



**Fire Protection Industry Scheme,
Reference SP203-4**

**For the Design, Installation, Commissioning &
Maintenance of
Emergency Lighting Systems**

British Approvals for Fire Equipment

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Notes to all users of this document:

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

Note 2: *Use of the BAFE Logo in relation to this BAFE scheme is restricted to those organisations certificated to operate SP203-4 and is subject to the rules that from time to time may be issued by BAFE.*

FORWARD

This version of the BAFE Scheme document was published in October 2018 for use by Third-Party Certification Bodies (TPCBs) and by those organisations involved in the certification process. This version supersedes all previous versions of the Scheme document. Major changes within this version are detailed on the Amendment Record at the end of this document.

An organisation 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 BAFE Scheme.

As a pre-requisite for registration to this Scheme the Certificated Organisation shall demonstrate it has a management system, with a relevant scope, in accordance with the requirements of ISO 9001 or a competency management system in accordance with the requirements of ISO 17065

1 INTRODUCTION

- 1.1** This BAFE Scheme has been developed to permit organisations involved with the design and/or installation and/or commissioning /handover and/or maintenance of emergency lighting systems to become third party certificated and listed as recognition of their competence to undertake their scope of work. By so doing, the Certificates of Compliance (C of C's) issued by Certificated Organisations, on completion of their work, will give the Client, insurance companies and enforcing authorities e.g. the Fire Authority and Building Control, confidence that the work has been correctly undertaken. Relevant matters relating to the safety of occupants of the buildings will have been taken into account.
- 1.2** This Scheme has four modules in recognition of the fact that each module may be undertaken by a different organisation. This modular approach is believed to be representative of the means by which a significant number of installations are designed, installed, commissioned, handed over and subsequently maintained by third party certificated organisations.
- 1.3** The Scheme recognises the importance of providing compliant emergency lighting systems to provide adequate safety to persons in the event of interruption of the normal lighting and having due regard to the hazard level and degree of familiarity of occupants within particular premises.
- 1.4** This Scheme document specifies requirements to be met by Certificated Organisations (a term that is defined in Clause 4) and also includes guidance notes. These are detailed in document SG1, Guidance for Modular Schemes. The guidance notes are advisory and are included to assist those persons needing further advice on the application and implementation of the Scheme.
- 1.5** Additional information relating to the operation of this Scheme can be found in BAFE Scheme document, Scheme Requirements for Certification Bodies and National Accreditation Body
- 1.6** From time to time amendments to this Scheme will be published and shown on the BAFE website

2 SCOPE

This BAFE Scheme covers the design, installation, commissioning, handover, verification, modification and ongoing maintenance of emergency lighting systems.

As a minimum, the emergency lighting systems should be designed to comply with the Code of Practice BS5266-1 (which itself refers to other parts such as BS EN 1838 and BS EN 50172) and, where possible, emergency lighting products should be certificated to the relevant product standard, such as BS EN 60598-2-22 and BS EN 62034, and deviations noted on the Certificate of Conformity.

3 OBJECTIVE

3.1 This BAFE Scheme has been developed to permit organisations involved with one or more of the following:

1. Design
2. Installation
- 3a. Commissioning
- 3b. Handover
4. Maintenance

of emergency lighting systems to become third party certificated and BAFE Listed as recognition of their competence to undertake their scope of work. By so doing, the certificates issued by these organisations on completion of their work will provide proof of competence as required by the Regulatory Reform (Fire Safety) Order 2005 for England & Wales, The Fire (Scotland) Act and the Fire Safety Regulations (Northern Ireland) and give the Client and relevant enforcing authorities e.g. the Fire Authority and Building Control, confidence that the work has been correctly undertaken.

3.2 The evidence of the delivery of the emergency lighting system to the required specification will be:

- a) modular certificates for the relevant work modules, and
- b) providing all work has resulted in the issue of Module Certificates and the project has been successfully verified, a BAFE Certificate of Compliance for the overall installed system.

***Note:** Where one organisation has carried out all the work i.e. Design, Installation and Commissioning, there will not be a need to issue modular certificates and it can directly issue the BAFE Certificate of Compliance.*

3.3 The process of the issuing of a BAFE Certificate of Compliance involves the final 'Verification' of the installed system. This should preferably be undertaken by the organisation having responsibility for the Design module. If, however, this is not possible then the Verification may be undertaken by another Certificated Organisation with at least the Design module included within its scope of certification to this Scheme. Sample BAFE Certificates of Compliance can be found in **Annex 4**

3.4 This Scheme document details BAFE's minimum requirements to be met by an organisation applying for third-party certification. TPCBs operating this Scheme may have additional requirements that have to be met before they certificate an organisation. Details of additional requirements can be obtained from the relevant Certification Body.

4 DEFINITIONS

4.1 Audit
A systematic review.

4.1.1 Initial Certification Audit

An audit with the objective of determining the suitability of an organisation to become a Certificated Organisation as defined in Clause **4.5**.

4.1.2 Surveillance Audit

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

4.2 BAFE

British Approvals for Fire Equipment. The body that owns the SP203 Schemes and is responsible for their maintenance.

4.3 BAFE Certificate of Compliance/Conformity

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

Note:** A BAFE Certificate of Compliance will be issued in addition to the certificates shown in BS5266-1. For an example of a BAFE Certificate of Compliance see **Annex 4.1

4.4 BAFE Listed Organisation

In the context of this BAFE Scheme, a company or body that has been listed by BAFE as competent to undertake one or more of the modules.

4.5 Certificated Organisation

A Company or body that has been awarded a certificate by a UKAS accredited Third Party Certification Body (TPCB) and that has been Listed by BAFE following the successful audit of their scope of work relevant to this BAFE Scheme. To remain certificated, the organisation will continue to demonstrate compliance with this BAFE Scheme during subsequent surveillance audits by the TPCB and will remain BAFE Listed.

4.6 Client

The organisation/person specified in the contract as being the recipient of the completed emergency lighting installation and the BAFE Certificate of Compliance.

4.7 Commissioning

The process by which an installation is tested to confirm that its performance and its functionality meet the particular specification for that installation.

4.8 Commissioning Organisation

The company or body responsible for issuing the Module Certificate to the Client according to the requirements of the Commissioning module of this BAFE Scheme. The same organisation may also undertake the Handover procedure.

4.9 Competence

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

***Note:** For emergency lighting systems operating at low voltage the competencies relating to electrical works are defined in the Electricity at Work Regulations.*

4.10 Defects

A fault, flaw, deficiency, weakness or shortcoming in a product, system or process relating to the design, installation, commissioning or maintenance of the certificated system

4.11 Design

The detailed selection, placement and configuration of products and interconnections to meet the Specified Requirements of an emergency lighting system, including the production of performance declarations, designs records and testing procedures.

4.12 Escape Route

A route designated for escape to a place of safety in the event of an emergency.

4.13 Emergency Escape Lighting

That part of emergency lighting that provides illumination for the safety of people leaving a location or attempting to terminate a potentially dangerous process before doing so.

4.14 Emergency Lighting System

The generic description of a system installed or planned to be installed in and around buildings for use when the supply to normal lighting fails.

4.15 Emergency Exit

A way out used during an emergency.

4.16 Handover

The process of transferring on-going responsibility for the installation from the Certificated Organisation to the Client specified in the contract as accepting the completed system. The handover process should include training of relevant staff responsible for the day to day management of the installation and may be a phased process dependent upon the plans for occupation and/or utilisation.

4.17 Handover Organisation

The Company or body responsible for issuing the Module Certificate, or similar document, to the Client according to the requirements of the Handover module of this BAFE Scheme.

4.18 Initial Testing

Testing, that includes inspection, of the system to ascertain its basic fitness for purpose. This may include, but is not limited to, quality of workmanship, insulation resistance testing, and earth leakage measurements.

4.19 Installation Organisation

The company or body responsible for issuing the Module Certificate, or similar document, to the Client according to the requirements of the Installation module of this BAFE Scheme.

4.20 Key Personnel

Those personnel that have a significant influence on a system. Those personnel could include Technical Manager/lead; named Designers; verifiers and commissioning engineers; installers and maintenance engineers

4.21 Maintenance

The process, by which an emergency lighting system is inspected, regularly serviced as required by the relevant Standard, tested and, if necessary, repaired in order to keep it in an effective operational state.

4.22 Maintenance Organisation

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

4.23 Module Certificate

The certificate completed by the organisation responsible for the work associated with particular module of the emergency lighting system that signifies completion of the work in accordance with the requirements of this BAFE Scheme.

***Note:** The basic certificate may be provided by the TPCB or, in certain circumstances, may be produced by the Certificated Organisation, See Annex 4*

4.24 Named Designer(s)

The named person(s) within the organisation who has demonstrated to the TPCB competence and authority to undertake the design process relevant to emergency lighting systems.

Note: The named person(s) will be assessed by a TCPB, during the application process and thereafter during routine Surveillance Audits and the named person(s) will be registered with a TPCB. Named Designers effectively hold the design qualification. Where the Named Designer leaves the employment of one organisation the design competence, assessed by the TCPB, will leave with that person.

4.25 Records

The means by which an organisation 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.

4.26 Specification

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

4.27 Specified Requirements

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

4.28 Subcontractor

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

4.29 System

The generic description of the emergency lighting system components installed or planned to be installed in and around buildings.

4.30 Third Party Certification Body (TPCB)

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

4.31 UKAS

The United Kingdom Accreditation Service.

4.32 Verification

The process by which the installed system and the design and commissioning records are inspected to check, as far as possible, that the installed emergency lighting system meets the requirements of the Design Specification and that the use and structure of the building has not been changed in any way that may compromise the design and to document and agree any deviations from relevant installation standards with the Client and any other stakeholder such as insurers and regulating authorities.

5 APPLICATION FOR CERTIFICATION AUDIT

5.1 An organisation wishing to be assessed to the requirements of this BAFE Scheme shall make a written application to a TPCB stating which modules are to be assessed and the Standards relevant to emergency lighting systems that the organisation requires to be included within their scope of certification. The desired scope of an organisation applying for Certification Audit is to be selected from the categories listed in **Annex A1.5.1** of this BAFE Scheme document.

5.2 Organisations offering a scope of products or services covering more than one of the individual modules of the Scheme shall make written application and be assessed for the full scope of their activities which are covered by this Scheme.

5.2.1 The Certification Audit covering all of the individual modules should be completed within 12 months of the date of application. Failure to complete all applied for modules within this period will result in a new application to be submitted for those modules not yet achieved

5.3 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 Organisation Corporate level or at operational location level.

Where an organisation applies for certification at Corporate level a single application is permissible, but the application must identify which operational locations are covered by the application and what scope of work each location undertakes.

An application for certification at Corporate level must include ALL locations that undertake any modules of work covered by this BAFE scheme.

Certification at the Organisation Corporate level is only permitted when all operational locations, where work in relation to modules within the organisation's scope is undertaken, are satisfactorily assessed by the TPCB.

Where an organisation holds certification at Corporate level not all the organisation's operational locations have to undertake the full scope of work for which the organisation itself is certificated. For example, whilst the organisation may hold Corporate level certification for design, installation, commissioning & maintenance, some operational locations may only undertake maintenance work.

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

Guidance Note for Clause 5.3

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

5.5 The applicant organisation shall demonstrate to the TPCB that they have the appropriate competence to undertake the scope of work for which they are applying. An organisation that is currently trading shall, as part of their demonstration of competence, make available for inspection sufficient work, completed and in progress, representative of the categories of work to which the application relates.

Guidance Notes for Clause 5.5

5.6 The organisation shall have been actively undertaking the work covered by the scope of its application and for which there is sufficient work to enable a TPCB to determine competence.

5.7 An applicant organisation shall permit representatives of the TPCB to have access to the organisation's contracting offices in order to assess equipment, documentation and business processes.

5.8 The extent of the audit shall be prescribed by the TPCB having regard to the range, scale and geographical spread of work for which certification is sought.

6 CERTIFICATION AUDIT

6.1 The organisation shall have available the following items for audit by the TPCB's representatives:
a) a list of projects in progress and completed that is representative of the scope of work that has been listed in its application

- b) specifications, drawings, records, certificates, and reports relating to work in progress and that completed over the previous 12 months
- c) any other items that are relevant to the process and that the TPCB reasonably requires
- d) evidence that adequate insurance cover is held for the categories of work undertaken, and
- e) a register of those installations where there are ongoing problems and have evidence of their effective management of these installations, and

Note: this reference to "effective management" recognises that the client may, in some instances, prohibit the organisation from undertaking all the remedial work that they may recommend.

Guidance Note for Clause 6.1 e)

6.2 Premises shall be adequate for the business being undertaken.

Guidance Note for Clause 6.2

6.3 In special circumstances e.g. where organisations are small, the minimum requirements for premises, specified in Clauses **6.3.1** and **6.3.2** shall apply:

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

Guidance Note for Clause 6.3.1

6.3.2 The area(s) used as a workplace shall be secured to prevent unauthorised access when unoccupied by a representative of the organisation, to ensure that documents, e.g. records of installed, quotations, Client's drawings, etc. are not vulnerable to abuse.

6.4 The area(s) used as a workplace shall be protected by adequate security measures. Adequate security measures may include:

- an intruder and fire alarm
- access control system
- a 24 hour man guarding patrol
- a secure site

6.5 The organisation 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.

6.6 The organisation shall provide facilities and shall arrange access for the audit and provide transport to sites where work is selected for audit by the TPCB.

7 AUDIT DECISION

7.1 On completion of the audit by the representatives of the TPCB, the organisation will receive an audit report recording any non-compliance and shall agree the time scale for the completion of remedial action.

7.2 The organisation will subsequently be advised by the TPCB of its decision as to whether or not certification is to be granted.

7.3 Where there is a dispute between the organisation and the TPCB relating to certification, the organisation has the right to invoke the TPCB's appeals procedure established under the requirements of BS EN ISO/IEC 17065.

8 CERTIFICATION OF AN ORGANISATION

- 8.1** An organisation shall not advertise its services as a Certificated Organisation complying with the requirements of this BAFE Scheme or make reference to the categories of work for which it may be certificated 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 listing by BAFE.
- 8.2** The Certificate issued by the TPCB will specify those categories of work that have been assessed as satisfactory. The TPCB Certificate will remain the property of the TPCB and shall be returned, upon request, on cessation of certification for whatever reason. The Certificated Organisation shall, at all reasonable times, make available its TPCB Certificate to a representative of the TPCB.
- 8.3** On being granted a TPCB Certificate, the Certificated Organisation undertakes to continue to comply with the requirements of this Scheme for the period covered by the Certificate.
- 8.4** A Certificated Organisation shall be eligible to remain certificated provided the organisation continues to be engaged in the provision of emergency lighting systems work and continues to comply with the requirements of this Scheme and those of the TPCB.

9 SURVEILLANCE AUDITS

- 9.1** The Certificated Organisation shall demonstrate conformity with Clause 6.1 to Clause 6.6, together with Clause 9.1 to Clause 9.6 during surveillance audits.

Note: *Continued certification is conditional upon the results of surveillance audits. These audits are undertaken by the TPCB to verify that the standard of work carried out together with the implementation of the documented management system by the Certificated Organisation continues to meet the requirements of this BAFE Scheme.*

- 9.2** Any non-conformities identified during surveillance activities shall be resolved to the TPCB's satisfaction within agreed time scales.
- 9.3** The frequency and duration of Surveillance Audits will be determined by the TPCB and will depend upon the individual organisation's situation and circumstances. After approximately 12 months from the Certification Audit and every 12 months thereafter, there shall be surveillance audits that examine, technically, the work from each module covered by the scope of certification.

Guidance Notes for Clause 9.3

- 9.4** Where, during a surveillance audit, the TPCB finds that the overall standard of work falls below the Scheme Requirements, or where the Certificated Organisation has not satisfactorily cleared any non-compliances by the agreed date, the organisation's certification shall be suspended for a period of time decided by the TPCB.
- 9.5** Where the organisation fails to demonstrate that adequate action has been taken to improve the standard of work to an acceptable level or fails to clear the outstanding non-compliances by the end of the period of suspension, the organisation's certification shall be withdrawn by the TPCB.
- 9.6** Where an organisation, having had its certification withdrawn, wishes to re-join the Scheme it must submit a new application and undergo a complete re-Certification Audit.

10 MANAGEMENT SYSTEMS

Certificated Organisations operating any of the modules of this Scheme shall operate an effective management system. As a pre-requisite for registration to this Scheme the Certificated Organisation shall demonstrate it has a management system in accordance with the requirements of ISO 9001 or a management system in accordance with the requirements of ISO 17065

- a) Records to provide evidence of corrective actions where process problems have been identified
- b) A procedure to deal with complaints or defects associated with the modules undertaken
- c) The maintenance of a register of approved sub-contractors, where sub-contractors are permitted by this Scheme
- d) The management structure of the organisation
- e) The responsibilities of key personnel who are involved in each certificated module shall be recorded in a register of competent personnel and the register shall be included as a recognised part of the organisation's management system. In addition, the TPCB shall be informed of the change within 30 days of it taking place.
- f) Procedures to cover the satisfactory initiation, execution, supervision and completion of the processes relevant to the modules of the Scheme and appropriate to the scale and complexity of the works undertaken
- g) A register of all instruments and equipment used for measurement, inspection and testing purposes. Equipment shall be calibrated or tested as per manufacturers recommendations or verified, at specified intervals, for their ongoing accuracy. Calibration/test certificates should have result measurements traceable to national standards
- h) A register of Standards and publications, including manufacturers' literature, technical literature from manufacturers and trade organisations, that is maintained showing their issue status. Relevant staff shall have access to these documents
- i) Suitable policies, processes, audits and records etc. to ensure that personnel are competent for the work they undertake
- j) Competency records for all technical staff
- k) Procedures to ensure that all relevant personnel have access to and have knowledge of relevant up to date data, Standards and Codes of Practice
- l) Evidence that the management system and KPIs are regularly reviewed, and amended where appropriate, to ensure its continuing effectiveness
- m) Key performance indicators with respect to:
 - i) The level of achievement, by month, for the execution of periodic contractual maintenance visits,
 - ii) Failure to achieve the contractual time to respond to requests for corrective actions i.e. emergency, maintenance.
- n) Control of conformity declarations and marking.

Note: BAFE Modular Scheme Logos shall only be used by Certificated Organisations holding relevant BAFE Listing. Where the BAFE Listing for a particular location is limited to Maintenance only, the BAFE Modular Scheme Logo "SP203 – Part 4 Maintenance only" shall only be used in respect of maintenance work carried out from that particular location.

11 PROCEDURES FOR CERTIFICATION OF MODULES, COMPLIANCE AND MODIFICATIONS

11.1 Module Certification

- 11.1.1** Subject to the special conditions, stated in Clause **11.3.1**, relating to the module certification of modifications, SP203-4 Certificated Organisations, as defined in Clause **4** of this BAFE Scheme, shall issue Module Certificates for all the work they undertake that falls within the

scope of their SP203-4 assessed certification

Note 1: *In signing a Module Certificate each Certificated Organisation is formally confirming that their module of the project fully complies with the requirements of this scheme.*

Note 2: *Details of the information to be included within Module Certificates are included in Annex 1.*

11.1.2 The details of the procedure for ensuring that Module Certificates are prepared and handed over to the Client or the Client's representative should be clearly stated in the contract documentation relating to the installation. This should also advise that the documentation should be available to those Certificated Organisations responsible for subsequent certification.

11.1.3 Where different Certificated Organisations complete modules of an installation, formal evidence of module completion shall be provided as soon as possible after the completion. This would normally be achieved by the issuing of a Module Certificate.

11.1.4 The Module Certificate shall be made available to the Client and/or the Certificated Organisation undertaking the next module.

Note 1: *While it would be an advantage if the Module Certificate was provided prior to the following module being started, this will often be impractical and Certificated Organisations should agree with the Client when it is practically possible to commence work on the succeeding module.*

Note 2: *It is often the case that additional work will need to be undertaken, e.g. by the System Designer, as the project progresses and as issues arise that are outside of the scope of succeeding modules. When such additional work is required, the organisation originally contracted to undertake the module would normally be expected to offer to provide the appropriate input. However, it is then up to the Client to decide whether to accept the offer.*

11.1.5 Where an organisation takes responsibility for more than one module, the evidence can be of formal completion of the combined modules as long as they directly succeed one another.

11.1.6 Where Module No.3, Commissioning and Handover, is sub-divided into two parts; 3a and 3b with separate Certificated Organisations for each sub-module, there shall be a separate Module Certificate issued for each sub-module.

11.1.7 Where an organisation is contracted to carry out the whole of the project (Design, Installation, Commissioning and Handover) Module Certificates for each module are not necessary. On satisfactory Commissioning and Verification, a final BAFE Certificate of Compliance can be issued as this certificate includes the relevant information included within the Module Certificates.

11.2 Compliance Certification

11.2.1 Where an emergency lighting system is to be issued with a BAFE Certificate of Compliance in accordance with the requirements of this Scheme, there are generally three ways in which this can be achieved:

- a) Where a single Certificated Organisation is responsible for all modules of the work.
- b) Where different Certificated Organisations provide one or more modules of the work e.g. the Design module is provided by one Certificated Organisation and the Installation, Commissioning and Handover modules are provided by a different Certificated Organisation.

- c) There is a thorough survey of the existing installation that results in the retrospective certification of the whole system, including any modification, and a BAFE Certificate of Compliance is issued.

11.2.2 The issue of the BAFE Certificate of Compliance is confirmation that the whole system meets the contractual requirements in terms of performance and compliance.

*Note: An example of a BAFE Certificate of Compliance can be found in **Annex 4.1***

11.2.3 Where a single Certificated Organisation is responsible for providing the whole of the work, that Certificated Organisation shall issue a BAFE Certificate of Compliance to the Client, provided that the Certificated Organisation has an SP203-1 certificated scope covering all relevant modules and verification of the work.

11.2.4 Where more than one Certificated Organisation is involved in providing the modules of the project (Design, Installation, Commissioning and Handover) the Certificated Organisations responsible for Commissioning and Handover shall issue the BAFE Certificate of Compliance to the Client, provided that:

- a) all of the work has been carried out by Certificated Organisations that have been certificated to the requirements of this Scheme to carry out those modules of the work for which they have had responsibility
- b) the signed Module Certificates from each of the Certificated Organisations, declaring that they have fully discharged their responsibilities in accordance with the relevant requirements of this Scheme, shall be made available to the Certificated Organisation responsible for issuing the BAFE Certificate of Compliance to the Client, and
- c) prior to the BAFE Certificate of Compliance being completed, the installed System shall have been verified in relation to the System Design by either the Organisation responsible for the original System Design module or by another Certificated Organisation with an appropriate scope in relation to this Scheme i.e. a scope that includes Design and Verification.

11.2.5 While it is recognised that systems will normally be issued with a BAFE Certificate of Compliance when first installed by organisations operating under the requirements of this Scheme, there may be instances when certification is required at a later date. Under these exceptional circumstances, an organisation that has been third party certificated to undertake Design and Verification may issue a BAFE Certificate of Compliance retrospectively, provided that the work is surveyed and verified as meeting the requirements of this Scheme. See also Clause **16.9** and Clause **16.10**.

11.3 Modification Certification

11.3.1 For emergency lighting systems an SP203-4 certificate for a modification shall only be issued if the modification meets one or more of the following criteria: -

- i) replacement of a central power supply unit or control equipment with a different type of unit
- ii) the addition to the system of at least 5 emergency luminaires.

11.3.2 Providing the requirements of Clause **11.3.1** i) or ii) are met, a Certificate of Modification of the system shall be issued.

Note: The purpose of the Certificate of Modification is to formally record modification work as this may be a substantial part of the activities of an SP203-4 Certificated Organisation.

11.3.3 The Certificate of Modification is to be produced in a format that generally accords with that shown in **Annex 4.5** and must not be easily confused with the BAFE Certificate of Compliance.

Note: The Certificate of Modification shall include the BAFE Logo.

- 11.3.4** For modification projects of a size that requires the issuing of a Certificate of Modification as specified in Clause **11.3.1** all the work shall be undertaken by Certificated Organisations with an SP203-4 scope covering their work and where more than one SP203-4 Certificated Organisation is involved with the modification work, each shall provide an appropriate Module Certificate and one of the organisations shall have responsibility for providing the Certificate of Modification.
- 11.3.5** For small modification projects of a size that prohibits the issuing of a Certificate of Modification as specified in Clause **11.3.1**, all the work may be undertaken by one SP203-4 Certificated Organisation providing that organisation has the appropriate competence and meets relevant legislative requirements e.g. for the installation of low voltage electrical circuits.
- 11.3.6** Modification projects that naturally fall within the requirements of Clause **11.3.1** shall not be split into two or more projects that fall within the requirements of Clause **11.3.5**.

11.4 Maintenance Certification

- 11.4.1** The Certificated Organisation shall record the details of the work undertaken during maintenance visits in accordance with the relevant Annex of BS5266-1 and shall keep this available for possible Surveillance Audit checks by the Third-Party Certification Body.

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

- 11.4.2** A Certificated Organisation with Maintenance included within its scope of activities shall issue an annual Maintenance Certificate to complement the Maintenance Reports issued after each maintenance visit. The Maintenance Certificate shall, as a minimum, include the information specified within **Annex A1.1.2**. Maintenance Certificates may be issued for installations with a BAFE Certificate of Compliance and for non-certificated installations and shall clearly state whether or not the installation has a current BAFE Certificate of Compliance and if so should state the Certificate Number.

Guidance Note for Clause 11.4.2

- 11.4.3** The Commissioning Certificate, detailed in **Annex A1.1.1**, will state the date by which System maintenance is to commence. 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 Organisation and any work necessary to restore the System to its original specification should be undertaken prior to the issue of the Maintenance Report.

12 MODULE No. 1 – SYSTEM DESIGN

- 12.1** System Design shall be undertaken by an organisation that has been certificated by a TPCB and subsequently listed by BAFE as being competent to design emergency lighting systems in accordance with the requirements of this BAFE Scheme.

Note: For the avoidance of doubt, System Design may be sub-contracted only to another Certificated Organisation.

Guidance Note for Clause 12.1

12.2 The Certificated Organisation shall retain the appropriate number of Named Designers required within its scope of approval and relevant to the amount of work undertaken and shall notify the TPCB should there be a change in the number of designers that will affect the Certificated Organisation's ability to fulfil its design obligations

12.3 The Designer(s) shall be competent and shall understand the Specified Requirements.

Note: Whilst the person(s) having authority to sign off designs on behalf of the Certificated Organisation shall be named individual(s), the responsibility for the effectiveness of the design rests with the Design Organisation that will have been third party certificated as meeting the requirements of this Scheme.

12.3.1 Competency Requirements

The minimum competency required by a Named Designer is attendance and successful completion of a recognised emergency lighting course

Where the Named Designer(s) is responsible for the design of the electrical installation to the requirements of BS7671 they will also require the following competencies:-

- EAS (2015) - TABLE 4B* minimum technical competence criteria required for a proposed qualified supervisor for all electrical installation work entry route knowledge and understanding requirements experience: -
- C & G 2382 – Certificate in the Requirements for Electrical Installations
Plus
- C & G 2396 – Design, erection and verification (or equivalent)

Guidance Notes for Clause 12.3

12.4 Each design shall be in accordance with one or more detailed written and agreed specification(s).

Guidance Note for Clause 12.4

12.5 The Design Organisation shall demonstrate an understanding of the importance of properly safely connecting to electricity supplies. Evidence shall exist of its ability to effectively liaise with other organisations to achieve the desired functionality of the interfaced systems and to ensure the provision of relevant information.

12.6 The Design Organisation shall keep comprehensive design records of the complete design process for each project and shall make available those records required by organisations responsible for other modules of systems included within this Scheme.

12.7 The Design records shall be maintained and made readily accessible for a minimum of 7 years, or the minimum legal requirement whichever is the greater, from the date of handover of the project or until some other organisation, e.g. the owner of the installation formally takes responsibility for their ongoing storage and maintenance.

Guidance Notes for Clauses 12.6 and 12.7

12.8 There shall be clear evidence of the formal completion of the initial design process to the point at which the installation process can commence. In addition, there shall be provision for the design process to continue until the System Installation and Commissioning is completed and the BAFE Certificate of Compliance is to be produced.

Guidance Notes for Clause 12.8

- 12.9** Design Organisations undertaking design change(s) work shall issue design certificates generally in accordance with the relevant part of BS5266-1.

Guidance Notes for Clause 12.9

- 12.10** The Design Organisation shall issue a Module Certificate for each designed installation complying with the Specified Requirements.

13 MODULE No. 2 - INSTALLATION

- 13.1** Installation of emergency lighting systems shall be undertaken by an organisation or organisations that are either:
- a) certificated by a TPCB and listed by BAFE as meeting the requirements of this BAFE Scheme, or
 - b) are certificated by a UKAS accredited Certification Body to BS EN ISO/IEC 17065 or 17021 to operate schemes that are within one or more of the scopes listed in **Annex 1** and that are appropriate to the work being undertaken.

Guidance Notes for Clause 13.1

- 13.1.1** In the case of UK remote islands and Crown dependencies and only where there are no Certificated Organisations available to carry out installation, commissioning and maintenance special requirements shall apply. See **Annex 4**.

- 13.2** Sub-contracting of installation work to a non-Certificated Organisation shall be subject to the demonstration of competency and appropriate qualification. The Certificated Organisation remains at all times responsible for the quality and standard of sub-contracted work.

- 13.3** The Installation Organisation shall be competent and understand the Specified Requirements as they apply to the installation process.

- 13.4** The minimum technical training required by an installer or the subcontract organisation, is attendance and successful assessment on a recognised emergency lighting course provided by a nationally recognised organisation

For low voltage systems as defined in BS7671 the installer(s) will also require the following competency:-

- Installation - C & G 2382 – Certificate in the Requirements for Electrical Installations
- Recognised course in safe isolation

- 13.5** The installation shall be in accordance with the agreed specified design

- 13.6** All equipment covered by a Harmonized European Standard shall be third party certificated to appropriate Standards (e.g. BS EN 60598-2-22, BS EN 50171) and, where relevant, meet the requirements of the Construction Products Regulations (CPR):

Guidance Note for Clause 13.6

- 13.7** Equipment not covered by **13.6** need not be third party certificated but shall conform to appropriate Standards.

Guidance Note for Clause 13.7

- 13.8** The Installation Organisation shall issue a Module Certificate for each installation complying with the Specified Requirements unless the Installation Organisation is the same organisation as that contracted to undertake the Initial Testing, Commissioning and Handover, in which case a single Module Certificate covering both Modules is acceptable.
- 13.9** The Installation Organization shall keep comprehensive records of the Installation process for each project and shall make available, to other organizations and/or the Client, those records required by organizations responsible for other Modules of installations included within this Scheme.
- 13.10** The Installation records shall be maintained and made readily accessible for 7 years or the minimum legal requirement whichever is the greater, from the date of handover of the project unless dictated otherwise by the contract or until some other organisation, e.g. the owner of the installed System, formally takes responsibility for their ongoing storage and maintenance.

Guidance Notes for Clauses 13.9 and 13.10

- 13.11** There shall be clear evidence of the formal completion of the Installation process to the point at which the Initial Testing and Commissioning can commence.

Guidance Note for Clause 13.11

14 MODULE No. 3 – COMMISSIONING AND HANDOVER

- 14.1** Commissioning may involve some Initial Testing of the System. The Installation Organisation may undertake some or all of the Initial Testing. Under these circumstances, the Commissioning Organisation shall assess the results prior to undertaking Commissioning.
- 14.2** Initial Testing, Commissioning and Handover of the System shall be undertaken by one or more organisations that are certificated by a TPCB and Listed by BAFE as meeting the requirements of this BAFE Scheme.

Note: *For the avoidance of doubt, Commissioning and Handover may be sub-contracted only to another Certificated Organisation.*

- 14.3** Dependent upon the contract, Handover of the System may be undertaken by a different organisation to that which undertakes Commissioning. This BAFE Scheme permits separate module certification of the Handover process provided that all the organisations meet the requirements of Clause **14.2**. Where Commissioning and Handover are the responsibility of two separate organisations, the organisation responsible for Commissioning shall provide the Handover Organisation sufficient evidence to assure them that the final testing and commissioning had been completed satisfactorily and that deviations are clearly identified.

Guidance Note for Clause 14.3

- 14.4** The Commissioning Organisation shall demonstrate its competence to initially test, commission, and handover the installed emergency lighting system and shall understand the Specified Requirements.
- 14.4.1** The minimum competency required by a commissioning engineer is attendance and successful completion of a recognised emergency lighting course provided by a nationally recognised organisation
- 14.4.2** Where the Commissioning and Handover Organisation is responsible for the electrical installation to the requirements of BS7671 they will also require the following competencies:

- C & G 2382 – Requirements for electrical installations
- C & G 2394 – Initial & fundamental inspection & testing (or equivalent)
- EAS (2015) - TABLE 4B* minimum technical competence criteria required for a proposed qualified supervisor for all electrical installation work entry route knowledge and understanding requirements experience

Guidance Notes for Clause 14.4

- 14.5** The installation shall be commissioned and handed over in accordance with the agreed Specified Requirements.
- 14.6** For installations where there is no specification provided that states the Standard or Code to which the System should comply the following procedure shall be followed by the organisation undertaking the Commissioning:
- a) The Certificated Organisation receives an instruction to commission an emergency lighting system.
 - b) If no detailed specification is provided, the Certificated Organisation shall formally request a specification from their Client
 - c) If no detailed specification is forthcoming after the formal request, the Certificated Organisation shall inform their Client, in writing that they will commission the system in accordance with BS5266 and include any deviations.
 - d) On completion of Commissioning, the Certificated Organisation shall issue a Commissioning Certificate, as specified in **Annex 4** including a statement of system deviations, irrespective of whether they have been agreed by the Client.
- 14.7** For installations where there is nobody representing the Client on site to liaise with the engineer during the commissioning process and where the Client refuses requests for a liaison person, the following procedure shall be followed by the organisation undertaking the Commissioning:
- a) The Certificated Organisation shall advise the Client of the date that Commissioning will be undertaken.
 - b) After the Commissioning is completed, draft commissioning and handover documentation is to be forwarded to the Client with a covering letter advising of any deviations to BS5266.

Copies of all relevant correspondence shall be retained by the Certificated Organisation and made available to their TPCB on request during a surveillance audit

- 14.8** The Certificated Organisation shall keep comprehensive test, commissioning and configuration records for each project and shall make available those records required by organisations responsible for other Modules within this BAFE Scheme.
- 14.9** The Commissioning and Handover records shall be maintained and made readily accessible for a minimum of 7 years, or minimum legal requirement whichever is the greater, from the date of handover of the project unless dictated otherwise by the contract or until some other organisation, e.g. the owner of the installed System, formally takes responsibility for their ongoing storage and maintenance.

Guidance Notes for Clauses and 14.9

- 14.10** There shall be clear evidence of the formal completion of Initial Testing, Commissioning and Handover to the point at which the Client takes ongoing responsibility for the installation.

Guidance Notes for Clause 14.10

- 14.11** Evidence shall be available that adequate records of all phases of the project have been passed to the Client prior to completion of Handover, and that the Client has been recommended to retain the records for at least the lifetime of the installed System.

Guidance Note for Clause 14.11

15 MODULE No. 4 – MAINTENANCE OF THE SYSTEM

15.1 Maintenance of the emergency lighting System shall be undertaken by an organisation that is certificated by a TPCB and Listed by BAFE as meeting the requirements of this BAFE Scheme.

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

15.2 The organisation shall demonstrate its competence to maintain the installed equipment and shall understand the Specified Requirements.

15.2.1 The minimum competency requirement for a maintenance engineer is attendance and successful completion of a recognised course provided by a nationally recognised organisation.

15.2.2 Any personnel carrying out Maintenance work on those parts of the emergency lighting installation covered by the requirements of BS7671 will also require the following competencies:

- Installation - C & G 2382 – Certificate in the Requirements for Electrical Installations and
- Attendance and successful completion of a recognised course in safe isolation provided by a nationally recognised organisation.

Guidance Note for Clause 15.2

15.3 Where modification work is carried out to those parts of the emergency lighting installation covered by the requirements of BS7671 personnel shall also have the competencies defined in Clause **14.4.2**

15.4 The organisation shall have sufficient resource with adequate competence to:

- a) effectively undertake the maintenance work to which it is committed
- b) investigate and subsequently rectify system related problems which result in partial or full failure
- c) permit attendance on site to maintain faulty systems within the time specified by the contract

15.5 The Maintenance Organisation shall have adequate resources to permit attendance on site to maintain faulty systems within the contracted time.

15.6 As required by Clause **15.5**, more than one person needs to be available to cover for holidays and illness etc. Whilst a single person Maintenance Organisation may be able to satisfy all other requirements of **Clause 15**, the Maintenance organisation shall provide evidence that it has a current, ongoing contract for the provision of competent back-up support with another SP 203-4 Certificated Organisation that has Maintenance as part of its scope.

Guidance Note for Clauses 15.5 and 15.6

15.7 The Maintenance Organisation shall have access to adequate spare parts in order to:

- a) effectively repair systems for which it is responsible, and
- b) complete the repair in the time periods required by each maintenance contract.

15.8 Where spare parts are not available, due for example, to the age of the installed equipment, there shall be evidence that the Client has been informed of this situation in writing.

Guidance Notes for Clauses 15.7 and 15.8

15.9 The installation shall be serviced and maintained in accordance with BS5266 and the contract specification.

15.10 Where structural change to the premises has taken place and additional work is required to maintain compliance with BS5266-1 the Client shall be advised accordingly in writing.

Guidance Note for Clause 15.10

15.11 The Maintenance Organisation 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.

Guidance Note for Clause 15.11

15.12 The records shall include details of any work carried out as a result of System Design changes that have been undertaken by, or on behalf of, the maintainer as a result of, for example, changes to the risk assessment of the premises.

Note: *Where the Maintenance Organisation is not certificated to design and/or install and/or commission and handover installations, the work should be passed to another organisation that is suitably certificated.*

15.13 Appropriate information relating to repairs and changes undertaken at each maintenance visit shall be made available to the Client. **Annex 1** specifies the minimum requirements for a Maintenance certificate.

15.14 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 Standard or Code is revised, the maintenance contract shall be amended at the earliest opportunity to maintain alignment with the requirements of the revised Standard or Code.

15.15 Where a Maintenance Organisation takes responsibility for the maintenance of an emergency lighting system and they have not had responsibility for the design, installation and commissioning of that System, such checks/tests as recommended in the relevant annex of BS5266. shall be carried out and any deviations identified from the applicable Codes of Practice shall be documented and drawn to the attention of the Client.

16 SYSTEM VERIFICATION

16.1 It is a requirement of this BAFE Scheme that a System be verified prior to completion of a BAFE Certificate of Compliance.

Guidance Note for Clause 16.1

16.2 The objective of Verification is to ensure, as far as possible, that the installed System is in accordance with the Design Specification and that the structure and use of the building has not changed in any way that will require a change of the System Design. Verification is therefore to be undertaken in conjunction with a person with design competence.

Guidance Notes for Clause 16.2

16.3 Verification is not an appropriate activity to be classed as a separate module within this BAFE Scheme. However, Verification shall be undertaken by a competent person employed by a Certificated Organisation and the results of the Verification, that is the Certificate, shall be documented and passed on to the Client..

Guidance Notes for Clause 16.3

- 16.4** Verification does not include detailed checks on the accuracy of the work of the organisations undertaking the various modules; that is covered by their Module Certificates. Verification does, cover the aspects that could conceivably cause problems as a result of the interfaces between the modules.
- 16.5** Verification is not intended to be a means by which deviations from the Design Specification or design problems associated with building changes can be readily accepted. Where aspects of the installed System are found to be at variance with the Design Specification, or the Design Specification has been affected by building changes, the problem shall be made known to the Client and the solution agreed by the interested parties.
- 16.6** All installations require Verification prior to the completion of a BAFE Certificate of Compliance.

Guidance Note for Clause 16.6

- 16.7** The organisation taking responsibility for Verification may be any Certificated Organisation with at least the minimum scope detailed below:
- a) they must be certificated for the design of systems to the requirements of the Standard specified for the System e.g. BS5266,
 - b) they must have been assessed as at least having an understanding of installation requirements in so far as they impact upon the siting of system components, and
 - c) they must have been assessed as at least having an understanding of Commissioning and an ability to comprehend the records associated with the Commissioning of the installed System.

Guidance Note for Clause 16.7

- 16.8** Certificated Organisations having a contract involving an emergency lighting system shall advise their Client, in writing, that all modules have to be completed by a Certificated Organisation and a satisfactory Verification has to be completed before a BAFE Certificate of Compliance can be completed. A satisfactory Verification is one where the organisation undertaking the Verification either:
- a) notes nothing that requires any further action to be taken prior to signing the Verification box on the BAFE Certificate of Compliance, or
 - b) notes issues requiring further action to be taken that are subsequently completed and verified, and/or
 - c) notes issues that when drawn to the attention of the Client are formally presented as deviations and are listed as such in the appendix to the Certificate of Compliance.

Guidance Notes for Clause 16.8

- 16.9** It is recognised that emergency lighting systems may be provided by non-Certificated Organisations. Where the owner/user of such a system subsequently requests a Certificate of Compliance, the System may be retrospectively inspected and verified by a Certificated Organisation providing that the Verification is associated with the letting of a maintenance contract to a Certificated Organisation with Maintenance of the relevant type of system included within their scope of certification.
- 16.10** Where Verification is undertaken retrospectively and includes Verification of non-certificated modules, the Verification shall include an audit of the acceptability of all the work within the non-certificated modules as well as the activities identified in Clauses **16.3** and **16.4**.

17 CLAIMS OF CONFORMITY

- 17.1** Conformity to this BAFE Scheme document shall be indicated on the Certificate of Compliance by the following information:
- a) the number and date of this BAFE Scheme document e.g. SP203-4,
 - b) the name or trade mark of the Certificated Organisation,
 - c) the postal address of the Certificated Organisation, and
 - d) where authorized, the relevant TPCB Logo in association with the relevant BAFE Modular Scheme SP203-4 Logo. See **Annex 6**
- 17.2** The Certificated Organisation shall not use the BAFE Logo or make any statement with reference to BAFE that, in the opinion of BAFE, is misleading or could bring BAFE into disrepute. To do so can result in cancellation of Certificated Organisation's BAFE Listing.

18 CHANGE OF REGISTRATION DETAILS

- 18.1** A Certificated Organisation shall give the TPCB notice in writing of any proposed changes to its legal constitution or other changes, which may affect its certification.
- 18.2** Changes of personnel, where their competence formed part of the Certification Audit, shall be recorded in a register of competent personnel and the register shall be included as a recognised part of the organisation's management system. In addition, the TPCB shall be informed of the change within 30 days of it taking place.
- 18.3** Where, in the opinion of the TPCB, changes within the organisation 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.
- 18.4** The Certificated Organisation shall be advised that at any time the TPCB or BAFE has the authority to grant, maintain and reduce the categories and, subject to appeal, cancel the certification.
- 18.5** Upon cancellation of certification, however determined, the organisation 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 and Other Documentation Relating to the Scheme

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

A1.1 Module Certificate

It is recognised that there are various means by which module completion may be signified to the Customer e.g. a Module Certificate supplied by the TPCB or a Certificate produced by the Certificated Organisation. Whichever means is used, it is necessary for at least the following information to be included:

- a) BAFE logo, as appropriate to Certificated Organisations scope of registration
- b) the organisation taking responsibility for the module and their BAFE Scheme certification details,
- c) the Module Certificate code issued by the TPCB, which shall be uniquely identified See **A1.4**,
- d) the address, physical location and brief description of the System to which the module relates;
- e) a statement that either confirms that a list of agreed deviations is attached to the Certificate or an explanation of why such a list is not attached, and
- f) a statement declaring that the module has been successfully completed in accordance with the relevant requirements of the BAFE Scheme, SP203-4.

A1.1.1 Additional requirements for the Commissioning Certificate

In addition to the requirements of **A.1.1**, at least the following information shall be included on the Commissioning Certificate:

- a) the Standard against which the System has been designed,
- b) the type of System, e.g. NM3 against which the commissioning has been undertaken, and
- c) all agreed variations from the requirements of the specification, including a list of non-certificated products.
- d) a statement that ongoing maintenance is important and needs to be commenced within "X" months of commissioning, dependent upon the circumstances, shall be included within the contract documentation.

Note: "X" is likely to be between one and twelve months from the date when the system was commissioned

A1.1.2 Additional requirements for the Maintenance Certificate

The Certificate, where relevant, issued by the organisation responsible for the maintenance shall include at least the following information:

- a) issuing firm and BAFE registration Number
- b) protected premises address
- c) type of system and applicable Standard/Code of Practice and means of signalling to the Fire and Rescue Service
- d) details of the work undertaken,
- e) BAFE Certificate of Compliance number, if relevant.
- f) the date when the last maintenance was undertaken,
- g) the date when the next maintenance is due to take place
- h) certifying statement. e.g.- We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have identified in c) above, certify that the maintenance work identified in d) above complies with the Standard or Code of Practice identified in c) the above Schedule and with all other requirements as currently laid down within this Scheme in respect of such a system.

A1.2 BAFE Certificate of Compliance

The BAFE Certificate of Compliance shall have a format generally in accordance with the example shown in **Annex 4** and shall include the BAFE logo. The Certificate may be supplied subject to the conditions of the Scheme having been met and the overall installation being satisfactory.

As a minimum the following information shall be included on the Certificate of Compliance:

- a) the name and BAFE Registration details of the organisation issuing the Certificate
- b) the address and physical location at which the emergency lighting system is installed,
- c) the applicable Standard or Code and the category of system e.g. BS 5266
- d) type of premises e.g. industrial,
- e) the date on which the system was handed over, and
- f) the details of the organisations that have provided Module Certificates and Verification details

A1.3 Certificate of Modification

The BAFE Certificate of Modification shall have a format generally in accordance with the example shown in Annex 4 and shall include the BAFE Logo. The Certificate shall be supplied by the Certificated Organisation that takes overall responsibility for the performance and integrity of the modification.

A1.4 Module Certificate codes

Certificated Organisations will be issued with alphanumeric codes by their TPCB. The codes include a unique TPCB descriptor. These codes will then be used as the identifier on Module Certificates produced by the Certificated Organisation or the documentation used in place of a certificate or on blank Module Certificates supplied by the TPCB. Each of these codes and TPCB descriptors will be accompanied by a reference identifying the nature of the module. The numbers/codes shall be uniquely identified

An example of this reference relating to the 758th Module Certificate issued by the XYZ TPCB and relating to a design module could appear as:

XYZ 758 Des.

A1.5 Information related to the Scheme

A1.5.1 Titles of Scope of individual modules of the Scheme

The following titles shall be used by organisations applying for Certification Audit against the requirements of selected modules of this BAFE Scheme. Clause 17 provides more information.

A1.5.1.1 The design of emergency lighting systems for buildings

A1.5.1.2 The installation of emergency lighting systems for buildings

A1.5.1.3 The commissioning and handover of emergency lighting systems for buildings

A1.5.1.4 The maintenance of emergency lighting systems for buildings

A1.5.2 Standards against which organisations may be assessed

A1.5.2.1 Standards and Codes relevant to organisations applying for Certification Audit to categories **A1.5.1.1** to **A1.5.1.4**

- BS 5266-1: Code of practice for the emergency lighting of premises
- BS EN 1838 Lighting applications – Emergency lighting
- BS EN 50172 Emergency escape lighting systems
- BS 7671 Requirements for electrical installations – IET Wiring Regulations

Note: *This document assumes the latest version of the above Standard or Code of Practice is being used unless a specific date is quoted in the text.*

A 1.5.3 Verification

A 1.5.3.1 An organisation that wishes to undertake Verification should advise their Certification Body at the time they apply for certification. Having received this information, the Certification Body can audit the organisation's Verification competence at the same time that they audit them against the requirements of all the other relevant clauses of SP203.

A 1.5.3.2 Organisations wishing to undertake Verification will need to have Design included within their scope of certification. If this is not the case, the organisation will not be able to satisfy the requirement within **Clause 10.2** for Verification to be undertaken in conjunction with a person having Design competence.

A 1.5.3.3 The Certification Body will normally expect to initially limit their audit of Verification competence to BS 5266-1. Competence in relation to other relevant Standards would be audited at a later date.

To be supplied to the Client at the time of issuing a BAFE Certificate of Compliance



**FIRE PROTECTION INDUSTRY SCHEME
FOR EMERGENCY LIGHTING SYSTEMS.**

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

This BAFE Scheme permits companies involved with one or more of the following:

design, installation, commissioning, handover and maintenance

of Emergency Lighting to become third party certificated and BAFE Listed as a 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 client and relevant regulating authorities e.g. Fire Authority and Building Control, confidence that the work has been correctly 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:

- a) certificates or similar documentation for the relevant work modules,
- b) a comprehensive System Commissioning Certificate, and
- c) providing all work has resulted in the issue of module certificates (retrospectively if necessary), and the project has been finally verified, the BAFE Certificate of Compliance for the overall installation.

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

The Third-Party Certification Bodies operating this Scheme are accredited by UKAS to BS EN ISO/IEC 17065 Conformity Assessment. Requirements for bodies certifying products, processes and services". 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.

Each of the contractors 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 contractors detailed on the BAFE Certificate of Compliance certify that they have discharged their responsibilities in accordance with the relevant conditions of this BAFE Scheme.

The BAFE Certificate of Compliance 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. The system will also require ongoing maintenance if the system and the BAFE Certificate of Compliance are to remain effective. It is recommended that the maintenance, and any alterations, are undertaken by contractors certificated to this BAFE Scheme.

Annex 3 Instructions for Completion of BAFE/TPCB Certificates of Compliance

Certificated Organisations may issue BAFE/TPCB Certificates of Compliance only for Types of Emergency Lighting Systems for which they hold TPCB certification. For example, where TPCB certification is held only for the provision of an Emergency Lighting system, then you are NOT entitled to issue a BAFE/TPCB certificate for any other SP203 Scheme. **BAFE/TPCB Certificates of Compliance are to be issued by the Certificated Organisation undertaking the verification and only if all modules of work have been undertaken and certificated by an organisation that holds BAFE listing under this Scheme.**

BAFE/TPCB Certificates of Compliance are to be used by Certificated Organisations for those systems for which they hold certification.

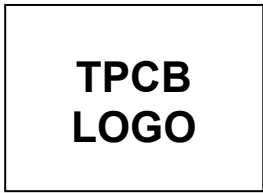
Note: The 'List of Presented Variations' must be issued as an appendix to the Certificate of Compliance.

A copy of the certificate must be returned to the offices of the TPCB within 30 days. The second copy is for the customer. The third copy is for retention by the issuing Certificated Organisation. 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 fire system is installed. Please include the post code.

At the bottom of the certificate please type the date on which the certificate was prepared. Then 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 Organisation.



CERTIFICATE OF COMPLIANCE EMERGENCY LIGHTING SYSTEM

IMPORTANT NOTE: Recipients of this Certificate of Compliance are strongly advised to have their System(s) covered by a current maintenance contract with an SP203-4 Certificated Organisation with maintenance included within their scope.

SCHEDULE	
Part 1	Name of Approved Company & BAFE Registration Number
Part 2	Name of Customer
Part 3	Address of protected premises
Part 4	4.1 Applicable Standard/Code of Practice
	4.2 Type of Premises & unique Identifier
	4.3 Reason for issue of certificate
	4.4 Has a list of Variations been presented?
Part 5	5.1 Design Organisation
	5.2 Installation Organisation
	5.3 Commissioning Organisation
	5.4 Verifying Organisation
	5.5 Handover Organisation
Part 6	Date of Handover of the system

This Certificate of Compliance should be read in conjunction with the agreed List of Variations of the System and/or the applicable Maintenance/inspection report (if any). See over for guidance notes relating to the Schedule

We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have 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 SP203-4 Certification 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 4.1 (Continued) Text on reverse side of BAFE Certificate of Conformity

1. This certificate is issued subject to the Regulations and other Rules of the SP203-4 Scheme

2. The Certification Body reserves the right to inspect by its duly authorized representative the subject installation and this certificate is conditional on the customer identified in Part 2 of the Schedule allowing from time to time during business hours a duly authorized Inspector of the Certification Body access to inspect the installation and the issuing firm identified in Part 1 of the Schedule access to the premises and permitting the relevant modular firm to undertake such works as in the opinion of the Certification Body may be necessary to ensure that the said installation complies with the said Standards and or Codes of Practice and with all other requirements of the Certification Body.

3. The Certification Body requires every SP203-4 Registered Organization, recognised as a provider of emergency lighting systems, to issue a certificate for any work it carries out, within a new fire protection system, and for which the firm holds SP203-4 registration. If it is responsible for just part(s) of the complete system then it will issue a modular SP203-4 certificate. If it is responsible for all of the work or is contractually responsible for issuing the full certificate, then it must issue the final BAFE certificate. Module certificates should be issued at the completion of each module. The final BAFE Certificate of Compliance should be issued upon the successful completion irrespective of whether or not the remote signaling connection has been made. Failure to issue a certificate as required by the Regulations and this scheme may result in the firm's SP203-4 Registration being cancelled.

4. Should the customer be dissatisfied with the work covered by this certificate, they should at first contact the Registered firm at its local office. If satisfaction is not obtained at this level, the customer should address a written complaint to the customer relations executive, or equivalent person of the Registered Organization, at the firm's head office. If the customer remains dissatisfied, he may address a written complaint, outlining the nature of their dissatisfaction and the circumstances of the installing firm's response, to the offices of the Certification Body.

The Certification Body Title will not normally consider complaints unless the Registered Organization has been given the opportunity to resolve the dispute as set out above.

The Certification Body will seek to resolve the dispute between the contracting parties. The Certification Body will not involve itself in any discussions or negotiations with the customer with regard to loss claims or potential loss claims, outstanding payments or interpretation of Registered Organization's terms and conditions of contract. Consequently, the Certification Body does not accept liability.

5. This Certificate confirms compliance with the requirements of this scheme as applicable at the date of issue of the Certificate. The Certification Body cannot undertake to investigate any query or complaint in relation to the installation if future changes to Standards, Codes of Practice, policies or other regulations render the installation in need of updating or other modification. In that event, the appropriate update or modification should be carried out by an organization holding SP203-4 registration and a new certificate issued.

6. The Certification Body cannot undertake to investigate any query or complaint arising in relation to the installation unless the installation is and remains covered by a maintenance agreement between the customer and a firm registered by the Certification Body.

7. The Certification Body does not accept any responsibility or liability for any defect there may be now or hereafter in the installation or for its failure to work at any time and no warranty or condition express or implied and whether statutory or otherwise is given by the Certification Body in regards to the above installation either to the Registered Organization or to the customer and whether or not any such defect or failure should be apparent or occur after any inspection carried out by the Certification Body's representative has been carried out on the installation or any part thereof.

8. Unless the issuing firm's obligation to the Certification Body in respect of the installation are undertaken by another Registered Organization, the Certification Body will not be able to enforce its Rules and Standards on the Registered Organization or on their successor in business in respect of any installation if the issuing organization ceases to hold SP203-4 registration.

9. This Certificate is issued subject to the terms and conditions of the issuing firm for the supply and maintenance of the said installation to the said firm's customer which should be deemed to be incorporated herein and shall not be deemed to be varied or superseded by any of the provisions hereof.

This Certificate shall, at all times, remain the property of the Certification Body who may withdraw it at any time after the issuing organization has ceased to hold SP203-4 registration or at any time after the Certification Body is of the opinion that the issuing firm has not complied with its obligations under the rules of SP203-4.

10. On this Certificate and in these terms and conditions, where the context permits, the reference to the issuing firm shall include any Recognised Organization which shall undertake the issuing firm's obligations to the Certification Body in respect of the subject installation.

Note: These certificate formats and contents are for guidance only – See Annex A1 for further details



MODULE CERTIFICATE – insert module OF AN EMERGENCY LIGHTING SYSTEM

IMPORTANT NOTE: Recipients of this BAFE /XXXX Certificate are strongly advised to have their System(s) covered by a maintenance contract with an SP203-4 Certificated Organisation with maintenance included within their scope.

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 Applicable Standard/Code of Practice
	4.2 Type of Premises & unique identifier
	4.3 Reason for issue of certificate
	4.4 Has a list of Variations been presented?
Part 5	Date of Module completion

This Module Certificate should be read in conjunction with the agreed List of Variations of the System and/or the applicable Maintenance/inspection report (if any). See over for guidance notes relating to the Schedule

We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have 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 SP203-4 Certification Scheme in respect of such a system.

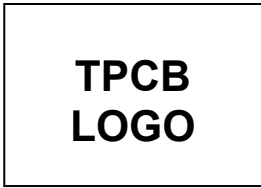
Signed for and on behalf of the issuing Firm _____ Print Name _____

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

Name and address of XXXX Third Party Certification Body

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

Note: These certificate formats and contents are for guidance only – See Annex A1 for further details



MODULE CERTIFICATE – *insert multiple modules* OF AN EMERGENCY LIGHTING SYSTEM

IMPORTANT NOTE: Recipients of this BAFE /XXXX Certificate are strongly advised to have their System(s) covered by a maintenance contract with an SP203-4 Certificated Organisation with maintenance included within their scope.

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 Applicable Standard/Code of Practice
	4.2 Type of Premises & Unique Identifier
	4.3 Reason for issue of Certificate
	4.4 Has a list of Variations been presented?
	4.5 List of non approved products.
Part 5	Date of Handover of the system:
Part 6	Latest date by which system maintenance should commence:

This Module Certificate should be read in conjunction with the agreed List of Variations of the System and/or the applicable Maintenance/inspection report (if any). See over for guidance notes relating to the Schedule

We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have 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 SP203-4 Certification 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

Note: These certificate formats and contents are for guidance only – See Annex A1 for further details



**CERTIFICATE of MAINTENANCE
OF AN EMERGENCY LIGHTING SYSTEM**

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 Applicable Standard/Code of Practice
	4.2 Details of the Certificate of Conformity if a current Certificate exists
Part 5	5.1 Details of the maintenance work undertaken
Part 6	Date maintenance completed
	Period of maintenance covered by this certificate
	other comments

This Maintenance Certificate should be read in conjunction with the agreed List of Variations of the System and/or the applicable Maintenance/inspection report (if any). See over for guidance notes relating to the Schedule

We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have identified in Part 4 of the above Schedule, certify that the maintenance work identified in Part 5 of the above Schedule complies with the Standard or Code of Practice identified in Part 4 of the above Schedule and with all other requirements as currently laid down within the SP203-4 Certification 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 XXXX Third Party Certification Body

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

Note: These certificate formats and contents are for guidance only – See Annex A1 for further details



CERTIFICATE of MODIFICATION OF AN EMERGENCY LIGHTING SYSTEM

IMPORTANT NOTE: Recipients of this BAFE /XXXX Certificate are strongly advised to have their System(s) covered by a maintenance contract with an SP203-4 Certificated Organisation with maintenance included within their scope.

SCHEDULE	
Part 1	Name of Issuing Firm & BAFE Registration Number
	Name & BAFE Registration Number of Firm undertaking the Design of the system
Part 2	Name of Customer
Part 3	Address of protected premises
Part 4	4.1 Applicable Standard/Code of Practice
	4.2 Details of the modifications covered by this Certificate
	4.3 Details of the Variations from the recommendations of BS5266-1 and current amendments
Part 5	Date of completion of the modification

This Certificate should be read in conjunction with the agreed List of Variations of the System and/or the applicable Maintenance/inspection report (if any). See over for guidance notes relating to the Schedule

We, being currently an XXXX 'Certificated Firm' in respect of Emergency Lighting Systems of the type(s) we have 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 SP203-4 Certification Scheme in respect of such a system.

Note: If more than one SP203-4 Certificated Organisation is involved with the modification work, each will provide an appropriate Module Certificate and one will have responsibility for providing this Certificate of Modification. This Certificate is not a substitute for a BAFE SP203-4 Certificate of Compliance issued on the successful completion of an entire Emergency Lighting 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 Special Rules for Remote UK Islands and Crown Dependencies Where no Certificated Organisations 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 subcontractor 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.

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.

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

Annex 5 Emergency Lighting System Scheme Logos

Use of the BAFE Logo

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 a Certificated Organisation's Letterhead
- On a Module Certificate
- On a Certificate of Modification
- On a Certificate of Compliance
- On a Commissioning Certificate
- On an SP203-4/BS5266 Maintenance Certificate



For large scale logos and vehicle logos different graphics can be used – apply to BAFE.

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.

BAFE SP203-4 Scheme Logos can only be used once you have been issued with your BAFE SP203-4 Scheme Registration Certificate. BAFE SP203-4 Logo Guidelines are available from BAFE.

Amendment Record					
Document Title		Issue Date	Reviewed By	Approved By	
SP203-4 Version 2.1		January 2019	Scheme Monitoring Group	Schemes Manager	
Amendment Number	Date	Description of Amendment			Approved By
Version 2.1	January 2019	Guidance notes moved to new document SG1, Guidance for modular schemes			C Auger
		TPCB notes removed			
		Clause re-ordered to be more sequential			C Auger
		Date references for Standards removed			C Auger
		Retention period for records changed to 7 years or the minimum legal requirement			C Auger
		Cross references to British Standards generalised to avoid future changes to Scheme if Standard changes			C Auger
		Forward – first para – reference to page number removed and “...at end of document” added Second para deleted and replaced with statement on pre-requisite			C Auger
		Clause 1.4 moved to 1.6			C Auger
		New clause 1.4 added			C Auger
		Clause 1.5 added			C Auger
		Clause 2, 2 nd para, 3 rd line – certificated replaced certified			C Auger
		Clause 3.3, last sentence removed and replaced with reference to certificates			C Auger
		Clause 4.3, Conformity added to definition title. Reference to BS5266 Annex removed			C Auger
		Clause 4.10, defects definition added			C Auger
		Clause 4.20, Key personnel definition added			C Auger
		Clause 4.23, Annex reference changed			C Auger
		Clause 4.24, last sentence of note removed			C Auger
		Clause 5, now application for certification audit (previously cl.13)			C Auger
		Clause 6, now Certification audit (previously cl.14)			C Auger
		Clause 6.4 -security measures added and guidance removed			C Auger
		Clause 7, now Audit decision (previously cl.15)			C Auger
		Clause 8, now Certification of an organisation (previously cl. 16)			C Auger
		Clause 9, now Surveillance audits (previously cl.17)			C Auger
		Clause 10, now Management systems (previously cl. 11)			C Auger
		Clause 11, now Procedures for certification of modules, compliance and modifications (previously cl.5)			C Auger
		Clause 11.1.1, Note 3 now Cl. 11.1.2			C Auger
		Clause 11.2.1 + guidance removed			C Auger
		Clause 11.2.7 (5.2.7) removed			C Auger
		Clause 11.4.1 (5.4.1) relevant annex replace specific reference			C Auger
		Clause 12, now Module 1 – system design (previously cl. 6)			C Auger
		Clause 12.3.1, additional competence criteria added			C Auger
		Clause 13, now Module 2 – installation (previously cl.7)			C Auger
		Clause 14, now Module 3 – commissioning and handover (previously cl.8)			C Auger
		Clause 14.4.1, 2 nd line – ‘completion of’ replaces ‘assessment on’ Additional competence criteria added			C Auger
		Clause 14.6, annex reference amended			C Auger
		Clause 15, now Module 4 – maintenance of the system (previously cl.9)			C Auger
		Clause 15.2.1 & 15.2.2, ‘completion of’ replaces ‘assessment on’			C Auger
		Clause 16, now System verification (previously cl.10)			C Auger
		Clause 17, now Claims of conformity (previously cl.12) Annex references amended			C Auger
		Annex 1, title amended			C Auger
		A1.1, new point a) added. Point c) – ‘uniquely identified’ added			C Auger

		A1.1 c) 'variations' replace 'deviations' and 'certificated' replaces 'certified'	
		A1.1.2, further bullet points added	
		A1.2, annex references amended and clause simplified by removing reference to "...any of the certificated organisations...."	
		A1.6, now A1.5	
		A1.5.3 Verification added	
		Annex 3 added	
		Scheme certificates now Annex 4	
Version 2	March 2017	New Version	T Maskens
Version 1	June 2015	New document	T Maskens