



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

**JANUARY 2012**

# **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:

British Standards Institution (BG)  
Department for Communities and Local Government (DCLG)  
Benchmark Certification Ltd  
Electrical Contractors’ Association (ECA)  
ECA Certification Ltd (incorporating ELECSA)  
Electrical Safety Council  
Health and Safety Executive (HSE)  
Institution of Engineering and Technology (IET)  
NAPIT Registration Ltd  
National Association of Professional Inspectors and Testers (NAPIT)  
Ascertiva Group Ltd (trading as NICEIC)  
Oil Firing Technical Association (OFTEC)  
Electrical Contractors’ Association of Scotland (SELECT)  
Society of Electrical and Mechanical Engineers Serving Local Government (SCEME)  
SummitSkills  
United Kingdom Accreditation Service (UKAS)

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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* – an awarding body accredited by Ofqual or a certification body accredited by UKAS

*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 EN 45011 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* – an electrotechnical enterprise undertaking electrical installation work in one or more of the categories listed in Appendix 1. An Enterprise 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.

*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.

*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 EN 45011 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.

## **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 Qualified Supervisor**

11.9 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 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.

11.10 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 electrical installation work in accordance with the relevant competence requirements in Appendices 4 and 5.

11.11 Registered Qualified Supervisors shall be required to hold a BS 7671:2008 qualification awarded by a body regulated by Office of Qualifications and Examinations Regulation (Ofqual) or the Scottish Qualifications Authority by the first surveillance visit after 31 December 2010, but by no later than 31 December 2011.

## **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 but the actual surveillance visit should take place no earlier than one month prior to, and no later than two months after the planned date.

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 evaluation 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

## **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
- Memorandum of Guidance on the Electricity at Work Regulations (HSR25)
- All building regulations approved documents relevant to the work undertaken by the enterprise.

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 1 January 2012, they are not retrospective.

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

Entry route	Competence requirement	Experience	Ability to apply	
			Inspection/assessment <sup>[2] [3]</sup>	
			On site	Off site
1	Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in dwellings	Must have evidence of work carried out to be able to demonstrate their competence for the scope for which they have applied.	Yes	
<b>Equivalents</b>				
2	NVQ 3 Electrotechnical Services (Installation, Buildings and Structures) PLUS The unit "Approve Electrical Work in Dwellings in Compliance with Building Regulations" as identified in the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings	Must have evidence of work carried out to be able to demonstrate their competence for the scope for which they have applied.	Yes	
3	Auditable evidence for example certificates of competence that reflect the learning outcomes identified in the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings.	Must have evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied.	Yes	
4	Relevant electrical installation qualification preceding NVQ PLUS i) Inspection, Test and Verification Qualification and ii) The unit "Approve Electrical Work in Dwellings in Compliance with Building Regulations" as identified in the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings	Must have 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.	Yes	
5	Existing or previously recognised qualified supervisors registered within last two years	Letter or similar from the previous scheme provider confirming previous status and must have evidence of work carried out to demonstrate practical competence for the scope for which they have applied.		
	See note overleaf			

**NOTE:**

Organisations delivering an assessment programme that reflects the units of competence identified in the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings must ensure that:

- the candidate fully meets the requirements of all the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings units in their entirety
- all assessors are able to provide auditable evidence that they meet the same minimum occupational expertise, knowledge and competence requirements as in the Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings
- all assessors have achieved a Level 3 Award in Assessing Vocationally Related Achievement or equivalent A1 or A2, or D32 and D33 assessors award
- all qualification verification and assessment is in accordance with the requirements of the relevant QCF assessment strategy
- all assessors and verifiers used in this assessment must maintain their occupational competence, on a regular basis, by updating and periodically reconfirming their continuing professional development (CPD)
- the assessment shall be by mapping against the learning outcomes of the relevant QCF units.

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

Entry route	Competence requirement	Experience	Ability to apply	
			Inspection/assessment [2] [3]	
			On site	Off site
1	Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)	Must have evidence of work carried out to be able to demonstrate 2 years of competence for the scope for which they have applied.	Yes	
<b>Equivalents</b>				
2	NVQ 3 Electrotechnical Services (Installation, Buildings and Structures) PLUS Additional units as identified by mapping against the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)	Must have evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied	Yes	
3	Level 3 NVQ Certificate in Installing, Testing and Ensuring Compliance of Electrical Installation Work in Dwellings PLUS Additional units as identified by mapping against the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)	Must have evidence of work carried out to be able to demonstrate 2 years of competence for the scope for which they have applied.	Yes	
4	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)	Must have evidence of work carried out to be able to demonstrate 2 years competence for the scope for which they have applied	Yes	
5	Relevant electrical installation qualification preceding NVQ PLUS i) Inspection, Test and Verification Qualification and ii) Additional units as identified by mapping against the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)	Must have 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.	Yes	
6	Existing or previously recognised qualified supervisors registered within last two years	Letter or similar from the previous scheme provider confirming previous status and must have evidence of work carried out to demonstrate practical competence for the scope for which they have applied.		
	See note overleaf			

**NOTE:**

- i) Organisations delivering an assessment programme that reflects the units of competence identified in the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment) must ensure that:
- the candidate fully meets the requirements of all the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment) units in their entirety
  - all assessors are able to provide auditable evidence that they meet the same minimum occupational expertise, knowledge and competence requirements as in the Level 3 NVQ Diploma in Installing Electrotechnical systems and equipment (building structures and the environment)
  - all assessors have achieved a Level 3 Award in Assessing Vocationally Related Achievement or equivalent A1 or A2, or D32 and D33 assessors award
  - all qualification verification and assessment is in accordance with the requirements of the relevant QCF assessment strategy
  - all assessors and verifiers used in this assessment must maintain their occupational competence, on a regular basis, by updating and periodically reconfirming their continuing professional development (CPD)
  - the assessment shall be by mapping against the learning outcomes of the relevant QCF units.

**IMPORTANT NOTES FOR PART P COMPETENT PERSON SCHEME OPERATORS (SEE ALSO APPENDIX 6)**

1. Demonstration of competence to meet the requirements of ensuring the compliance of Defined Scope electrical installation work in "Dwellings" does not equate with the competence requirements to undertake the approval of Full Scope electrical installation work.
2. Demonstration of competence to ensure the compliance of Full Scope electrical installation work in "Dwellings" equates with the competence requirements of a "Full Scope Qualified Electrician"<sup>[1]</sup> plus a comprehensive knowledge of the current relevant Building Regulations (England and Wales)
3. Any certification/register that identifies an individual has demonstrated competence against the "National Occupational Standards for Ensuring the Compliance of Electrical installation work in Dwellings with Building Regulations (England & Wales)" must clearly indicate the limit of their competence – Full Scope, Defined Scope.

**[1] For the purpose of this and associated documents, the competence requirements of a "Full Scope Qualified Electrician" are those needed to design, construct, maintain, verify and/or inspect and test electrotechnical systems and equipment in a variety of environments, such as one or more of domestic, industrial, commercial or agricultural.**

**[2] For the purpose of this and associated documents, practical performance assessment is against the National Occupational Standards performance criteria.**

**[3] For the purpose of this and associated documents, an approved assessment centre is a facility approved by an accredited body.**

## **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 dwellings 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 dwellings.

## 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 dwellings, 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>Full scope</b>	<b>Defined scope</b>
BS 7671 Requirements for Electrical Installations	Yes	Not essential
IEE 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 dwellings 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 dwellings is allocated to the Enterprise's Responsible Person(s).

13.6 A Principal Duty Holder shall ensure that electrical installation work in dwellings 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 dwellings allocated to him/her (or where appropriate other persons under his supervision), by the Principal Duty Holder

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 dwellings 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 dwellings carried out by the Enterprise with the Building Regulations (England & Wales).

**16** Registered Responsible Persons shall be required to hold an appropriate BS 7671: 2008 qualification awarded by a body regulated by Office of Qualifications and Examinations Regulation (Ofqual) or the Scottish Qualifications Authority by the first surveillance visit after 31 December 2010, but by no later than 31 December 2011.

## **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 2004 as amended without detailed scrutiny by local authorities. 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 gain entry to an appropriate certification scheme and be employed by an Approved Body.
3. An Approved Body is an enterprise that employs and supports one or more Approved Certifiers, and meets the conditions for registration in the 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 Building (Scotland) Regulations 2004 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 an SJIB Approved Electrician Grade Card and is a Principle or full-time employee of an Approved Body. In addition the individual should:

- have a minimum of two years supervisory experience in the electrical installation industry;
- have evidence of having passed an assessed course in all relevant requirements in the Scottish Building Standards technical handbooks and Building (Scotland) Regulations 2004 as amended (within the previous three years);
- have evidence of having passed an assessed course in BS 7671 within the previous five years in addition to the requirements of Appendix 4;
- Demonstrate current knowledge of the Scottish Building Standards System and a sufficient understanding of the role of Approved Certifier of Construction to act as a certifier 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 electrical installation work, has carried out such work for not less than six months and employs at least one Approved Certifier of Construction and who undertakes to comply with the rules, which include:

- Designate a Certification Co-ordinator to counter-sign Certificates completed by an Approved Certifier of Construction who is employed by the Approved Body;
- Only offer certification services under the Scheme if it employs at least one Approved Certifier of Construction and a Certification Co-ordinator
- Be directly engaged in certifying electrical installation work for compliance with Building Regulations;
- Operate an appropriate system of checking compliance with the Building Regulations in accordance with the Scheme Providers' requirements to ensure the quality of certification activities;
- Complete Certificates of Construction in the form prescribed by the Scheme Provider, using certificate numbers designated by the Scheme Provider. All certificates of construction shall be signed by an Approved Certifier of Construction and counter-signed by the Approved Body Certification Co-ordinator;
- Hold records for at least five years and make them available to the Scheme Provider for auditing. Records shall include additionally check-lists, certificates of construction and training and development of Approved Certifiers of Construction.

## 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.

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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 only a summary and a full understanding of the detailed criteria and the Scheme in its entirety is essential for individuals or organisations 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 Building Procedure (Scotland) Regulations 2004 is available at [www.sbsc.uk.net](http://www.sbsc.uk.net)

## APPENDIX 8

### INTERPRETATIONS OF EN 45011 IN RELATION TO THE SPECIFICATION

#### 1 INTRODUCTION

1.1 The general requirements for accreditation are laid down in the European Standard, EN 45011 - *General requirements for bodies operating product certification systems*. The word 'product' includes a process or service. The requirements of EN 45011 apply to all types of product, process and service certification, and therefore need to be interpreted in respect of the assessment of the competency of Enterprises based on this Specification.

1.2 This Appendix in conjunction with European co-operation for Accreditation document EA-6/01 is intended to amplify or clarify those requirements of EN 45011 that need interpretation when applied to this Specification. This Appendix does not cover all the requirements of EN 45011, and 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 EN 45011.

1.3 The Accreditation Body in the UK, the United Kingdom Accreditation Service (UKAS), will apply the interpretations given in 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 (EN 45011, Section 1)

5.1 (1.1) The scope of EN 45011 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 interpretations concerning the application of EN 45011 to schemes based on this Specification.

#### 6 REFERENCES (EN 45011, Section 2)

Add the following reference:

6.1 Electrotechnical Assessment Specification for use by Certification and Registration Bodies

#### 7 CERTIFICATION BODY (EN 45011, Section 4)

7.1 General provisions (EN 45011, Subsection 4.1)

7.1.1 (4.1.3) 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.

7.2 Organisation (EN 45011, Subsection 4.2)

7.2.1 (4.2g) Any Certification Body wishing to base an assessment scheme on the Specification must be accredited to EN 45011 taking into account the interpretations given in this Appendix, and must carry out assessments against the requirements of this Specification.

7.2.2 (4.2n) Decisions on certification shall be taken under the supervision of a certification committee on which there is a balance of interests.

### 7.3 Subcontracting (EN 45011, Subsection 4.4)

7.3.1 (4.4b) 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 EN 45011 under this Specification, but shall comply in all other respects with the relevant requirements of this Specification.

### 7.4 Quality system (EN 45011, Subsection 4.5)

7.4.1 (4.5.2) The quality system to be operated by the Certification Body shall be in accordance with the relevant elements of EN 45011 and of this Specification.

### 7.5 Conditions and procedures for granting, maintaining, extending and withdrawing certification (EN 45011, Subsection 4.6)

7.5.1 (4.6.1) The conditions for granting, maintaining, extending and withdrawing certification are set out this Specification.

### 7.6 Documentation (EN 45011, Subsection 4.8)

7.6.1 (4.8.1) In providing information about its certification system, the Certification Body shall include reference to this Specification.

7.6.2 (4.8.2) The Certification Body shall hold a copy this Specification.

7.6.3 (4.8.1e) In describing the rights and duties of Assessed Enterprises, Certification Bodies shall refer to this Specification.

7.6.4 (4.8.1f) In providing information about the handling of complaints, appeals and disputes, Certification Bodies shall refer to this Specification.

7.6.5 (4.8.1g) 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:

7.6.5.1 Registered trading title of the Assessed Enterprise

7.6.5.2 Full address of the Contracting Office

7.6.5.3 Telephone number of the Contracting Office

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

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

### 7.7 Records (EN 45011, Subsection 4.9)

7.7.1 (4.9.1) The Certification Body shall maintain a record system to suit the assessment procedures set out in this Specification.

## **8 CERTIFICATION BODY PERSONNEL (EN 45011, SECTION 5)**

### **8.1 Qualification criteria (EN 45011, Subsection 5.2)**

8.1.1 (5.1.1) 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.

## **9 CHANGES IN CERTIFICATION REQUIREMENT**

(6) Any changes in certification requirements should not conflict with the requirements of this Specification.

## **10 APPEALS, COMPLAINTS AND DISPUTES**

10.1 (7.1) Appeals, complaints and disputes must take into account the requirements of this Specification.

10.2 (7.1) 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 (7.2) Due account must be taken of the requirements given in this Specification.

## **11 APPLICATION FOR CERTIFICATION**

11.1 (8.1) Information on the procedure:

11.1.1 (8.1.1) The Certification Body should include in its assessment procedures the minimum requirements set out in this Specification.

11.1.2 (8.1.2b) 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 (8.1.2c) Scope means as per this Specification.

11.1.4 (8.1.2d) This will be as required by this Specification.

11.1.5 (8.1.2e) 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.

11.1.6 (8.1.2h) The supplier shall also ensure that the requirements of this Specification are met.

11.2 (8.2) The application:

11.2.1 (8.2.1) 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 (8.2.2b) The category(s) of work applied for shall also be provided.

## **12 PREPARATION FOR EVALUATION**

12.1 (9.3) Personnel undertaking the assessment of Enterprises shall meet the qualification requirements of this Specification.

12.2 (9.4) 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**

13.10.1 The Certification Body shall need to evaluate a representative sample of work undertaken for each category of work applied for.

## **14 EVALUATION REPORT**

14.11.1 Each report submitted to the Certification Body shall be evaluated to ensure its accuracy. The person undertaking the evaluation should not have been involved in the compilation of the original report.

## **15 DECISION ON CERTIFICATION**

15.1 (12.3) The Certificate issued to the applicant shall comply with the requirements as shown in Appendix 5.

15.2 (12.4) The Certification Body shall provide an amendment to the scope of certification in accordance with this Specification.

## **16 SURVEILLANCE**

16.1 (13.4) The Certification Body should refer to this Specification for frequency of assessment.

## **17 COMPLAINTS TO SUPPLIERS**

17.1 The Certification Body shall refer to this Specification.