



Scheme for Certification of Design
(Building Structures)

Procedures for Assessment of Applications to become an Approved Body or Approved Certifier

October 2025

© 2025 Structural Engineers Registration Ltd

The Institution of
StructuralEngineers

ice
Institution of Civil Engineers

Contents

Contents.....	2
1 Aims and Objectives	5
2 Scheme membership.....	5
3 Roles and Responsibilities.....	6
3.1 SER Board	6
3.2 Head of Certification	6
3.3 SER Staff Team	6
3.4 Scottish Registration Board	6
3.5 Applicants.....	7
3.5.1 Approved Body application representatives	7
3.6 Assessors.....	7
3.6.1 Lead Assessor	7
3.6.2 Second Assessor.....	8
3.7 Conflicts of Interest	8
4 Requirements for membership	9
4.1 Requirements for membership as an Approved Certifier of Design.....	9
4.1.1 Professional qualification.....	9
4.1.2 Experience.....	9
4.1.3 CPD	10
4.1.4 Certification procedures and records	10
4.2 Requirements for membership as an Approved Body.....	10
4.2.1 Nature of firm and number of employees engaged in various activities.....	11
4.2.2 Employment of at least one Approved Certifier of Design (Building Structures).....	11
4.2.3 Staff training policy.....	11
4.2.3 Obligations policy	11
4.2.4 Access to Documents Policy	11
4.2.5 Complaints Policy	12
4.2.6 PII certificate	12
4.2.7 Certification Coordinator(s).....	12
5 Application assessment.....	13
5.1 General.....	13
5.2 Assessment of applications to become an Approved Certifier of Design.....	15
5.2.1 Assessment Process	15
5.2.2 Professional qualifications	15
5.2.3 Experience and Expertise	15
5.2.4 Understanding of the Scottish building standards system and SER Scheme requirements..	15

5.2.5	CPD records.....	16
5.2.6	Certification Procedures and Records	16
5.3	Assessment of applications to become an Approved Body.....	16
5.3.1	Nature of firm and number of employees engaged in various activities.....	16
5.3.2	Employment of at least one Approved Certifier of Design (Building Structures).....	17
5.3.3	Staff training policy.....	17
5.3.4	Obligations policy	17
5.3.5	Access to Documents Policy	18
5.3.6	Complaints Policy	18
5.3.7	PI Insurance.....	19
5.3.8	Certification Coordinator(s).....	19
6.0	Assessment process.....	20
6.1	General.....	20
6.2	Administrative checks	20
6.3	Assignment of application for assessment	21
6.4	Initial assessment of application.....	21
6.5	Requests for Information	21
6.6	Interview.....	22
6.7	Final recommendations for assessments.....	22
6.7.1	Accept recommendations	23
6.7.2	Reject recommendation	23
6.7.3	Refer to SRB recommendations	23
6.7.4	Ratification by the SER Board.....	23
6.7.5	Notification of final outcome.....	23
7.	Representations to the SER Board	24
8.	Appeals.....	24
	Appendix A: Certifier application declarations.....	25
	A1: Approved Certifier Experience Declarations.....	25
	Current position.....	25
	Current role	25
	Building types (Refer to SER Guidance note 12 for Risk Group Matrix)	25
	Building materials.....	26
	Structural forms.....	26
	Ground investigations	26
	Alterations to buildings and existing buildings appraisals	26
	Specifications.....	27
	Experience of peer reviews.....	27
	Knowledge and experience of the legislative framework	27

Knowledge and experience of the SER Scheme	27
A2: Approved Certifier Expertise declarations	28
Materials.....	28
Structural Forms	28
Ground Engineering/Substructure.....	28
Building envelope (including fixings).....	28
Miscellaneous secondary items	28
A3: Approved Certifier Scope of Design Experience declarations.....	29
Building type (see Guidance Note 12).....	29
General	29
Appendix B: Information required to be submitted as part of application to become an Approved Certifier of Design.....	30
Name & contact details	30
Qualifications & Membership	30
Employment Information.....	30
Project Information	30
CPD Record	31
Certification Procedures and Records	31
Appendix C: Information required to be provided by applicants to become an Approved Body	32
Name and contact details	32
Operational details	32
Staff Training Policy.....	32
Obligations Policy.....	32
Access to Documents Policy.....	33
Complaints Policy.....	33
PII Certificate.....	33
Local Authorities.....	33
Certification Coordinator(s)	33

1 Aims and Objectives

Assessment of applications must be carried out in such a way as to establish the suitability of applicants for the role of Approved Certifier or Approved Body.

The assessment will aim to assess the qualifications, experience and procedures of applicants for membership of the scheme.

2 Scheme membership

2.1 There are two types of Scheme membership:

- a) Individuals join as an Approved Certifier of Design (Building Structures)
- b) Firms join as an Approved Body for Certification of Design (Building Structures)

2.2 An SER certificate is produced by an SER Approved Certifier on behalf of an SER Approved Body, and the certificate must be signed by both the Approved Certifier and the Approved Body representative. Therefore, both an Approved Body and an Approved Certifier membership is required to produce an SER certificate.

2.3 An SER Approved Certifier membership is a personal membership. An individual can only hold one Approved Certifier membership of any given SER certification scheme at a time. This membership allows them to certify for any Approved Body registered with that Scheme for whom they are listed as an Approved Certifier. If an SER Certifier is looking to certify work of different types/risk groups to that previously certified, they should ensure that they have the appropriate level of competence.

2.4 An individual can act as a representative (applicant and/or Certification Coordinator) for more than one Approved Body. While there is no limit on the number of Approved Bodies an individual can represent, they should consider carefully whether they are able to adequately fulfil the role for more than one Approved Body.

2.5 Applications are made via the online portal – there is no provision for paper applications. All applicants must first register on the SER website to create an account and must be logged into the site to complete their application.

2.6 The SER website should be consulted for details of the current application fees and other fees payable to maintain membership of the scheme.

3 Roles and Responsibilities

3.1 SER Board

The SER Board is responsible for overseeing the general conduct of the application and assessment process. The Board will:

- a) Select and appoint individuals to the Scottish Registration Board (SRB)
- b) Ensure that SRB members are trained in the assessment of applications
- c) From time to time, arrange for a Director of SER to observe an application assessment to observe whether or not the assessment is being carried out in accordance with these procedures
- d) Consider the recommendations of the SRB following their consideration of the assessment of an application and confirm or otherwise that recommendation

3.2 Head of Certification

The Head of Certification is responsible for the overall management of the application assessment programme. Day-to-day management is delegated to the SER staff team.

3.3 SER Staff Team

The SER Staff Team are responsible for the administration of the application assessment process. They will:

- a) Check Chartered status of applicants to become an Approved Certifier
- b) Assign assessors to each application from the pool of SRB members, rotating assignments between SRB members taking account of their availability.
- c) Review requests for further information from the Assessors in respect of applications and issue to applicants
- d) Arrange interviews with applicants
- e) Provide advice and information to applicants concerning the assessment process
- f) Provide assessors with any information regarding the applicant held by SER necessary to conduct the assessment
- g) Share assessment recommendations from Assessors for consideration by the SRB
- h) Share assessment recommendations from the SRB with the SER Board for ratification
- i) Record the recommendations of the SRB and SER Board in respect of each application
- j) Issue notices of acceptance or rejection of membership applications

3.4 Scottish Registration Board

The Scottish Registration Board (SRB) is responsible to the Board of SER for the assessment of applications. The SRB will:

- a) Provide Assessors for each application
- b) Review, discuss and agree or disagree assessment reports, to maximise consistency of the assessment process
- c) Make recommendations regarding general issues or trends identified by the assessment process that require to be addressed by guidance to applicants or alterations to the Scheme

3.5 Applicants

Applicants must:

- a) Ensure that all parts of the application form have been fully completed before submission
- b) Pay the application fee
- c) Send a signed copy of the application to SER, either electronically or by post
- d) Monitor emails from both the SER website and the SER staff team concerning the application assessment process and respond promptly as required
- e) Respond to Requests for Further Information in respect of their application in a timely fashion and within the three-month timescale
- f) Respond to requests to arrange interviews in a timely fashion and attend the interview within the three-month timescale

3.5.1 Approved Body application representatives

Approved Bodies are represented throughout the application process by the individual who submitted the application for membership. This individual is usually also named as the Primary Certification Coordinator for the Approved Body. If it is required to change the Approved Body representative during the application process, the SER staff team should be contacted for advice.

3.6 Assessors

Assessors are responsible for reviewing the information provided in the application in relation to the requirements for admission to the scheme as an Approved Certifier or Approved Body. Assessments are carried out by two Assessors.

Assessors are assigned via the website by the SER Staff Team. An Assessor must decline an assignment in any circumstances where there is likely to be a conflict of interest or a perceived conflict of interest (see section 3.7 *Conflicts of Interest*). They may also decline the assignment for any other reason, e.g. they are unavailable.

Assessors are required to exercise a degree of judgement as to whether or not the requirements for membership have been met using the guidance set out in this document.

All information relating to assessments which may have been downloaded by Assessors in the course of the application assessment will be deleted once the assessment has been concluded.

3.6.1 Lead Assessor

The **Lead Assessor** will be a member of the SRB as nominated by the SER Staff Team. The Lead Assessor is responsible for managing the conduct of the assessment and will:

- a) Prepare assessment reports and draft requests for further information on the SER website
- b) Chair any interview required as part of the application assessment
- c) Make recommendations to the SRB on the outcome of the assessment

3.6.2 Second Assessor

The **Second Assessor** is another member of the SRB nominated by the SER Staff Team.

- a) If required, the Second Assessor may deputise for the Lead in any of the above responsibilities.
- b) The Second Assessor reviews assessments reports and indicates their agreement or disagreement with the conclusions of the Lead Assessor.

3.7 Conflicts of Interest

3.7.1 An SRB member must decline to assess an application where they could be deemed to have, or it is perceived that they could have a conflict of interest. These include, but are not limited to, the following circumstances:

- a) Potential Assessor is a close friend of the applicant
- b) Potential Assessor is employed by or is a Director or Partner of the applicant
- c) Potential Assessor was employed by or was a Director or Partner of the Approved Body of the applicant
- d) Potential Assessor was employed by or was a Director or Partner of a firm that employed the applicant and the latter left that firm under conflicting circumstances
- e) Potential Assessor is employed by or is a Director or Partner of a firm that could be considered to be a direct competitor of the applicant
- f) There are past events involving both the potential Assessor and the applicant that could affect the objectivity of the Assessor in relation to the application.

If an Assessor is unsure as to whether something is a conflict of interest, they must contact the SER Staff Team for advice.

3.7.2 If an applicant considers that there may be a conflict of interest with an assigned Assessor, they should contact the SER staff team immediately on receiving notice of the assignment with their concerns.

4 Requirements for membership

The requirements for membership of the Scheme are set out in the Scheme Guide.

4.1 Requirements for membership as an Approved Certifier of Design

The requirements for membership as an Approved Certifier of Design are:

- to hold the required professional qualification as stated in the Scheme Guide
- to have sufficient relevant experience to fulfil the role
- to have knowledge of the SER Scheme and of the Scottish Building Standards system

The assessment process therefore focuses on whether or not the applicant has demonstrated the following:

- that they have sufficient **skills** to be able to review the designs for all elements of the building
- that they have an adequate level of **competence** to determine whether or not a design is compliant
- that they have developed the **expertise** to be able to review designs in an organised and holistic manner
- that they have appropriate **procedures** in place to carry out certification in a methodical manner
- that they have reviewed the various guidance on certification as published by both SER and the Scottish Government.

4.1.2 Professional qualification

Possession of the required professional qualification is evidence that the applicant has the necessary academic qualifications.

A professional qualification shows that the holder has spent a number of years developing their skills, knowledge and understanding within their field and have clearly demonstrated their competence and commitment. However, it does not necessarily mean that the holder has an adequate level of experience and expertise in the structural design of buildings.

4.1.3 Experience

The Scheme requires that applicants have a minimum of five years' recent relevant experience of the design of building structures. In order to fulfil their role as an Approved Certifier, the applicant must:

- demonstrate an adequate level of experience and expertise in specified aspects of the structural design of buildings
- demonstrate an understanding of the Scottish building standards system and the SER Scheme's requirements as described in this Scheme Guide and other guidance issued by SER and the Scottish government

Approved Certifiers of Design must not only have developed a level of competence in a wide range of skills needed to undertake the structural design of buildings, but must also have a level of expertise which enables them to review designs in a holistic way so they can say that the structural design of the building, as defined in the legislation, is complete and that it complies with the structural requirements of the Scottish building regulations. This can only be gained by sufficient experience at a senior level.

Attendance at an SER Certification Workshop is recognised as a keyway of demonstrating an understanding of the Scottish building standards system and the SER Scheme's requirements. It is recognised that those working within the jurisdiction and who have been employed by current Approved Bodies, will likely have experience of the requirements of certification. Those applying from outwith the jurisdiction in which the scheme operates will likely have less direct experience of the scheme and therefore attendance at an SER Certification Workshop prior to applying, alongside comprehensive familiarisation with Scheme guidance which can be demonstrated at interview, is highly recommended. For some applicants, attendance at an SER Certification Workshop will be required by the SRB or SER Board before their application can proceed.

4.1.4 CPD

Approved Certifiers must maintain their knowledge and skills at a level necessary to discharge their duties. They must undertake an adequate level of CPD and must submit a return annually detailing the amount and type of CPD undertaken and the learning outcomes achieved. Applicants are therefore expected to demonstrate their commitment to CPD by uploading recent CPD returns to their professional organisation. They are also required to submit a statement indicating how the applicant intends to maintain CPD at a level commensurate with their Certifier activities.

4.1.5 Certification procedures and records

Approved Certifiers must undertake certification in a methodical manner. They must have procedures in place that will enable them to identify the scope of their certification, plan the certification process, review the structural design and satisfy themselves of the compliance or non-compliance of design work described in an application for building warrant or amendment to warrant.

4.2 Requirements for membership as an Approved Body

A firm, public body, or other organisation that is a member of the Scheme acts as an Approved Body to supply certification services within the scope of the Scheme. An Approved Body must employ at least one Approved Certifier of Design (Building Structures), support the work of Approved Certifiers in specified ways, hold appropriate levels of professional indemnity insurance, and designate a Certification Coordinator who may or may not be an Approved Certifier. Full details of Approved Body membership requirements can be found in the Scheme Guide.

In order for the requirements to be assessed, the following information and documents are required in the Approved Body application.

4.2.1 Nature of firm and number of employees engaged in various activities.

Note that in the case of an individual branch of a firm applying for membership as an Approved Body, the numbers should relate to that branch, not the firm as a whole.

4.2.2 Employment of at least one Approved Certifier of Design (Building Structures)

A current Approved Certifier, or applicant to become an Approved Certifier, must be listed in the application. Note that in the case of an applicant to become an Approved Certifier being listed, the Approved Body application can not be accepted until such time as the linked Approved Certifier application has also been accepted.

4.2.3 Staff training policy

The staff training policy should indicate how the firm will:

- promote the continuing professional development of Approved Certifiers
- assess and monitor the training needs of staff involved in certification
- ensure that appropriate CPD has been achieved/gained.
- ensure that appropriate training is made available
- monitor that CPD is appropriate to certification
- monitor that the number of CPD hours achieves the minimum required by the Scheme

4.2.3 Obligations policy

The Obligations Policy should describe how the Approved Body will meet its obligations as described in the Scheme Guide and related Guidance Notes. In particular, the Policy should include information about how the Approved Body will meet its obligations in terms of:

- Procedures to ensure the quality of the certification activities of their Approved Certifiers and to see that that designs that are presented to their Approved Certifiers for certification are presented timeously, are complete, except where work is to be undertaken in a later stage, are of an appropriate quality and have been checked in accordance with the scheme requirements with specific reference to SER guidance on risk classification and the level of check
- Procedures in place to manage post-certification design changes
- Protection of Certifiers from financial risk and management of risk, with specific reference to the risks associated with undertaking certification. Sole Practitioners who are also engaged to act as the designer, should also include information on how the Scheme's requirements on checking for buildings in Risk Groups RG1B and above will be met.
- Providing an environment that supports certifiers and manages their activities
- Reporting of Failure of Certified Structures

4.2.4 Access to Documents Policy

The Access to Documents policy should confirm that the firm maintains or has access to a current library of relevant technical documents, including Building Regulations, design standards and guidance, and any other relevant technical literature and explain how the availability of technical documents to all staff involved in certification.

4.2.5 Complaints Policy

The Complaints Policy should demonstrate that the Approved Body has procedures in place to ensure that complaints made against the Approved Body and any of its Approved Certifiers in relation to certification of design under the Building (Scotland) Act 2003 are handled fairly, consistently and wherever possible resolved to the complainant's satisfaction. The policy should align with normal good practice for dealing with complaints and should:

- confirm the ways in which a complaint regarding any aspect of Certification of Design undertaken by the Approved Body/Approved Certifier can be made to the Approved Body
- indicate how a complaint will be handled fairly and consistently
- confirm that where a complaint relating to Certification of Design cannot be resolved by the Approved Body it may then be submitted to SER and note the process for this

The applicant may already have an existing client Complaints Policy, and these requirements can be incorporated into that; it is not necessary to have a separate policy in relation to certification activities.

4.2.6 PII certificate

The applicant must provide evidence to show that it has Professional Indemnity Insurance in place.

4.2.7 Certification Coordinator(s)

The individual making the application is automatically assigned as the Primary Certification Coordinator. The assignment of an Alternative Certification Coordinator during the application is optional.

Note that Certification Coordinators do not have to hold Chartered Engineer status and do not have to be an Approved Certifier. From the point of view of oversight of the issue of certificates, it is preferable for the role to be held by someone other than the Approved Certifier. One of the main duties of the Certification Coordinator is to be responsible for ensuring that the conditions under which the Approved Body was approved are fulfilled and maintained. It is therefore important that they are of sufficient seniority in the firm to be able to facilitate this.

5 Application assessment

5.1 General

5.1.1 Assessment of an application consists of a series of assessment “rounds” (A1, A2, A3 etc), each of which will lead to a recommended outcome, until a final outcome can be recommended to the SRB by the Assessors. There are five possible outcomes for each assessment round; two are on-going, i.e. leading to a further assessment round, and three are final outcomes:

- On-going assessment outcomes:
 - Request further information (RFI)
 - Interview applicant
- Final assessment outcomes:
 - Accept application
 - Reject application
 - Refer application to SRB meeting for review. The SRB then makes a recommendation of Accept or Reject following review and discussion of the application and assessment.

As many RFIs and Interviews can take place as required to complete assessment of an application, in any order, but Assessors are encouraged to use these judiciously in order to keep the number of assessment rounds as low as possible.

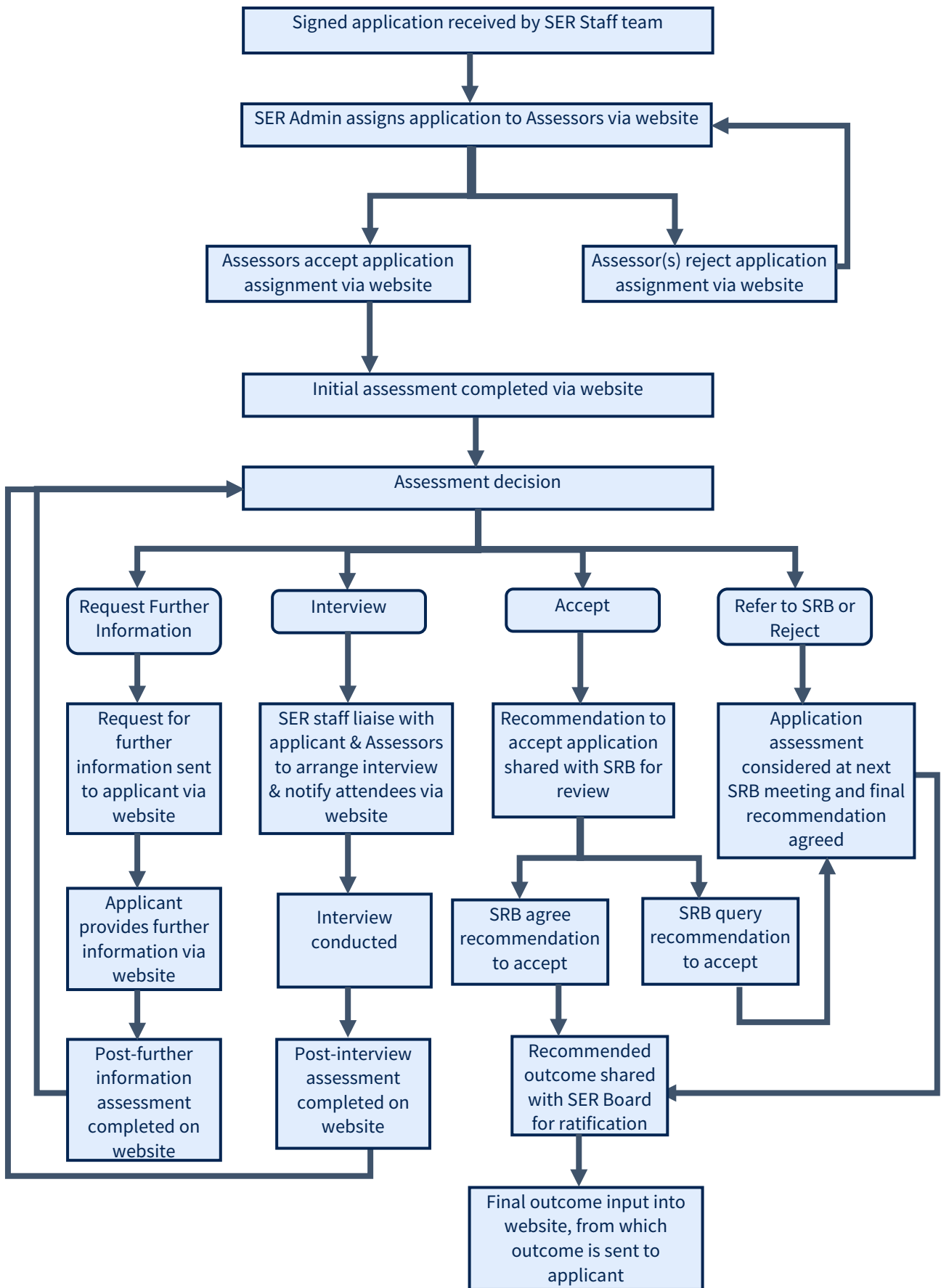
The diagram on the next page summarises the application assessment process.

5.1.2 Assessors do not question the accuracy of information provided in an application and are entitled to rely on the professional integrity of those providing the information.

5.1.3 Applicants are expected to engage with the application assessment process. If responses to requests for further information, attendance at interviews or any other requirements put in place during the assessment process are not completed within 3 months of the original request, the application will be withdrawn and a new application will have to be submitted if the applicant wishes to continue with the process.

5.1.4 Approved Bodies are represented by the applicant during the application process. If the Approved Body wishes any other person to be involved in an interview or any other part of the application assessment process, they should contact the SER staff team for advice. This might include, but is not limited to, the named Alternative Certification Coordinator, an Approved Certifier who it is intended will certify for the Approved Body, a director or other member of the senior management team of the firm.

5.1.4 Any information held by SER in respect of previous or current memberships of the applicant of any SER Scheme, or for which the applicant is or has been a Certification Coordinator for any SER Scheme, may be taken into account in assessment of an application.



5.2 Assessment of applications to become an Approved Certifier of Design

5.2.1 Assessment Process

The assessment process considers whether or not the applicant has the following:

- an adequate level of experience and expertise at a suitable level of seniority in specified aspects of structural design of buildings
- an understanding of the Scottish building standards system and the SER Scheme's requirements as described in this Scheme Guide and other guidance issued by SER and the Scottish government
- a commitment to CPD
- appropriate procedures to carry out certification in a methodical manner

Details of declarations required to be made by applicants to become an Approved Certifier can be found in Appendix A. Details of the information required to be submitted as part of Approved Certifier applications, against which declarations are assessed, can be found in Appendix B.

5.2.2 Professional qualifications

The SER staff team checks that the applicant holds at least one of the necessary professional qualifications for membership as stated in the Scheme Guide, and the date on which this was acquired.

5.2.3 Experience and Expertise

Experience and Expertise are assessed by reviewing the experience declarations the applicant has made against the information provided in other sections of the application form to ensure that sufficient evidence has been provided to accept the declarations. Through the information provided in the application, applicants are required to demonstrate that they have experience of the design of building structures commensurate with the certification activities they are likely to wish to undertake. Assessors will be looking for a broad range of relevant experience gained while working with reputable organisations in a responsible capacity. Particular emphasis is placed on recent experience, i.e. in the last five years, and that this is at a sufficiently senior level.

The information submitted as part of the application should contain sufficient information for assessors to be able to judge the types of structure the candidate has experience of and their level of involvement with each project. It should provide evidence to justify the rankings of their experience in respect of different aspects of design presented on their application form. It will also provide a framework for the questions and clarifications explored at interview.

If this can not be ascertained at the initial assessment, further information and/or an interview will be requested to clarify requirements and request further information.

5.2.4 Understanding of the Scottish building standards system and SER Scheme requirements

These will be assessed by reviewing the declarations in respect of these against evidence provided in other sections of the application form to ensure that sufficient evidence has been provided to accept the declarations. It is also likely that the level of understanding will be explored at interview.

5.2.5 CPD records

The CPD required of Approved Certifiers should relate to developments in structural engineering design, the Building Regulations and other relevant documentation. However, it is recognised that applicants will not necessarily have focused on SER requirements in their previous CPD returns and Assessors will therefore be looking for a clear commitment to CPD to be demonstrated in the CPD returns uploaded as part of the application, as well as a clear statement indicating how they intend to maintain CPD at a level commensurate with Approved Certifier activities, with reference to SER guidance on CPD requirements.

5.2.6 Certification Procedures and Records

The uploaded documents will be reviewed by the Assessors to determine whether, if the processes contained within are adhered to, the process of scoping and certification will be adequately completed.

5.3 Assessment of applications to become an Approved Body

The Assessors will be looking for evidence that applicants to become an Approved Body have the required policies in place which, if they are adhered to, will enable the firm to adequately support their Approved Certifiers as well as fulfil their role as an Approved Body as outlined in the Scheme Guide.

Details of the information required to be submitted for an Approved Body application can be found in Appendix C.

5.3.1 Nature of firm and number of employees engaged in various activities.

The information provided within this section of the application form is largely factual but will give the Assessors an indication of the organisation of the Approved Body and how many employees will be involved in certification. In the case of firms with more than one office, the statistics given for staff numbers etc should be for the office to which the application relates. If the assessors suspect that the figures stated relate to the whole firm, they will clarify the situation by asking for further information.

5.3.2 Employment of at least one Approved Certifier of Design (Building Structures)

It is not necessary for Assessors to check this information as the website will not allow the application to be finalised until an Approved Certifier, or applicant to become an Approved Certifier, has been added to this section and that individual has accepted this role.

If the only Approved Certifier named on the Approved Body application is also an applicant, both applications are likely to be subject to greater scrutiny of their understanding of the roles and associated responsibilities.

5.3.3 Staff training policy

Approved Bodies are required to support the Approved Certifiers that work for them by providing them with appropriate training. There is no requirement for an Approved Body to commit to spending a particular percentage of its turnover on training but the answer to this question may be taken as an indication of its level of commitment.

The nature of an acceptable staff training policy is likely to vary according to the size and nature of the firm. For a sole practitioner a simple statement committing them to undertake CPD through appropriate activities will suffice. An office of one of the national or multinational consultants is likely to be able to supply a more detailed policy document, however it should be checked that this specifically relates to certification. The key points that Assessors should consider is whether the firm appears to be committed to providing training commensurate with the likely needs of their Certifiers and is prepared to make the necessary resources available.

It is expected that the relevant SER guidance will be highlighted in the staff training policy.

5.3.3.1 Investors in People

Whilst accreditation under Investors in People is not a requirement of the Scheme, possession of such accreditation may be taken as indicating that the firm is likely to have a commitment to staff training. However, accreditation alone is not sufficient; the required policy must be submitted.

5.3.4 Obligations policy

It is expected that the Approved Body Obligations Policy will describe how the Approved Body will meet its obligations as described in the Scheme Guide and related Guidance Notes. The Assessors will be looking for comprehensive coverage of the Approved Body obligations, with the following points in particular expected to be included:

- Procedures to ensure the quality of the certification activities of their Approved Certifiers and to see that that designs that are presented to their Approved Certifiers for certification are presented timeously, are complete, except where work is to be undertaken in a later stage, are of an appropriate quality and have been checked in accordance with the scheme requirements with specific reference to SER guidance on risk classification and the level of check
- Procedures to manage post-certification design changes
- Protection of Certifiers from financial risk and management of risk, with specific reference to the risks associated with undertaking certification. Sole Practitioners who are also engaged to act as the designer, should also include information on how the Scheme's requirements on checking for buildings in Risk Groups RG1B and above will be met.

- How the Approved Body will provide an environment that supports certifiers and manages their activities
- Procedures for Reporting of Failure of Certified Structures

It is expected that the relevant SER guidance will be highlighted in the Obligations Policy.

5.3.4.1 ISO 9000

Whilst accreditation under ISO 9000, or any other quality standard, is not a requirement of the Scheme, possession of such accreditation may be taken as indicating that the firm is likely to have appropriate quality assurance procedures in place.

It is important to appreciate that while accreditation to an independently assessed QA system is an important indicator of the firm's ability to control the quality of design it does not automatically ensure that adequate procedures required for certification are in place. In addition, accreditation alone is not sufficient; the required policy must be submitted.

5.3.5 Access to Documents Policy

Approved Bodies are required to make sure that their Approved Certifiers have access to all the Regulations, Codes and Standards and other documentation that they need to be able to carry out their role. Access to the necessary documents can be provided in a variety of ways including:

- An in-house library
- Subscriptions to on-line services provided by BSI, Barbour etc
- Borrowing from Institution or other libraries

The Approved Body should also describe how the currency of these documents is established.

If an Approved Body indicates that access to documents is through another unrelated organisation (a local authority for example) evidence must be provided that that organisation has agreed to the loan/use of its documents for the purposes of the applicant.

5.3.6 Complaints Policy

The Assessors will be looking for the Complaints Policy to align with normal good practice for dealing with complaints. It should include the following:

- Confirmation of how a complaint regarding any aspect of Certification of Design undertaken by the Approved Body/Approved Certifier can be made to the Approved Body
- An indication that the complaint will be handled fairly and consistently
- Confirmation that where a complaint relating to Certification of Design cannot be resolved by the Approved Body it may then be submitted to SER and note the process for this

The applicant may already have an existing client Complaints Policy, and it is not necessary to have a separate policy in relation to certification activities. However, the points above that specifically relate to certification must be included in the policy.

5.3.7 PI Insurance

Whilst it is a requirement of the Scheme that all Approved Bodies maintain PI Insurance commensurate with the projects that they undertake, the level of cover that they have is a matter between them and their insurer not SER. Therefore, the only check is that a valid certificate which matches the name under which the application has been made has been uploaded.

5.3.8 Certification Coordinator(s)

The applicant will automatically have been assigned as the Primary Certification Coordinator. If there is concern about their understanding of or ability to carry out the requirements of the role, this will be explored at interview.

6.0 Assessment process

6.1 General

- 6.1.1 The management of the process of assessment of applications for membership of the SER scheme is the responsibility of the SER staff team. All communications in respect of applications assessments should be channelled via the staff team with direct contact between the Assessors and the applicant usually only occurring during any interview. If Assessors receive any direct contact from applicants, this should be forwarded to the SER staff team for response.
- 6.1.2 The assessment process is conducted remotely. The Assessors and the SER Staff team access all application information via the SER website with the results of assessments also recorded on the website.
- 6.1.3 The SER staff team monitor application assessment actions to ensure that they are completed in a timely fashion. Applicants are expected to complete required actions within 3 months of notification; applications may be withdrawn if this is not adhered to.
- 6.1.4 Interviews are conducted online via Teams, Zoom or other video conferencing software. In exceptional circumstances it may be necessary to conduct an interview in person. Any such circumstances should be brought to the attention of the Head of Certification for advice as to how to proceed.
- 6.1.5 Observers may be present during an application interview with approval from the Assessors, applicant and the Head of Certification. Any observer should not influence or interfere with the conduct of the assessment. If this cannot be assured, the Lead Assessor may deny observers from being present during the interview.

6.2 Administrative checks

The SER staff team conducts the following administrative checks on applications prior to assigning for assessment:

Approved Certifier (individual) applications

- a) Form signed and countersigned as required
- b) All sections of form have been completed as required
- c) All required uploads have been provided
- d) All uploaded documents can be opened and read
- e) Membership numbers and dates of obtaining Chartership are checked with the relevant Institution

Approved Body (firm) applications

- a) Form signed and countersigned as required
- b) All sections of form have been completed as required
- c) All required uploads have been provided
- d) All uploaded documents can be opened and read

In addition, when applications are received from Approved Certifiers with no indication of the Approved Body for which they will be certifying, this is queried to ensure that it has been understood that an Approved Body membership will also be required in order to certify under the Scheme. If an Approved Body application is also required, assignment of the Approved Certifier

application for assessment will be delayed until Approved Body application is received so that they can be assessed as linked applications.

6.3 Assignment of application for assessment

The SER staff team assigns applications for assessment, rotating assignments between SRB members taking account of their availability.

Assessments are assigned via the website. Assigned assessors must consider whether there are any conflicts of interest (see section 3.8) in accepting the assignment and whether they are able to complete the assessment within required timescales and accept or reject the assignment via the website. Any rejected assignment is returned to the SER staff team for reassignment.

When linked applications for both Approved Certifier and Approved Body are received, they are assigned for assessment together to the same Assessors.

6.4 Initial assessment of application

Following acceptance of the assignment by both Assessors, both Assessors are able to access the completed application including uploads via the website to begin the review, and the Lead Assessor is notified via the website that the assessment of the application can begin.

The Lead Assessor considers the application and uploaded documents and confirms their agreement or disagreement with the applicant's declarations, and whether they have met the required criteria, on the assessment form accessed via the website. A recommendation as to the outcome of that assessment round is then input into the website, together with reasons for that recommendation. If the recommendation is for an RFI, the suggested text to be included in the RFI is also input to the website.

The Second Assessor is notified via the website that the assessment is ready for review and then accesses the assessment to review and input their recommended outcome, together with any comments and, if required, further text to be included in the RFI.

If there is disagreement between the recommendations of the two Assessors, they will discuss via phone or video call to come to a joint decision, which will be input into the website by the Lead Assessor.

It is expected that initial assessment will be completed within 10 working days.

Any further assessment "rounds" are conducted in the same way and should be completed within 5 working days.

6.5 Requests for Information

The Assessors will sometimes require more information to be provided by the applicant to supplement that provided in the initial application. When this is required, the Assessors will include a description of what is required in their respective assessment forms. The requests will be combined and transcribed by the SER staff team and entered into the website, from which notification will be sent to the applicant.

This process re-opens the application to allow the applicant to add the requested further information. When they have completed that process, they confirm this on the website, from

which notification is sent to the Assessors and the staff team that the requested information has been provided, and the application can be re-assessed.

If an initial request for information does not result in the required information being provided, Assessors will generally request an interview is arranged with the applicant to ensure that the requirements have been fully understood.

6.6 Interview

Assessors may choose to interview an applicant at any point in the application process. Sometimes the decision will be taken to interview early in the process to ensure that the requirements have been fully understood, while for other assessments it may follow a request for information.

When an interview is requested by the Assessors, the SER staff team will contact the applicant and the Assessors individually for their availability and enter the agreed date and time into the website. The Lead Assessor will provide the link for the online call to the SER staff team as soon as possible, and the interview details will be updated with this information.

Interviews are held to explore further the applicants understanding of the role for which they are applying and of the responsibilities of that role. They also enable the Assessors to clarify the information contained within the application to ensure that they have as accurate an understanding as possible of the applicant's experience. The exact agenda will vary depending on the previously supplied information and what is required to be explored further, but the following format can be expected:

- An Interview in respect of an application will generally last between 30 and 45 minutes; if interviews are required for each of a set of linked applications, the time allowance will apply to each
- Introductions of attendees, with explanation of their role in the assessment process
- The issues that have been identified that have led to the interview and any required clarifications will be explained
- The applicant will be invited to ask any questions they may have about scheme requirements which will be responded to
- The Assessors will recap the additional information obtained during the interview
- The next steps will be explained. If this is likely to be an RFI, that process will be explained to the applicant
- It will be reiterated that no decision is being concluded at the interview and that Assessors recommendations have to be agreed by the SRB and ratified by the SER Board

Following the interview, details are recorded on the SER website by the Lead Assessor and the application re-assessed.

6.7 Final recommendations for assessments

The Assessors will complete as many assessment rounds as required to reach a final recommendation in respect of the application. The recommendation must then be agreed by the SRB.

When a final recommendation is reached, the Lead Assessor provides a summary of the full assessment process in the comments section of the final assessment form.

6.7.1 Accept recommendations

In order to reduce delays in application outcomes being finalised, if the Assessors reach a joint recommendation that the application should be accepted, the process of obtaining the SRB's agreement with that decision is conducted via email. The form from the final assessment round will be shared with the SRB, and they will be asked to confirm their agreement with the decision. Agreement is required from two-thirds of the SRB members for the recommendation to be considered agreed.

If any SRB member queries the Accept recommendation before the required number of agreements is reached, the application assessment will be referred for review and discussion at the next SRB meeting in the same way as an application with a final recommendation of Refer to SRB.

6.7.2 Reject recommendation

Reject recommendations are rarely made; if the Assessors are minded to recommend an application is rejected, they should instead reach a final decision of Refer to SRB so that the application and assessment can be reviewed and discussed by the full SRB.

6.7.3 Refer to SRB recommendations

If the Assessors are not able to agree a final decision or feel that there are aspects of the application that require review and discussion by the SRB as a whole, they will refer the application to the next SRB meeting. In this case, the final comments should include an indication of whether the Assessors are inclined towards acceptance or rejection of the application.

For all applications referred for review and discussion at an SRB meeting, the SER staff team will add the application assessment to the agenda for the next SRB meeting and a paper will be put together including the application, all uploaded supporting documentation, and copies of all the assessments.

If an application referred to the SRB has a linked application, that application will also be referred to the meeting as the outcome of one will likely affect the outcome of the other.

6.7.4 Ratification by the SER Board

Once a final recommendation has been reached by the SRB as to the outcome of the assessment, brief details of the application and the final assessment summary are shared with the SER Board for their ratification of the decision.

If the SER Board queries an application outcome recommendation, the matter will be added to the SER Board agenda for review at the next Board meeting. The ratification document only will be shared with the SER Board, and the SRB Chair will be asked to provide any further information required.

6.7.5 Notification of final outcome

The final decisions of the SRB and the SER Board are entered into the website by the SER staff team, and the outcome notification email is automatically sent to the applicant. This includes notification of when the membership will become Active.

7. Representations to the SER Board

Applicants to become an Approved Body or Approved Certifier may, after the issue of an application assessment outcome notification, make representations to the Board of SER regarding that outcome. See the *SER Complaints and Disciplinary Procedures* for details of this process and required timescales for submission.

8. Appeals

Appeals may only be lodged if a representation on the matter disputed has previously been made to the Board of SER. See the *SER Complaints and Disciplinary Procedures* for details of this process and required timescales for submission.

Appendix A: Certifier application declarations

A1: Approved Certifier Experience Declarations

Applicants are required to choose the most applicable statement for each heading. The declarations made must be consistent with the Employment History, Project Experience and any supplementary documents that have been uploaded.

If a statement is chosen which requires further clarification or would not meet the Scheme requirements without mitigation, applicants are asked to provide further information as indicated.

Current position

1. I am a Sole Practitioner
2. I manage a small practice
3. I work within a team of engineers
4. I lead a team of engineers
5. I hold a management position in a medium to large practice
6. None of the above – details to be provided.

Current role

1. I routinely undertake structural designs on my own
2. I occasionally undertake structural designs, but I am closely involved in the design process
3. I rarely undertake structural designs, but I am closely involved in the design process
4. I rarely get involved in the design process; my role is mainly managerial. Please give more details
5. None of the above – details to be provided.

If options 4 or 5 are chosen, applicants are asked to provide a separate document explaining the reasons why they consider that you have the attributes needed to be able to undertake the role of Approved Certifier.

Building types (Refer to SER Guidance note 12 for Risk Group Matrix)

1. My recent experience is generally limited to working on buildings in risk groups 1A and 1B
2. My recent experience is generally limited to working on buildings in risk groups 2A and 2B
3. My recent experience is generally of working on building in all risk groups, except those in risk group 3
4. My recent experience is generally of working on building in all risk groups, except those in risk groups 1A and 1B
5. I have recent experience of working on buildings in all risk groups
7. None of the above.

If no recent experience is declared in relation to any of the risk groups, applicants are asked to provide a separate document describing their approach to certification of projects in risk groups outwith their recent experience.

Building materials

1. My recent experience is of designing building structures in steel, concrete, timber and masonry
2. My recent experience is generally limited to designing building structures in steel and concrete
3. My recent experience is generally limited to designing buildings structures in timber
4. My recent design experience is generally limited to particular materials. Please specify these
5. None of the above – details to be provided.

If options 3, 4 or 5 are chosen, applicants are asked to provide a separate document describing their approach to certification of projects utilising materials outwith their recent experience.

Structural forms

1. My recent design experience includes a wide range of building structures and their foundations, including multi-storey frames in steel and concrete, steel portal frames, timber frames and loadbearing masonry structures
2. My recent design experience is limited to a restricted range of building structures and their foundations
3. I have limited recent experience of the design of building structures
4. None of the above – details to be provided.

If options 2, 3 or 4 are chosen, applicants are asked to provide a separate document describing their approach to certification of projects utilising structural forms outwith their recent experience.

Ground investigations

1. I have extensive knowledge of ground investigation. I routinely specify soil sampling and testing programs and write interpretative reports
2. I take a close interest in the specification of soil sampling and testing programmes for site investigation works and rely on my own judgment of the factual information to decide on an appropriate foundation solution
3. I have limited knowledge of ground investigation and rely on the knowledge of specialist geotechnical engineers to design the sampling and testing programme, however I generally rely on my own judgment of the factual information to decide on an appropriate foundation solution
4. I have limited knowledge of ground investigation and rely entirely on the knowledge of specialist geotechnical engineers to design the soil sampling and testing programme and to advise me on an appropriate foundation solution
5. None of the above – details to be provided.

If options 4 or 5 are chosen, applicants are asked to provide a separate document describing how they will satisfy themselves of the adequacy of the ground investigation.

Alterations to buildings and existing buildings appraisals

1. I have extensive experience of designing alterations to existing buildings and undertaking existing building appraisals
2. I have limited experience of designing alterations to existing buildings and rely on others to undertake existing building appraisals
3. I rarely undertake work which involves alterations to existing buildings
4. I have no experience of designing alterations to existing buildings
5. None of the above – details to be provided.

If options 2, 3, 4 or 5 are chosen, applicants are asked to provide a separate document describing how they will satisfy themselves of the adequacy of the designs and of the existing buildings appraisal.

Specifications

1. I have extensive experience of writing and reviewing structural specifications for buildings
2. I have limited experience of writing and reviewing structural specifications for buildings
3. I generally do not write or review structural specifications for buildings. This is undertaken by others
4. None of the above – details to be provided.

If options 3 or 4 are chosen, applicants are asked to provide a separate document describing how they will satisfy themselves of the adequacy of the structural specification.

Experience of peer reviews

1. I routinely undertake peer reviews of design calculations, drawings and specifications
2. I occasionally undertake peer reviews of design calculations, drawings and specifications
3. I rarely undertake peer reviews of design calculations, drawings and specifications
4. None of the above - – details to be provided.

If options 3 or 4 are chosen, applicants are asked to provide a separate document describing the reasons why they consider that they have the attributes needed to be able to undertake the role of Approved Certifier, given that they have declared little recent experience of the peer review of design calculations, drawings and specifications.

Knowledge and experience of the legislative framework

1. I have extensive knowledge of the Scottish Building Standards legislation and guidance
2. I am familiar with most aspects of the Scottish Building Standards legislation but generally provide information for others to make applications for building warrants on behalf of clients
3. I have some knowledge of the Scottish Building Standards legislation but as my work is related only to structural design I rely on making sure that designs comply with structural codes and standards
5. I have not worked on any projects in Scotland but I have studied the Building Standards legislation and guidance.
6. I have no experience of working on projects in Scotland
7. None of the above - – details to be provided.

If options 3, 4, 5, 6 or 7 are chosen, applicants are asked to provide a separate document describing the reasons why they consider that they have the attributes needed to be able to undertake the role of Approved Certifier and the steps they will take to mitigate any shortcomings, given that they have declared little recent experience of the legislative framework

Knowledge and experience of the SER Scheme

1. I have a good understanding of the SER Scheme in Scotland and its requirements. I have experience of providing information to certifiers for their review and understand the process of certification
2. I am familiar with the SER Scheme and its requirements but have had limited exposure to the process of certification
3. I have not worked on any projects in Scotland but I have a good understanding of the SER Scheme and its requirements from studying the Scheme guidance
4. I am not familiar with the SER Scheme in Scotland
5. None of the above – details to be provided.

If options 4 or 5 are chosen, are chosen, applicants are asked to provide a separate document describing the reasons why they consider that they have the attributes needed to be able to undertake the role of Approved Certifier and the steps they will take to mitigate any shortcomings, given that you have declared little recent knowledge and experience of the SER Scheme

A2: Approved Certifier Expertise declarations

Applicants are required to declare their level of experience for each heading from the options below:

Proficient	Proficient at undertaking and reviewing designs independently
Able	Able to undertake and review designs independently
Some experience	Able to undertake designs under supervision
Some knowledge	Have some knowledge and understanding of the subject but little design experience
Limited knowledge	Little or no knowledge or understanding. No design experience.

Materials

- Reinforced concrete
- Structural steel
- Structural timber
- Glued laminated timber
- Cross/vertically laminated timber
- Structural Insulated Panels (SIPS)
- Brickwork and blockwork
- In situ prestressed/post-tensioned concrete
- Precast reinforced concrete
- Precast prestressed/post-tensioned concrete
- Steel/concrete composite construction
- Stone masonry
- Aluminium

Structural Forms

- Steel frames - braced frames
- Steel frames - rigid frames
- Steel frames - portal frames
- Steel frames - light gauge steel framing system
- Concrete frames - reinforced concrete
- Concrete frames - precast concrete
- Timber frames - open panel
- Timber frames - closed panel
- Timber frames - post and beam
- Timber trussed rafter roofs

Ground Engineering/Substructure

- Mineral consolidation
- Vibro/Dynamic Compaction
- Rigid inclusions
- Bored piles
- Driven piles
- CFA piles
- Mini piles
- Basement: Shallow (less than 3m)
- Basement: Deep
- Raft
- Spread Foundations (strip/pad)
- Suspended ground floors
- Retaining walls - reinforced concrete
- Retaining walls - masonry
- Retaining walls - gabion baskets
- Retaining walls - sheet pile
- Retaining walls - bored contiguous pile, etc
- Underpinning

Building envelope (including fixings)

- Masonry cladding
- Timber cladding
- Profiled metal cladding - walls and roofs
- Precast concrete cladding panels
- Curtain walling systems
- Glazing and glazing systems

Miscellaneous secondary items

- Suspended ceilings
- Lightweight partitions
- Protective barriers
- Bespoke staircases
- M+E supports and fixings

A3: Approved Certifier Scope of Design Experience declarations

Applicants are required to declare the number of projects for which they have had a significant involvement in the conceptual design, detailed design or peer review from the options below.

>10 projects
5-10 projects
1-5 projects
0 projects

Building type (see Guidance Note 12)

- Risk Group 1A/1B
- Risk Group 2A
- Risk Group 2B
- Risk Group 3

General

- Existing buildings -alterations/appraisals
- Exposure to certification process
- Peer reviews of design
- Preparation/checking of specifications
- Reviews of projects designed using BIM

Appendix B: Information required to be submitted as part of application to become an Approved Certifier of Design in addition to the declarations in Appendix A

- **Name & contact details**

- **Qualifications & Membership**

- Academic and professional qualifications including dates achieved
- conflict of interest with you acting as a Certifier of Design (Building Structures)?
- Professional Body Membership Information – membership number and Chartered date
- CPD reporting Institution (IStructE/ICE)
- Other relevant qualifications
- Details of previous memberships of this SER Scheme
- Details of memberships of other SER schemes
- Approved Bodies for which applicant will be certifying

- **Employment Information**

Details of employment history with a summary of the experience gained at each employer, including that relative to the design and the certification of building structures. This is required to be provided in a table with the following headings:

- Position
- Employer Name
- Experience Gained
- Start Date
- End Date

In addition, applicants may upload documents in support of this information. However, it is NOT acceptable to submit a CV instead of completing this section.

- **Project Information**

It is a requirement for membership of the SER Certification Scheme that applicants demonstrate a minimum of five years' recent relevant experience of the design of building structures. This is required to be provided in a table with the following headings:

- Project
- Description Of Project
- Role
- Description Of Tasks
- Description Of Experience
- Involvement In Certification
- Start Date
- End Date

Details of projects which demonstrate the depth and breadth of the applicant's experience of the design of building structures over at least the last five years should be provided. These should include examples of projects where the applicant has been involved in the checking/peer review of designs and should complement the declarations made in the Experience, Expertise and Scope of design experience sections of the application. The structural form of the project should be included in the Project Description field and the information provided must indicate the applicants experience in:

- Ground Investigations
- Building Alterations

- Building Appraisals
- Specifications

In addition, applicants may upload documents in support of this information. However, it is NOT acceptable to submit a CV instead of completing this section.

- **CPD Record**

The last three years of CPD submissions as submitted to the applicant's professional Body are required. The CPD submissions should give an indication of any CPD activities relevant to the design of Building Structures undertaken by the applicant in the three years preceding the application. In addition, a clear statement indicating how the applicant intends to maintain CPD at a level commensurate with their Certifier activities should be included, which should refer to the requirements in SER Guidance Note 7: Continuing Professional Development and other relevant guidance.

- **Certification Procedures and Records**

A document should be provided which details the procedures that the applicant will adopt when undertaking the role of Approved Certifier. This should include details of how the project will be scoped, the certification process will be planned, design reviewed and how compliance was established will be recorded. Copies of any proformas to be used during certification should also be uploaded.

Appendix C: Information required to be provided by applicants to become an Approved Body

- **Name and contact details**

- **Operational details**

- Nature of firm
- Sole Practitioner or otherwise?
- Staff numbers
- In the case of firms with more than one office, the statistics given for staff numbers etc should be for the office to which the application relates.
- PII confirmation
- Staff training %
- ISO 900 registration
- Investors in people accreditation
- Details of previous memberships of this SER Scheme
- Details of memberships of other SER schemes
- Approved Certifier(s) who will be certifying for the applicant

- **Staff Training Policy**

The Staff Training Policy should describe how the Approved Body will meet the requirements described in the Scheme Guide, in particular:

- promoting the continuing professional development of Approved Certifiers
- assessing and monitoring the training needs of staff involved in certification
- how the firm will ensure that appropriate CPD has been achieved/gained
- ensuring that appropriate training is made available

It is expected that relevant SER guidance including Guidance Note 7: CPD will be referred to in the policy.

- **Obligations Policy**

The Obligations Policy should describe how the Approved Body will meet its obligations as described in the Scheme Guide and related Guidance Notes. In particular, the Policy should include information about how the Approved Body will meet its obligations under:

- Procedures to ensure the quality of the certification activities of their Approved Certifiers and to see that that designs that are presented to their Approved Certifiers for certification are presented timeously, are complete, except where work is to be undertaken in a later stage, are of an appropriate quality and have been checked in accordance with the scheme requirements with specific reference to SER guidance on risk classification and the level of check
- Procedures in place to manage post-certification design changes
- Protection of Certifiers from financial risk and management of risk, with specific reference to the risks associated with undertaking certification. Sole Practitioners who are also engaged to act as the designer, should also include information on how the Scheme's requirements on checking for buildings in Risk Groups RG1B and above will be met.
- Providing an environment that supports certifiers and manages their activities
- Reporting of Failure of Certified Structures

Applicants should refer to the following documents in writing their Obligations Policy:

- Scheme Guide
- Audit Procedures - Appendix A
- Guidance Note 11: Guidelines for Checking the Structural Design of Buildings
- Guidance Note 12: Building Risk Group Matrix
- Guidance Note 6: Responsibilities and Liabilities
- Guidance Note 5: Reporting of Failure of Certified Structures

- **Access to Documents Policy**

The Access to Documents policy should indicate how the firm maintains a current library of relevant technical documents, including Building Regulations, design standards and guidance, and any other relevant technical literature. The policy should also confirm the availability of technical documents to all staff involved in certification.

- **Complaints Policy**

The Complaints Policy should describe how the Approved Body will meet the requirement described in the Scheme Guide. With particular regard to Certification of Design under the SER Scheme, the Complaints Policy should align with normal good practice for dealing with complaints and should:

- confirm the ways in which a complaint regarding any aspect of Certification of Design undertaken by the Approved Body/Approved Certifier can be made to the Approved Body
- indicate how a complaint will be handled fairly and consistently
- confirm that where a complaint relating to Certification of Design cannot be resolved by the Approved Body it may then be submitted to SER and note the process for this

The applicant may already have an existing client Complaints Policy, and it is not necessary to have a separate policy in relation to certification activities. However, the existing policy may need to be amended to include the requirements in relation to certification.

- **PII Certificate**

The applicant must provide evidence to show that it has Professional Indemnity Insurance in place, and a current certificate must be uploaded. If admitted to the Scheme, the Approved Body must maintain adequate professional indemnity cover for any project certified by an Approved Certifier of Design (Building Structures) and the upload must be kept up to date. SER does not check the level of cover - it is the responsibility of the Approved Body to determine the appropriate level.

- **Local Authorities**

The Local Authorities in which you intend to conduct certification activities are indicated.

- **Certification Coordinator(s)**

- A Primary Certification Coordinator must be assigned, and the applicant will automatically be assigned to this role, but an Alternative Certification Coordinator does not have to be assigned during the application process.
- Certification Coordinators do not have to hold Chartered Engineer status or to be an Approved Certifier and from the point of view of oversight of the issue of certificates, it is preferable for the role to be held by someone other than the Approved Certifier.
- One of the main duties of the Certification Coordinator is to be responsible for ensuring that the conditions under which the Approved Body was approved are fulfilled and maintained. It is therefore important that they are of sufficient seniority in the firm to be able to facilitate this.