

# **ELECTROTECHNICAL *ASSESSMENT* SPECIFICATION FOR USE BY *CERTIFICATION AND REGISTRATION BODIES***

**NOTE:** This EAS (October 2021) replaces the previous EAS (January 2020)

**Main amendments:**

| <b>EAS Section</b> | <b>Change</b>  | <b>Implementation Date*</b>    |
|--------------------|--|--------------------------------|
| Section 5          | New definition for Continuing Professional Development (CPD)                                 | 1 <sup>st</sup> October 2021   |
| Appendix 4         | Appendix 4A has been removed and Appendix 4B has been renamed to Appendix 4                  | 1 <sup>st</sup> September 2021 |
| Appendix 11        | Updated to include an overview of CPD requirements   | 1 <sup>st</sup> October 2021   |
| Clause 24          | New guidance for transferring Certification between Certification and/or Registration Bodies | 1 <sup>st</sup> October 2022   |
| Appendix 12        | New appendix added to provide guidance for risk-based surveillance visits and Clause 14.2    | 1 <sup>st</sup> October 2022   |

\*The implementation dates listed in the table above can be used voluntarily before that date by Certification and Registration Bodies.

# ELECTROTECHNICAL ASSESSMENT SPECIFICATION

## A) INTRODUCTION

### 1. PURPOSE

1.1 This Specification is intended for use by *Certification* and *Registration Bodies* undertaking the *Assessment of Enterprises* carrying out *Electrotechnical work*.

1.2 The Electrotechnical Assessment Specification (hereafter referred to as the “Specification”) has been drawn up by bodies representing the electrotechnical industry and consumer safety interests in order to enhance the standard of safety of *Electrotechnical work*.

1.3 The Specification sets out the minimum requirements to be met by an *Enterprise* in order to be recognized by a *Certification* or *Registration Body* as technically competent to undertake the design, construction, maintenance, verification and/or inspection and testing of one or more of the work categories listed in Appendix 1. *Certification* and *Registration Bodies* will need to develop their own *Scheme* requirements around the minimum *Criteria* set out in this Specification.

1.4 The *Enterprise*, not the *Certification* or *Registration Body*, has the responsibility of fulfilling the requirements for certification/registration. The *Certification* or *Registration Body* has the responsibility to obtain sufficient objective evidence upon which to base certification/registration against this Specification.

### 2. ACKNOWLEDGEMENT

2.1 Organisations that contributed to the production of this Specification are:

British Security Industry Association (BSIA)  
Blue Flame Certification Limited  
Certsure LLP (trading as NICEIC and ELECSA)  
City & Guilds  
CORGI – trading as Corgi Technical Services and AESM  
Electrical Contractors’ Association (ECA)  
Electrical Contractors’ Association of Scotland (SELECT)  
Electrical Safety First (ESF)  
Excellence, Achievement & Learning Limited (EAL)  
Fire Industry Association (FIA)  
Health and Safety Executive (HSE)  
Institution of Engineering and Technology (IET)  
Joint Industry Board for the electrical contracting industry (JIB)  
Logic Certification Ltd (LCL Awards)  
Ministry of Housing, Communities and Local Government (MHCLG)  
National Association of Professional Inspectors and Testers (NAPIT)  
NAPIT Registration Ltd  
Oil Firing Technical Association (OFTEC)  
Society of Public Architecture, Construction, Engineering and Surveying (SPACES)  
The Electrotechnical Skills Partnership (TESP)  
United Kingdom Accreditation Service (UKAS)  
Welsh Government

## 2.2 Organisations that contributed to the production of Appendix 9 are:

1st Option Safety Services  
Ambassador Theatre Group (ATG)  
Association of British Theatre Technicians (ABTT)  
Association of Event Venues (AEV)  
Association of Show and Agricultural Organisations (ASAO)  
British Sky Broadcasting (BSKYB)  
Broadcasting, Entertainment, Cinematographic & Theatre Union (BECTU)  
DK Services Group  
Earls Court & Olympia (EC&O)  
Exhibition Suppliers and Services Association (ESSA)  
Film and TV Services (FTVS)  
Independent Television (ITV)  
Local Authorities Event Organisers Group (LAEOG)  
National Outdoor Events Association (NOEA)  
Production Services Association (PSA)  
Professional Lighting and Sound Association (PLASA)  
The Event Services Association (TESA)

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## 4. SCOPE

4.1 This Specification sets out the minimum requirements to be met by *Enterprises* in order to be recognized by *Certification* and *Registration Bodies* as technically competent to undertake *Electrotechnical work*.

4.2 The categories of *Electrotechnical work* to which this Specification relates are listed in Appendix 1.

4.3 This Specification includes requirements relating to the resources, facilities, personnel and technical standard of *Electrotechnical work* of the *Enterprise* being assessed. The *Criteria for Assessment* and the requirements for reporting the outcome are also included.

4.4 Particular requirements for *Competent Person Scheme Operators* are set out in Appendix 6 and 6A. These requirements include those previously set out in the Minimum Technical Competence document. Particular requirements for Scottish Building Standards are set out in Appendix 7. Particular requirements for temporary *Electrotechnical work* are set out in Appendix 9.

## 5. DEFINITIONS

*Assessed Enterprise* – an *Enterprise* which has been assessed in accordance with this Specification as competent in one or more of the categories of work listed in Appendix 1, and which possesses a current *Assessment Certificate*.

*Assessment* – objective examination of an *Enterprise* undertaken by a competent Assessor (see Appendix 8 Section 5.1), including its records, technical reference documents, test instruments, insurance, samples of *Electrotechnical work* and completed certificates and reports, in order to determine the technical competence of the *Enterprise* to carry out *Electrotechnical work* in accordance with the relevant reference documents and Appendix 2.

*Assessment Certificate* – a certificate awarded by a *Certification or Registration Body* to an *Assessed Enterprise* (see the *Criteria* at Appendix 5).

*Awarding Organisation* – an organisation approved by OFQUAL, CCEA, QW or SQA to offer regulated *Qualifications*.

*Certification Body* – an organisation which undertakes the *Assessment* of the technical competence of *Enterprises* in accordance with this Specification and which is accredited against the requirements of ISO/IEC 17065 by UKAS or an equivalent European or international body.

*Competent Person* – a person who possesses the necessary technical knowledge, skill and experience to undertake assigned *Electrotechnical work*; and to prevent danger and injury.

*Continuing Professional Development (CPD)* - activities undertaken by an individual to maintain and develop competence, including formal and informal learning, self-assessment, obtaining feedback and identifying areas for improvement.

*Contracting Office* – a location from which an *Enterprise* manages *Electrotechnical work*.

*Criteria* – standards, laws or rules by which a correct judgement can be made by a *Certification or Registration Body*.

*Electrotechnical work* – the design, construction, maintenance, verification and/or inspection and testing of one or more of the work categories listed in Appendix 1.

*Employed Persons* - Individuals engaged by the *Enterprise* to perform *Electrotechnical work* which may include directly employed staff, temporary, agency and/or subcontracted labour including self-employed individuals and sole-traders.

*Enterprise* – a business undertaking *Electrotechnical work* in one or more of the categories listed in Appendix 1. The business may be a sole trader, partnership, Limited Liability Company, public limited company, public authority or other organisation carrying out *Electrotechnical work*.

*Functionality* – The ability of a completed installation to operate as required by the relevant standard(s) listed in Appendix 2.

*Instructed Person (electrically)* – Person adequately advised or supervised by a *Skilled Person (electrically)* to enable that person to perceive risks and to avoid hazards which electricity can create.

*Minor Works* – Additions and alterations to an installation that do not extend to the provision of a new circuit.

*National Occupational Standards (NOS)* – Documents that describe the knowledge, skills and understanding individuals need to be competent at a job.

*Non-conformity* – the absence of, or a failure to implement and maintain, one or more required management system elements or a situation which would, on the basis of available objective evidence, raise significant doubt as to the technical standard of the *Electrotechnical work* an *Enterprise* is carrying out.

*Principal Duty Holder* – the person appointed by an *Enterprise* to have responsibility for the maintenance of the overall standard and safety of *Electrotechnical work*.

*Qualification* – an OFQUAL, CCEA, SQA or QW regulated award that is based on approved *National Occupational Standards* and delivered through an *Awarding organisation*.

*Qualified Supervisor* – a *Competent Person* who meets the requirements of Appendix 4 and with specific responsibility on a day to day basis for the safety, technical standard and quality of *Electrotechnical work*.

*Registration Body* – an organisation which undertakes the *Assessment* of the technical competence of *Enterprises* in accordance with this Specification and which is not accredited against the requirements of ISO/IEC 17065 by UKAS or an equivalent European or international body.

*Scheme* – a systematic arrangement of *Criteria*.

*Skilled Person (electrically)* - Person who possesses, as appropriate to the nature of the electrical



work to be undertaken, adequate education, training and practical skills, and who is able to perceive risks and avoid hazards which electricity can create.

## **6. WORK SUB-LET BY AN ASSESSED ENTERPRISE**

6.1 If an *Assessed Enterprise* sub-lets work in any category listed in Appendix 1, the work that is sub-let shall be required to be either:

6.1.1 undertaken by an *Assessed Enterprise* that has a current *Assessment Certificate* covering that particular work category; or

6.1.2 certified as compliant with the relevant standard(s) by an *Assessed Enterprise* that has a current *Assessment Certificate* covering that particular work category.

6.2 An *Assessed Enterprise* shall not sub-let *Electrotechnical work* without first informing the person ordering the work.

6.3 An *Assessed Enterprise* shall permit the *Assessment* of, and accept full responsibility, including any liability, for *Electrotechnical work* sub-let to another party.

6.4 Where an *Assessed Enterprise* sub-lets *Electrotechnical work*, that work shall either:

6.4.1 be carried out in its entirety by an enterprise which holds a current certificate covering the range of work sub-let issued by a certification body accredited by UKAS to ISO/IEC 17065, or an equivalent European or international body, or

6.4.2 be inspected and tested during construction and on completion and certified, in accordance with BS 7671 as amended, by an enterprise which holds a current certificate covering the range of work sub-let, issued by certification body accredited by UKAS to ISO/IEC 17065, or an equivalent European or international body.

## **B) REQUIREMENTS RELATING TO THE ASSESSMENT OF THE TECHNICAL COMPETENCE OF *ENTERPRISES***

### **7. ELECTROTECHNICAL WORK**

7.1 The *Enterprise* shall be required to be directly engaged in carrying out *Electrotechnical work* in one or more of the categories listed in Appendix 1.

### **8. TECHNICAL REFERENCE DOCUMENTS**

8.1 The Enterprise shall be required to have access to the current editions, including all amendments, of Statutory Regulations and of technical reference documents appropriate to the range, scale and category(s) of work for which an Assessment Certificate is being sought or has been granted. Appendix 2 details the particular documents to be held for each category of work.

### **9. TEST INSTRUMENTS**

9.1 The *Enterprise* shall be required to have an adequate number of serviceable test instruments and test leads appropriate to the range, scale, geographical spread and category(s) of *Electrotechnical work* undertaken. Guidance on this requirement is given at Appendix 3

9.2 The Enterprise shall be required to have records demonstrating the consistency and on-going accuracy of test instruments held or hired for the certification of, or for reporting on the condition of, Electrotechnical work. Guidance on this requirement is given at Appendix 3.

9.3 Where test instruments are hired, the *Enterprise* shall be required to provide evidence of the hire arrangement, together with confirmation of their calibration.

### **10. CERTIFICATION AND REPORTING**

10.1 The *Enterprise* shall be required to issue appropriate certificates and reports in accordance with the relevant standards for all *Electrotechnical work* carried out. For *Assessment* purposes, the *Enterprise* shall, at any time, be required to have available copies of all certificates and inspection reports issued during at least the preceding 6 years or as otherwise contractually required.

### **11. PERSONNEL**

11.1 The *Enterprise* shall be required to employ persons to carry out *Electrotechnical work* who are competent and/or adequately supervised to ensure safety during and on completion of the work.

11.2 The *Enterprise* shall demonstrate that all *Employed Persons* are competent and/or adequately supervised to undertake *Electrotechnical work* by making available suitable records for audit by the *Certification or Registration Body*.

11.3 The *Enterprise* shall be required to appoint a *Principal Duty Holder* and, for each *Contracting Office*, at least one *Qualified Supervisor* as appropriate to the range, scale, geographical spread and categories of the *Electrotechnical work* undertaken from that *Contracting Office*. One individual may hold the roles of *Principal Duty Holder* and *Qualified Supervisor*.

## **Responsibilities of the *Principal Duty Holder***

11.4 A *Principal Duty Holder* shall be required to be responsible for ensuring that the *Enterprise* carries out work in accordance with the relevant standards, including the issue of appropriate certificates or inspection reports, as defined in clause 10.1, for all *Electrotechnical work* carried out.

11.5 A *Principal Duty Holder* shall be required to be responsible for ensuring that the *Enterprise* undertakes the work activity in compliance with all relevant statutory requirements.

11.6 A *Principal Duty Holder* shall be required to have an understanding of and, for the purposes of this Specification, required to be responsible for, the health and safety and other statutory requirements relating to the *Electrotechnical work* being undertaken by the *Enterprise*.

11.7 A *Principal Duty Holder* shall be required to ensure that all *Electrotechnical work* is assigned to the *Enterprise's Qualified Supervisor(s)*

11.8 Where a *Qualified Supervisor* ceases to be employed in that capacity, the *Principal Duty Holder* shall be required to notify the *Certification or Registration Body* without delay and within a period of 30 days.

11.9 A *Principal Duty Holder* shall be required to ensure that any persons undertaking *Electrotechnical work* receive any necessary training.

## **Requirements relating to a *Qualified Supervisor***

11.10 A person nominated as a *Qualified Supervisor* for the purpose of complying with this Specification shall be required to be a *Competent Person* and shall be subject to acceptance by the *Certification or Registration Body*.

11.11 A *Qualified Supervisor* shall be required to have direct responsibility, on a day to day basis, for the safety, quality and technical standard of the *Electrotechnical work* carried out by the *Enterprise*.

11.12 A *Qualified Supervisor* shall be required to ensure that the results of the verification process are accurately recorded on the appropriate certificates or inspection reports.

11.13 Supervisory duties shall be carried out in accordance with the guidance in Appendix 10.

11.14 A *Qualified Supervisor* shall be required to have adequate knowledge, experience and understanding of the design, construction, maintenance, verification and/or inspection and testing procedures for *Electrotechnical work* in accordance with the relevant competence requirements in Appendices 4, 6, 7 and 9.

11.15 A *Qualified Supervisor* shall be required to hold an appropriate BS 7671 *Qualification* (see Appendix 4) within two years of a change to BS 7671 coming into effect.

## **12. INSURANCE**

12.1 The *Enterprise* shall be required to hold at least £2 million of public liability insurance covering all work being assessed or within the scope of its *Assessment Certificate*

12.2 The *Enterprise* shall be required to hold at least £250,000 professional indemnity insurance where the scope of its *Assessment Certificate* includes work category A.2 as defined in Appendix 1.

12.3 The insurance cover shall be appropriate to the risk, nature and scale of *Electrotechnical work* undertaken.

## **13. APPLICATION FOR CERTIFICATION OR REGISTRATION**

13.1 An *Enterprise* seeking certification or registration under this Specification shall be required to make a written application to a *Certification or Registration Body*, stating the *Contracting Office(s)* from which *Electrotechnical work* is managed and the categories of work for each *Contracting Office* for which certification or registration is sought.

13.2 The application, signed by the *Principal Duty Holder* on behalf of the *Enterprise*, is required to include the trading title and address of the *Contracting Office* of the *Enterprise*.

13.3 Full details of the *Principal Duty Holder* and of each *Proposed Qualified Supervisor* shall be required to be submitted with the application.

13.4 The *Enterprise* shall be required to undergo technical *Assessment* in accordance with the requirements of Section 15.

13.5 Where an *Enterprise* holds, has held, or has had cancelled, a previous *Assessment Certificate*, the *Enterprise* shall be required to declare this to the *Certification or Registration Body* on application for *Assessment*.

13.6 An *Assessed Enterprise* wishing to extend the scope of its certification or registration shall be required to make a written application in accordance with this Section.

## **14. SURVEILLANCE**

14.1 In order to give assurance that the *Assessed Enterprise* is continuing to comply with the requirements of this Specification, the *Assessed Enterprise* shall be subjected to surveillance visits, normally at annual intervals, during the course of which it shall undergo technical *Assessment*.

14.2 A *Certification or Registration Body* may at its discretion, following risk assessment including factors listed in Appendix 12, vary the interval between surveillance visits. The interval shall not exceed three years. The surveillance programme shall identify the planned intervals and the scope of work to be assessed based on the *Assessed Enterprise's* scope of work category registration as listed in Appendix 1.

Where an *Assessed Enterprise* is not under an annual assessment visit regime, they will be required to always ensure compliance with the EAS; this may be demonstrated by physical assessment or using self-declared information (SDI) as required by the *Certification or Registration Body*.

NOTE: For further guidance in relation to the risk-based surveillance visits refer to Appendix 12.

14.3 A surveillance visit shall be required when a *Qualified Supervisor* ceases to be employed in that capacity and the suitability of the proposed replacement is to be assessed in accordance with the procedures defined by the *Certification or Registration Body*.

14.4 Additional surveillance visits may be required if substantiated complaints or evidence of poor practice have been received by the *Certification or Registration Body*.

## **15. TECHNICAL ASSESSMENT**

15.1 An *Enterprise* for the purposes of an application or surveillance shall be required to make available for assessment *Electrotechnical work*, completed normally within 12 months, or in progress, representative of the category(s) of work to which an application for, or existing, certification or registration relates, and sufficient for the *Assessment* process. The required technical standard of the work shall not be less than that detailed in the relevant technical reference documents listed in Appendix 2.

15.2 The *Certification or Registration Body* shall require the *Enterprise* to demonstrate safe electrical isolation procedure.

15.3 An *Enterprise* shall be required to permit representatives of the *Certification or Registration Body* to have access to the *Contracting Office(s)* in order to assess equipment, documentation and related business systems.

15.4 The extent of *Assessment* will be prescribed by the *Certification or Registration Body* having regard to the range, scope, scale and geographical spread of *Electrotechnical work* for which *Assessment* is sought.

15.5 The *Enterprise* shall be required to have the following items available for *Assessment* by the *Certification or Registration Body's* representative together with any other items as prescribed and published from time to time by the *Certification or Registration Body*:

15.5.1 technical reference documents (Appendix 2);

15.5.2 test instruments, appropriate to the range of *Electrotechnical work* undertaken, including a record of assessment of ongoing accuracy (Appendix 3);

15.5.3 a record of all *Electrotechnical work* in progress and completed over at least the preceding 6 years, or as otherwise contractually required;

15.5.4 specifications, drawings, certificates and reports relating to work in progress and completed over at least the preceding 6 years, or as otherwise contractually required;

15.5.5 any other items the *Certification* or *Registration Body* requires which are relevant to the *Assessment* process;

15.5.6 evidence that the required insurance cover is held;

15.5.7 a record of all complaints received over the previous 6 years about the technical standard, safety and *Functionality of Electrotechnical work*, and details of actions taken to resolve the complaints;

15.5.8 evidence that a written health and safety policy statement is in place and that risk assessments are carried out as appropriate.

15.6 At the time of the *Assessment*, the *Certification* or *Registration Body* shall also review the complaints record to ascertain whether there have been failures of installed systems to operate as required by the relevant standard(s) listed in Appendix 2.

15.7 The *Enterprise* shall be required to be fully prepared for the *Assessment* by the *Certification* or *Registration Body's* representative, including making the items required to be seen readily available. The *Qualified Supervisor(s)* for the category(s) of work for which the *Enterprise* is to be assessed shall be required to be present throughout the *Assessment* process and the *Principal Duty Holder* shall be required to be available to discuss the intent and result of the *Assessment*.

15.8 *Registered* and proposed *Qualified Supervisors* shall be subject to *Assessment* in accordance with the requirements set out in Section 11.

15.9 The *Enterprise* shall be required to provide facilities and shall arrange access to sites to assess *Electrotechnical work* selected for *Assessment* by the *Certification* or *Registration Body*.

## **16. RECORDS**

16.1 The *Assessed Enterprise* shall be required to hold the following records as appropriate to the range, scale, geographical spread and categories of the *Electrotechnical work* undertaken.

Records:-

16.1.1 of all *Electrotechnical work* carried out together with the specifications, drawings, certificates, reports and other relevant documents relating to that work for a minimum period of 6 years, or as otherwise contractually required

16.1.2 demonstrating the accuracy and consistency of test instruments held or hired (Section 9 and Appendix 3)

16.1.3 demonstrating that all *Employed Persons* are competent and/or adequately supervised to undertake *Electrotechnical work* in accordance with Appendix 11

16.1.4 of all complaints received over the previous 6 years about the technical standard, safety and *Functionality of Electrotechnical work*, and details of actions taken to resolve the complaints

16.1.5 of relevant qualifications, training (including *Continuing Professional Development*) and experience

## **17. ASSESSMENT DECISION**

17.1 On completion of the *Assessment* by the representative of the *Certification or Registration Body*, the *Enterprise* shall receive an *Assessment* report, recording all observed *non-conformities* and improvement actions including a requirement for their completion, where appropriate, in a time not exceeding three months.

17.2 The *Enterprise* shall subsequently be advised by the *Certification or Registration Body* of its decision as to whether certification or registration is to be granted or maintained.

## **18. ASSESSMENT CERTIFICATE**

18.1 A *Contracting Office* of an *Enterprise* having been assessed as complying with the requirements of this Specification and being in possession of a current *Assessment Certificate* shall be permitted to advertise its services as an *Assessed Enterprise*.

18.2 The Certificate shall be issued by the *Certification or Registration Body* for each *Contracting Office* assessed stating that the *Contracting Office* has achieved compliance with this Specification in respect of the range and scope of work assessed.

18.3 The Certificate shall remain the property of the *Certification or Registration Body* and shall be required to be returned, upon request, on cessation of certification or registration for whatever reason.

18.4 The *Assessed Enterprise* shall, at all reasonable times on request, be required to produce its *Assessment Certificate* to a representative of the *Certification or Registration Body*.

18.5 In being granted certification or registration, the *Assessed Enterprise* shall be required to undertake to continue to comply with the requirements of this Specification for the period for which the *Assessment Certificate* remains valid.

18.6 If, during a surveillance visit, the *Assessed Enterprise* is unable to offer sufficient examples of work for evaluation purposes in a category included in its scope of certification, the *Certification or Registration Body* may suspend, cancel or reduce the scope of certification or registration accordingly.

18.7 The *Assessed Enterprise* shall be required not to claim competence under this Specification for categories of work other than those for which it holds a current *Assessment Certificate*.

## **19. REQUIREMENT ON CHANGE OF DETAILS**

19.1 An *Assessed Enterprise* shall be required to give notice to the *Certification* or *Registration Body* of a change of legal constitution, trading or other title, address, *Principal Duty Holder*, *Qualified Supervisor* or other significant particulars and declarations upon which the current *Assessment Certificate* was granted. Such notice shall be required to be given to the *Certification* or *Registration Body* within thirty days of any such change becoming effective. From the date any such change affecting the *Qualified Supervisor* occurs, the *Assessed Enterprise* shall be required to have in place within a period of 120 days a replacement who has been assessed by the *Certification* or *Registration Body* as competent for the category(s) of work undertaken.

19.2 Where, in the opinion of the *Certification* or *Registration Body*, the changes are such that the conditions under which an *Assessment Certificate* was granted are significantly affected, a new application for certification or a surveillance visit may be required.

19.3 An *Assessed Enterprise* shall be eligible to remain certified or registered for the period covered by the *Assessment Certificate* provided it continues to be engaged in *Electrotechnical work* in the category(s) for which it holds an *Assessment Certificate* and continues to comply with this Specification.

## **20. WITHDRAWAL OR AMENDMENT OF ASSESSMENT CERTIFICATE**

20.1 An *Assessment Certificate* may be subject to cancellation, withdrawal or amendment by the *Certification* or *Registration Body* if an *Assessed Enterprise*:

20.1.1 makes wilful misrepresentation in its application for certification or registration;

20.1.2 fails to complete, to the satisfaction of the *Certification* or *Registration Body*, the remedial action it requires as a result of a customer complaint being dealt with under Section 22;

20.1.3 culpably or negligently creates or causes to be created danger or serious risk of injury through the use, in *Electrotechnical work*, of faulty materials, materials *not conforming* to recognised standards, or through faulty workmanship;

20.1.4 is unable or admits inability to pay its debts as they fall due, bankrupt, or suspends making payment on any of its debts, or any action, legal proceeding or other procedure or step is taken in relation to it concerning:

- the suspension of payments, a moratorium of any indebtedness, winding up, dissolution or reorganisation (by way of voluntary arrangement, scheme of arrangement or otherwise, but excluding a members' winding up for the purposes of reconstruction) of it and in the case of a winding up petition, such petition is not discharged or stayed within 14 days or, if earlier, prior to its advertisement; or
- a composition, assignment or arrangement with any of its creditors; or
- the appointment of a liquidator, receiver, administrator, administrative receiver, compulsory manager or other similar officer in respect of it or any of its assets; or



- the enforcement of any mortgage, charge, pledge, lien, or other security interest securing any obligation of it or any other agreement or arrangement having similar effect; or
- any attachment, sequestration, distress or execution that affects any of its assets and is not discharged within seven days;

20.1.5 changes the nature of its work or ceases to trade or if there are any changes in the ownership of the *Enterprise* which affects the conditions under which it was certified;

20.1.6 claims to have been certified for *Electrotechnical work* not included at the time in the scope of its *Assessment Certificate*.

20.1.7 commits a breach of any of the obligations imposed by this Specification;

20.1.8 undertakes *Electrotechnical work* below the technical standard required or is unable to continue to comply with this Specification;

20.1.9 performs any act which, in the opinion of the *Certification* or *Registration Body*, is contrary or prejudicial to the objects or reputation of the *Certification* or *Registration Body*;

20.1.10 makes use of a *Certification* or *Registration Body's* approved mark or logo in a manner which, in the opinion of the *Certification* or *Registration Body*, is likely to bring the *Certification* or *Registration Body* into disrepute;

20.1.11 uses its certification or registration in a manner as to bring the *Certification* or *Registration Body* into disrepute or makes any statement regarding its certification or registration which the *Certification* or *Registration Body* may consider to be misleading.

20.2 The *Certification* or *Registration Body* shall notify an *Assessed Enterprise* in writing of an intention to withdraw or amend its *Assessment Certificate*, detailing fully such reasons for its action or required remedies. If the *Assessed Enterprise* wishes to object, it shall be required to notify the *Certification* or *Registration Body* in writing, within 21 days of the date of notification of the intention, of its objections, for consideration by the *Certification* or *Registration Body*.

20.3 On withdrawal of an *Assessed Enterprise's Assessment Certificate*, the requirements of Clause 23.2 shall apply.

## **21. APPEALS, COMPLAINTS AND DISPUTES**

21.1 The *Certification* or *Registration Body* shall have procedures to deal with any appeals, complaints and disputes from an *Enterprise*. Details of such procedures shall be made available to *Enterprises* upon request.

21.2 An *Enterprise* shall be permitted to appeal against any decision of the *Certification* or *Registration Body* in respect of its certification or registration.

21.3 The *Enterprise* shall be required to give notice in writing setting out clearly the grounds for

such an appeal. Such an appeal shall be required to be served on the *Certification or Registration Body* within 21 days of the date of notification of the decision.

## **22. COMPLAINTS ABOUT AN ASSESSED ENTERPRISE'S ELECTROTECHNICAL WORK**

22.1 The *Certification or Registration Body* shall have procedures in place and make all reasonable efforts to deal with complaints about the technical standard of *Electrotechnical work* in a timely manner, where the work was undertaken within the scope of the *Assessment Certificate* and was undertaken within the last 6 years.

22.2 Where a complaint against an *Assessed Enterprise* cannot be resolved by the *Assessed Enterprise* and the complaint is subsequently received by a *Certification or Registration Body* indicating that the work undertaken by the *Assessed Enterprise*, or sub-let by the *Assessed Enterprise*, does not meet the requirements of the relevant standards listed in Appendix 2, the *Assessed Enterprise* shall be required to provide facilities for investigations and/or inspections to be carried out by the *Certification or Registration Body*, including test equipment and access to the work to be inspected.

22.3 Where, as a result of such investigations and/or inspections, it is shown to the satisfaction of the *Certification or Registration Body* that the standard of the work is below that required; the *Assessed Enterprise* shall be required, at its own expense, to take remedial action within a specified time as notified to it by the *Certification or Registration Body*.

## **23. ASSESSMENT MARKS AND LOGOS**

23.1 If the *Certification or Registration Body* confers the right to use its mark or logo to indicate certification or registration in accordance with this Specification, the *Assessed Enterprise* shall be required to use the specified mark or logo only as authorised in writing by the *Certification or Registration Body*.

23.2 Upon withdrawal of its *Assessment Certificate(s)*, however determined, the *Enterprise* shall be required to immediately discontinue use of all advertising matter, stationery etc. containing reference to certification or registration and return *Assessment Certificates* as required by the *Certification or Registration Body*.

## **24. TRANSFER OF CERTIFICATION**

24.1 The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one *Certification Body or Registration Body*, by another *Certification Body or Registration Body*, for the purpose of issuing its own certification.

24.2 Only valid certification shall be transferred. Certification which is known to be suspended shall not be accepted for transfer.

### **Pre-Transfer Review:**

24.3 The accepting *Certification Body or Registration Body* shall have a process for obtaining sufficient information in order to take a decision on certification and inform the transferring *Assessed Enterprise* of the process. This information shall as a minimum include arrangements regarding the

certification cycle.

24.4 The accepting *Certification Body* or *Registration Body* shall carry out a review of the certification of the transferring *Assessed Enterprise*. This review shall be conducted by means of a documentation review and where identified as needed by this review, for example there are outstanding Nonconformities, shall include a pre-transfer visit to the transferring client to confirm the validity of the certification.

NOTE: The pre-transfer visit is not an Assessment.

24.5 The review shall cover the following aspects as a minimum and the review and its findings shall be fully documented:

- confirmation that the *Assessed Enterprise* certification falls within the scope of the issuing and accepting *Certification Body* or *Registration Body* as defined in Appendix 1;
- confirmation that the issuing *Certification Body* or *Registration Body* scope falls within its scope as defined by Appendix 1;
- the reasons for seeking a transfer;
- that the *Assessed Enterprise Contracting Office(s)* wishing to transfer certification hold a valid *Assessment Certificate*;
- the initial certification or most recent recertification *Assessment* reports, and the latest surveillance *Assessment* report; the status of all outstanding nonconformities that may arise from them and any other available, relevant documentation regarding the certification process, including any changes to key personnel such as the *Principal Duty Holder* and/or *Qualified Supervisor*. If these audit reports and relevant documentation are not made available or if the surveillance audit or recertification audit has not been completed as required by the issuing *Certification Body* or *Registration Body Assessment* programme, then the *Assessed Enterprise* shall be treated as a new client;
- complaints received and action taken;
- considerations relevant to establishing an audit plan and an audit programme. The audit programme established by the issuing *Certification Body* or *Registration Body* should be reviewed if available. See Clause 24.9 of this Section; and
- any current engagement by the transferring *Assessed Enterprise* with regulatory bodies relevant to the scope of the certification in respect of legal compliance.

## **Transfer of Certification**

24.6 The accepting *Certification Body* or *Registration Body* shall not issue certification to the transferring *Assessed Enterprise* until:

- it has verified the implementation of corrections, corrective and preventative actions in respect of all outstanding nonconformities; and
- it has accepted the transferring *Assessed Enterprises* plans for correction and corrective action for all outstanding nonconformities.

24.7 Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, the accepting *Certification Body* or *Registration Body* shall treat the transferring *Assessed Enterprise* as a new client.

The justification for this action shall be explained to the transferring *Assessed Enterprise* and shall be documented by the accepting *Certification Body* or *Registration Body* and the records maintained.

24.8 The normal certification decision making process in accordance with Section 17 shall be followed including that the personnel making the certification decision be different from those carrying out the pre-transfer review.

24.9 If no problems are identified by the pre-transfer review, the certification cycle shall be based on the previous certification cycle and the accepting *Certification Body* or *Registration Body* shall establish the audit programme for the remainder of the certification cycle.

NOTE: The accepting *Certification Body* or *Registration Body* can quote the *Assessed Enterprise* initial certification date on the certification documents with the indication that the *Assessed Enterprise* was certified by a different *Certification Body* or *Registration Body* before a certain date.

Where the accepting *Certification Body* or *Registration Body* has had to treat the *Assessed Enterprise* as a new client as a result of the pre-transfer review, the certification cycle shall begin with the certification decision.

24.10 The accepting *Certification Body* or *Registration Body* shall take the decision on certification before any surveillance or recertification *Assessments* are initiated.

#### **Cooperation between the issuing and accepting *Certification Body* or *Registration Body***

24.11 The cooperation between the issuing and accepting *Certification Body* or *Registration Body* is essential for the effective process for transfer and the integrity of certification. When requested, the issuing *Certification Body* or *Registration Body* shall provide to the accepting *Certification Body* or *Registration Body* all the documents and information required by this section. Where it has not been possible to communicate with the issuing *Certification Body* or *Registration Body*, the accepting *Certification Body* or *Registration Body* shall record the reasons and make every effort to obtain necessary information from other sources.

24.12 The transferring *Assessed Enterprise* shall authorise that the issuing *Certification Body* or *Registration Body* provides the information sought by the accepting *Certification Body* or *Registration Body*. The issuing *Certification Body* or *Registration Body* shall not suspend or withdraw the organisation's certification following the notification that the organisation is transferring to the accepting *Certification Body* or *Registration Body* if the client continues to satisfy the requirements of certification.

24.13 Once the accepting *Certification Body* or *Registration Body* has issued the certification it shall inform the issuing *Certification Body* or *Registration Body*.

## **C) APPENDICES**

### **APPENDIX 1 WORK CATEGORIES**

A1 Electrical installations up to and including 1000V AC or 1500V DC

A1.1 *Dwellings* covered by BS 7671 (as amended)

A1.2 Other than *dwellings* covered by BS 7671 (as amended)

A1.3 Temporary electrical systems covered by BS 7909 (as amended):

A1.4 *Dwellings* covered by BS 7671 (as amended) and undertaken as a necessary adjunct to or arising out of other work in England & Wales

A2 Periodic inspection and testing:

A2.1 *Dwellings*

A2.2 Other than *dwellings*

## APPENDIX 2 TECHNICAL REFERENCE DOCUMENTS

For all categories of work in Appendix 1, the *Enterprise* shall, as a minimum, be required to have access to the current version (including all amendments) of:

- BS 7671 Requirements for Electrical Installations
- *The Electricity at Work Regulations 1989. Guidance on Regulations* HSR25  
<http://www.hse.gov.uk/pubns/books/hsr25.htm>
- All building regulations Approved Documents and/or Technical Standards relevant to the work undertaken by the *Enterprise*.  
[http://www.planningportal.co.uk/info/200135/approved\\_documents](http://www.planningportal.co.uk/info/200135/approved_documents)  
<http://www.gov.scot/policies/building-standards/monitoring-improving-building-regulations/>  
<https://gov.wales/topics/planning/buildingregs/approved-documents/?lang=en>
- Electrical test equipment for use on low voltage electrical systems HSE Guidance Note GS38 (as amended).  
<http://www.hse.gov.uk/pubns/books/gs38.htm>

For work under Category A1.3 Appendix 1, Electrical systems covered by BS 7909, additional technical reference documents are detailed in Appendix 9.

This list is not exhaustive. Other requirements may be set by the *Certification* or *Registration Body* as may be required for the work undertaken.

## APPENDIX 3 TEST INSTRUMENTS

For all low voltage *Electrotechnical work*, the *Enterprise* shall be required to hold the following test instruments as a minimum:

- Insulation resistance test instrument
- Continuity test instrument
- Voltage indicating instrument\* (together with means of securing for safe isolation)
- Earth fault loop impedance test instrument
- Residual current device test instrument
- Suitable split test leads for both the phase/earth loop impedance test instrument and the residual current device test instrument.

Two or more of the functions of the above test instruments may be combined in a single instrument.

The *Certification* or *Registration Body* may vary the requirements for an *Enterprise* that only undertakes extra-low voltage *Electrotechnical work*.

In addition, the *Enterprise* shall be required to hold additional test instruments particular to the scope of work being assessed.

The *Enterprise* shall be required to have a suitable system in place to ensure that the ongoing accuracy and consistency of all test instruments used for certification and reporting purposes is being maintained.

There are a number of alternatives for such control systems, including:

- Maintaining records of the formal calibration/re-calibration of test instruments as recommended by the instrument manufacturers, supported by calibration certificates with measurements traceable to national standards, issued by organizations recognised by *Certification* or *Registration Bodies* for the purposes of checking the accuracy of test instruments. Certificates issued by UKAS accredited laboratories are preferable
- Maintaining records over time of comparative cross-checks with other test instruments used by the *Enterprise*
- Maintaining records over time of measurements of the characteristics of designated reference circuits or devices. For example, the consistency of continuity, insulation resistance and earth electrode test instruments could be checked against a proprietary resistance box or a set of suitable resistors. Earth fault loop impedance test instruments could be checked by carrying out tests on a designated socket-outlet (on a non-RCD protected circuit) in the *Enterprise's* office. RCD test instruments could be checked by carrying out tests on an RCD unit plugged into the designated socket-outlet.

\*Voltage indicating equipment does not require calibration.

## APPENDIX 4 REQUIREMENTS FOR QUALIFIED SUPERVISORS AND PERSONS CARRYING OUT ELECTRICAL INSPECTION AND TESTING

The criteria in this Appendix apply to applications made after 31<sup>st</sup> August 2021, they are not retrospective.

### Introduction

From 1<sup>st</sup> September 2021 Table 4A defines the application routes for persons who undertake *Electrotechnical work*, in order to apply to become a *Qualified Supervisor*, or undertake periodic inspection and testing, for an *Enterprise*.

Successful applicants will be able to demonstrate at *Assessment* the required combination of technical knowledge, occupational training and practical skills. This is usually achieved through completion of an industry-approved apprenticeship, or, for experienced workers, through accredited qualifications achieved via Recognition of Prior Experiential Learning (RPEL).

It is acceptable to permit new applications from an existing or previously recognised *Qualified Supervisor*, provided that they have been a *Qualified Supervisor* within two years of the application; and can provide a letter or similar evidence from the previous scheme provider confirming their *Qualified Supervisor* status and the scope of work previously assessed, which must be equal to the scope of work being applied for.

An applicant *Qualified Supervisor* will need to have at least 2 years' evidence of responsibility for the technical standard of *electrotechnical work* and evidence of ongoing *Continuing Professional Development*.

A person applying to undertake Periodic Inspection and Testing will be required to have at least 2 years' evidence of undertaking periodic inspection and testing, plus evidence of ongoing *Continuing Professional Development*.

**Table 4A Overview of Applicable Minimum Technical Competence Requirements by Work Category**

| Work Category*  | Underpinning Core Technical Competence |                 | Wiring Regulations | Initial Verification | Periodic Inspection and Testing |
|---|--|-----------------|--------------------|----------------------|---------------------------------|
|   | Dwellings                              | All             |                    |                      |                                 |
| <b>A1 Electrical installations up to and including 1000V AC or 1500V DC</b> | <b>Table 4B</b>                        | <b>Table 4C</b> | <b>Table 4D</b>    | <b>Table 4E</b>      | <b>Table 4F</b>                 |
| A1.1 Dwellings (BS 7671)  | ✓                                      | ✓               | ✓                  | ✓                    | -                               |
| A1.2 Other than Dwellings (BS 7671)   | -                                      | ✓               | ✓                  | ✓                    | ✓                               |
| A1.3 Temporary electrical systems (BS 7909)                                 | -                                      | ✓               | ✓                  | ✓                    | ✓                               |
| A1.4 Dwellings - defined scope (BS 7671)                                    | ✓                                      | ✓               | ✓                  | ✓                    | -                               |
| <b>A2 Periodic inspection and testing</b>                                   |  |                 |                    |                      |                                 |
| A2.1 Dwellings (BS 7671)  | -                                      | ✓               | ✓                  | -                    | ✓                               |
| A2.2 Other than Dwellings (BS 7671)   | -                                      | ✓               | ✓                  | -                    | ✓                               |

\*For full details of the scope of the work categories above refer to Appendix 1



**Table 4B Underpinning Core Technical Competence, limited to dwellings only**

| Route | Recognised Qualifications or Equivalent  |
|-------|--|
| 1     | Level 3 Certificate in Installing, Testing and Ensuring Compliance of Electrical Installations in Dwellings                                    |
| 2     | Industry apprenticeship, recognised historical industry qualifications and / or certificates of competence (refer to EAS Qualifications Guide) |
| 3     | Mature Candidate assessment via the Recognition of Prior Experience and Learning (RPEL)  |

**Table 4C Underpinning Core Technical Competence, all Electrotechnical Work**

| Route | Recognised Qualifications or Equivalent   |
|-------|---|
| 1     | Level 3 Electrotechnical apprenticeship, incorporating end point assessment of competence   |
| 2     | Industry-approved apprenticeship, recognised historical industry qualifications and / or certificates of competence (refer to EAS Qualifications Guide) |
| 3     | Mature candidate assessment via the Recognition of Prior Experience and Learning (RPEL)   |

NOTE: For those persons undertaking *Assessment* for work category A1.3 Temporary electrical systems covered by BS 7909 (as amended), as defined in Appendix 9, this route can be augmented by 'C&G 181 Entertainment and Theatre Electrician' or equivalent.

### Other Required Qualifications

Unless included within a formal Qualification defined in Tables 4B or 4C, the applicant shall hold the following qualifications, in accordance with the requirements of Table 4A

| Table ref | Purpose               | Qualification  |
|-----------|-----------------------|--|
| 4D        | Wiring Regulations*   | Level 3 Award in the Requirements for Electrical Installations: BS 7671 (as amended) |
| 4E        | Initial Verification* | Level 3 Award in the Initial Verification of Electrical Installations                |
| 4F        | Periodic Inspection*  | Level 3 Award in the Periodic Inspection and Testing of Electrical Installations     |

*\*these may be achieved within a combined qualification*

## **APPENDIX 5 ASSESSMENT CERTIFICATE**

**An *Assessment Certificate* shall, as a minimum, contain the following information:**

- Trading title and address of the *Contracting Office* of the *Enterprise*
- Registration number of the *Enterprise*
- Date of issue
- Date of expiry (if any)
- Category(s) of work, as defined in Appendix 1, for which the *Enterprise* has been assessed\*
- Name and address of *Certification* or *Registration Body*
- A statement to the effect that the validity of the certificate can be checked by consulting the awarding *Certification* or *Registration Body*, together with details of how the validity can be checked.

\*The Certificate shall include, or be supplemented by, information detailing the exact extent or limitations of the *Electrotechnical work* within the scope of the Certificate.

## **APPENDIX 6 SPECIFIC REQUIREMENTS FOR BUILDING REGULATIONS COMPETENT PERSON SCHEME OPERATORS COVERING ELECTRICAL INSTALLATION WORK IN DWELLINGS (ENGLAND)**

1. The requirements set out in this Appendix vary the basic *Criteria* in the body of the Specification.

2. This Appendix sets out the *Criteria* to be used by a Government authorised body offering a self-certification *Scheme* covering *Electrical Installation work* in *dwellings* listed in Schedule 3 of Building Regulations 2010, as amended, in assessing technical competence and the capability of an *Enterprise* to undertake *Electrical Installation work* in *dwellings* prior to registration.

3. This Appendix defines the requirements in relation to two types of *Electrotechnical work* for *Enterprises*:

3.1 Installation of fixed Low or Extra-low voltage electrical installations in dwellings.

3.2 Installation of fixed Low or Extra-low voltage electrical installations in dwellings, as a necessary adjunct to or arising out of other work being carried out by the *Enterprise*.

### **DEFINITIONS**

*Competent Person Scheme Operator* - a body offering a self-certification *Scheme* covering *Electrotechnical work* in *dwellings* and meeting the requirements of this document and listed in Schedule 3 of the Building Regulations 2010, as amended.

*Dwelling* – as defined in the Building Regulations.

*Electrical Installation work* – the design, construction and verification of a fixed electrical installation.

*Flat* – Separate and self-contained premises constructed or adapted for use for residential purposes and forming part of a building from some other part of which it is divided horizontally.

### **GENERAL REQUIREMENTS**

#### **4. Certification and Reporting**

4.1 The *Assessed Enterprise* shall be required to issue the appropriate Building Regulations compliance certificates in accordance with the relevant standards and regulations (Appendix 2) for all the notifiable *Electrical Installation work* in *dwellings* that it carries out.

4.2 The *Assessed Enterprise* shall be required to hold for at least 6 years copies of all the certificates that it has issued for *Electrical Installation work* in *dwellings*.

#### **5. Complaints**

5.1 The *Assessed Enterprise* shall be required to maintain a record of all complaints received over at least the previous six years, concerning the compliance with Building Regulations of the

*Electrical Installation work* it has carried out in *dwellings*, together with the details of the actions taken to resolve these complaints.

## **6. Technical Reference Documents**

6.1 *Enterprises* shall, as a minimum, be required to have access to the current version (including all amendments) of technical documents listed in Appendix 2.

## **SPECIFIC REQUIREMENTS RELATING TO THE COMPETENCE OF AN ENTERPRISE TO DESIGN, INSTALL, INSPECT AND TEST FIXED ELECTROTECHNICALS IN DWELLINGS.**

### **7. Responsibilities of a *Qualified Supervisor*:**

7.1 Ensuring compliance of the *Electrical Installation work* with the relevant requirements of the Building Regulations.

7.2 Verifying and authenticating certification showing compliance with Building Regulations.

### **8 Requirements for a *Qualified Supervisor***

8.1 A *Qualified Supervisor* shall be required to demonstrate the technical competence to be registered as a *Qualified Supervisor* so as to ensure the compliance of the *Electrical Installation work* in *dwellings* carried out by the *Enterprise* with the Building Regulations (England).

## **APPENDIX 6A SPECIFIC REQUIREMENTS FOR BUILDING REGULATIONS COMPETENT PERSON SCHEME OPERATORS COVERING ELECTRICAL INSTALLATION WORK IN DWELLINGS (WALES)**

1. These specific requirements set out in this Appendix vary the basic *Criteria* in the main body of the Specification.
2. This Appendix sets out the *Criteria* to be used by a Government authorised body offering a self-certification *Scheme* covering *Electrical Installation work* in *dwellings* listed in Schedule 3 of The Building (Amendment) (Wales) Regulations 2017 as amended, in assessing technical competence and the capability of an *Enterprise* to undertake *Electrical Installation work* in *dwellings* prior to registration.
3. This Appendix defines the requirements in relation to two types of *Electrotechnical work* for *Enterprises*:
  - 3.1 Installation of fixed Low or Extra-low voltage electrical installations in dwellings
  - 3.2 Installation of fixed Low or Extra-low voltage electrical installations in dwellings, as a necessary adjunct to or arising out of other work being carried out by the *Enterprise*

### **DEFINITIONS**

*Competent Person Scheme Operator* - a body offering a self-certification *Scheme* covering *Electrical installation work* in *dwellings* and meeting the requirements of this document and listed in Schedule 3 of the of The Building (Amendment) (Wales) Regulations 2017, as amended.

*Dwelling* – a house or a *Flat*.

*Electrical Installation work* – the design, construction and verification of a fixed electrical installation.

*Flat* – Separate and self-contained premises constructed or adapted for use for residential purposes and forming part of a building from some other part of which it is divided horizontally.

### **GENERAL REQUIREMENTS**

#### **4. Certification and Reporting**

4.1 The *Assessed Enterprise* shall be required to issue the appropriate Building Regulations compliance certificates in accordance with the relevant standards and regulations (see 8.1 below) for all the notifiable *Electrical installation work* in *dwellings* that it carries out.

4.2 The *Assessed Enterprise* shall be required to hold for at least 6 years copies of all the certificates that it has issued for *Electrical installation work* in *dwellings*.

#### **5. Complaints**

The *Assessed Enterprise* shall be required to maintain a record of all complaints received over at least the previous 3 years, concerning the compliance with Building Regulations of the *Electrical*

*Installation work* it has carried out in *dwellings*, together with the details of the actions taken to resolve these complaints.

## **6. Technical Reference Documents**

6.1 *Enterprises* shall, as a minimum, be required to have access to the current version (including all amendments) of technical documents listed in Appendix 2.

### **SPECIFIC REQUIREMENTS RELATING TO THE COMPETENCE OF AN ENTERPRISE TO DESIGN, INSTALL, INSPECT AND TEST FIXED ELECTRICAL INSTALLATIONS IN DWELLINGS.**

## **7. Responsibilities of a *Qualified Supervisor*:**

7.1 Ensuring compliance of the *Electrical installation work* with the relevant requirements of the Building Regulations.

7.2 Verifying and authenticating certification showing compliance with Building Regulations.

## **8. Requirements for a *Qualified Supervisor***

8.1 A *Qualified Supervisor* shall be required to demonstrate the technical competence to be registered as a *Qualified Supervisor* so as to ensure the compliance of the *Electrical installation work* in *dwellings* carried out by the *Enterprise* with the Building Regulations (Wales).

## APPENDIX 7 SPECIFIC REQUIREMENTS FOR SCOTTISH BUILDING STANDARDS

### DEFINITIONS

*Approved Body* – A contractor or other *Enterprise* registered in a *Certification Scheme* to employ and support Approved Certifiers of Construction.

*Approved Certifier of Construction* – An individual registered in a *Certification Scheme* to determine compliance of electrical installations with the Scottish Building Standards Technical Handbooks and provide Certificates of Construction.

*Electrotechnical work* – the design, construction and verification of an electrical installation.

*Scheme Provider* – An organisation that operates one or more *Certification Schemes* and registers Approved Certifiers of Construction and Approved Bodies

1. The requirements set out in this appendix vary the base *Criteria* in the body of the specification and summarise the *Criteria* for registration in *Schemes* for *Approved Certifiers of Construction* as provided for in the Building (Scotland) Act 2003. These *Schemes* allow qualified and experienced trades-people to be responsible for ensuring compliance with the Building (Scotland) Regulations as amended without detailed scrutiny by local authority verifiers. These Approved Certifiers must be employed by reputable organisations and be able to demonstrate that they meet the detailed *Criteria* to be registered in a relevant *Scheme*.
  2. Persons who perform the function of certification are known as *Approved Certifiers of Construction*. To register and operate as an Approved Certifier an individual must be employed by an *Approved Body* that has gained entry to an appropriate certification *Scheme*.
  3. An *Approved Body* is an *Enterprise* that employs and supports one or more Approved Certifiers and meets the conditions for registration in a certification *Scheme* operated by a *Scheme Provider*.
  4. The scope of the *Scheme* approved by Scottish Ministers is the certification, installation and commissioning of electrical installations to BS 7671 as complying with the relevant parts of Building (Scotland) Regulations as amended
  5. Approved Certifiers of Construction
    - 5.1 The function of an *Approved Certifier of Construction* is to certify that an *Electrical Installation* to BS 7671 complies with the relevant parts of Building (Scotland) Regulations as amended.
    - 5.2 The responsibility of an *Approved Certifier of Construction* is to be satisfied that their knowledge and experience enables them to discharge the responsibility of certifying particular work, bearing in mind the nature of the project. If appropriate, the *Approved Certifier of Construction* should call on other suitably qualified and experienced persons for advice. Certification is however the sole responsibility of the *Approved Certifier of Construction* who signs the Certificate of Construction.
-

## 6. Requirements for an *Approved Certifier of Construction*

6.1 Individual registration with the *Scheme* is open to any person who is eligible to qualify for a Scottish Joint Industry Board (SJIB) Approved Electrician Grade Card and is a principal or full-time employee of an *Approved Body*. In addition, the individual should:

- have evidence of having passed an assessed course in all relevant requirements in the Scottish Building Standards technical handbooks and current Building (Scotland) Regulations as amended within the previous 3 years; and
- have evidence of a Level 3 Certificate in the Requirements for Electrical Installations to BS 7671 as amended awarded by a body regulated by the Office of Qualifications and Examinations Regulation (OFQUAL) or the Scottish Qualifications Authority (SQA) or having passed an assessed training course acceptable for grading purposes by the SJIB within the previous 5 years; and
- can demonstrate current knowledge of the Scottish Building Standards System and a sufficient understanding of the role of *Approved Certifiers of Construction*.<sup>1</sup>

## 7. Approved Bodies

7.1 The functions of an *Approved Body* are to support the *Approved Certifiers of Construction* employed or contracted by them and to maintain the conditions under which the *Approved Body* was approved.

7.2 Registration with the *Scheme* is open to any *Enterprise* that is directly engaged in *Electrotechnical work*, has carried out such work for not less than 6 months, employs at least one *Approved Certifier of Construction* and undertakes to comply with the rules, which include but are not limited to:

- Appointing a Certification Co-Ordinator to counter-sign Certificates completed by an *Approved Certifier of Construction*;
- Offering certification services under the *Scheme* only if it employs at least one *Certifier of Construction* and a Certification Co-Ordinator
- Is directly engaged in certifying *Electrotechnical work* for compliance with Scottish Building Regulations;
- Operates an appropriate system of checking compliance with Scottish Building Regulations in accordance with *Scheme Providers*' requirements to ensure the quality of certification activities;
- Completes Certificates of Construction in the form prescribed by *Scheme Providers*, using certificate numbers designated by *Scheme Providers*. All Certificates of Construction shall be signed by an *Approved Certifier of Construction* and counter- signed by the Certification Co-Ordinator;
- Holds records for at least 5 years and makes them available to the *Scheme Provider* for audit when required. Records shall include check-lists, Certificates of Construction and training and development of Approved Certifiers of Construction.

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<sup>1</sup> It is important to understand that the criteria listed for Approved Certifiers and Bodies in this Appendix are a summary. A full understanding of the detailed criteria and the Scheme in its entirety is essential for organisations and individuals wishing to work in Scotland. A comprehensive guide to the Scheme for Certification of Construction (Electrical Installations to BS 7671), in accordance with the requirements of the Building (Scotland) Act 2003 and the current Building Procedure (Scotland) Regulations is available at [www.sbsc.uk.net](http://www.sbsc.uk.net)



## 8 **Sole traders**

8.1 A sole trader may hold membership of the *Scheme* as an *Approved Certifier of Construction*, an *Approved Body* and also take the role of Certification Co-Ordinator.

## APPENDIX 8 GUIDANCE ON THE APPLICATION OF ISO/IEC 17065:2012 IN RELATION TO THE SPECIFICATION

### 1 INTRODUCTION

- 1.1 The requirements for accreditation are laid down in the International Standard, ISO/IEC 17065 - *Conformity assessment – Requirements for bodies certifying products, processes and services*.
- 1.2 The requirements of ISO/IEC 17065 apply to all types of product, process and service certification and to the *Assessment* of the competency of *Enterprises* based on this Specification.
- 1.3 Information relating to the development of certification schemes can be found in ISO/IEC 17067:2013 *Conformity assessment -- Fundamentals of product certification and guidelines for product certification schemes*
- 1.4 This Appendix is intended to amplify or clarify the requirements relating to the implementation of ISO/IEC 17065 and this Specification. This Appendix does not cover all the requirements of ISO/IEC 17065. *Certification Bodies* are reminded of the need to comply with all of the requirements of that standard. Cross-reference is made to relevant sections of ISO/IEC 17065.
- 1.5 The Accreditation Body in the UK, the United Kingdom Accreditation Service (UKAS), will use this Appendix when assessing and re-assessing *Certification Bodies*. In cases of difficulties of interpretation arising from this Appendix, the EAS Management Committee will provide clarification.

### 2 SCOPE (BS EN ISO/IEC 17065, Section 1)

- 2.1 (1.1) The scope of ISO/IEC 17065 includes the certification of a service, such as the carrying out of *Electrotechnical work* within the scope of this Specification.
- 2.2 (1.2) This Appendix provides guidance concerning the application of ISO/IEC 17065 and ISO/IEC 17067 to *Schemes* based on this Specification.

### 3 REFERENCES (ISO/IEC 17065, Section 7.1.1)

- 3.1.1 Add the following reference to the certification scheme that is developed:  
*Electrotechnical Assessment Specification for use by Certification and Registration Bodies*

### 4 PROCESS REQUIREMENTS (ISO/IEC 17065, Section 7)

- 4.1 General (ISO/IEC 17065, Section 7.1)
  - 4.1.1 (7.1) The *Criteria* to be used by the *Certification Body* in carrying out an evaluation shall be those set out in this Specification. If explanation is required as to the application of those *Criteria* to a particular *Assessment Scheme*, it shall be formulated by the body responsible for developing the Specification.

Requirements relating to non-discriminatory conditions are given in Section 4.4 of ISO/IEC 17065.

- 4.1.2 (7.1) Any *Certification Body* wishing to base an *Assessment Scheme* on the Specification must be accredited to ISO/IEC 17065, taking this Appendix into account, and must carry out *Assessments* against the requirements of this Specification.
- 4.2 External resources (ISO/IEC 17065, Section 6.2.2)
- 4.2.1 (6.2) A body undertaking *Assessments* under an *Assessment Scheme* based on the Specification as a subcontractor to an accredited *Certification Body* need not itself be accredited to ISO/IEC 17065 under this Specification but shall comply in all other respects with the relevant requirements of ISO/IEC 17065 and this Specification.
- 4.3 Conditions and procedures for granting, maintaining, extending and withdrawing certification (ISO/IEC 17065, Section 7)
- 4.3.1 The conditions for granting, maintaining, extending and withdrawing certification will be detailed within the certification scheme developed by the certification body and shall include the elements set out in this Specification (Sections 7.6, 7.9, 7.10, and 7.11).
- 4.4 Documentation (ISO/IEC 17065, Sections 4.6, 7.8 and 8.4)
- 4.4.1 (4.6) In providing information about its certification system, the *Certification Body* shall include reference to this Specification.
- 4.4.2 (8.3) The *Certification Body* shall hold a copy this Specification.
- 4.4.3 (4.6 (c)) In describing the rights and duties of *Assessed Enterprises*, *Certification Bodies* shall refer to this Specification.
- 4.4.4 (4.6 (d)) In providing information about the handling of complaints, appeals and disputes, *Certification Bodies* shall refer to this Specification.
- 4.4.5 (7.8) The directory of *Assessed Enterprises* published by the *Certification Body* shall provide at least the following information for each *Contracting Office* of an *Assessed Enterprise*:
- Registered trading title of the *Assessed Enterprise*
  - Full address of the *Contracting Office*
  - Telephone number of the *Contracting Office*
  - The categories and types of work for which the *Contracting Office* holds an *Assessment Certificate as defined in Appendix 1*
- 4.4.6 The information shall be updated and published by the *Certification Body* at intervals of no more than twelve months.
- 4.5 Records** (ISO/IEC 17065, Section 7.12 and 8.4)
- 4.5.1 The *Certification Body* shall maintain a record system to suit the *Assessment* procedures set out in this Specification.

5 **RESOURCE REQUIREMENTS** (ISO/IEC 17065, Section 6)

5.1 **Qualification Criteria** (ISO/IEC 17065, Section 6.1.2)

5.1 Personnel involved in the *Assessment* process shall have *Qualifications* and experience at least to the minimum requirements set out in this Specification at Appendix 4, supplemented by appropriate training as an Assessor.

5.2 The competence criteria for personnel in the certification function shall meet the minimum requirements set out in this specification

6 **CHANGES AFFECTING CERTIFICATION** (ISO/IEC 17065 Section 7.10)

6.1 Any changes in certification requirements should not conflict with the requirements of this Specification.

7 **COMPLAINTS AND APPEALS** (ISO/IEC 17065, Section 7.13)

7.1 (7.13) Complaints and appeals must take into account the requirements of this Specification.

7.2 (7.13.1) A *Certification Body* shall have in place a system for recording and, where reasonably practicable, resolving complaints against *Assessed Enterprises* notified to the *Certification Body*.

7.3 (4.1.2.2 (f)) There is no provision for suspension in this Specification. Any *Certification Body* may have procedures that allow suspension and shall allow appeals in line with Section 21 of this Specification.

8 **APPLICATION** (Sections 4.1, 4.6, and 7.2)

8.1 (4.6) Publicly available information:

8.1.1 (4.6) The *Certification Body* should include in its *Assessment* procedures the minimum requirements set out in this Specification.

8.1.2 (4.1.2.2 (c)) Certification will not be awarded for categories of work where there is no evidence that the *Enterprise* has been undertaking that work.

8.1.3 (4.1.2.2 (d)) Scope means as per this Specification.

8.1.4 (4.1.2.2 (e)) This will be as required by this Specification.

8.1.5 (4.1.2.2 (h)) The *Enterprise* shall also ensure that the requirements of this Specification are met.

8.2 (7.2) Application:

8.2.1 (7.2) The application for certification shall be signed by the *Principal Duty Holder*. The application shall also be made in accordance with Section 13 of this Specification.

8.2.2 (7.2) The category(s) of work applied for shall also be provided.

## **9 APPLICATION REVIEW**

9.1 (7.3.1 (e)) Personnel undertaking the *Assessment* of *Enterprises* shall demonstrate competence and meet the *Qualification* requirements of this Specification.

9.2 (7.4.3) *Certification Body* personnel shall be provided with a copy of this Specification and the technical standards relevant to the category(s) of work for which the applicant is applying for *Assessment*.

## **10 EVALUATION (ISO/IEC 17065 Section 7.4)**

10.1 (ISO/IEC 17065 Section 7.1.2) The *Certification Body* shall evaluate a representative sample of work undertaken for each category of work applied for.

## **11 REVIEW**

11.1 (ISO/IEC 17065, Section 7.5.1) Each report submitted to the *Certification Body* shall be independently reviewed to ensure its accuracy and completeness. The person undertaking the review should not have been involved in the evaluation.

## **12 CERTIFICATION DOCUMENTATION (ISO/IEC 17065, Section 7.7)**

12.1 (ISO/IEC 17065, Section 7.7.1) The Certificate issued to the applicant shall comply with the requirements as shown in Appendix 5.

12.2 (ISO/IEC 17065, Section 7.10.2 and 7.10.3) The *Certification Body* shall provide any amendment to the scope of certification in accordance with this Specification.

## **13 SURVEILLANCE**

12.3 (ISO/IEC 17065, Section 7.9) The *Certification Body* should refer to this Specification for frequency of *Assessment*.

## **14 COMPLAINTS TO ENTERPRISES**

14.1 (ISO/IEC 17065, Section 4.1.2.2 (j)) The *Certification Body* should refer to this Specification.

## APPENDIX 9 SPECIFIC REQUIREMENTS FOR TEMPORARY ELECTRICAL SYSTEMS FOR ENTERTAINMENT OR EVENTS

This Appendix applies to electrical systems as defined in BS 7909 used in structures, sets, mobile units etc. as used for public or private events, touring shows, theatrical, radio, TV or film productions and similar activities of the entertainment industry.

1. The requirements set out in this Appendix vary the basic *Criteria* in the body of the Specification.
2. This Appendix sets out the *Criteria* to be used by a body offering accreditation of *Enterprises* involved with temporary power systems predominantly for events and entertainment.
3. For categories of work under section A1.3 the *Enterprise* shall also hold copies of the following:
  - BS 7909: Code of practice for temporary electrical systems for entertainment and related purposes
4. *Enterprises* may also need to hold copies of documents appropriate to the work activity such as the following:
  - Event Safety Guide (HSG195) and web-based successors including the Purple Guide and the HSE portal <http://www.hse.gov.uk/event-safety/>
  - AEO/AEV/ESSA eGuide
  - National Arenas Association eGuide
  - The Technical Standards for Places of Entertainment (ABTT/IOL/DSA/CIEH)
5. Minimum technical competence *Criteria* required for a proposed *Qualified Supervisor* for temporary *Electrotechnical work* for entertainment or events is detailed in Table 4B and can be augmented by “C&G 181 Entertainment and Theatre Electrician” or equivalent.

## APPENDIX 10 GUIDANCE FOR PERSONS UNDERTAKING QUALIFIED SUPERVISOR DUTIES

### Background

Regulation 16 of the Electricity at Work Regulations 1989 (EAWR) states: “No person shall be engaged in any work activity where technical knowledge or experience is necessary to prevent danger or, where appropriate, injury, unless he possesses such knowledge or experience, or is under such degree of supervision as may be appropriate having regard to the nature of the work.”

Clause 11.1 of this document states: “The *Enterprise* shall be required to employ persons to carry out *Electrotechnical work* who are competent and/or adequately supervised to ensure safety during and on completion of the work.”

**NOTE:** The *Qualified Supervisor (QS)/Principal Duty Holder (PDH)*, needs to consider the supervision requirements in the context of the operatives’ safety and that of the customer and other persons.

BS 7671 recognises the concept of supervision in the EAWR and EAS.

### Definitions

|                                  |  |
|----------------------------------|--|
| Competent Person                 | Person who possesses the necessary technical knowledge, skill and experience to undertake assigned <i>Electrotechnical work</i> , and to prevent danger and injury.  |
| Instructed Person (electrically) | Person adequately advised or supervised by a <i>Skilled Person (electrically)</i> to enable that person to perceive risks and to avoid hazards which electricity can create.   |
| Minor Works                      | Additions and alterations to an installation that do not extend to the provision of a new circuit.   |
| Principal Duty Holder (PDH)      | Person appointed by an <i>Enterprise</i> to have responsibility for the maintenance of the overall standard and safety of <i>Electrotechnical work</i> .   |
| Qualification                    | An OFQUAL, CCEA, SQA or QW regulated award that is based on approved <i>National Occupational Standards</i> and delivered through an <i>Awarding Organisation</i> .  |
| Qualified Supervisor (QS)        | <i>Competent Person</i> with specific responsibility on a day to day basis for the safety, technical standard and quality of <i>Electrotechnical work</i> .  |
| Skilled Person (electrically)    | Person who possesses, as appropriate to the nature of the electrical work to be undertaken, adequate education, training and practical skills, and who is able to perceive risks and avoid hazards which electricity can create. |

## Guidance

This guide is intended to provide for a consistent interpretation by PDHs and QSs to ensure the adequate supervision of *Electrotechnical work* undertaken by their *Enterprise* and should be read in conjunction with the *Electrotechnical Assessment Specification*

The PDH is responsible for ensuring that there are systems in place whereby all *Electrotechnical work* undertaken is carried out by competent persons and for ensuring employees (which may include temporary, agency, self-employed and/or subcontracted labour) are adequately and appropriately advised or supervised to ensure, so far as is reasonably practicable, the health and safety of their employees and customer.

The QS is responsible for the quality and compliance of the day to day work of the *Electrotechnical work* regardless of how much time that may take, often resulting in the QS not being available to be engaged directly in *Electrotechnical work*.

The importance of the role of the QS and the adequacy of the supervision in the overall process of ensuring that the *Electrotechnical work* is compliant can in some instances be undermined through commercial pressures or worker ignorance and/or ineptitude regarding the knowledge, attitude, skills and time required to do the job.

The responsibilities of the QS should be clearly stated to them by the PDH and consideration should be given to stating these responsibilities in writing.

The level of supervision necessary for *Electrotechnical work* undertaken by the *Enterprise* will be determined by the level of competence of each operative with regard to the risks involved in the work they are being instructed to undertake.

Where the risks involved are low, verbal instructions are likely to be adequate but as the risk or complexity increases there comes a point where the need for written procedures becomes important in order that instructions may be understood and supervised more rigorously.

In this context, supervision does not necessarily require Continuing attendance at the work site, but the degree of supervision and the manner in which it is exercised is for the PDH and QS to arrange to ensure that danger, or as the case may be, injury, is prevented.

The following tabulated information will assist and guide the PDH and QS to ensure that ALL work is adequately supervised. This would only apply where supervision models are used (i.e. where installation work is carried out by someone registered as a QS there is no additional *Assessment* required, e.g. sole traders).

To use the approach, follow these simple steps:

1. Identify the level (1, 2 or 3) of operative appointed to carry out the work in Table 1;
2. Identify the degree of risk (low, medium or high) based on Table 2 and/or more detailed knowledge of the work to be carried out;
3. Cross reference items 1 and 2 on Table 3 and identify the colour code in the matrix (green, amber or red);
4. Use Table 4 to identify on the basis of the colour code from Table 3 what would be deemed satisfactory in terms of (a) how the operative is instructed, (b) the competence of the person inspecting and testing the work and (c) the involvement of the QS on site.



**Table 1 Level of Operative Appointed**

| Operative Level | Guidance  |
|-----------------|---|
| <b>Level 1</b>  | Operatives would be <i>Instructed persons (electrically)</i> who would generally be apprentices, labourers, electrician's mates or electrical improvers – and who under the supervision of a <i>skilled person (electrically)</i> , could be able to install wiring systems. Others that fall within this category are career changers who may have training and/or qualifications but lack experience. |
| <b>Level 2</b>  | Operatives would be <i>Instructed persons (electrically)</i> who are experienced, trusted electrical installers who can carry out Electrotechnical work efficiently and in accordance with the current BS 7671 and Building Regulations/Standards and can therefore be expected mostly to work without the need of close and detailed supervision.  |
| <b>Level 3</b>  | Operatives would be considered as <i>Skilled persons (electrically)</i> who possess practical, theoretical and electrical engineering skills, experience and knowledge with adequate technical supervisory experience comparable to that of QS.   |

**Table 2 Degree of Risk in the *Electrotechnical Work* covered by BS 7671**

| Installation Work Examples<br>(NOTE: The <i>Enterprise</i> will be responsible for judging the degree of risk, this table is provided for Guidance)  | Degree of Risk |
|--|----------------|
| Electrical work where the installation is isolated when not under the control of the installer e.g.<br><ul style="list-style-type: none"> <li>• First fix <i>Electrotechnical work</i>.</li> <li>• Second fix <i>Electrotechnical work</i>.</li> </ul> | <b>Low</b>     |
| Electrical work defined as Minor Works in an unoccupied building – subject to safe isolation procedures documented and implemented   | <b>Low</b>     |
| Electrical work defined as Minor Works in an occupied building – subject to safe isolation procedures documented and implemented   | <b>Medium</b>  |
| All other <i>Electrotechnical work</i> whether or not it is subject to safe isolation procedures.  | <b>High</b>    |
| Electrical work – Periodic Inspection and Testing  | <b>High</b>    |

**Table 3 Risk Matrix**

|  |   |   |                    |                  |
|--|---|---|--------------------|------------------|
| <b>Level of Operative Appointed</b> (from Table 1) | <b>Level 1 Operative</b><br>( <i>instructed person</i> : apprentice, improver, electrician's mate)    |   |                    |                  |
|  | <b>Level 2 Operative</b><br>( <i>instructed person</i> : experienced, trusted)                        |   |                    |                  |
|  | <b>Level 3 Operative</b><br>( <i>skilled person</i> : equivalent to QS without role or qualification) |   |                    |                  |
|  |   | <b>Low Risk</b>                                   | <b>Medium Risk</b> | <b>High Risk</b> |
|  |   | Degree of Risk in the Installation (from Table 2) |                    |                  |

**Table 4 Degree of Supervision (based on the risk matrix in Table 3)**

| Risk | Nature of Instruction to Operative | Minimum required Competence of                                      | Involvement of QS on site |
|------|------------------------------------|---|---------------------------|
|      | Verbal                             | Satisfying the definition of a <i>Skilled Person (electrically)</i> | Remote                    |
|      | Written                            |   | Periodic                  |
|      | Written                            |   | Close and Detailed        |

\*It is recognised that the person responsible for carrying out the initial verification or periodic inspection, testing and certification of the installation may not be the registered QS. The person shall hold an appropriate qualification or be able to demonstrate equivalent competence.

## **APPENDIX 11 GUIDANCE FOR DEMONSTRATING COMPETENCE OF *EMPLOYED PERSONS***

### **Background**

*Employed Persons* are defined as individuals engaged by the *Enterprise* to perform *Electrotechnical work*; this may include directly employed staff, temporary, agency and/or subcontracted labour including self-employed individuals and sole-traders.

Section 11.1 requires an *Enterprise* to employ persons to carry out *Electrotechnical work* who are competent and/or adequately supervised.

Section 11.2 requires an *Enterprise* to demonstrate the competence of *Employed Persons* by making available suitable records for *Assessment* in accordance with this Appendix.

Section 16.1.3 requires an *Enterprise* to maintain records demonstrating that all *Employed Persons* are competent and/or adequately supervised to undertake *Electrotechnical work*.

Section 16.1.5 requires an *Enterprise* to maintain records of relevant qualifications, training (including *Continuing Professional Development*) and experience.

### **Guidance**

In accordance with Section 16.1, the *Assessed Enterprise* shall be required to hold records as appropriate to the range, scale, geographical spread and categories of the *Electrotechnical work* undertaken.

This Appendix should be used proportionately when considering the *Enterprise*, not only in terms of its scope of activity, size, the number of *Employed Persons* and geographical spread, but also considering its management structure, processes and supervision arrangements. With only a few people involved, communications and records in a small *Enterprise* may be relatively simple and direct, whereas a larger *Enterprise* may have established communication channels and/or a documented competency and training management system in place which effectively meets the requirements outlined in this Appendix.

This Appendix is therefore intended to provide guidance for a consistent approach to evaluate the *Enterprise's* intent and capability to engage *Employed Persons* who are competent and/or adequately supervised to carry out *Electrotechnical work*. It is not intended to imply uniformity in the structure of the system adopted or uniformity of documentation as this may vary depending on the size, structure and activity of the *Enterprise*.

### **Maintaining and Developing Competence**

Competence can become out of date over time and requires positive action to maintain. This includes building on and refreshing skills, knowledge and understanding, identifying specific requirements relevant to work being undertaken and keeping abreast of changes in context such as regulation or technology.

Maintaining competence (through continuing professional development or CPD) includes informal and

formal activities. This can include activities such as training and refresher courses, toolbox talks and mentoring or supervision and formal learning.

Improving competence through the development of new skills is equally important in relation to new or changing building knowledge, technology or practices, particularly where this can impact on building safety or consumer protection.

CPD is best undertaken as part of a planned programme of activity or recorded personal development plan relevant to the individual's responsibility and career path. It is considered good practice for employers to adopt a framework for assessing the effectiveness of CPD undertaken by their employees and contracted individuals.

It is the intention of the EAS Management Committee to introduce additional CPD requirements in future versions of this specification to align with Government Policy and legislation.

## Records

An *Enterprise* shall be required to:

- determine the roles, responsibilities and authorities of all *Employed Persons*. This could be demonstrated through the use of relevant documented information, e.g. job descriptions, work instructions, duty statements, organisation charts, company manuals and/or procedures;
- maintain appropriate records of qualifications, training (including *Continuing Professional Development*) and experience. This could be demonstrated through personnel records, training matrices, contractor records and assessment procedures or other documented records as appropriate for the *Enterprise*.
- determine the necessary competence and degree of risk for all *Employed Persons* performing *Electrotechnical* work as described in Appendix 10;
- carry out and record appropriate and proportionate ongoing observations of *Employed Persons'* skills, knowledge and experience, to determine that work carried out by them complies with the requirements of BS 7671 as amended.

NOTE: An *Enterprise* may choose to engage an external organisation to provide supplementary observations of the ability, knowledge and skill of *Employed Persons*. A *Certification or Registration Body* may provide this service in addition to *Assessment* of the *Enterprise*.

## Assessment

The *Certification or Registration Body* approach to determining whether the *Enterprise's* records are effective in demonstrating that all *Employed Persons* are competent and adequately supervised to undertake *Electrotechnical work* would be achieved by auditing evidence that:

- The *Enterprise* demonstrates a process or method of recording their *Employed Persons'* roles and responsibilities, qualifications, training (including records of *Continuing Professional Development*) and experience. The *Enterprise* ensures the method of recording has been maintained since the last *Assessment* with a particular focus to any changes in *Employed Persons*.

- The *Enterprise* determines that the qualifications, where required, of *Skilled Persons (electrically)* comply with those listed in the relevant tables in Appendix 4.
- The *Enterprise* determines a justifiable difference between Level 1 and Level 2 operatives and their adequate supervision, in accordance with the guidance in Appendix 10.
- The *Enterprise* ensures appropriate and proportionate observations of *Employed Persons'* skills, knowledge and experience, to determine that work carried out by them complies with the requirements of BS 7671 as amended.
- The *Enterprise* demonstrates from the sampled work that the necessary competence and degree of risk for all *Employed Persons* performing *Electrotechnical work* has been considered and is justifiable in line with the guidance in Appendix 10.

## **Supplementary Observations by a *Certification or Registration Body***

IMPORTANT – These supplementary observations are additional observations that an *Enterprise* can choose to utilise as part of their records of *Employed Persons*.

The *Qualified Supervisor* shall be the technical representative for the *Enterprise* when dealing with their *Certification or Registration Body*.

The *Enterprise* shall make available a record of *Employed Persons* that are *Skilled persons (electrically)* to the *Certification or Registration Body*. These individuals will be subject to *Assessment* by the *Certification or Registration Body*.

The frequency of *Assessment* of *Employed Persons* that are *Skilled persons (electrically)* by the *Certification or Registration Body* shall be determined by the *Certification or Registration Body*, taking into account the *Assessment* carried out by the *Enterprise* and the number of *Employed Persons* that are *Skilled persons (electrically)*. The surveillance programme should carry out *Assessments* of those *Employed Persons* that are *Skilled persons (electrically)* no less frequently than once every five years.

The record of *Employed Persons* that are *Skilled persons (electrically)* shall consist of a minimum of:

- Name
- Employment status
- Start date
- Duration of employment
- Qualifications and experience
- Categories of work undertaken (Appendix 1)

The *Electrotechnical work* selected for *Assessment* shall be work carried out by the *Employed Persons* that are *Skilled persons (electrically)* undergoing *Assessment*.

If the *Assessment* finds weaknesses or evidence of a lack of competence, the *Certification or Registration Body* can require additional or repeat training, *Assessment* of the *Employed Person(s)* that are *Skilled persons (electrically)*, and/or the *Enterprise*.

When there are changes to the schedule of *Employed Persons* that are *Skilled persons (electrically)* the *Principal Duty Holder* shall be required to notify the *Certification or Registration Body* within 30 days. This will include adding/removing individuals or changes to the categories of work they carry out.

Where the *Enterprise* notifies changes to the schedule of *Employed Persons* that are *Skilled persons (electrically)*, the *Certification or Registration Body* shall adjust its surveillance programme to ensure that the *Enterprise* is employing sufficient competent persons to carry out *Electrotechnical work* and that any additional individuals are assessed in accordance with the procedures defined by the *Certification or Registration Body*.

## **Technical Assessment**

*Employed Persons* that are *Skilled persons (electrically)* shall be required to undergo an on-site *Technical Assessment* in order to demonstrate that they have adequate knowledge, experience and understanding of the design, construction, maintenance, verification and/or inspection and testing procedures for *Electrotechnical work* they carry out based on the relevant competence requirements in Appendices 4, 6, 7 and 9.

## APPENDIX 12 - RISK BASED SURVEILLANCE VISITS

This appendix details the requirements for *Certification* and *Registration Bodies* in respect of the application of Risk Based Surveillance visits related to Clause 14.2 of this Specification.

14.2 allows for the *Certification* and *Registration Bodies* to vary the interval between surveillance visits up to a maximum of 3 years for *Assessed Enterprises* based on several factors identified in this Appendix.

The concept of risk-based surveillance visits (RBSV) allows *Assessed Enterprises*, who have demonstrated a clean track record of registration with at least two years of satisfactory assessments with a *Certification* or *Registration body*, to extend the interval between their surveillance visits.

Subject to the *Assessed Enterprise* having a satisfactory registration period and demonstrable evidence of compliance with at least two years of satisfactory assessments, demonstrating a clean track record, they could be eligible at their next scheduled assessment to move to an extended interval of surveillance, which would initially be for a period of two years.

At the subsequent assessment and again subject to a satisfactory outcome the *Assessed Enterprise* could then move to a 3-year interval before surveillance would be necessary.

### RBSV Criterion

For an *Assessed Enterprise* to be eligible to move on to a risk-based approach the *Assessed Enterprise* will need to demonstrate compliance against the EAS requirements covering the complete scope of work categories the *Assessed Enterprise* is certified to undertake as defined in Appendix 1.

The risk-based approach will lead to the following surveillance intervals –

- Annual – Up to 1 year between surveillance visits
- Extended – Up to 2 years between surveillance visits
- Maximum – Up to 3 years between surveillance visits

NOTE: An *Assessed Enterprise* can choose to remain on an annual surveillance interval if they wish to do so.

The criteria for the RBSV approach will cover the following risk assessment outcomes –

### Demonstration of Competence

#### Outcome A

Adequate operative qualification and training records are not in place for the majority of operatives and/or inadequate supervision of operatives undertaken

#### Outcome B

The majority of operative qualifications and training records are current and in place and supervision of operatives undertaken

#### Outcome C

All operative qualification and training records are current and in place and supervision of operatives undertaken in accordance with Appendix 11

## **Sub-contractors and Sub-letting Work**

### **Outcome A**

Use of unregistered sub-contractors without adequate supervision and/or no evidence of formal written agreements and training records being in place

### **Outcome B**

Occasional use of unregistered sub-contractors who are adequately supervised with evidence of formal written agreements and training records being in place

### **Outcome C**

No use of sub-contractors, or the use of sub-contractors that are certified as an *Assessed Enterprise* and supervised with evidence of formal written agreements being in place.

## **Assessment Outcomes**

### **Outcome A**

The absence or the total breakdown of a system to meet the requirements of EAS and/or any non-conformity that may represent a risk to life or property

### **Outcome B**

Multiple non-conformities and/or repeated non-conformities that are not a risk to life or property

### **Outcome C**

No non-conformities, or isolated non-conformities that are not a risk to life or property

## **Substantiated Complaints**

### **Outcome A**

Failure of complaint management systems with multiple substantiated complaints

### **Outcome B**

A small number of substantiated complaints received in proportion to the size and scale of the *Assessed Enterprise* and evidence of ineffective complaint management

### **Outcome C**

No complaints escalated to the *Certification or Registration Body* (CRB) or those escalated are dealt with without indicating problems with complaint management

## **Structural Management**

### **Outcome A**

No or ineffective Quality Management Systems in place or failure to act on any instruction from the *Certification or Registration Body*

### **Outcome B**

Non-certified Quality Management System in place but meets the EAS requirements

### **Outcome C**

Recognised and certified Quality Management Systems in place



## Significant Changes

### Outcome A

Significant changes without informing the *Certification or Registration Body*

### Outcome B

Significant changes informed to the *Certification or Registration Body* and adequately managed

### Outcome C

No significant changes, or changes reported to the *Certification or Registration Body* that do not have a detrimental effect on certification

## Outcome

The overall outcome will be based on the following matrix –

|                              | Outcome A      | Outcome B       | Outcome C       |
|------------------------------|----------------|-----------------|-----------------|
| Maintenance of competence    |                |                 |                 |
| Assessment outcomes          |                |                 |                 |
| Substantiated complaints     |                |                 |                 |
| Sub-Contractors              |                |                 |                 |
| Structural management        |                |                 |                 |
| Significant changes          |                |                 |                 |
| <b>Surveillance interval</b> | Annual         | Extended        | Maximum         |
|                              | <b>Max 1yr</b> | <b>Max 2yrs</b> | <b>Max 3yrs</b> |

The surveillance interval will be based on the outcomes recorded and this will determine the surveillance visit interval, for example where an *Assessed Enterprise* has 5 Outcome Cs and 1 Outcome A the interval will a maximum of 1 year (annual). Where an *Assessed Enterprise* only has Outcome As they may be subject to additional surveillance assessment by the *Certification or Registration Body* (refer to Clause 14.4).

If at any time the *Assessed Enterprise* fails to comply with the EAS requirements, then the *Certification or Registration Body* will have the option to take appropriate action to ensure the *Assessed Enterprise* complies with the EAS requirements.

As an example, the *Certification or Registration Body* may revoke the *Assessed Enterprise's* eligibility to be considered suitable for RBSV and the *Assessed Enterprise* will be required to re-establish the qualifying criterion as outlined in this Appendix before being eligible for re-consideration for RBSV.

## Annual Checks

Checks of compliance with the EAS requirements will be needed on an annual basis; this may be done by physical assessment or by self-declared information (SDI). The *Assessed Enterprise* will be required to provide to the *Certification or Registration Body* relevant information about the business to assure it that compliance is still being maintained. Where SDI is used the *Assessed Enterprise* will have to provide self-declared information as detailed below, although this list is not exhaustive:

- Confirmation that relevant effective insurances are still held
- Confirmation of its current trading address, e-mail and telephone number
- Confirmation of the names of the Principal Duty Holder and Qualified Supervisor

- Confirmation of no other significant changes, for example scope and geographical spread of work or change of ownership and the like
- Summary of any complaints and actions taken in accordance with 16.1.4
- Confirmation of on-going accuracy checks of electrical test equipment
- Evidence (where required) for any new qualifications,
- Evidence (where relevant) of Quality Management Systems (QMS) certification copy of certificate or QMS / audit report,
- Evidence of internal audits

Figure 1 below shows the route available for *Assessed Enterprises* that meet the criteria for 3 yearly surveillance visits.

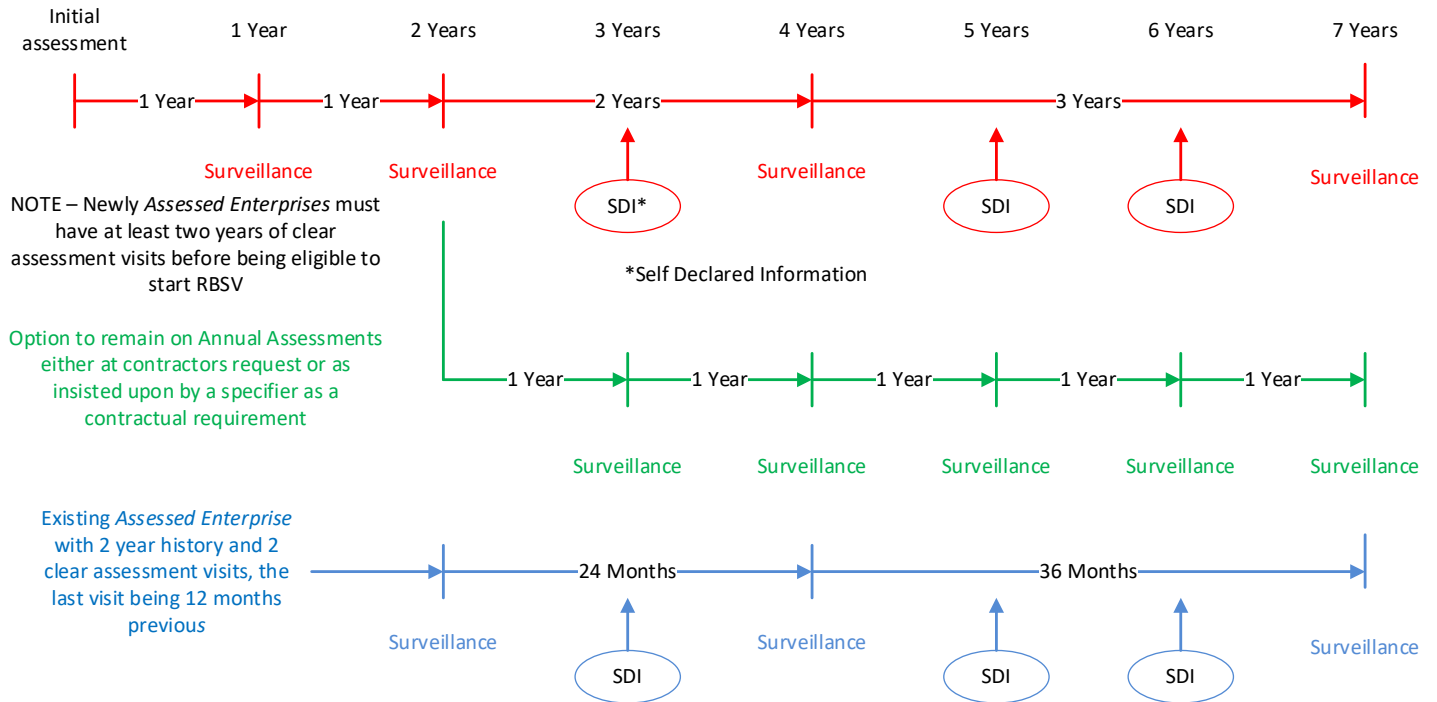


Figure 1