

**BAFE Scheme: SP205
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Fire Protection Industry Scheme Reference SP205 Part 2

Accreditation Requirements and Guidance

**BAFE (British Approvals for Fire Equipment)
The Fire Service College, London Road
Moreton-in-Marsh, Gloucestershire GL56 0RH
Tel: 0844 335 0897
Fax: 01608 653359
Email: info@bafe.org.uk
www.bafe.org.uk**

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1. INTRODUCTION

This SP205 BAFE Scheme Accreditation Requirements and Guidance document was published in July 2015 and provides guidance for:

- Third Party Certification Bodies wishing to include SP205 within their scope of UKAS accreditation;
- UKAS when requested to undertake accreditation of a Third Party Certification Body;
- BAFE Council when considering an application from a Third Party Certification Body.

This document should be read in conjunction with the SP205 Part 1 BAFE Scheme document.

2. APPLICATION PROCESS FOR THIRD PARTY CERTIFICATION BODIES

- 2.1 A Third Party Certification Body (TPCB) wishing to include SP205 within their scope of UKAS accreditation should initially apply to BAFE seeking agreement to proceed with an application to UKAS for assessment to the requirements of SP205. On receipt of the application, BAFE Council will consider it against the following criteria, which should be suitably addressed within the TPCB's application.
- 2.1.1 The TPCB's confirmation to BAFE that, to the best of its knowledge, it is able to meet the requirements set out in SP205 and that it will also be able to meet the other requirements specified in ISO/IEC 17065.
- 2.1.2 The TPCB's confirmation that it has a good reputation in the fire safety profession or, if not already operational in this area, that it has a good reputation within related professions, to be specified by the TPCB, where life safety or property protection are important assessment issues.
- 2.1.3 The TPCB's agreement to pay an annual licence fee to BAFE.
Note: Details of the fee can be obtained from BAFE.
- 2.1.4 Subject to the agreement of BAFE Council, the applicant TPCB will be sent a letter confirming BAFE's agreement to them contacting UKAS to arrange assessment to the requirements of ISO/IEC 17065 and SP205.
- 2.1.5 The applicant TPCB should then contact UKAS and provide them with a copy of the BAFE letter of agreement to proceed.
- 2.1.6 On successful achievement of UKAS accreditation to ISO/IEC 17065 for the operation of SP205, the applicant TPCB should advise BAFE and conclude the formal licence agreement for the operation of the Scheme and for the BAFE Listing of both the TPCB and organizations they certificate to the requirements of SP205.

3. REQUIREMENTS FOR THIRD PARTY CERTIFICATION BODIES OPERATING THIS SCHEME

Certification Audit

3.1 Subject to approval by BAFE, a TPCB may offer certification against this Scheme.

3.2 A TPCB will be eligible to operate this BAFE Scheme when:

- a) The TPCB has received UKAS product conformity certification accreditation to ISO/IEC 17065 specifically in relation to SP205; and
- b) The TPCB has concluded a formal agreement with BAFE.

3.3 The TPCB shall be able to clearly indicate their competence to do the work.

3.4 The TPCB shall carry out a Certification Audit to determine the organization's compliance with the Scheme. The audit shall sample sufficient documents and records, and include interviews with all Validators of fire risk assessments.

3.5 The TPCB shall require an Organization applying for a certification audit to state:-

- a) The total number of fire risk assessors that it employs or otherwise contracts for work and a breakdown of the numbers nominally attached to each of its named operational locations.
- b) The names and operational locations of all Validators.
- c) The address and brief premises description of 3 FRAs carried out by each Validator within the 12 month period preceding the application.
- d) The names and operational locations of persons within the Organization who are responsible for internal quality audits and assessments of competence of fire risk assessors; and in each case whether these persons are Validators.

3.6 The TPCB auditor shall have access to all the documents and records referred to in SP205 Scheme document, Clause 9 Management Systems. The auditor shall select for examination at least two fire risk assessments carried out by each named person within the preceding year. At least one on-site visit to determine the competence of each named person shall be carried out.

3.7 The TPCB shall nominate a representative sample of the Organizations fire risk assessors [other than Validators] and carry out a desk-top audit of two FRAs completed by each nominated assessor within the preceding 12 month period.

3.8 The size of the sample should be no less than $\frac{1}{N}$ rounded to the nearest integer, where N is the total number of fire risk assessors, who are not Validators, employed by or contracted to the Organization. This sample should be representative of all operational locations and areas. Of those persons who are not Validators, at least one shall be selected for an on-site audit. If the result of the TPCB's audits do not confirm the results of the organizations internal audit, further TPCB sampling may be required.

3.9 The TPCB shall provide a written statement (certificate) to the Certificated Organization clearly indicating the organization's conformity to this Scheme's provision of Fire Risk Assessments to SP205.

Surveillance Audit

3.10 The TPCB shall carry out an initial Surveillance Audit within six months of the Certification Audit and shall then carry out Surveillance Audits at intervals of not more than twelve months.

3.11 The interval between subsequent surveillance audits shall be determined by the TPCB based on their assessment of the Organizations from the previous audit. Any degree of non-compliance with the requirement of this scheme that gives rise to a special audit [Part 1 clause 15.7] may result in the period between subsequent surveillance audits being less than 12 months.

3.12 Where the certificated organization has given notice to the TPCB that it has nominated a new Validator, and where, in the opinion of the certificated organization that nominated person is critical to the organizations work throughput, the TPCB shall carry out a dedicated audit of the nominee's competence. The completion of an on-site TPCB witnessed fire risk assessment undertaken or being undertaken by the nominee [Part 1 clause 5.5] may be deferred until the next scheduled surveillance audit [Part 2 clause 3.13].

3.13 Each successive surveillance audit shall include examination of at least two fire risk assessments carried out by any Validator newly appointed by the Organization since the completion of the preceding surveillance audit. At least one on-site visit to determine the competence of each new Validator shall be carried out.

3.14 The TPCB shall nominate a different representative sample of the organisations fire risk assessors, other than Validators, and carry out a desk-top audit of two FRAs completed by each selected assessor within the preceding 12 month period. The sample for each successive surveillance audit should, where practicable nominate fire risk assessors who have not previously been audited. In nominating these samples priority should be given to including those fire risk assessors who do not demonstrate the evidence of competency recognised in SP205-1 guidance note to 5.5.

3.15 The size of the sample should be no less than $0.6\sqrt{N}$ rounded to the nearest integer, where N is the total number of fire risk assessors, who are not Validators, employed by or contracted to the Organization. This sample should be representative of all operational locations and areas. Of those persons who are not Validators, at least one shall be selected for an on-site audit. If the result of the TPCBs audits do not confirm the results of the organizations internal audit further TPCB sampling may be required.

3.16 The TPCB audit shall include an audit of completed fire risk assessments. This shall include a review of documents and records and an on-site audit of the assessed premises. The on-site audit may comprise a witnessed assessment carried out during the course of a fire risk assessment by a fire risk assessor of the Certificated Organization. Alternatively, the on-site audit may involve a visit to premises for which a fire risk assessment was recently carried out by the Certificated Organization. The Certificated Organization must be able to demonstrate that the sample fire risk assessments are suitable and sufficient for compliance with their clients' Specification and, in particular, for compliance with the requirements of the relevant fire safety legislation.

3.17 Satisfactory audit by the TPCB of actual fire risk assessments undertaken by a sample of the organization's fire risk assessors should be an acceptable means of demonstrating competence of the named fire risk assessors involved.

3.18 The TPCB shall audit evidence of the fire risk assessor's knowledge of any products and systems specified.

3.19 The requirements for the use of the BAFE Scheme Logo in connection with this BAFE Scheme will be notified to the Certificated Organization upon successful completion of certification. TPCBs are

required to check compliance with these requirements as part of their audit of the Certificated Organization.

Guidance note to clause 3

TPCB should assess the quality of FRAs against Part 1 Appendix D and assess against the following descriptors:

A- The subject matter is recognised in the report and the level of supporting commentary is provided to allow the auditor to gain a full understanding of the related life safety issue in relation to the provision/s provided in the building.

B- The subject matter is recognised in the report and sufficient supporting commentary is provided to allow the auditor to make a reasoned judgment as to the level of life safety provision/s provided in the building.

C - The subject matter is recognised in the report but little or no qualifying supporting commentary is given. Typically, a tick in a box with no additional commentary for a question relating to 'fire warning arrangements', for example, would not be considered sufficient information for the auditor to assess whether the assessor has taken all relevant factors into consideration.

D - No recognition of the question given to the subject matter given in the report
FRAs falling in the descriptors C and D should be deemed non-compliant with this

4. UKAS AUDIT REQUIREMENTS

- 4.1 All (TPCB) are required to have UKAS Accreditation to SP205 under ISO/IEC 17065
- 4.2 UKAS shall assess each accredited TPCB annually.
- 4.3 All SP205 accreditation assessments, re-assessments and surveillance visits should either be:
 - a) carried out by an assessor, accompanied by a Technical Expert in fire risk assessment; or
 - b) carried out by an assessor with equivalent technical knowledge of the relevant technical standards being assessed on site.
- 4.4 In the case of 4.3a) above, the Technical Expert should be involved in both the TPCB head office assessments and TPCB client visits, including on-site witnessed assessments), and cover both initial certification and surveillance activities.

5. COMPETENCE OF THE THIRD PARTY CERTIFICATION BODY'S AUDITORS

- 5.1 This Clause complements the requirements specified within Clause 6.1.2 of ISO/IEC 17065.
- 5.2 TPCB personnel involved in the audit processes required by SP205 shall demonstrate that, in addition to the requirements specified within Clause 6.1 of ISO/IEC 17065, they have fire safety and fire risk assessment competence and also auditing/inspection competence in accordance with at least one of the methods specified in Figure 1 for Competence A and for Competence B.

Guidance Notes for Clause 5.2

1 It is acknowledged that, while there is no single recognised route to competence in fire risk assessment, there are organisations providing short training courses in fire risk assessment, and some of these are recognised in the fire safety profession as being of appropriate quality. Examples include those approved by the Institution of Fire Engineers. It is also recognised that some organizations operate their own in-house training schemes to develop the competence of their own employees.

2 It is considered that, while the competence requirements specified within Methods 1a-1c of Table 1 may be somewhat subjective, the evidence of competence is likely to include these types of training.

3 Examination evidence is important as it is a means of assessing whether the trainee actually benefited from the training courses. If this evidence is not available or it is not evident whether the examination was suitably rigorous, see 5.3.

5.3 Specifically, TPCB personnel involved in the audit process shall demonstrate that their competence adequately encompasses all general fire precautions and fire safety measures addressed within the scope of the fire risk assessment required by UK fire safety legislation¹

Figure 1 – Competence Requirements of Third Party Certification Body Personnel

Competence A Fire Safety and Fire Risk Assessment	Competence B Auditing/Inspection
<p>Method 1a Formal theoretical training courses, including examination(s) to assess understanding</p> <p>+ Onsite visits involving trainer(s) to provide practical training in fire safety design</p> <p>+ Examination(s) to assess overall understanding.</p>	<p>Method 2a Chartered Quality Institute (CQI) approved auditor training including the associated 5-day course</p> <p>+ Practical training relevant to inspecting buildings' fire precautions and auditing, or carrying out, the associated fire risk assessments.</p> <p>Note: The person must meet the requirements for the International Register of Certificated Auditors (IRCA), although registration is not necessary.</p>
<p>Method 1b 5 years of practical experience of fire safety design</p> <p>+ Examination to assess overall understanding</p>	<p>Method 2b 3 years of practical experience of inspecting buildings' fire precautions and auditing the associated fire risk assessments</p> <p>+ Successful attendance on the CQI auditor training course.</p>

¹ In England and Wales, the Regulatory Reform (Fire Safety) Order 2005; In Scotland, the Fire (Scotland) Act 2005 in conjunction with the Fire Safety (Scotland) Regulations 2006; In Northern Ireland, the Fire and Rescue Services (Northern Ireland) Order 2006 in conjunction with Fire Safety Regulations (Northern Ireland) 2010

Method 1c

Attending approved and relevant training courses

+ 3 years of practical experience of fire safety design.

Note1: Approved training courses will include examination(s) to assess understanding.

Note 2: It may also be possible to take into account other relevant qualifications (e.g. relevant HNC / D or NVQs) or listing under a relevant fire risk assessment registration or certification scheme (e.g. the scheme of a professional body or a UKAS accredited TPCB).

5.3 Interview of Audit Personnel

5.3.1 Where the training of audit personnel has not included, at any stage, formal examination acceptable to UKAS to support Competence A, an interview should form a part of the UKAS audit of named persons specified in Clause 5.2.

5.4 Competence Standard for TPCB Auditors

5.4.1 TPCB auditors shall have a broad understanding of all fire safety measures required by UK fire safety legislation.

Guidance Note for Clause 5.4.1

It is not expected that the depth of knowledge of TPCB auditors need be as great in all aspects as that of a competent fire risk assessor. Nevertheless, the TPCB auditors must possess, and maintain, an awareness of the matters specified in Appendices A-I of the Competence Standard for Fire Risk Assessors, which is produced by the Fire Risk Assessment Competency Council.

6. IN HOUSE COMPETENCIES OF THIRD PARTY CERTIFICATION BODIES

6.1 This Clause should be read in conjunction with Clause 6.1 of ISO/IEC 17065.

6.2 The TPCB shall have at least one named member of staff on their payroll (not necessarily full time) responsible for the technical aspects of the certification service and who meets the requirements of at least one of the methods 1a. 1c of Figure 1, Competence A of Clause 5.

6.3 The TPCB's named person(s) responsible for the technical aspects of the certification service shall neither be subcontracted nor a sub-contractor, and the TPCB shall provide evidence to UKAS to establish that the person(s) has an ongoing relationship with the TPCB and is sufficiently integrated to be able to act on behalf of the TPCB in matters relating to technical aspects of SP205.

Note 1: Some examples of these technical aspects are included within Clause 6.7 and Clause 6.8.

Note 2: The person undertaking this role may be the same as that undertaking the role described in Clause 6.4.

- 6.4 The TPCB shall have at least one named member of staff on their payroll (not necessarily full time) responsible for the auditing and inspection aspects of the certification service relating to this Scheme and who meets the requirements of at least one of the categories 2a . 2b of Figure 1, Competence B of Clause 5.
- 6.5 The TPCB's named person(s) responsible for the auditing and inspection aspects of the certification service shall neither be subcontracted nor a sub-contractor and the TPCB shall provide evidence to UKAS to establish that the person(s) has an ongoing relationship with the TPCB and is sufficiently integrated to be able to act on behalf of the TPCB in matters relating to the quality and consistency of audits and inspections undertaken in accordance with the requirements of SP205.
- Note 1:** The person undertaking this role may be the same as that undertaking the role described in Clause 6.3.
- Note 2:** Some examples of the aspects described in Clause 6.5 are included within Clause 6.8 and Clause 6.9.
- 6.6 The TPCB shall ensure that auditors and audit teams are competent to carry out the audit and that the named members(s) of staff ensure and confirm that the results of auditing/inspection are of a similar standard irrespective of who the TPCB has used to undertake the work.
- 6.7 Where the TPCB's named member(s) of staff cannot provide evidence of examination acceptable to UKAS to confirm their own competence to carry out the task in Clause 6.6, an interview shall form part of the UKAS assessment of the named person(s) specified in 6.2 and 6.4.
- 6.8 Where there are likely to be issues raised during audits of certificated companies by the TPCB, particularly relating to audits of fire risk assessments where subjective judgements are necessary to determine whether an issue is serious or only of minor concern, the final decision shall be made by the TPCB.
- 6.9 Where there are likely to be complaints received from time to time that will need to be investigated, the TPCB's named member(s) of staff shall make use of their competence to manage the investigation and produce relevant conclusions.
- 6.10 The TPCB shall have in place an effective means for providing back up for the named member(s) of staff specified in Clause 6.2 and 6.4 when the member(s) of staff are unavailable e.g. due to holidays or illness.
- 6.11 The TPCB shall provide UKAS with the details of their named member(s) of staff, required by Clause 6.2 and 6.4 and shall provide written notification to UKAS of changes within 4 weeks of any change.

Amendment Record				
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SP205 Version 0	Feb 2012	T Maskens	T Maskens	
Amendment Number	Description of Amendment			Approved By
Version 1 (Jul 2012)	Section 3 split between Certification and Surveillance audits			T Maskens
	Section 3 Sampling requirements added to cover larger Fire Risk Assessment organisations			T Maskens
Version 2 (Dec 2012)	Clauses 3.8 & 3.15 rounding clarified			T Maskens
	Clauses 3.12 & 3.13 Wording clarified			T Maskens
	Clause 3 Guidance note added giving assessment descriptors.			T Maskens
Version 3 (July 2015)	References to BS EN 45011 deleted			T Maskens
	person with authority to sign off changed to validator			T Maskens