

1 Introduction

This certification scheme is intended for those individuals that wish to become certified by CIBSE Certification and to be listed on the Energy Savings Opportunity Scheme (ESOS) Lead Assessor Register.

This scheme provides an independent, third party evaluation of an individual's competence to operate as an ESOS Lead Assessor.

1.1 Who can apply?

Any currently registered CIBSE Certification Low Carbon Consultant (LCC) can apply to become an ESOS Lead Assessor.

If you are not currently a registered CIBSE Certification Low Carbon Consultant you can apply to that scheme concurrently with your application to become a registered ESOS Lead Assessor.

1.2 What can I provide as an ESOS Lead Assessor?

As an ESOS Lead Assessor you can provide ESOS energy assessments and resulting energy efficiency assessment reports under The Energy Savings Opportunity Scheme Regulations 2014 (as may be amended).

2 Technical Requirements for ESOS Lead Assessors

The Lead Assessor roles as described above are offered under the Business Engineering and Industrial Strategy (BEIS) formerly Department of Energy and Climate Change Energy Savings Opportunity Scheme and the technical requirements for this scheme are defined in the following documents:

- PAS 51215:2014 Energy efficiency assessment – Competence of a lead energy assessor – Specification
- The Energy Savings Opportunity Scheme Regulations 2014
- Environment Agency Guidance v5.0, Complying with the Energy Savings Opportunity Scheme 2016.

3 Examination

This certification scheme requires that your competence be assessed against the technical requirements listed above.

CIBSE Training and Events provide the assessment service; please go to <https://www.cibse.org/training/search-courses> for details.

4 Open to all

The ESOS Lead Assessor certification scheme is open to anyone who wishes to be assessed, certified and registered as an ESOS Lead Assessor.

Providing you can meet the entry requirements in terms of competence, a minimum length of two years of professional energy assessment and energy audit experience relevant to the PAS 51215, have proof of ongoing insurance and have the levels of experience as defined in the application requirements herein you may apply.

All applicants for Certification and Registration must also fulfil all of the applicable application requirements of this scheme description document. Once certified, compliance with all other requirements for this scheme description document must be

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complied with along with any other requirements imposed by the scheme owner BEIS (formerly DECC) and the scheme administrator (The Environment Agency) of which you will be notified from time to time.

Note: Training course attendance and an assessment of competence is mandatory during the application process and on an ongoing basis throughout the certification period e.g. complying with any requests for undergoing QA audits, witnessed audits, assessments of CPD undertaken etc.

5 Certification & Listing on the Register

In order to become certified and to join the register you will be required to attend an ESOS training course and to pass an examination or equivalent evaluation taken under controlled conditions, see Section 3 above.

All applications for certification and registration on the Register are checked to ensure the individuals eligibility and that the necessary declaration has been signed.

Once in possession of your examination pass confirmation from the exam provider (usually in the form of a letter or certificate), individuals may complete their application to CIBSE Certification Ltd for certification and listing on the ESOS register by completing the relevant application form.

Additionally, you will also need to:

- Provide evidence of your professional indemnity insurance
- Provide a detailed CV of experience in energy improvement related work
- Sign the CIBSE Certification Code of Conduct declaring that you will act only within your own areas of competence and that you will abide by all CIBSE Certification scheme rules
- Act to reduce carbon emissions and improve energy efficiency

Once it is confirmed that all the information required has been collected and reviewed by CIBSE Certification a decision regarding certification will be made.

You will be informed regarding this decision and if it is positive you will be added to the ESOS Register and your certification documents issued.

Initial certification is for a period of three years with an annual fee and maintenance requirements must be met – see Sections 6.2 and 7.

6 Applications

6.1 Application processing

CIBSE Certification aim to process all applications as quickly and as efficiently as possible. Generally, your application will be processed in 14 working days from receipt.

However, if you fail to submit all the required information, or to respond to requests for further information, that may significantly increase the time it takes to process your application.

6.2 Application Process

Step 1, – Apply to become a Low Carbon Consultant if you are not already. You may apply to become a Low Carbon Consultant and an ESOS Lead Assessor at the same time but your LCC application will be processed first.

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If you are currently a certified Low Carbon Consultant you can apply to become an ESOS Lead Assessor at any time.

Application forms are available on the CIBSE Certification website.

Step 2, Evaluation – we expect you to fulfil the competence requirements to become an ESOS Lead Assessor. You are required to attend a training course and pass an examination to demonstrate this. Proof of this is required as part of your application.

Step 3, Application – complete application form for the ESOS Lead Assessor Register and submit it along with:

- A copy of your exam certificate (from Step 2 above) (you are not required to send us any exam certificates if you have taken the examination with CIBSE Training)
- A detailed CV of experience in energy improvement related work
- A current and applicable Professional Indemnity Insurance (PII) certificate
- A signed CIBSE Certification Code of Conduct
- The applicable Certification fees (see payment details in the application pack)

Step 4, Review of the Certification file and Certification Decision – A full and comprehensive review of all the information provided is performed to determine whether you have met all of the requirements for certification. This would include a check of your current status as an LCC (e.g. that you are not under suspension) and that you have the appropriate (minimum 2 years recent) experience i.e. from your CV.

The outcome of this review is either certification, a request to provide additional information or in some circumstances a rejection.

Step 5, Certification – A final check is performed to ensure that payment was successfully processed and you are added to the ESOS Register and your certificate is prepared and issued.

Step 6, Maintenance of certification – There are specific requirements that you must meet to ensure your certification continues, see Section 7 below.

Step 7, Recertification – Certification is renewed every three years. The specific requirements for this are given in Section 8 below.

6.3 Special needs

Please let us know in advance if you have any relevant special needs or requirements that you think we should know about when processing your application. Any information you pass to us will be treated in confidence.

6.4 Fees

All fees are payable at the time of application for certification, CIBSE Certification will advise you of the fee and when an invoice has been raised and ready for payment.

The fees for certification and inclusion on the registers are contained on the CIBSE Certification website.

6.5 Changes of Details

Certified individuals shall inform CIBSE Certification in writing within 14 days should any of the following change:

- Name
- Address

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- Employer
- Trading status
- Trading name
- Company ownership
- Change in professional indemnity insurance (PII) e.g. provider, extent of cover
- Any other significant change that may affect their certification including any doubt regarding your own ongoing competence

If in doubt please contact us to discuss the change and any consequences for your ongoing certification.

7 Maintenance of Certification

7.1 General

It is your responsibility to make sure that you comply with the maintenance requirements. Failure to do so may put your ongoing certification at risk.

The maintenance requirements for ESOS Lead Assessor Certification and Registration are listed in this section.

Note: This is a certification scheme owned by BEIS (formerly DECC) and administered by the Environment Agency. Currently there are no further specific requirements for maintaining certification. As these become available this document will be updated and the requirements added. Please be aware that these may place much more onerous requirements on you as an ESOS Lead Assessor and CIBSE Certification.

7.1.1 Complaints

You must send details of any complaints that are received during the previous year associated with your Certification and Registration along with the details of the complaint resolution.

You will be liable for (or your employer) bearing the costs of investigating complaints where appropriate.

7.1.2 Continual Professional Development (CPD)

In order to develop your skills year on year we will ask you to undertake and keep a record of a minimum of 21 hours of ongoing training and continuing professional development (this is to be part of, and not in addition to, any existing institutional requirements you may already have to comply with).

Specific CPD requirements are found in document CCP 111 which is made available to all Certified and Registered persons via the CIBSE Certification website and is also issued at the time of initial application.

7.2 Further Training and Examination

You will receive due notice from CIBSE Certification before any further examinations are required. Reasons for further training and examination are likely to include but not limited to:

- Major changes to regulations or certification scheme requirements
- New reporting/modelling methodology
- Major changes or updates in reporting/modelling software
- Those reasons indicated elsewhere in this scheme description document

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8 Recertification

Listing on the ESOS Lead Assessor Register is renewed annually but Certification is renewed every three years.

In order to renew your certification you will need to have complied with the maintenance requirements in Section 7 above, e.g. have submitted to audits where required, have informed us of any complaints and undertaken CPD in compliance with requirements, have up to date PII.

If you have complied with the maintenance requirements for the previous three years you will automatically be re-certified and re-registered on your current strands provided:

- You pay the fees required
- You sign a current CIBSE Certification Code of Conduct to show your commitment to the scheme requirements

By agreeing to recertification you are reaffirming your ongoing commitment to the declaration as signed at the time of your initial application.

In the following example circumstances you may be required to prove your ongoing competence by taking another examination:

1. If the requirements for certification change significantly during the third year of certification e.g. the Government Department changes the rules or regulations
2. Your CPD has not been kept up to date and the correct minimum hours recorded
3. You have failed any audits during the past 3 years

9 Use of the Certificate and Certification Mark/Logo

To assist you in the use of the logos, “Style Guides” containing the logos and the rules for their use are also available only to those currently certified by CIBSE Certification, documents CCP 109, CCP 118 and CCP 147.

There are restrictions on the use of the LCC and ESOS scheme logos and the CIBSE Certification mark. These restrictions are described in the relevant “Style Guides”.

10 Suspension and Withdrawal of Certification

All certified and registered persons must remain compliant with the certification scheme requirements e.g. ESOS Regulations.

When a certified and registered person fails to meet certification scheme requirements their certification may be suspended or withdrawn.

It should be noted that withdrawal might also be a voluntary process.

11 Respite from the Certification and Registration schemes

11.1 Policy

CIBSE Certification will allow a period of self-declared voluntary inactivity from the Register after which you will be allowed to resume your certification where you left off. This will be administered on a case-by-case basis and will be subject to certain conditions. In all cases CIBSE Certification will make all efforts to be reasonable and fair.

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Reasons that may be considered acceptable include, but are not limited to:

- Maternity leave
- Long term incapacity due to illness or disability (physical or mental)
- Emotional distress
- Redundancy
- Overseas posting

11.2 Conditions

- 1) Respite can be requested for a period of up to 12 months
- 2) The respite period shall start on a date that you indicate to the Certification Systems Manager and you must give at least 4 weeks' notice
- 3) During that time you must have no ongoing involvement in building services engineering in the UK other than training/CPD
- 4) No more than one period of Respite shall be permitted sequentially
- 5) If after 12 months you do not resume your certification it shall be regarded as lapsed
- 6) It is your responsibility to ensure that at the end of the Respite period you contact CIBSE Certification to ensure ongoing certification and registration
- 7) During Respite you may take part in training and CPD activities at your own discretion
- 8) If as a result of a period of Respite you miss out on update training then you will have to take appropriate training and examination (where appropriate this may include taking the full course) to gain the necessary competencies to maintain certification
- 9) CIBSE Certification reserve the right to refuse a period of Respite and reasons for that will be provided to you
- 10) The Respite request will be recorded on our internal database

11.3 How to apply for respite

In the first instance you should write to the Certification Systems Manager, in confidence, stating:

- Your reasons for requesting Respite
- The period of time you require
- Your proposed Respite start and end date

The Certification Systems Manager or nominated deputy will respond to all applications within 7 days for simple cases, however for more complex cases this may be extended to 21 days.

12 Complaints about CIBSE Certification

CIBSE Certification operates a dispute and complaints procedure (CCP 101) that any individual (i.e. those that are potential, current, suspended or withdrawn from certification) may invoke at any time e.g. should they feel that:

- They have received poor service
- They have been refused entry to a scheme unfairly
- They have been excluded from the scheme unfairly
- That complaints against you have been unfairly upheld

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