



Fire Protection Industry Scheme
Reference SP205

Life Safety
Fire Risk Assessment

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FOREWORD

This version of the BAFE Scheme document was published in June 2019 for use by Third Party Certification Bodies (TPCBs) and by those organizations involved in the certification process.

A Third-Party Certification Body (TPCB) will be eligible to operate this BAFE Scheme when:

- a) The TPCB has received UKAS product certification accreditation to BS EN ISO/IEC 17065 with a scope relevant to SP205, and
- b) The TPCB has concluded a formal agreement with BAFE.

An organization or individual will be eligible for formal certification by a TPCB and for BAFE Listing when they have been successfully audited by the TPCB as meeting the requirements of this Scheme.

1 INTRODUCTION

- 1.1** This BAFE Scheme has been developed for organizations, in-house departments and sole traders that provide fire risk assessment services for others. This scheme is designed to give those commissioning fire risk assessments confidence in the quality and relevance of the services being provided. It is essential that the fire risk assessor is a competent person, and the fire risk assessor has a duty of care to the organization on which legislation imposes a requirement for the fire risk assessment. However, the ultimate responsibility for the adequacy of the fire risk assessment rests with the duty holder or responsible person rather than with the fire risk assessor.
- 1.2** This Scheme recognises the importance of providing fire risk assessments that comply with an acceptable set of criteria.
- 1.3** This BAFE Scheme document specifies requirements to be met by Certificated Organizations including Sole Traders. It also includes guidance notes and commentaries. The guidance notes and commentaries are advisory and are included to assist those persons needing further advice on the application and implementation of the Scheme.
- 1.4** This Scheme is designed to encompass different scales of organizations 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:
 - a. The sole trader providing the fire risk assessment service directly to the client;
 - b. The organization providing the fire risk assessment service to the client and directly employing one or more assessors, and
 - c. The organization providing the fire risk assessment service to the client and employing a sole trader or organization to carry out the assessment.
- 1.5** Since the scheme's inception, there has been an increasing focus on individual competency, therefore the Scheme has been revised to incorporate the validation of individuals so that they may be audited in their own right.
- 1.6** Any organization, large or small, can be certificated under this scheme and is referred to as the 'Certificated Organization'. Usually the organization is one whole organization such as a limited company or LLP. However, an organization could be an individual offering fire risk assessment, a department within a larger organization such as the fire risk assessment department in a larger consultancy practice or the estates department of an NHS trust or corporate body. As far as this scheme is concerned, any structure which is recognisably an organization can be certificated to this scheme.

An organization may employ only one fire risk assessor. Because of the practical problems concerning internal audit process', confirming competency and review of assessment reports, such organizations have different requirements under this scheme and are referred to as a Sole Traders.

Where a scheme requirement applies to an organization other than a Sole Trader the term 'organization other than a Sole Trader' will be used.

- 1.7** From this it can be seen that competence of the organization and the competency of the individual assessor are equally important.
- 1.8** The Scheme enables TPCBs to certificate organizations including sole traders for compliance with the Scheme.
- 1.9** To be relevant to the end user and attractive to the regulators/enforcers, this Scheme should offer a significant benefit. This scheme ensures that the Certificated Organization or Sole Trader is competent to work on the types of premises allocated to them, their competence is confirmed by the TPCB and that the reports have been reviewed by a competent person to ensure they are correct and appropriate. This Scheme requires that Certificated Organizations will certify their fire risk assessments in accordance with this Scheme.
- 1.10** Additional information relating to the operation of this Scheme can be found in BAFE document Scheme Requirements for Certification Bodies and National Accreditation Body.

2 OBJECTIVE

- 2.1** This BAFE Scheme has been developed to permit organizations who carry out fire risk assessments to become third party certificated and listed as recognition of their competence to undertake their scope of work.
- 2.2** The certificates of conformity issued by these Certificated Organizations will provide evidence of conformity with this Scheme and give the end users and relevant enforcing authorities (e.g. fire & rescue authorities) confidence that the fire risk assessment has been correctly undertaken by a competent organization and competent individuals.
- 2.3** This Scheme document details the minimum requirements to be met by an organization applying for third party certification.
- 2.4** This Scheme document details the minimum requirements to be met by Fire Risk Assessors.
- 2.5** The Scheme is based on assessors proving their competence through, for example, peer review, examination, practical assessment and Continual Professional Development to gain certificated status either as a sole trader or as a member of a team, directly employed by a certificated organization.
- 2.6** 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 TPCB.

3 SCOPE

- 3.1** This BAFE Scheme covers the fire risk assessment for life safety only.
- 3.2** The scope of this Scheme allows for work to be sub-contracted provided that the Certificated Organization and subcontractor(s) fully satisfy the requirements of this Scheme. A subcontractor shall be certificated under the Scheme.

4 DEFINITIONS

4.1 Audit

An examination by the TPCB.

4.2 BAFE

British Approvals for Fire Equipment is the body that owns the SP205 Scheme and is responsible for its maintenance.

4.3 BAFE Registered Organization

In the context of this BAFE Scheme, a company or body that has been listed by BAFE as competent to undertake Fire Risk Assessments.

4.4 Certification Audit

An audit that has the objective of determining the suitability of an organization to become a Certificated Organization.

4.5 Certificate of Conformity

The certificate issued on completion of the fire risk assessment indicating that the fire risk assessment conforms to this Scheme and the requirements of the Specification.

4.6 Competence

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

4.7 Client

The person or organization on whose behalf the fire risk assessment is being carried out.

4.8 Fire risk assessment

An organised and methodical examination of a defined premises; the activities carried on, or planned to be carried on within the premises; and the premises' existing fire safety control measures, in order to establish the potential sources of fire and the likelihood that a fire could start and cause harm to persons in/or around the premises. This term can be applied to both the output and the activity.

4.9 Fire risk assessor

Person who carries out, and documents, a fire risk assessment.

4.10 Internal Audit of Risk Assessor Competence

A process by which the certificated organization monitors and maintains the competence of its fire risk assessors.

4.11 Internal review

The process by which an organization confirms its processes conform to the requirements of this Scheme.

4.12 Key personnel

Any person employed by a Certificated Organization whose actions may have a direct impact on a fire risk assessment process and includes, but is not limited to, fire risk assessors and validators.

4.13 Organization

The body responsible for providing the fire risk assessment.

4.13.1 Certificated Organization

An organization that has been awarded a certificate by a TPCB indicating that the organization complies with the requirements of this Scheme.

4.13.2 Sole Trader

An individual or any organization that uses the services of no more than one assessor.

***Note:** Where an organization employs two or more assessors, regardless of the manner of their engagement (e.g. casual, part time, temporary, PAYE, self-employed or sub-contract), the organization would not be regarded as a Sole Trader.*

4.14 Records

The means by which a Certificated Organization is able to maintain its information on fire risk assessments being planned, being undertaken or which have already been undertaken. Such records may be kept in a number of different formats, e.g. on paper or electronic media.

4.15 Review

The process by which a fire risk assessment is examined and evaluated in order to determine its adequacy.

4.16 Specification

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

4.17 Subcontractor

An organization that, by formal agreement, undertakes fire risk assessment work on behalf of the Certificated organization but which publishes the documented Fire Risk Assessment under their own name thus taking legal responsibility for it.

***Note:** Contracted in resources operating under the Certificated Organization's (CO) procedures and producing a documented Fire Risk Assessment which goes out under the COs name are deemed to be employees for the purposes of this scheme.*

4.18 Surveillance Audit

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

4.19 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 firm once it has been certificated.

The TPCB is required to have UKAS accreditation to BS EN ISO/IEC 17065 for the scope of this BAFE Scheme and to be licensed by BAFE.

4.20 UKAS

The United Kingdom Accreditation Service.

4.21 Validator

A named person with the competencies of a fire risk assessor and who has the responsibility and delegated authority to validate documented fire risk assessments on behalf of the Certificated Organization.

5 COMPETENCIES OF FIRE RISK ASSESSORS

Commentary

In order to produce a fire risk assessment that can satisfy the requirements of the law, it is essential that the person(s) carrying out the fire risk assessment and the Validator(s) are competent in their respective roles. It is particularly important that the TPCB is able to confirm the effectiveness of the process by which the Certificated Organization ensures the competence of their fire risk assessors and the Validators of the fire risk assessment. The assessors and validators are then further assessed by the TPCB to confirm competence.

At the time of developing this scheme there were no nationally recognised and accepted qualifications for fire risk assessors. This Scheme, therefore, requires that Certificated Organizations have systems in place to ensure that the competency of their fire risk assessor(s) knowledge and skill is appropriate to the work being undertaken.

The Certificated Organization should identify the competency requirements of their fire risk assessor(s) and be able to demonstrate that it has individually assessed all fire risk assessors against these requirements.

The certification bodies will maintain a list of validators for each certificated organization they certify. This list remains confidential, the information being shared only with the certificated organization concerned and BAFE.

BAFE will maintain a register of competent Sole Traders and Certificated Organizations and the details of the organisations and Sole Traders will be made publicly available on the BAFE website.

A competent fire risk assessor will demonstrate an enthusiasm for the subject and endeavour to make regular advancement in their professional vocation.

The fire risk assessor should have obtained specialist training where appropriate, receive ongoing refresher training and engage in suitable continual professional development. The Certificated Organization should be supporting such training and development needs.

- 5.1 The Certificated Organization shall demonstrate that it employs fire risk assessors who are competent to operate within the framework of national fire safety legislation of the country in question.
- 5.2 The fire risk assessor shall be competent and shall understand the requirements of the Specification. The responsibility for the effectiveness of the fire risk assessor rests with the Certificated Organization.
- 5.3 The Validator(s) shall be a named individual(s).
- 5.4 For each certificated organization, the TPCB shall maintain a register of the certificated organizations validators. The register shall contain the following information:
 - a) The names of each validator;
 - b) The certification status of each validator, and
 - c) Where relevant, the expiration date of the certificate of each certificated validator.

- 5.5 Where a validator commences or ceases to be employed by the certificated organization the register shall be amended to indicate the fact and the TPCB shall be notified within 30 days.
- 5.6 Where a certificated organization notifies the TPCB that a validator has been removed from the certificated organizations list, the TPCB shall remove the validator from the certification body's register and notify BAFE within 30 days of the change.
- 5.7 During the certification audit and every subsequent audit, the TPCB shall compare their register of competent persons with that of the certificated organization and they shall be the same.
- 5.8 The Certificated Organization shall establish a person specification for the fire risk assessor that identifies the knowledge and skills required. The person specification shall identify the minimum competency requirements and any additional competency requirements appropriate to the fire risk assessments being undertaken.
- 5.9 The Certificated Organization shall establish a person specification for the Validator that identifies the knowledge and skills required. The person specification shall identify the minimum competency requirements and any additional competency requirements appropriate to the reviews being undertaken.

Guidance Note for Clause 5.8 and 5.9

*The minimum requirements of the person specifications should be based on nationally recognised Competency Criteria for Fire Risk Assessors, such as that specified in Appendix A-I of the Competency Criteria for Fire Risk Assessors, which is produced by the Fire Sector Federation (formerly the Fire Risk Assessment Competency Council). For further guidance on assessing competency see **Annex B***

- 5.10 The Certificated Organization shall have an established procedure(s) to ensure that their fire risk assessors and validators are competent and remain competent. These procedures shall be regularly monitored by the Certificated Organization through a robust and documented process of internal audit.
- 5.11 The procedure referred to in **clause 5.10** shall include an on-site audit of risk assessment work carried out by each risk assessor and validator when first employed and then repeated at intervals not exceeding 36 months. The on-site audit shall comprise either an observed assessment of a premises undergoing assessment, or a review of a site previously assessed.
- 5.12 For an existing Certificated Organization, the TPCB should compare the organizations list of competent persons (assessors and validators) with the TPCB's register to identify any differences between them. Where differences are identified, the registers/lists shall be corrected and BAFE notified, if appropriate.
- 5.13 The fire risk assessor shall have an understanding of the requirements of this Scheme in relation to the certification of the assessments and the subsequent certification of the fire risk assessment.
- 5.14 For every fire risk assessment carried out on behalf of the Certified Organization, the fire risk assessor shall keep detailed notes and gather evidence during the assessment which may include, but not be limited to; observations, notes, photographs, copies of documents and information gained from third parties.
- 5.15 The Certificated Organization shall keep all evidence gathered during the fire risk assessment including; observations, notes, photographs, copies of documents and information gained from third parties and ensure that it is maintained in a secure and accessible condition. See also section for Management Systems **clause 9.2 e) ii).**

6 FIRE RISK ASSESSMENT

Commentary

Clients are not always clear what a fire risk assessment involves beyond the legal requirement for a fire risk assessment. The purpose and scope of the fire risk assessment should be made clear in some form of a specification. The specification should make clear the methodology such as the application of accepted guidance, using codes of practice or using mathematical modelling techniques. The specification should indicate how the records of the fire risk assessment will be presented. Any change to the specification should be agreed with the client.

This Scheme applies only to fire risk assessments where the purpose of the risk assessment is to assure life safety in compliance with fire safety legislation. However, certification under this Scheme does not preclude a Certificated Organization from carrying out fire risk assessments for other purposes or combining life safety fire risk assessments with fire risk assessments for other purposes.

Fire risk assessment may cover one premises, several premises or only part of a premises and, to avoid confusion, the premises and areas covered should be made explicit in the documented fire risk assessment.

The documented fire risk assessment should be presented in a format that is clear and readily understandable to anyone who reads it. It should record every significant detail that was found, an assessment of the nature and severity of fire risk, and the actions recommended for removing or mitigating that risk. A simple tick box exercise or checklist, unsupported by explanatory notes, will not be acceptable. It is important that the documented fire risk assessment records the authority and responsibility of those involved in carrying out the risk assessment including the person named under this Scheme as Validator of the completed fire risk assessment.

Fire safety legislation in the UK not only requires the duty holder to carry out a fire risk assessment but also to periodically review the risk assessment. Whether the review is carried out by the Certificated Organization or not, the review process falls outside the scope of this scheme. However, where the review reveals changes that require amendment of the fire risk assessment, the revisions, regardless of the extent of those revisions, should be subject to the same rigor as the original assessment.

- 6.1** The fire risk assessment shall be undertaken by an organization that is competent to provide fire risk assessments in accordance with the requirements of this Scheme.

Guidance Note for Clause 6.1

*Under this Scheme, evidence of compliance with the requirements of **Clause 6.1** is a current certificate issued by a TPCB and a current listing as a BAFE Listed Organization.*

- 6.2** The Specification shall make explicit the objectives of the fire risk assessment.

- 6.3** Each fire risk assessment shall be in accordance with one or more agreed Specification(s).

Guidance Notes for Clause 6.3

This can be:

- a) A recognised publicly available specification*
- b) The organization's own standard process.*
- c) The client's process.*
- d) A process detailed in the specification.*

- 6.4** The Specification shall clearly describe the process for carrying out the Fire Risk Assessment including how the Fire Risk Assessment is to be documented.

TPCB Note: *Examples of the process shall be assessed to the satisfaction of the TPCB.*

- 6.5 Where a Client does not provide a Specification, the Certificated Organization shall propose a Specification prior to accepting the Client's instruction.
- 6.6 All fire risk assessments shall conform to the agreed Specification and shall be suitable and sufficient for compliance with the relevant legislation.
- 6.7 The documented FRA issued to the client by the Certificated Organization shall be comprehensive and compliant with this scheme document see **Annex D** for a definitive list of criteria that the FRA shall encompass.
- 6.8 A tick box or check list approach to fire risk assessment shall be supported by adequate commentary to inform interested third parties as to the reasons why the decision was reached as to the adequacy or inadequacy of each relevant provision.

Guidance Note for Clause 6.7

A simple tick box would not be acceptable

- 6.9 Where it becomes necessary to change the Specification during the course of the fire risk assessment the change and the reasons for it, shall be documented and agreed in writing with the client.
- 6.10 Where a Certificated Organization amends, to any degree, a fire risk assessment resulting from a review, the amended fire risk assessment shall be subject to all the requirements of this scheme as if it were a new fire risk assessment.

7 VALIDATION

Commentary

The validation process has two main objectives; to ensure the report is in a fit state to be sent to the customer and, as part of the internal quality assurance process. The internal quality assurance process should, identify any skills/knowledge gaps of the assessor.

It is difficult for the writer of any document to recognize errors in their own work; so ideally the fire risk assessment report should be validated by someone else with at least comparable skills. In larger organizations, employing two or more assessors, a system of peer review should be easy to establish, however, in small organizations there would only be one assessor. Therefore, this scheme adopts a two-pronged approach.

*In organizations where there are two or more assessors, with just a few exceptions, each and every report would be validated, and that validation would be done by a competent person other than the assessor. In addition, a sample of reports would be audited by the CB, ensuring consistency of assessments and reviews, see also **Clause 11, CERTIFICATION AUDIT**.*

For Sole Traders, where there is only one assessor, the assessor is expected to carry out a separate exercise to objectively review their work as part of the validation process. While, arguably, not a thorough as peer review, this should pick up many errors and omissions. In addition, the CB would examine a sample of reports during each audit which should highlight shortfalls in the organizations process and in the assessor's skills and knowledge. The combined effect, though not perfect, should provide sufficient assurance of quality. Where a Sole Trader is sub-contracted to another Certificated Organization there is an opportunity for peer review by the main contractor who should validate and certificate the assessment in the same way they would an assessment produced by a directly employed assessor.

In all organizations, at least one person would be nominated to validate completed fire risk assessment reports. See **Clause 5, COMPETENCIES OF FIRE RISK ASSESSORS**.

This scheme recognises that in certain inherently low risk premises the degree of rigor referred to above may not be necessary. This is particularly true where the; design and use of premises are almost identical, the same organization is responsible for running all the premises and the assessments are carried out by the same assessor. The assessor would have the advantage of being able to compare and contrast the premises making anomalies on a single premises and systemic anomalies more obvious. Clearly, the reports would be almost identical, and nothing would be gained by validating every report.

- 7.1** The Certificated Organization other than a Sole Trader shall appoint one or more validators.
- 7.2** Each and every fire risk assessment shall be validated and verified by a Validator.
- 7.3** For Sole Traders, where only one person carries out fire risk assessments, the Fire Risk Assessor will also be the “Validator”. This person shall meet the competency requirements for Validators and be able to demonstrate, through records, that validation is carried out objectively and is a separate activity to the Fire Risk Assessment.
- 7.4** Where a Certificated Organization sub-contracts a fire risk assessment to a certificated organization who is also a Sole Trader:
 - a) The validation process shall be carried out by the main contractor;
 - b) The main contractor shall provide feedback from the validation process to the sub-contractor; and
 - c) Each and every change to the assessment report shall be made by or with the expressed permission of the Sole Trader.
- 7.5** For the validation process to be successful, and the report certificated and forwarded to the client, the validator shall be satisfied that the assessment satisfies the requirements of the specification and this Scheme for life safety fire risk assessment.
- 7.6** A record of the validation process shall be kept for each fire risk assessment report. The records shall contain, as a minimum, the unique identifier of the assessment; the name of the premises; the name of the assessor; then name of the validator; the date of the assessment; the date of the validation; brief details of any significant errors and omissions where clarification was necessary.

Guidance Note to 7.6

Recording any corrective actions over several reports may reveal patterns which may indicate training needs or organizational shortcomings which may go un-noticed if not systematically recorded and collated.

- 7.7** Fire risk assessments shall only be signed-off by a Validator of the Certificated Organization.

Guidance Note to 7.7

The name and signature of the validator should appear on the certificate of conformity for each fire risk assessment report. The name (or names, if there is more than one) of the validator shall appear on the fire risk assessment report.

- 7.8** Where FRAs are carried out under a single contract It is permissible for the FRAs to be subject to sample review and signed off as a batch by a Validator subject to the following criteria:
 - a) For retail/commercial premises comprising no more than two occupied floors (ground and first), single occupancy, no more than 10 occupants and does not comprise any form of sleeping risk.
 - b) Low rise, low risk (four storeys or fewer) housing premises of a specific generic type.

- 7.9** Irrespective of **7.8 a)** or **7.8 b)** above, if the FRA indicates that the premises in question is of medium or high risk then that FRA shall be subject to validation.
- 7.10** The sample size should be a minimum of two or 10%, whichever is the greater, per assessor used on the contract.
- 7.11** The Certificated Organization shall keep a register identifying which FRAs have been reviewed as part of the sampling process and which fire risk assessor carried out the FRAs that have been reviewed. The identity of the Validator(s) carrying out the review shall also be recorded on the register.

8 CERTIFICATES OF CONFORMITY

Commentary

To comply with this Scheme, the Certificated Organization should provide fire risk assessments of consistently good quality. For the fire risk assessment to be of value to the client and other interested parties they would need confidence in the fire risk assessment and the organization that provided it.

The Certificate of Conformity is a clear statement that the Certificated Organization produced the fire risk assessment for life safety, it is suitable and sufficient and compliant with this Scheme and is certified by a traceable competent individual.

- 8.1** Prior to the Certificate of Conformity being completed, the fire risk assessment shall have been validated and verified in compliance with **Clause 7** above.
- 8.2** A Certificated Organization shall issue a Certificate of Conformity for every fire risk assessment that it provides that wholly or partly addresses life safety.
- 8.3** A Certificated Organization shall not issue a Certificate of Conformity for any fire risk assessment that does not address life safety.
- 8.4** Where life safety and other aspects of fire protection are addressed in the same fire risk assessment a Certificate of Conformity shall be issued but the certificate shall make clear that the certificate applies only to the life safety aspects of the fire risk assessment.
- 8.5** A Certificated Organization shall not issue a Certificate of Conformity for any fire risk assessment that it has not carried out or has not been carried out on its behalf under a sub-contract agreement.
- 8.6** Where a single fire risk assessment covers more than one building or more than one premises a single Certificate of Conformity may be issued provided that it could be demonstrated that the fire risk assessment forms a single coherent documented exercise.
- 8.7** Where a Certificate of Conformity covers more than one building or more than one premises the reasons should be justified and documented.
- 8.8** The Certificate of Conformity shall include:
- a) The BAFE Logo as supplied by BAFE
 - b) The TPCB Logo as supplied by the TPCB
 - c) TPCB's certificate designation information as supplied by the TPCB
 - d) A statement of conformity to this Scheme
 - e) Name of issuing Certificated Organization
 - f) BAFE registration number of issuing Certificated Organization
 - g) The name of client and details of the location for which the fire risk assessment was provided.
Where this is only part of the premises or multiple premises, this shall be made clear

- h) Brief description of the scope and purpose of the fire risk assessment
- i) Effective date of the fire risk assessment,
- j) Recommended date for periodic review of the fire risk assessment
- k) A unique identifier for the certificate,
- l) Date of issue of the certificate
- m) The signature and job title of the Validator
- n) Name and address of the TPCB, and
- o) A statement that the certificate and the Scheme only relates to life safety fire risk assessment.

Guidance Note for Clause 8.8

See appendix A for model certificate.

9 MANAGEMENT SYSTEM

Commentary

For an organization to consistently provide fire risk assessments of a high standard the organization should be effectively managed. To enable TPCBs to assess the effectiveness of the Certificated Organization's management, the management system needs to be transparent.

The management system should include periodic internal reviews of the organization's performance and opportunities for improvement. The management system should include robust processes; for correcting faults or failures (corrective action).

This Scheme assumes that normally the fire risk assessor is either a direct employee of the Certificated Organization or is a sole trader comprising the Certificated Organization. However, it also recognises that the fire risk assessor may not be a full time employee but may be employed on a part time, temporary, or sub-contracted basis.

The following Clauses are applicable to all Certificated Organizations irrespective of size:

9.1 Certificated Organizations operating this Scheme shall operate an effective management system.

Guidance Notes for Clause 9.1

1. Third party certification to BS EN ISO 9001 by a UKAS accredited certification body with fire risk assessment in their accredited scope may be deemed by a TPCB to constitute significant supporting evidence of compliance with this clause.
2. Certification to BS EN ISO 9001 is not a mandatory requirement for this Scheme.

Adequate and effective competence maintenance procedures:

9.2 As a minimum, the management system shall include the following:

Documented procedures including internal audit systems for:

- a) Dealing with complaints.
- b) Ensuring the satisfactory initiation, execution, supervision if appropriate, and completion of the processes relevant to the Scheme and appropriate to the scale and complexity of the works undertaken.
- c) Ensuring that all key personnel have access to, and have knowledge of, relevant up to date data, Codes and Standards.
- d) Enabling the creation, maintenance and disposal of essential documents and records; and where documents and records are held electronically ensuring that there are adequate back up arrangements.

- e) Records of the complete process for each fire risk assessment which shall be made available, on request, to any interested party, legally entitled to them e.g. TPCBs, fire and rescue service and insurers, and shall include:
 - i) all observations, notes, photographs, copies of documents and information gained from third parties, in either paper or electronic form, made or collected by the fire risk assessor at the time of the fire risk assessment, and
 - ii) be maintained and made readily accessible for a period not less than five years from the date of completion of the fire risk assessment.

Guidance Notes for Clause 9.2e

1. Records should be available for inspection by the TPCB for each Fire Risk Assessment undertaken.
2. The TPCB should choose samples at random and inspect them as part of its audit of Competence. There should be clear evidence that the Fire Risk Assessments satisfy the Specification requirements.

- f) Corrective actions where process problems have been identified.

Guidance Note for Clause 9.2f

Corrective action consists of three elements:

- i) Determine root cause (Why did it happen?)
- ii) Determine immediate action required, if any
- iii) Determine what action is required to prevent a reoccurrence

- g) Where appropriate, a register of all instruments and equipment used for measurement, inspection and testing purposes and up to date records of calibration.
- h) A register of essential documents showing their issue status. This shall include this Scheme document, relevant Standards, Codes of practice and relevant publications.
- i) Competence records for all key personnel.

Guidance Note for Clause 9.2.i

The Guidance Note for Clause 5.9 lists evidence of Competence of the Fire Risk Assessor.

- 9.3** The Certificated Organization shall have appropriate insurance to cover:
- a) all statutory requirements and the requirements of the contracts they are engaged in, and
 - b) professional indemnity and public liability.

The following clauses are only applicable to Organizations other than Sole Traders:

- 9.4** Documented procedures including internal audit systems for:
- a) Establishing the competence of fire risk assessors, when first appointed and ensuring that their competence is reviewed in a period not exceeding 36 months, and
 - b) Establishing the competence of sub-contractors, where used, when first appointed and ensuring that their competence is reviewed in a period not exceeding 12 months.

Guidance Note for Clause 9.4b

A subcontractor under this scheme will be deemed competent and accepted as such if they are certificated by a UKAS accredited TPCB with Fire Risk Assessment in their scope. Eg Warrington Exova FRACS (individual and company scheme), IFC 0099 (professional company), BAFE SP205.

- c) The Certificated Organization shall demonstrate to the TPCB that they have a rolling program of desktop and site audits of the assessors and validators conforming to the requirements of **clause 5**.
- d) Providing for internal review and amendment of the management system, if appropriate, to ensure its continuing effectiveness and that the Certificated Organization continues to meet the client's expectations.
- e) Approved sub-contractors and records of periodic review.

Guidance Notes for Clause 9.4e

1. A simple register would suffice.
2. See also Guidance Note for Clause 9.2.1.2 above.

f) The management structure of the Certificated Organization.

Guidance Note for Clause 9.4f

This could take the form of an organization diagram.

- g) The responsibilities of key personnel.
- h) Management reviews, indicating that the management system is regularly reviewed and amended, if appropriate, to ensure the continuing effectiveness by the Certificated Organization and that it continues to meet the client's expectations.

9.5 The Certificated Organization shall clearly demonstrate that it exercises effective control over the fire risk assessor regardless of the fire risk assessor's contractual relationship with the Certificated Organization.

Note 1: *To ensure ongoing competence and quality of work, such control shall be equivalent to that applicable to a direct employee.*

Note 2: *Where there is any doubt about the employment status of the fire risk assessor or where the fire risk assessor is clearly employed by a separate and coherent organization (including self-employed fire risk assessors) that fire risk assessor or organization shall be regarded as a sub-contractor and shall comply with the requirements of this Scheme.*

Guidance Notes for Clause 9.5

1. *Effective control should include ensuring the fire risk assessor meets the Certificated Organization's minimum competency requirements, follows the Certificated Organization's procedures and is subject to regular reviews.*
2. *For the avoidance of doubt, franchisees should be considered to be individual organizations. For the purpose of this scheme they will be considered as sub-contractors and thus organizations requiring certification.*

9.6 The Validator shall be under the effective control of the Certificated Organization.

10 APPLICATION FOR CERTIFICATION AUDIT

10.1 Any organization, including sole traders, wishing to be assessed to the requirements of this BAFE Scheme shall make a written application to a TPCB.

10.2 The applicant shall provide, as a minimum, the following information:

- a) The name/names of the validator/validators or Sole Trader;
- b) Copies of 2 risk assessment reports completed by each validator or Sole Trader; and
- c) A detailed CV of each validator or Sole Trader.

10.3 The fire risk assessment reports referred to in **clause 10.2b** would be subjected to a desk top review by the TPCB prior to carrying out the certification audit.

10.4 Where the CV referred to in c) refers to membership of professional bodies, listing on a register (e.g. IFE, IFSM and IFPO) or certificated under an individual scheme (e.g., FRACS), sufficient information shall be provided to enable the TPCB to verify the reference. Where the applicant is a validator or Sole

Trader and they are verified as listed on a register, the TPCB may waive the requirement to submit copies of reports referred to in **clause 10.2b**.

- 10.5** A separate application shall be made for each operational location involved in certificating work. While each operational location shall be separately audited, certification can be at the organization's corporate level or at operational location level at the discretion of the TPCB.
- 10.6** Certification at the organization's corporate level is only permitted when all operational locations where fire risk assessments are undertaken are assessed as satisfactory by the TPCB.
- 10.7** Organization corporate level certification shall be withdrawn if any of the operational locations subsequently withdraws from the Scheme but continues to undertake fire risk assessments.

Guidance Note for Clauses 10.5, 10.6 and 10.7

This requirement is necessary to prevent any confusion arising regarding the organization locations from which certificated Fire risk assessments can be obtained.

- 10.8** The applicant organization shall demonstrate to the TPCB that they have the appropriate competence to undertake fire risk assessments for which they are applying.
- 10.9** An organization that is currently trading shall, as part of their demonstration of competence, make available for inspection sufficient fire risk assessments, completed and in progress, representative of the work to which the application relates.
- 10.10** The TPCB shall have successfully audited sample fire risk assessments carried out by the applicant organization's fire risk assessors prior to granting certification.
- 10.11** An applicant organization shall permit representatives of the TPCB to have access to the organization's contracting offices in order to examine and audit equipment, documentation and business processes.
- 10.12** The extent of the audit shall be prescribed by the TPCB having regard to the range, scale and geographical spread and complexity of fire risk assessments undertaken by the applicant Organization.
- 10.13** 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.
- 10.14** At application stage the Sole Trader or all validators shall be listed and they shall become BAFE Certificated following successful completion of their certification audit. An Organization shall have a minimum of one directly employed and BAFE Certificated Assessor at all times; failure to do so will, at BAFE's discretion, lead to immediate suspension of the Organization.

11 CERTIFICATION AUDIT

- 11.1** For the purposes of Certification Audit the Certificated Organization's operational location(s) shall be those recorded by the Organization at the time of application for certification under this Scheme. See Clause 10.5.
- 11.2** The organization shall have available at all their operational locations(s) the following items for audit by the TPCB's representatives:
 - a) Register of essential documents (see **clause 9.2**);
 - b) Copies of essential documents;
 - c) test instrumentation (when relevant) including records of assessment of accuracy;

- d) tools (when relevant) together with their operational handbooks etc. Note: this would include computational tools (hardware and software) used for mathematical modelling but excludes business tools;
- e) a register of fire risk assessments in progress and those completed during the previous 12 months;
- f) specifications, drawings, records, certificates and reports relating to work in progress and that completed over the previous 12 months;
- g) any other items that are relevant to the process and that the TPCB reasonably requires;
- h) evidence that adequate insurance cover is held for the work undertaken; and
- i) a register of any complaints received on the standard and performance of work relating to fire risk assessments together with details of the actions taken to resolve the complaints.

11.3 Participating organizations shall demonstrate to TPCB auditors that, overall, they have in place suitable policies, procedures, audits, etc. to ensure that personnel are competent for the work they undertake. (see section 9).

Guidance Note for Clause 11.3

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

11.4 The Certificated Organization's operational location(s) shall be adequate for the business being undertaken.

11.5 The Certificated Organization's operational locations(s) shall provide for the safe storage of important documentation and other data that is necessary for the protection of business continuity.

Note: *Examples include, but are not limited to, the storage of copies of documents at an alternative, safe, location and the backing up of electronic data to an IT facility at a remote and secure location.*

Guidance Notes for Clause 11.5

The Certificated Organization's operational locations(s) i.e. the offices, places of work etc. of an organization certificated to the requirements of SP205 should, ideally, be separate from other commercial premises that are not under the control of the Certificated Organization. The operational locations(s) should also, ideally, be physically separated from domestic premises.

11.6 In special circumstances e.g. where organizations are Sole Traders, the minimum requirements for premises, specified in sub clauses 11.6.1, 11.6.2 and 11.6.3 shall apply.

11.6.1 The area(s) used as a workplace shall be segregated from those used for other purposes.

11.6.2 The area(s) used as a workplace shall be secure in order that important documentation e.g. records of fire risk assessments, quotations, clients' drawings, are not vulnerable to abuse when the area(s) is not occupied by a representative of the organization.

11.6.3 The area(s) used as a workplace shall be adequately protected to prevent loss of or damage to materials relevant to this Scheme.

11.7 The organization shall be fully prepared for the audit by the TPCB's representatives and shall have available all the necessary materials and personnel relevant to the audit process.

11.8 The organization shall provide facilities and shall arrange access for the audit and provide transport to premises where work is selected for audit by the TPCB.

11.9 The certification audit shall include an audit of office administrative systems, and for each Validator, a desk-top audit of two FRAs completed within the preceding 12-month period.

11.10 For each validator and sole trader there shall be a minimum of one on-site audit.

Guidance Note for Clause 11.10

1. *The on-site audit may comprise a witnessed assessment carried out during the course of a fire risk assessment by a fire risk assessor of the Certificated Organization. Alternatively, the on-site audit may involve a visit to premises for which a fire risk assessment was recently carried out by the Certificated Organization.*
2. *The Auditor will put questions to the sole trader or validator and query their decisions to determine the level of their observation skills, knowledge and reasoning. Questioning may take place before, during or after the site audit or the desktop audit.*
3. *The purpose of the on-site audit is to verify the fire risk assessment processes and procedures that the fire risk assessment is valid and validate the competency procedures.*
4. *This initial certification audit will include the work of all Validators.*

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

11.12 The size of the sample should be no less than $0.6\sqrt{N}$ rounded to the nearest integer, where N is the total number of fire risk assessors, who are not Validators, employed by or contracted to the Organization. This sample should be representative of all operational locations and areas.

11.13 Of those persons who are not Validators, at least one shall be selected for an on-site audit. If the result of the TPCB's audits do not confirm the results of the organizations internal audit, further TPCB sampling may be required.

11.14 For each premises visited the TPCB shall audit evidence of the relevant fire risk assessor's practical skills in inspecting premises, identifying fire hazards and shortcomings in fire protection measures or management strategy and in formulating a suitable action plan.

12 AUDIT DECISION

12.1 On completion of the Certification Audit by the representatives of the TPCB, the organization shall receive an audit report recording any non-compliance and shall agree the time scale for the completion of remedial action.

12.2 The organization shall subsequently be advised by the TPCB of its decision as to whether or not certification is to be granted.

12.3 Certification will cease where there is no evidence of TPCB audit for a period of:

- a) 36 months for validators or
- b) 12 months for Sole Trader

12.4 Where there is a dispute between the organization and the TPCB relating to certification, the organization has the right to invoke the TPCB's appeals procedure established under the requirements of BS EN ISO/IEC 17021.

13 CERTIFICATION OF AN ORGANIZATION

13.1 An organization shall not advertise its services as a Certificated Organization complying with the requirements of this BAFA Scheme or make reference to the work for which it may be certificated until

it has been successfully assessed by the TPCB as complying with the requirements of this Scheme, is in possession of a current TPCB certificate and is listed by BAFE as a BAFE Listed Organization.

- 13.2** The TPCB certificate shall remain the property of the TPCB and shall be returned upon request, on cessation of certification for whatever reason.

Guidance Note to 13.2

The TPCB expectation will be that the Certificated Organization shall operate within the limits of its competence.

- 13.3** The Certificated Organization shall, at all reasonable times, make available its TPCB certificate to a representative of the TPCB.
- 13.4** On being granted a TPCB certificate, the Certificated Organization shall undertake to continue to comply with the requirements of this Scheme for the period covered by the certificate.
- 13.5** A Certificated Organization shall be eligible to remain certificated provided the organization continues to be engaged in fire risk assessment and continues to comply with the requirements of this Scheme and those of the TPCB.
- 13.6** The TPCB, at its own discretion and without the need to provide a reason, may request copies of one or more assessment reports for desk top review. The organization shall provide these in a timeframe specified by the TPCB.

14 CONFORMITY MARKING

- 14.1** Claiming 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. SP205;
 - b) the name or trademark of the Certificated Organization;
 - c) the postal address of the Certificated Organization, and
 - d) where authorized, the relevant TPCB Logo in association with the BAFE Scheme SP205 Logo.

Guidance Note for Clause 14.1

Conditions and restrictions for use of the BAFE Scheme SP205 Logo will be notified to the Certificated Organization upon successful completion of certification.

- 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 listing as a BAFE Listed Organization.

15 SURVEILLANCE AUDITS

- 15.1** Continued certification is conditional upon the results of Surveillance Audits which are undertaken by the TPCB to verify that the standard of work carried out by the Certificated Organization continues to meet the requirements of this Scheme, and that any non-compliances are satisfactorily cleared within the agreed time period.

Guidance Notes for Clause 15.1

1. *The Surveillance Audit should include sufficient fire risk assessments to permit the TPCB to audit the range of work covered by the organization.*

2. *The Surveillance Audit should include sufficient completed fire risk assessments to demonstrate competence in all aspects covered by the scope of certification.*
3. *The duration of the Surveillance Audit should be sufficient to audit the fire risk assessment work covered by the Organization's scope of certification and all the management system documentation and records covered within Clause 9 Management Systems.*
4. *Fire risk assessors should be audited on a rolling programme.*

15.2 The frequency and duration of Surveillance Audits will be determined by the TPCB and will depend upon the individual organization's situation and circumstances.

15.3 The first surveillance audit shall take place at each certificated location six months +/- one month after the initial certification audit. The second and subsequent surveillance audits shall take place at intervals of twelve months +/- one month from the anniversary date of the certification audit.

Guidance Notes for Clause 15.3

1. *Surveillance Audits may have to be split into several shorter visits where the fire risk assessment work covered by the organization's scope of certification is not all available at the time of the planned Surveillance Audit.*
2. *It is recognised that the stated objectives for Surveillance Audits can be effectively achieved by means of sampling techniques providing the TPCB effectively manages the sampling frequency.*
3. *Based on the findings of the audit the TPCB may require the period before the next Surveillance Audit to be reduced.*

15.4 All certificated Sole Traders shall be audited by the TPCB at intervals of not more than 12 months ± one month. In addition, and separate from their annual audit, Sole Traders shall submit twice a year two random recent fire risk assessments to their TPCB for desk top review. These random fire risk assessments shall be called for by the TPCB at a time nominated by them. Any adverse trends/comments noted by the TPCB shall be acted upon by them and the Certificated Organization.

15.5 All validators (who are not sole traders) shall be re-audited by the TPCB at intervals of not more than 36 months ± one month.

Guidance Note for Clause to 15.5

1. *For fire risk assessors, evidence of competence should include:*
2. *Experience in the practice of fire safety;*
3. *Training records;*
4. *Listing on a nationally recognised register of fire risk assessors or completion of a nationally recognised training course;*
5. *Evidence of successful application of knowledge such as an NVQ; and*
6. *Documented continual professional development (CPD);*
See appendices B and C for further guidance on determining the competence of fire risk assessors.
7. *Where a sub-contracting organization is already SP205 certificated they may be deemed to have satisfied the requirements of this clause.*

15.6 The review of the validator's work, by the TPCB, shall include an on-site audit.

15.7 The TPCB shall nominate a different representative sample of the organizations fire risk assessors, other than Validators, and shall carry out a desk-top audit of two FRAs completed by each selected assessor within the preceding 12-month period. The sample for each successive surveillance audit should, where practicable, nominate fire risk assessors who have not previously been audited. In nominating these samples, priority should be given to including those fire risk assessors who do not demonstrate the evidence of competency recognised in SP205 guidance note to **5.8** and **5.9**.

- 15.8** The size of the sample should be no less than $0.6\sqrt{N}$ rounded to the nearest integer, where N is the total number of fire risk assessors, who are not Validators, employed by or contracted to the Organization. This sample should be representative of all operational locations and areas.
- 15.9** Of those persons who are not Validators, at least one shall be selected for an on-site audit. If the result of the TPCBs audits do not confirm the results of the organizations internal audit further TPCB sampling may be required.
- 15.10** Where the Certificated Organization has given notice to the TPCB that it has nominated a new Validator, the TPCB shall carry out a dedicated audit of the nominee's competence. Where the notification occurs with 3 months of the next planned surveillance audit the dedicated audit may be delayed so it coincides with the surveillance audit.
- 15.11** Where, during a Surveillance Audit, the TPCB discovers adverse trends, a special audit shall be carried out by the TPCB normally within 30 days from the date of the routine Surveillance Audit, to verify that satisfactory corrective and preventive action has been taken by the organization to ensure that the standard of work carried out meets the Scheme requirements.
- 15.12** Where, during a Surveillance Audit, the TPCB finds that the overall standard of work falls below the Scheme requirements or where the organization has not satisfactorily cleared any non-compliance by the agreed date, the organization's certification shall be suspended for a period of time decided by the TPCB.
- 15.13** By the end of a suspension if the organization has demonstrated that adequate action has been taken to improve the standard of work to an acceptable level or has cleared the outstanding non-compliances the TPCB shall reinstate the certification. Where the organization fails to achieve this, the certification shall be withdrawn and BAFE notified accordingly.
- 15.14** Where an organization, having had its certification withdrawn, wishes to re-join the Scheme it shall submit a new application and undergo a complete re-Certification Audit.

16 CHANGE OF 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** Where there is A change of Validator the Certificated Organisation shall notify the TPCB in writing within 30 days of the change taking place and the change recorded on a list of competent personnel and the list shall be included as a recognised part of the organization's management system, see **clause 9.2**
- 16.3** Where changes within the organization are such that in the opinion of the TPCB the conditions under which certification was granted are significantly affected, the Certificated Organization shall make a new application for certification.
- 16.4** The Certificated Organization shall accept that at any time the TPCB has the authority to grant, maintain, suspend and, subject to appeal, withdraw the certification.
- 16.5** Upon withdrawal of certification, however determined, the organization shall immediately discontinue use of all advertising matter, stationery, etc. containing reference to certification and return the BAFE certificate and any certification documents as required by the TPCB and BAFE.

ANNEX A CERTIFICATE OF CONFORMTY (INFORMATVE)



TPCB LOGO

TPCBs Certificate Designation Information

**Life Safety Fire Risk Assessment
Certificate of Conformity**

This certificate is issued by the organization named in Part 1 of the schedule in respect of the fire risk assessment provided for the person(s) or organization named in Part 2 of the schedule at the premises and / or part of the premises identified in Part 3 of the schedule

SCHEDULE	
Part 1	1.1 Name of issuing Certificated Organization
	1.2 BAFE registration number of issuing Certificated Organization
Part 2	Name of Client
Part 3	3.1 Address of premises for which the fire risk assessment was completed
	3.2 Part or parts of the premises to which the fire risk assessment applies
Part 4	Brief description of the scope and purpose of the fire risk assessment
Part 5	Effective date of the fire risk assessment
Part 6	Recommended date for review of the fire risk assessment
Part 7	Unique reference number of this certificate

We, being currently a 'Certificated Organization' in respect of fire risk assessment identified in the above schedule, certify that the fire risk assessment referred to in the above schedule complies with the Specification identified in the above schedule and with all other requirements as currently laid down within the BAFE SP205 Scheme in respect of such fire risk assessment

Signed for and on behalf of the issuing Certificated Organization _____

Name and job title

Date of issue (DD/MM/YYYY)

Name and address of Third-Party Certification Body

BAFE, The Fire Service College, London Road, Moreton-in-Marsh, Gloucestershire, GL56 0RH
Tel 0844 335 0897; email: info@bafe.org.uk; www.bafe.org.uk

ANNEX B DETERMINATION OF COMPETENCY OF FIRE RISK ASSESSORS (INFORMATIVE)

This appendix is intended to provide guidance to fire risk assessment organizations and TPCB. It discusses methods that might use to determine the competence of fire risk assessors and validators before they are engaged, during their continued employment and certification. By following these suggested methods organizations should be able to ensure that their fire risk assessors are competent and demonstrate that competence to others.

B1 General

The following identifies five key areas: review of records, feedback, interviews, observations and examinations. There follows a brief description of each area and how they may be applied. Reliance on any one area is unlikely to confirm competence. A combination of several is recommended.

Areas 2 to 6 can provide a good indication of knowledge and skills but they are most effective when used with specified competence criteria, such as a person specification encompassing nationally recognised competency criteria.

B2 Review of records

Some records are indicators of knowledge, such as:

- a) Resumés or curriculum vitae showing previous work experience are useful when considering prospective fire risk assessors but may be less useful when reviewing current employees;
- b) Results of internal audits. Results of internal audits would be generated as part of the organization's quality management system and staff review;
- c) Education and training, and
- d) Qualification (See Examination).

Some records are indicators of skills, such as:

- a) Results of internal audits. Results of internal audits would be generated as part of the organization's quality management system and staff review;
- b) Work experience records. Employee records may be used to record work experience and would be useful in staff reviews;
- c) Fire risk assessment experience; and
- d) Education and training.

Other records are direct evidence of competence such as: a report of a performance appraisal of a fire risk assessor conducting a fire risk assessment. Observing an employee at work gives one of the strongest measures of competence. Direct observation is costly because of the time involved so many employers will be reluctant to use this method.

B3 Feedback

Direct feedback from past employers, and personal references from peers and from clients, can be an indicator of knowledge and skills. Feedback can be strongly influenced by the relationship between the person giving the feedback and the fire risk assessor.

Feedback alone should not be regarded as satisfactory evidence of competence but should be used in combination with other indicators of knowledge and skills.

B4 Interviews

Interviews such as employment interviews and interviews as part of performance reviews can be a way of gaining information about a person's knowledge and skills. Interviews can be used to verify or expand information from other sources relating to knowledge and skills.

Structured interviews combined with appropriate records and compared with specified competence criteria and job descriptions can provide direct evidence of demonstration of competence. Interviews can be an effective way to assess interpersonal skills, communication skills and linguistic ability.

B5 Observations

Observation of a fire risk assessor performing a fire risk assessment would provide the best evidence of competence as it would demonstrate application of knowledge and skills. One limitation of observing a fire risk assessor conducting a fire risk assessment is the level of challenge the fire risk assessment presents. Observing a fire risk assessor periodically would be useful to confirm continued competence.

B6 Examinations

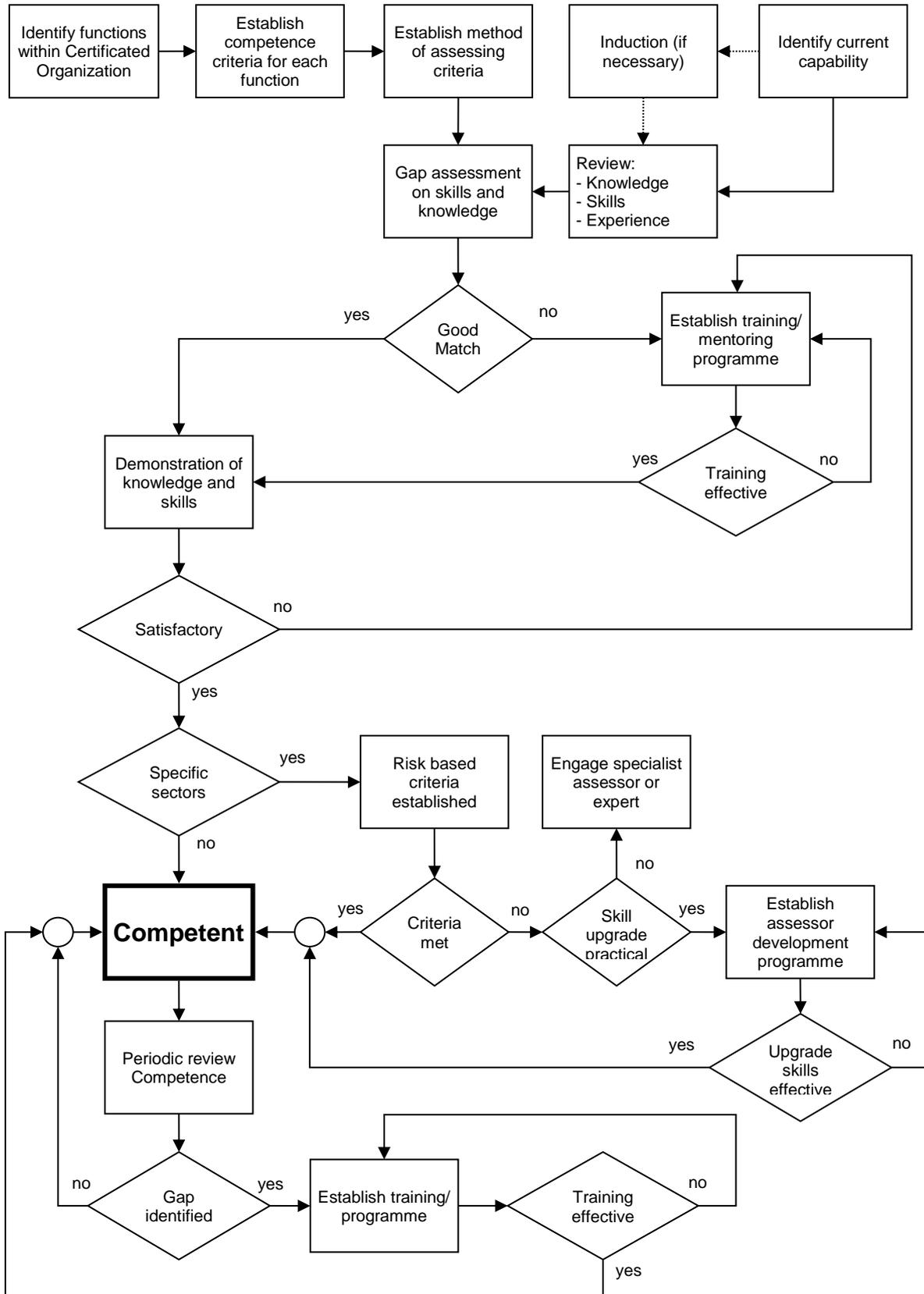
Written examinations can offer reliable and documented evidence of knowledge. Depending on the examination methods, written examinations can offer reliable and documented evidence on skills.

Oral examination, like written examinations, can provide good evidence of knowledge and limited outcomes about skills but depend on the examiner's competence.

Practical examinations can provide a clear indication of knowledge and skills, depending on the examination process and the examiners' competence. Methods may vary but may include case studies, real risk assessments and simulations.

The Certificated Organization should ensure that the scope of the examination is appropriate and confirm the competency of the examining body.

ANNEX C EXAMPLE OF A PROCESS FOR DETERMINING COMPETENCE OF FIRE RISK ASSESSORS (INFORMATIVE)



ANNEX D FIRE RISK ASSESSMENT CONTENTS (NORMATIVE)

- D1** The documented fire risk assessment issued to the client by the Certificated Organization shall include the following detail:
- a) The identity of the client;
 - b) The identity of the Responsible Person (or Duty Holder);
 - c) The identity of the person who has responsibility for fire safety at the premises;
 - d) The identity of the competent person appointed by the Responsible Person (or Duty Holder) to assist them to undertake the preventative and protective measures;
 - e) The exact location and extent of the premises that has been assessed;
 - f) The date(s) on which the assessment was carried out;
 - g) The identity and roles of key individuals from whom information was obtained as part of the assessment;
 - h) The criteria and recommended date by which the assessment should be reviewed;
 - i) The significant findings;
 - j) An overall assessment of risk;
 - k) Information required by relevant legislation;
 - l) A list of actions arising from the assessment indicating the severity and urgency and an indication of the time scale in which each action shall have been completed;
 - m) A unique reference identifier, and
 - n) The identities(s) of the validator(s) and Fire Risk Assessor.
- D2** A comprehensive FRA shall also have considered and documented the following headings in the report and sufficient supporting commentary shall be provided to allow the client to make a reasoned judgment as to the level and adequacy of life safety provision/s provided on the premises.
- a) A description of the premises, a description of the building(s) and an outline of the processes carried out on the premises;
 - b) Size, number of storeys, staircases, lift shafts, construction, and use of the building, evacuation policy and any fire engineered solution implemented within the Fire Precautions at the premises, etc.;
 - c) Information on the occupants of the premises; including those especially at risk in the event of fire, use by the general public, etc. If people with disabilities are identified give a brief description of their disabilities;
 - d) For residential care homes identify the staff/resident ratios for both day and night shifts together with the number, description and storey location of non-ambulant residents;
 - e) Information about previous fires in or on the premises and the cause where known;
 - f) detail any significant hazards in relation to:
 - i) Arson;
 - ii) Electrical faults;
 - iii) Smoking;
 - iv) Portable heaters, etc.;
 - v) Cooking;
 - vi) Lightning;
 - vii) Hot works;
 - viii) Housekeeping;
 - ix) Other significant ignition sources or process hazards
 - g) Has an appropriate overall premises risk rating been assessed and recorded taking into account likelihood and consequence of fires arising from these causes and has the overall risk been qualified? (*See Guidance Note 3 below*)
N.B. This is not the risk profile as in BS 9999;
 - h) Means for detecting fire and giving warning to occupants;
 - i) Means of escape from the premises (including provisions for disabled persons);
 - ii) Fire safety signs and notices;
 - k) Emergency escape lighting;

- l) Means to limit fire spread and development of fire (e.g. Compartmentation);
- m) Means for fighting fire;
- n) Other relevant firefighting systems and equipment; if provided;
- o) Maintenance of facilities to assist fire-fighters;
- p) Emergency action plan;
- q) Staff training and fire drills;
- r) Testing and maintenance of fire protection measures;
- s) Record keeping;
- t) Cooperation & coordination with other premises occupiers, neighbouring premises, emergency services and other authorities;
- u) Has an appropriate action plan been formulated;
- v) Has an appropriate review period been advised;

Guidance Notes for Annex D

1. *Where the client has more than one premises, more than one building on a site or occupies only part of a site or premises, the documented fire risk assessment should contain sufficient detail to ensure that any interested party, including a TPCB and the client, can identify the location covered by the fire risk assessment.*
2. *The date(s) on which the assessor visited the premises should be recorded.*
3. *Once all relevant fire hazards have been identified, and measures for their control or elimination have been determined, the fire risk assessor should exercise subjective judgement to assess and record the overall likelihood of fire as the summation of likelihoods of fire associated with each and every one of the fire hazards identified.*
4. *A further overall premises risk rating should be provided once all the action points have been fully implemented.*

ANNEX E BAFE SP205 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 SP205, Life Safety Fire Risk Assessment Certificated Organization's letterhead and other printed or promotional material
- For use in digital media
- On an SP205, Life Safety Fire Risk Assessment Report
- On an SP205, Life Safety Fire Risk Assessment Certificate of Conformity



Please note: The BAFE and BAFE Fire Safety Register logos are registered trademarks owned by BAFE. Only BAFE and BAFE Licensed Certification Bodies are permitted to use the logo without the scheme description box underneath without prior permission.

The BAFE SP205 Scheme Logo can only be used once you have been issued with your BAFE SP205 Scheme Registration Certificate from BAFE. BAFE SP205 Logo Guidelines are available from BAFE.

Amendment Record				
Document Title	Issue Date	Reviewed By	Approved By	
SP205 Version 5	June 2019	SP205 Monitoring Group	Schemes Manager	
Amendment Number and date	Clause No.	Description of Amendment		Approved By
Version 5 (June 2019)	General	Multiple changes to include Sole Traders within the Scheme		C Auger
	1.1	In-house departments and sole trader added		C Auger
	1.3	End of first line, "including" replaces "and"		C Auger
	1.4	Moved to 1.8 and "including sole trader" added		C Auger
	1.5	Moved to 1.9 and new 1.5 added		C Auger
	1.6	Moved to 1.4 and new 1.6 added		C Auger
	1.7	Moved to 1.10 and new 1.7 added		C Auger
	2	Clause 2.2 enhanced with additional words at end. New clause 2.4, 2.5 & 2.6		C Auger
	3	Scope re-defined. 3.2 – last sentence amended to "A subcontractor shall be certificated under this Scheme"		C Auger
	4	New definitions added and existing enhanced		C Auger
	5	<p>Commentary – first paragraph, last sentence added. Third paragraph, last sentence moved to become new paragraph 5. New 4th and 6th paragraphs. TPCB note removed.</p> <p>5.4 now 5.8 and new 5.4 added 5.5 now 5.9 and new 5.5 added 5.6 now 5.10 and new 5.6 added 5.7 now 5.13 and new 5.7 added 5.8 now 5.14 5.9 now 5.15 New 5.11 & 5.12 5.4, 5.5, 5.6, 5.7, 5.11 to 5.15+ guidance – new clauses added and previous clauses indexed down. Previous 5.7 moved to 5.16. New clause 5.19</p>		C Auger
	6	<p>Commentary – "a fire risk assessment added at end of first line 6.4 - TPCB note removed 6.7 - Last sentence reference tick box removed and added as new 6.8. Guidance from 6.7 moved to 6.8 6.8 now 6.9 6.9 - Guidance note deleted 6.9 now 6.10</p>		C Auger
	7	<p>Commentary - Fourth paragraph starts "for sole trader". New sentence added at end. 7.2 now 7.5 and enhanced 7.3 now 7.7 and new 7.3 added 7.4 now 7.8 and 7.4.1 now part of new 7.8 7.4.2 now 7.9 7.4.3 now 7.10 7.4.4 now 7.11 New 7.6</p>		C Auger
	8.1	8.1 - Reference to clause 7 added 8.8h removed and other bullets re-numbered		C Auger
	10	<p>10.2 now 10.5 and new 10.2 added 10.3 now 10.6 and new 10.3 added 10.4 now 10.7 and new 10.4 added 10.5 now 10.8, second sentence now new 10.9 10.6 now 10.10 10.7 now 10.11</p>		C Auger

		10.8 now 10.12	
	11	11.1 - Note moved into main clause 11.2 a) – register added b) now c) and new point b) added other points now re-numbered 11.5 – note 2 removed 11.9 – guidance moved to new clause 11.10 11.10 now 11.11. Second paragraph now new clause 11.12. Third paragraph now new 11.13 11.11 now 11.14	C Auger
	12.3	Now 12.4 and new 12.3 added	C Auger
	13.6	New clause	C Auger
	15	15.3 -Clause enhanced to say “Surveillance audit conducted at the anniversary date of the certification audit”. 15.4 now 15.7 and new 15.4 added 15.5 now 15.8 and new 15.5 added 15.6 now 15.10 and clause enhanced 15.7 now 15.11 15.8 now 15.12 15.9 now 15.13 15.10 now 15.14	C Auger
	16.2	Clause enhanced	C Auger
	16.5	Requirement for BAFE certificate to be returned	C Auger
	Annex D	Clause D1 n) added D2 e) – list moved to new point f) and other points re-ordered	C Auger
	Annex E	New annex added for Logo guidelines	C Auger
Version 4(a) (July 2015)		Multiple changes. See previous version for detail	T Maskens
Version 3 (June 2013)		Multiple changes. See previous version for detail	T Maskens
Version 2 (Dec 2012)		Multiple changes. See previous version for detail	T Maskens
Version 1(Jul 2012)		Multiple changes. See previous version for detail	T Maskens