

# *APPROVED CONTRACTOR ASSESSMENT GUIDANCE & CHECKLIST*



*THE POWER BEHIND YOUR BUSINESS*



# THE PURPOSE OF THIS GUIDANCE AND CHECKLIST IS TO ASSIST YOU IN PREPARING FOR YOUR PERIODIC ASSESSMENT

## 1. PREPARATION FOR THE VISIT

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

The registered Qualified Supervisor will be required to be present throughout the Assessment and accompany the Assessor to the sites or premises selected for Assessment.

Your Assessor will select sufficient (usually 1 to 3) samples of electrical work reflective of the range, scale and scope of electrical work undertaken to visit 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 office address and accompany the Qualified Supervisor to each of the sites selected. The following arrangements will need to be made.

- A representative sample of works either completed or in progress that the business has completed within the last 12 months
- Access to the electrical work at each site/premises
- 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 review the technical reference documents that your own business owns, 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:

- BS 7671 – Requirements for Electrical Installations (IET Wiring Regulations)
- The Electricity at Work Regulations 1989. Guidance on Regulations\*

\*This document is available as a free download from the HSE website, [hse.gov.uk](https://www.hse.gov.uk)

Additional technical documents which may be recommended depending on the range of work undertaken include:

- BS 5839 Part 1: and/or Part 6: for Fire Alarm Installations
- BS 5266 Part 1: for Emergency Lighting Installations

- Approved Document Part P if you undertake domestic work in England. This document is available as a free download at: [niceic.com/contractor/essentials/downloads](https://www.niceic.com/contractor/essentials/downloads)
- Approved Document Part P if you undertake domestic work in Wales. This document is available free to download [niceic.com/contractor/essentials/downloads](https://www.niceic.com/contractor/essentials/downloads)
- For contractors based in Scotland, access to the Technical Handbooks is available for free by following this link: [gov.scot/Topics/Built-Environment/Building/Building-standards/publications/pubtech](https://www.gov.scot/Topics/Built-Environment/Building/Building-standards/publications/pubtech)
- Code of Practice for In-service Inspection and Testing of Electrical Equipment

## 3. TEST INSTRUMENTS & LEADS

Remember that your business must have an adequate number of serviceable test instruments and test leads appropriate to the range and scale of electrical work that you undertake.

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 Qualified Supervisor to demonstrate testing and safe isolation procedures.

As a minimum, the business will need to have one or more instruments that can test the following:

- Voltage Indication
- Continuity
- Residual Current Devices
- Insulation Resistance
- Earth Fault Loop Impedance

Your Assessor will also need to ensure that you are maintaining the accuracy and consistency of test instruments used for certification and reporting.

A 'Test instrument accuracy record' template can be downloaded from [niceic.com/contractor/downloads](https://www.niceic.com/contractor/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. Please note: it is Public Liability Insurance, not Employer's Liability Insurance, the Assessor will check – this does not mean that you may not require Employer's Liability Insurance where appropriate.

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

We recommend that contractors consider taking out Professional Indemnity insurance where they undertake Periodic Inspection and Testing.

## 5. RECORDS OF COMPLAINTS

Every business is required to maintain a log of any complaints made about the technical standard of electrical 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/contractor/downloads](http://niceic.com/contractor/downloads)

## 6. HEALTH & SAFETY

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

## 7. LIST OF ELECTRICAL WORK

A detailed list of all electrical 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. ELECTRICAL INSTALLATION EVIDENCE

In order to demonstrate how you have complied with BS 7671 your Assessor will need to review the following certificates and reports during your assessment:

- A sample of electrical installation certificates issued since your last assessment
- If appropriate, a sample of EICRs (Electrical Installation Condition Reports) issued since the last assessment
- How you have complied with the requirements of the current edition of the Building Regulations with regards notifying works

Additionally for contractors registered with Certifier of Construction (Electrical Installations to BS 7671) scheme in Scotland – copies of the checklist in support of Certificate of Construction (Electrical Installations to BS 7671) and records of Certificates of Construction issued.

## 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, Qualified Supervisor and Principal Duty Holder
<b>OFFICE ASSESSMENT</b>	Complete review of scheme criteria	Audit 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>• Safe Isolation Procedures</li><li>• Test Equipment</li><li>• Electrical Certificates &amp; Reports</li><li>• Systems for notifying</li></ul>
<b>SITE ASSESSMENT</b>	Assessment of sites for electrical sample selected by Assessor	Site assessments of electrical work undertaken by your business, to see how you have been interpreting and applying the requirements of BS 7671 and other related Codes of Practice and British Standards. The Qualified Supervisor will need to demonstrate safe isolation, 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 Qualified Supervisor and Principal Duty Holder

## 10. OUTCOME OF ASSESSMENT

The assessment report will indicate the outcome of the assessment and make one of the following recommendations to Head Office:

- Compliant – Continued registration will be recommended if the business is compliant with the scheme requirements
- Evidence required – Evidence must be provided to confirm that all major non-compliances, as recorded on the report, have been remedied and that systems are in place to prevent reoccurrence
- Revisit required – One or more major non-compliances from the assessment, as recorded on the report, require remedial action. A revisit is necessary to confirm that all non-compliances have been remedied
- Additional visit required – Further assessment time required possibly due to size and scope of works carried out or additional Qualified Supervisor assessment time

## 11. CHECKLIST

- Copy letterhead
- BS 7671 – Requirements for Electrical Installations (IET Wiring Regulations)
- Additional technical documents (as required in section 2)
- Suitable Test Instruments (see section 3)
- £2 million public liability insurance
- Employers Liability Insurance (if applicable)
- Professional Indemnity Insurance (optional)
- Complaint log and associated evidence
- Health & Safety Policy & Procedures and Risk Assessment
- Safe isolation procedures
- List of all electrical work completed since last assessment
- List of all work in progress
- Sample of electrical installation certificates issued since last assessment
- Sample of EICR's issued since last assessment (if applicable)
- Certificates and reports for other electrical work undertaken by the business since last assessment (if applicable)
- Evidence of notifying work under current building regulations