

## Checklist for Certificates of Compliance (CoCs) – Electricity

The **Certificate of Compliance** (CoC) provides a legally recognisable statement of the safety status of completed installation prescribed electrical work (PEW) specifically for the purpose of connection to electricity supply, and also for other purposes, including auditing and investigations.

A CoC is required in the circumstances described in Regulation 65 of the Electricity (Safety) Regulations (ESRs). ESR 66 describes what the CoC must contain and ESR 67 specifies the details that must be recorded on the CoC.

Requirement	ESR	Comment	<input checked="" type="checkbox"/>	Assessment
<b>The CoC form provides for a statement confirming that the person issuing the certificate is satisfied that:—</b>				
<ul style="list-style-type: none"> <li>the prescribed electrical work has been done lawfully and safely; and</li> </ul>	66(1)(a)(i)		<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>the information in the certificate is correct.</li> </ul>	66(1)(a)(ii)		<input type="checkbox"/>	
<b>The CoC form provides for:—</b>				
<ul style="list-style-type: none"> <li>inclusion of the authentication mark</li> </ul>	66(1)(c)		<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>attachment of a copy of any of the following used in the course of the PEW:                             <ul style="list-style-type: none"> <li>manufacturer’s instructions,</li> <li>supplier declarations of conformity, or</li> <li>certified designs</li> </ul> </li> </ul>	66(1)(d)	This information must be attached if it is relied upon in doing the work.  <i>Note: If it is impractical to attach a copy, ESR 66(3) allows the certificate to contain a reference to where those documents can be found.</i>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>recording whether high-risk work on a low or extra-low voltage installation or part installation, was done in accordance with Part 1 of AS/NZS 3000 or in accordance with Part 2 of AS/NZS 3000</li> </ul>	67(1)(a)	A Y/N answer is expected. This information is mandatory.  The checklist should require certifier to indicate whether compliance was with Part 1 or Part 2.	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>specifying whether the work was done in accordance with the certified design for the installation or part installation</li> </ul>	67(1)(b)	A Y/N answer is expected. This information is mandatory.  The form should require a copy of the Certified Design be attached.	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>recording any other standards complied with, if the work was required to comply with standards other than, or in addition to, Part 1 or Part 2 of AS/NZS 3000</li> </ul>	67(1)(c)	A Y/N answer is expected.  This information is mandatory if compliance with other standards was required for the work. Possible choices are: <ul style="list-style-type: none"> <li>No additional standard</li> <li>Additional standard – specify.</li> </ul> A certificate may be designed where this option is not exercised or where the same standard is always used.	<input type="checkbox"/>	

<ul style="list-style-type: none"> <li>specifying whether the work relied on any manufacturer's instructions</li> </ul>	67(1)(d)	<p>A Y/N answer is expected. This information is mandatory.</p> <p>The form should require a copy of any manufacturer's instructions relied upon to be attached.</p> <p><i>Note: alternatively, if this is impractical a reference to where manufacturer's instructions can be accessed may be given.</i></p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>identifying the type of supply system that the installation or part installation is safe to connect to</li> </ul>	67(1)(e)	<p>This information is mandatory.</p> <p>If intended to be only ever used for certifying work suitable for connection to one type of supply system this may be permanently entered. Otherwise, a range of alternatives may be given.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>identifying which parts of the installation, if any, are safe to connect to a power supply</li> </ul>	67(1)(f)	<p>This information is mandatory.</p> <p>The form make provision for 'All', with the ability to provide details in other cases.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>identifying the location of the installation or part installation on which prescribed electrical work was done</li> </ul>	67(2)(a)	<p>This information is mandatory.</p> <p>This should be a format that encourages the correct entry of addresses, eg in the Postal Address format.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>a description of the work done</li> </ul>	67(2)(b)	<p>This information is mandatory.</p> <p>The form should provide for a clear and concise description of the work.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>recording the name of the person issuing the certificate, and</li> <li>the names of anyone performing PEW under the supervision of the certifier</li> </ul>	67(2)(c)	<p>This information is mandatory.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>recording the registration numbers (if any) of the person issuing the certificate, and</li> <li>everyone performing the PEW referred to in the certificate under supervision</li> </ul>	67(2)(d)	<p>This information is mandatory.</p> <p><i>Note: If the person issuing the certificate is acting under an employer licence, the employer's licence number is recorded.</i></p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>recording the date or dates on which the work was done, or the period within which it was done</li> </ul>	67(2)(e)	<p>This information is mandatory.</p> <p>This could be a date or a date range.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>being signed and dated by the person issuing the certificate</li> </ul>	67(2)(f)	<p>This is mandatory.</p>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>attachment of additional information, such as test reports.</li> </ul>	67(3)	<p>Inclusion of this information is optional.</p>	<input type="checkbox"/>	

## Notes:

- ESR 68 identifies who may issue a CoC.
- Checklists may be customised to a particular purpose. For example a CoC may be pre-populated with:
  - the certifier's name and registration number on it if it is exclusively for their own use
  - the type of supply system the installation is safe to connect to – eg 230 V MEN.
- A combined CoC and ESC must meet the requirements of both forms, but information required by both need only be recorded once – see ESR 111A.
- ESR 66(2) defines *lawfully and safely* to mean that:
  - the work has been done as required by these regulations
  - the installation or part installation on which the work was done is electrically safe
  - the work has not adversely affected the safety of—
    - the installation on which the work was done, or any part of that installation; or
    - any fittings that form part of the installation on which the work was done.
- A CoC may be, but need not be, issued in respect of low risk PEW – see ESR 65(2). General PEW is not considered complete until a CoC is issued – see ESR 65(3), and high-risk PEW is not considered complete until a CoC and any record of inspection is issued – see ESR 65(4).
- For requirements related to the following, see the relevant regulations:
  - Issue – ESR 65
  - Record-keeping – ESR 74E(3)
  - Supply upon request – ESR 74E(4) and (5)
  - Lodgement of details on high risk database – ESR 74F.
- Where a maintenance management system is in operation certification need only record the information identified in ESR 67 – see ESR 65(7).