

CIC Approved Inspectors Register (CICAIR)

Approved Inspector Application Form



CICAIR Limited, 26 Store Street, London, WC1E 7BT
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Guidance Notes

Submitting the Application

- Six 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 your 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 enclosed with the application. Cheques made payable to CICAIR Limited are preferred however if you wish to pay by BACS please contact us for details.
- The registration fee for the first year of approval is included in the application fee. An annual registration fee of **£1,000 (plus VAT)** is then payable before the anniversary of approval for each subsequent year of the first five years of approval. Further detail on the registration fee after the first five years of approval can be found at www.cic.org.uk/services/approval-process-existing-approved-inspectors.php.
- New Approved inspectors are audited twice within the first five years of approval. An initial audit will be conducted within the first 12 months of approval with a second 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 prior to the initial audit commencing.

Confidentiality

- The approval process is strictly confidential and your application is only made available to CICAIR staff, the CICAIR Board of Directors and the approval panel assigned to the

assessment of your application. Please declare any organisations or individuals that you do not wish to be privy to your application in the *Confidentiality* section of this form.

Interview and Presentation

- You will be called to an interview if the pre-qualification verification undertaken by the Registrar determines that sufficient information has been provided. Should you be called to interview, you will be required to deliver a fifteen minute presentation summarising your application and the plans 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 your business.

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, you may appeal this decision. Further detail will be provided to you should your application be unsuccessful.

Successful Approval and Registration

- If your application is successful, you 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.
- Your company name, address details and website will be included on the online Register, and will be notified to the Department for Communities and Local Government (DCLG), the Welsh Government, the Association of Consultant Approved Inspectors (ACAI), Local Authority Building Control (LABC) and the approved insurance scheme providers.
- You will be required to notify CICAIR before you make any changes to our governance arrangements, operating structure or contact details.

Code of Conduct for Approved Inspectors

- A requirement of registration is that you agree 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 you 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. An initial audit will be conducted within the first 12 months of approval with a second 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.

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 you are an individual or a sole trader wishing to apply for Approved Inspector status, please contact us to discuss your application.

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

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Section 1 – Your 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 your 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 technical building control function, administrative function or support services. If you are part of a wider group structure, or owned by a parent company, please 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.

Please also 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 (CVs)

Enclose current CVs 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

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

The business plan should cover the following at a minimum:

- The duties, responsibilities and liabilities of an Approved Inspector, including your understanding of Regulation 9 of the Building (Approved Inspectors etc.) Regulations 2010
- The full range of services the company intends to provide
- The professional ethics the company will adhere to
- Workload predictions, capacity and resourcing plans, including the geographical servicing of projects and administrative provisions
- Staffing, professional and specialist consultant and expansion plans
- Holiday, sick leave and Director absence contingencies
- IT, backup and document archiving policies
- A basic budget

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

- The appointment process of the company as the Building Control Body for a project
- 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
- The serving and cancelling of Initial Notices.
- The serving of Amendment Notices
- Plan checking and the serving of Plans Certificates
- Structural checking, fire engineering, specialist services and energy consultant procedures
- Statutory consultations
- Inspection regime assessment and site inspections
- Contraventions
- 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
- Reversions to local authority control

Section 6 – Quality Management System

Provide a detailed quality management system, 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 company'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
- The technical support available to junior surveyors and the procedure to ensure the workload of junior surveyors is assessed against their experience and competency
- How persons delivering the service will maintain the required competencies outlined in the knowledge base and knowledge base matrix (section 10)
- The recruitment and development of apprentices, trainees and graduates.

Section 8 – Building Control Performance Standards

Confirm that you have adopted the Building Control Performance Standards, will submit annual Performance Standards KPI data to the Building Control Performance Standards Advisory Group (BCPSAG), and provide a copy of your policy and procedures to ensure compliance with the Standards.

Section 9 – Complaints

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

Please note that if your application is approved, your 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 you demonstrate how the qualifications and experience contained within your company equips you for the duties and responsibilities of an Approved Inspector.

Provide evidence that the complete Knowledge Base can be achieved within your 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 of past projects worked on which demonstrate a practical application of the knowledge requirements.

Please 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 your experience**, how you feel you are equipped with 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 LVC 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 information provided 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 completing it. Once completed, insert the matrix into your application as an appendix.

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 in the matrix.

The CICAIR expectation for each Knowledge Base area are denoted by the use of four key descriptors to identify the level of knowledge required and these should be accurately indicated against each Knowledge Base area for each individual.

Take time to consider each individual carefully. By honestly and accurately plotting the key competencies on the matrix for each individual, you will be able to identify where your organisation has particular strengths and where any competency gaps may lie.

The descriptors to use 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 your application that is not covered elsewhere.

Interview Representatives

Please nominate who will be representing your company at the approval interview, should one be granted. Please note that due to space restrictions, a maximum of five representatives may attend.

Whilst not a requirement, CICAIR would encourage you to consider bringing a graduate/junior technical staff member and/or an administrative staff member to the interview to provide them with exposure to the CICAIR approval process.

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

Confidentiality

Please indicate any organisations or individuals that you do not wish to have access to, or be involved in the assessment of, your application along with a brief explanation of the reasons.

Application Checklist

	✓
Application form (six copies) printed double sided enclosed	
Application pages numbered sequentially with the index completed	
Application fee enclosed	
Have you read the application guidance information on the CICAIR website?	
Have you read the CICAIR Code of Conduct for Approved Inspectors?	
Are you aware that you will be required to abide by the Code of Conduct?	
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 registration is for five years and after this time re-approval will be required?	
Are you aware that you will have three months from the date on the approval letter to accept the offer of registration?	
Have you signed and dated the application form?	

Declaration

We confirm that we have read, understood and followed the application guidance notes contained within this application form and on the CICAIR website and hereby state that the information contained within this application is complete and accurate to the best of our knowledge.

We understand that CICAIR Ltd 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.

We understand that should the application be successful, but the CICAIR initial audit identifies unsatisfactory performance, the approval may be withdrawn.

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