



**ASSESSMENT AND SURVEILLANCE SCHEME
FOR INSTALLERS OF
ENERGY EFFICIENT WINDOWS AND DOORS**

(15-01-11)

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Note: This document may be revised from time to time, for example to take account of improvements and amendments to test and assessment methods and material innovations. Readers are advised to contact the British Board of Agrément to check the latest edition.

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1.0 TERMS AND CONDITIONS OF USE

Intellectual Property Rights, including Copyright, in the Assessment and Surveillance Scheme for Installers of Energy Efficient Windows and Doors (hereinafter referred to as the Scheme), this Scheme Document and any other related documentation belong to the BBA.

This Scheme Document has to be read, considered and used as a whole document – it may be misleading and will be incomplete to be selective.

You may view, read, print and copy this Scheme Document, for your own personal use and/or your business purposes. If a copy is passed to a third party, the BBA's Intellectual Property Rights must be acknowledged. Use and copying of this Scheme Document is permitted only in accordance with these terms and conditions.

References in this Scheme Document to any Act of Parliament, Statutory Instrument, Directive or Regulation, British, European or International Standard, Code of Practice, manufacturers' instructions or similar publication, are references to such publication in the form in which it was current at the date of this Scheme Document.

The BBA makes no warranties, representations or undertakings in respect of this Scheme Document.

In no event will the BBA be liable for any direct or consequential loss or damage arising from its use or use of, or reliance on its content.

The British Board of Agrément (BBA)

BBA offers a range of services that provide reassurance to UK users, specifiers, insurers and regulators of construction products and encourages the adoption of innovative construction solutions.

More specifically it:

- Tests and assesses construction products against UK requirements or other relevant recognised documents, issuing Agrément Certificates for those products it considers are fit for purpose
- Inspects and certifies manufacturers to confirm consistency of production; and
- Inspects the installation of products through independent or government schemes.

BBA Agrément Certificates

BBA Agrément Certificates provide BBA's independent opinion of the fitness for purpose of a product or system having assessed all relevant performance factors including as appropriate safety, installation, durability and other essential requirements.

2.0 INTRODUCTION

This document sets out the basis of the Assessment and Surveillance Scheme for Installers of energy efficient windows and doors and covers all building types.

The quality of installation is critical to the performance of the completed installation. This Scheme Document sets out the process, requirements and responsibilities for those involved.

The Scheme is based on a two party arrangement:

- the BBA
- the Approved Installer.

The method of installation is critical to the performance of the product and poor installation practice can substantially reduce product life and have an adverse effect on the performance and durability of the building.

It is a requirement of this Scheme that Approved Installers only claim approval when installing approved products for which they have been assessed. Guidance on the proper use of logos is available separately from the BBA.

Statutory requirements

The Installer shall comply with the statutory requirements applicable to the building to be insulated, for example relevant Building Regulations.

3.0 SCOPE

This Scheme Document is valid only within the UK, Isle of Man and Channel Isles.

4.0 REFERENCE DOCUMENTS

Standards

ISO 17065:2012 Conformity assessment — Requirements for bodies certifying products, processes and services

BS EN ISO/IEC 17020:2012 Conformity assessment - Requirements for the operation of various types of bodies performing inspection

BS 8213-4: 2007 Code of practice for the survey and installation of windows and external doorsets

PAS 2030:2017 Specification for the installation of energy efficiency measures in existing buildings

PAS 2031:2017 Certification of energy efficiency measure (EEM) installation in existing buildings

Other relevant documents

BBA Brand Guidelines (19-05-01)

Common Minimum Technical Competences

DCLG Building Regulations: Third Party Certification Schemes – Conditions of Authorisation

ECO 2 Guidance: Delivery

GD CAP01 Accepted approach to installer surveillance evaluation

GD CAP03 Inspection and surveillance of External, Hybrid and Internal wall insulation

Green Deal Code of Practice + Annex C: Green Deal Installers + Annex D: Green Deal Products and Systems Annex E: Certification Bodies

Green Deal Oversight and Registration Body: Overview of monitoring strategy Jan 2013

Green Deal Quality Mark requirements and Guidelines 2.1

Green Deal Terminology

ORBCOMM018 Green Deal Code of Practice – compliance requirements

ORBCOMM029 Pre-installation survey requirements for telecommunication services in Solid Wall Insulation installations

Terms and Condition of Sub-Sublicense (Installer)

TrustMark Core Criteria

GGF publication 'The Good Practice Guide for the Installation of Replacement Windows and Doors'.

5.0 DEFINITIONS

For the purpose of this *Scheme*, the following definitions apply:

Abbreviation or term	Explanation of abbreviation or term
1) Approved Assessor / Surveyor	A person who has satisfactorily completed a recognised training programme and who is capable of surveying defined types of buildings for their suitability for the application of energy efficient windows and / or doors according to this Scheme Document. A card, including a photograph, must be issued and carried by an Approved Surveyor.
2) Approved Installer	A company or organisation accepted into the Scheme.
3) Certificate holder	A company holding a valid BBA Certificate for an energy efficient window and / or door, or other equivalent third party Product certification covered by UKAS (or equivalent) accreditation to ISO 17065:2012 for that technology. The Certification must include installation requirements and address the relevant UK design, use and Building Regulations provisions.
4) Customer	The company or organisation, on whose behalf the work is being undertaken.
5) Green Deal	The Government's proposals to enable private firms to offer consumers energy efficiency improvements to their homes, community spaces and businesses as contained in the Energy Bill.
6) Green Deal Advisors	A Green Deal Advisor is an individual employed or contracted by an authorised Green Deal Assessor who visits the property to undertake a Green Deal assessment and make recommendations for energy saving improvements
7) Green Deal Assessor	A Green Deal Assessor is a Green Deal Approved organisation that is certified by an accredited Green Deal Certification Body against the Assessor Specification and is authorised by the Secretary of State to act as a Green Deal Assessor
8) Inspection Body	The BBA or such other organisation subcontracted by the BBA as competent to carry out assessment against the requirements of this Scheme.
9) Installer	The company or organisation applying for assessment for the installation of energy efficient windows and / or doors. Once accepted under the Scheme, the Installer is known as an Approved Installer.
10) Office	The administrative centre in which all relevant documentation is kept and from which the staff working on the installation are managed / supervised.
11) Operative	An individual directly employed by an Installer, or a Subcontractor, who is capable of installing defined Products according to this Scheme Document. A skills card, including a photograph, must be carried by the Operative.
12) Product	An energy efficient window or door covered by an appropriate approval for inclusion in this Scheme.
13) Scheme	The Assessment and surveillance Scheme for Installers of energy efficient windows and doors.

14)	Scheme Document	This Scheme Document for the Assessment and Surveillance of Installers of energy efficient windows and doors.
15)	Subcontractor	An Approved Assessor or Operative carrying out work for an Approved Installer for which the Approved Installer assumes liability but not directly employed by them.
16)	Technical Requirements	The collective requirements specified are the approved product specification and this Scheme Document.

6.0 THE APPROVED PRODUCT

The BBA operates a UKAS accredited product Certification Scheme under the terms of ISO 17065:2012.

BBA Certificated products are subject to both a rigorous initial assessment and ongoing surveillance to ensure that they are fit for their intended use.

Products with CE marking will also require independent third party validation of installation requirements and address the relevant UK design, use and Building Regulations provisions.

Annex D of the Green Deal Code of Practice sets out eligibility requirements for inclusion under the terms of the Green Deal.

7.0 THE APPROVED INSTALLER PROCESS

As a first step to becoming an Approved Installer, an Applicant must complete a BBA contract, either by download from the BBA website, www.bbacerts.co.uk, by telephone request to 01923 665300, or by e-mail request to construction@bbacerts.co.uk.

Installers applying to join the Scheme are subject to an initial assessment.

On successful completion of the assessment process, the Installer is accepted into the Scheme as an Approved Installer and is subject to regular surveillance by the Inspection Body.

The Scheme will involve assessing the ability of an Installer to meet the requirements of this Scheme Document prior to the application to the BBA to become an Approved Installer. The Installer must be able to demonstrate that they are fully conversant with the contents and requirements detailed in the BBA Certificate (if applicable), BS 8213-4 and the GGF publication 'The Good Practice Guide for the Installation of Replacement Windows and Doors'.

Initial Approval

For the initial application, the BBA shall make one office visit to examine the applicant's documented quality system and inspect a minimum of one site.

Each site inspection will consist of an examination of the records for the installation under consideration, followed by an inspection of the work.

Invoicing for these inspections will be made in advance and payment must be received prior to the visits taking place. If it is not possible to witness obtain adequate confirmation of competency from these visits, further inspection(s) will be required at additional cost.

Where the Installer operates from more than one office, each office shall be treated as a separate Installer for the purposes of inspections and invoicing.

Ongoing Approval and Surveillance

Each year after the initial approval, the Inspection Body will carry out a single office visit and a series of visits to sites, of which frequencies will be based on those required in the particular clauses of PAS 2031 and as a % of the total number of installations by that installer, with a minimum of one. This number may be increased, at the BBA's discretion, should the results of the inspections indicate that the Approved Installer is failing to meet the Technical Requirements. These extra visits will be charged separately to the Approved Installer.

The Approved Installer will be issued with a variation report by the Inspection Body after each visit should a noncompliance be raised.

The BBA will require all remedial work to be completed within 14 days of the notification of a non-compliance and all identified non-compliant works, at the discretion of the BBA, may be re-inspected. Where an inspection reveals that any work completed could affect the safe operation of the building, the inspector will notify the Approved Installer by telephone. The Approved Installer must rectify the non-compliance within 24 hours of being notified. In such circumstances, the Approved Installer must liaise closely with the BBA until satisfactorily completing the remedial works, notifying the BBA on the day of completion.

License

While the Approval is valid, the BBA grants to the Installer a non-exclusive license to:

- a) use the BBA Logo strictly in accordance with the current or later versions of the "BBA Brand Guidelines" document (a copy of which is on the BBA's website); and
- b) disclose, publish and make known to any third parties that it is a BBA Approved Installer.

This license can be suspended or revoked at any time by the BBA including and without prejudice to the generality of the foregoing upon the suspension or revocation or expiry of the Approval.

Installers who are also registered for the Green Deal will be granted a non-exclusive sub-sublicense to use the Green Deal logo.

8.0 CONDITIONS OF APPROVAL

The singular includes the plural, and vice versa.

The BBA shall be entitled to suspend or revoke its approval of an Installer at any time by notice in writing to the Installer, copy to the relevant BBA Agrément Certificate holder, and without prejudice to the generality of the foregoing may suspend or revoke the approval by notice if:

- a) there is non-compliance by the Installer with the content of the BBA Agrément Certificate under which the Installer is approved by the BBA;
- b) there is non-compliance by the Installer with the relevant BBA Scheme Document, as may be changed from time to time by the BBA;
- c) any information becomes available which was not at the disposal of the BBA prior to its approval of the Installer being approved;
- d) if the BBA Agrément Certificate under which the Installer operates is suspended or withdrawn;
- e) the Installer fails to pay to the BBA any Fees within the time limits determined by the BBA; or
- f) the Installer goes into liquidation or has a receiver or administrator appointed over any part of its business, property or assets;
- g) the installer fails to inform the BBA of the weekly work schedule.

The BBA's entitlement to suspend or revoke an approval described above also applies to the following. BBA approved Installers must co-operate with the BBA and provide any information it requests related to the Scheme and without prejudice to the generality of the foregoing must:

- a) provide the BBA with any information requested that demonstrates compliance with the Scheme, the BBA Agrément Certificate under which the Installer operates and Building Regulations;
- b) have, maintain and make available to the BBA clear, easy to understand literature and documentation, in particular for work that is outside the scope of their BBA Approval;
- c) reference the BBA and use the relevant BBA logo only in accordance with the BBA Guidelines relating thereto; and
- d) allow the BBA to carry out surveillance as determined by the BBA;

The BBA's entitlement to suspend or revoke an approval described above also applies to the following. BBA approved Installers must not contravene any Scheme requirements and without prejudice to the generality of the foregoing must not :

- a) in the opinion of the BBA bring its name into disrepute;
- b) misrepresent their BBA approval; or
- c) promote themselves as, or state or imply in any way that they are BBA approved if promoting, seeking, carrying out or giving notification of work outside the scope of their BBA approval;

9.0 RESPONSIBILITIES

The Approved Installer's responsibilities

The Approved Installer is subject to assessment by the BBA before admittance to the Scheme, and to regular surveillance whilst approved. Assessment and surveillance of Approved Installers will be undertaken by the Inspection Body to ensure that the products are being installed by trained Operatives in accordance with the Technical Requirements. Further details of the requirements for the company's quality system are given in Appendix 1.

Approved Surveyors and Operatives employed directly by the Approved Installer and any subcontractors must be trained by a route approved by the BBA, and carry an appropriate ID card.

Assessment of the building

The Approved Installer must ensure that the building in which it is intended to install the Product meets the criteria of the Technical Requirements prior to the installation commencing. A written survey shall document whether or not the building is suitable for the proposed installation and must identify any problems that may adversely affect the installation process or proper functioning of the building after completion of the installation, together with suitable corrective actions.

The survey form shall be acceptable to the BBA and conform to the minimum requirements but may be unique to the Approved Installer.

Each report shall include, as a minimum:

- the names of the Approved Installer, the Approved Assessor and Operative (if known)
- the name and address of the customer and the location of the building
- at least the following technical details:
 - review contract;
 - measurement check, including fire egress;
 - assessment of structure;

- check for asbestos. If the presence of asbestos is suspected it should be labelled and reported to the customer. Asbestos-containing materials can be highly dangerous if disturbed. Useful guidance is given in the HSE's website: www.hse.gov.k/asbestos/;
- safety glazing requirements;
- check render and decorations condition;
- specialist access equipment;
- explanation to building owner.
- a signed declaration that the building has been assessed according to the Technical Requirements
- the specification of any remedial action that will be required before the installation of the product. The responsibility for rectification shall be identified at the time of noting such actions
- a documented health and safety risk assessment – before any services are undertaken
- any special requirements / factors for a particular installation

Work instructions

The Approved Installer shall ensure that the following items are documented and made available to the Operative on site for each specific installation:

- the survey report
- any special instructions to the Operative relating to time, access and services needed
- the completed risk assessment and any instructions/actions that need to be followed
- the detailed project specification

At least one fully trained Operative shall be present on site for each installation.

The BBA will invoice all Approved Installers for surveillance visits annually in advance. Non-payment of fees by Approved Installers will result in the withdrawal of the Approval. Invoicing for remedial inspection visits will be made after the visit has taken place and payment must be received within 30 days of the date of the invoice.

The BBA is responsible for checking that the products are being installed according to the Technical Requirements of this Scheme. The assessment, surveillance and re-assessment as appropriate of Approved Installers is undertaken by the Inspection Body's own Inspectors who are trained and experienced in the technology and installation techniques.

The Approved Installer is responsible for training and auditing its appointed Approved Surveyors and Operatives to ensure that the requirements of this Scheme are met.

Further details can be found within the main text of this document.

The Approved Installer has responsibility for:

- the Surveyors and Operatives must possess a skills card and be able to demonstrate that they are fully conversant with the Technical Requirements and all other factors that could affect the success of an installation including (but not restricted to):
 - storage and handling of materials
 - suitability and preparation of the site
 - installation techniques
 - repair and maintenance of the products
 - the preparation of project specific risk assessments
 - health & safety, including working at heights, personal protective equipment (PPE), etc.
- adhering to all statutory requirements applicable to the building, such as the Building Regulations, and liaising as necessary with building control, or notifying a competent person scheme operator

- maintaining robust documentation identifying all work in progress and completed installations
- responding to the Inspection Body for requests of ongoing and completed works
- acting on any actions raised during an inspection and completing the required remedial works within a specific timescale as defined under General Requirements
- maintaining records of all Approved Surveyors and Operatives, including details of training and dates of individual approval and level of competence to assess different buildings
- monitoring and inspecting the Operatives to ensure they continually comply with the Technical Requirements. A minimum of one site visit per month shall be made to each Operative and reports made and retained. All such reports shall be made available to the Inspection Body on request
- maintaining technical support to the Approved Surveyors and Operatives.

BBA Responsibilities

The BBA has responsibility for assessing, appointing and maintaining the membership of the Scheme on the basis set out in this document.

Details of the membership will be made available on the BBA website.

The Scheme will involve assessing the ability of an Installer to meet the requirements of this Scheme Document prior to the application to the BBA to become an Approved Installer. The Installer must be able to demonstrate that they are fully conversant with the Technical Requirements and for Green Deal installations, of PAS 2030 and the Green Deal Code of Practice.

The BBA is responsible for checking that the products are being installed according to the Technical Requirements of this Scheme. The assessment, surveillance and re-assessment as appropriate of Approved Installers is undertaken by the Inspection Body's own Inspectors who are trained and experienced in the technology and installation techniques. Further details can be found within the main text of this document.

10.0 RECORDS

The Approved Installer shall make available to the Inspection Body on request, records of all work carried out under the Scheme. As a minimum, the following information shall be provided:

- the customer's details
- the approved Product installed
- a written form of contract agreement
- the site address
- the commencement and completion dates
- instructions to the Operatives
- the Approved Assessor's Survey reports and risk assessments
- records of training, the required qualifications and experience of all operatives, including details of each individual's practical experience
- a register of all complaints received concerning work carried out under the approval issued by the BBA. The register shall identify the address, the work/job number, brief description of complaint, action taken and resolution dates
- evidence of any technical support provided
- owners pack to be left with building owner
- traceability of materials to site
- notification for compliance with Building Regulations

The above information shall be maintained by the Approved Installer for a minimum of the time period given in the durability statement included in any the relevant approval Certificate, or guarantee period, whichever is the greater.

11.0 HEALTH AND SAFETY

The Approved Installer must ensure Approved Surveyors and Operatives work in a safe and responsible manner and be able to demonstrate their ability to manage the types of risk involved with the work. The Approved Installer must demonstrate that they have a process in operation, but the adequacy of the process is the responsibility of the Approved Installer and does not form a part of this Scheme.

12.0 APPENDICES

APPENDIX 1 – BBA QUALITY CONTROL SPECIFICATION

Introduction

- 1.1 The BBA requires that all products considered for approval be installed in an environment which delivers performance to a pre-defined standard and at a consistent level. Frequently this will require a management system based upon the International Standard ISO 9001.
- 1.2 For other companies we require conformity with a set of criteria, defined in this Appendix which focus on the key elements that we believe are essential for assuring quality.
- 1.3 You may choose to include all your business activities within the scope of your Quality Management System. The Inspection Body assessment will only deal with the elements of the Quality Management System relating to the installation of the products which are the subject of the assessment and/or certification process.

Criteria

- 2.1 Competence – your Company shall maintain a register of persons competent to undertake defined tasks.
- 2.2 Complaints – your Company shall record all customer complaints (commercial, technical, those received in writing and verbal statements of dissatisfaction from customers and enquirers), and take appropriate corrective and preventative actions to address, and retain records, of such.
- 2.3 Purchasing – your Company shall only purchase goods as per your approved status.
- 2.4 Installation controls – your Company shall formulate and issue suitable instructions and training to staff to ensure that products installed meet a consistent and defined standard. Documentation shall also detail the levels of process control as per the agreed installation method statement.
- 2.5 Identification and traceability – your Company shall identify the product by name and batch number. The finished product shall be traceable to the date, or batch, of production and unique number.
- 2.6 Testing and inspection – your Company shall carry out testing in accordance with the agreed method statement for the approved product.
- 2.7 Calibration – measuring and test equipment shall be of sufficient accuracy and clearly identified, calibrated and traceable to national standards.
- 2.8 Internal auditing – periodically your management shall assess the appropriateness of your procedures to ensure that they are being followed and achieving their objectives
- 2.9 Records – the Company shall hold records of:
 - competence and training
 - complaints and resulting action(s)
 - installation
 - test and inspection (including non-compliance where applicable)
 - calibration
 - internal audits.

Additional considerations

- 3.1 Many companies achieve great value by extending their management system to achieve compliance with ISO 9001; we recommend that you consider these important elements.
- 3.2 Management review – your management should carry out a regular critical review of the processes and procedures of the company, including analysis of customer complaints, internal audits, non-conformities, and take action for the future.
- 3.3 Corrective action – Your management should investigate each problem as it arises and adjust processes and training as appropriate to prevent recurrence.