



London Building Control Business Policy



LONDON
BUILDING CONTROL

REGISTERED BUILDING CONTROL APPROVER

BUSINESS POLICY

BUSINESS POLICY DOCUMENT

This document details the corporate Business Policy Document of the company with references to Management, Administrative, Operational and Health & Safety Procedures.

BM TRADA : Since 2012 the company achieved BM TRADA 9001 accreditation and is now independently audited twice a year.

REFERENCES

ISO 9000 series

DCLG 'Building Control Performance Standards': Building Control Performance Standards Advisory Group. (Now removed from circulation)

COMPANY POLICY & OBJECTIVES

London Building Control Ltd was incorporated in 2006 to satisfy demand for Building Control in the London area. LBC Ltd became accredited as a Corporate Approved Inspector (No. 129) by the Construction Industry Council in June 2007 and due to Industry and Regulatory changes became a Registered Building Control Approver (RBCA) in April 2024.

Due to rapid growth the company now operates within our Head Office in London, and sub offices in Manchester, Welwyn Garden City, Chichester, and Exeter to ensure the needs of our clients are met.

Building Control and the Building Regulations

Building regulations are minimum standards for design, construction and alterations to virtually every building. The regulations are developed by the UK government and approved by Parliament. The Building Regulations 2010 cover the construction and extension of buildings and these regulations are supported by Approved Documents. Building regulations approval is different from planning permission and you might need both for your project.

As a Registered Building Control Approver (RBCA) is authorised under the Building Act 1984 and Building Safety Act 2022 to carry out building control work in England and Wales. Registered Building Control Approvers are required to adhere to the Professional Conduct Rules for Registered Building Control Approvers (RBCA's) and Code of Conduct for Registered Building Inspectors (RBI's) and follow the Operational Standard Rules (OSR's), Operational Standard Rules Monitoring Arrangement's, Strategic Context for Regulatory Framework and Enforcement Policy Statement.

Role of Building Control

With all building work, the owner and occupier of the property or land in question is ultimately responsible for complying with the relevant planning rules and building regulations. The role of checking that Building Regulations are, as far as can reasonably be determined, being complied with falls to a Building Control Body typically, a Registered Building Control Approver or a Local Authority. The person carrying out the work has the choice of which Building Control Body to use, unless the work constitutes a High Risk Building (HRB) which can then only be dealt with by the Building Safety Regulator (BSR).

Business Policy

Note : HRB is defined as 2 or more dwellings, or educational accommodation and 18m or more in height or 7 storeys (not including roof plant areas) .

A Building Control Body is to act as an independent third party check and Approved Inspectors are required to take such steps as are reasonable to enable the Approved Inspector to be satisfied, within the limits of professional skill and care, that the applicable aspects of the Building Regulations are complied with. A number of inspections are usually carried out during the building work. These are usually, but not necessarily, at specific stages to check, but not to guarantee, that the work complies with the Building Regulations.

It is not the role of building control to:

- Provide quality control of the Works.
- Provide a 'clerk of works' service monitoring every stage of the construction process.
- Provide a service to address issues such as the finish and aesthetics of the Works where these are not Building Regulation matters.
- Provide a service to offer contractual protection between the person carrying out the work and the parties engaged in the design and/or construction of such work.
- Provide a guarantee of compliance with the Building Regulations. The appointment of a Building Control Body does not remove the obligation of the person carrying out the work to achieve compliance.

LBC Ltd have committed by way of our Building Control Business Policy as demonstrated below to support a set of standards.

LBC Ltd as a Registered Building Control Approver will undertake a qualitative analysis of our building control service as a basis for our continuous improvement, which will follow the standards and guidance outlined within our BMTrada ISO9001 Quality Management system, and adhere to the Operational Standard Rules.

Policy, performance and management systems

1. Support for customers

LBC Ltd strives to provide support to customers through our conveniently located offices and local area surveyors including support staff. Our Head and sub offices provide efficient and helpful administrative departments (including applications, accounts and completions teams). Additionally assistance is provided by our dedicated project surveyors, plans checking team, structural and fire engineers and our technical support. Clients are also welcome to visit at arranged appointments to our Head Office or sub offices to discuss any project related matters, or arrange appointments to meet on site.

- Fee quotations and pre-application advice

Potential customers and clients are provided with support on any proposed building project through our website that outlines in full the Building Control process. Enquiries and requests for fee quotations which can be in the form of phone calls, emails, post or through our helpful links on our website will be dealt with by our management team. Our plan checking and technical support team will answer enquiries either relating to a specific project or general building control items. They can be contacted 5 days a week via phone, email, and letter or through arranged appointments.

Business Policy

- Processing of applications

Application forms are available online and contain step by step guidance to ensure that all relevant information is captured to assist with the smooth processing of applications. Assistance is also available to advise clients on how to complete. Applications received will auto generate a receipt and copy of the application form with T&C's, with a copy going to the client (if completed by another). An acknowledgment email or letter confirming appointment, description of works. Once processed (within a max. 2 working day limit) applicants will receive our 'welcome pack' containing unique reference number, copy of the Initial Notice, and project surveyor's details.

If there are any inadequacies or omissions our admin team will immediately contact the applicant to ensure that all correct information has been provided. Copies are sent to the person intending to carry out the work so they are aware of the appointment, process and our company details. They are also advised to examine the Initial Notice details (particularly the description of works notifying LBC Ltd of any inaccuracies). A summary of the anticipated project specific inspections is also provided to outline when inspection request should be made. Where the project description or details change we can assist our clients by submitting an Amendment Notice.

Agreed fees can be paid in a number of useful methods - via our secure Global Payments facility on our website, card payments made by phone, bank transfers or cheques by post. Customers are always able to contact our helpful accounts team to discuss payments.

- Plan Checking

Once an application has been received and processed any accompanying plans are uploaded to our project database and sent to our plan checking team to examine for compliance within our target date of 10 working days. Structural details are sent to our structural engineer for checking and any relevant comments passed back to inform the applicant. In addition, Sewer Consultations where relevant are made with any comments from the Sewerage Undertaker referred to the applicant; build over agreements are very common so clients are made aware at the outset.

Where applications have been provided without any plans/details a letter requesting these is automatically generated to inform the customer.

After plans and details have been fully examined by our plan checking team a letter or email is sent to the applicant requesting any further information that may be required, noting any non-conformities. Additionally, if there are no further comments, details required and all consultations have been returned with a satisfactory response we can upon request provide our customers with a Plans Certificate (often required by Banks/Lenders, Freeholders etc.)

Fire Consultations will be required for certain projects i.e. flat common areas, commercial works and any designated premises. Where consultations are made customers are kept up to date with any matters arising.

- Site Inspections

Customers are provided with details of their allocated surveyor (mobile and email) and project specific site inspection regime. To assist customers all of our surveyors are expected to return calls and messages within the same day where possible. Where surveyors are on leave they are required to provide a clear 'voice message' and email 'out of office' response directing customers to the covering surveyor ensuring their project continues to run smoothly. Surveyors are also required to provide support to the client and project team by arranging convenient time slots for

inspections. Request for inspections can be made by a number of different methods - phone call, text message, what's app and email to the project surveyor or relevant area office.

During site inspections our surveyors will take notes of pertinent items, and record any 'Actions' that may be required which will be sent in writing to the duty holders - request for details, fee, consultation to fire authority and structural engineers, or project interventions, clarification of items being completed. Furthermore, where any non-conformities / contraventions are noted these will also be communicated to the duty-holder with a written Notice providing 90 days to rectify. Throughout our surveyors will remain helpful and on hand to provide advice where required to ensure compliance.

- **Completions**

After a satisfactory final inspection and on submission of all the required details/certificates each and every project will be audited and 'signed off' by senior surveyors or management team prior to releasing the Final Certificate. LBC Ltd have a designated list of competent and trained personnel to either; (1) prepare the internal audit final certificate checklist, (2) Managers to check and sign the final certificate check sheet and (3) print and issue the Final Certificate. The list is updated and circulated by our Office Manager.

Customers are then provided with a copy of our Final Certificate. LBC Ltd will issue the certificate by hard copy and electronically upon request. Customers may request a Part Final Certificate (Partial) for certain works.

If we are unable to issue the Certificate we will contact the client to inform them of any outstanding items and assist them in any way we can to bring the project to a satisfactory conclusion.

- **Enquiries, support and complaints**

Customers are able to contact our admin support and technical teams or their project surveyor for assistance in a number of ways (through phone, emails, post and Fax). Each project has an allocated site surveyor with full contact details (mobile and email) should the need arise for customers and their project teams to make contact regarding a particular enquiry. Depending upon the enquiry customers will be directed to either administration, accounts, technical, project surveyor or completions team.

Any enquiries relating to a complaint will be passed to Director Level. Customers will be informed of our Complaints procedure which is available on our website and includes a step by step guide following our Registered Authority and RICS procedures. Our administration team have been trained to identify, assist and explain our complaints procedures referring to our Directors where necessary.

2. Meet legal obligations in achieving compliance

London Building Control Ltd requires an application form to be completed and signed by the client or on their behalf. An Initial Notice (IN) will be processed and submitted to Local Authority (details of our RBCA Registration and insurance being held on the HSE - Building Safety Regulator website). The Local Authority is not obliged to acknowledge the Initial Notice, but is obligated to register it at the council offices. Customers are advised that works must not commence until 5 working days after the Notice has been received by the LA.

An Amendment Notice may be served by the RBCA on the council if details to the scheme have changed. A Plans Certificate may also be requested by the client, which is issued when the RBCA has checked that all the necessary drawings and specifications submitted comply with the Building Regulations. At the satisfactory completion of works, a Final Certificate is issued to the LA (with a copy to the client or agent). All Notices, such as the Initial Notice, Amendment Notice, Plans Certificate and Final Certificate shall only be signed and issued by appropriately 'Classed Registered Building Inspector'. Additionally, all Final Certificates prior to issue undergo a detailed internal audit by LBC Ltd senior surveyors and management team. (Internal Audit Final Check list).

New building works (such as new buildings or extensions at or below ground level) require a public sewers consultation with the Sewerage Undertaker, to ensure that there are no public sewers in the vicinity (i.e. within 3m) otherwise a "building over agreement" may be required between the client and the Sewerage Undertaker. A site location plan showing the proposal should therefore be submitted to the RBCA to pass to the LA and Sewerage Undertaker, at a scale of no less than 1:1250 (showing the footprint of the proposed work and, for new buildings only, proposed connections to the sewers).

As of 1st October 2011 the adoption of private shared sewers took place, meaning the Sewerage Undertakers have responsibility for those laterals shared by two or more properties.

Commercial building work and work concerning common areas of flats including structure and building fabric will need to have fire safety plans submitted which are suitable for consultation with the Fire Brigade. The RBCA will make their comments and recommendations and pass these on to the Fire Authority for their consideration and comments.

At satisfactory conclusion of works, the RBCA will issue a Final Certificate to the LA for their records, with a copy to the client.

(Note : completion is usually required to be within 4 or 8 weeks of occupation, for commercial and domestic work respectively; this can be extended with the express permission of the LA).

Whilst setting out briefly the process of the Building Control service, the full statutory duties for all relevant parties can be referred to in the Building Act 1984, Building Regulations 2010, The Building (Registered Building Control Approvers) Regulations (England) 2024.

Limit of function

The Building (Registered Building Control Approvers) Regulations (England) 2024 limiting the function of RBCA's with respect to carrying out work, in particular:

- i). That works have not commenced on site within the prescribed 5 working day period within which LA's are permitted to check the details of the Initial Notice and reject it if necessary. This is also noted on our fee quotation templates and acknowledgment letters to the clients/agents on submission of an application,
- ii). That another AI Building Control Body has not already put a Notice in place for that project, which would first need cancelling. LA's would notify us on submission of our Notice if this was the case and we would immediately inform the client/agent.
- iii). That enforcement is required for non-compliant works (which have not been rectified within the required 90 day period since the client/agent was duly notified), requiring cancellation of the Initial Notice and reverting work to the LA to action (RBCA's have no power of enforcement),

- iv). That no professional or financial interest is held with regard to the proposed work.
- v). That consultation and due consideration must be given to the relevant Sewerage Utility (for basement/ground floor extensions and new build) and the Fire Authority consulted (for commercial buildings common areas of flats including structure and building fabric). Statutory Consultations are carried out in relation to Sewer Checks and Fire Safety Checks and also noted on our Initial Notice.

The contract must note that the RBCA is permitted to sign Notices on behalf of the relevant person carrying out the work. In addition satisfactory RBCA Registration accreditation must be in place together with adequate AI's Professional Indemnity and Public Liability insurance.

Checking the information on the Initial Notice form

The details on the Initial Notice form need to be checked to ensure that all the necessary details for the IN have been submitted which is then sent to the RBI. For new build dwellings, there may be 'Optional Requirements' set by LA development control; this must be disclosed on the application form by the applicant and is to be noted on the Initial Notice. The Initial Notice requires the following information before it can be submitted to the LA :-

Local Authority Address

The Initial Notice requires the address of the relevant Local Authority to be entered on it.

Reference Number

A reference number is given for each IN.

Description of proposed works

A full and complete description and location of the works is required on the Initial Notice. It is important to establish the location of the work within the building.

RBCA's name and address

The RBCA's name and address is required on the IN.

'Person carrying out the work'

The Initial Notice should include details of the person carrying out the work. For the purposes of clarity "the person carrying out the work" shall be taken as the person procuring the work. This will normally be the owner but may be another person such as a tenant. An Initial Notice may be signed by a third party on behalf of the "person carrying out the work" or the RBCA providing they have the necessary authorisation to do so from that person.

Minor works

The Initial Notice form also requires that works be described as either minor works or not. 'Minor works' are described in the The Building (Registered Building Control Approvers) Regulations (England) 2024 as a dwelling house which after the works does not exceed three stories, or underpinning, or alterations to a controlled service.

Professional or Financial interests

The RBCA must state if anyone in the company has any interests in the site/ project. RBCA's and RBI's may not have personal, professional or financial involvement in works.

Optional Planning Requirements

From 1st October 2015 the Building Regulations were amended to include Optional Requirements which are set out in planning permission for new dwellings to provide a higher level of provision in respect of water efficiency and access.

The duty to tell the building control body that an optional requirement has been imposed falls on the person carrying out the work. Note: LBC Ltd have provided a note and declaration section concerning this on our application form for the applicant to complete.

At present the 'Optional Requirements' are:

- (i). Optional water efficiency requirement of 110 litres per person per day,
- (ii). Accessible and adaptable dwellings design, and
- (iii). Wheelchair user dwellings design.

Fire Authority consultation

The relevant Fire Authority needs to be consulted for all commercial works and works concerning common areas in flats including structure and building fabric to check that the fire safety is adequate.

Sewerage Undertaker consultation

The relevant Sewerage Undertaker also needs to be consulted for new buildings and extensions - with this consultation requirement noted on the IN form. Note: Since 2011, shared laterals serving more than one property are now controlled by the Utility Authorities as public sewers.

Site location plan

For extensions and new buildings, a site location plan is also required to be submitted to the LA with the Initial Notice at a scale of at least 1:1250 (showing the footprint of the proposed works and proposed connection to sewers).

Local Acts

If there are any Local Enactments affecting building work within the Local Authority, this should be noted on the letter sent with the IN submission to the LA. Most Local Acts were repealed 9/01/2013 but access for the fire brigade still remains in force in some areas (such as The Surrey Act and East Sussex Act). Further consultations may be required in such cases, concerning access for firefighting vehicles to new buildings and houses.

Non-compliant work (Contraventions)

Non-compliant works or poor quality work (unfit for purpose) will be brought promptly and clearly to the attention of the responsible person in writing within 5 working days of the contravention being noted.

Effective follow up procedures in the form of a formal letter identifying the issues, and a 90 day period to correct the works are put in place with further inspections as necessary, where previous non-compliant items have been noted. If the works have not been addressed within the prescribed period our cancellation procedure is followed.

Final Inspection

At the Final Inspection, the inspecting surveyor must ensure that all works as described within the application have been completed to a satisfactory standard and that all the necessary tests have been carried out, such as drainage tests and tests on the fire safety installations.

Clients are required to provide all relevant Certification relating to the project, i.e electrical, fire safety certificates, SAP/EPC, sound, air pressure testing, water calculations etc.

If occupation is likely before the Final Certificate can be issued, an extension of time may be sought from the Local Authority.

Cancellation of initial notice

- (1) An RBCA who is of the opinion that any of the work described in an initial notice, which has been carried out, contravenes any provision of building regulations may give notice in writing to the person carrying out the work specifying-
 - (a) the requirement of building regulations which in the RBCA's opinion has not been complied with, and
 - (b) the location of the work which contravenes that requirement.
- (2) A notice of contravention given in accordance with paragraph
 - (1) shall inform the person carrying out the work that if within the prescribed period that person has neither pulled down nor removed the work nor effected such alterations in it as may be necessary to make it comply with building regulations, the RBCA will cancel the initial notice.
- (3) The period within which the person carrying out the work is to remedy the contravention as described in paragraph (2) is three months beginning with the day on which the notice is given. Cancellation of the Initial Notice will be given if there is a failure to remedy the contravention in the prescribed time. Or, if the cancellation of the Initial Notice is requested in writing by the person intending to carry out the work, Or, if works have not commenced within 3 years of the date of the Initial Notice being served to the Local Authority.

Reversion to Local Authority

A project may revert back to Local Authority Control where a contravention of the regulations is not remedied as specified by the RBCA.

3. Comply with respective codes of conduct set out in the guidance

LBC Ltd ensure that all surveying and administration staff are made aware of the Professional Conduct Rules for Registered Building Control Approvers and Code of Conduct for Registered Building Inspectors within our regular team meetings forming a discussion point within our Agenda for each meeting. All new staff are provided with an Induction file which includes a copy of the code of conduct.

Furthermore, all surveyors are expected to have or be in the process of working towards Professional Membership of a relevant accredited body of either the RICS, CABE, CIOB or another relevant organisation. All such bodies require as part of their membership adherence to their own Code of Conduct.

4. Comply with the current Operational Standard Rules to enable maximum effectiveness in achieving compliance of the building work

LBC Ltd as a Registered Building Control Approver will fully commit to our obligations as an RBCA, supporting the recommended Standards within the Operational Standard Rules, as set by the Building Safety Regulator. These include the categories:

- i) Systems and Controls,
- ii) Persons involved in the delivery of building control functions,
- iii) Building Control Functions,
- iv) Enforcement and Intervention,
- v) Monitoring Arrangements



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Offices also in:

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