

CIC Approved Inspectors Register (CICAIR)

Approved Inspector Application Form



CICAIR Limited, 26 Store Street, London, WC1E 7BT
T: 020 7399 7403 E: cicair@cic.org.uk

Guidance Notes

Submitting the Application

- Five copies of the application are required.
- The application must be bound, page numbered and printed double sided.
- Complete all sections in full, attaching additional pages as necessary.
- Post or hand deliver the application with the application fee to:

CICAIR Limited
The Building Centre
26 Store Street
London
WC1E 7BT

- More information on the application and assessment process is available at www.cic.org.uk/services/approval-process.php.
- **Applications not submitted correctly and in full, following the layout of the application form, will be returned to the applicant for resubmission and the application will be placed on hold.**

Fees

- The application fee of **£5,000 (plus VAT)** must be submitted with the application. Cheques should be made payable to CICAIR Limited. If you wish to pay by BACS please contact us for details.
- For initial approvals the fee for the first year's registration is included in the application fee. The registration fee following the first year of registration is **0.9%** of the Approved Inspector's turnover and is payable annually over the five year approval period. The registration fee is calculated annually based on the most recently declared turnover and the minimum registration fee is **£1,000 (plus VAT)** per annum. The registration fee will fall due on the anniversary of the Notice of Approval and we will write to you with details before the next payment date.
- New Approved inspectors are audited twice within the first five years of approval. The first initial audit will be conducted within the first 12 months of approval with a re-approval audit taking place within the first five years of approval.
- An audit fee of **£2,000 (plus VAT)** per audit day is payable for the first initial audit. An audit fee of **£5,000 (plus VAT)** is payable for the re-approval audit which is normally undertaken 18-24 months before the expiry of the approval. Any additional audit days

that are required during the approval period will be charged at £2,000 (plus VAT) per audit day.

For further detail on the re-approval process and fee structure visit www.cic.org.uk/services/approval-process-existing-approved-inspectors.php.

Confidentiality

- The approval process is strictly confidential and the application is only made available to CICAIR staff, the CICAIR Board of Directors and the approval panel assigned to the assessment of the application. Please declare any organisations or individuals that you do not wish to be privy to the application in the *Confidentiality* section of this form.

Interview and Presentation

- The applicant will be called to an interview if the pre-qualification verification undertaken by the Registrar determines that sufficient information has been provided. Should the applicant be called to interview, they will be required to deliver a fifteen minute presentation summarising the application and the plan for the business. Interviews are recorded and a copy of the recording retained by CICAIR. Any information provided throughout the application process and at the approval interview may be used during subsequent monitoring and auditing of the Approved Inspector.

Unsuccessful Approval and Appeal

- Where an application is unsuccessful as a result of either not satisfying the Registrar's pre-qualification verification or on the recommendation of a CICAIR approval panel, the applicant may appeal this decision. Further detail will be provided should the application be unsuccessful.

Successful Approval and Registration

- If the application is successful, the applicant will have three months from the date on the approval letter to accept the offer of registration.
- Registration is for five years, after which time re-approval is required.
- The Approved Inspector's name, address, telephone number and website will be included on the online Register, and will be notified to the Ministry of Housing, Communities and Local Government (MHCLG), the Welsh Government, the Association of Consultant Approved Inspectors (ACAI), Local Authority Building Control (LABC) and the approved insurance scheme providers.
- All Approved Inspectors are required to notify CICAIR before they make any changes to governance arrangements, operating structure or contact details.

Code of Conduct for Approved Inspectors

- A requirement of registration is that the applicant agrees to abide by the CICAIR Code of Conduct for Approved Inspectors (and any subsequent amendments). The Code also includes a requirement to abide by the Building Control Performance Standards and Approved Inspectors are required to operate in accordance with both documents.

Monitoring and Auditing

- CICAIR will monitor the activities of Approved Inspectors, and for this purpose, Approved Inspectors will be required to provide annual monitoring returns to CICAIR. New Approved inspectors are audited twice within the first five years of approval. The first initial audit will be conducted within the first 12 months of approval with a re-approval audit taking place within the first five years of approval. Auditing will then be undertaken at least once during every subsequent five year approval period. Renewal of the Notice of Approval is dependant on satisfactory completion of the annual monitoring and audit process.

Insurance

- Approved Inspectors are required to be insured with an approved scheme. Details of the approved schemes can be found at www.cic.org.uk/services/insurance.php.
- Approved Inspectors are required to make their Insurance Declaration available on the Register. It is the responsibility of the Approved Inspector to ensure that CICAIR is provided with a copy of their current insurance declaration.

Individuals and Sole Traders

- If the applicant is an individual or a sole trader, please contact us to discuss your application.

If you require assistance with this form, or to discuss the application submission process, please contact cicair@cic.org.uk or phone 020 7399 7403.

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Section 1 – Applicant Details

Company Details

| | |
|------------------------|--|
| Company Name | |
| Registered Company No. | |
| Registered Address | |
| | |
| | |
| Postcode | |
| Date Established | |

Main Contact Details

| | |
|----------------|--|
| Forename | |
| Surname | |
| Office Address | |
| | |
| | |
| | |
| Postcode | |
| Telephone | |
| Mobile | |
| Fax | |
| Email | |

Section 2 – Company Structure

Provide the proposed or actual company structure and internal operating structure shown as an organisational tree or chart, including the names of all directors, staff members, professional consultants and specialist consultants (as defined by the CICAIR Code of Conduct for Approved Inspectors) who will be engaged in the delivery of the building control function, administrative function or support services. If the applicant is part of a wider group structure, or owned by a parent company, include its structure tree.

Within the organisational tree or chart include the qualifications and professional memberships of all directors, technical staff and professional and specialist consultants and indicate if any of the company directors have any other ownership or directorship stakes with any other companies, dormant or active.

Section 3 – Curriculum Vitae

Enclose current curriculum vitae showing the qualifications, experience, roles and employment history of all shareholders, directors, directly employed staff, professional consultants and specialist consultants (as defined by the CICAIR Code of Conduct for Approved Inspectors) engaged in the delivery of the building control function.

Section 4 – Continuing Professional Development (CPD)

Provide CPD records for the last year for all shareholders, directors, directly employed staff, professional consultants and specialist consultants (as defined by the CICAIR Code of Conduct for Approved Inspectors) engaged in the delivery of the building control function and confirm that all personnel will continue to undertake CPD in accordance with the requirements of their professional bodies and the CICAIR Code of Conduct for Approved Inspectors.

Section 5 – Business Plan and Operational Plan

Provide a business plan and operational plan covering the first five years of operation.

The business plan should cover the following at a minimum:

- BP1** The duties, responsibilities and liabilities of an Approved Inspector, including how the applicant will ensure the impartiality and independence of the service
- BP2** The full range of services the company intends to provide
- BP3** The professional ethics the company will adhere to
- BP4** Workload predictions, capacity and resourcing plans, including the geographical servicing of projects and administrative provisions
- BP5** Staffing, professional and specialist consultant and expansion plans
- BP6** Holiday, sick leave and director absence contingencies
- BP7** IT, backup and document archiving policies
- BP8** A basic budget

The operational plan should contain the full suite of operating procedures the applicant will be working to and should cover the following at a minimum:

- OP1** The appointment process of the company as the Building Control Body for a project
- OP2** The selection, approval, assigning of work, control and auditing process for professional consultants and the work undertaken by professional consultants on behalf of the company
- OP3** The serving and cancelling of Initial Notices
- OP4** The serving of Amendment Notices
- OP5** Plan checking and the serving of Plans Certificates
- OP6** Structural checking, fire engineering, specialist services and energy consultant procedures
- OP7** Statutory consultations
- OP8** Inspection regime assessment and site inspections
- OP9** Contraventions
- OP10** Completion processes and the serving of Final Certificates, including compliance with the time limits imposed by the Building (Approved Inspectors etc.) Regulations 2010 and extension of time requests
- OP11** Fire safety information
- OP12** Reversions to local authority control

Section 6 – Quality Management System

Provide a detailed quality management system that meets the requirements of the Building Control Performance Standards, including a full explanation of how it will support the delivery of the business and operational plans outlined in section 5.

Section 7 – Training and Recruitment

Provide full details of the applicant's approach to training and recruitment, covering the following at a minimum.

- An example training plan
- The performance assessment and appraisal process to ensure that all employees and professional consultants are competent to perform the tasks required of them
- How persons delivering the service will maintain the required competencies outlined in the CICAIR knowledge base (see Section 10)
- The recruitment and development of apprentices, trainees and graduates
- The technical support available to junior surveyors and the procedure to ensure the workload of junior surveyors is assessed against their experience and competency

Section 8 – Building Control Performance Standards

Provide a copy of the company's policy and procedures to ensure compliance with the Building Control Performance Standards.

Please note that if the application is successful the company must submit annual Performance Standards KPI data to the Building Control Performance Standards Advisory Group (BCPSAG).

Section 9 – Complaints

Provide the company's complaints procedure, which must include reference to the CICAIR Code of Conduct for Approved Inspectors and which must enable escalation of the complaint to CICAIR.

Please note that if the application is successful, the complaints procedure will be held by CICAIR and will be provided to any party that requests it.

Section 10 – Knowledge Base

CICAIR, as the designated body authorised to approve Approved Inspectors to undertake building control work in England and Wales, requires that applicants demonstrate that they are sufficiently qualified, experienced and competent to perform the duties and responsibilities of an Approved Inspector.

Provide evidence that the complete Knowledge Base can be achieved within the company structure. When this will not be achieved through the use of direct employees, indicate how these requirements are to be satisfied.

Complete each sub-section of each part of the Knowledge Base requirements listed below. Answer each section as ordered and do not skip any sections. Please ensure that each Knowledge Base item is clearly labelled in your application.

For each Knowledge Base item, provide an introductory paragraph of your understanding of each Knowledge Base item and support this with practical examples or case studies from previous experience which demonstrate a practical application of the knowledge requirements to the level required.

See Part 6 of this section for details on how CICAIR define the comprehensive, understanding, appreciation and awareness knowledge levels.

Part 1 – Building Control Legislation and Associated Requirements

1. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved a **comprehensive** knowledge of key legislation relevant to the building control function and the inter-relationship between different aspects of legislation including:

- L1** Building Act
- L2** Building Regulations
- L3** Building (Approved Inspectors etc.) Regulations
- L4** Approved Documents
- L5** Regulatory Reform (Fire Safety) Order
- L6** Local enactments
- L7** Legislation specific to England or Wales
- L8** DCLG and Welsh Government circular letters
- L9** CIC Code of Conduct for Approved Inspectors
- L10** Building Control Performance Standards
- L11** Duties, responsibilities and liabilities of an Approved Inspector

2. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved an **appreciation** of other legislation associated with the Building Control function and the inter-relationship between different aspects of legislation including:

- L12** Sustainable and Secure Buildings Act
- L13** The Housing Acts
- L14** Town and Country Planning Acts
- L15** Housing and Regeneration Act
- L16** Equalities Act
- L17** Gas Safety (Installation and Use) Regulations
- L18** Licensing legislation

3. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved an **understanding** of:

- L19** Civil, criminal and case law
- L20** European laws and regulations

Part 2 – Structural Design

1. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved a **comprehensive** knowledge of:
 - SD1** The assessment of risks and identification of hazards (including geotechnical and environmental) to which the building or structure is likely to be subjected
 - SD2** The selection of appropriate dead, imposed and wind loads in accordance with current codes and guidance
 - SD3** The safety factors, work quality and testing to be taken into account in the design of the building or structure
 - SD4** The detailed design and assembly of the building or structure, including foundations and building movement

Part 3 – Fire Safety

1. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved a **comprehensive** knowledge of:

- FS1** The principles of the behaviour of fire, including:
- a. The combustion process
 - b. Ignition processes including explosions
 - c. Fire safety design and management
 - d. Fire hazard and risk assessment
 - e. Fire prevention control and fire spread
 - f. Recognition and warning of fire danger
 - g. The behaviour and control of smoke
 - h. Physiological effects of fire and smoke
 - i. Evacuation and escape including special needs (children, elderly and infirm)
 - j. Human behaviour
 - k. Smoke/fire detectors
 - l. Sprinklers
 - m. Internal/external access including for the Fire Service
 - n. Fire modelling and fire engineering techniques

- FS2** Building design in relation to fire safety

2. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved an **understanding** of:

- FS3** Conflicting requirements of security and fire safety

Part 4 – Construction Technology and Sustainability

1. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved a **comprehensive** knowledge of:

CT1 Construction processes and principles applicable to new buildings

CT2 Construction processes and principles applicable to existing buildings

2. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved an **appreciation** of:

CT3 Alterations and improvements, including essential aspects of rehabilitation, preservation and conservation

CT4 Use and testing of materials

a. The standard tests applied to common building materials including an understanding of their scientific classification

b. CE markings

c. Critical evaluation of tests, including the use of recycled materials

d. BS EN standards

e. European Technical Approvals (ETAs)

CT5 Sustainability issues

a. Sustainable urban drainage systems

b. BREEAM and the Code for Sustainable Homes

c. Accessibility

d. Security

e. Renewable and low carbon energy generation

Part 5 – Building Services and Environmental Engineering

1. Demonstrate, **using practical examples or case studies from previous experience**, how the applicant has achieved a **comprehensive** knowledge of:

BS1 Building services affecting energy, insulation, water, drainage & noise, including:

- a. Energy conservation and energy labelling
- b. Thermal insulation and condensation
- c. Water services, drainage and sewage disposal
- d. Noise attenuation

BS2 Ventilation, lighting, heating, electrical and LZC technologies including:

- a. Air conditioning and ventilation
- b. MVHR systems including controls, commissioning and testing
- c. Artificial and natural lighting
- d. Heating
- e. Piped services
- f. Electrical installations
- g. Renewable and low carbon energy generation systems

Part 6 – Knowledge Base Matrix

The Knowledge Base Matrix is a summary of the competencies demonstrated throughout Section 10 and is a helpful reference outlining the knowledge of all directors, directly employed staff and professional consultants engaged in the delivery of the building control function.

Download the Knowledge Base Matrix template from www.cic.org.uk/services/approval-process-new-applicants.php and use the following notes to assist in completing it. Once completed, insert the matrix into the application as an appendix.

The matrix must include **all** directors and **all** directly employed technical staff, professional consultants and specialist consultants (as defined by the CICAIR Code of Conduct for Approved Inspectors) engaged in the delivery of the building control function.

The CICAIR expectation for each Knowledge Base area is denoted by the use of four descriptors to identify the level of knowledge required. The appropriate descriptor should be entered into each Knowledge Base area for each individual.

Take time to consider the experience and competency of each individual engaged in the delivery of the building control function carefully. By honestly and accurately plotting the key competencies on the matrix for each individual, the applicant will be able to identify where the company has particular strengths and where any competency gaps exist. These gaps can then be subject to training and CPD activities. **The knowledge levels indicated on the matrix will be assess during the approval interview of the applicant.**

The descriptors to use when plotting competencies on the matrix are:

- **Comprehensive (C)** - whereby an individual has sufficient knowledge of the subject to make most decisions without specialist assistance.
- **Understanding (U)** - whereby an individual has sufficient knowledge of the complexities involved in order to control the work of others.
- **Appreciation (Ap)** - whereby an individual has a general background knowledge of the subject but would require the specialist input of others in tackling the work.
- **Awareness (Aw)** - whereby an individual has a superficial knowledge of the subject.

Section 11 – Further Information

Provide any further information in support of the application that is not covered elsewhere.

Interview Representatives

Indicate below who will be representing the company at the approval interview, should one be granted. Due to space restrictions, a maximum of five representatives may attend and CICAIR may require certain individuals to be in attendance.

Whilst not a requirement, CICAIR would encourage the applicant to consider bringing a graduate or junior technical staff member and/or an administrative staff member to the interview to provide them with exposure to the CICAIR approval process. Please note that any interview attendees may be questioned by the approval panel.

| Name | Job Title |
|------|-----------|
| 1) | |
| 2) | |
| 3) | |
| 4) | |
| 5) | |

Confidentiality

Indicate any organisations or individuals that the applicant does not wish to be involved in the assessment of the application along with brief reasoning.

Application Checklist

| | |
|---|---|
| | ✓ |
| Have you included five copies of the application form printed double sided and bound? | |
| Is the application form numbered sequentially with the index completed? | |
| Have you signed and dated the application form? | |
| Is the application fee enclosed or paid by BACS transfer? | |
| Have you read the application guidance information on this form and on the CICAIR website? | |
| Have you read the CICAIR Code of Conduct for Approved Inspectors and are you aware that you will be required to abide by the Code of Conduct? | |
| Have you read the Building Control Performance Standards and are you aware that you will be required to abide by the Building Control Performance Standards and will be required to submit KPI data annually? | |
| Are you aware of the insurance requirements for Approved Inspectors? | |
| Are you aware that you will have three months from the date on the approval letter to accept the offer of registration? | |
| Are you aware that new Approved inspectors are audited by CICAIR twice within the first five years of approval? | |
| Are you aware that should the application be successful, but the CICAIR initial audit identifies unsatisfactory performance, the approval may be withdrawn? | |
| Are you aware that registration is for five years and after this time re-approval will be required? | |

Declaration

The applicant confirms that the application guidance notes contained within this application form and on the CICAIR website have been read, understood and followed

The applicant confirms that the information contained within this application is complete and accurate to the best of the applicant's knowledge.

The applicant understands that CICAIR Limited reserves the right to request any additional information that may be required to assess the application, to conduct any follow-up interviews that may be required and to defer a decision on an application until either of the above has been satisfactorily concluded.

The applicant understands that should the application be successful, but the CICAIR initial audit identifies unsatisfactory performance, the approval may be withdrawn.

| | |
|--|--|
| Signed | |
| Print Name | |
| Job Title | |
| For and on behalf of (company name) | |
| Date | |