

## Annex G – WG2 Key Principles for the Development of Sector Specific Frameworks for Installers

WG2's central recommendations in the Setting the Bar report set out the following for organisations and individuals working on higher-risk buildings:

*The industry should adopt a framework for all the installer sectors working on in-scope buildings that can be applied to other project types. The framework will consist of:*

- Accredited third party certification of companies
- Level 2 or 3 qualifications for individuals
- A card scheme such as, but not limited to, the CSCS
- CPD refresher training and the maintenance of individual skills
- All installers [to] have a core knowledge of fire safety in buildings – training to be standardised and made mandatory.

Where installer sectors do not currently operate within the above, these will need to be defined and developed.

In proceeding to the next phase of implementing its recommendations, WG2 recognises that there is a particular challenge for installer sectors in seeking greater standardisation of performance; that the task is not easy but does require improvement; and that in order to gain fullest support, any solution arrived at will need to recognise the diversity and variable positions between and within the various installer sectors.

For this first phase, WG2 has supported a series of pilot sector-specific framework developments during the second half of 2021, focussed mainly on disciplines previously identified as priorities for fire and building safety purposes.

In developing these frameworks, pilot groups are expected to use the present Key Principles in conjunction with WG2 recommendations and the [\*BSI Flex 8670: Core criteria for building safety in competence frameworks – Code of practice\*](#). It is anticipated that the present Key Principles will be amended and improved as a result of the experience, feedback and lessons learned from pilot sector development groups.

### Installer Sector Development Groups

Each installer sector shall take responsibility for drawing up a competence framework for that sector, developed by a representative group of employers and other 'built environment actors' from the sector, together with other relevant stakeholders and interested parties.

The following list of potential sector development group participants is purely indicative and not necessarily exhaustive. For example, some stakeholders/interested parties may legitimately be invited to participate in some meetings and areas of work, but not others. Development groups may also decide to establish sub-committees, task-and-finish groups, working parties, etc., as and when they see fit.

### Potential Participants

Built environment actors:

- Sector employers (reflecting different firm sizes, sub-disciplines and positions in the built asset life-cycle)
- Member-led trade associations
- Trade union(s)
- Recognised sector skills bodies
- Professional institutions (where relevant)
- Manufacturers (as and where relevant)

Other stakeholders/interested parties:

- CSCS/partner card schemes (as appropriate)
- Relevant certification bodies
- Relevant awarding organisations
- Other recognised sector stakeholders (e.g., other relevant sector bodies, safety charities, bodies representing owners, users and/or occupiers of built assets)
- Representatives from Government acting as observers (e.g., HSE, DLUHC, BEIS, DfE, IFATE, UK devolved administrations)

Scope definitions in sector-specific frameworks should also confirm their geographical span (e.g., England only, England and Wales, Great Britain, UK-wide). Given the UK-wide span of built environment businesses and workers, sector development groups should consider securing alignment and buy-in across all parts of the UK.

In establishing and running a development group, sectors should consider core good governance principles, such as those set out in [\*BS 0:2016 A standard for standards – Principles of standardization\*](#), especially sections seven and eight.

WG2 will coordinate with sector development group chairs to report on progress, discuss shared issues and, as far as possible, agree common approaches. WG2 will also seek to provide advice, assistance and support at and between sector development group meetings.

Sector development groups should ensure that they keep others suitably informed about their work, and that any proposed sector-specific competence framework is submitted for timely and meaningful consultation with the relevant sector more widely before it is finalised.

Whereas it is for installer sectors to determine the detailed content of their own competence frameworks, WG2 shall be responsible for verifying that each such framework at least fulfils the minimum requirements of BSI Flex 8670 and WG2 recommendations, including these Key Principles.

### **Organisational Competence**

WG2 has recommended that all organisations carrying out installation on higher risk buildings are subject to Accredited Third-Party Certification under the ISO 17065 standard. In leading towards this longer-term aim, we recognise the important role undertaken by trade associations and envisage that the planned pilot groups will help to reconcile this matter and garner installers' views and support. Any proposed alternative to ISO 17065 shall be referred back to WG2 for further consideration.

A fundamental aspect of assuring organisational competence of companies working on higher risk buildings is for organisations to demonstrate that they keep up-to-date records of competent individuals. There also needs to be evidence of the organisation's process for checking individual competence and how the organisation manages the maintenance of competence, including approved technical, regulatory and fire-related CPD content.

### **Individual Competence**

Individuals must go through a process of both validation and revalidation of their competence. All sectors must define how initial validation of an individual's competence will be achieved and the process in which revalidation will take place and the timeframe for this to be achieved within. Revalidation should take place every five years or less.

Installation teams will have a mix of competence levels on most occasions. There always needs to be the correct ratio of competence levels within the working environment which each sector needs to determine and define for itself. Sectors may, for example, consider the use of a risk matrix that compares the risks and demands of an activity and the level of competence of each operative to determine the appropriate ratio for installer teams within that context.

Whilst WG2 recommend the following competence requirements for individual installers working in the sector, it is important to consider for those working towards occupational competence through apprenticeships, qualifications and other trainee programmes. All sector-specific frameworks need to ensure that all work ultimately is done either directly by or under the supervision of someone with current and validated competence for all the activities being undertaken. In the event this cannot be maintained, specific work associated with that level of competence must stop. In cases where this situation is not achievable straight away, any transitional arrangements must be clearly defined, robust and time limited.

### **Industry Technical Knowledge**

It is each organisation's responsibility to ascertain current levels of technical and safety knowledge of its workforce and to ensure this knowledge is maintained. WG2 recommend that each industry sector develops measures that ascertain current knowledge levels and facilitate enhancement of knowledge through formal training, refresher courses, mentoring, supervision and CPD. CPD must be relevant and designed using robust evidence and industry-approved standards. As already stated above, any scheme developed for assuring organisational competence should assess each organisation's processes for validating, maintaining and revalidating knowledge of the installation team.

Knowledge assessment can be determined in multiple formats and WG2 recommend the following approaches, developed with industry:

- Knowledge testing through invigilated examination (multiple choice questions)
- Professional discussion (trained assessor/evaluator) with industry expert
- Other approved method.

### Industry-Approved Formal Training

Industry approved formal training is defined within this framework as standardised training with clearly specified learning outcomes and broadly-based industry endorsement and support. This will provide individuals with the required knowledge, skills and behaviours to operate to the required minimum technical and fire safety standards. The below sets out the minimum requirements of industry approved formal training relating to this framework for all sectors working in higher risk buildings:

- Consultation/approval by relevant sector bodies
- Consultation produces a standard that the training is based on
- Minimum training requirements
  - Introduction and scope
  - Learning Outcomes
  - Course instructors' minimum experience and educational achievements
  - Pre-requisites
  - Minimum duration (recommended)
  - Assessment criteria including methods (if applicable)
  - Assessor competence/vocational requirements
  - Environment for delivery
  - Quality assurance
  - Review period for contents
  - Validation period of training
- An established mechanism for approving courses against the standard
- Transmission and recording of training achievement by the relevant industry-approved digital card scheme.

Industry approved formal training may already exist for an occupational area. The relevant sector standard setting and/or skills bodies should always be consulted prior to commencement of any standards creation to avoid duplication or unnecessary work. Ongoing requirements will need to be in place to monitor updates to knowledge and skills as installation techniques and requirements change.

As part of these Key Principles, approved formal training of individuals has been broken down into the following headings:

- **Generic Fire Safety Training** – All individuals working on all roles within scope will be required to complete the approved generic fire safety training. This training will be approved by WG2 and will be updated as required and aims to equip installers with the core knowledge required about fire safety in buildings.
- **Sector Specific Fire Safety Training** – All sectors in scope will be required to design, develop and implement fire specific safety training relevant to operational tasks and with input from a recognised fire expert.
- **Sector Specific Technical Training** – All sectors in scope will identify or develop and implement sector specific technical training in accordance with industry-approved standards.
- **Behavioural Competence** – It is recommended that a collaborative approach to improving behaviour across all sectors is achieved through design, development and implementation of modular training and must include requirements relating to understanding the limits of competence and reference accepted ethical standards and principles.

Sector development groups' activity above should include full consideration of the relevance and appropriateness to installers of the individual competence requirements set out in [BSI Flex 8670](#) table one (behavioural competence for building safety) and tables two to five (core criteria for building safety). For example, groups must consider whether it is appropriate to expect each installer to acquire and demonstrate the competence in question, or if that competence is better expressed as a management and/or organisational responsibility.

### Competence Assessment

All individual installers working in scope will be required to go through an industry-approved competence assessment process. The measurement of competence must be assessed against developed assessment criteria and approved National Occupational Standards (NOS) or industry-approved alternative. The following routes are potentially suitable for competence measurement within this framework:

- National/Scottish Vocational Qualifications at minimum level two/SCQF level five
  - This minimum standard may extend to level three/SCQF level six or beyond, dependent on sector requirements
  - Ofqual/Qualifications Wales/SQA regulated qualifications at the minimum level stated above
- Industry-approved apprenticeships (with end-point assessment)
- Industry-approved individual accreditation/certification programmes
- Industry-approved experienced worker route
  - Experienced worker routes must be approved by the sector skills and/or standard setting body (e.g., CITB, skills partnerships in engineering services) and demonstrate alignment to NOS or industry-approved alternative.

### **Continuing Professional Development**

CPD is to be made compulsory to all those working in scope. It is the responsibility of the organisation to ensure that all individuals working on higher risk buildings remain current in their knowledge of fire, regulations, installation techniques and products. As part of this framework CPD must be completed. However, specific CPD content is to be designed and implemented based on evidence of need across each sector.

The following areas must be covered during CPD activities:

- Fire training (generic and sector-specific)
- Regulations and standards
- Technical

All CPD related to the above sections must follow the same process for creation as identified in the industry approved formal training section above.

Maintenance of up to date knowledge, skills and behaviours can be achieved through both formal and informal CPD. The above formal CPD must be achieved at least once in every five-year period to allow for revalidation of competence, must be documented and made available for inspection as part of assurance of organisational competence.

### **Checking Individual Training & Competence Achievement**

All relevant training and competence records associated with an individual installer, both specific to that sector and generic and including all required CPD, must be identifiable through an industry-approved digital card scheme. Information that is contained on the installer's card records must demonstrate compliance with these Key Principles and approved sector criteria. It is recommended that a single common digital portal for checking individuals' credentials is used to assist those undertaking such checks. It is also recommended that the technologies underpinning industry-approved digital card arrangements are further enhanced to support competence – including, for example, a facility for monitoring compliance with workforce competence level/ratio requirements, as set out in sector-specific frameworks (see 'Individual Competence' above).

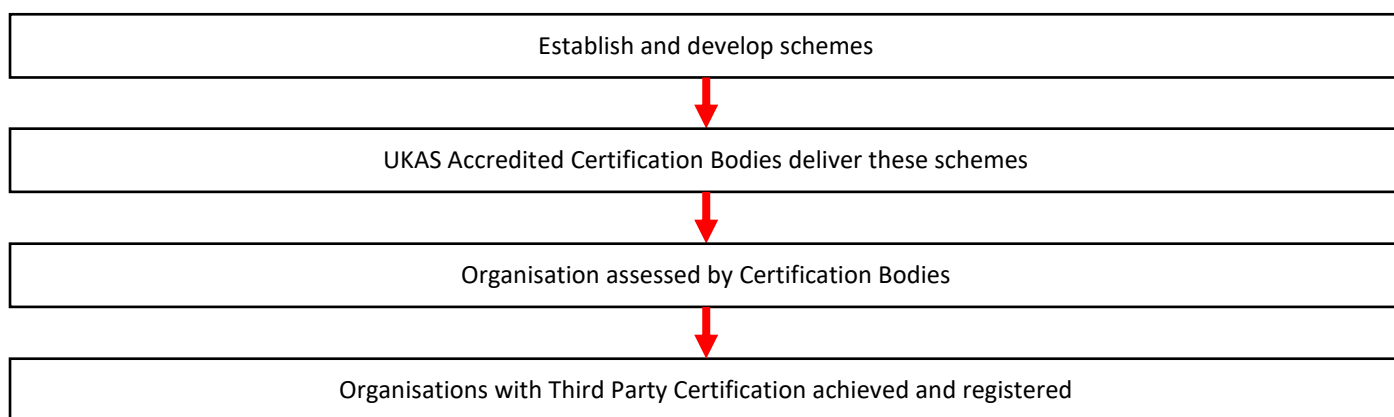
### **Assuring Organisational Competence**

WG2 has recommended that all organisations carrying out installation on higher risk buildings are subject to Third-Party Certification under the ISO 17065 standard.

As part of Third-Party Certification, companies are required to keep an updated record of competent individuals, including demonstrating the process of assuring competence and how the maintenance of competence is managed, including approved sector-specific technical, regulatory and fire-related CPD content.

It is envisaged that all certification bodies under this recommendation will be registered and accredited by UKAS and be subject to their audit process.

**Third party certification of companies includes the following process and stages.**



As recommended above, any new third-party certification body should ensure that their scheme documents and rules align with ISO 17065 and include:

- Scope
- Objectives
- Definitions
- Application for Certification
- Audit Decision
- Registration of an Organisation
- Surveillance Audit
- Management Systems
- Scheme Requirements and Conformity
- Training & Competence – Organisations as part of the certification process must be able to show they have checked the training and competence of all installers. Training and competence must meet the requirements of the Provisional Industry Adopted Framework following industry-approved criteria.
- Technical reporting
- Claims of conformity
- Revalidation process and timescale (every five years or less)
- Suspension and withdrawal of certification

WG2 realises and accepts that organisational competence schemes through an ISO 17065 regime will be a challenge to many sub-sectors within construction. Therefore, as part of the initial pilot process and for future implementation WG2 supports assurance processes carried out by many trade associations within construction and believes they can play a key role in supporting organisational competence and capability through a robust checking process.

Where an installer sector concludes that an alternative approach to ISO 17065 is appropriate, the use of trade association membership may be adopted using the following guidelines. The installer organisation being assessed will need to demonstrate the following through a robust membership process:

- Financial viability.
- Relevant insurances are in place.
- The business has an organisational structure in place to support operational activity.
- All health, safety and environmental legislative requirements are being met, supported and monitored.
- Robust quality management system(s) are in place and operational.
- Essential policies and procedures are in place – for example (but not limited to):
  - Complaints process.
  - Appeals process.
  - Whistleblowing process.
  - Recruitment process (including management of the competence of subcontractors, agency workers, etc.).
- Robust training plans for installers, aligning with BS 8670 and these Key Principles.
- Monitoring of individual competence.
  - This must include observation of working activity by supervision/management.

The trade association shall demonstrate financial viability and relevant insurances and ensure it operates the following:

- Robust membership criteria and application process.
- Annual on and off-site checks of work through surveillance and desktop monitoring.
- A robust recruitment process for association individual surveying work.
- A robust management system equivalent to ISO 9001.
- Essential operational policies and procedures – for example (but not limited to):
  - Complaints process.
  - Appeals process.
  - Whistleblowing process.
  - Recruitment process.
  - Suspension, termination and withdrawal processes.