

Appendix B

Risk	Relevant OSR	Non-Compliance	Improvement	Timeframe	Action	Status
Operations	1. Systems and Controls 1.3 You must keep persons supporting your building control functions fully informed of anything relevant to their engagement with your functions. This includes: i) local and national policies ii) technical and procedural guidance iii) any other information that may affect the exercise of your building control functions	1. You have failed to demonstrate that your building control function's policies, procedures and processes are documented and adequately reflect current relevant guidance, for the delivery of your building control function. i) You did not have a documented procedure in place outlining how the workloads of RBIs are monitored and controlled. ii) You did not have a documented statutory consultation procedure in place. iii) You did not have a procedure detailing the CPD expectations for RBIs or how CPD records are kept up to date. iv) You did not have a documented procedure in place for reversions. v) You did not have a documented procedure in place for the issuing of completion certificates and part completion certificates. vi) You did not have a procedure in place for dealing with regularisations.	1. You must carry out an assessment of your Operational Manual, to identify any gaps or deficiencies in coverage, revising and updating as required. In this activity, you must ensure that you set out your building control policies, procedures, and processes within the Operational Manual to reflect the requirements set out in the Operational Standards Rules (OSRs), Professional Conduct Rules (PCRs) and relevant regulations including the Building Act 1984, the Building (Restricted Activities and Functions) (England) Regulations 2023 and the Building (Restricted Activities and Functions) (Wales) Regulations 2024. You must establish a documented programme for reviews of the Operational Manual, with pre-defined criteria and timed intervals, to assure its adequacy and currency. You must provide details of the measures/arrangements that you will implement to ensure the operational manual (policies and processes), and any updates are communicated to relevant staff, understood and implemented.	2/28/2026	Our 'Operational Manual' consists of the LABC process maps supported by a new range of granular process instructions based on the operation of our back-office system. In response to the specific items listed: i) The workloads of RBIs are monitored and controlled using the Enterprise system. The allocation of applications to RBIs of the correct classification is already included in our project registration instruction notes. These notes also refer to consideration of existing workloads, complexity and location. All staff are able to reallocate work (with agreement) in reaction to workloads, absences and unforeseen circumstances. ii) A granular process guide to our consultation process has been created. This document has been placed on the team sharepoint site. All team members have confirmed that they have read it, recorded this on our new document register and are following the guidance. iii) CPD maintenance is a key requirement of our appraisal system. All team members must provide evidence of their CPD at three points during the year. The team leader has access to the personal CPD records kept on the LABC CPD system. iv) A granular process guide to our reversion process has been created. This has been placed on the team sharepoint site and all team members have recorded that they have read it on our new document register and are following the guidance. v) A granular process guide for completions and partial completions has been created. This has been placed on the team sharepoint site and all team members have recorded that they have read it and are following the guidance.	Complete
Operations	1 Systems and Controls 1.4 Your system and controls must identify, manage and mitigate risks to: i) the delivery of your building control functions ii) the reputation of building control compliance with the act, including building regulations made under it, for buildings and	2. You have failed to demonstrate there were effective arrangements in place to adequately monitor and manage the progress of building control projects. You failed to demonstrate that you were operating a managed, prioritised and timely follow up approach with applicants/agents if they have not requested inspections as set out in inspection plans or otherwise required. i) You confirmed there were an estimated 3,604 active projects on your system (some legacy) where a completion certificate is yet to be issued.	2. You must develop and implement effective procedures and processes for the adequate monitoring and management of building control projects. This includes the criteria for prioritisation, timing, scope of inspections and related follow-up/ engagement with client and/or principal contractor, to be documented within procedures. The objective of this must be to assure that there is adequate building control oversight for each project and effective monitoring and	2/28/2026	Measures to address this item using AI to interrogate our system and contact clients automatically are being developed in the spring. In the meantime non-domestic projects are to be targeted. A report has been run identifying 127 non-domestic projects which have not been inspected for more than 3 months. These will be contacted and inspections carried out by suitably accredited RBIs.	Current work around until training has been done so that we can automate this.
Operations	3 Building Control Functions, 3.9 Building control inspection reports must be supported by appropriate evidence of: i) the work inspected and how it was inspected ii) any identified contravention iii) planned and completed interventions and/or enforcement action iv) observations	3. You have failed to demonstrate that inspection reports are supported by appropriate evidence of the work inspected and how it was inspected. i) Sample UBR24/0525/DOM evidenced site inspection reports with inadequate evidence of the work inspected and how it was inspected.	3. To further support your documented Site Inspection Process for Non HRBs, you must develop processes outlining how building control site reports are to be detailed and communicated appropriately to the building owner and building control applicant. Share update with relevant staff and implement.	2/28/2026	A granular process guide to our inspection process has been created. This document has been placed on the team sharepoint site. All team members have confirmed that they have read it, recorded this on our new document register and are following the guidance. The requirement referenced in item 4 (below) has been addressed and this has improved the quality of site inspection notes.	Complete
Operations	3 Building Control Functions, 3.11 You must provide building control inspection reports in an easily accessible format. You must provide these to the current building owner on request, and to the building control applicant as soon as possible following inspection.	4. You acknowledged that site inspection reports are not routinely sent to the building control applicant. It was confirmed site inspection reports are only sent out upon request. i) Sample UBR25/0210/DOM evidenced that site inspection reports were not sent to the building control applicant as soon as possible following inspection.	4. See improvement 3 above.	2/28/2026	The granular process guide to our inspection process referred to in (3) above includes instructions for sending inspection notes to the Applicant (as defined in the Regulations) following each inspection. This OSR requirement is now being met. Now our notes are being routinely shared, the clarity and content has noticeably improved.	Complete

People	2. Persons 2.3 You must, as soon as you become aware, stop any person from working on any building control function for which they have no valid and relevant competence, supervision, authorisation or registration.	5. You have failed to put in place adequate, documented supervision arrangements for the Registered Building Inspectors (RBIs), working on behalf of your building control function, on any restricted activities beyond what they have been assessed as competent, and are registered, to undertake. j) You did not have a documented procedure concerning the supervision of RBIs undertaking work outside of their class of registration. Sample UBR25/1062/OT-HBN evidenced a Class 2A RBI undertaking site inspections at a commercial premises without evidence of supervision.	5. You must develop and implement adequate and effective policies, processes and procedures for supervision of Registered Building Inspectors (RBIs) working on behalf of your building control function on any restricted activities beyond what they have been assessed as competent, and are registered, to undertake. There must be effective arrangements for supervisees working alongside their supervisors for inspections. In-person, accompanied site inspections to be the substantive activity to achieve this.	2/28/2026	The team are fully aware of their responsibilities under the Code of Conduct and have all been examined on this during the compulsory registration process. Whilst there have never been any instances of unsupervised restricted functions actually being carried out, our process guidance did not adequately describe what we were actually doing. The inspection by a highly experienced RBI of a short length of external drainage which is referred to in the non-compliance column was carried out in the full knowledge that it was outside the scope of the inspecting RBI. This was discussed, risk assessed and agreed before and after the inspection. Our inspection process guidance now covers this situation, and the relevant records are retained on the file.	Complete
People	2.4 You must make appropriate continuous professional development available to persons delivering your building control functions. This must include development relevant to technical expertise. 2.5 You must keep up-to-date records relevant to the competence of persons delivering your building control functions.	6. You were unable to demonstrate a clear expectation concerning the CPD requirements of RBIs within your function. CPD records were held by RBIs on external electronic platforms, you as an LA Building Control Body must keep up to date records relevant to the competence of RBI.	6. See improvement 1. You must develop and implement adequate and effective procedures to ensure you are satisfied that RBIs are undertaking the required CPD set by your function. You must ensure RBI CPD is relevant to their area of expertise and that up-to-date CPD records are held by the LA in preparation for re registration.	2/28/2026	See response to 1 (iii)	Complete