



# Electrical Schemes Surveillance Assessment Guide

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## Introduction

This document aims to help you understand why NICEIC undertakes assessments; the steps involved and the terminology used.

In order to give assurance that the business is continuing to comply with the requirements of the relevant scheme rules, the business will require surveillance assessments, normally at annual intervals.

A surveillance assessment will be required when a Qualified Supervisor ceases to be employed in that capacity, so the suitability of the proposed replacement can be assessed against the relevant scheme rules.

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### Important

If any significant changes have occurred since the last surveillance assessment, such as the Principal Duty Holder or Qualified Supervisor leaving the business, or significant changes to the range of electrical work the business undertakes, please contact us so we can update the details held and ensure the appropriate assessment is scheduled.



DB1 ISOLATOR  
MAIN SWITCH ISOLATOR  
SUPPLY FROM SWITCH FUSE 1

Category	Item 1	Item 2	Item 3	Item 4	Item 5	Item 6	Item 7	Item 8	Item 9	Item 10
Category 1	Item 1.1	Item 1.2	Item 1.3	Item 1.4	Item 1.5	Item 1.6	Item 1.7	Item 1.8	Item 1.9	Item 1.10
Category 2	Item 2.1	Item 2.2	Item 2.3	Item 2.4	Item 2.5	Item 2.6	Item 2.7	Item 2.8	Item 2.9	Item 2.10
Category 3	Item 3.1	Item 3.2	Item 3.3	Item 3.4	Item 3.5	Item 3.6	Item 3.7	Item 3.8	Item 3.9	Item 3.10
Category 4	Item 4.1	Item 4.2	Item 4.3	Item 4.4	Item 4.5	Item 4.6	Item 4.7	Item 4.8	Item 4.9	Item 4.10
Category 5	Item 5.1	Item 5.2	Item 5.3	Item 5.4	Item 5.5	Item 5.6	Item 5.7	Item 5.8	Item 5.9	Item 5.10
Category 6	Item 6.1	Item 6.2	Item 6.3	Item 6.4	Item 6.5	Item 6.6	Item 6.7	Item 6.8	Item 6.9	Item 6.10
Category 7	Item 7.1	Item 7.2	Item 7.3	Item 7.4	Item 7.5	Item 7.6	Item 7.7	Item 7.8	Item 7.9	Item 7.10
Category 8	Item 8.1	Item 8.2	Item 8.3	Item 8.4	Item 8.5	Item 8.6	Item 8.7	Item 8.8	Item 8.9	Item 8.10
Category 9	Item 9.1	Item 9.2	Item 9.3	Item 9.4	Item 9.5	Item 9.6	Item 9.7	Item 9.8	Item 9.9	Item 9.10
Category 10	Item 10.1	Item 10.2	Item 10.3	Item 10.4	Item 10.5	Item 10.6	Item 10.7	Item 10.8	Item 10.9	Item 10.10

## Assessment Duration: How long could it take?

Assessment durations are units of time required to undertake a robust assessment to enable NICEIC to make a decision on compliance with the relevant scheme rules.

It is important the samples of work are within a local area to allow the Assessor time to travel to all sites and back to your contracting office within the allocated time, if this isn't possible then an additional chargeable assessment will be required.

For NICEIC Approved Contractors the assessment duration will generally take up to 6 hours (2 units) of assessment time. The annual renewal fee includes 1 unit of assessment time. Therefore any additional unit required will attract an additional assessment fee.

For NICEIC Domestic Installer's the assessment duration will generally take up to 3 hours (1 unit) of assessment time.

Note - if we cannot see sufficient work types for assessment or we are unable to complete the assessment in the allocated time you may need additional chargeable assessments.

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## The Assessment: On the Day

The Assessor will start the assessment at your contracting office address. The Assessor will review your office systems, documents and equipment to ensure it is appropriate to the range and scale of electrical work your business carries out. The Principal Duty Holder (PDH) will need to be present for the opening and closing meetings of the assessment.

The Qualified Supervisor(s) (QS) will be required to be present throughout the assessment and accompany The Assessor to the sites selected for assessment.

The Assessor will select a sufficient sample of electrical work reflective of the range, scale and scope of electrical work undertaken to assess.

The following arrangements and preparation will need to be made:

- A sample of work representative of the category(s) for which an application has been made or certification granted, that the business has completed in the last 12 months (Approved Contractors - The Assessor may look at one job in progress)
- All work should have the appropriate certificate or report issued by the business
- Access to the electrical work at each site
- Provide suitable transport for the Assessor, to and from the selected site(s)
- Suitable equipment (hand tools, step ladder, PPE etc.) to access the installation
- Provide a list of work in progress and completed since the initial or last surveillance assessment.

You must notify us in advance if special requirements are needed to gain access to site(s); e.g. security clearance, passport, driving licence etc.

(Note all Assessors will carry standard PPE inclusive of hard hat, safety footwear and Hi Viz). Any items over and above these required for site access need to be provided or advised in advance).

Click [here](#) for Type of Work Required for Assessment.

Click [here](#) for Principal Duty Holder & Qualified Supervisor Roles & Responsibilities.

## What will the Qualified Supervisor (QS) be assessed on?

The Assessor will assess the QS and collect demonstrable evidence that the core elements of the current industry recognised Craft Qualifications are being met.

The Assessor will require unhindered access to the electrical work to enable the QS to be assessed on the following:

- Competence in electrical installation practices
- Aware of their supervisory responsibilities and their responsibility for the technical standard of the business's electrical installation work
- Well versed in the inspection, testing, verification and certification procedures for the range of electrical work undertaken by the business
- Well versed in the reporting procedures for the range of electrical work undertaken by the business
- Electrical Certification, including:
  - answering verbal questions relating to recorded values and the verification of those values; and
  - awareness of electrical terminology and associated measurement units.
- Explain the design process for new circuits as well as where applicable/relevant additions and alterations
- Demonstrate safe isolation and re-energisation of installed circuits and electrical equipment
- Demonstrate correct selection and erection of wiring systems applicable to the installation type, including termination of armoured cable, installation of conduit, trunking, tray systems and the like
- Knowledge of associated Building Regulations and applicable industry standards
- Be able to identify potential problems and faults associated with electrical installation work and explain methods employed to diagnose and rectify faults including:
  - RCD tripping
  - Open circuits
  - High resistance values
  - Circuit design
  - Prospective fault current
  - Shock Protection
  - Phase sequence/rotation

## Approved Contractor Scheme - Periodic Inspection work

The following additional requirements will apply where the business carries out Periodic Inspections of electrical installations.

Samples of completed Electrical Installation Condition Reports (EICR'S) will be required for assessment.

The QS will be expected to demonstrate an understanding of BS 7671 and its requirements for reporting on existing electrical installations.

Observational skills to recognise departures from current regulations and correctly assigning industry agreed coding of severity against these observations must be demonstrated.

Examples of Periodic Inspection work put forward for assessment will be recently completed to enable a site assessment to assess the completion of the EICR and how it relates to the installation inspected.

Programme time	Assessment activity	Specific items
At agreed start time	Introductions/ Opening meeting	Present for the meeting will be the Assessor, Qualified Supervisor and Principal Duty Holder
Office Assessment	Complete review of scheme criteria	Assessment of: <ul style="list-style-type: none"> <li>• Qualifications</li> <li>• Insurances</li> <li>• Publications</li> <li>• Technical References</li> <li>• Use of Certification logo(s)</li> <li>• Complaints Log</li> <li>• Health &amp; Safety Policy Statement</li> <li>• Risk Assessments as appropriate</li> <li>• Safe Isolation and re-energisation of installation procedures</li> <li>• Test Equipment</li> <li>• Electrical Certificates &amp; Reports*</li> <li>• Test Instrument Accuracy System*</li> <li>• Systems for notifying work requiring Building Regulation compliance*</li> <li>• Qualifications, training, experience &amp; Continuing Professional Development (CPD) of electrical employed persons*</li> <li>• Employed person competence and supervision</li> </ul>
Site Assessment	Assessment of sites for electrical work sample selected by the Assessor	Site assessments of representative examples of work undertaken by your business, within the last 12 months, to see how you have been interpreting and applying the requirements of BS 7671, Building Regulations and Standards.  The QS will have to demonstrate knowledge and competence of the scopes of work carried out, including preparation for work, safe isolation and re-energisation, installation practices, inspection, testing, verification and certification or reporting, knowledge of associated Building Regulations and supervision of operatives, if applicable.
Final Undertaking	Close out meeting	Closing meeting with Qualified Supervisor and Principal Duty Holder

\* The top 4 common departures noted at assessment that result in an Evidence Required outcome.

## 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** - Continued 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. Click [here](#) for Type of Work Required for Assessment.

# Assessment Checklist

As part of the assessment process NICEIC will assess a number of areas to ensure the business is managing electrical work effectively, these areas are detailed as follows:

## 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 electrical work are subsequently assessed and found to meet the scheme rules, the business may be granted Certification.

## Insurance

- £2 million public liability insurance - appropriate to the risk, nature, scope and scale of work undertaken
- £250k Professional Indemnity Insurance (For AC's undertaking Periodic Inspection and/or businesses certified on the Rented Sector Scheme)
- £5 million Employee Liability Insurance (For TrustMark registered business's excluding Sole Traders)

Insufficient Public Liability Insurance will prevent a site assessment being carried out. This could be insufficient financial cover, Business name(s), address etc.

NICEIC Insurance Services offer certified contractors 10% discount on contractor insurance, a free insurance Health 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 electrical work undertaken:

- All electrical work carried out together with the specifications, drawings, certificates, reports and other relevant documents relating to that work for a minimum period of 6 years, or as otherwise contractually required, including work in-progress; and
- Installations notified as compliant with the Building Regulations; and
- Demonstrating the accuracy and consistency of test instruments held or hired (not borrowed). Click [here](#) for Safety Through Accuracy of Test Instruments guidance; and
- 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; and
- Relevant 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; and

- All complaints received over the previous 6 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](#); and
- Written health and safety policy statement and risk assessments as appropriate. A guide to preparing a Health & Safety policy can be downloaded [here](#); and
- Safe Isolation procedures and re-energisation of installations; and
- Copy of business stationery.

## Technical Reference Documents

The business will, as a minimum, be required to have access to the current version (including all amendments) of:

- BS 7671 Requirements for Electrical Installations (IET Wiring Regulations) The Electricity at Work Regulations 1989. Guidance on Regulations HSR25 <http://www.hse.gov.uk/pubns/books/hsr25.htm>; and
- All building regulations Approved Documents and/or Technical Standards relevant to the work undertaken by the business  
[http://www.planningportal.co.uk/info/200135/approved\\_documents](http://www.planningportal.co.uk/info/200135/approved_documents)  
<http://www.gov.scot/policies/building-standards/monitoring-improving-building-regulations/>  
<https://gov.wales/topics/planning/buildingregs/approved-documents/?lang=en>  
<http://www.buildingcontrol-ni.com/regulations>  
<https://www.gov.je/PlanningBuilding/LawsRegs/Technical/Pages/12ElectricalSafety.aspx>  
 ; and
- Electrical test equipment for use on low voltage electrical systems HSE Guidance Note GS38 (as amended). <http://www.hse.gov.uk/pubns/books/gs38.htm>

## Test Equipment

For all low voltage electrotechnical work, the business will be required to hold the following test instruments as a minimum:

- Insulation resistance test instrument; and
- Continuity test instrument; and
- Voltage indicating instrument\* (together with means of securing for safe isolation); and
- Earth fault loop impedance test instrument; and
- Residual current device test instrument; and
- Suitable split test leads for both the phase/earth loop impedance test instrument and the residual current device test instrument.

Two or more of the functions of the above instruments may be combined in a single instrument.

In addition, the business will be required to hold additional test instruments particular to the scope, range and scale of work being assessed.

\*Voltage indicating equipment does not require calibration.



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

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