

Council feedback on IANZ full assessment visits

The following feedback is a compilation of responses from councils that have completed the IANZ on-site assessment. (There are ten councils in this category included in this report) This feedback includes the IANZ Corrective Action Requests (CARs) that were identified but does not include the additional and optional recommendations.

An important clarification is that CARs must be addressed prior to accreditation being awarded. Recommendations are advice from the IANZ team (including technical experts) that may assist the applicant council in its operations but are not a requirement for accreditation.

General

IANZ have instigated the following process as a result of the number of councils that have not made the progress expected or required since their pre assessment visit. A member of the IANZ team will contact each BCA prior to the proposed on site assessment date. Should the answers given not meet the expectations that are implicit in the questions then it is likely that the on site assessment will be postponed by IANZ. If this is proposed then the case advisor should contact IANZ and discuss the answers that have been provided to ensure that they truly represent the situation.

“Several BCAs that have been assessed recently will have to be reassessed. This is not good for BCAs as having to be reassessed after an initial assessment can have a devastating effect on morale. This is also not good for IANZ as we have plenty of work to do without duplicating assessments.

Therefore could you please consider the following questions?

1. How many 'full' competence assessment records do you have (full meaning records of witnessing of work and interviews as well as the skills matrix outcomes)?
2. Do the competence assessment records include processing staff, inspection staff, staff from each sub-office, technical leaders etc. in other words are they a good representative sample of the BCA's staff?
3. How many applications are you confident have been processed, from application to granting of consent, fully in compliance with the documented systems and procedures you wish to be assessed? (We need approximately 10% of a year's worth of records but more importantly the records available for assessment must reasonably represent the types of work normally processed by the BCA).
4. How many CCCs have been issued which have records fully in compliance with the documented systems and procedures you wish to be assessed? These records must include evidence of justification of acceptance of producer statements, where appropriate, as well as inspection records etc. (We need approximately 10% of a year's worth of records but more importantly the records available for assessment must reasonably represent the types of work normally processed by the BCA).”

Regulation-specific feedback

Regulation 5

Regulation 5 will have been assessed as part of the document review and CARs that arose from that will have been addressed prior to the on-site assessment. However there will still be some aspects that require an on site assessment.

- Ensure that “telephonists” who use the building inspector “allocation sheet” are trained and are using a controlled version of that document.
- Documentation does not define the effective implementation of regulations 8-16. Develop documentation that reflects the existing process.

Regulation 6

- Provide records of the reasons behind competency assessments decision, such as the evidence that was considered when assessing an individuals competence.
- Develop a checklist that reflects the complexities of documents that the building consent authority assesses (eg, criteria for acceptance of producer statements).
- Provide a consent processing checklist or checklists that reflect the complexities of the various types of structures presented for consent.
- No evidence was available to demonstrate effective implementation of regulations 8-16. Please assess the implementation of processes.
- Build a body of evidence around the building consent authority’s internal audits of processes. This will demonstrate that processes are being followed.
- Develop and implement a system which meets the requirements of this regulation in regard to peer review of work

Regulation 7

- Provide public information on how building work is certified.
- Supply a register of accepted producer statement advisors.
- Document the process for acceptance of producer statements.
- State if producer statements are used for compliance purposes or not.
- Describe the method by which a consent, or part thereof, is identified as to its building category and how this work is allocated.
- Ensure that decisions and outcomes of decisions, are appropriately recorded (this applies to all regulations and processes)

- Ensure that applications for building consents are complete and comply with the building code (including truss plans, ground levels and smoke alarms).
- Ensure that records for issuing CCC's are complete at time of authorization and stamping
- Review documentation to differentiate territorial authority and building consent authority functions.
- Review information to potential applicants as to how the building consent authority undertakes processing, inspecting and certifying.
- Review all framing inspections to ensure that they are adequately performed. The current specific framing inspection is now incorporated into the pre-line inspection. (may be hidden by cladding).
- Define and document the process for using the inspection record checklist to eliminate inconsistencies in its use.
- When consents are granted there is no list of inspections required for that particular project. This needs to be documented and clarified for the client
- Provide evidence of the existence and effective use of the complaints system.
- Whilst there is a good practice in place for dealing with major projects there is no procedure to follow. Documentation of the practice is required.

Regulation 8

- Develop and document a system to meet the requirements of this regulation for ensuring that there are enough employees to meet statutory timeframes.
- Document a process for analysing and recording reasons for breaching the 20-day statutory timeframe.
- Develop a process, including action triggers, for monitoring progress against 20-day timeframe. Include trigger point to undertake a review of an application that has exceeded or is at risk of exceeding the statutory timeframe.
- Document the system that is in place for triggering action when there are insufficient staff in place to meet required timeframes.
- The above needs to be done both for the issuing of building consents and for issuing CCCs.

Regulation 9

- Describe the method used to make decisions on the allocation of work to competent employees.

Regulation 10

- Perform staff assessments and develop records
- Effectively implement a system for assessing the competence of each staff member against the requirements of these regulations
- Supply a revised skills matrix and the supporting rationale and records (need to show how decisions were made, ie, provide evidence, on an individual's competence).
- Records of individual competency assessments were not available (and how decisions were made in determining the individuals competence and their placement on the skills matrix)
- Provide the full competency assessment records for at least 1 processor, 1 inspector and 1 technical leader. (this is for a small council a greater number will be needed for larger councils)
- Provide assessment of the competence of individuals in respect of alternative solutions. Please re-assess the competence of individuals in respect of all other activities.

Regulation 11

- Provide a record of training needs assessments and subsequent training plans.
- Develop processes for monitoring the effectiveness of training received.
- Define 'supervision' during training.
- There is poor recording of "learning activities". Use the form and procedure that have been developed and is in the system

Regulation 12

- The competence of contractors should cover all persons who have input into decision making processes. Eg: producer statements and letters of intent.
- Provide copies of agreements for service by other areas of the TA. (ie service level agreements or similar with HR, IT and environmental services)
- Define and document the system that is used for contracting and contract monitoring

Regulation 13

- Develop and define the process for selecting technical leaders.
- Identify technical leaders by name. Demonstrate the these technical leaders have undergone their competency assessments.

Regulation 14

- Document a process for determining requirements for calibration, including:

- a list of measurements
- reasons for calibrating or not calibrating different types of equipment
- identification of the measurements critical to compliance decisions (eg, moisture, temperature)
- the level of accuracy required
- the means of calibration
- a record of the calibration.
- Justification for the period between calibration.

Regulation 15

- Revise organizational chart to show relationship with “external organizations”. (this includes departments within the TA undertakes work on behalf of the BCA)

Regulation 16

- Develop, document and implement a system to meet the requirements of regulation 16
- Produce a document stating the required content in a building consent folder.
- Determine if the paper copy or electronic copy of the building file is the definitive record during the project and for the life of the building.
- Ensure that the copies that are scanned and stored are actual copies of the original and not an electronic copy. The latter may, for example, show the date it was stored rather than the actual date of the original consent.

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