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Chapter 4

Licensing Protocol for EDGE Auditors

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1. About this Document

1.1. Scope of this document

This document — *Chapter 4 Licensing Protocol for EDGE Auditors* — sets out the process to become a licensed EDGE Auditor. The process includes training, interim licensing and final licensing, requirements for maintaining active status as an EDGE Auditor, and the protocol for quality assurance of EDGE Auditors by EDGE Certification Providers.

1.2. Organization of the EDGE Protocol documents

The EDGE Protocol set outs detailed requirements to ensure that EDGE Certification Programs are implemented consistently around the world. The EDGE Protocol is the base of reference and underpins all EDGE training materials and guidance documents. Should there be any conflict between the EDGE Protocol documents and the supporting training and guidance materials, the EDGE Protocol shall take precedence.

Readers are encouraged to refer to the EDGE Glossary for key terms in the EDGE Protocol, which are identified in the text through capitalized nouns (e.g., Provider Territories).

It is recommended that the document *Chapter 1 EDGE Governance Protocol Overview* be read first for a comprehensive understanding of the EDGE Protocol. The operation of the EDGE Certification Programs in Provider Territories is dependent on several organizations working together to deliver services to Clients. *Chapter 1 EDGE Governance Protocol Overview* provides the roles and responsibilities of these organizations and their interrelationships, and the remaining EDGE Protocol documents provide the details.

It is also important that parties involved in the delivery of the EDGE Programs understand the process of periodic updates to the EDGE Protocol documents, and their responsibilities with respect to implementing these changes; as is set out in *Chapter 7, EDGE Update Protocol*.

1.3. Relation of present document to other Protocol documents

This document, *Chapter 4 Licensing Protocol for EDGE Auditors*, should be read in conjunction with *Chapter 6 EDGE Certification Protocol* since the EDGE Auditors must follow the requirements of the Certification Protocol to fulfil their primary responsibility of performing Design and Site Audits and making Recommendations for project certification.

This document should also be read in conjunction with *Chapter 2 Licensing Protocol for Certification Providers* to understand the role that the Certification Providers play in training and licensing Auditors, and undertaking quality control.

It is also important that parties involved in the delivery of the EDGE Programs understand the process of periodic updates to the EDGE Protocol documents, and their responsibilities with respect to implementing these changes, as set out in *Chapter 7 EDGE Update Protocol*.

2. Role and Eligibility

2.1. EDGE Auditor Role

The role of the EDGE Auditor is defined in *Chapter 1 EDGE Governance Protocol Overview*, and detailed in this EDGE Protocol document.

1. The role of the EDGE Auditor is to ensure that the client has provided evidence and documentation to adequately support any claims they have made in the assessment and determine objectively whether the EDGE Measures selected by a Client in the EDGE App to achieve the claimed EDGE certification level is accurate.
 - a) EDGE Auditors make the determination by investigation, examination, and evaluation of objective evidence provided by the Client for conformance with EDGE Requirements.
 - b) EDGE Auditors make this determination during the Design Audits and Site Audits of building projects
 - c) Based on their assessment, EDGE Auditors make Recommendations for certification to the relevant Certification Provider.

2. The EDGE Auditor audits EDGE or EDGE Advanced level projects.
 - a) The EDGE Auditor does not audit Zero Carbon projects. Zero Carbon projects are verified directly by Certification Providers.
 - b) The EDGE Auditor does not issue EDGE Certificates for buildings. Certificates for EDGE buildings at any level of certification are issued by Certification Providers only.
 - i) In extraordinary circumstances, an organization may undertake both the roles — that of the EDGE Auditor as well as that of the Certification Provider with authority to issue Certificates. See *Chapter 2 Licensing Protocol for EDGE Certification Providers, Section 2.2* for the applicable requirements in this case.
3. EDGE Auditors must not provide training and consultancy to EDGE Clients on any project that they are auditing, except as provided for in section 4.1.3.
4. The requirements for the audit undertaken by EDGE Auditors are set out in *Chapter 6 EDGE Certification Protocol*.

2.2. Eligibility Criteria

The following conditions must be met by individuals applying to be licensed as an EDGE Auditor.

The applicant must:

1. Be a licensed EDGE Expert;
2. Not have other roles and responsibilities for the operation of the EDGE Certification Program within the Certification Provider entity or IFC organization; and
3. Must be independent from any individuals within the relevant Certification Provider organization that are responsible for the oversight of that EDGE Auditor and for issuing EDGE Certification decisions on their audited projects.

3. Auditor Licensing Process

3.1. Application Process

A potential EDGE Auditor shall:

1. Contact the relevant Certification Provider to apply for a license.
 - a) A list of EDGE Certification Providers is available on the EDGE website¹. Candidates may find relevant Certification Providers from this list and apply to them directly.
 - b) An organization may apply for EDGE Auditor licenses on behalf of multiple employees, providing evidence of pre-qualification for each candidate individually.
2. Provide the following documents as evidence of qualifications:
 - a) EDGE Expert certificate;
 - b) Other green building credentials, if any, such as LEED AP, BREEAM Assessor;
 - c) Evidence of certified EDGE projects (Project number and name in the EDGE database) if any;
 - d) Description of other relevant green building certification projects;
 - e) Up to date curriculum vitae; and
 - f) Alternative evidence, which will be considered on a case-by-case basis.
3. Provide any additional qualifications required by the relevant EDGE Certification Providers.

The relevant Certification Provider may require additional training or documentation.

3.2. EDGE Auditor Training Program

1. The candidate shall take the EDGE Auditor training provided in the Provider Territory by the relevant Certification Provider.

¹ EDGE Buildings website www.edgebuildings.com

2. Globally applicable Auditor training materials shall be developed, and periodically updated, by the EO&M Team and provided to Certification Providers.
 - a) The scope of the training shall at a minimum include a detailed understanding of the EDGE Certification Process.
 - b) Training materials may be adapted for the Local Market by the Certification Provider, including translation into the appropriate language, and adapting the procedural details to the local business environment. The local adaptation of the training materials must be approved by the EO&M Team.
 - c) All provided training materials shall be returned to IFC at IFC's request.
3. The EO&M Team may train Certification Providers and their EDGE Auditor trainers, or nominate a third party to do so.
4. Certification Providers shall deliver the EDGE Auditor training program, or a third-party partner may conduct the training program under an agreement with the EO&M Team and the relevant Certification Provider in a Local Market.
 - a) 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.
 - b) The EDGE Auditor training may also be offered to individuals who do not intend to pursue an EDGE Auditor license, such as EDGE Clients or other Interested Parties.
 - c) The EDGE Auditor training program must also be approved by the EO&M Team.
5. The Certification Provider or their third-party set the fee for the EDGE Auditor training.
 - a) The Certification Provider or their third-party partner shall pay IFC a portion of the revenues generated from the EDGE Auditor training, as set out in the legal agreement with IFC.
6. Records of attendance shall be kept for all training components, whether delivered face-to-face or using other media.
 - a) 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).

- b) See *Chapter 2 Licensing Protocol for EDGE Certification Providers, Section 5.2.1* for additional requirements related to record keeping.

3.3. Contract Agreement

If the candidate (1) meets the qualification requirements described in Section 2.2, and (2) completes the EDGE Auditor application and training described in Section 3, the next step is to sign a legal agreement with a Certification Provider.

The legal agreement shall include the elements laid out below and any other EDGE Auditor requirements as set out in this *Chapter 4 Licensing Protocol for EDGE Auditors*, and in *Chapter 6 EDGE Certification Protocol*.

1. Auditor represents that they have no Conflict of Interest with the Certification Provider issuing their license, as defined in the *Glossary for the EDGE Governance Protocol* that would prevent the Certification Provider from verifying the work of the Auditor objectively
2. Auditor represents that they are a licensed EDGE Expert
3. States the requirements for the Auditor to obtain an interim, followed by a full, license from the Certification Provider and the requirements for training and/or EDGE audits to remain in "Active" status. See Section 5 for the list of requirements.
4. Certification Provider obligations: Prompt response to submissions from the Auditor; Alert auditors to changes in EDGE App and EDGE Protocol; Share concerns of Auditors and Clients with EO&M Team and communicate back the EO&M Team's response; Limitation of liability.

Upon signing of the legal agreement, the relevant Certification Provider shall add details about the licensed individual to its database of Auditors and communicate them to the EO&M Team. The Certification Provider is responsible for notifying the EO&M team promptly of any Corrective Action Request issued by a Certification Provider and updating the status of such EDGE Auditors should they cease to be licensed Auditors in their database and communicating the change in status to the EO&M Team.

5. The EO&M Team will maintain a database of all active Auditors worldwide which will be publicly available on-line.
6. 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 Certification Provider, but the Auditors remain individually liable for their obligations, and they must therefore countersign the agreement.
7. The Certification Provider 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 Certification Provider may revoke the Interim EDGE Auditor's status, or, at the sole discretion of the Certification Provider, 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 Certification Provider is confident of an interim Auditor's work quality, the Certification Provider will license the Auditor fully.

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.

3.4. Ability of EDGE Auditors to work with multiple EDGE Certification Providers

An EDGE Auditor may work with one or more EDGE Certification Providers, subject to the negotiation of a legal agreement. If an Auditor elects to work with an EDGE Certification Provider which did not issue their license, the new Certification Provider 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 Certification Provider. However, the Auditor will not have to repeat the EDGE exam.

4. Auditor Responsibilities

4.1. Project Audit Protocol

1. EDGE Auditors shall review the projects at design and/or post construction stage and/or prepare their Recommendations submission documents for EDGE Certification Providers.
2. EDGE Auditors shall keep an electronic copy of the EDGE submittals for at least 5 years after project approval.
3. To manage conflicts of interest, an EDGE Auditor cannot have any other professional or financial interest in the project that they are auditing. EDGE Auditors shall not, therefore, provide audit services on the same project where they are providing other services such as design or consulting. The same company may, however, provide EDGE Audit and EDGE Expert consultancy or other services for a project in the following cases:
 - a) the EDGE Auditor and the EDGE Expert and/or Certification Provider are separate individuals, and
 - b) the company clearly defines the EDGE Auditor scope of work and associated fees separately from any other services offered (including EDGE Expert consultancy) for the project on their proposal and contract. In such cases, the company providing EDGE Audit and other services to the same project must disclose this and any other potential conflicts of interest to the EDGE Certification Provider prior to registering the project. The assignment of the EDGE Auditor is subject to the approval of the EDGE Certification Provider.
4. Auditors are required to:
 - a) Comply with national or international safety codes, whichever are more stringent, when visiting EDGE Project sites
 - b) Share with the Certification Provider and the EO&M Team, feedback (their own and from their Clients) regarding EDGE.

4.2. Professional Conduct Protocol

1. Both Auditors and Interim EDGE Auditors may be issued a license by their Certification Provider (at the Certification Provider'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 (Provider Territory)"
 - a) Auditors shall use the latest EDGE Logo available from the EDGE Buildings website
 - b) Use of any EDGE brand and marketing materials must in line with the EDGE Brand Assets guidelines available on the EDGE Buildings website
 - c) Auditors must report instances of use of EDGE brand by a Client contrary to the guidelines laid out in the EDGE Brand Assets documents
2. EDGE Auditors must adhere to the professional code of conduct required by the EDGE Certification Providers who licensed them, as well as the EDGE Protocol. Failure to abide by these will result in the loss of their EDGE Auditor license.
3. EDGE Auditors can only provide audit services for projects submitted to the Certification Provider that has licensed them. For example, if an Auditor from South Africa moves to India, they must obtain a license from a Certification Provider active in India and sign the Auditor contract before starting audit work in India.
4. Compliance with governance documents, in particular: commitment to high professional standards; prompt response to Clients and to Certification Providers; avoidance of Conflict of Interest (e.g., Auditor to seek approval from Certification Provider if they wish to have any role in a project beyond providing audits); and making files, staff and Client contact information available for Certification Provider/ EO&M Team to conduct periodic audits.

4.3. Contract between Auditor and Client

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

1. Clear statement of scope of EDGE Auditor services, including:
 - a) Review of Self-Assessment and provision of documentation checklist;

- b) Review of documentation from the Client and submission of Recommendation to the EDGE Certification Provider of each Recommendation (i.e., for Preliminary Certificate and EDGE Certification);
 - c) 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; and
 - d) Site visit
2. Clear timeline for delivery of services and time frame for responses;
 3. Cost of EDGE Auditor services and payment schedule;
 4. Statement that no party has any conflicts of interest/acknowledgement of conflicts of interest, and commitment by the EDGE Auditor to report any conflicts of interest that may arise during the certification process to the EDGE Certification Provider;
 5. Commitment by Client and Auditor to abide by local safety codes;
 6. EDGE Certification Provider and IFC shall be indemnified;
 7. Limitation of Auditor liability
 - a) Auditor, IFC, and Certification Provider accept no liability regarding the actual performance of the building or quality of the design;
 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;
 9. Client agrees to use the EDGE brand only after a Preliminary Certificate has been issued and will cease using the brand if the Preliminary Certificate or EDGE Certification expire or are revoked for any reason;
 10. Client agrees to keep copies of all documentation related to a Recommendation for at least 5 years;
 11. Client agrees to share, upon the request of the EDGE Certification Provider or IFC actual monthly energy and water consumption levels of the project on an annual basis if requested for up to 5 years after Certification, to the extent possible. Such information may be used without attribution to analyze the performance of a portfolio of EDGE Certified buildings, and to strengthen the EDGE Certification System over time; and

12. Client and Auditor agree to make the contract available for review by the EDGE Certification Provider or IFC for the purposes of system audits.

5. Audit and Maintenance of EDGE Auditor status

5.1. Maintenance of Status

To maintain their licensed status, EDGE Auditors must do one of the following:

1. Undertake at least one building project Audit every two years;
2. Attend refresher training for at least 4 hours every two years;
3. Retake the EDGE Exam after approval from the EDGE Certification Provider;
and
4. Undertake other activities approved by the EO&M team and relevant Certification Provider.

Failure to remain active shall result in the withdrawal of the EDGE Auditor license and removal from the list of licensed EDGE Auditors.

5.2. Audit of Auditors

Quality control of the EDGE Auditors and their work is undertaken by the relevant Certification Provider. An EDGE Certification Provider is only responsible for the oversight of an Auditor's work to the extent it relates to certification applications made to the same Certification Provider.

1. The pool of active EDGE Auditors in a Provider Territory shall be subject to an annual audit by the relevant Certification Provider.
 - a) All licensed EDGE Auditors that submitted Recommendations for EDGE Certification during the previous two-year period shall be considered a part of the active pool of EDGE Auditors.

- b) The Certification Provider shall visit projects sites of a random sample of active EDGE Auditors. The annual sample size shall be at least 1 for every 10 active EDGE Auditors.
 - c) The selection of EDGE Auditors to audit may depend upon the experience of the Auditor, the results of their Design Audits and Site Audits, and the number and type of queries related to their audits.
 - d) 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 Certification Provider, this may also trigger an audit as described above.
2. The scope of the audit shall also cover a review of the quality of the auditors' recommendations over the year including the clarity and accuracy of the auditors' comments.
 - a) 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.
 3. If the EDGE Auditor is found to not be implementing the EDGE Protocol requirements properly, they will normally be given an opportunity to address the issues. The EDGE Auditor shall be informed of any Non-conformities and Corrective Action requests.
 - a) If potential Non-conformities are found, the audit may be expanded to include other building project audits, to check whether it is a systemic failure.
 - b) Costs of additional site visits by the Certification Provider may need to be borne by the EDGE Auditor, to be determined by the relevant Certification Provider.
 4. If the EDGE Auditor is unable to complete the Corrective Actions requests, punitive measures may be imposed. Punitive measures may include the following:
 - a) Withdrawal of licensed EDGE Auditor status and removal from the list of licensed EDGE Auditors;

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- b) Where the EDGE Auditor is part of a firm of Auditors, withdrawal of licensed EDGE Auditor status for all Auditors in the firm, and removal from the list of licensed EDGE Auditors; and
- c) Where an audit finds evidence that the EDGE Client deliberately misled the EDGE Auditor, the O&M Team must be informed and EDGE Client may be barred from registering future projects and any EDGE Certification already provided may be revoked.

