



RBCA CODE OF CONDUCT AND PROFESSIONAL ETHICS POLICY

ICW Building Control Ltd staff are expected to uphold the highest standards of personal and professional conduct guided by the fundamental principles of the Professional Conduct Rules for Registered Building Control Approvers and the Operational Standards Rules.

ICW Building Control Ltd will adhere to the following principles:

- 1. Act with Honesty and Integrity**
- 2. Maintain professional competence.**
- 3. Deliver services with professional skill and care.**
- 4. Uphold public trust and confidence in the provision of services and the profession.**
- 5. Treat everyone fairly and act in compliance with your legal obligations**

ICW Building Control Ltd will comply with the following standards:

- Comply with their legal, regulatory, and professional obligations.
- Comply with their obligations to the Regulatory Authority under the Professional Conduct Rules and any obligations to other regulators, local authorities or professional bodies.
- Comply with building regulations and statutory guidance published by the Regulatory Authority and the Department for Levelling up Housing and Communities and consider good practice where appropriate.
- Maintain professional independence and impartiality in the conduct of work activities.
- Not act in a manner that is likely to bring the building control profession into disrepute.
- Take appropriate steps to ensure that activities undertaken by individuals under its supervision comply with relevant legal and regulatory requirements.
- Where ICW Building control becomes aware of a breach of the Building Act 1984 (as amended), or associated legislation such as the Building Safety Act 2022, Building Regulations 2010 (as amended) you must use your building control functions to secure compliance. If you are unable to secure compliance within a reasonable timescale, you must report non-compliant work to the relevant local authority.
- Ensure that the terms 'registered building control approver', 'RBCA', 'registered building inspector' and 'RBI' are used accurately and conform to the terms of its registration.
- In accordance with our Record Retention Schedule all records will be kept for a minimum of 15 years.

ICW Building Control Ltd will comply with the following Business requirements:

- Will only undertake work for which they, and any persons undertaking work on their behalf, are suitably insured.
- Fully comply with its insurance requirements.
- Ensure that professional finances are managed responsibly.
- Ensure that appropriate accounting controls are in place.
- Have appropriate procedures in place to ensure that accounting controls are adhered to.

- Will not facilitate financial crime, including money laundering, terrorist financing, bribery and corruption or tax evasion and does have appropriate processes in place to prevent the facilitation of financial crime.
- Will not price fix or engage in anti-competitive practices, ensuring that our professional costs are fair and proportionate.
- ICW Group has clear, up to date and accessible written policies and procedures in relation to:
 - conflict of interests
 - health, safety, and wellbeing
 - anti-money laundering, terrorist financing, anti-bribery and corruption
 - data protection
 - whistleblowing
 - complaints handling
 - training and development
 - staff conduct
 - equality/Equity, diversity, and inclusion.
 - modern slavery policy.
- Where applicable clear and accessible processes are in place that will enable persons to raise concerns under the policies above and resolve these in a timely manner.
- Relevant policies and procedures are provided to persons undertaking work on its behalf where required.
- ICW has processes in place to identify actual and potential conflicts of interest, both prior to the commencement of and during work activity and will not agree to undertake work, or continue to undertake work, where a conflict of interests is identified and unresolved.
- Where a conflict of interest is identified, ICW Building Control will notify the applicant or agent and cease to act.
- ICW Building Control Ltd has published its conflict-of-interest policy on their website.
- ICW has taken steps to identify and mitigate any risks in relation to using relevant technology to support the delivery of their work and comply with data protection requirements, taking steps to ensure that commercial data is stored appropriately.
- ICW has a whistleblowing policy that enables workers to raise concerns in confidence, this is easily accessible from the dashboard, this policy is actively promoted and visibly supported by all concerned.
- Any concerns are managed and resolved effectively.
- ICW Building Control Ltd publishes its complaints policy on their website.
- All complaints are managed and resolved in a timely manner in accordance with its complaints policy and recorded on the complaint tracker in order to monitor the effectiveness of its complaints handling procedures.
- ICW Building Control Ltd have appropriate disciplinary processes and procedures to effectively address concerns in relation to staff conduct and any concerns raised in relation to the conduct of persons undertaking work on your behalf.
- ICW Building Control Ltd will ensure that in addition to the provisions contained in the paragraph below, it will ensure that all employees are provided with regular and up-to-date continuing professional development activities on:
 - data protection requirements
 - anti-money laundering and terrorist financing and anti-bribery, and corruption
 - equality, diversity, and inclusion

- the Building Inspector Competence Framework
- ICW Building Control Ltd will notify the Regulatory Authority within the necessary time frame where it becomes aware of a contravention of the professional or operational standards rules, any professional misconduct under the RBI's code of conduct and any likelihood of bringing the profession into disrepute.

ICW Building Control Ltd will comply with the following Professional competence and continuing professional development:

- ICW Building Control Ltd will only undertake work for which it and its relevant employees and any person undertaking work on your behalf is registered for and has the necessary competence.
- ICW Building Control Ltd will ensure anyone supervising the technical work of others, will have the necessary competence and registration to do so.
- ICW Building Control Ltd will ensure that any persons undertaking work on their behalf who is developing their building control competence, will be under the supervision of a registered and suitably competent RBI.
- ICW Building Control Ltd will ensure that employees undertaking work (including those under a programme of supervision) maintain their competence and comply with any continuing professional development guidance issued by the Regulatory Authority.
- ICW Building Control Ltd will ensure that employees are provided with, relevant and up-to-date training and guidance, supervision and advice, a programme of learning and development and continuing professional development.
- ICW Building Control Ltd has the following policies and procedures that are available to all staff:
 - CPD Policy.
 - Training and Development Policy.
 - Competency Policy.

ICW Building Control Ltd will comply with the following Standard of service:

- ICW Building Control Ltd will act:
 - fairly and objectively
 - diligently
 - conscientiously
 - in the best interests of the public when dealing with individuals, other professions, or the building control profession
- ICW Building Control Ltd will:
 - apply effective governance arrangements
 - be accountable for its decisions
 - be accountable for the duties and tasks it delegate to persons in its organisation or persons contracted by its organisation included within governance arrangements
 - be accountable for work undertaken under its supervision

- ICW Building Control Ltd ensures that there are appropriate measures in place to actively manage, quality assure and supervise work activities and make sure persons undertaking work on its behalf understand, their assigned roles and responsibilities and any restrictions that apply to them.
- ICW Building Control Ltd ensures that professional advice or decisions are not inappropriately influenced by self-interests, prejudice, bias, or personal agendas and will not agree to undertake work that it does not have time and/or resources to complete.

ICW Building Control Ltd will comply with the following when engaging with applicants or agents:

- ICW Building Control Ltd will establish the identity of the person carrying out the works and record the services being requested and explain the services it can provide. We will confirm and state any restrictions that apply to its registration as an RBCA.
- ICW Building Control Ltd will not undertake any work until the person carrying out the works has been provided with, and agreed in writing to the provisions of, the terms of engagement letter. Any changes to the terms in relation to their work will be brought to the attention of the person carrying out the works including any cost or time estimates when ICW BC Ltd become aware of the changes.
- ICW Building Control Ltd treat information obtained from the person carrying out the works as confidential and only disclose if required to do so in accordance with the Data Protection Act and relevant Regulatory Authorities
- Where a subject access request is made ICW Building Control Ltd must comply.