



Annual Inspection and Audit Programme

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1. Definitions

1999 Act	means the Electricity Regulation Act 1999 (as amended by the Act); Annual Inspection and Audit Programme means the report produced by the Body Performance Report under and in terms of Section B.3.5 of the Criteria Document;
Act	means the Energy (Miscellaneous Provisions) Act 2006 (and any amendment thereto);
Audit	means an audit by the Body in relation to RECs and pursuant to Section B.3 of this Criteria Document;
Audit and Inspection Procedure	means the procedure for Audit and Inspection drafted by the Body pursuant to Section B.3 of the Criteria Document
Body	means Safe Energy Ireland appointed by the Commission, pursuant to the Act, to act as an Electrical Safety Supervisory Body;
Commission	means the Commission for Regulation of Utilities as established further to the 1999 Act;
Criteria Document	means the Criteria Document which is specified and published by the Commission pursuant to the Act and as may be amended from time to time;
CRU	Commission for Regulation of Utilities
DSO or Distribution System Operator	means any person holding the licence granted under Section 14(1)(g) of the 1999 Act;
Hazard Notice	means the notice issued by the Body pursuant to Section B.3.4.21 of the Criteria Document;
National Craft Certificate	means the National Craft Certificate awarded by FETAC as part of the National Framework of Qualifications;
Qualified Certifier	means the person(s) assigned the role of Qualified Certifier by the REC as set out in Section C.1 of the Criteria Document and in accordance with the requirements pursuant to that Section;
Register	means the Register of RECs published by the Body in accordance with Section B.5.2 of the Criteria Document;
Registered Electrical Contractor or REC	means any party who is registered by the Body pursuant to the Act and who has not had their Registration suspended or revoked by the Body;
Safe Electric/Safe Electric Scheme	The Electric Safety Supervisory Body .

2. Annual Inspection and Audit Programme

This Programme details the Safe Electric Scheme plan with respect to the number of Inspections and Audits to be carried out by the Safe Electric Scheme and the basis (risk based) for determining the frequency with which an REC shall be audited and inspected and shall be informed by the requirements of the Criteria Document Section 3.2 (Risk Monitoring System for RECs).

The Programme gives details of the Safe Electric Scheme planned Audit and Inspection programme of RECs for the upcoming 12-month period.

The Programme demonstrates that it:

- (i) covers a reasonably representative cross-section of the various categories of REC;
- (ii) covers a representative range of installation types;
- (iii) was developed using a risk-based approach;
- (iv) meets any targets determined by the Commission; and
- (v) represents an effective and efficient use of Safe Electric Scheme Inspection resources.

This Programme includes provisions for planned Audits and/or Inspections as a result of complaints or other information, and re-visits to check on corrective actions as a result of previous Inspections and/or Audits.

The Programme provides for additional unannounced Inspections to be carried out on RECs.

The Audit and Inspection frequency as set out in the Programme is further to the Risk-Monitoring System required by Section 3.2. However, at a minimum, this Programme provides for the following with respect to the different categories of REC (unless otherwise approved/determined by the Commission):

For full RECs – at a minimum, one (1) Inspection per annum of their work in carrying out a Regulated Work;

For new RECs¹:

Where such party has not been previously registered with Safe Electric - at a minimum, one (1) Inspection in the first six months shall be carried out. The Safe Electric Scheme shall not authorise that a new REC may commence to certify works (i.e. have self certification rights) unless it has first successfully passed one inspection and complied with any requirements specified further to that inspection. In the event that a new REC passes their first inspection, they shall then be subject to an additional inspection by the Safe Electric Scheme, within six months of the first inspection.

¹ For example: an organisation that is newly registered with the Safe electric and which has not been previously granted the entitlement to self-certify.

Where such party has been previously registered with Safe Electric and/or has the requisite prior experience (as determined by the Safe Electric Scheme) the Safe Electric Scheme may grant the entitlement to self-certify but shall ensure that, at a minimum, one (1) Inspection is carried out within the first six months of Registration with Safe Electric Scheme, subject to the Risk-Monitoring System of the Safe Electric Scheme (see Section 3.2) and the application of same in light of the RECs previous disciplinary record (see Section 2.4.5).

3. Risk Monitoring System for RECs

The Safe Electric Scheme has put in place a system to provide for a risk-based approach to its Audit and Inspection Plan.

The assessment of risk is based primarily on the performance of an REC as determined further to Audit and Inspection.

The ES Safe Electric Scheme SB considers the record of an REC with respect to the outcome of previous Inspections and Audits.

This system is common to all Bodies designated by the Commission and is based around the “Performance Marking Scheme” as specified in Section 3.4.

This system is conform to any requirements specified by the Commission.

The Safe Electric Scheme may impose higher Registration fees or direct Inspection fees/charges on RECs which require a higher level of monitoring (Inspection/Audit) on the basis of the increased costs associated with such higher levels of monitoring. This shall be subject to the approval of the Commission in accordance with the requirements of Section B.1.7 of this Criteria Document.

4. Inspection and Audit Personnel

The Safe Electric Scheme will ensure there are a sufficient number of individuals for the purposes of carrying out Inspections and Audits as required by this Criteria Document, the approved Inspection and Audit Programme and in accordance with such other requirements as may be specified by the Commission.

Inspections of electrical installations which have been installed by RECs, as outlined in this section, may only be carried out by a person engaged by the Safe Electric Scheme as an Inspector and who meet the requirements set out in this Criteria Document.

Audits of RECs may be carried out independently of electrical installation Inspections and may be carried out by administrative staff of the Safe Electric Scheme.

The qualifications required for appointment as an Inspector are documented by the Safe Electric Scheme and include:

- (i) Technical qualifications not less than those of an electrician. (e.g. National Craft Certificate recognised by QQI or equivalent plus recognised apprenticeship as an electrician);
- (ii) Experience of or responsibility for electrical installation work for not less than five years;
- (iii) Fully conversant with:
 - a. the National Rules for Electrical Installations;
 - b. the Building Regulations;
 - c. Health and Safety legislation as appropriate;
 - d. the DSO's "National Code of Practice for Customer Interface"; and,
 - e. any such other relevant legislation, standards and documentation as may be specified by the Safe Electric Scheme or the Commission.
- (iv) Successful completion of a Safe Pass and Manual Handling Courses (and renewals as required);
- (v) is required to have successfully completed a recognised course in "Verification, Testing, and Certification" of Electrical Installations to 'The National Rules for Electrical Installations' in the previous number of years. If the recognised course that was completed was accredited the period is 5 years. If the recognised course that was completed was not accredited this period is 3 years;²;
- (vi) such other qualifications/accreditations, as the Commission may determine, within such timeframe as may be specified; and,
- (vii) Successful completion of auditing training such as Lead Auditor Training.

With respect to parties carrying out Audits on behalf of the Safe Electric Scheme, such personnel have completed an Audit course run by a suitable accrediting body.

² Unaccredited courses completed from 1st July 2013 will not be recognised. However, if somebody successfully completed a recognised unaccredited course prior to 1st July 2013 it will still remain valid for 3 years (even if 3 year period ends post 1st July 2013).

5. Procedure for Inspection and/or Audit

The Safe Electric Scheme or its Inspector or Auditor shall, if so requested by an REC at the time of an Inspection or Audit, make available its published procedures for the carrying out of Inspections and Audits.

In the event that an Inspector is denied access to any site for the purposes of implementing Safe Electric's Inspection and Audit Programme, or as may otherwise be required by the Safe Electric Scheme or the Commission (further to the review of a Complaint or the operation of a Disciplinary Process), the Safe Electric Scheme will have the opportunity to request the Commission to appoint an Authorised Officer and/or an Electrical Investigation Officer in order to support the Safe Electric Scheme /Inspector in gaining access to the site and the carrying out of the Inspection/Audit.

Any such actions in that regard shall be further to the provisions of Section F and G of this Criteria Document and pursuant to the requirements of the Act.

6. Inspection Procedure

At a minimum, the Inspection Procedure shall provide for the Inspection of electrical installation work carried out by the REC or any other party engaged by the REC, as well as tools and equipment, and shall include, at a minimum, scrutiny/consideration of the following:

- (i) the type of tests and/or Inspections that an inspector could carry out/witness;
- (ii) expected results and/or level of conformance required for each type of test/ Inspection;
- (iii) means by which these results would be recorded (e.g. test record sheet), standardised Inspection report form, etc.;
- (iv) type of data which the inspector must record in his report;
- (v) the competency of parties engaged by the REC for the purposes of carrying out electrical works;
- (vi) "Performance Marking Scheme" for determining an appropriate corrective action and the timeframe for its completion in the case of non-conformances identified. This Performance Marking Scheme shall be in accordance with the requirements of the Commission ; and
- (vii) reporting procedures concerning the Inspection.

The Inspection shall be sufficient to establish that the installation, and the REC, complies with the National Rules for Electrical Installations and the Regulatory Arrangements.

7. Audit Procedure

At a minimum, the Audit Procedure shall provide for the review and assessment of records and/or documentation required to be held under Section C of this Criteria Document, or that specified by the Commission or the Safe Electric Scheme from time to time.

The Audit Procedure shall include, but shall be not limited to, a review of the following records and documentation of the REC:

- (i) the qualifications and training records of Qualified Certifiers engaged by the REC;
- (ii) copies of issued Certificates and other Certification/declaration documentation and the associated Subsystem Certificates and Test Record Sheets with any such Certification/documentation;
- (iii) the calibration records for test equipment;
- (iv) Insurance certificates; and
- (v) the records of all complaints received and corrective and follow up action taken in relation to the complaint.

The Audit shall be sufficient to establish that the REC complies with the National Rules for Electrical Installations and the Regulatory Arrangements.

8. Notice of Inspection and/or Audit

In the case where an Audit is being carried out, this may be done in conjunction with an Inspection visit or independently.

The Safe Electric Scheme has the entitlement to carry out an announced or unannounced Inspection.

Where the Safe Electric Scheme is carrying out an announced Inspection and/or Audit, it shall provide at least 7 working days written notice to the REC of the requirement to submit to an Inspection of work and/or Audit. The Notice shall specify the time, date and location of the Inspection and/or Audit.

Unless the REC responds to the Safe Electric Scheme to re-arrange the Inspection and/or Audit within the timeframe specified within that Notice, then the Inspection and/or Audit shall take place as provided for in the notice.

Where an Audit is being carried out, the notice may include a list of all requested documentation which shall be made available for the purposes of the Audit.

In the case of an unannounced Inspection under Clause 3.4.11, of the Criteria Document, the Safe Electric Scheme reserves the right to carry out an Inspection without any prior notice.

The Safe Electric Scheme shall provide a copy of the Inspection Procedure or Audit Procedure when requested by the REC.

9. Inspection and Audit Reports

There is a standard report form for keeping a record of observations and results from individual Inspection and/or Audit activities (“Inspection and Audit Report”).

The Inspection and Audit Procedure ensures that an Inspection and Audit Report is completed for each Inspection and/or Audit carried out on an REC.

The Inspection and Audit Procedure requires that the REC is made aware in writing of the result of that Inspection/Audit and of any corrective actions that they must carry out as a consequence (“Non-Conformance Notice”).

The Non-Conformance Notice must also set out the timeframe for the completion of any actions and the notification of the same the Safe Electric Scheme /Inspector.

10. Notice of Unsafe Works

Where the Inspector, further to the Inspection of work, discovers what they consider to be an unsafe installation that Inspector shall inform the customer or the person responsible for the premises/installation and the REC, by immediately issuing a “Notice of Potential Hazard”.

The Inspector shall provide a copy of the Notice of Potential Hazard to the customer and the REC.

The Inspector shall also affix the reference number of the Notice of Potential Hazard including a name and contact number upon the unsafe installation together with a clearly visible warning sign.

The Notice of Potential Hazard shall specify the following:

- I. the reason that the Notice of Potential Hazard has been issued;
- II. the nature of the unsafe works/installation/situation including the wiring rule breached;
- III. advice that the installation should not be touched by persons other than a REC;
- IV. whether it is a domestic or non-domestic installation; and,

- V. advice that the customer should contact a REC as soon as possible in order to ensure that the necessary remedial actions are undertaken.

The Inspector shall inform the Safe Electric Scheme of any such circumstances immediately and the Safe Electric Scheme shall advise the DSO of the relevant details of the situation if necessary.

In addition to a Notice of Potential Hazard, as referred to above, where the Inspector is of the view that, having encountered or being presented with direct evidence that an electrical installation or part thereof could reasonably give rise to an immediate and serious threat to health and safety should it be, or remain to be, energised, they shall issue an “Emergency Works Notice”.

The Inspector shall issue an Emergency Works Notice to the customer and the REC and, in so doing, shall arrange for the de-energisation of the installation concerned in accordance with Common Procedure No.5, Criteria Document. The Emergency Works Notice shall specify the following:

- (i) that, in the view of the Inspector, the works poses an immediate danger to health and safety and the reasons therefor;
- (ii) that the installation has been de-energised in the interests of health and safety and the Inspector is authorised to do so;
- (iii) that an REC should be instructed to carry out emergency remedial works;
- (iv) that the installation should not be re-energised until such time as remedial works have been carried out by an REC and, further to same and the requirement of Common Procedure No. 1 – Certification, the installation is certified as being in compliance with the Technical Rules;
- (v) that to re-energise the installation against the advice listed above may result in injury or death; and
- (vi) that the DSO is to be immediately notified of the details pertaining to the present situation.

The form of the “Notice of Potential Hazard” and “Emergency Works Notice” shall be subject to the approval of the Commission. These Notices also include statements protecting the Inspector, the Safe Electric Scheme and the Commission from any liability arising from the unsafe situations for which they are issued.

With respect to the above, the Inspector will at all times act reasonably and prudently in order to protect health and safety with respect to electrical installations inspected by them in the course of their duties whilst having due regard to the consequences of any action to de-energise an installation.

Any such actions with regard to this Section shall be further to, and in accordance with, the “Common Procedure No. 5 - Enforcement”.

In the event that the Safe Electric Scheme, further to an Inspection carried out, discovers material breaches of the National Rules for Electrical Installations or the

Regulatory Arrangements, the Safe Electric Scheme, in addition to taking appropriate actions relating to the particular installation concerned and the REC who carried out such works, take reasonable measures, as deemed necessary to ascertain the safety of any previous works that were carried out by that REC.

11. Inspection of Installations

In the case of an inspection of an installation due to safety concerns, the Safe Electric Scheme will issue the resulting report to the owner/occupier no later than 4 weeks after the date of inspection.

There is a standardised inspection report form for keeping a record of observations and results following an inspection by the Safe Electric Scheme on an installation in respect of any reported electrical safety concerns or complaints received of relevant sub-standard workmanship by a REC. This inspection report form is in accordance with the requirements of the Commission .

12. Reports on Inspection and Audit Programme to the Commission

The Safe Electric Scheme maintains a full record of all Inspections and Audits carried out by it.

The Safe Electric Scheme reports to the Commission on a quarterly basis (or as otherwise specified by the Commission) on its progress against the approved Inspection and Audit Programme and the results of same.

In addition, the Safe Electric Scheme will submit an “Annual Inspection and Audit Programme Performance Report” to the Commission.

The report will include details of the number of Inspections and Audits, the frequency of same and an analysis of the problems found, follow up actions taken and trends with respect to the performance of RECs. These reports be in the form specified by the Commission.

The Safe Electric Scheme experience with respect to the operation of its Inspection and Audit Programme, and the Annual Inspection and Audit Programme Performance Report informs the “risk-based” approach for the Inspection and Audit Programme for the following year. The Safe Electric Scheme will also take into account the views of the Commission with regard to its Inspection and Audit Programme in determining this “risk-based” approach.

13. Other Reports

In considering the outcomes of the Inspections and Audits carried out on its behalf, the ESSB will advise the RECs, the Commission and other such relevant parties as to any identified safety concerns relating to the standards of installation work, type of installation, installation materials and equipment (quality and use) and such other matters which are deemed relevant in the interests of Safe Electric Scheme installation work.

This report will relate to the functions and duties of the Safe Electric Scheme under Section B.5.4 of this Criteria Document (Public Awareness) and the Safe Electric Scheme shall take such other measures with respect to publicising such matters as may be agreed with the Commission.