

# ***ELECTRICAL ASSESSMENT GUIDANCE & CHECKLIST***



***THE POWER BEHIND YOUR BUSINESS***



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

## ***1. PREPARATION FOR THE ASSESSMENT***

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 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(s) 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 a sufficient sample of electrical work reflective of the range, scale and scope of electrical work undertaken to visit as part of the assessment. It is advisable that you have at least 3 samples of work available. Generally work on your own property will not be accepted as part of this assessment.

Your Assessor will select sites that are typically 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 and preparation will need to be made.

- A representative sample of works that the business has completed since the last assessment (Approved Contractors - The Assessor may look at one job in progress).  
All work should have an appropriate certificate or report
- 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
- Provide a list of work in progress and complete since the last assessment

You must notify us in advance if special requirements are needed to gain access to site(s); eg: 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).

## 2. TECHNICAL REFERENCE DOCUMENTS

Your Assessor will review the 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 including any amendments of each of the following documents:

- BS 7671 – Requirements for Electrical Installations (IET Wiring Regulations)
- The Electricity at Work Regulations 1989. Guidance on Regulations (HSR25)\*

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

- Electrical test equipment for use on low voltage electrical systems HSE Guidance Note GS38 (as amended). <http://www.hse.gov.uk/pubns/books/g38.htm>

Additional technical documents which may be required 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/contractor/essentials/downloads](http://niceic.com/contractor/essentials/downloads) or [elecsa.co.uk/contractors/useful-documents](http://elecsa.co.uk/contractors/useful-documents)
- Approved Document Part P if you undertake domestic work in Wales. This document is available free to download at: [niceic.com/contractor/essentials/downloads](http://niceic.com/contractor/essentials/downloads) or [elecsa.co.uk/contractors/useful-documents](http://elecsa.co.uk/contractors/useful-documents)
- Code of Practice for In-service Inspection and Testing of Electrical Equipment
- Part 12 Electrical Safety if you undertake electrical work in Jersey. This document is available free to download at: <https://www.gov.je/PlanningBuilding/LawsRegs/Technical/Pages/12ElectricalSafety.aspx>

For contractors based in Scotland, access to the Technical Handbooks is available for free by following this link: [gov.scot/publications](http://gov.scot/publications)

Other technical documents that may be recommended:

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

### ***3. TEST INSTRUMENTS & LEADS***

Remember that your business must have access to 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 assessment 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 (RCDs)
- 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) or [elecsa.co.uk/contractors/useful-documents](https://www.elecsa.co.uk/contractors/useful-documents) and will help you achieve this.

### ***4. INSURANCE***

Your Assessor will need to see evidence that 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.

#### **Approved Contractors:**

Must hold at least £250,000 professional indemnity insurance where the scope of your Assessment Certificate includes Periodic Inspection (EICR) work.

## ***5. RECORDS***

### **Complaints**

Every business is required to maintain a log of any complaints made about the technical standard of electrical work they have carried out, 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](https://niceic.com/contractor/downloads) or [elecса.co.uk/contractors/useful-documents](https://elecса.co.uk/contractors/useful-documents)

### **Supervision**

Evidence that you have records demonstrating that all Employed Persons are competent and/or adequately supervised to undertake electrical work.

### **Qualifications**

Evidence that your business holds records of relevant qualifications, training (including Continuous Professional Development) and experience of employed persons.

## ***6. HEALTH & SAFETY***

Evidence that your business has health and safety policies and procedures and safe isolation and re-energisation of installation procedures, including risk assessments where applicable, to ensure all activities are conducted safely, must be demonstrated to the assessor. A guide to preparing a Health & Safety policy can be downloaded from [niceic.com/contractor/downloads](https://niceic.com/contractor/downloads) or [elecса.co.uk/contractors/useful-documents](https://elecса.co.uk/contractors/useful-documents)

## ***7. LIST OF ELECTRICAL WORK***

A detailed list of all electrical work completed under your registered business since the last assessment, and all of the work in progress, will need to be made available to your Assessor. You will also need to provide the list of all electrical work carried out together with the specifications, drawings, certificates, reports and other relevant documents relating to that work.

## ***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, together with the specifications, drawings, certificates, reports and other relevant documents relating to that work, where relevant, during your assessment:

- Electrical installation certificates issued since your last assessment. **Approved Contractors:** If appropriate, 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 to 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	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>• Safe Isolation and re-energisation of installation procedures</li> <li>• Test Equipment</li> <li>• Electrical Certificates &amp; Reports</li> <li>• Systems for notifying work requiring Building regulation compliance</li> <li>• Training and CPD records</li> <li>• Employed person supervision</li> </ul>
<b>SITE ASSESSMENT</b>	Assessment of sites for electrical sample 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 BS 7671 and Building Regulations and Standards. The Qualified Supervisor will need to demonstrate safe isolation and re-energisation, competence in inspection and testing, including use of instruments, interpretation of results and completion of certification and adequacy of supervision.
<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 our Head Office:

- **Pass** – 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
- **Revisit required** – One or more major non-compliances were recorded at the assessment. A revisit is necessary to confirm that adequate procedures have been put in place to prevent non-compliances occurring and to check that all non-compliances noted at the original assessment have been remedied
- **Additional visit required** – Further assessment time required possibly due to range, scale and scope of works carried out or additional Qualified Supervisor assessment time



## 11. CHECKLIST

- Copy of business stationery
- BS 7671 – Requirements for Electrical Installations (IET Wiring Regulations current edition)
- Additional technical documents (as required in section 2)
- Suitable Test Instruments (see section 3)
- £2 million public liability insurance
- £250k Professional Indemnity Insurance (for AC's or who undertake Periodic Inspection)
- Complaint log and associated evidence
- Health & Safety Policy & Procedures and Risk Assessment
- Safe isolation procedures and re-energisation of installations
- List of all electrical work completed since last assessment together with the specifications, drawings, certificates, reports and other relevant documents relating to that work
- List of all work in progress
- Electrical installation certificates issued since last assessment
- Evidence of notifying work under current building regulations
- EICR's issued since last assessment (if applicable)
- Evidence of relevant qualifications, training (including Continuous Professional Development) and experience for all employed persons undertaking electrical work
- Evidence demonstrating that all Employed Persons are competent and/or adequately supervised to undertake electrical work