

BAFE SP203-1 CERTIFICATION SCHEME

ASSESSMENT CHECKLIST

BAFE Scheme Clause	Requirement	Evidence Available
	General	
	A minimum of 2 projects, with all relevant documentation and certification are available for review. The projects include work carried out by the organisation covering the scope of certification applied for i.e. design, installation, commissioning and maintenance. Access to the project sites has been confirmed with the customer and they understand the depth of testing and inspection required by the assessment. Sites are within 30 minutes travelling time of the office.	<input type="checkbox"/>
	A Principal Duty Holder, Sufficient Designer(s) and Key Responsible Person(s) are in place and will be available as required throughout the assessment.	<input type="checkbox"/>
	Module 1 - System Design This section is only applicable to businesses who are wanting design to be within the scope of their certification.	
6.1	System design is only subcontracted to another BAFE certified organisation. <i>(particular attention is required when obtaining design support from manufacturers such as aspirating smoke detection and voice alarm system manufacturers).</i>	<input type="checkbox"/>
6.2.1.1	The competence of the Designer will be assessed.	<input type="checkbox"/>
6.2.1.2	Designer is named and has the authority to sign off designs on behalf of the company is evident within the design procedure.	<input type="checkbox"/>
6.2.1.3	Appropriate level of design resource available to the organisation.	<input type="checkbox"/>
6.2.1.4	If the designer(s) are not available to undertake their work, alternative arrangements are in place or design work is to stop is evident within the design procedure.	<input type="checkbox"/>
6.2.1.5	Actual designs undertaken by the designer will be assessed to demonstrate design competence.	<input type="checkbox"/>
6.2.1.6	Evidence that the designer has knowledge of products and systems. i.e. manufacturer training.	<input type="checkbox"/>
6.2.1.7	Designer has knowledge of BAFE requirements for certification.	<input type="checkbox"/>
6.2.1.8	Evidence that sufficient information is passed onto the installer <i>(i.e. general layout drawings, schematic drawings, specification, standby battery calculations, loop calculations, aspirating smoke detection pipe calculations, cause & effect and zone diagrams etc).</i>	<input type="checkbox"/>
6.2.1.9	Designer has sufficient knowledge to assess the fire risks influencing the system design.	<input type="checkbox"/>
6.2.1.10	Designer has knowledge of EU directives and associated UK legislation and relevant to national safety requirements.	<input type="checkbox"/>
6.2.1.11	Designer can evidence design of systems to minimise false alarms.	<input type="checkbox"/>

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6.3	Evidence that the design is in accordance with one or more agreed specification(s)	<input type="checkbox"/>
6.4	Evidence that the equipment specified utilises components and cables that meet the requirements of BS 5839-1 and where relevant the Construction Products Regulations.	<input type="checkbox"/>
6.5.1	The designer can evidence knowledge of requirements in relation to connection to mains power supplies and interface to other systems (fireman's lift, smoke ventilation, etc)	<input type="checkbox"/>
6.5.2	Evidence that when designs are to BS 6266 that ancillary services and fire protection measures are integrated correctly by the designer.	<input type="checkbox"/>
6.6 & 6.7	Evidence that design records are maintained and available for all projects and kept for a minimum of 12 years.	<input type="checkbox"/>
6.8	Evidence of formal completion of design process and evidence that there is provision of design process to continue to the end of the project.	<input type="checkbox"/>
6.8.1	Evidence of design control and sign off process is in place.	<input type="checkbox"/>
6.8.2	Evidence that design only projects provide a provision within the contract for further involvement of the design organisation prior to the certification of the installation and commissioning modules.	<input type="checkbox"/>
6.8.3	Evidence that design documentation is prepared and recorded in a manner whereby design changes can be recognised during the course of the project	<input type="checkbox"/>
6.8.4	Evidence that the company can meet the requirements of BAFE SP203-1 Section 10 for system Verification.	<input type="checkbox"/>
	<p>Module 2 - Installation</p> <p>This section is only applicable to businesses who are wanting installation to be within the scope of their certification.</p>	
7.1	System installation is only subcontracted to another BAFE certified organisation or an organisation that is certified by UKAS accredited Third Party Certification Body to ISO 17065 to operate schemes that are within one or more of the scopes listed in Annex A1.6.2.1 and A1.6.2.2 of BAFE SP203-1 and that are appropriate to the work being undertaken.	<input type="checkbox"/>
7.2	Subcontracting of work to a non BAFE certified organisation is done so on the basis that the subcontractor has been assessed for competency and that they are being supervised and managed and not responsible for the quality and subcontracted work as this remains with the Certified Organisation.	<input type="checkbox"/>
7.3	Evidence that the installation organisation understands the requirements of the installation process and that the installation engineers are competent and understand the requirements of BS 5839-1 Section 4.	<input type="checkbox"/>
7.3.a	Evidence of competence and ability to meet the requirements of BS 7671 for the electrical safety of the installation.	<input type="checkbox"/>
7.3.b	Ability to interpret design requirements.	<input type="checkbox"/>
7.3.c	Understanding of responsibility for BAFE modular certification.	<input type="checkbox"/>
7.3.d	Satisfactory knowledge of relevant standards and codes of practice.	<input type="checkbox"/>
7.3.e	Evidence of interface with others on project.	<input type="checkbox"/>
7.3.f	Understanding of electrical, mechanical and other safety issues relating to the installation.	<input type="checkbox"/>
7.3g & 7.3h	Evidence of adequate and competent supervision.	<input type="checkbox"/>

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7.4	Evidence that the installation is in accordance with the agreed specified requirements.	<input type="checkbox"/>
7.4.1	All equipment that is used is third part certified to appropriate standards and where relevant meets the requirements of the Construction Products Regulations.	<input type="checkbox"/>
7.5	Evidence that the installation is certified by BS 5839 and BAFE modular certificate for installation.	<input type="checkbox"/>
7.6	Evidence that comprehensive records are kept for each project. i.e. design and specification requirements, certificates, cable test results, as fitted drawings etc.	<input type="checkbox"/>
7.7	Evidence that installation records are maintained and available for all projects and kept for a minimum of 12 years.	<input type="checkbox"/>
7.8	Evidence of formal completion of installation process to which testing and commissioning can commence.	<input type="checkbox"/>
<p>Module 3 - Commissioning and Handover This section is only applicable to businesses who are wanting commissioning and handover to be within the scope of their certification.</p>		
8.1	Evidence of a review of test results carried out by the installer prior to undertaking the commissioning of the system.	<input type="checkbox"/>
8.2	System commissioning is only subcontracted to another BAFE certified organisation. <i>(particular attention is required when obtaining commissioning support from manufacturers such as aspirating smoke detection and voice alarm system manufacturers and specialist subcontractors).</i>	<input type="checkbox"/>
8.3	Where more than one organisation is responsible for the commissioning of a system. All organisations involved in the commissioning process must be BAFE certified. The organisation which is responsible for the handover of the system must receive sufficient evidence that final testing and commissioning is completed by all other commissioning organisations and that all variations are clearly identified.	<input type="checkbox"/>
8.4	Evidence that there is sufficient competence to initially test, commission and handover the installed equipment and an understanding of the specified requirements.	<input type="checkbox"/>
8.4.1.a	Evidence of knowledge and competence to test and commission the equipment installed i.e. manufacturers training for the programming of control and indicating equipment, aspirating smoke detection etc.	<input type="checkbox"/>
8.4.1.b	Evidence of an ability to interpret design requirements.	<input type="checkbox"/>
8.4.1.c	Evidence of an understanding of responsibility for BAFE modular certification.	<input type="checkbox"/>
8.4.1.d	Evidence of a comprehensive understanding of the commissioning process.	<input type="checkbox"/>
8.4.1.e	Evidence of knowledge of interfacing with other building services.	<input type="checkbox"/>
8.4.1.f	Evidence of a comprehensive understanding of electrical and other safety issues relating to the initial testing and commissioning of electrical systems.	<input type="checkbox"/>
8.4.1.g & h.	Evidence of adequate and competent supervision.	<input type="checkbox"/>
8.4.2	Evidence of competence to train others in the use of the system.	<input type="checkbox"/>
8.5	Evidence that the installation is commissioned and handed over to the client as per the agreed specified requirements.	<input type="checkbox"/>
8.6	Commissioning procedure documents the process for commissioning the system when there is not a specification that states the standard or code to which the system should comply.	<input type="checkbox"/>

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8.7	Commissioning procedure documents the process for commissioning the system when there is nobody representing the client during the commissioning and handover process.	<input type="checkbox"/>
8.8	Comprehensive records for testing and commissioning for each project which can demonstrate compliance with BS 5839-1 39.2.	<input type="checkbox"/>
8.9	Evidence that commissioning and handover records are securely stored for a minimum of 12 years from the date of handover.	<input type="checkbox"/>
8.11	Evidence of formal completion of commissioning and handover process to which to which the Client takes responsibility for the installation.	<input type="checkbox"/>
8.12	Evidence that adequate records of all phases of the project have been passed to the client and that the client has been recommended to retain records for at least the lifetime of the installed system.	<input type="checkbox"/>
	<p>Module 4 - Maintenance This section is only applicable to businesses who are wanting maintenance to be within the scope of their certification.</p>	
9.1	System maintenance is only subcontracted to another BAFE certified organisation. <i>(particular attention is required when obtaining maintenance support from manufacturers such as aspirating smoke detection and voice alarm system manufacturers and specialist subcontractors).</i>	<input type="checkbox"/>
9.2	Evidence that there is sufficient competence to maintain the installed equipment and an understanding of the specified requirements.	<input type="checkbox"/>
9.2.1	Evidence that the maintenance engineer(s) are fully conversant with BS 5839-1:2013 Section 6.	<input type="checkbox"/>
9.2.2	Evidence that maintenance engineers have attended a recognised course in the safe isolation of mains power supplies by a nationally recognised organisation.	<input type="checkbox"/>
9.3	Evidence that there is sufficient resource within the business to effectively undertake the maintenance contracts to which it is committed and also to investigate and rectify system problems which result in false alarms.	<input type="checkbox"/>
9.4	Evidence that there is an agreement with an alarm receiving centre should any of the systems maintained be connected for remote signalling.	<input type="checkbox"/>
9.5	Evidence that there is sufficient resource to meet response times for requests for corrective maintenance.	<input type="checkbox"/>
9.6	Evidence that if the maintenance contractor comprises of 1 person then they have an agreement with another BAFE SP203-1 maintenance contractor to provide back up emergency call out support.	<input type="checkbox"/>
9.7	Evidence that there is access to spare parts in order to effectively repair the systems maintained by the organisation within any specified timescale.	<input type="checkbox"/>
9.8	Evidence that in the instances of maintained systems being obsolete that the Client has been informed of the situation in writing.	<input type="checkbox"/>
9.9	Evidence that the systems are being maintained in accordance with the contract specification and that there is evidence that any requirements to restore the system to full operational fitness have been specified to the client such that they are able to place an order for the work to be undertaken.	<input type="checkbox"/>
9.10	Comprehensive records for testing and inspection for each project which can demonstrate compliance with BS 5839-1 45.3, 45.4 and 46.2. Records shall be kept for a minimum of 6 years.	<input type="checkbox"/>
9.11	Evidence that there are records for any modifications carried out to the system resulting from system design changes i.e. following fire risk assessment.	<input type="checkbox"/>

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9.12	Evidence that any alterations that are outside the scope of maintenance are carried out by an organisation that holds BAFE SP203-1 certification for the appropriate scope.	<input type="checkbox"/>
9.13	Evidence that there is an appropriate maintenance report which meets with the requirements of Annex A1.1.2.	<input type="checkbox"/>
9.14	Evidence that the maintenance reports are revised to meet the requirements of any changes to any relevant standard and code of practice.	<input type="checkbox"/>
9.15	Evidence of the undertaking of a special inspection in accordance with BS 5839-1:2013 46.2.	<input type="checkbox"/>
System Verification		
10.1	The system has been verified prior to completion of a BAFE certificate of compliance.	<input type="checkbox"/>
10.2	Verification is to be carried out by a person with design competence.	<input type="checkbox"/>
10.3	Verification is to be carried out by a competent person and documented and passed onto the client.	<input type="checkbox"/>
10.4	Verification to highlight problems in the system that is the result of interfaces between the modules.	<input type="checkbox"/>
10.5	Any variation between the design specification and the installed system are to be reported to the client and solutions agreed by the interested parties.	<input type="checkbox"/>
10.6	All installations require verification prior to the completion of a BAFE certificate of compliance.	<input type="checkbox"/>
10.7	The verification organisation must have the minimum scope listed in a) to c) of section 10.7.	<input type="checkbox"/>
10.7	Third Party Certification Bodies are required to assess the competence of organisations in relation to Verification.	<input type="checkbox"/>
10.8	Clients to be informed that all BAFE modules and Verification of the system have to be completed before a BAFE certificate of compliance can be completed.	<input type="checkbox"/>
10.9	Systems installed by non BAFE certificated organisations can be retrospectively assessed and verified by a certificated organisation, if the maintenance is carried out by a BAFE organisation.	<input type="checkbox"/>
10.10	When BAFE verification is undertaken retrospectively and includes verification of non certificated modules, the verification will include an audit of acceptability.	<input type="checkbox"/>
Management Systems It is a scheme requirement that businesses have a documented management system (Business Operation Manual). The management system shall include the items details within the section as a minimum.		
11a	Records to provide evidence of corrective and preventative actions taken when process problems have been identified.	<input type="checkbox"/>
11b	Documented procedure to deal with complaints.	<input type="checkbox"/>
11d	The management structure of the organisation is documented. i.e. an organisation diagram.	<input type="checkbox"/>
11e	All documented procedures detail the responsibilities of key personnel who are involved in each certificated module.	<input type="checkbox"/>

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11f	Documented 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 works undertaken by your organisation.	<input type="checkbox"/>
11g	A register of all instruments and equipment used for measurement, inspection and testing purposes i.e. multi-meters, sound level meters, insulation resistance, continuity testers, smoke and heat detector testers, battery testers and where appropriate up to date records of calibration.	<input type="checkbox"/>
11.h	A register of standards and publications that is maintained showing each document issue status. <i>(note the subscription to a standards on line service is unlikely to satisfy this requirement fully as documents supplied via trade associations and BAFE are unlikely to be included).</i>	<input type="checkbox"/>
11i	Suitable documented policies, processes, audits and records etc to ensure that personnel are competent for the work they undertake.	<input type="checkbox"/>
11j	Competency records available for all technical staff.	<input type="checkbox"/>
11k	Documented procedure to ensure that all relevant personnel have access to and have knowledge of relevant up to date data, Standards and Codes of Practice	<input type="checkbox"/>
11c	A register of approved subcontractors, where subcontractors are permitted by the Scheme. <i>(for the avoidance of doubt design, commissioning and maintenance work may only be subcontracted to another BAFE SP203-1 certified organisation. Installation work may be subcontracted to an organisation that is not BAFE SP203-1 Scheme certified however this must be subject to the demonstration of competency and appropriate qualification of the subcontractor).</i>	<input type="checkbox"/>
11o	Documented procedure(s) to ensure that products, components and parts are supplied as certified under a recognised product conformity scheme.	<input type="checkbox"/>
11l	Records to evidence that the management system and KPIs are regularly reviewed and amended where appropriate to ensure its continuing effectiveness i.e. management review agenda and meeting minutes.	<input type="checkbox"/>
11m	Records to evidence that any KPI's as set by the organisation including the level of achievement by month for the execution of both periodic contractual and corrective emergency maintenance.	<input type="checkbox"/>
11n	Records of unwanted false alarms and troublesome systems. Evidence of records for all false and or unwanted alarms from systems that are connected to an alarm receiving centre. When trends are identified there shall be evidence that the client has been advised to have an inspection of the system to eliminate the cause and prevent further waste of Fire & Rescue Service resources.	<input type="checkbox"/>
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 business's management system.	<input type="checkbox"/>
	<p>Certification Audit</p> <p>The business shall have available the following items for assessment:</p>	
14.1a	Holding the necessary reference documents, e.g. manufacturers technical data, product and system standards, relevant regulations.	<input type="checkbox"/>
14.1c	A documented list of projects in progress and completed.	<input type="checkbox"/>
14.1d	Records of project specifications, drawings, records, certificates and reports relating to work in progress and completed over the previous 12 months.	<input type="checkbox"/>

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14.1f	Evidence that adequate insurance cover is held for work undertaken i.e. design, installation, commissioning and maintenance of fire detection & fire alarm systems detailed as a business activity within the insurance policy.	<input type="checkbox"/>
14.1g	A register of installations where there are ongoing problems and have documented evidence that there is effective management of these installations.	<input type="checkbox"/>
14.2	The workplace premises is adequate for the business being undertaken.	<input type="checkbox"/>
14.3.1	The area(s) used as a workplace are segregated from those used for other purposes.	<input type="checkbox"/>
14.3.2	The area(s) used as a workplace are secured to prevent unauthorised access to important documentation when the area is not occupied.	<input type="checkbox"/>
14.4	The area(s) used as a workplace are protected by adequate security measures i.e. intruder and fire alarm systems or a 24 hour man guarding patrol or a secure site.	<input type="checkbox"/>

NOTE

This pre-assessment checklist has been designed to help applicants to interpret and be fully prepared for the assessment visit. Please take time to review each of the scheme clauses and requirements and make sure that you are satisfied that you have answers and where necessary, documentary evidence to show to the Assessor. In working through the document you might find it useful to use the 'Evidence Available' column to indicate how you have met the requirements.

To access the full BAFE SP203 Part 1 reference document please visit www.bafe.org.uk