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**International
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Chapter 4 EDGE Approval Protocol for Auditors

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1. About this Document

1.1. Scope of this document

This document, the *Chapter 4 EDGE Approval Protocol for Auditors*, is designed to set out the process which individuals must follow to become an approved EDGE Auditor, including training, examination, interim approval and final approval, requirements for maintaining active status as an EDGE Auditor, and how quality assurance is undertaken by Partners.



Figure 1 Components of the Approval Protocol for Auditors

1.2. Organization of the EDGE Protocols

The *Chapter 1 EDGE Governance Structure Overview* document provides a comprehensive overview of the whole EDGE Protocols, and therefore should be read first.

This document should be read in conjunction with the *Chapter 5 EDGE Certification Protocol*, since the primary responsibility of the EDGE Auditors is to undertake Design and Site Audits and make Recommendations as per the requirements it sets out. Depending on the type of market which the EDGE Certification Program is planned, this document should also be read in conjunction with either the *Chapter 2 EDGE Approval Protocol for Local Partners* (where a market transformation strategy is being implemented in a priority market with a Local Partner at the helm) or the *Chapter 3 EDGE Approval Protocol for Global Partners* (where a Global Partner provides auditing and certification services in response to Client demand, across multiple geographies). These documents are important to understand the role that the Partners have in training and approving Auditors, and undertaking quality control.

Readers are encouraged to refer to the *EDGE Glossary* to help them understand the key terms which define the EDGE Protocols, which are identified in the text through capitalized nouns (e.g., Local Market).

It is also important that parties involved in the delivery of the EDGE Protocols understand the process for periodically updating the EDGE Protocol documents, and their responsibilities with respect to implementing such changes. This is set out in the *Chapter 7 EDGE Update Protocol*.

This *Chapter 4 Approval Protocol for Auditors* document, along with the remainder of the EDGE Protocols, is designed to set the norm for the EDGE Protocols, and therefore sets out detailed requirements to ensure that the EDGE Protocols are implemented consistently around the world. The EDGE Protocols are the base reference and underpin all EDGE training material and guidance documents. Should there be any conflict between the EDGE Protocols and the supporting training and guidance materials produced, the EDGE Protocols shall take precedence.

1.3. Roles and Responsibilities

The operation of the EDGE Certification Programs in Local Markets is contingent on a number of organizations working together to maintain the system and deliver services to Clients. The roles and responsibilities of these organizations, and their interrelationship is provided in the overview in *Chapter 1 EDGE Governance Structure Overview*, and detailed through the remaining EDGE Protocol documents.

The *Chapter 4 EDGE Approval Protocol for Auditors* applies to all situations where a potential Client is seeking EDGE Certification, irrespective of whether the EDGE Certification Program is being operated in the Local Market by a Local Partner or a Global Partner.

In order to be approved as an EDGE Auditor, in the preparation stage an individual must first apply to the Partner in the Local Market (either a Local Partner or a Global Partner), demonstrating that they have the appropriate educational

qualifications or industry experience. Providing they meet these requirements, the applicant must take the EDGE Auditor training, and pass a written exam testing their competency and understanding of the application of the EDGE Protocols, including a detailed understanding of the EDGE Standard. Once they have passed the EDGE Auditor exam, they are able to work as an EDGE Auditor, however, they are only granted interim approval until they have submitted their first Recommendation for EDGE Certification, which will be subject to detailed review by the Partner.

The requirements for how EDGE Auditors undertake audits are set out in a separate document, the *Chapter 5 EDGE Certification Protocol*.

In order to maintain approved status, EDGE Auditors have to do at least one audit every two years, or alternatively retake the EDGE Auditor exam or attend a refresher training.

Quality control of the auditing is undertaken by the Partner operating in the Local Market, which must audit a sample of their active EDGE Auditors every year. The scope of the audit shall initially cover one building project per sample EDGE Auditor, but may be expanded to cover more building projects, or in the case of a sample firm, more EDGE Auditors in the firm. If the EDGE Auditor is found not to be implementing the EDGE Protocols requirements properly, they will normally be given an opportunity to address the issues. Failure to do so may result in their approved status being withdrawn.

2. Purpose of the EDGE Auditor

- 2.1. The purpose of the EDGE Auditor is to determine by investigation, examination, and evaluation of objective evidence whether the EDGE Measures chosen to achieve the EDGE Standard by an EDGE Client have been implemented.
- 2.2. The scope of the EDGE Auditor's work includes Design Audits and Site Audits of building projects, and making Recommendations for conformance with the EDGE Standard to the relevant Partner i.e., a Local Partner or Global Partner.
- 2.3. The scope of the EDGE Auditor's responsibilities do not include issuing Preliminary Certificates or EDGE Certificates, however, this does not preclude an organization from providing staff to undertake the role of the EDGE Auditor and the Partner with authority to issue Certificates, provided adequate ethical barriers are in place to prevent Conflicts of Interest.
- 2.4. EDGE Auditors cannot provide training and consultancy to EDGE Clients related to a project that they are auditing, as this represents a Conflict of Interest.

3. Auditor Pre-Qualification Process

- 3.1. A potential EDGE Auditor shall make an application for approval to the relevant Partner¹ (i.e., Local Partner or Global Partner).
 - 3.1.1. Where a firm intends to put forward multiple employees as potential EDGE Auditors, they may do so on behalf of their employees, providing evidence of pre-qualification for each candidate.
 - 3.1.2. The individual making an application for approval as a potential EDGE Auditor must not have other roles and responsibilities within the operation of the EDGE Certification System in the Local Market, and must be independent from the individuals within the Local Partner who are responsible for the oversight of EDGE Auditors and issuing EDGE Certification decisions.
- 3.2. The applicant shall demonstrate that they have at least one of the following educational backgrounds:

¹ Information about which Partner is operating in a Local Market can be found at www.ifc.org/edge.

- i) Higher education qualification in a construction industry related field.
 - ii) Three (3) years experience working in the construction industry (as a skilled professional or tradesperson) and a higher education qualification (not necessarily in a construction industry related field). Acceptable construction industry roles include:
 - a. Architect
 - b. Architectural Technologist
 - c. Bid manager
 - d. Building surveyor
 - e. CAD technician
 - f. Civil Engineer
 - g. Contracts manager
 - h. Contractor
 - i. Construction Manager
 - j. Developer
 - k. Electrical engineer
 - l. Estimator
 - m. Energy/Environmental Engineer
 - n. Facilities manager
 - o. Mechanical engineer
 - p. Planner
 - q. Procurement & Contracts Management
 - r. Quantity surveyor
 - s. Site engineer
 - t. Site manager
 - u. Skilled tradesperson
 - v. Structural engineer
- 3.3. The applicant shall provide evidence of their educational background. The following is a list of documentary evidence that can be used by an applicant to demonstrate compliance.
- i) Certificates of higher education qualification.
 - ii) Membership in professional organization and the associated code of conduct.
 - iii) Up to date curriculum vitae, signed by the applicant.
 - iv) Records of relevant projects.
 - v) Alternative evidence, which will be considered on a case by case basis.
- 3.4. EDGE Partners may have additional Pre-Qualification requirements, provided these are pre-approved in writing by the EO&M team.
- 3.5. Upon demonstration that the pre-qualification criteria have been met, the applicant shall be eligible to take the EDGE Auditor training and the EDGE Auditor exam.

4. EDGE Auditor Training Program

- 4.1. The EO&M Team shall develop and from time to time update globally applicable training materials and provide these to Partners. All provided training materials shall be returned to IFC at IFC's request.
- 4.2. Where there is a Local Partner, they shall deliver the EDGE Auditor training program, or where agreed with the EO&M Team and the Local Partner, a third party partner may conduct the training program. Where there is a Global Partner, the EO&M Team may directly deliver training to Global Partners and their EDGE Auditor trainers, or nominate a third party to do so.
 - 4.2.1. Training materials shall be adapted for the Local Market by the Local Partner, including translation into the appropriate language and adapting the procedural details to the local business environment.

- 4.2.2. The EDGE Auditor training may be delivered through a variety of platforms, including classroom instruction, written materials, web-based training and other information and communications technology methods, as approved by the EO&M Team.
- 4.2.3. The EDGE Auditor training program delivered by any Partner must be approved by the EO&M Team.
- 4.2.4. The Partner or their third party certification provider may set the fee for participating in the EDGE Auditor training.
- 4.2.5. The Partner or their third party certification provider shall pay the IFC a portion of the revenues generated from the EDGE Auditor training, as set out in the legal agreement with IFC.
- 4.2.6. The EDGE Auditor training may also be made available to individuals who do not intend to pursue EDGE Auditor approval, such as EDGE Clients or other Interested Parties.
- 4.3. The scope of the training program shall at a minimum include the EDGE Protocols training described below.
 - 4.3.1. The EDGE Protocols training shall ensure potential EDGE Auditors gain a thorough understanding of:
 - i) The EDGE Certification processes as defined in the *Chapter 5 EDGE Certification Protocol*.
 - ii) The EDGE Software, and the Local Adaptation where applicable, including
 - a. An understanding of all EDGE Measures.
 - b. The EDGE Software logic, methodology, inter-relation of sections and measures, and knowledge of how the user's inputs relate to the charts and results tab.
 - c. An understanding of the detailed compliance requirements as set out in the User Guide.
 - d. Assumptions, standards and methodologies used to calculate the local Base Case.
 - 4.3.2. The EDGE Protocols training shall include an overview of the responsibilities and lines of communication across the global EDGE Program, including the EO&M Team, Local Partners, Global Partners, EDGE Auditors and EDGE Clients.
 - 4.3.3. The EDGE Protocols training shall include practical experience with the EDGE Software and the online registry system, as well as worked examples and case studies of the Design Audit and Site Audit.
- 4.4. Records of attendance shall be kept for all training components, whether delivered face-to-face or using other media. Such records will include attendee feedback, including an overall rating of the quality of the training on a scale of 1 (poor) to 5 (excellent).

5. Auditor Testing

- 5.1. All applicants must sit and pass a written EDGE Auditor exam testing their competency and understanding of the application of the EDGE Standard.
- 5.2. The EDGE Auditor exam shall be administered and scored by an independent third party examination body appointed by the EO&M Team.
- 5.3. The EDGE Auditor exam shall be developed by the EO&M Team who will invite EDGE Partners to provide input.
 - 5.3.1. The EDGE Auditor exam shall test knowledge of the following:
 - i) The EDGE Certification process as defined in the *Chapter 5 EDGE Certification Protocol*;
 - ii) EDGE methodology report;
 - iii) The EDGE Standard, including:

- a. All EDGE Measures;
 - b. The detailed compliance requirements as set out in the User Guide;
 - iv) The responsibilities and lines of communication across the global EDGE Program, including the EO&M Team, Local Partners, Global Partners, EDGE Auditors and EDGE Clients;
 - v) Other elements of the EDGE Auditor training as it may vary from time to time.
- 5.3.2. The EDGE Auditor exam will be offered initially in English and eventually in the national language(s) of the applicable Local Market.
- 5.4. The evaluation criteria and the minimum scores required for approval shall be determined by the EO&M Team.
- 5.5. Partners will present names of eligible exam candidates to the EO&M Team immediately after training. Candidates must take the EDGE Auditor exam within 2 months after their names are submitted to the EO&M Team, unless a longer period is otherwise agreed with the relevant Partner. If they do not take the exam in this period they will have to retake the training.
- 5.6. If candidates fail the EDGE Auditor exam, they may retake it once within two months of the first attempt, unless a longer time period is agreed with the relevant Partner. If candidates do not pass the exam within the specified time period they will have to retake the training. Retaken exams will be different from the original EDGE Auditor exam.
- 5.7. The EO&M Team will notify Partners when one of their candidates has passed the exam.

6. Auditor Approval

- 6.1. If the applicant meets the pre-qualification requirements and passes the EDGE Auditor exam, they shall be recommended for interim approval as an EDGE Auditor once they have signed a legal agreement with a Partner.
- 6.2.** The legal agreement shall include the elements laid out below and any other EDGE Auditor requirements as set out in this *Chapter 4 EDGE Approval Protocol for Auditors*, and the *Chapter 5 EDGE Certification Protocol*:
- 6.2.1. The Partners role in Auditor management includes: screening; training; signing a contract; performance monitoring; audits; empowering auditors as an EDGE business development force;
 - 6.2.2. Auditor and Partner represent that they have no conflict of interest, including due to business, family or personal ties, or due to any other reason in entering into the agreement;
 - 6.2.3. Auditor represents that they have passed the Auditor exam;
 - 6.2.4. Statement of what Auditor has to do to attain interim and then later full approval from the Partner and then what the Auditor has to do to remain "Active" in terms of training and/or EDGE audits.
 - 6.2.5. Auditor commits to:
 - 6.2.5.1. Compliance with national or international safety codes, whichever is more stringent, when visiting sites;
 - 6.2.5.2. Ethical behavior
 - 6.2.5.3. Maintenance of records of all EDGE submissions for five years
 - 6.2.5.4. Share concerns of Auditors and Clients to provide a feedback loop to improve EDGE

6.2.5.5. Compliance with governance documents, in particular: commitment to high professional standards; prompt response to Clients and to Partners; avoidance of conflict of interest (e.g. Auditor to seek approval from Certifier if they wish to have any role in a project beyond providing audits); making files, staff and Client contact information available for Partner / IFC to conduct audits from time to time; use of EDGE brand and marketing materials in line with the EDGE Partnership Guidelines for Branding and Media (EDGE Branding and Media Guidelines); reporting instances of use of EDGE brand by a Client contrary to the guidelines laid out in the EDGE Brand Assets Document (<https://www.edgebuildings.com/contact-us/brand-assets/>);

6.2.6. Auditor commits to use a contract with EDGE Clients which includes the following elements:

6.2.6.1. Clear statement of scope of EDGE Auditor services, including:

6.2.6.1.1. Review of Self-Assessment and provision of documentation checklist;

6.2.6.1.2. Review of documentation from the Client and submission of Recommendation to the EDGE Partner of each Recommendation (i.e. for Preliminary Certificate and EDGE Certification);

6.2.6.1.3. Free second review of revised documentation received from the client for the purpose of each Recommendation, if the initial submission was deemed deficient in any way by the Auditor;

6.2.6.1.4. Site visit;

6.2.6.2. Clear agreed time line for delivery of services and time frame of responses;

6.2.6.3. Cost of EDGE Auditor services and payment schedule;

6.2.6.4. Statement that no party has any conflicts of interest / acknowledgement of conflicts of interest and undertaking by the EDGE Auditor to report such to the EDGE Partner upon submission of a Recommendation;

6.2.6.5. Commitment by Client and Auditor to abide by local safety codes;

6.2.6.6. EDGE Partner and IFC shall be indemnified;

6.2.6.7. Limitation of Auditor liability;

6.2.6.8. Statement that Client is responsible for the accuracy of all submissions to Auditor made for the purpose of a Recommendation and acknowledgement that any misrepresentation may result in the revocation of a certification;

6.2.6.9. Auditor, IFC and Partner accepts no liability regarding the actual performance of the building or quality of the design;

6.2.6.10. Client agrees to use EDGE brand only after Preliminary Certificate is issued and will cease using the brand if Preliminary Certificate or EDGE Certification are revoked or expire for any reason;

6.2.6.11. Client agrees to keep copies of all documentation related to a Recommendation for at least 5 years;

- 6.2.6.12. Client agrees to share, upon the request of the EDGE Partner or IFC, actual monthly energy and water consumption levels on an annual basis if requested for up to 5 years after Certification. Such information to be used without attribution to analyze the performance of a portfolio of EDGE Certified buildings in order to strengthen the EDGE Certification System over time;
- 6.2.6.13. Client and Auditor agree to make the contract available for review by the EDGE Partner or IFC for the purposes of system audits.
- 6.2.7. Partner obligations: Prompt response to submissions from the Auditor; Alert auditors to changes in EDGE software and protocols; Share concerns of Auditors and Clients with IFC and communicate IFC's response; Limitation of liability.
- 6.3. On signature of the legal agreement, the relevant Partner shall add details about the approved individual to its database of Auditors and communicate them to the EO&M Team. The Partner is responsible for notifying the EO&M team promptly of any Corrective Action Request issued by a Partner and updating the status of such EDGE Auditors should they cease to be approved Auditors in their database and communicating the change in status to the EO&M Team. The EO&M Team will maintain a database of all active Auditors worldwide which will be publically available on-line.
- 6.4. Where multiple Auditors are employed by a single firm, a legal agreement which covers the activities of all Auditors within that firm may be used by the Local or Global Partners, but the Auditors remain individually liable for their obligations and they must therefore countersign the agreement.
- 6.5. The Partner shall conduct a detailed technical review of the first Recommendation an Interim EDGE Auditor makes after a Design Audit and the first Recommendation after a Site Audit. If this technical review reveals deficiencies, the Partner may revoke the Interim EDGE Auditor's status, or, at the sole discretion of the Partner, may work with the EDGE Auditor to correct the deficiencies and conduct further detailed technical reviews to ensure the quality of the Auditor's work. When a partner is confident of an interim Auditor's work quality the Partner will approve the Auditor fully.
- 6.5.1. Detailed technical review shall include a desk-review of the documentation used to support the Recommendation for EDGE Certification and may include a site visit of the EDGE Certified site to confirm that the EDGE Auditor has correctly understood the process.

7. Maintaining active status as an EDGE Auditor

- 7.1. In order to maintain approved status EDGE Auditors must either:
- i) Undertake at least one (1) building project Audit every two (2) years; or
 - ii) Attend refresher training of at least 4 hours every two year; or
 - iii) Retake the Auditor exam after approval from the EDGE Partner; or
 - iv) Undertake other activities approved by the EO&M team and relevant Partner.
- 7.1.1 Failure to remain active shall result in withdrawal of approved EDGE Auditor status and removal from the list of approved EDGE Auditors.

8. EDGE Auditor's Roles and Responsibilities

- 8.1. EDGE Auditors should review the projects at design and post construction stage and prepare the submission documents for EDGE Partners.

- 8.2. EDGE Auditors should keep the electronic copy of the EDGE submittals at least for 5 years after project approval.
- 8.3. EDGE Auditors can only provide audit services related to applications to be submitted to the Local or Global Partner that approves them. For example, if an Auditor from South Africa moves to India, they should contact the India Local Partner, to do required training and to sign a contract with the India Local Partner before starting audit work in India. An EDGE Auditor will not be recognized as a licensed Auditor in India unless they are under contract with the Local Partner in that geography.
- 8.4. An EDGE Auditor cannot have any other professional or financial interest in a project. There is a clear conflict of interest in providing EDGE Audit services and EDGE consultancy services or any other professional services for the same project. EDGE Auditors shall not therefore provide audit services on the same project where they are providing any other services. The same company may however provide EDGE Audit and consultancy or other services for the same project as long as the EDGE Auditor and the consultant and/or other service provider are separate individuals and the company that employs them is certified to the ISO17065 Standard. In such cases, the company providing EDGE Audit and other services to the same project must note this fact in any Recommendation submitted by the EDGE Auditor to the EDGE Certifier.
- 8.5. Fully approved EDGE Auditors may be issued a certificate by their Partner (at the Partner's discretion) and are allowed to use an EDGE Logo and the following text in their email digital signature for as long as they maintain their active status.



EDGE Auditor (Country Name or Global for Global Auditors)

- 8.6. EDGE Auditors must adhere to the professional ethical requirements of EDGE Partners as well as best practices locally and globally. EDGE Auditors will lose their status in the EDGE certification system in the case of unethical behavior, or failure to abide by these governance protocols in any way.

9. Quality control of EDGE Auditors

- 9.1. The pool of active EDGE Auditors shall be subject to an annual audit by the relevant Partner, based on a review of the work of a sample of active EDGE Auditors.
 - 9.1.1. All approved EDGE Auditors that submitted Recommendations for EDGE Certification during the previous period shall be considered active.
 - 9.1.2. The selection of which active EDGE Auditors to sample may take into account the experience of the Auditor, the result of their Design Audits and Site Audits, and the number and type of queries related to their audits.
 - 9.1.3. At a minimum, the total sample must be equivalent to the square root of $n + 1$ of the total active EDGE Auditor pool.
- 9.2. The scope of the audit shall initially cover one building project audit per sampled EDGE Auditor.
 - 9.2.1. The audit will include a desk-review of the documentation used to support the Recommendation and a site visit of the EDGE Certified building project.

- 9.2.2. If potential Non-conformities are found, the audit may be expanded to include other building project audits, to confirm whether or not it is a systematic failure. Costs of additional site visits may be borne by the EDGE Auditor, to be determined by the relevant Partner.
- 9.2.3. If potential Non-conformities are found in a firm with multiple approved EDGE Auditors, the audit may be expanded to cover other EDGE Auditors and the firm's systems, to confirm whether or not it is a systemic failure. Costs of additional site visits may be borne by the EDGE Auditor's firm, to be determined by the relevant Partner.
- 9.2.4. The EDGE Auditor shall be informed of any Non-conformities and Corrective Action requests.
- 9.2.5. If the EDGE Auditor is unable to complete the Corrective Actions requests, punitive measures may be imposed. Punitive measures may include the following:
 - i) Withdrawal of approved EDGE Auditor status and removal from the list of approved EDGE Auditors.
 - ii) Where the EDGE Auditor is part of a firm of Auditors, withdrawal of approved EDGE Auditor status for all Auditors in the firm, and removal from the list of approved EDGE Auditors.
- 9.3. Where an audit finds evidence that the EDGE Client deliberately misled the EDGE Auditor, the EDGE Client may be barred from registering future projects and any EDGE Certification already provided may be revoked.
- 9.4. If complaints or grievances are lodged against an EDGE Auditor including lack of responsiveness, slow processing speed, and lack of clarity with respect to the rationale of the failure of any Preliminary Certification or EDGE Certification with the relevant Partner, this may also trigger an audit as described above.

10. Ability of EDGE Auditors to work with multiple EDGE Partners

- 10.1. Once a candidate passes the Auditor exam, he or she may work with one or more EDGE Partners, subject to the negotiation of a legal agreement. If an Auditor elects to work with an EDGE Partner which did not sponsor the Auditor for the Auditor exam, the new Partner may require the Auditor to complete additional training specific to the needs of the new territory and may be subject to the same detailed technical review of their first Recommendations as was the case with their first Partner. However, the Auditor will not have to repeat the Auditor exam.
- 10.2. An EDGE Partner is only responsible for the oversight of an Auditor's work to the extent it relates to certification applications made to the same Partner.