



Purpose

The purpose of this document is to describe the procedures for appointing and managing contractors and suppliers, ie. to perform work, renew a contractor’s contract, assess contractor’s suitability, provide procedures for terminating a contractor’s contract, and assessing requirements for both internal and external contractors. Please note the following.

- The ACC Contractor and Suppliers Management Manual. (Refer: <http://techtrain.aucklandcity.govt.nz/csm/>) provides detailed information on how we identify/ source and select/ implement/ manage contractors and supplier. The information in this document should be read as supplementary requirements specific to the BCA.
- Only approved contractors shall be offered contracts to perform BCA functions.
- Only contractors who have operative contracts (current contracts in the approved format) will be allocated work.
- Contractors shall only be issued work within the scope of works they have received approval.
- Contractors shall only be issued work within the competency level they have received approval.
- All contractors and suppliers must comply with Auckland City Council’s contractor/supplier requirements. Refer to Contract and Supplier Management Manual – on the management intranet, ie. Work Tools/ Contract and Supplier Management Manual/Manage Supplier
- A sample of contractors work shall be assessed against legislative, regulations and original standards, as part of an annual contract assessment.
- The approach to contractor competency is described in BLD-75.0-POL. This document has particular reference to the relationship with ex-certifiers, Professional Building Services and Compass Building Consultants Limited.

Scope

This document is to be used when assessing the competency, capacity and suitability of a contractor to perform work at Auckland City.

References

- Appendix G, Contract management plan
- Appendix H, Contract management schedule
- Appendix I, Building contract management register
- BLD-17.2-PROC, Consent assessment and task allocation
- BLD-17.3-POL, Skills matrix
- BLD-65.2-PROC, Internal audit
- BLD-75.0-POL, Contractor competency
- Contract and Supplier Management Manual on the management intranet

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Roles and responsibilities

This roles and responsibilities of each person involved in the process is listed as follows.

Building manager (BM): Approves all technical contracts relating to building consent authority and supervises any of the managers in the building control team.

Principal building officer (PBO): Approves all technical contracts relating to BCA.

Building control manager (BCM): Manages all operational contractor performance.

Contract manager (CM): Manages the specific contract

Building performance manager (BPM): Manages use of correct contract and monitors the expiring contracts for all ACE contracts.

Abbreviations and acronyms

ACC	Auckland City Council
ACE	Auckland City Environments (Auckland City Council parent group within which that Building Controls resides).
BCA	Building consent authority
BOINZ	Building Officials Institute of New Zealand
SAP	Systems, Applications and Products in Data Processing Ltd- Software provider
TA	Territorial authority



Procedure

1. Engagement/re-engagement of technical contractor

Step #.	Engagement/re-engagement of technical contractor	Responsibility
1.	<p>Consider competency and capacity of contractor to perform work. Factors that should be considered include:</p> <ul style="list-style-type: none"> • Experience in providing professional services for a TA/BCA. • Details of any current arrangements/contractual arrangements with other BCAs/TAs and scope of works preferred. • Any conflict of interest areas requiring management. • Details of any accreditation currently or previously held. • Qualifications/experience of specific individuals who will provide the service including BOINZ license details if applicable. • Current capacity to perform work within stipulated parameters. • Details of how they will ensure only an appropriately qualified person will perform work provided. • Where that contractor is an 'internal contractor' they shall complete the amended BOINZ licensing self assessment form. Then follow the procedure in BLD-17.2-PROC.(4. Competency assessment). The exception to this is covered in BLD-75.0-POL. • All internal contractors engaged in building certification related work are instructed to become BOINZ certified within one year and provide ACE with a copy of the licence issued. 	BM
2.	<p>Determine/confirm whether contractor meets approval standard. Refer to step 1. If so, obtain building control manager or principal building officer approval, depending on reporting line.</p>	BM
3.	<p>Supply scope and specific terms of works and contractor details and request business performance manager to create a draft contract.</p>	BM or PBO
4.	<p>Review contract to confirm details of scale and scope of works /terms and conditions. Note: Any change to the standard terms and conditions requires the approval of the business performance manager.</p>	BM or PBO
5.	<p>Forward contract to contractor for signing.</p>	BM or PBO
6.	<p>Sign contract for organisation.</p>	BM or PBO
7.	<p>Forward copy of contract to business performance manager. Retain copy for own records.</p>	BM or PBO
8.	<p>File copy of contract and enter expiry date of contract register.</p>	BPM or PBO
9.	<p>Conduct a pre-commencement meeting with the contractor and complete the contractor supplier management plan Refer to Appendix G.</p>	CM



2. Contractor contract renewal

Step #	Contractor contract renewal	Responsibility
1.	Determine contract is due to expire.	BPM or PBO
2.	Notify relevant building manager.	BPM

3. Contractor assessment

The approach for assessing contractor performance varies depending on whether the contractor is an:

Internal contractor: Working predominantly within the BCA workplace using BCA equipment in the performance of their service.

External contractor: Operating predominantly outside the BCA workplace utilising their own equipment in the performing of their service.

Contractor assessment shall follow the employee assessment procedure, refer to BLD-17.4-PROC Skills Matrix-17.4 PROC and BLD-17.2-PROC, Consent assessment and task allocation.

Auckland City Councils contract/ contractor management approach is specified at <http://techtrain.aucklandcity.govt.nz/csm/>. This approach should be followed where applicable for all contracts.

Note: Auckland City Environments does not require contractor performance review information to be logged into SAP. BCA contractor review information will however be held by ACE for all BCA related contractor reviews.

The frequency of the contract review shall be appropriate for the nature and duration of the contract/ its specified key performance indicators (KPI's) and the respective contractors performance record. The dates for the formal review of the contract shall be identified at the time the contract is signed/ renewed. These dates shall be entered into the contract management schedule refer to Appendix H.

Formal reviews shall be carried out at least every six months.

Each formal contractor assessment shall be recorded in the contract management schedule Refer to Appendix H.

The result of the formal review shall be recorded in the Building Contract Management Register (Refer to Appendix I)

Contractor performance is assessed at one of four levels:

1. **Excellent**- deliverables delivered to time and quality.
2. **Good**- all key contract deliverables to time and quality.
3. **Acceptable**- minor failures to deliver deliverables but overall service acceptable.
4. **Poor**- key deliverables not delivered to time and quality.



Step #	Engagement/re-engagement of technical consultant	Responsibility
1.	Determine assessment required as part of: <ul style="list-style-type: none"> • Annual contractors assessment • On going quality assurance programme • Issues that rise form time to time 	BM or PBO
2.	If assessment is part of quality assurance programme follow audit procedure BLD-65.2-PROC. If assessment is part of the six monthly formal contractor assessment. Go to step #3 If not go to step #4	BM or PBO
3.	Review contractor’s performance. This should include: <ul style="list-style-type: none"> • Performance against assigned consent competency level for building processing, inspections and technical review staff. • Performance against timeliness and quality standards. • Value for money. 	BM or PBO
4.	Discuss performance with contractor and obtain explanation/undertaking as required.	BM or PBO
5.	Recommend contract renewal/limit scope/termination to BCM/PBO.	BM
6.	Make decision on recommendation.	BCM or PBO
7.	Renewal/continue/or provide limitation contract.	BM or PBO

4. Terminate contractor

1. Approval from building control manager or principal building officer (depending on reporting line) required for contract termination.
2. Follow the Contractors termination procedure. Refer to Contract and Supplier Management Manual – on the Management Intranet at Work Tools/Contract and Supplier Management Manual/Manage Supplier.

5. Internal contractor requirements

1. All internal contractors shall follow Auckland City policy, processes, procedures and templates.
2. All internal contractors engaged in technical roles such as processing, inspections and the conduction of technical reviews are required to have a BOINZ licence compatible with the level of work they are to be allocated.
3. All internal contractors will be required to complete the skill matrix- competency level self-assessment for the role they are to perform at Auckland City Council.
Refer to BLD-17.2-PROC.
4. An internal contractors competency will be reviewed not less than annually.
Refer to BLD-17.2-PROC.



6. External contractor requirements

1. All external contractors shall follow Auckland City policy, procedures and templates unless they are: BCA accredited organization using their own certified processes and templates that Auckland City Council has prior approval from the building control manager. Or any divergent procedures/ templates have been prior approved by building control manager.
Refer to BLD-75.0-POL.
2. All staff likely to be performing technical work on Auckland City Council consents shall be identified by name.
3. All staff likely to be performing technical work on Auckland City Council consents shall complete a skill matrix and be subjected to a competency level assessment.
4. All Auckland City Council consents shall be allocated to staff with the approved appropriate competency level to perform the work.
5. Auckland City Council shall be notified of any intention by the external contractor to change competency the competency level of any of their staff and the reason. Any such approval will require documentation for the reason for the change and written advice of the change to the contract manager.