

Common Procedure No. 1

Certification

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PREAMBLE

One of the key elements of the Regulatory System is the establishment of a Certification System for Electrical Works.

Sections 9(D)(5)(b)(vii),(13),(14),(15),(18),(19),(21)(b) and (28) of the Electricity Act 1999 inserted by section 4 Energy (Miscellaneous Provisions) Act 2006 relate to or refer to Certification.

Under the Act, Certification is mandatory for all Controlled Works. Also, in the context of new connections/re-connections, Certification is mandatory before the DSO, will connect or energise the connection point.

The Act puts an obligation on the Commission to:

- specify a form of Certificate to be used for Controlled Works, and the Commission may specify different forms for different circumstances or different classes of electrical work;
- approve the procedures to be followed and the records to be maintained by RECs and the Body in connection with the issue of such Certificates.

Certification is fundamental to the effective operation of the Regulatory System, insofar as it is the thread that links the work of the REC on the ground to the overall regulatory objective and certifies that the Controlled Work has been carried out in accordance with the Technical Rules.

This Common Procedure specifies the requirements with respect to Certification and is in addition to those requirements set out in the Technical Rules. This Common Procedure also addresses the types and formats of Certificates to be used, the procedures relating to the sale, control and use of Certificates, the responsibilities for preparing a valid Certificate, the status of the Certificate, and the procedures to be used by the RECs, the Body, the DSO and the ETCL in managing, operating and interacting with the Certification System.

Additionally, this Common Procedure specifies the provisions/measures that are required for Certification, including:

- the checking and validation of Certificates received by the Body;
- the monitoring and control of “Temporary¹ or Interim²” Certificates;
- Certificate procedures for special cases; and
- where post-connection tests are not completed as required by the Technical Rules and the “Conditions for Connection to the Distribution System”.

¹ Temporary Certificates are validated by the Body e.g. where a developer, builder or contractor may need a temporary power supply. Temporary supply is billed to the user e.g. developer or builder or contractor and cannot be used to energise permanent/ new installations.

² Interim Certificates are validated by the Body to enable the main distribution board in an industrial or commercial installation to be energised so that a completed subsystem e.g. a lift system, or a standalone module, can be tested or commissioned. In this example the REC would place locks on the distribution board for all other circuits not completed and tested. Please refer to clause 63.3.1 in the Technical Rules for Electrical Installations – Fourth Edition ET 101: 2008.

1 CONTROLLED WORKS

As set out in the legislation, and further to a consultation process, the Commission has approved the following definition of “Controlled Works”³, in its decision paper CER/09/009 dated 30th January 2009.

Definition of Controlled Works

Controlled Works are major electrical installation works (including additions, alterations and/or extensions) which are covered by the Technical Rules and which involve:

1. The installation, commissioning, inspection, and testing of a new fixed electrical installation requiring connection or reconnection to the electricity network.
2. The installation or replacement of a distribution board or consumer unit, or new installation in special locations as defined in Part 7 of the Technical Rules ET101 and ET105.
3. The installation or replacement of one or more extra circuits in an existing installation, including the installation of one or more additional protective devices for such circuits on a distribution board.
4. Subsystems installed in commercial, industrial, and domestic installations where the installation falls within the remit of the Technical Rules.
5. The inspection, testing and Certification of existing electrical installations (in accordance with Chapter 62 of the Technical Rules (ET 101 –Fourth Edition-2008) and to conform with Regulation 89 of SI No 732 of 2007.

Any works which do not fall within the above scope are not Controlled Works and shall not necessarily require a Certificate to issue. However, it is recommended that for all other works, an appropriate form of Certification is used (e.g. a Declaration of Compliance with ET 101 for minor works, where appropriate).

2 REQUIREMENTS AND BASIS OF CERTIFICATION

- 2.1 The Certification System is a key element of the Regulatory System, aimed at providing a system of certifying the compliance of Controlled Works carried out by a REC with the Technical Rules.
- 2.2 Only Certificates in formats approved by the Commission (whether paper and electronic) may be recognised as valid for the purposes of the Regulatory System.
- 2.3 Certificates will be produced by the ETCI and sold by the ETCI to the Body for onward sale to RECs who have been granted the entitlement to self-certify Controlled Works carried out by them.

³ The Energy (Miscellaneous Provisions) Act 2006 requires that the Commission define Specified Works. However as Specified Works are those works that are to be controlled through issuance of Certificates, therefore for ease of use they shall be referred to as Controlled Works.

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- 2.4 This sale of Certificates will be subject to control and monitoring by the Body to ensure they are used in compliance with the Technical Rules and the Regulatory Arrangements.
- 2.5 A copy of the Certificates issued by the REC will be returned to the Body, as the case may be, for validation.
- 2.6 The Body shall have in place systems and procedures approved by the Commission to validate the Certificate. This will include systems and procedures to verify that the Certificate contains all the requisite information, that test values are within acceptable limits, and that the blank Certificate was issued to the certifying REC.
- 2.7 The Body shall also verify (by such systems and procedures approved by the Commission) the RECs compliance with the Rules of Registration. This will include the verification of up to date insurance cover and indemnification of the Body and the Commission.
- 2.8 In the case of new installations or reconnections, the "Pre-connection Certificate" (if confirmed as compliant by the Body) will result in a notification being forwarded (with only essential detail i.e. the Certificate number, Certificate type, Customer's correct MPRN, name and address) via a web link to the DSO. This action will release a service order and enable the DSO to complete the energisation of the connection.
- 2.9 The Certificate may only be considered fully completed, following return of a copy to the Body with post-connection tests successfully completed and recorded.
- 2.10 Common Procedure No 5 - Enforcement will be followed in the event of failure to return a copy of the Certificate with the post-connection tests recorded to the Body.
- 2.11 Where an electrical installation contains a subsystem provided by a specialist contractor or a REC, a subsystem certificate will be provided by the REC in accordance with the Technical Rules.⁴
- 2.12 Examples of such Electrical Works which may contain electrical specialist sub-systems are:
- Refrigeration;
 - Lifts;
 - Air Conditioning;
 - Fire detection and alarm equipment complying with I.S. 3218;
 - Emergency lighting complying with I.S. 3217;
 - Fire extinguishing equipment;
 - Fireman's lift;
 - Smoke control equipment;
 - Portable on-demand structures (PODS).

⁴ In the event that the specialist contractor or the REC responsible for the installation of the subsystem cannot issue a subsystem Certificate to the REC responsible for the overall installation, the REC will provide a subsystem Certificate (ETCI subsystem Certificate) to the contractor for completion.

3 CERTIFICATION ROLE OF ETCI

- 3.1 As required by Chapter 63 of ET 101:2008 (Fourth Edition) (and any other relevant rules) ETCI produces a range of numbered Certificates (in paper and electronic form) in formats approved by the Commission for onward sale to the Body as well as numbered Periodic Inspection Reports (Annexes 62A & 63A refer).
- 3.2 ETCI and the Body also produce a Test Record Sheet for use with these Certificates. A standardised and numbered Test Record Sheet will be developed and it shall be used in conjunction with the Certificate.
- 3.3 ETCI Certificates and Periodic Inspection Reports are customised for the Body to which they are sold.
- 3.4 The Memorandum of Understanding entered on 30th April 2009 between the Commission and the ETCI, sets out the basis for cooperation between the Commission and the ETCI.
- 3.5 The Test Record Sheets are permitted to be sold and distributed by each Body.

4 CERTIFICATION ROLE OF THE BODY

- 4.1 Certificates are sold to a REC by the Body. Certificates are commonly sold in batches, either in paper or electronic form. The Body's website will provide details of the various Certificates, the price of Certificates and an order form.
- 4.2 The Body shall have a written procedure for the validation of Certificates returned, which will confirm that the Certificates contain all the requisite information, that test values are within acceptable limits, and that the Certificates was sold to the certifying REC. This written procedure shall be approved by the Commission as part of the Body's Quality Management System.
- 4.3 In the case of new connections or reconnections the Body forwards a notification to the DSO for the connection process to be initiated after the "pre-connection" Certificate has been validated by the Body. The specific details required in the notification to the DSO are: the Certificate number, Certificate type, the RECs mobile phone number, Customer's correct MPRN, name and address.
- 4.4 The Body shall maintain a records system, which facilitates, inter alia, the follow-up of Interim and Temporary Certificates, the spot checking of Controlled Works (e.g. for checking subsystem Certification and the use of approved materials), the checking of self-Certification privileges, dealing with unused and lost Certificates, quantifying the sources and frequency of invalid Certificates submitted.
- 4.5 All copies of the Certificates (in paper or electronic format) held by the Body shall be capable of being easily accessed for inspection using the Certificate number, MPRN and/or the REC's registration number.
- 4.6 The Body will operate a Certificate procedure for special cases involving connection/reconnection to the network in after-hours/emergency situations as developed with the DSO (see Appendix 1).

5 CERTIFICATION ROLE OF THE REC

- 5.1 All Controlled Works shall be verified and certified as complying with the Technical Rules by a Certificate. The Certificate shall be purchased by the REC from the relevant Body and then issued by the REC to the customer for the controlled works carried out by that REC.
- 5.2 Back-up documentation and subsystem Certificates shall be in accordance with Chapter 63 (ET 101:2008). It is mandatory that standardised and numbered Test Record Sheets sold by ETCl or the Body are to be used by the REC with the Certificates.
- 5.3 Certificates may only be used by the REC to whom they are sold for Controlled Works carried out by him/her, except in exceptional circumstances where prior written approval is given by the Body. A REC may, however, issue a Certificate for previously connected installations as set out in the DSO connection conditions (e.g. for re-connection of an electrical installation by the DSO after a disconnection period of more than six months).
- 5.4 A REC shall not under any circumstances (unless he has received the prior written approval of the Body) sell, or transfer Certificates to anyone else whether they are a REC or Non-REC. To do so would be in breach of the Rules of Registration and the REC may be subject to the sanctions described therein.
- 5.5 A Qualified Certifier must sign the Certificate. A list of Qualified Certifiers, with details of the qualifications and Verification and Certification courses completed by each Qualified Certifier, shall be kept by the REC in accordance with the Rules of Registration.
- 5.6 The REC who carries out the Controlled Works, and who subsequently signs the Certificate, is making a formal declaration that the Controlled Work carried out by him/her complies with the relevant Technical Rules.

6 CERTIFICATION PROCESS FOR CONNECTION OF NEW INSTALLATIONS TO THE DSO NETWORK

- 6.1 Controlled Works must be certified in accordance with the Technical Rules and validated in accordance with the Body's procedures, and notified by the Body to the DSO, before the DSO can energise the connection point at a premises.
- 6.2 A copy of the pre-connection Certificate (with the pre-connection tests completed) shall be submitted to the Body for validation and processing to enable the connection point to be energised by the DSO. In the case of supplies with a maximum import capacity of < 50 KVA, the DSO will affix a special red coloured seal to the interface isolator ("ESB networks isolator" as depicted in the *National Code of Practice for Customer Interface*) in the open Position.
- 6.3 The REC responsible for the construction and testing of the electrical installation shall energise the Customer's installation. The REC shall also verify and certify the post-connection tests, as required by ETCl. The REC will also reseal the interface isolator in the closed position with his/her own seal following successful completion of

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post connection tests. The REC shall record the seal number on the Test Record Sheet associated with the installation that has been tested.

- 6.4 A copy of the post-connection Certificate (i.e. Certificate with details of successful post connection tests) must be returned, without delay, to the Body.
- 6.5 In addition paper Certificates and copies will be distributed by the REC in accordance with the requirements of the Technical Rules.
- 6.6 Electronic Certificates, where used, shall be completed in accordance with ETCI guidelines. The REC shall enter the post connection test results on the system without delay. These results shall be checked by the Body.
- 6.7 In the case of an Interim Certificate there is an onus on the REC to ensure that the connection or energisation of the finished installation is certified (refer to 4.4).
- 6.8 In the case of a Temporary Certificate that is issued for Controlled Works for construction purposes, there is an onus on the REC to advise the customer in writing of the safety requirements and limitations of its use, and on completion of the Controlled Works a request for disconnection is made via the supplier.
- 6.9 In accordance with Common Procedure No 5, where no record of post-connection tests for the Controlled Works has been received, the Body will investigate the issue and follow up with the REC.
- 6.10 Where someone wants another contractor to complete and/or certify Controlled Works, which was previously partially or totally completed by another contractor, Common Procedure No 3 applies.
- 6.11 Where the REC does not have self-Certification rights, and in the case of a Non-REC, the Certificate shall be counter-signed by an inspector from the Body in accordance with Common Procedure No 2.

7 ENFORCEMENT

Refer to Common Procedure No 5.

8 DIAGRAMMATIC REPRESENTATION OF VARIOUS PROCEDURES

Various procedures for the different “configurations” of the Certification System are illustrated diagrammatically in the attached Appendix 2 using swim flow charts.

APPENDIX 1

Certificate Procedures for Special Cases

In the new Certification System, the DSO no longer handles ETCI Certificates. Certificates can only be processed through the Body and passed on electronically to the DSO. There are a small number of special situations where a REC needs (after testing) to issue a Certificate requiring the connection or the re-energisation of an electrical installation during the period when the Body's offices are closed and therefore the Certificate cannot be processed for onward transmission to the DSO.

In these cases a special procedure for processing the appropriate Certificate is necessary. A method of dealing with these situations has been agreed with the DSO.

RECs should note the following procedures that they must follow in these situations. RECs must keep sufficient Certificates available at all times for emergency work that they may be called on to carry out for their Customers.

1) Planned Electrical Job Outside Normal Working Hours (or in certain cases within normal working hours)

- a) The REC arranges and agrees the job with the local DSO Manager;
- b) The Customer will ensure that any payments required by the DSO have been paid so that a service order is in existence.
- c) The REC contacts the Body and gives the number of the Certificate he/she intends to use to certify the Controlled Works. The specific details required to be given are: Certificate number, Certificate type, Customer's correct MPRN, name and address.
- d) The Body will log the details supplied by the REC as "provisional". This action will mimic the logging of a normal Certificate i.e. the DSO work database will receive the Certificate details as a normal transaction and will release the service order associated with the job.
- e) When the job is completed, the REC will show the Certificate to the DSO technician before the connection is energised. The DSO technician will compare the MPRN and the Customer's installation address against the relevant details on the service order. If they match he will record the Certificate number and Certificate type on the service order and return the Certificate to the REC.
- f) After the DSO have completed their work the REC may energise the connection and perform the post-connection tests specified by the Technical Rules.
- g) The completed Certificate is submitted by the REC to the Body as soon as possible.
- h) The Body will now input the required details as normal. The Body's software will then detect that the Certificate has been logged previously as a "provisional" Certificate. This will allow the additional outstanding detail to be logged. However, the "provisional" status will have the effect of stopping a duplicate Certificate number being sent to the DSO.

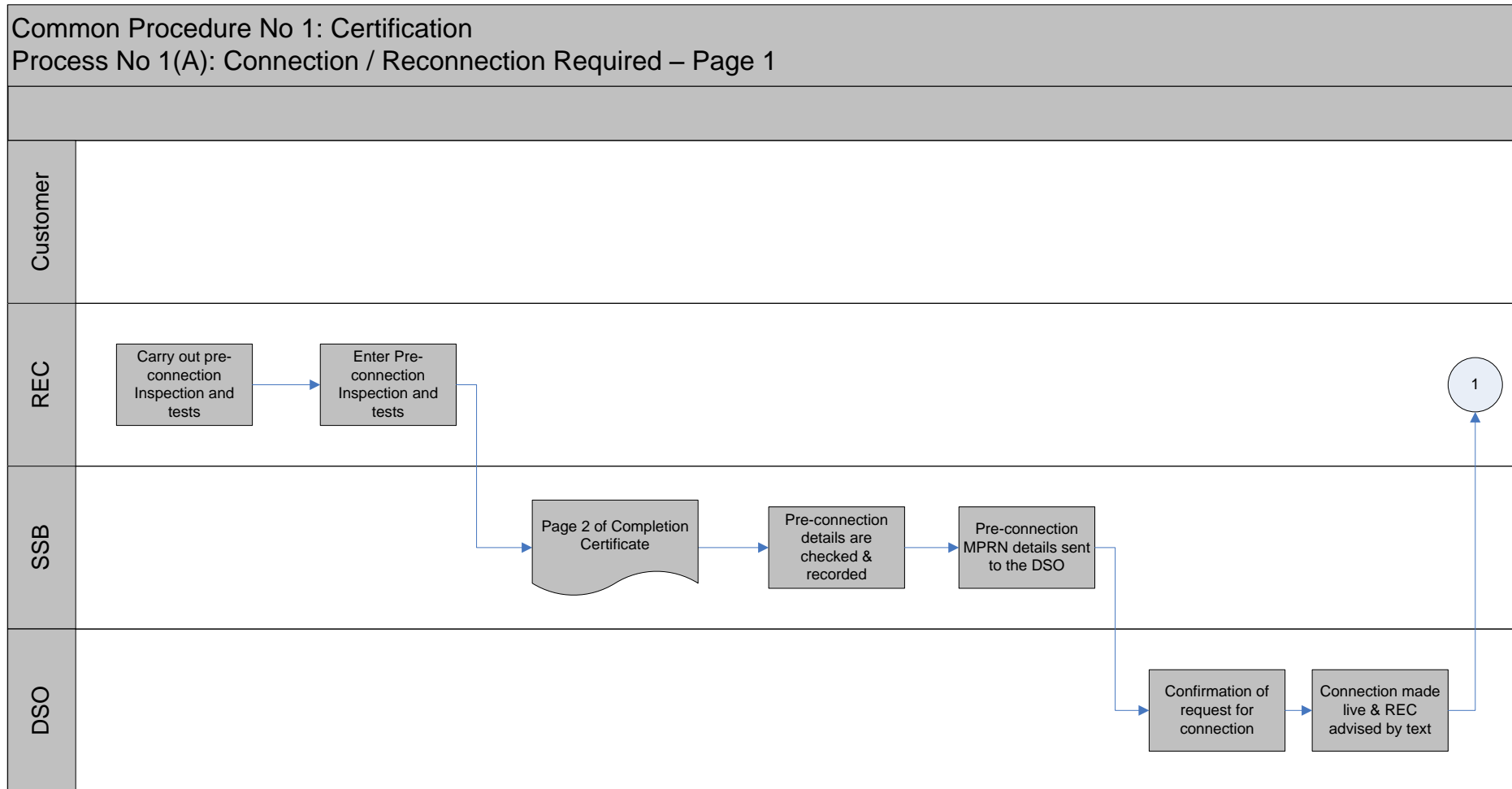
2) Emergency Repairs

- a) As the nature of this work is totally unpredictable, it is important that all RECs have the correct type of Certificates for the type of work that they are normally engaged in. This would mean for example that a REC would have at least one blank Certificate for Controlled Works with a maximum import capacity of $\geq 50\text{kVA}$ if he/she provides a service to Customers having this category of installation.
- b) After the emergency work has been completed, the REC will show the Certificate to the DSO technician before the connection is energised. The technician will compare the MPRN and Customer's installation address against the relevant details on the service order. If they match he will record the Certificate number and type on the service order and return the Certificate to the REC.
- c) The next working day the DSO will contact the Body with the specific details from the Certificate i.e. Certificate number, type, Customer's correct MPRN, name and address.
- d) The Body will log the details supplied as "provisional". This action will mimic the logging of a normal Certificate i.e. the DSO's work database will receive the Certificate details as a normal transaction;
- e) The completed Certificate is submitted by the REC to the Body as soon as possible.
- f) The Body will now input the required details as normal. The Body's software will detect that the Certificate has been logged previously as a "provisional" Certificate. This will allow the additional outstanding details to be logged. The "provisional" status will have the effect of stopping a duplicate Certificate number being sent to the DSO.

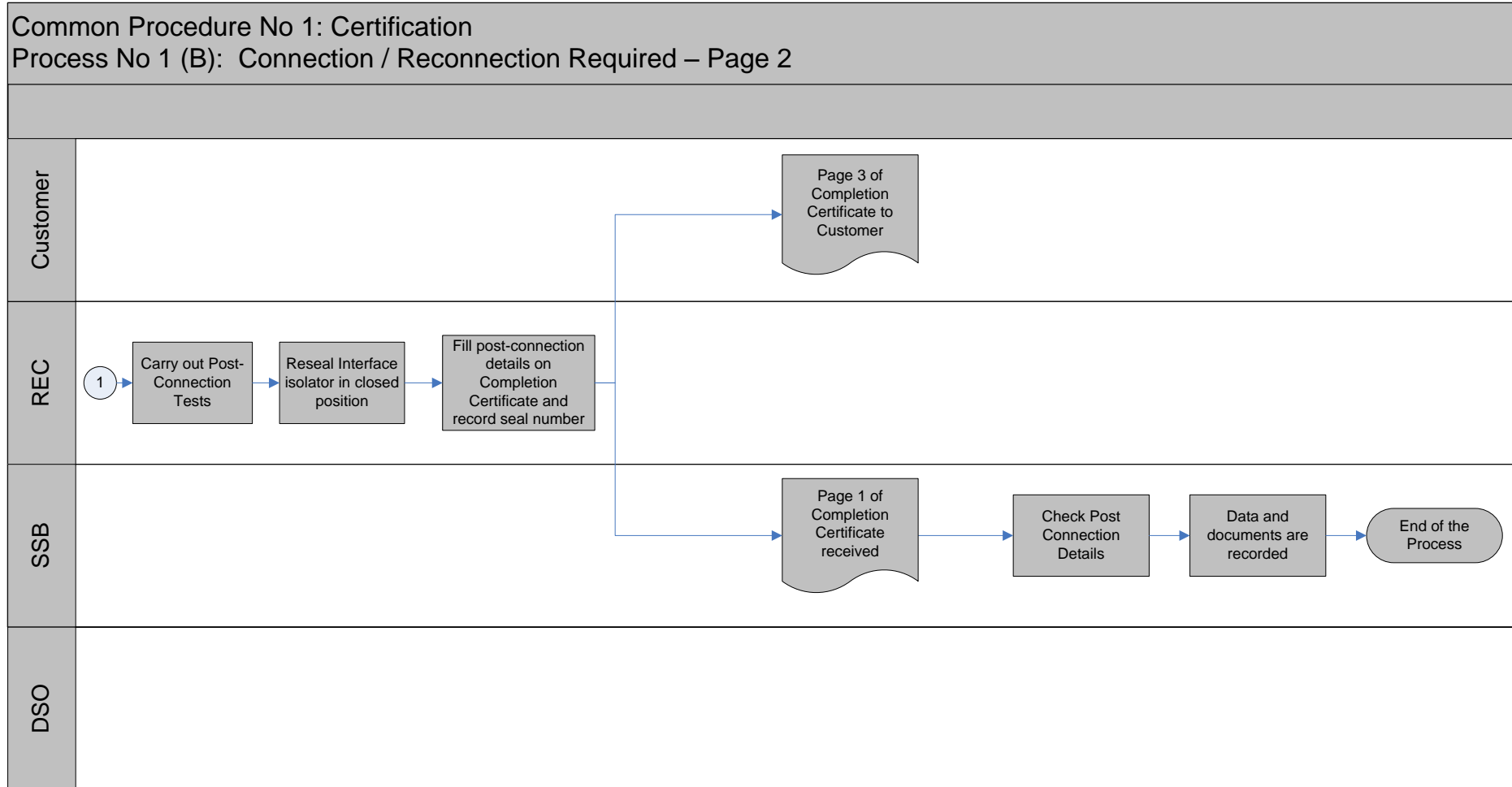
RECs are advised to keep spare Certificates for these special cases. RECs who use the Electronic Certification System have continuous access to the appropriate Certificate for the type of work involved.

APPENDIX 2

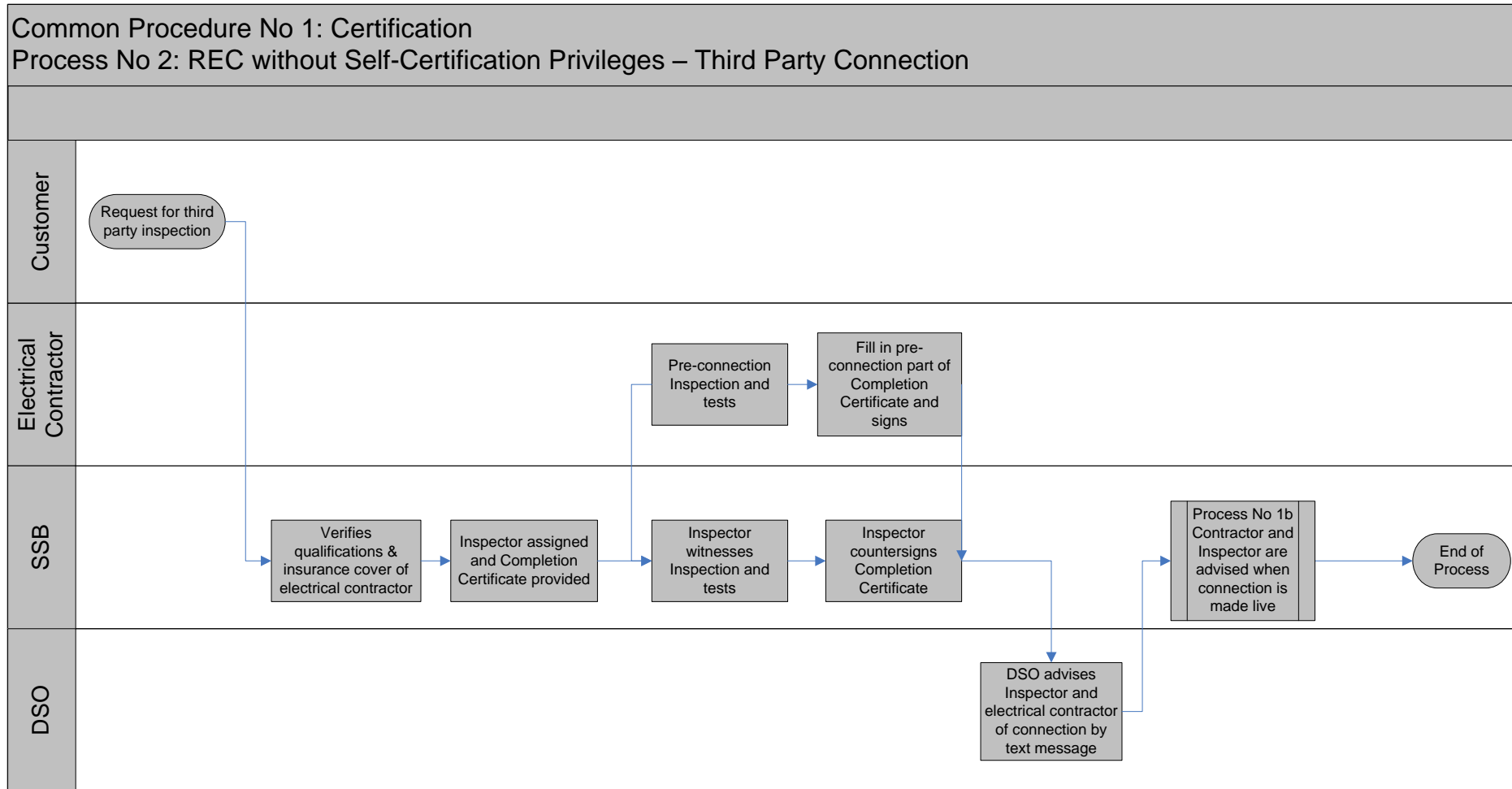
Note: Below are flow-charts representing the different processes which apply to the Certification System.



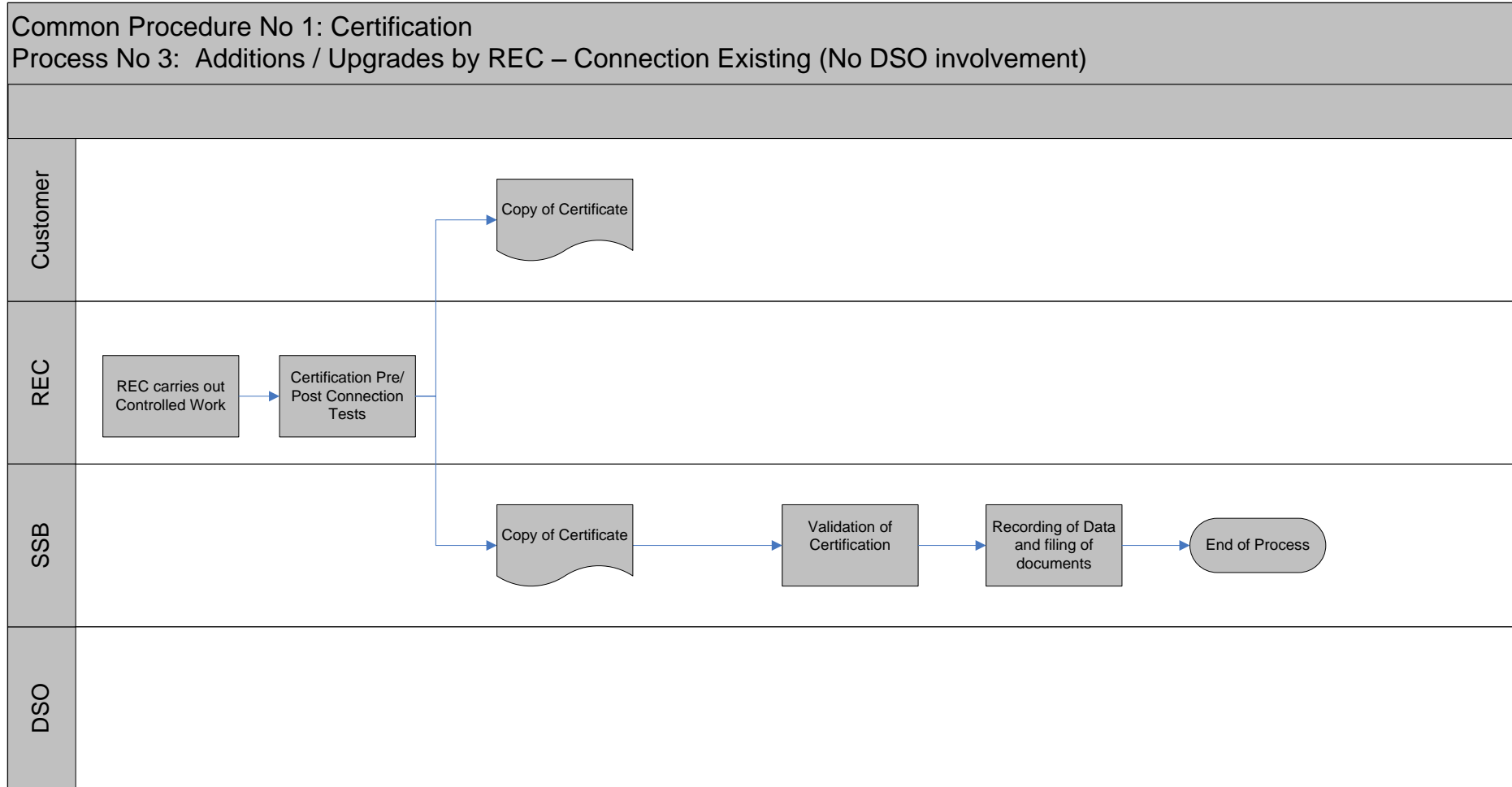
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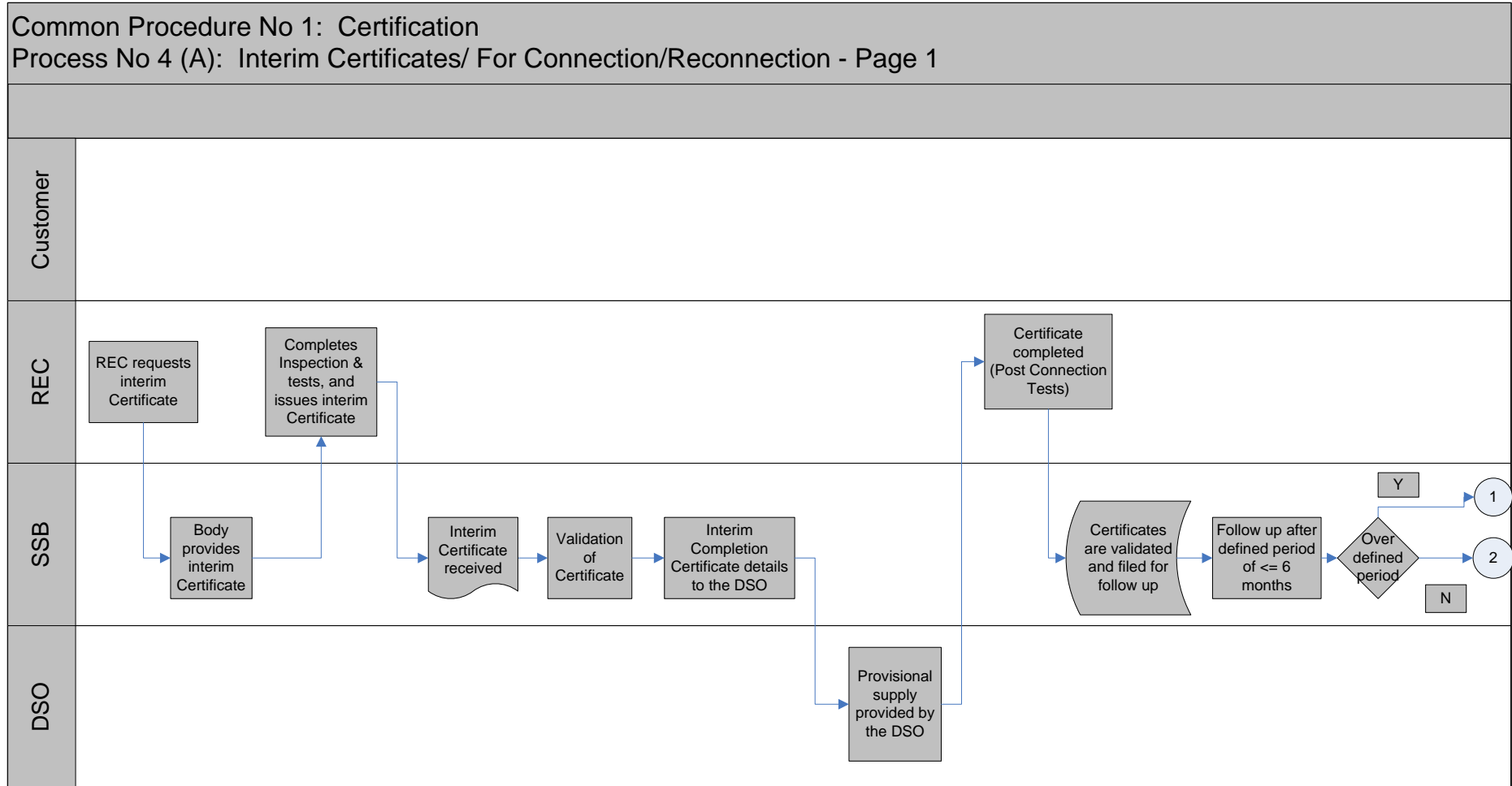
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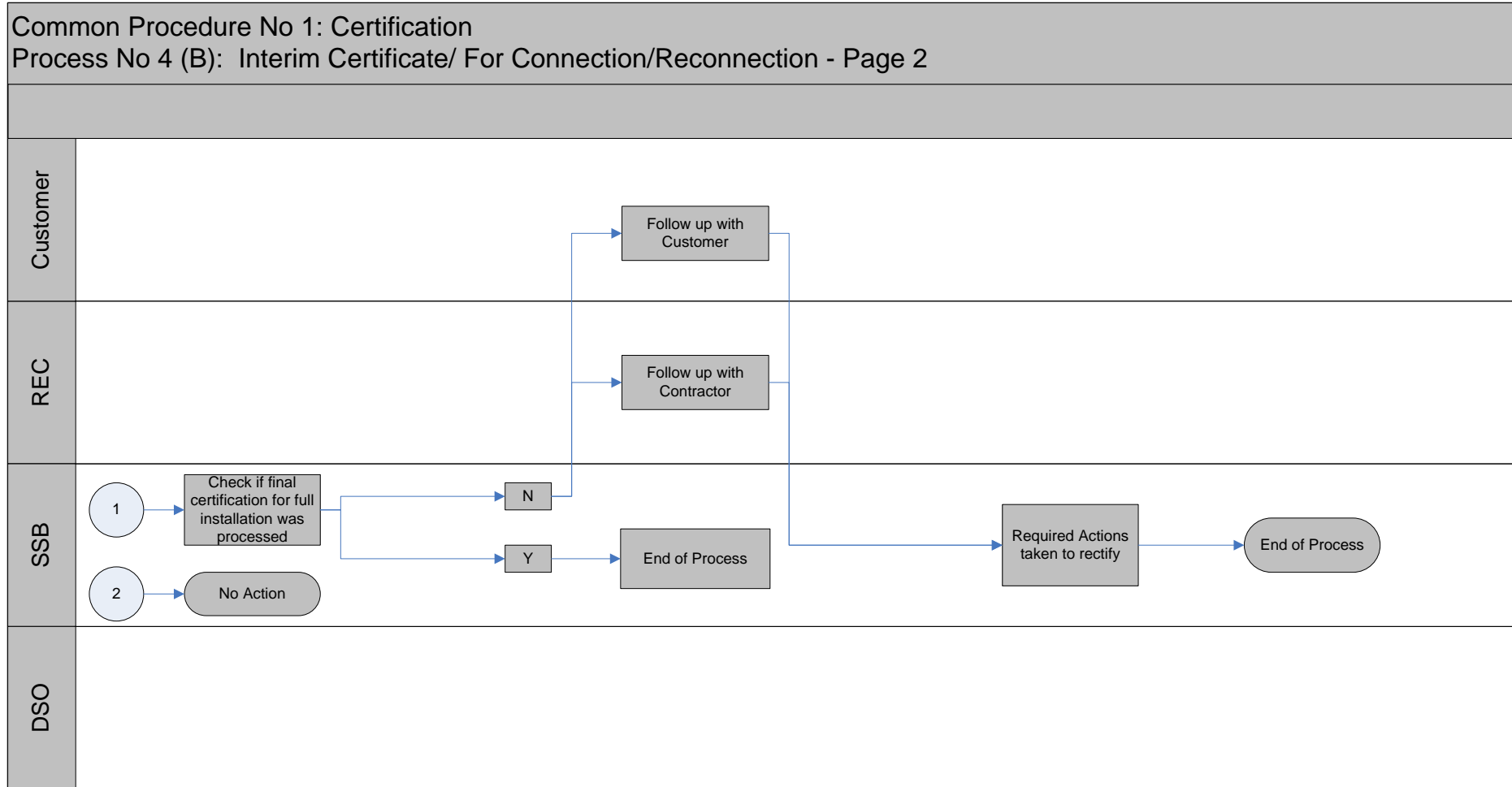
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