



# Competent Persons Scheme Assessment Guidance

# The purpose of this guidance is to assist you in preparing for your assessment

## 1. Preparation for the Assessment

Your Assessor will visit your registered trading address. They will review your office systems, plant and equipment to ensure it remains appropriate to the range and scale of installation work that your company carries out. The Principal Duty Holder and Competent Person will need to be present for the opening and closing meetings of the Assessment.

Your Assessor will usually select a minimum of one sample of work reflective of the range, scale and scope of work undertaken to assess as part of the assessment. Generally work on your own property will not be accepted as part of this assessment.

Your Assessor will select sites that are up to 30 minutes travelling distance from your registered contracting address and accompany the Competent Person to each of the sites selected. The following arrangements will need to be made.

- A representative sample of works that the business has completed in the last 12 months
- Access to the installation work at each site
- Suitable transport to each site/premises
- Suitable equipment (hand tools, step ladder, PPE etc.) to access the installation

## 2. 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.  
This document is available as a free download at: [niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/](https://www.niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/)
- Domestic Building Services Compliance Guide.  
Available at: <https://www.gov.wales/sites/default/files/publications/2023-07/building-regulations-guidance-part-l-conservation-of-fuel-and-power-domestic-building-services-compliance-guide.pdf>

### 3. Test Instruments & Leads

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 from [niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/](https://niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/) and will help you achieve this.

### 4. Insurance

Your Assessor will need to see evidence your business has maintained and has current Public Liability Insurance in the registered trading name, during the assessment, which must be a minimum of £2 million cover for the range of work that you undertake.

**Insufficient Public Liability Insurance will prevent a site assessment being carried out.**

### 5. Records of Complaints

Every business is required to maintain a log of any complaints made about the technical standard of work they have installed, along with the remedial action taken.

This log will need to be made available to your Assessor during the assessment. An example can be downloaded from [niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/](https://niceic.com/for-the-trades-1/develop-your-skills/publications-downloads/)

### 6. Health & Safety

Evidence that your business has health and safety policies and procedures and including risk assessments where applicable, to ensure all activities are conducted safely, must be demonstrated to the assessor.

### 7. List of Completed Work

A detailed list of all installation work completed under your registered trading title since the last assessment, and all of the work in progress, will need to be made available to your Assessor.

## 8. Installation Evidence

In order to demonstrate how you have complied with scheme requirements your Assessor will need to review the installation records and reports during your assessment:

- A sample of documentation including certificates and records issued since your last assessment
- How you have complied with the requirements of the current edition of the Building Regulations with regards notifying works

## 9. The Assessment

Programme time	Assessment activity	Specific items
<b>At agreed start time</b>	Introductions/Opening meeting	Present for the meeting will be the Assessor and Competent Person.
<b>Document Assessment</b>	Complete review of scheme criteria	Assessment of: <ul style="list-style-type: none"> <li>• Qualifications</li> <li>• Insurance</li> <li>• Publications</li> <li>• Technical References</li> <li>• Company letterhead</li> <li>• Complaints Log</li> <li>• Health &amp; Safety Policy Statement</li> <li>• Risk Assessments</li> <li>• Test Equipment</li> <li>• Certificates &amp; Reports</li> <li>• Systems for notifying</li> </ul>
<b>Site Assessment</b>	Assessment of sites selected by Assessor	Site assessments of representative examples of work undertaken by your business, to see how you have been interpreting and applying the requirements of Building Regulations and other related Codes of Practice and British Standards. The Competent Person will need to demonstrate, competence in inspection and testing, including use of instruments, interpretation of results and completion of certification.
<b>Final Undertaking</b>	Close out meeting	Closing meeting with Assessor and Principal Duty Holder.

## 10. 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.

---

## 11. Assessment Checklist






- Relevant Installation standards
- Additional technical documents (as required in section 2)
- Suitable Test Instruments (see section 3)
- £2 million public liability insurance
- Complaint log and associated evidence
- Health & Safety Policy & Procedures
- List of all installation work completed
- List of all work in progress
- Certificates issued since last assessment
- Evidence of notifying work under current building regulations

**For more information or to access any of our services contact us now:**

**Telephone** 0333 015 6626 **Email** [applications@niceic.com](mailto:applications@niceic.com)

**Post** Warwick House, Houghton Hall Park, Houghton Regis, Bedfordshire, LU5 5ZX

**Online** [niceic.com](http://niceic.com)

-  [@officialniceic](https://www.instagram.com/officialniceic)
-  [linkedin.com/company/niceic](https://www.linkedin.com/company/niceic)
-  [@officialNICEIC](https://twitter.com/officialNICEIC)
-  [facebook.com/NICEIC](https://www.facebook.com/NICEIC)
-  [youtube.com/c/niceic1](https://www.youtube.com/c/niceic1)

