

Attachment B

QLDC Response Plan to IANZ April 2016 Assessment

Introduction

This Response Plan has been prepared to document the QLDC response to the IANZ Building Consent Authority Accreditation Assessment Report dated 27 April 2016. This Plan comprises the key 'Actions Required' and outlines an overall plan to deal with the CARs and Recommendations made in the assessment report.

Immediate Actions

In the time available since receiving the report, it has not been possible to address all of the items identified as some will take some time to change and implement fully. It has been necessary to focus on the immediate changes that can be made that are consistent with best practice, and to identify other changes that will take more time to put in place. The schedules attached to this report therefore provide responses to each of findings listed in each of the ten CARs, as well as the recommendations from the report. Those responses are grouped under the following headings:

- Immediate actions implemented
- Evidence to be provided by 15 July

Longer Term Actions

It is agreed that changing forms and checklists of themselves will not ensure that long term sustainable improvements are made to the Building Control systems in place for the QLDC BCA. While the focus since receiving the IANZ report has been on making some immediate improvements, the attention will now turn to addressing the longer term changes needed to ensure that the BCA is able to meet its ongoing accreditation requirements. A number of changes and actions are planned in order to address those longer term changes, in addition to the immediate changes shown, as follows:

- John Woest, an external consultant who has assisted a number of other BCAs to achieve and maintain accreditation through improving their systems and processes, has been engaged to assist with the review of the Quality Management System. He will be working closely with the BCA Team to systematically review, update and improve the systems and processes. He has been engaged for the period from 23 May 2016 through to the programmed October 2016 reassessment, at which time any ongoing need will be assessed.
- Additional external resources have been engaged in to assist in managing the increased numbers of consents that have been received in the last 12 months

in order to get the processing times back down below the statutory 20 working day requirement.

- Council are considering an additional 6 FTEs for Building Control as part of their 2016-17 Annual Plan process, and have indicated a strong commitment to providing those resources. Final decisions on how those extra FTEs are allocated across the BCA are still to be made but will cover the processing, inspections, auditing and training roles to ensure that the workload issues are addressed and the BCA's quality management system integrity is substantially enhanced.
- There will be a greater focus on developing and maintaining the BCA's quality management systems to give surety about its processes and systems, and compliance with the Building Act and accreditation requirements. This will in part be enabled through the appointment into a dedicated QMS role that will be created.
- A greater training focus will be introduced with the BCA adopting more of a training organisation approach to the task of training new staff to meet the competency requirements. This is in recognition that QLDC, like BCA's across the country, are unable to recruit fully qualified staff for those roles given the nationwide shortage, and that training and competency assessments need to be an integral part of the way the business is run.
- To assist in improving processing times and to reduce costs of the BCA (which are then passed onto the industry) changes to the application acceptance process including:
 - Updating and improving advice notes and material available to the public and the industry to clarify and demonstrate the minimum standards of applications and associated documentation which will be required before an application can be accepted
 - Introducing a new application vetting step to ensure that applications received contain the necessary information to an appropriate standard before they are accepted for processing
- Working with the industry to explain the requirements of IANZ, the changes being made as a result and the changes that the industry will also need to make to help in the smooth processing of applications and subsequent inspecting functions

Conclusion

The CARs identify a number of matters that relate to the BCA's internal policies and approaches, while others relate to external factors that also need managing. The number of CARs and the fact that similar ones were raised last time highlights the need to take sustained action to improve the BCA systems and processes. There has been significant growth in building consent applications and requirements in recent years and the BCA has been focussed on delivering those services to the industry and the community. The focus and resources now also need to turn to the continuous quality assurance work that is an integral part of the requirements of ongoing accreditation.

This Response Plan, and the actions outlined in it, will enable the Queenstown Lakes District Council BCA to significantly improve its systems and approaches to a standard that will ensure ongoing accreditation.

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QLDC Response Plan



Prepared by the Queenstown Lakes District Council

to the IANZ Building Consent Authority Accreditation Report 27 April 2016

1. Corrective Action Request 1

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
1	<p>Regulation 5 - Requirements for policies, procedures, and systems</p> <p>The policies, procedures, and systems required by these regulations must be (a) written or electronic; and (b) appropriate for their purposes</p>	<p>Regulation 6 - Building consent authority's observance of policies, procedures, and systems</p> <p>A building consent authority must record: (a) the means by which it ensures that it implements effectively the policies, procedures, and systems required by these regulations;</p>	<ol style="list-style-type: none"> The procedure for receiving appeared to be insufficient as some incomplete, incorrect or poor quality applications were observed to be accepted. These included applications where insufficient detail regarding specified systems had been provided. Other applications were observed to be made using copies of old plans where it was unclear what was new work and what work was part of a previous application. Little guidance regarding the required minimum quality of applications was provided to applicants. No minimum for acceptance had been set by the BCA making it difficult for staff to decide whether the application could be refused. The processing checksheets referred to long out of date Building Code requirements and the processing checklist sections regarding Waivers and Alternatives Solutions also required updating. The procedure for issue of Building Consents did not include required detail regarding the information about Compliance Schedules and Specified Systems that needed to be provided on the Building Consent. Evidence of not having a sufficiently robust procedure included some building consents that incorrectly stated that a Compliance Schedule was not required for the building when there was a requirement for a Compliance Schedule. Others did not include the statement "A Compliance Schedule is/is not required for this building". The procedures for inspection did not ensure that all previously failed inspection items were cleared before passing the next inspection. Procedures for issue of Code Compliance Certificates did not ensure that Form 6s were fully complete before acceptance including the date the work was completed and details regarding Specified Systems. Some applications for CCC had been accepted even though they were incomplete. The procedure for issue of Code Compliance Certificates did not ensure that all required information was provided and recorded as having been received before issue of CCC. Evidence of not having a sufficiently robust procedure included some examples where all of the required information had not been provided, yet CCC had been issued. CCCs with specified systems did not list the Compliance Schedule as an attachment as required by the Forms Regulations. The procedure for issue of Notices to Fix did not ensure that appropriate delegation for their issue had been provided. 	<p>Action required:</p> <p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

1.1 QLDC Response Plan to CAR 1

IANZ Finding for CAR 1	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>1. The procedure for receiving appeared to be insufficient as some incomplete, incorrect or poor quality applications were observed to be accepted. These included applications where insufficient detail regarding specified systems had been provided. Other applications were observed to be made using copies of old plans where it was unclear what was new work and what work was part of a previous application. Little guidance regarding the required minimum quality of applications was provided to applicants. No minimum for acceptance had been set by the BCA making it difficult for staff to decide whether the application could be refused.</p>	<ol style="list-style-type: none"> 1. New Building Officer started 9 May to vet all residential applications within the 2 day timeframe as per the procedure before it is formally received, under supervision of Team Leader Processing 2. TS04 – Procedure for receiving applications has been reviewed and updated Attachment Car 1.1.2 TS04 Car 1.1.2 CI#155 TS04 	<ol style="list-style-type: none"> 3. Reviewed and updated guidance material to be available to applicants
<p>2. The processing checksheets referred to long out of date Building Code requirements and the processing checklist sections regarding Waivers and Alternatives Solutions also required updating.</p>	<ol style="list-style-type: none"> 1. Check sheet CS19.1 updated Attachment Car 1.2. 1 CI #154 CS19.1) 2. New processing forms have been completed <ol style="list-style-type: none"> a. CS19.3 Residential Attachment Car 1.2.2 (a) CI #148 CS19 3 b. CS19.5 Commercial Attachment Car 1.2.2 (b) CI #148 CS 19.5 3. Training given by Team Leader Processing on how to use the forms 4. All new forms included in QMS manual 	
<p>3. The procedure for issue of Building Consents did not include required detail regarding the information about Compliance Schedules and Specified Systems that needed to be provided on the Building Consent. Evidence of not having a sufficiently robust procedure included some building consents that incorrectly stated that a Compliance Schedule was not required for the building when there was a requirement for a Compliance Schedule. Others did not include the statement “A Compliance Schedule is/is not required for this building”.</p>	<ol style="list-style-type: none"> 1. IT System changes made to ensure this is mapped and part of the process 2. Procedure has been changed (CI NO) to include the wording that is required by prescribed form 5, and the forms have been updated Attachment Car 1.3.2 Issued building consents 3. Training has been provided to entering staff 	<ol style="list-style-type: none"> 4. A new audit process for issuing Building Consents will be completed on weekly basis to ensure compliance
<p>4. The procedures for inspection did not ensure that all previously failed inspection items were cleared before passing the next inspection.</p>	<ol style="list-style-type: none"> 1. TS-30 Inspections Attachment (Car 1.4.1 TS 30) 1. Training of staff on new procedure has been undertaken 	<ol style="list-style-type: none"> 2. Auditing of new procedure undertaken
<p>5. Procedures for issue of Code Compliance Certificates did not ensure that Form 6s were fully complete before acceptance including the date the work was completed and details regarding Specified Systems. Some applications for CCC had been accepted even though they were incomplete.</p>	<ol style="list-style-type: none"> 1. Procedure TS 33 1.1 changed to read “An Application for Code Compliance Certificate (form 6) must be fully completed including SBGC 27 & specific systems forms consent” Attachment Car 1.5.1 TS 33 2. Advice has been given to all administration staff of the new procedure Attachment Car 1.5.2 Advice on New Procedure 	<ol style="list-style-type: none"> 3. Included in in the new weekly audit process by the Team Leader Admin

IANZ Finding for CAR 1	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>6. <i>The procedure for issue of Code Compliance Certificates did not ensure that all required information was provided and recorded as having been received before issue of CCC. Evidence of not having a sufficiently robust procedure included some examples where all of the required information had not been provided, yet CCC had been issued. CCCs with specified systems did not list the Compliance Schedule as an attachment as required by the Forms Regulations.</i></p>	<p>1. Procedure and forms under review and seeking examples from other BCAs</p>	<p>2. CS33 form to be reviewed and updated to ensure that all information has been received before the issue of a CCC.</p> <p>3. Training to be undertaken</p> <p>4. Checking to be included in weekly audit</p>
<p>7. <i>The procedure for issue of Notices to Fix did not ensure that appropriate delegation for their issue had been provided.</i></p>	<p>1. All delegations across Building Control functions have been reviewed and updated Attachment Car 1.7.1 Building Act Delegations</p>	

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2. Corrective Action Request 2

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
2	<p>Regulation 6 - Building consent authority's observance of policies, procedures, and systems</p> <p>A building consent authority must record: (a) the means by which it ensures that it implements effectively the policies, procedures, and systems required by these regulations; and</p>	<p>Regulation: 17 (2) (h) - Assuring Quality - Internal Audits</p> <p>The quality assurance system must cover the following: (h) the procedure for ensuring that an internal audit of every building control function occurs within 12 months of the completion of the last internal audit of the function;</p>	<p>QLDC BCA had elected to demonstrate its effective implementation of its systems, policies and procedures using internal audits however some regulations had not been audited during the last 12 months.</p> <p>1. Employee compliance with the BCA's quality assurance system was monitored using technical audits. A number of these had been undertaken however many of the shortfalls identified during this assessment were not noted in these audits.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in ensuring effective implementation of its policies, procedures, and systems.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

2.1 QLDC Response Plan to CAR 2

IANZ Finding for CAR 2	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>QLDC BCA had elected to demonstrate its effective implementation of its systems, policies and procedures using internal audits however some regulations had not been audited during the last 12 months.</p> <p>Employee compliance with the BCA's quality assurance system was monitored using technical audits. A number of these had been undertaken however many of the shortfalls identified during this assessment were not noted in these audits.</p>	<ol style="list-style-type: none"> Evidence of audits done in last 12 months is attached (Attachment Car 2.1) Continuous auditing of new staff by Team Leaders Processing and Inspections underway 	<ol style="list-style-type: none"> A programme for planned audits will be provided. Quality Assurance function will be included within a new role to ensure on going auditing is carried out

3. Corrective Action Request 3

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
3	<p>Regulation 6 - Building consent authority's observance of policies, procedures, and systems</p> <p>A building consent authority must record: (b) the decisions it makes under the policies, procedures, and systems required by these regulations; and (c) the reasons for the decisions; and (d) the outcomes of the decisions</p>	<p>Regulation 7 (2) - Performing building control functions</p> <p>1. A building consent authority must have policies and procedures for performing its building control functions.</p> <p>2. The policies and procedures must cover the following: (d) For applications that comply with the requirements that the Act and any applicable regulations under the Act specify for applications, (iv) processing the applications; and (e) planning, performing, and managing inspections; (f) issuing and refusing to issue code compliance certificates, compliance schedules, and notices to fix</p>	<p>1. Recording of the reasons for processing decisions was found to be inconsistent, varying between good reasons for decisions being recorded and no reasons being recorded.</p> <p>2. There was generally minimal recording of inspection decisions. In some cases subsequent inspections had been passed without evidence of previously failed items being addressed.</p> <p>3. Received Producer Statements were of an inconsistent quality yet all appeared to have been accepted without appropriate reasons for those decisions being recorded.</p> <p>4. CCCs were observed to have been issued when the records indicated that insufficient information had been received to justify their issue.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in ensuring that it records its decisions, reasons for decisions and outcomes.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

3.1 QLDC Response Plan to CAR 3

IANZ Finding for CAR 3	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>1. Recording of the reasons for processing decisions was found to be inconsistent, varying between good reasons for decisions being recorded and no reasons being recorded.</p>	<ol style="list-style-type: none"> 1. Reviewed and updated CS19.1, 19.3 and 19.5 with reasons for each decision being required 2. Training session held on 11 May to explain requirements 	<ol style="list-style-type: none"> 3. Audits to ensure reasons are recorded to be undertaken
<p>2. There was generally minimal recording of inspection decisions. In some cases subsequent inspections had been passed without evidence of previously failed items being addressed.</p>	<ol style="list-style-type: none"> 1. Attachment TS-30 Inspections (Car 3.1 TS 30) 2. Training session held on 11 May to explain requirements 	<ol style="list-style-type: none"> 3. Audits to ensure inspection decisions are recorded to be undertaken
<p>3. Received Producer Statements were of an inconsistent quality yet all appeared to have been accepted without appropriate reasons for those decisions being recorded.</p>	<ol style="list-style-type: none"> 1. New form developed CS7.2 to provide further information to applicants and clearly identify PS3 & PS4 Producer Statements to be provided at CCC application Car 3.3.1 CS7.2 2. Overview training on Producer Statements has been given 	<ol style="list-style-type: none"> 3. To develop a Producer Statement Checklist for use by staff 4. Training to be given on forms PS1 to PS4
<p>4. CCCs were observed to have been issued when the records indicated that insufficient information had been received to justify their issue.</p>	<ol style="list-style-type: none"> 1. Procedure and forms under review and seeking examples from other BCAs 	<ol style="list-style-type: none"> 2. CS33 form to be reviewed and updated to ensure that all information has been received before the issue of a CCC. 3. Training will be required and audits undertaken to record sufficient information is received to issue CCC

4. Corrective Action Request 4

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
4	<p>Regulation 8 - Ensuring enough employees and contractors</p> <p>1. A building consent authority must have a system for ensuring that it has enough employees and contractors to perform its building control functions.</p> <p>2. A building consent authority must have a system for assessing the need to employ contractors if it does not have enough employees to perform its building control functions</p>	<p>Regulation 7 (2) (d) - Performing building control functions</p> <p>1. A building consent authority must have policies and procedures for performing its building control functions.</p> <p>2. The policies and procedures must cover the following: (d) For applications that comply with the requirements that the Act and any applicable regulations under the Act specify for applications, (v) granting, refusing to grant, and issuing building consents; (f) issuing and refusing to issue code compliance certificates, compliance schedules, and notices to fix</p>	<p>1. Records showed that Building Consents had not been consistently issued within the statutory 20 working days.</p> <p>2. The BCA was unable to provide up to date reports regarding its compliance with the requirements to issue CCCs within 20 working days as TechOne was unable to provide appropriate reports. This meant that the BCA could not easily monitor its compliance with CCC statutory timeframes.</p> <p>3. Other building control and supporting functions had not been carried out or had been carried out incorrectly. This included the "un-lapsing" of appropriately lapsed consents</p>	<p>Please develop and implement appropriate systems to ensure that the BCA employs sufficient employees and contractors, with appropriate competence, to fulfil its building control and supporting functions.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

4.1 QLDC Response Plan to CAR 4

IANZ Finding for CAR 4	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>1. Records showed that Building Consents had not been consistently issued within the statutory 20 working days.</p>	<ol style="list-style-type: none"> 1. Two new contractors have been employed to process commercial and residential applications from 9 May 2. Additional new BCO started on 2 and another one on 9 May 3. Updated Building Control Recruitment Plan in place Attachment (Car 4.1.3 Building Control Recruitment Plan 2016) 	<ol style="list-style-type: none"> 4. Confirmation by the Council on the proposal to increase staffing numbers by up to 6 FTEs will be known by the end of June 5. Additional FTE's shown on new BCA organisational structure
<p>2. The BCA was unable to provide up to date reports regarding its compliance with the requirements to issue CCCs within 20 working days as TechOne was unable to provide appropriate reports. This meant that the BCA could not easily monitor its compliance with CCC statutory timeframes.</p>	<ol style="list-style-type: none"> 1. New TechOne report now commissioned to show the utilised days for the issue of Code Compliance Certificates, to be run on a weekly basis. Attachment Car 4.2.1 CCC Report 	
<p>3. Other building control and supporting functions had not been carried out or had been carried out incorrectly. This included the "un-lapsing" of appropriately lapsed consents</p>	<ol style="list-style-type: none"> 1. Data com booking system now configured to alert when an inspection is requested if the "stage/ decision" on Tech One is lapsed and no inspection will be able to be booked. Attachment Car 4.3.1 Evidence of lapsed consents 2. Procedure TS25.3 and TS 33 has been changed to reflect the change of procedure Attachment Car 4.3.2 TS25.3 & TS33 3. Removed Lapsed Consent paragraph from the 23 Month reminder letter as this was seen as a double up from the 11 month Lapsed reminder letter (Attachment Car 4.3.3. Letter attached) 	

5. Corrective Action Request 5

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
5	<p>Regulation 7 (2) (f) – Performing building control functions</p> <p>1. A building consent authority must have policies and procedures for performing its building control functions.</p> <p>2. The policies and procedures must cover the following: (f) issuing compliance schedules</p>		<p>1. Many issued Compliance Schedules did not fully the requirements of the Act. Some did not include details of the make and where known model of the specified systems or the location of the systems. In some cases specific inspection, maintenance and reporting requirements of the specified systems were not fully listed on Compliance Schedules as provided by the applicant.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems for preparing and issuing of Compliance Schedules and associated documentation.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

5.1 QLDC Response Plan to CAR 5

IANZ Finding for CAR 5	Immediate Actions Implemented	Evidence to be Provided by 15 July 2016
<p>1. Many issued Compliance Schedules did not fully the requirements of the Act. Some did not include details of the make and where known model of the specified systems or the location of the systems. In some cases specific inspection, maintenance and reporting requirements of the specified systems were not fully listed on Compliance Schedules as provided by the applicant.</p>	<ol style="list-style-type: none"> 1. New SBCG27R Residential specified system form developed. Attachment Car 5.1.1 New SBCG27R) 2. Training undertaken for Building Officers and issuing staff to not accept Specific Systems forms that are not complete 3. Each Commercial CS is now being checked by Team Leader Administration for completeness before issuing Attachment Car 5.1.3 Issued Compliance Schedule 	<ol style="list-style-type: none"> 4. Weekly audit of all CCC's now being done by Team Leader Administration 5. CS33 check sheet will be updated to ensure that it covers all of the information required before issuing 6. SBCG SS1-16 Specified Systems Forms will be updated to ensure that it covers all current requirements.

6. Corrective Action Request 6

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
6	<p>Regulation 9 - Allocating work to competent employees or contractors</p> <p>A building consent authority must have a system for allocating its building control function work to employees or contractors who are competent to do the work</p>	<p>Regulation 10 - Establishing and assessing competence of employees</p> <p>2. A building consent authority must have a system for regularly assessing the competence of its employees performing building control functions.</p> <p>3. The competence assessment system must cover the following:</p> <p>(a) employees' understanding of the philosophy and principles of building design and construction; and</p> <p>(b) employees' understanding and knowledge of building products and methods; and</p> <p>(c) employees' knowledge and skill in applying the Act, the building code, and any other applicable regulations under the Act; and</p> <p>(d) employees' ability to:</p> <p>(i) process applications for building consents; and</p> <p>(ii) inspect building work; and</p> <p>(iii) certify building work; and</p> <p>(e) employees' ability to communicate with internal and external persons; and</p> <p>(f) employees' ability to comply with the building consent authority's policies, procedures, and systems</p>	<p>1. There were several examples of inspections that had been carried out by the two new staff members without direct supervision. These inspectors were yet to have their competence assessed (and therefore were not on the skills matrix).</p> <p>2. Competence reviews for two staff members were overdue.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in its competence assessments.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

6.1 QLDC Response Plan to CAR 6

IANZ Finding for CAR 6	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>1. There were several examples of inspections that had been carried out by the two new staff members without direct supervision. These inspectors were yet to have their competence assessed (and therefore were not on the skills matrix).</p> <p>2. Competence reviews for two staff members were overdue.</p>	<p>1. Current skill matrix attached for all staff Attachments Car 6 Supervision Lee Finals Car 6 Supervision Jonathan finals Car 6 Inspection supervision record Lee Car 6 Inspection supervision record Jonathan Car 6 Skills Matrix</p>	<p>2. Competency assessments for all staff have been brought forward to 30 and 31 May, with the assessment to be undertaken by an external contractor</p>

7. Corrective Action Request 7

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
7	<p>Regulation 11 - Training employees</p> <p>1. A building consent authority must have a system for training its employees who perform the authority's building control functions by doing a technical job.</p> <p>2. The system must cover the following: (a) making regular training needs assessments; and (b) preparing training plans that specify the training outcomes required; and (c) ensuring that employees receive the training agreed for them; and (d) monitoring and reviewing employees' application of the training they have received, including by observing relevant activities; and (e) supervising employees under training; and (f) recording employees' qualifications, experience, and training; and (g) recording continuing training information.</p>		<p>There was no record available of consideration of organisational training needs.</p> <p>Training plans had not been recorded.</p> <p>Planned training had not been provided.</p> <p>There were no records of monitoring of the effectiveness of training.</p> <p>Professional development was not consistently recorded.</p> <p>The procedure for supervision had not been followed.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems for training employees.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

7.1 QLDC Response Plan to CAR 7

IANZ Finding for CAR 7	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>There was no record available of consideration of organisational training needs.</p> <p>Training plans had not been recorded.</p> <p>Planned training had not been provided.</p> <p>There were no records of monitoring of the effectiveness of training.</p> <p>Professional development was not consistently recorded.</p> <p>The procedure for supervision had not been followed.</p>	<p>1. New Training Plan is under development Attachment Car 7.1 (a) DRAFT Building Control Training Matrix May 2016 & Car 7.1 (b) HR Operational Plan 2016 2019</p>	<p>2. Training Coordinator function will be included within a new role to ensure ongoing training is carried out and recorded, and undertaken with appropriate supervision</p>

8. Corrective Action Request 8

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
8	<p>Regulation 12 - Choosing and using contractors</p> <p>1.A building consent authority must have a system for choosing and using contractors to perform its building control functions.</p> <p>2. The system must cover the following: (a) establishing contractors' competence; and (b) engaging contractors; and (c) making written or electronic agreements with contractors; and (d) recording contractors' qualifications; and (e) monitoring and reviewing contractors' performance; and (f) regularly assessing contractors' competence</p>		<p>The BCA had not followed its procedures for choosing and using contractors.</p> <p>There were only minimal records available for some of the contractors.</p> <p>The BCA had failed to record a review of the performance of its contractors.</p> <p>Note: The BCA had not performed regular audits on its compliance with its requirements for choosing and using contractors. If it had done so it is possible that the many failures in implementation of the BCA's procedures for choosing and using contractors may have been identified and addressed earlier and therefore not raised as a CAR during this assessment.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems for choosing and using contractors.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation</p> <p>Note 1. A further assessment will be undertaken in October 2016 to ensure that implementation has been effective.</p> <p>Note 2. It is suggested that the plan specifically include internal audit of the BCA's compliance with this regulation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

8.1 QLDC Response Plan to CAR 8

IANZ Finding for CAR 8	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>The BCA had not followed its procedures for choosing and using contractors.</p> <p>There were only minimal records available for some of the contractors.</p> <p>The BCA had failed to record a review of the performance of its contractors.</p> <p>Note: The BCA had not performed regular audits on its compliance with its requirements for choosing and using contractors. If it had done so it is possible that the many failures in implementation of the BCA's procedures for choosing and using contractors may have been identified and addressed earlier and therefore not raised as a CAR during this assessment.</p>	<p>1. New contractors engaged under BCA Management Procedure MS-20 in conjunction with TS06 Contractor evaluation form.</p>	<p>2. All contractor engagements reviewed and compliant with MS-20</p> <p>3. Regular audits to be performed by BCA senior staff as per the requirements of MS 20 & Regulation 12. Evidence attached of completed updated TS06 Contractor evaluation form Attachments to be provided before 15 July 2016</p>

9. Corrective Action Request 9

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
9	<p>Regulation 13 - Ensuring technical leadership</p> <p>A building consent authority must have a system for:</p> <p>(a) identifying employees and contractors who are competent to provide technical leadership; and</p> <p>(b) giving the employees and contractors the powers and authorities to enable them to provide the leadership</p>			<p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems for identifying and empowering Technical Leaders.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

9.1 QLDC Response Plan to CAR 9

IANZ Finding for CAR 9	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>1. Technical leadership had not been identified for all code clauses.</p> <p>2. Technical Leaders had not been formally appointed and staff were not aware of who to go to for technical leadership for each code clause.</p> <p>3. Two Technical Leaders had been identified for many code clauses with no indication which person was the leader and which was the deputy</p>	<ol style="list-style-type: none"> Building Services Manager is responsible for technical leadership for all code clauses, with Team Leaders Processing and Inspections being Deputies. Staff have been advised at 11 May Technical meeting 	

10. Corrective Action Request 10

CAR No.	Regulation	Regulation	Findings	Action Required	Agreed Clearance Date
10	<p>Regulation: 17 (2) - Assuring Quality</p> <p>The quality assurance system must cover the following:</p> <p>(b) the policy on quality; (n) the procedure for the building consent authority's management to review the effectiveness of the authority's quality assurance system.</p>	<p>Regulation: 17 (5) - Assuring Quality - Management Review</p> <p>A building consent authority must have a system for periodically—</p> <p>(a) reviewing its quality assurance system; and (b) making appropriate changes in the quality assurance system.</p>	<p>While a Strategic Management Review was reported to have been undertaken in 2015 the minutes were not available during this assessment.</p> <p>In order for the BCA to be able to measure whether its quality system is appropriate and effective (as an essential part of Strategic Management Review) the BCA needs to have established and clear and manageable objectives (KPIs). The BCA was yet to complete this task.</p>	<p>Please provide a plan that details how the BCA will address the identified shortfalls in its policies, procedures and systems for reviewing the appropriateness and effectiveness of the authority's quality assurance system.</p> <p>Once accepted, please implement the plan and provide evidence of effective implementation.</p>	<p>Plan: 13 May 2016.</p> <p>Evidence of initial implementation: 15 July 2016</p>

10.1 QLDC Response Plan to CAR 10

IANZ Finding for CAR 10	Immediate Actions Implemented	Evidence to be provided by 15 July 2016
<p>While a Strategic Management Review was reported to have been undertaken in 2015 the minutes were not available during this assessment.</p> <p>In order for the BCA to be able to measure whether its quality system is appropriate and effective (as an essential part of Strategic Management Review) the BCA needs to have established and clear and manageable objectives (KPIs). The BCA was yet to complete this task.</p>	<p>1. Engaging external consultant to assist, starting 23 May</p>	<p>2. Work will have begun on the Strategic Management Review with an initial report by 15 July</p>

11 Response to Specific Recommendations received

<i>IANZ Recommendations</i>	<i>Immediate Actions Implemented</i>	<i>Evidence to be provided by 15 July 2016</i>
<p>R1 - It is strongly recommended that the BCA updates its public information to ensure that full information is provided regarding how to apply for a building consent and how a building consent is processed, inspected and certified. This information should provide the minimum requirements for building consent applications and provide applicants with a clear understanding of the process.</p>		<p>1. To be reviewed by 15 July once all forms have been reviewed and updated, with any updated forms to be batch uploaded when completed</p>
<p>R2 - It is strongly recommended that any response to an enquiry that relates to information other than that addressed by the information detailed under Regulation 7(2)(a) is recorded on the applications file.</p>		<p>1. Under consideration</p>
<p>R3 - It is recommended that the BCA could consider calibrating moisture meters in house using a test block of known electrical resistance rather than sending them for external calibration.</p>	<p>1. Decision made to continue with annual calibration process for the moment</p>	
<p>R4 - As a result of the records of the 2015 strategic management review not being able to be located it is strongly recommended that the BCA ensure that it retains all of its records in the location described, for the described period.</p>		<p>1. Evidence of records being maintained and managed appropriately</p>
<p>R5 - It is strongly recommended that the procedure for management of conflicts of interest is amended to include all types of conflict of interest that staff may experience, including management of pressure on staff.</p>		<p>1. Under consideration</p>