

Total Building Control Limited
Building Control Performance Standards Policy.



1. Policy, performance and management systems

Total Building Control Limited (TBC) publish policies that outline how the building control service provided supports customers, meets legal obligations in achieving compliance and complies with respective codes of conduct and the current Building Control Performance Standards for England and Wales.

TBC have a formal documented Quality Management System (QMS) which, inter alia, provides for all requirements set out in the Building Control Performance Standards. Internal audits are undertaken to ensure that the QMS complies with all regulatory requirements and standards and that internal staff are following set procedures.

TBC demonstrate their contributions to achieving compliance with the Building Regulations by carrying out quarterly performance reviews. Records are kept of information received and considered at each review, and of the action subsequently taken. In addition to this, TBC respond to questions/surveys based on the Building Control Performance Indicators. We also provide key information for our performance reviews and improvement programmes and actions. This information is made available to demonstrate the effectiveness and our contribution to all built environment stakeholders.

Monthly Internal and technical file audits are undertaken across TBC to ensure compliance. All non-conformity reports (NCR's) are documented and reviewed by top level management for corrective action to be assigned and fully recorded.

2. Resources

TBC 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, TBC 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 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 TBC staff have access to the IHS Technical Indices and 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.

TBC 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 TBC - 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.

TBC shall undertake technical and operational internal audits as outlines in the company's audit schedule. Audits ensure that works are undertaken in accordance with the quality management system and operational procedures that that have been provided to and reviewed by CICAIR. TBCs 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.

TBC shall produce monthly reports on live projects per surveyor to manage and monitor workload and ensure staff are working within the limits of available competence and resources.

TBC'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 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. TBC monitor all staff members' CPD internally to ensure that these requirements are met. These records are kept for 5 years.

3. Consultation

TBC undertake all statutory consultations in line with their Operational Procedures, ensuring that this is done in a timely manner and the observations of consultees shall always be communicated formally in writing to clients and documented. TBC follow an audit schedule whereby the company's procedures and randomly selected project files are subject to technical audits which are subsequently reviewed and actioned by senior management. TBC take the views of the consultees into account and any observations or advice beyond the scope of the Building Regulations is be communicated formally in writing to the client and copies of communication stored within the project Filestore.

In addition to carrying out any statutory consultation prior to issuing any notices or certificates, TBC shall, where appropriate, inform relevant statutory consultees, in the event of significant departures from plans and shall take into account their further views.

Throughout a project, TBC undertake all the statutory consultations, observing any prescribed time periods. Reports are produced on a 2-weekly basis to ensure that statutory consultations have received a response and that no certificates have been issued within prescribed time periods should a consultation be outstanding.

The principle of minimising the difficulties inherent in developers having to gain a series of consents is recognised, and TBC supports a project team approach by giving assistance where required, so long as it is within TBCs remit.

4. Pre-application contact and provision of advice

TBC believe that early involvement as part of the project team is strongly encouraged and therefore have a pre-application procedure in place for contacting those proposing or carrying out building work before a formal application is received. Clients are assigned a single point of contact to ensure



consistency throughout the process.

TBC establish a single point of contact to deal with both procedural and technical building control enquiries on individual projects based on their location and complexity. This shall be supported by team working within TBC to ensure continuity throughout the construction project. It is also seen as an opportunity to help the client follow the correct procedural requirements.

Advice given is documented and stored.

5. Assessment of plans

Where assessment of plans is undertaken, TBC ensure that clear information is communicated to the client in writing regarding:

- compliance and non-compliance with the Building Regulations
- views of statutory consultees
- conditions pertaining to the approval or passing of plans
- remedies available in the event of a dispute over compliance

Records of the plans assessment process, the design assessment philosophy, records of all communications, and/or discretionary consultations, are kept within the project database storage system for future reference and continuity of control. Staff are fully trained on our internally audited operational procedures which outline the above. Technical file audits also ensure that the assessment of plans process is meeting all internal external requirements.

In line with the Building Control Performance Standards, TBC shall alert the client to provisions of legislation other than Building Regulations which it believes may be relevant to the building work in question.

All contraventions of Building Regulations identified in drawings are communicated in writing to the designer and all correspondence is saved in the project Filestore. Where appropriate, TBC informs the person intending to carry out work of the availability of the procedure for referring questions of compliance to the Secretary of State (for England) or the Welsh Government for determination.

TBC never approve plans subject to conditions.

To effectively record the plan assessment process, TBC ensure the monitoring of the building works and substantiate the outcome of the plans appraisal certain features are be as appropriate to the work, as outlined in the Building Control Performance Standards.

6. Site inspection

TBC provide all clients with an inspection regime, a plan matched to client and project needs.

TBC assess all relevant factors at the outset and regularly review them so that effective control is maintained for the duration of each project, with adequate site inspections and sufficient records demonstrating the application of reasonable skill and care. TBC ensure all live projects are contacted every 28 days and dormant or not commenced projects every three months by generating a schedule of inspection reminders on the internal database that will be automatically sent to the client /agent and the allocated surveyor. Project file audits are undertaken monthly and encompass site inspections.

All inspection records, including the information required in the Building Control Performance



Standards guidance, shall be maintained and identify the work inspected and any non-compliance together with any re-inspection. These records are more details if plans are not available for the work. This is also outlined in TBCs operational procedures, which all staff are fully trained on.

It is company procedure that all contraventions of the Building Regulations are clearly and promptly communicated in writing, identifying the problem to our client and included in the site inspection records. Where appropriate, TBC discuss with clients measures which may need to be taken to achieve compliance. Decisions regarding Building Regulations compliance, especially formal notices, are always clearly communicated to the responsible person, observing any statutory time periods.

TBC provide the recipient(s) of a decision with details of any remedies available to them in the event of disagreement with interpretation, procedure or dispute regarding a decision by TBC is made known to the responsible person via our complaints form.

TBC ensure that all statutory consultees are notified of any significant departures from plans and that this is documented within the project Filestore.

At completion, tests may need to be witnessed by Building Control Bodies, in order to demonstrate compliance. TBC consider the need for such tests at the earliest possible stage, and include them in the inspection plan, and inform the client of its requirements as far in advance as possible.

7. Communications and records

TBC communicate with clients, consultees and others in writing. TBC send client introduction letters at initial notice stage to ensure the building owner is aware of whether the local authority or an Approved Inspector is carrying out the Building Control function for the building work to their property.

TBC make available full records of site inspections for building work that has been issued with a final/completion certificate or where an initial notice was cancelled. TBC must receive requests in writing and within 15 years of the final/completion certificate being issued or the initial notice cancelled. TBC operate under a strict GDPR policy and reserve the right to redact personal information covered by the GDPR and/or where there are security considerations.

TBC ensure that all records relating to each building control project are stored electronically for a period of 15 years. TBC make available all records in the case of court action, warranty disputes, a complain to the Local Government Ombudsman or a complaint to CICAIR Limited. Arrangements are in place for their transfer into safe keeping in the event of TBC ceasing trading.

Where an initial notice is cancelled TBC provide the subsequent Building Control Body with all inspection records. TBC operating using a suite of internally audited operational procedures which ensure that records kept by TBC include the minimum requirements as outlined in the Building Control Performance Standards.

8. Business and professional ethics

The professionalism with which any project is handled is guided by the CICAIR Code of Conduct for Approved Inspectors. All staff are trained on this and audits, peer reviews and feedback returns are undertaken to ensure the code of conduct is adhered to.

Staff are aware of and are kept updated on Building Control Performance Standards, 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). Where applicable, TBC endorse and adopt as best practice relevant building Control Alliance (BCA) guidance.

Peer reviews and technical audits are undertaken to determine individuals' interpretations of the regulations to ensure that no persons are attempting to supplant a competitor, or win work, on the basis of interpretation of the regulations. The competition between TBC and other Building Control Bodies is always conducted in a transparent manner. 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.

Reputation is paramount to TBC 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 TBC is given to TBC via a referral and therefore maintaining a strong reputation for honesty and integrity is key to TBC's commercial success.

TBC 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 TBC.

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

TBC never take on the building control function for a project/work where there is a professional or financial interest. TBC do not take on any other design or support service for any project/work that it is undertaking the building control function on. This is set out in Regulation 9 of The Building (Approved Inspectors etc.) Regulations 2010. Internal staff appraisals include a discussion around the Approved Inspector Knowledge Base Matrix which includes a knowledge assessment on The Building (Approved Inspectors etc.) Regulations 2010 – which subsequently includes regulation 9.

9. Complaints procedure

TBC make available their complaints procedure online and ensure that it is provided promptly upon request and that any expressions of dissatisfaction or complaints about the building control service are investigated thoroughly in line with the documented complaints handling procedure.