



**Fire Protection Industry Scheme,
Reference SP105**

**Competency of Organizations for the Service &
Maintenance of
Dry & Wet Riser/Falling Installations**

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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 organizations certificated to operate SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, and is subject to the rules that from time to time may be issued by BAFE.*

FOREWORD

This first issue of the Scheme document was published in April 2019 for use by Third Party Certification Bodies (TPCBs) and by those organizations involved in the certification process. Major changes within this version will be detailed on the Amendment Record at the end of this document.

An Organization will be eligible for formal certification by a TPCB and for BAFE Registration when they have been successfully assessed by the TPCB as meeting the requirements of this BAFE Scheme.

LEGISLATION, STANDARDS, CODES OF PRACTICE AND TECHNICAL LITERATURE

As a minimum the current versions of the following legislation, standards, codes of practice and technical literature should be held by an organization that is operating this BAFE Scheme:

- BAFE SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Scheme Document

Primary standards

BS 9990 Non-automatic fire-fighting systems in buildings – Code of practice

Reference standards (where applicable)

BS 5041-1 Fire hydrant systems equipment – Part 1: Specification for landing valves for wet risers
BS 5041-2 Fire hydrant systems equipment – Part 2: Specification for landing valves for dry risers
BS 5041-3 Fire hydrant systems equipment – Part 3: Specification for inlet breechings for dry riser inlets
BS 5041-4 Fire hydrant systems equipment – Part 4: Boxes for landing valves for dry risers
BS 5041-5 Fire hydrants systems equipment – Part 5: Specification for Boxes for foam inlets and dry riser inlets
BS 7671 Requirements for Electrical Installations. IET Wiring Regulations
BS 7430 Code of practice for protective earthing of electrical installations
BS ISO 3864-1 Graphical symbols. Safety colours and safety signs. Design principles for safety signs and safety markings
BS 9999 Code of practice for fire safety in the design management and use of buildings

1 INTRODUCTION

This BAFE Scheme has been developed to permit organizations involved in the maintenance of dry and wet riser installations to become third party certificated and registered in recognition of their competence to undertake their scope of work. By so doing, the Certificates of Conformity (C of C's) issued by Certificated Organizations, on completion of their work, will give the Customer, insurance companies and enforcing authorities e.g. the Fire & Rescue Services and Building Control, confidence the work has been correctly undertaken and provide proof of competence as required by the Regulatory Reform (Fire Safety) Order for England & Wales, the Fire Safety (Scotland) Regulations and the Fire Safety Regulations (Northern Ireland). Relevant matters relating to the safety of occupants of the buildings will have been taken into account.

Note: all regulations relate to the current edition

The Scheme recognises the importance of providing compliant dry and/or wet riser maintenance.

This BAFE Scheme document specifies requirements to be met by Certificated Organizations (a term that is defined in Clause 4)

Additional information relating to the operation of this Scheme can be found in BAFE document Scheme Requirements for Certification Bodies and National Accreditation Body

Amendments to this Scheme will be published on the BAFE website and registered Organizations notified. These new documents can be downloaded from the BAFE website www.bafe.org.uk.

The evidence of the delivery of the dry and/or wet riser service and maintenance to the required specification will be a BAFE Certificate of Conformity for the maintained system.

The process for the issuing of a BAFE Certificate of Conformity involves the final “Verification of the maintenance process” of the installed system. A sample BAFE Certificate of Conformity can be found in Annex 4 of this Scheme document.

This Scheme document details the minimum requirements to be met by an organization applying for third party certification. TPCBs operating this Scheme may have additional requirements that have to be met before they certificate an organization. Details of additional requirements can be obtained from the relevant certification body.

2 SCOPE

Conformity to this BAFE Scheme enables Organizations to demonstrate their competency in the service and maintenance of dry and/or wet riser systems, a term defined in Clause 4

The Scheme does not cover underground or pillar hydrants

Note: *This list is not exhaustive.*

3 OBJECTIVES

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

The prime objectives are to ensure the competence of dry/wet riser Technicians thus providing the highest quality service to the end user. Benefits include:

- Third Party certification of service and maintenance
- Fully competent Technicians
- Consistent level of competence for service and maintenance
- 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 Organizations demonstrating their competence through qualification, experience and field assessments. It is the intention that within 12 months an approved written and practical examination and ongoing refresher training will, in part, be used as a baseline to determine competence.

4 DEFINITIONS

4.1 Air Release Valve

The valve fitted at the highest point of a dry riser to provide automatic bleeding of air from the system when it is filled with water.

4.2 Audit

A systematic review

4.2.1 Certification Audit

An audit with the objective of determining the suitability of an organization to become a Certificated Organization as defined in Clause 4.6

4.2.2 Surveillance Audit

An audit of a Certificated Organization with the objective of determining their ongoing adherence to the requirements of this Scheme.

4.3 BAFE

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

4.4 BAFE Certificate of Conformity

The certificate issued on completion of the work. The certificate confirms that the work is compliant with this BAFE Scheme.

4.5 BAFE Registered Organization

In the context of this BAFE Scheme, a company or body that has been registered by BAFE as competent to undertake the scope of this Scheme

4.6 Certificated Organization

A Company or body that has been awarded certification 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 certificated, the organization will continue to demonstrate conformity with this BAFE Scheme during subsequent surveillance audits by the TPCB and will remain BAFE Listed.

4.7 Customer

The organization specified in the contract as being the recipient of the service or system and the BAFE Certificate of Conformity.

4.8 Competence

The ability to apply knowledge, understanding and skills in performing to the standards required in relation to this Scheme. To be competent, persons must have sufficient knowledge, experience and skills needed to meet the requirements of the tasks related to the Scheme. Competent persons must have an awareness of their own limitations.

4.9 Competent Person

A competent person is one who is suitably trained and verified by knowledge and practical experience, and provided with the necessary instructions, to enable the required task/s to be carried out correctly.

4.10 Dry Riser (dry fire main)

A vertical pipe installed in a building for firefighting purpose, fitted with inlet connections at fire brigade access level and landing valves at specified points, which is normally dry but is capable of being charged with water usually by pumping from fire & rescue service appliances.

Note: For clarity the term dry/wet riser will be used throughout this document but could mean a dry or wet, rising or falling main

4.11 Inlet Breeching

An assembly comprising inlet connections and a drain valve, normally fitted into an inlet box.

4.12 Landing Valve

An assembly comprising a valve and outlet to enable connection of fire-fighting hose to a fire main.

4.13 Low Level Drain Valve

The valve fitted at the lowest point of a dry riser in cases where parts of the system are installed below the inlet breeching.

4.14 Maintenance

The process, by which a System is inspected, regularly serviced and maintained as required by the relevant Standard, tested and, if necessary, repaired in order to keep it in an effective operational state. The term serviced is considered an acceptable alternative.

4.15 Maintenance Organization

The company or body responsible for the maintenance process and for advising the CustomerCustomer of the work undertaken during maintenance visits.

4.16 Records

The means by which an organization is able to maintain its information on projects being planned, being undertaken or which have already been undertaken. Such records may be kept in a number of different formats, e.g. hard copy documents or electronic files.

4.17 Specification

A document specifying requirements and which usually forms a part of a legally binding contract.

4.18 Specified Requirements

The performance and other requirements of the System, and associated matters that are defined within the project Specification.

4.19 Subcontractor

Individual or company contracted to perform part of the obligations of another's contract.

4.20 System

The generic description of the dry and/or wet riser installed system components installed or planned to be installed in and around buildings.

4.21 Third Party Certification Body (TPCB)

An organization that has been accredited by UKAS as competent to assess an Organization's competence to undertake work in accordance with this Scheme and to subsequently undertake periodic surveillance audits of the ongoing competence of the Organization once it has been certificated.

4.22 UKAS

The United Kingdom Accreditation Service. The National Accreditation Body of the UK

4.23 Verification

The assessment of the maintenance process that has been completed in accordance with the requirements of this scheme and BS9990

4.24 Wet Riser (wet fire main)

A vertical pipe installed in a building for firefighting purposes and permanently charged with water from a pressurised supply and fitted with landing valves at specified points.

5 APPLICATION FOR CERTIFICATION AUDIT

Commentary

To achieve and maintain Third Party Certification there are two possible routes. As a general principle the ISO 9001 route may suit larger organizations, whilst the certificated Management System route may suit smaller organizations.

- 5.1** Requirements for this BAFE Scheme comprise two elements:
- a) The Organization's Management System, and
 - b) Technician Competency.
- 5.1.1** The requirements of **Clause 10** Management Systems is mandatory
- 5.2** An Organization wishing to be assessed to the requirements of this BAFE Scheme shall make a written application to a TPCB.
- 5.3** The organization shall be fully prepared for the certification audit by the TPCB's representatives and shall demonstrate to the TPCB that they have the appropriate competence to undertake the scope of work for which they are applying. They shall adhere to any stipulated requirements of the TPCB.
- 5.4** In instances where an organization wishes to be certificated prior to embarking on delivering work activities so that they can satisfy themselves that they are deemed competent by means of 3rd party certification then certification may be issued on the following basis:
- a) The organization has individual(s) that can demonstrate competence by means of attendance and successful completion of training as detailed within this BAFE Scheme document
 - b) The organization has been subject to a successful BAFE SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Scheme certification audit
 - c) The first surveillance audit shall be carried out within 3 months of initial certification and shall take the form of a technical assessment of actual work undertaken for conformity with this BAFE Scheme
- 5.5** Site-based surveillance assessments relating to the technical requirements of this Scheme shall take place on an annual basis (-2 to +4 months) as a minimum, and must be an assessment of the actual work undertaken by the Certificated Organization and cover the entire scope of their certification
- 5.6** An Organization 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.
- 5.7** The TPCB shall have successfully assessed sample dry/wet rise servicing carried out by the applicant Organization's Technicians prior to granting certification.
- 5.8** An Applicant Organization shall permit representatives of the TPCB to have access to the Organization's contracting offices in order to examine and assess equipment, documentation and business processes.
- 5.9** The extent of the assessment shall be prescribed by the TPCB having regard to the range, scale and geographical spread and complexity of dry/wet riser servicing undertaken by the Applicant Organization, See also **Clause 12.17**.
- 5.10** 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 Organization Corporate level or at Operational location level.

- 5.11** Where an Organization applies for certification at the Organization Corporate level a single application is permissible but the application must identify which operational locations are covered by the application.
- 5.12** An application for certification at the Organization Corporate level shall include ALL locations and identify all Trading Names that undertake any dry and wet riser servicing activity covered by the scope of this BAFE Scheme.
- 5.13** 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 organization shall not advertise its services as a BAFE Registered Organization complying with the requirements of this BAFE Scheme.

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

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

6 CERTIFICATION AUDIT

- 6.1** For the purposes of Certification Assessment the applicant Organization's operational location(s) shall be those recorded by the Organization at the time of application for certification under this Scheme.
- 6.2** The Organization shall have available at all their operational locations(s) the following items for assessment by the TPCB's representatives:
- a) Relevant standards, legislation, Codes of Practice
 - b) test instrumentation (when relevant) including records of assessment of accuracy
 - c) tools (when relevant) together with their operational handbooks etc.
 - d) a list of dry/wet riser servicing locations in progress and those completed during the previous 3 months
 - e) any other items that are relevant to the process and that the TPCB reasonably requires
 - f) evidence that adequate insurance cover is held for the work undertaken
 - g) a list of any complaints received on the standard and performance of work relating to dry/wet riser servicing together with details of the actions taken to resolve the complaints
 - h) the organization should also show evidence of a Hydrant/Standpipe License for the water they use during the dry riser pressure testing (where applicable)
- 6.3** Participating Organizations shall demonstrate to TPCB Assessors that, overall, they have in place suitable policies, procedures, assessments, etc. to ensure that personnel are competent for the work they undertake.
- 6.4** The Organization shall provide facilities and shall arrange access for the assessment and provide transport to premises where work is selected for assessment by the TPCB.
- 6.5** 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.

7 AUDIT DECISION

- 7.1** On completion of the assessment by the representative of the TPCB the organization will receive an assessment report recording any non-conformity and shall agree the time scale for the completion of remedial action.
- 7.2** The organization will be subsequently advised by the TPCB of the outcome of the assessment which will be one of the following:
- a) No non-conformances identified and certification is recommended
 - b) Non-conformances identified which subject to appropriate remedial action within a timescale prescribed by the TPCB to close out the non-conformances shall result in certification being recommended
 - c) Failure due to non-conformances identified which result in the need for a full or partial reassessment or assessment failure (certification not recommended)
- 7.3** The organization will subsequently be advised by the TPCB of its decision as to whether certification is to be granted.
- 7.4** The Certificated Organization shall be advised that at any time the TPCB has the authority to grant, maintain and reduce the categories and, subject to appeal cancel the certification.
- 7.5** Where there is a dispute between the organization and the TPCB relating to certification, the organization has the right to invoke the appeals procedure of the TPCB established under the requirements of the relevant accreditation Standard

8 CERTIFICATION/REGISTRATION OF AN ORGANIZATION

- 8.1** An Organization shall not advertise its services as a BAFE Registered Organization 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.
- 8.2** The Certificate issued by the TPCB will specify conformity with the requirements of SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations. The TPCB Certificate will remain the property of the TPCB and shall be returned, upon request, on cessation of certification for whatever reason.
- 8.3** A BAFE Registered Organization shall be eligible to remain Registered provided the Organization continues to be engaged in dry and wet riser service and maintenance and continues to comply with all the requirements of this Scheme and those of the TPCB.

9 SURVEILLANCE ASSESSMENT

- 9.1** Continued Certification shall be conditional upon the results of Surveillance Audits which are undertaken by the TPCB to verify the standard of work carried out by the BAFE Registered Organization continues to meet the requirements of this BAFE Scheme, and that any non-conformities are satisfactorily cleared within the agreed time period.
- 9.2** The organization shall be fully prepared for the surveillance audit by the TPCB's representatives and shall adhere to any stipulated requirements of the TPCB

9.3 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 up to preceding 12 months

9.3.1 Field-based surveillance audits relating to the technical requirements of this Scheme shall take place on an annual basis (-2 to +4 months) as a minimum, and must be an assessment of the actual work undertaken by the Certificated Organization and cover the entire scope of their certification

***Note:** 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.*

9.4 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 Organization to ensure that the standard of work carried out meets the Scheme requirements.

9.5 Where, during a Surveillance Assessment, the TPCB finds that the overall standard of work falls below the Scheme requirements or where the Organization has not satisfactorily cleared any non-conformity by the agreed date, the BAFE Registered Organization's Certification shall be suspended for a period of time decided by the TPCB.

9.6 By the end of such period of suspension the BAFE Registered Organization shall demonstrate that adequate action has been taken to improve the standard of work to an acceptable level or has cleared the outstanding non-conformity. Where the BAFE Registered Organization fails to achieve this, the Certification shall be withdrawn and BAFE advised accordingly.

10 MANAGEMENT SYSTEM

10.1 BAFE Registered Organizations operating to this BAFE Scheme shall operate an effective management system covering the maintenance of dry/wet risers.

10.2 The management system shall incorporate documented procedure(s) for the processes that are relevant to the work activities undertaken by the organization. Work activities that fall within the scope of this BAFE Scheme are:

- The maintenance of dry riser systems
- The maintenance of wet riser systems

As a minimum, the management system shall document the following:

Organizational roles, responsibilities and authorities

- a) The management structure of the organization,
- b) The assignment of relevant roles and responsibilities of key personnel and that they are communicated and understood within the Organization,

Quality objectives and planning to achieve them

- c) Objectives at relevant levels and processes needed to meet customer requirements, which should include:
 - i) the level of achievement for the execution of periodic contractual maintenance visits, call outs, etc.
 - ii) a schedule of work to meet customer requirements; together with how requests for corrective maintenance will be met

- iii) an assessment of health & safety for the type of work carried out and appropriate ways to minimise risk
- iv) determination of regulatory requirements.

Guidance Note for Clauses 10.2 c) i and 10.2 c)ii

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 10.2 c)iii

Where there are fewer than five employees, statutory legal requirements will apply

Guidance Note for Clause 10.2 c) iv

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 10.c),

Guidance Note for Clause 10.2d)

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 10.2 c)**,
- f) Suitable monitoring and measuring resources and procedure (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) Register of and access to available British Standards and publications, including manufacturers' technical literature, trade organization safety notices and product recalls issued by regulatory/trade bodies and product manufacturers, etc. relevant to roles and responsibilities of key personnel – see Foreword of this document

Guidance Note for Clause 10.2 g)

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) Procedure for the determination of necessary competence of key personnel to meet the objectives in **Clause 10.2 c)**, and the requirements of BS 9990, BS EN 671-3 and BS 5306-1 and specifically **clause 12** of this scheme document.

Documented information

- j) The determination of necessary documented information to meet the objectives in **Clause 10.2 c)**,

Note: Documented information should include:

- i) The roles and responsibilities of key personnel,
- ii) The maintenance of a register of approved suppliers and sub-contractors (where sub-contractors are permitted by this BAFE Scheme),
- iii) A register of all instruments and equipment used for measurement, inspection and testing purposes and, where appropriate, up to date records of calibration,
- iv) Competency records for all key personnel (including training records, qualifications and certificates, in accordance with **Clause 10.2 h)**),
- v) A register of relevant British Standards and publications, including manufacturers' technical literature, trade organization safety notices etc.,

- vi) Records of complaints and nonconforming products/services,
- vii) Records of internal audit/assessments,
- viii) Records to provide evidence of corrective actions for complaints, nonconforming products/services,
- ix) Records of communication of safety/advisory notices and product recalls issued by regulatory/trade bodies and product manufacturers, etc.,
- x) Records of original manufacturer components used
- xi) 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 10.2 i) xi

Material safety data sheets can be obtained from the supplier

- xii) Records of waste transfer information for materials removed from customer sites; together with an appropriate waste carrier licence,
- xiii) 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.*

- xiv) A Health & Safety Policy (where applicable)

Note: *Records should be retained for a minimum of 7 years or the minimum legal requirement, whichever is the greater.*

Operational planning and control

- k) 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; 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 10.2 k)

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

Requirements for products and services

- l) Suitable communication with customers to provide:
 - i) information relating to products and service and maintenance (including provision of written report to customer, a record of work carried out in the customer's fire logbook (where available)
 - ii) effective handling of enquiries and contracts (including changes)
 - iii) feedback with regard to complaints or nonconforming products/service and maintenance
 - iv) effective handling of customer property

Guidance Note for Clause 10.2 l)

These requirements could be included within your terms and conditions.

Control of externally provided processes, products and service and maintenance including Sub-Contracting

- m) 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 subcontractors are permitted by this Scheme) and appropriate to meet customer requirements.

Guidance Note for Clause 10.2 m)

Procedures could take the form of a method statement.

- n) Procedures to cover maintenance of dry/wet risers activity that is sub-contracted and which shall only be sub-contracted to another BAFE SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Registered Organization except where the special conditions in **Annex 5** apply.

Commentary

*The effect of **Clause 10.2 n)** is to allow the use of non-registered subcontractors in a specified location (e.g. the Isle of Man) and under controlled conditions; so that BAFE Registered Organizations remain within the SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Scheme rules.*

The subcontractor must be appropriately supervised and a comprehensive system of appraisal and review established that is fully auditable by a TPCB

- o) Procedures to cover that a sub-contractor operating under **Clause 10.2 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: *TPCBs are required to assess this Clause and seek evidence of conformity where it applies.*

Internal Audit

- p) The internal audit shall be carried out at least annually and cover all areas within scope irrespective of whether this is regularly or occasionally.

Guidance Notes for Clause 10.2 p)

- 1. For Organizations employing up to 3 Technicians the BAFE/TPCB Assessment will be accepted as the internal audit.*
- 2. Technicians should not carry out field-based assessments 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.*

Non-conformity and corrective action

- q) 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 10.2 q)

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

11 SCHEME REQUIREMENTS AND CONFORMITY

- 11.1** Certificated Organizations shall issue BAFE Certificates for annual and interim maintenance visit that fall within the scope of their certification. Organizations are not expected to issue certificates following a corrective maintenance visit.

- 11.2** Certificates shall be electronically generated. This may be completed by the Registered Organization, however the TPCB may have their own specific requirements which shall take precedence
- 11.3** Where a TPCB is not able to or has no requirement to generate Certificates the Registered Organization shall issue BAFE Certificates of Conformity. In this instance the Registered Organization shall record the number of Certificates issued and report the results to BAFE on a monthly basis.
- 11.4** The certificate shall, as a minimum, include the information specified within **Annex 1**
- 11.5** In addition to providing the Customer with a Certificate the Registered Organization shall issue a report recording the details of the work undertaken during the maintenance visits and shall keep this available for possible Surveillance Audit checks by the TPCB.

Note: In addition, the information should be available in a format suitable for forwarding to the customer.

- 11.6** Where, for any reason the start of maintenance is delayed or there has been a longer than normal period between planned maintenance visits, an assessment of the implications of the delay shall be made by the Maintenance Organization and any work necessary to restore the System to its original specification should be undertaken prior to the issue of the Maintenance Certificate.
- 11.7** On application to join the Scheme, Organizations are required to appoint a primary contact to provide liaison with BAFE. If this primary contact changes BAFE shall be notified.

12 TRAINING & COMPETENCE

- 12.1** Maintenance of the dry and/or wet risers shall be undertaken by an organization that is certificated by a TPCB and is listed by BAFE as meeting the requirements of this Scheme.

Note: For the avoidance of doubt, Maintenance may be sub-contracted only to another Certificated Organization.

- 12.2** The organization shall demonstrate its competence to maintain the installed equipment and shall understand the specified requirements.
- 12.3** The minimum competency requirement required by a maintenance engineer is to be fully conversant with the recommendations of all relevant Standards and Codes of Practice e.g. BS 9990 relevant to the Company's scope of certification, **See A1.2**
- 12.4** The Maintenance organization shall have adequate resources to permit attendance on site to maintain faulty systems within the time specified by the applicable Standard or contract.
- 12.5** Auditing of an individual(s) competence shall take the form of an assessment of actual work undertaken by the individual.
- 12.6** Two people are considered to be the minimum number required to complete a Full Annual maintenance of the dry and/or wet riser system, therefore adequate cover must be available to cover for holidays and illness etc. At least one person needs to be competent and in attendance for each maintenance visit under the scheme.

Note: For the visual only check (6 monthly), one maintenance technician may be sufficient but must be assessed as competent

- 12.7** The Maintenance organization shall provide evidence that it has a current, ongoing contract for the provision of competent back up support with another SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations Certificated Organization if there is insufficient cover within the Registered Organization.
- 12.8** The Maintenance Organization shall have access to adequate spare parts in order to:
- a) rectify faults on Systems for which it is responsible, and
 - b) complete the rectification work in the time periods required by each maintenance contract.
- 12.9** Where spare parts are not available, due for example to the age of the installed equipment, there shall be evidence that the Customer has been informed of this situation in writing.
- 12.10** The installation shall be maintained in accordance with the contract specification.
- 12.11** Where work is required to restore the system to full working order, details shall be clearly specified to the Customer such that they are able to place an order for the work to be undertaken
- 12.12** The Maintenance organization shall keep comprehensive records of maintenance work for each project for a period of 7 years or the minimum legal requirement whichever is the greater
- 12.13** Where a Maintenance Organization takes responsibility for the maintenance of a dry and/or wet riser installation such checks/tests as required to ensure the system operates in a safe and effective manner shall be carried out and any variations identified from the applicable Codes of Practice shall be documented and drawn to the attention of the Customer.
- 12.14** Appropriate information relating to repairs and changes undertaken at each maintenance visit shall be made available to the Customer. Annex **A1.1** specifies the minimum requirements for a Certificate of Conformity.
- 12.15** Maintenance shall be undertaken in accordance with the requirements of the relevant Standard or Code of Practice depending upon the type of system installed. When the relevant Standards or Codes are revised, the maintenance contract shall be amended at the earliest opportunity to maintain alignment with the requirements of the revised Standard or Code.
- 12.16** It is a requirement of this BAFE Scheme that the maintenance process be verified by the competent person prior to authorisation and issue of a BAFE Certificate of Conformity
- 12.16.1** For interim service visits verification will be completed by the competent person that may not necessarily have completed the maintenance visit *see 12.6*. The report will need to be counter-signed by the competent person
- 12.16.2** Annual service visits will be verified by the on site competent person
- 12.17** To reflect the size of the organization and the number of technicians/engineers employed the following minimum number of annual field-based assessments shall be carried out as detailed in the table below.

<u>No. of Technicians Employed</u>	<u>Minimum Annual Sample size</u>
1 – 5	1
6 – 15	2
16 – 25	3
26 – 45	4
46 – 65	5
66 – 85	6
>85	8

13 TECHNICAL REPORTING

- 13.1** Organizations shall provide a documented quotation for any proposed works which as a minimum clearly details the following:
- Scope of work
 - Responsibilities for maintenance of systems
- 13.2** Organizations shall keep records that evidence that all the necessary inspections and maintenance tests have been completed
- 13.3** As a minimum maintenance reports shall include the requirements of BS 9990 for dry risers. Wet risers shall have additional to the requirements of BS 9990, information recorded for each pump installed
- Volume flow rates
 - Pressure readings undertaken

14 CLAIMS OF CONFORMITY

- 14.1** Conformity to this BAFE Scheme document shall be indicated by the following information:
- a) the number and date of this BAFE Scheme document e.g. SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Service and Maintenance & Maintenance of Dry and Wet Riser Installations
 - b) the name or trade mark of the Certificated Organization
 - c) the postal address of the Certificated Organization
 - d) where authorized, the relevant TPCB Logo in association with the relevant BAFE Modular Scheme SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations Logo. See **Annex 6**
- 14.2** The Certificated Organization 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 Certificated Organization's BAFE Listing.

15 SUSPENSION AND WITHDRAWAL OF CERTIFICATION AND/OR BAFE REGISTRATION

- 15.1** Where a BAFE Registered Organization 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 Organization's BAFE Registration and BAFE Listing;
 - agree a schedule of rectification proposed by the Organization to close the non-conformity.

Notes 1: BAFE reserves the right to suspend or withdraw Registration where inadequate measures are taken by the Registered Organization with regard to the agreed schedule of rectification.

Note 2: On suspension or withdrawal of BAFE Registration, the Organization must stop displaying and using the BAFE Scheme Logo with immediate effect.

- 15.2** Where an BAFE Registered Organization 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.

- 15.3** BAFE will cancel Registration at the Organization's request where the Organization 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.
- 15.4** Where the BAFE Scheme document is amended, a TPCB assessment 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.
- 15.5** 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.

16 CHANGE OF REGISTRATION DETAILS

- 16.1** A Certificated Organization 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** Changes of personnel, where their competence formed part of the Certification Assessment, shall be recorded in a register of competent personnel and the register shall be included as a recognised part of the organization's management system. In addition the TPCB shall be informed of the change within 30 days of it taking place
- 16.3** Where, in the opinion of the TPCB, changes within the organization are such that in the opinion of the TPCB the conditions under which certification was granted are significantly affected, the TPCB may decide that a new application for certification is required
- 16.4** The Certificated Organization shall be advised that at any time the TPCB has the authority to grant, maintain and reduce the categories and, subject to appeal, cancel the certification
- 16.5** Upon cancellation of certification, however determined, the organization shall immediately discontinue use of all advertising matter, stationary, etc. containing reference to certification and return any certification documents as required by the TPCB

ANNEX 1 CERTIFICATES OF CONFORMITY RELATING TO THIS SCHEME

Information to be included in certificates and other documentation required by this BAFE scheme is listed within this Annex.

A1.1 BAFE Certificate of Conformity

The Certificate of Conformity shall have a format generally in accordance with the example shown in Annex 4. The Certificate shall be supplied by the Certificated Organization undertaking the maintenance, subject to the conditions of this Scheme having been met it is necessary for at least the following information to be included:

- The name of the Organization issuing the Certificate and their BAFE registration number
- The address, type of location e.g. office, industrial and brief description of the system to which the certificate relates
- A statement that either confirms that a list of agreed variations is attached to the Certificate or an explanation of why such a list is not attached and
- A statement declaring that the maintenance has been successfully completed in accordance with the requirements of this Scheme
- Details of the work undertaken
- The date when the last maintenance was undertaken
- A statement of when the next maintenance is due to take place
- The applicable standard or code applicable to the system

A1.2 Titles of Scope of individual modules of the Scheme

The titles given below shall be used by organizations applying for Certification Assessment against the requirements of this Scheme. BAFE document 'Management System requirements' provides more information.

A1.2.1 The maintenance of dry riser installations for buildings

A1.2.2 The maintenance of wet riser installations for buildings

A1.3 Standards against which organizations may be assessed

Standards and Codes relevant to organizations applying for Certification Assessment to categories **A1.2** above can be found in the Foreword section of this document

ANNEX 2 BAFF SCHEME INFORMATION STATEMENT

Note: To be supplied to the Customer at the time of issuing a BAFF Certificate of Conformity



FIRE PROTECTION INDUSTRY SCHEME FOR THE SERVICE & MAINTENANCE OF A DRY & WET RISER/FALLING INSTALLATIONS

BAFF, The Fire Service College, London Road, Moreton-in-Marsh, Gloucestershire GL56 0RH
Telephone: 0844 335 0897; email: info@baff.org.uk; Web: www.baff.org.uk

This Scheme permits companies involved with the following:

Maintenance of Dry and/or Wet Riser Installations

to become third party certificated and BAFF registered in recognition of their competence to undertake their scope of work. By so doing, the certificates issued by these companies on completion of their work will give the Customer and relevant regulating authorities e.g. Fire Authority and Building Control, confidence that the work has been correctly and competently undertaken. Depending upon the specification for the system, relevant matters relating to the safety of occupants of the buildings and the assets within the buildings will have been taken into account. The indications of the delivery of the work to the required specification will be:

certificates or similar documentation for the relevant work undertaken

The contractors detailed on the BAFF Certificate of Conformity certify that they have discharged their responsibilities in accordance with the relevant conditions of this Scheme.

Each contractor has satisfied their Third-Party Certification Body that they have the competence to undertake work within their defined scope and have effective quality management procedures in operation.

The Third-Party Certification Bodies operating this Scheme are accredited by UKAS to deliver certification to the scope of this Scheme. They recognise that the competence of contractors is essential for the reputation of the industry and for ensuring the safety of occupants and the assets within the premises protected by the installation.

The BAFF Certificate is effective from the date of signature however subsequent changes to the system may require a new certificate to be issued after completion of alterations. It is recommended that the maintenance, and any alterations, are undertaken by contractors certificated to this Scheme.

BAFF is a non-profit making organization that brings together all major interest groups involved in the testing and certification of products and services associated with active fire protection systems. These organizations include Government, the Fire Service, building control authorities, insurers, users, testing and certification bodies, the fire protection industry, and trading standards.

BAFF, The Fire Service College, London Road, Moreton-in-Marsh, Gloucestershire GL56 0RH www.baff.org.uk

ANNEX 3 INSTRUCTIONS FOR COMPLETION OF BAFE CONFORMITY CERTIFICATE

Certificated Organizations may issue BAFE/TPCB Certificates of Conformity only for Dry and/or Wet Risers Systems for which they hold TPCB certification to the relevant scope.

BAFE/TPCB Certificates of Conformity are to be used by Certificated Organizations for those fire systems for which they hold certification.

Each certificate shall be electronically generated and copies provided for the customer and the issuing Certificated Organization. The customer must also be issued with a copy of the BAFE Scheme letter.

PLEASE ENSURE THAT THE CERTIFICATE IS NOT HAND WRITTEN.

Complete all sections. The address is that of the premises where the dry/wet riser system is installed. Please include the post code.

Guidance notes relating to Part 4 of the Schedule:

4.1 Type of System & Standard / Code of Practice applicable:

- Dry or wet riser to BS9990

4.2 Type of Premises:

- A Retail (e.g. shop, chain store, department store, etc)
- B Commercial (e.g. office, garage, car hire)
- C Public Sector (e.g. state school, health centre, local government office, etc)
- D Licensed (e.g. hotel, public house, off-licence)
- F Industrial (e.g. factory, warehouse)
- G Bank or Financial (e.g. bank, building society, insurance firm, stockbrokers, etc)
- H Institutional (e.g. trade association, trade union office, club, etc)
- J Hospital
- K Sheltered/Warden Controlled Accommodation

4.3 Is this an intermediate or full maintenance visit

- 6 month intermediate or full annual maintenance

Guidance notes relating to Part 5 of the Schedule:

5.1 Comments

- Refer to maintenance report

At the bottom of the certificate please type the date on which the certificate was prepared. Then digitally sign the certificate, including the job title of the person issuing it; the signature must be that of someone who is authorised to sign on behalf of the issuing Certificated Organization.



**CERTIFICATE OF CONFORMITY
FOR THE FULL ANNUAL SERVICE & MAINTENANCE
OF A DRY & WET RISER/FALLING INSTALLATIONS**

This Certificate should be read in conjunction with the maintenance report issued by the Company named in Part 1.

SCHEDULE			
Part 1	Name of Issuing Firm & BAFE Registration Number		
Part 2	Name of Customer		
Part 3	Address of protected premises		
Part 4	4.1 Type of System & Applicable Standard/Code of Practice		
	4.2 Type of Premises (letter code and description)		
Part 5	5.1 Comments		
Part 6	Date maintenance completed		Next maintenance due

We, being currently an XXXX 'Certificated Firm' in respect of Dry and/or Wet Riser Systems identified in Part 4 of the above Schedule, certify that the system in the above Schedule complies with the Standard or Code of Practice identified in the above Schedule and with all other requirements as currently laid down within the BAFE SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Scheme in respect of such a system.

Signed for and on behalf of the issuing firm _____ Print Name _____

Job Title _____ Date of Issue _____ (DD/MM/YYYY)

Name and address of Third-Party Certification Body



**CERTIFICATE OF CONFORMITY
FOR THE INTERIM SERVICE & MAINTENANCE
OF A DRY & WET RISER/FALLING INSTALLATIONS**

This Certificate should be read in conjunction with the maintenance report issued by the Company named in Part 1.

SCHEDULE			
Part 1	Name of Issuing Firm & BAFE Registration Number		
Part 2	Name of Customer		
Part 3	Address of protected premises		
Part 4	4.1 Type of System & Applicable Standard/Code of Practice		
	4.2 Type of Premises (letter code and description)		
Part 5	5.1 Comments		
Part 6	Date maintenance completed		Next maintenance due

We, being currently an XXXX 'Certificated Firm' in respect of Dry and/or Wet Riser Systems identified in Part 4 of the above Schedule, certify that the system in the above Schedule complies with the Standard or Code of Practice identified in the above Schedule and with all other requirements as currently laid down within the BAFE SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Scheme in respect of such a system.

Signed for and on behalf of the issuing firm _____ Print Name _____

Job Title _____ Date of Issue _____ (DD/MM/YYYY)

Name and address of Third-Party Certification Body

ANNEX 5 RULES FOR REMOTE UK ISLANDS AND CROWN DEPENDENCIES WHERE NO CERTIFICATED ORGANIZATIONS EXIST.

Commentary

The effect of this note is to allow the use of non-registered subcontractors in specified locations and under controlled conditions, so that Registered Companies remain within the scheme rules.

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

In areas prescribed above where no BAFE Registered Companies exist the following rules shall apply.

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

- i The subcontractor is under the direct control of the BAFE Registered Company through a formal written agreement.
- ii The subcontractor complies with the requirements of the scheme.
- iii Before such work can commence, BAFE are notified in writing and served with a copy of the formal written agreement.
- iv Any subcontractor operating under this dispensation is not permitted to claim they are BAFE Registered nor are they permitted to use the BAFE name or logo.

ANNEX 6 BAFE SP105 LOGO GUIDELINES

The use of the BAFE Logo is restricted by the Terms and Conditions of BAFE. Further details of these restrictions, together with details of the logo, can be obtained from BAFE.

General rules relating to the use of the BAFE Logo are detailed below:

Use of the BAFE Logo, relevant to this Scheme is permitted, as shown below, subject to the rules of BAFE.

- On an SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Certificated Organization's Letterhead and other printed or promotional material
- For use in digital media
- On an SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Maintenance Report
- On an SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations, Certificate of Conformity



For large scale logos and vehicle logos please refer to the BAFE logo guidelines on the BAFE website or contact the BAFE office for more information.

ANNEX 7 APPLICATION CHECKLIST

Amendment Record

Document Title		Issue Date	Reviewed By	Approved By
SP105, Competency of Organizations for the Service & Maintenance of Dry & Wet Riser/Falling Installations -		April 2019	Schemes Monitoring Group	Schemes Manager
Amendment Number	Date	Description of Amendment		Approved By
Version 1 rev 0	TBA	New Scheme document – First Issue		C Auger

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