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|  | <b>Code of Conduct Policy</b> |
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To ensure staff are fully conversant with the code of conduct and promote a consistent standard of workmanship, Total Building Control Ltd (Total B C) expects staff to review the Code of Conduct for Approved Inspectors and Building Control Performance Standards annually.

### **Honesty and Integrity**

Total B C must provide staff with training that defines honesty and integrity and incorporates scenario-based examples. Total B C recognise that honesty and integrity can be tested when conflict is presented in a person's working day, staff are coached on their approach to secure a professional outcome in line with CICAIR Code of conduct, Regulation 9 of the Building (Approved Inspector) Regulations 2010 (Independence of an Approved Inspector) and underpinned by the Building Control Performance Standards (BCPS). Approved Inspectors must not control 'Not minor work' if they are professionally or financially connected. The BCPS extends this to 'minor work' and is underpinned by the license provided by CICAIR. Training shall encompass standardisation discussions that encourage staff to share experiences and how they would act with Honesty and Integrity and promote high moral standards whilst abiding by a strict set of ethical principles.

Total B C carry out technical audits and peer reviews, which can involve assessing site notes and mentoring staff on site to ensure staff act with integrity at every stage of a project.

All staff review the code of conduct and BCPS annually as indicated on the Staff Annual Requirements Register which sits alongside the staff appraisals This ensures individuals' interpretations of the regulations are aligned and that no persons are attempting to supplant a competitor, or win work, on the basis of interpretation of the regulations. The principle of the Building Control function being independent shall never be compromised and all staff are aware of the requirement to act in the best interest of the profession when dealing with all other Building Control Bodies. All such notices and certificates must be reviewed by professionally qualified members of staff to confirm no statement is false or misleading.

Total B C always check that a specialist or professional consultant has no professional, personal or financial conflicts of interest or the undue influence of others to override professional judgements before requesting that they undertake any works on behalf of Total B C.

Staff appraisals for surveyors include a discussion around the Approved Inspector Knowledge Base Matrix which includes but not restricted to a knowledge assessment on The Building (Approved Inspectors etc.) Regulations 2010

Staff are aware of and are kept updated on Building Control Performance Standards provided by the Building Regulations Advisory Committee, the guidance attached to the Standards and the best practice protocols and guidance issued by the Building Control Alliance (BCA) and the Association for Consultant Approved Inspectors (ACAI). For Safeguarding Impartiality staff are aware to refer to the BCA's Safeguarding Impartiality of Building Control Bodies policy which we have stored in our suite of documents.

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Reputation is paramount to Total B C both in order to maintain the integrity of the profession etc. and also in order to meet our commercial objectives, given that the vast majority of work carried out by Total B C is given to Total B C via a referral and therefore maintaining a strong reputation for honesty and integrity is key to Total B C's commercial success.

Total B C always prioritise maintaining its professional reputation and the reputation of the profession above its commercial objectives. This might involve turning down work where sufficient resources aren't available and never approving substandard work.

Total B C actively encourage feedback on performance by accompanying every client with a level of service questionnaire following the completion stage. Satisfaction statistics are generated quarterly and are commented on/actioned on by management accordingly. Total B C make available their complaints procedure at all times should someone wish to proceed with a complaint. Total B C focus solely on consistently improving their level of service and never attempt to injure the professional reputation of another Building Control Body directly or indirectly.

All staff members or others working on our behalf that are convicted of any civil, criminal or regulatory offence, whether or not it is in connection with their work, may likely have breached the requirement to always comply with relevant laws and regulations. Staff are aware that they're required to advise Total B C of any convictions that they have.

### **Competency**

Total B C shall maintain the CICAIR Knowledge Base Matrix, training and CPD records for individual surveyors to demonstrate a satisfactory level of professional competence. All CPD records are kept for a period of 5 years. Professional competence is judged by reference to these documents and consequently surveyors are assigned with a competency 'level' that determines the complexity level of project that they are competent to oversee. Technical Staff carry out the Building Control function in line with Regulation 8 of the Building (Approved Inspector) Regulations (Functions of an Approved Inspector)

Prior to entering into an agreement for the provision of building control services, Total B C shall assess the complexity level of a project and ensure that it has the necessary level of competence and experience to service the Works, and that adequate resources are available to fulfil the work. No surveyors would be solely allocated projects above their competency level, but that in order to develop their competency, surveyors (including trainees, graduates and unqualified surveyors) would be able to work under a suitably competent surveyor on projects above their current competency level, supervised and mentored, in order to support their progression to higher competency levels in future.

All Total B C staff have access to the IHS Technical Indices and a technical suite held on Moodle. Staff undergo regular training on how to use this. The company ensure circulars, guidance and changes to regulations are made available to all staff and that this is documented.



Total B C shall monitor and review competency regularly by undertaking peer reviews, appraisals, and completing the CICAIR Knowledge Base Matrix.

All staff are able and encouraged to enrol on training courses and formal qualifications that are funded by Total B C - Including the internal suite of NVQ's. Management maintain appropriate and documented ratios of qualified technical personnel to non-qualified technical personnel and technical administrative personnel to non-technical administrative personnel.

Total B C shall undertake technical and operational internal audits as outlined in the company's audit schedule. Audits ensure that works are undertaken in accordance with the Business Management System and Operational Procedures. Total B C's I.T infrastructure is sufficient and enables an effective audit to be carried out and for its decisions and judgements to be documented, inspected and understood. The company is committed to continuously improving its I.T systems, including data capture and storage. Total B C monitors active projects per surveyor to manage and monitor workload and ensure staff are working within the limits of available competence and resources.

Total B C's Chartered members of one of the professional or regulatory bodies that are full members of the Construction Industry Council shall maintain CPD activities in line with the requirements of that body. Non-chartered staff members shall ensure that at least 100 hours of Continuing Professional Development (CPD) activity relevant to the functions of an Approved Inspector is undertaken over any five year period and with not less than 10 hours completed in any one year. This CPD consists of an appropriate balance of formal structured learning and informal self-directed learning.

### **Accountability**

Total B C administrative staff send all prescribed documentation to all relevant parties ensuring that they're clear about our involvement as the building control service provider. The aforementioned documentation notifies the person carrying out the work of Total B C's appointment if the appointment was made by someone on their behalf. This shall be done before or at the time an Initial Notice is served to allow for the person carrying out the work to make alternative building control arrangements should they choose to do so.

Following the same practice, works referred to Total B C from architects, contractors and others is done so in a professional manner and the person carrying out the work is also advised of their options if they do not wish to use Total B C as their Building Control Body. Any works referred to Total B C from Professional Consultants are sent the prescribed documentation which outlines relevant parties' roles and that all professional consultants' services are provided strictly on behalf of the Approved Inspector.

Total B C obtains and can evidence the necessary authorisation to sign and counter-sign Initial Notices via the company's application form. No person who is not directly employed by Total C may sign Notices or Certificates on our behalf and any work produced by professional consultants is subject to additional review by a professionally qualified, directly employed member of Total B C. Professional consultants do not send out company documentation and are engaged solely for the undertaking of inspections.

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Professional Consultants are subject to a memorandum of understanding/agreement and peer reviews which assess their competence and require them to have comprehensive knowledge of the CICAIR Code of Conduct and the Building Control Performance Standards which states that they may not further delegate any services that an Approved Inspector has delegated to them. We ensure their professional membership is current.

Upon acquiring Professional or Specialist Consultants services, Total B C shall always obtain confirmation that the person to whom work is delegated shall not have any financial or professional interest in the Works.

Total B C make available their complaints procedure on request and ensure that it is provided within three business days and that any expressions of dissatisfaction or complaints about the building control service are investigated thoroughly in line with the documented complaints handling procedure.

Total B C maintain all required insurances.

### **Useful Hyperlinks**

[CICAIR Code of Conduct](#)

[Building Control Performance Standards](#)

[Regulation 9 of The Building \(Approved Inspectors etc.\) Regulations 2010](#)

For Internal Use Only:

Please see the below Hyperlink to the Code of Conduct quiz, note you might need to press CTRL and click on the link for it to open.

[Code of Conduct Quiz](#)