

RICS Responsible Principal guidance

The [rules for the registration of firms](#) (effective from 2 February 2022), introduce the requirement for all RICS regulated firms to appoint a Responsible Principal. A Responsible Principal will have primary responsibility for ensuring that RICS' professional, technical and ethical standards are applied, upheld and supported by an appropriate assurance framework within a regulated firm.

We have compiled a list of frequently asked questions which will help with most queries however, if you cannot find the answer to your question, please email regulation@rics.org

1. When should we appoint a Responsible Principal?

All regulated firms must have appointed a Responsible Principal by 1 April 2020. RICS will contact firms when nominations for a Responsible Principal can be made using the new professional portal.

2. How do we appoint a Responsible Principal?

Firms will complete the nomination process in the professional portal system. The nomination process will require firms to answer a set of questions about the person being nominated as the Responsible Principal. We will then assess the suitability of the nominee.

3. Who can be a Responsible Principal?

Our expectation is that the responsible principal would normally be an RICS member who is a Director/Principal within the firm.

4. Can we appoint a non-RICS member as Responsible Principal?

Firms can appoint a non-RICS member as Responsible Principal. However, we need to be satisfied that it would be impracticable for the firm to appoint an RICS member and that the non-RICS member has sufficient experience in, and understanding of, regulatory compliance activities to carry out the duties of a Responsible Principal.

5. What are the duties of the Responsible Principal?

The Responsible Principal will be the primary contact for RICS within the firm and will be responsible and accountable for but not limited to:

- ensuring the firm has appropriate measures in place for its Principals and employees to fully comply with RICS standards and requirements and provide evidence of this if required to do so;
- ensuring the firm's systems and controls meet legal requirements and provide evidence of this if required to do so;
- ensuring all information provided to RICS is truthful and report any material changes to RICS; and
- ensuring that there are adequate processes and systems to record any failures to comply with RICS and/or legal requirements and provide evidence of this if required to do so.

6. Do we still need to appoint a regulatory contact officer?

The Responsible Principal can delegate the day-to-day task of being the primary regulatory contact officer to another individual within the firm however, the Responsible Principal will ultimately remain accountable to RICS for all compliance matters. RICS should be notified in writing of any such delegation.

7. How do I resign from being a Responsible Principal?

It is the responsibility of the Responsible Principal to notify RICS in writing if they are resigning as the firm's responsible principal. The onus is on the Responsible Principal to provide details of who will replace them in the role. Written notice should be sent to regulation@rics.org