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1. Introduction
The Exova BM TRADA Competent Person Scheme is a third-party certification scheme operated by Exova (UK) Ltd trading as Exova BM TRADA. The Scheme is operated in order to confirm the competence of a Company to comply with Building Regulations. The scheme is applicable to work which is carried out on site, confirming competence to comply with the Building Regulations both for the work undertaken and the selection of the correct specification for products which are fitted.

As the intention of the scheme is to confirm competence to comply with the Building Regulations, it does not infer any performance in terms of the quality of either the product supplied or the actual installation. It also does not imply or offer any guarantee that individual buildings will meet the Building Regulations. Exova BM TRADA has not set any performance levels additional to the Building Regulations as requirements of the Scheme.

The certification includes initial verification of competence and appropriate documentation being held, followed by sampling Audits to verify the compliance of sites which have been worked on or are being worked on by the Certified Company. As the Scheme is based on reviewing performance evidence on a sampling basis, it does not imply, or provide a guarantee of the performance of the services provided by its Members.

The Scheme has been developed to satisfy DCLG requirements, and Exova BM TRADA has agreed for the Scheme to be monitored by the DCLG in order to confirm ongoing compliance to their requirements.

2. Definitions & Abbreviations
The following definitions and abbreviations are used throughout the document. Other definitions are as given in the relevant Building Regulations and DCLG scheme requirements.

<table>
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<th>Term</th>
<th>Definition</th>
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<td>Audit</td>
<td>Visit by Exova BM TRADA or other certification body to examine the processes of a company or individual, to determine appropriate compliance to the Scheme</td>
</tr>
<tr>
<td>Building Regulations</td>
<td>The current approved documents and building regulations which are applicable in England and Wales</td>
</tr>
<tr>
<td>Certified Company</td>
<td>Company holding certification under the Scheme</td>
</tr>
<tr>
<td>Declaration of Building Regulations Compliance</td>
<td>A certificate provided by Exova BM TRADA to the End User, confirming that the work carried out at their premises has been conducted by a Certified Company of the Scheme, and has been declared to Exova BM TRADA as complying with the Building Regulations</td>
</tr>
<tr>
<td>Database</td>
<td>The system operated by Exova BM TRADA which logs all of the installations that are carried out by the Certified Company</td>
</tr>
<tr>
<td>Desktop Assessment</td>
<td>An assessment of documentation relating to a Certified Company to determine appropriate compliance to the Scheme</td>
</tr>
<tr>
<td>DCLG</td>
<td>Department for Communities and Local Government</td>
</tr>
<tr>
<td>End User</td>
<td>A person or entity who has entered or is entering into a contract with the Certified Company to procure work which falls under the scope of the Scheme</td>
</tr>
<tr>
<td>LABC</td>
<td>Local Authority Building Control</td>
</tr>
<tr>
<td>MTC</td>
<td>‘Minimum Technical Competency’ of individuals responsible for critical elements of the survey and/or installation processes</td>
</tr>
<tr>
<td>Nominated Contact</td>
<td>A nominated person to whom the Certified Company gives responsibility for ensuring that the Scheme requirements are met</td>
</tr>
<tr>
<td>Office Audit</td>
<td>Visit by Exova BM TRADA or other certification body to the company to be certified or re-certified to review documented procedures and guarantee certificates etc. as required for compliance to the Scheme</td>
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### 3. Scope
This Scheme is applicable to the installation or replacement of manufactured products within a building.

Further details of the Scheme requirements for each type of work which is covered by the Scheme can be found in the Appendices.

This document gives an overview of the Scheme. The way in which Exova BM TRADA handles client applications, compiles quotations, conducts the product assessment and carries out the certification process is detailed in the Exova BM TRADA Product Certification Procedure Manual.

### 4. Application process

#### 4.1 Certification requirements
In order to join the Scheme, a company must meet the following requirements:

Commit to comply with all aspects of the Building Regulations which are appropriate to the work for which the Certified Company is covered for under the Scheme.

Commit to keep themselves up to date with all aspects of the Building Regulations which are appropriate to the work for which the Certified Company is covered for under the Scheme.

Ensure that suitable training is provided for staff who are to carry out work under the Scheme and that all individuals who carry out surveys for, or act as the Lead Installer on, installations that are to be registered under the scheme have been awarded the appropriate Minimum Technical Competency (MTC) card by an approved Assessment Body. MTC cards must be held by all Surveyors and Installation Team leaders and evidence must be provided prior to certification that each card holder is employed by the company or that there is a formal sub-contract agreement in place if they are not an employee.

Exova BM TRADA must be informed of any changes to the list of registered Surveyors and Installers as and when they occur and to provide Exova BM TRADA copies of MTC cards and sub-contract agreements or evidence of employment for each individual registered.

Provide an insurance backed warranty of compliance to the Building Regulations to all customers who contract work which the Certified Company is covered for under the Scheme and provide a guarantee to rectify any non-compliance issues.

Provide to the End User appropriate indemnity insurance to cover any deposits taken.

Maintain appropriate employer's liability and public liability insurance to cover any work which is undertaken as part of the Scheme.

Have a Health & Safety Policy statement where required by law.

Records of all work carried out by the Installation Company under the scheme, such as design data, specifications, drawings, customer orders, installation records etc. must be kept for a period of ten years.

Records of all complaints received by the Installation Company against work carried out under the scheme and the action taken to resolve the complaint must maintained for a period of at least six years.

Provide a Nominated Contact, who is responsible for dealing with all issues regarding the Scheme (including complaints). A mobile telephone number must also be provided for the Nominated Contact.

The Certified Company must commit to use reasonable endeavours to resolve any complaints from their customers directly, without any requirement for intervention by Exova BM TRADA.

<table>
<thead>
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<th>On-site Audit</th>
<th>Visit by Exova BM TRADA or other certification body to an End User’s site to determine appropriate compliance to the Scheme</th>
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<tr>
<td>Product</td>
<td>A component, element, or system which the Certified Company installs</td>
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<tr>
<td>Scheme</td>
<td>The Exova BM TRADA Competent Person Scheme</td>
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Where attendance at an On-site Audit is requested by Exova BM TRADA, the Certified Company undertakes to send the Nominated Contact or an appropriate alternative contact if the Nominated Contact is not available.

In order to gain acceptance onto the Scheme and to remain certified, it is a requirement that all applicable invoices from Exova (UK) Ltd trading as Exova BM TRADA are settled within the indicated timescales.

4.2 Desktop Assessment
Once a company has met all of the above requirements, they can apply to join the Scheme. An Exova BM TRADA application form for the Scheme must be submitted, along with the appropriate fee for registration, and documented evidence that the certification requirements have been met. Exova BM TRADA will conduct a review of the documented evidence supplied by the applicant to confirm compliance with the Scheme.

4.3 Initial site and office audits
Following a successful Desktop Assessment, the applicant must supply details of all sites where work which is typical of work which will be covered under the Scheme has been completed within the previous 3 months, or is in the process of being undertaken by the applicant. Exova BM TRADA will select an appropriate site from this list and conduct an On-site Audit in order to gain supporting evidence for the initial certification decision to be carried out. Certification can only be granted once suitable sites are provided by the company.

In some cases, Exova BM TRADA may require a repeat On-site Audit in order for a company to be granted certification. This would occur if in Exova BM TRADA's opinion, the issues raised during the initial inspection are serious and there is a lack of confidence of ongoing compliance with the Scheme once the company has been certified.

In addition to the site audit for the Company to demonstrate compliance with regard to the survey and installation procedure, Exova BM TRADA will also conduct an office audit. This office audit is to ensure that the Company has appropriate documented procedures, records and certificates etc. as required for compliance with the scheme. This audit may either be conducted at the company’s office premises, as a remote desk-top audit or on site providing that an appropriate representative of the company is in attendance for the audit.

Upon successful completion of the initial On-site and Office Audits and verification by Exova BM TRADA that the certification requirements have been met Exova BM TRADA will award certification to the company.

4.4 Transfer of certification
Where a company wishes to transfer their certification from another recognised competent person scheme, they must complete an application in the normal way, providing evidence that they have met the Scheme requirements and that their previous certification is up to date and free from any issues. Exova BM TRADA will review the information supplied, and decide whether certification can be transferred, or whether an initial On-site and/or Office Audit is necessary.

4.5 Surveillance audits
In order to remain certified in the Scheme, a Certified Company must allow periodic on site Audits to be conducted by Exova BM TRADA. This will usually consist of an On-site Audit of at least two installations or 1% of the installations carried out by the Certified Company, whichever is greater, every year. A Certified Company will not be required to undertake more than 100 periodic On-site Audits under the Scheme per year (note that re-visits are not included as periodic On-site Audits).

4.6 Re-certification audits
Prior to the expiry of a previously awarded certificate for this scheme, a re-certification process is undertaken. This will involve one On-site Audit along with one Office Audit. Following successful audits which have been verified, a new certificate will be awarded to the Company.
5 Site Inspections
The purpose of site inspections is to verify compliance with the Scheme and compliance with the Building Regulations. Quality issues will not usually be taken into account as part of the Scheme, unless the issue will have an effect on compliance with the Building Regulations either at the time of installation, or in the future. When Exova BM TRADA has determined that an inspection is due, a suitable site will be selected from the Database. Unless specified in the Appendix relating to the type of work to be covered, site inspections will usually be unannounced. However, in some cases, Exova BM TRADA will notify the Certified Company in advance of the inspection, and require attendance by the Certified Company during the inspection.

Exova BM TRADA may also require site inspections to be conducted whilst the work is being undertaken. In order to facilitate this, Exova BM TRADA will require the Certified Company to provide a list of sites which may be inspected. Where a site inspection is to be conducted whilst work is being undertaken, attendance by the Certified Company will be required.

6. Building Regulations Compliance
It is the responsibility of the Certified Company to ensure that all work carried out under the Scheme complies with all relevant sections of the Building Regulations. This includes cases where some or all of the work is subcontracted. As part of the Scheme, Exova BM TRADA will monitor samples of the work with a view to confirming compliance. Whilst a Certified Company is certified under the Scheme, Exova BM TRADA will provide Declarations of Building Regulations Compliance to End Users for all work notified to Exova BM TRADA as being carried out under the Scheme (unless the Certified Company is suspended). The Declarations of Building Regulations Compliance will confirm that the work done on the property has been carried out by a Certified Company of the Scheme and declaration has been made by the Certified Company that the installation complies with the Building Regulations.

6.1 Tracking of Installations
All work carried out within the scope of the Certified Company’s certification must be notified by the Certified Company to Exova BM TRADA within 3 working days of completion of the work through direct entry by the Certified Company onto the Database, via the internet.

All entries will be chargeable and any entry which is not submitted through the method outlined above will not be recognised, and the Certified Company will therefore not be compliant with the Scheme requirements.

The Certified Company must ensure that all entries correctly identify the address of the work. This is particularly important as the entries will be used to populate Declarations of Building Regulations Compliance to End Users as well as providing notification of the work to the relevant Building Control department. Where Exova BM TRADA identifies that a submission has been made incorrectly, Exova BM TRADA will notify the Certified Company by email and the Certified Company will be required to re-submit the work within 2 working days. A charge will be made for both submissions in this case.

The Certified Company must always submit details of the work to Exova BM TRADA as outlined above, and may not use the submission as a tool for negotiation with the End User (for example by withholding the submission where payment has not been received).

6.2 Declaration of Building Regulations compliance
Exova BM TRADA will supply a Declarations of Building Regulations Compliance to End Users for all work which has been correctly entered onto the Database. It is a DCLG requirement that these certificates are sent to the End User within thirty (30) days of completion of the work. The Certified Company shall enter the data within 3 days of completing the work and Exova BM TRADA will send the certificate within 10 days of submission by the Certified Company.
6.3 Building Control notification
Exova BM TRADA will periodically output the details from the Database and notify LABC of all work that has been carried out under the Scheme.

6.4 Non-compliant works by other parties
Where a Certified Company becomes aware that another party is carrying out notifiable works that do not fall under a competent person scheme and the work is not covered by an assessment by LABC, this shall be reported to LABC via their confidential reporting hotline, to allow local authorities to take action against illegal work being carried out.

7. Compliance with the scheme requirements

7.1 Non conformities raised during surveillance audits
Non conformities raised during audits will be sent to the Certified Company who must respond to the non-conformity within the timescale given on the form. Failure to respond within the agreed timescale or if the response received within this timescale is deemed as being insufficient the Certified Company's certification may be suspended or withdrawn.

7.2 Exova BM TRADA certificate
The certificate is issued to the Certified Company upon completion of certification. It will identify the certified company name and address, the technical specification name and the Certified Company's certification number for the particular technical specification being certified. The certificate is valid for a maximum of 3 years from date of approval. Providing all scheme requirements have been maintained by the Certified Company, the certificate will be renewed for a further maximum 3 years from date of expiry of the previous certificate.

8. Technical support to Certified Companies

8.1 Telephone support
Telephone technical support will be offered to Certified Companies by Exova BM TRADA.

8.2 Training
Where Exova BM TRADA identifies changes to the Building Regulations which will have an impact on the Certified Companies it will decide whether it is appropriate to provide training sessions, or a bulletin to update Certified Companies. Training sessions may be held in a seminar format or through on-line webinars or a combination of both and will incur a charge.

Where, in Exova BM TRADA's opinion, training is required in order to keep Certified Companies up to date, Exova BM TRADA will stipulate that a training course is mandatory. An example of this would be as a result of changes to Building Regulations and/or BS/EN standards.

It is a requirement of the Scheme that all Certified Companies ensure that the Nominated Contact or an appropriate alternative representative attends any training which is stipulated by Exova BM TRADA as being mandatory.

9. Complaints

9.1 Certified Company complaints, handling procedure
When a complaint is received by Exova BM TRADA, from a Certified Company, specifier or manufacturer Exova BM TRADA will provide independent assessment of the complaint using Exova BM TRADA's complaints procedure which can be found on Exova BM TRADA's website www.exovabmtrada.com.
9.2 End User complaints, handling procedure

Due to the DCLG requirements for the operation of this scheme it is not appropriate to use Exova BM TRADA's normal complaints procedure to deal with End User complaints. End User complaints will be dealt with using the procedures outlined below, unless otherwise stated in the appendix relevant to the work that is to be covered by the Scheme.

9.2.1 Notification of a complaint from an End User

It is not the responsibility of Exova BM TRADA to act as a first point of contact for any complaints from the End User. Therefore prior to any action being taken the complainant will be asked to confirm that they have attempted to resolve the complaint directly with the Certified Company and give details of the response.

Complaints will be accepted from the End User via one of the following means:

-- By telephone
- By fax
- By letter
  By email

Details of the complaint will be entered into the Database, and an email outlining the complaint will be sent to the Certified Company’s Nominated Contact.

Exova BM TRADA will send a response to the complainant confirming receipt of the complaint, stating that it will be investigated.

9.2.2 Action by the Certified Company upon receipt of a complaint

The Certified Company is required to respond in writing to Exova BM TRADA within two weeks of receipt of the complaint, detailing what has been done to resolve the issue and stating whether the End User is satisfied with the outcome. It is in the Certified Company’s interest to resolve the complaint directly with the End User, to avoid a site inspection being required.

9.2.3 Complaint handling

Once Exova BM TRADA has received a response from the Certified Company regarding the complaint, it will review the evidence provided, in order to determine whether a site inspection is required. If the Certified Company has failed to respond to the complaint within the required period, a site inspection will be conducted (which will be chargeable to the Certified Company) to gain the necessary information regarding the complaint. The decision to carry out a site inspection is the responsibility of Exova BM TRADA.

When reviewing the complaint, Exova BM TRADA’s remit will be to determine whether there is a non-compliance with the Building Regulations. Where a non-compliance is found, the Certified Company will be required to rectify the issue within a maximum of 4 weeks.

Where it is found that the complaint does not relate to a non-compliance to the Building Regulations, Exova BM TRADA will write to the End User, explaining that the complaint has not been upheld.

9.2.4 Charges for complaint handling

Where an additional site inspection is required as a result of a complaint, a charge will be made for the inspection (at the same rate as for a re-visit following a non-compliant visit). This will be the case regardless of the outcome of the complaint.

9.2.5 Excessive levels of complaints

Where, in Exova BM TRADA’s opinion, a Certified Company is having an excessively high level of complaints made against them by End Users in proportion to the number of installations conducted, Exova BM TRADA reserves the right to conduct additional (chargeable) site inspections, and ultimately to suspend or withdraw the certification. An example of an excessively high level of complaints would be 5% of the installations conducted over a period of 2 months.
With the exception of cases that Exova BM TRADA deems to be severe, written notice will be given stating that there is a problem, with a timeframe for resolution being notified to the Certified Company before the decision is made to suspend the Certified Company. Exova BM TRADA will then continue to monitor the level and nature of complaints received, and continue to suspend or withdraw certification where sufficient improvement has not been made.

9.2.6 Appeals
Any appeals against Exova BM TRADA’s decisions will be dealt with using Exova BM TRADA’s Appeals and Disputes procedure which can be found on Exova BM TRADA’s website www.exovabmtrada.com.

10. Minimum Technical Competencies
Individuals who are responsible for key tasks shall demonstrate that they are competent to be responsible for those tasks. Competency will be demonstrated by holding a formal qualification which is listed in the DCLG agreed MTC for the sector. Alternatively documented evidence of a successful MTC assessment by another certification body would be sufficient.

MTC cards must be held by all Surveyors and Installation Team leaders involved in installations that are registered under the scheme. Evidence must be provided prior to certification that each card holder is employed by the company or that there is a formal sub-contract agreement in place if they are not an employee.

The Company must inform Exova BM TRADA of any changes to the list of registered Surveyors and Installers as and when they occur and to provide copies of MTC cards and sub-contract agreements or evidence of employment for each individual registered.

11. Withdrawal and suspension of certification
Failure to comply with the requirements of the Scheme will result in the suspension or withdrawal of certification. Examples of failure to comply include:

- Failure to comply with the requirement for On-site Audits
- Failure to register sufficient installations on the database
- Failure to register any work carried out within the required timescales
- Failure to implement improvements requested at any Audits within the agreed timescales
- Misuse of the certification mark
- False claims regarding services covered by the Scheme
- Failure to settle any invoices levied in association with the Scheme (e.g. Exova (UK) Ltd trading as Exova BM TRADA certification fees, audit fees) within the agreed settlement time

When a Certified Company is suspended, activities that would normally be carried out under the Scheme must cease until the suspension has been removed.

On suspension of certification, the Certified Company must make all possible attempts to rectify any breaches of the Scheme rules within a timescale stated by Exova BM TRADA. The suspension timescale will be set by Exova BM TRADA and will not normally be no longer than six months. Failure to rectify any breaches will result in withdrawal of certification (pending completion of any appeal).

On withdrawal of certification, the Certified Company must immediately cease to promote or claim compliance with the Scheme. Any reference to the Scheme in promotional or other literature (e.g. leaflets, brochures, website, letterhead etc.) must be immediately removed.

Where certification has been withdrawn, the Scheme website shall display the company whose certification has been withdrawn.
12. Certified Companies listing
A list of Certified Companies in the Scheme will be made publicly available on the Exova BM TRADA website. This will outline the type of work that each Certified Company is approved to undertake. Where a Certified Company’s certification has been suspended, the website will indicate the suspension. If the certification is withdrawn this will be shown for a period of up to 6 months, after which the Certified Company’s entry will be removed from the website.

Where certification has been withdrawn, it is a DCLG requirement that the Scheme provides a mechanism to make available to other schemes and LABC the names of former Certified Companies whose certification has been terminated by the Scheme and the reason for termination. This will be made available by an entry on the appropriate website.

13. Use of the certification mark
The use of the certification mark is detailed in the Your Exova BM TRADA certification marks document.

14. Amending the scheme
The scheme rules will be periodically reviewed and amended where Exova BM TRADA deems it appropriate to do so. Amendments will be in line with certification guidelines and based on the requirements of the DCLG. Technical requirements will be amended in line with the latest Building Regulations and industry best practice.

Exova BM TRADA retains the final decision on all amendments.

15. Publication of scheme fees and rules
Exova BM TRADA will publish the fees that are to be charged under the scheme and the scheme requirements on its website.

16. Withdrawal and suspension of a scheme
BM Trada reserves the right to withdraw this Scheme Technical Document at any point in time without consultation. Where a document is withdrawn a 12 month notice period will apply to all Certified Companies registered in the scheme.

After the 12 month period the scheme will no longer be supported and the Certified Companies must immediately cease to promote or claim compliance.

17. Normative reference
BS EN ISO/IEC 17065 Conformity assessment - Requirements for bodies certifying products, processes and services
Minimum Competence Requirements for Work Undertaken Though Competent Person Schemes Approved Under Schedule 3 of the Building Regulations (England and Wales)
ANNEX 1
Supporting Documents

Documentation for the Certified Company

The following documents and/or evidence of compliance (e.g. labels/marks) must be available:

- Thermal performance of installed windows has to be supplied to the End User. This must be in line with Building Regulations unless otherwise contractually agreed with the End User. Compliance may be achieved by:
  - Whole window U value.
  - Window energy rating band.
- Thermal performance of installed doorsets may be achieved by:
  - Whole door U value.
  - Where a doorset is manufactured from the same system/suite of profiles and glazing specification as any windows installed, it may be assumed that the doorset is compliant with Building Regulations providing that the windows have evidence of compliance.
- Fire integrity period evidence of any products required to comply with fire regulations.
- Evidence that any areas requiring safety glazing have the appropriate marks on the glazed unit.
- Employer’s liability insurance (not required if only one person at the Company).
- Public liability insurance (minimum £2 million).
- Product guarantee.
- Product guarantee insurance (covering the installation for a minimum 6 years).
- Deposit protection insurance (only if deposits are taken by the Company).
- List of work conducted under the scheme.
- Documents relating to design, specification, drawings, certificates etc. to be retained for 10 years
- Log of complaints relating to Building Regulation compliance, along with documented resolutions.
- Health and Safety policy (recommended to be in line with HSE guidance)
- Risk Assessments where the Company employs 5 or more people.
- Formal agreements for any sub-contracted work completed under this scheme
- MTC cards for all Surveyors and Installation Team Leaders

Documentation for Exova BM TRADA

The following documents shall be created and/ or maintained to facilitate the effective operation of this certification scheme:

- Application form
- Audit checklist – Office
- Audit checklist – On-site
- Auditor approval records
- Certificate of conformity
- Certificate request form
- Certification decision checklist
- Contract review checklist
- Scope of certification
- Scheme technical document
ANNEX 2
Measures covered

Installation of replacement glazing and doors in dwellings and non-dwellings.