



## Appendix A

### PCG STATEMENT AND PCG ISO 9001 CODE OF ETHICS Part 1

The statement made by the PCG and this Code has been developed by the PCG to ensure that members of PCG ISO 9001 conduct their business ethically and in accordance with sound business practice and in compliance with relevant laws.

#### Definitions

PCG	the trade organisation known as Professional Contractor Group Limited
PCG member	a person (including a company) that is a current member of the PCG
ISO 9001:2000	the quality standard variant of ISO9001 issued by the International Organisation for Standardisation comprising a Management System Certification that addresses the principles of customer satisfaction, continual improvement and the development of processes for good management
Scheme Member	a PCG Member that has achieved Certification and has entered into an undertaking with the PCG to comply with the requirements of ISO9001:2000 and the values set out in that Code of Ethics in accordance with this Scheme
Certification	certification that a person has achieved the standard required by ISO 9001:2000
Code of Ethics	the codes of good and ethical practice set out in Part2 of this Appendix
Scheme	the PCG ISO 9001 scheme comprising the creation by the PCG of a set of quality standards relevant to quality assurance by the provider of first class contract services for use by Members and the agreement by a Scheme Member to adhere to the Code of Ethics
Roll	the Roll of Scheme Members kept by the PCG
Complainant	Any client (but excluding any associate of, or related party to, the client)of a Scheme Member that complains to the PCG of a breach of commitment by the relevant Scheme Member

#### PCG Commitment

PCG itself has achieved Certification and shares the quality commitment assured by its Scheme Members. As part of that commitment the PCG works continually to develop and improve the quality commitment provided by Scheme Members to their clients. Towards this end the PCG is committed to

- at all times administer the Scheme fairly and in good faith towards both Scheme Members and clients of Scheme Members
- wherever it appears necessary to do so, develop the Code of Ethics to reflect new requirements and statements of law or good practice or other issues of quality assurance which may be applicable to the users of services provided by Scheme Members

- not allow any person to be entered on the Roll unless such a person
  - a PCG member and
  - the PCG is satisfied that the PCG Member has achieved Certification which is current and valid
  - the PCG Member has entered into an undertaking to comply with the values set out in the Code of Ethics as required by the Scheme
  - the PCG Member is not currently excluded from the Scheme for any reason
  - take suitable steps to check that a Scheme Member has Certification at anytime and that the Scheme requirements are complied with
  - record any breach of commitment in accordance with the provisions below.

To ensure that the value of quality commitment under the Scheme is at all times upheld, the PCG may, in the most serious cases of nonconformity, exclude a PCG Member from the Scheme. In that event as part of the Scheme PCG shall remove the name of the PCG Member from the Roll, but there is no obligation upon the PCG to take that step or to notify any party other than the Scheme Member of exclusion.

#### Procedures relating to complaints

If a Complainant shall complain in writing to the PCG that a Member has acted in breach of its commitment the PCG shall, subject to the provisions below

- acknowledge the complaint
- enter a note of non conformity into the audit trail of the Scheme Member recording the circumstances of the commitment failure unless, following an investigation, the PCG considers the complaint to be invalid.

The PCG may as part of the quality assurance offered by the Scheme, undertake an investigation into the circumstances of a complaint in accordance with its internal current complaints procedures. However the PCG may decline to record or investigate a complaint which is trivial or, in the opinion of the PCG, invalid. The PCG may also decline to record or investigate a complaint unless the Complainant has already raised its complaint formally and in writing with the relevant Scheme Member direct, and either

- the Scheme Member has not responded to the complaint within the relevant time, or,
- the response provided by the Scheme Member does not properly address the complaint and the issues raised by it to the reasonable satisfaction of the Complainant.

Please note that

- the PCG has no power to impose fines or require a Scheme Member to make any compensatory payment to a Complainant
- information provided to the PCG by a Scheme Member is voluntary and confidential and the PCG is not obliged to provide such information to the Complainant

- information in any event provided by a Complainant or a Scheme Member may only be disclosed to the other party with the prior consent of the party giving the information
- matters provided for in any contractual arrangement between a Scheme Member and a Client will override any conflicting code

In the event of any legal dispute between the Complainant and a Member the interests of either party may be affected if the Member is required to respond to a complaint. For example in Court or Tribunal proceedings the parties are usually obliged to disclose documents and make statements relevant to the subject matter of the proceedings. Accordingly, in order to avoid any potential prejudice to either the Complainant or Scheme Member, PCG may decline to undertake or continue any investigation in any of the following circumstances

- during any period of legal proceedings between the Scheme Member and the Complainant
- if the PCG reasonably forms the view that an investigation may affect or be relevant to any proceedings threatened, but not commenced at the time of the complaint

Please note that improper use by a Scheme Member of a threat to take proceedings against a complainant in order to avoid investigation by the PCG is a breach of the Code of Ethics.

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