



## **Fire Protection Industry Scheme Reference SP101**

### **Competency of Portable Fire Extinguisher Organisations and Technicians**

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### **Notes to all users of this document:**

**Note 1:** *The copying of this document is not permitted without the express permission of BAFE except as permitted by Copyright law.*

**Note 2:** *Use of the BAFE Logo in relation to this BAFE Scheme is restricted to those organisations registered to operate SP101 Part 1 and is subject to the rules that from time to time may be issued by BAFE.*

## 1 FOREWORD

- 1.1 This version of the Scheme document was published in April 2017 for use by organisations and their technicians involved with the provision and maintenance of Portable Fire Extinguishers, and by Third Party Certification Bodies (TPCBs) and other Organisations involved in the certification process.
- 1.2 An Organisation will be eligible for formal certification by a TPCB and for BAFF Registration and BAFF Listing when they have:
- a) been successfully assessed and certificated by a TPCB as meeting the Management Systems requirements of this Scheme, and
  - b) all of their portable fire extinguisher technicians have been successfully assessed by BAFF's Approved Assessors and have been registered by BAFF.
- 1.3 A TPCB is eligible to operate this BAFF scheme when:
- a) The TPCB has received UKAS accreditation to either BS EN ISO/IEC 17021 and/or BS EN ISO/IEC 17065, and
  - b) The TPCB has concluded a Memorandum of Understanding (MOU) with BAFF.
- 1.4 Additional information relating to the operation of this BAFF Scheme can be found in BAFF Scheme document SP101 Part 2 Accreditation Requirements and Guidance.

## 2 INTRODUCTION

- 2.1 This BAFF Scheme has been developed to permit organisations and their technicians involved with the selection, provision/commissioning and maintenance and recharge of Portable Fire Extinguishers to become third party certificated and listed as recognition of their competence to undertake this type of work. By so doing, the Certificates of Inspection issued by BAFF Registered Organisations, on completion of their work, should give the Client, insurance companies and enforcing authorities e.g. the Fire Authority and Building Control, confidence that the work has been correctly undertaken. Relevant matters relating to the safety of occupants of the buildings will have been taken into account.
- 2.2 The Scheme enables TPCBs to certificate organisations for compliance with the Management Systems requirements of the scheme detailed in Clause 8.
- 2.3 The Scheme recognises the importance of providing competent services in relation to Portable Fire Extinguishers.
- 2.4 This BAFF Scheme is designed to encompass different types and scales of Organisations and the different relationships that may exist with the Client. To this end, the Scheme should accommodate a range that includes but is not limited to:
- The sole trader providing the portable fire extinguisher service directly to the Client
  - The Organisation providing the portable fire extinguisher service to the Client and directly employing one or more technicians, and
  - Such Organisations can be specialist fire extinguisher maintenance companies, general emergency equipment service providers through to facilities management companies.

- 2.5 This BAFE Scheme document specifies requirements to be met by BAFE Registered Organisations (*a term that is defined in Clause 6*) and also includes guidance notes. These are shown with a grey background to clearly distinguish them from the scheme requirements. The guidance notes are advisory and are included to assist those persons needing further advice on the application and implementation of the Scheme.
- 2.6 Additional information relating to this Scheme can be found in BAFE Scheme document SP101 Part 2 entitled "Accreditation Requirements and Guidance" for the assistance of third party certification bodies, and organisations seeking certification or already UKAS accredited to SP101.
- 2.7 From time to time amendments to this Scheme will be published. These will be in the form of Technical Notes that can be downloaded from the BAFE website.

**Note:** *This document should be read in conjunction with the BAFE Fire Protection Industry Scheme SP101 Part 2 entitled "Accreditation Requirements and Guidance" document.*

### 3 SCOPE

Compliance to this BAFE Scheme enables Organisations and Technicians to prove their competency in the selection, positioning/installation, commissioning, maintenance and recharge of Portable Fire Extinguishers.

The Scheme does not cover:-

- the refurbishment of fire extinguisher body shells,
- the refilling of carbon dioxide and clean agent extinguishers and factory sealed stored pressure extinguishers of other types, and
- portable fire extinguishers which fall outside of the scope of BS5306-3.

**Note:** *This list is not exhaustive.*

### 4 STANDARDS

The following reference documents are indispensable for the application of this document. For undated references the latest edition of the document (including amendments) applies.

BS5306-3 Fire extinguishing installations and equipment on premises - Commissioning and maintenance of portable fire extinguishers - Code of practice

BS5306-8 Fire extinguishing installations and equipment on premises - Selection and positioning of portable fire extinguishers - Code of practice

BS5306-9 Fire extinguishing installations and equipment on premises - Recharging of portable fire extinguishers - Code of practice

BS EN ISO 9001 Quality management systems requirements

## 5 OBJECTIVES

To provide end users continued assurance they are receiving a service by a competent Technician.

The prime objectives are to ensure the competence of portable fire extinguisher Technicians thus providing the highest quality service to the end user. Benefits include:

- Third Party service certification
- Fully competent Technicians
- Consistent level of competence and service
- Improved specifier awareness
- Increased customer satisfaction
- Recognised Industry approved benchmark
- Provides additional differentiation for quality companies/firms
- Confidence through ongoing monitoring
- Enables demonstration of due diligence

The Scheme is based on Technicians proving their competence through an approved written and practical examination ongoing refresher training and through field assessments in order to gain Registered status and be awarded a BAFE Diploma and ID Badge.

## 6 DEFINITIONS

For the purposes of this BAFE Scheme, the definitions given in BS5306 Parts 3, 8 & 9 shall apply together with the following:

### 6.1 **BAFE**

British Approvals for Fire Equipment

The body that owns the SP101 Scheme and is responsible for its maintenance.

### 6.2 **BAFE Listed Organisation**

In the context of this BAFE Scheme, a company or body that has been listed by BAFE as competent to undertake Portable Fire Extinguisher servicing work.

### 6.3 **BAFE Registered Organisation**

A Company or body that has been awarded a certificate by a UKAS accredited Third Party Certification Body (TPCB) and that has been listed by BAFE following the successful assessment of their scope of work relevant to this BAFE Scheme. To remain registered, the organisation will continue to demonstrate compliance with this BAFE Scheme during subsequent surveillance assessments by the TPCB and have all their Technicians re-assessed by a BAFE Approved Assessor every 3 years.

### 6.4 **Client**

That person or organisation authorising the maintenance service.

### 6.5 **Company**

An individual, body corporate, or body incorporation which is seeking registration under this Quality Specification.

## 6.6 Technician

Any person in the organisation involved with the selection, positioning/installation, commissioning, maintenance and recharge of Portable Fire Extinguishers whether in the field or workshop, even where infrequent or not as their primary role.

## 6.7 Third Party Certification Body (TPCB)

An organisation that has been accredited by UKAS as competent to assess an organisation's competence to undertake work in accordance with this Scheme and to subsequently undertake periodic surveillance assessments of the ongoing competence of the organisation once it has been certificated. The TPCB is required to have UKAS accreditation to BS EN ISO/IEC 17021 and/or BS EN ISO/IEC 17065 for the scope of this BAFF Scheme and to be licensed by BAFF.

## 6.8 UKAS

United Kingdom Accreditation Service.

# 7 SCHEME REQUIREMENTS

## Commentary

To achieve and maintain Third Party Certification there are two possible routes.

As a general principle, the ISO 9001 route may suit larger organisations, whilst the certificated Management System route may suit smaller organisations.

## 7.1 General

7.1.1 Requirements for this BAFF Scheme comprise two elements:

- a) The Organisation's Management System, and
- b) Technician Competency.

7.1.2 The requirements of Clause **8 Management Systems** and Clause **12 Technician Competency** are both mandatory.

7.1.3 Before making an application to join this BAFF Scheme, the Organisation shall have been assessed and certificated by an approved UKAS accredited TPCB on BAFF's List, and have the following in their scope of certification:

ISO 9001 incorporating BAFF Scheme SP101, or

A Management System in accordance with BAFF Scheme SP101, Clause **8**.

Additionally the scope shall include a statement of the geographic areas covered and the number of technicians employed.

## 7.2 Scheme Registration (Stage 1)

7.2.1 A prerequisite for registration to this BAFF Scheme is that the Organisation will operate an approved ISO 9001 Quality Management System or a Management System to the requirements of Clause **8** which is certificated by a TPCB.

7.2.2 The TPCB Certification shall meet the requirements of BAFF Scheme SP101 and is an essential requirement of the Scheme.

- 7.2.3 On application to join the Scheme, Organisations are required to appoint a primary contact to provide liaison with BAFE. If this primary contact changes BAFE shall be notified.
- 7.2.4 The organisation shall list all its technicians at application stage and they shall become BAFE Registered within 6 months (of application/joining the Scheme). An Organisation shall have a minimum of one directly employed and BAFE Registered Technician at all times; failure to do so will, at BAFE's discretion, lead to immediate suspension of the Organisation.

**Guidance Note for Clause 7.2.4**

*For a new application to succeed the number of Technicians listed should normally be at least the minimum number given in the scope of the TPCB certificate.*

*Technician numbers will be monitored by both BAFE and the TPCB to ensure all Technicians are listed.*

## 8 ISO9001/MANAGEMENT SYSTEMS REQUIREMENTS

BAFE Registered Organisations operating to this BAFE Scheme shall operate an effective management system covering the commissioning, servicing and recharge of Portable Fire Extinguishers. As a minimum, the management system shall document the following:

**- Organisational roles, responsibilities and authorities**

- a) The management structure of the organisation,

**Guidance Note for Clause 8. a)**

*This could take the form of an organisation diagram.*

- b) The assignment of relevant roles and responsibilities of key personnel and that they are communicated and understood within the Organisation,

**- Quality objectives and planning to achieve them**

- c) Objectives at relevant levels and processes needed to meet customer requirements, which should include:
1. the level of achievement for the execution of periodic contractual maintenance visits, call outs, etc.,
  2. a schedule of work to meet customer requirements; together with how call outs will be met,
  3. an assessment of health & safety for the type of work carried out and appropriate ways to minimise risk, and
  4. determination of environmental requirements.

**Guidance Note for Clauses 8.c)1. and 8.c)2.**

*This could take the form of a diary or work schedule of how customer requirements are expected to be achieved; together with support for call outs, etc.*

**Guidance Note for Clause 8.c)3.**

*Where there are fewer than five employees the health & safety policy does not need to be written down.*

**Guidance Note for Clause 8.c)4.**

*As a minimum, a waste carrier licence is required and waste transfer information provided to customers.*

- **Resources**

- d) The determination and assignment of adequate resources (internal and external) to meet the objectives in 8.c),

**Guidance Note for Clause 8.d)**

*This could take the form of a diary or work allocation schedule for personnel or use of sub-contractors.*

- e) The people and infrastructure (buildings, equipment, transportation, information and communication technology, etc.) and environment to meet the objectives in Clause 8.c),
- f) Suitable monitoring and measuring resources (including: calibrated equipment appropriate to the task required); together with appropriate maintenance to ensure continuing fitness for their purpose and the basis used for calibration or verification,
- g) Availability of British Standards and publications, including manufacturers' technical literature, trade organisation safety notices and product recalls issued by regulatory/trade bodies and product manufacturers, etc. relevant to roles and responsibilities of key personnel,

**Guidance Note for Clause 8.g)**

*As a minimum, an up-to-date copy of BS5306-3, BS5306-8 and BS5306-9 should be available to technicians. A method of keeping up-to-date with safety/advisory notices and product recalls could be through membership of an appropriate trade association.*

- **Competence**

- h) The determination of necessary competence of key personnel to meet the objectives in Clause 8.c), and the requirements of BS5306-3 (relevant annex), BS5306-8, BS5306-9 and specifically clause 12.2.1 of this scheme document.

**Guidance Note for Clause 8.h)**

*BS5306-3 – (relevant annex) will require retention of a certificate to demonstrate successful completion of an examination administered by an independent examination body; together with refresher certificates at 3 year intervals.*

- **Documented information**

- i) The determination of necessary documented information to meet the objectives in Clause 8.c),

**Note:** Documented information should include:

1. The roles and responsibilities of key personnel,
2. The maintenance of a register of approved suppliers and sub-contractors (where sub-contractors are permitted by this BAFE Scheme),
3. A register of all instruments and equipment used for measurement, inspection and testing purposes and, where appropriate, up to date records of calibration,
4. Competency records for all key personnel (including training records, qualifications and certificates, in accordance with Clause 8.h)),
5. A register of relevant British Standards and publications, including manufacturers' technical literature, trade organisation safety notices etc.,
6. Records of complaints and nonconforming products/services,

7. Records of internal audits,
8. Records to provide evidence of corrective actions for complaints, nonconforming products/services,
9. Records of communication of safety/advisory notices and product recalls issued by regulatory/trade bodies and product manufacturers, etc.,
10. Records of original manufacturer media/components used; together with declarations of conformity for verified alternatives used for recharging in accordance with BS5306-9,
11. Records of health & safety and environmental information for substances used (e.g. material safety data sheets/COSHH (Control Of Substances Hazardous to Health) sheets for media etc.),

**Guidance Note for Clause 8.i)11.**

*Material safety data sheets can be obtained from the supplier of extinguishing media.*

12. Records of waste transfer information for materials removed from customer sites; together with an appropriate waste carrier licence,
13. Evidence of adequate insurance cover for the processes relevant to the Scheme, and

**Note:** *Employers Liability, and Public and Products liability should be at a level appropriate to the risk given the type and level of business.*

14. A Health & Safety Policy (where applicable in accordance with Clause 8.c)

**Note:** *Records should be retained for a minimum of 3 years.*

**- Operational planning and control**

- j) Procedures to cover the satisfactory initiation, execution, supervision and completion of the processes relevant to the Scheme and appropriate to meet customer requirements,

**Note:** *Procedures should include:*

1. *health & safety information on accident reporting and appropriate first aid provision; fire precautions and emergency procedures; PPE (personal protective equipment) requirements; suitable and sufficient risk assessment; arrangements for manual handling operations; asbestos awareness; safe use of materials under COSHH (Control Of Substances Hazardous to Health) etc.,*
2. *suitable measures for pollution control (including correct discharge of products subject to COSHH and/or environmental pollutant); duty of care obligations for substances subject to environmental control (including F-Gas); and where applicable, procedures for emergency preparedness, and*
3. *appropriate transfer, storage and disposal of waste from processes relevant to the Scheme (including waste transfer notes, waste carrier licence).*

**Guidance Note for Clause 8. j)**

*Procedures could take the form of a method statement and risk assessment.*

**- Requirements for products and services**

- k) Suitable communication with customers to provide:
  1. information relating to products and services (including provision of written report to customer, a record of work carried out in the customer's fire logbook (where

- available) and completion of maintenance labels in accordance with BS5306-3; together with identification of verified alternative media used for recharging on maintenance labels and in the written report in accordance with BS5306-9),
2. effective handling of enquiries and contracts (including changes),
  3. feedback with regard to complaints or nonconforming products/services, and
  4. effective handling of customer property.

**Guidance Note for Clause 8.k)**

*These requirements could be included within your terms and conditions.*

- **Control of externally provided processes, products and services** including Sub-Contracting
  - l) Procedures to cover the satisfactory initiation, execution, supervision and completion of the processes relevant to the Scheme by the use of approved suppliers and sub-contractors (where sub-contractors are permitted by this Scheme) and appropriate to meet customer requirements.

**Guidance Note for Clause 8.l)**

*Procedures could take the form of a method statement.*

- m) Procedures to cover any portable fire extinguisher service activity that is sub-contracted and which shall only be sub-contracted to another BAFE SP101 Registered Organisation except where the special conditions in **Annex C** apply.
- n) Procedures to cover that a sub-contractor operating under Clause 8.m) shall not be permitted to claim they are BAFE Registered or Listed, nor are they permitted to use the BAFE name, BAFE Mark or BAFE Scheme Logos.

**Note:** *Third Party Certification Bodies (TPCB) are required to assess this Clause and seek evidence of compliance where it applies.*

**Commentary**

The effect of Clause 8.m) is to allow the use of non registered sub-contractors in a specified location (e.g. the Isle of Man) and under controlled conditions; so that BAFE Registered Organisations remain within the SP101 Scheme rules.

The sub-contractor must be appropriately supervised and a comprehensive system of appraisal and review established that is fully auditable by a Third Party Certification Body (TPCB).

- **Internal Audit**

- o) The internal audit shall be carried out at least annually and cover all Technicians carrying out portable fire extinguisher servicing work irrespective of whether this is regularly or occasionally.

**Guidance Notes for Clause 8.o)**

1. *For Organisations employing up to 3 Technicians the BAFE/TPCB Assessment will be accepted as the internal audit.*
2. *Technicians should not carry out field based audits of their own work. Where this is not possible e.g. due to employee numbers, TPCB audits/assessments may, with the approval of the Third Party Certification Body, substitute for this.*

- **Nonconformity and corrective action**

- p) Procedures to deal with complaints and nonconforming products/services; together with corrective action to control and correct it. Determination of improvements to products/services to meet customer requirements, enhance customer satisfaction and address future needs and expectations.

**Guidance Note for Clause 8.p)**

*Procedures could take the form of a written complaints and corrective action policy or may be incorporated into a method statement.*

**TPCB Note:** *For an existing BAFE Registered Organisation the TPCB should compare training/personnel records with BAFE's listing of Registered Technicians.*

## 9 APPLICATION FOR THIRD PARTY CERTIFICATION

- 9.1 An Organisation wishing to be assessed to the requirements of this BAFE Scheme shall make a written application to a TPCB.
- 9.2. The Applicant Organisation shall demonstrate to the TPCB that they have the appropriate competence to undertake the scope of work for which they are applying.
- 9.3 An Organisation that is currently trading shall, as part of their demonstration of competence, make available for inspection sufficient work, completed and in progress, representative of the work to which the application relates.
- 9.4 The TPCB shall have successfully assessed sample portable fire extinguisher servicing carried out by the applicant Organisation's Technicians prior to granting certification.
- 9.5 An Applicant Organisation shall permit representatives of the TPCB to have access to the Organisation's contracting offices in order to examine and assess equipment, documentation and business processes.
- 9.6 The extent of the assessment shall be prescribed by the TPCB having regard to the range, scale and geographical spread and complexity of portable fire extinguisher servicing undertaken by the Applicant Organisation.
- 9.7 A separate application shall be made for each operational location involved in certificating work. While each operational location shall be separately assessed, certification can be at the Organisation Corporate level or at Operational location level.
- 9.8 Where an Organisation applies for certification at the Organisation Corporate level a single application is permissible but the application must identify which operational locations are covered by the application.
- 9.9 An application for certification at the Organisation Corporate level shall include ALL locations and identify all Trading Names that undertake any portable fire extinguisher servicing activity covered by the scope of this BAFE Scheme.

**Notes:**

1. *Certification at the Organisation Corporate level is only permitted when all operational locations are satisfactorily assessed by the TPCB.*

2. *The certificate of approval issued by the TPCB shall clearly indicate which operational locations are covered by the Corporate level certification.*

**Guidance Note for Clause 9.9**

*This requirement is necessary to prevent any confusion arising regarding the organisation's locations from which certificated work can be obtained.*

3. *Corporate level certification may be withdrawn if the work of one operational location is seen to be consistently sub-standard. Where this is the case the organisation shall not advertise its services as a BAFE Registered Organisation complying with the requirements of this BAFE Scheme.*

## 10 TPCB CERTIFICATION ASSESSMENT

- 10.1 For the purposes of Certification Assessment the applicant Organisation's operational location(s) shall be those recorded by the Organisation at the time of application for certification under this Scheme.
- 10.2. The Organisation shall have available at all their operational locations(s) the following items for assessment by the TPCB's representatives:
  1. system standards, relevant legislation,
  2. test instrumentation (when relevant) including records of assessment of accuracy,
  3. tools (when relevant) together with their operational handbooks etc.,
  4. a list of portable fire extinguisher servicing locations in progress and those completed during the previous 3 months,
  5. any other items that are relevant to the process and that the TPCB reasonably requires,
  6. evidence that adequate insurance cover is held for the work undertaken, and
  7. a list of any complaints received on the standard and performance of work relating to portable fire extinguisher servicing together with details of the actions taken to resolve the complaints.
- 10.3. Participating Organisations shall demonstrate to TPCB Assessors that, overall, they have in place suitable policies, procedures, audits, etc. to ensure that personnel are competent for the work they undertake.

**Guidance Note for Clause 10.3**

*Training records, audit reports, CVs, and personnel files, are examples of records that may be taken into account by a TPCB when assessing an Organisation.*

- 10.4 The Organisation shall be fully prepared for the assessment by the TPCB's representatives and shall have available all the necessary materials and personnel relevant to the assessment process.
- 10.5. The Organisation shall provide facilities and shall arrange access for the assessment and provide transport to premises where work is selected for assessment by the TPCB.
- 10.6 The Certification Assessment shall include an assessment of office administrative systems, field based assessment of current servicing work and field based assessment of servicing work completed within the preceding 3 months.

**Guidance Notes for Clause 10.6**

1. *The purpose of these assessments is to verify the portable fire extinguisher servicing processes and procedures have been correctly carried out in full.*

2. *The exact number and the split between current work and prior work carried out will be determined by the TPCB based on their findings and risk management techniques.*

## 11. TPCB ASSESSMENT DECISION

- 11.1 On completion of the Certification Assessment by the representatives of the TPCB, the Organisation shall receive an assessment report recording any non-compliance and shall agree the time scale for the completion of remedial action.
- 11.2 The Organisation shall subsequently be advised by the TPCB of its decision as to whether or not certification is to be granted.
- 11.3 Where there is a dispute between the Organisation and the TPCB relating to certification, the Organisation has the right to invoke the TPCB's appeals procedure established under the requirements of BS EN ISO/IEC 17021 and/or BS EN ISO/IEC 17065.

## 12. TECHNICIAN COMPETENCY (STAGE 2)

*Note: To be commenced after the successful completion of Stage 1.*

### 12.1 General

12.1.1 All Technicians shall be registered.

12.1.2 Examination & Refresher Training are mandatory requirements. See Annex D.

### 12.2 New Applicant Technicians

#### Training

Training comprises two parts:

- a) Written/practical BAFE recognised examination including 3 yearly refresher training, if appropriate, and
- b) On-the-job assessment.

*Note: Evidence of training is required.*

12.2.1 For each Applicant Technician to be accepted onto the Scheme there shall be evidence of them having:

- initial training described in BS5306-3 (relevant annex) and passed the initial examination. Also see Annex D.
- demonstrated knowledge of extended servicing as defined in BS5306-3, namely
  - Refill/recharge Cartridge operated extinguisher
  - Refill/recharge Stored Pressure extinguisher utilising nitrogen/air bottle

12.2.2 Where appropriate, a valid Refresher Training Certificate shall be supplied together with an auditable trail of the Applicant Technician having had the 3 yearly refresher training going back over time.

12.2.3 Where, in exceptional cases, there is not an auditable continuous trail of 3 yearly Refresher Training Certificates, it will be at BAFE's discretion as to whether the

Technician's application will be accepted or whether they have to retake the full initial examination.

12.2.4 New apprentice Technicians joining an existing BAFE Registered Organisation are to be notified to BAFE within 3 months from date of joining and they will need to achieve registration within 12 months from the start of their employment (or within 6 months from passing their exam).

12.2.5 Previously Registered Technicians joining a new BAFE Registered Organisation are to be notified to BAFE within 3 months from date of joining.

**Note:**

*BAFE Registered ID badges are not issued until the Technician becomes Registered.*

### 12.3 Refresher Training

To comply with the recommendations of BS5306-3, evidence will be required that all Technicians have undertaken refresher training acceptable to the TPCB within the last three years.

**TPCB Note:** Determination of acceptability by the TPCB should be based on the requirements of BS5306-3 (relevant annex) and a view on the competency of the provider.

## 13 TECHNICIAN ASSESSMENT

13.1 Reasonable requests from a BAFE Approved Assessor to carry out a Technician assessment shall be granted; failure to do so on two occasions will, at BAFE's discretion, lead to suspension of the Organisation.

13.2 A Technician shall be required to demonstrate full competence to BS5306 Parts 3, 8 & 9. In the event of technician being unable to physically demonstrate to the BAFE Approved Assessor on the day any key requirement of the relevant Standards additional methods of demonstration of competence, including questioning, shall be applied.

### **Guidance Notes to Clause 13.**

1. *The Organisation should actively involve the Technician in the process of assessment, so that each person:*
  - *has ownership of how they are assessed,*
  - *"buy into" the necessary training,*
  - *understands clearly what they need to do to improve and become registered, and*
  - *feels able to comment on how they have been assessed.*
2. *The BAFE Approved Assessor will measure the Technician's performance against agreed BAFE criteria covering the following headings taken from the Scheme details:*
3. *Planning and organisation,*
4. *Maintaining positive working relationships with colleagues and customers,*
5. *Servicing fire protection equipment*
6. *Applying safe working practice, including recognised training covering Health and Safety and Asbestos Awareness*
7. *Maintaining and caring for tools and associated equipment,*
8. *Identifying and interpreting fire extinguisher protection issues affecting customers and implementing solutions,*
9. *Reviewing fire protection provision and establishing changing customer needs,*
10. *Recommending opportunities for improving services to customers,*
11. *Recommending fire extinguisher equipment to cover fire hazards, and*

12. *Preparing and restoring work sites prior to and following, servicing of fire protection equipment.*
13. *Normally BAFE Approved Assessors will expect to see all aspects of the above during their assessment visit. However it is recognised that some roles (e.g. Workshop Technician, senior overseeing manager) within an organisation may not cover all aspects in the above list. It will be at the BAFE Assessor's discretion as to whether such individuals can be satisfactorily assessed to comply with BAFE Registration but as a minimum they must be able to demonstrate compliance with BS5306-3.*
14. *All BAFE Approved Assessors will have extensive experience of portable fire extinguisher selection, positioning, commissioning, maintenance, service procedures and requirements. The BAFE Assessors are independent of any commercial activity in this business segment.*
15. *All information provided during the assessment/verification process will be treated in strictest confidence. Whilst this information will be shared with the Organisation's Third Party Certification Body (TPCB) to aid assessment planning and scheme administration it will remain confidential between these two parties.*

### 13.3 Competency Portfolio

#### **Guidance Notes to Clause 13.3**

1. *The BAFE Registered Competency Portfolio contains a "Guide to Obtaining the BAFE Registered Service Technicians qualification", the evidence of assessment required, the assessment process, planning and achievement.*
2. *The BAFE Approved Assessor will provide guidance on what evidence should be provided; how this will be collated; how the assessment process will be carried out and agree an assessment programme to achieve prompt successful verification. Ideally this programme should not exceed a maximum of 3 months.*
3. *It is the responsibility of both the Organisation and Technician to ensure that following successful verification of the Technician's Competency Portfolio, that the BAFE Registered Competency Portfolio is maintained up to date with records of ongoing assessments, quality checks and training records.*

**Note:** *The assessment process will cover the details as set out in the BAFE Registered Competency Portfolio.*

13.3.1 The initial contact will cover the following:

- a) Agree assessment timetable which should not exceed 12 weeks,
- b) Preparation of an action plan,
- c) How and what evidence is required,
- d) Commence the assessment process, and
- e) The study of the candidate's BAFE Registered Competency Portfolio.

**Note:** *It is essential that all candidates co-operate with their nominated BAFE Approved Assessor, who will advise the necessary actions required.*

13.3.2 Items to be covered during visit and any subsequent visits:

- a) Study and check evidence prepared for inclusion in the candidates' BAFE Registered Competency Portfolio,
- b) Complete successful assessments for each candidate,
- c) Undertake field assessments,
- d) Agree any continuing assessments,
- e) Complete assessment feedback records,
- f) Sign off the BAFE Registered Competency Portfolio, and
- g) Notify the BAFE Scheme Administrator that assessment has been completed.

13.3.3 Once the BAFE Assessor is satisfied that the Competency Portfolio has been completed to the required standard (and they will verify that this is the case) and has notified the BAFE

Scheme Administrator that the process has been completed, the BAFE Diploma can be awarded.

**Note:** Chargeable field visits may become necessary through a Technician's failure to meet the required level of competence during the assessment process; this action to be taken at the discretion of the BAFE Approved Assessor and with prior approval of the Organisation.

13.3.4 In the event of a Technician not completing the BAFE Registered Competency Portfolio to the required standard the Technician will be given additional time to correct and/or provide additional evidence/information as requested by the BAFE Approved Assessor. Failure to meet the requirements in a reasonable time frame (usually 1 month) may at the discretion of BAFE lead to the de-listing of the person or the BAFE Registered Organisation concerned.

#### 13.4 The Technician Field Assessment

13.4.1 The nominated BAFE Approved Assessor will carry out the field assessment activity which will typically comprise an initial group meeting with candidates and the employer's co-ordinator.

13.4.2 Certain assessments will take the form of field accompaniment with individual candidates.

13.4.3 Each Technician will receive at least one field assessment over a three year cycle of registration to the Scheme.

#### 13.5 Registered (existing) Technician

13.5.1 Refresher certificates

All Registered Technicians shall undertake 3 yearly refresher training acceptable to BAFE and hold a valid Refresher Training Certificate.

13.5.2 Registered Technicians shall be re-audited 3 yearly by a BAFE Approved Assessor.

13.5.3 Where a Registered Technician changes employment to another BAFE Registered Organisation a fast track re-assessment procedure shall be followed:

- The new employing Organisation shall make application to BAFE and provide a paperwork trail, (including details of the Technician's Identity, former employer, refresher training programme),
- The Technician's BAFE audit trail shall be continuous, without a gap.

**Note:** Where there is a record of continuous employment, or at BAFE's discretion a gap of not more than six months has elapsed, the Technician will not have to complete a new Competency Portfolio.

- The Technician's registered status shall be confirmed to the new employing Organisation by BAFE,
- The Technician's Diploma shall be re-issued to show the new employing Organisation but will retain its original expiry date, and
- The Technician's Identity Badge shall be returned to BAFE for reissue to the new employing Organisation.

**Note:** BAFE Registered Technicians joining a Non BAFE Registered Organisation lose their BAFE Registration status immediately at that time.

## 14 CERTIFICATION/REGISTRATION OF AN ORGANISATION

- 14.1 An Organisation shall not advertise its services as a BAFE Registered Organisation complying with the requirements of this BAFE Scheme until it has been successfully assessed by the TPCB as complying with the requirements of this Scheme and is in possession of a current TPCB Certificate and a BAFE registration certificate.
- 14.2 The Certificate issued by the TPCB will specify compliance with the requirements of SP101 and, in particular, Clause 8. The TPCB Certificate will remain the property of the TPCB and shall be returned, upon request, on cessation of certification for whatever reason.
- 14.3 The Certificated Organisation shall, at all reasonable times, make available its TPCB Certificate to a representative of the TPCB.
- 14.4 On being granted a TPCB Certificate, the BAFE Registered Organisation undertakes to continue to comply with the requirements of this Scheme for the period covered by the Certificate.
- 14.5 A BAFE Registered Organisation shall be eligible to remain Registered provided the Organisation continues to be engaged in portable fire extinguisher services and continues to comply with all the requirements of this Scheme and those of the TPCB.

**Note:** The Certificated Organisation is responsible for renewing their ISO 9001 or Management System Certification with their TPCB.

## 15 SURVEILLANCE ASSESSMENTS

- 15.1 BAFE Registered Organisations shall ensure that their certificated ISO9001/QMS is assessed annually by their TPCB which shall include a retrospective look at Technicians' work in the field.

**Notes:**

1. Technicians will be assessed 3 yearly by a BAFE Approved Assessor. The results of these assessments will be made available to the relevant TPCB on a confidential basis to aid their assessment planning.
  2. The BAFE Registered Organisation is responsible for ensuring that the TPCB Assessment is carried out.
  3. Where Surveillance Assessments are not carried out as required by the TPCB, this may lead to Suspension of Certification and/or Withdrawal of BAFE Registration.
- 15.2 Continued Certification shall be conditional upon the results of Surveillance Assessments which are undertaken by the TPCB to verify that the standard of work carried out by the BAFE Registered Organisation continues to meet the requirements of this BAFE Scheme, and that any non-compliances are satisfactorily cleared within the agreed time period.

### **Guidance Notes for Clause 15.2**

1. It is recognised that the stated objectives for Surveillance Assessments can be effectively achieved by means of sampling techniques providing the TPCB effectively manages the sampling frequency.

2. *The frequency and duration of Surveillance Assessments will be determined by the TPCB and will depend upon the individual Organisation's situation and circumstances.*
3. *The first Surveillance Assessment will take place at each certificated location not more than one year after the Certification Assessment. The second and subsequent Surveillance Assessments will take place at intervals determined by the TPCB and at intervals no greater than twelve months.*
4. *Surveillance Assessments may have to be split into several shorter visits where the fire extinguisher servicing work covered by the BAFE Registered Organisation's scope of certification is not all available at the time of the planned Surveillance Assessment.*
5. *Based on the findings of the assessment the TPCB may require the period before the next Surveillance Assessment to be reduced.*
6. *The Surveillance Assessment should include sufficient portable fire extinguisher services to permit the TPCB to assess the range of work covered by the BAFE Registered Organisation.*
7. *The duration of the Surveillance Assessment should be sufficient to assess the portable fire extinguisher services covered by the BAFE Registered Organisation's scope of certification and all the management system documentation and records covered within Clause 8 Management Systems.*
8. *Actual Real Time versus Retrospective Assessments will be at the discretion of the TPCB based on their risk profiling of the BAFE Registered Organisation.*
9. *While assessment planning, the TPCB will take into account when the last BAFE Actual Real Time Assessment was carried out. This should lead to an emphasis on the TPCB carrying out more Retrospective Assessments.*
10. *Portable fire extinguisher service Technicians should be assessed on a rolling programme.*

**TPCB Guidance Note:**

*Surveillance assessments should be determined using the sampling regime in SP101 Part 2 section 4 with a bias towards retrospective field based assessments. The regime reflects different sizes of organisation by using the number of technicians employed to determine the minimum number of field based assessments carried out.*

*They should be carried out in such a way as to ensure different technicians are assessed in successive years and they need to reflect the operational locations and areas covered by the organisation*

- 15.3 Where, during a Surveillance Assessment, the TPCB discovers adverse trends, a special assessment visit shall be carried out by the TPCB normally within 1 month from the date of the routine Surveillance Assessment, to verify that satisfactory corrective and preventive action has been taken by the BAFE Registered Organisation to ensure that the standard of work carried out meets the Scheme requirements.
- 15.4 Where, during a Surveillance Assessment, the TPCB finds that the overall standard of work falls below the Scheme requirements or where the Organisation has not satisfactorily cleared any non-compliance by the agreed date, the BAFE Registered Organisation's Certification shall be suspended for a period of time decided by the TPCB.
- 15.5 By the end of such period of suspension the BAFE Registered Organisation shall demonstrate that adequate action has been taken to improve the standard of work to an acceptable level or has cleared the outstanding non-compliances. Where the BAFE Registered Organisation fails to achieve this, the Certification shall be withdrawn and BAFE advised accordingly.
- 15.6 Where an Organisation having had its BAFE Registration withdrawn wishes to re-join the Scheme it shall submit a new application and undergo a complete re-Certification Assessment through a TPCB.

## 16 CHANGE OF REGISTRATION DETAILS

- 16.1 A BAFE Registered Organisation shall give the TPCB notice in writing of any proposed changes to its legal constitution or other changes, which may affect its Certification.
- 16.2 A change of personnel, where their competence formed part of the Certification Assessment, the TPCB shall be notified in writing within 1 month of it taking place and recorded in a register of competent personnel and the register shall be included as a recognised part of the Organisation's management system.
- 16.3. Where changes within the BAFE Registered Organisation are such that in the opinion of the TPCB the conditions under which Certification was granted are significantly affected, the Organisation shall make a new application for Certification.

**TPCB Guidance Note:** *The TPCB should advise BAFE accordingly.*

- 16.4. The BAFE Registered Organisation shall accept that at any time the TPCB has the authority to grant, maintain and, subject to appeal, cancel the Certification.
- 16.5. Upon cancellation of Certification, however determined, the BAFE Registered Organisation shall immediately discontinue use of all advertising matter, stationery, etc. containing reference to Certification and return any Certification documents as required by the TPCB.

## 17 SUSPENSION AND WITHDRAWAL OF CERTIFICATION AND/OR BAFE REGISTRATION

- 17.1 Where a BAFE Registered Organisation fails to meet the Scheme requirements (*including Certification of its ISO 9001/Management System*) or its obligations under the Scheme, BAFE may do any or all of the following (as BAFE may, at its sole discretion, decide):

- suspend or withdraw the Organisation's BAFE Registration and BAFE Listing;
- agree a schedule of rectification proposed by the Organisation to close the non-conformity.

**Notes:**

1. *BAFE reserves the right to suspend or withdraw Registration where inadequate measures are taken by the Registered Organisation with regard to the agreed schedule of rectification.*
2. *On suspension or withdrawal of BAFE Registration, the Organisation must stop displaying or using the BAFE Scheme Logo with immediate effect.*
3. *On withdrawal of BAFE Registration the registration documents and Technicians' Identity Badges are to be returned to BAFE or their destruction confirmed to BAFE in writing within 1 month of notification.*
4. *No reimbursement of fees will be given and withdrawal may be published by BAFE*
5. *BAFE Registered Organisations and individual technicians will have the right to appeal against any decision regarding de-listing. In the first instance the appeal should be made to the BAFE Scheme Administrator in writing. Where they are unable to resolve the matter it will be referred to the BAFE Council whose decision is final. This decision of the BAFE Council will be advised to the Organisation concerned.*

- 17.2 Where an BAFE Registered Organisation is unable to pay its debts as they fall due or suspend the payment of its debts, or it makes a proposal to its creditors to reschedule any of its debts; or it take any action in connection with its winding up or suffer the appointment of an administrator or an administrative receiver over any of its assets; or someone takes action to attach or take possession of any of its assets; or it stops the business it was doing at the time of being BAFE registered; or it attempts to assign its BAFE Registration to a third party; or it becomes insolvent or is wound up; or any event occurs or proceeding is taken, in any jurisdiction to which it is subject that has an effect equivalent or similar to any of the events mentioned in this paragraph, then BAFE may terminate the Registration with immediate effect on written notice to it.
- 17.3 BAFE will cancel Registration at the Organisation's request where the Organisation does not desire to renew its Registration, or it goes out of business or ceases to operate within the full scope of the Registration. No reimbursement of fees will be given.
- 17.4 Where the BAFE Scheme document is amended, a TPCB audit against the amended Scheme document is required within 12 months (or period as specified by agreement with the relevant BAFE Scheme Manager) of the date of publication or issue of the amendment, for continued use of the BAFE Scheme Logo to be permitted.
- 17.5 BAFE may withdraw the Scheme/Registration on giving not less than 6 months' notice where, in its opinion, BAFE Registration to the relevant Scheme document/standard(s) has become inappropriate.

## 18. CLAIMS OF CONFORMITY/USE OF BAFE MARK

- 18.1 An Organisation shall not claim to be BAFE Registered unless, or until such time as, it:
- has a management system certificated by a TPCB,
  - has at least one BAFE Registered Technician in their employment, and
  - has received confirmation of BAFE Registration.
- 18.2 Claiming conformity to this BAFE Scheme document shall be indicated by the following information and as detailed in Annex B:
- the number of this BAFE Scheme document e.g. SP101,
  - the name or trade mark of the BAFE Registered Organisation,
  - the postal address of the BAFE Registered Organisation, and
  - where authorized, the relevant TPCB Logo in association with the BAFE Scheme SP101 Logo.

### **Guidance Notes for Clause 18.2**

- Conditions and restrictions for use of the BAFE Scheme SP101 Logo will be notified to the BAFE Registered Organisation upon successful completion of certification.*

- 18.3 For the avoidance of doubt the UKAS Logo shall not be used by BAFE Registered Organisations in relation to this BAFE Scheme.
- 18.4 The BAFE Registered Organisation shall not use the BAFE Logo or make any statement with reference to BAFE that, in the opinion of BAFE, is misleading or could bring BAFE into disrepute; to do so can result in cancellation of the BAFE Registered Organisation's listing as a BAFE Registered Organisation. See also Clause 17.

The check list given below is the procedure to be followed for organisations wishing to apply for Registration to BAFE Scheme SP101.

- 1 Have you obtained ISO 9001 Certification or QMS certification to Clause 8 by a Third Party Certification Body Accredited by UKAS as required in SP101?
- 2 Enclose a copy of your Certification Certificate.
- 3 Complete an Organisation Application Form.  
This application form must be included as a part of any application.
- 4 Complete and enclose a Technician Listing Form for each Technician (photo copy form as necessary).
- 5 Enclose 2 passport style photographs together with examination and refresher certificates, if appropriate, for each applicant.  
(N.B. These can be submitted electronically)
- 6 Payment: Initial Registration fee to be included with application.  
This payment must be paid before any application can be progressed. To facilitate this BACS details are available from the BAFE.
- 7 When satisfied that all of the checklist points have been met please send all documents to:

BAFE  
The Fire Service College  
London Road  
Moreton-in-Marsh  
Gloucestershire  
GL56 0RH

Tel No. 0844 335 0897  
E mail: info@bafe.org.uk

Upon receipt BAFE will check the details, and subject to the information being satisfactory will proceed with the assessment/verification process.

The assessment/verification programme will be prepared with target commencement and completion dates agreed. Upon satisfactory assessment and verification of candidates' competence records, BAFE will issue BAFE Diplomas and Technician Identity Cards.

**USE OF THE BAFE MARK**

The mark may only be used subject to an approved registration to the BAFE scheme.

The logo a BAFE Registered Organisation is entitled to use in relation to this Scheme is shown below. BAFE remains the copyright holder of the logo at all times regardless of which logo is used.

A BAFE Registered Organisation is not permitted to use the mark on its own.

Directly adjacent to the logo there must be a box defining the BAFE scheme to which the organisation is BAFE Registered (see approved design below) where an organisation is BAFE Registered to more than one Scheme all BAFE Schemes shall be listed. For further information on BAFE Schemes see 'Rules governing the Use of the BAFE Mark'.



## ANNEX C

### SUB-CONTRACTING ARRANGEMENTS IN PRESCRIBED GEOGRAPHICAL AREAS

#### 1 Introduction

In the rare occurrence of a BAFE Registered Organisation not being available to carry out sub-contract work, such as has arisen within the Crown dependency of the Isle of Man, where localised regulations do not permit the use of workers from outside of the island without a work permit, special conditions for sub-contracting shall apply.

#### 2 Special Conditions

In any given specified location, where local regulations regarding the use of non residents apply and where no BAFE Registered Organisation exists in that location, the use of a non BAFE Registered sub-contractor is permitted providing:

- a) The sub-contractor is under the direct control of the BAFE Registered Organisation through a formal written agreement,
- b) The sub-contractor complies with the requirements of this BAFE Scheme,
- c) Before such work can commence, BAFE are notified in writing and served with a copy of the formal written agreement, and
- d) Any sub-contractor operating under this dispensation is neither permitted to claim they are BAFE Registered nor are they permitted to use the BAFE name or Logo.

#### **TPCB Note**

*Third Party Certification Bodies shall audit this clause and seek evidence of compliance where it applies.*

#### **Commentary**

The effect of these special conditions is to provide for the use of non registered sub-contractors in specified locations and under controlled conditions, so that BAFE Registered Organisations remain within the BAFE Scheme rules.

The sub-contractor must be appropriately supervised, and a comprehensive system of appraisal and review established that is fully auditable by a Third-Party Certification Body.

## ANNEX D EXAMINATION FORMAT

### General

The examination shall consist of a written paper and a practical assessment. Each candidate will provide their own stationary for the written exam and a full range of tools and personal protective equipment (PPE) for the practical exam.

### Written Examination

The written paper shall cover all aspects of the syllabus and the time allowed will be a *minimum* of 1½ hours<sup>1</sup>

- a) Each candidate shall be given a number at the time of Registration; this is to be entered on the written paper and practical assessment sheet so that neither their name nor company will be known to the Examiner.
- b) When registering, each candidate should produce proof of identity<sup>2</sup>.
- c) The results of the examination should be made known to the candidate and their company within one month of the examination.
- d) Successful candidates to be issued with a certificate signed on behalf of the examining board, stating their qualification and date. **This certificate does not entitle the candidate or their company to claim they are BAFE registered.**
- e) The required pass mark shall be an average of 80% across the written and practical sections of the examination, subject to a minimum pass mark of 75% in each section of the examination.
- f) During the examination, any candidate leaving the examination room, will be deemed as completion of the examination paper. Candidates will not be permitted to return to the room.

### Practical Assessment

- a) The assessment shall cover the servicing of one extinguisher from each of the five types listed, from a cross section of manufacturers.
- b) The practical exam will take approximately 30mins.

TYPE A	TYPE B	TYPE C	TYPE D	TYPE F
Water (Gas Cartridge)	Mechanical Foam (Gas Cartridge)	Powder (Gas Cartridge)	Carbon Dioxide (Stored Pressure)	Wet Chemical (Gas Cartridge)
Water (Stored Pressure)	Mechanical Foam (Stored Pressure)	Powder (Stored Pressure)		Wet Chemical (Stored Pressure)

<sup>1</sup> Additional time and reasonable adjustments will be made for those candidates who are able to demonstrate they need a longer time due to disability or other medical condition, or where a scribe is required due to English being a second language or other such condition that may result in completion of the exam in longer than the 1.5 hrs limit.

<sup>2</sup> If organisations substitute a candidate, a written request shall be submitted to BAFE a minimum of seven days prior to the exam date. If a candidate turns up to sit the exam without authorisation or notification, and is not listed, BAFE and/or the BAFE invigilator reserves the right to refuse entry to the exam.

Amendments to this BAFE Scheme Document will appear here.