## KEY CODE:

status of tasks that are in progress, completed or pending a start date

tasks that are progressing

the expected completion date

the timing of a pre-IANZ audit internal review to assess any gaps

gul Regul	lation Title		Problem	Requirements	Reporting requirements	Who	Comments	Needs audit	Status	21/06	28/06 05/0	7 12/07 1	9/07 26/0	7 02/08	09/08 16/08	23/08 30/08	06/09 13/09	20/09 27/	09 IANZ AL
on Sub-C	Jategory				requirements			auuit											30/09 -04
6b, c	& d Decis	sions	Does not meet requirements	All reasons for decisions to be recorded appropriately against all processes.  1. Building consent issue 2. 12 Months lapse of consent 3. CCC form 6 issue of 4. CCC refuse 24 month 5. Inspections 6. Multiuse (10 days) 7. FEU		All staff	All reasons for decisions to be recorded appropriately against all processes.  1. Building consent issue processing sheet OK 2. 12 Months lapse of consent OK 3. CCC form 6 issue of T33 ok 4. CCC refuse 24 month ok 5. Inspections ok 6. Multiuse (10 days)	у	In progress										
				PIM decision     (Process to be lodged for each item and assign within BCA file system)     (Note/memo field to be used in pathways to record decision)			7. FEU should admin. or Bent do this? 8. PIM decision ok (Process to be lodged for each item and assign within BCA file system)					П							
7.2.d		onth consents - ing - backlog		Report has been done kelvin to provide a plan to show IANZ on how we are clearing the back log.		Kelvin	kelvin need to product a work schedule for how we are addressing the 100 that are over due. Time frame. Process map has been completed kelvin to add to BCA file system.		In progress										
7.2.e		onth consents - sion - backlog		Report has been done kelvin to provide a plan to show IANZ on how we are clearing the back log.		Kelvin	Report has been completed, and is being actioned. Kelvin needs to produce a work schedule for how we are addressing the 900 that are over due. Time frame. Process map has been completed. Kelvin to add to BCA file system.		In progress		x								
	Numl	ber of RFIs on hold		Work flow task to be added to the RFI letter to ping Building support inbox when 20 ans 10 letters are due. This is an interim fix Currently 52 applications on hold awaiting BC info tph		Marion	Process map for RFI reminders. Adjust work flow to suit and notify BSG. TPH.		In progress										
7.2.d		nting consent - nent issue		How many consents on hold pending payment? (2) Implications with lapsing and levies if left on shelf. Item 7 from previous list		John	ask marion about this? Are we lapsing after 20 days? Can we lapse. Or do we look at getting payment up front.		In progress										
7.2.d				Being used for purposes other than advising RC is required.		John	Form 4 only for RC all else on guidance form. Talk to aroha to complete and marion to enter in to the system.		In progress										
7.2.d	planr	ping the clock for ning issues		Inappropriate use of		John	Identify planning issue and pass to planing team. RC requied carry on.		In progress										
7.2.c	Vettii	ng - tech vet		No resource to carry out this task at present.		Brent	Brent has been instructed to provide note for processing check list, the tech vet for Res1-2 and Com 1 is to be conducted by processing officer. not more than half an hour, If they are not happy, say more than 20 RFi points they send application back to the admin team for refusal. For Res 3 and Com 2-3 a tech vet is to take no longer that an hour with exception of a Com 3 which is at the decision of the processing officer, again if not happy and RFI exceed say 30 application is to be returned to admin for refusal . Brent has forwarded draft to be added, check against reg and final with Audit from rose.	у	In progress										
7.2.a,		ate website -		Check website to see if issues identified in Nov 18 have been corrected. Also refer to audit results for gaps in information		John			In progress										1
7.2.e	CS notime speci	leed to be prepared at of consent and ified systems tified as part of form 5		Information will be collected in the form 2 simpli form to be used by the processing officer to draft the compliance schedule as currently used in the processing check list. all information must be available at this stage for the issue of the compliance statement. for the final a question needs to be asked if the compliance schedule has changed for the consented documents? if so the applicant needs to supply an up date schedule for the inspector to take to inspection. the information required for the issue of the compliance schedule at ccc should be available for the admin time to simply inter in to the system		John	to be comfirmed with marion to process map. Ensure vetting team/ tech vetting cover this off.		In progress										
7.2.e		ure compliance with ay clock - CCCs				Trent	Need to have a standard report to check this. The Bi team are working on this. I have the report from Gazelle which should be sufficent once marion and the team have made adjustment to the status of the CCC. Most likely the compliance percentage will drop but be accurate. cystal report currnetly states a . Marion is going to draw process map for ccc wrok flow to be approved by rose before going any further.tphb		In progress										
7.2.d	and 7.2.f Solid	d fuel heating		Issues with information coming in for consent and inspections not being called (refer lapsed consent report). Work with Home Heating folk to improve quality of information and notification. Investigate whether PS3 can be utilised		John	We have had a discussion about the use of a PS3 for the installation of a fire place, and desided that an inspection is required. If inspection is not being called for this will be picked up in the 12 month lapse reminders. We could look at sending a reminder 3 months after issue of the consent as well as a way of managing this? talk will marion.		In progress										

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7	7.2.b	Form 2	All relevant information on Form 2 is completed by the applicant	Forms must be completed in full if not need to reject		Admin Team	John has spoken to the lodgement team about the completeness of the form two and refusing it of it is not complete. Spoke to Marion, Admin team is to ready both the MBIE guidance and the QM to understand what is required.	Y	In progress								
7	7.2.b	Vetting	Does not meet requirements	Do not accept incomplete or poor applications		All staff			In progress								
7	7.2.d.v	Granting	Processing of consents	Ensure all consents are processed within 20 working days Ensure all National Multi-Use consents processed within 10 working days	Y	Brent	Brent is mangageing this with the traffic light, we look to be processing under the 20 day time frasme currently but there are a num ber og consent on hold that are over thye 20 day time frame already and these will effect our compliance. Trent to get report from g to show how many that are on hold are over the 20 day time frame.		In progress								
7	7.2.d.v	Granting	Processing of consents	Need to record the reasons why an application goes over time in every instance	Y	Brent	(Process required) Sheet that has report form BI team list application progress thrucht pathways system and comment form processing team leader. Trent to forward to reprot from BI . Process map to be made by Trent		In progress								
7	7.2.d.v	Granting	Processing of consents	Need to audit staff on regular basis		Brent	Brent to adjust form and get training off John . Also make location for the audits in objective. All attachements to be part of the audit sheet/file.		In progress								
7	7.2.d.v	Lapsed consents current	Does not meet requirements	Come up with a plan for backlog and stick to it	Y	Kelvin	Processing map complete, Has work start, is this a fire place? Make sure process map and or policy in placed in the bca file system.		In progress								
7	7.2.e	Inspections	Inspection wait times	Need live information about wait times	Y	Greg	Input from guy to see if bi can give us a live picture of this. For now inspection waiting times will be assessed each week and given the the CSO team. Greg to email CSO team to explain that these total will be used for the whole week.		In progress								
7	7.2.e	Inspections	Monitoring	Need to audit staff on regular basis		Greg	Talk to john to get training on how to complete an audit and Rose will be completing an audit schedule.		In progress								
7	7.2.f	CCCs	Application	Need to acknowledge the receipt / refusal of the CCC application form		Marion	Process required. CIP submitted for consideration and approval before implementation.discussed with marion three opitions 1. form 6 received ok and consent iussed. 2. form 6 received ok rfi issued with ackwonledgement of form 6 okand stat clock started . 3. form 6 received not ok rfi sent with acknowledgemet		In progress								
7	7.2.f	CCCs	Issue / refuse	Need an RFI report on all CCCs	Υ	Marion	run report under 2yr and over 30 days and refuse all.		In progress								
7	7.2.f	CCCs	Issue / refuse - 2 year	Continue with process of notifying applicants that their consent is approaching 2 year timeframe		Marion	Process has been mappped and with be added as a CI. Process is on going.		In progress								
7	7.2.f	CCCs current	Issue / refuse - 2 year	Come up with a plan for backlog	Υ	Kelvin	Process map completed BSG is completing the letters and Kelvin is following up. Is the consent for a com or swimming pool etc. Make sure process map and or policy in placed in the bca file system.		In progress		П						
	7.2.g and 7.2.h	Complaints	Update QM	Policy to reflect actual process		Trent / Dean	Draft Complaints Policy and Procedure completed. BCA Complaints about Professionals and Practitioners Policy and Procedure completed. Process maps of these complaints processes to be added to Quality Manual.		In progress								
7	7.2.d and 10	PIM process - s.72 and 75		Check with Aroha		John	Aroha is to only do the paper work where require the decesion to place a section 72 on a property is at the decertion of the building control officer processing the consent. Where is this to messaged and how. On brents return have a seccion with the team. tphb		In progress								
3	8	Productivity reports		Currently unable to provide instant reports for the following:  * 20 day timeframe  * customer working days  * vetting/lodging applications  * live consents  * workload for PIM officers  * workloads for internal/external staff  * inspections per month  * four year trend for building inspections and consents		Trent	I have already spoken to Gazelle, I will meet again with a full report requirement to be loaded in to Q&A		In progress								
8		Ensure enough resource in Building				Trent	I need to use the reg 8 calculator and report on it.		In progress								
8		Resourcing	Reporting requirements	Need to be able to report on volume of work processed, inspected and approved over the last two years (need to be able to identify peaks and troughs, seasonal or other fluctuations	Y	Trent	BI can do this as well as a Q&A report.		In progress								
8	8	Resourcing	Reporting requirements	Need to be able to report on volume of work being processed by staff and contractors	Υ	Trent	Brent is going to look at report for this I will also add to my list to see what Q& A can produce.bi team is looking at this.		In progress								
9	9	Resourcing	Reporting requirements	Need to report on consent categories and who processed by (allocation)	Y	Brent	Report on how many of each competance level each officer is processing to enable forecasing model and run the business.		In progress								

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10	10	Competency Assessments	Does not meet requirements	Need to be completed annually for each person undertaking a technical role Need to record reasons for decisions (i.e. if training is identified, why) Need to have evidence attached (cannot refer to discussions without providing the evidence of what was discussed) Need to use appropriate templates Need to refer to revised guidance published in 2017		Bill	IANZ have provided comment on the current assessments for Bill to rewrite and pass back for reassessment, Bill will then rewrite all on the week of the 22-7		In progress										
10	10	Skills matrix	Does not meet requirements	Does not meet NCAS system - for example: Staff competent to do RES 3 but then limited to one storey Staff competent to COM 1 but then limited and can't do specified systems		Bill	With the completion of the assessments this will be looked at and check for compliance.		In progress				Ī						
10	10	Skills matrix		Need updating and simplifying		Trent	This has been done and is in TK2 if this is the one we are using we need to control it. And hold version control in the BCA system.check with Rose that this is ok. May need to also keep national system in the BCA file system as the master.		In progress										
11	11.2.e	Supervision of staff (not yet competent to perform				Greg	Need to speak to greg to see how this is being done currnet and document it.Greg and sibby to supervise all inspectors		In progress										
11	11	Training	Does not meet requirements	Need individual training plans for each employee specifying the outcomes required Need to programme that training and make sure it happens Need to monitor the effectiveness of that training Need to record reasons if training does not proceed		P&C	Bill and brent are to help with this.		In progress										
11	11	Provide records of training - individual assessment records, attendance lists, results for tests, etc and evidence to justify decisions				Trent	Most of this is in the system already just need to check for gaps.		In progress										
11	7.2.e and 11	Provide training on compliance schedules		Plug gaps		Trent	First training session has been completed. Next session is to be completed on the standards required for installation and montioring of the specified system.arrange a training time with bill and john . Marion and I will process map and ensure end to end process which is loaded into the QM.		In progress										
12	12	Audits on work performed by contractors	I	Need to do audits on contractors work and monitor their performance		Brent	Brent has asked national processing for their Audits of their staff. Audit will be complete as part of quality system.		In progress										
12	12	Contractors	Does not meet requirements	Need to annually (or sooner) review the performance of contractors (timeliness, complaints, record keeping, etc)	Y	Brent	Contracts are being rewritten check that there is sufficient performance detail in them. We have already been doing this with national processing as we are recieveing complaint about cost and time to complete the consent.		In progress										
13	13	Contractors	Does not meet requirements Some of this information is there but need further measures to be put in place For example, explain your expectations about the time	e. Quality performance indicators Powers and authorities Requirement for annual competency assessments / skills matrix		Dean	input from Dean /maggie draft to be approved by Myself and Rose		In progress										
13	13	Technical Leadership	Does not meet requirements	Need to replace previous technical leader and provide appropriate documentation for replacement Skills matrix needs updating. Are decisions for leadership robust?		Trent	John Tait to be tech lead for all. Sibby for NZS3604, Brendan for Plumbing and drainage. To be confirmed Alan moeld for C docs.provide record s to show decesion why these persons are being used to be techical leads.	г	In progress										
14	14	Resources	Equipment	Need to complete equipment audit		Greg	Greg is 50% done		In progress										
16	16	Record keeping	Does not meet requirements	Waiting on IANZ report		Trent	We need to understand where all items required for audit are kept in our system to allow fast recovery for IANZ and to show confidence that we know what we are doing. Need to do test with rose to see what we done know.		In progress										
17	17.2.h	Undertake audits on staff inspections	-			john / gre	g Greg to complete.		In progress										
17	17	Locate all forms and letters; need to do version control on all documents	1	No document control or version numbers; forms missing		Shaylah	Shayla to check with rose		In progress										
17	17.2.h	Locate audit sheets and review				Rose			In progress										
17	17.2.e	CI register		Review and close out Cls; start new register once these issues ratified		Rose			In progress										
17 17	17.2.h 17	Update audit schedule Quality Manual	Does not meet	Write new manual to reflect requirements of the regulations incorporate		Rose			In progress In progress			$+ \top$	-						
1/		-	requirements	technical manual into this document		Rose													

Re	gul Regulat Sub-Car	ation 1 Category	Title	Problem	Requirements	Reporting requirements	Who	Comments	Needs audit	Status	21/06 28/06 05	5/07 12/	/07 19/07 26/07	02/08 09	9/08 16/	08 23/08 3	0/08 06/09	13/09	20/09 27	7/09 IANZ Audit 30/09 -04/10
17	17	I		Does not meet requirements	Create an induction checklist for all new starts Bill has this ask him.			On boarding from P&C and introduction training from bill. Both to be loaded into system or Process map for new employee .contact both and ask for material to add.		In progress										
18	18	(			Enrol Josh on Diploma course NB you have 12 months to register Hayden and Mike (from the time they commenced employment). May want to consider bonding		Trent	Look at time for enrolment of Josh.		In progress										