

**National Occupational Standards
for the Production of
Operational Ratings, Display Energy Certificates, and Advisory Reports**

Asset Skills – September 2007

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National Occupational Standards for the Production of Operational Ratings, Display Energy Certificates, and Advisory Reports

These Standards have been developed for those involved in the production of Operational Ratings (ORs), Display Energy Certificates (DECs) and Advisory Reports (ARs).

These National Occupational Standards (NOS) have been developed by Asset Skills in consultation with Communities & Local Government and a wide range of stakeholders and technical experts.

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UNIT 1

Work in a safe, effective and professional manner

Element 1.1	Contribute to the maintenance of health, safety and security at work
Element 1.2	Develop and maintain effective working relationships
Element 1.3	Conduct energy assessments in a professional and ethical manner

About this Unit

This Unit covers the essential, general competences expected of all accredited professionals in Energy Assessment regardless of their working environment.

Element 1.1 describes the activities involved in contributing to the maintenance of health, safety and security at work. You must identify and manage the risks associated with your work, and ensure that your conduct does not endanger yourself or others. You are expected to know, and work in accordance with, the provisions of relevant legislation (e.g. Health and Safety at Work Act) and any relevant workplace policies.

Element 1.2 covers the development and maintenance of effective working relationships with all those people with whom you come into contact during your work. You are expected to communicate with others in a polite, clear and respectful manner, respond to enquiries and work towards avoiding any disputes that may arise. You are also expected to comply with formal complaints procedures if and when complaints are received. The main groups of people with whom you will need to develop good working relationships are your clients, other professionals, colleagues, and anyone else with whom you come into contact in the course of your work.

Element 1.3 covers the conduct of work in a professional and ethical manner. You are expected to present a positive and professional image at all times, work in accordance with prescribed codes of conduct and standards of good practice, and take steps to avoid any potential conflicts of interest during your work. It is also vital that you comply with the specific auditing and monitoring requirements of your accrediting organisation. Importantly, you must recognise and work within the limits of your own competence and expertise.

Element 1.1

Contribute to the maintenance of health, safety and security at work

Performance Criteria

You must be able to:

- 1 carry out working practices in accordance with legal requirements
- 2 identify any health, safety and security risks in different locations and take action to minimise or mitigate such risks
- 3 ensure your own personal conduct in the workplace does not endanger the health, safety and security of yourself and other people
- 4 follow the workplace policies and suppliers' or manufacturers' instructions for the safe use of equipment, materials and products
- 5 follow emergency procedures effectively to protect the health, safety and security of people
- 6 pass on any suggestions for improving health, safety and security within the **workplace** to the responsible persons

Knowledge and Understanding

You must know and understand:

- (a) the legal duties for health, safety and security in the **workplace** as required by legislation
- (b) what health, safety and security risks could exist in different locations, and the action to take to minimise or mitigate risks
- (c) why it is important to remain alert to the presence of risks in the **workplace**
- (d) the importance of personal conduct in maintaining the health, safety and security of yourself and others
- (e) suppliers' and manufacturers' instructions for the safe use of equipment, materials and products
- (f) who should be informed of any conflicts between different health, safety and security requirements
- (g) the procedures for different types of emergency
- (h) what types of suggestions for improving health, safety and security at work could be made and who should be given them

Element 1.1

Contribute to the maintenance of health, safety and security at work

Scope

- A. **workplace:**
 - (i) your own office
 - (ii) any other location you visit in the course of your work

Element 1.2**Develop and maintain effective working relationships****Performance Criteria****You must be able to:**

- 1 present a positive personal and professional image at all times when dealing with **others**
- 2 develop and maintain productive working relationships with **others** which promote goodwill and trust
- 3 deal with **others** in a tactful, courteous and equitable manner at all times
- 4 work within the limits of your own competence and expertise
- 5 recognise and manage any potential conflicts of interest that may arise during your work
- 6 request information from **others** in a polite, clear and professional manner
- 7 respond promptly to enquiries from **others** and ask questions to clarify their needs
- 8 take action in cases where you are unable to respond to enquiries from **others**
- 9 handle and resolve disputes and differences of opinion in ways which minimise offence and maintain respect
- 10 comply with formal complaints procedures

Knowledge and Understanding**You must know and understand:**

- (a) why it is important to present a positive personal and professional image when dealing with people, and how this can be achieved
- (b) why it is important to promote goodwill and trust when working with **others**, and ways in which this can be achieved
- (c) the extent and limits for your own competence and expertise; the importance of not working beyond these limits
- (d) the range of potential conflicts of interest that you may encounter, and the action required to manage these
- (e) how to identify the information you require and the potential sources of such information
- (f) how to respond to enquiries from **others** and how to clarify their needs
- (g) how to respond to enquiries which are outside your authority, beyond your area of knowledge / expertise or where the information requested is confidential
- (h) ways in which disputes or differences of opinion should be handled and resolved to minimise offence and maintain respect
- (i) the details of the formal complaints procedure that covers your work, and any specific organisational requirements with regard to complaints

Element 1.2

Develop and maintain effective working relationships

Scope

A. others:

- (i) clients
- (ii) other professionals
- (iii) colleagues
- (iv) anyone else with whom you come into contact in the course of your work

B. action:

- (i) inform the enquirer
- (ii) pass the enquiry onto the relevant person or organisation

Element 1.3**Conduct energy assessments in a professional and ethical manner****Performance Criteria****You must be able to:**

- 1 carry out your work in accordance with prescribed codes of conduct, ethical standards and **recognised guidance and codes of practice**
- 2 develop yourself within your role
- 3 manage your own work activities effectively
- 4 recognise and respond appropriately to pressure from any person which might influence the objectivity of your judgement
- 5 comply with the auditing and monitoring requirements of the accreditation or certification organisation to which you belong
- 6 comply with all legislation relevant to your work
- 7 have regard to all relevant approved guidance relating to the assessment of energy performance

Knowledge and Understanding**You must know and understand:**

- (a) your specific responsibilities under prescribed codes of conduct and ethical standards
- (b) the importance of complying with **recognised guidance and codes of practice**
- (c) the specific auditing or monitoring requirements that relate to your registration with your accreditation organisation and your responsibilities in complying with these
- (d) Government Policy on combating Climate Change and the reduction of carbon emissions
- (e) the main points of the legislation relevant to your work – be it derived from the Housing Act 2004 and its associated Regulations for Home Information Packs or the European Performance of Buildings Directive (EPBD) and its associated Regulations or elsewhere
- (f) relevant approved guidance relating to the assessment of energy performance

Element 1.3

Conduct energy assessments in a professional and ethical manner

Scope

- A. **others:**
 - (i) clients
 - (ii) other professionals
 - (iii) colleagues
 - (iv) others with whom you may be in contact during the course of your work as an Energy Assessor

UNIT 2

Prepare for energy assessments of non-dwellings to produce Energy Performance Certificates (EPCs), Operational Ratings (ORs), Display Energy Certificates (DECs) and Advisory Reports (ARs)

Element 2.1	Agree and confirm instructions to undertake energy assessments
Element 2.2	Investigate relevant matters relating to the property and energy usage

About this Unit

This Unit covers activities that are carried out prior to the energy assessment of non-dwellings to produce certificates (EPCs or DECs) and reports (Recommendations Reports and Advisory Reports) i.e. taking instructions, clarifying requirements and making initial enquiries on matters relating to the property in question.

It is common to both these NOS and those for Non-dwellings.

Note that the term 'assessment' is used throughout the standards when referring to the overall process of determining the Asset Rating of a property, or its Operational Rating, whereas 'inspection' is used only when referring to on-site inspection of the property and its features.

Element 2.1 requires that you agree and confirm instructions to undertake energy assessments.

Element 2.2 is about investigating relevant matters relating to the property and energy usage.

Element 2.1**Agree and confirm instructions to undertake energy assessments****Performance Criteria****You must be able to:**

- 1 respond promptly to requests to undertake energy assessments from **clients**
- 2 determine the nature and characteristics of the property to ensure that it requires an Operational Rating or Asset Rating as appropriate
- 3 clarify and confirm the requirements and expectations of **clients** and the scope of your instructions
- 4 explain to **clients** the terms and conditions and fee structure under which you will undertake an energy assessment
- 5 explain to **clients** the limitations and constraints of the planned energy assessment
- 6 confirm to **clients** the terms, conditions and arrangements that have been agreed
- 7 provide any necessary guidance to **clients** with regard to the legislation governing energy assessment
- 8 confirm to **clients** the terms, conditions and arrangements that have been agreed
- 9 confirm with the **clients** or other occupiers any **specific arrangements** that apply to the energy assessment
- 10 identify any **circumstances** that prevent you from undertaking an energy assessment and explain the reasons to **clients** politely and clearly
- 11 select a software tool approved under the Regulations for the energy assessment

Knowledge and Understanding**You must know and understand:**

- (a) the types of property and situations that do not by law require energy certification and how to deal with voluntary certification
- (b) how to clarify and confirm the requirements and expectations of the **client(s)** and the scope of your instructions
- (c) how to identify and explain **to clients** any **circumstances** that prevent you from undertaking an energy assessment
- (d) the limitations and constraints that apply to the conduct of energy assessments
- (e) the importance of explaining and confirming in writing the arrangements agreed between you and **client(s)**
- (f) the importance of explaining the terms and conditions and fee structures and payment arrangements for energy assessments
- (g) the legislation governing energy assessment
- (h) the limitations and constraints of the planned energy assessment
- (i) how to confirm on-site inspection arrangements with the **client(s)** or other occupier
- (j) the **circumstances** that may prevent you from undertaking an energy assessment and the importance of explaining the reasons to **clients** politely and clearly

(k) the importance of confirming whether any **specific arrangements** apply to the energy assessment

(l) the frequency of energy assessments and the validity of certificates and reports

(m) which software tools have been approved for particular applications and the principles of their operation

Element 2.1 Agree and confirm instructions to undertake energy assessments

Scope

A. Specific arrangements:

- (i) access to the property
- (ii) those present at the property at the time of on-site inspection
- (iii) health and safety issues

B. Circumstances:

- (i) properties beyond your current level of competence
- (ii) your own diary pressures
- (iii) difficulties in gaining access
- (iv) conflicts of interest
- (v) lack of key information

C. Clients:

- (i) internal
- (ii) external

Element 2.2 Investigate relevant matters relating to the property and energy usage

Performance Criteria

You must be able to:

- 1 investigate and record such information as is necessary to ensure complete and comprehensive energy assessment and certification
- 2 evaluate information in order to identify any **significant factors** that may influence the conduct of the energy assessment
- 3 explain the scope of information that will assist the energy assessment to **clients** and request such information from them
- 4 inform **clients** promptly in cases where your investigations reveal problems that prevent you from assessing the energy performance of the property
- 5 identify circumstances that prevent you from assessing the energy performance of the property and explain this to **clients** with reasons

Knowledge and Understanding

You must know and understand:

- (a) the different types of information that it is important to obtain to ensure a complete and accurate assessment and certificate
- (b) the different sources of information (including existing calculations and energy audit reports) relating to the energy performance of the property and how to obtain such information
- (c) prevailing geographical / environmental features that may affect the energy performance of the property
- (d) how to evaluate relevant information in order to identify and address any **significant factors** that may influence the energy assessment
- (e) the special circumstances that may apply to some properties in relation to energy usage
- (f) how to identify circumstances that prevent you from assessing the energy performance of the property and the importance of explaining to clients why you may not be able to fulfil the agreed contract

Element 2.2

Investigate relevant matters relating to the property and energy usage

Scope

A. Significant factors:

- (i) gaps in information concerning the building and its energy use
- (ii) health and safety considerations
- (iii) accessibility

B. Clients:

- (i) internal
- (ii) external

UNIT 3

Determine Operational Ratings and issue Display Energy Certificates for non-dwellings

Element 3.1	Determine Operational Ratings for non-dwellings
Element 3.2	Issue Display Energy Certificates

About this Unit

This Unit covers the activities required to determine Operational Ratings for non-dwellings in order to produce the Display Energy Certificates (DECs) required for defined categories of public buildings when the relevant regulations come into force. This Unit is equally relevant to the provision of DECs on a voluntary basis, where the skills, knowledge and outputs will be identical.

The references to clients throughout the unit refer both to internal clients, such as line managers, as well as external clients in the conventional sense.

The skills and knowledge described are intended to embrace everything required to produce a DEC .

Element 3.1 requires that you determine Operational Ratings for non-dwellings.

Element 3.2 requires that you issue Display Energy Certificates.

Element 3.1**Determine Operational Ratings for non-dwellings****Performance Criteria****You must be able to:**

- 1 Identify whether the type of property and its current use fall within your level of authorised accreditation
- 2 identify the necessary **information** for determining Operational Ratings according to the requirements of the property and its likely energy usage
- 3 obtain the necessary **information** for determining Operational Ratings
- 4 take the necessary steps to address any gaps in **information** requirements
- 5 confirm, as far as possible, the accuracy and suitability of the **information** you have collected
- 6 calculate Operational Ratings using the approved tools
- 7 respond to any queries concerning Operational Ratings from **client(s)**

Knowledge and Understanding**You must know and understand:**

- (a) the provisions of the regulations which specify the buildings requiring Display Energy Certificates
- (b) the different categories of buildings as described in the relevant guidance
 - (c) relevant technical requirements and approved guidance
 - (d) timetables regarding the introduction and implementation of Display Energy Certificates
 - (e) the types of fuels and energy sources which are likely to be encountered and their respective effects on Operational Ratings
 - (f) the principles of building structure elements, fabric, services and overall design philosophy
 - (g) the operation of plant and machinery, building management, and their respective effects on Operational Ratings
 - (h) the energy data required for Operational Ratings and metering allowances
 - (i) the required information for calculating Operational Ratings and how to obtain it
 - (j) how to obtain the information required to produce an Operational Rating using metered energy consumption from utility invoices (estimated and from readings)
 - (k) how to calculate Operational Ratings using the approved tools or approved methodology

	(I) the application of Operational Ratings to groups of buildings on sites
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Element 3.1 Determine Operational Ratings for non-dwellings

Scope

A Client(s):

- (i) internal
- (ii) external

B Information on:

- (i) energy usage from different sources
- (ii) type(s) of building
- (iii) floor areas, and definition of total useful floor area
- (iv) the local weather and its effect on Operational Ratings
- (v) effect of special uses and occupancy on Operational Ratings
- (vi) groups of buildings on site
- (vii) metering and sub-metering
- (viii) typical building services systems
- (ix) plant and machinery
- (x) building operation and management

Element 3.2 Issue Display Energy Certificates

Performance Criteria

You must be able to:

1. obtain the Asset Rating where available, and obtain or identify previous years' energy performance data where available, for inclusion in **Display Energy Certificates**
2. use the approved tools or approved methodology to generate **Display Energy Certificates**
3. prepare and issue **Display Energy Certificates** in line with approved methodology
4. maintain internal records which are clear, complete and conform to accepted professional and statutory requirements
5. submit data correctly to the approved central register
56. advise clients on fulfilling their legal obligations with regard to **Display Energy Certificates**, and the enforcement procedures for non-conformity,

Knowledge and Understanding

You must know and understand:

- (a) the initial and on-going transitional requirements for the implementation of the EPB Regulations in regard to Operational Ratings and Display Energy Certificates.
- (b) the prescribed format and contents of a **Display Energy Certificate**, and how to interpret them
- (c) the approved tools used to produce **Display Energy Certificates**
- (d) the rationales for **Display Energy Certificates**
- (e) the importance of checking the Display Energy Certificate to ensure it is complete and satisfies EPB Regulations
- (f) the responsibility of clients under the Regulations for handling, exhibiting and updating **Display Energy Certificates**
- (g) the additional voluntary options for publicising the Operational Rating of a building
- (h) the data and information required to be lodged on the central register and how to input this information
- (i) restrictions on access to the central register
- (j) the ways in which external databases are up-dated and how Display Energy Certificates are logged
- (k) the enforcement procedures for non-conformity with

EPB Regulations in regard to
Display Energy Certificates

(l) the quality assurance
process for the approval of **Display
Energy Certificates**

Element 3.2 Issue Display Energy Certificates

Scope

A Display Energy Certificates:

- (i) statutory
- (ii) voluntary

UNIT 4 Produce Advisory Reports

Element 4.1 Obtain information and produce and issue Advisory Reports

About this Unit

This Unit covers the activities to obtain information, produce and issue Advisory Reports, required for defined categories of public buildings, to accompany Display Energy Certificates.

Element 4.1 requires that you obtain information, produce and issue Advisory Reports.

Element 4.1 Obtain information, produce and issue Advisory Reports

Performance Criteria

You must be able to:

- 1 explain to the **clients** the requirements for advisory reports under the EPB Regulations
 - 2 obtain details of potential improvement measures from designated website
- 3 take account, in producing Advisory Reports, of available information in terms of the building's structure, fabric, services and overall design philosophy, together with the operation of its plant, machinery and management
 - 4 comply with the approved guidance to gather the information necessary to generate the recommendations.
 - 5 use the approved tools for generating recommendations to improve the energy performance of the building
 - 6 in line with approved guidance, review the recommendations generated, add appropriate site-specific recommendations and delete any that are inappropriate
 - 7 provide clear reasons for any adjustments to recommendations
 - 8 produce a valid advisory report in accordance with approved guidance
- 9 issue advisory reports to the **clients**,
- 10 advise **clients** on fulfilling their statutory duties under the EPB regulations and explain to them how to obtain further guidance on improving energy

Knowledge and Understanding

You must know and understand:

- (a) the requirements for Advisory Reports under the EPB regulations and approved guidance
- (b) the principles of building structure elements, fabric, services and overall design philosophy
- (c) the operation of plant, machinery, and building management and their relationship to energy consumption
- (d) the standard procedure for generating Advisory Reports, and the statutory minimum requirements with regard to the contents and format of Advisory Reports
- (e) the necessary administrative details and the approved guidance on prioritising recommendations for improvement
- (f) the range of recommendations to improve the energy performance of buildings that may be included in Advisory Reports
- (g) the nature of the approved tools, how to access them, and how to use them.
- (h) what constitutes a valid existing report
- (i) the importance of checking recommendations pre-selected by the approved software and deleting any that are inappropriate
- (j) the data and information required to be lodged on the relevant central register and lodging procedures

efficiency

11 maintain internal records which are clear, complete and conform to accepted professional and statutory requirements

12 lodge statutory data correctly onto the relevant central register

(k) the validity of Advisory Reports and the importance of informing **clients**

Element 4.1 Obtain information, produce and issue Advisory Reports

Scope

A Client(s):

- (i) internal
- (ii) external