

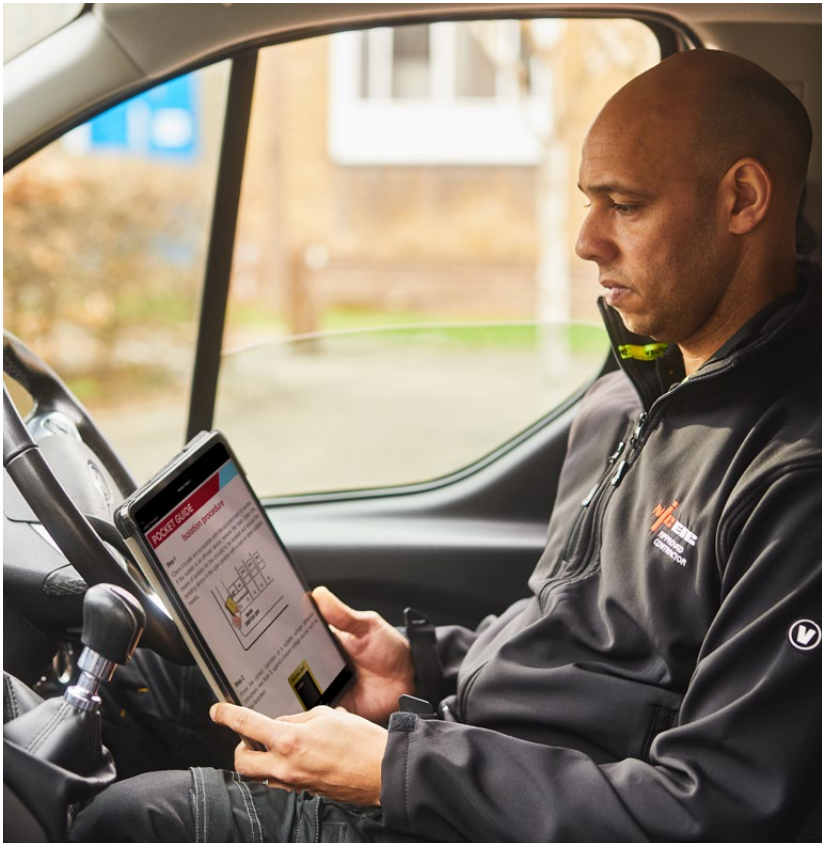
Competent Persons scheme assessment

Guidance and checklist



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Introduction

We know your time is important. So whether you're applying to gain certification for the first time or completing a surveillance assessment, this guide will help you know what to expect, the steps involved and explain the terminology we use.

Your assessment is a fundamental part of your business's certification with NICEIC. It allows your business to display the NICEIC brandmark with pride knowing that your business has met the high standards that people expect from NICEIC-certified businesses.

It's your chance to show that your business:

- has insurances, documentation and records in place to support you and your customers
- carries out work that complies with the relevant industry standards.

It also gives you an opportunity to ask your assessor any technical questions you might have.

This assessment guide and checklist explains how to book and fully prepare, including what to have ready to show your assessor, as well as some top tips to ensure a successful outcome.

**Anyone can carry a toolbox.
Only the best carry our badge.**



Your assessment

Assessments are not one size fits all.

Ideally representative samples of work in all the work categories you undertake should be made available for assessment and within a local area, so your assessor has time to undertake a review of management systems and travel to all sites and back to your contracting office within the scheduled duration. If this isn't possible, an additional chargeable assessment will be required.



Your assessment will normally last half a day.

Booking your application assessment

Once your online application, insurance and qualifications documents have been validated and payment made, we will contact you to agree a suitable assessment date.

Booking your surveillance assessment

- 12 weeks before your assessment is due, we will send you an email asking you to get in touch with our scheduling team to arrange a mutually acceptable date.
- Remember: without regular assessments your business risks losing its certification.
- Missed the email? Contact us and we can get your date booked in.

Important

If anything significant has changed since your last assessment – such as your Principal Duty Holder (PDH) leaving the business, or the work categories you undertake differing – please contact us so we can update the details we hold and ensure the appropriate assessment is scheduled.

Your Competent Person will be expected to make adequate arrangements for access to work at each of the sites selected, and to accompany your assessor to each of those sites. Suitable transport and equipment for this purpose are to be provided by you.

We are committed to safety. It is paramount that Health and Safety procedures are observed at all times during your assessment.

On the day

Your assessor will need to meet two key people: your Principal Duty Holder (PDH) and your Competent Person. In some businesses the same person can fulfil both positions.

Your assessor will start the assessment at your contracting office address. They will review your office management systems; including documents, records and equipment to ensure it is appropriate to the range and scale of electrical work your business carries out.

Assessment activity	Specific items
Introductions / opening meeting at agreed start time	Present for the meeting will be your assessor and Competent Person.
Office based assessment: complete review of scheme criteria	Assessment of: <ul style="list-style-type: none">• qualifications• insurance• publications• technical references• business letterhead• complaints log• Health and Safety Policy Statement• risk assessments• test equipment• certificates and reports• systems for notifying.
Site assessment: assessment of sites for work sample selected by your assessor	Site assessments of representative examples of work undertaken by your business within the last 12 months, to review how you have been interpreting and applying the requirements of Building Regulations and other related Codes of Practice and Bristish Standards. The Competent Person will need to demonstrate competence in inspection and testing, including use of instruments, interpretation of results and completion of certification as well as demonstrating effective supervision.
Close-out meeting	Closing meeting with your assessor and Principal Duty Holder (PDH).

Assessment checklist

To ensure your business is managing work effectively, your assessor will assess the following areas.

✓ Scheme rules

A business directly carrying out electrical work and wishing to be assessed by NICEIC must adhere to the relevant scheme rules and where the business's resources and work are subsequently assessed and found to meet the scheme rules, the business may be granted certification.

✓ Insurance

- At least £2 million public liability insurance – appropriate to the risk, nature, scope and scale of work undertaken.

Insufficient public liability insurance will prevent a site assessment from being carried out. Issues could include insufficient financial cover or business names/addresses etc.

Did you know?

NICEIC Insurance Services offer certified contractors 10% discount on contractor insurance, a free business insurance check and highly competitive rates. Visit our [insurance website](#) for more information.

✓ Records

The business will be required to hold the following records as appropriate to the range, scale, geographical spread and categories of work undertaken:

- All work carried out together with the specifications, pre-work surveys, drawings, certificates, reports and other relevant documents relating to that work for a minimum period of six years, or as otherwise contractually required, including work in-progress.
- A sample of documentation including certificates and records issued since your last assessment.
- Compliance with the requirements of the current edition of the Buildings Regulations with regards notifying works.
- Demonstrating the accuracy and consistency of test instruments held or hired (not borrowed). Click [here](#) for Safety Through Accuracy of Test Instruments guidance.
- Demonstrating that all employed persons, which includes subcontractors, are competent and adequately supervised to undertake electrical work. Click [here](#) for Additional Guidance for Demonstrating Competence of Employed Persons.
- Required qualifications, training (including continuing professional development) and experience for all employed persons undertaking electrical work. Click [here](#) for Additional Guidance for Demonstrating Competence of Employed Persons.
- All complaints received over the previous six years about the technical standard, safety and functionality of electrical work, and details of actions taken to resolve. Example complaints record can be downloaded [here](#).
- Written Health and Safety policy statement which is signed and dated and risk assessments as appropriate. A guide to preparing a health and safety policy can be downloaded [here](#).
- Copy of business stationery.
- If work is sub-let to another business – details of contractual agreements between the business and the person ordering the work as well as the business and the business that work has been sub-let to.

✓ Technical reference documents

Your assessor will assess access is available to the relevant technical reference documents, to ensure that they are appropriate to the range and scale of work you undertake. As a minimum, you must have access to the latest edition of each of the following documents:

- Relevant Approved Documents.
- Building Regulations.
- Directives being adhered to, i.e. water regulations.
- Additional technical documents which may be recommended depending on the range of work undertaken include:
 - [Approved Document Part P](#) if you undertake domestic work in England.
 - [Domestic Building Services Compliance Guide](#).

✓ Test equipment

Your business must have an adequate number of serviceable equipment and test instruments and test leads appropriate to the range and scale of work that you undertake, for example a flue gas analyser.

A sample of this equipment must be available to your assessor during your assessment. They will then need to be taken and used during the on-site inspection by the Competent Person to comply with all necessary areas of the building regulations and relevant industry standards.

Your assessor will also need to ensure that you are maintaining the accuracy and consistency of test instruments used.

A 'Test instrument accuracy record' template can be downloaded [here](#) and will help you achieve this.



"We are NICEIC-certified because we want to be part of something that gives people a level of trust in us."

Chris Day,
Mayday Electrical

Assessment outcomes

The Assessment report will indicate the outcome of the assessment and make one of the following recommendations to our Head Office for validation.

- **Pass** – Certification will be recommended if the business is compliant with the scheme requirements.
- **Evidence required** – Evidence must be provided to confirm that all non-compliances, as recorded on the report, have been remedied.
- **Reassessment required** – One or more major non-compliances were recorded at the assessment. A reassessment is necessary to confirm that adequate procedures have been put in place to prevent non-compliances occurring and to check all non-compliances noted at the original assessment have been remedied.
- **Additional assessment required** – Further assessment time required, possibly due to range, scale and scope of works carried out or additional Qualified Supervisor assessment time.

The majority of additional assessment outcomes are due to insufficient representative examples of work put forward for assessment.

Helpful documents

[Download](#) our Type of Work for Assessment guide for more information.

Additional information

Being fully prepared for your assessment is the key to a good outcome.

Being organised not only helps your assessor to perform their task more efficiently, but also means you can use the time to your own advantage.

Please visit our [CPS scheme webpage](#) for more information.

This means more time for your own questions about technical standards, industry best practice and advice on how NICEIC can support you more in your business.

About NICEIC

For almost 70 years, NICEIC has been the UK's largest certification body for electrical businesses with over 40,000 currently certified with us. As the industry leader, we drive the highest standards of competence and safety.

We assess, certify and train electricians, plumbers, renewable energy installers, and gas and heating engineers. To become certified, businesses must demonstrate their compliance with technical standards and industry best-practice through rigorous assessments and continuing professional development.

Trade professionals look to us for certification and technical leadership, and value the credibility our name gives theirs. We provide ongoing advice and support, and list their businesses on our online 'Find a trusted NICEIC tradesperson' tool.

We help build public trust in trade professionals – and we never compromise on that trust. We work alongside government and industry to shape policy and drive standards. Many UK businesses, government organisations, local authorities and landlords will only work with NICEIC-certified businesses.

The NICEIC brand is owned and managed by Certsure LLP.

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