

MANAGEMENT PROCEDURES

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MS-01 Quality Assurance Introduction

Introduction

The purpose of quality assurance is to:

provide a documented system describing the organisational structure, responsibilities, authorities, policies, processes, procedures and resources for implementing quality management principles to achieve management goals and objectives (including statutory) within an organisation. This includes all activities that contribute to quality, directly or indirectly;

document common-sense rules or methods for undertaking specific tasks or functions;

enable alignment with a 'Standard', in this case the building consent authority Standards and Criteria, (Building Regulations); and

provide a vehicle for developing and implementing improvements.

Clutha District BCA Quality Assurance System has been developed to formally document the building consent authority's quality assurance system and is recorded in the Clutha District BCA Quality Assurance Manual.

In developing its Quality Assurance System and Quality Assurance Manual, Clutha District Council has worked in partnership with the Southern Building Control Group (SBCG) as outlined in the attached Memorandum of Understanding (see Appendix 1).

The building related functions performed by Clutha District Council as a territorial authority are described in Technical Procedure (TS-01) and as a Building Consent Authority (BCA) in (TS-01.1). In this manual, unless otherwise stated, the "organisation" means the BCA.

The quality assurance system is one of the tools used by the BCA to ensure it complies with the Accreditation requirements for BCAs.

A specific objective of the system is to demonstrate that decisions made by Clutha District Council in fulfilling its roles and responsibilities as a BCA are made by suitably qualified and experienced people. The core procedures and appropriate references which describe how this objective is achieved are described in this quality assurance manual.

MS-02 Quality Assurance Statement of Intent

Purpose

The purpose of this Quality Assurance Statement of Intent is to provide the foundation, commitment and reference point for the BCA's Quality Management System and BCA requirements.

Statement of Intent

The BCA is committed to the concept of sustaining and improving the quality of building control and associated services provided to customers based on professionalism, technical excellence, care, attention and public accountability while complying with the Building Consent Authority accreditation requirements, The New Zealand Building Act, and the New Zealand Building regulations.

The organisation will ensure this quality policy is understood and implemented by staff and contractors through regular coaching, internal audits, monitoring and assessment. An appropriate standard of technical skill will be maintained throughout the organisation together with an appropriate level of compliance with the organisation's processes and procedures.

The organisation will provide documented assurance to organisational management, staff, contractors and customers that the service is being provided in a consistent, professional, technically competent, effective and efficient manner.

We will achieve this by endeavouring to:

- make the process of applying for, and obtaining an approved Building Consent as simple and as easy as possible, without compromising technical accuracy;
- treat all customers impartially, fairly, courteously and respectfully;
- respond promptly to the requirements of customers, the Building Consent Accreditation Body and the Department of Building and Housing;
- promote integrity, honesty and professionalism as a key element of all aspects of our business activities and relationships;
- ensure the organisation's decisions are based on legal advice where required;
- value all customers and develop good working relationships with customers, suppliers, contractors and regulatory bodies;
- process all applications within the required statutory periods; and

- ensure all work undertaken is within the identified technical competency and capability of appropriate staff and contractors.

To meet these objectives the BCA applies the Quality Assurance System outlined in this Quality Assurance Manual which has been developed in accordance with the BCA Accreditation requirements.

Conformance with the requirements of the detailed procedures outlined in this Quality Assurance Manual is mandatory for all staff and contractors engaged in the provision of BCA services.

Signed

Date

Chief Executive

MS-02.1 Quality Assurance Policy Development

Roles and Responsibilities

It shall be the responsibility of the Chief Executive to ensure that the Quality Assurance Policy is developed and reviewed at appropriate intervals.

It is the responsibility of all management, staff and contractors to understand the Quality Assurance Policy and adhere to its intent and philosophy.

Procedure

General Scope

The Quality Assurance Policy scope aims to ensure that the BCA:

- complies with all appropriate regulatory requirements;
- demonstrates commitment, and enables taking of practical steps, to provide an environment and appropriate processes to improve the efficiency and effectiveness of operations, within the BCA's Quality Management System; and
- ensures compliance with the New Zealand Building Code.

Efficiency and Quality

The operation of the quality assurance system and development of quality principles aims to improve:

- the overall performance of (the BCA's) building control functions and reduce non-conformance in operations;
- the consistency and quality of building control outputs (ie, better building compliance); and
- service delivery and measurable customer satisfaction.

The BCA will seek to achieve efficiency and quality in its operations by:

- ensuring that its employees properly understand the organisations objectives and operating procedures and adhere to them in this quality manual when performing their duties;
- providing adequate continued technical professional development and up-skilling opportunities to its staff;
- investing in and adopting the appropriate resources and technology for its operations;

- implementing the latest industry standards where appropriate, and improving its record management practices; and
- improving co-operation and communications between all stakeholders.

Quality Assurance Review

The Quality Assurance Policy will be reviewed at least annually, generally prior to the annual Quality Assurance System Management Review.

However, the Quality Assurance system may also be reviewed and modified at any time if circumstances within the working environment require a review of the policy in line with the new requirements.

Quality Objectives

The BCA defines appropriate Quality Assurance System (MS-03) objectives and achievable Key Performance Indicators (KPIs) that will be reviewed annually. These are recorded in Council's Long Term Council Community Plan and Annual Plan.

MS-03 Quality Assurance System

Purpose

The Quality Assurance System provides the means by which the Quality Assurance Policy and its purpose as described in MS-01 will be accomplished.

Roles and Responsibilities

All staff have responsibility to be involved in the development of appropriate quality assurance system procedures.

It is the responsibility of the Chief Executive to ensure that the Quality Assurance System is maintained in a way that has appropriate regard for current issues.

The Building Manager has responsibility for ensuring that all necessary technical aspects are appropriately included in the Quality Assurance System.

It is the responsibility of everyone in the organisation and contractors to understand the Quality Assurance System and adhere to the authorised procedures.

Procedure

Quality Assurance System Objectives

Quality Assurance System Objectives are to:

- outline and provide authorised policy and a quality standard document for internal auditing of procedures;
- enable the effective investigation and where appropriate, implementation of customer or management initiatives concerning quality;
- provide rapid formal identification of any procedure within the organisation;
- enable appropriate training of all staff;
- ensure the appropriate assigning of responsibilities and authority within the organisation including the respective delegation from the CEO; and
- provide confidence to existing or potential customers in the organisation's ability to perform and achieve quality standards to the BCA requirements.

Quality Assurance System Documentation

The Quality Assurance Manual consists of three sections:

- MS Management Section – describes quality principles, practices and management processes.
- TS Technical Section – describes building consent authority technical building control processes.
- Supporting Documentation

Control of Quality Assurance System documentation including review and approval of new documents, distribution, changes and modifications is detailed in the Document Control section (MS-04).

Scope of System

The provision of BCA functions as referred to in MS-01 and described in TS-01.1.

Notes

MS-04 Document Control

Purpose

To ensure the effective identification, collection, distribution, indexing, access, filing, storage, maintenance, removal, disposal or transfer of documents. A document is a form of recorded information.

Roles & Responsibilities

The Building Manager has the overall responsibility and authority for carrying out of this procedure, including:

- the generation and/or collection of documentation required to define and control building consent processes and to support inspection decisions;
- periodic review and, where appropriate, revision and re-authorisation of documentation;
- effective maintenance of the building consenting system including electronic templates and forms; and
- filing of any building consenting system(s)-related documentation and retention of it
- ensuring all information about building consent applications is identifiable and traceable back to the individual consent.

All employees and contractors handling records on behalf of the building consent authority have the day-to-day operational responsibility and authority to carry out this procedure as delegated.

Procedure

Records must be traceable, accessible, retrievable and stored securely. In order to be traceable, every record must include identification to relate it to other records. This includes giving every application for a building consent its own uniquely identified file.

All building consent applications are allocated with a unique 'consent number' that identifies the project throughout all stages of processing, inspections and compliance. This is generated in sequence as the application is entered into the computer system.

The consent number is recorded within the property file, which holds all documents relating to the project.

Other unique identification features may also be used to trace project information such as:

- Owner's or agent's name
- Project site address
- **Legal description**

The Building Manager shall ensure that all those types of records listed in the table below, and any other documents or records required to support the listed records, are stored in the location specified for the periods specified.

Table of Records

Record	Location	Retention Time
Improvement forms	Improvement file	3 years
Job Card	Relevant Property file	Life of Building
Product Information	Technical Library	Retained while relevant – archived when no longer current
Technical Information	Technical Library	Life of BCA
Building Consent Files – in progress	Relevant Property file	Life of Building
Building Consent Files - completed	Relevant Property file	Life of Building
Training and Staff Records - completed	Training Records file/Staff file	Life of BCA
Audit Reports	BCA Accreditation file – Central filing system	As per Council Records Policy
Management Review Minutes	BCA Accreditation file – Central filing system	As per Council Records Policy
Notice to Fix	Relevant Property file	Life of Building
Inspection Records	Job Card / Relevant Property file	Life of Building
Calibration Records	Location shown in Appendix 1	As per Council Records Policy
Revisions to QA Manual	BCA Accreditation file – Central filing system	As per Council Records policy

Building consent file documents

The BCA stores all relevant information about building consent applications in the job card/property file by ensuring the PIM number is identified on the information (or Valuation Number if it does not relate to a PIM/Building Consent), and placed on the Property file, or if electronic, linked to the the application.

Relevant information included on the property file and covered by this procedure includes, but is not limited to, the following:

- plans, specifications, reports, bracing and engineering calculations, producer statements, information relating to specified systems;
- copy of project information memorandum or resource consent (where applicable);
- processing check sheets and records of decisions made;
- consent conditions;
- inspection records, photographs and supporting as-built documentation (waterproofing, truss layout, specialist supervision, installation/test certificates, producer statements, etc);
- notices to fix, enforcement action, etc (if applicable);
- compliance schedule; and
- code compliance certificate.

Keeping of Records

Records will be maintained to demonstrate achievement of statutory and BCA requirements and provide evidence of the effectiveness of the BCA processes and efficient operation of the quality system.

Backups of Electronically Stored Records

Back-up versions of all electronic records are made by Invercargill City Council Information Technology Staff in accordance with the Shared Service Agreement between Invercargill City Council and Clutha District Council.

Availability of Records

Availability and access to BCA records will be in accordance with the Building Act, Local Government Official Information Act and Meetings Act and other statutory requirements. Access to records and meeting of costs associated with producing and copying records will be in accordance with Councils Schedule of fees and charges.

Content Control

The BCA Manager is responsible for the control of all documentation that may be used and/or retrieved from the computer system. The BCA Manager is responsible for the control of all documentation maintained in hard copy form.

Standard forms and letters can be altered only by the Building Manager.

All employees and contractors are informed of procedural changes, including details of the nature of the change.

Standards and specifications library

Up-to-date copies of technical information such as Standards, specifications, statutes and regulations must be readily available to all relevant employees and contractors.

To achieve this, the BCA provides access to electronic documents through the internet, and maintains a technical library.

Those documents that are updated have the removed from daily use, but kept in an archive area for reference purposes.

Website

The BCA's website is maintained by **Council's Webmaster** and changes authorised by the BCA Manager or Building Manager.

Quality Assurance Documents

The BCA's quality assurance system describes the processes and corresponding documentation used.

The BCA's quality assurance system documentation shall be identified by the following information:

- document title
- version number, and/or
- issue date.

The CEO approves the BCA's quality assurance system, and any amendments and/or revisions.

All employees and contractors may submit improvement requests to the Building Manager at any time. Improvement requests must be made in accordance with the process outlined in M-16.

The Building Manager holds the master copy (held on Disk) and is responsible for its maintenance and authorises amendments and document distribution. A single hardcopy will be held at the Admin desk, and it will be available to staff through the intranet. After approval of any amendment or amended documentation, the master copy (disk) will be amended, and amendments made to the hardcopy and the intranet. The BCA shall retain a copy of all revised and/or amended documentation for life of the BCA.

Every user is required to comply with the latest document update and to ensure any printed copies that they have become obsolete are immediately destroyed.

Notes

Building Act (2004) s.217

Clutha District Council Schedule of fees and charges

CDC – ICC Shared Service Agreement for Pathways

MS-05 Quality Planning and Objectives

Purpose

The BCA will undertake quality planning to ensure that it has established and documented appropriate objectives that are measurable, achievable and consistent with quality policy, strategic direction and legislative requirements.

This procedure covers the systematic planning of the BCA's long-term strategic and short-term plans, quality management system procedures, process descriptions, transactions, regulatory documents and the requirements of the building consent authority accreditation regime and related codes of practice and guidance information.

Roles & Responsibilities

Building Manager

The Building Manager is responsible for working with BCA staff to formulate objectives and targets for the BCA.

The Building Manager is also responsible for ensuring that the BCA has established effective programs for the development, monitoring and implementation of appropriate business and quality planning.

Procedure

A key strategic overview paper distributed to (TBA).

Detailed instructions and guidelines forwarded to (TBA):

financial

non-financial

Building Manager reviews and approves the key assumptions.

Draft plans (financial and non-financial) submitted for review by (organisation's name's) management.

Draft plans submitted

Council considers any substantial issues arising from the plan process

Notes

MS-06 Insurance and Risk Management

Purpose

To recognise the need for the BCA to have appropriate up-to-date insurance cover commensurate with the organisation structure and liability.

Roles and Responsibilities

The CEO is responsible for ensuring appropriate insurance cover is implemented.

Procedure

The liability of the BCA is limited by relevant statutes and laws of New Zealand.

Notes

MS-07 Organisational Chart and Position Descriptions

Purpose

To define the BCA's organisational structure and outline reporting lines and accountabilities together with the relationship of BCA with its parent organisation.

Roles and Responsibilities

The BCA Manager is responsible for:

formulating and maintaining an accurate organisational chart.

ensuring appropriate position descriptions that are compliant with the organisation's HR policy are developed and implemented for all positions within the BCA.

Procedure

The BCA's organisational chart identifies positions and reporting lines within the BCA. It also shows the BCA's relationship with other organisations, including the parent Territorial Authority.

Notes

(Organisational chart

Job descriptions held in Human Resources Office

MS-08 Roles, Responsibilities, Powers & Authorities

Purpose

To outline key roles, responsibilities, powers and authorities in relation to the management of the quality assurance system and the BCA's building control functions, and to ensure that the BCA has sufficient numbers of staff and contractors with the necessary capabilities and authorities to carry out these functions.

Each staff position has a job description specifying roles, responsibilities and authorities in relation to the management and achievement of the BCA's operations and quality system.

Position descriptions include requirements for education, training, technical knowledge and experience.

Individual position descriptions can found in the HR office.

Roles & Responsibilities

The Building Manager is responsible for:

- Ensuring that the roles, responsibilities, powers and authorities of employees and contractors are recorded accurately.

These are identified in job descriptions, delegations manual and warrants.

- These roles, responsibilities, powers and accountabilities are understood by staff and contractors.
- All work is undertaken by technically competent staff or contractors.

It is the responsibility of all other staff to ensure they only work within their appropriate and recorded levels of responsibility, authority and competency.

Procedure

The BCA must have sufficient numbers of staff and contractors who, collectively, have the range of technical expertise necessary to carry out the BCA's full functions as a BCA.

Key points considered when assessing employee/contractor requirements are:

- volume and type of work, including identification of any peaks and troughs in workload;
- timeliness of delivery of services;
- in-house competencies; and
- geographical considerations.

Technical capability and capacity will be determined using a skills matrix.

At all times there will be assigned technical leader/s with the authority and responsibility *to give or seek (including contracting external consultants to provide) specialist advice on technical issues where needed by Building Officers or other BCA Staff*. The technical leader/s will be appointed by the Building Manager on the basis of expertise in specialist fields or general competence and experience with a wide range of contacts among specialist staff.

The BCA may look to engage appropriately qualified, competent, and experienced people external to the organisation to fill identified capacity or capability gaps. Contracts or other formal arrangements to achieve this will be documented. (Refer to MS-20 for procedures relating to use of contractors.)

The Position Descriptions describe the roles and responsibilities for all critical roles within the BCA. Council's Delegations Manual outlines the positions given responsibility and authority to exercise Council's powers under specific items of legislation, and financial delegations (including Code of Financial Practice, staff authority for expenditure levels and tendering procedure)

Notes

Job descriptions	Human Resources Office
Delegations manual	Human Resources Office
Warrants of Appointment	copies in Human Resources Office
Southern Building Control Group Shared Service Agreement	
Agreements with Contractors	Location shown in Appendix 1

MS-09 Management Review

Purpose

To provide for the periodic review of the BCA's management system to ensure it supports the achievement of the BCA's objectives and functions and plans developed to remedy any areas identified as requiring improvement.

Roles and Responsibilities

The Building Manager is responsible for:

- reviewing the discharge of building control functions against the quality assurance system on an ongoing basis
- undertaking a review of the quality assurance system annually; and
- initiating improvement actions identified during management review meetings.
- scheduling and arranging management review meetings; and
- ensuring that any approved improvements are implemented within the timeframe specified.

Staff and contractors are responsible for implementing agreed improvement actions within the time frame specified.

Procedure

Management Review

The Quality Assurance System shall be reviewed at least once every 12 months for effectiveness and suitability. Interim management reviews will consider improvement actions or to plan changes to the quality assurance system in relation to the discharge of building control functions.

Items Considered in the Management Review's Terms of Reference

Items to be considered in the Management Review include but are not limited to the following:

- achievement of quality objectives and policies (identified in MS-03), and whether these need to be reviewed and or updated;
- analysis of internal audit and external assessment findings to identify trends;
- analysis of appeals/compliments/complaints to determine common causes or trends;
- changes in the organisational structure, responsibilities and authorities including any amendment to these; and
- other changes related to scope or volume of building control work, industry practices, system controls, legislation, or training requirements.

Actioning and Monitoring of System Changes

Outcomes of the management review will be recorded.

The management review may result in changes to be included in the organisation's Procedures, Quality Assurance Manual and/or forms. Such changes will be made through the formal document control procedure (MS-04).

Completion of any action(s) required shall be the responsibility of the Building Manager who shall also monitor the actions for completion.

Notes

MS-10 Changes to BCA Management and Staff

Purpose

To manage issues associated with changes to staff and management in a professional manner to ensure continuity of effective BCA function.

Roles and Responsibilities

The Building Manager is responsible for ensuring that all staff changes are effectively managed.

Procedure

Significant changes to management and staff within the organisation can lead to an unsettled period within the organisation. When changes do occur the BCA will adopt a strategy for dealing with the change.

This strategy will include but will not be limited to:

- setting clear goals for change in the management or staff position;
- understanding the main barriers that may arise when change occurs and implement ways to overcome them; and
- communicating the change priorities to staff and other stakeholders.

Notes:

MS-11 Office, Inspection, Measuring and Test Equipment

Purpose

To ensure that BCA Staff have appropriate office facilities and equipment to enable them to carry out their duties effectively.

To ensure inspection, measuring and test equipment used to demonstrate the conformance of construction to approved plans to specified requirements is controlled, calibrated and maintained.

Roles and Responsibilities

The Building Manager is responsible for ensuring that appropriate office facilities are available, and that appropriate equipment is provided for carrying out site inspections, that measuring equipment is properly calibrated and that appropriate test procedures are implemented.

Procedure

Office Facilities

Appropriate office facilities, including a desk, computer (if appropriate) and access to usual office equipment will be provided for all staff.

Identification and Records

A record of all such equipment, together with a record of all calibrations and maintenance will be kept. The location of the list of equipment provided to staff for carrying out site inspections is shown in Appendix 1. The location of calibration and maintenance records is also shown in Appendix 1.

Calibration/Equipment Accuracy Checks

Equipment for which calibration/equipment accuracy checks are critical to conformance decisions is identified and the acceptable level of precision and accuracy and frequency of checks, for this equipment will be determined and recorded.

The location of the calibration schedule can be found in Appendix 1.

Equipment Care

Appropriate equipment is to be handled, preserved and stored to ensure that accuracy and fitness for use are maintained.

Suspect or Faulty Equipment and Instruments

Council's Occupational Health and Safety Policy and Rules place an obligation on all Staff to report any condition or practice that may cause injury to people or damage equipment, to use, adjust and repair equipment only when authorised, and keep all equipment in good condition.

Suspect or faulty inspection, measuring and test equipment is to be clearly identified to prevent use and the procedure for improvement (MS-16) followed.

The Building Manager will determine the appropriate corrective action for measurements already completed when a suspect or out-of-calibration instrument/equipment has been identified. This will include:

- determining how much the measurement differential is out on the instrument/equipment in question;
- identifying the level of potential risk the measurement differential may pose to items checked by the faulty instrument/equipment;
- recalibrating the instrument/equipment and taking no further action if the measurement differential poses little or no risk; and
- identifying items measured using the faulty instrument/equipment and, where practicable, taking new measurements using an accurate instrument/equipment if the instrument/equipment measurement differential is significant and poses a risk to the integrity of the measurements taken.

Notes

MS-12 Communications

Purpose

To ensure that the BCA has effective and efficient communications with the various internal and external stakeholders involved in the delivery of building controls.

Roles and Responsibilities

- The Building Manager is responsible for ensuring all aspects of the Quality Assurance System are communicated to appropriate internal and external parties.
- The Building Manager is responsible for ensuring all relevant technical aspects of the BCA's operations are communicated to appropriate internal and external parties.
- All staff are responsible for using the communication methods as identified and listed in this procedure in carrying out the tasks and duties.

Procedure

All communications are to be conducted in accordance with the organisation's policies which include the following: (list, e.g. media relations; quality control; privacy advice, and provide link to organisational policies and procedures).

The BCA also provides a range of information to people wishing to apply for a building consent which covers the following:

- How to apply for a building consent;
- How an application for a building consent is processed;
- How building work is inspected; and
- How building work is certified.

This procedure is described in TS-03. Appendix 1 contains a list of all supporting information (including a list of the user guides provided by the BCA), and where this information is held.

To aid dissemination of appropriate information the organisation has a variety of methods, avenues and media type it uses within its greater communication requirements. These are coordinated by Council's Communications Officer.

BCA Group Management Meeting

The BCA Group Management team meets regularly to discuss relevant operational issues and update team on progress of specific tasks and projects. A basic standard agenda is followed with flexibility for additional items to be discussed.

Technical Management Meetings

The BCA Manager will convene regular Technical meetings with their Signatories and Building Control staff. Issues of a building technical nature such as building trends, new products, application techniques and processes are raised and discussed.

Staff Feedback

As part of the regular performance appraisal regime, the organisation initiates internal staff questionnaires to evaluate staff's perception of particular topics. Often as a result of these questions, internal processes, work conditions and staff/management relationships can be amended for the better.

Web Site

Clutha District Council's Web Site contains a comprehensive guide to who Clutha District Council is, the role it plays and its relationship with local communities and the people of New Zealand. It contains interesting facts regarding the organisation, and is an ideal place for new employees to study and get an overview of Clutha District Council, its functions and the Building Consent process as a whole.

Intranet

Clutha District Council has within its computer system, an Intranet. The Intranet runs 24/7 and provides quick and efficient network connections, important information, and is continually under development. The Intranet provides information on Customer Services, Human Resources, Information Services, Finance and Revenue, Business Processes, checklist and forms and internal phone lists etc.

Quarterly Newsletter

Clutha District Council produces a quarterly newsletter including an editorial from the CEO. The newsletter reports on important events that have happened within the past quarter, projected events in the future and local events sponsored by Clutha District Council, technical developments and changes in industry requirements.

Counter Handouts

A range of customer information is available at the Counter, including copies of the user guides referred to in Appendix 1.

Counter Staff

Counter staff are available during normal working hours to answer enquiries as detailed in TS-03. Building Officers and Building Manager can generally be seen without an appointment, although customers may need to wait until staff are available if they are occupied with other duties or outside the office. The particular Building Officer seen by a customer is at the discretion of the BCA, and depends solely on the duties assigned to the Officer.

Notes

Advertising and Media Communications Policy

User guides (location shown in Appendix 1)

MS-13 Human Resources Management

Purpose

To ensure adequate and effective human resources (HR) are available for the Building Consent Authority (BCA) to carry out an efficient and effective operation.

Roles and Responsibilities

The Chief Executive has the responsibility to:

- ensure adequate and appropriate resources are available for the BCA to carry out its functions in an effective and efficient manner; and
- all HR functions for the organisation are defined, developed and adhered to, including policy, procedures and development; and

The Building Manager has the day-to-day responsibility and authority to implement the appropriate HR systems and procedures for Building Control staff.

All staff have the responsibility to adhere to HR requirements as detailed within this documented procedure and the Council's HR policy and procedures.

Procedure

The BCA works within the Clutha District Council policies and procedures. This includes providing working facilities that ensure Occupational Health and Safety requirements are met.

The following are specific policies and/or procedures relating to HR

- | | |
|---|---|
| A. Accident Reporting, Recording and Investigation Policy | M. Resolution of employment relationship problems |
| B. Aggravated Robbery Policy | N. Sexual Harrassment |
| C. Advertising and Media Communications Policy | O. Smokefree Policy |
| D. Annual Leave Policy | P. Staff Code of Conduct |

E. Cell Phone Policy	Q. Staff Training Policy
F. Confidentiality	R. Termination of Employment
G. Email Policy	S. Time in Lieu Policy
H. Internet Policy	T. Uniform Policy
I. Occupational Safety and Health Policy and Rules	U. Vehicle Policy
J. Organisational Charts	V. Vision Policy
K. Performance Appraisal system	
L. Protected Disclosure Policy	W. Visitor Policy

Working facilities are provided that ensure Occupational Health and Safety requirements are met. All staff carrying out building control functions will be provided with the facilities and equipment needed to carry out these functions effectively. (Refer to MS-11 for specific procedures relating to inspection equipment and MS-04 for procedures relating to access to technical information.)

Notes

Contractors / Consultants agreement

Customer Complaints procedure (MS 21)

MS-14 Training Programme

Purpose

To develop employees' skills to effectively carry out the functions of the BCA.

In order to achieve this, the BCA will determine training needs necessary to maintain and extend employees performance in their role, ensure that training is evaluated and keep training records.

Roles and Responsibilities

The Building Manager shall identify the training needs of staff, communicate these requirements to their staff, and ensure appropriate training is available and implemented.

Procedure

Formal and Informal Training

The Building Manager shall periodically review the data in the skills matrix to determine whether or not changes to staffing levels or availability of specific competencies require upskilling of existing employees.

The Building Manager or the employee will identify a training need through an assessment of the BCA capability, or a need being identified during Performance Appraisals..

The Building Manager and the employee will agree to a training plan, which may include formal and informal training opportunities, on-the-job training, and other activities to maintain proficiency and to further extend capability as required.

Completion of training is recorded in the employee's training record.

The impact of the training on the employee's performance is evaluated by the Building Manager, and this is recorded on the training record, with feedback provided to the employee.

The Building Manager updates skills matrix, performance reviews, and training records.

Staff may not carry out unsupervised work until the Building Manager is satisfied that they are competent.

Training Plan

Training plans are developed to meet an employee's needs and support the (BCA's) requirement to efficiently and effectively undertake its building control functions.

Examples of Training

Induction training

Technical training in building control

Quality assurance awareness

Internal auditing training

Occupational health and safety training

Communications and presentation skills

BRANZ Certificate in Building Compliance for IQPs

BRANZ Certificate in Domestic Sprinkler Design

BRANZ Certificate in Building Controls

Barrier Free Training Seminar

Weathertight Design

Department of Building and Housing

New Zealand Institute of Building Surveyors

BOINZ Annual Training Seminar

OSH Seminars

Computer Training Skills

LGNZ Seminars

Standards New Zealand Committee

Undergraduate Studies

Post Graduate Studies

Diploma or Certificate Courses

Professional Reading

BCITO

Industry Training Association Building

Work Site

Performance Reviews

Performance reviews will be conducted in accordance with the BCA's HR policies and in line with the employee's employment agreement, and will help identify training needs.

Notes

Staff Training Policy	HR office
Staff Training Records	HR office
Performance Appraisal system	HR office

MS-15 Competency and Skill Assessments

Purpose

To ensure that the BCA has identified employees and contractors capable of carrying out required building control functions and provide a basis for enabling arrangements to be made for the implementation of means to address any identified technical limitations (e.g. through implementation of staff training programme, recruitment of staff or contractors procedures).

Roles and Responsibilities

The Building Manager is responsible for ensuring assessment of the competence and proficiency of all BCA employees who perform building control related functions and that the skills matrix is kept up to date. Staff competency and skills assessment will be undertaken by the Building Manager or other specialist in accordance with the procedure set out in TS-17.3.

The Building manager is also responsible for assessing and approving the competency of external contractors in accordance with the procedures set out in MS-20.

Procedure

The competency and skills assessment process will support the BCA to:

develop an objective view of its capability;

identify additional expertise required;

make good decisions about the allocation of work to employees and contractors;

identify gaps within the current workforce;

assess the competency of job applicants;

recognise training needs;

comply with accreditation standards and criteria; and

provide good records for audit purposes.

Ensure that competence of staff is regularly assessed.

When a warranted or delegated officer from another BCA is involved in the performance of tasks, the BCA skills assessment will be conducted in accordance with application of the BCA's skills assessment matrix and related procedures pertaining to the BCA's own staff will be applied.

Notes

MS-16 Improvement

Purpose

To ensure opportunities for improvement are developed to provide short-term solutions (corrective action) and long-term root cause solutions (preventive action), for example:

- Employee and contractor suggestions
- Customer complaints and compliments
- Internal system failures
- Product and service non-conformance
- Supplier and sub-contractor problems
- Procedure changes and improvements
- Internal audits and external assessments

Corrective action is defined as action required providing immediate short-term solutions.

Preventive action is defined as action derived from pro-active identification of potential issues before they occur.

Roles & Responsibilities

All employees and contractors have a responsibility and authority to raise improvements. These can occur when non-conforming services, systems, processes or procedures are discovered, or an opportunity for improvement is identified.

The Building Manager has the overall responsibility and authority to record and respond to improvements, to verify the effectiveness of corrective and preventive actions, and to provide appropriate reports for the management review meeting (See MS-09).

Building Manager has the day-to-day responsibility and authority to maintain improvement record files.

Procedure

Improvement Opportunity Identified

The originator of the improvement opportunity should raise an improvement form.

The Building Manager Reviews the Improvement

If the improvement is accepted, the Building Manager approves it.

If the improvement is not accepted, The Building Manager will enter an explanation into the improvement system including the reason for rejection. The improvement is then referred back to the originator. The originator should have the opportunity to modify the improvement if appropriate.

The modified improvement may be resubmitted for consideration.

The Building Manager Allocates a Priority

The Building Manager then allocates a priority and a target date for the development and implementation of the improvement.

The Building Manager Identifies Improvement Corrective/Preventive Actions

The corrective action should provide short-term solutions, addressing the actions required to correct the immediate problem. The preventive action will prevent re-occurrence of the problem or maximise the return from the opportunity.

Assign Employees and/or Contractors to Implement Corrective Actions

The Building Manager assigns a named individual to be responsible for the implementation of the corrective action.

Building Manager verifies Corrective and Preventive Action

The Building Manager is to carry out a 'mini' audit of items completed on the improvement form to verify a solution has been developed. What is checked is to be recorded in the quality assurance verification section.

Building Manager Reviews Corrective/Preventive Action

If a review shows the corrective/preventive action is not satisfactory, The Building Manager will raise a new improvement form.

If the corrective/preventive action is satisfactory, the Building Manager will sign and date the improvement form.

Notes

Complaints and health and safety are subject to separate procedure.

M-16.1 Improvement Form

To be inserted

MS-17 Conflict of Interest and Integrity

Purpose

To ensure that BCA staff and consultants do not carry out any functions or duties where they have a personal interest or a conflict of interest and, if practicable, avoid the perception of this being the case.

Roles & Responsibilities

All employees and contractors have a responsibility for identifying and advising the Building Manager of any situations where a conflict of interest exists or could be perceived to exist in fulfilling their functions, roles and responsibilities.

The Building Manager is responsible for ensuring that a strategy for dealing with all actual and perceived conflicts of interest is developed and implemented.

PROCEDURE for CONFLICT OF INTEREST

Functions where staff and contractors must have particular regard for identifying real or perceived conflict of interest include but are not limited to:

processing a Building Consent application;

inspecting and building or building work; and

signing off any certificates.

Situations where a conflict of interest can be considered to exist include where a staff member or contractor has direct involvement, or a close personal relationship with a person or group of persons who have direct involvement, in the following:

ownership of the property involving the building works

lease of the building involving the building works, or

designing or carrying out any of the building works.

Conflict of interest may also occur where staff or contractors have been associated with legal proceedings involving an applicant that do not relate to Council activities.

Where a conflict is identified either an alternative staff member or an external consultant shall carry out the work. The staff member/contractor with the conflict of interest will be informed of this.

Notes

MS-18 Internal Audit

Purpose

To perform a series of regular internal audits/reviews to ensure the CDC BCA quality assurance system remains suitable and effective, and complies with any regulatory requirements.

Roles and Responsibilities

The Building Manager is responsible for:

- planning for scheduled and unscheduled internal audits;
- ensuring internal auditors are trained and assigned;
- reviewing the audit outcomes of the audit and ensuring that corrective actions take place;
- verifying that corrective action has been taken in a timely and effective manner; and
- communicating audit results to staff and contractors

Internal auditors are responsible for:

- performing internal audits; and
- drawing the results of audits to the attention of the Building Manager.

Procedure

General Guidelines

Internal audits verify that the building consent authority's systems, documented processes and quality assurance systems are implemented and maintained effectively, and continue to comply with the organisation's documented policies, processes and procedures, and all relevant regulatory requirements.

Internal audits are conducted by suitably qualified employees or contractors. Individuals must not audit work or activities that they performed or were involved in.

Scheduled Audits

A sample of procedures will be audited on a regular basis. Additional audits may be required to verify implementation of corrective actions or recommendations identified in previous audits.

Unscheduled Internal Audits

Unscheduled audits may occur because of, but are not limited to:

- An internal complaint about the system
- A customer or external complaint about the system
- Related problems found when auditing another area
- The detection of serious deficiencies by the building consent authority accreditation body, the Department of Building and Housing, or any other government agency.

Conducting the Internal Audit

The auditor shall examine samples of objective evidence for compliance and make relevant notes about all samples reviewed. Evidence of non-compliance shall be recorded and reviewed at the end of the audit before the findings are presented to the Building Manager.

Audit Findings Classifications

The internal auditor will record their findings using the following classifications:

Observations – An isolated lapse of completion or non-conformity which will not have an immediate impact on quality but if left incomplete may create a risk to meeting objectives.

Minor Non-conformance – A more significant non-conformity or lapse which will not have an immediate impact on quality but if left incomplete may create a risk to meeting objectives.

Major Non-conformance – A significant lapse or non-conformity which may have an immediate impact on quality and requires immediate attention.

Critical Non-conformance – A lapse that requires immediate attention and which, if not rectified, will result in Council being in non-compliance with legal requirements or will place employees' or contractors' safety at risk.

There shall also be a fifth category of reported instance:

Compliment – This is an example of best practice or excellent performance, which should be drawn to the attention of other employees or contractors in the team.

Internal Audit Reporting

All internal audit notes, data, files, and other relevant information are recorded and filed in the BCA Accreditation file within the Council central filing system. This will enable easy retrieval for verification and close-out of identified corrective actions and recommendations.

Improvements

Minor or major non-conformances should be entered into the improvement system.

Close-out of a Improvement

Timely and effective close-out of a improvement as the result of internal audit ensures that identified non-conformance does not re-occur.

Notes

MS-19 Identification and Traceability

This has been incorporated into MS-04.

MS-20 Contractors

Purpose

To ensure appropriate utilisation and management of contractors and external consultants in situations where the required technical competencies cannot be provided in-house or extra resources are required to manage workflow/workloads.

Roles and Responsibilities

Building Manager

The Building Manager is responsible for evaluating and appointing external service providers. External assistance may be required to assess and ensure proposed contractors are suitably competent to perform identified tasks.

Procedure

External Technical Consultant

The BCA will maintain a register of contractors whose competency has been assessed by the BCA. Such assessment will be in accordance with TS-17.2 or TS-07 as appropriate. The BCA will regularly monitor and review contractor's performance and reassess their competence.

The Building Manager must assess the external consultant's suitability on a case-by-case basis, and will have regard for the qualifications, experience and reputation of the consultant. The Building Manager must be confident that the consultant is suitable for, and capable of, performing the required tasks. A formal agreement must be documented and will include:

- The scope of work required
- Requirements for timing and quality.

The Building Manager must be satisfied that the consultant:

- is clear about what the project task covers (i.e. understands the project brief);
- is competent to review or inspect the work described, (has the necessary technical competencies, and has appropriate qualifications and experience); and
- has an appropriate level of professional indemnity insurance (if applicable/desired).

Documentation demonstrating this assessment and satisfaction will be kept. The Officer authorising the work shall be responsible for assessing the work of the Contractor, and ensuring that the advice provided meets the project brief and requirements for timing and quality.

Evaluation of Existing Contractor

This will be carried out as for new contractors, progressively over the first two years following implementation of this system. After the initial two year period has lapsed, no existing contractors will be used unless they have been satisfactorily assessed as detailed for new contractors.

Quality Assurance System Requirements

When the contractor is supplying specialist expertise on a case-by-case basis (eg, a structural engineer), the contractor must work within the BCA's quality assurance system procedures.

When the contractor fulfils all or a larger portion of the building consent authority's functions (eg, a contractor performing processing and/or inspections on behalf of the building consent authority), the contractor will have their own quality assurance system processes and procedures they will work within. These processes and procedures will be of a standard in accordance with BCA accreditation requirements and will be subject to assessment and ongoing monitoring by the building consent authority accreditation body.

Notes

Register of Contractors

Building Manager office

MS-21 Customer Complaints

Purpose

To ensure that the BCA handles in a professional manner all complaints which are related to the way in which services are provided to customers.

Complaints that are concerned with breaches of the Building Act and related technical issues will be dealt with as outlined in TS-42.

Roles and Responsibilities

All employees and contractors have the responsibility for receiving customer complaints and referring these to the BCA Manager where appropriate.

The Building Manager has the overall responsibility to ensure appropriate response to customer complaints.

The CEO has the responsibility of dealing with complaints if they are escalated (eg, due to the customer raising the issue further by arguing that the complaint has not been satisfactorily dealt with).

Procedure

What is a Complaint?

A complaint is when a customer informs the BCA either verbally or in written communication, that they are not happy with one or more of the following:

- standard of service they have received;
- failure of the BCA to do something it has agreed to do; and/or
- way they have been treated.

Complaints may be received

- in person;
- by phone or facsimile;
- via email;
- via a written submission; or
- by completing customer complaint form from the web site.

Complaints Policy

The BCA is committed to providing effective, efficient and fair services. We care about what we do and we are constantly looking for ways to improve. We want to provide the customer with efficient, effective and fair service. If the customer feels they have received poor service then Council would like to know about it. The BCA wants the opportunity to put matters right.

Receiving a Complaint

The BCA aims to resolve the complaint upon receipt. If this is not possible, the employee or contractor initially dealing with the complaint must gather the following information:

(i) the contact details of the complainant, including:

- Name
- Address
- Telephone numbers(home, work and mobile)
- Email

(ii) the name of the person or service the complaint is about

(iii) details of the complaint, including:

- When the complaint was first made
- Who was dealing with the issue/service
- What the complaint is about
- Why the complaint is being made/details
- What action the customer would like taken to see the matter put right
- Attach any copies of correspondence relating to the complaint (including telephone and discussion notes).

The complaint is logged into the Council's Service Request system, and assigned to the most appropriate employee or contractor to investigate.

The employee or contractor to whom the complaint is first directed will investigate and attempt to resolve the complaint within 3 days.

If the complaint is not successfully dealt with to the satisfaction of the customer within the assigned time frame, it must be regarded as escalated and assigned to the CEO for resolution.

Resolution of the Complaint

Once the customer complaint has been dealt with and resolved, the complaints register is completed recording the resolution results of the complaint and detailing the appropriate action taken.

Notes