

KEY PROTOCOL 2

# Granting, maintaining and extending certification

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## 1 Purpose

The purpose of this Key Protocol is to:

- grant, extend, or amend certification (plot registration) of RD type separating walls and floors in stated dwellings in accordance with valid, complete applications *which meet agreed criteria*
- withdraw certification in the event that (a) a significant deviation from the relevant RD type-specification(s) or (b) a failure to meet the performance standards required by Building Regulations is identified.

This enables the person carrying out the building work to:

- use RDs as an alternative to pre-completion sound testing to demonstrate compliance with Requirement E1 of the Building Regulations (England and Wales).
- demonstrate each dwelling's entitlement, if any, to credits under the Code for Sustainable Homes or EcoHomes scheme.

## 2 Purpose of document

To set down the process for achieving the above.

## 3 Scope

Applications for certification of valid RD types proposed to be built in new, attached dwellings in England and Wales.

## 4 Responsibilities

Responsibilities are described in the Quality Manual.

## 5 Introduction

It is important to consider the certification procedure in the context of the complete certification scheme and, in particular of the overall objectives of the certification scheme. The overall objectives are to achieve a high level of compliance with Building Regulations (as specified in the quality policy).

Certification enables the whole population of dwellings using RDs as a compliance route to be included within the scope of RDL's performance monitoring function. This is what allows performance to be measured and evaluated against the overall objective.

When the person carrying out the work or his agent applies for certification, he submits a certification (plot registration) application which identifies the proposed dwellings and RDs to be used.

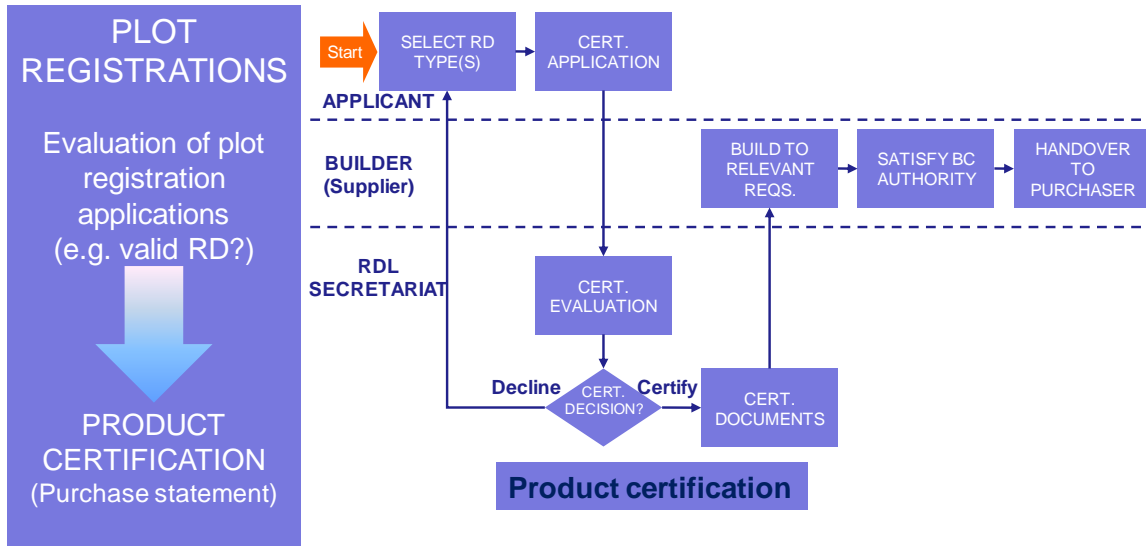
In doing so, the person carrying out the work agrees to the terms and conditions which include a commitment to:

- build in accordance with the relevant RD type-specifications
- allow RDL access to site in order to carry out inspection and test visits as part of its performance monitoring function

If the application is valid and complete, certification is granted and a certificate (Purchase Statement) provided. The certificate states a unique reference number for each dwelling together with the RD type(s) registered for each dwelling.

The person carrying out the work can then give the certificate to the building control body so that RDs can be used as a means of demonstrating compliance with Requirement E1 of the Building Regulations.

The overall certification process is illustrated below.



## 6 Receiving applications for certification

The applicant is the person carrying out the work (for building control purposes) or his agent. In practice, this is usually a builder, developer, designer or other party involved in the development of the dwellings to be registered.

Applicants must first select the RD types they require from those available in RDL's Handbook of type-specifications and make an application using RDL's plot registration application form.

## 7 Evaluating the application

### 7.1 General

Prior to processing, all orders are evaluated against agreed criteria to determine their acceptability.

In the event that an application has errors, omissions or queries, it is given a status of 'pending' and the applicant is asked for clarification and/or additional information.

Applications may be returned without granting certification if the applicant does not respond to the request within a reasonable time.

Applications are returned without granting certification if they are outside the scope of certification or the agreed criteria are not met.

## 7.2 Evaluation criteria

### Scope

The application must relate to:

- proposed new, attached dwellings in England or Wales

### Criteria

The nature and volume of certification applications is such that the evaluation of applications is partly satisfied through type-testing carried out in advance (as part of the type approval process). The type-testing enables the Standards Committee to approve valid RD type-specifications and wall/floor combinations in advance of any applications for certification.

### Outputs of SC and Board



- approved valid RD types
- approved valid wall/floor combinations
- Withdrawal or suspension of RD types
- Special terms and conditions

### become Inputs to plot registration process

If RDL's performance monitoring shows that any given RD type, when built on sites, consistently fails to meet the target performance stated in RDL's quality policy, RDL's Board may decide to withdraw or suspend it. If an RD type is suspended, its use may still be allowed subject to special terms and conditions.

These outputs of the Standards Committee and Board become criteria for the evaluation of certification applications.

All applications must relate to valid RD type-specifications and, in the case of dwellings which are flats, wall/floor combinations.

The complete list of criteria, including the information required in order to evaluate an application are approved by the Chief Executive and listed in the Plot Registration Checklist (RD222).

The repetitive nature and volume of applications together with the pre-approved criteria enables the Chief Executive to delegate his authority to certification personnel to grant certification.

## **8 Granting certification**

### **8.1 New applications**

If the certification evaluation is successful, the application details are recorded and certification is granted. Certification documentation is printed and sent to the applicant. The certification documentation includes the following:

- **Covering letter** explaining the contents of the pack, and what the applicant is to do with each document.
- **Two Certificates (Purchase Statements)** providing evidence that the stated dwellings using stated robust detail types are capable of being used as an alternative to pre-completion sound testing. One copy is to be passed onto the building control body and one copy is to be retained by the applicant.
- **Compliance Certificate** for each registered plot.
- **Checklist for each registered RD** identifying the critical elements of the robust detail to assist the builder during construction.
- **receipted invoice** providing record of payment.

## **9 Amendments to existing certifications**

Applicants may apply to extend or reduce the scope of certification, or amend certain details such as plot numbers and RD type selection. There are limited options to extend or reduce the certification. However, individual RD types may be added or deleted from certified dwellings, and certified dwellings may be added to or cancelled from a specific development (A certificate normally covers multiple dwellings).

If an application to reduce the scope of certification involves reducing the number of dwellings covered, it is treated as a part cancellation.

Applications for amendments will follow the same process and be evaluated against the same criteria as for new certification applications described above. The original documents (see 8.1 above) are replaced as applicable by updated versions.

### **9.1 Cancellations and part cancellations of existing registrations**

Applicants may cancel or part cancel certification at any time.

Prior to processing, all cancellation requests are evaluated against agreed criteria to determine their acceptability (see RD044).

In the event that a request has any errors, omissions or queries, it is given a status of 'pending' and the applicant is asked for clarification and/or additional information.

Cancellation requests may be returned without being processed if the applicant does not respond to a request for clarification and/or additional information within a reasonable time.

The building control body is notified of all cancellations and part cancellations.

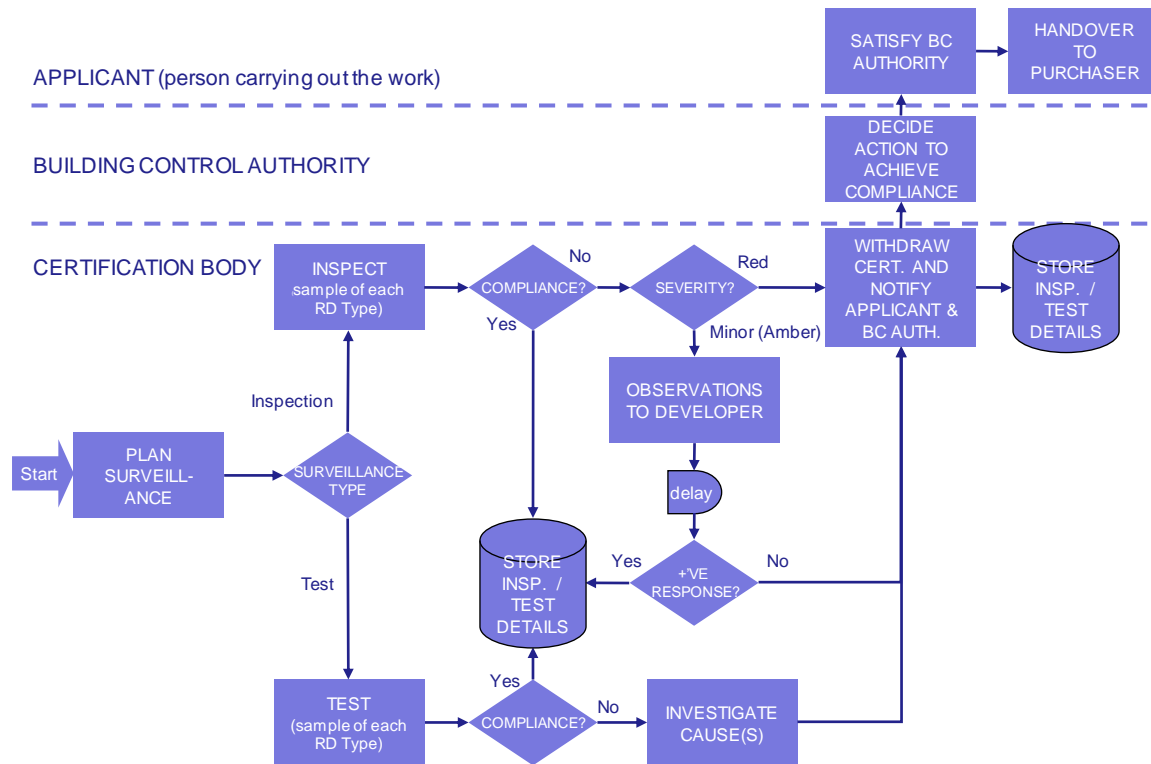
In the case of part cancellations, the original certification documents are replaced as applicable by updated versions.

## **10 Withdrawal of certification**

Surveillance activities may identify that a built RD does not comply with the relevant RD type-specification or fails to achieve the performance standards set out in Approved Document E of the Building Regulations (England and Wales). In these cases, RDL notifies the relevant building control authority which will then take whatever action it deems appropriate to ensure compliance with Building Regulations. In these cases, the building control authority may require remedial action and PCT for example.

The action of reporting these cases to the building control authority effectively constitutes a withdrawal of certification for the affected plots. The chart below illustrates the process (also see red letter procedure RD025 and flow chart RD021).

Test data arising from withdrawal is reviewed as part of the overall evaluation of all Robust Details, see Key Protocol 1.



## 11 Maintaining certification

Certification is maintained by default unless:

- RDL identifies a material deviation from specification or a surveillance test failure (by notifying the building control authority and supplier [usually builder/developer])
- RDL receives a valid cancellation request in writing from the supplier.

## **12 Documents related to this Protocol**

Procedures are in place giving details of working practices associated with this Protocol:

- plot registration checklist – (agreed certification criteria) (RD222)
- plot registration – orders (RD041)
- plot registration – amendments (RD043)
- plot registration – cancellations (RD044)
- plot registration – cancellation form (RD121)
- terms & conditions for plot registrations (certification) RD028
- red letter procedure RD025
- red letter flow chart RD021