Annex B

Report

Working Group 4

Fire Risk Assessors

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Contents

Report Working Group 4 Fire Risk Assessors

Introduction and Objective

1. This report outlines the conclusions developed by a work group established under the joint fire and construction industry initiative following the tragic Grenfell Tower London fire of 14 June 2017.

2. As a part of a comprehensive response to the tragedy Dame Judith Hackitt was commissioned by the Secretary of State Ministry of Housing Communities and Local Government (MHCLG) to review building fire safety and produced a comprehensive *Building a Safer Future*[1] report (Hackitt Report). Shortly thereafter MHCLG and the Industry Response Group (IRG) established a Steering Group on Competences for Building a Safer Future (CSG) to take forward the Hackitt Report recommendations and Work Group 4[2] (WG4) under the leadership of the Fire Sector Federation (FSF) began to consider in detail the competency of Fire Risk Assessors and how it might be improved.

3. The commentary on general competence in the Hackitt Report summarised[3] "…….While there are many competent people working within the system, the lack of a coherent and comprehensive approach to competence can seriously compromise the fire safety of HRRBs[4], for example, where decisions are taken and/or materials are installed by people who do not fully understand the implications of how to achieve good quality building work, and the implications of getting it wrong".

4. The Hackitt Report commented specifically on fire risk assessment[5] that "There are currently five schemes for accrediting or certifying fire risk assessors. Each scheme registers risk assessors who demonstrate the competencies identified by the Fire Risk Assessment Competency Council (FRACC). In 2011 FRACC published national competence criteria – 'Competency Criteria for Fire Risk Assessors' – with which all applicants to schemes are expected to be familiar. However, at present the framework does not extend to an enhanced level of competence to cover HRRBs". The proposal was then made: *The Fire Risk Assessment Competency Council (FRACC) should develop and introduce an enhanced level of competence for fire risk assessors undertaking work on HRRBS.* The Hackitt Report resulted in the CSG suggesting terms of reference for all work groups including WG4.

5. In the period prior to the fire the FSF had already undertaken work on competency. Notably as part of the Fire Risk Assessment Competency Council (FRACC) published in 2011 'competency criteria for fire risk assessors'; followed in 2014 with a

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[1] CM 9607 (May 2018) Building a Safer Future Independent Review of Building Regulations and Fire Safety: Final Report
[2] Full membership is Annexed
[3] Chapter 5 Competence para 5.1 page 74
[4] Executive Summary page 4 Multi occupancy High Risk Residential Buildings (HRRBs) that are 10 storeys or more in height
[5] Appendix E para 1.8 page 135-136

complementary guide 'choosing a competent fire risk assessor'; and again in 2017 the Competency Workstream, the successor to FRACC, published an 'Interim Fire Competency Framework'. All this existing progress and guidance was therefore introduced and has been reviewed by WG4.

6. More recently the response publication[6] made by the Secretary of State MHCLG to the Hackitt Report has also been briefly considered. In noting the broad support given to taking forward matters of competency, sharing good practice with early adopters and creating, possibly with a legislative foundation, an overarching body WG4 found it strongly agreed the scope of which buildings should be covered should be extended by the new regime to include where failure could put many people's lives at risk or where many people sleep.

7. The objective of this framework therefore is to review the earlier FRACC and FSF Competency Workstream publications and develop and introduce an enhanced level of competence for fire risk assessors undertaking work on HRRBs in accordance with the proposal made in the Hackitt Report[7].

8. This report must be read in conjunction with the documents referred to in paragraph 5 above (FRACC and Competency Workstream) which contain both general background related to fire risk assessment and to the processes are essential in supporting, administrating, recording and maintaining competency.

[6] CM 9739 (December 2018) Building a Safer Future An Implementation Plan
[7] Page 136 Building a Safer Future – Independent Review of Building Regulations and Fire Safety: Final Report

Report Working Group 4 Fire Risk Assessors

Scope

1 WG4 commenced its work by agreeing that the concept of high or complex fire risk, resulting from evaluations made following the systematic assessment of fire hazards, the probability or likelihood of a fire occurring, and the vulnerabilities of people and property to harmful consequences, extended much further than the generalised description adopted in the Hackitt Report, which concentrated upon High rise residential Buildings (HRRB).

2 In noting the emphasis placed on HRRB WG4 decided that the methodical risk assessment process, often described in a series of steps[8] using qualitative and quantitative measures, would still be appropriate. This was because in scoping their work WG4 expressed the intention that the system proposed as the WG4 outcome would have the capability to be used on both HRRB and high and complex fire risks.

3 WG4 considered from the outset that the context of fire risk needed to be seen within a diverse built environment that had a complexity of fire risk. This directly challenged that HRRB presented the highest or most complex form of fire risk. In seeking to develop a single overarching competence requirement to unify tasks, processes and manage risk there were therefore lengthy discussions about the definition of HRRB.

4 Additionally although WG4 agreed initially that its work focus was upon the Hackitt Report definition it encouraged CSG to promote a wider definition that categorised high fire risk buildings beyond HRRB.

5 It therefore amended the CSG Term of Reference: "Develop and prepare to introduce a method for demonstrating or proving competence for fire risk assessors including those undertaking work on higher risk residential buildings". WG4 therefore welcome the possibility that the new regime will include critical and social care hospital and homes, multi-occupied high rise residential homes and residential educational and student accommodation, which WG4 now refer to as 'designated premises' on the probability these will come under regulated control. This expansion of classification over time resonates with a WG4 view that complex fire risk goes far beyond the constricted definition used in the Hackitt Report.

6 Additionally WG4 also considers that whilst important to have fire risk assessors who are able to risk assess a 'designated use' buildings given the need for competent risk assessors for different building category types e.g. warehouses, shops, heritage, etc. and the existence of company fire risk assessors directly employed by the company who may not have qualifications or to be on any register, the scope of this current initiative will require extension, with or without a statutory mandate if buildings are to be adequately

[8] A seven step methodology 2007 Essentials of Fire safety Management, FPA

assessed for fire and life safety, This 'cascade effect' has been part of WG4's overall approach.

Effectiveness

1 A strongly held WG4 view was the need for third party accreditation of fire risk assessors. The FRACC approach had identified a number of existing registers of such persons some having accreditation by the UK Accreditation Service (UKAS) or being part of a Professional Engineering Institution (PEI) licensed by the Engineering Council (EngC), the UK regulation body for the engineering profession, and itself certificated by Lloyds Register.

2 The UKAS accredited organisations have an assured the management system, thus acting as independent auditors of those organisations and the PEI's have schemes or verification processes in which individuals who apply to join and become registrants are required to demonstrate appropriate competency. UKAS schemes generally relate to companies although they can also relate to people. WG4 considered that those individuals outside these two processes and products also need to be subject to a robust third party certification system along with a system related to ensuring there were competent installing contractors

3 In recognition that clear definitions are required to express accurately the variable levels competency required, which could then be applied to meet the many fire risk variables of construction, use, occupants, ownership, etc., WG4 concluded that criterion should be developed to reflect the qualification standard required to operate at the upper level of fire risk assessment. It reasoned that scoped this way attaining competency to meet the criteria for designated premises would permit a fire risk assessor to demonstrate performance to work on other complex fire risks.

4 WG4 members also recognised that a key competence for any Fire Risk Assessor is to recognise for which type of premises they do and most importantly don't, have the requisite skills or experience.

5 Introducing effective use by controlling, that is legally directing the use of competent fire risk assessors, is judged fundamental to any new regime. Evident from the experience of WG4 members was the poor impact of cost and quality in conducting fire risk assessments with many cited cases of incompetent behaviour. WG4 formally recommends, as it has already to the CSG, there must be a mandated requirement to use only fire risk assessors defined as competent in this report to conduct assessments on designated buildings.

6 To assist the public gain reassurance to that end WG4 proposes that there be a fire risk assessors register compiled from the existing registers, a 'register of registers', to ease public access and use which simply records those individuals who satisfy the defined criteria and who are supervised by a Third Party certificated company or professional body.

7 Generally perceived as raising the bar more to better inform and thus protect the public the proposed approach also introduces the possibility of a cascading effect, without further regulatory intervention, to support responsible and concerned building owners who want to engage fire risk assessors who are competent in conducting assessments of lower category risk buildings.

Competency in the Round

1 Competency in fire safety is a distinct professional function that requires skills, knowledge and behaviour. It is also an undertaking where individual decisions and actions have direct implications that can critically affect life safety. WG4 also adopted the Competency Steering Group's agreed Principles for Competency.

2 Often perceived as only undertaken in the pre-occupation phase of a building's development WG4 also see the risk assessment process as a foundation process upon which competent design, practices and material selection can create or add to a fire safety strategy.

3 Additionally the risk assessment process is highly appropriate and relevant during refurbishment and retrofitting of buildings, when other protective systems may be disabled for rendered ineffective for other reasons, and may be legally required during construction and during staged occupancy of buildings.

4 Although the primary aim of the criterion described in this document is relevant to the fire risk assessor operating during the construction through handover and into use, this does not exclude a risk assessor assisting a project team in the technical design phase.

5 Consequent of placing the practitioner in this role WG4 have set what they consider to be a realistic level of educational attainment in accordance with the recognised qualification award system for England and Northern Ireland known as the Regulated Qualifications Framework[9]. The Framework has nine levels from entry to doctoral degree with Level 4 recognises specialist learning involving detailed analysis of a high level of information and knowledge in an area of work or study. Level 4 is regarded as suitable for people working in technical and professional jobs and or managing the development of others.

6 The job of the fire risk assessor may range across buildings from those that are simple to the very complex and again, in the context of this document related to individuals working on designated buildings, WG4 is of the opinion attaining a Level 4 award is necessary. This permits entrants to join the profession, progressively receive education, training and experience, until they are capable and competent of working on more complex fire risks including designated buildings.

[9] The UK has four qualification award systems: Regulated Qualifications Framework (RQF) for England and Northern Ireland; Credit and Qualifications Framework for Wales (CQFW); Scottish Credit and Qualifications Framework (SCQF) and the Framework for Higher Education Qualifications for England, Wales and Northern Ireland (FHEQ). General adoption of the RQF has resulted in a "levels" approach being widely recognised as well as Total Qualification Time (TQT) to illustrate the time it takes to gain an award.

7 The rapid changes in building design, construction methods, products, materials, processes, etc. together with advances in fire protection systems requires continuous personal development and a fire risk assessor operating on designated buildings will be required to demonstrate in the area of risk being evaluated current awareness. WG4 has not defined how this responsibility will be fulfilled considering that task is the duty of the registrant's scheme although it should be part of any third party audit.

8 Building construction, adaption and renovation involves many individuals with responsibilities and accountabilities to work effectively and efficiently together. The fire risk assessor to be effective must be able to operate with all these stakeholders in an appropriate way using the essentially interpersonal and interdisciplinary skills to explain identified risks and offer suitable mitigation solutions.

9 A fire risk assessor is also required to personally signify to uphold that their behaviour in practice will be morally and ethically conducted such that the ultimate balance of any fire risk assessment made will always be to the benefit of life safety. WG4 recognised that in practice some contract arrangements of practitioners might challenge this assertion.

10 A fire risk assessor may also find that the organisational culture of the client may lack openness or support for alternative risk mitigation opinions that add economic or time factors into a buildings construction or use. In circumstances such as these where the fire risk assessor's cultural behaviour is threatened or compromised it is expected they will have recourse to their registration body. WG4 has not described how agreement to behave ethically or the safeguarding process should operate again considering this duty a matter for the registrant's scheme.

11 WG4 consider that this matter of culture extremely important in the widest sense and is reflected in personal behaviour and individual attitude displayed towards the risk assessment work being undertaken. A personal code of conduct is recommended and a model version is appended.

12 Generally the fire risk assessor would be expected to behave in a way that:

1. Demonstrates a fair and ethical approach showing respect for diversity and alternative views
2. Shows assured confidence and flexibility to meet various situations and operating conditions.
3. Remains approachable to those who may seek assistance or wish to offer comment.
4. Remains professionally focused and observant on the task.
5. Supports working with others to assist achievement of individual and team effectiveness.

6. Sensitively gathers and manages appropriate information and data to enable balanced risk assessment judgements to be reached and suitable recommendations made.
7. Strives to deliver work of the best practice and continuously seeks personal improvement.
8. When leading others acts supportively to aid their development and supervises positively.
9. Always operates with their own limits of professional competency.
10. Remains careful to recognise and open to seeking assistance in those situations extending beyond their personal competency.

13. A further issue that may arise in a fire risk assessment if the behaviour of an assessor if a situation is found to present a risk of imminent threat to life. Here, after first alerting the duty holder and informing them of the unacceptable situation, the expectation is that following a discussion around what evidence existed, and ensuring the duty holder understood the implication that an offence under law might be committed if things continued, the fire risk assessor would propose immediate preventive action. The assessor should know that having identified the situation they too could be seen as complicit in an offence being committed if nothing changed.

14. Consequently if the duty holder rejected or refused to undertake any suitable remedial action that the assessor recommended the assessor would need to make it clear to the duty holder they would record and then report the matter to the appropriate authority having jurisdiction to secure the safety of the people at risk and to also clarify the circumstances of the assessor's role and responsibility in the situation.

15. Continuous Personal Development to maintain standards and qualifications is essential as are the correct recording of the assessment results of competency. Suitable methodologies for the latter are described in the Framework produced by the Fire Sector Federation.

Core Competencies

1 After review of existing criteria, including the FRACC guidance and data such as Fire Safety Federation Competency Framework and good practice, WG4 determined and described 31 objectives as being appropriate for demonstrating the skills, knowledge and behaviour necessary to conduct fire risk assessments of high risk complex (designated) buildings which includes those defined as HRRB in the Hackitt Report.

2 WG4 also agreed appropriate forms of evidence for each objective giving examples produced from existing FSF competency documents and discussion within WG4. The objectives and examples WG4 considers offer those within and outside the discipline a clear view of the expectations that should be present in a competent fire risk assessor.

3 In addition to the criteria there is a requirement that all practitioners have the ability to communicate effectively within multi-discipline professional teams, with those having responsibilities for fire safety as duty holders, and with those having legitimate enquiries as occupiers or residents.

4 Providing information from a fire risk assessment, as mentioned above to persons having legitimate enquiries, requires careful consideration. Legislation like the Fire Safety Order[10] which places duties upon the Responsible Person requires the fire risk assessor to report in a full and open way to the Responsible Person or their nominated representative in order to ensure there is appropriate understanding to assist compliance. Similar concerns affect other duty holders under the MHSW[11] or CDM[12] Regulations.

5 What is also evident, given fire risk assessments will often detail both anonymised and very specific on persons, hazards, features, construction, etc. is that information of this kind is sensitive; in security terms by misuse, and in application and use, by misinterpretation. Avoiding situations that may compromises security and safety, to prevent harm from misuse and misinterpretation, whilst allowing incremental improvements, from safe to safer, by increasing awareness are therefore important considerations.

6 In this regard the utilisation of a summary of conclusions and recommendations in a fire risk assessment, although expedient for management, may also affect the overall effectiveness of interpretation unless there is a clear recognition by the duty holder of the risk assessment process and context that precedes these determinations (Reference

[10] Regulatory Reform (Fire Safety) Order 2005
[11] Management of Health and Safety at Work Regulations 1999
[12] Construction Design and Management Regulations 2015

to the steps followed in fire risk assessment shown in published guides[13] and standards[14] can help explain this process). Again it is incumbent upon the assessor to aid understanding and help avoid a duty holder 'jumping to conclusions' or using 'clichés' particularly when assessments are intended for use in public reporting.

7 The ability to communicate effectively includes appropriate interpersonal skills to explain, if requested in public, and to convey in writing, as part of any submitted fire risk assessment, the reasoning used to form assessment judgements and proposed solutions.

8 Fire risk assessments involve measurement and calculation together with the requisite computer, numeric and spacial skills required to record, transmit and archive assessments.

9 Assessment templates that use 'tick box' or automated features to help generate the written assessments are often used as the formal record. Although they are not precluded summarised reports must be supported by sufficient textural narrative and explanatory information, based upon an actual site inspection of the building and drawings that permit another assessor to understand how the conclusions related to a building's fire risk were reached.

10 WG4 determined that the document criteria could also be expanded to include levels of competencies at the various gateways in the design, build and change of use, and refurbishment stages; all of which have the potential to change the risk.

11 The WG also noted that a number of cross functional items are not specifically identified, like law, regulation and legal understanding and those other additional requirements needed to create and manage a fire safety strategy that lead into effective building fire management processes. This is in part because another WG is considering the competency of the duty holder or responsible person holding this accountability, not WG4 who's concern is the fire risk assessor, and also because, although these requirements are for appraisal by the fire risk assessor, good practice in producing a fire safety strategy and fire safety management plan exists currently.

12 The criteria objectives and examples of evidence follow.

[13] 2006 Fire safety risk assessment: series of guides produced by DCLG available GOV.UK
[14] PAS 79:2012. Fire Risk Assessment. Guidance and a recommended methodology

Competency Framework Criteria for Fire Risk Assessors of High Risk Complex Buildings (Inc. HRRB)

	Objective Category	Range of Evidence
	Compiled from data such as Fire Safety Federation Competency Framework and good practice	Examples produced from Fire Sector Federation Competency and documents produced by WG4
1	Construction	Demonstrate understanding of applicable codes and standards and first principles, occupant profiles and characteristics, which influence fire strategies.
2	Assessment	Demonstrate (using FSF standard terms) justification for the appropriate guidance applicable to premises to which the fire risk assessment will be carried out.
3	Built Environment (Contains cross functions with other categories)	Demonstrate an appreciation for the social and economic constraint on a building design.
4	Certification	General awareness of product certification testing and specification.
5	Containment/Compartmentation	Demonstrate an understanding of compartmentation Integrity and Insulation. This applies to construction materials used to form a compartment including doors, dampers and penetration sealants.
6	Design	Demonstrate an understanding for the principles of building design including legal aspects that informed the design.
7	Stakeholders of the building interface and impact of the fire strategy	Demonstrate an understanding of how key interfaces/disciplines influence fire strategies for building design and fire protection measures considered and the drivers behind engineering decisions from other disciplines to reduce risks holistically e.g. As Low As Reasonably Practicable (ALARP) principle.

8	Effects on the Environment	Demonstrate an understanding for building construction through life cycle environmental impact.
9	Emergency Lighting	Demonstrate an understand for emergency escape lighting to permit safe evacuation of a building occupants in the event of normal lighting sub-circuit failure and appropriate minimum illuminance.
10	Fire Detection and Alarm Systems	Demonstrate an understanding for the application of fire detection systems and extend a sound theoretical approach in enabling the introduction of new and advanced technology and other relevant developments.
11	Fire Safety (Contains cross functions with other categories)	Demonstrate an understanding for the safety measures employed and how impairment impacts the safety measures holistically.
12	Fire Science	Demonstration of an understanding of smoke behaviour and flame stainability and spread of flame over the internal linings of the building, how flame is restricted by making provision for materials to have low rates of surface spread of flame and a low rate of heat release to limit the contribution that the fabric of the building makes to fire growth.
13	Firefighter Intervention/Provisions	Demonstrate knowledge of lessons learnt from fire events, which have impacted upon law, codes and standards, which relate to Firefighter safety, access and fixed installations. Recognise the importance of maintaining access for fire appliances vehicles and ground water hydrants. Demonstrate understanding of differences between dry/wet rising fire mains and necessary water supplies including any generators.
14	Housekeeping	Demonstrate knowledge of how to assess the Housekeeping regime and its impact on the fire safety of the building and its users.
15	Human Factors	Demonstrate knowledge of vulnerable occupants and systems to support those persons such as Personal Emergency Evacuation Plans (PEEPs) and the impact to evacuation time.
16	Introduced Risk	Demonstrate an ability to take cognisance of additional consideration factors such as those which influence the effectiveness of existing fire strategies employed within a building, such factors as;

		temporary and permanent ignition sources due to activities or processes within the building.
17	Legislation	Demonstrate detailed understanding of concepts and applications of key legislation, guidance and good practices. (Refer to Annex 1).
18	Lightning protection	Demonstrate knowledge of how to assess if the lightning protection system is maintained and or fit for purpose.
19	Building systems that could present an ignition source	Demonstrate knowledge of the management and expected maintenance of building systems (Electrics, or other energy systems)
20	Maintenance (Contains cross functions with other categories)	Demonstrate an understanding for Planned Preventative Maintenance (PPM) of fire safety systems including fire evacuation equipment, safe refuge PEInt communication systems, hydrants, underground main, firefighting water tanks, hand-held-firefighting appliances, dry risers, external fire escape routes, particularly metal staircases. Passive and active systems and the contents of Premises Information Boxes/folders available for the Fire Service.
21	Management	Demonstrate confidence and ability to prepare and conduct interviews of the buildings management (Duty Holder and Responsible Person))
22	Manual Fire Fighting	Demonstrate a detailed understanding for the use of portable fire extinguishers, how the use of such apparatus can significantly influence the effectiveness of manual firefighting intervention, the evaluation of extinguishers are in line with the minimum travel distances and consider scenarios, where extinguishers can be installed at locations closer to the risk.
23	Means of Escape (Contains cross functions with other categories)	Understand detailed concepts of escape to ensure sufficient escape capacity for all occupants to reach an area of relative safety or final safety in an emergency.
24	Means of raising alarm (Alerting)	Demonstrate detailed understanding if there is an adequate method for raising the alarm and detecting a fire present in the premises where relevant.
25	Mechanical Systems/Smoke Control	Demonstrate detailed understanding for hot smoke control systems and cold smoke control

		systems. These consist of mechanical, natural ventilation and fixed systems.
26	Persons at Risk	Demonstrate detailed understanding of how to assess who are the persons at risk in and around the building.
27	Record Keeping	Demonstrate detailed understanding of what records should be kept and accessible.
28	Risks	Demonstrate detailed understanding how to identify fire hazards, the level of risk presented and their associated control measure.
29	Safety Signs and Signals	Understand the requirements for signage types and their locations to conform to the appropriate British Standard.
30	Specification (this contains cross functions with other categories)	Assist in the detailed specification of fire safety systems and arrangements to enable the specification tendering and procurement of such services and systems.
31	Suppression Systems	Demonstrate an understanding for the application of fire suppression systems and extend a sound theoretical approach, enabling the introduction of new and advanced technology and other relevant developments.

NOTES

As a general rule the Working Group are of the opinion that Fire Risk Assessors should demonstrate they are operating at the Regulated Qualifications Framework Qualification Level 4 criteria and be aware of their competency limitations such as the range of knowledge and experience expected. Educational development to Level 4 may be demonstrated by experience and relevant qualifications such as NVQs, BTEC Professional diplomas, certificates and awards, HNCs, Certificates of Higher Education (CertHE), Higher apprenticeship, Approved Fire Risk Assessors courses and professional examinations that offer specialist learning, involving detailed analysis of a high level of information and knowledge in an area of work or study and is suitable for people working in technical and professional jobs, and/or managing and developing others, or blended with EngTech or higher.

Report Working Group 4 Fire Risk Assessors

Qualification levels are to be assessed for equivalency by the Fire Safety Federation and there is an expectation that fire risk assessors are fully competent in report writing and thereby able to express accurately and in detail the reasons and objectives for their assessment outcomes sufficient to allow challenge and understanding.

The document addresses the question directly for designated buildings during construction and occupation (RIBA stages 5 and 6) although this may be extended to stage 4 for certain projects and to ensure integration with fire engineering systems and strategy.

Report Working Group 4 Fire Risk Assessors

Process

1 The driver for this exercise is to provide a workable format for proving the competence of Fire Risk Assessors following the Grenfell Tragedy.

2 There are concerns within the Government or a misconception that the role of the Fire Risk Assessor should be qualified to that of a "Chartered Engineer". WG4 don't believe this is the correct path to follow and these concerns ought to be addressed by providing a clear route to gaining appropriate qualifications and/or relevant experience. In the first instance by raising the standards of all those wishing to work in the industry to adopt the pathway currently led by those who are already on an appropriately accredited register and operate robust quality controls such as BAFE SP205.

Proving competency requires:

- Levels of experience
- Qualifications and Awards
- Register/s to practice
- Third Party Accreditation Schemes

3 In the requirement of levels of experience a theoretical assumption has been made that there are three levels of Fire Risk Assessors, whilst recognising some company schemes may have different formats of progression.

- Trainee Fire Risk Assessors working on low risk simple buildings
- General Practitioner Fire Risk Assessors involved with a normal fire risk range of buildings
- High Fire Risk Assessors who are capable of operating in the most complex fire risk buildings including designated risk buildings

4 A practitioner to qualify must be able to prove they understand the complexities of designated buildings and know the right locations to gain detailed knowledge of the structure, its history and design. Ideally this could be from a National register of designated buildings Portal, the portal being accessible to defined users, building duty holders, practitioners, designers, emergency services, etc..

5 The qualification levels of a fire risk assessor's competence must be published in one of the recognised registers and so as to enable a licence or card type system to operate to ensure there is a progression and development of assessors and a simple transparent way for Responsible Persons and Duty Holders to select a competent assessor for their building.

6 These qualifications must be based upon quantifiable learnings established in the criteria described within this document. A record should be maintained to monitor progress with supervisory comments and reference to this document, the FSF Framework and FRACC to create a gap analysis. Once an individual completes the process of development and this is validated it can be regarded as formal qualification as a Fire Risk Assessor at the required professional grade.

7 Currently Third Party Certification of Fire Risk Assessment providers (Organisational Management Schemes) are:

- BAFE SP205 (will also include named individual certificated assessors)
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- Warrington Certification FRACS Company Scheme
- IFC Certification Ltd operate the 'IFCC 0099' company scheme

8 These management schemes offer a choice of UKAS approved scheme providers all working to a common standard that is measurable and practicable. In addition to this company based approach there are three recognised National schemes that offer a choice for individual registration:

- IFE Fire Risk Assessors Register
- IFSM Nationally Accredited Fire Risk Assessors Register (NAFRAR)
- IFPO fire risk Assessment Register (FRAR)

9 UKAS and EngC operating as mutual equivalency organisations can provide oversight of the governance as an independent third party certification organisations whilst the individual registers administer the individual practitioners under each of their registrant schemes.

10 WG4 consider that all individuals on current company or individual registers who wish to operate on designated buildings should have their name and registration details transposed onto a single National Register for qualified Designated Buildings Fire Risk Assessors. The national registration process should be designed to allow open public access and its operating costs minimised so that it can be funded as a part of the individual's original registration in a company or individual register.

11 The matter of mutual recognition; quality assurance across registration schemes and between individual registrants; maintaining the currency of the criteria to meet evolving changes in construction and fire knowledge; resolving occasional inter-organisational disputes of interpretation, application; responding to regulator or public concerns; and ultimately ensuring the relevance of the fire risk assessors standard as detailed in the first edition regarding fire risk assessor competency; are all recognised by WG4 as important ongoing matters.

12 This suggests that a management overview will be necessary for an ongoing period. WG4 consider that they, as the design initiators of this process, should therefore continue, operating under the auspices of the Fire Sector Federation, as a fire safety competency council similar to the original FRACC, to manage those circumstances outlined.

13 The flow of this registration and control process is shown in Figure 1

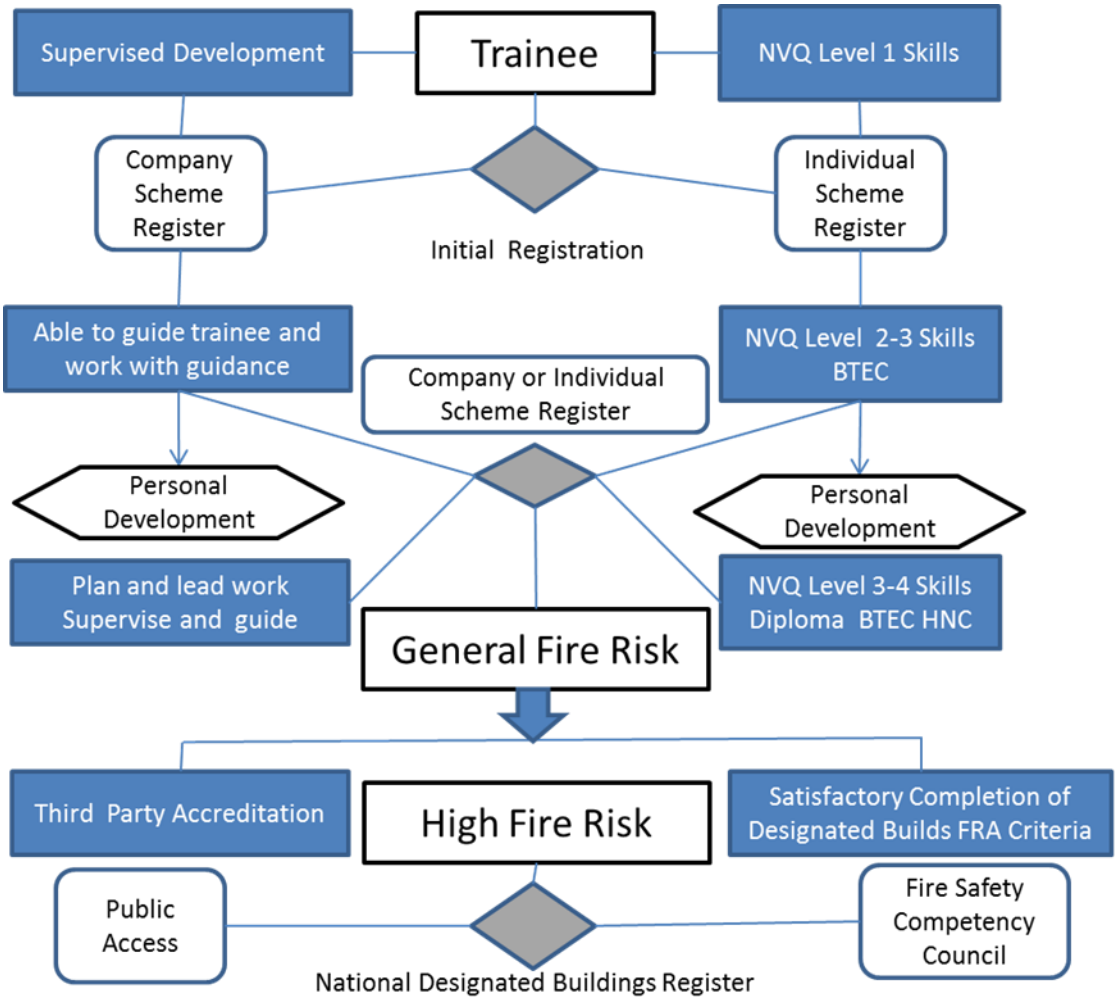

Figure 1 Fire Risk Assessor Designated Buildings Process

Report Working Group 4 Fire Risk Assessors

Work Group

Members

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Bob Docherty	IFSM
Bob Ward	FIA
Cathal Brennon	LABC
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Martin Oldknow	FOA
Mike Leonard	Building Alliance
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Peter Wise	BB7
Phil Brownhill	ASFP
Phil Hammond	LABC
Phil Martin	Martin Fire
Ruth Oliver	BAFSA
Stephen Adams	BAFE
Steve Manchester	BRE Global
Steve Skarratt	FSC Capita

Observers

Angus UK

British Fire Consortium

Build UK

Building Alliance

C B build

C S Todd

Construction Products UK

Fire Officers association

Glass and Glazing Federation

Ian Cox

Manchester FRS

MHCLG

NHBC

One Housing

Oxfordshire FRS

Radian

Resilience Advisers

Trident BC

Definitions

Fire Hazard

Source, situation or act with potential to result in a fire (e.g. an ignition source or an accumulation of waste that could be subject to ignition)

Fire Hazard Identification

Process of recognizing that a fire hazard exists and defining its characteristics

Fire Risk

Combination of likelihood and consequence(s) of fire

Fire Protection System, Active

A system which in the event of fire can function only after its operation has been either manually or automatically initiated

Fire Protection System, Passive

A system that carries out its function without requiring any manual or automatic initiation of its operation in the event of fire

Residential High Rise Buildings

Any residential building over the NFCC accepted nominal rescue height of 7.5 metres, the effective safe rescue height of a 135 ladder used by all UK FRS rather than the 18/20 metre definition.

Designated Buildings

Buildings, yet to be defined by regulation, that are considered to present substantial fire risk where a building system failure could put many people's lives at risk or where many people sleep.

Bibliography

This bibliography (list of publications) is not exhaustive, however the information contained herein aims to capture the key referencing material used within the Fire Risk Assessment profession. Documents are catalogued in alphabetical order and in order of the following hierarchy using Harvard referencing style.

Hierarchy

1. Legislative – Applicable to the UK, England, Wales, Scotland and Northern Ireland
2. British (BS), European/British (BS/EN), International/European/British Standards (ISO BS EN)
3. Insurance recommendations
4. Other national standards, accepted industry-wide as good practice (e.g. National Fire Protection Association (NFPA).

Contents

A

Act of Parliament

Environment and Safety Information Act 1988
Health and Safety at Work etc. Act 1974
Health and Safety (Offences) Act 2008
Mineral Workings (Offshore Installations) Act 1971
Mines and Quarries Act 1954
Offshore Safety Act 1992
Pipe-Lines Act 1962
Equality Act 2010
Health and Social Care (Safety and quality) Act 2015
The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
The Housing Act 2004
Housing (Wales) Act 2014

Associations and Institutions

ASFP: ADVISORY NOTES: (19 Publications available online)
ASFP:ASFP/BCF An Industry Guide
ASFP:Building Fire Protection Supplement
ASFP:COMPETENCY COUNCIL FIRE RISK ASSESSMENT GUIDANCE Competency Criteria for Fire Risk Assessors
ASFP:COMPETENCY COUNCIL FIRE RISK ASSESSMENT GUIDANCE Guide to Choosing a Competent Fire Risk Assessor
ASFP:CONSTRUCTION PRODUCTS REGULATION Guidance Note on the Construction Products Regulation
ASFP:CONSTRUCTION PRODUCTS REGULATION Introduction to the CPR
ASFP:CONSTRUCTION PRODUCTS REGULATION The 'Blue Guide' on the implementation of EU product rules
ASFP:CoP for the onsite use of intumescent coatings for fire protection of structural steelwork
ASFP:Ensuring Best Practice for Passive Fire Protection in Buildings, Edition 2
ASFP:Fire Dampers (European Standards) Fire & Smoke Resisting Dampers (grey Book)
ASFP:Fire Protection For Structural Steel In Buildings (yellow Book)
ASFP:Fire Resisting Ductwork (blue Book) British Standards Version
ASFP:Fire Resisting Ductwork (blue Book) European Version
ASFP:Fire Resisting Non Load-bearing Partitions (purple Book)
ASFP:Fire Retardant Coating Systems (orange Book)

ASFP:Fire Stopping & Penetration Seals For The Construction Industry (red Book)
ASFP:GUIDE TO INSPECTING PASSIVE FIRE PROTECTION FOR FIRE RISK ASSESSORS
ASFP:Guide to undertaking assessments in lieu of fire tests
ASFP:ON-SITE GUIDE TO INSTALLING FIRE STOPPING (online)
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION BUILDING FIRE PROTECTION SUPPLEMENT
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION Containing Fire Limiting Risk
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION FTSG Guide to test reports
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION Guide to third party certification
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION PFPF GUIDE (BLUE)
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION PFPF GUIDE (GREEN)
ASFP:PASSIVE FIRE PROTECTION FORUM PUBLICATION PFPF GUIDE (PINK)
ASFP:TGD 10 CoP for the refurbishment of structural steelwork
ASFP:TGD 11 CoP for the specification & on-site installation of intumescent coatings for fire protection
ASFP:TGD 13 CoP for the overcladding of reactive coatings
ASFP:TGD 14 CoP Boards for FP steelwork
ASFP:TGD 15 CoP for sprayed nonreactive coatings for FP steelwork
ASFP:TGD 16 CoP for off-site applied intumescent coatings
ASFP:TGD 17 CoP for the installation and inspection of fire stopping systems in buildings
ASFP:TGD 18 CoP for the installation & inspection of fire resisting duct systems
ASFP:TGD 19 Fire resistance test for open-state cavity barriers
ASFP:TGD 2 CoP for the use of Sprayed Mineral Coating
ASFP:TGD 5 Guide to Class O and Class 1
ASFP:TGD 8 CoP for junctions between different fire protection systems
FIA: A Guide for selecting flat entrance doorsets

Approved Document

Approved Document B (Welsh version): Fire Safety, Volume 2 Buildings other than Dwellinghouses (2006 edition) incorporating 2016 amendments.
Approved Document B: Fire Safety, Volume 2 Buildings other than Dwellinghouses (2006 edition) incorporating 2016 amendments.

B

Building Research Establishment (BRE)

BRE Report 187. External Fire Spread - Building Separation and Boundary Distances. 1991.
2014: BR 187 External fire spread
BR 368 Design methodologies for smoke and heat exhaust ventilation
BR 258 Design approaches for smoke control in atrium buildings
BR 375 Natural ventilation in atria for environment and smoke control: An introductory guide

British Standards (BS)

BS 4211+A1:2008. Specification for permanently fixed ladders.
BS 476-10:2009 Fire tests on building materials and structures. Guide to the principles, selection, role and application of fire testing and their outputs
BS 476-3:2004 Fire tests on building materials and structures, Classification and method of test for external fire exposure to roofs
BS 5266-1:2011 Emergency lighting. Code of practice for the emergency escape lighting of premises
BS 5266-1:2016. Emergency lighting, Code of practice for the emergency escape lighting of premises.
BS 5306-1:2006 Code of practice for fire extinguishing installations and equipment on premises. Hose reels and foam inlets

Report Working Group 4 Fire Risk Assessors

BS 5306-3:2009 Fire extinguishing installations and equipment on premises. Commissioning and maintenance of portable fire extinguishers. Code of practice
BS 5306-8:2012. Fire extinguishing installations and equipment on premises: selection and positioning of portable fire extinguishers - Code of practice.
BS 5306:8:2012 Fire extinguishing installations and equipment on premises. Selection and positioning of portable fire extinguishers. Code of practice
BS 5446-3-2015 - Detection and alarm devices for dwellings – Part 3: Specification for fire alarm and carbon monoxide alarm systems for deaf and hard of hearing people
BS 5499-10: 2014: Safety signs, including fire safety signs, Code of practice for the use of safety signs, including fire safety signs
BS 5499-10:2014 Safety signs, including fire safety signs - Part 10: Guidance for the selection and use of safety signs and fire safety notices.
BS 5499-4: 2013: Safety signs: Code of practice for escape route signing.
BS 5499-4:2013 Safety signs, including fire safety signs - Part 4: Code of practice for escape route signing.
BS 5839-1:2017. Fire detection and fire alarm systems for buildings. Code of practice for design, installation, commissioning and maintenance of systems in non-domestic premises.
BS 5839-6: 2013 Fire detection and fire alarm systems for buildings Code of practice design, installation commissioning and maintenance of fire alarm systems in domestic premises
BS 5839-8:2013. Fire detection and fire alarm systems for buildings. Code of practice for the design, installation, commissioning and maintenance of voice alarm systems.
BS 5839-9:2011 Fire detection and fire alarm systems for buildings Code of practice design, installation, commissioning and maintenance of emergency voice communication systems
BS 7273-1:2006 Code of Practice for the operation of fire protection measures. Electrical actuation of gaseous total flooding extinguishing systems
BS 7273-3:2008 Code of practice for the operation of fire protection measures. Electrical actuation of pre-action watermist and sprinkler systems
BS 7671:2008+A1:2011. Requirements for Electrical Installations.
BS 7974:2001. Application of fire safety engineering principles to the design of buildings - Code of practice (series).
BS 8214:2008 Code of practice for fire door assemblies
BS 8458:2015
Fixed fire protection systems. Residential and domestic watermist systems. Code of practice for design and installation
BS 9251:2014 Sprinkler systems for residential and domestic occupancies.Code of practice
BS 9990:2015. Non automatic fire-fighting systems in buildings. Code of practice.
BS 9991:2015 Fire safety in the design, management and use of residential buildings. Code of practice
BS 9999:2017. Code of practice for fire safety in the design, management and use of buildings.
BS EN 12101-6:2006. Smoke and heat control systems. Specification for pressure differential systems.
BS EN 12845:2015 Fixed firefighting systems. Automatic sprinkler systems. Design, installation and maintenance
BS EN 13501-1:2007 Fire classification products and building elements, Classification using data from reaction to fire tests
BS EN 13501-1:2007+A1:2009 Fire classification of construction products and building elements, Classification using test data from reaction to fire tests.
BS EN 13501-5:2016. Fire classification of construction products and building elements. Classification using data from external fire exposure to roofs tests.
BS EN 1363-1:1999 Fire resistance tests, General requirements
BS EN 1366-10:2011. Fire resistance tests for service installations. Smoke control dampers.
BS EN 1366-2:2015. Fire Resistance Tests for Non-Loadbearing Elements : Fire dampers.
BS EN 13823:2002 Reaction to fire tests for building products. Building products excluding floorings exposed to the thermal attack by a single burning item
BS EN 1634-1:2014. Fire resistance and smoke control tests for door and shutter assemblies, openable

windows and elements of building hardware. Fire resistance test for door and shutter assemblies and openable windows.
BS EN 1634-3:2004. Fire resistance and smoke control tests for door and shutter assemblies, openable windows and elements of building hardware - Part 3: Smoke control test for door and shutter assemblies.
BS EN 1838:2013. Lighting Applications - Emergency Lighting.
BS EN 3-7: 2004 + A1:2007 Portable fire extinguishers - Part 7: Characteristics, performance requirements and test methods.
BS EN 3-8:2006 Portable fire extinguishers. Additional requirements to EN 3-7 for the construction, resistance to pressure and mechanical tests for extinguishers with a maximum allowable pressure equal to or lower than 30 bar
BS EN 3-9:2006 Portable fire extinguishers. Additional requirements to EN 3-7 for pressure resistance of CO2 extinguishers
BS EN 54-20:2006 Fire detection and fire alarm systems. Aspirating smoke detectors
BS ISO 3864-1:2011. Graphical symbols. Safety colours and safety signs, Design principles for safety signs and safety markings.
BS ISO 23601:2009 Safety identification. Escape and evacuation plan signs
BS EN 62305-2:2012 Protection against lightning. Risk management

H

Hospital Technical Memorandum (HTM)

2013: Health Technical Memorandum 05-03: Operational provisions Part A: General fire safety
2006: Health Technical Memorandum 05-03: Operational provisions Part B – Fire detection and alarm systems
2007: Health Technical Memorandum 05-03: Operational provisions Part C – Textiles and furnishings
2013, 2nd Edition: Health Technical Memorandum 05-03: Operational provisions Part D – Commercial enterprises on hospital premises
2006: Health Technical Memorandum 05-03: Operational provisions Part E – Escape lifts in healthcare premises
2013: Health Technical Memorandum 05-03: Operational provisions Part F – Arson prevention in NHS premises
2006: Health Technical Memorandum 05-03: Operational provisions Part G – Laboratories on healthcare premises
2013, 2nd edition: Health Technical Memorandum 05-03: Operational provisions Part H - Reducing false alarms in hospital premises
2008: Health Technical Memorandum 05-03: Operational provisions Part J – Guidance on fire engineering of healthcare premises
2013: Health Technical Memorandum 05-03: Operational provisions Part K – Guidance on fire risk assessments in complex healthcare premises
2013: Health Technical Memorandum 05-03: Operational provisions Part M – Fire Safety in Atria
2015: fire safety in the NHS Health Technical Memorandum 05-02: Guidance in support of functional provisions for healthcare premises
2013: Health Technical Memorandum 05-01: Managing healthcare fire safety

Health Systems Global (HSG)

HSG 168 Fire Safety in Construction, guidance for HNPs, designers and those managing and carrying out construction work involving significant fire risks.
HSG-51:2015. The storage of flammable liquids in containers.

I

International Standards Organisation (ISO)

ISO 6182-5:2006 Fire protection - Automatic sprinkler systems Part 5: Requirements and test methods for deluge valves
ISO 6182-6:2006 Fire protection - Automatic sprinkler systems Part 6: Requirements and test methods for check valves

L

Local Government Association

L11-335 Fire safety in purpose-built flats

Loss Prevention Standard (LPC)

Loss Prevention Standard LPS 1207 Fire requirements for protective covering materials
2016: LPC rules and sprinkler installations, looseleaf updates issued (FPA)

N

National Fire Chiefs Council (NFCC)

NFCC Specialised housing guidance

National Fire Protection Association

NFPA 804:2015. Standard for Fire Protection of Advanced Light Water Reactor Electric Generating Plants.
NFPA 850:2015. Recommended Practice for Fire Protection for Electric Generating Plants and High Voltage Direct Current Converter Stations.
NFPA 24:2016. Standard for the installation of private fire service mains and their appurtenances.

P

Publicly Available Standard (PAS)

PAS 79:2007 Fire risk assessment. Guidance and a recommended methodology
PAS 7:2013 Fire risk management system. Specification

Published Documents (PD)

PD-7974-5:2014. Application of fire safety engineering principles to the design of buildings. Fire and rescue service intervention (Sub-system 5).
PD 7974-8 2012 Application of fire safety engineering principles to the design of buildings. Property protection, business and mission continuity, and resilience

R

Regulation

Confined Spaces Regulations 1997
Construction (Design and Management) Regulations 2015

Dangerous Substances & Explosive Atmospheres regulations 2002
Fire Safety (Employees Capabilities) (England) 2010
Health and Safety (Safety Signs and Signals) Regulations 1996.
Manual handling operations regulations 1992 (amended 2002)
The Building Regulations 2010, SI 2214.
The Fire Safety (Scotland) Regulations 2006
The Fire Safety Regulations (Northern Ireland) 2010
The Furniture and Furnishings (Fire Safety) Regulations 1988 (as amended in 1989, 1993 and 2010)
The Gas Safety (Installation and Use) Regulations 1998
The Management of Health and Safety at Work Regulations 1992
The Pressure Equipment (Safety) Regulations 2016
The Pressure Systems Safety Regulations 2000
The Regulatory Reform (Fire Safety) Order 2005, Statutory Instrument (SI) 1541.
The Smoke and Carbon Monoxide Alarm (England) Regulations 2015
Work at Height Regulations 2005
Workplace (Health, Safety and Welfare) Regulations 1992

U

Underwriters Laboratories (UL)

UL 555:2006. Standard for fire dampers.
UL 1479:2015. Standard for Safety Fire Tests of Through-Penetration Firestops.
UL 790:2004. Standard for Standard Test Methods for Fire Tests of Roof Coverings.

Report Working Group 4 Fire Risk Assessors

Enforcement Authorities

Local Housing Authorities

Fire and Rescue Authorities

Local Building Authorities

Defence Fire Service Regulator

Crown Premises Fire Inspection Group (CPFIG); Enforcement of FSO in Crown Premises including in prisons. Crown Premises Fire Inspection Group, Fire and Resilience Directorate, Crime, Policing and Fire Group, 2nd Floor NW Fry Building, 2 Marsham Street, London SW1P 4DF

Tel: 0300 1233911 Email: cpfig@homeoffice.gsi.gov.uk

Health and Safety Executive, Redgrave Court, Merton Road, Bootle. Merseyside L20 7HS

Care Quality Commission - The independent regulator of health and social care in England

CQC National Customer Service Centre, Citygate, Gallowgate, Newcastle upon Tyne NE1 4PA

Phone: 03000 616161 https://www.cqc.org.uk/

Care Inspectorate Wales – Register, inspect and take action to improve the quality and safety of services for the well-being of the people of Wales.

Welsh Government office, Rhydycar Business Park, Merthyr Tydfil CF48 1UZ

Phone: 0300 7900 126 Email; ciw@gov.wales https://careinspectorate.wales/

Care Inspectorate - The Care Inspectorate is a scrutiny body who look at the quality of care in Scotland. Compass House, 11 Riverside Drive, Dundee, DD1 4NY

Phone: 0345 600 9527 enquiries@careinspectorate.com http://www.careinspectorate.com/

Report Working Group 4 Fire Risk Assessors

The Regulation and Quality Improvement Authority (RQIA) - The independent body responsible for monitoring and inspecting the availability and quality of health and social care services in Northern Ireland. 9th Floor Riverside Tower, 5 Lanyon Place, Belfast, BT1 3BT https://rqia.org.uk/

Model Template

The structure of any fire risk assessment template will be fairly generic. These additions are often seen as 'bolted-on' at the present time to a generic template for purpose built HRRBs. However, it is suggested that there is a significant change to how these are carried out for HRRBs. Although the Local Government Association document for the guide to existing purpose built flats and apartments sets out four types of fire risk assessment it is considered that all are not adequate for HRRBs and that there should only be two types:

Type A – Communal areas (complete) and apartments – Intrusive.

The Type 'A' Fire Risk Assessment is required for the purpose of satisfying the Regulatory Reform (Fire Safety) Order 2005 (FSO) and additional action for HRRBs (which may cross over with the Housing Act 2004).

The inspection of the building is intrusive as it involves inspection of all the common parts, including access and inspection of basements, service risers, storage facilities including other parts which are in the communal areas but are not integral to the apartments.

It will also determine, as far as is reasonable, the fire separation between apartments and the common areas, between apartments and other ancillary rooms etc. and construction between the apartments and the common parts. After visual inspection, there may be a need to focus and probe parts of the construction without the need to physically open up large areas of that construction.

As well as an inspection of all the protective and preventive measures, the Fire Risk Assessment will include sampling and an examination of the main entrance door sets to apartments to determine their state and suitability. The inspection will also include sampling the provision of internal fire protection measures in the apartment e.g. protected internal hallways by FD20/30, sprinklers etc. arrangements for means of escape and fire detection (smoke alarms).

Type 'A' Fire Risk Assessments are intrusive but non-destructive. If there are, or there is reason to suspect serious deficiencies in structural fire protection e.g. inadequate compartmentation, poor fire stopping etc., a Type B Fire Risk Assessment may be appropriate.

Type B – Communal areas (complete) and apartments – Destructive

The Type 'B' Fire Risk Assessment is an extension of the Type 'A' but there will need to be some destructive elements added to the assessment and similar to the Type 'A' this will be carried out on a sampling basis. Usually this necessitates the presence of a contractor for

the purpose of opening up construction and making good after the inspection so that the integrity of separating construction and compartmentation can be assessed.

This will be the most rigorous Fire Risk Assessment and therefore will only be carried out in the most serious circumstances as determined by the Fire Risk Assessor.

Note: Both Type 'A' and Type 'B' Fire Risk Assessments include inspection and sampling beyond the main entrance door to the apartment. This may or not be within the scope of the Fire Safety Order (depending on FRS definitions) but it is still within the scope of the Housing Act and given the Grenfell legacy, these are the only appropriate types of fire risk assessments for HRRBs.

1 HRRBs Specific – Cladding/Wall Coverings (Spread of Flames and Fire)	
N°	**Item**
1	Has the building been constructed or refurbished in accordance with Approved document B, BS9999 or fire engineered solution?
2	Have there been any structural alterations within the last 12 months of this Fire Risk Assessment? If so, do they comply with the requirements of Building Regulations and was a completion certificate issued?
3	Are internal wall, ceiling linings/coverings and external surface coverings in good condition and meet the required surface spread of flame criteria?
4	Does the building have cavity walls? If so is there any insulation material inside the cavities and what type? e.g. mineral wool, urethane foam (beads or other).
5	Are external façade systems installed? If so, is insulation or decorative cladding used and If so what type is it and is its combustibility known/identified?
6	Have external façade systems been subjected to full scale testing to BR135 and the relevant standards/codes? Do they conform to, or satisfy the current Building Regulations?
7	Does the building pose any risk to surrounding properties? Is the building free from any risk posed by adjacent properties?

2 Compartmentation and Fire Separation	
N°	**Item**
1	Is there adequate compartmentation within the building? (30 minute or 60 minute?)
2	Are compartments adequately identified and separated from each other? How is this identified and what is the quality of the separation?
3	Is each apartment provided with adequate separation from adjacent apartments (including above and below).
4	Is each apartment provided internally with a protected hallway?
5	Are apartment entrance doors / door sets in good condition, maintained and inspected regularly (see also main section re general fire door comments)?
6	Has there been any work carried out (either internal or external to the apartments) that has breached the compartmentation lines? If so, has this work been fire stopped correctly and certificated by a competent installer e.g. third party certificated??
7	Have fire barriers been installed on the external facades of the building along the compartment lines? Have all joints and junctions, including window frames, spandrels and balcony door frames etc. been correctly fire stopped and certificated by a competent installer?
8	Have any cavities been fitted with cavity barriers (including wall cavities, roofs, false ceilings etc)?

3 Specific Means of Escape	
N°	**Item**
1	Are the number of staircases in the building adequate for the current level of occupants of all the apartments?
2	Are all of the staircases in the building adequately protected? Do they discharge from final exits to a place of safety away from the building?
3	Does the building design include a 'stay put' evacuation strategy? Are residents aware of what this means and its limitations and potential dangers? Is this strategy still relevant to the building?
4	Are evacuation lifts provided? If so, are they tested and maintained and records kept? Are residents aware of the provision of these lifts? Are they clearly signed and have instructions on their use?
5	Are residents provided with appropriate information regarding fire evacuation, what to do in case of fire and general fire prevention advice?
6	Are plans of the building, PEEPs for occupants and other important documents held on site, available to the Fire and Rescue Service and held in fire proof containers or safely accessible?

4 Resident and Stakeholder Participation	
N°	**Item**
1	Have residents/stakeholders been actively consulted and informed about the fire safety provisions within the building (including both within and outside the apartments).
2	Have residents/stakeholders been informed and understand their role and responsibilities in keeping the building safe?
3	Are all new residents given instructions on fire safety, fire safety provisions and what to do in case of fire?
4	Is there a history of building abuse and vandalism? This includes firefighting equipment (extinguishers, wet/dry risers, fire doors, fire alarm, etc.).

5 Miscellaneous	
N°	**Item**
1	Is there a Recovery Plan in place, including details of useful contacts in emergencies e.g. plumbers, electricians etc.?
2	Has there been any fire related incidents in the past 12 months?
3	What is the apparent quality of building work including internal fittings, etc?

6 Fire Service Intervention and Participation	
N°	**Item**
1	Is access for fire appliances realistically available on all faces of the building? Does this include access for the positioning of aerial ladder platforms on all faces and or corners?
2	Are water supplies for firefighting adequate? This includes adjacent hydrants as well as internal wet (or dry) riser systems.
3	Have operational crews from the fire & rescue service visited the building under the F&RS Act 72d?
4	Have fire safety staff visited the building? Have they produced any records or notices? Is there a record of outcomes and historic details provided?

Model Code of Conduct

I agree to behave as a responsible individual, and promote responsible behaviour amongst others. I recognise that a building's safety and the safety of its users and occupants both now and in the future depends on people like me acting considerately and responsibly, making the right decisions and taking the correct actions. I understand work undertaken on the fabric, function and services of a building may directly or indirectly effect its operation and ultimately its performance in the event of an emergency -such as a fire- that could cause harm or cost lives. I will act diligently and seek assistance if I am unclear or concerned about any aspect of my actions affecting safety.

I therefore agree to be:

1. Responsible for my actions and for the consequences of my actions.
2. Fair and value others diverse thoughts and opinions.
3. Truthful and honest reporting cheating and dishonesty
4. Respectful and conscious of others safety and welfare.
5. Honest and protect items and equipment from misuse and theft.
6. Open to challenge showing respect conscientiousness in my job or role
7. Trustworthy and avoid conflicts and impropriety
8. Careful not to abuse to my mental and physical health
9. Careful not to harass, intimidate or threaten and report anyone engaging in such behaviour.
10. Respectful of others regardless of their age, sex, sexual orientation, gender reassignment, religion or belief, being married or in a civil partnership, being pregnant or on maternity leave, disability, race including colour, nationality, ethnic or national origin.

Working Group 05 – Fire Safety Enforcing Officers

Annex B - Terms of Reference

1.Status

1.1. Working Group 5: Fire Safety Enforcing Officers has been established by the Competence for Building a Safer Future Steering Group (CSG).

1.2. CSG reports to the Industry Response Group (IRG) for Building a Safer Future, established in June 2017 by Ministry of Housing, Communities and Local Government together with Build UK, Construction Industry Council and Construction Products Association.

1.3. The purpose of CSG is to collaborate and jointly work in partnership to collectively advance the development and delivery of actions that seek to implement the recommendations and proposals made in the Final Report of the Independent Review of Building Regulations and Fire Safety: Building a Safer Future which relate to competence and are described in Chapter 5 and Appendix E.

2.Terms of Reference

2.1.Specific:

a) The Competency Framework requires review (para 1.11)

b) Cross referencing of previously attained qualifications and skills needs to be completed (para 1.11)

c) The NFCC should seek to ensure that fire and rescue services comply with the Competency Framework for Business Safety Regulators. (proposal Appendix E p137)

d) The Competency Framework for Business Safety Regulators should be developed through a national standard for England that could be adopted throughout the United Kingdom. (proposal Appendix E p137)

e) Fire and rescue services should ensure that they have sufficient capacity through suitably qualified Fire Safety Officers to effectively implement Integrated Risk Management Plans, Risk Based Inspection Programmes and discharge their statutory fire safety duties in relation to:

(i) inspection and audit;
(ii) statutory consultations;
(iii) undertaking enforcement action as appropriate; and
(iv) carrying out any additional activities which may be introduced as part of this Independent Review. (proposal Appendix E p137)

d) Building on the competence requirements set out in the Regulator's Code, NFCC should work with a suitable body to ensure fire and rescue services can introduce third party accreditation of the competence of Inspecting Officers with a recognised accreditation or professional body. (proposal Appendix E p137)

[Building a Safer Future, Appendix E, p137]

2.2.Shared:

These terms of reference will apply to all working groups:

- To agree a process for agreeing and monitoring competence frameworks;
- To agree a process for agreeing and monitoring accreditation and reaccreditation;
- To agree the period within which competence should be reassessed;
- To agree the method for demonstrating or proving competence;
- To agree whether the competence requirements for those working on HRRBs should also be extended to cover other complex, high risk buildings;
- To agree a programme of fire and system safety related CPD and who is competent to deliver the CPD;
- To consider issues of maintainability and operation of buildings in occupation;

- To consider relevant examples of learning from other sectors, or from international examples including international regulations;
- To report to the Steering Group after each meeting and to submit reports for the Steering Group's reports to MHCLG/JCA before 15 June (if appropriate); 15 September; 12 December; and 15 March 2019; and
- To refrain from any public comment on this work unless specifically agreed by the Steering Group or the IRG and the NFCC when appropriate.

3.Composition of the Working Group

3.1. A Chair, appointed by the CSG. (NFCC) The Chair shall be nominated by NFCC (Adreena Parkin-Coates)

3.2. A Secretary, appointed by the CSG (NFCC). The Secretary shall be nominated by NFCC.

3.3. Members shall be representatives of fire and rescue services and alternates may be provided.

3.4. The Working Group may additionally seek ex officio or ad hoc representation from other CSG Working Groups where this enhances joined-up thinking and effective management of overlapping practice areas.

3.5. All Working Group documents will be circulated to all Working Group members and alternates where available.

4. Procedure

4.1. The Working Group shall meet at a frequency that enables progress to be reported at each CSG meeting, nominally monthly.

4.2. Working Group meetings may be held physically or by virtual means.

4.3. The Working Group may invite experts and observers to attend meetings where this supports effective progress of its work.

4.4. Tasks agreed by the Working Group may be assigned to Working Group members and alternates. Where appropriate these may be delegated but the WG Member/alternate will retain responsibility for ensuring completion of the task to the agreed quality, timescale and, if applicable, cost.

4.5. Working Group members and alternates shall ensure that the proceedings and material under development are treated in confidence and only circulated as necessary for the effective delivery of meetings and tasks.

4.6. Where any issue is the subject of a vote in the Working Group, the matter shall be decided by a simple majority of members voting. In the event of a tied vote, the Chair shall have a casting vote.

4.7. Working Group members shall declare any conflicts of interest. Any who declare an interest do not have to withdraw from the meeting, and may stay and contribute but not vote on the subject under discussion.

5. Reporting

5.1. A report shall be submitted to each CSG meeting summarising key activities and progress.

5.2 Feedback from the CSG shall be communicated to the Working Group in a timely manner.

6. Duration

6.1.The Working Group shall remain in place until completion of the work set out in these terms of reference.

6.2.As set out in Building a Safer Future Chapter 5, recommendation 5.2 CSG must present a coherent proposal to government within one year [of the date of the report].

Working Group 05 – Fire Safety Enforcing Officers

Annex C - National Occupational Standards

Level 3 Certificate in Fire Safety

The following units relate to simple premises

- NOS FS1: Identify and report fire hazards and risks (4 credits)
- NOS FS2: Assess risks associated with fire (5 credits)
- NOS FS3: Ensure protection measures are in place (5 credits)
- NOS FS7: Review fire protection systems (5 credits)
- NOS FS10: Plan & gather evidence (4 credits)

Level 4 Diploma In Fire Safety

The following units relate to complex premises

- NOS FS2: Assess risks associated with fire (5 credits)
- NOS FS3: Ensure protection measures are in place (5 credits)
- NOS FS6: Review fire safety relating to construction (7 credits)
- NOS FS7: Review fire protection systems (5 credits)
- NOS FS9: Fire safety at regulated or licensed locations (4 credits)
- NOS FS12: Visit premises for purposes of fire safety (4 credits)

Plus a minimum of 2 optional units to achieve 37 credits

- NOS FS4: Minimise risks to the community (optional)
- NOS FS5: Support management of risks at incidents (optional)
- NOS FS8: Review fire safety at construction sites (optional)
- NOS FS11: Prepare and present evidence in court (optional)
- NOS FS13: Draft statutory enforceable documents (optional)
- NOS FS14: Serve statutory enforceable documents (optional)

The Framework states that optional units FS11, FS13 and FS14 should be taken by Fire Safety Officers.

SFJFS1 Identify and report hazards and risks associated with fire

Overview

This standard is about identifying fire hazards, and contributing to continuous risk assessment by regular review, monitoring and reporting to ensure that risk reduction measures, fire precautions and maintenance routines are sustained. Individuals will work within a pre- determined location and with a defined level of responsibility.

There are two elements

1 Identify fire hazards and risks

2 Report fire hazards and risks

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation such as fire warden, fire marshal, site safety officer, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.

SFJFS1 Identify and report hazards and risks associated with fire

Performance criteria	**Identify fire hazards and risks**
You must be able to:	P1 Confirm: P1.1 your personal level of responsibility and expected contribution to risk management P1.2 the scope of your responsibility including the locations under your control P2 confirm a schedule for checking for hazards, risks and fire precautions P3 monitor for hazards, risks and fire precautions P4 assess risks and fire precautions within your level of responsibility P5 inform people on the premises about their personal responsibilities and how they should report hazards P6 carry out reviews as required
You must be able to:	**Report fire hazards and risks** P7 report hazards and risks when you identify them P8 keep accurate records of reviews and monitoring activities, including: P8.1 the hazards and risks you have identified P8.2 fire precautions P8.3 the action taken to deal with risks and fire precaution needs P9 seek advice and support to remove or control risks that are outside of your level of responsibility or expertise P10 report on reviews and monitoring activities to specified personnel as required P11 contribute to continuous risk assessment and management processes

SFJFS1 Identify and report hazards and risks associated with fire

Knowledge and understanding

You need to know and understand:	K1 the range of extinguishing media, its location and correct application and use K2 the published fire routine including methods for raising the alarm, initiating evacuation and use of fire fighting equipment K3 the means of escape and pre planned arrangements for ensuring safety of people in the event of fire, including those less able and their behaviours K4 the principles of hazard identification and risk assessment, including the difference between hazard and risk K5 the implications of failing to identify hazards and control risks K6 the importance of fire precautions in the protection of people, property and the environment K7 the organisational practices, procedures and reporting requirements relating to the identification of hazards and maintenance of fire precautions K8 own personal role, responsibilities, competence and level of authority in respect of hazard identification, risk assessment and

risk management
K9 the range of hazards and risks within the working environment and how to recognise these
K10 the requirements for records associated with hazard identification, risk assessment and reporting
K11 lines of communication and reporting methods and requirements
K12 the triangle of fire and basic preventive methods
K13 the nature of fire hazards, the causes of fire and the significance of common causes indifferent occupancies in your area of responsibility
K14 how to access sources of information, advice and support
K15 the procedures and requirements for reporting on fire safety issues
K16 the roles and responsibilities of others with authority to action fire safety issues
K17 the importance of training and the testing of fire precautions in sustaining fire safety

SFJFS2 Assess risks associated with fire

Overview

This standard is about the practitioner, either on their own or in co-operation with others, ensuring that, as far as is reasonably practical, everyone on the premises can escape safely in the event of a fire. This will also include making certain that the risk reduction, fire precautions and maintenance routines are sustainable. Individuals will be working within their personal level of responsibility for advice, information and enforcement issues.
The responsibility for the assessment does lie with the person(s) described within the relevant home nation's legislation.

There are two elements

1 Evaluate fire hazards and risks in premises
2 Determine solutions to minimise risks from fire

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - manager, staff, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.
It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS2 Assess risks associated with fire

Performance criteria

You must be able to:

Evaluate fire hazards and risks in premises

P1 identify legal, regulatory or statutory requirements and implications associated with the premises
P2 identify actual and potential hazards within the scope of the evaluation
P3 evaluate the type and level of risk associated with identified hazards
P4 include all physical areas within the scope of the evaluation
P5 identify relevant people who may be at risk
P6 determine the significance of identified risks and their potential for harm to people, property and the environment
P7 assess the effectiveness of current control measures
P8 determine the need for existing or new control measures

P9 obtain specialist advice where issues are outside of your own area of expertise or control
P10 support the needs of the your organisation and be consistent with broader risk assessment processes

You must be able to:

Determine solutions to minimise risks from fire
P11 report on the identification and prioritisation of a range of suitable options to eliminate, reduce or control risks
P12 agree:
P12.1 changes to eliminate identified hazards
P12.2 changes to reduce risks that cannot be eliminated to as low as reasonably practicable
P12.3 controls which are appropriate to the range and type of residual risks
P13 seek advice and support to remove or control risks that are outside of your level of responsibility or expertise
P14 report on reviews and monitoring activities to specified personnel as required
P15 contribute to continuous risk assessment and management processes
P16 address issues associated with assisting the fire and rescue service to protect people, property and the environment in the event of an incident
P17 explain the rationale for prioritisation against critical factors to support risk management decisions
P18 include specialist advice where issues are outside of your own area of expertise or control
P19 make available records and supporting evidence to authorised users
P20 seek agreement and approval from those with the authority to take forward what has been determined
P21 advise on action to meet legal and statutory requirements and explain the implications of non-compliance

SFJFS2 Assess risks associated with fire

Knowledge and understanding

You need to know and understand:

K1 the principles and methodologies for risk assessment and its validity
K2 the relevant national legislative framework and the mechanisms of enforcement in new, altered and existing buildings
K3 the principles and methods of fire safety in premises including structure, materials and access issues affecting fire safety
K4 organisational policy and working practices in relation to risk assessment
K5 the methods and techniques for identifying, assessing and interpreting relevant data and associated information
K6 the consultation procedures relating to fire safety
K7 the roles, responsibilities, level of authority and requirements of yourself and others within the context of formal proceedings
K8 the guidance and codes of practice that address safety of life from fire and compliance with legislation for complex fire safety measures
K9 the limitations of codes of practice and the use of fire risk assessment to justify departures from such codes
K10 the principles of fire safety and an appreciation of their development as they affect people, property and the environment
K11 the principles and role of the management system(s), the

passive and active fire protection system(s) as control measures in mitigating risk
K12 the common causes of fire and the significance of the common causes in a range of occupancies
K13 how to assess the potential for fire incidents that will affect organisational functions and processes for occupants
K14 the impact of the diversity of occupants in relation to safety responses
K15 the components associated with fire prevention and defence against fire in premises and their integration with likely human behaviour
K16 own personal level of competence, expertise, authority and limitations
K17 how to access sources of specialist advice and support
K18 the factors affecting the formulation of risk-appropriate
K19 the role and interests of stakeholders in the protection of life, property and the environment from fire

SFJFS3 Ensure measures are in place to protect people from fire

Overview

This standard is about ensuring that required fire safety resources are available, including active and passive fire protection systems. Implementation will be in accordance with a pre- determined risk assessment and risk management system to ensure that the risk reduction, fire precautions and maintenance routines are sustained.

There are two elements

1 Ensure resources are available to manage fire risks
2 Ensure fire safety equipment and management systems are fit for purpose

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - managers, staff, representatives, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained. It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS3 Ensure measures are in place to protect people from fire

Performance criteria

You must be able to:

Ensure resources are available to manage fire risks

P1 ensure:
P1.1 there are sufficient fire safety measures and resources of the correct type in the correct location to meet the requirements of the risk assessment
P1.2 sufficient notices and instructions relating to equipment are correctly placed, are legible and current
P1.3 people with fire safety responsibility are aware of their role and the training they are required to undertake
P1.4 arrangements and action plans for access, egress and evacuation are confirmed

P2 bring deficiencies, defects and lack of resources to the attention of the appropriate people

You must be able to:

Ensure fire safety equipment and management systems are fit for purpose

P3 ensure people and systems carry out required internal checks on both active and passive fire safety measures at specified intervals

P4 check that:

P4.1 external certification for fire safety equipment is current and recorded in compliance with risk management system

P4.2 records associated with purchase, allocation, maintenance and disposal of fire safety equipment are accurate, legible, current, complete and available to authorised users

P4.3 contingency arrangements are in place and have been tested for effectiveness

P5 Bring deficiencies and defects to the attention of the appropriate people

SFJFS3 Ensure measures are in place to protect people from fire

Knowledge and understanding

You need to know and understand:

K1 the range, type and purpose of fire precautions in place

K2 the existing fire safety management systems and who has responsibility for these

K3 the current internal and external requirements relevant to your area of responsibility

K4 the internal and external checking and certification procedures and their frequency

K5 the procedures for reporting deficiencies, defects, damage or omissions and who has authority to take corrective action

K6 the current fire procedures and other contingency arrangements and how to maintain effectiveness in their implementation

K7 the requirements for training people, the range of training available and how to access this

K8 the organisational requirements for records associated with the fire safety equipment, fire precautions and management systems

K9 own and others responsibilities in maintaining fire safety requirements for premises user(s)

K10 how to access sources of information, advice and support

You must be able to:

Report on the conduct and findings of your visit

P15 draft clear, concise inspection reports, in the appropriate format

P16 draft inspection reports which will inform the next visit plan and identify who you met, the purpose of the inspection, any limitations, salient findings and action taken by yourself and the person[s],

P17 evaluate how effective the inspection was against objectives in the plan

P18 identify and arrange any further action required by your own or another regulatory authority

P19 communicate your findings to colleagues when appropriate

and update your authority records on the person[s]

SFJFS4 Work in partnership to minimise risks to the community

Overview

This standard is about the management and coordination; liaison with stakeholders and implementation of action to improve fire safety and community safety. As well as a community that is served by a Fire and Rescue Service, the community can be specific to those that work/use specific environments such as: airports; docks and ports; industrial sites; railways etc.

There are two elements

1 Liaise with stakeholders to improve safety in the community
2 Implement action to improve community safety

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - managers, site safety representatives, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.

It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS4 Work in partnership to minimise risks to the community

Performance criteria

You must be able to:

Liaise with stakeholders to improve safety in the community

P1 seek and assess information on safety from relevant stakeholders
P2 agree roles and responsibilities for improving safety, based on a risk assessment of community needs
P3 develop and agree cohesive programmes for safety which are relevant, realistic, achievable and relevant to identified risks
P4 secure commitment from stakeholders for the implementation of agreed programmes
P5 encourage active communication and the exchange of information to ensure a culture of continuous improvement
P6 explore new and innovative means of promoting safety
P7 agree detailed plans, timescales and objectives for safety activities and ensure their integration within broader community plans

You must be able to:

Implement action to improve community safety

P8 promote the benefits of active collaboration on safety issues to achieve commitment and involvement
P9 Agree measures and methods to evaluate safety activities
P10 confirm the roles, responsibilities, objectives and timescales for agreed activities
P11 ensure the availability of agreed resources to support implementation, monitoring and review
P12 implement agreed programmes within appropriate timescales

P13 monitor implementation against agreed review measures
P14 seek advice and support to manage any difficulties that arise during implementation
P15 report on the actual results, effectiveness and sufficiency of safety activities
P16 recommend methods and action to improve future safety activities

SFJFS4 Work in partnership to minimise risks to the community

Knowledge and understanding

You need to know and understand:

K1 the principles of fire and community safety
K2 the range of tools available to obtain fire and community safety information
K3 the organisational policy and working practice in relation to fire and community safety
K4 the stakeholders involved in fire and community safety and their roles and responsibilities
K5 the objectives and components of safety education in the community
K6 the current safety programmes and activities and their purpose
K7 the critical risks within the community and associated control measures
K8 how to prioritise community safety initiatives
K9 how you can keep the diversity of your community better involved and informed

SFJFS5 Support the management of risks at incidents

Overview

This standard is about fire safety specialists or site safety specialists advising and supporting the Incident Commander or person with the delegated responsibility of the Incident Commander at an incident. Individuals will work at their personal level of responsibility and authority for providing advice and information, as well as progressing enforcement issues where relevant.

There are three elements

1 Obtain information to assist with the management of risks at incidents
2 Advise on the management of risks during incidents
3 Support the management of risks following incidents

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - managers, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.

It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS5 Support the management of risks at incidents

Performance criteria	**Obtain information to assist with the management of risks at incidents**
You must be able to:	P1 seek information relevant to an incident from all available sources P2 establish identity of key persons, and obtain available current plans and the status of the incident P3 determine critical risks associated with incident type and status P4 prioritise risks and their potential effect on people, property and the environment P5 determine factors which may influence the level of risk associated with an incident P6 liaise with other agencies involved in an incident to establish legislative requirements, current roles and responsibilities P7 evaluate risks to personnel and the need for personal protective measures for self and others
You must be able to:	**Advise on the management of risks during incidents** P8 inform relevant people on known issues affecting access and egress P9 inform relevant people on identified risks and factors influencing their potential escalation P10 respond to requests for information and advice regarding safety of people, property and the environment P11 liaise with the responsible person(s) to maintain currency of information concerning risks associated with the incident
You must be able to:	**Support the management of risks following incidents** P12 advise personnel on management of post incident risks to establish safety and security of incident site P13 obtain specialist advice, where required, to assist with residual risks P14 confirm with incident command when matters influencing safety of incident site have been resolved P15 advise during environmental recovery following resolution of the incident P16 inform the responsible person(s) of any apparent breach of legal or statutory requirements P17 advise on action required to meet legal and statutory requirements and the implications of non-compliance P18 advise on and assist with any post-incident investigation

SFJFS5 Support the management of risks at incidents

Knowledge and understanding

You need to know and understand:

K1 the methods and techniques for gathering and interpreting relevant data and associated information
K2 the principles and methodology for risk assessment and their application
K3 own personal capabilities, limitation, level of authority and responsibility in the evaluation of risk assessments and when to seek advice from others
K4 the sources of relevant information and how to access them, including consultation procedures relating to safety at multi-agency incidents
K5 the methods for the protection of life in the event of an incident, including facilities required to assist fire-fighters
K6 the methods for prevention of an incident and their application in a range of contexts
K7 how to assess the potential for incidents that will affect organisational function and processes for the occupancy
K8 the importance of considering business recovery in the event of an incident which interrupts normal activity
K9 the relevant legislative framework and the mechanisms of enforcement in new, altered and existing buildings

SFJFS6 Review fire safety matters relating to existing or proposed construction

Overview

This standard is about commenting on the suitability of materials and the fire risks associated with the design, construction, alteration and use of premises. Individuals will work within their personal level of responsibility and authority for providing advice and information and dealing with compliance issues.

There are three elements

1 Evaluate plans to determine fire risks associated with construction design
2 Evaluate planned use of materials and their effectiveness
3 Report on risks with recommendations to support appropriate risk reduction measures, fire precautions and maintenance routines

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - staff, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.
It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS6 Review fire safety matters relating to existing or proposed construction

Performance criteria	
You must be able to:	**Evaluate plans to determine fire risks associated with construction design** P1 obtain sufficient information from all available sources to enable an evaluation of proposals P2 identify the range of national and international standards and guidance relevant to the type and nature of submission P3 confirm the type, range and level of risks associated with the proposal P4 assess the proposal against the appropriate national and international design standards or guidance P5 determine the validity of the fire strategy associated with the submission and identify risks which are not adequately controlled P6 establish that the proposed control measures are suitable and sufficient to manage risks effectively P7 where further information becomes available, continually assess the adequacy of fire safety measures P8 where appropriate, obtain specialist advice to support the assessment, where factors influencing risk are outside of your own personal level of expertise P9 evaluate the impact of the proposed plans on existing fire safety arrangements when altering or adapting premises
You must be able to:	**Evaluate planned use of materials and their effectiveness** P10 where appropriate, determine the classifications and specifications of the proposed materials P11 establish relevant international and national standards or guidance relating to premises type and use P12 evaluate the risks, advantages and disadvantages of material type, method of use and intended location
You must be able to:	**Report on risks with recommendations to support appropriate risk reduction measures, fire precautions and maintenance routines** P13 report at a sufficient level of detail and clarity to ensure understanding by all recipients P14 report accurately, in agreed format and within the agreed timescale P15 specify the results of your assessment including any recommendations for further action P16 indicate whether plans comply with current legislation, relevant standards and company policy P17 advise on action required to meet legal and statutory requirements and the implications of non-compliance P18 specify any changes required to achieve compliance P19 ensure receipt of report within agreed timescale

SFJFS6 Review fire safety matters relating to existing or proposed construction

Knowledge and understanding

You need to know and understand:

K1 the range of regulations, codes of practice and guidance associated with building construction or alteration, including national and international standards
K2 the factors influencing the selection of regulations, codes of practice and guidance associated with specific design, construction or alteration plans
K3 the relevant legislative framework and the mechanisms of enforcement in new, altered and existing buildings
K4 the steps you would take to work with the appropriate person and where relevant other partners in order to achieve a satisfactory level of fire safety
K5 own personal level of competence, expertise, authority and limitations
K6 how to access sources of specialist support, advice and information
K7 the methodologies, tools, techniques for risk assessment and their correct application
K8 the factors influencing the impact of proposed construction or alteration during and after implementation, on the existing fire safety systems
K9 the range and type of building materials, their classifications, specifications and limitations
K10 the interaction between different building materials under varying circumstances
K11 the compatibility of different types of building materials under varying circumstances
K12 the methods of testing materials and the limitations of each
K13 the likely and possible consequences of inappropriate selection, or incorrect use, location, orientation or interaction of materials
K14 how workmanship can affect the fire performance of a building

SFJFS7 Review matters relating to fire protection systems

Overview

This standard is about advising on management control systems and practices, and active and passive systems affording protection from fire to people, property and the environment. It includes the range of resources and equipment available relevant to the prevention, control, containment or elimination of outbreak of fire or related incidents. Individuals will work within their personal level of responsibility and authority for providing advice and information and dealing with compliance issues.

There are two elements

1 Evaluate premises to determine fire risks
2 Recommend options to support appropriate risk reduction measures, fire precautions and maintenance routines

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation – staff, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.
It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS7 Review matters relating to fire protection systems

Performance criteria	**Evaluate premises to determine fire risks**
You must be able to:	P1 confirm the type, range and level of fire risk within each location, having regard to its construction, layout and use P2 confirm planned changes in construction, layout and use of premises which may affect the suitability of the existing fire protection systems, or the choice of new systems P3 identify the relevant national and/or international standards P4 determine the validity of the current risk assessment and identify risks which are not adequately controlled P5 investigate the adequacy and effectiveness of current fire protection systems P6 where deficiencies are identified, obtain sufficient additional information to assist with recommendations P7 where relevant, obtain specialist advice to support assessment where factors influencing risk are outside of own personal level of expertise
You must be able to:	**FS7.2 Recommend options to support appropriate risk reduction measures, fire precautions and maintenance routines** P8 identify options for fire protection to control identified risks P9 for each option, consider the contribution to, and impact on, the overall fire safety strategy P10 prioritise options to meet legislative, regulatory and statutory requirements P11 risk assess information that may influence the ultimate selection of fire protection systems P12 produce recommendations in agreed format and at sufficient level of detail to assist with decision making P13 support recommendations with accurate, complete and current information including the promotion of benefits and implications of proposed solutions P14 confirm that the appropriate person(s) understanding of recommendations and the implications associated with decisions on the selection, installation and maintenance of fire protection systems P15 advise on action required to meet legal and statutory requirements and the implications of non-compliance

SFJFS7 Review matters relating to fire protection systems

Knowledge and understanding

You need to know and understand:

K1 the relevant legislative framework, consultation procedures and other mechanisms for achieving fire protection within existing, proposed and altered premises
K2 own personal level of competence, expertise, authority and limitations
K3 sources of specialist advice and how to access these
K4 the steps you would take to work in partnership with the appropriate people in order to achieve a satisfactory level of fire safety
K5 the role of systems in protecting people, property and the environment from fire
K6 national and international standards, codes of practice, guidance and legislation that address protection of people, property and the environment from fire
K7 the limitations of codes of practice and guidance when providing complex fire safety measures and proposals, and the use of fire risk assessment to justify departures from such codes
K8 the common causes of fire and the significance of the common causes in a range of occupancies
K9 how to assess the potential extent for fire incidents and the impact upon the premises
K10 how to access sources of specialist support, advice and information
K11 the factors affecting the formulation of risk-appropriate solutions within organisational constraints, for the protection of people, property and the environment
K12 the role and interests of stakeholders in the protection of people, property and the environment from fire
K13 the range of options available and their capabilities and limitations in protecting people, property and the environment from fire
K14 how to prioritise options for fire protection to address assessed levels of risk having regard to other influencing factors

SFJFS8 Review fire safety matters relating to premises under construction, demolition and alteration

Overview

This standard is about advising on the fire risks associated with premises under construction, demolition or alteration. Individuals will work within their personal level of responsibility and authority with regard to providing advice and information and dealing with compliance issues.

There are three elements

1 Assess fire risks associated with planned construction, demolition and alteration
2 Inform and advise on controls to manage fire risks in premises
3 Inform and advise on controls to manage fire risks in the vicinity of premises

Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - managers, staff, trade unions, owners and/or occupiers - to ensure

that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.
It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS8 Review fire safety matters relating to premises under construction, demolition and alteration

Performance criteria	
You must be able to:	**Assess fire risks associated with planned construction, demolition and alteration** P1 identify the methodology used for risk assessment and the rationale for its selection P2 assess the suitability of the chosen methodology for the working context, the size and nature of premises P3 assess the sufficiency of the chosen methodology in relation to the complexity of actual and potential risks associated with construction, demolition or alteration P4 liaise with other relevant agencies to advise on the choice of methodology at sufficient level of detail to assist with future action P5 advise on action required to meet legal and statutory requirements and the implications of non-compliance
You must be able to:	**Inform and advise on controls to manage fire risks in premises** P6 prioritise hazards and identified risks in relation to the possible effect on the safety of people, property and the environment P7 generate options to prevent incidents and to control critical risks P8 generate options to manage residual risks P9 establish the feasibility of proposed control measures with regard timescales and their effectiveness P10 advise on the optimum options for controlling risk, ensuring that protection of people, property and the environment are the main considerations P11 advise on the implications of implementing inadequate control measures and the consequences of such decisions P12 advise on action required to meet legal and statutory requirements and the implications of non-compliance
You must be able to:	**Inform and advise on controls to manage fire risks in the vicinity of premises** P13 evaluate the area, including other structures within the vicinity, which may be affected by incidents within the premises to be constructed, demolished or altered P14 estimate the potential detrimental effects of outbreak of fire or related incident on the area within scope P15 prioritise critical risks to the defined area, including those affecting people, property and the environment P16 calculate the short and long-term risks associated with the planned contain and control identified risks and to minimise possible harmful effects of incidents

P18 advise on optimum control measures to be implemented and the implications and consequences of failing to comply with such requirements
P19 advise on action required to meet legal and statutory requirements and the implications of non-compliance

SFJFS8 Review fire safety matters relating to premises under construction, demolition and alteration

Knowledge and understanding

You need to know and understand:

K1 the methodologies for fire risk assessment and their application
K2 the critical hazards and risks associated with structures undergoing construction, demolition or alteration
K3 the substances and materials used in construction, alteration and demolition which may present specific risks, including the interaction between them
K4 the likely effects of an incident on the structure and surrounding areas
K5 the range of control measures applicable to sites and surrounding areas where construction, demolition or alteration is planned or underway
K6 the short and long term management of risks in a situation of construction, alteration or demolition
K7 the steps you would take to work with the responsible person(s) and where relevant other partners in order to achieve a satisfactory level of fire safety
K8 the relevant legislative framework and the mechanisms of enforcement in premises under construction, alteration or demolition whether occupied or unoccupied
K9 the range of agencies involved in, or affected by the provision of advice on fire safety issues associated with construction, demolition and alteration and their respective roles and responsibilities
K10 own personal level of competence, expertise, authority and limitations
K11 sources of specialist advice and how to access these
K12 how to prepare for and present information at a debrief or court case or inquiry

SFJFS9 Review safety measures at locations that are regulated and/or licensed

Overview

This standard is about auditing and advising on the risks associated with locations that are regulated and/or licensed. Individuals will work within their personal level of responsibility and authority in terms of providing advice, information and dealing with regulatory and/or licensing matters. The context of this standard may vary in different Authority areas due to the regulatory requirements therein.
There are two elements
1 Determine risks in respect of the specific risks
2 Recommend controls to manage the specific risks
Target Group

The standard is recommended for Practitioners, i.e. anyone who is employed or contracted to work with others in an organisation - managers, staff, trade unions, owners and/or occupiers - to ensure that, within the scope of their responsibility, suitable and sufficient fire safety arrangements are made and maintained.

It is also appropriate for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated
regulation are being met through cooperation or enforcement.

SFJFS9 Review safety measures at locations that are regulated and/or licensed

Performance criteria

You must be able to:

Determine risks in respect of the specific risk

P1 determine the nature and type of risk associated with the location
P2 determine the purpose and use of the location
P3 establish the frequency of use and the areas which may be affected by untoward incidents
P4 determine the nature and level of the risks associated with the type and use of the location
P5 consult with appropriate enforcement agencies to evaluate the effectiveness of the existing risk assessment
P6 evaluate risk reduction and control measures in respect of the management of the location
P7 determine the suitability and sufficiency of existing control measures

You must be able to:

Recommend controls to manage the specific risks

P8 advise on the effectiveness of self-determined risk assessment and actions which require attention
P9 generate options for improving control measures for the management of the location
P10 prioritise options, taking account of relevant local, national, international and regulatory requirements
P11 recommend action to ensure compliance with external requirements
P12 specify the benefits and implications of each option
P13 specify the consequences of non-compliance with external requirements
P14 produce recommendations at a sufficient level of detail, in agreed format and in terminology that can be understood by the appropriate people
P15 present agreed recommendations to those with responsibility for decision-making and implementation within specified timescales

SFJFS9 Review safety measures at locations that are regulated and/or licensed

Knowledge and understanding

You need to know and understand:

K1 the range, type and possible effects associated with the location's use
K2 the required and recognised signage for the location and where relevant, category and type
K3 the relevant legislative framework and the mechanisms of enforcement of general fire precautions in relation to use of the location

K4 your own and others' roles, responsibilities, levels of authority and requirements with the context of enforcement and associated formal proceedings
K5 the role of safety solutions in the protection of people, property and environment in relation to the risks associated with the location
K6 the range of control measures associated with prevention of incidents involving the location and protection of life, property and the environment
K7 the facilities required at site to assist a responder to manage and resolve an incident
K8 the likely causes of incidents at the location
K9 licensing requirements associated with the location
K10 the requirements for records associated with the location's usage
K11 own personal level of competence, expertise and limitations
K12 how to access sources of specialist support, advice and information

SFJFS10 Plan and gather evidence for the purpose of fire safety regulation

Overview

This standard is about the planning, gathering and collating of appropriate, accurate and relevant evidence in order to prepare for enforcement action or other formal proceedings. The responsibility for a premises lies with the person(s) described within the relevant home nation's legislation.

There are three elements

1 Plan and prepare the taking of evidence for fire safety regulation
2 Gather evidence for the purpose of fire safety regulation
3 Collate evidence for the purpose of fire safety regulation

Target Group

This standard is recommended for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS10 Plan and gather evidence for the purpose of fire safety regulation

Performance criteria

You must be able to:

Plan and prepare the taking of evidence for fire safety regulation

P1 identify whether an offence may have taken place
P2 identify likely sources of evidence and assess their relevance to the potential enforcement action being considered
P3 identify the need for any immediate action to obtain and preserve evidence
P4 take action to minimise the effect of actual or potential risk
P5 inform relevant persons of your actions

You must be able to:

Gather evidence for the purpose of fire safety regulation

P6 request further support or expert help when necessary
P7 determine and gather potential evidence
P8 ensure the relevant rules are followed to ensure continuity and admissibility of evidence
P9 obtain statements from witnesses using relevant statutory powers

P10 use questioning and listening skills to obtain relevant information
P11 inform responsible and relevant persons of your actions
P12 consistently maintain health, safety and security of yourself and others

You must be able to:

Collate evidence for the purpose of fire safety regulation
P13 collate evidence and information to support the decision that an offence has taken place
P14 identify all materials that may be required for disclosure
P15 prepare accurate reports and evidence in an appropriate and logical sequence
P16 ensure you communicate with relevant departments to ensure a consistent approach
P17 actively seek feedback and review meetings in order to inform and improve future practices

SFJFS10 Plan and gather evidence for the purpose of fire safety regulation

Knowledge and understanding
You need to know and understand:

K1 legal powers and enforcement duties under fire safety legislation
K2 organisational fire safety policy and the related procedures
K3 how to identify appropriate mandatory and discretionary enforcement action, including giving advice, issuing notices, instituting proceedings
K4 limitations of law and regulations that govern the gathering of evidence and the taking of witness and interview statements as an officer enforcing fire safety law
K5 how to identify and evaluate different sources of evidence, physical and documentary evidence, photographic evidence, laboratory testing of items and substances, and evidence from witnesses
K6 how to access, interpret and provide relevant information and data
K7 how to identify and analyse qualitative and quantitative information essential to your role and responsibilities
K8 how to operate and manage within a legal and regulatory framework
K9 how to identify and apply procedural legislation which must be followed to bring a case to court, e.g. currently, police and criminal evidence act, criminal procedure and investigations act
K10 the roles, responsibilities, level of authority and requirements of yourself and others within the context of formal proceedings
K11 how to access sources of specialist support, advice and information
K12 how to communicate with a wide variety of people and make effective use of techniques of persuasion and negotiation
K13 how to use questioning and listening skills to obtain relevant information

SFJFS11 Prepare and present evidence in court and other formal proceedings in relation to fire safety matters

Overview

This standard is about the preparation and presentation of evidence for court and other hearings. You may be required to provide evidence in various capacities and must ensure all notes, reports and evidence are prepared in an accurate and timely fashion in accordance with relevant procedural guidance and legislation.

There are two elements

1 Prepare evidence and reports relating to fire safety for court and other formal proceedings

2 Present evidence relating to fire safety to court and other formal proceedings

Target Group

This standard is recommended for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS11 Prepare and present evidence in court and other formal proceedings in relation to fire safety matters

Performance criteria

You must be able to:

Prepare evidence and reports relating to fire safety for court and other formal proceedings

P1 prepare reports and evidence that demonstrate there is a case to answer

P2 ensure availability of evidence and exhibits within your area of responsibility taking steps to ensure their continuity and integrity

P3 ensure you consider your evidence in advance of any hearing and ensure you are in possession of any appropriate notes or statements

P4 ensure you communicate with relevant departments to ensure a consistent approach

P5 inform responsible and relevant persons of your actions

You must be able to:

Present evidence relating to fire safety to court and other formal proceedings

P6 determine the purpose, scope and expectation of your attendance at any hearing

P7 present yourself at the venue in a timely manner and in possession of all the appropriate documentation

P8 ensure your appearance and behaviour conforms to acceptable professional standards at all times and is in accordance with the rules of the court or proceeding

P9 deliver your evidence and responses in a truthful, objective, clear and concise manner with due regard for the rules of evidence and procedures of the venue

P10 ensure verbal evidence is consistent with any written evidence provided

P11 respond to all directions of the court or proceeding promptly and appropriately

P12 actively seek feedback and review meetings in order to inform and improve future practices

SFJFS11 Prepare and present evidence in court and other formal proceedings in relation to fire safety matters

Knowledge and understanding

You need to know and understand:

K1 legal powers and enforcement duties under fire safety legislation
K2 organisational fire safety policy and the related procedures
K3 how to give evidence effectively in a court or hearing
K4 Court procedures and the nature of giving evidence
K5 how and when you can refer to any notes and materials in your possession
K6 circumstances in which evidence of opinion can be provided
K7 techniques for maintaining control and composure under cross-examination
K8 the permitted liaison with victims, witnesses and defendants
K9 the roles and responsibilities of court personnel
K10 what constitutes a breach of court protocol or procedure and to whom any breaches should be reported
K11 the roles, responsibilities, level of authority and requirements of yourself and others within the context of formal proceedings

SFJFS12 Visit premises for the purposes of fire safety regulation

Overview

This standard is about planning and conducting audits or inspections of premises for the purposes of fire safety regulation; identifying potential breaches of the legislation and deciding the action you and owner[s]/ occupier[s] need to take, which may include informal and formal enforcement of fire safety legislation. You will also prepare effective inspection reports for the purposes of fire safety regulation and communicate fire safety compliance or deficiencies to others for the purposes of the regulation.
Contact will be made with the person(s) described within the relevant home nation's legislation.

There are three elements

1 Prepare for your visit to premises
2 Visit the premises
3 Report on the conduct and findings of your visit

Target Group

This standard is recommended for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS12 Visit premises for the purposes of fire safety regulation

Performance criteria

You must be able to:

Prepare for your visit to premises

P1 use appropriate databases and other information sources to identify person[s] and premises for audit/ inspection, in line with the priorities of your authority
P2 plan a logical series of inspections consistent with your authority's plans and priorities
P3 plan individual audits/ inspections, taking into account regulatory priorities and person[s] availability
P4 use information you have gathered to identify appropriate benchmarks and likely priorities for consideration during any

contact with person[s]
P5 where appropriate, follow relevant topic areas for audit/ inspection with reference to organisational priorities
P6 identify who the relevant person[s] is for each premise to be inspected

You must be able to:

Visit the premises
P7 gain access to premises, explain regulatory activity and identify and secure co- operation of the specified person[s]
P8 conduct audits/ inspections in a way which preserves your own personal safety and which gives a good example of health and safety awareness and practice
P9 manage the pace of the audit/ inspection, implement the inspection plan and have the flexibility to deal appropriately with issues outside the scope of the plan
P10 identify management systems and risk controls in use and react to what is happening systematically, using observation, questioning, listening, fire safety knowledge and the person[s] risk assessment as appropriate
P11 identify positive aspects of fire safety performance on which further change and development can be built
P12 compare your findings with existing standards and against the principles of risk assessment and control to identify if any risk gap[s] exist
P13 where risks are inadequately controlled, select acceptable options to close the risk gap to ensure minimum standards
P14 identify the action you intend and the person[s] needs to take, which may include formal enforcement, and assess the likely impact on the person[s], their property or business, occupants or employees and others

SFJFS12 Visit premises for the purposes of fire safety regulation

Knowledge and understanding

You need to know and understand:

K1 how to identify and apply the aims, objectives and priorities of the regulatory authority
K2 how to follow and apply the regulatory organisation's policies, instructions or procedures for conducting audits/ inspections
K3 when and how to make links with other regulators where their activities impinge on yours
K4 how to follow your organisation's health and safety policy and ensure your own health and safety
K5 how to assess the level of fire safety risk on a premises and select suitable options to move towards compliance
K6 the ways of assessing the impact of your decisions on the person[s], the premises and the community
K7 how to communicate effectively in a range of situations and at all levels to gather information and provide direction
K8 how to differentiate between formal and informal enforcement
K9 how to assess control measures and management systems to identify breaches of legislation and risks to fire safety
K10 how to encourage development of fire safety policies, plans

and procedures to influence appropriate risk management standards
K11 how to assess the implications of your findings and when to communicate your findings to colleagues
within your organisation and appropriate people outside your organisation

SFJFS13 Draft statutory enforceable documents for the purposes of fire safety regulation

Overview

This standard is about enforcing statutory provisions on behalf of your regulatory authority. Enforceable documents will be served upon the person(s) described within the relevant home nation's legislation.

There is one element

1 Draft statutory enforceable documents

Target Group

This standard is recommended for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS13 Draft statutory enforceable documents for the purposes of fire safety regulation

Performance criteria

You must be able to:

P1 identify to whom the document[s]are to be addressed and their legal title
P2 identify the reason[s] for drafting the notice
P3 decide upon the type, content, compliance date and any conditions (schedule) of the notice to be issued
P4 Make sure that the detail of the notice is accurate in all respects
P5 make sure that the action required by the notice will ensure compliance with legislation and/or control the risk
P6 Make sure that the notice is practical to enforce in the event of non-compliance
P7 when you are not serving the notice, confirm the understanding of the requirements of the notice to others before they serve the notice

SFJFS13 Draft statutory enforceable documents for the purposes of fire safety regulation

Knowledge and understanding

You need to know and understand:

K1 how to establish and work within the aims and objectives of the regulatory authority
K2 how to identify appropriate formal and informal enforcement action, including giving advice, issuing notices, instituting proceedings
K3 how to apply the regulatory authority's enforcement policies and priorities
K4 how notices should be drafted to make sure that they are accurate, clear and legally enforceable
K5 how to apply regulatory authority policy in relation to statutory enforcement documents
K6 how to withdraw or extend notices
K7 how to use databases and other information sources
K8 how to identify and apply fire safety legislation and the

relationship between the principal statutory provisions
K9 how the various types of statutory notices, licences and approvals may be used by regulators to achieve desired outcomes
K10 the relationship between fire safety law and the legal system

SFJFS14 Serve statutory enforceable documents for the purposes of fire safety

Overview

This standard is about enforcing statutory provisions on behalf of your regulatory authority. Enforceable documents will be served upon the person(s) described within the relevant home nation's legislation.

There is one element

1 Serve statutory enforceable documents

Target Group

This standard is recommended for Regulators, i.e. anyone who has the responsibility for ensuring the requirements of Fire Safety and associated regulation are being met through cooperation or enforcement.

SFJFS14 Serve statutory enforceable documents for the purposes of fire safety

Performance criteria

You must be able to:

P1 where the notice has been drafted for you, confirm your understanding of the requirements of the notice with the originator
P2 Make sure the notice is correctly served in accordance with legislative requirements
P3 make sure that the recipient is informed of the appeals procedure and process, and receives the necessary appeal documentation
P4 you share information with people within your organisation and any other relevant statutory enforcing authority[s]

SFJFS14 Serve statutory enforceable documents for the purposes of fire safety

Knowledge and understanding

You need to know and understand:

K1 how to establish and work within the aims and objectives of the regulatory authority
K2 how to apply regulatory authority policy on the process of issuing notices and the circumstances in which they can, should and must be issued, referring to any internal procedure, policy or arrangements
K3 ways in which statutory enforceable documents must be served to meet legal requirements
K4 how the various types of statutory enforceable documents may be used by regulators to achieve desired outcomes

Working Group 05 – Fire Safety Enforcing Officers

Annex D – Core Competencies for Regulators

Core Competencies	
Context	
A1	Understanding of the role of regulation as a tool of Government
A2	Ability to work within the wider regulatory framework
A3	Ability to work towards your organisation's regulatory objectives
A4	Ability to work with the legislation relevant to your regulatory function(s)
A5	Ability to work within your organisation's regulatory policies and procedures
A6	Understanding of the role and responsibilities of partner organisations
Risk Assessment	
B1	Ability to assess regulatory risks
B2	Ability to gather, analyse, use and share data to inform risk assessment
B3	Ability to use risk assessment to guide your activities
B4	Understanding of risk management in a business[1] context [1] *The term 'business' (for core competencies) is used throughout to denote a regulated entity. Some regulated entities are not businesses but may, for example, be individuals acting in a private capacity. Many of the core competencies will apply equally in these cases.*
Understanding those you regulate	
C1	Understanding of the current business environment and the business sector(s) regulated
C2	Understanding of how regulation and the way it is enforced can impact on the business communities and individual businesses regulated
C3	Understanding of the factors that affect business approaches to compliance
C4	Ability to engage constructively with business
C5	Ability to tailor your approach to businesses and individuals that you interact with
Planning your activities	
D1	Ability to act within your role and area(s) of responsibility
D2	Ability to make appropriate intervention choices, drawing on your understanding of the context in which you operate, of those that you regulate, and of the use of risk-based approaches so as to have the greatest impact
D3	Ability to work effectively with other organisations
D4	Ability to plan your work, and that of your team[2], so as to deliver your responsibilities efficiently[2] *The reference to the officer's team does not imply a 'team leader' role but recognises that officers within a team, or a group of officers delivering a project, may work collaboratively to plan activities.*
Checking compliance	
E1	Ability to prepare appropriately for checks on compliance
E2	Ability to conduct checks in a proportionate manner
E3	Ability to be responsive to the circumstances encountered
E4	Ability to make informed assessments of compliance and risk
E5	Ability to follow-up on checks on compliance in an appropriate manner

Supporting compliance	
F1	Understanding of the need for compliance support amongst those you regulate
F2	Ability to promote the importance of compliance, and your organisation's role in supporting compliance
F3	Ability to communicate in appropriate ways to suit the circumstances
F4	Ability to provide the information and guidance that is needed by those you regulate
F5	Ability to provide the tailored advice that is needed by those you regulate, where appropriate
Responding to non-compliance	
G1	Ability to select proportionate responses to non-compliance and potential non-compliance
G2	Ability to communicate effectively with businesses that have failed to comply
G3	Ability to conduct thorough investigations of non-compliance and allegations of non-compliance
G4	Ability to prepare and implement effective responses to non-compliance
G5	Ability to provide appropriate support for those adversely affected by non-compliance
Evaluation	
H1	Ability to monitor and report on your activities and performance
H2	Ability to evaluate your activities in relation to your regulatory objectives and your organisation's strategic priorities
H3	Understanding of the value of feedback from those you regulate, and the beneficiaries of regulation in informing future activities

Working Group 06 – Building Standards Professionals

Annex B – Building Control Competence systems GAP analysis

GAP Analysis

Hackitt Review Proposals	CABE competencies		CIOB competencies		IStructE competencies		RICS competencies		WG 6 - competencies	
	Topic	Level	Topic	Level	Topic	Level	Topic	Level	Topic	Level
Design & Construction etc	A1 – Ability to apply technical standards, codes and regulatory requirements B2 – work within legal, statutory and regulatory frameworks B3 Manage or assess building engineering solution and their effectiveness	Varies depending on grade. CBE 3-4 BE 2-3 Tech – 1-3	2.1 Construction Management • Process Management 2.3 Health, Safety and Wellbeing • Wellbeing and Safety Culture 2.5 The Construction Environment • Design and Construction Process • Legal Environment PR 1.1 Planning and Organising Work 1.3 Managing Quality 2.1 Communication		Conceptual Design Analysis and Design Construction techniques Materials Environment Health and Safety	4 4 3 4 2 3	Sustainability BC Inspections Construction Technology Fire Safety Compliance Health & Safety	1, 2 or 3 3 2 or 3 3 3 2	A1 Fire safety A2 Building safety A3 Regs & compliance B3 H&S + Risk mngmnt	2 – 4 2 – 4 4 2 – 4
Occupation & Maintenance	A1 – Ability to apply technical standards, codes and regulatory requirements B2 – work within legal, statutory and regulatory frameworks	Varies depending on grade. CBE 3-4 BE 2-3 Tech – 1-3	2.6 Construction Technology • Building Performance and Technology • Building Performance and Maintenance • Building Services Design • Problems and Defects PR 1.4 Implementing Sustainable Construction Development 2.3 Managing Information		Health and Safety Ethics and professional conduct	3 4	Sustainability BC Inspections Construction Technology Fire Safety Compliance Health & Safety	1, 2 or 3 3 2 or 3 3 3 2	A1 Fire safety A2 Building safety A3 Regs & compliance B3 H&S + Risk mngmnt	2 – 4 2 – 4 4 2 – 4

Resident voice	D1 -communicate effectively D2 – Present and discuss proposals E5 Exercise responsibilities ethically	Varies depending on grade. CBE 3-4 BE 2-3 Tech – 1-2	2.1 Construction Management • Construction Psychology 2.2 Ethics and Professionalism • Roles and Conduct • Equality,Diversity, Disability,Age,Gender, Sexual Orientation, Belief, Ethnicity, Culture and Behaviour • Governance and Corporate Social Responsiblity 2.4 Sustainabilty • Legislation and Policy • Clients 2.5 The Construction Environment • Social and Economic Impact PR 1.3 Managing Quality 1.4 Implementing Sustainable Development 2.1 Communication 3.1 Professional Judgement and Responsibility		Communication	4	Client care Comms/negotiation Conflict avoidance Ethics & Conduct etc	2 or 3 2 2 3	B2 Role of JCA etc C2 Whistleblowing etc D1 Communication etc	3 – 4 2 – 4 4
Guidance & Monitoring	A1 – Ability to apply technical standards, codes and regulatory requirements B2 – work within legal, statutory and regulatory frameworks	Varies depending on grade. CBE 3-4 BE 2-3 Tech – 1-2	2.5 The Construction Environment • Legal Environment PR 1.3 Managing Quality 1.5 Knowledge of Commercial, Contractual and Legal Issues 2.2 Decision Making		Quality Systems Law Health and Safety	2 1 3	BC Inspections Construction Technology Fire Safety Compliance Health & Safety	3 2 or 3 3 3 2	A3 Regs & compliance B1 Products & testing B2 Role of JCA etc B3 H&S + Risk mngmnt	4 2, 3, 4 3 – 4 2 – 4
Products	A1 – Ability to apply technical standards, codes and regulatory requirements B2 – work within legal, statutory and regulatory	Varies depending on grade. CBE 3-4	2.5 The Construction Environment • Legal Environment 2.6 Construction Technology		Materials	4	Construction Technology Fire Safety	2 or 3 3	A1 Fire safety B1 Products & testing	2 – 4 2, 3, 4

	frameworks	BE 2-3 Tech – 1-2	• Materials PR 1.2 Health, Safety and Welfare at Work 1.3 Managing Quality							
Golden Thread	B2 Conduct appropriate design research and assessment B3 Manage or assess implementation C1 Plan for effective project implementation D1 Communicate effectively with others	Varies depending on grade. CBE 3-4 BE 2-3 Tech – 1-2	2.1 Construction Management • Planning and Scheduling of Projects 2.5 The Construction Environment • The Construction Industry PR 1.5 Knowledge of Commercial, Contractual and Legal Issues 2.1 Communication 2.3 Managing Information		Management Skills for programming and control Communication	3 4	Data management BIM management Work progress mngmnt Measurement Client care Comms/negotiation	1 2 or 3 2 or 3 2 or 3 2 2	A4 Information mngmnt C1 Roles & responsiblty C4 Work planning D1 Communication etc	2, 3, 4 2, 3, 4 2 – 3 4
Procurement & Supply	C1 Plan for effective project implementation C2 Plan, budget , oraganise and direct tasks peoples resources		2.1 Construction Management • Process Management • Planning and Scheduling of Projects • Process Performance Management 2.2 Ethics and Professionalism • Procurement and Tendering Practice 2.4 Sustainability • Legislation and Policy 2.5 The Construction Environment • Legal Environment • Economic Principles and Commercialism • Financial Management • Design and Construction Process • Measurement and Estimating		Contract Documentation Commercial awareness	2 1			C3 Procurement etc	2

			PR 1.5 Knowledge of Commercial, Contractual and Legal Issues 2.1 Communication 2.4 Leadership, Strategic and Financial Management							
Ethics	E1 Comply with CABE Code of conduct and Guide to ethical professionalism E2 Manage and apply Safe systems of work E4 Competency E5 Exercise responsibilities ethically		2.2. Ethics and Professionalsim • Roles and Conduct • Equality, diversity, disability, age, gender, sexual orientation, belief, ethnicity: culture and behaviour • Procurement and Tendering Practice • Governance and Corporate Social Responsibility • Self-Development and Reflection PR 3.1 Professional Judgement and Responsibility		Ethics and professional conduct	4	Ethics & Conduct etc	3	E1 Ethics E2 Competency E3 CPD	4 2 – 3 3 – 4
Frequency of review	One off test to achieve professional membership. Ongoing CPD Compliance with Rules and Regulations of Professional Conduct		One off test to achieve professional membership. Ongoing CPD Compliance with Rules and Regulations of Professional Conduct		One off test to achieve professional membership. Ongoing CPD Compliance with Rules and Regulations of Professional Conduct		One off test to achieve professional membership. Ongoing CPD Compliance with Rules and Regulations of Professional Conduct		Workplace or one off professional membership test. 4 – 5yearly oeer review + annual CPD workplace monitoring Compliance with Rules and Regulations of Professional Conduct	

Working Group 06 – Building Standards Professionals

Annex C – Narrative to the competence framework

Competency Framework for HRRBs and Complex Buildings

Role - Building Standards Professionals

1. Introduction

Following the publication of the Final Report of the Independent Review of Building Regulations and Fire Safety (***"the review"***), by Dame Judith Hackitt in May 2018, and in particular recommendations 5.1 – 5.4 inclusive, the industry response group created task and finish groups to consider how to ensure that all those involved in delivering 'Higher-Risk Residential Buildings' (HRRB) projects have the appropriate levels of competence and qualifications to work on such buildings.

Under the direction of the Competence Steering Group (CSG) chaired by the Construction Industry Council (CIC), working group 6 was created with the task of developing a set of competencies to be applied to those whose role is involved with assessing and inspecting building work for compliance with Building Regulations and any other associated legislation.

2. Role Profile

This framework has been developed for Building Standards Professionals working on HRRB.

Building Standards Professionals will have extensive experience of their area of work, and either have a range of competencies for the specific types of building standards work that they will undertake or to oversee the work of others. They will have a leadership role within the building standards community across all aspects of their work. They will typically have demonstrable experience in building control and in dealing with HRRBs and/or complex buildings in particular.

2.1 Who are Building Standards Professionals?

Building Standards Professionals are often referred to as Building Control Surveyors, Building Control Officers or Building Inspectors. They are not to be confused with Building Surveyors or Clerks of Works.

Building Standards Professionals, under the current legislative system, either work for a Local Authority – in a council Building Control section (LABC), or they are a consultant Approved Inspector (a sole practitioner or a limited company e.g. NHBC, MLM, Butler & Young). The collective name for LABC and Approved Inspectors (AI) is Building Control Body (BCB).

Building Standards Professionals are not members of a trade body who might offer services under a Competent Persons Scheme (CPS) i.e. a system to self-certify controlled building work, without the oversight of a BCB. This is because whilst a CPS member or body must

comply with the regulations etc, they have no power to inspect the work of others or to enforce standards by serving a notice and/or carrying out work in default.

Building Standards Professionals who work for a council (LABC) are building regulations enforcement officers and the council is the enforcing authority. Councils are authorised by statute (section 91 of the Building Act 1984) to enforce the building regulations in their administrative area. AIs are approved to carry out the same building regulation function as a council – and must be approved for that purpose by government. The system to approve AIs has been bestowed upon CIC Approved Inspectors Register (CICAIR) by the government. All AIs must be registered with CICAIR.

Building Standards Professionals will either be educated to a degree level or will have a trade or construction qualification, up to degree level and have many years' experience in Building Control. They may also be a member of a relevant professional body such as CABE, CIOB or RICS. In some cases, they may be members of specialist professional bodies such as RIBA, IStructE or IFE.

Qualifications, once obtained, are not currently required to be periodically reviewed by the professional body. However, members of professional bodies, AIs registered with CICAIR and LABC sections operating under the LABC Standards scheme and employees working for certain BCBs are expected to maintain and record their CPD – generally between 10 and 30 hours a year. In some cases training has to be formal in nature and demonstrate detailed understanding. There is, currently, no obligation for a minimum number of hours of CPD for specific topics such as fire safety, as might be required for HRRB.

2.2 <u>What do Building Standards Professionals do?</u>

Building Standards Professionals use their qualifications, knowledge, skill, and experience (competence) to assess if any building work that is controlled under the building regulations, complies with the regulations and requirements by assessing elements of the construction against government and other recognised standards/technical guidance.

Building Standards Professionals will undertake a two-stage compliance assessment. The first stage being the assessment of detailed drawings and specifications and the second stage being the inspection of building work as it progresses on site.

BCBs principally carry out building regulations compliance inspections as mentioned above. However, the role of councils – as the enforcing authority – will also extend to enforcement investigation and prosecution. They will also, in the majority of cases, undertake other building/public safety duties such as dealing with:

- Maintenance of a public register of AI notices/certificates
- Approving AI Final Certificate extensions of time
- Enforcement of work reverting from an AI
- Dispensation or relaxation of building regulations/requirements
- Appeals to the government for a refusal to dispense with or relax a regulation etc
- Dangerous and dilapidated buildings
- Demolition of buildings
- Safety at sports grounds

- Safety of structures at public events such as at concerts and parades

To a lesser extent, councils may become involved in supporting such matters as:

- Street naming and numbering
- Fire risk assessments
- Energy assessments
- Warranty inspections
- Land Charges

Some AIs might also carry out other professional consultancy work such as:

- Fire engineering
- Fire risk assessments
- Energy assessments
- Acoustic assessments
- Warranty inspections
- Access audits
- CDM services
- Party Wall Act surveying services
- Expert witness

Whilst outlining other roles that a BSP might undertake, it should be noted that this framework does not address competence other than that necessary to undertake regulatory inspection and enforcement of HRRB. If a BSP wishes to undertake additional activities then they must demonstrate competency for that particular type of work/role eg Fire Risk Assessors or Fire Safety Engineer competence.

The work of Building Standards Professionals can apply equally to small material alterations to existing properties, the largest, most complex and highest risk types of new building and all scales of work in between.

It is critical that Building Standards Professionals are competent to assess, monitor, investigate and enforce compliance for the types of building they are required to regulate; they should also know the limits of their abilities and seek more expert advice where it is necessary to do so. This framework focusses on Complex Buildings, particularly those identified by the ***review*** as Higher-Risk Residential Buildings (HRRB) and provides a range of activities by which Building Standards Professionals and teams can assess their individual and combined competence to ensure that they are able to satisfactorily meet their obligations on such buildings.

To cover those individuals who may not have the required recognised qualifications, they will undergo relevant assessment to ensure competency. They will have to demonstrate their ability is to at least level six NVQ – or equivalent – through whatever means, or membership of a relevant professional body.

3. Objectives of the Framework

The objective is to provide a clear framework for Building Standards Professionals and bodies to follow so as to assess, maintain, and demonstrate appropriate standards of competence individually and in their workforce. This will ensure that Building Standards Professionals can assess whether buildings have met, or exceed, relevant statutory

requirements to comply with the Building Regulations and other relevant standards and legislation in order to protect the health, safety and welfare of people and in ensuring suitable standards of sustainability and accessibility in HRRB and complex buildings.

4. Scope

This framework has been developed for Building Standards Professionals in England and Wales. The Competency Working Group for Building Standards Inspectors/Surveyors (Working Group 6) believes that this framework could and should eventually be widened out to encompass the role of Building Standards Professionals for all types of building work, across the full range of complexity and competency levels from Trainee to the most senior and experienced professional.

This framework can also be used:

- To support the development of qualifications for Building Standards Professionals courses relating to HRRB
- To assist in the assessment of a candidate's suitability for Building Standards Professionals roles relating to HRRB
- To support Building Standards Professionals to develop their own career and personal development plans
- To validate ongoing competence on a periodic basis

Whilst this framework has initially been developed to define the key competencies only for those Building Standards Professionals working on HRRBs and complex buildings, it is likely that, in practice, such roles will be varied and this framework is designed to enable people operating across a wide range of Building Standards Professional activities to assess and maintain their competency in relation to the type of work they might undertake.

This framework only provides for the competence expectations of the Building Standards Professional discipline. It should be recognised that the work of the Building Standards Professional spans a wide spectrum of specialist activities within the construction industry, such as: structural integrity, fire safety, acoustics, energy efficiency, and accessibility to name a few.

These activities will, on their own, often involve their own disciplines such as Structural, Fire, Energy, Sound, and Access engineering. There are certain areas of knowledge such as Structural Safety where a professional working on a HRRB or a complex building would be expected to have the highest level of competence within their discipline. However, it should not be confused with the level of competence expected of a specialist consultant. Nor should competent be interpreted as being expert.

A key area of competence for Building Standards Professionals is for them to recognise the limits of their knowledge and to call upon the support of other specialist professions to offer advice and guidance which might be outside their skills set e.g.: a competent Structural or Fire Safety Engineer. See also section 8 below.

5. Benefits of the Framework

For the public:

- Provides assurance Building Standards Professionals act competently in protecting the safety and interests of the public and residents of HRRB in particular.

For the individual:

- Enables individuals and their line managers to identify gaps in knowledge, skills and behaviours, enabling current and future learning and development needs.
- Assists in meeting the individual's key objectives by providing supporting evidence of how the individual is performing.
- Provides greater opportunities to improve professional and personal standing.
- Supports the selection of people with the right skills and behaviours for the role.
- Improved professional and career development planning.
- Makes a significant contribution to continuous personal improvement.
- Ensures that Building Standards Professionals have the skills, knowledge, understanding and other attributes necessary to be competent.

For the organisation:

- Promotes quality and consistency within Building Standards Professional practices throughout England and Wales.
- Allows Building Standards Professionals to achieve, maintain and demonstrate appropriate standards of competence within their workforce to support organisational and individual effectiveness and performance.
- Translates vision, mission and values into easily understandable behaviours.
- Building Standards Professional bodies can understand the competence of their staff, can deploy them effectively and can succession plan effectively.
- Helps to better plan responses to changing and emerging environmental needs and to improve workforce alignment around them.
- Presents a common format, which is simple to understand and provides a consistent language across organisations.
- Provides the basis for measurable and standardised people management processes which enhances the employee experience.
- Provides a foundation for developing professionals.
- Promotes effective compliance with legislation within the built environment.

For Business

- Promotes quality and consistency within Building Standards Professional practices.
- Provides assurance that Building Standards Professionals are competent to perform their role.
- Supports businesses to thrive and grow through surety on appropriate compliance standards.

6. Definitions

Competence is the ability to make informed decisions and carry out work to a high standard.

Competencies are the attributes of an individual, applied personally or collectively as part of a team.

Accreditation is the process of officially recognising an individual as having a particular status or being qualified to perform a particular activity, and by which their attributes are assessed. The process by which an individual is enrolled and admitted into a professional or regulatory body/ accredited trade registration body/ accredited qualification scheme/ registered skills certification scheme/ through a recognised testing regime, should be relevant to the role they are undertaking.

Complex Buildings are generally those where the approach to design and construction adopts more complex approaches, as opposed to following the minimum standards suitable to common circumstances as set out in guidance; such as that contained in Approved Documents. This allows a more transparent and flexible approach to achieving building safety through use of a structured approach to risk-based design where designers and Building Standards Professionals can take account of varying physical and human factors.

Continuous Professional Development (CPD) the process of tracking and documenting maintenance of the skills, knowledge and experience that a Building Standards Professional gains both formally and informally as they work, beyond any initial training. It's a record of what is experienced, learned and then applied. It might also be known as Life Long Learning (LLL).

Fire Engineered Buildings designed in whole or in part to BS 7974 fire engineering principles. These buildings have an alternative approach to fire safety rather than through compliance with prescriptive standards. Some fire engineered buildings may be large and complex or contain a variety of uses.

Fire Engineering is the application of scientific and engineering principles, rules [codes], and expert judgment, based on an understanding of the phenomena and effects of fire and of the reaction and behaviours of people to fire, to protect people, property and the environment from the destructive effects of fire.

Higher-Risk Residential Buildings (HRRB) new and existing high-rise residential buildings (purpose-built blocks of flats) of 10 or more storeys high, as defined in clause 1.3 and Appendix C of the ***review***.

Recognised Prior Learning a method of assessment (leading to the award of credit) that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through the knowledge, understanding or skills that they already possess and so, do not need to develop these through a course of learning.

Simple Premises small buildings with a simple layout such as small shops, offices or industrial units with non-complex means of escape usually conforming to a simple code of practice e.g. Approved Document B. This level is applicable to a majority of building work undertaken within the UK. In this case the fire precautions designed into the building usually follow the guidance contained in the documents published by the relevant government departments to support legislative requirements.

Specialist Premises buildings with unique characteristics and fire safety challenges including hospitals, heritage, sports stadia and some transport infrastructure.

Validation the process by which Building Standards Professionals are assessed for competency, to undertake work on HRRBs or complex buildings

7. Code of Ethics

We expect all Building Standards Professionals to abide by the following code regardless of their competency status or membership of a professional body.

Honesty and Integrity

Building Standards Professionals have a duty to uphold the highest standards of personal and professional conduct including openness, honesty and integrity. They should:

- act in a reliable and trustworthy manner and treat others with equality and fairness
- be alert to the ways in which their work and behaviour might affect others and respect the privacy, rights and reputations of other parties and individuals
- respect confidentiality
- declare and manage conflicts of interest
- avoid deception and take steps to prevent or report corrupt practices or professional misconduct
- reject bribery and improper influence

Respect for life, law, the environment and public good

Building Standards Professionals have a duty to obey all applicable laws and regulations and give due weight to facts, published standards and guidance and the wider public interest. They should:

- hold paramount the health and safety of others and draw attention to hazards
- ensure their work is lawful and justified
- recognise the importance of physical and cyber security and data protection
- respect and protect personal information and intellectual property
- protect, and aim to improve, the quality of built and natural environments
- maximise the public good and minimise both actual and potential adverse effects for their own and succeeding generations
- take due account of the limited availability of natural resources.

Accuracy and Rigour

Building Standards Professionals have a duty to acquire and use wisely the understanding, knowledge and skills needed to perform their role or task. They should:

- always act with care
- perform services only in areas in which they are currently competent or under competent supervision
- keep their knowledge and skills up to date
- assist the development of knowledge and skills in others
- present and review theory, evidence and interpretation honestly, accurately, objectively and without bias, while respecting reasoned alternative views
- identify, evaluate, quantify, mitigate and manage risks

- not knowingly mislead or allow others to be misled

Responsibility for Direction, Conduct and Communication

Building Standards Professionals have a duty to abide by and promote high standards of personal conduct, provide clear direction and communication, setting the example for others to follow. They should:

- be aware of and effectively communicate the issues that the built environment raises for society
- promote equality, diversity and inclusion, and respect the views of others
- Promote public awareness and understanding of the impact and benefits of new areas of learning, achievements and innovation in industry.
- be objective and truthful in any statement made in their personal or professional capacity
- challenge statements or policies that cause them personal or professional concern

8. Limits of Competence

Building Standards Professionals, at all levels, must ensure that they are aware of, and work within, the range of their personal competence; requesting support and advice from those competent colleagues within specialist roles/professions where required. This should also be addressed through identification of personal training needs in conjunction with line managers and remedial actions undertaken such as continuous professional development or further training.

Building Standards Professionals are expected to understand the limits of their competence and to challenge any instructions requiring them to exceed those limits.

9. Framework Elements

Competency needs to be assessed relevant to the type and nature of work that a Building Standards Professional is undertaking. Annex A includes a standard self-assessment template for each of the competency grades, including a normalised (typical) level of competency expected at that grade.

WG6 Suggests - Competency is rated in four bands:

Level 1 - Awareness (A)

The Building Standards Professional has a basic knowledge of the subject and how it relates to their role

Level 2 – Appreciation (Ap)

The Building Standards Professional has general background knowledge of the subject but may require the specialist input of others to assess compliance

Level 3- Understanding (U)

The Building Standards Professional has sufficient knowledge of the complexities involved, in order to make independent decisions and assessment in controlling compliance of typical building work relating to an HRRB, including utilising input from other specialists.

Level 4 – Comprehensive (C)

The Building Standards Professional has sufficiently detailed knowledge and skill to make decisions on complex issues relating to the design and construction of HRRB and the ability to commission and interrogate specialist assistance where necessary

Starting with the normalised self-assessment template, the role or work of the Building Standards Professional should be reviewed and adjusted accordingly, reflecting the level of competency required in relation to each aspect of the overall competency framework.

This can then be used to set out the level of competency required for a new job, as the basis of validation of competency for an existing role, or to support personal development and career progression.

Building Standards Professionals who are rated at levels 1 and 2 would be expected to be supervised by a level 3 or 4 professional.

10. Continuing Professional Development (CPD)

Building Standards Professionals should attain a minimum of 20-hours CPD per annum, 10-hours of which should be through formal training in relation to HRRB.

11. Validation / Quality Assurance processes

Organisations who employ Building Standards Professionals should themselves have in place a system of quality management that effectively provides for the monitoring and recording of the CPD and competence assessment of individual professionals.

Building Standards Professionals who are members of a professional body, should ensure they also meet the standards for CPD of their particular body, to ensure they can maintain their professional credentials.

Organisations who employ Building Standards Professionals should be able to demonstrate, through an effective quality management system, that they have mechanisms in place to effectively identify those professionals who can work on HRRB, and where necessary manage HRRB workload to ensure effective and equitable workload and, where necessary, that any professional not competent to work on HRRB as an entirety, is suitable

to work on parts of HRRB either with or without supervision, having regard to the nature of the work being inspected and the risk that decisions might have on the overall safety of the building and its residents.

12. Third Party Accreditation

Membership of an Overarching Competency Body (OCB) approved scheme or professional body will be required.

13. Re-assessment of Competency

To be continuously assessed (annually by way of personal appraisal/review) within the workplace by way of the inspection of CPD records, particularly CPD relating to HRRB and to undergo an independent peer review assessment at least once every 5-years on those matters that are an essential component of HRRB – for example – Fire safety competence.

(Re)assessment should be undertaken by way of an independent assessment/interview via a suitably recognised body for such purposes: for example a professional members' organisation or other entity that might be approved for such purposes for those Building Standards Professionals who are not a member of any particular professional body.

Working Group 06 – Building Standards Professionals

Annex D – Competence framework

Building Standards Inspectors/Surveyors Competency Framework for HRRB's and Complex Buildings

Competency is rated in four bands:

Level 1 - Awareness (A)

The building standards professional has a basic knowledge of the subject and how it relates to their role.

Level 2 – Appreciation (Ap)

The building standards professional has a general background knowledge of the subject but may require the specialist input of others to assess compliance.

Level 3 - Understanding (U)

The building standards professional has sufficient knowledge of the complexities involved in order to make independent decisions and assessments controlling compliance of typical building work relating to an HRRB including utilising input from other specialists.

Level 4 - Comprehensive (C)

The building standards professional has sufficiently detailed knowledge and skills to make decisions on complex issues relating to the design and construction of HRRBs and the ability to commission and interrogate specialist assistance where necessary.

A Technical knowledge and understanding

	Key competency	Knowledge	Level	Specific competencies for building standards professionals	Typical evidence to demonstrate competency
A1	Ability to understand and apply relevant fire safety principles and practices in the assessment and inspection of HRRBs.	Fire science Human behaviour and evacuation Fire protection systems Fire safety design and specification	2 2 4 4	This should include the ability to: • Understand and apply fundamental knowledge of fire science, (including key aspects of fire performance of materials) in the inspection and assessment of HRRBs. • Integrate understanding of key principles of human behaviour and fire escape design in to inspection or assessment of the design, layout and arrangement of escape provision in HRRBs. • Understand the key features and principles of passive and active fire protection (including suppression systems) and be able assess or inspect (or commission others to assess or inspect) active or passive systems for HRRBs • Demonstrate detailed knowledge and ability of good practice in assessing and inspecting integration of compartmentation and structural fire protection in to the design of HRRBs with particular reference to measures which prevent the spread of flame and smoke internally and externally. • Demonstrate understanding and ability to assess and inspect integration of fire-fighting access requirements and provision of fire-fighting facilities in the design and layout of HRRBs.	Examples from your work where principles of fire safety have been effectively applied in the assessment of HRRBs.

A2	Suitable knowledge and understanding of relevant principles and technical standards for building safety design and construction and ability to co-ordinate and integrate these holistically in the assessment and inspection of HRRBs.	Structural safety	3	This should include the ability to: • Demonstrate understanding of the process by which different aspects of building safety should be successfully integrated into the overall design of an HRRB. • Demonstrate suitable understanding of critical safety design principles relevant to structure, public health and building services and how to ensure advice from suitable specialist professionals is obtained and integrated effectively in to the building design.	Examples from your work where principles of building safety (other than fire safety) have been effectively applied in the assessment of a HRRBs.
		Protection from falling or collision	4		
		Public Health	4		
		Building Services	4		
		Building fabric	4		

A3	Suitable knowledge and understanding of relevant legislation, regulations, statutory guidance, standards of performance and how to meet or exceed these requirements in the assessment of HRRBs.	Construction legislation relevant to HRRBs; building regulations	4	This should include the ability to: • Understand and where necessary advise others on what needs to be done to comply with relevant statutory requirements. • Have suitable awareness of how other relevant statutory or legal requirements where these are not your direct responsibility but could impact on building safety. • Have suitable knowledge and understanding of how to assess whether proposals or existing buildings meet or exceed regulatory requirements and technical performance standards relevant to ensuring safely in the construction and occupation of HRRBs	• Examples from your experience of assessing HRRBs in order to ensure robust compliance with statutory requirements; • Evidence of understanding or awareness of other relevant statutory regimes.
A4	Whenever relevant to your role, demonstrate the ability to develop, manage, distribute and maintain information about the assessment or inspection of the design, construction or maintenance of HRRBs critical to ensuring that they are designed to be safe, built to be safe, operated safely and maintained to be safe throughout the project lifecycle.	Golden thread of building information	4	This should include the ability to: • Assess and audit strategies setting out how proposals and buildings in occupation meet building safety requirements. • Demonstrate suitable knowledge and understanding of HRRB safety documents (and their content) key submission stages and responsibilities and enforcement measures available. • Inspect and assess adequacy of relevant documentation submitted as part of the Safety management system, Safety Case, Fire and Emergency file or Health and Safety plan. • Understand and be able to use / access information management tools such as BIM and other formats to ensure that accurate design and as built information	• Examples of good practice in obtaining, distributing and storing as built information; • Evidence of role in the assessment of key building safety information packages such as the safety case or fire and emergency file; • Effective assessment of information setting out key building safety strategies for use by building owners or emergency services; • Examples of effective management and assessment of adequacy of information submitted.
		Building specific fire safety information	4		
		Health & Safety information	2		
		Design /construction, as built/maintained information	4		
		Building safety strategies	3		
		Maintenance information and scheduling; Testing and commissioning information; Lifecycle and replacement	3		

data		are obtained to enable inspection of HRRB safety.
Building installer / constructor / maintainer competency requirements	3	• Act in ensuring that building safety information is distributed to relevant duty holders/recipients and then safely stored.
Change management and impact on other interested parties e.g. insurer, warranty provider, owner.	3	• Understand and enforce requirements for project teams or building owners to manage changes to design and as built information at key gateway stages • Identify what information is needed from other parties and coordinate that information where relevant to inspection of HRRB safety.

B Assessment of design, process, systems, services and products

B1	Suitable knowledge of the relevant standards, testing, assessment and maintenance procedures for building materials, products, components, assemblies and systems and ability to assess these effectively to ensure safety through the life cycle of the building.	Standards	4	This should include the ability to: • Understand and assess how relevant British, international or third-party codes and standards have been adopted to ensure through life building safety. • Ensure that the right assessment methods or procedures have been used to ensure holistic through life building safety or be able to commission sample testing or assessment if this is necessary. • Understand and interpret the results of testing or assessment (or stated performance criteria) and know when to seek more expert advice on such to ensure through life building safety.	Evidence of suitable application or use of relevant standards, testing or assessment procedures in the context of HRRBs.
		Testing	2		
		Commissioning	2		
		Building systems and services.	3		
B2	Knowledge, understanding and ability to work within or apply in practice statutory process and procedures specific only to HRRBs that need to be followed in their assessment and inspection.	Gateway process and stages for HRRB	4	This should include: • Understanding of roles and responsibilities when acting as JCA, and ability to engage positively with the JCA other constituent bodies. • Ability to advise building owners, project team members and others on duties and procedural requirements relating to the design, construction and maintenance of HRRB. • Knowledge, understanding and ability to carry out relevant inspection activities in order to demonstrate or assess compliance with building safety requirements on behalf of the JCA at differing gateway stages. • Understanding of relevant requirements for building standards professionals to engage and communicate with tenants or the public.	• Examples of successful project delivery through statutory cycles or process; • Examples of specific complex interactions, discussions or process meeting requirements for HRRBs.
		Role of the JCA	4		
		Tenant voice and engagement.	3		

B3	Suitable knowledge and understanding of specific risks relevant to the inspection, construction and maintenance of HRRBs and ability to use this knowledge as part of the development, assessment and application of risk management frameworks and safe systems of work.	Critical risk factors in HRRBs	4	This should include: • Suitable knowledge and understanding of the specific risks relevant to each type of HRRB (including typical critical modes of failure and consideration of maintenance and replacement cycles) and how these risks should be managed through the inspection process, including through commissioning or undertaking of work by other specialist persons. • Understanding of and ability to contribute to and work within safety management systems for HRRBs. • Understanding of the building standards professional's role in assessing HRRB project safety case and ability to contribute to the safety case development, review and management. • Interaction between building standards professional's role on HRRB and duties under CDM regulation / site health and safety requirements and other safety legislation.	• Examples from your work of the development or application of risk management process, procedures, safety case, safety information or frameworks. • Examples of identifying specific risks and how these were subsequently successfully managed.
		Safety case development; safety case review	2		
		Fire risk strategy	2		
		Health and safety file	2		
		Building management and maintenance for building and occupier safety	2		

C Responsibility, Management, Leadership and Business Awareness

C1	Clear understanding of and ability to fulfil relevant roles, responsibilities and duties in relation to inspection of HRRBs	Client duties and responsibilities	2	This should include the ability to: • Understand your duties as a building standards professional in relation to the work you undertake on HRRB's • Understand and explain the roles and responsibilities of other key duty holders you will interact with as part of your role as a regulator on HRRBs • Explain how to work effectively with other key duty holders you will interact with as part of your role inspecting HRRB safety. • Engage effectively with Principal Designer and Principal Contractors.	• Evidence of specific roles and responsibilities you have held as part of your work on HRRBs; • Evidence of your involvement in ensuring awareness and fulfilment of specific duties relevant to HRRBs; • Examples or interaction with other key duty holders.
		Principal designer duties and responsibilities	2		
		Contractor responsibilities and duties	2		
		Building owner / manager	2		
		Tenant	2		
		JCA	4		
		Local Authority	4		
		Regulators	3		
		Fire and rescue services.	2		
C2	Awareness of responsibility to challenge unacceptable behaviours or practice and how to raise, escalate or flag risks to safety during the design, construction or maintenance process.	Whistle blowing policies / Public Information Disclosure Act	4	This should include the ability to: • Explain and comply with your professional and ethical duties to raise concerns relating to public safety • Effectively raise safety concerns with colleagues and where necessary escalate these concerns through management chains • Identify if and when it is necessary to utilise whistleblowing provisions under the Public Information disclosure Act and how to do so. • Understand, explain and act on any other duties to raise concerns about project safety. • Understand and act on concerns raised by others.	• Examples of industry practice where you may have had concerns and acted upon them; • How you have been effective in leading on building safety issues; • How you integrate good building safety practice in your day to day work.
		Public duty to report	4		
		Liabilities	2		
		Company or organisational reporting and escalation policies and procedures.	4		

C3	Awareness of those being regulated and the various contractual relations / inter-relationships that have a bearing on the effective delivery of new building and refurbishment contracts for HRRB	Differing procurement mechanisms	2	This should include the ability to: • Understanding of different types of building procurement mechanisms especially where these provide for differing seats of design responsibility and contractual restraints • Understanding of the various contractual elements that combine to make the overall compliance requirements in addition to statute	• Examples of the various forms of contracts and how designers and contractors etc are engaged • Examples of where contractual relationships have exceeded statutory minimum and how there might be conflicts to this when giving advice on achieving standards for compliance
		Employers requirements	2		
		Contractors proposals	2		
C4	Ability to effectively manage or work with/ within complex assessment, inspection or project teams and co-ordinate assessment and inspection of technical and procedural compliance to ensure safe outcomes.	Project management and control	2	☐ Ability to create a risk managed inspection regime ☐ Work in a dynamic, adaptable way in response to changes on site ☐ Provide appropriate, effective and meaningful inspection ☐ Integrate requirements for building safety into inspection planning and management activities ☐ Assess competencies required within inspection teams for which you are responsible and ensure suitable specialist expertise is procured where required. ☐ Apply quality management, control or audit procedures in order to check building safety measures, duties or requirements which you are inspecting have been discharged ☐ Explain and comply with procedural requirements, submission and process' relevant the inspection and assessment of HRRB relevant to your work.	☐ Examples of effective team working and team management; ☐ Good practice in assembling and managing project teams; ☐ Examples of your role in leading on or coordinating delivery of complex integrated systems or buildings.
		Sequencing of work	2		
		Assembling and appointing teams	3		
		Effective management practice / procedures for assessment and inspection of HRRBs.	3		

D Effective Communication and inter-personal skills

D1	Understanding and awareness of the views of in situ residents and the duty to communicate with them and the public. The ability to communicate clearly and effectively verbally and in writing,	Requirements / obligations to communicate, consult with and respond to residents or persons otherwise affected by buildings / building work	4	This should include the ability to: • Explain and comply with duties to communicate with building owners, project teams, residents and other persons or organisations involved in or affected by projects on HRRBs. • Write reports, letters, e-mails or give presentations in a manner which can be clearly understood by technical and non-technical persons. • Clearly identify and communicate responsibilities and issues relating to HRRB safety within design or project teams.	☐ Evidence or examples of effective engagement with residents, building users or those affected by building work; ☐ Examples of reports, presentations and academic submissions; ☐ Examples of effective engagement and communication with project teams; ☐ Examples of effectively explaining complex technical considerations clearly to clients or other non-professional or technical audiences.
		Ability to communicate effectively through media relevant to role (verbally, written, drawn)	4		
		Ability to communicate technical complex information to non-technical audiences; effective communication within project and client teams.	4		

E Professional Commitment

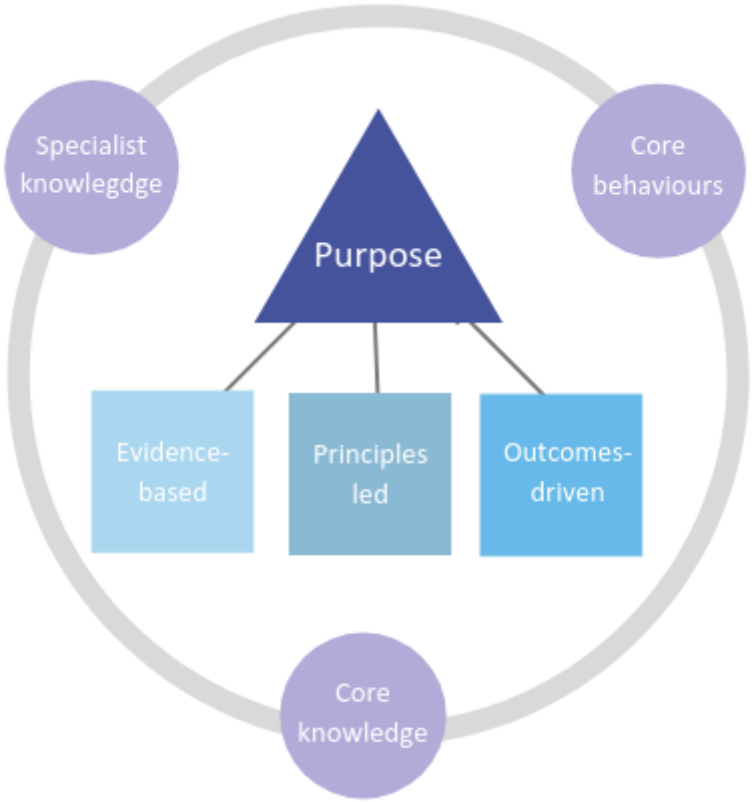
E1	Adopting and applying the codes of conduct and ethical behaviour and understanding the specifics relevant to HRRB.	Obligation to consult / tenants voice	4	This should include: • Need to act with honesty, accuracy, respect, integrity, responsibility, and limits of capability in order to build trust • Need to respect concerns and issues raised by tenants and how to respond appropriately • Duty of care to residents and people living or working in and around buildings • Differential needs of older and disabled people in accessing and ability to escape from HRRBs • Need to act in accordance with professional Code of Conducts of Employers/Professional bodies • Understanding and ability to act in accordance with Code of Ethics for HRRB.	☐ Evidence or examples of effective engagement with building residents or users; ☐ Evidence of consideration of specific needs of older or disabled people in the assessment of building safety; ☐ Evidence of leading discussion on or presenting ethical arguments in practice; ☐ Examples of instances where you have raised ethical concerns as part of your work inspecting HRRB safety.
		Duty of care to residents	4		
		Considering diversity and inclusion including differential needs e.g. emergency egress; adhering to Codes of Conduct e.g**.** • Honesty and Integrity • Respect for life, law, the environment and public good • Accuracy and Rigour • Responsibility for Direction, Conduct and Communication	4		
E2	Understanding of techniques for and the importance of identifying limits of competency for self, individuals or organisations involved in the assessment, inspection, design, construction or management of HRRBs and ability to take suitable mitigating actions to manage risk.	Principals and value of competency	2	This should include the ability to: • Explain what competency is and how this relates to building safety • Identify when and how to assess or request evidence of competency from persons or organisations working in HRRBs you inspect • Explain and comply with duties to ensure competency relating to the inspection of HRRBs. • Identify the need to seek advice from others with specialist competencies and how to procure that advice in assessing HRRB safety • Effectively raise concerns about the competency of individuals or organisations with the JCA. • Mitigate any residual risk relating to competency of which you become aware i.e. by putting in place additional checks or inspection measures.	☐ Competency self-assessment records and learning from that process; ☐ Examples of quality assurance or management procedures to ensure competency of self / staff / specialists or other organisations; ☐ Use of competency scoring or assessment techniques; ☐ Involvement in competency assessment of individuals; ☐ Accessing or using suitable registers of competency.
		Competency assessment techniques	2		
		Roles and responsibilities in advising on and ensuring competency	2		
		Procurement and management of specialist competencies and managing residual risk.	3		

E3	Obligation and demonstrable commitment to maintaining professional competency to work on HRRBs and need to ensure continuing competency of others	Continuing Professional Development	4	This should include the ability to: • Assess the limits of your own competency in relation to work you are inspecting • Identify personal development needs and put in place a suitable personal development plan • Engage with peer review / assessment and feedback process to obtain external perspective on competency and areas for improvement • Identify the limit of competency of those you work with or manage and take action to support improvement where necessary.	• CPD records; • Self-assessment records/personal development plans/training records; • Obtaining new relevant qualifications; • Courses attended; • Evidence of leadership within teams or organisations; • Involvement in developments of new standards or research relevant to role on HRRB.
		Undertaking competency self-assessment	4		
		Managing personal development	4		
		Assessing and managing development of team members	3		

Working Group 7 – Building Designers

Annex 7B: Guidance on the Competence Framework for Building Designers.

General principles for construction professionals



This competence framework was developed taking into account the following principles**.**

Purpose

The fundamental purpose of all construction professionals and those working on higher risk residential buildings is to deliver a better living and working environment for the public. This includes procuring, designing, creating and maintaining buildings that are safe for those who live and work in them. Everyone connected to building procurement, design, construction and management has a role to play in delivering this purpose, which Is why it sits at the heart of our competence framework.

Principles

We expect those involved in construction to do what's right by following three key principles: buildings matter – people matter – professionalism matters.

Our work should be outcomes driven. This means that we will champion better living and working environments by making a positive difference on every level – personally and professionally. This includes behaving ethically and reflecting on individual behaviors.

Our work is evidence-led. This adds weight to professional judgment by supporting building construction through diverse sources such as research, gathering data and listening to our stakeholders.

Our principles of competence setting out what we expect from each other are well understood and the basis on which we undertake our work.

Core behaviours

These are our ways of thinking and acting which makes us effective in our work. Core behaviours must include valuing people, inclusivity, ethical practice, passion for learning and situational decision making which is an awareness of how the context should inform the judgements we make. Our behavior always reflects the ethics of our profession in relation to the decisions we make.

Core knowledge

Our core behaviours are supported by core knowledge. Regardless of our role, sector or specialism, these are the things we need to know to consider ourselves suitably expert in construction to be able to work in the public interest.

Specialist knowledge

The individual frameworks for specialist disciplines set out the specialist knowledge required to enable individuals to work on higher risk residential buildings.

The following sections set out the competence framework for higher risk residential buildings. However, we believe the above apply to the construction profession as whole.

0.1 Introduction

This competence framework has been developed in response to recommendations set out in the Final Report of the Independent Review of Building Regulations and Fire Safety following the Grenfell Tower fire in 2017.

The report made the following recommendations:

Recommendation 5.1: The construction sector and fire safety sector should:

a. demonstrate more effective leadership in relation to developing a responsible approach to delivering building safety and integrity;

b. work with other sectors to learn and translate good practice and implement it within the sector; and c. develop continuous improvement approaches to competence levels.

Recommendation 5.2:

a. The professional and accreditation bodies working within the construction and fire safety sectors should continue the work started in response to the interim report and present a coherent proposal to government within one year. As a minimum, this proposal should cover the role and remit of an overarching body to provide oversight of competence requirements and support the delivery of competent people working on HRRBs, including:

- the professional bodies, professions and disciplines in scope;
- its membership and governance;
- its role in receiving, agreeing and monitoring the individual competence frameworks for those bodies, professions and disciplines in scope for individuals within their membership or on their register, and/or whether a single competence framework for professional bodies in scope should be established;
- its role in agreeing and monitoring accreditation and reaccreditation, and the period within which the competence of individuals should be reassessed and reaccredited;
- its role in establishing a method for demonstrating or proving competence;
- how the correct balance between construction sector skills and fire safety skills should be balanced; and
- whether the competence requirements for those working on HRRBs should also be extended to cover other multi-occupancy residential buildings and to institutional residential buildings.

b. Progress should be monitored by government, with the professional and accreditation bodies providing government with quarterly progress reports.

c. If government does not consider that the proposed approach provides the necessary assurance to the JCA, or there is evidence that the fragmented approach to the oversight of competence will continue, then government should mandate a body to establish the competence levels required and oversee its implementation.

Recommendation 5.3: Relevant parties, along with the relevant professional bodies, should:

a. Continue to work together to develop a new common approach and competence framework which meets the requirements of the new regulatory framework and the new skills required of Building Standards Inspectors when working on HRRBs, and those offering consultancy and verification services to duty-holders.

b. This framework should apply to all Building Standards Inspectors whether they are LABS Inspectors and part of the JCA or AIs offering their services to Building Standards or to duty-holders.

c. Consider whether these competence requirements for Building Standards Inspectors working on HRRBs, and AIs, should also be extended to cover those working on other multi-occupancy residential buildings and institutional residential buildings.

Recommendation 5.4: Relevant parties should work together, along with the relevant professional bodies, to develop and define a robust, comprehensive and coherent system for:

a. the competence requirements for the role of building safety manager of HRRBs; and

b. the remit of this role in introducing and overseeing the process by which residents in HRRBs would be able to access fire safety awareness training.

0.2 Objectives of the framework

We have set out a framework for the assessment of the necessary competencies for architects and designers, referred to as “building designers”, working on higher risk residential buildings. Its purpose is to ensure that building designers working on these buildings have the skills and knowledge to undertake their work in an effective way that ensures building safety.

It can also be used to:

- support the development of qualifications for architectural and designer training or academic courses;
- assist in assessment of candidate suitability for building designer roles;
- support building designers to develop their own career and personal development plans;
- revalidate ongoing competency of building designers on a periodic basis.

The framework sets out the core competencies required by any person undertaking work as a building designer and sets out the level of competence expected of these professionals. Typically, building designers may include the following roles:

- Architects
- Design technicians
- Building surveyors
- Architectural technologists
- Architectural technicians
- Engineers where not covered by other competency frameworks
- Building Engineers
- Any other persons deemed appropriate by the Building Safety Competence Committee.

The levels of competence are defined through a mapping exercise which reflects the different level of decision-making responsibility relevant to that role. Further information is provided in the following sections:

> **Section 1 – Using the Competence Framework** which sets out how to use the framework.
>
> **Section 2 – Building designer competence framework for higher risk residential building** sets out the framework for assessment and validation and provides guidance on how suitable competence may be demonstrated.

Once the role of the principal designer in relation to HRRBs is more clearly defined it will be necessary to consider how this framework may need to be amended to reflect that role, or whether a separate specific framework for principal designers should be developed using this framework as a base.

0.3 Scope

This framework is relevant to any person acting as a building designer in relation to the construction, alteration, extension or maintenance of higher risk residential buildings. It may also include specialist design professionals (such as façade designers) who have responsibility for the design of significant components of a building.

In this context, the role of the building designer is understood to be a person who provides services relating to the architectural planning, layout, specification and coordination of a building including its design and construction or maintenance. Other members of a design team who undertake similar functions (such as engineers or fire engineers) will normally be covered by other competence frameworks.

0.4 Roles and responsibilities relevant to this competence framework

In principal we believe that competence for building designers should be managed at two levels: Building designers leading on HRRB projects should be independently verified as competent against this framework, with all others working under the building designer's supervision internally assessed and audited against the same framework.

This is the practical framework against which industry can deliver effectively. MHCLG may wish to consider the extent that the assessment of competence which is not independently assessed (i.e. those working under supervision of the building designer) is audited or reported to the JCA for HRRB.

This could be achieved by imposing a legal duty on any business offering building design services to ensure design work on an HRRB is led by a person independently validated as a competent building designer. Building designers will then have a subsidiary duty to manage and take responsibility for assuring the competence of those working under their supervision on HRRBs.

In practice the responsibility and competence of those working under the building designer will vary depending on their role within the design team, experience and seniority. There should be an explicit duty on the building designer (both as a legal entity and as an independently validated person managing an HRRB project) to check and audit the competence of those working under their supervision.

The building designer or their employer will therefore be required to use suitable competence assessment techniques to map out specific responsibilities and skill sets and ensure people are working within the safe limits of their competence.

These assessment processes should use the different levels of competence described in section 1.3 of this document mapped against the building designer competence framework.

Building designers may also undertake the Principal Designer role yet to be defined by MHCLG, as well as the Principal Designer role as defined by the CDM Regulations. These are additional competencies which are not covered by this framework at this time.

0.5 Eligibility, qualifications and prior learning

Any person wishing to be independently assessed against this framework should:

- Be a current full member in good standing of a relevant construction professional organisation
- Be required to have in place a suitable programme for continuing professional development (CPD)
- Be subject to and adhere to a Code of Conduct and disciplinary procedures
- Have suitable academic qualifications in a construction-based subject
- Have the specified or relevant experience in more complicated building projects

The baseline minimum standard of prior learning for a competent building designer to be independently validated against this framework will be a level 6 degree (or equivalent) with at least 2 years post qualification experience relating to HRRB or similar more complicated buildings.

0.6 Definitions

Building designer

Principal Designer

Lead designer

Role holder

Dutyholder

[To be defined by Building Safety Competence Committee (BSCC)]

SECTION 1

1.0 Using the Building Designer Competence Framework

1.1 What is competence?

Competence is the ability to put skills, experience and knowledge into practice in order to perform a job in effective and efficient manner to an established standard.

Building designers working on higher risk residential buildings must demonstrate that they have the competencies necessary to ensure that design and construction of the building which they are working on, or over which they have authority protects life safety effectively throughout the building life cycle.

Building designers must have the key competencies relating to fire safety, structural safety, public health and building safety and be able to apply these principles consistently and effectively in practice.

1.2 Who assesses competence?

[This should be aligned with the BSCC structure, process and accreditation once it is determined]

This framework sets out additional competencies specific to higher risk residential buildings. This framework and its associated assessment and associated validation process will be approved by the Building Safety Competence Committee (BSCC) to ensure that it meets the required standard.

Assessment of individuals to meet the competence framework is undertaken by independently verified professional bodies or suitably accredited bodies whose procedures for assessing competence have been approved by the BSCC or an independent body approved by the BSCC.

As set out in section 0.5 above, building designers must already be a member of a professional body with relevant qualifications and experience prior to seeking assessment against this framework.

1.3 Using the competence framework

[This should be aligned with the BSCC structure, process and accreditation once it is determined]

The way in which competence is assessed will be determined or approved by the BSCC. The Building Designer competence framework is set out in section 3. Competencies are structured under 5 key headings:

A Technical knowledge and understanding

B Assessment of design, process, systems services and products

C Responsibility, management and leadership

D Effective communication and inter-personal skills

E Professional Commitment

Core competencies are listed under each heading. These competencies provide typical scope and knowledge relevant to that competence. The third column of the framework sets out the specific competencies that professionals should demonstrate, and the fourth column explains common ways that the competence may be evidenced.

The level of knowledge, understanding and skill associated with each competence varies depending on the relevant level of responsibility against which a candidate is being assessed and are described as follows:

Level 1 - Awareness

Understands the competence, its relevance to own work and any key inter-relationships.

Level 2 – Appreciation

Has sufficient knowledge and understanding to be able to apply the competence under the management of a more senior professional.

Level 3- Detailed knowledge

Has all essential knowledge and understanding to be able to act with autonomy in making key decisions and delivering a broad range of outcomes relevant to the competence.

Level 4 - Comprehensive Knowledge

Has comprehensive and in-depth knowledge and the skills required to effectively make complex decisions and judgements in relation to the competence.

For a building designer leading on an HRRB project, competence will be expected at Level 4 across all the core competencies. The level of knowledge of those working under supervision of the building designer should be mapped and audited relative to their role.

1.4 Validation and re-validation

The accreditation and reaccreditation process should comply with requirements as set out by the BSCC [to be determined].

In principle, building designers need to be assessed in a structured manner in order to be validated and registered as competent to work on HRRBs. This validation process should be undertaken by a body independent of the business for which the building designer works and is either a professional body recognised by the BSCC, or a suitable accredited organisation.

Accredited building designers should undergo a reaccreditation process every five years to ensure that:

- The scope of work for which they need to be competent has not changed, and if it has, to reflect this in their reaccreditation appraisal.
- They have maintained their competence in relation to the work they undertake.
- They have developed or plan to develop new competencies where necessary.

The validation and revalidation process for accredited building designers will be overseen by an independent validation panel consisting of at least two persons at the same level or higher seniority and with relevant experience in the same sector.

Where building designers are working under the supervision of an independently validated building designer, their competence should be assessed (either internally or by third parties) by a panel composed of suitably experienced peers. This can include line managers within the same business, or for those professionals working in smaller organisations suitably qualified peers from another organisation.

The validation and revalidation process should as a minimum consist of:

Part 1 - Submission of records

- An updated competence self-assessment;
- An accompanying report setting out relevant experience gained over the preceding two to five-year period;
- CPD records and information on any additional qualifications or career development activity in at least the previous two years;
- A summary list of the work undertaken over the preceding two years providing brief details of the scale, nature and value of projects in that timescale;
- References or testimonials from professionals or clients relating to the competencies.

Part 2 - A competency based interview

The interview should use a structured competency-based approach utilising the information submitted to test key areas of the building designer's competence. The interview should consist of:

- A presentation followed by Q&A based on the report submitted with the application.
- A structured interview which tests as a minimum
    - All category A competencies.
    - All category B competencies.
    - At least one question each relating to a competency from categories C, D and E.

The outcome of the validation or revalidation process should be:

- A report confirming competence; or
- A report setting out areas for development, (with accreditation subject to submission and approval of a suitable personal development plan); or
- A report identifying areas for further development in terms of scope or competence.

Where the applicant succeeds in demonstrating competence the professional body will pass their details on to the BSCC who will add their details to the HRRB register.

1.5 Continuing Professional Development (CPD)

[Suitable requirements for undertaking and monitoring / evidencing CPD to maintain and develop competence should be introduced in line with requirements established by the BSCC]

All building designers working on HRRBs must comply with the CPD requirements of their relevant professional or accrediting body. They are responsible for demonstrating their continuing competence to work on HRRBs.

1.6 Personal Career Development

Building designers at all grades should:

- Review their competence self-assessment annually;
- Identify development needs; and
- Undertake relevant CPD to develop or maintain existing skills.

This could be by meeting a set of prescribed objectives, or through setting a personal development plan.

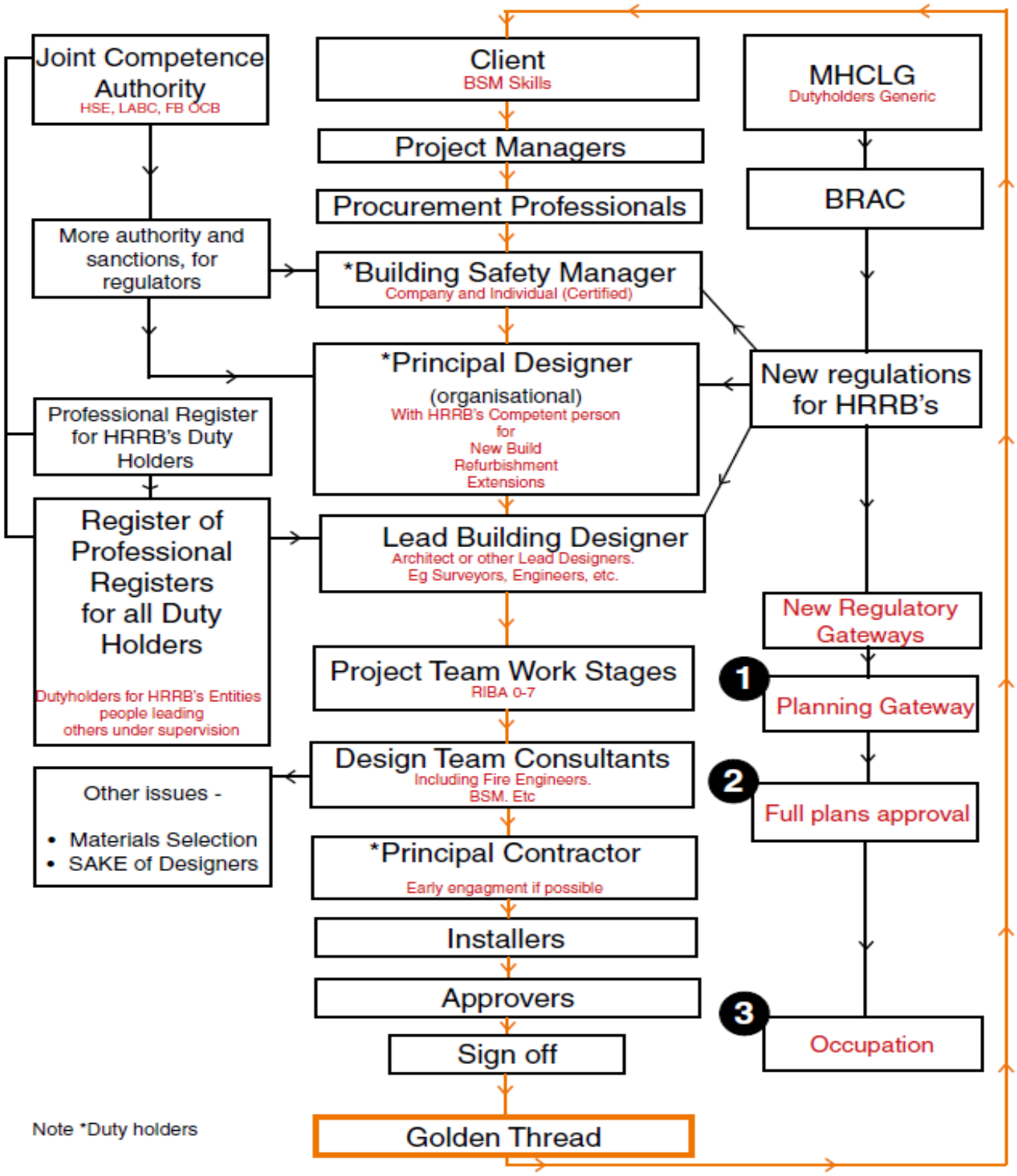
1.7 Complaints, disciplinary and appeals

[A suitable mechanism to deal with complaints or concerns about the competence of building designers will need to implemented by the BSCC].

Where concerns are raised about the competence of a building designer in relation to work on HRRBs, the professional or accrediting body should in the first instance deal with that complaint through their disciplinary procedures.

Annex C

NEW REGULATORY & PROJECT FRAMEWORK FOR HRRB DESIGN



Annex D

SECTION 2

Architect and Building Designer Competency Framework for Higher Risk Residential Buildings

A Technical knowledge and understanding

	Key competency	Scope	Specific competencies	Typical evidence to demonstrate competency
A1	Ability to understand and apply relevant fire safety principles and practices in the design of HRRBs.	Fire science • Principles of Heat transfer • Principles of Fire chemistry • Principles of Fire dynamics Human behaviour and evacuation • Human behaviour and physiological response to fire • Egress and life safety design concepts and practice Fire protection systems • Passive fire protection systems • Active fire protection systems • Fire detection and alarm systems • Fire suppressions systems Fire safety design and specification • Access and facilities for fire and emergency services • Fire performance of materials • Compartmentation and spread of flame • Principles of structural fire protection design • Commissioning and interrogation of specialist analysis by others	This should include the ability to: • Understand and apply fundamental knowledge of fire science, (including key aspects of fire performance of materials) in the design and specification of HRRBs. • Integrate understanding of key principles of human behaviour and fire escape design in to the design, layout and arrangement of escape provision in HRRBs. • Understand the key features and principles of passive and active fire protection (including suppression systems) and be able to specify or design (or commission others to specify or design) active or passive systems for HRRBs • Demonstrate suitably detailed knowledge of how to integrate compartmentation and structural fire protection in to the design of HRRBs with particular reference to measures which prevent the spread of flame and smoke. • Demonstrate understanding and ability to integrate fire-fighting access requirements and provision of fire-fighting facilities in the design and layout of HRRBs.	Examples from your work where principles of fire safety have been effectively applied in the design of an HRRB.
A2	Suitable knowledge and understanding of relevant principles and technical standards for building safety and ability to co-ordinate and integrate these holistically in the design of HRRBs.	Structural safety • Structural design /fixing of cladding / envelope at height • Secondary fixings specification and design • Disproportionate collapse Protection from falling or collision • Stair safety • Guarding / balustrades • Balconies Public Health	This should include the ability to: • Demonstrate understanding of the process by which different aspects of building safety should be successfully integrated into the overall design of an HRRB. • Demonstrate suitable understanding of critical safety design principles relevant to structure, public health and building services and how to ensure advice from suitable specialist professionals is obtained and integrated effectively in to the building design. • Co-ordinate the design, specification and assessment of building fabric including	Examples from your work where principles of building safety (other than fire safety) have been effectively applied in the design of an HRRB.

		○ Air quality / ventilation ○ Above ground drainage ○ Water storage ○ Combustion appliances Building Services • Gas appliances and services • Electrical safety • Mechanical services Building fabric • Interstitial condensation / corrosion • Water penetration / weather tightness • Service penetrations • Maintenance • Glazing and glazing systems	where necessary commissioning and integrating the work of other specialist building professionals to achieve safe performance throughout the building lifecycle.	
A3	Suitable knowledge and understanding of relevant legislation, regulations, statutory guidance, standards of performance and how to meet or exceed these requirements in the design of HRRBs.	Construction legislation relevant to high risk buildings including: Construction Legislation • The Building Act 1984 • The Building Regulations 2010 • Approved Documents • AD7 Materials and Workmanship • Building regulations (procedural) • Local acts / enactments • Government communications / circular letters • Sustainable and secure building act • Regulatory Reform (Fire Safety) Order 2005 • CDM Regulations 2015 • Health and Safety at Work etc. Act 1974 • Gas safety (installation and use) Regulations 1998 Related • Civil, criminal and case law • Contract Law • Law of Agency • Employment Law • The Housing Acts 1985,1988, 1996,2004 • Housing Health and Safety Rating System • Equalities act 2010 • Town and country planning Acts • Housing and Regeneration Act • Licensing legislation • Water Bylaws	This should include the ability to: • Understand and where necessary advise others on what needs to be done to comply with relevant statutory requirements. • Have suitable awareness of how other statutory or legal requirements relate to the role of the designer where these are not your direct responsibility but could impact on building safety. • Have suitable knowledge and understanding of how to meet or exceed regulatory requirements and technical performance standards relevant to your work in safely designing HRRBs.	Examples from your experience of designing an HRRB in order to ensure robust compliance with statutory requirements; and evidence of understanding or awareness of relevant statutory regimes.

A4	Whenever relevant to your role, demonstrate the ability to develop, manage, distribute and maintain information about the design of HRRBs which is critical to ensuring that they are designed to be safe, built to be safe, operated safely and maintained to be safe throughout the project lifecycle.	Golden thread of building information; Safety case; Health and safety file, Fire and Emergency File; design /construction, as built / as maintained information; building safety strategies; maintenance information and scheduling; testing and commissioning information; lifecycle and replacement data; building installer / constructor / maintainer competency requirements.	This should include the ability to: • Develop and communicate clearly expressed strategies to meet building safety requirements. • Demonstrate suitable knowledge and understanding of all documents (and their content) which are relevant to the role of the designer in ensuring HRRB safety. • Comply with requirements to prepare and submit relevant documenting as part of the Safety management system, Safety Case, Fire and Emergency file or Health and Safety plan. • Utilise suitable information management tools such as BIM to ensure accurate design and as built information are developed and issued. • Manage changes to design information for which the designer is responsible in order to ensure an accurate set of as built information is available at key gateway stages • Identify what information is needed from other parties and coordinate that information where relevant to the role of the designer	Examples of good practice in developing and maintaining as built information; evidence of leading role in the development of key building safety information packages such as the safety case or fire and emergency file; effective development of information setting out key building safety strategies for use by building owners or emergency services; examples of effective management of information post completion.

B Assessment of design, process, systems, services and products

B1	Suitable knowledge of the relevant standards, testing, assessment and maintenance procedures for building materials, products, components, assemblies and systems and ability to apply these effectively as part of the design process to ensure safety through the life cycle of the building.	British and international product standards; testing standards, procedures and interpretation of results; good practice specification; product characteristics and performance; system / component / assembly testing and performance; prototyping and sample panel and testing; maintenance requirement; maintenance testing and commissioning of building systems and services.	This should include the ability to: • Understand and apply relevant British, international or third party codes and standards to ensure through life building safety design. • Ensure that the right assessment methods or procedures have been used to ensure through life building safety or be able to commission sample testing or assessment if this is necessary. • Understand and interpret the results of testing or assessment (or stated performance criteria) and know when to seek more expert advice on such to ensure through life building safety. • Understand how and when to integrate requirements for building maintenance into the design and specification of HRRBs where these are necessary to maintain through life building safety.	Evidence of suitable application or use of relevant standards, testing or assessment procedures in the design of an HRRB.
B2	Suitable knowledge, understanding and ability to work within or apply in practice statutory process and procedures specific to the design of HRRBs.	Gateway process and stages for HRRB; Role of the JCA; Tenant voice and engagement.	This should include: • Ability to advise clients, project team members and others on duties and procedural requirements relating to the design of HRRB • Knowledge, understanding and ability to comply with relevant design development activities in order to demonstrate compliance with building safety requirements to the JCA at differing gateway stages. • Understanding of and ability to engage positively with the JCA and its constituent bodies. • Understanding of relevant requirements for designers to engage and communicate with tenants or the public.	Examples of successful project delivery through statutory cycles or process; examples of specific complex interactions, discussions or process meeting requirements for HRRB.
B3	Suitable knowledge and understanding of specific risks relevant to the design of HRRBs and ability to use this knowledge as part of the development and application of risk management frameworks and safe systems of work.	Critical risk factors in high risk buildings; Safety case development; safety case review; fire risk strategy; CDM regulations; Health and safety file; deleterious materials; COSHH regulations; building management and maintenance for building and occupier safety;	This should include: • Suitable knowledge and understanding of the specific risks relevant to each type of HRRB (including typical critical modes of failure and consideration of maintenance and replacement cycles) and how these risks should be managed through the design process, including through commission or undertaking of work by other specialist persons. • Understanding of and ability to contribute to and work within safety management systems for HRRBs. • Understanding of the designer's role in	Examples from your work of the development or application of risk management process, procedures, safety case, safety information or frameworks. Examples of identifying specific risks and how these were subsequently successfully managed.

developing and maintaining an HRRB project safety case and ability to contribute to the safety case development, review and management.

- Interaction between designers role on HRRB and duties under CDM regulation / site health and safety requirements.

C Responsibility, Management and Leadership

C1	Clear understanding of and ability to fulfil relevant roles, responsibilities and duties in relation to HRRBs.	Client duties and responsibilities; Principal Designer; designer duties and responsibilities; contractor responsibilities and duties; building owner / manager ; tenant; JCA; Local Authority; Regulators; Fire and rescue services.	This should include the ability to: • Explain and comply with your duties as a designer in relation to the work you undertake on HRRB's • Understand and explain the roles and responsibilities of other key duty holders you will interact with as part of your role as a designer on HRRBs • Explain how to work effectively with other key duty holders you will interact with as part of your role as a designer on HRRBs • Act as or engage effectively with the Principal Designer as and when necessary in relation to your specific designer activity on HRRBs.	Evidence of specific roles and responsibilities you have held as part of your work on HRRB. Evidence of your involvement of ensuring awareness and fulfilment of specific duties relevant to HRRBs; examples or interaction with other key duty holders.
C2	Awareness of responsibility to challenge unacceptable behaviour or practice and how to raise, escalate or flag risks to safety during the design process.	Whistle blowing policies / Public Information Disclosure Act; public duty to report; liabilities; company or organisational reporting and escalation policies and procedures.	This should include the ability to: • Explain and comply with your professional and ethical duties to raise concerns relating to public safety • Effectively raise safety concerns with colleagues and where necessary escalate these concerns through management chains • Identify if and when it is necessary to utilize whistleblowing provisions under the Public Information disclosure Act and how to do so. • Understand, explain and act on any other duties to raise concerns about project safety.	Examples of industry practice where you may have had concerns and acted upon them; how you have been effective in leading on building safety issues; how you integrate good building safety practice in your day to day work.
C3	Ability to effectively manage or work within complex design or project teams and co-ordinate technical and procedural compliance to ensure safe outcomes.	Project management and control; sequencing of work; assembling and appointing teams; effective management practice / procedures for design of high-risk buildings.	This should include the ability to: • Integrate requirements for building safety into project planning and management activities • Assess competencies required within design or project teams for which you are responsible and ensure suitable expertise is procured. • Apply quality managing, control or audit procedures in order check building safety measures for which you are responsible have been discharged • Explain and comply with procedural requirements, submission and process' relevant to your involvement in the design of HRRB.	Examples of effective team working and team management; good practice in assembling and managing project teams; examples of your role in leading on, participating in or coordinating delivery of complex integrated systems or buildings.

D Effective Communication and inter-personal skills

D1	Understanding of duties to communicate with residents and the public, and ability to communicate clearly and effectively with others verbally and in writing.	Requirements / obligations to communicate, consult with and respond to residents or persons otherwise affected by buildings / building work; ability to communicate effectively through media relevant to role (verbally, written, drawn); ability to communicate technical complex information to non-technical audiences; effective communication within project and client teams.	This should include the ability to: • Explain and comply with duties to communicate with clients, residents and other persons or organisations involved in or affected by projects on HRRBs. • Write reports, letters, e-mails or give presentations in a manner which can be clearly understood by non-technical persons • Clearly identify and communicate responsibilities and issues relating to HRRB safety within design or project teams.	Evidence or examples of effective engagement with residents, building users or those affected by building work; reports, presentations and academic submissions; examples of effective client briefing; examples of effectively explaining complex technical considerations clearly to clients or other non-professional or technical audiences.
D2	Clear understanding of techniques for and the importance of identifying limits of competency for individuals or organisations involved in the design, construction or maintenance of HRRBs buildings and suitable mitigating actions to manage risk.	Principals and value of competency; competency assessment techniques; roles and responsibilities in advising on and ensuring competency; procurement and management of specialist competencies and managing residual risk.	This should include the ability to: • Explain what competency is and how this relates to building safety • Identify when and how to assess or request evidence of competency from other project team members • Explain and comply with duties to ensure competency relating to the design of HRRBs. • Identify the need to seek advice from others with specialist competencies and how to procure that advice • Effectively raise concerns about the competency of individuals or organisations if this is of concern • Mitigate any residual risk relating to competency of which you become aware i.e. by putting in place additional checks or inspection measures.	Competency self-assessment records and learning from that process; examples of quality assurance or management procedures to ensure competency of self / staff / specialists or other organisations; use of competency scoring or assessment techniques; involvement in competency assessment of individuals.

WORKING GROUP 8 – BUILDING SAFETY MANAGERS

Annex B - Core Competencies

Key Strands and Competencies

Strand	Competencies
Building Systems	Understand how buildings work, the systems within them and understand fire behaviour
Building Operations	Understand the building operating environment, legal framework and golden thread, applying due diligence
Understanding Risk	Understand key principles of good governance and risk, what it is, how its assessed, how it applies, how to control risk and how that relates to risk profile or organisation factors
Leading Safety	Understand how to lead safety and have adequate oversight of risk, understand the needs of stakeholders, know how to define roles and responsibilities, how to adequately resource risk management and be able to set a framework to monitor risks
Delivering Safety	Understand how to engage and provide effective communication, procure goods or services, project manage, deliver safety, manage stakeholders, maintain information systems and provide adequate emergency response arrangements
Monitoring and Control	Understand what needs to be measured and when, how to identify strengths and weakness, audit/check systems, be able to manage actions and track progress, provide feedback and learn from experiences.

The core strands and behaviours set out the required elements of the competency framework, however for this to be effective and noting the vast array of roles and tasks completed across the built environment, four key knowledge levels have been defined. These are noted below.

Type	Criteria
Foundation	May require guidance and supervision. Start of the learning journey to understand concepts and practices.
Intermediate	Concepts understood, limited supervision, may require guidance. Knows when to seek advice
Advanced	Concepts understood with some technical knowledge. May require guidance. Knows when to seek advice and can identify limits of competency
Specialist	Technical expert. Has a balanced level of technical and non-technical knowledge. Knows limits of competency. Can identify strengths and weaknesses and apply risk management principles.

Key	Level	QCF Level	Descriptor
Foundation	1	1	Remembering
Intermediate	2	2	Comprehending
Advanced	3	3	Applying
Specialist	4	4-6	Analysing, Evaluating and Creating

WORKING GROUP 8 – BUILDING SAFETY MANAGERS

Annex C - Detailed Competences

To further expand on the competency framework core strands, this section sets out the key areas and key competencies identified. WG8 is working together with other WG to develop a uniform approach within the overarching competency framework.

The format of presentation will therefore still change.

Strand	Area(s)	Key Competencies
Building Systems	Construction of Buildings Understanding fire behaviour Compartmentation Fire Strategy Fabric of building and services Interaction of systems	• Understand and apply principles of building design; features of building, fabric, structures and components and their implications for maintenance • Understand the basic principles of factors affecting the life safety, such as building and services condition, performance of life safety systems, compartmentation, water penetration, gas and electrical safety, contamination, asbestos, lifts and combustion, fire growth and fire spread. • Have a good understanding of the applicability, principles, objectives, and intent of legislation so far as premises under their control fall within their jurisdiction. • Understand the primary causes of failure to life safety systems such as fire (including sources of fuel, sources of ignition and oxygen), water penetration, flooding, air quality and structural failure and their potential impact on each other. • Understand the basic principles of the protection of life safety in buildings, including fire science and behaviour. • Understand the principles and benefits of an effective fire risk management strategy

Building Operations	Legal Framework Criminal and Civil Law Legal Duties Compliance Drivers Due Diligence Principles Golden Thread Information	• Understand the basic legal framework, its impact and the roles and powers of enforcement agencies, including building safety, H&S, CDM and fire • Demonstrate understanding of impact and enforcement of relevant law • Understand and apply the nature and extent of primary compliance drivers such as life safety, building protection, mission continuity, environmental considerations and reputational risks within the context of the organisation. • Understand the principles of due diligence to deliver safety as they apply to obtaining quotations for work, appointing contractors, selecting suppliers, executing work and record keeping • Understand and apply Legal duties clients/AP/BSC/stakeholders/JCA • Be aware of the importance of maintaining life safety information and the extent of information required at premises level and organisation level. • Managing the safety case review, its purpose and how to maintain it (the principles of life safety, including fire safety, for the management of the building) • Understand the importance of documented information at organisation and premises level, including advising relevant stakeholders (including DH, JCA) when information is lacking or inadequate
Understanding Risk	Governance Organisational Risk Factors Understanding Risk Profile Risk Management Risk Identification and Evaluation	• Understand, develop and implement the basic control measures used to mitigate the risk posed by the threats to life safety. • Understand and apply the difference between strategy, policy and procedure. • Understand and implement the principles and practice of fire risk assessment. • Gain, maintain and apply competencies in fire risk management • Understanding insurance requirements • Design and maintain suitable and

		sufficient processes to manage physical changes in the building
Leading Safety	Risk Oversight Personnel Business Objectives Prevention and Protection Roles and Responsibilities Resource Planning	• Understand the difference between strategy, policy and procedure. • Understand the internal and external issues that are relevant to the organisation. • Understand the needs of all stakeholders and other interested parties. • Know the boundaries of their jurisdiction and the scope of the fire risk management system under their control. • Understand the importance of aligning fire prevention and protection objectives with the broader objectives of the organisation. • Understand the resource requirements for maintaining governance of fire risk. • Monitor and manage budget. • Know how to define roles and responsibilities. • Have an appropriate knowledge of the identity and status of those with responsibilities and duties in relation to risk. • Understand the importance of setting smart objectives. • Be able to demonstrate how to create SMART objectives.
Delivering Safety	Engagement and Communication Procurement Project Management Key Objectives and Deliverables Information and Data Systems Stakeholder Management Emergency Response	• Have knowledge of procurement principles, formulates direction and advice, manages change and leads on objectives, knows when the limits of competence are reached and when to procure required expertise (in addition, ensuring that during any procurement exercise, within their control, building safety is not compromised for cost reduction purposes) • Have good communication skills and use them to effectively engage with internal and external stakeholders, including applying these skills when implementing an inspection regime. • Have knowledge, and applying it, of a

		safety management and maintenance functions, drafting and implementing the strategies required to achieve safety throughout the building and reporting back to the Licenced Duty Holder when safety management or maintenance functions are not adequate • Understand the issues relating to the control of work onsite in so far as it affects fire risk management or structural safety. • Understand any statutory or manufacturers requirements for testing and maintaining fire prevention and protection systems to ensure they operate correctly. • Understand the need for an effective fire risk assessment programme. • Understand the importance of appointing competent fire risk assessors and where to seek competency in this area. • Ensure the development and implementation of a resident engagement strategy including the dissemination of information, internal processes for escalation and arranging access to fire safety awareness training • To encourage and support occupants of buildings towards good housekeeping and fire safety practices • Have the knowledge and skills to communicate with all stakeholders. • Understand the need to establish and effect a response in the event of an emergency. • Management of sub-contractors including assessing their competency.
Monitoring and Control	Performance Management Shared Learning / Feedback Loop Active and Passive Monitoring Management Review Internal/External Audit Action Tracking and Planning	• Understand what needs to be monitored and measured and how to interpret results. • Establish an effective monitoring programme • Have the competence to conduct internal audits. • Understand what information needs to be

		conveyed during management reviews. • Understand how to report and act upon non-conformities or corrective actions as necessary to the organizations fire risk management system. • Understand what competency is required of external auditors

WORKING GROUP 8 – BUILDING SAFETY MANAGERS

Annex D: Model Job description for Building Safety Co-ordinator

Main purpose of the role
The post holder will undertake the Building Safety Co-ordinator duties to ensure the safety of the building, primarily for the safety of all occupants of Residential Buildings (initially this role is anticipated to refer to HRRBs and designated building types only).

Any person undertaking the role will be required to demonstrate evidence of being a registered BSC, relevant to the building category/rating.

General Duties

- To co-operate with the regulator and the 'Accountable Person' (the ultimate Owner)
- To be responsible for the day-to-day management of the building
- To act as the point of contact for residents and occupiers
- To comply with specific regulatory requirements imposed upon them. This will include operating within the registration regime proposed within the consultation
- A general duty to promote building safety and the safety of people in and about buildings

Prior to occupation the BSC will:

- Meet the occupation AP requirements of Gateway Point three including:
    - Gateway 3
        - Submitting a resident engagement strategy
        - Submitting an initial risk assessment
        - Signing a statement confirming that an appropriate handover has taken place with key AP in the design and construction of the building (not required for existing buildings). This acceptance may be in association with the 'Principal Engineer' (WG1 proposal) and/or the 'Independent Construction Assessor' (WG 9 proposal)
- Acquire, manage, review on an ongoing basis and update the relevant documentation/information (including the four key information products – digital record, FEF, Full plans and construction control plan) for the building

Key responsibilities for the BSC in occupation:
The BSC role during occupation will include:

- Day-to day management of the building, including
    - oversight of all post initial development construction, maintenance, repair or servicing work undertaken
    - Oversight of contractors on site, including planned maintenance contractors, repair contractors, mechanical and electrical contractors. Where a Principal Contractor is employed they will retain accountability for their site and operatives under their control.
    - Liaising with Principal Contractors when work being undertaken on site.
    - Intervention with contractors if not complying with safe practices on site. Particular attention in relation to fire strategy for building, fire safety management and to fire compartmentation
    - Escalation of any contract issues in relation to the building safety including liaison with relevant supervisors/managers to ensure remedial action is undertaken. Ability and confidence to accurately challenge contractors on any building or related work and for any challenge to be escalated until resolved
    - Monitoring of compliance servicing programme within buildings under their control especially in relation to fire safety assets or services such as FRAs, Dry Risers, AOVs, Smoke Detection systems, but to include other life safety systems such as Water Hygiene and equipment subject to Thorough Examination or other safety testing regimes (eg: GasSafe)
- Have a dotted reporting line into the Accountable Person, who you will assist to fulfil their duties

- Take on the role of the responsible person:
    - under the Regulatory Reform Fire Safety Order 2005
    - water hygiene management
    - asbestos management
- Be responsible for maintaining the safety case regime for the building(s) within your remit, this will include
    - Ensuring the conditions in the building safety certificate are complied with to the satisfaction of the accountable person/JCA
    - proactively identifying the risks and mitigations throughout the lifecycle of the building
    - putting in place procedures to mitigate the risks identified and communicate emergency procedures to relevant stakeholders including occupiers
    - Ensure fire risk assessments are undertaken and reviewed regularly and any recommendations are undertaken in a timely manner
    - Ensure H&S risks assessments are undertaken, reviewed and any recommendations followed up
    - Ensure regular compliance checks are undertaken on buildings under their control to check system data accurately reflects the asset
    - Ensure compliance with internal audit requirements
    - Ensure compliance with, and promotion of, the organisation's Health & Safety policy and legislation

- Establish or maintain information management systems to facilitate the on-going safe management of the building:
    - Owning and maintaining a complete Golden Thread of information

- Ensure those employed in the maintenance and management of the building have sufficient skills, knowledge and experience to meet their appropriate competence tests;
- Take reasonable steps to assure that contractors are meeting core duties and are complying with duties set out in statute
- Act as the central point of contact for all building safety matters with a range of stakeholders, including residents and occupiers
- Engage occupiers in the safe management of their building through:
    - Delivering a resident engagement strategy
    - Proactively sharing information with residents regarding the layers of protection in their building including regular updates on safety issues and or progress in both digital and non-digital formats
    - Sharing other information on request (e.g. safety case documentation)
    - Providing residents with information on their obligations in relation to building safety
    - Educating and influencing occupiers and inspect (reasonably and proportionately) occupied units to ensure they meet obligations in relation to building safety
    - Ensuring an internal escalation route for resident concerns is in place and act on concerns in a timely manner
- Establish and Operate a Mandatory Occurrence Reporting regime
- Support access arrangements to both communal and individual dwellings for buildings under their control. This will include leading on implementation of any legal action

Key Tasks:

- Ensure the building(s) is maintained in accordance with the building fire strategy and FIF
- Ensure buildings and building systems are maintained in accordance with Statutory obligations and the Health and Safety File
- Ensure that suitable and sufficient risk assessments (including fire risk assessments) are undertaken.
- Oversee maintenance activity to ensure building safety is not compromised including verifying the competency of contractors
- Monitor compliance against regulatory, inspection, maintenance and testing regimes
- Maintain and effect appropriate emergency procedures in the event of serious or imminent danger.
- Maintain building safety information relevant to the construction, design, management and use of the building (Golden thread)
- On behalf of the Appointed Person, prepare and maintain information for the building safety case

- Provide relevant building safety to contractors so that they may undertake their appointed duties without increasing the risk to people or premises (so far as is reasonably practicable)
- Take appropriate actions to control and where reasonably practicable reduce risks identified for life and building safety
- Actively engage with the Appointed Person so that they may remain aware and fulfil their legal obligations
- Inform the Appointed Person of relevant hazards and evidence of legal compliance, so that they may satisfy their legal duties
- Implement and maintain the building resident engagement strategy
- Actively engage with residents in regard to upkeep and maintenance of building safety measures in the property
- Remain up to date with current legislation, regulatory changes, approved codes of practice and relevant guidance documents
- Maintain professional qualifications and undertake sufficient, relevant lifelong learning to retain a license for the relevant building classification(s)

Key Attributes:

- An understanding of the different communities that live in HRRBs and how to communicate effectively on safety related issues, both digitally and non-digitally
- Ability to maintain and update accurate data logging, numeric and photographic records in a digital environment. Accuracy and attention to detail are important
- Capable of building a good rapport, listening and influencing
- The ability to build and maintain an effective network of stakeholder
- Flexible approach and adaptability to changing and demanding circumstances and commitment to achieving results
- A clear commitment to equal opportunities principles and practices in service provision and employment.
- Be able to attend evening or weekend meetings when required
- Demonstrate integrity, respect and sensitivity to diversity
- Demonstrate leadership in managing a wide range of and diverse stakeholders

Key Competences (refer to WG8 Competency Framework for Details):

- Ability to understand and apply relevant fire safety principles and practices in coordinating safety of high-risk buildings
- Suitable knowledge and understanding of relevant principles and technical standards for building safety and ability to co-ordinate and integrate these holistically
- Knowing and demonstrating experience in maintaining and updating building information systems
- Suitable knowledge and understanding of relevant legislation, regulations, statutory guidance, standards of performance and how these factors in co-ordinating safety in high-risk buildings
- Whenever relevant to your role, demonstrate the ability to develop, manage, distribute and maintain information about the design, construction and maintenance of high-risk buildings which is critical to ensuring that they are designed to be safe, built to be safe, operated safely and maintained to be safe throughout the project lifecycle
- Suitable knowledge of the relevant standards, testing, assessment and maintenance procedures for building materials, products, components, assemblies and systems and ability to apply these effectively in coordinating safety through the life cycle of the building
- Knowledge, understanding and ability to work within or apply in practice statutory process and procedures specific to high risk residential buildings
- Suitable knowledge and understanding of specific risks relevant to coordinating safety in High risk residential Buildings and ability to use this knowledge as part of the development and application of risk management frameworks and safe systems of work
- Clear understanding of and ability to fulfil relevant roles, responsibilities and duties in relation to high risk residential buildings
- Awareness of responsibility to challenge unacceptable behaviours or practice and how to raise, escalate or flag risks to safety

- Ability to effectively manage or engage with contractors or project teams and co-ordinate administrative, technical and procedural compliance to ensure safe outcomes
- Understanding of duties to communicate with residents and the public, and ability to communicate clearly and effectively with others verbally and in writing
- Clear understanding of techniques for and the importance of identifying limits of competency for self, individuals or organisation involved in the coordination of safety of high-risk residential buildings and suitable mitigating actions to manage risk
- Understanding specific ethical considerations in the coordinating safety of high-risk residential buildings and ability to apply these principles in practice
- Obligation and demonstrable commitment to maintaining professional competency to work on High risk residential Buildings and need to ensure continuing competence

WORKING GROUP 8 – BUILDING SAFETY MANAGERS

Annex E – Recommendations made by WG8

Number	Subject Matter	Recommendation
Buildings		
1		That each individual building with any residential accommodation should be provided with a licence defining the 'classification' or 'rating' of building, which may also have conditions attached to operate the building. The Classification could be defined based on a (possibly extensive) list of building types and their occupation, and thereby their 'complexity' in fire engineering terms. The 'risk factor', which may create a unique hazard profile, including the risk derived from occupation, could also be a determining factor, as could any elements of mixed use. How government finalises such classification and/or rating, however, falls out of the scope of WG8's remit. The 'Building Classification' would be finally determined from the list, by the JCA, at Gateway 3 or during Safety Case Reviews, and by their nature would pre-determine the competence required of those responsible for it. Secondary legislation should determine this classification promptly, and this classification could be used as a method for determining the phasing in of the new Legislation to non-HRRBs and designated buildings.
Tenure Reform / Access		
2		That consideration be given to strengthen the capability/right of the BSC (and other appropriate personnel) for reasonable and proportionate access into individual residential units. Therefore Primary legislation should include "Reasonable and proportionate power of access" for the BSC and other appropriate personnel), as one of the important concepts to achieve life safety in buildings as often life safety hazards exists within an individual's residential unit, without means for the BSC to check compliance.
3		Notwithstanding the risk that occupiers may not understand their legal obligations, we recommend that a small number of 'standard' clauses are inserted into all residential occupier contracts, clarifying their responsibilities and obligations to their landlords, the BSC and other occupiers of the building. Similar clauses should be put into primary legislation to ensure that existing tenure arrangements are appropriately included.
Management Structure		
	Owner/Landlord O/LL, now Accountable Person	
4		A named natural person should be identified as 'Accountable Person' to be held responsible and accountable for building safety and resident engagement. An application for an 'Accountable Person' licence should be made to the JCA, the JCA would then grant the licence having

		deliberated that the applicant is 'fit and proper' to hold the licence. This requirement would ensure that, at an appropriate time, the petitioner would need to fully comprehend their obligations as Accountable Person. The 'Accountable Person' (AP) licence should be held by the legal entity, with an appointed person named 'for and on behalf of' the legal entity, alternatively, where the 'entity' is an individual the individual person can hold the licence in their own name. Referred to as an 'Accountable Person Licence' within this document. Along with the other key stakeholders in this document, this Accountable Person role should be mandated in primary legislation.
5		That an 'Accountable Person' (see glossary) will be an individual or an organisation with a named individual acting 'for and on behalf of' the organisation. The Accountable Person must have residence in the UK.
	Residential Accommodation Operator	
6		That any Organisation (that is 'operating' residential accommodation), should be licenced to operate residential accommodation, [appropriate to the building type(s)/Occupant(s)] and in line with the Hackitt report. To ensure transparency for occupiers, and to provide an identifiable contact person, a senior manager within the organisation should be named as the 'RAO for and on behalf of' the [Licenced] organisation. Referred to as the 'Residential Accommodation Operator's Licence' (RAO) in this document. If such licencing is not part of the Hackitt structure, then it should be included in other ongoing work, such as the Lord Best work on Regulating Managing Agents.
7		In regard to the term 'senior manager' WG8 would see this aligned in a similar vein as existing H&S and other statutory duties imposed on organisations. That the 'natural person', (the individual signing 'for and on behalf of' the organisation), would be the Managing Director/Chief Operating Officer or other senior manager, at partner level and above, who could be held accountable due to their responsibilities within the organisation. This would include the assurance of adequate resources, including competences, being made available to deliver their organisations 'undertakings' in a safe and proper manner. For the sake of clarity, while the RAO and its senior manager would take on the many liabilities accompanying the BSC function, to ensure the competency, they would employ relevant (to the required building class) appropriate BSCs. Without those relevant, natural people, BSCs in place, they would not be able to deliver the BSC function as a RAO. Both these roles (RAO and individual BSC), for delivery of the BSC function, should be included in primary legislation.
8		It should be made a statutory obligation on the (RAO) organisation to ensure appropriate resources (in time, personnel and financial terms) are always made available to ensure that their obligations under the licence can be executed suitably and sufficiently.
	Building Safety Co-ordinator	
9		An individual should be created the 'Building Safety Co-Ordinator' (BSC) and these individuals will need to hold a 'permissioning licence', similar to a driving licence, which sets out 'classifications' of building types/occupancy within which the individual is deemed competent to

		undertake their overall life safety co-ordination role. Referred to as the 'Building Safety Co-ordinator'. This function, along with the other key roles, their licensing systems and what they entail, should be written into primary legislation.
10		That the Competency Framework for the Building safety co-ordinator, the principles of which are set out in Section 5 of this document, is adopted in full.
	Occupiers	
11		Occupiers should be better informed about building safety and their role in supporting it. This could be achieved by the issue, and regular reissue, of Public Service Broadcast 'basic fire and safety in residential buildings' films/videos /brochures etc. These should include foreign languages/braille etc. This material should be made freely available to the 'building industry' for further distribution through tenant 'handbooks'/occupier information packs and the FEF (by way of links to YouTube etc.). Given the importance of raising awareness on life safety, the public awareness raising campaign should be included in legislation. Any such campaign information materials should be placed into other public service environments including secondary schools, libraries, Scouting and WI. Only the uniformity and authority of such Public Service Broadcasting would lead to long term and lasting change in occupiers' behaviours in respect of fire and general building safety. The information would need to be universally understood (including by young adults, occupants who do not have English as a mother tongue, occupants who are visually impaired, etc) and would follow along the lines of past initiatives such as HIV, smoking, clunk/click, Change4Life and 5Alive.
Register of Licences		
12		WG8 recommends that the **JCA** would maintain a national register of Accountable Persons, RAOs and building classifications. The **Building Safety Competence Committee** will: • be responsible for the setting, maintaining, assessing and delivering competency standards for and on behalf of JCA. • manage the register of Competent people, such as the BSC, and • issue the licences of competent people for and on behalf of the JCA. • function in a similar fashion as the existing OSHCR Register. • apply appropriate governance, for example, Licences can be withdrawn on failure to maintain CPD, or due to misdemeanour Competencies can be delivered and evidenced by the relevant professional bodies (e.g.: IRPM/IWFM/RICS/IOSH/CIH etc) and monitored by the Building Safety Competence Committee.
Golden Thread		
	Safety Case	
13		The availability of the right, correct and up to date building information

		will be critical to enable the BSC to execute their function. This information should be maintained within a Safety Case File, with a structure mandated in law, and with greater prescription than can be seen in the current Health and Safety file. This mandated structure could then be verified at each Gateway point and form the basis of the Safety Case Review by the Joint Competent Authority (JCA). The BSC would manage this Safety Case in occupation, which would include the separate Fire and Emergency File (FEF), as built plans, Health and Safety file, residency engagement strategy…, each which in turn have their own regulatory mandated structure. This information is currently often unavailable or absent. While the Safety Case requirement could be rolled out to different building classifications over time (beyond HRRB), WG8 strongly recommend the FEF must be mandated to all residential buildings (except single unit owner-occupied detached/semi-detached properties) promptly.
	Fire & Emergency File	
14		That every building with residential accommodation, except detached and semi-detached domestic dwellings will require a Fire and Emergency File, appropriate and proportionate to the building and its occupants. This recommendation should be promptly implemented irrespective of any Safety Case roll out. Existing buildings must be in scope within a short amount of time, proportionate to the risk determined by the building classifications.
15		The Fire & Emergency File will form part of the overall information necessary for a BSC to operate effectively. A formal structure should be imposed by Law. This structure should be significantly more prescriptive than the H&S File. While the structure of the FEF (i.e.: index) should be prescriptive, the type, style and detail of information required from competent engineers (of all disciplines) must be outcomes based. Section 1- Building Information, Ownership, Occupiers Section 2 – Overview of Building Fire Safety Management Arrangements Section 3 – Fire Risk Management Policy Section 4 – Occupied Building Fire Strategy Section 5 – Fire Risk Management and Fire Fighting Operational Arrangements Section 6 – Fire Safety Manual Section 7 – Fire Risk Assessment records Section 8 – Fire Safety Log Book Section 9 – Tenant Engagement Strategy
16		A single national repository should be set up and all the documentation already required is, simply, now placed in that single repository. That only appropriately competent personnel (as defined by the Buildings' Classification) will be able to sign-off and upload content to the FEF database, (thus relieving the 'owner' of the database of the need to quality control the content). The Database will require identification of all that uploading information and record this information by way of an audit trail.

17		It is preferable that records are all maintained in electronic format. Whether electronic or hardcopy all Fire and Emergency Files are to be indexed according to a legally required specification. It is anticipated that HMG will deliver a national database, similar to the EPC, to hold all Fire and Emergency Files (and Safety Cases).
		
		The FEF should be a government sponsored electronic national database for FEFs (similar to the existing EPC system). This would facilitate:
		• Clear, and common, taxonomy for expert engineers developing documents.
		• Easy access to detailed information for:
		  ○ Accountable Persons
		  ○ BSC
		  ○ Tenants/Occupiers (as necessary)
		  ○ RAO
		  ○ Fire and Emergency Services
		  ○ Conveyancing Lawyers (to consult while undertaking due diligence for acquisitions)
		  ○ Designers and architects when undertaking refurbishments
		  ○ Consultants and others who need ready access
		• Commonality as to where to find specific information, (i.e.: to find specific information on any building the user (BSC) should be able to know exactly where to find it in any FEF.)

18		That the Fire and Emergency File must be consulted and considered at the design stage of any refurbishment, or other 'small works', to ensure that the proposed works do not compromise existing Fire and Emergency arrangements.
Outstanding matters		
19		That a specific working group be set the task to determine the list of building 'classifications/ratings', taking into account the building's unique hazard profile.
20		That further consideration needs to be given to the definition of 'Whole Building' and, within this context, to the BSC role in the event of a partially occupied building, or potentially multiple 'Whole Buildings' in one development.
21		That further consideration needs to be given to the role of the BSC in relation to any requirement to 'sign-off' on works, and the relationship to 3rd party suppliers of both services and products (including WG1's Lead Designer and WG9's Independent Construction Assessor).
22		Work by the MHCLG leasehold reform teams, the 13th Law Commission, Lord Best's inquiry and the Hackitt response team is ongoing independent from each other while there is significant overlap. These workstreams should be brought together to ensure consistent outcomes.
23		Terminology used across the wider built environment is not consistent. Often the same term means different things. To ensure consistency terminology used within the fire safety sector must be prescribed in

		Primary Legislation, including: • Fire Policy, • Fire Strategy, • Fire Safety Manual, • Fire Log Book WG8, after wider industry consultation, put its recommendation to the IRG for the establishment of an industry wide working group to agree on the terminology and then consequently include them in legislation.

Working Group 09 – Site Supervisors

Annex B - Competency Frameworks

Working Group 09 – Site Supervisors

Annex C

Description of New Role Independent Construction Assessor (ICA) a new role.

1. INTRODUCTION AND SUMMARY

Objective of this document. The objective of this document is to introduce and describe the role of the **Independent Construction Assessor,** such that WG9 can then define its competencies.

Additional role. WG9 has concluded that whilst "site supervisors" include the principal contractor's representative, they must also include a separate new independent party scrutinising the construction – the **Independent Construction Assessor** (working title). The introduction of this new role will not negate the responsibility of the principal contractor's representative to ensure and sign off that the completed works are undertaken to the required standards. The **Independent Construction Assessor**'s role will be to support the client in ensuring continuity of oversight through the life of the project

1.1. **Duty**. In a nutshell, the ICA's duty is one of **assurance** - to verify that building work has been constructed in accordance with the design. The ICA will use digital evidence and evidence from actors who are already present on most projects. How this will be achieved in practical terms together with a more detailed description of the ICA role are set out in section 2. How the ICA role could be embodied in regulation is given in section 3. There are other possible ways in which the ICA role could be embodied in regulation. These can be considered once the trajectory of changes in regulation are understood.

1.2. **Responsibilities**. Primary responsibility for ensuring that all building work has been constructed in accordance with the design will continue to **rest entirely with the principal contractor**. The ICA's role will be one of providing **assurance**. A view that the writers of this document have heard expressed, that the involvement of the ICA will reduce the liability of contractors, is incorrect. An appropriate apportionment of liability can be achieved by the use of standard appointment documents, standard sign-off statements, net contribution clauses, etc.

1.3. **Costs**. In well-managed projects with proper oversight already included, there will be little additional cost, with the direct costs of the ICA being borne by the client. However, today's norm is to make capital cost-savings by removing or reducing all together during construction, oversight that is independent from the contractor, creating safety risks and the additional costs of repairs that are needed to rectify latent defective work. In such projects, whilst the initial cost of the ICA will increase the project budget, this will be balanced by improvements in safety and a lower incidence of latent defects and their associated repair costs. In such projects, to cut costs in the longer term it will be necessary to spend money up front.

1.4. **Benefits**. The introduction of the ICA has the potential not only to improve safety and quality of buildings, but also to

(a) Improve the competence of the UK construction workforce "from the bottom up".
(b) Reduce waste of materials and manpower, yielding cost savings across the industry.
(c) Improve collaboration between designers, contractors and subcontractors.
(d) Reduce problems that often occur as the result of changes during the construction process.
(e) Improve the quality of as-built information.
(f) Promote the development of standards and methods that will deliver the use of less material, lower costs and lower levels of embodied carbon in new buildings
(g) Improve cash flow for builders, avoiding current disincentives that negative cash flow brings.

Details of how this is achieved are given in section 4.

1.5. **Challenges**. The main challenges that the introduction of the ICA will face are:

(a) **Liability.** The contractual standing of the ICA must be positioned so that it does not remove primary responsibility from the contractor for constructing the building to meet the requirements of the design. This will be achieved by development of standards, model appointments and sign-off statements.

(b) **Legislation**. The ICA will not be effective unless it is supported by regulated sanctions. Refer to section 3.

(c) **Resource**. The role falls broadly within the skill set of a principal designer, building surveyor, construction manager, building control professional or approved inspector professional, so the key actors are already in place in the industry, although some additional development will be required.

(d) **Cost**. Clients and developers who do not currently include proper independent oversight of their construction work may initially view the ICA as an unnecessary additional cost. However, the benefits outweigh the costs and have the potential to reduce costs to the industry significantly.

(e) **Delay**. Some clients will be concerned that delays could occur if the ICA effectively has the power to prevent passage through a Hackitt gateway. However, this risk can be managed by achievement of reasonable construction quality.

(f) **Insurance**. Early discussion with a leading insurer suggests that insurable sign-off statements can be drafted.

1.6. **International experience**. In the USA and Sweden, systems bearing similarities to this proposal have been introduced with some success. Refer to Annexe D

2. KEY ATTRIBUTES AND THE WORK OF THE ICA

2.1. **Overview of the ICA.** The **ICA** is envisaged as an experienced, probably chartered or incorporated professional, who has an additional (new) qualification that will provide a general appreciation of all aspects of construction and how it can go wrong. They would not necessarily be resident on site during the construction phase, but would make visits. They would need to be good communicators, well organised and reasonably competent with modern technology.

2.2. **Assembly of evidence**. The **ICA** may consult a range of specialists, many of whom are already involved in properly resourced building projects - for example, clerks of works, building inspectors, independent validators, test houses, approved inspectors and designers. They will also use a range of digital aids that will provide them with the further evidence that the construction meets the design. The **ICA** will obtain from these sources sufficient information such that at the end of the site work they are able to satisfy themselves and the duty holder that the building work complies with the design and the building regulations then in force. This will help to preserve the golden thread, as described in Dame Hackitt's *Building a Safer Future*.

2.3. **Engagement without a conflict of interest**. The **ICA** must be engaged so far as is reasonably practicable, such that they have no conflict of interest. For example, they should not be employed by the contractor. However, current thinking is that they will not be employed by the regulator. In most cases, they are therefore most likely to be engaged direct by the client (as is currently the case with the principal designer).

2.4. **Early Engagement**. The **ICA** will be appointed early in the design of a project so that they can:

(a) **Collaborate** with the other parties involved in the project to help avoid construction errors;

(b) **Receive information** about the project to assess the inherent construction risks;

(c) **Feed back to the client team** full details of the inspections, tests, digital evidence and site supervisory activities that they will require in order to assemble the evidence necessary for them to discharge their duty. This needs to be understood at an early stage as it may affect the project budget.

2.5. **Act in any type of project**. The **ICA** could act in any type of building work – new-build, refurbishment, repair, partial change/upgrade or maintenance.

3. EMBODYING THE ICA ROLE IN NEW REGULATIONS

3.1. MHCLG (Ministry of Housing Communities and Local Government) is planning to consult in Spring 2019 on its proposals for implementing Hackitt. The department is likely to consult on amendments to the CDM regulations for the design and construction phases of a building's life cycle and a Building Safety Registration System for buildings in occupation. A new general duty, of promoting building safety and the safety of persons in and about buildings, is likely to apply through design, construction and occupation.

3.2. The general duty is an evidential test, applying to all those involved in the building before, during and after construction. Demonstrable support for the general duty is likely to draw incentives. Where the regulator can demonstrate the general duty has been undermined they will be able to intervene. Interventions will be designed with the objective of securing compliance and ensuring the general duty is promoted, for example through remediation of a building safety risk.

3.3. Duty holders will look to compile evidence of due diligence to demonstrate to the regulator that they are proactively promoting the general duty. Duty holders and the regulator may consider that an **ICA** will be one way to: (a) mitigate the risk of the construction of the project falling short of its design; and (b) demonstrate to the regulator that construction has been overseen by a demonstrably competent, independent professional; and (c) receive assurance that the construction meets building regulations and the requirements of the design.

3.4. In occupation, the duty holder may wish to develop their evidence of due diligence to demonstrate to the regulator that they are promoting the general duty, by getting an **ICA** to sign a statement confirming that maintenance work undertaken meets professional standards and the requirements set out in the documentation wherein it was instructed and specified.

3.5. WG9 understands that MHCLG is working on the 'Gateway 3' post-construction sign-off requirements. WG9 recommends that without sign-off by the duty holder, based on assurances provided by the ICA, the regulator may not be persuaded that the General Duty of the client has been satisfied and therefore will not permit a project to pass Building a Safer Future gateway point 3. This could provide a powerful potential sanction that will help the ICA to see that the building is constructed correctly.

3.6. It is likely that MHCLG will propose in its consultation that the duty holder requirement applies to all types of building.

4. BENEFITS OF THE INTRODUCTION OF THE ICA

4.1. **Improvement in safety and quality**.

(a) Annexe A sets out some of the evidence showing how construction errors (and the resulting poor quality of construction) are having a highly detrimental effect on the safety of buildings in the UK.

(b) In particular, evidence obtained by CROSS (Confidential Reporting on Structural Safety) shows that effective independent review on site, which would have prevented shortfalls in competency, site supervision, communication, and unapproved changes, would have avoided **78%-96%** of the construction issues reported to them.

The introduction of the ICA role supported either directly or indirectly by regulation, would bring with it effective independent review on site thereby improving safety and quality.

4.2. **Improvement in the competence of the UK construction workforce**.

(a) In the 1970s, designers and often clerks of works would be commissioned to review construction as it progressed. In an effort to reduce costs, this independent on-site reviewing role is now a rarity. This lack of oversight has led to construction frequently falling short of the design, resulting in potentially dangerous buildings and unnecessary remedial costs (see Annexe A).

(b) Because they now visit site infrequently, designers who seldom see their designs being implemented, have a reduced awareness of site constraints. The competence of designers therefore suffers as a result. If they were required to visit site to provide evidence of proper

construction of aspects of the project to the ICA, then they would gain a more practical perspective which is vital for good design.

(c) Without on-site input from designers and clerks of works, the construction workforce can repeatedly make the same errors from project to project until they do not recognise them as errors. Programme and profit become the principal drivers. With the introduction of the ICA, if something is built incorrectly, then it will have to rebuilt (at no cost to the client) when it is discovered by the ICA. This will sharply incentivise the workforce to improve their competence in order to build things correctly in the first place.

The involvement of an ICA would effect change in the culture on construction sites and in design offices. Tradespeople and designers would be incentivised to eliminate shortfalls in their work in order to gain acceptability from the ICA, helping to turn around the "race to the bottom" described in *Building a Safer Future*.

4.3. **Reduction in waste of materials and manpower**.

Research (www.meicon.net) shows that a large proportion of the cost of construction is wasted due to error. The presence of the ICA would reduce errors in the design and construction phase of projects, bringing with it savings to the industry.

4.4. **Improvement in the culture within the industry**, with greater collaboration between designers, contractors and subcontractors.

(a) It will be important to satisfy the ICA (otherwise the building cannot be occupied). As a result, all parties will want to avoid associated problems.

(b) There will be benefits to both the professional and construction teams in working together to identify practical issues in the design, or potential difficulties in the construction before work starts on site to promote a trouble-free project.

(c) To prevent contractors from being unaware of unexpected issues which, if not planned for, could result in design compromises, it will be in the designers' interests at an early stage to identify to contractors where critical or unusual aspects of the design will occur on site.

(d) To avoid risk on site, it will be in the contractor's interest to advise designers of practical difficulties that they foresee as they review the design.

It will be advantageous to all parties to collaborate and avoid working in silos, thereby facilitating the change in culture required by *Building a Safer Future*.

4.5. **Reduction in problems that frequently occur as a result of changes during and after the construction process**.

(a) Currently, changes in all types of construction work including new-build and refurbishment, are seldom subject to rigorous scrutiny and can affect safety-critical parts of a building.

(b) Under the proposed scheme, if a change is required, the ICA will be unable to sign off the work until the designer(s) formally sanction and describe the change in the design, because the ICA has ultimately to confirm that the construction complies with the design.

(c) A revision to the design will have to be prepared, approved by all relevant designers and then provided to the ICA, who will set out the site inspection and testing requirements for the change.

The introduction of the ICA will incentivise the team to avoid changes. When changes do occur the rigour of the process will reduce the risk of a change detrimentally affecting the safety of the building. This in turn will incentivise greater consideration at the pre-construction stage, to avoid late changes.

4.6. **Improvement in the quality of as-built information**.

(a) Much record information encountered today is not a true reflection of what has been constructed. This is because there is no specific process laid down to manage change and there are no sanctions to incentivise proper recording of change.

(b) The ICA will require formal preparation and approval from the design team of any change required from the approved design. Then the ICA will require evidence that the change has been constructed on site in accordance with the new revised and approved design.

(c) Therefore effectively prior to implementation of a change, the design will have been updated to reflect the change.

Accordingly, the introduction of the ICA will give much greater integrity to the record drawings of any work.

4.7. **Reduction in material usage, associated cost and levels of embodied carbon** in new buildings by promoting the development of new design standards.

(a) Research (www.meicon.net) shows that 50% of the materials used in building structures could be saved if structures could be designed to reflect true loads and actual performance of materials. This unnecessary use of materials, which is principally the product of codified loading and factors of safety, is calculated to cost the UK economy around £3.5Bn/year.

(b) A pre-requisite for any reduction in codified loading and factors of safety would be confidence that buildings were constructed in strict accordance with the design. Currently this confidence is at such a low level that any reduction in design standard requirements would significantly increase concerns over the safety of structures.

The involvement of an ICA would reduce the risk of the construction deviating from the design. This would create an opportunity to refine design standards to enable the design of structures that used less material. As materials continue to grow in cost, this in turn would reduce costs and would reduce embodied carbon in new buildings.

4.8. **Improvement in cash flow for contractors and sub-contractors**.

(a) During a typical construction project, the construction team are subject to deep negative cash flow (i.e. they are effectively lending money to the project) until the project is a few weeks away from completion of construction.

(b) This affects the culture on site and disincentivises the construction team.

With an ICA is involved, there will be greater certainty that aspects of the construction have been completed properly, so there is less need to retain collateral (retentions) during the construction phase. Payment stages can be identified more quickly and cash flow can be improved.

5. International experience. Refer to Annexe D

5.1. In the USA, a system bearing similarities to this proposal has been introduced with a reduction in catastrophic structural failures in excess of 80%.

5.2. In Sweden a system of independent site appraisal is used.

6. CONCLUSION

6.1. Introducing the role of Independent Construction Assessor will help both contractors and designers to work together to reduce errors and improve quality.

6.2. IRG WG9 is now developing competencies for the new role of Independent Construction Assessor, assuming the role is as described above.

Working Group 09 – Site Supervisors

Annex D

INTERNATIONAL EXPERIENCE – INDEPENDENT OVERSIGHT OF CONSTRUCTION

PRACTICE IN THE USA

Following is a paper by Glenn Bell, providing an overview of the system that is used in the USA.

About Glenn Bell

Glenn Bell has 45 years' experience in the design and investigation of buildings and other structures. He was CEO of SGH (a large firm of consulting engineers) from 1995 through 2016. Forensic engineering and learning from failures have long been his passion and he was co-principal investigator of SGH's investigation of the Hyatt Regency Walkways failure in 1981. He worked on SGH's analysis for the US government of the collapse of the Twin Towers in 9/11 and helped to found the American Society of Civil Engineers Technical Council on Forensic Engineering in the mid 1980s. Its mission is to reduce the incidence of structural failures by learning from them. Glenn has written extensively on Forensic Engineering, including two book chapter and is currently leading the creation of a CROSS entity in the US (due to go live middle of this year). Glenn is a Board Trustee of IStructE and is President-Elect of the US Structural Engineering Institute.

DESIGN PROFESSIONAL SITE PRESENCE IN TYPICAL US PRACTICE

Glenn R. Bell P.E. (MA, MD, 8 others), S.E. (IL), C.Eng. (UK)
21 March 2019 / expanded 10 April 2019

In typical US building construction practice, the controlling governmental authority is known as the Authority Having Jurisdiction (AHJ, aka, Building Official), who is employed by the city or town in which the construction occurs. The AHJ has overall authority, amongst other things, for assuring that the construction meets the applicable Building Code.

Building Codes are typically promulgated at the State level. However, some of the larger US cities (e.g., New York and Los Angeles) have their own codes separate from the state in which they are located. While there has been great diversity in contents of codes and standards over the years, in the past decade particularly these requirements have been brought closer together, and the so-called International Building Code1 (IBC) forms the basis for most code applications in the US. States, cities, and towns either adopt the IBC wholesale or adopt it with their own particular variations, changes, and exceptions. The IBC contains relevant requirements for the design professional's presence (structural and otherwise) during construction. So, for the purpose of this document I will describe what the IBC requires. What states and cities adopt and enforce are for the most part modest variations on this. The IBC is on line. You can find the 2015 version of it here: https://codes.iccsafe.org/content/IBC2015/toc. With respect for on-site activities the relevant sections are mostly in Chapter 17 – Special Tests and Inspections.

Chapter 17 requires that the owner or an agent of the owner who is other than the contractor engage an "approved agency" to conduct special inspections. The approved agency may be the "Registered Design Professional in Responsible Charge" or it may be a different person or agency for some or all of the work. Inspections are required for all but minor construction. The degree of inspection depends on the nature of the construction and the perceived hazard. For example, high seismic and wind regions have special requirements.

[1] I have always found it a bit cheeky if not downright arrogant that we would have the hubris to call our national code the "International" Building Code. On behalf of my country I apologize to the rest of the world.

1704.2.3 requires an inspection plan be submitted to the AHJ prior to the start of work.

1704.2.4 sets forth the requirements for reporting inspections.

1704.2.5 requires that certain off-site fabrications be inspected in addition to what is inspected in the field.

Section 1705 lays out what must be inspected and how. It includes, generally, requirements for steel, concrete, masonry, wood, foundations, and soils. Depending on the situation, the inspections may have to be continuous (i.e., full time) or they may be periodic.

Of particular interest to the Edinburgh school issue, 1705.12.5 requires that architectural components be inspected, including exterior cladding and its fixings.

Of particular interest to Grenfell, 1705.14 and 1705.17 have requirements for fire resistive materials, fire stops and fire joints.

Regardless of the special requirements outlined in Chapter 17, most states require the structural engineer of record to visit the site periodically to ascertain that the construction generally conforms to the project document requirements. Attachment A shows an example of a final inspection affidavit used in Massachusetts.

An example of a comprehensive set of instruction forms for the City of San Francisco is here: https://sfdbi.org/sites/default/files/Documents/Boards_and_Commissions/Structural_Subcommittee/formSI101_2009.pdf

The impetus for the engineer on-site presence requirements we have today was a series of major structural collapses that occurred in the decade between 1978 and 1987, the "last straw" of which was the Hyatt Regency Walkways failure, which killed 114 people.

Hartford Civic Center, 1978: https://buildingfailures.wordpress.com/1978/01/18/hartford-civic-center-roof-collapse/

Willow Island Cooling Tower Failure, 1978: https://en.wikipedia.org/wiki/Willow_Island_disaster

Kemper Arena, 1979: https://eng-resources.uncc.edu/failurecasestudies/building-failure-cases/kemper-arena/

Coco Beach Condominium Collapse, 1981: https://eng-resources.uncc.edu/failurecasestudies/building-failure-cases/harbor-cay-condominium-cocoa-beach-florida/

Hyatt Regency Kansas City Walkways Failure, 1981: https://en.wikipedia.org/wiki/Hyatt_Regency_walkway_collapse

L'Ambiance Plaza Condominium, 1987: https://en.wikipedia.org/wiki/L%27Ambiance_Plaza_collapse

It took some years to put the requirements into place, and they have evolved and improved with time, but these failures were the genesis of the requirements.

While we have no direct scientific causal evidence of the impact of these requirements, it is a fact that since they were introduced we have not experienced major building failures with anywhere near the rate of this decade. The rate of catastrophic building structural failures in the US today is easily below 20% of the rate in that terrible decade.

Final Construction Control Document

To be submitted at completion of construction by a

Registered Design Professional

for work per the ninth edition of the

Massachusetts State Building Code, 780 CMR, Section 107

Project Title: **Date:** **Permit No.**

Property Address:

Project: Check (x) one or both as applicable: **New construction** **Existing Construction**

Project description:

I MA Registration Number: Expiration date: , am a *registered design professional*, and I have prepared or directly supervised the preparation of all design plans, computations and specifications concerning:

Architectural	**Structural**	**Mechanical**
Fire Protection	**Electrical**	**Other: Describe**

for the above named project. I, or my designee, have performed the necessary professional services and was present at the construction site on a regular and periodic basis. To the best of my knowledge, information, and belief the work proceeded in accordance with the requirements of 780 CMR and the design documents approved as part of the building permit and that I or my designee:

1. **Have reviewed**, for conformance to this code and the design concept, shop drawings, samples and other submittals by the contractor in accordance with the requirements of the construction documents.
2. **Have performed** the duties for registered design professionals in 780 CMR Chapter 17, as applicable.
3. **Have been present** at intervals appropriate to the stage of construction to become generally familiar with the progress and quality of the work and to determine if the work was performed in a manner consistent with the construction documents and this code.

Nothing in this document relieves the contractor of its responsibility regarding the provisions of 780 CMR 107.

Enter in the space to the right a "wet" or
electronic signature and seal:

Phone number: **Email:**

Building Official Use Only

Building Official Name: **Permit No.:** **Date:**

Version 01_01_2018

Working Group 09 – Site Supervisors

Annex E - UK evidence supporting independent construction assessment

THE NEED FOR THE INDEPENDENT CONSTRUCTION ASSESSOR

In the 1970s, designers and often clerks of works would be commissioned to check construction as it progressed. In an effort to reduce costs, this independent on-site checking role is now a rarity.

The lack of independent checking on site has led to construction frequently falling short of the design, resulting in potentially dangerous buildings and unnecessary remedial costs. Designers who seldom see their designs being implemented now have a reduced awareness of site constraints. Without on-site input from designers and clerks of works, the construction workforce can repeatedly make the same errors from project to project until they do not recognise them as errors.

There is widespread evidence to support the introduction of independent checking on site:

- *Report of the Independent Inquiry into the Construction of Edinburgh Schools*, Feb 2017, 9.2.1 "*the primary cause of the collapse of the wall at Oxgangs School was a direct result of poor quality construction….*" The issue led to the collapse of 9 tons of brickwork onto a school pathway and the subsequent inspection of 17 schools constructed around the same time. The costs of the buildings being unavailable exceeded £5M. Consequently, 19 other public buildings in Edinburgh were identified as having defects similar to Oxgangs School.
- CROSS (Confidential Reporting on Structural Safety) is recognised in *Building a Safer Future* (1.36, 6.20 and recommendation 1.4) and receives reports from engineers when they note an issue that could affect structural safety. CROSS has prepared a chart (below) showing that with effective independent checking on site, which would have prevented shortfalls in competency, site supervision, communication, and unapproved changes, then 78%-96% of the construction issues reported to them would have been avoided.
- There have been some high profile examples of residential blocks facing demolition/major repair work only a short time after completion due to construction defects, for example Solomon's Passage in Southwark, built in 2010 (ref: Briefing paper number 07665, 17 December 2018 *New-build housing: construction defects - issues and solutions (England)*).
- The All Party Parliamentary Group (APPG) for Excellence in the Built Environment carried out an open inquiry into the quality and workmanship of new housing for sale in England and published *More Homes, Fewer Complaints* in July 2016. In the summary it states "*There is a perceived flaw in the system of checking quality and workmanship…..Some of those giving evidence pointed to the need for more on-site inspections by independent organisations, in order to drive up quality….*"
- The role of building control officers in ensuring compliance with the Building Regulations has been the subject of two Westminster Hall debates, one in 2015 and another in 2016 (ref: Briefing paper number 07665, 17 December 2018 *New-build housing: construction defects - issues and solutions (England)*).

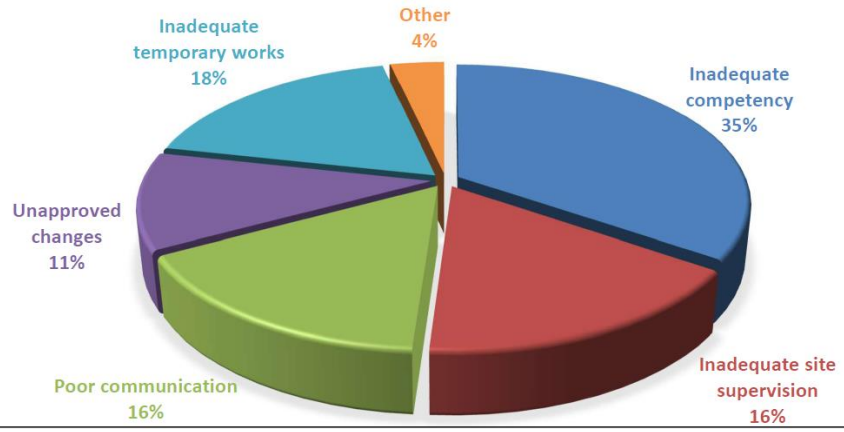
Most practitioners increasingly relate many other similar examples.

The involvement of an Independent Construction Assessor would effect change in the culture on construction sites and in design offices. Tradespeople and designers would need to eliminate shortfalls in their work in order to gain acceptability from the independent Construction Assessor, helping to turn around the "race to the bottom" described in *Building a Safer Future*.

Doc. Ref: CR/18/6.5
Date: 01/02/19

ROOT CAUSE DURING CONSTRUCTION STAGE

Structural-Safety
Incorporating CROSS and SCOSS



Competences for Project Managers involved in High Risk Residential Buildings (HRRBs)

Consideration of the competency of PMs to undertake their functions on HRRB projects needs to address the specific points raised in the Hackitt report (section 5.13):

> *"All those engaged at every stage of the life cycle of HRRBs carrying out work that impacts on fire safety, or other building safety risks, should have the proven competence to do so".*

The original coverage in the interim report of *'six key professions'* (section 5.14) was widened, upon discovery, to include further professions, including project management (section 5.15).

Hackitt went on to state that, "the *'assessment'* and *'verification'* of competencies is not considered in a 'consistent way'" (section 5.16) and Hackitt further tasked *'professional and accreditation bodies to work together to propose a robust, comprehensive and coherent system covering all disciplines for work on HRRBs'* (section 5.17).

She continues to note that:

- any competence framework should be 'coherent and consistent' and provide 'assurance to the duty holder' (section 5.18),
- that CPD should be considered (section 5.19),
- those who provide vocational training should take account of these matters (section 5.20),
- reassessment and reaccreditation should take place (section 5.21),
- those who undertake such matters should themselves to be subject to accreditation (section 5.22) and
- that a suitable 'passport' demonstrating these matters should be introduced (section 5.23)

This document provides information on the "basic competences" required for Project Managers that are involved in High Risk Residential Building (HRRB) works.

These competences have been arrived at through a review of existing competency baselines for Project Managers which are operationalised by professional bodies in the UK and beyond, and through discussions by members of the Working Group 10. In the main, the Project Management competences of the following professional bodies/organisations were consulted and discussed:

- Association for Project Management (APM)
- The Chartered Institute of Building (CIOB)
- The Royal Institution of Chartered Surveyors (RICS)
- The Institute of Civil Engineers (ICE)
- The International Competence Baseline (ICB – Version 4)
- National Occupational Standards (NOS) on Project Management
- Edexcel Level 5: NVQ in Construction Project Management (Version 2013).

What is Competence?

Definitions of what **competence** means abound in the literature, including the classical definition offered by Boyatzis, R (1982) in his seminal book "The Competent Manager", in which he defines competence as the underlying characteristic of the person that leads or causes superior performance.

For conformance and consistency with the twelve (12) Working Groups, the Industry Response Group's (IRG Steering Group) definition of competence has been adopted (as below):

"Competence is the ability to make informed decisions and carry out work to a standard. Competencies are the attributes of an individual".

In addition, and irrespective of the specific competencies, all those involved with the commissioning, design, delivery, management and maintenance of HRRBs have agreed (as part of the IRG) a set of overarching ethical principles as follows:

- Honesty and Integrity
- Respect for life, law, the environment and public good
- Accuracy and rigour
- Responsibility for direction, conduct and communication

Table 1: set of basic competencies for project managers involved in HRRBs

The following competency tables are divided into 23 separate sections which capture the key areas of competency that a PM needs to exhibit. (These are not necessarily all of the competencies present, but the WG considered that these are the most important ones). Each section is divided into two headings – relating to the key requirements to be able to demonstrate competency.

No	List of Competencies	Application (A)	Knowledge (K)
1	Leadership		
2	Procurement		
3	Health & safety		
4	Ethics, compliance and professionalism		
5	Contract management		
6	Communication		
7	Negotiation		
8	Team and people management		
9	Conflict management		
10	Schedule management		
11	Resources management		
12	Budgeting and cost control		
13	Risk, opportunity and issue management		
14	Financial Management		
15	Stakeholder management		
16	Governance arrangements		
17	Reviews		
18	Change control and management		
19	Quality Management		
20	Legal and regulatory compliance		
21	Digital Construction		
22	Independent assurance		
23	Construction Technology and Environmental Services		

Table 2: How might we rate the scale of competence of the Project Manager?

Based upon the APM competency model

No.	Level	Application	Knowledge
1	Aware	As only awareness is required at this level, no application is expected	Has an awareness of the knowledge needed for the competences
2	Practised	Applies the competence under supervision, primarily in situations of limited complexity	Has a working knowledge of competence in situations of limited complexity
3	Competent	Applies the competence independently, primarily in situations of limited complexity	Has a comprehensive knowledge of the competence in situations of limited complexity
4	Proficient	Applies the competence independent, primarily in complex situations Supervises others applying the competence	Has a detailed knowledge of the competence in complex situations and can critically evaluate and adapt as required
5	Expert	Applies the competence independently, primarily in complex situations Recognised as an expert by other senior professionals, who is called on by others for advice on the competence	Has an in-depth knowledge of the competence in complex situations Can critically evaluate, adapt or develop new theories and/or methods if required and educate others

It has been suggested that all Working Groups adopt a **common rating scale** of competency across all disciplines and that this scale should follow these four, with their being a **good alignment** between the two groups, given that APM Level 5 (expert) could sit outside the four-level banding:

Level 1: Awareness
Level 2: Appreciation
Level 3: Understanding
Level 4: Comprehensive

It is proposed that the **Competent Level 4 (Proficient & Comprehensive)** would be employed.

Competences for Project Managers involved in HRRBs

1	LEADERSHIP			
	An ability to empower and inspire others to deliver successful change initiatives in HRRBs			
		Application (A)		**Knowledge (K)**
A1		Clarifies communication and reinforces to stakeholders and project team members the vision, values and objectives of the change initiatives and their linkages to strategic objectives	K1	Visions, values and objectives of a change initiative for which they are responsible and its links to strategic objectives; the ways in which these can be effectively communicated and reinforces to project team members and other relevant stakeholders
A2		Sustains a HRBB environment that encourages high performance, and one that empowers team members to reach their full potential	K2	Characteristics of a working environment likely to encourage high performance and one that empowers project team members, together with how to sustain the environment
A3		Uses appropriate leadership styles to gain and maintain the trust, confidence, commitment and collaboration of others throughout the change initiative to ensure continues momentum	K3	Relevant techniques for gaining and maintaining trust, confidence, commitment and collaboration of others; different styles of leadership, and their advantages and disadvantages; and adaptation of leadership styles to suit different contexts
A4		Encourages and facilitates discussions so that any difficulties or challenges are identified and duly addressed in a timely manner	K4	Approaches and methods for addressing difficulties and challenges, and when these need to be escalated to a higher authority
A5		Models desirable behaviours consistently, and encourages same from others	K5	Behaviours and interpersonal skills that underpin effective leadership, and how to model desirable behaviours

2	PROCUREMENT			
	An ability to secure the provision of resources needed for change initiatives(s) from internal and/or external providers in HRRBs projects			
		Application (A)		**Knowledge (K)**
A1		Identifies types, quality and quantity of resources needed for the change initiatives based on current and accurate information	K1	Determination of the type, quality and quantity of resources required to meet the objectives of change initiatives
A2		Develops detailed specifications for the procurement of resources, securing support from teams and specialist where necessary	K2	Drawing upon detailed specification for the procurement of resources; how to recognise the need for and secure support from teams and specialists when developing procurement specifications
A3		Investigate technical and commercial options for fulfilling needed requirements, including possible suppliers, and ensures that the necessary procurement plan is prepared (by others) and agreed with stakeholders	K3	Range of technical and commercial options for fulfilling resource requirements; the implications of different procurement options; the importance of ensuring the agreement of preferred options with relevant stakeholders
A4		Negotiate and secures internal resources; takes action to resolve difficulties associated with resource availability	K4	Procedures for acquiring internal resources; negotiating and securing internal resources, and resolving difficulties that may be encountered
A5		Ensures that rigorous tender, evaluation, and selection processes are undertaken (by others); and complying with organisational procedures in selecting suppliers	K5	Importance of integrity, fairness and consistency in decision making; making judgements about appropriate suppliers in conjunction with others
A6		Ensures that negotiation with preferred suppliers to reach agreements that meet the organisation's requirements are undertaken (by others) and are acceptable to both parties	K6	Ensuring that negotiation and reaching agreement with selected suppliers takes place (by others)
A7		Ensures that agreement of viable contracts and statements of work, including performance monitoring criteria is undertaken (by others), in line with organisational requirements	K7	Nature of contracts and statements of work, and the implications for the contracting organisations

3	**HEALTH AND SAFETY**			
	Ability to carry out work effectively without putting the health and safety (H & S) of themselves or others at significant risk			
		Application (A)		**Knowledge (K)**
A1		Produces a sensible plan on how risks on HRBBs are managed from start to finish	K1	Has a comprehensive knowledge of the Construction (Design and Management) Regulations 2015
A2		Applies appropriate processes and techniques in dealing with specific and identified H&S risks	K2	Different approaches and techniques for dealing with H&S risks in different environments and contexts
A3		Communicates H&S risks information effectively to those who need to know	K3	Different approaches to communicating H&S risks
A4		Consults and engages with workers about risks and how they are being managed	K4	Different approaches to consultation of stakeholders in the management of H&S risks
A5		Employs continuous improvements (including positive experience) as part of managing H&S	K5	Different approaches to monitoring and continuous improvements in managing H&S
A6		Takes account of particular H&S issues that will apply on refurbishment projects in occupied buildings where the occupiers remain in place throughout	K6	Different approaches dependant on the nature and extent of the refurbishment project and the likely interface with the occupiers

4	ETHICS, COMPLIANCE AND PROFESSIONALISM			
	An ability to promote the wider public good in all actions, and to act in a morally, legally and socially appropriate manner in dealings with stakeholders and members of project teams and the organisation			
		Application (A)		**Knowledge (K)**
A1		Keeps up-to-date with relevant national and international legal, regulatory, ethical and social requirements, the impact they have on own area of responsibility, and the consequences of non-compliance	K1	Relevant national and international legal, regulatory, ethical and social requirements, the impact they have on own area of responsibility, and the consequences of non-compliance
A2		Behaves and acts in a morally, legally and socially acceptable manner in all dealings with project teams, other colleagues and stakeholders in accordance with relevant national and international requirements	K2	Features and characteristics of moral, legal and socially acceptable behaviour; ways in which the values, culture, behavioural norms and expectations
A3		Takes responsibility for own learning, development and behaviour, and actively seeks to develop and demonstrate own competence	K3	Range of opportunities available to develop and apply own competence
A4		Acts within the limits of own competence and authority at all times, and honestly represents own expertise and abilities to others	K4	Importance of acting within the limits of own competence and authority, and honestly representing expertise and abilities to others
A5		Identifies any ethical concerns affecting the change initiative or wider working environment, and takes prompt action to address such concerns	K5	Range of ethical concerns that could affect change initiatives and the wider working environment, and how they can be addressed
A6		Encourages a culture of openness and honesty within the change initiative	K6	Importance of, and approaches to, encouraging a culture of openness and honesty within change initiatives
A7		Seeks advice or direction from a relevant authority where there are any concerns about compliance with legal, regulatory, ethical and/ or social requirements	K7	Sources of advice and direction regarding compliance with legal, regulatory, ethical and social requirements, and the circumstances in which they should be exploited

5	CONTRACT MANAGEMENT			
	An ability to agree contracts for the provision of goods and/or services, to monitor compliance, and to manage variances			
		Application (A)		**Knowledge (K)**
A1		Complies with relevant organisational procedures and legal and ethical requirements when managing contracts	K1	Nature of contracts and statements of work, and the implications for the contracting organisations
A2		Agrees a contractual tree setting out all necessary services in the various project team members' professional services and building contracts including showing clear information flow (golden thread)	K2	The risks to build quality and health and safety that can manifest due to the chosen procurement route and contractual relationships, and why?
A3		Ensures that necessary actions are undertaken (by others) to comply with the terms of the contract	K3	Relevant organisational procedures and legal and ethical requirements for managing contracts
A4		Monitors the performance of suppliers in terms of the quality, timeliness and reliability of goods and/or services against agreed contractual obligations	K4	Performance management techniques
A5		Monitors the performance of the organisation in terms of meeting its contractual obligations	K5	Range of problems that can arise with the performance of suppliers, and the indicators of such problems; the importance of taking prompt action to resolve any problems with the performance of suppliers; how to decide what remedial action is required and when
A6		Ensures that prompt action is taken (by others) to resolve any problems, in accordance with the terms of the contract, including negotiating and managing contract variances	K6	The importance of building and maintaining productive relationships with suppliers, and the ways of achieving this
A7		Maintains productive relationships with suppliers throughout the execution of the contract	K7	Relationship approaches with suppliers in the execution of contracts
A8		Ensures that the contract is closed, once the goods and/or services have been delivered and accepted, ensuring that all financial arrangements have been honoured, all contract changes have been accounted for, and any necessary maintenance contracts have been agreed (by others)	K8	The range of considerations when closing a contract

6	**COMMUNICATION**			
	Effective exchange of accurate, appropriate, and relevant information with stakeholders using suitable methods			
		Application (A)		**Knowledge (K)**
A1		Actively listens, understands and responds to stakeholders	K1	Importance of listening and responding to stakeholders
A2		Develops and consults on communication plans, and maintains lines of communication	K2	Importance of communication plans, and regular communication
A3		Ensures quality of information	K3	Importance of quality of information
A4		Taylors and aligns communication with environment, contexts or settings	K4	Impact of communication on contexts and vice versa
A5		Uses different modes, types and sources of communication	K5	Types and modes of communication
A6		Monitors the effectiveness of the communications plan and amends it as necessary	K6	Different approaches to monitoring effectiveness of communication plan

7	NEGOTIATION			
	Ability to influence and persuade another person; an interpersonal decision-making process by which two or more people agree how to address/allocate scarce resources			
		Application (A)		**Knowledge (K)**
A1		Plans and sets goals; and gathers appropriate information needed for negotiation	K1	Planning approaches and gathering of relevant information to aid negotiation
A2		Explores, listens, probes, questions and regularly checks understanding	K2	Approaches to questioning and checking understanding
A4		Bargains, make proposal, and agreement through written record - and walk away if agreement is not possible)	K4	Approaches to agreeing, making and recording agreement
A5		Reviews, resolves and communicates outcomes clearly and openly to all parties and consequences	K5	Reviewing and communicating negotiated outcome(s)

8	**TEAM AND PEOPLE MANGEMENT**			
	Ability to select, develop and manage teams			
		Application (A)		**Knowledge (K)**
A1		Develops team objectives and agrees ways of working with the team, consistent with the vision and goals of the change initiative	K1	The different stages of team development, and the importance of determining where a team is in the development cycle; ways of maintaining a consistent team ethos throughout the change initiative; the range of models and tools that can be used to develop and maintain an effective team
A2		Deals with requirements, circumstances and interests of team members, balancing individual needs with those of the team as a whole and with the demands of the change initiative	K2	Vision and goals of the change initiative; how to develop team objectives and ways of working that are consistent with these
A3		Identifies opportunities for coaching and/or mentoring to address individual team members' development needs, and ensures suitable arrangements are put in place	K3	The range of opportunities available to develop and apply own competence
A4		Monitors the performance of individual team members and the team as a whole, and promptly addresses any issues or concerns	K4	Assessing the development needs of individual team members; how to identify and exploit opportunities for coaching and mentoring, including those presented by own role and responsibilities; how to negotiate the provision of coaching and mentoring by others
A5		Offers regular, constructive feedback to the team, and acknowledges the contributions made by individual team members	K5	Monitoring performance of individuals and teams; the range of issues or concerns that can arise, and ways of addressing these
A6		Communicates regularly with the team and wider networks, delegating tasks, asking for support, and offering assistance as appropriate	K6	Providing regular, constructive feedback to teams and acknowledging individual contributions
A7		Employs different styles of communication in dealing with team issues, and being cognisant of different contexts	K7	Styles of communication and how these can be adapted to the particular circumstances and needs of the team

9		CONFLICT MANAGEMENT		
		Ability to identify, address and resolve differences between individuals and/or interest groups		
		Application (A)		**Knowledge (K)**
A1		Anticipates, and takes pre-emptive action to address potential conflict situations that may impact on change initiatives	K1	Potential impact of healthy conflict on working practices and learning and development; the potential impact of negative conflict on individuals, teams and the delivery of change initiatives; the range of pre-emptive actions that can help to minimise or prevent conflict
A2		Recognises signs of conflict and investigates impartially the causes of the conflict	K2	Different indicators of negative conflict, and the ways in which obvious and more subtle indicators can be detected
A3		Encourages the parties involved to resolve their Own differences and conflicts	K3	Benefits of encouraging parties to take responsibility for resolving their own differences and conflicts
A4		Takes prompt action to address conflict, where the parties are unable to resolve the conflict themselves, in a way that respects the views of all concerned	K4	Range of models and techniques for conflict resolution; the importance of taking an objective and blame-free approach to conflict resolution
A5		Obtains help and assistance from colleagues or specialists when conflict(s) cannot be resolved and/or requires additional expertise	K5	Role of colleagues and specialists in conflict resolution, and the situations in which their input is required
A6		Monitors the success of conflict management measures and remains alert to any ongoing problems	K6	Monitoring success of conflict resolution measures

10	SCHEDULE MANAGEMENT			
	Ability to prepare and maintain schedules for activities and events for change initiatives, taking account of dependencies and resource requirements			
		Application (A)		**Knowledge (K)**
A1		Defines activities and events to be completed during the change initiative to appropriate levels of detail	K1	Approaches and outcomes of other change initiatives that have related scope; limitations of available information methods; prioritisation of wants and needs
A2		Considers and identifies dependencies between these activities and events and their implications for the organisation	K2	Estimation methods and the use of confidence limits
A3		Investigates and develops duration estimates for the activities (reviewing and updating these at relevant points) and identifies critical dates relevant to the events	K3	Panning and network analysis methods including their advantages and limitations
A4		Prepares and documents a schedule of major phases or tranches, milestones and review points for the change initiative, sufficient to inform the direction of work and the monitoring of progress	K4	Scheduling tools and methods
A5		Monitors progress and refines the schedule as Appropriate; implementing the change control process	K5	Techniques to guide the choice, capture and analysis of relevant data

11	RESOURCES MANAGEMENT			
	Ability to develop, implement and update resource allocation plans (other than finance) for change initiatives, taking account of availabilities and scheduling			
		Application (A)		**Knowledge (K)**
A1		Identifies what resources will be needed to carry out the activities and to deliver the events required by a change initiative	K1	Types of consumable and reusable resources, and of non-tangible resources (including the capabilities of personnel); resources used within other similar change initiatives; limitations of available information
A2		Identifies the availability of internal and external resources and the dependencies between those availabilities	K2	Different ways to manage the resources based on their availability, and the associated advantages and limitations
A3		Prepares a schedule for resource use, reconciling resource limits and time constraints by applying resource smoothing and/or levelling	K3	Planning/network analysis methods for resource smoothing and resource levelling
A4		Documents the schedule for resource use	K4	Techniques to guide the choice, capture and analysis of relevant data
A5		Monitors resource use against the schedule during the change initiative and identifies variances that require action	K5	Approaches to monitoring resources against schedule, and being conversant of changes and contexts
A6		Refines as appropriate the schedule for resource use, implementing the change control process where relevant	K6	Approaches to refining schedule of resources, and implementation of change control processes as required

12		BUDGETING AND COST CONTROL		
		Ability to develop and agree budgets for change initiatives, and to control forecast and actual costs against the budgets		
		Application (A)		**Knowledge (K)**
A1		Obtains estimates for the costs of activities, events and overheads	K1	Typologies costs - indirect costs, fixed costs, variable costs; comparative, parametric and bottom-up estimating; use of three-point cost estimates; cost tracking tools and techniques
A2		Establishes and agrees an overall budget for a change initiative, based on the business case	K2	Capital and revenue budget formats; use of tolerances; use of risk premiums
A3		Develops a cash flow forecast for the change initiative, and sets up arrangements for the drawdown of funds	K3	Cash flow statement formats; time value of money; opportunity cost of capital
A4		Monitors financial performance throughout the change initiative, and prepares reports for stakeholders in line with organisational requirements	K4	Tracking systems for actual costs, accruals and committed costs; effects of inflation; reporting structures; alternative cost breakdowns (e.g. by cost type, resource type, work activity); graphical representations; and performance management
A5		Applies metrics to identify cost trends and to update estimates of final costs	K5	Use of tolerances and performance management
A6		Refines as appropriate budget allocations and cost management processes, implementing the change control process where relevant	K6	Approaches to the refinement of budget allocation, cost management and change processes
A7		Ensures that all financial transactions are complete before closure of the change initiative, and that final reports on financial performance are prepared for relevant stakeholders	K7	Completion of financial transactions and preparation of financial performance reports

13	RISK OPPORTUNITY AND RISK MANAGEMENT			
	Ability to identify and monitor risks (threats and opportunities), to plan and implement responses to those risks, and respond to other issues that affect the change initiative			
		Application (A)		**Knowledge (K)**
A1		Identifies risks and issues associated with a change initiative, on an initial and ongoing basis	K1	Differences between risks, issues and problems
A2		Assesses the probabilities and impacts of the risks and develops suitable response plans	K2	Risk identification techniques; criteria for inclusion in the risk management process
A3		Documents the risks and responses within a risk management plan	K3	Qualitative and quantitative methods to assess risk; the combination of different risks; hierarchies of risk (e.g. to project, programme, portfolio, organisation); risk responses; iterative nature of response planning
A4		Implements responses to risks within the limits of own responsibility, and address any implications for the future, implementing the change control process where relevant	K4	Formats for risk and issue management plans
A5		Assesses, documents and plans responses to issues	K5	Formats for risk and issues registers
A6		Implements responses to the issues, and addresses any implications for the future, implementing the change control process where relevant	K6	Approaches to responding to issues and implementation of change control processes
A7		Records issues, how they were resolved, and their implications to inform planning for future change initiatives	K7	Recording of issues to inform planning for change initiatives
A8		Ensures that all open risks are accepted, avoided or transferred when change initiatives close	K8	Acceptance, avoidance, and transfer of open risk and associated techniques Ensures that all open risks are accepted, avoided or transferred when change initiatives close

14	FINANCIAL MANAGEMENT			
	Ability to plan and control the finances of programmes or portfolios and their related change initiatives, as a means of driving performance and as part of the organisation's overall financial management			
		Application (A)		**Knowledge (K)**
A1		Ensures that the financial metrics used to justify related change initiatives are comparable, and that they relate to financial metrics used elsewhere in the organisation	K1	Investment criteria including net present value (NPV) and rates of return; rules for compiling cost forecasts, and rules for valuing efficiency savings
A2		Ensures that the financial metrics have been estimated consistently across the different change initiatives	K2	Approaches to identifying optimism bias in estimating costs and benefits
A3		Prepares a financial plan showing profiled capital and revenue expenditure for the related change initiatives, for periods aligned to the organisation's overall financial management cycle	K3	Classification of capital and revenue expenditure; the organisation's financial management cycle
A4		Defines financial reporting requirements and schedules for milestones and reviews for the related change initiative	K4	Types of financial reports; configuration management planning, identification, control, status accounting, verification and audit
A5		Defines control limits for reporting variances from budget and for approval of requests for additional funding	K5	Different levels of financial accountability
A6		Defines arrangements for the release of funding linked to stage or phase gates	K6	Use of stage or phase gates to control change initiatives
A7		Uses financial information from the related change initiatives to prepare and deliver overall financial progress reports	K7	Financial measures and the use of financial dashboard
A8		Refines the financial plan as appropriate, on the basis of progress, while taking account of external factors	K8	Approaches to refining financial plan taking account of project progress and differing external contexts

15	STAKEHOLDER MANAGEMENT			
	Ability to manage stakeholders, taking account of their levels of influence and particular interests			
		Application (A)		**Knowledge (K)**
A1		Identifies all stakeholders and analyses their interests, requirements and levels of influence	K1	Identification of stakeholders and the analysis of their different interests, requirements and levels of influence
A2		Develops, consults on, and disseminates a stakeholder management plan to meet the objectives of the change initiative	K2	Develop, consult on, and disseminate stakeholder management plan
A3		Provides stakeholders with clear, timely and relevant information in accordance with the stakeholder plan, using appropriate methods	K3	Range of methods for communicating with stakeholders, and how to select the most appropriate methods
A4		Actively seeks and assesses information and feedback from stakeholders that may impact on the change initiative	K4	How to gather information from stakeholders and assess its impact
A5		Monitors the effectiveness of the stakeholder management plan, and amends it as necessary	K5	Approaches to monitoring the effectiveness of the stakeholder plan and make any necessary amendments

16	GOVERNANCE ARRANGEMENTS			
	Ability to establish and maintain governance structures that define clear roles, responsibilities and accountabilities for governance and delivery of change initiatives, and that align with organisational practice			
		Application (A)		**Knowledge (K)**
A1		Identifies the reporting and decision-making hierarchies for change initiatives, and how these relate to the organisation's overarching governance structure the transition process, at all relevant levels	K1	Organisational and/or external processes, standards and guidelines for the governance of change initiatives, including the processes of initiation, review, handover and close out
A2		Identifies organisational structures for management of change initiatives, taking into account their context, complexity and potential impact	K2	Organisational structures (functional, matrix, project, joint ventures, alliances); the organisation's overarching governance structure; organisational breakdown structures (OBS)
A3		Defines the roles, responsibilities, interfaces, reporting lines and levels of authority within the governance structures, and identifies the individuals taking the different roles	K3	Roles of different stakeholders including sponsors; principles of delegation
A4		Ensures that the responsibilities and accountabilities associated with the different roles are understood and accepted by the relevant individuals	K4	Governance roles and responsibilities
A5		Maintains the clarity of reporting and decision-making hierarchies, the governance structures and the staffing, during the progress of the change initiatives	K5	Reporting and decision-making during change initiatives and as part of governance structures

17	REVIEWS			
	Ability to establish and manage reviews at appropriate points, during and after change initiatives, which will inform governance of the change initiatives, by providing evaluations of progress, methodologies and continuing relevance			
		Application (A)		**Knowledge (K)**
A1		Establishes, schedules and conducts reviews at key milestones during and after change initiatives, which evaluate: alignment with the business case management processes overall progress towards outputs in terms of time, cost and quality stakeholder relationships and perceptions final outcomes and lessons learned benefits plans and realisation	K1	Legal, regulatory and organisational requirements for reviews; the range of factors that need to be evaluated during reviews, and how these may vary throughout the different stages of the change initiative
A2		Obtains relevant, accurate and reliable information on change initiatives from valid sources to inform reviews	K2	How to obtain relevant, accurate and reliable information on change initiatives to inform reviews; the sources of information on change initiatives
A3		Identifies and documents any deviations from the original plans, the reasons for the deviations, and potential actions or solutions to address them	K3	How to identify and document deviations and the reasons for such deviations; the range of potential actions or solutions to address deviations, and how to determine their suitability
A4		Reports the outcomes of reviews to all relevant stakeholders, confirms their understanding and acceptance, and agrees resulting actions	K4	How to provide relevant stakeholders with information on the outcomes of reviews, confirm understanding and acceptance of the outcomes, and gain agreement for the resulting actions
A5		Ensures that agreed actions are implemented, and that any lessons learned are applied to future change initiatives	K5	How to ensure that agreed actions are implemented; the importance of considering lessons learned and applying them to future change initiative
A6		Ensures that stage or phase gates are used to control change initiatives	K6	Stage or phase gates to control change initiatives

18	CHANGE CONTROL AND MANAGEMENT			
	Ability to establish protocols to alter the scope of change initiatives, implementing the protocols when necessary, and updating configuration documentation including contracts to develop, maintain and apply quality management processes for change initiative activities and outputs			
		Application (A)		**Knowledge (K)**
A1		The ability to establish protocols to alter the scope of change initiatives, implementing the protocols when necessary, and updating configuration documentation including contracts to develop, maintain and apply quality management processes for change initiative activities and outputs	K1	Features of a rigorous change control process, and how to establish, implement and maintain a change control process; the requirements of the communications management plan and the configuration management plan regarding amendments to change initiatives
A2		Captures and records proposed changes to the agreed scope and objectives of the change initiatives	K2	The importance of enabling stakeholders to submit their suggestions for changes to the agreed scope and objectives of change initiatives; and methods for capturing and recording proposed changes
A3		Reviews proposed changes and determines their high-level impact, requesting further information or clarification where necessary	K3	How to review proposed changes and determine their high-level impact; and the circumstances in which a change might be rejected without further assessment
A4		Assesses all options relating to the proposed changes and estimates their impacts	K4	How to assess all options relating to proposed changes, and estimate their impacts, status accounting, verification and audit
A5		Makes recommendations based on impact assessments about whether to approve, reject or defer changes, or to request further information	K5	How to develop, communicate and justify recommendations about whether to approve, reject or defer changes
A6		Updates relevant plans, schedules and communications to reflect approved changes, and manages approved changes within the configuration management system	K6	How and when to update relevant plans, schedules and communications to reflect approved changes; and how and when to manage approved changes within the configuration management system
A7		Analyses patterns of change to identify trends in order to improve the future performance of change initiatives	K7	Methods for analysing patterns of change and identifying trends; and the ways in which the results of this analysis can improve the performance of change initiatives

19	QUALITY MANAGEMENT			
	Ability to develop, maintain and apply quality management processes for change initiative activities and outputs			
		Application (A)		**Knowledge (K)**
A1		Agrees quality indicators for the processes and outputs of a change initiative by reference to the business case and through negotiation with stakeholders	K1	Characteristics of effective quality indicators; the business case; stakeholder interests.
A2		Prepares the quality management plan for a change initiative through liaison with relevant stakeholders and in accordance with the processes, culture and values of the organisation	K2	Quality management processes; metrics for processes and quality standards, including for health, safety and environmental management; ISO quality management standards; and benchmarking
A3		Documents the quality management plan and establishes a quality register	K3	Process for developing a quality management plan; formats of plans, portfolio, organisation); risk responses; iterative nature of response planning
A4		Manages the process of quality assurance for a change initiative, to confirm the consistent application of the procedures and standards defined in the quality management plan	K4	Configuration management planning, identification, control, status accounting, verification and audit
A5		Manages the process of quality control for a change initiative to determine whether success criteria are met	K5	Standards for procedures and for resources to be used during the change initiative
A6		Captures lessons learned during a change initiative to contribute to continual improvement	K6	Inspection processes and analytical tools
A7		Actions outcomes from the quality management process, implementing the change control process where relevant	K7	Principles and practical implications of continual improvement

20	**LEGAL & REGULATORY COMPLIANCE**			
	Ability to comply with legal and regulatory regimes in which professional practice occurs			
		Application (A)		**Knowledge (K)**
A1		Identifies legal and regulatory issues through a variety of routes; interprets and records their impact	K1	Relevant legal and regulatory regimes associated with HRRBs
A2		Preparing and reporting on legal and regulatory obligations	K2	Different approaches and types of reporting regulatory obligations
A3		Demonstrates practical consequences to specific and identifiable stakeholders of relevant legislation or regulation through documentary evidence	K3	Different impacts and consequences of non-compliance to legal and regulatory environments

21	**DIGITAL CONSTRUCTION**			
	Ability to explore and exploit digitalisation in environments in which professional practice occurs			
		Application (A)		**Knowledge (K)**
A1		Employs appropriate digital processes and technologies in managing HRRB projects	K1	Different digital approaches and technologies applicable in managing HRRBs
A2		Employs data and its effective collection, communication and management in transforming work processes and practice	K2	Approaches to integrating data in workflows and in delivery
A3		Documents the impact of digital technologies on work practices	K3	

22	INDEPENDENT ASSURANCE			
	The ability to gather independent evidence that the information from the change initiative is valid, and that the change initiative is likely to achieve its aims			
		Application (A)		**Knowledge (K)**
A1		Identifies and secures the resources required for independent assurance activities	K1	The resources required for independent assurance activities, and how to secure them
A2		Determines and agrees the scope of, and responsibility for, independent assurance activities, ensuring that the total assurance burden does not become onerous scope and objectives of the change initiatives	K2	How to determine the scope of, and responsibility for independent assurance activities, including the importance of effective co-ordination of assurance activities in minimising the assurance burden; the importance of ensuring the independence, rigour and timeliness of the assurance activities, and ways in which this can be guaranteed
A3		Assesses the risks associated with the change initiatives and prioritises independent assurance activities accordingly	K3	The range of risks associated with the change initiatives, and how these impact on independent assurance activities
A4		Develops recommendations, based on the outcomes of independent assurance activities, aimed at addressing any failings in the management of the change initiatives and instilling confidence in stakeholders	K4	How to develop recommendations that aim to address any failings in the management of the change initiatives and instil confidence in stakeholders
A5		Communicates the outcomes of independent assurance activities to all relevant stakeholders and responds promptly to any queries or concerns information	K5	Methods for communicating the outcomes of independent assurance activities to relevant stakeholders; the range of queries or concerns that may result and appropriate ways of responding to them
A6		Provides advice, guidance and support in the implementation of recommendations	K6	The advice, guidance and support that is required for the implementation of recommendations, and how best to provide this
A7		Analyses patterns of change to identify trends in order to improve the future performance of change initiatives	K7	Patterns of change and trends identification for performance initiatives

23	**CONSTRUCTION TECHNOLOGY AND ENVIRONMENTAL SERVICES**			
	Ability to secure the design and construction buildings and related structures			
		Application (A)		**Knowledge (K)**
A1		Involves in designing and constructing for sustainability and environmental awareness	K1	Principles of designing and constructing for sustainability and environmental awareness
A2		Involves in the production of design information, revision, and delivery to the project team and wider stakeholders	K2	Different approaches to producing design and construction information, and their revisions as necessary
A3		Participates in design and construction and appreciates that these solutions vary for different typologies of buildings and contexts	K3	Different design and construction techniques and approaches
A4		Participates in site investigation and procurement of materials for construction purposes	K4	Different approaches to site investigation and procurement of materials for construction

ANNEX C

HRRBs - Competence requirements for Project Managers

This document sets out the ‘additional’ suggested competency requirements for Pro□ect Managers o□er and a□o□e the standard co□ petencies that an□professional Pro□ect Manager would expected to ha□e o□tained through professional □ e□ □ership□this docu□ ent is intended to □e a working draft for discussion and de□elop□ ent □□WG10 and□or others at a later date□

The re□uire□ ents should □e designed to ensure that those Pro□ect Managers working on HRRB’s include processes to ensure that the□understand the additional legislati□e □new□re□uire□ ents□risks in□ol□ed and are □ anaging processes to □ itigate that risk□

It is suggested that co□ petencies and risks in□ol□ed are set out as per a t□pical plan of works as follows□

Stage 0 – **Initiation** □RIBA Work Stage 0□
Stage 1 – **Feasibility and Brief** □RIBA Work Stage 1□
Stage □ – **Concept Proposals** □RIBA Work Stage □□
Stage □ – **Coordinated Design** □RIBA Work Stage □□
Stage □ – **Technical Design** to **Production Information** □RIBA Work Stage □□
Stage P – ***Tender Action*** – □aria□le □this can □e after stage □ or during stage □□
Stage □ – **Construction** □RIBA Work Stage □□
Stage □ – **Handover and defects liability period** □RIBA Work Stage □□

Stage 0 – Initiation

- Be aware of enhanced legislati□e re□uire□ ents for professionals dealing with HRRB’s
- Be a□le to ad□ise client of their responsi□ilities in relation to HRRB’s
- □nderstand the reasoning □ehind HRRB re□uire□ ent □Client side□
- □nderstand the co□ petence re□uire□ ents of design tea□ and other professionals related to HRRBs
- E□aluate and understand the Pro□ect Manager’s requirement in relation to HRRB’s for CDM declaration
- PM understands the funding i□ plications and □riefs the Client□
- Allocation of responsi□ilities to Design Tea□ and Client are understood □□the Client
- Business case contains definitions□responsi□ilities and legal co□ pliance re□uire□ ents for HRRB’s
- Pro□ect progra□ □ e contains allocation for re□iew and □alidation of co□ petence re□uire□ ents for all parties
- Ter□ s of reference include for HRRB Dut□Holder responsi□ilities and co□ petenc□ □alidation
- Pro□ect Execution Plan □PEP□includes for enhanced co□ petenc□re□iew□□alidation and signoff procedures □□ke□designers
- Develop process for establishing ‘golden thread’ of information, collation, update and transfer throughout pro□ect life – consider golden thread as ke□ele□ ent of PEP□updating through life of pro□ect□
- Be cognisant of potential for enhanced re□iews through statutor□consultations□planning and □uilding regulations
- De□elop HRRB Risks Register
- Identif□seek ad□ice on ke□fire safet□site constraints including Fire Brigade access

Additional for refur□ish□ ent

- □nderstand ownership and ‘Dut□Holder’ responsi□ilities and duties
- □nderstand the existing strateg□□condition and risks related to existing □uilding co□ pliance
- Risk and co□ pliance re□uire□ ents are □uilt into □usiness case

- □nderstand the risks associated with fire strateg□change procedures and ensure i□ple□ented through □usiness case and progra□ □e
- Include for full collation of existing □uilding infor□ation is included in progra□ □e
- Consider tenant in□ol□e□ent

Stage 1 – Feasibility and Brief (RIBA Work Stage 1)

- Build co□petenc□re□uire□ents into Design Tea□ procure□ent docu□entation□include for process to check as part of appoint□ent of Design Tea□ procedures
- De□elop process to ensure Design Tea□ co□petenc□is □aintained through the life of the pro□ect
- De□elop process to ensure dut□holder is appraised of Design Tea□ co□petenc□ □*requirements yet to be developed by overarching body*□
- De□elop the Brief to include for a ro□ust □ethodolog□to ensure checks□□alidation and sign off □□Design Tea□ for fire□structure□health □ safet□and life safet□s□ste□s specific to HRRB's (*this will need to be developed*□
- Process is i□ple□ented to account for and cross corro□orate an□changes to Design Tea□ for fire□structure□health □ safet□and life safet□s□ste□s specific to HRRB's (*this should be a key PM duty*□
- Feasi□ilit□confir□ed including high le□el HRRB fire strateg□□structure□H□S and life safet□ s□ste□s state□ent fro□ design tea□

Additional for refur□ish□ent

- Criticall□i□portant that existing □uilding infor□ation is collated and re□iewed □□Design Tea□
- Where gaps in existing infor□ation□schedule ke□gaps and ensure that in□estigation in undertaken to □uild up a relia□le data□ase rele□ant to fire□structure□health □ safet□and life safet□s□ste□s specific to HRRB's
- Feasi□ilit□includes for e□aluating and costing □ini□u□ □or □est practice□i□pro□e□ents to the □uilding safet□□such as ensuring that all □ini□u□ fire strateg□reco□ □endations are undertaken as part on any 'major' refurbishment. □*This could be a Go/No Go Gateway?)*
- A process is i□ple□ented to full□understand and □itigate the risk to existing fire□structure□ health □ safet□and life safet□s□ste□s during the works □*this is key to any refurbishment and could form the basis of a Best Practice guide*□□E□aluate feasi□ilit□design □assing against process

Stage 2 – Concept Proposals (RIBA Work Stage 2)

- Concept □rief to include for HRRB specific functional and safet□re□uire□ents
- Include HRRB risks e□aluation in risk workshop
- Esta□lish and e□aluate design change risk process and e□aluation through design process
- Appropriate ele□ents related to HRRBs included in Risk Register
- Include for reporting design change reporting procedure fro□ Design Tea□ to Pro□ect Manager
- Set critical path agenda related to HRRB risks in □alue for Mone□ □□fM□and □alue Engineering □□M□processes
- Concept design to include HRRB fire□structure□health □ safet□and life safet□s□ste□s state□ent fro□ Design Tea□
- □nderstand HRRB risks related to procure□ent route – ensure that procure□ent route includes for ro□ust process to e□aluate design change affects rele□ant to HRRBs□ co□petence of designers throughout the life of pro□ect□transfer and ownership of risk□'Golden Thread'□Dut□Holder□□sign off□transfer at end of contract□□uilding infor□ation □licensing re□uire□ents□
- Include for Planning and Building Regulations enhanced re□iew and statutor□consultations □*likely requirement from other Working Groups*□in planning strateg□

Additional for refur□ish□ ent

- Concept design is de□eloped against and □itigates for existing □uilding strategies and originall□designed Safet□Case
- Changes □ade throughout the life of the □uilding are e□aluated and enhance or are not detri□ ental to the original design case □*require sign off that any previous upgrades have not affected the original Safety Case unless as an enhancement?)*
- Esta□lish process for colla□orati□e approach to HRRB safet□ □onitoring and design change e□aluation of concept design
- Concept design to include HRRB fire□structure□health □ safet□and life safet□s□ste□ s state□ ent fro□ Design Tea□ including strateg□for □anaging HRRB design safet□through design de□elop□ ent

Stage 3 – Design (RIBA Work Stage 3)

- □pdate concept □rief after e□aluating HRRB risks
- I□ ple□ ent process to □anage design changes through design de□elop□ ent
- HRRB risks are e□aluated to end of life and included in Design Tea□ e□aluations for health and safet□□□ aintenance□facilities □anage□ ent□repair and replace□ ent□'Golden Thread' and licensing re□uire□ ents
- Ele□ ent selection is co□pliant with new legislation □fro□ 'after Grenfell' re□uire□ ents□and □est practice
- Design tea□ reports include for HRRB fire□structure□health □ safet□and life safet□s□ste□ s state□ ents signoff and strategies
- Including for strateg□for □anaging HRRB design safet□through detailed design de□elop□ ent
- De□elop and i□ ple□ ent colla□orati□e approach to HRRB safet□through planning and statutor□consultation – ensure appropriate ti□ e allowance in progra□ □ e□ensure cross confir□ ation of planning design changes and planning conditions against HRRB risks
- Where □anufacturer's ele□ ent design is re□uired□i□ ple□ ented□de□elop process for re□iewing and ensuring their co□ petence□re□iewing and ensuring perfor□ ance standards across whole ele□ ent are e□aluated
- Pro□ect Manager to □onitor and ensure Design Tea□ co□petent persons throughout design de□elop□ ent
- Pro□ect Manager to □onitor procure□ ent route design changes and ele□ ent specification changes against HRRB risks

Additional for refur□ish□ ent

- Consider tenant in□ol□e□ ent and infor□ ation
- Re□uire process to ensure that ele□ ent choice has no ad□erse effect on existing Safet□Case
- Ele□ ent choice is co□ pati□le with existing Safet□Case
- Building operators□Building Safet□Manager and Dut□Holder are in□ol□ed in colla□orati□e design de□elop□ ent

Stage 4 – Technical Design to Production Information (RIBA Work Stage 4)

- □nderstand the risks and i□ ple□ ent a ro□ust design stage control process□'Go□□o Go' i□ plications and risks for Client
- E□aluate □FM□□E proposals against Design Tea□ strategies and state□ ents
- O□tain sign off fro□ Design Tea□ for all changes affecting the HRRB risks
- Monitor 'Golden Thread' through design de□elop□ ent
- Ha□e Design Tea□ confir□ details co□ pl□with design strategies
- Maintain □erification of co□ petent persons through process
- Specification detail and clauses should contain safet□case □erification process□design sign off re□uire□ ent and change □anage□ ent process
- Colla□orati□e approach to □uilding standards and statutor□consultation □*this may include competence assessment of LA Approved Inspector to work on HRRBs*□
- Colla□orati□e approach to Contractors□□ anufacturer's design □*Safety Case signoff/competent person etc)*

- Design Tea□ understand the co□petenc□re□uire□ent for installation and inspection of installations during construction phase and sign off□hando□er□'Go□□o Go' case
- Re□iew and update PEP and Risk Register noting trail to sign off of Safet□Case Consider □uilda□ilit□and inspection of details against safet□and risk to 'as □uilt' Safet□Case
- Docu□entation should include for co□petence re□uire□ents for Contractors and through construction phase□process for e□aluation and □aintenance of co□petence□inspection re□uire□ents and sign off□
- Include for enhance re□iew □□Building Regulations and statutor□authorities
- Include for increased inspection regi□es during construction stage for o□erall progra□ □e

Additional for refur□ish□ent

- □pdate Dut□Holder
- Tenant update and Risk Assess□ent
- Consider HRRB installation risk □*access, tenant concerns, tenants in-situ, buildability to existing Safety Case)*
- All aspects of design should □e e□aluated against existing Safet□Case or enhanced safet□ strateg□with a risk assess□ent undertaken

Tender Action **(RIBA Work Stage dependent on procurement route)**

- Contract t□pe suits the risk and transfer of risk in□ol□ed
- Risks associated with Contractor's Design are understood and included in tender docu□ents
- Include co□petence re□uire□ents for Contractor □*all trades*□□and process for □erification of co□petence are included in Contract and procure□ent docu□ents and are scheduled □□ Contractor as part of □id
- Design change □FM□□E process included in procure□ent docu□ents including an□fire safet□ perfor□ance specification ite□s that 'cannot' ha□e □E applied to the□ and e□aluated as part of tender e□aluation□Contractor inter□iews□Contract award
- Include for KPI's within tender documents to e□aluate Contractor's co□petence to work on HRRB's
- Include HRRB risks on agenda for Contractor inter□iew
- Include co□petence of Contractor and evidence of capability to work on HRRB's in Contractor inter□iews
- Sign-off of an□design changes through procure□ent □□co□petent persons re□uired prior to award of contract□
- Tender report includes for re□iew of extent of design changes and risk i□pact on □uilding Safet□Case
- An□design changes □□Design Tea□ □re□uired □□Planning Conditions□Building Control□ statutor□consultation during tender period are full□e□aluated prior to infor□ing □idding Contractors
- Include for HRRB Safet□Case update and design sign off prior to award of Contract □*this may involve evaluating more than one design depending on type of procurement route and Contract*□
- Tender report includes for designers□Contractor's confir□ation of Safet□Case

Stage 5 – Construction (RIBA Work Stage 5)

- Pre-start checklist includes fire Safet□Case re□iew and update
- □pdate PEP
- Contractor's construction progra□ □e includes for enhanced inspection re□uire□ents
- Pre-contract □eeting includes Safet□Case on agenda□co□petence re□uire□ents for Contractor □ su□-contractors and process for Pro□ect Manager re□iew and □erification of Contractor co□petence throughout Contract
- Co□petence for all parties is □aintained through construction phase □design tea□ □Pro□ect Manager etc□□
- Pro□ect Manager to □onitor processes, KPI's and □alidation re□uire□ents set out in Contract

- Pro□ect Manager understands Works access risks □*scaffolding, mast climbers, platform lifts etc.)*
- Health □ safet□plans includes for co□petence and inspection regi□es
- All changes to design□changes to □aterials and an□installation processes are full□assessed □□co□petent persons and signed off prior to installation
- An□changes and effect on Safet□Case included in progress reports
- □pdate Risk Register
- Those undertaking inspection ha□e recei□ed product specific inspection training fro□ □anufacturer for at least□cladding□fire doors□□alconies□fenestration□fire stopping□fire collars□ca□it□□arriers□fire protecti□e coatings□fire alar□s□□onitoring□CO□□s□oke detection e□uip□ent□s□oke □entilation □easures□wet and dr□risers□fire lifts□sprinkler s□ste□s□ e□ergenc□lighting and escape e□uip□ent
- All inspection regi□es include for appropriate docu□entar□e□idence
- Concerns related to inspection reports acted up
- Final inspection□sign-off□Practical Co□pletion includes for state□ent of Safet□Case □□ co□petent persons – Main□Principal Contractor and Lead□Principal Designer□
- For□al hando□er arranged to include Dut□Holder and Building Safet□Manager
- Hando□er Health and Safet□File including ke□fire□e□ergenc□infor□ation

Additional for refur□ish□ent

- □pdate□confir□ation of Safet□Case after pre-start inspections□ena□ling works
- Building occupant infor□ation and notifications
- Maintain fire safet□protocols and protection □easures during works□ensure □itigations□alternati□e □easures in place where □odifications □ade to existing Safet□Case
- If tenants in-situ□health □ safet□plans □ust include for □itigation □easures to □aintain existing□□pro□ed Safet□Case during works and notifications to tenants

Stage 6 – Handover and defects liability period (RIBA Work Stage 6)

- Full hando□er docu□entation in place for hando□er including□BIM Model□'As-Built' drawings□ Testing Certificates□O□M Manuals□Health □ Safet□Files□fire safet□e□uip□ent co□□issioned and operational□docu□entar□e□idence in place for installation□fire Safet□ Case set out and signed off □□co□petent persons□schedule of co□petent persons in□ol□ed in works□□aintenance of co□petence persons re□uire□ents through Defects Period□ reporting re□uire□ents and updating of Safet□Case through defects□fire and health □ safet□ strategies updated□docu□entation in place to support hando□er Fire Risk Assess□ent□ co□petence re□uire□ents
- Technical hando□er □eeting with Building Safet□Manager□□*additional to standard handover*□□draft □uilding operational plan in place
- Hando□er docu□ents includes for state□ent of confir□ation of Safet□Case □□Design Tea□
- Hando□er docu□ents includes for schedule of □aintenance re□uire□ents for ite□s that would affect the Safet□Case
- Hando□er includes for transfer of ownership□responsi□ilities to Dut□Holder
- Transfer of responsi□ilities to Building Safet□Manager
- Tenant infor□ation pack
- Pro□ect co□pletion checklist includes for schedule of sign-offs and co□petent persons

Additional for refur□ish□ent

- Fire strateg□updated
- Fire Risk Assess□ent updated
- Safet□Case updated
- □pdate tenant infor□ation pack

ANNEX D

Competence assessment model

This paper outlines six for□s of e□idence that could □e used to assess a candidate's co□petence to work as a Pro□ect Manager on Higher Risk Residential Buildings □HRRBs□□ The list of six for□s of e□idence result in a □er□thorough co□petence assess□ent□all six □a□□e unnecessar□for a future sche□e□

How is it assessed?

For assess□ent of the application to □oin the HRRB Co□petence Register for Pro□ect Manage□ent□candidates could □e assessed fro□ the following □aterial□

1□ Curriculu□ □itae
□□ Self-E□aluation
□□ Log sheets of experience and CPD
□□ Case stud□
□□ Practical exa□ination
□□ Professional Inter□iew

Curriculum vitae

The curriculu□ □itae □ust not exceed two pages in length□It □ust list in chronological order the dates and places of acade□ic stud□and □ualification□and professional work□that ha□e □een significant in the candidate's professional development□

Self-evaluation

The self-e□aluation of □□000-□□000 words should enco□pass □an□aspects of the candidate's career and □ust □e in the for□ of an appraisal of the whole of their professional career to date□in ter□s of its learning and professional de□elop□ent outco□es□

Whilst hard facts are needed regarding the candidates experience and responsi□ilities the exa□iners will pri□aril□looking for their e□aluation of this experience□that is□e□idence of the use of reflecti□e practice□Where appropriate□cross-references □a□□e □ade to the curriculu□ □itae□log sheets and□or the case stud□□

Log sheets

B□the inter□iew stage□candidates should ha□e recentl□co□pleted and logged a □ini□u□ of □□ months' practical experience and rele□ant CPD rele□ant to the co□plexit□of HRRBs□The candidate should include self-reflecti□e learning that thoroughl□de□onstrates the experience gained□

Case study

The case-stud□is de□ised firstl□as an opportunit□for candidates to de□onstrate their awareness and understanding of professional practice on HRRBs□The su□□ect of the case-stud□can □e wide ranging and should □e used as a □ehicle to de□onstrate their knowledge and understanding of Pro□ect Manage□ent on HRRBs□The su□□ect should ideall□□e one with which the candidate has □een personall□in□ol□ed or if necessar□□a□□e one in which the candidate has had no personal in□ol□e□ent □ut has access to all the rele□ant infor□ation and records□The case-stud□should □e no □ore than □□000 words□

Practical examination

An office-□ased □open □ook□exa□ination should take place in the candidate's normal place of work□under the direction and super□ision of a person no□inated and registered as the candidate's examination supervisor and is held over two full working da□s□co□ering their knowledge of the HRRB Pro□ect Manage□ent Co□petence Criteria□

Professional Interview

The professional inter□iew should take place shortl□after the candidate's documentary su□□ission □for exa□ple□C□□self-e□aluation□log sheets□case stud□□practical exa□ination□ and is conducted □□two professional exa□iners□The inter□iew is an opportunit□for the exa□iners to ask □uestions on specific aspects of the docu□entar□su□□ission or indeed on an□aspect of the HRRB PM Co□petence Criteria that the□do not □elie□e has □een ade□uatel□co□ered□

Re-assessment

To ensure that the co□petence of those who ha□e □een accredited is □aintained□the□ should go through a re-assess□ent process e□er□three □ears□The □ost appropriate re-assess□ent □ethod is the Log Sheets process a□o□e□□ut if a re-assess□ent candidate cannot de□onstrate enough rele□ant recent experience□the□□a□□e asked to re-appl□to the sche□e as if the□were a new candidate□

ANNEX E

ICE – Reservoirs Panel Engineers register

This paper captures the required attributes for Institution of Chartered Engineers (ICE) Reservoir Panel Engineers. There are two of these, one for all Reservoir Engineers and one for Supervising Engineers and this will assist as an existing model for outlining competence criteria. Any application to become a panel engineer requires an assessment of the application by the ICE Reservoirs Committee, with the candidate having submitted a very comprehensive application form which illustrates the kind of information required, all of which will link with the competence assessment paper (**Annex D**).

Further and more detailed information is not included within this paper, so as to keep to a minimum the amount of material, but it can be found on the ICE website at: https://www.ice.org.uk/careers-and-training/careers-advice-for-civil-engineers/specialist-professional-registers#reservoirs

By way of background, there are three types of panel engineer under this structure:

- Construction Engineer – required only if any alterations are required to an existing reservoir or if a new reservoir is being designed and built.

- Supervising Engineer – required at all times, produces a statement once a year of any observations they have made, for example of maintenance needs etc.

- Inspecting Engineer – carries out a thorough inspection at least once every ten years. The inspecting engineer needs to:

    a) identify any safety measures that need to be carried out and set a deadline;

    b) certify that those recommended safety measures have been carried out.

Panel engineers are a statutory requirement for any reservoir that holds or could hold 25,000 cubic metres or more of water above ground level, which is defined under the Reservoirs Act 1975 to be 'high-risk'. Reservoirs below this volume that have been determined as 'not high-risk' (the law does not define any reservoir as 'low-risk') only need to appoint a construction engineer during the design and construction, restoration or alteration of the reservoir. Supervising and Inspecting engineers are not required for 'not high-risk' reservoirs. Reservoir Panel Engineers are appointed for a period of five years and then must reapply and be reassessed before this term expires if they want to be reappointed.

There is a separate Reservoir Panel Engineer model in Scotland. This is identical in terms of the competence criteria, though the legislation does separate reservoirs into high, medium and low-risk and also requires a named Reservoir Manager to be appointed who is ultimately accountable for its safety.

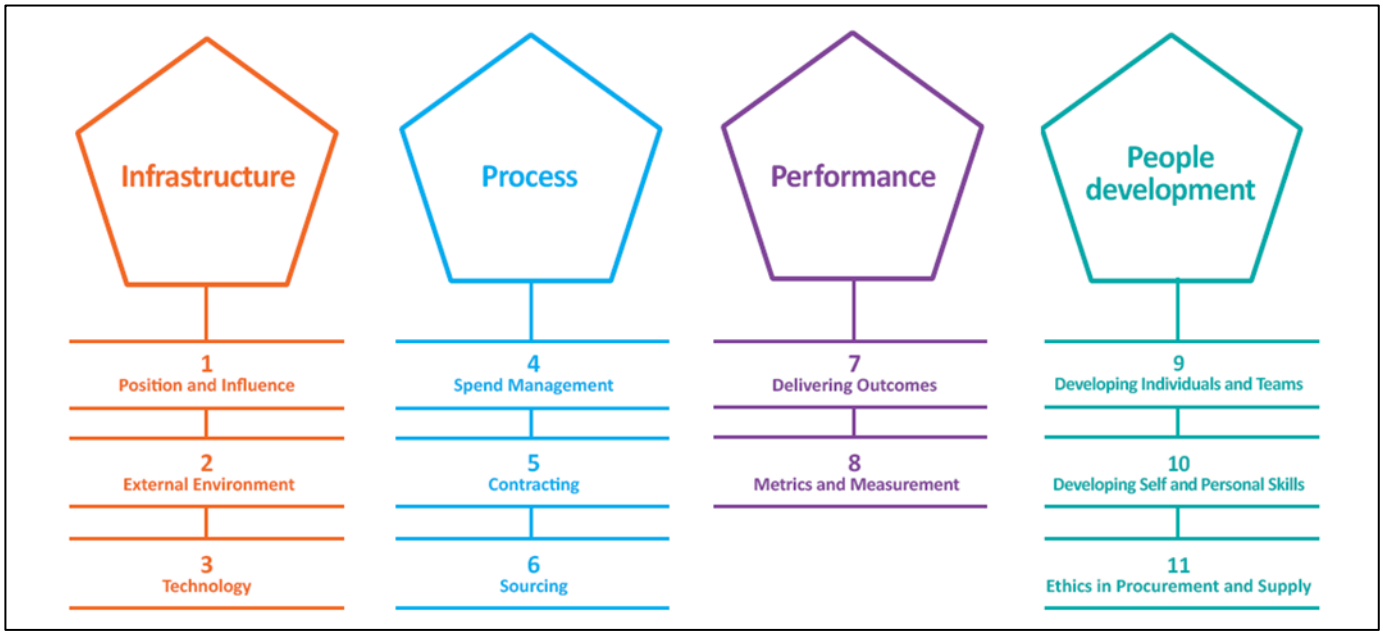
Working Group 11 - Procurement

Annex 11B - Core Competencies

This competence framework has been adapted for HRRBs from the CIPS Global Standard for Procurement and Supply[5]. The Standard sets the benchmark for what good looks like in procurement and supply at all levels and across all sectors.

The content of the CIPS Global Standard has been developed through consultation with an extensive, global panel of 3000 practitioners and academics drawn from the diverse sectors and skill sets inherent within the profession.

The Global Standard structure has four main pillars and contains eleven themes:



References to the specific sections in each of the themes are included in the detailed framework in Annex C.

Using the RIBA Plan of Work and the CDM Regulations 2015, a Procurement Competence Matrix has been created which defines four levels of competence for all of the key roles identified in the CDM Regulations. A Procurement Lead role has been added in recognition that dedicated procurement professionals are not currently involved in all required procurement activities identified for HRRBs.

It is important to emphasise that anyone involved in procurement activities throughout the supply chain has a responsibility to ensure that they possess the required competency set out in this document.

For substantial changes to building integrity or any major refurbishments, the procurement activities must be repeated from RIBA Stage 1 onwards.

[5] https://www.cips.org/en/knowledge/global-standard-for-procurement-and-supply/

Required Procurement Competence Matrix

	RIBA Stages							
[6] CDM Role	0 Strategic Definition	1 Preparation & Brief	2 Concept Design	3 Developed Design	4 Technical Design	5 Construction	6 Handover & Closeout	7 In Use
Client	Understanding	Understanding	Understanding	Understanding	Understanding	Understanding	Understanding	Understanding
Designer		Understanding	Understanding	Understanding	Understanding	Appreciation	Appreciation	
Principal Designer		Appreciation	Appreciation	Appreciation	Appreciation	Appreciation		
Principal Contractor			Appreciation	Understanding	Understanding	Understanding	Understanding	
Contractor					Appreciation	Appreciation	Appreciation	Appreciation
Worker						Awareness	Awareness	Awareness
Procurement Lead	Comprehensive	Comprehensive	Comprehensive	Comprehensive	Comprehensive	Comprehensive	Comprehensive	Comprehensive

Competency Rating Bands[7]:

Level 1 - Awareness

The individual has a basic knowledge of the subject and how it relates to their role

Level 2 – Appreciation

The individual has general background knowledge of the subject but may require the specialist input of others to assess compliance

Level 3- Understanding

The individual has sufficient knowledge of the complexities involved in order to make independent decisions and assessment in controlling compliance of procurement for typical building work relating to an HRRBs, including utilising input from other specialists

Level 4 – Comprehensive

The individual has sufficiently detailed knowledge and skills to make decisions on complex issues relating to procurement in the design and construction of HRRBs and the ability to commission and interrogate specialist assistance where necessary

[6] Construction (Design and Management) Regulations 2015 (CDM 2015) – definitions of roles detailed in Glossary

[7] Competency rating bands as discussed in Working Group meeting and adapted from WG6 Competency Framework

Assessment of Competency Rating Bands

Level 1 - Awareness

To ensure **Awareness** of the subject matter relating to the competencies set out in the 'Procurement Competency Framework for Higher Risk Residential Buildings (HRRBs)' E-Learning could cover this form of assessment, it would be widely accessible and records easily maintained for those who had undertaken the learning. On completion, the individual is therefore confirming their **Awareness** of the subject matter relevant to their role.

Level 2 – Appreciation

To ensure **Appreciation** of the subject matter relating to the competencies for a role that an individual undertakes as set out in the 'Procurement Competency Framework for Higher Risk Residential Buildings (HRRBs)' e-learning could cover this form of assessment with some focussed activities to test that their knowledge and understanding is stretched beyond **'Level 1 Awareness'** to **'Level 2 Appreciation'**. This would be widely accessible and records electronically maintained at point of data capture for those who undertake the learning. On completion, the individual is therefore confirming their **Appreciation** of the subject matter relevant to their role.

Level 3- Understanding

To ensure **Understanding** of the subject matter relating to the competencies for a role as set out in the 'Procurement Competency Framework for Higher Risk Residential Buildings (HRRBs)' individuals undertaking roles that are required to evidence a competency of '**Level 3 Understanding**' would undertake an assessment that is measured through a series of questions that will test knowledge and understanding of the subject matter. These questions are set against the competencies themselves and test the knowledge that is required to achieve the competency statements set out in the framework. On completion, the individual is therefore confirming their **Understanding** of the subject matter relevant to their role.

CIPS has agreed to develop the **'Level 3 Understanding'** questions and adapt the existing CIPS Competence Assessment Tool so that it can be used for this purpose across the construction industry.

A range of learning interventions and supporting activities will be mapped against the competencies so individuals can fill any identified gaps in their knowledge or understanding.

Level 4 – Comprehensive

To ensure a **Comprehensive** knowledge, understanding and experience of the subject matter relating to the competencies for a role as set out in the 'Procurement Competency Framework for Higher Risk Residential Buildings (HRRBs)' individuals undertaking these roles are required to evidence competency at **'Level 4 Comprehensive'.** This would require individuals to undertake an online assessment that will test knowledge and understanding of the subject matter. These questions are set against the competencies and test the Knowledge and Understanding that is required to achieve the competency statements set out in the framework. To satisfy the 'Experience' requirement of the subject matter, the role holder will also be required to produce a 'professional paper' (format to be defined) that can evidence practical application of the required competencies in the context of HRRBs which can be verified and validated. There would be an additional requirement every 2 years for the role holder to evidence they are keeping up to date and current with the complex issues relating to procurement in the design, construction, refurbishment and management of HRRBs.

An open register would be maintained of individuals who have successfully demonstrated their level of competence appropriate to their role.

CIPS has agreed to develop the **‘Level 4 Comprehensive’** questions and adapt the existing CIPS Competence Assessment Tool so that it can be used for this purpose across the construction industry. CIPS can also develop the approach to assessing Experience, if there isn’t an existing approach that can be used. CIPS can also adapt the current Procurement Professional Register that is on the cips.org website to have a specific HRRB section if required.

A range of learning interventions and supporting activities will be mapped against the competencies so individuals can fill any identified gaps in their knowledge or understanding.

Working Group 11 - Procurement

Annex 11C - Competence Framework

RIBA Stage: 0 – Strategic Definition
Identify client's Business Case and Strategic Brief and other core project requirements.

Procurement Activities – Understand the Business Need:
Consultation with multiple and in most cases cross-functional stakeholders and specialists to develop the required depth of understanding of the strategic brief including sustainability aspirations and the implementation and future change management process. Understand risk and building safety issues, including fire safety. Understand budget and programme management. Commence record keeping, accountability and auditing processes. Source specialist services

(R*ef. CIPS Procurement Cycle Stage 1 - Understand the Business Need)*

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**

• Actively lead the development and promotion of effective business cases, acquisition and category strategies with stakeholders that reflect organisational objectives and building safety. Promote the consideration of the consequences of decisions that impact on suppliers and supply markets and to create a culture of innovative sourcing solutions, consider a market which may not already exist
• Develop appropriate and safe strategies and plans for the adoption of collaborative strategies via Early Contractor Involvement (ECI) and supply chain collaboration.
• Contribute to the programming and risk management at early preconstruction planning stage and promote its practice by internal and external stakeholders.
• Encourage collaboration between procurement/supply chain personnel with stakeholders to develop effective category strategies including building safety.
• Develop and instigate approaches with stakeholders to support collaborative business relationships using appropriate standards and frameworks
• Contribute to investment appraisal and decisions undertaken by internal and external stakeholders so that total costs of ownership are understood-and the best investment decisions can be made, with an overall focus on safety and quality
	• The building safety requirements for HRRBs, including building safety file, and those responsible for developing them
	• For existing HRRBs - the safety and integrity of the building, how it has been built and to what specification
	• The sources of organisational competitive advantage such as:
	  ○ sources of differential advantage
	  ○ product/service range
	  ○ brand image
	  ○ customer care
	  ○ social value
	  ○ best value
	  ○ other order winning criteria
	• The application of both collaborative and competitive strategies, where appropriate, for improving supply chains and how they differ in their application
	• The implications of ISO44001 and other frameworks and standards that create partnering and collaborative approaches to supplier relationship management
	• Approaches to demand forecasting and balancing demand with supply
	• The use of technology transfer. Making decisions on capital investment
	• Understanding of business cases
	• The advantages of adopting BIM across the whole lifecycle of the building and good data management principles for better integration and collaborative working and the adoption of a whole life approach to the asset.
	• The importance of good administration, recording procurement decisions and overall

• Source specialist services required for the design and development of HRRBs	transparency of the process

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Process Pillar, Theme 4 ‘Spend Management’, Segment 4.7 ‘Developing Operational Expertise in Procurement’.

RIBA Stage: 1 – Preparation & Brief

Develop project objectives including quality objectives and project outcomes, sustainability aspirations, project budget, other parameter or constraints and develop initial project brief. Undertake feasibility studies and review of site information.

Procurement Activities – Develop Strategy & Plan:

Scope out spend and project budget. Identify potential main and contractors and degree of competition in the construction market place.

Research options to source and select team members and the wider supply-chain, including (if adopting a principal contractor procurement solution) the benefits of early contractor involvement to design a solution that maximises safety for the end user and meets the project objectives.

Conduct pre-market engagement with potential team members to develop evaluation for issues and all new applicable environmental, safety and risk legislations.

Consider whether project team is client or contractor led.

Decision on the appropriate procurement route.

Source specialist services.

(*Ref. CIPS Procurement Cycle Stage 3 – 'Develop Strategy & Plan')*

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**
• Encourage the use of project partnering and strategic partnering throughout the sector through demonstrating effective leadership skills and recommending the use of appropriate partnering tools including a pre-construction timetable of activities, risk register and open-book pricing. • Participate in consultations and other events to guide the development of Model Form contracts and industry practice • Encourage the adoption and use of standards that identify, manage and mitigate risks in the supply chain, particularly relating to building safety during both construction and occupation • Research the construction, services and facilities management market to understand contractors and suppliers capabilities, capacity and profitability • Encourage a costing and price evaluation strategy that ensures life and building safety outcomes are not compromised for cost reduction. • Carry out cost analysis for the project covering the full operation of the asset over time	• The impact on supply chain relationships of undertaking major programmes and projects. • The risks associated with project management, safety, and the use of incorrect procurement processes • The use of contractual mechanisms to manage the procurement, pre-construction and construction phases of a project to ensure safety outcomes, including performance metrics. • The advantages and disadvantages of different Model Form contracts in the HRRB environment and the suitability of the contract to support the achievement of the project outcomes. • Benchmarking of programmes and projects. The principals, tools, processes and best practices in management of contracts and supplier performance • Appropriate routes to market and relationship strategies • The forms of alternative dispute resolution including adjudication, mediation, conciliation and expert determination and negotiation as a preference to litigation and

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**

• Understand cost, value and price and the need to select all suppliers on best value not simply lowest price.
• Consider social value initiatives, proportionate to the value of the project, mechanisms of measurement and how success will be defined.
• Understand integrated project process mechanisms via which safety, quality and efficiency can be improved including:
  ○ Agreeing mutual objectives
  ○ Open communication
  ○ Commitment to continuous improvement
  ○ Measuring progress
  ○ Active risk management
  ○ Resolving disputes
	arbitration.
	• The use of contract registers and the evaluation of the associated data and information
	• Balance scorecard decision making

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Process Pillar, Theme 5 ‘Contracting in Procurement & Supply’, Segment 5.7 ‘Leading Improvements in Contracting Practice’.

RIBA Stage: 2 – Concept Design

Prepare Concept Design, including outline proposals for structure design, building services systems, outline specifications and preliminary cost information along with relevant project strategies in accordance with design programme. Agree alterations to brief and issue final project brief.

Procurement Activities – Understand Market & Prepare Documentation:

Conduct pre-Procurement route to market evaluation for principal contractors & key contractors and test & market engagement. Understand competitiveness of Construction market.

Identify risk and safety issues and all new applicable environmental, social, safety and risk legislations.

Develop sourcing strategy and supplier selection process recognising overarching policy and plan e.g. SMEs, sustainability aspirations, single stage tendering, principal contractor, competitive dialogue etc.

Select and develop the appropriate documents: Standard Selection Questionnaire (SQ)/Pre-Qualification Questionnaire (PQQ), Invitation to Tender (ITT) and Request for Quotation (RFQ).

Source specialist services.

(R*ef. CIPS Procurement Cycle Stage 3 – 'Develop Sourcing Strategy & Plan', Stage 4 –'Pre-Procurement Market Testing' and Stage 5 – 'Develop Documentation')*

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**

• Develop approaches to mitigate the impact of the supply chain that could adversely affect the reputation of the organisation and contribute to the use of risk pathways by the organisation
• Take calculated risks in the development and implementation of sourcing plans to deliver innovative solutions for the organisation and assigns risks to the party best placed to manage them
• Monitor and evaluate developments in legal issues that affect sourcing decisions in supply chains and advise colleagues and strategic stakeholders on actions that can be taken to mitigate risks
• Develop and communicate an assessment of risks using intelligence and alerts to manage emerging risks from external influences such as cyber security, disruptive technologies, counterfeiting and fraud
• Develop strategies that deliver genuine value for the organisation and promote social value
• Understand and apply the qualification requirements specifically for HRRBs into the supplier selection process
• Consider price evaluation formulae to be adopted in the works tender process, appreciate the risks of using a relative pricing model even when combined with quality criteria.
	• The impacts of risks on the reputation of organisations. The use of risk assessments and approaches to manage risks in sourcing plans. The use of standards for risk management such as
	  ○ ISO 22301
	  ○ ISO 27001
	  ○ BS 31000
	• The main implications of globalisation on supply chain management and their bearing on risk such as:
	  ○ Global logistics
	  ○ Supply chain vulnerability
	  ○ Ethical sourcing
	  ○ ISO 20400 – sustainable procurement
	  ○ The local versus global dilemma
	• Emerging risks such as cyber security, disruptive technologies, counterfeiting and fraud
	• The impact of key legislation and regulations on competition law, licensing, tariffs and duties on imports and applicable law for international contracts
	• The use of insurances for protection against risks in supply chains including: business interruption, credit protection, import/export, public and employers liability and professional indemnity

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**

• Develop a procurement strategy to provide structure to all procurement activities for the project including:
  ○ Sourcing and supply chain overview
  ○ Key market risk and opportunity analysis
  ○ Proposed procurement route
  ○ Pricing / contract strategy
  ○ Sustainable Procurement impact assessment
  ○ Integration with asset management strategy
  ○ Facilities Management requirements for the occupied building
  ○ Warranty and guarantee requirements for key materials
  ○ Procurement schedule with key dates for procurement activities
	• The benefit of undertaking "dry runs" of different evaluation methodologies and criteria to ensure that the adopted evaluation tool for the Project achieves the desired outcomes.
	• The use of a Project Bank Account or other means to ensure fair payment terms flow down the supply-chain.
	• Social value considerations
	• The risk of using a relative pricing model which incentivises lowest price bidding and alternative price evaluation models which may undercut quality or safety outcomes
	• The need for whole life cost analysis and its ability to positively affect design considerations

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Process Pillar, Theme 6 ‘Sourcing in Procurement & Supply’, Segment 6.10 ‘Evaluating and Advising on Risks in Strategic Procurement and Supply’.

RIBA Stage: 3 – Developed Design

Prepare Developed Design, including coordinated and updated proposals for structural design, building services systems, outline specifications, Cost Information and Project Strategies in accordance with Design Programme.

RIBA Stage: 4 – Technical Design

Prepare Technical Design in accordance with Design Responsibility Matrix and Project Strategies to include all architectural, structural and building services information, specialist contractor design and specifications in accordance with Design Programme

Procurement Activities - Finalise Procurement Documentation, Select Supplier and Contract Award:

Develop documentation, detailed spec, tender documents. Tenders should set out how the solution that is proposed will produce safe building outcomes, approaching the building as a system. Develop contract T&Cs. Contracts to include sustainability, pricing, quality, functionality, time. Contracts to include risk mitigation and risk management. Assess construction market for capabilities and capacity. Conduct due diligence to gain insights into suppliers, size, capabilities, financials, strengths and weaknesses before assessing whether they should be included in the tender process. Carry out Third Party Certification (TPC) checks.

Principal contractor and contractors selection to participate in ITT, RFI, pre-negotiation, and SQ/PQQ. Bid & tender evaluation criteria, including fire safety risk mitigation, sustainability & Whole Life Costs. Identify contractors and contractors size, scalability, financial strengths and weaknesses.

Issue RFQ or tender along with fully developed bid, spec and contractual documentation & evaluation criteria including safety, sustainability requirements, goals, objectives and aspirations, approaching the building as a system, future facilities management requirements.

Bid/tender evaluation & validation, post-tender negotiation, reference checking, supplier audits and technical audits where appropriate.

Achieving added value for the organisation through effective commercial negotiation without compromise of safety outcomes.

Contract award & implementation recognising all aspects of change management and stakeholder engagement recognising safety and sustainability requirements.

Management of contractors, dispute resolution, change control. The forms of alternative dispute resolution including adjudication, mediation, conciliation and expert determination and negotiation as a preference to litigation and arbitration.

Identify and evaluate potential Facilities Management suppliers.

Capture all relevant procurement documentation in the building's digital record.

(*Ref. CIPS Procurement Cycle Stage 5 – 'Develop Documentation', Stage 6 - 'Supplier Selection', Stage 7 - 'Issue RFQ', Stage 8 - 'Bid/Tender', Stage 9 – 'Contract Award & Implementation')*

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**
• Ensure that all required details , specifications, safety requirements, sustainability requirements, KPIs, all stakeholder needs are entered onto requests for information requests for quotations, tenders or other documents used in the sourcing process • Liaise with internal stakeholders to review and clarify requirements to ensure that safety and value for money outcomes are achieved through the sourcing of goods or services • Develop and implement appropriate Sourcing Strategies for Construction requirements for both Contractors and contractors where required recognising sourcing options and risk mitigation and safety and environmental requirements. • Ensure compliance with human rights and ethical practices, including confidentiality and due process, and standards are documented and corrective actions and corrective action process and procedures are well documented. • Ensure appropriate pricing mechanisms for responsible procurement and Contractor and contractor performance is implemented and enforced through the contract terms and contract management. • Compare and evaluate potential Contractor and Contractor quotations, using the previously agreed evaluation criteria, and deal with any queries or concerns about completed documentation • Make recommendations and obtain approvals within delegated levels of authority for the placement or award of contracts • Ensure all applicable and required stakeholder contractual requirements are fully documented including specifications, evaluation criterial including sustainability, safety, time and performance. Include alternative dispute resolution and contract review mechanisms. • Manage the tendering and evaluation process, including: responding to queries; opening tenders; creating the evaluation committee; and debriefing suppliers. • Negotiate with suppliers to promote effective procurement in the stages of a sourcing process, taking steps to overcome conflict and challenges with suppliers and other stakeholder • Create plans and conduct clearly defined stages for commercial negotiations. • Demonstrate effective behaviours in	• Reviewing and clarifying requirements from internal stakeholders • The generation of requests for information or requests for quotations including - Required quality and safety - Pricing - Sustainability - Social Value - Third Party Certification - Delivery timescales - Required quantities - Other site information • The analysis and comparison of quotations to achieve quality, safe and value for money outcomes when creating purchase orders • Order placement and contract award • Performance and delivery aspects of the sourcing process • Taking account of sustainability in subcontracting. The use of subcontracting of work or services • Risks in subcontracting work or services such as: - The loss of control - Reputational damage - Increased costs - Service performance - Delays • The assessment of market factors in the development of a strategic sourcing or category management process such as: - Industry dynamics and pricing behaviour - Financial data on suppliers - Market demand and supply factors • The use of competition, direct negotiation or joint proposition improvement in strategic sourcing/category management • Effective and transparent tendering and evaluation processes • The types of approaches that can be pursued in commercial negotiations such as: - Collaborative (win/win) - Distributive (win/lose) - Pragmatic - Principled styles of negotiation • The stages of a commercial negotiation including, planning and preparation, opening, testing, proposing, bargaining and agreeing • The appropriate use of negotiations when tendering for Public Sector • The sources of power in commercial negotiations • Behavioural aspects of commercial negotiations including effective listening, the use of persuasion methods, the use of tactics

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**
conducting commercial negotiations that will help generate positive outcomes • Analyse the sources of power in commercial negotiations and promote the organisation's objectives • Demonstrate and encourage best negotiation practice in delivering added value.	and influence • The sources of added value to organisations that can be achieved through effective negotiation by improving elements such as - Safety (including safety of the building itself when completed) - Prices or total costs - Timescales - Quality - Innovation - Sustainability - Other sources of added value • KPI's for the final solution should focus specifically on the safety of the building • How to conduct value engineering procedures to achieve cost savings without undermining safety outcomes

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Process Pillar, Theme 6 'Sourcing in Procurement & Supply', Segment 6.1 'The Stages of a Sourcing Process', Segment 6.2 'Effective Tendering' Segment 6.6 'Effective Negotiation in Procurement and Supply' and Segment 6.8 'Developing Outsourcing'.

RIBA Stage: 5 – Construction

Offsite manufacturing and onsite Construction in accordance with Construction Programme and resolution of Design Queries from site as they arise.

RIBA Stage: 6 – Handover and Close Out

Handover of building and conclusion of Building Contract.

Procurement Activities - Contract Performance Monitoring and Management:

Continuous review of strategic Contractors and key contractors. Driving value, integration, efficiencies and cost management, profitability, environmental and safety regulations and added value. Periodic reviews of contract performance against Key Performance Indicators (KPI's) set out in the contract including discussions on how the relationship is working and resolving any conflicts. Review of ongoing safety and environmental requirements and legislation including fire safety. Create the right relationship and environment with suppliers to discuss continuous improvement, new developments and options for efficiencies and increased value add.

Maintain the golden thread throughout contract implementation by keeping key procurement individuals involved or carry out comprehensive handover.

Whole life costing, change management, risk mitigation, safety and environmental reviews to include end of life costs which should consider decommissioning, removal or disposal processes.

Early involvement and selection of suppliers responsible for ongoing building maintenance and management.

Capture all relevant procurement documentation in the building's digital record.

(R*ef. CIPS Procurement Cycle Stage 10 – 'Logistics & Operations', Stage 11 – 'Contract Performance', Stage 12 – 'SRM & SC Management', and Stage 13 – 'Asset Management')*

Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**
• Investigate procurement and supply chain issues through application and analysis of data to create appropriate recommendations for both principal contractor and contractors. Achieve sustainability of purchased goods and services promoting safety and sustainability throughout the supply chains. • Track milestones and activities including payments to suppliers Contractors and Contractors and cash flow. Liaise with Contractors and contractors and other stakeholders to ensure timely delivery of goods and services. • Evaluate metrics and KPI's that can be applied to measure performance and develop improvement plans with suppliers and stakeholders. E.g. building sustainability, safety, cost, payments. • Identify targets for the scheduling of	• Specifying data to support, problem diagnosis and decision making. Business case development and cost/ benefit analysis. The use of statistical analysis to examine issues affecting the performance of the supply chain • Deming's 'Plan, Do, Check, Action' (PDCA) cycle and approaches to quality management • Project identification and improvement strategies for the supply chain • Implementing metrics to measure the performance of the supply chain • Root cause analysis and the use of six sigma tools. • Methodologies for the development of supply chains such as: - European Foundation for Quality Management (EFQM) - Supply Chain Relationships in Action

deliveries of goods and services taking into account stakeholder and supplier feedback. • Assess Contractor competence in procurement to ensure safety outcomes in construction • Carry out lessons learned review to evaluate problems experienced in procurement and supply chain management and apply statistical methods for the development and implementation of improvement plans	(SCRIA) - Quality Assurance protocol - Balanced scorecard • When to include the Facilities and Building Management suppliers in the construction and handover stages

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Performance Pillar, Theme 7 ‘Delivering Outcomes in Procurement & Supply, Segment 7.8 ‘Applying Improvement Methodologies for the Supply Chain’.

RIBA Stage: 7 – In Use

Undertake In Use services in accordance with Schedule of Services.

Procurement Activities – Facilities Management & Maintenance: Supplier Performance Review:

Principal contractor and where applicable key contractor contract reviews. Review of KPI's and conflict resolution.

Review of ongoing safety and environmental requirements and legislation.

Maintain the golden thread by keeping key procurement individuals involved or carry out comprehensive handover.

Capture all relevant procurement documentation in the building's digital record.

(*Ref. CIPS Procurement Cycle Stage 11 – 'Contract Performance Review')*

NB. For substantial changes to building integrity or any major refurbishments, the procurement activities must be repeated from RIBA Stage 1 onwards.

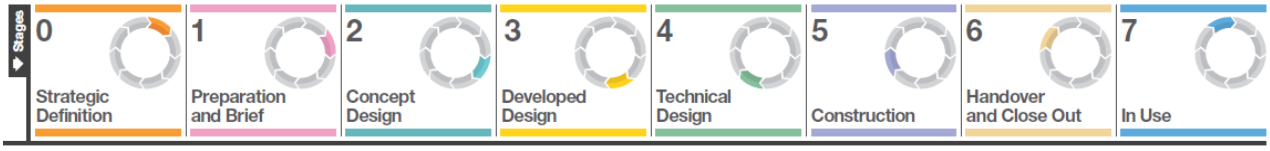
Capabilities **Will be able to:**	**Knowledge** **Will know and understand:**
• Ensure supplier relationship management processes are pro-actively executed to improve performance and service levels of Contractors and Contractors • Analyse whole life costs of purchased goods and services with remedial actions taken to reduce or avoid ongoing costs. • Ensure ongoing compliance to current and new legislations particularly in regard to safety, risk and sustainability • Conduct activities to close out contracts and evaluate learning from experience. • Ensure Facilities Management contracts are in place and operating effectively	• Promote innovation in the supply chain by using tools and techniques such as: - Cross functional working - Simultaneous engineering - Early supplier involvement - Supplier forums and associations • The use of technology to communicate data in supply chains • The use of KPIs that measure the performance of the procurement and supply chain function • The use of approaches for supplier development such as: - Knowledge and technology transfer - Collaborative product/service development - Continuous improvement reviews - Supplier capability assessments • How to review and monitor performance of suppliers using key performance indicators

N.B – Adapted from CIPS Global Standard for Procurement & Supply: Performance Pillar, Theme 7 'Delivering Outcomes in Procurement & Supply, Segment 8.7 'Developing Metrics for the Supply Chain'.

Working Group 11 - Procurement

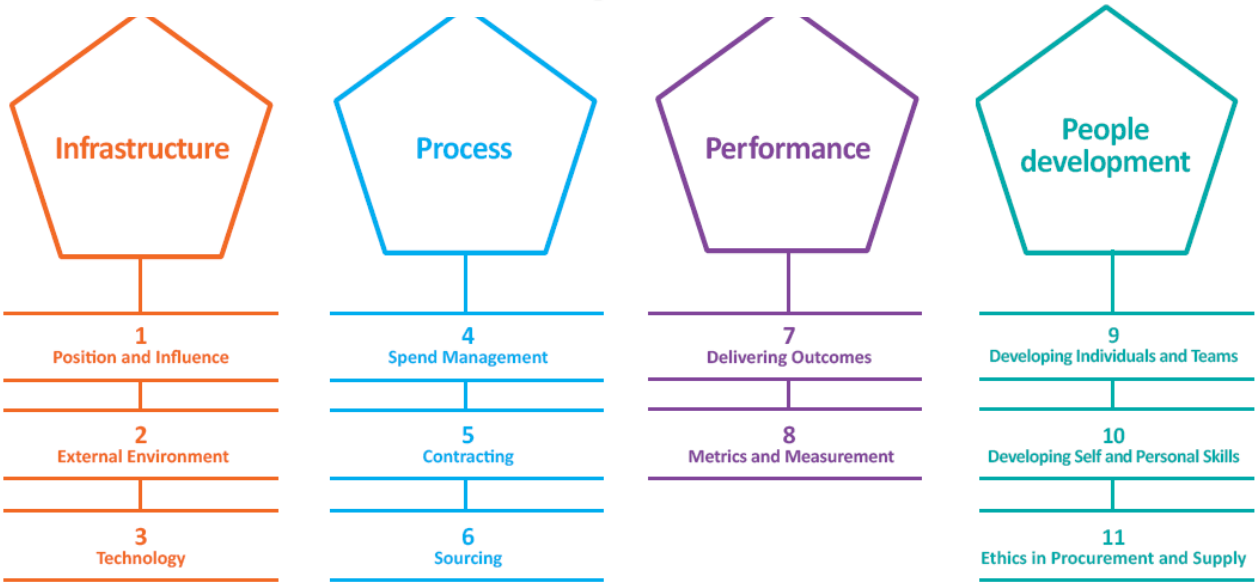
Annex 11D - Reference Materials

RIBA Plan of Work:



CIPS Procurement Cycle:

CIPS Global Standard Structure:



Working Group 11 - Procurement

Annex 11E - Glossary

Building Information Modelling (BIM)

A process for creating and managing information on a construction project across the project lifecycle

Category

The term category is used to define an area of organisational spend where the discrete groups of products and services can be segmented according to their function and usage. There are normally macro categories of spend (e.g. Facilities Management) and sub categories (e.g. Maintenance, Cleaning Services)

Category strategies

For a specific category of spend, a long term document that identifies strategies and plans to maximise value, reduce risk and effectively manage the supply of goods and/or services, fully aligned to internal and external customer requirements.

Client

Anyone who has construction work carried out for them. The main duty for clients is to make sure their project is suitably managed, ensuring the health and safety of all who might be affected by the work, including members of the public.

Contractor

An individual or business in charge of carrying out construction work (eg building, altering, maintaining or demolishing). Anyone who manages this work or directly employs or engages construction workers is a contractor. Their main duty is to plan, manage and monitor the work under their control in a way that ensures the health and safety of anyone it might affect (including members of the public). Contractors work under the control of the principal contractor on projects with more than one contractor.

Contract management

Contract management is the process of systematically and efficiently managing contracts with suppliers to make sure all the terms of the contract are met, maximising operational and financial performance and minimising risk.

Designer

An organisation or individual whose work involves preparing or modifying designs, drawings, specifications, bills of quantity or design calculations. Designers can be architects, consulting engineers and quantity surveyors, or anyone who specifies and alters designs as part of their work. They can also include tradespeople if they carry out design work. The designer's main duty is to eliminate, reduce or control foreseeable risks that may arise during construction work, or in the use and maintenance of the building once built. Designers work under the control of a principal designer on projects with more than one contractor.

European Foundation for Quality Management (EFQM)

The EFQM Excellence Model was introduced at the beginning of 1992 as the framework for assessing applications for The European Quality Award. It is a widely used organisational framework in Europe and has become the basis for a series of national and regional Quality Awards. The EFQM model is used as a management system that encourages the discipline of organisational self-assessment.

Principal Contractor

A contractor appointed by the client to manage the construction phase on projects with more than one contractor. The principal contractor's main duty is to plan, manage, monitor and coordinate health and safety during this phase, when all construction work takes place.

Principal Designer

A designer appointed by the client to control the pre-construction phase on projects with more than one contractor. The principal designer's main duty is to plan, manage, monitor and coordinate health and safety during this phase, when most design work is carried out.

Request for information (RFI)

A document used to gather information about suppliers and their capabilities prior to a formal procurement process

Sourcing plans

Are developed once the strategic sourcing strategy has been agreed. They should offer innovative and creative solutions to the organisation's requirements in support of the organisation's mission and objectives.

Sourcing strategy

Is a process not an isolated decision that will aim to continuously balance internal and external activities services and knowhow, to align business strategy, business process and product requirements and balance the results that must be achieved with future available options.

Strategic sourcing or category management process

Strategic sourcing is a fact based and systematic approach that organisations use to optimise the management of their supply chains. The approach should focus on improving the overall value proposition for the organisation.

Supply Chain Relationships in Action (SCRIA)

One of a series of tools that are designed to improve joint performance and relationships with suppliers , ensuring that the right people with the right behaviours and attitudes are in place to provide appropriate structures to ultimately improve supplier relationships.

Supplier relationship management (SRM)

A comprehensive approach to managing and capturing the post contract value from key business relationships. SRM encourages both parties to adopt a more collaborative approach and develop a closer relationship, generating more value from the relationship in terms of innovation and efficiency.

Total cost of ownership (TCO)

A structured approach to calculating the full costs associated with buying and using an asset or acquisition over its entire life cycle. TCO typically breaks down costs into the following categories: purchase price; acquisition costs which relate to bringing the product, service or capital equipment to the customer's location; usage costs which refer to converting the purchase into the finished product and supporting it through its usable life; end-of-life costs defined as the costs arising when a product, service, or capital equipment reaches the end of its usable life, including obsolescence, disposal, cleanup, and project termination costs.

Worker

An individual who actually carries out the work involved in building, altering, maintaining or demolishing buildings or structures. Workers include: plumbers, electricians, scaffolders, painters, decorators, steel erectors and labourers, as well as supervisors like foremen and chargehands. Their duties include cooperating with their employer and other dutyholders, reporting anything they see that might endanger the health and safety of themselves or others. Workers must be consulted on matters affecting their health, safety and welfare.

Working Group 12 – Products: Scope

Annex B

IRG Competences for Building a Safer Future

Working Group 12 - Products

1.00 TOR from CIC steering group

Separate document.

2.00 Definition of Competence from CIC steering group

Separate document.

3.00 Principle of the products group

3.01 Sources

To support the work of the other competence workstreams and to develop the recommendations of the Independent Review of Building Regulations and Fire Safety: Final Report by Dame Judith Hackitt, that said in respect of competence and products with the key relevant references for the product group highlighted:

Competence: Recommendation 5.1

The construction sector and fire safety sector should:

a. Demonstrate more effective leadership in relation to developing a responsible approach to delivering building safety and integrity;
b. Work with other sectors to learn and translate good practice and implement it within the sector; and
c. Develop continuous improvement approaches to competence levels.

Competence Recommendation 5.2

a. The professional and accreditation bodies working within the construction and fire safety sectors should continue the work started in response to the interim report and present a coherent proposal to government within one year. As a minimum, this proposal should cover the role and remit of an overarching body to provide oversight of competence requirements and support the delivery of competent people working on high rise residential buildings (HRRB's), including:
    - the professional bodies, professions and disciplines in scope;
    - its membership and governance;
    - its role in receiving, agreeing and monitoring the individual competence frameworks for those bodies, professions and disciplines in scope for individuals within their membership or on their register, and/or whether a single competence framework for professional bodies in scope should be established;
    - its role in agreeing and monitoring accreditation and reaccreditation, and the period within which the competence of individuals should be reassessed and reaccredited;
    - its role in establishing a method for demonstrating or proving competence;
    - how the correct balance between construction sector skills and fire safety skills should be balanced; and

- whether the competence requirements for those working on HRRBs should also be extended to cover other multi-occupancy residential buildings and to institutional residential buildings.

b. Progress should be monitored by government, with the professional and accreditation bodies providing government with quarterly progress reports.
c. If government does not consider that the proposed approach provides the necessary assurance to the JCA, or there is evidence that the fragmented approach to the oversight of competence will continue, then government should mandate a body to establish the competence levels required and oversee its implementation.

Competence: Recommendation 5.3

Relevant parties, along with the relevant professional bodies, should:

a. Continue to work together to develop a new common approach and competence framework which meets the requirements of the new regulatory framework and the new skills required of Building Standards Inspectors when working on HRRBs, and those offering consultancy and verification services to dutyholders.
b. This framework should apply to all Building Standards Inspectors whether they are LABS Inspectors and part of the JCA or AIs offering their services to Building Standards or to dutyholders.
c. Consider whether these competence requirements for Building Standards Inspectors working on HRRBs, and AIs, should also be extended to cover those working on other multi-occupancy residential buildings and institutional residential buildings.

Competence Recommendation 5.4

Relevant parties should work together, along with the relevant professional bodies, to develop and define a robust, comprehensive and coherent system for:

a. The competence requirements for the role of building safety manager of HRRBs; and
b. The remit of this role in introducing and overseeing the process by which residents in HRRBs would be able to access fire safety awareness training

Products: Recommendation 7.1

a. Clearer, more transparent and more effective specification and testing regime of construction products must be developed. This should include products as they are put together as part of a system.
b. Clear statements on what systems products can and cannot be used for should be developed and their use made essential. This should ensure significantly reduced scope for substitution of any products used in a system without further full testing. Until such time, manufacturers should ensure that they adhere to the current limitations set out in classification reports in the current regime.
c. The scope of testing, the application of products in systems, and the resulting implications must be more clearly communicated in plain, consistent, nontechnical language.

3.02 Product Group: Response

(a) The product group response to the recommendations identifies with the principle that industry collectively needs to raise its game. A higher level of competence is needed across all areas. Frameworks and new arrangements are being developed elsewhere that support this work. The products group will assume that many of the wider mechanisms will be in place and will compliment and coordinate with this work.

(b) Manufactures and those who work closely with them, are best placed to identify the skills and levels of competence needed by others to ensure proper deployment of their products in buildings. This becomes essential when the products have a life-safety purpose. However, this needs to be supplemented by input from other stakeholders, such as (but not limited to) building designers, installers, and inspectors / enforcers.

(c) This group will look at the required level of knowledge, skill, and experience needed to ensure that in particular products falling in to the life safety purpose category can be identified, explained and used on projects successfully.

Once identified an industry wide set of principles can be agreed that will make both individual product and multiple product combination understanding a requirement across all those directly involved in the industry, ensuring that the bar of competence in this respect is raised.

(d) There are crossovers with other areas of competence and it is not intended to conflict with or replace those but to compliment them in the area of products and product details.

It is intended to set standard for competence of those working with products materials with special reference to those with life safety implications.

(e) Additionally, the 'golden thread' of building information requires good product information to be made available, communicated and retained through procurement, design and construction, being part of the regulatory oversight process and passed across to and retained as part of a digital record for future building owners.

4.00 Scope

(a) The scope of this work shall cover all construction materials, products (including product interactions / systems) that are a fixed part of the completed building. There will be special emphasis for all products with life-safety implications but not limited to fire and not limited to high rise residential buildings (HRRB's).

(b) Establish the principles behind the qualities needed (skill knowledge and experience) for the correct selection and implementation of products used for creation of an asset.

(c) Identify a framework that can be used by those across an asset life and in particular for the other competence working groups 1-11 to establish an adequate level of competence.

(d) Feedback the implications of the framework to the other 11 working groups.

(e) Devise and publish an implementation plan and the procedures and processes for continued verification that the framework is delivering the effects needed.

(f) Ensure that the framework is integrated with the other parts of the 'post Hackitt reforms' or any other areas of the industry that would benefit from its use.

5.00 Skills experience and knowledge required, provisionally

Understanding, knowledge and experience required of those selecting, supplying, specifying, procuring and installing products:

- of the context of the use in which the product is to be used in new build and refurbishment of reliable and appropriate sources of information relating to product performance and fitness for purpose;
- of what is required and what is possible of a product in normal use;
- of what substrate or existing system or systems the product is to be applied to and how it may affect performance characteristics;
- of performance available and required;
- of the testing and certification process involved and the manner these are normally expressed;
- of technical information language standards context interpretation;
- of applications and relationships / interactions with other products, applications;
- of maintenance and repair checks appropriate practice;

- of potential risks associated with misuse of product;

6.00 Existing schemes and sources of compliance to this standard

(a) Review and consider all existing schemes and source that may contribute.

(b) Identify and communicate with existing schemes, and identify how this framework would synchronise with them producing convergence or common aims.

7.00 Regular updates and currency

Ensure that the process is future-proofed and reviews new areas for alignment and inclusion. In addition establish rules for the ownership of the committee output and a framework for updating the framework.

8.00 Links with regulation and standards

(a) Wherever possible any links to regulation and standards or trade body codes to be identified.

(b) Wherever possible links to standards to be identified.

(c) Input to the group from other Working Groups, for example, those related to installation and those related to design. This will help to ensure robust competence criteria are developed and appropriate competence management systems are put in place.

9.00 Structure

Use common industry forms such as the RIBA plan of work to identify the requirements of the framework for each stage of a project.

10.00 Plan of work

(a) Stage 1 Q4 2018 - Set Up and Concept

- Formulation of working group
- Establish scope terms of reference for the group
- Identify the key principles

(b) Stage 2 Q1 2019 - Research and Drafting

- Establish any other relevant references from across industry and overseas that may help
- Set up the basic requirements for product competence
- Identify any key characteristics

(c) Stage 3 Q1/2 2019 - Detail Formation

- Draw up details of the framework process and procedures basic requirements
- Identify any special requirements for key stages
- Identify any special requirements for specific product sectors

(d) Stage 4 Q3 2019 – Prototype and Test

- Run tests and prove process
- Embody feedback in to final model

(e) Stage 5 Q4 2019 - Implementation

- Launch and roll out
- Integrate with other reform processes that may be relevant

[end]

Working Group 12 – Products

Annex C Competent ‘SAKE’ Grade Matrix

1.0 Introduction

1.1 Products are a critical element to all and every construction project. The choice, specification and ultimately performance of each individual component is critical to the ability provide the overall performance that is expected and required. We have seen that for various reasons the process (in particular with safety critical items, and the assurance of anticipated outcomes being delivered) is crucially broken.

1.2 Often inappropriate products are used, or products are used in inappropriate combinations. A rethink is required, and that begins with the interactions over the choice, procurement, installation of and maintenance of. This is particularly crucial in regard to safety critical products, materials and product combinations.

1.3 The work undertaken by this group has broken down the problem in order to identify the criteria needed by all of those interacting with products. The approach is to:

1. Use familiar industry standards – the RIBA Plan of Work extended into retrofit and BS EN 15804:2012+A1:2013 Sustainability of construction works: identified stages – to map the life stages of an asset
2. Highlight significant actors involved (this has been contained to a simplified view, as to include every role would be impractical)
3. Create an applicable cascade of competence for product interactions ranging from the very simple basic understanding of products (Grade E) to the expert and technically adroit (Grade A)
4. Apply competence ratings to each ‘actor’ at each relevant stage of the asset life, creating a matrix of expected competence.

1.4 This matrix will signpost everyone across the industry to be aware of the minimum level of understanding needed to safely interact with a product.

1.5 The standards set have been generated by a peer group and ultimately professional judgement. Included are the key criteria to identify each level of expected product competence.

1.6 The proposal is at prototype stage and further review of the product competence standards should be undertaken.

2.0 Grades of Product Competence

2.1 The different grades of product competence are outlined in *table 1*.

3.0 Competent ‘SAKE’ Grade Matrix

3.1 To see the template, see *image 1*.

3.2 To see the template with an example of it used on a curtain wall system (standard aluminium and glass) see *image 2*.

Table 1 – Product Competence Grades

Grade	Attributes	Short description	Example
E	Size		
	Colour		
	Finish		
	Shape		
	Prime functions	General level of what the products and construction element should and should not do.	Wall system - should protect from weather, provide thermal insulation, security, be fire safe.
D	All attributes as outlined in E		
	Other relevant functions	Other performance features of product that should be considered.	Wall system – acoustic performance, condensation, thermal bridging, shading.
	Outline specification (specified as)	Scrutiny of general performance once full details of location are understood as a stand-alone product.	Proximity to boundary – size, distance etc. in general terms.
	Outline specification (installed as)	Scrutiny of general performance once full details of location are understood as part of a system or assembly	Adjacent to window: fire barrier required.
C	All attributes as outlined in D		
	Quality limited by initial cost	Balancing cost vs. performance, clear knowledge of performance to fit brief.	Door with paint finish / veneer / solid wood.
	Quality limited by installed performance over time	Balancing initial performance vs. performance whilst in use.	Ensuring hinges are strong enough to bare load over intended life.
	Maintenance as per specification	Understanding standard maintenance requirements as a stand-alone products.	
	Product substitution	Implications of substituting one product for another and its consequences.	
B	All attributes as outlined in C		
	Performance limited by installation quality	Scrutiny of detailed performance once full details of installation quality are considered.	Crushable insulation in too small a space – air reduction reduces insulation performance.
	Performance limited by location within the asset	Scrutiny of detailed performance once full details of location within the asset are understood.	Proximity to boundary – size, distance, typography, geometry, characteristics of boundary condition (fire resisting, water resisting etc.)

	Performance limited by neighbouring products	Scrutiny of detailed performance once full details of location in relation to neighbouring products are understood.	Plasterboard in a bathroom or location with water ingress.
	Performance limited by environmental conditions	Scrutiny of detailed performance once full details of the environment of the asset containing the product are understood.	Conditions on the coast.
	Maintenance limited by the asset	Understanding of maintenance requirements as part of the system and asset	Fire door standard maintenance frequency requirements may increase according to higher than average use or regular impacts (e.g. in a hospital)
A	All attributes as outlined in B		
	Life limited by	Full understanding of all interactions in the element and the whole building, including maintenance and end of life.	Whole life cost, whole life environmental cost.

Image 1: Competent Sake Grade Matrix - Template

RIBA Plan of Work Stages			RIBA 0	RIBA 1	RIBA 2	RIBA 3	RIBA 4	RIBA 5	RIBA 6	RIBA 7	Retrofit								BS EN 15804:2012+A1:2013 Sustainability of construction works: Identified Stages				
																			End of Life Stage				Benefits and loads beyond the system boundaries
Actor	Possible Title / Job / Role	Function	Strategic Definition	Preparation and Brief	Concept Design	Developed Design	Technical Design	Construction	Handover & Closeout	In Use	RIBA 0 Strategic Definition	RIBA 1 Preparation and Brief	RIBA 2 Concept Design	RIBA 3 Developed Design	RIBA 4 Technical Design	RIBA 5 Construction	RIBA 6 Handover & Closeout	RIBA 7 In Use	C1 Deconstruction demolition	C2 Transport	C3 Waste processing	C4 Disposal	D Reuse, recovery, recycling potential
Owner	Client	Person or body that owns the built asset																					
Client	Client, Project Manager etc.	A person or body commissioning the services for the built work.																					
Consultant	Architect, Engineer, Quantity surveyor etc.	Member of a professional body providing consultancy services																					
Procurer	Client, contractor, quantity surveyor etc.	Person or body purchasing and obtaining resources, products, services etc.																					
Contractor	Tier 1, tier 2, supply chain etc.	A person or body that undertakes a contract to provide materials or labour to construct or perform the implementation the installation																					
Installer	Supervisor	A person supervising activity of placing or fixing products, equipment or machinery in position ready for use																					
Installer	Operative	A person who places or fixes products, equipment or machinery in position ready for use																					
Distributer / Supply Chain	Trade distributer, supply chain	Suppliers of construction products or other related services																					
Manufacturer	Marketing	Representative of product manufacturer promoting products or services, including market research and advertising																					
Manufacturer	Technical	Representative of product manufacturer who develops specifications relating special knowledge involving their product and application, including technical sales representatives																					
Building Control	LABC, approved inspector	Person or body responsible for overseeing the works and seeing that construction regulations are followed																					
Planning		Local Authority department operating the planning system																					
Fire Service	Prevention, operation	Organization responsible for preventing and fighting fires and emergencies																					
Quality Control	Anyone who is a Duty Holder, Project Manager, Clerk of Works, Site Supervisor etc.	Person or body responsible for checking standards of products by inspecting, testing, observation and comparison against published data and/or specification																					
Insurer of Asset		Insurer of the built asset / environment																					
Fire Risk Assessor		A person responsible for carrying out fire risk assessments of the built structure.																					
Building Management		Supervisor of hard and soft services in the built structure.																					
Maintenance	Operative	A person or body maintaining the elements and systems within the built structure.																					
Occupiers	Owner occupiers, tenants	Person or company residing in or using the property as its owner or tenant.																					
Decommissioner		Person or body withdrawing products / systems / assets / whole built environment etc. from service.																					

Image 2: Competent Sake Grade Matrix - Curtain wall system - standard aluminium & glass (EXAMPLE)

RIBA Plan of Work Stages													Retrofit								BS EN 15804:2012+A1:2013 Sustainability of construction works: Identified Stages				
																					End of Life Stage				Benefits and loads beyond the system boundaries
Actor	Possible Title / Job / Role	Function	RIBA 0 Strategic Definition	RIBA 1 Preparation and Brief	RIBA 2 Concept Design	RIBA 3 Developed Design	RIBA 4 Technical Design	RIBA 5 Construction	RIBA 6 Handover & Closeout	RIBA 7 In Use	RIBA 0 Strategic Definition	RIBA 1 Preparation and Brief	RIBA 2 Concept Design	RIBA 3 Developed Design	RIBA 4 Technical Design	RIBA 5 Construction	RIBA 6 Handover & Closeout	RIBA 7 In Use	C1 Deconstruction demolition	C2 Transport	C3 Waste processing	C4 Disposal	D Reuse, recovery, recycling potential
Owner	Client	Person or body that owns the built asset		E	E	E			E	E								E	E	E	E	E	F
Client	Client, Project Manager etc.	A person or body commissioning the services for the built work.	E	D	D	D			D	D								D					
Consultant	Architect, Engineer, Quantity surveyor etc.	Member of a professional body providing consultancy services	E	D	C	B	A	A	A		D	C	B	A	A	A	A						
Procurer	Client, contractor, quantity surveyor etc.	Person or body purchasing and obtaining resources, products, services etc.			C	C	C	B	B				C	C	C	B	B						
Contractor	Tier 1, tier 2, supply chain etc.	A person or body that undertakes a contract to provide materials or labour to construct or perform the implementation the installation				D	C	B	B				C	C	B	B	B						
Installer	Supervisor	A person supervising activity of placing or fixing products, equipment or machinery in position ready for use						B								B							
Installer	Operative	A person who places or fixes products, equipment or machinery in position ready for use						C								C							
Distributer / Supply Chain	Trade distributer, supply chain	Suppliers of construction products or other related services			E	C	B	B	B				C	B	B	B	B						
Manufacturer	Marketing	Representative of product manufacturer promoting products or services, including market research and advertising			D	D																	
Manufacturer	Technical	Representative of product manufacturer who develops specifications relating special knowledge involving their product and application, including technical sales representatives			C	B	A	A	A				B	A	A	A							
Building Control	LABC, approved inspector	Person or body responsible for overseeing the works and seeing that construction regulations are followed			D	D	D	B	B				D	D	D	B	B						
Planning		Local Authority department operating the planning system			D			D					D			D							
Fire Service	Prevention, operation	Organisation responsible for preventing and fighting fires and emergencies			D	D	D	B	B	B			D	D	D	B	B	B					
Quality Control	Anyone who is a Duty Holder, Project Manager, Clerk of Works, Site Supervisor etc.	Person or body responsible for checking standards of products by inspecting, testing, observation and comparison against published data and/or specification			C	B		B	B				C	B		B	B						
Insurer of Asset		Insurer of the built asset / environment		E	E	C		B	B	B		E	E	C		B	B	B					
Fire Risk Assessor		A person responsible for carrying out fire risk assessments of the built structure.								C								C					
Building Management		Supervisor of hard and soft services in the built structure.								A	D	C	B	A	A	A	A	A	E	E	E	E	F
Maintenance	Operative	A person or body maintaining the elements and systems within the built structure.								C								C					
Occupiers	Owner occupiers, tenants	Person or company residing in or using the property as its owner or tenant.								E	E	E	E	D+	E	D+	E	E					
Decommissioner		Person or body withdrawing products / systems / assets / whole built environment etc. from service.																	A	B	B	B	B

Working Group 12 – Products

Annex D

Definitions of Competence and 'SAKE' – Skills, Attitude, Knowledge and Experience

1.0 Definition of Competence

1.1 **Competence**

Competence *[The] ability to apply knowledge and skills to achieve intended results*

Source: ISO/IEC17021-1:2015 *Conformity assessment – Requirements for bodies providing audit and certification of management systems Part 1: Requirements.* Clause 3.7

2.0 The origins and definitions of 'SAKE'

2.1 Origins

2.1.1 WG12 reference Bloom's *Taxonomy of Educational Objectives, Handbook I*, in which is defined the three 'domains':

- Cognitive: mental skills (**knowledge** – thinking)
- Affective: growth in feelings or emotional areas (**attitude** or self-feeling)
- Psychomotor: manual or physical skills (**skills** – doing)

2.1.2 WG12 also identified that **experience** is a key component of competence. It frames a more diverse understanding of unforeseen variables and interactions, resolving to better capabilities to problem-solve; react more appropriately and efficiently; create and innovate.

2.1.3 WG12 conclude that **skill**, **attitude**, **knowledge** and **experience** were all pertinent variables to measure rounded competence against.

2.2 Definitions

2.2.1 **Skills** *Skill as the practical application of knowledge needed to successfully undertake the duties that make up the occupation. They have to be learnt through on and/or off the job training or experience. They do not need to be expressed in the workplace context, because the duties are expressed in this way.*

Source: Institution of Fire Engineers

2.2.2 **Attitudes** *Mind-sets or approaches required for competence, generally across the entire occupation. Whilst these can be innate or instinctive, they can also be learnt and are inherently linked to the culture of the organisation and environment in which a person works and the way in which they are incentivised.*

Source: WG12 – Products. Developed from Institution of Fire Engineers definition of 'behaviours'

2.2.3 **Knowledge** *This is the information, technical knowledge, and 'know-how' that the individual needs to have and to understand in order to successfully carry out the duties that make up the occupation. This could include knowledge that the individual needs to have an awareness of (e.g. background technical knowledge, company policy or legislation) or more specific information they will need to apply in their everyday activities.*

Source: Institution of Fire Engineers

2.2.4 **Experience** *The knowledge or skill acquired by a period of practical experience of something, especially that gained in a particular profession.*

Source: Oxford Dictionary

Working Group 12 – Products

Annex E

CPA Marketing Integrity Group (MIG) Scope

1.0 Sources

1.1 *Independent Review of Building Regulations and Fire Safety: Final Report Chapter 7 – Products*

1.1.1 *7.15 Part 4 of this chapter recommends market surveillance of construction products at a national level. The proposed market surveillance body would drive the introduction of risk-based testing, to ensure that inappropriate product substitution or evolution, as well as any element of gaming the system, is tackled. Alongside recommendations set out in Part 3 to improve product labelling and traceability, this will also result in a more effective product recall system being developed. Furthermore, as and when individual issues arise in Building a Safer Future – Independent Review of Building Regulations and Fire Safety: Final Report 95 HRRBs relating to products installed, the JCA will be able to request testing on a reactive basis to ensure that concerns about products within any given HRRB can be resolved quickly, and similar issues occurring at national level can be quickly identified and resolved.*

1.1.2 *Recommendation 7.1*

b. Clear statements on what systems products can and cannot be used for should be developed and their use made essential. This should ensure significantly reduced scope for substitution of any products used in a system without further full testing. Until such time, manufacturers should ensure that they adhere to the current limitations set out in classification reports in the current regime.

c. The scope of testing, the application of products in systems, and the resulting implications must be more clearly communicated in plain, consistent, nontechnical language.

1.1.3 *Recommendation 7.5*

b. The dutyholder for any given HRRB should ensure that the documentation that supports the performance claims for products and systems incorporated within the HRRB should be maintained throughout the life cycle of a building through the golden thread of building information (see Chapter 8).

2.0 Scope

2.1 To provide a framework / guidelines for the provision of product information which is unambiguous, clear, precise and consistent enabling users to easily understand the correct and accurate performance criteria / characteristics of a specific construction product.

2.2 To avoid the marketing slant which often inadvertently uses a minimum of vocabulary which can misguide the user as to the products' limitations.

2.3 The framework should take into account various audiences, including but not limited to client, designer/architect, installer, maintainer, building owner and building user / occupant.

2.4 The framework should also take into account what good practice looks like and the impact of bad practice, and potentially recommendations for other products when combined into systems.

2.5 Marketing mediums

2.5.1 Scope should cover any provision of information regarding the product being provided from supply to user e.g. data sheets, brochures, websites, Building Information Modelling (BIM), installation

manuals, etc.

2.6 Intent of information

2.6.1 Scope should explore what information should be ‘controlled’. Information should cover both what the product cannot do as what it can.

2.7 Presentation of information

2.7.1 Scope should explore if information or data should be presented in specific ways.

2.8 Verification of information

2.8.1 Scope should explore how ‘controlled’ information / data can be proven. This should include:

- proving test results, specification of data sources
- omission of key information
- product application

2.9 Accessibility of proof

2.9.1 Scope should cover how companies should respond when proof is requested.

2.10 Language

2.10.1 Scope should explore guiding principles of language use, i.e. ISO use, plain English campaign. The intent that information should convey accuracy, transparency, completeness, relevance and consistency.

2.11 Establishing the framework

2.11.1 Scope is to establish a framework, standard or code of conduct. Included should be:

- How the framework is communicated
- How the framework is adopted
- What is the mechanism to police the framework

2.12 Legal implications

2.12.1 The scope should consider legal implications, relevance to intellectual property etc.

3.0 Out of scope

3.1

- Choice of communication medium (all mediums are in scope)
- Testing process
- Development of product risk matrices
- Funding
- Installation competence

4.0 Development

4.1

- Create steering group
- Research
- Draft

- Consultation
- Publish
- Promote

[end]

Working Group 12 – Products

Annex F

LEXiCON and Relevant Authorities

1.0 LEXiCON

1.1 The aim of LEXiCON programme is to provide a consensus process to maintain an interconnected digital data dictionary and a software tool to facilitate the creation, grouping and verification of parameters to form Product Data Templates. The templates and parameters will be made available on a free-to access platform for wider industry, accessed via the CPA website.

1.2 LEXiCON is being delivered by CPA in partnership with BRE, who has secured funding for LEXiCON as part of the Construction Innovation Hub.

2.0 Relevant Authorities

2.1 The content of LEXiCON will be delivered by 'Relevant Authorities'. These will be topic driven committees creating, grouping and verifying parameters and Product Data Templates on an informed consensus basis.

2.2 Relevant Authorities are made up of interested parties and represent relevant cross-sections of the industry surrounding the topic for which industry decisions can be made. In this manner, decisions made regarding industry are fair, transparent, informed and not commercially driven.

3.0 Application to product competence

3.1 WG12 identified that the level of competence needed to interact with a product varies considerably from one product to the next.

3.2 It would be required that decisions regarding competence levels required for products should be judged in an informed and fair manner, away from bias, lack of knowledge or commercial opinion.

3.3 WG12 identified that the Relevant Authority mechanism already being developed for the LEXiCON project would also be relevant to judging competence levels required to safely interact with products.

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