Click on the Manage Certificates option. Here you will find new certificates and certificates already completed.

4 To Complete a New Certificate

- 4.1. Click on **Submit New Certificate** (opens a certificate ready to complete)

PART A

- 4.2. Fill in the Building Warrant number
- 4.3. Select the appropriate Verifier (local authority) (from the drop down box)
- 4.4. Type in the details of the Project Address
- 4.5. Click on Domestic or Non-Domestic as appropriate
- 4.6. In the **Nature of Work** section, click on applicable boxes for the type of work covered in the Building Warrant
- 4.7. Type in the **Certifiers** name into “**Name**” box
- 4.8. Type in the 5 digit Approved Certifier number into the “**Certifier Registration Number**” box

PART B

4.9 From the drop down box choose either **is employed** or **has been sub-contracted**

4.10 Click on **Submit Certificate** (if you are happy with the certificate click yes when prompted) to save the certificate (note these cannot be altered once submitted)

5 Print out the Certificate

5.1 Go back to **“Manage Certificates”**

5.2 Click on the appropriate Certificate Number to open up the certificate just completed

5.3 Print out the certificate

5.4 Sign Parts A & B as appropriate

6 To Download the Checklist

6.1 Click the “Checklist” box against the appropriate certificate number

6.2 Complete checklist as necessary

6.3 Click on submit

6.4. Print out if required

Note: the Checklist can also be printed out and completed manually. Click on **“Download Supporting Checklist”** and **“Download Supporting Checklist”** when prompted again

Print out the Checklist and complete as necessary

Other functions

- View certificates by month
- View cancelled certificates
- Edit Account details

You can view your completed certificates, view any certificates cancelled and edit your own account details by clicking on these options

If you need any assistance please phone 0131 556 0600 and ask for Membership Services.

APPENDIX E DECLARATION OF COMPETENCE

Declaration of Competence - Approved Certifier of Construction (ACC)

Name of Approved Certifier:	
Approved Certifier Number:	
Date Approved Certifier Status granted:	
Name of Approved Body:	
Approved Body Number:	

The above Certifier of Construction is eligible to certify the following scope(s) of work under the terms of the Certification of Construction (Drainage, Heating and Plumbing) scheme:

Scheme Designation	Scheme scope(s) which the ACC can certify
1.0 The installation and commissioning of Above Ground Drainage.	Yes / No
1.1 The installation and commissioning of Below Ground Drainage.	Yes / No
2.0 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Gas installations up to 70kw	Yes / No
2.1 The installation and commissioning of Fixed Combustion appliances and or heating or hot water systems. Gas installations over 70kw	Yes / No
2.2 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Oil installations up to 45kw.	Yes / No
2.3 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Solid Fuel installations up to 50kw.	Yes / No
2.4 The installation and commissioning of unvented hot water systems.	Yes / No
2.5 The installation and commissioning of Solar Thermal Panels.	Yes / No
2.6 The installation and commissioning of Biomass boilers.	Yes / No
2.6 The installation and commissioning of Air Source Heat Pumps.	Yes / No
2.7 The installation and commissioning of Ground Source Heat Pumps.	Yes / No
3.0 The installation and commissioning of electrical work in connection with 1.0 to 2.7 inclusive.	Yes / No

If the Approved Certifier achieves a qualification in any additional scope before he is due to renew his annual membership of the scheme, the Approved Body Certification Co-ordinator can complete and return the form below detailing the additional scope (s) the Approved Certifier wishes to apply to certify. A charge of £10 + Vat will apply to each application submitted. (07/13)

APPLICATION TO ADD TO THE EXISTING APPROVED CERTIFIER OF CONSTRUCTION SCOPE

Name of Approved Certifier:	
Approved Certifier Number:	
Date Approved Certifier Status granted:	
Name of Approved Body:	
Approved Body Number:	
Name of Certification Co-ordinator:	

I wish to add the following scope(s) to the list of designated activities the above named ACC can certify under the terms of the Certification of Construction (Drainage, Heating and Plumbing) scheme. (Tick the additional scope(s) they wish to certify and return this application together with evidence of the technical qualification(s) gained and a fee of £10 plus VAT (cheque made payable to SNIPEF Management LTD)).

Scheme Designation	Additional scheme scope(s) which the ACC wishes to certify
1.0 The installation and commissioning of Above Ground Drainage.	Yes / No
1.1 The installation and commissioning of Below Ground Drainage.	Yes / No
2.0 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Gas installations up to 70kw	Yes / No
2.1 The installation and commissioning of Fixed Combustion appliances and or heating or hot water systems. Gas installations over 70kw	Yes / No
2.2 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Oil installations up to 45kw.	Yes / No
2.3 The installation and commissioning of Fixed combustion appliances and or heating or hot water systems. Solid Fuel installations up to 50kw.	Yes / No
2.4 The installation and commissioning of unvented hot water systems.	Yes / No
2.5 The installation and commissioning of Solar Thermal Panels.	Yes / No
2.6 The installation and commissioning of Biomass boilers.	Yes / No
2.6 The installation and commissioning of Air Source Heat Pumps.	Yes / No
2.7 The installation and commissioning of Ground Source Heat Pumps.	Yes / No
3.0 The installation and commissioning of electrical work in connection with 1.0 to 2.7 inclusive.	Yes / No

Complete and return this form to: SNIPEF, Bellevue House, Hopetoun Street, Edinburgh, EH7 4GH