



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

**July 2015**

**NOTES:** 1 This EAS (July 2015) replaces the previous EAS (February 2015).

Principally a new appendix has been added to cover the requirements for those undertaking the role of Qualified Supervisor or responsible person.

2 References to BSEN 45011 have been removed and replaced with ISO/IEC 17065, and Appendix 8 has been revised.

# 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 *Electrical installation work*.

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

### 2. ACKNOWLEDGEMENT

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

Benchmark Certification Ltd  
 British Standards Institution (BSI)  
 Certsure LLP (trading as NICEIC and ELECSA)  
 City & Guilds  
 Department for Communities and Local Government (DCLG)  
 Electrical Contractors' Association (ECA)  
 Electrical Contractors' Association of Scotland (SELECT)  
 Electrical Safety First  
 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)  
 NAPIT Registration Ltd  
 National Association of Professional Inspectors and Testers (NAPIT)  
 Oil Firing Technical Association (OFTEC)  
 Society of Public Architecture, Construction, Engineering and Surveying (SPACES)  
 SummitSkills  
 United Kingdom Accreditation Service (UKAS)  
 Welsh Government

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

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

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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 *Electrical installation work*.

4.2 The categories of *Electrical installation 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 *Electrical installation 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. 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.

## 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* including its technical reference documents, test instruments, insurance, samples of *Electrical installation work* and completed certificates and reports, in order to determine the technical competence of the *Enterprise* to carry out *Electrical installation work* in accordance with the relevant reference documents listed in Appendix 2.

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

*Accredited body* – a *Certification Body* accredited by UKAS.

*Awarding organisation* – an organisation approved by OFQUAL, CCEA 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.

*Certificate of competence* – a certificate awarded by a *Certification Body* accredited to ISO 17024

*Competent Person* – a person, considered by the *Enterprise* to possess the necessary technical knowledge, skill and experience to undertake assigned *Electrical installation work*, and to prevent danger and where appropriate injury.

*Competent Person Scheme Operator* - see Appendix 6

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

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

*Enterprise* – a business undertaking *Electrical installation 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 *Electrical installation work*.

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

*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 (as defined) 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)* – Standards that reflect the competence requirements of a defined job role and/or occupation.

*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 *Electrical installation 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 *Electrical installation work*.

*Proposed Qualified Supervisor* – a person who meets the requirements of Appendix 4 but has yet to successfully complete an *Assessment* as determined by a *Certification* or *Registration Body*.

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

*Qualified Supervisor* – a *Competent Person* with specific responsibility on a day to day basis for the safety, technical standard and quality of *Electrical installation work*.

*Registered Qualified Supervisor* – a *Qualified Supervisor* who has been assessed and accepted by a *Certification* or *Registration Body*.

*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.

*Responsible Person* – see Appendix 6.

*Registered Responsible Person* – see Appendix 6.

*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:

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

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

### **7. ELECTRICAL INSTALLATION WORK**

7.1 The *Enterprise* shall be required to be directly engaged in carrying out *Electrical installation 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 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 *Electrical installation work* undertaken.

9.2 The *Enterprise* shall be required to have records demonstrating the accuracy and consistency of test instruments held or hired for the certification of, or for reporting on the condition of, *Electrical installation 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 *Electrical installation 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 three years.

10.2 If an *Assessed Enterprise* carries out *Electrical installation work* in categories in which it does not have a current *Assessment Certificate*, such work shall be required to be certified by an *Assessed Enterprise* that has a current *Assessment Certificate* for that particular work category.

## 11. PERSONNEL

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

11.2 The *Enterprise* shall be required to appoint a *Principal Duty Holder* and, for each *Contracting Office*, nominate at least one *Qualified Supervisor* as appropriate to the range, scale, geographical spread and categories of the *Electrical installation work* undertaken from that *Contracting Office*. A *Principal Duty Holder* shall be required to be a principal or employee of the *Enterprise*. A *Principal Duty Holder* may also be a *Qualified Supervisor*. 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*.

### Responsibilities of the *Principal Duty Holder*

11.3 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 *Electrical installation work* carried out.

11.4 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.

11.5 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 *Electrical installation work* being undertaken by the *Enterprise*.

11.6 A *Principal Duty Holder* shall be required to ensure that all *Electrical installation work* is assigned to the *Enterprise's Qualified Supervisor(s)*.

11.7 Where a *Registered Qualified Supervisor* ceases to be employed in that capacity, the *Principal Duty Holder* shall be required to immediately notify the *Certification or Registration Body*.

11.8 A *Principal Duty Holder* shall be required to ensure that electrical personnel receive any necessary training.

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

11.9 A *Registered Qualified Supervisor* shall be required to have direct responsibility, on a day to day basis, for the safety, quality and technical standard of the *Electrical installation work* carried out by the *Enterprise*. 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. Supervisory duties shall be carried out in accordance with the guidance in Appendix 10.

11.10 A *Registered 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 *Electrical installation work* in accordance with the relevant competence requirements in Appendices 4, 6 and 9.

11.11 *Registered Qualified Supervisors* shall be required to hold an appropriate BS 7671 *Qualification* awarded by an *Accredited body* within two years of a change to the BS 7671 regulations coming into effect or be able to demonstrate an equivalent level of knowledge.

## 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*

## 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 electrical 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 to be 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, following risk *Assessment* and at its discretion, vary the interval between surveillance visits. The interval shall not exceed three years. The surveillance programme shall identify the planned intervals.

14.3 A surveillance visit shall be required when a *Registered 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 against the *Assessed Enterprise* have been received by the *Certification* or *Registration Body*.

## 15. TECHNICAL ASSESSMENT

15.1 An *Enterprise* shall be required to make available for inspection *Electrical installation work*, completed 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 For the purposes of an application for certification or registration, such electrical work shall have been carried out by the *Enterprise* within the 12 months prior to the application, in each category for which certification or registration is sought.

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

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

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

15.6 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*:

15.6.1 technical reference documents (Appendix 2);

15.6.2 test instruments, appropriate to the range of *Electrical installation work* undertaken, including a record of *Assessment* of accuracy (Appendix 3);

15.6.3 a record of all *Electrical installation work* in progress and completed over the previous 12 months or since the previous *Assessment*, whichever is the longer period;

15.6.4 specifications, drawings, certificates and reports relating to work in progress and completed over the previous 12 months or since the previous *Assessment*, whichever is the longer period;

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

15.6.6 evidence that the required public liability insurance cover is held;

15.6.7 a record of all complaints received over the previous three years about the technical standard, safety and *Functionality* of *Electrical installation work*, and details of actions taken to resolve the complaints;

15.6.8 evidence that a written health and safety policy statement is in place and that risk *Assessments* are carried out as appropriate.

15.7 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.

15.8 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*.

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

15.10 The *Enterprise* shall be required to provide facilities and shall arrange access to sites to inspect *Electrical installation work* selected for *Assessment* by the *Certification* or *Registration Body*.

## 16. RECORDS

16.1 In addition to those records detailed previously, the *Assessed Enterprise* shall be required to hold for at least three years a list of all *Electrical installation work* carried out together with the specifications, drawings, certificates and other relevant documents relating to that work.

## 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*.

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.

## 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. 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 *Electrical installation work* in the category(s) for which it holds an *Assessment Certificate* and continues to comply with this Specification.

## 20. CANCELLATION OF ASSESSMENT CERTIFICATE

20.1 An *Assessment Certificate* shall be subject to cancellation 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 *Electrical installation work*, of faulty materials, materials *not conforming* to recognised standards, or through faulty workmanship;

20.1.4 becomes bankrupt or insolvent or having a Receiving Order made against it or compounds with its creditors or being a corporation commences to be wound up (not being a members' voluntary winding up for the purposes of reconstruction) or carries on business under a Receiver for the benefit of its creditors or any of them or if in the opinion of the *Certification* or *Registration Body* the nature of its work has changed or it shall cease to trade or if there be any change in the ownership of its *Enterprise* which affects the conditions under which it was certified;

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

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

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

20.2.2 undertakes *Electrical installation work* below the technical standard required or is unable to continue to comply with this Specification;

20.2.3 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*;

20.2.4 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;

20.2.5 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.

20.3 The *Certification or Registration Body* shall notify an *Assessed Enterprise* in writing of an intention to cancel its *Assessment Certificate*, detailing fully such reasons for its action. If the *Assessed Enterprise* wishes to object, it shall be required to notify the *Certification or Registration Body* in writing, within twenty-one days, of its objections, for consideration by the *Certification or Registration Body*.

20.4 On cancellation 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 in place to deal with any appeals, complaints and disputes from an *Assessed Enterprise*. Such procedures shall be made available to *Enterprises*.

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 twenty-one days of the date of notification of the decision.

21.4 The *Enterprise* and the *Certification or Registration Body* shall be required to bear their own costs associated with any appeal, regardless of the outcome.

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

22.0 The *Certification or Registration Body* shall have procedures in place to deal with complaints in a timely manner.

22.1 Where a complaint against an *Assessed Enterprise* cannot be resolved by the *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 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 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*.

22.4 The *Certification* or *Registration Body* shall investigate complaints about an *Assessed Enterprise's Electrical installation work* where:

22.4.1 the work was undertaken within the scope of the *Assessment Certificate*; and

22.4.2 the work was undertaken within the last two years or was undertaken since the date of issue of the *Assessment Certificate*, whichever is the shorter period.

### **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 cancellation 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*.

## **C) APPENDICES**

### **Appendix 1 Work categories**

A Electrical installations up to 1kV

A1 Electrical installations

A1.1 *Dwellings*

A1.2 All other

A1.3 Temporary installations as defined in Appendix 9

## Appendix 2 Technical reference documents

For all categories of work under section A of Appendix 1, the *Enterprise* shall, as a minimum, be required to hold the current version (including all amendments) of:

- BS 7671: Requirements for Electrical Installations
- *The Electricity at Work Regulations 1989. Guidance on Regulations HSR25* (Third edition) HSE Books 2015 [www.hse.gov.uk/pubns/books/hsr25.htm](http://www.hse.gov.uk/pubns/books/hsr25.htm)
- All building regulations approved documents relevant to the work undertaken by the *Enterprise*.

For categories of work under Section A1.3 of Appendix 1, additional technical reference documents are given 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 – Calibration requirements

The *Enterprise* shall be required to have a suitable system in place to ensure that the 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 recognized 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.

For all low voltage *Electrical installation 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\*
- 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 *Electrical installation work*.

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

- \* Voltage indicating equipment does not require calibration.

## Appendix 4 Requirements for the registration of *Qualified Supervisors*

The Criteria in this appendix apply to applications made after 6<sup>th</sup> April 2013, they are not retrospective.

**TABLE 4A MINIMUM TECHNICAL COMPETENCE CRITERIA REQUIRED FOR A PROPOSED QUALIFIED SUPERVISOR FOR ELECTRICAL INSTALLATIONS IN DWELLINGS ONLY**

Entry route	Knowledge and Understanding Requirements	Experience
1	<b>Level 3 Certificate in Installing, Testing and Ensuring Compliance of Electrical installations in Dwellings</b>	<b>Must provide evidence of work carried out to be able to demonstrate their competence for the scope for which they have applied.</b>
<b>Equivalents</b>		
2	<b>NVQ 3 Electrotechnical Services (Installation, Buildings and Structures)</b> Plus Level 3 Award in the Initial Verification and Certification of Electrical Installations Or <b>Level 3 Award in Approving <i>Electrical Installation Work in Dwellings</i> in Compliance with Building Regulations</b> And Current Level 3 Award in the Requirements for Electrical Installations	<b>Must provide evidence of work carried out to be able to demonstrate their competence for the scope for which they have applied.</b>
3	<b>Relevant electrical installation <i>Qualification</i> preceding NVQ</b> Plus Level 3 Award in the Initial Verification and Certification of Electrical Installations Or Level 3 Award in Approving <i>Electrical Installation Work in Dwellings</i> in Compliance with Building Regulations And Current Level 3 Award in the Requirements for Electrical Installations	<b>Must provide evidence of work carried out to be able to demonstrate their competence for the scope for which they have applied AND evidence of ongoing Continuous Professional Development.</b>
4	<b>Auditable evidence, for example <i>Certificates of competence</i>, that reflect the learning outcomes identified in the Level 3 Certificate in Installing, Testing and Ensuring Compliance of Electrical installations in Dwellings based on the <i>National Occupational Standards</i>.</b>	<b>Must provide evidence of work carried out to be able to demonstrate 2 years' experience for the scope for which they have applied.</b>
5	<b>Existing or previously recognised <i>Qualified Supervisors</i> registered within last two years</b> with the Current Level 3 Award in the Requirements for Electrical Installations	<b>Letter or similar from the previous <i>Scheme</i> provider confirming previous status and must provide evidence of work carried out to demonstrate practical competence for the scope for which they have applied.</b>

**TABLE 4B\* MINIMUM TECHNICAL COMPETENCE CRITERIA REQUIRED FOR A PROPOSED QUALIFIED SUPERVISOR FOR ALL ELECTRICAL INSTALLATION WORK**

Entry route	Knowledge and Understanding Requirements	Experience
1	<b>Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)</b> Plus Level 3 Award in the Periodic Inspection, Testing and Certification of Electrical Installations	<b>Must provide evidence of work carried out to be able to demonstrate 2 years of competence for the scope for which they have applied.</b>
<b>Equivalents</b>		
2	<b>NVQ 3 Electrotechnical Services (Installation, Buildings and Structures)</b> Plus Level 3 Award in the Initial Verification and Certification of Electrical Installations And Level 3 Award in the Periodic Inspection, Testing and Certification of Electrical Installations And Current Level 3 Award in the Requirements for Electrical Installations	<b>Must provide evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied</b>
3	<b>Relevant electrical installation Qualification preceding NVQ PLUS</b> Level 3 Award in the Initial Verification and Certification of Electrical Installations And Level 3 Award in the Periodic Inspection, Testing and Certification of Electrical Installations And Current Level 3 Award in the Requirements for Electrical Installations	<b>Must provide evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied AND evidence of ongoing Continuous Professional Development.</b>
4	<b>Level 3 Certificate in Installing, Testing and Ensuring Compliance of Electrical installations in Dwellings</b> Plus <b>The additional knowledge and understanding requirements of route 1 (as above).</b>	<b>Must provide evidence of work carried out to be able to demonstrate 2 years' experience for the scope for which they have applied.</b>
5	<b>Auditable evidence, for example Certificates of competence, that reflects the units of competence identified in the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment) based on the National Occupational Standard.</b>	<b>Must provide evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied.</b>
6	<b>Existing or previously recognised Qualified Supervisors registered within last two years</b> with the Current Level 3 Award in the Requirements for Electrical Installations	<b>Letter or similar from the previous Scheme provider confirming previous status and must provide evidence of work carried out to demonstrate practical competence for the scope for which they have applied.</b>

\* For those involved in temporary *electrical installation work* for entertainment or events, as defined in Appendix 9, route 5 can be augmented by "C&G 181 Entertainment and Theatre electrician" or equivalent.

## **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 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 *Electrical installation work* within the scope of the Certificate.

## Appendix 6 Particular requirements for building regulations *competent person scheme operators* covering *Electrical installation work in dwellings*

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 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 levels of activity for *Enterprises*:
  - 3.1 **Full scope:** The requirements for an *Enterprise* the scope of whose work includes the design, installation, inspection and testing of *Electrical installation work* that is associated with *dwellings* and is intended to operate at low or extra-low voltage
  - 3.2 **Defined scope:** The requirements for an *Enterprise* the scope of whose work is limited to the design, installation, inspection and testing of defined *Electrical installation work* that is associated with *dwellings*, is intended to operate at low or extra-low voltage, and is undertaken in connection with, or ancillary to some other work.

### 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 Building Regulations 2010, as amended.

*Dwelling* – a house or a *Flat*.

*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.

*Responsible Person* – In respect of a *Defined Scope Enterprise*, a *Competent Person* with specific responsibility on a day-to-day basis for the safety, technical standard and quality of *Electrical installation work in dwellings*.

*Registered Responsible Person* – a *Responsible Person* who has been assessed and accepted by the *Certification or Registration Body*.

### GENERAL REQUIREMENTS FOR *FULL SCOPE AND DEFINED SCOPE ENTERPRISES*

#### 4. *Electrical installation work*

4.1 An *Assessed Enterprise* shall be required not to sub-let *Electrical installation work in dwellings* unless the work is undertaken by an *Enterprise* that is registered with a *Competent Person Scheme Operator*. *Electrical installation work* shall be required to be self-certified only by the *Assessed Enterprise* that carried out that work.

4.2 Competence of the *Enterprise* will not be assessed on *Electrical installation work* sub-let to others. However the *Assessed Enterprise* will be required to retain responsibility for this work.

## 5. Certification and Reporting

5.1 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 *Electrical installation work* in *dwelling*s that it carries out.

5.2 The *Assessed Enterprise* shall be required to hold for at least three years copies of all the certificates that it has issued for *Electrical installation work* in *dwelling*s.

## 6. Complaints

6.1 The *Assessed Enterprise* shall be required to maintain a record of all complaints received over at least the previous three years, concerning the compliance with Building Regulations of the *Electrical installation work* it has carried out in *dwelling*s, together with the details of the actions taken to resolve these complaints.

## 7. Health and Safety

7.1 The *Enterprise* shall be required to have a written health and safety policy statement, and shall be required to carry out risk *Assessments* as appropriate.

## 8. Technical Reference Documents

8.1 *Enterprises* shall, as a minimum, be required to hold the current version (including all amendments) of:

<b>Technical Reference Document</b>	<b><i>Full scope</i></b>	<b><i>Defined scope</i></b>
BS 7671 Requirements for Electrical Installations	Yes	Not essential
IET On-Site Guide to BS 7671 or equivalent.	Not essential	Yes
HS(R)25 Memorandum of Guidance on the Electricity at Work Regulations	Yes	Yes
Building Regulations, Approved Document P.	Yes	Yes

## 9. Testing

9.1 Test instruments and suitable leads are required for *Full scope Enterprises* to carry out the tests in the table below to comply with Section 9 of the Specification.

Test
Voltage measurement
Insulation resistance measurement
Continuity
Polarity
Measurement of earth fault loop impedance of circuits
Measurement of external earth fault loop impedance
Operation of residual current devices

9.2 For *Defined scope Enterprises*, test instruments and suitable leads are required to carry out the relevant tests in relation to the defined *Electrical installation work* of the *Enterprise* to comply with Section 9 of this Specification.

### **FULL SCOPE ENTERPRISES: PARTICULAR REQUIREMENTS RELATING TO THE COMPETENCE OF AN ENTERPRISE TO DESIGN, INSTALL, INSPECT AND TEST FIXED ELECTRICAL INSTALLATIONS IN DWELLINGS.**

#### **10 Responsibilities of a *Qualified Supervisor*:**

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

10.2 Verifying and authenticating certification showing compliance with Building Regulations.

#### **11 Requirements for a *Qualified Supervisor***

11.1 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 & Wales).

### **DEFINED SCOPE ENTERPRISES: PARTICULAR REQUIREMENTS RELATING TO THE COMPETENCE OF AN ENTERPRISE TO UNDERTAKE DEFINED ELECTRICAL INSTALLATION WORK IN DWELLINGS IN CONNECTION WITH, OR ANCILLARY TO, SOME OTHER NON-ELECTRICAL WORK.**

#### **12. Defined *Electrical installation work***

12.1 The *Enterprise* shall be directly engaged in carrying out defined *Electrical installation work* in *dwellings*.

12.2 Defined *Electrical installation work* is electrical work that is provided solely within the scope of *Electrical installation work* defined for the *Enterprise*.

### **13. Personnel**

13.1 *Responsible Persons* shall be subject to the same requirements as those for *Qualified Supervisors* set out in the body of this Specification.

13.2 The *Enterprise* shall be required to appoint as *Responsible Persons* as many individuals as necessary to ensure all *Electrical installation work* in *dwelling*s is carried out by or under the supervision of a *Responsible Person*. The *Principal Duty Holder* may also be a *Responsible Person*.

13.3 *Responsible Persons* shall be required to hold the responsibilities detailed in Section 14 of this Appendix, and shall be required to meet the requirements set out in Section 15 of this Appendix.

13.4 Where a *Registered Responsible Person* ceases to be employed in that capacity, the *Principal Duty Holder* shall be required to immediately notify the *Certification or Registration Body*.

13.5 A *Principal Duty Holder* shall ensure that all *Electrical installation work* in *dwelling*s is allocated to the *Enterprise's Responsible Person(s)*.

13.6 A *Principal Duty Holder* shall ensure that *Electrical installation work* in *dwelling*s that goes beyond the *Enterprise's Defined scope of Electrical installation work*, as described in the scope, is referred back to the customer for execution by an *Enterprise* that has the necessary scope.

### **14 Responsibilities of a Responsible Person:**

14.1 The safety, quality and technical standard on a day-to-day basis of the *Electrical installation work* in *dwelling*s allocated to him/her (or where appropriate other persons under his supervision), by the *Principal Duty Holder*. Supervisory duties shall be carried out in accordance with the guidance in Appendix 10.

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

14.3 Ensuring that the results of the inspection and testing are accurately recorded on the appropriate forms of certification.

14.4 Verifying and authenticating certification showing compliance with Building Regulations.

### **15 Requirements for a Responsible Person**

15.1 A *Responsible Person* shall be required to:

15.1.1 have adequate knowledge, experience and understanding of the design, installation, inspection and testing procedures for *Electrical installation work* in *dwelling*s in accordance with BS 7671 for each of the relevant competence requirements set out in Appendix 4 above and;

15.1.2 demonstrate the technical competence to be registered as a *Responsible Person* so as to ensure the compliance of the *Electrical installation work* in *dwelling*s carried out by the *Enterprise* with the Building Regulations (England & Wales).

**16** *Registered Responsible Persons* shall be required to hold an appropriate BS 7671 *Qualification* awarded by an *Accredited body* within two years of a change to the BS 7671 regulations coming into effect or be able to demonstrate an equivalent level of knowledge.

## Appendix 7 Particular 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.

*Scheme Provider* – An organisation that operates one or more Certification *Schemes* and registers Approved Certifiers of Design and/or 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 Technical Standards
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 current 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 principle 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 three years; and
- have evidence of a level 3 Certificate in the Requirements for Electrical Installations to BS 7671:2008 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 five years; and
- can demonstrate current knowledge of the Scottish Building Standards System and a sufficient understanding of the role of *Approved Certifiers of Construction* (Electrical installations to BS 7671).<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 *Electrical installation work*, has carried out such work for not less than six 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 *Approved Certifier of Construction* and a Certification Co-ordinator
- Is directly engaged in certifying *Electrical installation 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 five 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/IEC17065:2012 in relation to the specification

### 1 INTRODUCTION

1.1 The requirements for accreditation are laid down in the International Standard, ISO/IEC17065 - *Conformity assessment – Requirements for bodies certifying products, processes and services*.

The requirements of ISO/IEC17065 apply to all types of product, process and service certification, and to the *Assessment* of the competency of *Enterprises* based on this Specification.

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*

1.2 This Appendix is intended to amplify or clarify the requirements relating to the implementation of ISO/IEC17065 and this Specification. This Appendix does not cover all the requirements of ISO/IEC17065. *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/IEC17065.

1.3 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.

### 5 SCOPE (BS EN ISO/IEC17065, Section 1)

5.1 (1.1) The scope of ISO/IEC17065 includes the certification of a service, such as the carrying out of *Electrical installation work* within the scope of this Specification.

5.2 (1.2) This Appendix provides guidance concerning the application of BS EN ISO/IEC17065 and ISO/IEC17067 to *Schemes* based on this Specification.

### 6 REFERENCES (ISO/IEC17065, Section 7.1.1)

Add the following reference to the certification scheme that is developed:

6.1 Electrotechnical *Assessment* Specification for use by *Certification and Registration Bodies*

### 7 PROCESS REQUIREMENTS (ISO/IEC17065, Section 7)

7.1 General (ISO/IEC17065, Section 7.1)

7.1.1 (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/IEC17065.

7.1.2 (7.1.1) Any *Certification Body* wishing to base an *Assessment Scheme* on the Specification must be accredited to ISO/IEC17065 taking into account this Appendix, and must carry out *Assessments* against the requirements of this Specification.

7.3 External resources (ISO/IEC17065, Section 6.2.2)

7.3.1 (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/IEC17065 under this Specification, but shall comply in all other respects with the relevant requirements of ISO/IEC17065 and this Specification.

7.4 Conditions and procedures for granting, maintaining, extending and withdrawing certification (ISO/IEC17065, Section 7)

7.4.1 (ISO/IEC17065 Sections 7.6, 7.9, 7.10, and 7.11) 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 this Specification.

7.5 Documentation (ISO/IEC17065, Subsections 4.6, 7.8 and 8.4)

7.5.1 (4.6) In providing information about its certification system, the *Certification Body* shall include reference to this Specification.

7.5.2 (8.3) The *Certification Body* shall hold a copy this Specification.

7.5.3 (4.6 (c)) In describing the rights and duties of *Assessed Enterprises*, *Certification Bodies* shall refer to this Specification.

7.5.4 (4.6 (d)) In providing information about the handling of complaints, appeals and disputes, *Certification Bodies* shall refer to this Specification.

7.5.5 (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*:

7.5.5.1 Registered trading title of the *Assessed Enterprise*

7.5.5.2 Full address of the *Contracting Office*

7.5.5.3 Telephone number of the *Contracting Office*

7.5.5.4 The categories and types of work for which the *Contracting Office* holds an *Assessment Certificate*

7.5.6 The information shall be updated and published by the *Certification Body* at intervals of no more than twelve months.

7.6 Records (ISO/IEC17065, Section 7.12 and 8.4)

7.6.1 (7.12) The *Certification Body* shall maintain a record system to suit the *Assessment* procedures set out in this Specification.

## **8 RESOURCE REQUIREMENTS** (ISO/IEC17065, SECTION 6)

8.1 *Qualification Criteria* (ISO/IEC17065, Section 6.1.2)

8.1.1 (6.1.1.2) Personnel involved in the *Assessment* process shall have *Qualifications* and experience at least to the minimum requirements set out in this Specification, supplemented by appropriate training as an Assessor.

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

## **9 CHANGES AFFECTING CERTIFICATION**

( ISO/IEC17065 Section 7.10) Any changes in certification requirements should not conflict with the requirements of this Specification.

## **10 COMPLAINTS AND APPEALS (ISO/IEC17065, Section 7.13)**

10.1 (7.13) Complaints and appeals must take into account the requirements of this Specification.

10.2 (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*.

10.3 (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.

## **11 APPLICATION (Sections 4.1, 4.6, and 7.2)**

11.1 (4.6) Publically available information

11.1.1 (4.6) The *Certification Body* should include in its *Assessment* procedures the minimum requirements set out in this Specification.

11.1.2 (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.

11.1.3 (4.1.2.2 (d)) Scope means as per this Specification.

11.1.4 (4.1.2.2 (e)) This will be as required by this Specification.

11.1.6 (4.1.2.2 (h)) The supplier shall also ensure that the requirements of this Specification are met.

11.2 (7.2) Application:

11.2.1 (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.

11.2.2 (7.2) The category(s) of work applied for shall also be provided.

## **12 APPLICATION REVIEW**

12.1 (7.3.1 (e)) Personnel undertaking the *Assessment of Enterprises* shall demonstrate competence and meet the *Qualification* requirements of this Specification.

12.2 (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*.

## **13 EVALUATION (ISO/IEC17065 Section 7.4)**

13.10.1 (ISO/IEC17065 Section 7.1.2) The *Certification Body* shall evaluate a representative sample of work undertaken for each category of work applied for.

## **14 REVIEW**

14.11.1 (ISO/IEC17065, 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.

## **15 CERTIFICATION DOCUMENTATION (ISO/IEC17065, Section 7.7)**

15.1 (ISO/IEC17065, Section 7.7.1) The Certificate issued to the applicant shall comply with the requirements as shown in Appendix 5.

15.2 ( ISO/IEC17065, 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.

## **16 SURVEILLANCE**

16.1 ( ISO/IEC17065, Section 7.9) The *Certification Body* should refer to this Specification for frequency of *Assessment*.

## **17 COMPLAINTS TO SUPPLIERS**

7.1 (ISO/IEC17065, Section 4.1.2.2 (j) The *Certification Body* refer to this Specification.

## Appendix 9 Particular requirements for temporary installations covering *electrical installation work* 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 *electrical installation work* for entertainment or events is detailed in Table 4B:

## Appendix 10: Guidance for Persons Undertaking Qualified Supervisor /Responsible Person 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 Electrical installation 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)/Responsible Person (RP), 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.

EAS is the specification relied upon by Government for the delivery of competence and compliance in the Building Regulations 2010 and Building (Scotland) Act 2003, as well as being adopted by industry for electrical work not specifically regulated by government.

### Definitions

Competent Person	A person, considered by the Enterprise to possess the necessary technical knowledge, skill and experience to undertake assigned Electrical installation work, and to prevent danger and where appropriate injury.
Instructed Person (electrically)	Person adequately advised or supervised by a skilled person (as defined) 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.
Principle Duty Holder	The person appointed by an Enterprise to have responsibility for the maintenance of the overall standard and safety of Electrical installation work.
Qualification	An OFQUAL, CCEA or SQA regulated award that is based on approved National Occupational Standards and delivered through an Awarding organisation.
Qualified Supervisor	A Competent Person with specific responsibility on a day to day basis for the safety, technical standard and quality of Electrical installation work.
Responsible Person	In respect of a Defined Scope Enterprise, a Competent Person with specific responsibility on a day to day basis for the safety, technical standard and quality of Electrical installation work in dwellings.
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 or RPs to ensure the adequate supervision of electrical installation work undertaken by their enterprises and should be read in conjunction with the Electrotechnical Assessment Specification 2015 (EAS).

The PDH is responsible for ensuring that there are systems in place whereby all electrical work undertaken is carried out by competent persons and for ensuring employees, including all sub-contracted staff, 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/RP is responsible for the quality and compliance of the day to day work of the enterprise regardless of how much time that may take, often resulting in the QS/RP not being available to be engaged directly in electrical installation work.

The importance of the role of the QS/RP and the adequacy of the supervision in the overall process of ensuring that the electrical installation 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/RP 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 electrical installation 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 continual attendance at the work site, but the degree of supervision and the manner in which it is exercised is for the PDH and QS/RP 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/RP 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/RP 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/RP 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 electrical installation 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/RP.

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

Installation Work Examples ( <i>note the Enterprise will be responsible for judging the degree of risk, this table is provided for Guidance</i> )	Degree of Risk
Electrical work where the installation is isolated when not under the control of the installer e.g. <ul style="list-style-type: none"> <li>• First fix electrical installation work.</li> <li>• Second fix electrical installation work.</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 Electrical installation work 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 (from Table 1)</b>	<b>Level 1 Operative</b> ( <i>instructed person</i> : apprentice, improver, electrician's mate)			
	<b>Level 2 Operative</b> ( <i>instructed person</i> : experienced, trusted)			
	<b>Level 3 Operative</b> ( <i>skilled person</i> : equivalent to QS/RP 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 Inspector*	Involvement of QS/RP 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/RP. The person shall hold an appropriate qualification or be able to demonstrate equivalent competence.