

# **Pearson Edexcel Level 3 Certificate in Non-Domestic Energy Assessment (QCF)**

## **Specification**

NVQ/Competence-based qualification

First registration August 2014

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*All information in this specification is correct at time of going to publication.*

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# Purpose of this specification

This specification sets out:

- the objectives of the qualification
- any other qualification that a learner must have completed before taking the qualification
- any prior knowledge, skills or understanding which the learner is required to have before taking the qualification
- the combination of units that a learner must have completed before the qualification will be awarded and any pathways
- any other requirements that a learner must have satisfied before they will be assessed or before the qualification will be awarded
- the knowledge, skills and understanding that will be assessed as part of the qualification
- the method of any assessment and any associated requirements relating to it
- the criteria against which a learner's level of attainment will be measured (such as assessment criteria)
- assessment requirements and/or evidence requirements required as specified by the relevant Sector Skills Council/Standards Setting Body
- assessment requirements/strategy as published by the relevant Sector Skills Council/Standards Setting Body
- the Apprenticeship Framework in which the qualification is included, where appropriate.

# 1 Introducing Pearson Edexcel NVQ/Competence-based qualifications

## What are NVQ/Competence-based qualifications?

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National Vocational Qualifications (NVQs) or Competence-based qualifications reflect the skills and knowledge needed to do a job effectively. They are work-based qualifications that give learners the opportunity to demonstrate their competence in the area of work or job role to which the qualification relates.

NVQs/Competence-based qualifications are outcomes-based with no fixed learning programme, allowing flexibility in their delivery to meet the individual learner's needs. The qualifications are based on the National Occupational Standards (NOS) for the sector, which define what employees, or potential employees, must be able to do and know, and how well they should undertake work tasks and work roles.

Most NVQ/Competence-based qualifications form the competence component of Apprenticeship Frameworks. They are suitable for those in employment or those who are studying at college and have a part-time job or access to a substantial work placement.

Most learners will work towards their qualification in the workplace or in settings that replicate the working environment as specified in the assessment requirements/strategy for the sector. Colleges, training centres and/or employers can offer these qualifications provided they have access to appropriate physical and human resources.

There are three sizes of NVQ/Competence-based qualification in the QCF:

- Award (1 to 12 credits)
- Certificate (13 to 36 credits)
- Diploma (37 credits and above).

Every unit and qualification in the QCF has a credit value.

The credit value of a unit specifies the number of credits that will be awarded to a learner who has met the learning outcomes of the unit.

The credit value of a unit is based on:

- one credit for those learning outcomes achievable in 10 hours of learning
- learning time – defined as the time taken by learners at the level of the unit, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria.

## 2 Qualification summary and key information

Qualification title	Pearson Edexcel Level 3 Certificate in Non-Domestic Energy Assessment (QCF)
QCF Qualification Number (QN)	601/1143/4
Qualification framework	Qualifications and Credit Framework (QCF)
Regulation start date	29/08/2013
Operational start date	01/08/2014
Approved age ranges	16-18 19+
Credit value	30
Assessment	Portfolio of Evidence (internal assessment)
Guided learning hours	140
Grading information	The qualification and units are graded pass/fail.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification. However, centres must follow the Edexcel Access and Recruitment policy (see <i>Section 9, Access and Recruitment</i> )
Funding	For details on funding availability, please check the Learning Aim Reference Service (LARS), which replaces the Learning Aim Reference Application (LARA).

## **QCF qualification number and qualification title**

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Centres will need to use the QCF Qualification Number (QN) when they seek public funding for their learners. As well as a QN, each unit within a qualification has a QCF unit reference number (URN).

The qualification title, unit titles and QN will appear on each learner's final certificate. Centres should tell learners this when recruiting them and registering them with Pearson. There is more information about certification in the *Edexcel Information Manual*, available on our website: [www.edexcel.com](http://www.edexcel.com)

## **Qualification objectives**

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The Pearson Edexcel Level 3 Certificate in Non-Domestic Energy Assessment (QCF) is for learners who work in, or want to work in energy sector. It qualifies them to work as a Non-Domestic Energy Assessor, which will allow them to produce Energy Performance Certificates (EPCs) for existing non-domestic properties, once registered with an Accreditation Scheme.

It gives learners the opportunity to:

- demonstrate competence as a Non-domestic energy assessor (NDEA)
- develop knowledge and skills related to the specified job roles in the energy assessor sector
- have existing skills recognised
- achieve a nationally-recognised Level 3 qualification
- develop their own personal growth and engagement in learning

## **Relationship with previous qualifications**

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This qualification is a replacement for the Pearson EDI Level 3 NVQ Certificate in Non-Domestic Energy Assessment.

## **Progression opportunities**

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Learners who have achieved the Pearson Edexcel Level 3 NVQ Certificate in Non-Domestic Energy Assessment, can progress into a career as a Non-Domestic Energy Assessor (NDEA), or the Pearson Edexcel Level 4 Diploma in Green Deal Non-Domestic Advice.

## **Industry support and recognition**

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This qualification is supported by Asset Skills, the Skills Council for facilities management, housing, property, cleaning and parking.

## **Relationship with National Occupational Standards**

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This qualification is based on the National Occupational Standards (NOS) for property services, which were set and designed by Asset Skills, the Sector Skills Council for the sector.

### 3 Qualification structure

#### Pearson Edexcel Level 3 Certificate in Non-Domestic Energy Assessment (QCF)

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The learner will need to meet the requirements outlined in the table below before the qualification can be awarded.

Minimum number of credits that must be achieved	30
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Unit	Unit reference number	Mandatory units	Level	Credit	Guided learning hours
1	H/503/8162	Conduct Energy Assessments in a Safe, Effective and Professional Manner	3	6	30
2	J/503/8168	Prepare for Energy Assessments of Non-dwellings to Fulfil Regulatory Requirements for Asset Ratings	3	6	30
3	L/503/8169	Undertake Energy Assessments of Existing Level 3 Non-dwellings using the Simplified Building Energy Model SBEM	3	11	45
4	L/503/8172	Report on the Energy Assessment of New and Existing Non-dwellings using the Simplified Building Energy Model SBEM	4	7	35

Centres should be aware that within the Level 3 qualification in this specification, learners will be required to meet the demands of a unit at level 4. Centres are advised to consider the support, guidance and opportunities they give to learners to meet the demands of the higher level unit during delivery and assessment of the qualification.

## 4 Assessment

This qualification is assessed through an externally verified Portfolio of Evidence. Learners may use the Pearson devised workbook to collate evidence gathered during the course of their work

To achieve a pass for the full qualification, the learner must achieve all the required units in the stated qualification structure. Each unit has specified learning outcomes and assessment criteria. To pass each unit the learner must:

- achieve **all** the specified learning outcomes
- satisfy **all** the assessment criteria by providing sufficient and valid evidence for each criterion
- prove that the evidence is their own.

The learner must have an assessment record that identifies the assessment criteria that have been met, and it should be cross-referenced to the evidence provided. The assessment record should include details of the type of evidence and the date of assessment. The unit specification or suitable centre documentation can be used to form an assessment record.

It is important that the evidence provided to meet the assessment criteria of the unit and learning outcomes is:

<b>Valid</b>	relevant to the standards for which competence is claimed
<b>Authentic</b>	produced by the learner
<b>Current</b>	sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim
<b>Reliable</b>	indicates that the learner can consistently perform at this level
<b>Sufficient</b>	fully meets the requirements of the standards.

Learners can provide evidence of occupational competence from:

- **current practice** where evidence is generated from a current job role
- a **programme of development** where evidence comes from assessment opportunities built into a learning programme, whether at or away from the workplace. The evidence provided must meet the requirements of the Sector Skills Council's assessment strategy.
- the **Recognition of Prior Learning (RPL)** where a learner can demonstrate that they can meet the assessment criteria within a unit through knowledge, understanding or skills they already possess without undertaking a course of development. They must submit sufficient, reliable, authentic and valid evidence for assessment. Evidence submitted based on RPL should provide confidence that the same level of skill/understanding/knowledge exists at the time of claim as existed at the time the evidence was produced. RPL is acceptable for accrediting a unit, several units, or a whole qualification.
- Further guidance is available in the policy document *Recognition of Prior Learning Policy*, available on the Edexcel website.
- a **combination** of these.

## Assessment strategy

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The assessment strategy for this qualification has been included in *Annexe A*. It sets out the overarching assessment principles and the framework for assessing the qualification to ensure that it remains valid and reliable. Asset Skills have developed this in partnership with employers, training providers, awarding organisations and the regulatory authorities.

## Types of evidence

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To achieve a unit, the learner must gather evidence that shows that they have met the required standard specified in the assessment criteria as well as the requirements of the Asset Skills assessment strategy. As stated in the assessment strategy, the evidence for this qualification can take a variety of forms as indicated below:

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- outcomes from simulation (S)
- professional discussion (PD)
- assignment, project/case studies (A)
- authentic statements/witness testimony (WT)
- expert witness testimony (EWT)
- evidence of Recognition of Prior Learning (RPL).

Learners can use the abbreviations for cross-referencing purposes in their portfolios.

Learners can also use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is not necessary for learners to have each assessment criterion assessed separately. They should be encouraged to reference evidence to the relevant assessment criteria. Evidence must be available to the assessor, internal verifier and Pearson standards verifier.

Any specific evidence requirements for individual units are stated in the unit introduction for the units in *Section 11*.

There is further guidance about assessment on our website. Please see *Section 12* for details.

## Credit transfer

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Credit transfer describes the process of using a credit or credits awarded in the context of a different qualification or awarded by a different awarding organisation towards the achievement requirements of another qualification. All awarding organisations recognise the credits awarded by all other awarding organisations that operate within the QCF.

If learners achieve credits with other awarding organisations, they do not need to retake any assessment for the same units. The centre must keep evidence of unit achievement.

## 5 Centre resource requirements

As part of the approval process, centres must make sure that the resource requirements below are in place before offering the qualification.

- Centres must have the appropriate physical resources to support both the delivery and assessment of the qualification. For example, a workplace in line with industry standards, or a Realistic Working Environment (RWE), where permitted, equipment, IT, learning materials, teaching rooms.
- Where permitted, RWE must offer the same conditions as the normal day-to-day working environment, with a similar range of demands, pressures and requirements for cost-effective working.
- Centres must meet any specific human and physical resource requirements outlined in the assessment strategy in Annex A. Staff assessing learners must meet the occupational competence requirements within the overarching assessment strategy for the sector.
- There must be systems in place to ensure the continuing professional development for staff delivering the qualification.
- Centres must have appropriate health and safety policies, procedures and practices in place for the delivery of the qualification.
- Centres must deliver the qualification in accordance with current equality legislation. For further details on Pearson's commitment to the Equality Act 2010, please see *Section 9 Access and recruitment* and *Section 10 Access to qualifications for learners with disabilities or specific needs*. For full details on the Equality Act 2010, please go to the Home Office website, [www.gov.uk/government/organisations/home-office](http://www.gov.uk/government/organisations/home-office)

## 6 Centre recognition and approval

### Centre recognition

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Centres that have not previously offered Pearson Edexcel accredited vocational qualifications need to apply for and be granted centre recognition and approval as part of the process for approval to offer individual qualifications.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by a new qualification and the conditions for automatic approval are met.

Guidance on seeking approval to deliver Pearson Edexcel vocational qualifications is available at [www.pearsonwbl.edexcel.com/qualifications-approval](http://www.pearsonwbl.edexcel.com/qualifications-approval).

### Approvals agreement

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All centres are required to enter into an approval agreement, which is a formal commitment by the head or principal of a centre, to meet all the requirements of the specification and any associated codes, Conditions or regulations. Pearson will act to protect the integrity of the awarding of qualifications. If centres do not comply with the agreement, this could result in the suspension of certification or withdrawal of approval.

## 7 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications. Centres will internally assess NVQs/Competence-based qualifications using internal quality assurance procedures to ensure standardisation of assessment across all learners. Pearson uses external quality assurance procedures to check that all centres are working to national standards. It gives us the opportunity to identify and provide support, if needed, to safeguard certification. It also allows us to recognise and support good practice.

For the qualifications in this specification, the Pearson quality assurance model is as described below.

Centres offering Pearson Edexcel NVQs/Competence-based qualifications will usually receive two standards verification visits per year (a total of two days per year). The exact frequency and duration of standards verifier visits must reflect the centre's performance, taking account of the number:

- of assessment sites
- and throughput of learners
- and turnover of assessors
- and turnover of internal verifiers.

For centres offering a full Pearson BTEC Apprenticeship (i.e. all elements of the Apprenticeship are delivered with Pearson through registration of learners on a Pearson BTEC Apprenticeship framework) a single standards verifier will be allocated to verify all elements of the Pearson BTEC Apprenticeship programme. If a centre is also offering stand-alone NVQs/Competence-based qualifications in the same sector as a full Pearson BTEC Apprenticeship, the same standards verifier will be allocated.

In order for certification to be released, confirmation is required that the National Occupational Standards (NOS) for assessment, verification and for the specific occupational sector are being consistently met.

Centres are required to declare their commitment to ensuring quality and to providing appropriate opportunities for learners that lead to valid and accurate assessment outcomes.

For further details, please go to the UK NVQ Quality Assurance Centre Handbook and the *Edexcel NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance* on our website, at [www.pearsonwbl.edexcel.com/NVQ-competence-based](http://www.pearsonwbl.edexcel.com/NVQ-competence-based).

## 8 Programme delivery

Centres are free to offer the qualifications using any mode of delivery (for example full-time, part-time, evening only, distance learning,) that meets learners' needs. However, centres must make sure that learners have access to the resources identified in the specification and to the sector specialists delivering and assessing the units. Centres must have due regard to Pearson's policies that may apply to different modes of delivery.

Those planning the programme should aim to address the occupational nature of the qualification by:

- engaging with learners, initially, through planned induction, and subsequently through the involvement of learners in planning for assessment opportunities
- using naturally occurring workplace activities and products to present evidence for assessment against the requirements of the qualification
- developing a holistic approach to assessment by matching evidence to different assessment criteria, learning outcomes and units, as appropriate, thereby reducing the assessment burden on learners and assessors
- taking advantage of suitable digital methods to capture evidence.

## 9 Access and recruitment

Pearson's policy regarding access to its qualifications is that:

- they should be available to everyone who is capable of reaching the required standards
- they should be free from any barriers that restrict access and progression
- there should be equal opportunities for all wishing to access the qualifications.

Centres must ensure that their learner recruitment process is conducted with integrity. This includes ensuring that applicants have appropriate information and advice about the qualification to ensure that it will meet their needs.

Centres should review applicants' prior qualifications and/or experience, considering whether this profile shows that they have the potential to achieve the qualification.

For learners with disabilities and specific needs, this review will need to take account of the support available to them during the delivery and assessment of the qualification. The review must take account of the information and guidance in *Section 10 Access to qualifications for learners with disabilities or specific needs*.

## 10 Access to qualifications for learners with disabilities or specific needs

Equality and fairness are central to our work. Pearson's Equality Policy requires that all learners should have equal opportunity to access our qualifications and assessments and that our qualifications are awarded in a way that is fair to every learner.

We are committed to making sure that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that characteristic
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be compared fairly to the achievement of their peers.

Learners taking a qualification can be assessed in British sign language or Irish sign language where it is permitted for the purpose of reasonable adjustments.

Further information regarding Access Arrangements can be found in the Joint Council for Qualifications (JCQ) document Access Arrangements, Reasonable Adjustments and Special Consideration for General and Vocational qualifications. Further details on how to make adjustments for learners with protected characteristics are given in the Supplementary Guidance for Reasonable Adjustment and Special Consideration in Vocational Internally Assessed Units.

These documents are available on our website, at [www.edexcel.com/Policies](http://www.edexcel.com/Policies)

# 11 Unit format

Each unit has the following sections.

## Unit title

The unit title is on the QCF and this form of words will appear on the learner's Notification of Performance (NOP).

## Unit reference number

Each unit is assigned a unit reference number that appears with the unit title on the Register of Regulated Qualifications.

## QCF level

All units and qualifications within the QCF have a level assigned to them. There are nine levels of achievement, from Entry to level 8. The QCF Level Descriptors inform the allocation of the level.

## Credit value

All units have a credit value. When a learner achieves a unit, they gain the specified number of credits. The minimum credit value is 1 and credits can be awarded in whole numbers only.

## Guided learning hours

Guided learning hours are the times when a tutor, trainer or facilitator is present to give specific guidance towards the learning aim for a programme. This definition includes workplace guidance to support the development of practical job-related skills, tutorials and supervised study in, for example, open learning centres and learning workshops. It also includes the time spent by staff assessing learners' achievements, for example in the assessment of competence for NVQs/Competence qualifications.

## Unit aim

This gives a summary of what the unit aims to do.

## Unit assessment requirements/evidence requirements

The SSC/B set the assessment/evidence requirements. Learners must provide evidence according to each of the requirements stated in this section.

## **Learning outcomes**

The learning outcomes of a unit set out what a learner knows, understands or is able to do as the result of a process of learning.

## **Assessment criteria**

The assessment criteria specify the standard required by the learner to achieve the learning outcome.



## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
1	Understand the Health and Safety requirements when undertaking energy assessments.	1.1	Explain the relevant legal duties for health, safety and security in the workplace.				
		1.2	Identify the health, safety and security risks that could exist in different locations, and the action to take to minimise or mitigate risks.				
		1.3	Identify the risks to self which are associated with lone working.				
		1.4	Explain why it is important to remain alert to the presence of risks in the workplace.				
		1.5	Explain the importance of personal conduct in maintaining the health, safety and security of yourself or others.				
		1.6	Explain how to make use of relevant suppliers and manufacturers' instructions for the safe use of equipment, materials and products.				
		1.7	Explain who should be informed of any conflicts between different health, safety and security requirements.				
		1.8	Describe the procedures for different types of emergency.				
		1.9	Identify the types of suggestions for improving health, safety and security at work that could be made and who should be given them.				
		1.10	Identify the actions that may be taken to protect customers' property.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
2 Understand the legislation, codes of conduct and compliance requirements in relation to energy assessment.	2.1	Explain why it is important to promote goodwill and trust when working with others and ways in which this can be achieved.				
	2.2	Explain how to identify the information you require and the potential sources of such information.				
	2.3	Describe how to respond to enquiries from others and how to clarify their information needs.				
	2.4	Explain how to respond to enquiries which are outside your authority, beyond your area of knowledge or expertise or where the information requested is confidential.				
	2.5	Define the extent and limits for your own competence and expertise and the importance of not working beyond these limits.				
	2.6	Describe the ways in which disputes or differences of opinion should be handled and resolved to minimise offence and maintain respect.				
	2.7	Describe the formal complaints procedure that covers your work in terms of: <ul style="list-style-type: none"> <li>• Any specific organisational requirements with regard to complaints</li> <li>• Your own responsibility to deal with complaints and attempt to resolve them before escalating to the Accreditation Body, or the equivalent in the Devolved Administrations.</li> </ul>				
	2.8	Identify the range of potential conflicts of interest that you may encounter and the action required to manage these				
	2.9	Explain why it is important to present a positive personal and professional image when dealing with people and how this can be achieved.				
	2.10	Describe the ways in which you may develop yourself within your role to cover your development needs.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
	2.11	Define the level of service expected by customers, their expectations as to the outcomes of the energy assessment or advice process and how to deliver an appropriate level of customer service.			
	2.12	Explain the need for prompt responses to enquiries.			

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>3 Understand the legislation, codes of conduct and compliance requirements in relation to energy assessment.</p>	3.1	Describe the relevant policies and legislation on combating climate change and the reduction of carbon emissions from buildings.		
	3.2	Describe the relevant legislation covering: <ul style="list-style-type: none"> <li>• The energy performance of buildings</li> <li>• Compliance with safe working practices</li> <li>• The relevant regulations in the Devolved Administrations</li> <li>• Where appropriate relevant legislation on the use of refrigerants.</li> </ul>		
	3.3	Describe the relevant official guidance and conventions relating to the assessment of energy performance.		
	3.4	Describe your specific responsibilities under prescribed codes of conduct and ethical standards.		
	3.5	Describe why it is important to comply with mandatory and advisory codes of practice.		
	3.6	Describe the specific auditing or monitoring requirements that relate to your registration with your accreditation organisation(s), or the equivalent in the Devolved Administrations and your responsibilities in complying with these.		
	3.7	Describe the framework under which Accreditation Bodies, or the equivalent in the Devolved Administrations, are required to operate, including their Scheme Operating Requirements or equivalent in the Devolved Administrations.		
	3.8	Explain the importance of obtaining and maintaining appropriate professional indemnity insurance (PII) cover, either through your own business or your employer and the extent and limitations of this type of cover.		

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
4 Be able to comply with organisational and legal requirements at all times.	4.1	Carry out work in accordance with the relevant legal requirements, legislation and advisory and mandatory codes of practice.				
	4.2	Carry out work in accordance with the auditing and monitoring requirements of the relevant accreditation or certification organisation/s.				
	4.3	Record customer contact information in accordance with organisational and legal requirements such as the Data Protection legislation.				
	4.4	Identify and maintain appropriate evidence to record to support your decisions and assumptions made when carrying out energy assessments.				
	4.5	Identify the evidence requirements defined in Scheme Operating Requirements, or their equivalent in the Devolved Administrations.				
	5.1	Take action to mitigate health, safety and security risks.				
5 Be able to maintain health, safety and security at work.	5.2	Ensure personal conduct does not endanger the health, safety and security of self and other people.				
	5.3	Take action to ensure the protection of client's property and buildings.				
	5.4	Adhere to workplace policies and suppliers' or manufacturers' instructions for the safe use of equipment, personal protective equipment (PPE), materials and products.				
	5.5	Identify procedures for different types of emergency and implement them.				
	5.6	Make recommendations for improving health, safety and security in the workplace to the relevant person/s.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
6 Be able to develop and maintain effective working relationships with colleagues, professionals, clients and others.	6.1	Develop and maintain productive working relationships with others.				
	6.2	Request information from colleagues, professionals, clients and others in a polite, clear and professional manner.				
	6.3	Identify and make use of further sources of information/help.				
	6.4	Deal with enquiries from colleagues, professionals, clients and others and seek clarification where necessary.				
	6.5	Handle enquiries which: <ul style="list-style-type: none"> <li>• Are outside own authority</li> <li>• Are beyond own area of knowledge or expertise</li> <li>• Involve confidential information.</li> </ul>				
	6.6	Handle and resolve disputes and/or differences of opinion.				
	6.7	Adhere to the formal complaints procedure when dealing with a complaint.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
7 Be able to conduct energy assessments in a professional manner.	7.1	Deal with colleagues, professionals, clients and others in a tactful, courteous and equitable manner.			
	7.2	Carry out work in accordance with prescribed codes of conduct, ethical standards and recognised good practice.			
	7.3	Record all evidence supporting the assumptions and decisions made during the assessment.			
	7.4	Demonstrate effective management of work activities and personal and professional development.			
	7.5	Respond appropriately to pressure from any person/s which may affect own judgment.			
	7.6	Demonstrate delivery of the appropriate level of customer service.			
	7.7	Assess customer expectations as to the outcomes of the energy assessment or advice process.			

Learner name: \_\_\_\_\_ Date: \_\_\_\_\_

Learner signature: \_\_\_\_\_ Date: \_\_\_\_\_

Assessor signature: \_\_\_\_\_ Date: \_\_\_\_\_

Internal verifier signature: \_\_\_\_\_ Date: \_\_\_\_\_  
*(if sampled)*

## **Unit 2: Prepare for energy assessments of non-dwellings to fulfil regulatory requirements for Asset Ratings**

**Unit reference number: J/503/8168**

**QCF level: 3**

**Credit value: 6**

**Guided learning hours: 30**

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### **Unit aim**

This unit enables the candidate to develop the skills to agree and confirm instructions to undertake energy assessment to meet regulatory and organisational requirements and to investigate relevant matters relating to property (non-dwellings) and energy usage.

### **Unit assessment requirements/evidence requirements**

Specific assessment and evidence requirements are specified where applicable, can be found in *Annexe C*. Please also refer to the Asset Skills Assessment Principles (May 2012), found in *Annexe A*.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
1	Understand the regulations and requirements needed to undertake energy assessments.	1.1	Explain the legislation governing energy assessment and the overall purposes of the Energy Performance Certificate.				
		1.2	Identify the relevant regulations for energy performance requirements for new buildings.				
		1.3	Identify the relevant regulations for energy performance requirements for existing buildings.				
		1.4	Describe the types of property and situations that do not by law require energy certification and how to deal with voluntary certification.				
		1.5	Identify the Building Regulations, EPBD Regulations and other Regulations' energy performance requirements that are relevant to buildings other than dwellings.				
		1.6	Describe the different stages involved in the energy assessment of new buildings, ensuring compliance with relevant aspects of Building Regulations and leading to the production of the 'as built' assessment, for the purpose of producing an Energy Performance Certificate.				
		1.7	Review the frequency of energy assessments and the validity of certificates and reports.				
		1.8	Explain the role of the Energy Performance Certificate in wider government policy including where relevant the Green Deal.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
2	2.1	Explain how to clarify and confirm the requirements and expectations of the client(s) and the scope of your instructions so that all the information is available and defaults are not used except where justified.				
	2.2	Describe how to identify and explain to clients any circumstances that prevent you from undertaking an energy assessment.				
	2.3	Identify the limitations and constraints that apply to the conduct of energy assessments.				
	2.4	Explain the importance of explaining and confirming in writing the arrangements agreed between you and client(s).				
	2.5	Explain the importance of explaining the terms and conditions and fee structures and payment arrangements for energy assessments.				
	2.6	Identify the limitations and constraints of the planned energy assessment.				
	2.7	Explain how to confirm on-site inspection arrangements with the client(s) or other occupier.				
	2.8	Identify the circumstances that may prevent you from undertaking an energy assessment.				
	2.9	Explain the importance of explaining politely and clearly to clients the reasons why you cannot undertake an energy assessment.				
	2.10	Explain the importance of confirming whether any specific arrangements apply to the energy assessment.				
	2.11	State which software tools have been approved for particular applications.				
	2.12	Explain the principles of operation of the approved software tools.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
3	Understand how to investigate relevant matters relating to property and energy usage.	3.1	Identify the different types of preparatory information that it is important to obtain to ensure a complete and accurate assessment and certificate.				
		3.2	Identify the different sources of preparatory information (including existing calculations and energy audit reports) relating to the energy performance of the property.				
		3.3	Explain how to obtain preparatory information relating to the energy performance of the property.				
		3.4	Identify prevailing geographical/environmental features that may affect the energy performance of the property.				
		3.5	Explain how to evaluate relevant information in order to identify any significant factors that may influence the energy assessment, including: <ul style="list-style-type: none"> <li>• Gaps in information concerning the building and its energy use</li> <li>• Health and safety considerations, accessibility</li> <li>• Level of building complexity.</li> </ul>				
		3.6	Explain how to identify circumstances that prevent you from assessing the energy performance of the property.				
		3.7	Explain the importance of explaining to clients why you may not be able to fulfil the agreed contract.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
4	Be able to agree and confirm instructions to undertake energy assessments.	4.1	Determine the nature and characteristics of the property to ensure that it requires an Operational Rating (OR) or Asset Rating as appropriate.				
		4.2	Respond to requests to undertake energy assessments from clients.				
		4.3	Clarify and confirm the requirements and expectations of clients and the scope of own instructions to ensure that all the information is available and defaults are not used except where justified.				
		4.4	Explain to the client the relevant regulations that are legally required and the overall purpose of the Energy Certificate.				
		4.5	Explain to the client why the Energy Certificate has to conform to prescribed protocols and must be accompanied by cost-effective recommendations.				
		4.6	Explain to the client the limitations and constraints of the planned energy assessment, identifying any circumstances that prevent the assessment from being undertaken and giving your reasons.				
		4.7	Agree in writing with the client the terms, conditions and fee structure under which the energy assessment will be undertaken, including the need to take photographs and record other evidence for audit purposes.				
		4.8	Confirm to clients the terms, conditions and arrangements that have been agreed and confirm in writing any specific arrangements with clients or other occupiers.				
		4.9	Provide any necessary guidance to clients with regard to the legislation governing energy assessment.				
		4.10	Select a suitable software tool, appropriate to the building being assessed and approved under the Regulations for energy assessment.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
5 Be able to investigate relevant matters relating to energy usage within a property.	5.1	Investigate and record any preparatory information to ensure complete and comprehensive energy assessment and certification.			
	5.2	Identify prevailing geographical/environmental features that may affect the energy performance of the property.			
	5.3	Evaluate preparatory information to identify inconsistencies and any significant factors that may influence the energy assessment.			
	5.4	Explain to clients the scope of information that will assist the energy assessment and request any relevant additional information that will be relevant.			
	5.5	Inform clients promptly in cases where your investigations reveal problems that prevent you from assessing the energy performance of the property.			
	5.6	Ensure that the most up-to-date version of the approved software and associated reference materials can be accessed.			

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(if sampled)

# **Unit 3: Undertake energy assessments of existing Level 3 non-dwellings using the Simplified Building Energy Model SBEM**

**Unit reference number:** L/503/8169

**QCF level:** 3

**Credit value:** 11

**Guided learning hours:** 45

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## **Unit aim**

This unit will help to develop the knowledge and skills needed to inspect non-dwellings to determine the energy performance of an existing level 3 property, using the Simplified Building Energy Model, make recommendations for cost-effective improvements and issue Energy Performance Certificates in compliance with regulatory requirements.

## **Unit assessment requirements/evidence requirements**

Specific assessment and evidence requirements are specified where applicable, can be found in *Annexe C*. Please also refer to the Asset Skills Assessment Principles (May 2012), found in *Annexe A*.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
1	Understand the equipment and resources needed to undertake energy inspections.	1.1	Explain the principles of building structure elements, fabric, services and overall design philosophy as relevant to energy assessment.				
		1.2	Identify equipment and resources needed to undertake the inspection.				
		1.3	Explain the detailed inspection requirements that apply to a property as described in relevant guidance documents and Conventions.				
		1.4	Explain the definitions and conventions embodied within the approved software used to calculate energy performance ratings.				
		1.5	Identify, from drawings and building structures, the various types of building construction, materials and services.				
		1.6	Explain how to conduct the inspection in a thorough, methodical and consistent manner.				
		1.7	Identify the range of measures to improve the energy performance of a property that may be included within an Energy Performance Certificate Recommendations Report.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
2 Understand the implications of building characteristics affecting the energy performance of a property.	2.1	Identify assumptions that are made in determining energy performance.				
	2.2	State the factors that are relevant to determining the energy performance of a property and those that are deemed not to affect the energy performance of the property.				
	2.3	Identify and evaluate the relevance of building characteristics which affect the energy performance of a Level 3 building and make it distinct from Level 4.				
	2.4	Identify and classify variations in building use and activities, as defined in the Simplified Building Energy Model (SBEM) and its conventions, including the use of planning classifications.				
	2.5	Describe how much impact building characteristics have on the building's overall energy performance.				
	2.6	Identify critical property features and activities where incorrect choice of values will be significantly detrimental to accuracy, including: <ul style="list-style-type: none"> <li>• Allocation of the most appropriate activity to zones</li> <li>• Lighting</li> <li>• Choice of default HVAC in zones where none exists</li> <li>• Selection of HVAC efficiency and its allocation to the appropriate zone</li> <li>• Availability of daylight</li> <li>• Presence of Low and Zero Carbon Technologies.</li> </ul>				
	2.7	Identify the problems that can affect the energy performance of the building fabric and services.				
	2.8	Review the implications of hazardous building fabric for the energy assessment and reporting.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
3	Understand how to collate information from the on-site inspection and other sources to assess the energy performance of the property.	3.1	Explain how to make accurate observations and take accurate measurements.				
		3.2	Explain how to make further investigations where observations are inconsistent with existing evidence and expected findings and how to identify the causes of these inconsistencies.				
		3.3	Explain how to collate information required to assess the energy performance of property.				

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>4 Understand how to prepare and issue an Energy Performance Certificate which includes recommendations for cost-effective improvements and meets relevant regulations.</p>	4.1	State the prescribed format and content of an Energy Performance Certificate.		
	4.2	State the range of energy efficiency measures that may be included within an Energy Performance Certificate.		
	4.3	Identify the approved software used for the production and lodgement of completed Energy Performance Certificates.		
	4.4	Explain how to correctly use the approved software for the production and lodgement of completed Energy Performance Certificates.		
	4.5	Explain the principles underpinning the approved tools used to calculate the energy performance ratings.		
	4.6	Explain how to input data using the approved software in order to determine energy performance ratings.		
	4.7	Explain how to use approved software to generate energy efficiency measures for the property.		
	4.8	Explain the importance of checking that data has been inputted correctly prior to lodgement and how to review data if the calculation will not process or appears incorrect.		
	4.9	Explain the importance of checking the energy efficiency measures generated prior to lodgement, deleting any that are inappropriate and providing your reasons.		
	4.10	Explain the way in which energy efficiency measures are generated and circumstances when it is appropriate to delete them.		
	4.11	Explain the importance of checking the Energy Performance Certificate and energy efficiency measures for the property to ensure they comply with relevant requirements.		

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
	4.12	State how to use the information technology underpinning the national register for lodgement and retrieval of Energy Performance Certificates.			
	4.13	Explain how to provide necessary audit evidence via electronic transfer.			

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
5 Understand how to make and maintain complete, accurate and legible records of your work.	5.1	Explain the level of detail within your records required to produce a complete and comprehensive Energy Performance Certificate.			
	5.2	Explain the level of detail within your records required to justify your decisions on the values recorded and energy efficiency measures included.			
	5.3	State why it is important to make and maintain complete, accurate and legible records.			
	5.4	Explain the reasons why it is necessary and important to record where and why accurate inspection has not been possible.			
	5.5	Explain the circumstances in which records can include the fact that information is "unknown" and the evidence required to support the use of defaults in these circumstances.			
	5.6	Explain the importance of storing records securely allowing for future access and the purposes for which those records may be used.			

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
6	Be able to inspect a Level 3 non-dwelling.	6.1	Ensure that equipment and resources needed are available for the inspection of Level 3 non-dwellings.				
		6.2	Identify yourself to those present at the property before commencing inspection.				
		6.3	Identify and record the method of construction of the property and the main materials used, the installed building services and the activities which take place in the building.				
		6.4	Use surveying equipment correctly and record and interpret data accurately.				
		6.5	Identify circumstances when at the property that prevent you continuing with the inspection and explain the reasons to the client(s).				
		6.6	Undertake a methodical visual inspection of the property in accordance with the requirements of the approved software and current Conventions.				
		6.7	Draw a suitable sketch plan and elevations where none exist.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
7	Be able to collate information from the on-site inspection and other sources to assess the energy performance of the property.	7.1	Make accurate observations and measurements which are necessary to provide data for the calculation of an energy performance rating and production of energy efficiency measures for the property.				
		7.2	Obtain all additional information that is needed about the property and ensure that defaults are not used except where justified.				
		7.3	Identify where observations are inconsistent with existing evidence and expected findings and conduct further investigations to establish the causes of these inconsistencies.				
		7.4	Identify critical property features and activities where incorrect choice of values will be significantly detrimental to accuracy and take appropriate steps to correctly represent these features to arrive at an accurate assessment of the property.				
		7.5	Follow the correct procedures for collecting information to enable the energy efficiency of the property to be determined.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
8	Be able to prepare and issue an Energy Performance Certificate which includes recommendations for energy efficiency measures and meets relevant regulations.	8.1	Describe the prescribed format and content of an Energy Performance Certificate.				
		8.2	Explain the way in which energy efficiency measures are generated and circumstances when it is appropriate to delete them.				
		8.3	Use approved software correctly to determine energy performance ratings and to generate energy efficiency measures for the property.				
		8.4	Check that data has been inputted correctly prior to lodgement and review data if calculations do not work or if the result appears incorrect.				
		8.5	Recognise a result that is unlikely to be correct for the property in question.				
		8.6	Check the Energy Performance Certificate and energy efficiency measures prior to lodgement, ensuring compliance with relevant requirements and make any necessary amendments.				
		8.7	Take the necessary corrective action where any of your checks indicate a possible incorrect data entry or error in the resulting rating or energy efficiency measures.				
		8.8	Use the information technology underpinning the national register for lodgement and retrieval of Energy Performance Certificates.				
		8.9	Lodge Energy Performance Certificates on the prescribed national databank on completion.				
		8.10	Provide necessary audit evidence via electronic transfer.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
<p>9 Be able to make and maintain complete, accurate and legible records of your work.</p>	9.1	<p>Produce and maintain accurate and legible records of your findings, which are clear, complete and conform to accepted professional and statutory requirements, including investigations carried out, values recorded and options considered.</p>			
	9.2	<p>Keep detailed records which ensure that you can produce a complete and comprehensive Energy Performance Certificate and justify your decisions on values recorded and energy efficiency measures selected.</p>			
	9.3	<p>Collate information as evidence to support the specific decisions made on values chosen and energy efficiency measures considered, including:</p> <ul style="list-style-type: none"> <li>• Legible site notes</li> <li>• Clear site sketches (plan, elevation) to give an adequate record of the inspection for audit purposes</li> <li>• Clear photographs containing mandated data appropriately staged and annotated where necessary</li> <li>• Legibly completed survey forms records of web searches or other research</li> <li>• Any other information you consider necessary to support your decisions</li> <li>• Any other information required by Scheme Operating Requirements.</li> </ul>			
	9.4	<p>Explain the circumstances in which records can include the fact that information is "unknown" and the evidence required to support the use of defaults in these circumstances.</p>			
	9.5	<p>Store records securely allowing for future access and state the purposes for which your records may be used.</p>			

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# **Unit 4: Report on the energy assessment of new and existing non-dwellings using Simplified Building Energy Model SBEM**

**Unit reference number:** L/503/8172

**QCF level:** 4

**Credit value:** 7

**Guided learning hours:** 35

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## **Unit aim**

This unit will help to develop the knowledge and skills needed to prepare a report on the energy assessment of new and existing non-dwellings using Simplified Building Energy Model (SBEM).

## **Unit assessment requirements/evidence requirements**

Specific assessment and evidence requirements are specified where applicable, can be found in *Annexe C*. Please also refer to the Asset Skills Assessment Principles (May 2012), found in *Annexe A*.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
1	Understand how to produce Recommendations Reports for non-dwellings using SBEM.	1.1	Describe the prescribed format and content of an Energy Performance Certificate Recommendations Report.				
		1.2	Identify the range of energy efficiency measures that may be included within an Energy Performance Certificate Recommendations Report.				
		1.3	State the approved software used to generate energy efficiency measures for the property.				
		1.4	Explain the principles underpinning the approved software used to calculate energy ratings and produce Recommendations Reports.				
		1.5	Explain how to correctly use the approved software to produce Energy Performance Certificates.				
		1.6	Explain the importance of checking that data has been inputted correctly and how to review data if the calculation will not process or if the result appears incorrect.				
		1.7	Explain the effect of choosing default data options on the energy efficiency measures offered by SBEM.				
		1.8	Explain how to check the Energy Performance Certificate Recommendations Report for cost-effective improvements, ensuring compliance with relevant requirements and conventions.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
	1.9	Identify the level of detail within your records required to produce a complete and comprehensive Recommendations Report and justify your decisions on the values recorded and energy efficiency measures selected.			
	1.10	Explain the importance of making and maintaining records that are complete, accurate and legible.			
	1.11	Explain the reasons why it is necessary and important to record where and why accurate inspection has not been possible.			
	1.12	Identify the circumstances in which records can include the fact that information is “unknown” and the evidence required to support this choice.			
	1.13	Explain the importance of storing records securely allowing for future access and the purposes for which your records may be used.			

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
2 Understand how to provide a clearly defined and robust hierarchy of energy efficiency measures for non-dwellings.	2.1	Explain how to use approved software to generate energy efficiency measures for the property.				
	2.2	Explain the way in which energy efficiency measures are generated and circumstances when it is appropriate to delete them.				
	2.3	Explain the importance of checking the energy efficiency measures generated, deleting any that are inappropriate, and providing your reasons.				
	2.4	Identify the factors that could affect the choice of energy efficiency measures for improvements to the property, including: <ul style="list-style-type: none"> <li>• Issues that make them unsuitable for the property</li> <li>• Interactions between building fabric and building services</li> <li>• Listed building status/conservation areas.</li> </ul>				
	2.5	Identify the issues that could make energy efficiency measures unsuitable for the property, including: <ul style="list-style-type: none"> <li>• Property situation e.g. subject to extreme weather</li> <li>• Property condition e.g. state of repair of external walls</li> <li>• Inadequate ventilation</li> <li>• Traditional construction</li> <li>• Any other features of the property, or its site/location, which might adversely affect the performance of the recommended improvement, or the building's performance after improvement.</li> </ul>				
	2.6	Explain how to make appropriate deletions/amendments based on the practical and economic feasibility for the building under consideration.				
	2.7	Identify current typical costs of energy efficiency measures.				

Learning outcomes	Assessment criteria		Evidence type	Portfolio reference	Date
	2.8	Explain how to estimate typical costs, for the particular building, of any proposed energy efficiency measures.			
	2.9	Explain how to assess the carbon impact and payback period of energy efficiency measures in order to provide an hierarchy of improvement measures.			
	2.10	Identify the data and information required to be lodged on the relevant central register.			
	2.11	Identify appropriate advice on the implementation of the energy efficiency measures that may be given to the client.			

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
3	Understand how to communicate the value of a Recommendations Report and how it can be used.	3.1	State the objective of producing Recommendations Reports.				
		3.2	Explain the difference between high, medium and low carbon impact energy efficiency measures and the scale of savings that each may achieve.				
		3.3	Identify which elements have greater impact on the energy performance of the building in question and why.				
		3.4	Explain how estimates of costs for energy efficiency measures have been arrived at and how robust they are.				
		3.5	Explain how to communicate and explain the energy efficiency measures to the client.				
		3.6	Explain the importance of retaining documentation for audit purposes or legal compliance.				
		3.7	Explain how to convey essential information in a written report in a way which will be comprehensible to the client.				
		3.8	Identify where to refer clients for further help and advice.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
4 Be able to produce Recommendations Reports for non-dwellings using SBEM.	4.1	Use approved software to generate energy efficiency measures that improve energy performance.				
	4.2	Check the Recommendations Report, ensuring compliance with relevant requirements and current conventions.				
	4.3	Produce and maintain accurate and legible records which are clear, complete and conform to accepted professional and statutory requirements to include: <ul style="list-style-type: none"> <li>• Records investigations carried out</li> <li>• Values recorded</li> <li>• Options considered.</li> </ul>				
	4.4	Record information at a sufficient level of detail to produce a complete and comprehensive Energy Performance Certificate and justify your decisions on values recorded and energy efficiency measures selected.				
	4.5	Describe the circumstances in which records can include the fact that information is "unknown" and the evidence required to support this choice.				
	4.6	Store records securely allowing for future access and explain the purposes for which the records may be used.				

Learning outcomes	Assessment criteria			Evidence type	Portfolio reference	Date
5 Be able to provide a clearly defined and robust hierarchy of energy efficiency measures for non-dwellings.	5.1	Use the approved software to generate energy efficiency measures to improve energy performance.				
	5.2	Explain the effect of choosing default data options on the energy efficiency measures offered by SBEM.				
	5.3	Check the energy efficiency measures generated and make appropriate deletions, additions and amendments based on the practical and economic feasibility for the building under consideration, providing and documenting your reasons.				
	5.4	Identify the factors that could affect the choice of energy efficiency measures for improvements to the property, including issues that make them unsuitable for the property, interactions between building fabric and building services and listed building status/conservation areas.				
	5.5	Identify the relative costs of any energy efficiency measures which may be proposed.				
	5.6	Provide a hierarchy of improvement measures based on carbon impact and payback period.				
	5.7	Identify the data and information required to be lodged on the relevant central register and show understanding of the lodging procedures.				
	5.8	Produce a valid Recommendations Report, in accordance with approved guidance.				
	5.9	Provide initial advice on the implementation of the recommendations made.				

Learning outcomes		Assessment criteria			Evidence type	Portfolio reference	Date
6	Be able to communicate the value of a Recommendations Report and how it can be used.	6.1	Explain to clients the objective of producing Recommendations Reports.				
		6.2	Explain to clients the difference between high, medium and low carbon impact measures, giving examples of the scale of savings which may be achieved by each.				
		6.3	Explain to clients which recommendations have greater impact on the energy performance of the building in question and why.				
		6.4	Explain to clients how estimates of costs for energy efficiency measures have been arrived at and how robust they are.				
		6.5	Explain energy efficiency measures to the client.				
		6.6	Understand the importance of retaining documentation for audit purposes or legal compliance.				
		6.7	Highlight the essential information contained in the Recommendations Report in a way which will be comprehensible to the client.				

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*(if sampled)*

## 12 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Pearson Edexcel: [www.edexcel.com/contactus](http://www.edexcel.com/contactus)
- Pearson BTEC: [www.btec.co.uk/contactus](http://www.btec.co.uk/contactus)
- Pearson Work Based Learning: [www.pearsonwbl.com/contactus](http://www.pearsonwbl.com/contactus)
- Books, software and online resources for UK schools and colleges: [www.pearsonschools.co.uk/contactus](http://www.pearsonschools.co.uk/contactus)

Other sources of information and publications available on our website include:

- *Pearson Equality Policy*
- *Pearson Work Based Learning Centre Guide*
- *Edexcel UK Information Manual – Chapter 9* (updated annually)
- *Recognition of Prior Learning Policy*.

Further information and publications on the delivery and quality assurance of NVQ/Competence-based qualifications is available on our website, at [www.pearsonwbl.edexcel.com/NVQ-competence-based](http://www.pearsonwbl.edexcel.com/NVQ-competence-based).

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please go to [www.edexcel.com/resources/publications](http://www.edexcel.com/resources/publications).

## 13 Professional development and training

Pearson supports UK and international customers with training related to our qualifications. This support is available through a choice of training options and sector events, or through customised training at your centre.

The support we offer focuses on a range of issues, including:

- planning for the delivery of a new programme
- planning for assessment
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building functional skills into your programme
- building in effective and efficient quality assurance systems.

For more information on training options and upcoming events, please visit our website, [www.pearsonwbl.edexcel.com/training-events](http://www.pearsonwbl.edexcel.com/training-events). You can request customised training by completing the enquiry form on our website and we will contact you to discuss your training needs.

### Support services

**Face-to-face support:** our team of Regional Quality Managers, based around the country, are responsible for providing quality assurance support and guidance to anyone managing and delivering NVQs/Competence-based qualifications. The Regional Quality Managers can support you at all stages of the standard verification process as well as in finding resolutions of actions and recommendations as required. A UK map showing the Regional Quality Managers' contact details can be found at [www.btec.co.uk/support](http://www.btec.co.uk/support).

**Online support:** find the answers to your questions by browsing over 100 FAQs on our website or by submitting a query using our Work Based Learning Ask the Expert Service. You can search the database of commonly asked questions relating to all aspects of our qualifications in the work-based learning market. If you are unable to find the information you need, send us your query and our qualification or administrative experts will get back to you. The Ask the Expert service is available at [www.pearsonwbl.edexcel.com/Our-support](http://www.pearsonwbl.edexcel.com/Our-support).

### Online forum

Pearson Work Based Learning Communities is an online forum where employers, further education colleges and workplace training providers are able to seek advice and clarification about any aspect of our qualifications and services, as well as share knowledge and information with others. The forums are sector specific and cover Business Administration, Customer Service, Health and Social Care, Hospitality and Catering and Retail. The online forum is available at [www.pearsonwbl.edexcel.com/Our-support](http://www.pearsonwbl.edexcel.com/Our-support).

## 14 Contact us

We have a dedicated Account Support team, based throughout the UK, to give you more personalised support and advice. To contact your Account Specialist you can use any of the following methods:

**Email:** wblcustomerservices@pearson.com

**Telephone:** 0844 576 0045

If you are new to Pearson and would like to become an approved centre, please contact us at:

**Email:** wbl@pearson.com

**Telephone:** 0844 576 0045

### Complaints and feedback

We are working hard to provide you with excellent service. However, if any element of our service falls below your expectations, we want to understand why, so that we can prevent it from happening again. We will do all that we can to put things right.

If you would like to register a complaint with us, please email [wblcomplaints@pearson.com](mailto:wblcomplaints@pearson.com).

We will formally acknowledge your complaint within two working days of receipt and provide a full response within seven working days.

# Annexe A: Assessment requirements/strategy

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## 1. Introduction

Asset Skills has worked with the awarding organisations offering qualifications within their footprint to develop these assessment principles for competence-based units of assessment which have been submitted by Asset Skills to the appropriate national qualification and credit framework.

Asset Skills, with the support of industry, is dedicated to embedding the National Occupational Standards and units of assessment into the workplace and to upholding the quality and integrity of the standards and units and qualifications based upon them.

## 2. Assessment principles for competency-based units

2.1 The following principles will apply to awarding organisations:

- 2.1.1 Assessment should normally be at the candidate's workplace, but where the opportunity to assess across the range of standards is unavailable other comparable working environments may be used, following agreement from the External Verifier.
- 2.1.2 A holistic approach towards the collection of evidence should be encouraged, assessing activities generated by the whole work experience rather than focusing on specific tasks.
- 2.1.3 Asset Skills does not prescribe a minimum number of observations. However, evidence provided must demonstrate that the candidate's competency is consistent and reliable.
- 2.1.4 Assessors can only assess in their acknowledged area of occupational competence.
- 2.1.5 Assessors and Internal Quality Assurers/Internal Verifiers will be registered with their approved centre and be accountable to the organisation for their assessment practice.
- 2.1.6 Health and safety of customers/clients and employees must be maintained throughout the assessment process and if any person carrying out assessment or verification activities does not feel that there is due regard to health and safety then that person should refuse to continue with the activity(ies) until satisfied that due regard to health and safety is being taken.

### 3. Simulation and witness testimony for competency-based units

There are a few occasions when simulation or witness testimony is warranted where the centre can demonstrate that performance evidence has been impossible to obtain.

The underlying reasons for either simulation or witness testimony are:

- health and safety considerations
- activities that would cause serious inconvenience or loss to an employer if there was an undue delay in their being carried out
- infrequently occurring activities
- equality of access

#### 3.1 Simulation

Simulation may be necessary for specific elements of the units. It is advisable that centres refer to the awarding organisations in these cases for clear guidelines.

Awarding organisation guidance to centres must ensure that demands on the candidate during simulation are neither more nor less than they would encounter in a real work situation. In particular:

- all simulations must be planned, developed and documented by the centre in a way that ensures the simulation accurately reflects what the unit seeks to assess
- all simulations should follow these documented plans
- a centre's overall strategy for simulation must be examined and approved by the external verifier
- there should be a range of simulations to cover the same aspect of the standard so that the risk of candidates successfully colluding is reduced
- the physical environment for the simulation must be as realistic as possible and draw on real resources that would be used in the industry
- the nature of the contingency must be realistic

#### 3.2 Witness testimony

Witness testimony should not form the primary source of evidence. Centres must comply with awarding organisation guidance over the occupational competence and briefing of witnesses in the use of witness testimony.

## 4. Recognition of prior learning and experience

- 4.1 Evidence from past achievement may be included as permissible evidence within assessment methods.
- 4.2 Evidence of prior knowledge and understanding can be offered as supplementary evidence as long as it is a measurable assessed outcome of learning which links to the unit of assessment.
- 4.3 Assessors should make best use of all the assessment methods available to them in ensuring the most reliable and effective use is made of claims of prior learning and experience, which relate to the individual circumstances.
- 4.4 All candidates must demonstrate current competence with respect to recognition of prior learning (RPL).

## 5. External quality assurance of assessment

- 5.1 Awarding organisations will operate a risk rating system of approved centres. This will be applied UK wide.
  - 5.1.1 The awarding organisations will review centre risk ratings on an annual basis to ensure risk rating is still appropriate and take appropriate action to ensure quality assurance is maintained.

## 6. Framework criteria for the appointment of External Verifiers

- 6.1 Asset Skills aims to ensure that the technical and quality aspirations of industry are met, in order to inspire confidence in the national occupational standards and qualifications.
- 6.2 The criteria will apply to existing and new External Verifiers (EVs).
- 6.3 Verification competence:
  - 6.3.1 The appointment and competence of External Verifiers must comply with current Ofqual regulations for QCF awarding organisations. Awarding organisations will ensure that External Verifiers:

Hold or be working towards an appropriate external verifier qualification and demonstrate evidence of knowledge, understanding and experience of the assessment process (together with the occupational competence requirements below):

    - In England, Wales, Northern Ireland new External Verifiers must achieve an appropriate external verifier qualification within 12 months of beginning external verification.
    - In Scotland, all new EVs should have an assessment plan for achieving L&D unit 12 and be working towards achieving the awards. There is no timescale attached to the achievement of L&D unit 12.
- 6.4 Occupational competence

All External Verifiers must:

  - 6.4.1 Provide evidence of knowledge, understanding and application of the National Occupational Standards (NOS), units of assessment and assessment principles, together with technical definitions where appropriate. Awarding organisations should cover this requirement as part of their normal appointment process.

- 6.4.2 Have verifiable relevant experience and current knowledge of the occupational working area at or above the level being verified. This experience and knowledge must be of sufficient depth to be effective and reliable when verifying judgements about assessors' assessment processes and decisions. External Verifiers' experience and knowledge could be verified by:
  - curriculum vitae and references
  - possession of a relevant qualification
  - corporate membership of a relevant professional institution
- 6.4.3 Have up-to-date knowledge and experience of the particular aspects of work they are verifying. This could be verified by records of continuing professional development achievements.
- 6.4.4 Have a sound in-depth knowledge of, and uphold the integrity of the NOS, units of assessment and these assessment principles.
- 6.4.5 Undertake continuous professional development to ensure that they are working to the current National Occupational Standards in assessment and verification.
- 6.4.6 Be aware of national issues affecting vocational education, training and qualifications in the sector.
- 6.4.7 Have appropriate knowledge of the Asset Skills framework of qualifications in relevant areas to the qualifications being externally verified.
- 6.4.8 Demonstrate their ability to maintain credibility and retain the confidence of the industry through commitment to continuous personal and professional development.
- 6.4.9 Provide evidence of knowledge, understanding and application of the Regulatory Authorities' codes of practice.
- 6.5 Awarding organisations may have generic criteria and personnel specifications in addition to the above.

## **7. Framework criteria for the appointment of Internal Quality Assurers/Internal Verifiers**

- 7.1 Internal Quality Assurers/Internal Verifiers (IQAs/IVs) are appointed by and approved by the awarding organisation through their External Verifier.
- 7.2 This criteria will apply to existing and new IQAs/IVs.
- 7.3 IQAs/IVs should only verify the decisions of assessors which fall within their area of technical and occupational competence.
- 7.4 IQAs/IVs should be seen as the persons responsible for an approved centre's assessment quality in order to facilitate the assessment process and should be one of the following:
  - 7.4.1 IQAs/IVs will be employed directly or contractually by the same organisation (approved centre) as the assessors.

Or

  - 7.4.2 Acting as a counter-signatory on a short-term basis, a maximum period of 18 months, where IQAs/IVs have not yet achieved an appropriate qualification in internal verification.

7.5 The appointment and competence of IQAs/IVs must comply with current Regulatory Authority Regulations. IQAs/IVs will either:

- a. hold or be working towards an appropriate internal verifier qualification:
- In England, Wales and Northern Ireland all new IQAs/IVs should achieve an appropriate internal verifier qualification within 18 months of beginning internal quality assurance/verification duties. Internal quality assurance/verification decisions by Verifiers who are still working towards certification must be countersigned by an IQA/IV who has gained certification.
  - In Scotland, all new Verifiers should have an assessment plan for achieving the learning and development (L&D) unit 11 and be working towards achieving the award. External Verifiers will monitor progress and achievement towards the achievement of learning and development (L&D) unit 11 during centre visits.
  - All new IQAs/IVs must hold an appropriate qualification in assessment of competence.

Or

- b. Where employers opt for an '**employer direct**' model, the qualification requirements specified by the regulatory authorities may be waived as described below.

**The 'employer direct' model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their awarding organisation and Asset Skills may choose between:**

- Achieving the appropriate regulatory body approved unit qualifications for internal quality assurance/verification

Or

- Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these quality assurance/verification roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process must be agreed by the awarding organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification.

**The alternative option described above, which waives the need for the regulatory approved units, must be confined in application to an 'organisation by organisation' and 'qualification by qualification' basis. Prospective organisations must be able to confirm that their in-house practices conform to the requirements of the standards in association with the relevant awarding organisation.**

7.5.1 It is desirable that all IQAs/IVs hold a relevant qualification.

IQAs/IVs will:

7.5.2 Have verifiable relevant experience and current knowledge of the occupational working area at or above the level being verified. This experience and knowledge must be of sufficient depth to be effective and reliable when verifying judgements about assessors' assessment processes and decisions. IQAs'/IVs' experience and knowledge could be verified by:

- curriculum vitae and references
- possession of a relevant qualification
- corporate membership of a relevant professional institution

7.5.3 Have expertise so they have up-to-date knowledge and experience of the particular aspects of work they are verifying. This could be verified by records of continuing professional development achievements.

7.5.4 Have a sound in-depth knowledge of, and uphold the integrity of the NOS, units of assessment and these assessment principles.

7.5.5 Be prepared to participate in training activities for their continued professional development.

7.5.6 Demonstrate their ability to maintain occupational competence by continuous professional development.

7.5.7 Undertake continuous professional development to ensure that they are working to the current National Occupational Standards in assessment and verification.

7.5.8 Have knowledge of the requirements and application of the Asset Skills assessment principles.

7.5.9 Provide evidence of knowledge, understanding and application of the Regulatory Authorities' codes of practice.

7.6 Centres will be responsible for ensuring that internal quality assurers/internal verifiers plan and maintain continuous professional development.

7.7 Approved centres may have generic criteria and personnel specifications in addition to the above.

## **8. Framework criteria for the appointment of Assessors**

8.1 This section is intended to assist approved centres in the recruitment of those individuals who will act as Assessors within the approved centre.

8.2 Assessors are appointed by an approved centre and approved by the awarding organisation through their External Verifier.

8.2.1 They should only assess in their area of technical and occupational competence as approved by their awarding organisations.

8.3 Assessors should be one of the following:

8.3.1 Employed directly or contractually by the same organisation (centre) as the candidate.

Or

8.3.2 Acting as a counter signatory on a short term basis (18 months) where the Centre Assessor has not yet achieved an appropriate qualification in assessment of competence.

8.4 The Assessor should have the following:

Assessment competence

Either:

8.4.1

a. Hold or be working towards an appropriate qualification in assessment of competence:

- In England, Wales and Northern Ireland, new Assessors must achieve an appropriate qualification in assessment of competence within 18 months of beginning assessment duties. Assessment decisions by Assessors who are still working towards certification must be countersigned by an Assessor who has gained certification.
- In Scotland, all new Assessors should have an assessment plan for achieving 9D and/or 9DI units and be working towards achieving the units. External Verifiers will monitor progress and achievement towards the achievement of 9D and 9DI units during centre visits.
- Candidates in possession of a TQFE without having an appropriate 9D and 9DI units should undertake continuing professional development to demonstrate that they are working to the appropriate unit standard.

Or

b. Where employers opt for an '**employer direct**' model, the qualification requirements specified by the regulatory authorities may be waived as described below.

**The 'employer direct' model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their awarding organisation and Asset Skills may choose between:**

**Achieving the appropriate regulatory body approved unit qualifications for assessment.**

Or

Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process **must** be agreed by the awarding organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification.

**The alternative option described above, which waives the need for the regulatory approved units, must be confined in application to an 'organisation by organisation' and 'qualification by qualification' basis. Prospective organisations must be able to confirm that their in-house practices conform to the requirements of the standards in association with the relevant awarding organisation.**

Occupational competence

All assessors must:

- 8.5.1 Have verifiable relevant current industry experience and knowledge of the occupational area at or above the level being assessed. This experience and knowledge must be of sufficient depth to be effective and reliable when judging candidates' competence. Assessors' experience and knowledge could be verified by:
  - curriculum vitae and references
  - possession of a relevant qualification
  - corporate membership of a relevant professional institution
- 8.5.2 Have sufficient occupational expertise so they have up-to-date knowledge and experience of the particular aspects of work they are assessing. This could be verified by records of continuing professional development achievements.
- 8.5.3 Have a sound in-depth knowledge of, and uphold the integrity of the sector's NOS, units of assessment and these assessment principles.
- 8.5.4 Be prepared to participate in training activities for their continued professional development.
- 8.6 Centres will be responsible for ensuring that assessors plan and maintain continuous professional development.
- 8.7 Approved centres may have generic criteria and personnel specifications in addition to the above.

## Annexe B: Personal, Learning and Thinking Skills (PLTS) Mapping

PLTS	Units			
	1 Level 3	2 Level 3	3 Level 3	4 Level 4
<b>Independent Enquirers</b>				
1 identify questions to answer and problems to resolve	•	•		
2 plan and carry out research, appreciating the consequences of decisions	•	•	•	
3 explore issues, events or problems from different perspectives	•	•		
4 analyse and evaluate information, judging its relevance and value		•	•	•
5 consider the influence of circumstances, beliefs and feelings on decisions and events		•		
6 support conclusions, using reasoned arguments and evidence	•	•	•	•
<b>Creative Thinkers</b>				
1 generate ideas and explore possibilities	•		•	
2 ask questions to extend their thinking		•	•	
3 connect their own and others' ideas and experiences in inventive ways		•		
4 question their own and others' assumptions	•		•	
5 try out alternatives or new solutions and follow ideas through		•		
6 adapt ideas as circumstances change	•			
<b>Reflective Learners</b>				
1 assess themselves and others, identifying opportunities and achievements	•			
2 set goals with success criteria for their development and work				
3 review progress, acting on the outcomes				
4 invite feedback and deal positively with praise, setbacks and criticism				
5 evaluate experiences and learning to inform future progress			•	
6 communicate their learning in relevant ways for different audiences			•	

PLTS	Units			
	1 Level 3	2 Level 3	3 Level 3	4 Level 4
<b>Team Workers</b>				
1 collaborate with others to work towards common goals	•	•	•	
2 reach agreements, managing discussions to achieve results	•	•	•	
3 adapt behaviour to suit different roles and situations, including leadership roles	•		•	
4 show fairness and consideration to others	•	•		
5 take responsibility, showing confidence in themselves and their contribution	•			
6 provide constructive support and feedback to others	•	•	•	
<b>Self-Managers</b>				
1 seek out challenges or new responsibilities and show flexibility when priorities change				
2 work towards goals, showing initiative, commitment and perseverance	•	•	•	
3 organise time and resources, prioritising actions	•	•	•	
4 anticipate, take and manage risks	•	•	•	
5 deal with competing pressures, including personal and work-related demands				
6 respond positively to change, seeking advice and support when needed		•		
7 manage their emotions, and build and maintain relationships	•			
<b>Effective Participators</b>				
1 discuss issues of concern, seeking resolution where needed	•			
2 present a persuasive case for action		•	•	
3 propose practical ways forward, breaking these down into manageable steps	•	•		
4 identify improvements that would benefit others as well as themselves	•	•	•	
5 try to influence others, negotiating and balancing diverse views to reach workable solutions		•	•	
6 act as an advocate for views and beliefs that may differ from their own				•

## Annexe C: Portfolio Guidance

### Portfolio for **Non-domestic Energy Assessor**

The following documents are to be provided to complete the Non-domestic Energy Assessor part of the Green Deal Advisor qualification or the Non-domestic Energy Assessor units as a stand-alone qualification.

#### Portfolio index

#### **Section 1 – Personal information** (✓ when complete)

Pages ✓

ID Sheet	Candidate name, address, contact details and I.D. type photo		
CV	Current CV		
CPD	Evidence of current CPD relevant to any of the units and a personal development plan		
Certificates	Certificate copies for qualifications supporting APEL of any of the DEA units		

#### **Section 2 – Practical assessment coursework** (✓ when complete)

Pages ✓

Evidence matrix	Completed table indicating which assessments cover each of the core requirements		
EPC 1	Address-		
EPC 2	Address-		
EPC 3	Address-		
EPC 4	Address-		
EPC 5	Address-		

#### **Section 3 – Other documents** (✓ when complete)

Pages ✓

Terms of engagement	Your terms and conditions for providing an EPC		
Complaints policy	Your complaints policy		
Assessor observation	Confirmation from assessor of observed assessment including any relevant feedback.		
Other	Additional documents such as witness statements that will support other evidence supplied ( <i>indicate how any document is relevant</i> )		

**Section 4 – Workbooks** (✓ when complete)

Pages ✓

Workbook CEA1	Conduct energy assessments in a safe, effective and professional manner		
Supporting docs	A pre-inspection risk assessment form		
	A pre-inspection equipment check list		
	A complaints procedure		
	A letter to a prospective client declining to carry out an assessment		
	An email in response to a request to provide the contact details for the owner		
Workbook NDEA2	Prepare for energy assessments of non-dwellings to fulfil regulatory requirements for Asset Ratings		
Supporting docs	Telephone enquiry form		
	Confirmation of appointment letter		
Workbook NDEA5	Undertake energy assessments of existing Level 3 non-dwellings using the Simplified Building Energy Model SBEM		
Supporting docs	Record keeping method statement		
Workbook DEA8 (no supporting docs)	Report on the energy assessment of new and existing non-dwellings using Simplified Building Energy Model SBEM		

**Section 5 – Supplementary questions** (✓ when complete)

Pages ✓

Approved evidence	<p>Either</p> <p>a. Evidence of satisfactory completion of a relevant EDI supplementary questions paper, or</p> <p>b. Evidence of approved examination pass, or</p> <p>c. Evidence of satisfactory completion of supplementary questions provided by the training provider and approved by the EDI verifier</p>		
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Each EPC submitted must include the following evidence:

<b>Pre assessment</b>		(✓ when complete)		Pages	✓
Background data checks	Background data collected prior to the assessment visit				

<b>Assessment</b>		(✓ when complete)		Pages	✓
Risk assessment	A risk assessment completed prior to the assessment				
Site notes	All notes related to the energy assessment including reflections on any decisions made and reasons for any options being rejected				
Valid evidence	Copy of any documents used as evidence for selections made				
Assessment documents	All documents generated as part of the energy assessment				
Photographs	Indexed and labelled photographs of all elements relevant to selections made in generating the report				

<b>Post assessment</b>		(✓ when complete)		Pages	✓
EPC and RR	EPC and Recommendations Report (finalised to the point of being ready for lodgement)				
Cover letter to client	Cover letter to include any relevant additional information for the client including how to access the EPC				
Conclusion	Summary of the outcome of the report, the relevance of the recommendations to the client and property. Comment on any health & safety issues and recommend how they could be mitigated.				

If the qualification is being taken combined with the Green Deal Assessor units then the evidence for any EPC used for the Green Deal assessment should be included as one of the portfolio EPCs for the Energy Assessor units. The exception would be if the EPC used for a Green Deal assessment has been lodged (either by the learner having become accredited after completing the Energy Assessor units or by another accredited Energy Assessor) in which case the EPC will be assumed to be valid<sup>#</sup> unless shown not to be by evidence included in the Green Deal assessment.

*<sup>#</sup> A lodged EPC will be subject to the relevant accreditation's quality control and audit procedures and it is not necessary for the assessment process to duplicate this. It does not however alter the requirement for the learner to show grounds for believing it to be suitable to use for a Green Deal assessment.*

## Evidence matrix

In order to adequately cover the full assessment criteria the energy assessments must include properties of various ages and with a mixture of key features.

A total of three assessments must be completed and the evidence included in the portfolio. Those assessments must include at least one in each of the three age bands and at least one example of each of the column categories.

No more than one of the assessments may be against simulated evidence.

	Built to pre 1995 building regulations	Built to 1995 building regulations onwards
Office & Workshop type business		
Retail type business		
Commercial catering kitchen		
Centralised (serving multiple zones) supply of heating and/or hot water		
Cooling		
Mechanical ventilation and/or extraction		
No gas supply		

*Each property will probably meet several of the criteria but every criterion must be met by at least one.*

There is a requirement for the Learner to demonstrate to the Assessor that they are competent to actually carry out the essential tasks in a professional manner. The Learner must also demonstrate to the Assessor that they are able to utilise the skills and knowledge covered by the qualification in a live situation. It is not sufficient for the assessment to be based entirely on portfolio and workbook evidence.

It is recommended that this requirement is met by an observed assessment. Ideally the assessment would be observed by the Assessor however if it is considered more appropriate the assessment may be observed by a Trainer as part of the training course provided the Trainer provides an appropriate witness statement to the Assessor for inclusion in the portfolio.

If the Assessor believes that neither of the above is practical then the Assessor may meet the assessment requirement using a Structured Professional Interview however the Assessor will need to be able to demonstrate to a Verifier that the interview assessment has a level of rigour equivalent to that of an observed assessment.

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For more information on Edexcel and BTEC qualifications please visit our websites: [www.edexcel.com](http://www.edexcel.com) and [www.btec.co.uk](http://www.btec.co.uk)

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