

Operations Manual



1 Contents

2	Scope.....	4
2.1	Governance.....	4
2.2	Issues / Concerns / Complaints	5
2.3	Associated documents	5
2.4	Definition of Terms	5
3	Values	6
4	The Basics of Assessment and Certification	6
4.1	Assessors.....	6
4.2	The Assessment Process	8
4.3	Assessment certification	9
5	Roles and Responsibilities.....	9
5.1	Scheme Administrator.....	9
5.2	NABERS UK Supervisors	10
5.3	NABERS UK Licensed Assessors	11
5.4	NABERS UK L2 Auditors	11
6	NABERS UK Assessor Training and Exam.....	12
6.1	NABERS UK Assessor Training Process	12
6.2	NABERS UK Theoretical Training.....	12
6.3	NABERS UK Theory Examination	14
6.3.1	Extensions of time to complete examination.....	14
6.3.2	Examination pass mark.....	14
6.3.3	Resitting the exam.....	14
6.3.4	Appealing your exam result.....	15
6.4	Practical Training - The Supervised Rating Process	16
6.5	The Role of the NABERS UK Supervisor	18
6.6	Scoring the NABERS UK Supervisee performance: The Supervised Rating Report Card ..	19
6.7	Completing the Supervised Rating Process	19
6.8	Appealing a Supervised Rating result.....	19
6.8.1	Submitting an Appeal	19
7	Achieving and Maintaining Licensed Assessor Status	20
7.1	The NABERS UK Licence Agreement	20
7.2	Licence application.....	20
7.3	Licence confirmation	20
7.4	Badge of recognition for licensed Assessors and licensed Assessor companies	21
7.5	Public listing of licensed Assessors and organisations.....	21
7.6	Maintenance of licensed status.....	21
8	Starting the Rating Process	22
8.1	Appointment of an Assessor	22
8.2	Client involvement.....	22

8.3	Rating Renewal Procedure	22
8.4	Renewal of Rating Certificates	23
9	Undertaking a Rating	23
9.1	The Validity Period	24
9.2	Assessment evidence principles	24
10	Auditing Policy and Procedure	25
10.1	NABERS UK values	25
10.2	Why audit?	25
10.3	What does auditing achieve?	25
10.4	Who manages the auditing process?	26
10.5	L1 Auditing process	26
10.6	How does L2 auditing work?	26
10.7	L2 Auditing policy principles	27
10.8	The NABERS UK L2 Audit Process	28
10.8.1	Assigning an L2 Auditor	28
10.8.2	Conflicts of interest	29
10.9	Appointment of Auditors	30
10.10	NABERS UK Rules, Rulings, processes and procedures	30
10.10.1	Acceptable information format	31
10.10.2	Non-supply of information	31
10.10.3	Voluntary notification of an error	31
10.11	L2 Audit Results	31
10.11.1	Auditor's findings	31
10.11.2	Assessor's Right of Response	33
11	Rating Certification	37
11.1	Validity of certificates	37
11.2	Publicising the certified status of a building	38
12	Assessment Support and Guidance	38
12.1	Assessment Support Services	38
12.2	NABERS UK Energy for Offices online	38
12.3	BREEAM Projects	38
12.4	Customer support for licensed Assessors	38
12.4.1	Types of customer support provided by BRE Global	38
12.4.2	How to contact BRE Global with an enquiry	39
13	Information Transfer Procedure	40
13.1	Transfer between Customer and Licensed Assessor	40
13.2	Marketing	40
13.3	Licensed NABERS UK Rating Certificate	41
13.4	Contractual	41
13.5	General	41

13.6	Technical support.....	41
13.7	Building rating information.....	41
13.8	Transfer between Scheme Administrator and the National Steering Committee	42
14	NABERS UK Fees and Payments	42
14.1	Training Fees	42
14.2	Payment Terms	42
14.3	Annual licence fee	42
14.4	NABERS Energy Certificate Registration Fee	43

2 Scope

NABERS UK Energy for Offices is a performance-based rating system for existing buildings that rates a building based on its historical measured operational impacts on the environment.

Through NABERS UK, building owners and managers can benchmark their buildings operational performance and gain market recognition for this performance.

Licensed Assessors are responsible for providing NABERS UK licensed performance ratings for existing buildings. They undertake these ratings through the review of historical operational data, such as utility bills.

Assessors are free to market themselves and their services to the customers. Assessors deal directly with their customers and are free to set their own prices and conditions of engagement for the services they provide. The overall principle is to allow the market to drive itself, while providing guidance to ensure consistency and integrity within the scheme itself.

Assessors are trained and tested. They agree to abide by a Code of Conduct before being licensed. Individual Assessors will be licensed to carry out the services on behalf of a company, and both the company and individual are responsible for the ratings they perform.

Licensed Assessors must conduct ratings in strict accordance with the NABERS UK Rules for collecting and using data, detailed procedures for collecting and analysing the required data for a NABERS UK Rating Application. This approach ensures consistency of results regardless of which Assessor conducts the rating. Ratings are also audited at random to ensure that procedures are understood and followed.

BRE Global Limited administers the scheme throughout the United Kingdom in its capacity as the Scheme Administrator. The Scheme Administrator is responsible for provision of guidelines, documents, procedures, maintains databases, and ensures consistency.

This document is intended for the use of licensed Energy for Offices Assessors and those completing the training to become a licensed Energy for Offices Assessor. This document contains all the information necessary for licensed Assessors to perform licensed NABERS UK Energy for Offices performance ratings and should be seen as a guide to the elements of the scheme rather than a strict manual that must be followed to the letter. It defines roles and responsibilities of relevant parties. Responsibilities will also evolve over time.

The copyright for all documents contained herein remains with BRE Global as the Scheme Administrator of NABERS UK.

2.1 Governance

All NABERS UK Energy for Offices related activities are aligned to ISO 9001. As an accredited certification body, BRE Global maintains an open and accountable governance structure. The

operation of NABERS UK Energy for Offices (and indeed all our assurance activities) is overseen by a Steering Committee for peer and market review.

The Governing Body represents stakeholder interests to ensure, amongst other things, that BRE Global are acting independently and impartially, that we are operating our processes correctly, and that we are treating our customers fairly.

The Steering Committee provides BRE Global with access to a range of experts that can review the scheme to ensure its robustness from a scientific, technical and market perspective, as well as ensuring the development of the scheme is open to external and independent scrutiny.

2.2 Issues / Concerns / Complaints

If there are unresolved issues with the services provided by BRE Global, in the first instance please contact the NABERS UK team at nabersuk@bregroup.com. Please provide as much information as possible so that we may address your issues or concerns effectively.

BRE Global operates a formal complaints and appeals procedure (XP107E), please use the email address provided above to request a copy if there is cause for complaint or appeal against a certification decision.

2.3 Associated documents

This manual references several additional and supporting documents associated with the NABERS UK scheme and licence agreement.

This document does not include technical criteria for the Energy for Offices scheme. Detailed technical requirements are set out in The Rules ('Energy for Offices', and 'Metering and Consumption')

2.4 Definition of Terms

NABERS UK Licensed Company (Licensee) – A company (or sole trader) that employs Licensed Assessors and has entered into a contractual agreement with BRE Global to undertake NABERS UK ratings (Licensee).

NABERS UK Licensed Assessor - An individual who is either self-employed or employed by a Licensed Company (Licensee) and is listed as a Licensed Assessor on the NABERS UK Licence agreement. Licensed Assessors can undertake NABERS UK ratings on behalf of their Licensed Company.

NABERS UK Code of Practice - A document that forms part of the contract between Licensed Assessors and BRE Global. The purpose of the NABERS UK Code of Practice is to set out the responsibilities and obligations under the NABERS UK Scheme, including ethical and commercial codes of conduct.

NABERS UK Level 1 Audit – A desk-based review conducted on 100% of NABERS Ratings to ensure that an Assessor has correctly completed the NABERS UK Rating Input Form.

NABERS UK Level 2 Audit - An auditing peer review process that delivers a complete re-assessment of the building using the documentation relied upon by the Licensed Assessor in conducting the original rating, to confirm the rating result, or recalculate it if necessary.

NABERS UK Rules (The Rules) - All past and current versions of; the NABERS UK Rules for 'Energy for Offices' and 'Metering and Consumption' and other guidance documents used to undertake NABERS UK ratings under the NABERS UK Scheme.

NABERS UK Supervisee - A NABERS UK Licensed Assessor who is required by the Scheme Administrator to undertake NABERS UK Ratings under supervision in line with the NABERS UK scheme's policies and procedures.

NABERS UK Supervisor - A NABERS UK Licensed Assessor who has entered into a contractual agreement with the Scheme Administrator to tutor and assess NABERS UK Supervisees'

understanding, interpretation, and application of the NABERS UK Rules during the practical training component of the NABERS UK scheme.

Rating Period - The 12-month base period for the rating, requiring at least 12 contiguous months of acceptable data upon which the rating is based.

Scheme Administrator - The administrator of the NABERS UK scheme; BRE Global Limited.

Supervised Rating - A NABERS UK rating performed by a NABERS UK Licensed Assessor, under the supervision and tuition of a NABERS UK Supervisor in line with the NABERS UK scheme's policies and procedures.

Validity Period - The post-certification period during which the rating is valid for up to 12 months.

3 Values

The NABERS UK scheme is committed to the values of integrity, quality, public service, leadership and collaboration. BRE Global works closely with NABERS UK Trainers, Supervisors, Auditors and Licensed Assessors to deliver excellent services and a relevant, reliable practical measure of building performance that supports a more sustainable built environment. The NABERS UK Operations Manual provides the clear guidance and information needed to assure the quality of these partnerships.

- Integrity - to be ethical, impartial, open and transparent.
- Quality - to operate a robust, reliable scheme of rating tools.
- Collaboration - to work with industry and government to ensure relevance and effectiveness.
- Leadership - to demonstrate and advocate practical environmental benchmark performance measures for industry and government.
- Public service - to serve the public good and deliver public value by communicating trusted results.

4 The Basics of Assessment and Certification

BRE Global provides independent, third party certification of the NABERS UK Energy for Offices ratings process undertaken by licensed Assessors, to ensure that their assessment of the office space and consequent rating has been conducted in accordance with The Rules.

4.1 Assessors

BRE Global trains and assesses the competency of individuals who want to use NABERS UK to carry out assessments. This training and on-going demonstration of competence is subdivided into two stages.

The first stage involves an assessment of an individual's knowledge and understanding of the application of the scheme.

The BRE Academy provides the training course and material on the technical and operational aspects for the scheme operated by BRE Global, and then assesses candidates on their understating in relation to the application of these schemes. This assessment is undertaken via multiple choice examinations. Once a candidate passes the exams, they are qualified and deemed 'competent' to undertake ratings. The qualified Assessor can then apply for a licence to join the scheme, i.e., become a licensed Assessor (see section 7.1.)

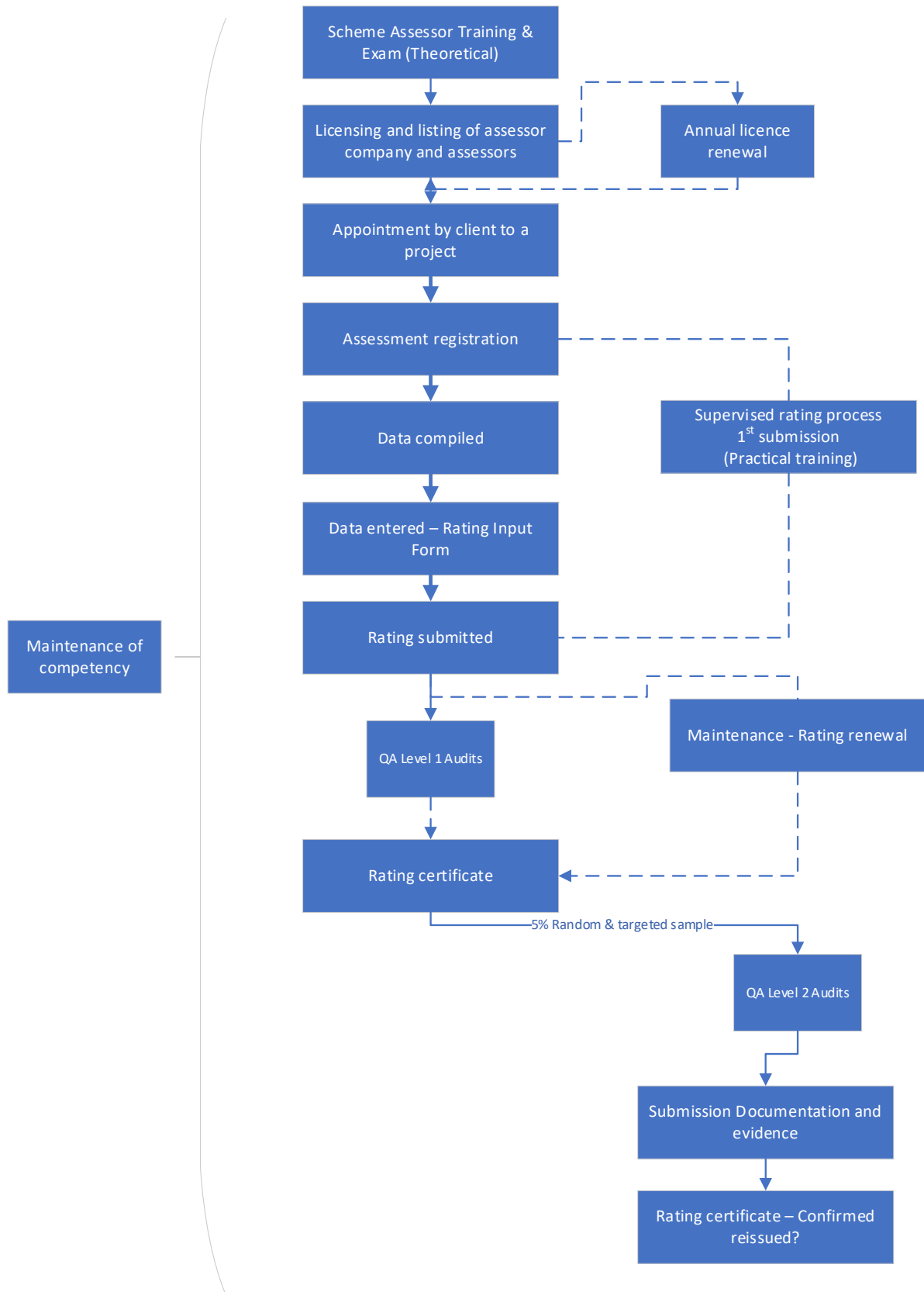
The licence enables a company or sole trader to offer assessment services to clients in accordance with the scope and terms and conditions of the license. Being listed as a licensed Assessor provides users of the scheme (clients) with confidence in the knowledge that they will receive a professional service and quality assured outcome.

The second stage involves the on-going maintenance of competence and quality of assessments undertaken by a licensed Assessor. We assure this through a risk-based auditing process (see section 10).

The auditing process checks ratings prior to certification. If the auditing process finds non-conformities the Assessor shall respond appropriately to correct these. If significant and/or regular non-conformities regarding the competence of an Assessor are found, or professional misconduct has occurred, then BRE Global may suspend or withdraw an Assessor's license.

4.2 The Assessment Process

Figure 1: The assessment process



4.3 Assessment certification

A rating is undertaken by the Assessor on behalf of their licensed organisation (a contract will exist between their client and the licensed Assessor organisation, not directly with the Assessor).

In undertaking a rating, an Assessor collects evidence in order to demonstrate (through reporting) the degree of compliance of a client's asset energy performance, with the requirements defined in The Rules. Once this process is complete the rating is submitted to BRE Global for auditing and a certification decision.

Following successful completion of the auditing process, the rating can be certified. The certificate is produced by BRE Global and issued to the Assessor, who can then pass the certificate on to the client. The certificate confirms to all interested parties that the rating has been completed in accordance with the requirements of the scheme. In most cases, the issuing of the certificate marks the end of the certification process involving BRE Global.

In Energy for Offices the performance levels defined within the scheme and documented on the certificate are rated from 1-6 stars. If the building has under-performed, resulting in a rating of zero stars, a certificate is not issued, however a record is made of the rating by BRE Global.

The remainder of this document outlines the operating procedures to be followed by candidates wishing to become Assessors and for existing licensed Assessors that undertake and submit ratings to BRE Global. The document is separated into sections, covering the stages involved in becoming an Assessor and the rating process.

5 Roles and Responsibilities

5.1 Scheme Administrator

BRE Global is the Scheme Administrator, responsible for the overall management of the NABERS UK scheme, including licensing Assessors, the NABERS UK auditing process, certification and setting and administering Assessor standards of practice and procedures.

BRE Global has the responsibility of ensuring that the NABERS UK rating process is undertaken to the highest possible standard and that the credibility, reliability, and integrity of the NABERS UK scheme is maintained.

The Scheme Administrator is responsible for:

- Training individuals to become NABERS UK Licensed Assessors;
- Assessing individuals' theoretical and practical knowledge of all aspects of the NABERS UK scheme necessary to become and practice as NABERS UK Licensed Assessors;
- Managing and administering the NABERS UK training and assessment processes;
- Monitoring and auditing the quality of work performed by NABERS UK Licensed Assessors;
- Developing training resources for the continuous professional development of NABERS UK Licensed Assessors;
- Issuing performance rating certificates and updating and re-issuing certificates;
- The writing of, and any updates to the Licensed Assessor procedures and NABERS UK documentation;
- Ensuring that information is transferred at the appropriate times and by the appropriate parties;

- Ensure that authorisation and any other checks (e.g. audits) are undertaken in a timely manner so that the customer is not inconvenienced by unnecessary delays;
- ensuring that the required numbers of Audits are undertaken on certified NABERS UK ratings in accordance with the NABERS UK Auditing Policy and Procedure (see section 10);
- appointing Auditors based on their expertise and excellent knowledge of the NABERS UK Scheme and relevant process documents;
- supporting the Auditor by ensuring that the Assessor adheres to the requirements of the NABERS UK Auditing Policy and Procedure and other process documents;
- revising NABERS UK ratings (star ratings) and updating the NABERS UK rating register when the results of an audit show that the original rating was incorrect;
- sanctioning Assessors who have breached the Rules, the NABERS UK Licence Agreement Terms and Conditions, Code of Practice, or other relevant process and procedure documents;
- Ensuring the information is uniform and consistent across all regions; and
- Holding information in a secure manner with due consideration given to the confidentiality of information;

Additional responsibilities are listed in the NABERS UK Code of Practice and the NABERS UK Licence Agreement.

5.2 NABERS UK Supervisors

NABERS UK Supervisors are selected by BRE Global based on their experience of undertaking NABERS UK ratings; their excellent understanding of the NABERS UK scheme, the NABERS UK Rules, and associated processes and procedures.

NABERS UK Supervisors are responsible for providing practical guidance and tuition to NABERS UK Supervisees as part of the training process by providing Supervised Ratings. NABERS UK Supervisors assess NABERS UK Supervisees' competencies, theoretical and practical knowledge, and ability to apply this knowledge to undertake NABERS UK ratings in accordance with NABERS UK Rules for carrying out ratings, the NABERS UK Code of Practice and other contractual procedures. They are responsible for identifying errors in NABERS UK ratings and advising the NABERS UK Supervisees on the correct methodology.

At the end of the supervision process, NABERS UK Supervisors are responsible for reporting the results of their assessment to BRE Global within five working days.

It is the NABERS UK Supervisor's responsibility to ensure they are up to date with any changes to NABERS UK Rules and associated policies and procedures. They will make themselves available within normal business hours to assist NABERS UK Supervisees during the supervised ratings process. They will endeavor to respond to submissions and/or questions raised by NABERS UK Supervisees within three business days. They will have a central role in conflict resolution when a NABERS UK Supervisee appeals the result of the Supervised Rating (refer to section 6.2.4.).

NABERS UK Supervisors are bound by their contract with BRE Global to act in a fair and impartial manner and must not undertake supervisions where a conflict of interest exists (N.B. NABERS UK Supervisors contract differs from the Licence Agreement for NABERS Assessors). NABERS UK Supervisors' conflicts of interests include, but are not limited to the following:

- A NABERS UK Supervisor or their employer is/was undertaking work for, or in a contract with the building owner whose building is subject to the rating supervision.

- A NABERS UK Supervisor or their employer is/was in a contractual arrangement with the NABERS UK Supervisee or the NABERS UK Supervisee's Company subject to the supervision.
- A NABERS UK Supervisor or their employer is/was in competition with the Supervisee (e.g., as Assessor service providers).

Supervisors must declare any potential and/or perceived conflicts of interest to the Scheme Administrator before accepting a supervision. When a conflict of interest exists, the Scheme Administrator will allocate the supervision to another Supervisor.

The input data and results from a supervised rating must be treated confidentially by NABERS UK Supervisors at all stages of the supervision process and may only be discussed with the NABERS UK Supervisee and the Scheme Administrator.

NABERS UK Supervisors must co-operate with the Scheme Administrator throughout the entire supervision process, and if a NABERS UK Supervisee appeals the result of the Supervised Rating.

5.3 NABERS UK Licensed Assessors

Licensed Assessors are individuals employed by a Licensed Company (Licensee) and are listed as a Licensed Assessor on the NABERS UK Licence agreement. The Licensed Company and Licensed Assessors are bound by the terms and conditions of the licence agreement. Licensed Assessors are responsible for:

- Ensuring that their assigned NABERS UK Supervised Rating and NABERS UK rating complies with the relevant NABERS UK Rules and that the assessment is undertaken to the highest possible standard.
- Abiding by the NABERS UK Licence Agreement, the NABERS UK Code of Practice and the NABERS UK Operations Manual when undertaking NABERS UK ratings.
- Co-operating with BRE Global, the NABERS UK Auditor, or the NABERS UK Supervisor when required by the NABERS UK Rules and the scheme's policies and procedures.
- Complying with the NABERS UK brand use guidelines as they relate to the NABERS UK scheme.

BRE Global may require Licensed Assessors to undertake additional theoretical and practical training in order to ensure and maintain a consistently high standard of performance by Licensed Assessors. Any such additional training will be undertaken at the Licensed Assessor's own cost. Licensed Assessors are encouraged to stay abreast of industry developments related to sustainability in the built environment.

Additional responsibilities of Licensed Assessors are listed in the NABERS UK Code of Practice, and the NABERS UK Licence Agreement.

5.4 NABERS UK L2 Auditors

L2 Auditors are selected by BRE Global based on their experience of undertaking NABERS UK ratings; their excellent understanding of the NABERS UK scheme, the NABERS UK Rules, and associated processes and procedures.

L2 Auditors are responsible for auditing submitted ratings, which involves re-rating the premises, using documentation provided by the Assessor who conducted the original rating. From time to time, this can lead to a NABERS rating being revised or withdrawn. Assessors can also receive sanctions for unsatisfactory performance, or guidance and recommendations for improvements, as identified through this process.

Level 2 Audits are conducted on 5% of all NABERS ratings following certification (see section 10.8 for more information). Following their review, the Auditor will report their findings, and the Assessor will

be given a Right of Reply if any contentious issues are raised (see section 10.11.2). BRE Global will complete the final determination of the audit outcome.

6 NABERS UK Assessor Training and Exam

6.1 NABERS UK Assessor Training Process

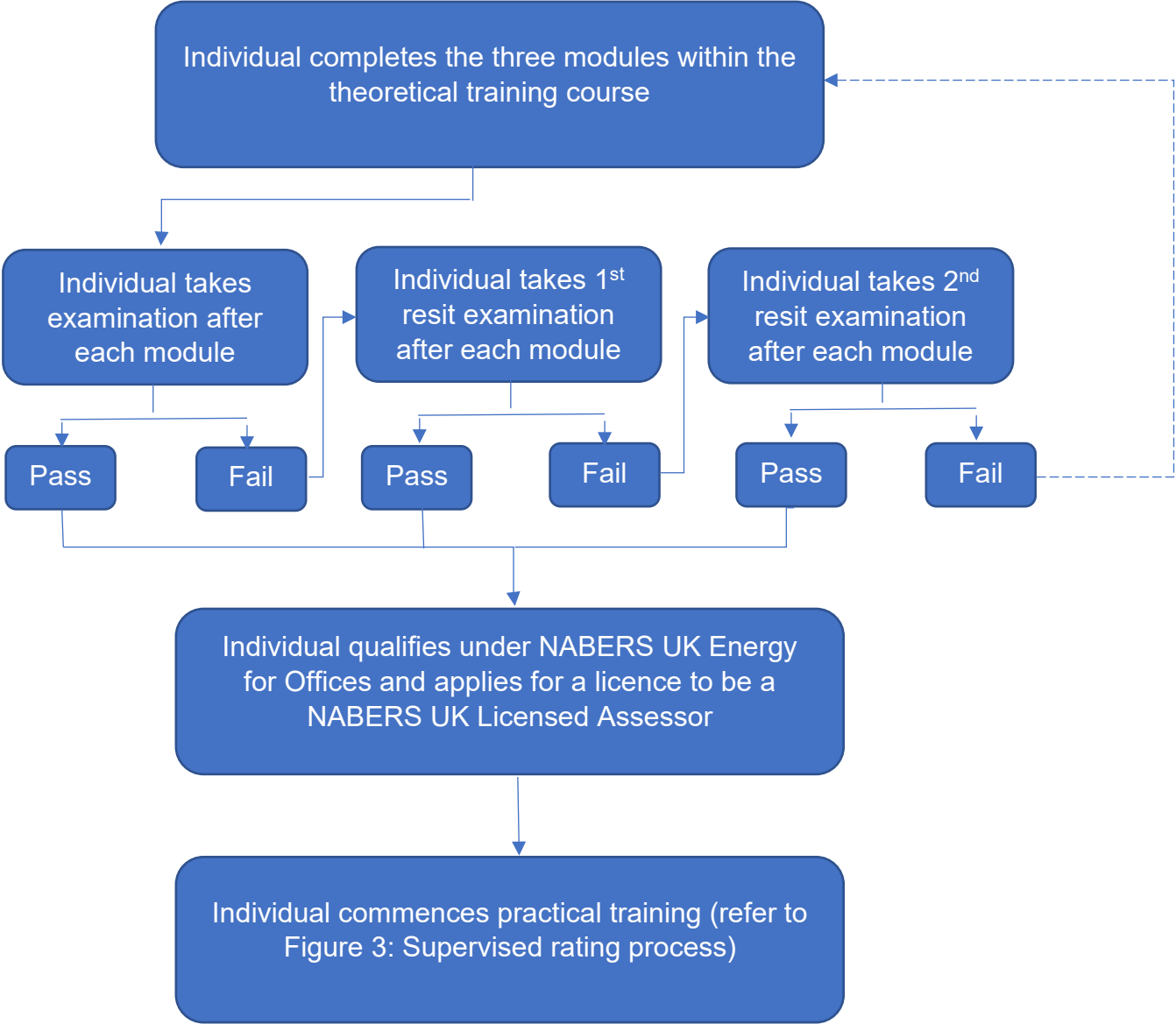
Individuals undergoing licensing to become NABERS UK Licensed Assessors are required to successfully complete theoretical training and enter into a contractual agreement with BRE Global before they can perform ratings. NABERS UK Energy for Offices also includes a practical training requirement whereby ratings are performed under supervision. This is detailed further in section 6.4.

6.2 NABERS UK Theoretical Training

The NABERS UK Energy for Offices Licensed Assessor training course, which includes three modules, provides a detailed overview of the NABERS UK Energy rating tool, the assessment process and overarching principles for NABERS UK ratings. To become licensed as NABERS UK Licensed Assessors, individuals are required to pass three theory exams included within the NABERS UK Energy for Offices training course.

The NABERS UK theoretical training process is illustrated in Figure 2.

Figure 2: Theoretical and practical training process



6.3 NABERS UK Theory Examination

The NABERS UK Assessor training course consists of three modules, each followed by an examination. These theory exams assess an individual's understanding of the NABERS UK Scheme and Rules and the Assessor processes and procedures. The exam also tests an individual's ability to apply this theory to undertake sample NABERS UK ratings when provided with sample data.

The examinations consist of a series of multiple-choice questions with sample data designed to replicate a NABERS UK application.

The exams are undertaken online. Access to the exams will be given to individuals shortly after completing each online training module. Requests to defer undertaking the exam must be made prior to receiving the exam and in writing to nabersuk@bregroup.com for the Scheme Administrator's approval.

Individuals must complete and submit their exams within four weeks of receiving access to the exams unless an extension of time to submit has been granted.

The Scheme Administrator is available to assist individuals with questions about performing a NABERS UK rating and associated processes and procedures but will not assist with exam questions. Individuals should send exam queries to BREAcademy@bregroup.com and allow 3 working days for the Scheme Administrator to respond.

The exam must be completed and submitted by the individual sitting the exam. The Scheme Administrator reserves the right to fail individuals who work together to submit the same work and answers.

Examinations will be marked, and results released to individuals within four weeks of the examination closing date. Marked examinations are not released.

Examinations are regularly updated, and the Scheme Administrator reserves the right to scale examination results to ensure results are within the range of those completed by previous trainees.

6.3.1 Extensions of time to complete examination

On some occasions, sickness, misadventure, or other circumstances beyond an individual's control may prevent them from completing the examination. In this instance, requests for extensions of time to complete the exam will be considered.

Requests for an exam extension must be made in writing prior to the exam due date (to: BREAcademy@bregroup.com) and are approved at the discretion of the Scheme Administrator. In cases of illness a medical certificate must be provided.

Note that simply being busy at work is not an acceptable reason to request an extension. Individuals are expected to allow sufficient time to complete the examination when registering for a training session.

6.3.2 Examination pass mark

Individuals must obtain a mark of 80% or higher to pass the examination. The Scheme Administrator reserves the right to scale examination results to ensure results are within the range of those completed by previous trainees.

6.3.3 Resitting the exam

For each of the three exams, individuals who obtain a mark less than 80% have two more opportunities to re-sit the exam free of charge.

The re-sit exam will be the same that the trainee initially completed, or an extract of that exam as determined by the Scheme Administrator. Individuals must obtain a mark of 80% or higher to pass the re-sit examination. The Scheme Administrator reserves the right to scale examination results.

Trainees who fail the three exam attempts must re-complete the theoretical training at their own cost and pass the subsequent exam, should they wish to pursue Licensing.

A schedule of fees for re-sit examinations and other training charges can be found at www.bre.ac/course/nabers.

6.3.4 Appealing your exam result

An individual can appeal an exam result under the following circumstances:

- The exam was modified by the Scheme Administrator during the examination period. The individual would need to demonstrate that they had been disadvantaged by the changes made, and that these changes had not been given due regard by the Scheme Administrator.
- A clerical error has occurred in the computation of the score. The individual can request a remark of their examination if they believe they can demonstrate that a clerical error has occurred.
- Due regard had not been paid by the Scheme Administrator to evidence of illness or misadventure that had been submitted by the due date. The individual can appeal an examination result if they can demonstrate that the Scheme Administrator has not paid due regard to a request made by the individual before the due date for an extension of time to submit due to illness or misadventure.

Appeals must be made in writing to the Scheme Administrator (email: BREAcademy@bregroup.com) within seven business days of receiving an exam result.

6.4 Practical Training - The Supervised Rating Process

The practical component of NABERS UK training includes the completion of NABERS UK Ratings under supervision and is illustrated in Figure 3.

Upon completion of the theoretical component of training and after taking out a NABERS UK Assessor Licence with BRE Global; NABERS UK Licensed Assessors can conduct their first NABERS Rating. It is important to note that it's the Licensed Assessors responsibility to find their own ratings and their first rating under Energy for Offices will be performed under supervision as a Supervised Rating. The newly Licensed Assessor (the Supervisee) will need to contact BRE Global by emailing nabersuk@bregroup.com to inform them of the commencement of their first NABERS UK rating. BRE Global will then provide the Supervisee with the contact details of an identified available Supervisor to start the Supervised Rating process.

The intention of the Supervised Rating is to provide hands on practical training to support the NABERS UK Supervisees to become competent in undertaking NABERS UK ratings to a sufficiently high standard.

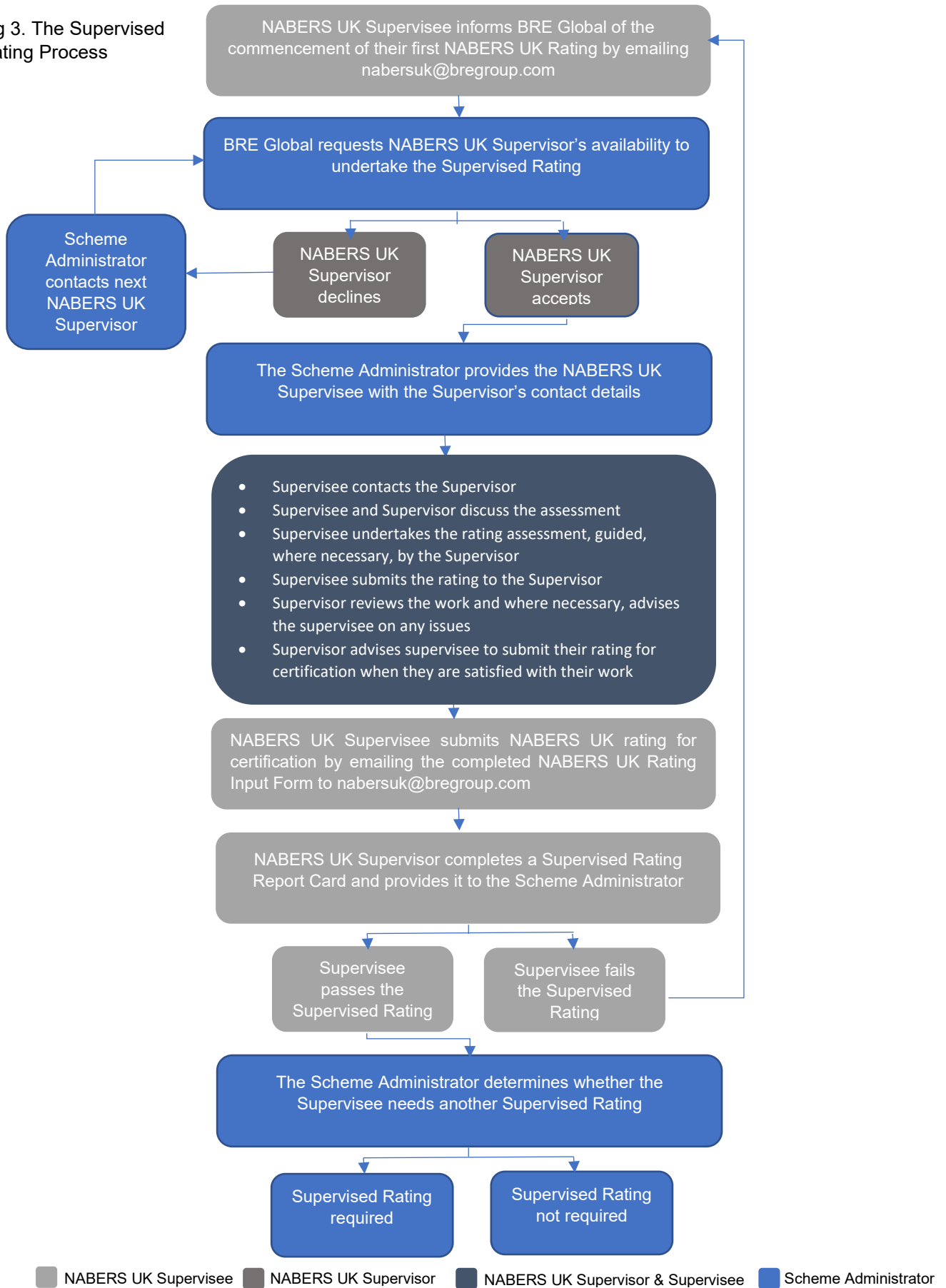
The Supervised Rating process also provides for further learning. For example, the NABERS UK Rating Auditing Procedure allows the Scheme Administrator to require Assessors to undertake additional Supervised Ratings.

To successfully complete the practical training process, NABERS UK Supervisees must complete and pass Supervised Ratings to become fully qualified to submit ratings unsupervised.

The varied nature of buildings means there are different degrees of interpretation and assumptions required to undertake NABERS UK ratings. The purpose of the Supervised Rating is to allow the Supervisee to discuss the NABERS UK rating with the NABERS UK Supervisor, and to seek tuition on the principles used to assess different scenarios or discuss the application of the NABERS UK Rules.

NABERS UK Licensed Assessors may also request additional supervised ratings from the Scheme Administrator at any time at their own cost.

Fig 3. The Supervised Rating Process



NABERS UK Licensed Assessors must enter all the relevant information into the NABERS UK Rating Input Form (i.e. address of the premises to be rated, customer information and rating period). This information is necessary for NABERS UK Supervisors to declare to the Scheme Administrator whether a conflict of interest exists in undertaking the supervision.

The Scheme Administrator is responsible for providing information to the NABERS UK Supervisor on any areas identified throughout the examination results, previous Supervised Ratings, Level 2 Audits, breaches to the NABERS UK Licensed Assessor Code of Conduct etc., on which the NABERS UK Supervisee might require additional training or support. The NABERS UK Supervisor has the task of ensuring that transparency and impartiality are maintained by NABERS UK Supervisees when performing the NABERS UK rating.

6.5 The Role of the NABERS UK Supervisor

The NABERS UK Supervisor will tutor the NABERS UK Supervisee through the NABERS UK rating assessment. It is not necessary for the NABERS UK Supervisor to visit the site that is being rated, as telephone or email contact should be suitable for most situations.

The NABERS UK Supervisee is responsible for undertaking the work to complete the NABERS UK rating, while seeking advice or clarification from the NABERS UK Supervisor to improve their knowledge, understanding and application of the NABERS UK Rules.

Once the NABERS UK Supervisee is confident that they have completed the NABERS UK rating to the best of their ability, completed all information within the NABERS UK Rating Input Form and all supporting information and documentation of decisions made; the NABERS UK rating is sent to the NABERS UK Supervisor. The NABERS UK Supervisor will assess the work completed and then advise the NABERS UK Supervisee of any corrections required to the NABERS UK rating before it can be submitted to BRE Global for certification.

The NABERS UK Supervisor will determine the level of detailed supervision necessary for each NABERS UK Supervisee, but the role should cover as a minimum:

- Providing general help and clarification of any areas of the NABERS UK Rules (including areas that may have been identified by the Scheme Administrator as potential issues through examination results, previous NABERS UK Supervised Ratings or audits).
- Answering questions from the NABERS UK Supervisee with an emphasis on assisting them to determine the correct answer for themselves i.e. it is not the job of the supervisor to do the work, but to enable the supervisee to do the work.
- Asking the NABERS UK Supervisee questions about why they have approached the assessment in a particular way.
- Checking the work for compliance with the NABERS UK Rules.
- Reviewing the data collection and analysis. It may be necessary to occasionally view all or some of the original data provided by the NABERS UK Supervisee to confirm correct interpretations. In most cases sample or spot data checks are sufficient.
- Reviewing the data and information entered on the NABERS UK Rate application to check that all the calculations and data entry have been performed correctly.
- Ensuring impartiality, professionalism and transparency is exercised by the NABERS UK Supervisee in preparing and submitting the NABERS UK rating for certification.

The supervisee may submit the NABERS UK rating to BRE Global for certification when the NABERS UK Supervisor deems the supervision process completed.

6.6 Scoring the NABERS UK Supervisee performance: The Supervised Rating Report Card

The NABERS UK Supervisor will assess the knowledge and skills of the NABERS UK Supervisee in undertaking the NABERS UK assessment. The NABERS UK Supervisor will score the NABERS UK Supervisee as having 'passed' or 'failed' the supervision process via the completion of the NABERS UK Supervised Rating Report Card.

The NABERS UK Supervised Rating Report Card outlines the key criteria that an individual must be competent in when undertaking NABERS UK Ratings. Receiving a 'fail' mark in any of the key criteria will result in failing the supervised rating. The secondary criteria assess the NABERS UK Supervisee's competencies in understanding and applying the particular rules for the NABERS UK rating.

A NABERS UK Rating may still be certified even when a NABERS UK Supervisee receives a 'fail' mark from the NABERS UK Supervisor.

The NABERS UK Supervisor will submit their Report Card to the Scheme Administrator for approval. The Supervisee will be emailed the report card once it has been approved.

6.7 Completing the Supervised Rating Process

NABERS UK Licensed Assessors must successfully complete and pass required Supervised Ratings to be deemed as having successfully completed the Supervised Rating process. Where the NABERS UK Licensed Assessor fails a required Supervised Rating, BRE Global will require them to undergo a further Supervised Rating with another NABERS UK Supervisor at their own cost. Should they then fail this supervision, the NABERS UK Licensed Assessor must pass a third Supervised Rating, to be undertaken at their own cost. NABERS UK Licensed Assessors who fail a third Supervised Rating (for the same rating type) will have their licence suspended and must re-train at their own cost and go through the Training, Examination and Supervised Rating process again should they wish to have their licence reinstated.

A NABERS UK Licensed Assessor who has been required by BRE Global to undertake an additional NABERS UK rating under supervision, for example as a sanction resulting from a NABERS UK Level 2 Audit, must pass the Supervised Rating before being allowed to undertake NABERS UK ratings of any type unsupervised.

6.8 Appealing a Supervised Rating result

A NABERS UK Supervisee may appeal the result from a Supervised Rating where they feel that a fair and consistent technical standard of assessment has not been observed. The appeals process gives the NABERS UK Supervisee the opportunity to attempt a resolution of the matter with the Scheme Administrator.

6.8.1 Submitting an Appeal

The NABERS UK Supervisee must complete an appeal against a NABERS UK Supervised Rating result by emailing NABERS UK at nabersuk@bregroup.com within 10 working days of receiving their Supervised Rating Report Card and submit this to BRE Global. BRE Global will acknowledge receipt of the formal appeal within five working days.

BRE Global will provide the NABERS UK Supervisor an opportunity to submit a response to the Licensed Assessor's appeal within 10 working days of receipt of the NABERS UK Supervisee's appeal. The NABERS UK Supervisor's response must detail the supervision process undertaken and any issues raised through this process.

The information provided to the Scheme Administrator will be kept confidential and will only be made available to the relevant staff.

BRE Global will review the information submitted and assess it against the NABERS UK Rules and will endeavour to resolve the issue within 15 working days from the date of reception of the appeal. The Scheme Administrator will inform the NABERS UK Supervisee of the final decision and the reasons for the decision. A decision by the Scheme Administrator is final.

Where the final decision reveals a failure by the NABERS UK Supervisor to observe a fair and consistent supervision process, BRE Global will take the necessary action to address this.

Where the decision reveals a lack of understanding by the NABERS UK Supervisee in undertaking a NABERS UK rating and/or the Rules, BRE Global may require the NABERS UK Supervisee to undertake a Supervised Rating with another NABERS UK Supervisor at their own cost.

7 Achieving and Maintaining Licensed Assessor Status

7.1 The NABERS UK Licence Agreement

Once an individual has passed their examinations, they can apply to be a Licensed Assessor. A licence entitles the individual listed to offer and undertake Ratings in accordance with the terms and conditions of the licence agreement. Organisations that employ Assessors can apply for a licence or, where they have an existing license, apply to extend or amend it to add or remove Assessors.

The Licence Agreement enables the NABERS UK Licensed Assessor to proceed with undertaking the practical component of their training, being the completion of Supervised Ratings.

Then Licence Agreement requires the NABERS UK Licensed Assessor to abide by the NABERS UK Licensed Assessor Code of Practice and NABERS UK processes and procedures as amended from time to time.

A licence is held for a period of one year and renews on an automatic basis unless the appropriate period of notice is given to BRE Global prior to the renewal date – see TC803 (NABERS UK Licence Agreement) for termination notice period.

NABERS UK Licensed Assessors will be notified by BRE Global when they have successfully passed their practical training requirements.

NABERS UK Licensed Assessors that are directed to undertake practical training as a result of the finding of a NABERS UK Audit will also be informed that no additional training is required when they have successfully completed their practical training.

7.2 Licence application

Companies and individuals wishing to apply for a licence or extend or amend the scope of their existing licence agreement, must do so by completing a licence application and agreeing to the associated terms and conditions. New Assessors will be forwarded instructions on how to apply for a licence following successful completion of the training and examination process.

Companies wishing to add an employee as a NABERS UK Licensed Assessor must carefully review the terms and conditions before signing the licence agreement. In particular, the licensing terms and conditions set requirements relating to specific levels of Employers liability insurance, Public liability insurance and Professional indemnity insurance (see TC803 NABERS UK Licence Agreement) that each Licensed Company must have in place (and they must be able to provide evidence of the necessary level of cover to BRE Global with the licence application).

7.3 Licence confirmation

Upon successful submission and processing of a licence application, the Licensed Company (Licensee) will be notified of their status (or change in status) as a Licensed Company. This notification, known as the Licence Letter will confirm the following information:

- The name and address of the Licensee

- A unique Licensee reference number
- An issue number and date
- Annual renewal date
- A list of NABERS UK Licensed Assessors and individual Assessor references
- Terms and conditions applicable under the licence
- Useful information required to support the Licensee.

7.4 Badge of recognition for licensed Assessors and licensed Assessor companies

Once an individual and organisation's licensed Assessor status is confirmed, both will be able to use the badge of recognition and NABERS UK logo as directed in the publication PN370 NABERS UK Assessor Brand Guidelines.

Copies of the NABERS UK badge of recognition, as seen below in Figure 4. and relevant NABERS Logos are available to newly licensed Assessors.

Figure 4: NABERS UK badge of recognition



7.5 Public listing of licensed Assessors and organisations

The details of the licensed company and the Assessors they employ will be listed on the publicly accessible Green Book Live website www.greenbooklive.com. Only BRE Global licensed Assessors and Assessor organisations, and therefore those listed on Green Book Live, can market and sell their services as Assessors and register and submit ratings for certification by BRE Global.

7.6 Maintenance of licensed status

The license, and therefore the status of Assessors listed on the licence agreement, is maintained through annual renewal, and the following:

- The payment of fees
- Meeting the terms and conditions of the licence agreement
- Demonstrating that each Assessor listed on the licence letter maintain their competence for the scheme licence

BRE Global issues renewal reminders prior to the renewal date informing the licensed company of annual licence fees due.

The **licence automatically renews** and an **invoice is raised unless** we receive a **termination notice** (see [TC803 NABERS UK Licence Agreement](#) for termination notice period) prior to the renewal date.

Assessors that have let their licence lapse for more than 24 months and wish to regain their licence must undertake the NABERS UK Assessor course at full price and successfully complete all exams and supervisions associated with their Licence.

Licensed Assessors who are not actively performing ratings (namely those who have not had a rating certified within the past 24 months), may be required to complete a refresher module (where one is available) in order to maintain their licence for a specific rating tool.

Assessor organisations that cannot demonstrate they meet the terms of the licence shall be contacted by BRE Global and, depending on the severity of non-compliance may have their licence suspended or withdrawn.

BRE Global may also immediately suspend or terminate any licence granted due to unsatisfactory performance, unsatisfactory results in meeting requirements of re-examination, or breach or nonconformity with any part of the licence agreement or the terms and conditions for licensing (see TC803).

8 Starting the Rating Process

8.1 Appointment of an Assessor

Clients wishing to have a rating on an existing asset certified must appoint an appropriately licensed Assessor. Clients can use Green Book Live to verify that an individual is a NABERS UK Energy for Offices licensed Assessor. It may be prudent to source multiple quotes from different Assessors to ensure full understanding of the scope of work, costs and time (site hours and consulting hours) involved before contracting the Assessor to provide the services. The contract between client and licensed Assessor is outside of the contractual relationship between BRE Global and Licensee and therefore costs for services will be above the fees detailed in the Fee Sheet.

8.2 Client involvement

The client may have a more involved role in the pre-rating process, prior to the appointment of an Assessor. The client's responsibilities can include:

- Co-ordinating the gathering of evidence for the rating seeking verification
- Appointing an Assessor to verify the rating for certification

8.3 Rating Renewal Procedure

NABERS UK Energy for Offices is a performance-based rating system for existing buildings which rates a building on the basis of its measured operational impacts on the environment.

Building technologies are always improving and performance standards should also improve to match. Over time the performance bands or methods of assessment may change. For these reasons the licensed rating for a building has a validity period of 12 months.

Licensed Assessors have a certain degree of autonomy. They have responsibility over and manage their own customers. As such the Licensed Assessor has responsibility for managing the renewal process for their customer's buildings.

8.4 Renewal of Rating Certificates

The rating certificate is an official document of BRE Global, who has responsibility for the correct issue, use and renewal of certificates. However, the Licensed Assessor is responsible for the end customer and therefore for customer care.

8.4.1.1 Notification to the customer

Licensed Assessors manage their own customer base.

It is recommended that all Assessors maintain a database of their own customers with ratings that includes the date of the original rating.

A Licensed Assessor can indicate either the customer, or the Licensed Assessor or both, to receive an automatic notification that a rating is about to expire one month before the date of expiry. It is the Licensed Assessors' responsibility to contact their customers and remind them to renew their certificate and outline the benefits of having a licensed rating. The Assessor should then seek an agreement with the customer to re-assess the building and issue a new certificate, so a valid rating for their customer is maintained.

9 Undertaking a Rating

The Assessor carries out the rating by following the process and procedures below:

- NABERS UK Licensed Assessors have access to the online platform, BREEAM Projects (found at <https://tools.breeam.com/projects/>), to register the NABERS UK Energy for Offices assessments.
- To register an assessment, the licensed Assessor must complete the online registration form supplying all the requested information about the project. Assessors are advised to check carefully to ensure they enter the correct details on the registration form. At this point the Assessor will be required to make payment of the NABERS UK Energy Certificate Registration fee. Payment of the registration fee can be made online using a credit/debit card or invoiced to the Licensed Company (Licensee). Details of fees can be found here: <https://www.bregroup.com/nabers-uk/nabers-uk-pricing/>
- Following successful completion of the registration the licensed Assessor will be sent confirmation of registration and a unique registration number.
- The Assessor collects 12 months of data to for the rating period. This can be done prior to or post registration.
- Before a rating is submitted, the Assessor carries out a site visit to assess the building and gathers evidence provided by the relevant parties (see section 9.2), to help determine compliance in accordance with The Rules.
- The Assessor uses the collected data to complete the NABERS UK Rating Input Form, found within the NABERS UK folder on BREEAM Projects. A rating is then generated based on the data provided.
- The next step is for the Assessor to gain authorisation of the rating from the customer. The Assessor does this by taking a screenshot of the "Rating Results" and the "Certificate Information" tabs and emailing both images to the customer (also copying in the Scheme Administrator: (NABERSUK@bregroup.com), requesting authorisation to submit the rating. This also allows the customer to check that certificate information is correct.
- Once the customer has responded by email to both the Scheme Administrator and the Assessor to confirm their authorisation of the rating, the Assessor is then able to put "Yes" and the date in the "Customer Authorisation received" box. The final step is for the Assessor to email the completed form to the Scheme Administrator at NABERSUK@bregroup.com.

Following submission of the completed Rating Input Form, BRE Global conduct audits to validate the rating. A **Level 1 (L1) Audit** is conducted by BRE Global on all ratings (see section 10.3 for more information). The L1 Audit is undertaken by BRE Global Staff to ensure that an Assessor has correctly completed the NABERS UK Rating Input Form, has made no apparent errors in data entry, and has correctly applied the Rules to the data entered. It can take up to 10 days for BRE Global to process the rating submission and award the certificate.

After certification, a **Level 2 (L2) Audit** is conducted by an L2 Auditor on 5% of all certified ratings (see section 10.3 for more information). The Assessor is informed by BRE Global and is required to send supporting documentation to BRE Global within 10 working days of the Auditor receiving the audit. Following their review, the Auditor will report their findings, and the Assessor will be given a Right of Reply if any contentious issues are raised. BRE Global will complete the final determination of the audit outcome. From time to time, this can lead to a NABERS rating being revised or withdrawn. Assessors can also receive sanctions for unsatisfactory performance, or guidance and recommendations for improvements, as identified through this process (see section 10.11.2 for more information).

9.1 The Validity Period

The Assessor has between 1 and 120 days after a **rating period** to collect and submit the data to BRE Global to ensure maximum validity up to 12 months of the NABERS certification.

The **validity period** of a NABERS UK Energy for Offices rating can extend up to 1 year after the end of the 120 days, and therefore cannot exceed 485 days after the end of the rating period.

Data should be submitted no later than 120 days after the end of the rating period. A late submission will incur a penalty in the form of reduced validity. The consequence for late submission is the certification will end 12 months from the end of the rating period, rather than the certification date, resulting in receiving a shorter validity period.

To ensure full and continuous certificate validity, the Assessor must submit a new rating to NABERSUK@bregroup.com within 120 days of expiry of the existing certification.

An existing rating may be replaced and superseded by a new rating, which often happens when the new rating is better. This could result in a loss of validity period. If a new replacement rating is required, then the Assessor can email the request to NABERSUK@bregroup.com, along with a completed NABERS UK Rating Input form containing the new data and rating.

For more information on rating and validity period, please refer to Appendix B of the [Rules for Energy for Offices](#).

9.2 Assessment evidence principles

The licensed Assessor is responsible for determining compliance or otherwise with The Rules (Energy for Offices, and Metering and Consumption). The Assessor determines compliance using the evidence sourced by or supplied to them by the relevant parties.

The client is responsible for ensuring that the relevant parties, e.g. consultants, building/asset owner, etc. supply the information to the Assessor at the appropriate time. Typically, upon appointing a licensed Assessor the client will ask them to co-ordinate the gathering of evidence from the various parties.

Assessors rely on information and evidence that are both provided to them by third parties and also collected by the Assessor during site visits. It is the Licensee and the Assessor's responsibility for documenting and maintaining a record of this information and ensuring that it is correctly interpreted against The Rules. The Assessor is therefore responsible for the correctness and completeness of all information relied upon and referenced in an assessment for the purpose of demonstrating compliance.

In the absence of appropriate coordination by the Assessor and the timely provision of adequate information from the relevant parties, the assessment will take longer to complete. BRE Global

strongly advises that Assessors, their clients and the facilities manager work closely together to ensure all evidence required is in place prior to submitting the rating to the scheme administrator for any auditing and certification decision.

It is the Licensee's responsibility to ensure that the Licensee will still have access to the rating data in the case that the Licensed Assessor is no longer employed with their company, to ensure the audit processes and procedures are not compromised in such a situation.

BRE Global will not be able to make a positive certification decision where evidence is missing or lacking clarity of compliance for the rating claimed.

10 Auditing Policy and Procedure

To ensure the integrity of the NABERS UK Scheme, identify any gaps in Assessor technical knowledge, and provide an auditing measure, BRE Global has established a NABERS UK Auditing Scheme, which is underpinned by the auditing policy and procedure detailed in this section.

This section sets out the NABERS UK Auditing Policy. It is intended to enable all parties to a NABERS UK rating – NABERS UK Licensed Assessors, Auditors, Building Owners and others – to understand the goals and objectives of the NABERS UK Auditing Scheme. The following section, Auditing Procedure, sets out the steps, rights and responsibilities of the parties to a rating, and the potential outcomes of the audit process.

10.1 NABERS UK values

The NABERS UK Scheme is committed to the values of integrity, quality, public service, leadership and collaboration. BRE Global works closely with NABERS UK Trainers, Supervisors, Auditors and Licensed Assessors to deliver excellent services and a relevant, reliable, practical measure of building performance that supports a more sustainable built environment. This means driving improvements in Licensed Assessor technical knowledge by continually improving the training and Licensing processes and providing ongoing support for the professional development of Licensed Assessors.

10.2 Why audit?

NABERS UK provides a trusted, reliable metric of the actual environmental performance of a given building by comparing it to the average performance of buildings of the same type. Fundamental to maintaining this reliability is ensuring that the NABERS UK Rules for Collecting and Using Data and the associated Rulings, processes and procedures are correctly and consistently applied to all buildings that achieve a NABERS UK rating. The integrity of the NABERS UK Scheme relies on building ratings being a true reflection of their environmental performance. The information provided in NABERS UK ratings must be correct, and the market must be able to trust that the information is reliable. Mandatory audits of NABERS UK ratings for quality and accuracy play an important role in this process.

10.3 What does auditing achieve?

The NABERS UK Scheme routinely undertakes two levels of audit.

A **Level 1 Audit** is conducted on 100% of NABERS UK rating applications and takes 10 working days to process. It is an auditing process undertaken by BRE Global Staff to ensure that an Assessor has correctly completed the NABERS UK Rating Input Form, has made no apparent errors in data entry, and has correctly applied the Rules to the data entered.

A **Level 2 Audit** is conducted on 5% of NABERS UK ratings by NABERS UK auditors working with BRE Global. The Level 2 Audit is an auditing peer review process that ensures the correct rating result has been determined and assesses the performance of the NABERS UK Assessor based on their understanding, interpretation and application of The Rules. This process strengthens the NABERS UK Scheme and the reputation of NABERS UK Licensed Assessors by:

- Providing auditing to ensure that building owners, operators, buyers and lessees can be confident of the accuracy of information provided in a NABERS UK rating;
- Identifying common or recurrent errors so that Assessor guidance and training can be improved;
- Recognising and supporting the maintenance of high standards amongst Assessors through sanctions that promote continuous improvement including retraining;
- Ensuring that rating results are not affected by a conflict of interest; and
- Ensuring the accuracy of rating records, including the records of associated schemes.

10.4 Who manages the auditing process?

BRE Global manages the auditing process, the validity of NABERS UK ratings, the maintenance of the NABERS UK rating register, and the Licensing of NABERS UK Assessors. It also manages the process of applying sanctions to NABERS UK Assessors who have not properly conducted a NABERS UK rating, as determined by the Level 2 Audit.

10.5 L1 Auditing process

On submission of the rating input form to BRE Global, an L1 Audit is conducted by BRE Global on all ratings. The NABERS UK Rating Input Form is checked to ensure that an Assessor has completed it correctly i.e. has made no apparent errors in data entry and has correctly applied the Rules to data entered.

BRE Global will check the validity of the licence for the Assessor and the Licensed Company and will review previous audit records (L1 and L2) to determine whether sanctions from previous audits need to be applied and ensure no previous sanctions or suspensions are in place.

If anything is raised as being incorrect or missing during the L1 Audit, BRE Global will contact the Assessor for clarification or further information.

10.6 How does L2 auditing work?

The NABERS UK L2 Auditing process works by:

- Having NABERS UK Auditors completely reconstruct a sufficient number of NABERS UK ratings to enable the Scheme Administrator to identify any areas where the NABERS UK Rules, Rulings, processes and procedures are being consistently misapplied, misunderstood, or overlooked;
- Examining the causes and impacts of errors found to enable improvements to be made to the NABERS UK training materials, NABERS UK Rules, Rulings, processes and procedures, and communication platforms;
- Ensuring that Assessors who are found to have an insufficient, poor or incorrect knowledge of the NABERS UK Rules, Rulings, processes and procedures are made aware of their errors and are retrained where necessary; and
- Ensuring that Assessors who are relying on insufficient or non-existent documentation in their ratings, rating buildings that are not legitimately able to be rated or, in extreme cases, are deliberately falsifying ratings, are held to account.

10.7 L2 Auditing policy principles

This auditing policy is underpinned by seven key principles to assure the quality and reliability of NABERS UK ratings and the NABERS UK Scheme:

1. Allocate audits in a fair and consistent manner

BRE Global will select 5% of certified NABERS UK ratings for audit at random, with a small portion selected on the basis of risk mitigation or as a sanction for poor performance in a previous audit. Risk is defined by a number of factors including but not limited to:

- Any circumstance in which a potential conflict of interest held by the Assessor in relation to a NABERS UK rating has not been declared;
- Collaboration with the Scheme Administrator; and
- The identification of errors or potential errors as part of BRE Global's rating certification processes (Level 1 Audits).

2. Maintain the integrity of BRE Global

Audited ratings will include 5% of the ratings undertaken in compliance with NABERS UK Scheme and the audit results will be provided to the BRE Global.

3. Support continuous improvement in NABERS UK Assessor skills and knowledge

Sanctions will be directed to the improvement of Assessor skills and knowledge and recurrent issues identified in audits will be incorporated into the NABERS UK training and other scheme support for Assessors.

4. Ensure auditing is effective peer review

Auditing is a process of independent verification of a submitted rating. L2 Auditors have experience of working as a NABERS UK Licensed Assessor and can demonstrate superior understanding of technical and commercial issues related to NABERS UK.

5. Ensure the accuracy of NABERS UK star ratings

Where an audit reveals that a NABERS UK rating is incorrect, a new rating will be created and a new rating certificate will be issued directly to the customer, along with a short explanation of the NABERS UK Auditing Policy.

6. Ensure that Licensed Assessors operate with integrity

Where an audit reveals that a rating was miscalculated, the Assessor's NABERS UK Licence will be revoked.

7. Ensure fair and consistent outcomes

BRE Global is responsible for ensuring that audit results and any associated sanctions are determined in a fair and consistent manner. Auditors provide their findings to BRE Global, who

determines the result and sanctions to be applied (if applicable) based on pre-established criteria. Assessors are always given a right of response before the final audit result is confirmed and sanctions are applied.

10.8 The NABERS UK L2 Audit Process

If an assessment is selected for an or L2 audit, BRE Global will inform the Assessor of the latest date by which you can expect audit feedback, including the outcome of the audit i.e., whether a resubmission is required (or not as the case may be).

NABERS UK Assessors may be the subject to more than one Level 2 Audit simultaneously. In such cases BRE Global may exercise some flexibility (where applicable and within reason) regarding timeframes for the provision of documentation and responses to Auditor's findings as stipulated in this section.

The Scheme Administrator will treat each case of concurrent audits individually and make the appropriate decisions on a case-by-case basis.

10.8.1 Assigning an L2 Auditor

BRE Global will assign the most appropriate Auditor to perform a given audit according to the:

- capacity of Auditors to undertake the audit at the time of selection;
- relevant skills and expertise of Auditors;
- prior allocation of audits between Auditors; and
- potential for any conflict of interest to arise.

Where possible, the Scheme Administrator will endeavour to allocate different Auditors for Assessors who are the subject of multiple audits.

When allocating an audit, the Scheme Administrator will provide the Auditor with all of the information provided by the Assessor when the rating was submitted including but not limited to:

- the name of the Assessor and the Assessor's client;
- all the data and information entered into the NABERS UK Rating Input Form
- evidence submitted for the assessment
- details of the conflict of interest declaration made by the Assessor;
- all details of any errors or issues found by the Level 1 Auditor at the time the rating was submitted;
- details of any voluntary notification of errors in the rating identified by the Assessor prior to the commencement of the audit, and
- any other details the Scheme Administrator deems necessary to ensure the Auditor is able to make an informed decision about whether or not to undertake the audit.

Auditors may decline to undertake an allocated audit. This is most likely to occur in circumstances where a conflict of interest exists but might occur in other circumstances. Where an Auditor declines an audit, a different Auditor will be allocated to undertake the audit.

NABERS UK Assessors may request the Scheme Administrator to allocate a different Auditor where a conflict of interest exists. The Scheme Administrator will endeavour to accommodate for such request where reasonable and justified and will make those decisions on a case-by-case basis.

10.8.2 Conflicts of interest

BRE Global is responsible for ensuring that conflicts of interest do not impact upon the impartiality of NABERS UK ratings throughout the auditing stage. This means ensuring that Auditors and Assessors have no conflict of interest in performing their work. This would require auditors to make an independent assessment of an assessor's conflict of interest declaration as part of their audit.

For the Auditor, where a clear conflict of interest exists or could reasonably be perceived to exist, it is incumbent upon the Auditor to declare this conflict and decline the audit. Where a potential or perceived conflict of interest exists and BRE Global considers that the conflict of interest cannot be managed appropriately, another Auditor will be assigned to undertake the audit. If a conflict of interest becomes apparent after an audit has commenced, Auditors must cease auditing immediately and notify BRE Global as early in the audit process as possible. BRE Global will then assess the conflict and determine whether the Auditor can continue the audit or if the audit should be reassigned to another Auditor.

For the Assessor, a conflict of interest does not preclude them from being able to rate a building, however the Assessor must declare the details in the 'conflict of interest declaration' in the 'Info + premises' tab within the NABERS UK Rating Input form.

As part of determining whether the Assessor has properly applied the Rules, Rulings, processes and procedures, BRE Global must consider whether the error may have been the result of, or influenced by, a conflict of interest. This includes consideration of the advice of the Auditor, the response provided by the Assessor and any other information that the BRE Global considers relevant.

Where a conflict of interest or potential conflict of interest is found, BRE Global must consider the nature of the relationship that gave rise to it, and whether it has influenced the NABERS UK Assessor's rating. If the Scheme Administrator concludes that a conflict of interest did arise and that it may have influenced the Assessor's judgement, this will be considered when determining the appropriateness of any sanction to be applied.

10.8.2.1 *What is a conflict of interest?*

A conflict of interest occurs where there are circumstances which mean that:

- The NABERS UK Assessor, or a person assisting the Assessor in the assessment, is not capable of exercising objective and impartial judgement when conducting the NABERS UK rating; or
- A reasonable person, with full knowledge of all relevant facts and circumstances, would conclude that there is a real risk that the NABERS UK Assessor or a person assisting would not be capable of exercising objective and impartial judgment when conducting the NABERS UK rating.
- Circumstances which may cause a conflict of interest to arise, or could be perceived by a reasonable person as creating a real risk that it could arise, include:
- Where the NABERS UK Assessor or a person assisting has, or had, a personal or professional relationship with an entity or employee connected with the ownership, management, sale or lease of the building, such as a contractual relationship for the provision of advice or services related to energy efficiency; and;
- Where the NABERS UK Assessor's current employer has, or had, a professional relationship with the building owner, lessor, sub-lessor, agent or manager whose building is being assessed.

There are many other circumstances in which a conflict of interest can arise and these examples are not intended to be exclusive.

10.9 Appointment of Auditors

NABERS UK Auditors must have an excellent understanding of the NABERS UK Rules for Collecting and Using Data, Rulings, the NABERS UK Licensed Assessor Code of Practice, the NABERS UK Rating Auditing Policy, NABERS UK Rating Auditing Procedure, the NABERS UK Guideline for Ruling Requests and Technical Advice, and other relevant process and procedures. They also need to be very familiar with any superseded version of the Rules.

NABERS UK Auditors are appointed through a competitive tender process. The criteria for appointment include:

- Submission of at least 5 ratings, and demonstration of a good level of competence.
- Superior understanding of the technical issues relating to NABERS UK;
- Sound knowledge of the NABERS UK Rules, Rulings, processes and procedures; and
- Previous experience in auditing, peer review processes or similar.

10.10 NABERS UK Rules, Rulings, processes and procedures

The NABERS UK Rules, Rulings, processes and procedures refer to the key documents that underpin and govern the NABERS UK Scheme, which include but are not limited to the:

- published NABERS UK Rulings (Rulings); see www.bregroup.com/nabers-uk/nabers-uk-publications/.
- technical advice provided by the Scheme Administrator;
- NABERS UK Licence Agreement (Contract with the Licensee);
- NABERS UK Licensed Assessor Code of Practice;
- NABERS UK Auditing Policy and Procedure (within this manual); and
- NABERS UK Operations Manual (this manual).

Ideally an Auditor should be able to complete the audit by applying the Rules, Rulings, process and procedures to the documentation provided by the Assessor in the first instance; i.e. the records and notes provided should be of such a standard that the Auditor is able to repeat the rating from only the documents provided.

It may become apparent during the audit process that additional information is required to enable the audit to be completed. In this case, the Auditor or the Scheme Administrator will contact the NABERS UK Assessor and request that this information be provided electronically within five working days. In cases where the Scheme Administrator considers that an Assessor may have previously supplied incomplete information, this timeframe may be reduced.

If a NABERS UK Assessor is unable to meet this timeframe he or she must notify BRE Global as soon as possible to arrange a time extension.

Applications for an extension should be sent to nabersuk@bregroup.com and detail the:

- information that cannot be supplied in the required timeframe;
- reason for the delay; and
- proposed date by which the information can be supplied.

The Scheme Administrator reserves the right to deny a time extension request. If the requested information is not supplied within the required time frames and no extension of time has been granted,

the Assessor will be prevented from processing further NABERS UK ratings until the audit is complete.

10.10.1 Acceptable information format

Documentation may be emailed to the Auditor, shared through file hosting services, or submitted through a BRE online system. NABERS UK Auditors will indicate to Assessors their preferred method to receive documentation at the time of the audit allocation.

10.10.2 Non-supply of information

The NABERS UK Rules require that all records on which a NABERS UK rating is based be kept by Assessors for seven years, and that these records be kept to a sufficient standard to enable an Auditor to accurately repeat the rating using only the documents provided.

If the information required for the audit is not able to be provided by the Assessor, it will be considered a breach of the conditions of Licensing or a failure to follow the NABERS UK Rules, Rulings, processes or procedures. Where sufficient documentation cannot be provided to support conclusions reached in the rating application, it will be assumed that the rating was incorrectly calculated.

In order to obtain missing documentation, the Scheme Administrator may require the Assessor to return to site or source that information from the client during the Right of Response period.

Where the missing documentation cannot be obtained resulting in the impossibility to determine the correct rating, or if the resulting error is too large for the re-rating to be completed, the building may be decertified.

Failure to obtain and/or retain sufficient documentation to justify the inputs and assumptions used in the rating before submitting a rating for certification is a breach of the Rules. These instances will be taken into consideration by the Auditor and the Scheme Administrator when determining the appropriate sanction to Assessors.

10.10.3 Voluntary notification of an error

Where an Assessor becomes aware that they have made an error as part of a NABERS UK rating they are encouraged to notify BRE Global. Notifications may be made at any time, including during the initial phase of the audit process.

Voluntary notification of errors will be treated as an error identified as part of the audit. They will be subject to the same investigation and response processes, with the voluntary notification taken into consideration during the process of reviewing the audit findings. The voluntary and proactive nature of the disclosure will be taken into account by BRE Global when determining the appropriate sanction to be imposed.

10.11 L2 Audit Results

10.11.1 Auditor's findings

The NABERS UK L2 Auditor will perform the audit by checking that the NABERS UK Assessor's documentation and calculations satisfy the Rules, Rulings, processes and procedures that were current at the time the rating was performed.

The Auditor has the following fundamental objectives when conducting and reporting an audit:

1. Ensure that the NABERS UK rating was correctly calculated and provides an accurate representation of the environmental performance of the rated premises; and
2. Identify the level of competency and capacity of the NABERS UK Assessor who undertook the rating.

The audit findings will clearly identify any part of the calculation of the original rating that deviated from the NABERS UK Rules, Rulings, processes or procedures and will provide a finding as to whether an error or breach of the Rules has occurred. The possible findings are:

- None or minor errors identified.
The Auditor identifies none or only minor errors in the entry of data and/or the application of the NABERS UK Rules, Rulings, processes or procedures; and confirms the Assessor's excellent understanding, interpretation and application of the Rules. No rating change takes place under this scenario.
- Moderate errors identified
The Auditor identifies moderate errors in the entry of data and/or the application of the NABERS UK Rules, Rulings, processes or procedures; and confirms the Assessor's satisfactory understanding, interpretation and application of the Rules. The errors may or may not have caused the NABERS UK star rating to have changed.
- Significant errors identified
The Auditor identifies significant errors in the entry of data and/or the application of the NABERS UK Rules, Rulings, processes or procedures. The Auditor also determines the Assessor's poor understanding, interpretation and application of the Rules; as well as lack of thoroughness, attention to detail and diligence when completing the rating. The significant errors may or may not have caused the NABERS UK star rating to have changed. When applicable in this scenario, a rating change takes place.
- Major and critical behavioural issues
The Auditor identifies major and/or critical behavioural issues from the Assessor that go against the intent and spirit of the Rules, and the NABERS UK Scheme as a whole such as:
 - An intentional failure from the Assessor to declare a conflict of interest;
 - Intentional data entry errors or misapplication of the Rules by the Assessor in order to benefit the rating; and
 - Assessor acting in a dishonest manner by providing false documentation, or deliberately misleading a party in order to benefit the rating.There may or may not be a rating change under this scenario.
- Other issues identified
The Auditor has not identified errors in the application of the NABERS UK Rules, Rulings, processes or procedures, but has identified other issues with how the rating was conducted. Those issues include but are not limited to:
 - Provision of documentation that complicates the recreation of the rating; and
 - Assessor expressing confusion about the way a particular section of the Rules should be applied.

The Auditor will record these findings and submit them to BRE Global, who will review them together with other information and advice to determine the final audit result and any applicable sanctions. The Auditor's findings alone do not determine the final audit result.

BRE Global will review the Auditor's findings to ensure that the:

- Audit has taken place as required and in accordance with any directions issued by the Scheme Administrator;
- relevant methods and standards of assessment were applied by the Auditor;

- findings of the audit are clear, comprehensible and well justified; and
- Auditor has provided clear advice as to how and where the NABERS UK Assessor has breached the NABERS UK Rules, Rulings, processes and procedures.

10.11.2 Assessor's Right of Response

Assessors will be notified of the Auditor's findings in writing, and are entitled to provide a formal response where moderate or significant errors are identified as part of the audit. The notification of the findings of the audit and the Assessor's response(s) will be provided in writing, in order to minimise the risk of transcription error or misunderstanding.

The content of a response is a matter for the Assessor. Responses may defend the NABERS UK Rules, Rulings, processes and procedures applied in the assessment, provide additional evidence supporting the conclusions of their assessment or accept that an error occurred. Where an Assessor accepts that an error was made, they are encouraged to identify activities they propose to undertake to prevent the reoccurrence of the error in future.

The initial response must be provided to BRE Global within 10 working days of notification. If an Assessor cannot respond within this time period, they should contact BRE Global as soon as possible. Extensions may be granted at the discretion of the Scheme Administrator. After receiving the Assessor's right of response, BRE Global will either make a final determination, or seek additional responses from the Assessor. Additional responses (where applicable) must be provided within five working days of each request. In some cases, BRE Global may reduce or extend that timeframe. When a final determination is made BRE Global will endeavour to provide a final audit result within four weeks.

Where no response is received within the time period allowed, it will be assumed that the Assessor has waived their right of response.

10.11.2.1 Impossibility of an Assessor to collaborate with an Audit

There may be situations where an Assessor will not be in the position to contribute to the completion of an Audit. This could happen for several reasons and at any stage within the Audit process. The Licensee will be responsible for providing records and evidence to complete the audit and if available, can provide another Assessor within the Licensed Company to continue the process. BRE Global will assess these circumstances on a case-by-case basis and will conclude an audit in absentia when it is determined that the Assessor will not be able to collaborate to finalise an Audit.

10.11.2.2 Scheme Administrator's determination

BRE Global will review the Auditor's findings along with any advice and information provided by the Assessor during the right of response stage; as well as any other information considered relevant to determine whether the NABERS UK Assessor has correctly and diligently calculated the original rating.

Where BRE Global does not confirm the Auditor's findings or considers there is insufficient information available to reach a conclusion, they may commission additional investigation as considered appropriate in the circumstances or reach an alternative conclusion. Further investigation may include, but is not limited to:

- requesting additional data or information from relevant parties;
- sending the Assessor or Auditor on site;
- seek advice from additional Auditors; and
- re-performing the audit.

The final determination of a NABERS UK Audit and applicable sanctions by BRE Global is final.

None or minor errors identified

Where BRE Global agrees that none or minor errors existed in data entry and/or the application of the NABERS UK Rules, Rulings processes or procedures; the audit will be finalised and a notification will be sent to the Assessor.

Moderate or significant errors identified

Where BRE Global agrees that moderate or significant errors existed in data entry and/or the application of the NABERS UK Rules, Rulings, processes or procedures; the Assessor will be provided with an opportunity to respond to the findings of the Auditor (Right of Response).

After the Right of Response process is complete, BRE Global will review all relevant evidence to make a final determination about whether the Assessor made moderate or significant errors in conducting the rating. Relevant evidence includes, but is not limited to:

- The NABERS UK Rules, Rulings, processes and procedures in force at the time of the assessment;
- The results of the audit and any additional information or opinion provided by the Auditor;
- Any advice obtained from additional NABERS UK Auditors (where/if applicable);
- Any opinion or advice on the potential errors provided by the NABERS UK Team;
- Any right of response submission(s) provided by the Assessor;
- The results of any additional investigation; and
- Any other information which the Scheme Administrator considers relevant.

Where BRE Global determines that there has been a moderate to significant failure to properly apply the NABERS UK Rules, Rulings, processes or procedures, it must decide whether:

- the error(s) was/were or may have been caused or influenced by a conflict of interest;
- the NABERS UK rating subject of the audit becomes invalid as a result of the audit findings; and/or
- the Assessor should be subject to any sanction (as prescribed in this section).

Once these matters have been determined, the Assessor and the rating customer (where applicable) will be notified of the outcome of the audit, whether the rating is invalid and whether any sanction has been imposed.

Major and critical behavioural issues identified

Where major and critical behavioural issues occurred during the rating or Auditing process, the Assessor will be provided with an opportunity to respond to the issues identified as part of their right of response.

After the right of response process is complete, BRE Global will review all relevant evidence to make a final determination about whether the Assessor's behaviour was against the spirit of the Rules, Rulings, processes and procedures, and of the NABERS UK Scheme as a whole.

Where BRE Global determines that there has been a major or critical behavioural issue by the Assessor, the appropriate sanction will be applied in addition to the determination of whether the rating becomes invalid as per the sections above.

Other issue(s) identified

In some cases the Auditor's findings show that the Rules, Rulings, processes and procedures have been properly applied, but another issue with how the rating was conducted is identified. For example, the Auditor may notify BRE Global that an Assessor's documentation was provided in a form that made recreating the rating difficult, or that the Assessor expressed some confusion about the way a particular section of the Rules should be applied.

This situation may indicate a lack of clarity about the Rules, or a commonly held misunderstanding about the intent of the Rules. Where the Auditor identifies this type of issue, BRE Global will record the occurrence, and monitor the prevalence of the issue to determine whether the NABERS UK Rules, Rulings, processes, procedures, training or guidance notes should be improved. In some situations the Assessor may be informed of the issues with a view to improving their rating assessments in the future.

10.11.2.3 No determination

Where BRE Global is unable to reach a determination as to whether or not a failure to properly apply NABERS UK Rules, Rulings, processes or procedures has occurred they may either commission additional investigation or conclude that no determination is possible and finalise the audit process. In this case, the Assessor is notified of the outcome including (if applicable) the relevant sanction. A conclusion that no determination is possible is neither a finding that an error occurred nor a finding that the assessment was conducted in accordance with the NABERS UK Rules, Rulings, processes and procedures. Rather it is an acknowledgement that neither outcome can be confirmed. This finding does not invalidate the rating and the Assessor's customer is not informed.

10.11.2.4 Sanctions

Responses to the determination that an Assessor has not properly applied the NABERS UK Rules, Rulings, processes or procedures include issuing a formal warning to the Assessor in relation to the error, or any of the following sanctions:

- Requiring the Assessor to undertake further training, retake the NABERS UK Licensed Assessor examination, perform NABERS UK Ratings under supervision, or undergo additional Level 2 Audits;
- Suspending the Assessor's Licensing as a NABERS UK Assessor pending further training and/or completion of the sanction imposed; and
- Revoking the Assessor's Licensing as a NABERS UK Assessor.

Sanctions that may be imposed by BRE Global vary in severity in line with the significance of the errors made and the resulting impact on the NABERS UK star rating. Multiple sanctions may be applied. E.g. the Assessor may be required to undertake a Supervised Rating and have the following rating (unsupervised) undergo a Level 2 Audit.

Where the severity of the errors found is medium to severe it is possible that the star rating will have to be changed. BRE Global will apply variations of the sanctions specified in the table below when there is a star rating change on a case by case basis.

BRE Global reserves the right to revoke a NABERS UK rating certificate where an audit identifies a need to correct a current NABERS UK rating. In addition BRE Global reserves the right to immediately suspend the Assessor's licence where there has been a breach of the Licence

Agreement, Code of Conduct or an intentional breach of the spirit of the Rules and/or the NABERS UK Scheme as a whole as explained in various sections of this document.

Table 1 below gives examples of the sanctions that may be imposed:

Severity	Measure to be taken or Sanction to be imposed	Result required from Assessor
Low	Outcome Letter.	None.
Medium	Outcome Letter. Notification to customer (where applicable) that star rating changed.	None.
Medium	Next rating, or a random rating within a specified period of time, to undergo a Level 2 Audit.	Pass.
Medium	Next rating to be a Supervised Rating.	Pass.
Medium	Next rating to be a Supervised Rating and the following rating assessment to undergo a Level 2 Audit.	Pass both.
High	Next two ratings to be Supervised Ratings and the following rating assessment to undergo a Level 2 Audit.	Pass all.
High	Resit NABERS UK Licensed Assessor Exam and next rating to be a Supervised Rating.	Pass both.
High	Retake NABERS UK Licensed Assessor Course and Exam and next rating to be supervised.	Pass both.
Severe	Licence revoked or suspended. Retraining will be required before reinstatement.	Pass all.
Severe	Licence revoked or suspended permanently.	None.

10.11.2.5 Informing other parties of audit results

Where an audit identifies a need to correct a current NABERS UK rating, BRE Global will notify the NABERS UK Licensed Assessor, the Assessor's customer, and any other parties to the rating, and will issue a corrected copy of the NABERS UK rating certificate and rating report. This is to ensure the accuracy of publicly available NABERS UK ratings. The new rating will be displayed on the GreenBookLive website.

When the certification period for a NABERS UK rating has concluded, it is impractical to revise the rating result. However, BRE Global may still notify the rating customer to ensure they are aware of this and can consider this information in future ratings.

While in the majority of cases customers are not provided with specific details regarding Assessor performance, including the application of sanctions, in some situations it may be considered necessary to advise the customer of audit outcomes. This may be in order to maintain the quality of the rating system or provide the customer with information relevant to their current and future ratings, for example when a condition has been placed on future ratings for particular premises.

10.11.2.6 Complaints

BRE Global acknowledges that the audit process can be a complex and difficult process for Assessors, building owners, sub-lessors and other stakeholders. BRE Global considers the professional performance of audits by its Auditors as critical to the maintenance of the integrity and effective operation of the NABERS UK Scheme. BRE Global also regularly reviews auditing processes and procedures to ensure that the process operates as effectively as possible. If you have any comments or complaints in relation to the operation of an audit or the processes established under this procedure, please contact nabersuk@bregroup.com.

11 Rating Certification

Once a rating has passed the L1 audit, it can be certified. Once a positive certification decision has been made BRE Global releases the certificate(s) to the licensed Assessor, as an electronic secured file (.pdf). The Assessor is responsible for sending the certificate(s) to the client.

At the licensed Assessor's request certificates can be amended and re-issued after their initial issue (additional fees may apply).

The following information is included on the certificate:

- Asset Name
- Asset Location/Address
- The rating achieved
- The scheme
- The name of the Assessor and Licensee that has undertaken the assessment
- Scheme logo, BRE Global logo and signature on behalf of BRE Global
- Date the certificate was issued
- Certificate reference and issue number
- Valid until date

11.1 Validity of certificates

Following certification, the rated building is listed on www.GreenBookLive.com. Anyone can use the Green Book Live website to verify the certified status of a building rating. Where appropriate, Assessors and their clients can choose not to list the project publicly on Green Book Live, e.g., for reasons of confidentiality or security. BRE Global should be informed at submission if the rating should be excluded from Green Book Live.

Certificates contain an expiry date and therefore they are subject to an annual period of renewal and re-certification to maintain their validity beyond the expiry date. Expired certificates are removed from the listings on Green Book Live.

Note: Registered buildings are not listed on the Green Book Live website. Clients and Assessors using NABERS UK Energy for Offices can only promote the performance of their rated building if it is certified and listed on Green Book Live.

11.2 Publicising the certified status of a building

It is in everyone's interest that the integrity and value of the certified rating is maintained and that precise wording is used when claims are made about a building's status in this respect.

It is acceptable to publicise a NABERS UK Energy for Offices rating only after the certificate has been issued by BRE Global, – never before.

We do check and enforce these requirements and will take necessary action where misuse of its trademarks and certification marks occurs. The licensed Assessor is responsible for informing the client of these requirements.

12 Assessment Support and Guidance

12.1 Assessment Support Services

As part of the licence BRE Global offers a number of services, tools and guidance to support Assessors and an efficient rating process (some of which are integral parts of the process).

12.2 NABERS UK Energy for Offices online

NABERS UK has a comprehensive and evolving website, the landing site and shop window for those wanting to know more about NABERS UK Energy for Offices. In addition to information about the scheme, training events, latest news and case studies it provides a number of resources, including scheme documents and tools.

12.3 BREEAM Projects

NABERS UK Energy for Offices rating assessments are registered on the **BREEAM Projects** online platform, found at <https://tools.breeam.com/projects/>

12.4 Customer support for licensed Assessors

To ensure correct and appropriate interpretation of the requirements of the scheme BRE Global provides customer service support for licensed Assessors. This service provides support for both technical content/interpretation and operational aspects of the schemes. The service is designed to support licensed Assessors throughout the assessment and auditing process, with the aim of ensuring an efficient, accurate and robust assessment and certification.

12.4.1 Types of customer support provided by BRE Global

BRE Global provides support for the following types of licensed Assessor enquiry:

- **Assessment registration:** for assistance and updates with assessment registrations and transfers
- **Assessor licensing:** for assistance with licence applications and renewals
- **Technical support:** for assistance in interpreting scheme specific assessment criteria and assessment methodologies/calculations
- **Assessment tools:** for assistance in using any online system, scheme tools and calculators
- **Auditing and certification:** QA status/timescale updates, general QA or certification enquiry and assistance in interpreting or responding to auditing audit feedback.
- **Complaints:** for complaints concerning BRE Global or licensed Assessor services or misuse or misrepresentation of a scheme/organisation by a third party (refer to XP107E, available on request).

- **General scheme enquiries:** for other scheme related enquiries not covered above.

As certifiers for the scheme(s) we must remain impartial and cannot provide advice or consultancy services to licensed Assessors or any enquirer on matters that could act as barriers to our certification service; i.e. we cannot propose/advise on scheme compliant solutions for projects whose assessments we are certifying and we cannot assess a project for compliance - this is the responsibility of the licensed Assessor.

12.4.2 How to contact BRE Global with an enquiry

Licensed Assessors can contact our customer services team via email and telephone, as follows:

- NABERS UK enquiries: nabersuk@bregroup.com
- Telephone: 0333 321 88 11*

*Our customer service lines are open Monday to Friday between 9am and 5pm GMT. We are closed at weekends and for Bank Holidays, but messages can be left during these times. International callers can also dial +44 1923 664000 if the 0333 number does not connect.

When contacting BRE Global by email in relation to a registered assessment please include the assessment reference number and scheme name in the subject line.

When submitting an enquiry, particularly those related to a registered assessment, **please contact BRE Global via email in the first instance**. This enables us to track and record your enquiry, ensuring it is dealt with effectively by the appropriate team and member of staff. It also means BRE Global and Assessors can link specific enquiries to a registered assessment, recalling them where necessary for the purpose of auditing and certification.

13 Information Transfer Procedure

NABERS UK Energy for Offices is a performance-based rating system for existing buildings which rates a building on the basis of its measured operational impacts on the environment. NABERS UK is an adaptation of the highly successful rating scheme, NABERS that operates in Australia. Only Licensed Assessors are able to perform a performance rating on a building, leading to a NABERS UK rating certificate being issued on approval from the Scheme Administrator (BRE Global Limited).

The Scheme Administrator then issues the rating certificate and from time to time, these rating results will be audited. The entire process is covered by nationally developed procedures and standards. Of equal importance to the rating itself, is the ability to compare buildings in order to know how a building relates to other buildings of a similar nature, and the ability to promote good results. All of this requires the transfer and storage of information.

This procedure is intended to instruct all parties as to the correct information to transfer, the methods of transfer as well as the correct storage of this information.

13.1 Transfer between Customer and Licensed Assessor

The Licensed Assessor is responsible for any direct communications to, and information transfer with the customer. This should always be conducted in a professional manner and in accordance with the requirements of the NABERS UK documentation.

13.2 Marketing

In general terms, the Licensed Assessor is free to market themselves and the scheme directly to a single customer. This can take the form of a single letter or a direct mail campaign. The following rules apply in any correspondence or materials including letterhead and business cards:

- Any reference to NABERS UK or use of the NABERS UK logos or Licensed Assessor logo must comply with the NABERS UK Brand Use Guidelines and;
- Brochures detailing NABERS UK can only be supplied by the Scheme Administrator; and
- Any commentary on the functioning of the scheme itself or the meaning of the different star ratings must use wording directly from brochures or only as approved and authorised by the Scheme Administrator.

The Licensed Assessor cannot market to multiple customers at a single time without prior authorisation. This form of marketing would include but not limited to print, TV and radio advertisements, banners and outdoor advertising. If a Licensed Assessor wishes to advertise in any of these ways, they must seek written approval from the Scheme Administrator. The purpose of this is to ensure that general marketing campaigns are coordinated at a single source and give a consistent message, not to limit the amount of advertising.

Licensed Assessors have access to general marketing material and brochures that can be sent directly to customers. There are also sample letters giving ideas on the style and approach of a letter. This information is available from the Scheme Administrator.

All generic marketing documentation is produced by the Scheme Administrator and made available to the Licensed Assessors.

The Licensed Assessors may produce their own marketing materials provided that it conforms to the NABERS UK Brand Guidelines and has been approved in writing by the Scheme Administrator. The intent is to ensure consistency on a national basis and maintain brand integrity.

13.3 Licensed NABERS UK Rating Certificate

The Scheme Administrator will produce the licensed performance rating certificate to the national standards. If a Licensed Assessor is found to produce their own certificates it will result in automatic loss of their license.

The Scheme Administrator will provide access to an electronic copy of the certificate to both the Assessor and the customer.

13.4 Contractual

The type and nature of any contract and financial arrangements between the Licensed Assessor and the customer is purely a matter for the two parties. The only stipulation is that Assessors are not allowed to obtain financial benefits for the rating result. However, the customer must be made aware of their rights and obligations under NABERS UK to use the logo and for marketing of their results.

Proof of the customer's understanding of, and, agreement with these rights and obligations, must be auditable. In general, this will be in the way of a signature on the licensed rating certificate application form, which has the terms printed on page two.

13.5 General

All marketing materials, procedures, training, scheme materials, documentation, updates and other general items relating to NABERS UK are to come from the Scheme Administrator.

If a customer requires any further information, the Assessor is to ask the Scheme Administrator and then pass this information to the customer. If the customer insists on speaking with an authorising body, for example in the case of a dispute, this is to always be the Scheme Administrator.

13.6 Technical support

In general terms BRE Global should be the first point of contact for the Licensed Assessor. The Licensed Assessor can submit a technical question to the NABERS UK team by emailing nabersuk@bregroup.com.

The NABERS UK website is also the source for the current NABERS UK documentation.

13.7 Building rating information

Information on all rated buildings is held on the NABERS UK Rating Input Forms by the Scheme Administrator and is sourced from data entered by the Licensed Assessor. This building data must be held in a secure database with access provided only to those parties that are authorised. Once the rating is approved and certified, details of the building, rating and Assessor are publically listed on [GreenBookLive](#)

13.8 Transfer between Scheme Administrator and the National Steering Committee

The NABERS UK National Steering Committee is an advisory committee to the Scheme Administrator that consists of parties with a vested interest in the NABERS UK schemes including parties such as funding bodies and selected industry representatives.

The Committee's main role is to advise on the overall administration and strategic development of NABERS UK.

The NABERS UK Steering Committee is given access to procedures and any amendments to these.

14 NABERS UK Fees and Payments

NABERS Ratings are conducted by a Licensed Assessor who will negotiate their fees based on their own costs and business practices. All ratings are also subject to NABERS Energy Certificate Registration fees, payable to the NABERS UK Scheme Administrator by the Licensed Company (Licensee).

The Scheme Administrator also delivers other products and services, such as training and licensing, which also attract administration fees.

This section outlines the terms for fees payable to BRE Global by the Licensee and Assessors or individuals seeking a licence.

Current administration fees are listed on the NABERS UK website at: www.bregroup.com/nabers-uk/nabers-uk-pricing/ or in our Fee Sheet which is available upon request.

The Scheme Administrator will provide written notice to Licensed Assessor of any changes to fees.

14.1 Training Fees

The training fees payable for the suite of NABERS UK training courses are subject to change. The current training fees are outlined on the NABERS UK website at www.bregroup.com/nabers-uk/nabers-uk-pricing/ or in the document FS131 Fee Sheet which is available upon request.

Payment must be made in full on registering for a course. Training fees can be paid by an individual or company and payments made by online card payment or invoice.

14.2 Payment Terms

Submitting a rating and annual licence fees are payable either by the Licensed Company (Licensee) that employs the Licensed Assessor, or the Licensed Assessor if they are self-employed.

Any payments made by invoice will be subject to 30-day payment terms as stated in the NABERS UK Licence Agreement (TC803). Failure to pay fees within the payment terms may lead to suspension or termination of the Licence.

14.3 Annual licence fee

Licence includes:

- Access to BREEAM Projects to register assets.
- Access to the NABERS Rating Input Form to carry out NABERS Energy assessments and complete pre-assessments on behalf of clients.
- The opportunity to provide certification against NABERS UK Energy for Offices scheme.
- Up to date scheme resources through regular email updates.
- Listing in Green Book Live: www.greenbooklive.com

14.4 NABERS Energy Certificate Registration Fee

Payment for NABERS Energy Certificate Registration fee is due according to the payment terms within the Licence Agreement (TC803). Payment should be settled by the time of submitting the Rating Input Form.

The Licensed Company (Licensee) will be invoiced the Certificate Registration fee by the Scheme Administrator at registration.