



Safe Electric Performance Marking Risk Monitoring

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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);
Applicant	means the electrical contractor applying to become a REC;
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;
CPES	Common Performance Marking Scheme.
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
Safe Electric scheme / Safe Electric	The Electric Safety Supervisory Body .
Principal Duty Holder	means the person appointed by the REC to the role of Principal Duty Holder as set out in Section C.1 of the Criteria Document and as approved by the Body further to that Section and the procedure produced 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 scheme	The Electric Safety Supervisory Body.
Suspension and Revocation Procedure	means the procedure for Suspension and Revocation drafted by the Body pursuant to Section B.1.4 of the Criteria Document;

2. Introduction

This procedure describes the performance marking system to be applied by an Auditor/Inspector when auditing/inspecting a REC in respect of electrical installation work whether new, upgraded or existing. In addition, it provides details on the Risk Monitoring System that drives the Audit and Inspection programme.

3. Marking System

3.1 Color code selection

The system is based on color codes which relate to the degree of risk arising from breaches of the National Rules for Electrical Installations Appendix A shows the methodology for selecting the appropriate color code following a risk assessment.

- **Code Red – Immediate Hazard**

Codes an installation, or aspect thereof, not conforming to the National Rules for Electrical Installations, where the immediate or direct result of its intended use causes an immediate hazard to persons or property. This is a major non-conformance with significant implications for the safe performance of the installation.

- **Code Amber – High Risk**

Serious non-conformance for an installation or aspect thereof, which does not conform to the National Rules for Electrical Installations and/or Rules of Registration.

- **Code Yellow – Low Risk**

Non-conformance for an installation or aspect thereof, which does not conform to the National Rules for Electrical Installations and/or Rules of Registration.

3.2 Marking the codes on the reports

3.2.2 Audit Report:

When checking for compliance to the Rules of Registration and/or the CRU Criteria Document for each item of the report, the inspector ticks either the “Yes” box when there is compliance or the “No” color coded box when not compliant. Only codes Yellow and Amber are used in the audit report.

3.2.3 Inspection Report:

When checking for compliance to the National Rules for Electrical Installations current edition, the inspector may tick the following boxes:

- “CKD” (i.e. checked) to indicate that the item has been checked
- “No” if the item is not compliant with the National Rules for Electrical Installations current edition; details of the relevant breach or breaches and the associated rule No(s) should be recorded at the bottom of the report and the corresponding color code box ticked, based on the severity of the breach as shown in the flow diagram on Appendix A. When a rule breach is identified, the inspector assesses the risk it creates regarding a ‘shock hazard’ or a ‘fire hazard’ and grades it accordingly. The inspector will also consider the combination of rule breaches found, for example several ‘low risk’ issues may result in a ‘high risk’ or an ‘immediate hazard’. The inspector may adjust coding to suit the particular installation. This may depend on a number of issues including environmental conditions, use of building, stage of construction etc. The inspector may upgrade a code if justified via risk assessment.
- “N/A” if the item is not applicable to the installation
- “◇” if the relevant item could not be checked due to limitations on site.

3.2.3 Total Evaluation Summary:

The inspector records on the top of the audit form the total score of Red, Amber and Yellow codes arising from the audit and the inspection.

3.2.4 Color codes for a breach of the National Rules for Electrical Installations should only be awarded under one heading (no double non-conformance).

3.2.5 The total score of codes arising from a routine (R) Audit & Inspection will determine any action to be taken by the ESSB with respect to the REC.

3.2.6 The non-conformance codes awarded by the inspector are recorded on the REC’s file and will be inputted to the Safe Electric Scheme’s database.

3.3 Actions taken

The following are the steps which will be taken by the ESSB in relation to the type of non-conformances recorded on an Audit & Inspection report:

3.3.1 Where the non-conformances include code “Red” breaches, this is an immediate Hazard and an Emergency Works Notice must be issued and the installation or part thereof should be de-energised.

A signed copy of the non-conformance notice shall be returned by the REC, confirming that the breaches of the National Rules for Electrical Installations current edition have been rectified and that the installation or part thereof has been re-certified. A follow up (F) inspection will be carried out to confirm that the breaches of the National Rules for Electrical Installations have been corrected. The ESSB may, at its discretion, initiate the disciplinary process against the REC.

3.3.2 Where the non-conformances code or codes are “Amber” and the inspector deems the potential hazard to be a high risk, in the interest of safety, the inspector should issue a Notice of Potential Hazard (NoHz) if they are satisfied that it is required. If a NoHz is issued then a follow up inspection must be carried out. A follow up inspection may be also required if the penalty points issued are greater than or equal to 10 points.

The non-conformance notice shall be returned to the ESSB office. The ESSB may, at its discretion, initiate the disciplinary process against the REC.

3.3.3 Where the non-conformances codes are “Yellow”, the non-conformances should be rectified during the inspection if possible.

Notes: Where possible, the REC is advised to rectify the defects when the inspector is on site. However, the defects are recorded on the inspection report.

3.3.4 The ESSB will, at its discretion, apply one or more of the following options:

- Specify training to correct deficiencies.
- Initiate a regime of inspections (including of other installations self-certified by REC if breaches found are a concern for safety) including unannounced inspections.
- Apply sanctions as approved by the CRU.
- Issue formal warning to the REC to correct deficiencies.
- Withdrawal of self-certification privileges pending completion of corrective actions.
- Initiate disciplinary proceedings against REC.

4. Risk Monitoring System

4.1.1 The assessment of risk is based primarily on the performance of an REC as determined further to audit and inspection.

4.1.2 The ESSB will consider the record of a REC with respect to the outcome of previous inspections and audits.

4.1.3 The ESSB may impose higher 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.

4.2 Risk based inspection programme

4.2.1 Inspected RECs are categorized into 4 levels of risk (low, medium, high, very high) using a scoring system based on the number and type of non-conformance codes received from the audit and inspection.

The score calculation works as follows:

Code weighing: Yellow=2; Amber=5; Red=10;

Score = $Y \times 2 + A \times 5 + R \times 10$

Y=No. of yellow codes,

A=No. of amber codes

R=No. of red codes

The risk level categories are:

Low: score=0

Medium: $0 < \text{score} \leq 10$

High: $10 < \text{score} < 19$

Very High: score ≥ 19

Note: *The range of scores may change from time to time.*

The above risk level is shown on the REC's profile page in the register and is also available on the inspection screen, allowing inspectors to sort according to the risk level.

4.2.2 RECs with higher scores are inspected more frequently as they are deemed to be more likely to carry out unsafe installations. On average RECs who achieve low scores would be inspected once every year and RECs who have higher scores would be inspected more frequently.

4.2.3 When a REC gets scores of ten or greater a follow up inspection may be required.

5. Associated Documentation

- Audit & Inspection Report (Forms R07A, R07B and R07C)
- CRU Criteria Document CER/16/001 (version 3)

- Guidance Notes on the Evaluation Criteria for Inspection of Registered Electrical Contractors
- Audit & Inspection Procedure (Section 3.3)
- I.S. 10101 National Rules for Electrical Installations - current edition
- Schedule of fees

6. Appendix A

Methodology for selecting the appropriate color code following a risk assessment

