ELECTROTECHNICAL ASSESSMENT SPECIFICATION FOR USE BY CERTIFICATION AND REGISTRATION BODIES

NOTE: This EAS (October 2021) replaces the previous EAS (January 2020)
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*The implementation dates listed in the table above can be used voluntarily before that date by Certification and Registration Bodies.*
ELECTROTECHNICAL ASSESSMENT SPECIFICATION

A) INTRODUCTION

1. PURPOSE

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

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

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

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

2. ACKNOWLEDGEMENT

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

British Security Industry Association (BSIA)
Blue Flame Certification Limited
Certsure LLP (trading as NICEIC and ELECSA)
City & Guilds
CORGI – trading as Corgi Technical Services and AESM
Electrical Contractors’ Association (ECA)
Electrical Contractors’ Association of Scotland (SELECT)
Electrical Safety First (ESF)
Excellence, Achievement & Learning Limited (EAL)
Fire Industry Association (FIA)
Health and Safety Executive (HSE)
Institution of Engineering and Technology (IET)
Joint Industry Board for the electrical contracting industry (JIB)
Logic Certification Ltd (LCL Awards)
Ministry of Housing, Communities and Local Government (MHCLG)
National Association of Professional Inspectors and Testers (NAPIT)
NAPIT Registration Ltd
Oil Firing Technical Association (OFTEC)
Society of Public Architecture, Construction, Engineering and Surveying (SPACES)
The Electrotechnical Skills Partnership (TESP)
United Kingdom Accreditation Service (UKAS)
Welsh Government
2.2 Organisations that contributed to the production of Appendix 9 are:

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

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

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

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

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

5. **DEFINITIONS**

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

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

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

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

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

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

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

**Contracting Office** – a location from which an Enterprise manages Electrotechnical work.
Criteria – standards, laws or rules by which a correct judgement can be made by a Certification or Registration Body.

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

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

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

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

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

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

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

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

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

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

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

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

Scheme – a systematic arrangement of Criteria.

Skilled Person (electrically) - Person who possesses, as appropriate to the nature of the electrical
work to be undertaken, adequate education, training and practical skills, and who is able to perceive risks and avoid hazards which electricity can create.

6. WORK SUB-LET BY AN ASSESSED ENTERPRISE

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

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

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

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

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

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

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

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

7. ELECTROTECHNICAL WORK

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

8. TECHNICAL REFERENCE DOCUMENTS

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

9. TEST INSTRUMENTS

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

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

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

10. CERTIFICATION AND REPORTING

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

11. PERSONNEL

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

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

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

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

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

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

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

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

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

Requirements relating to a Qualified Supervisor

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

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

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

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

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

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

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

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

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

13. APPLICATION FOR CERTIFICATION OR REGISTRATION

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

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

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

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

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

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

14. SURVEILLANCE

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

14.2 A Certification or Registration Body may at its discretion, following risk assessment including factors listed in Appendix 12, vary the interval between surveillance visits. The interval shall not exceed three years. The surveillance programme shall identify the planned intervals and the scope of work to be assessed based on the Assessed Enterprise’s scope of work category registration as listed in Appendix 1.
Where an Assessed Enterprise is not under an annual assessment visit regime, they will be required to always ensure compliance with the EAS; this may be demonstrated by physical assessment or using self-declared information (SDI) as required by the Certification or Registration Body.

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

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

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

15. TECHNICAL ASSESSMENT

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

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

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

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

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

15.5.1 technical reference documents (Appendix 2);

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

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

15.5.4 specifications, drawings, certificates and reports relating to work in progress and completed over at least the preceding 6 years, or as otherwise contractually required;
15.5.5 any other items the Certification or Registration Body requires which are relevant to the Assessment process;

15.5.6 evidence that the required insurance cover is held;

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

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

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

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

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

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

16. RECORDS

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

Records:-

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

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

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

16.1.4 of all complaints received over the previous 6 years about the technical standard, safety and Functionality of Electrotechnical work, and details of actions taken to resolve the complaints
16.1.5 of relevant qualifications, training (including Continuing Professional Development) and experience

17. ASSESSMENT DECISION

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

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

18. ASSESSMENT CERTIFICATE

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

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

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

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

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

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

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

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

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

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

20. WITHDRAWAL OR AMENDMENT OF ASSESSMENT CERTIFICATE

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

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

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

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

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

- the suspension of payments, a moratorium of any indebtedness, winding up, dissolution or reorganisation (by way of voluntary arrangement, scheme of arrangement or otherwise, but excluding a members' winding up for the purposes of reconstruction) of it and in the case of a winding up petition, such petition is not discharged or stayed within 14 days or, if earlier, prior to its advertisement; or

- a composition, assignment or arrangement with any of its creditors; or

- the appointment of a liquidator, receiver, administrator, administrative receiver, compulsory manager or other similar officer in respect of it or any of its assets; or
the enforcement of any mortgage, charge, pledge, lien, or other security interest securing any obligation of it or any other agreement or arrangement having similar effect; or

any attachment, sequestration, distress or execution that affects any of its assets and is not discharged within seven days;

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

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

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

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

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

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

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

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

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

21. APPEALS, COMPLAINTS AND DISPUTES

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

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

21.3 The *Enterprise* shall be required to give notice in writing setting out clearly the grounds for
such an appeal. Such an appeal shall be required to be served on the Certification or Registration Body within 21 days of the date of notification of the decision.

22. **COMPLAINTS ABOUT AN ASSESSED ENTERPRISE’S ELECTROTECHNICAL WORK**

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

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

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

23. **ASSESSMENT MARKS AND LOGOS**

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

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

24. **TRANSFER OF CERTIFICATION**

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

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

**Pre-Transfer Review:**

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

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

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

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

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

Transfer of Certification

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

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

24.7 Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, the accepting Certification Body or Registration Body shall treat the transferring Assessed Enterprise as a new client.
The justification for this action shall be explained to the transferring Assessed Enterprise and shall be documented by the accepting Certification Body or Registration Body and the records maintained.

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

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

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

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

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

Cooperation between the issuing and accepting Certification Body or Registration Body

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

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

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

APPENDIX 1 WORK CATEGORIES

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

A1.1 *Dwellings* covered by BS 7671 (as amended)
A1.2 Other than *dwellings* covered by BS 7671 (as amended)
A1.3 Temporary electrical systems covered by BS 7909 (as amended):
A1.4 *Dwellings* covered by BS 7671 (as amended) and undertaken as a necessary adjunct to or arising out of other work in England & Wales

A2 Periodic inspection and testing:

A2.1 *Dwellings*
A2.2 Other than *dwellings*
APPENDIX 2 TECHNICAL REFERENCE DOCUMENTS

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

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

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

This list is not exhaustive. Other requirements may be set by the Certification or Registration Body as may be required for the work undertaken.
APPENDIX 3 TEST INSTRUMENTS

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

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

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

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

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

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

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

- Maintaining records of the formal calibration/re-calibration of test instruments as recommended by the instrument manufacturers, supported by calibration certificates with measurements traceable to national standards, issued by organizations recognised by Certification or Registration Bodies for the purposes of checking the accuracy of test instruments. Certificates issued by UKAS accredited laboratories are preferable

- Maintaining records over time of comparative cross-checks with other test instruments used by the Enterprise

- Maintaining records over time of measurements of the characteristics of designated reference circuits or devices. For example, the consistency of continuity, insulation resistance and earth electrode test instruments could be checked against a proprietary resistance box or a set of suitable resistors. Earth fault loop impedance test instruments could be checked by carrying out tests on a designated socket-outlet (on a non-RCD protected circuit) in the Enterprise’s office. RCD test instruments could be checked by carrying out tests on an RCD unit plugged into the designated socket-outlet.

*Voltage indicating equipment does not require calibration.
APPENDIX 4 REQUIREMENTS FOR QUALIFIED SUPERVISORS AND PERSONS CARRYING OUT ELECTRICAL INSPECTION AND TESTING

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

Introduction

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

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

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

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

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

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

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

*For full details of the scope of the work categories above refer to Appendix 1
Table 4B Underpinning Core Technical Competence, limited to dwellings only

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

Table 4C Underpinning Core Technical Competence, all Electrotechnical Work

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

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

Other Required Qualifications

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

<table>
<thead>
<tr>
<th>Table ref</th>
<th>Purpose</th>
<th>Qualification</th>
</tr>
</thead>
<tbody>
<tr>
<td>4D</td>
<td>Wiring Regulations*</td>
<td>Level 3 Award in the Requirements for Electrical Installations: BS 7671 (as amended)</td>
</tr>
<tr>
<td>4E</td>
<td>Initial Verification*</td>
<td>Level 3 Award in the Initial Verification of Electrical Installations</td>
</tr>
<tr>
<td>4F</td>
<td>Periodic Inspection*</td>
<td>Level 3 Award in the Periodic Inspection and Testing of Electrical Installations</td>
</tr>
</tbody>
</table>

*these may be achieved within a combined qualification
APPENDIX 5  ASSESSMENT CERTIFICATE

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

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

*The Certificate shall include, or be supplemented by, information detailing the exact extent or limitations of the Electrotechnical work within the scope of the Certificate.
APPENDIX 6 SPECIFIC REQUIREMENTS FOR BUILDING REGULATIONS COMPETENT PERSON SCHEME OPERATORS COVERING ELECTRICAL INSTALLATION WORK IN DWELLINGS (ENGLAND)

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

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

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

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

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

DEFINITIONS

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

Dwelling – as defined in the Building Regulations.

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

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

GENERAL REQUIREMENTS

4. Certification and Reporting

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

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

5. Complaints

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

6. Technical Reference Documents

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

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

7. Responsibilities of a Qualified Supervisor:

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

7.2 Verifying and authenticating certification showing compliance with Building Regulations.

8 Requirements for a Qualified Supervisor

8.1 A Qualified Supervisor shall be required to demonstrate the technical competence to be registered as a Qualified Supervisor so as to ensure the compliance of the Electrical Installation work in dwellings carried out by the Enterprise with the Building Regulations (England).
APPENDIX 6A  SPECIFIC REQUIREMENTS FOR BUILDING REGULATIONS
COMPETENT PERSON SCHEME OPERATORS COVERING ELECTRICAL INSTALLATION WORK IN DWELLINGS (WALES)

1. These specific requirements set out in this Appendix vary the basic Criteria in the main body of the Specification.

2. This Appendix sets out the Criteria to be used by a Government authorised body offering a self-certification Scheme covering Electrical Installation work in dwellings listed in Schedule 3 of The Building (Amendment) (Wales) Regulations 2017 as amended, in assessing technical competence and the capability of an Enterprise to undertake Electrical Installation work in dwellings prior to registration.

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

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

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

DEFINITIONS

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

Dwelling – a house or a Flat.

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

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

GENERAL REQUIREMENTS

4. Certification and Reporting

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

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

5. Complaints

The Assessed Enterprise shall be required to maintain a record of all complaints received over at least the previous 3 years, concerning the compliance with Building Regulations of the Electrical
Installation work it has carried out in dwellings, together with the details of the actions taken to resolve these complaints.

6. Technical Reference Documents

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

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

7. Responsibilities of a Qualified Supervisor:

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

7.2 Verifying and authenticating certification showing compliance with Building Regulations.

8. Requirements for a Qualified Supervisor

8.1 A Qualified Supervisor shall be required to demonstrate the technical competence to be registered as a Qualified Supervisor so as to ensure the compliance of the Electrical installation work in dwellings carried out by the Enterprise with the Building Regulations (Wales).
APPENDIX 7 SPECIFIC REQUIREMENTS FOR SCOTTISH BUILDING STANDARDS

DEFINITIONS

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

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

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

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

1. The requirements set out in this appendix vary the base Criteria in the body of the specification and summarise the Criteria for registration in Schemes for Approved Certifiers of Construction as provided for in the Building (Scotland) Act 2003. These Schemes allow qualified and experienced trades-people to be responsible for ensuring compliance with the Building (Scotland) Regulations as amended without detailed scrutiny by local authority verifiers. These Approved Certifiers must be employed by reputable organisations and be able to demonstrate that they meet the detailed Criteria to be registered in a relevant Scheme.

2. Persons who perform the function of certification are known as Approved Certifiers of Construction. To register and operate as an Approved Certifier an individual must be employed by an Approved Body that has gained entry to an appropriate certification Scheme.

3. An Approved Body is an Enterprise that employs and supports one or more Approved Certifiers and meets the conditions for registration in a certification Scheme operated by a Scheme Provider.

4. The scope of the Scheme approved by Scottish Ministers is the certification, installation and commissioning of electrical installations to BS 7671 as complying with the relevant parts of Building (Scotland) Regulations as amended.

5. Approved Certifiers of Construction

5.1 The function of an Approved Certifier of Construction is to certify that an Electrical Installation to BS 7671 complies with the relevant parts of Building (Scotland) Regulations as amended.

5.2 The responsibility of an Approved Certifier of Construction is to be satisfied that their knowledge and experience enables them to discharge the responsibility of certifying particular work, bearing in mind the nature of the project. If appropriate, the Approved Certifier of Construction should call on other suitably qualified and experienced persons for advice. Certification is however the sole responsibility of the Approved Certifier of Construction who signs the Certificate of Construction.
6. Requirements for an Approved Certifier of Construction

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

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

7. Approved Bodies

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

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

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

¹ 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
8 **Sole traders**

8.1 A sole trader may hold membership of the *Scheme* as an Approved *Certifier of Construction*, an *Approved Body* and also take the role of Certification Co-Ordinator.
APPENDIX 8 GUIDANCE ON THE APPLICATION OF ISO/IEC 17065:2012 IN RELATION TO THE SPECIFICATION

1 INTRODUCTION

1.1 The requirements for accreditation are laid down in the International Standard, ISO/IEC 17065 - Conformity assessment – Requirements for bodies certifying products, processes and services.

1.2 The requirements of ISO/IEC 17065 apply to all types of product, process and service certification and to the Assessment of the competency of Enterprises based on this Specification.

1.3 Information relating to the development of certification schemes can be found in ISO/IEC 17067:2013 Conformity assessment -- Fundamentals of product certification and guidelines for product certification schemes.

1.4 This Appendix is intended to amplify or clarify the requirements relating to the implementation of ISO/IEC 17065 and this Specification. This Appendix does not cover all the requirements of ISO/IEC 17065. Certification Bodies are reminded of the need to comply with all of the requirements of that standard. Cross-reference is made to relevant sections of ISO/IEC 17065.

1.5 The Accreditation Body in the UK, the United Kingdom Accreditation Service (UKAS), will use this Appendix when assessing and re-assessing Certification Bodies. In cases of difficulties of interpretation arising from this Appendix, the EAS Management Committee will provide clarification.

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

2.1 (1.1) The scope of ISO/IEC 17065 includes the certification of a service, such as the carrying out of Electrotechnical work within the scope of this Specification.

2.2 (1.2) This Appendix provides guidance concerning the application of ISO/IEC 17065 and ISO/IEC17067 to Schemes based on this Specification.

3 REFERENCES (ISO/IEC 17065, Section 7.1.1)

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

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

4.1 General (ISO/IEC 17065, Section 7.1)

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

Requirements relating to non-discriminatory conditions are given in Section 4.4 of ISO/IEC 17065.
4.1.2 (7.1) Any *Certification Body* wishing to base an *Assessment Scheme* on the Specification must be accredited to ISO/IEC 17065, taking this Appendix into account, and must carry out *Assessments* against the requirements of this Specification.

4.2 External resources (ISO/IEC 17065, Section 6.2.2)

4.2.1 (6.2) A body undertaking *Assessments* under an *Assessment Scheme* based on the Specification as a subcontractor to an accredited *Certification Body* need not itself be accredited to ISO/IEC 17065 under this Specification but shall comply in all other respects with the relevant requirements of ISO/IEC 17065 and this Specification.

4.3 Conditions and procedures for granting, maintaining, extending and withdrawing certification (ISO/IEC 17065, Section 7)

4.3.1 The conditions for granting, maintaining, extending and withdrawing certification will be detailed within the certification scheme developed by the certification body and shall include the elements set out in this Specification (Sections 7.6, 7.9, 7.10, and 7.11).

4.4 Documentation (ISO/IEC 17065, Sections 4.6, 7.8 and 8.4)

4.4.1 (4.6) In providing information about its certification system, the *Certification Body* shall include reference to this Specification.

4.4.2 (8.3) The *Certification Body* shall hold a copy this Specification.

4.4.3 (4.6 (c)) In describing the rights and duties of *Assessed Enterprises*, *Certification Bodies* shall refer to this Specification.

4.4.4 (4.6 (d)) In providing information about the handling of complaints, appeals and disputes, *Certification Bodies* shall refer to this Specification.

4.4.5 (7.8) The directory of *Assessed Enterprises* published by the *Certification Body* shall provide at least the following information for each *Contracting Office* of an *Assessed Enterprise*:

- Registered trading title of the *Assessed Enterprise*
- Full address of the *Contracting Office*
- Telephone number of the *Contracting Office*
- The categories and types of work for which the *Contracting Office* holds an *Assessment Certificate as defined in Appendix 1*

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

4.5 Records (ISO/IEC 17065, Section 7.12 and 8.4)

4.5.1 The *Certification Body* shall maintain a record system to suit the *Assessment* procedures set out in this Specification.
5 RESOURCE REQUIREMENTS (ISO/IEC 17065, Section 6)

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

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

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

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

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

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

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

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

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

8 APPLICATION (Sections 4.1, 4.6, and 7.2)

8.1 (4.6) Publicly available information:

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

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

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

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

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

8.2 (7.2) Application:

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

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

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

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

10 EVALUATION (ISO/IEC 17065 Section 7.4)

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

11 REVIEW

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

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

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

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

13 SURVEILLANCE

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

14 COMPLAINTS TO ENTERPRISES

14.1 (ISO/IEC 17065, Section 4.1.2.2 (j) The Certification Body should refer to this Specification.
APPENDIX 9 SPECIFIC REQUIREMENTS FOR TEMPORARY ELECTRICAL SYSTEMS
FOR ENTERTAINMENT OR EVENTS

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

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

2. This Appendix sets out the Criteria to be used by a body offering accreditation of Enterprises involved with temporary power systems predominantly for events and entertainment.

3. For categories of work under section A1.3 the Enterprise shall also hold copies of the following:
   • BS 7909: Code of practice for temporary electrical systems for entertainment and related purposes

4. Enterprises may also need to hold copies of documents appropriate to the work activity such as the following:
   • Event Safety Guide (HSG195) and web-based successors including the Purple Guide and the HSE portal http://www.hse.gov.uk/event-safety/
   • AEO/AEV/ESSA eGuide
   • National Arenas Association eGuide
   • The Technical Standards for Places of Entertainment (ABTT/IOL/DSA/CIEH)

5. Minimum technical competence Criteria required for a proposed Qualified Supervisor for temporary Electrotechnical work for entertainment or events is detailed in Table 4B and can be augmented by “C&G 181 Entertainment and Theatre Electrician” or equivalent.
APPENDIX 10 GUIDANCE FOR PERSONS UNDERTAKING QUALIFIED SUPERVISOR DUTIES

Background

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

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

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

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

Definitions

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

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

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

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

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

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

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

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

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

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

To use the approach, follow these simple steps:

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

<table>
<thead>
<tr>
<th>Operative Level</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level 1</strong></td>
<td>Operatives would be <em>Instructed persons (electrically)</em> who would generally be apprentices, labourers, electrician’s mates or electrical improvers – and who under the supervision of a <em>skilled person (electrically)</em>, 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.</td>
</tr>
<tr>
<td><strong>Level 2</strong></td>
<td>Operatives would be <em>Instructed persons (electrically)</em> who are experienced, trusted electrical installers who can carry out Electrotechnical work efficiently and in accordance with the current BS 7671 and Building Regulations/Standards and can therefore be expected mostly to work without the need of close and detailed supervision.</td>
</tr>
<tr>
<td><strong>Level 3</strong></td>
<td>Operatives would be considered as <em>Skilled persons (electrically)</em> who possess practical, theoretical and electrical engineering skills, experience and knowledge with adequate technical supervisory experience comparable to that of QS.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Installation Work Examples (NOTE: The Enterprise will be responsible for judging the degree of risk, this table is provided for Guidance)</th>
<th>Degree of Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electrical work where the installation is isolated when not under the control of the installer e.g. • First fix Electrotechnical work. • Second fix Electrotechnical work.</td>
<td>Low</td>
</tr>
<tr>
<td>Electrical work defined as Minor Works in an unoccupied building – subject to safe isolation procedures documented and implemented</td>
<td>Low</td>
</tr>
<tr>
<td>Electrical work defined as Minor Works in an occupied building – subject to safe isolation procedures documented and implemented</td>
<td>Medium</td>
</tr>
<tr>
<td>All other Electrotechnical work whether or not it is subject to safe isolation procedures.</td>
<td>High</td>
</tr>
<tr>
<td>Electrical work – Periodic Inspection and Testing</td>
<td>High</td>
</tr>
</tbody>
</table>

Table 3 Risk Matrix

<table>
<thead>
<tr>
<th>Level of Operative Appointed (from Table 1)</th>
<th>Level 1 Operative (instructed person: apprentice, improver, electrician’s mate)</th>
<th>Level 2 Operative (instructed person: experienced, trusted)</th>
<th>Level 3 Operative (skilled person: equivalent to QS without role or qualification)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Low Risk</td>
<td>Medium Risk</td>
<td>High Risk</td>
</tr>
<tr>
<td>Degree of Risk in the Installation (from Table 2)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Risk</th>
<th>Nature of Instruction to Operative</th>
<th>Minimum required Competence of</th>
<th>Involvement of QS on site</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>Verbal</td>
<td>Satisfying the definition of a Skilled Person (electrically)</td>
<td>Remote</td>
</tr>
<tr>
<td>Medium</td>
<td>Written</td>
<td></td>
<td>Periodic</td>
</tr>
<tr>
<td>High</td>
<td>Written</td>
<td></td>
<td>Close and Detailed</td>
</tr>
</tbody>
</table>

*It is recognised that the person responsible for carrying out the initial verification or periodic inspection, testing and certification of the installation may not be the registered QS. The person shall hold an appropriate qualification or be able to demonstrate equivalent competence.*
APPENDIX 11 GUIDANCE FOR DEMONSTRATING COMPETENCE OF EMPLOYED PERSONS

Background

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

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

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

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

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

Guidance

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

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

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

Maintaining and Developing Competence

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

Maintaining competence (through continuing professional development or CPD) includes informal and
formal activities. This can include activities such as training and refresher courses, toolbox talks and mentoring or supervision and formal learning.

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

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

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

Records

An Enterprise shall be required to:

- determine the roles, responsibilities and authorities of all Employed Persons. This could be demonstrated through the use of relevant documented information, e.g. job descriptions, work instructions, duty statements, organisation charts, company manuals and/or procedures;

- maintain appropriate records of qualifications, training (including Continuing Professional Development) and experience. This could be demonstrated through personnel records, training matrices, contractor records and assessment procedures or other documented records as appropriate for the Enterprise.

- determine the necessary competence and degree of risk for all Employed Persons performing Electrotechnical work as described in Appendix 10;

- carry out and record appropriate and proportionate ongoing observations of Employed Persons’ skills, knowledge and experience, to determine that work carried out by them complies with the requirements of BS 7671 as amended.

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

Assessment

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

- The Enterprise demonstrates a process or method of recording their Employed Persons’ roles and responsibilities, qualifications, training (including records of Continuing Professional Development) and experience. The Enterprise ensures the method of recording has been maintained since the last Assessment with a particular focus to any changes in Employed Persons.
• The Enterprise determines that the qualifications, where required, of Skilled Persons (electrically) comply with those listed in the relevant tables in Appendix 4.

• The Enterprise determines a justifiable difference between Level 1 and Level 2 operatives and their adequate supervision, in accordance with the guidance in Appendix 10.

• The Enterprise ensures appropriate and proportionate observations of Employed Persons’ skills, knowledge and experience, to determine that work carried out by them complies with the requirements of BS 7671 as amended.

• The Enterprise demonstrates from the sampled work that the necessary competence and degree of risk for all Employed Persons performing Electrotechnical work has been considered and is justifiable in line with the guidance in Appendix 10.
Supplementary Observations by a Certification or Registration Body

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

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

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

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

The record of Employed Persons that are Skilled persons (electrically) shall consist of a minimum of:
- Name
- Employment status
- Start date
- Duration of employment
- Qualifications and experience
- Categories of work undertaken (Appendix 1)

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

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

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

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

Employed Persons that are Skilled persons (electrically) shall be required to undergo an on-site Technical Assessment in order to demonstrate that they have adequate knowledge, experience and understanding of the design, construction, maintenance, verification and/or inspection and testing procedures for Electrotechnical work they carry out based on the relevant competence requirements in Appendices 4, 6, 7 and 9.
APPENDIX 12 - RISK BASED SURVEILLANCE VISITS

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

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

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

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

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

**RBSV Criterion**

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

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

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

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

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

**Demonstration of Competence**

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

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

**Outcome C**
All operative qualification and training records are current and in place and supervision of operatives undertaken in accordance with Appendix 11
Sub-contractors and Sub-letting Work

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

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

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

Assessment Outcomes

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

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

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

Substantiated Complaints

Outcome A
Failure of complaint management systems with multiple substantiated complaints

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

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

Structural Management

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

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

Outcome C
Recognised and certified Quality Management Systems in place
Significant Changes

Outcome A
Significant changes without informing the Certification or Registration Body

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

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

Outcome

The overall outcome will be based on the following matrix –

<table>
<thead>
<tr>
<th>Maintenance of competence</th>
<th>Outcome A</th>
<th>Outcome B</th>
<th>Outcome C</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment outcomes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Substantiated complaints</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-Contractors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Structural management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Significant changes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Surveillance interval</strong></td>
<td><strong>Annual</strong></td>
<td><strong>Extended</strong></td>
<td><strong>Maximum</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Max 1yr</strong></td>
<td><strong>Max 2yrs</strong></td>
<td><strong>Max 3yrs</strong></td>
</tr>
</tbody>
</table>

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

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

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

Annual Checks

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

- Confirmation that relevant effective insurances are still held
- Confirmation of its current trading address, e-mail and telephone number
- Confirmation of the names of the Principal Duty Holder and Qualified Supervisor
- Confirmation of no other significant changes, for example scope and geographical spread of work or change of ownership and the like
- Summary of any complaints and actions taken in accordance with 16.1.4
- Confirmation of on-going accuracy checks of electrical test equipment
- Evidence (where required) for any new qualifications,
- Evidence (where relevant) of Quality Management Systems (QMS) certification copy of certificate or QMS / audit report,
- Evidence of internal audits

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

Figure 1