

Draft Long Term Plan 2021-31

Activity Plan

Building Regulation

Proposed for adoption

Approvals

Role	Position	Name	For Draft LTP	
			Signature	Date of sign-off
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Authors and Advisors to this Activity Plan

Group	Business Unit	Position	Name

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1. What does this activity deliver?

- Issue of Building Consenting, Building Inspections and issue of Code Compliance Certificates
- Public Advice including Eco Design Advice services
- Building Policy and BCA accreditation
- Building related Claims
- Case Management Services

The activity also covers Consenting and Compliance general advice and response to public and elected member enquiries is also provided. This includes staff responses to public and elected member requests for information, media/ LGOIMA requests, elected member enquiries, public enquiries related to resource management decisions and enquiries related to building products e.g. Steel Mesh. Due to the variety of enquiries this is not budgeted as a separate line item.

Building Regulatory Services administers the Building Act 2004 (the Act) both as a Building Consent Authority (BCA) and as Territorial Authority (TA). The Act covers all aspects associated with the Building Consent process from public advice and application through to Building Inspections and the issuing of Code Compliance Certificates. The Act also prescribes matters such as a Building Warrant of Fitness, BCA Accreditation, claims related concerns and earthquake prone buildings.

Whilst the Building Act and Building Code outline minimum regulatory standards, we also provide further services such as Case Management Services and Eco Design Advice services. Case Management Services assist with the facilitation of large projects and promote investment for the city. Eco Design Advice services encourage healthier buildings with respect to the full life cycle of the building and its materials.

2. Community Outcomes – why do we deliver this activity?

	Community Outcomes	Describe in 2-3 sentences how the activity effects the Community Outcome
Primary Outcome	Great place for people, business and investment	Buying or Building property is one of the biggest investments that an individual or company will make in their lives. A functioning, easily accessible, and reliable regulatory body allows our citizens to have the faith to invest in Christchurch knowing that their investment is not only safe and protected, but involves being a part of a modern and robust liveable city which promotes strong communities and a prosperous economy.
Secondary Outcome	Modern and robust city infrastructure and facilities	As an accredited regulatory body, the community, lending and insurance institutions alike can have faith in their investment here in Christchurch. We aim to provide a regulatory service which ensures that new builds, and repairs meet not just the minimum standards, but are built with greater resilience to ensure that we are creating a safe, healthy, and sustainable place for people to invest in and reside.

Note the performance measures and targets used to measure the difference the activity makes for the community outcomes is in the Level of Service table in Section 5.

3. Strategic Priorities – how does this activity support progress on our priorities ?

Strategic Priorities	Activity Responses
<p>Enabling active and connected communities to own their future</p>	<p>As a regulator, our services are governed by Acts of parliament - as a result citizen engagement will provide little actual benefit.</p> <p>Our regulatory function interacts with the community through our various public advice services, our pre-application service, case management services, and eco-design advice. We also enable some specific activities for events with permissions such as marquees for large community events.</p> <p>Generally the regulator has minimal impact on connecting communities in the context spoken to.</p>
<p>Meeting the challenge of climate change through every means available</p>	<p>As a building regulator we ensure that the community aspirations to build will be fit for purposes and last for no less than its intended life. Climate change and the impact of sea level rise is an intimate issue, as these factor heavily influence what can be constructed and where.</p> <p>While we cannot say no to compliant applications because of their environmental impact, we do provide a free professional Eco Design Advice service for all building projects and for all applicants in order to advocate and promote creating healthier buildings, improving energy, water and material use, minimising waste, and reducing the environmental impact of buildings.</p>
<p>Ensuring a high quality drinking water supply that is safe and sustainable</p>	<p>Such considerations are only considered as prescribed within the Act and Code, however water management is covered within the free Eco Design Advisory service.</p> <p>Working closely with Three Water’s & Waste, a streamlined consenting process for Backflow Prevention Devices (RPZ’s) has been created to encourage commercial property’s to ensure that these are installed, protecting the City’s water supply.</p>
<p>Accelerating the momentum the city needs</p>	<p>Case Management Services assists with facilitation and investment for the city. As we recover, this greatly assists in opportunities in recreating a great place to live, and ensuring that large scale projects which will drive momentum are carried out efficiently and with as much help as possible from Council.</p> <p>Accessibility for the community is enhanced as development takes place, case management Services assists with facilitation.</p> <p>By ensuring that we are a city which encourages and helps create large projects in the city centre, we are driving investment into the city ensuring that we are contributing to the marketing and promotional efforts as opposed to impeding.</p>
<p>Ensuring rates are affordable and sustainable</p>	<p>We balance costs and revenue with demand, costs are directed at the user and we are only allowed to recover reasonable costs.</p> <p>The largest factors that may impact activity budgets are Legislation changes, unexpected increase or decrease in the demand for service, and an unexpected commitment to civil defence activity.</p>

4. Increasing Resilience

Stressor: We respond to not only to natural disasters such as flooding, fire and earthquake but we respond to events in other regions such as Kaikoura. The stressor for us as a regulator is funding as we recover fees and charges for typical services yet we absorb the costs for emergencies.

Stressor: We are a regulatory body and are faced with training and competency requirements, the labour and skill shortage is a consistent strain on our service. The strain is compounded with Kāinga Ora setting up its own Building Consent Authority (BCA). Kāinga Ora are able to offer salaries and employment conditions that Council is not able to compete with.

Stressor: We provide public advice to the general public but also respond to media and elected members enquiries, the stressor is the impact on time and resources that pull on public advice funding which is limited.

5. Specify Levels of Service

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
Building Consenting										
9.1.1	C	Grant Building Consents within 20 days working days	2019/20 95.7% in 20 working days 2018/19 95.8% in 20 days 2017/18 97.9%	Auckland 2018/19 - 60% 2019/20 - 82% in 20 days Wellington 2017/18 - 91% 2018/19 89% in 20 days	The minimum is to issue 95% of building consents within 19 working days from the date of acceptance	The minimum is to issue 95% of building consents within 19 working days from the date of acceptance	The minimum is to issue 95% of building consents within 19 working days from the date of acceptance	The minimum is to issue 95% of building consents within 19 working days from the date of acceptance		Great place for people, business and investment

¹ C/M – Community or Management level of service (LOS)

Community LOS - Previously known as LTP LOS. These are LOS that are community facing and will be published in our Statement of Service Provision.

Management LOS - Previously known as Non-LTP LOS. These are LOS that are measured in the organisation to ensure service delivery.

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
9.1.4	C	Ensure % satisfaction with building consents process	2019/20 – 82.5% 2018/19 – 75.9%		75% satisfaction	77% satisfaction	79% satisfaction	85% satisfaction	Customer satisfaction survey results are reviewed monthly; reported on annually. Requests for contact are responded to as a priority. Results themed for common issues and reviewed regularly for resolution. Survey provides measure of customer satisfaction with each of the following services surveyed: completion of building inspections, issue of building consent, and issue of code compliance certificate	Great place for people, business and investment
9.1.15.2	M	Provide Case Management Services	2019/20 -100% 2018/19 – 100%		80% of customers	80% of customers	80% of customers	80% of customers	Surveyed customers attribute time and cost savings for their project to the support from case management services Some building or resource consents require more than CCG approvals. Those approvals outside of CCG can hold up a consent or occupancy of a commercial building	Great place for people, business and investment

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
Building Inspections and Code Compliance Certificates										
9.1.12	M	Carry out building inspections in a timely manner	2019/20 – 100% in three working days 2018/19 – 100%		Carry out 98% of inspections within three working days of customer request	Carry out 98% of inspections within three working days of customer request	Carry out 98% of inspections within three working days of customer request	Carry out 98% of inspections within three working days of customer request	Reporting: Quicker turn-around on inspections speeds the build process up.	Great place for people, business and investment
9.1.7	C	Grant Code Compliance Certificates within 20 working days	2019/2020 98.4 in 20 working days 2018/2019 98.3% 2017/2018 99.1%	Wellington 2017/2018 91% 2018/2019 88% in 20 working days	Issue minimum 95% of Code Compliance Certificates within 19 working days from the date of acceptance.	Issue minimum 95% of Code Compliance Certificates within 19 working days from the date of acceptance.	Issue minimum 95% of Code Compliance Certificates within 19 working days from the date of acceptance.	Issue minimum 95% of Code Compliance Certificates within 19 working days from the date of acceptance.	Reporting: Legislative Requirement	Great place for people, business and investment
Building Consenting public advice										
9.1.8	M	Provide a public advice service to support building consenting customers	2019/20- 100% 2018/19- 100%		Between the hours of 8.00am – 5.00pm, Monday to Friday (excluding public holidays)	Between the hours of 8.00am – 5.00pm, Monday to Friday (excluding public holidays)	Between the hours of 8.00am – 5.00pm, Monday to Friday (excluding public holidays)	Between the hours of 8.00am – 5.00pm, Monday to Friday (excluding public holidays)	Building Control Phone Services Civic walk-in services Pamphlets, booklets, newsletters, Web Site and Online Services maintenance Legislative Requirement – Building Act 2004 – Regulation 7(2)(a)	Great place for people, business and investment
17.0.37	C	Eco Design Advice	2019/20 – 334 consultations 2018/19 – 368 consultations		Provide a quality eco design service	Provide a quality eco design service	Provide a quality eco design service	Provide a quality eco design service	Provide free Eco Design advice services to the public Eco design service is available via appointment, phone or walk-in.	Great place for people, business and investment

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
									Attendance at Home shows, sustainability seminars etc.	
Manage the consent preparation process meetings										
9.1.18	M	Ensure % satisfaction with building consenting pre-application service	2019/20 - 83% 2018/19 – 91.78%		Review quarterly survey results and feed common issues to issues register for resolution	Review quarterly survey results and feed common issues to issues register for resolution	Review quarterly survey results and feed common issues to issues register for resolution	Review quarterly survey results and feed common issues to issues register for resolution	Promote early advice that leads to higher quality building and resource consent applications that lead to faster processing time. Provide measure of customer satisfaction based on point of service survey	Great place for people, business and investment
Annual Building Warrants of Fitness										
9.1.9	C	Audit Building Warrant of Fitness to ensure public safety and confidence	2019/20 456 audits 2018/19 405 audits 2017/18 445 audits	MBIE recommendation to audit 20 to 30% of building stock i.e. every building in a 3 to 5 year cycle	Audit 20% of building stock	Audit 20% of building stock	Audit 20% of building stock	Audit 20% of building stock	The Building Stock covered by a BWOF and compliance currently stands at 5,201 (December 2020) and has been increasing by 200 per annum. The Building Act 2004 Section 12 requires Territorial Authorities to administer and enforce the provisions relating to annual building warrants of fitness	Modern and robust city infrastructure and facilities
Building Accreditation Review										
9.3.1	C	Building Consent Authority status is maintained	2019/20 – BCA status maintained 2018/19 –	Ministry of Business, Innovation and Employment	Building Consent Authority' status is maintained	Building Consent Authority' status is maintained	Building Consent Authority' status is maintained	Building Consent Authority' status is maintained	Statutory requirement to comply with Council BCA Accreditation Regulations 2007.	Modern and robust city infrastructure and facilities

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
			BCA status maintained	MBIE)/IANZ approval. Building Consent Authority' status is the benchmark						
Building policy										
9.3.5	C	Maintain a public register of earthquake prone buildings in Christchurch	Approximately 700 earthquake prone buildings in Christchurch have been identified and issued with an appropriate notice. As buildings are demolished or strengthened their status is updated.	In accordance with legislation, identify and issue notices to non-priority buildings by 1 July 2022	Update the Earthquake Prone Building Register whenever the Council becomes aware of a change of a building's earthquake-prone status	Update the Earthquake Prone Building Register whenever the Council becomes aware of a change of a building's earthquake-prone status	Update the Earthquake Prone Building Register whenever the Council becomes aware of a change of a building's earthquake-prone status	Update the Earthquake Prone Building Register whenever the Council becomes aware of a change of a building's earthquake-prone status	Earthquake prone buildings will be appropriately identified and registered in accordance with MBIE legislation.	Modern and robust city infrastructure and facilities

LOS	C/ M ¹	Performance Measures Levels of Service (LOS)	Historic Performance Trends	Benchmarks	Future Performance Targets				Method of Measurement	Community Outcome
					Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 10 2030/31		
Claim Management – building-related										
9.3.2	M	Notify relevant building related claims to insurer.	2019/20-100% 2018/19-100%	Broker / insurer policy requirement: notification must be within financial year	100% of known relevant building related claims notified to insurer within relevant Financial Year	100% of known relevant building related claims notified to insurer within relevant Financial Year	100% of known relevant building related claims notified to insurer within relevant Financial Year	100% of known relevant building related claims notified to insurer within relevant Financial Year	Report Annually : Insurance covers claims (excluding excess) wherever possible	Great place for people, business & investment
9.3.7	M	Respond to building related claims under the appropriate forum	2019/20-100% 2018/19-100%		Report Annually that Council complies with WHRS, WHT, District Court, High Court and Dispute Tribunal rules, including meeting acceptable standards of evidence, timeframes, and representation	Report Annually that Council complies with WHRS, WHT, District Court, High Court and Dispute Tribunal rules, including meeting acceptable standards of evidence, timeframes, and representation	Report Annually that Council complies with WHRS, WHT, District Court, High Court and Dispute Tribunal rules, including meeting acceptable standards of evidence, timeframes, and representation	Report Annually that Council complies with WHRS, WHT, District Court, High Court and Dispute Tribunal rules, including meeting acceptable standards of evidence, timeframes, and representation	Report Annually: Claimants are treated fairly and reasonably. Council reputation is maintained. Costs to Council are minimised.	Great place for people, business & investment

6. Does this Activity Plan need to change as a result of a Service Delivery Review (S17A)?

Two high level options were selected as the preferred options for further consideration:

- Status Quo – Governance and funding by Christchurch City Council (CCC), delivery by Christchurch City Council with support from contractors (as and when required)
- Modified Status Quo - Governance and funding by Christchurch City Council (CCC), delivery by Christchurch City Council with an increase in the percentage of public funding.

The advantages and disadvantages of the Status Quo, and Modified Status Quo are the similar. It is considered that it would be most appropriate to continue to provide the Regulatory and compliance activities of Council in-house within Council with external support to provide surge capacity. Although the outcome of this review is not to recommend formal structural change at this stage, the 2021-31 Long Term Plan should explore the current funding of Building Services and Resource Consenting. There is a case for changing the mix of funding between rates and fees and charges.

7. What levels of service are we proposing to change from the LTP 2018-28 and why?

Activity/ Level of Service	Change from 2018-28 LTP	Reason	Options for consultation and engagement
DELETIONS			
9.1.19 Consenting and Compliance general advice and response to public and elected member enquiries; Response meets legislative and/or agreed timeframes	General advice and response to public and elected member enquiries will continue to be provided	Level of service is supported and funded by all units across the group, but is not budgeted as a separate line item due to the variety of enquires received.	None required
13.14.6.2 - Co-ordinate the delivery of the Building Consenting Training Programme	Target: Create the Group training programme within the annual planning cycle	Deleted – Staff performance Tracking	Management Level of service - None required
13.14.6.2 - Co-ordinate the delivery of the Building Consenting Training Programme	Target: Deliver at least 90% of agreed programme by 30 June each year	Deleted – Staff performance Tracking	Management Level of service - None required
9.1.21 - Issue Building Act Exemptions within 19 working days	Target: The minimum is to issue 95% of building act exemptions within 19 working days from the date of lodgement	Deleted- Not a building act Requirement and no council measures this.	Management Level of service - None required

Activity/ Level of Service	Change from 2018-28 LTP	Reason	Options for consultation and engagement
9.1.20 - Deliver Consenting and Compliance Group (CCG) agreed programme of change	Target: Programme of work is agreed with CCG within Annual Planning Cycle	Deleted - Staff performance Tracking.	Management Level of service - None required
9.3.8.1 - Review the causes of claims and report to operational units.	Target: Annual report to show actions taken to Identify (with appropriate recommendations) on the contributing factors in claims.	Deleted - Staff performance Tracking.	Management Level of service - None required
9.3.8.2 - Review the causes of claims and report to operational units.	Target: Monthly monitoring to show actions taken to Identify (with appropriate recommendations) the contributing factors in claims.	Deleted - Staff performance Tracking.	Management Level of service - None required
NEW			
AMENDMENTS			
9.1.9 - Audit Building Warrant of Fitness to ensure public safety and confidence	Target amended to Audit 20% of building stock	MBIE recommendation to audit 20 to 30% of building stock i.e. every building in a 3 to 5 year cycle.	None required

8. How will the assets be managed to deliver the services?

No Asset Management Plan for this activity.

9. What financial resources are needed?

Building Regulation 000's	Annual Plan										
	2020/21	LTP 2021/22	LTP 2022/23	LTP 2023/24	LTP 2024/25	LTP 2025/26	LTP 2026/27	LTP 2027/28	LTP 2028/29	LTP 2029/30	LTP 2030/31
<i>Activity Costs before Overheads by Service</i>											
Building Consenting	8,609	9,318	10,256	11,290	11,588	11,893	12,262	12,558	12,892	13,235	13,572
Bldg Insp & Code Compliance Cert	4,740	4,733	5,197	5,717	5,869	6,017	6,188	6,338	6,498	6,662	6,825
Building Consenting Public Advice	498	873	879	899	922	947	978	1,001	1,028	1,055	1,082
Manage the Consent Prep Process Mtgs	287	208	211	215	221	227	234	240	246	253	259
Annual Building Warrants of Fitness	998	823	836	857	881	904	933	956	981	1,007	1,033
Building Accreditation Review	1,258	1,110	1,245	1,213	1,341	1,266	1,417	1,337	1,491	1,410	1,570
Building Policy	21	38	37	15	14	14	15	15	16	16	17
Claim Management - Building Related	298	299	301	307	315	323	333	341	350	359	369
	16,709	17,403	18,963	20,514	21,152	21,592	22,360	22,786	23,501	23,997	24,727
<i>Activity Costs by Cost type</i>											
Direct Operating Costs	255	213	311	222	324	222	339	232	356	244	374
Direct Maintenance Costs	-	-	-	-	-	-	-	-	-	-	-
Staff and Contract Personnel Costs	16,440	17,181	18,643	20,284	20,818	21,361	22,011	22,544	23,136	23,743	24,343
Other Activity Costs	13	8	8	9	9	9	9	9	10	10	10
	16,709	17,403	18,963	20,514	21,152	21,592	22,360	22,786	23,501	23,997	24,727
Activity Costs before Overheads	16,709	17,403	18,963	20,514	21,152	21,592	22,360	22,786	23,501	23,997	24,727
Overheads, Indirect and Other Costs	3,587	4,151	4,258	4,317	4,374	4,517	4,556	4,650	4,812	4,841	4,946
Depreciation	-	-	-	-	-	-	-	-	-	-	-
Debt Servicing and Interest	-	-	-	-	-	-	-	-	-	-	-
Total Activity Cost	20,296	21,554	23,220	24,831	25,525	26,109	26,916	27,436	28,313	28,838	29,673
Funded By:											
Fees and Charges	18,155	19,031	20,830	22,483	23,000	23,552	24,117	24,720	25,387	26,073	26,751
Grants and Subsidies	-	-	-	-	-	-	-	-	-	-	-
Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-
Other Revenues	-	-	-	-	-	-	-	-	-	-	-
Total Operational Revenue	18,155	19,031	20,830	22,483	23,000	23,552	24,117	24,720	25,387	26,073	26,751
Net Cost of Service	2,141	2,523	2,391	2,348	2,526	2,558	2,799	2,716	2,926	2,766	2,923
Funding Percentages:											
Rates	10.5%	11.7%	10.3%	9.5%	9.9%	9.8%	10.4%	9.9%	10.3%	9.6%	9.9%
Fees and Charges	89.5%	88.3%	89.7%	90.5%	90.1%	90.2%	89.6%	90.1%	89.7%	90.4%	90.1%
Grants and Subsidies	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Cost Recoveries	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

Funding Consideration

Local Government Act 2002 Section 101 Funding Consideration. The following tables are based on the financials from the previous page:

Funding Principles

User-Pays	Exacerbator-Pays	Inter-Generational Equity	Separate Funding?
High	High	Medium	High

The table above shows how Council has considered funding in relation to the Activity, using a simple high / medium / low scale:

- User-pays – the degree to which the Activity can be attributed to individuals or identifiable groups rather than the community as a whole;
- Exacerbator-pays – the degree to which the Activity is required as a result of the action (or inaction) of individuals or identifiable groups;
- Inter-generational equity – the degree to which benefits can be attributed to future periods; and
- Separate funding – the degree to which the costs and benefits justify separate funding for the Activity.

Where an Activity is paid for through a number of funding mechanisms, Council’s practice is to meet its operating costs in the first instance from fees & charges and grants & subsidies (subject to the considerations outlined above). If the Activity requires further operational funding, this remainder is funded through rates.

Operating Cost Funding Policy

This table below shows Council’s broad funding target for the Activity (i.e. how much is paid for by individuals / groups, and how much by the community as a whole), and the associated funding mechanism used (i.e. general rates, targeted rates, user charges, etc.). As the precise balance between individual / group and community funding may vary in practice (particularly for volumetric fees and charges), the funding target for each of the below tables is expressed in broad terms rather than specific percentages:

- Low = this source provides 0%-25% of the funding for this Activity;
- Medium = this source provides 25%-75% of the funding for this Activity; and
- High = this source provides 75%-100% of the funding for this Activity.

Funding Target		Funding mechanism	
Individual / Group	Community	Individual / Group	Community
High	Low	• Fees & Charges (High)	• General Rates (Low)

10. How much capital expenditure will be spent, on what category of asset, and what are the key capital projects for this activity?

No capital programme for this activity.

11. Does this activity have any significant negative effects on social, economic, environmental or cultural wellbeing, now or in the future?

Negative Effect	Mitigation
Social	
Economic	
Environmental	
Cultural	

12. What risks are identified and what controls and mitigations are planned?

Risk	Planned Controls and Mitigation
<p>Compliant and up to date policy, procedures: There is a risk that: Council processes, policy, procedures are not compliant or kept up-to-date. (linked to R00588: cause#1);</p> <p>Potential causes for this occurring include: - changes in compliance requirements are not identified. - changes in staff. - no method to update policy, process, procedures. - policy, process, procedures are not centrally organised/stored and/or lack proper</p>	<p>Specific Risk: The principles of a conflict of interest register are central to managing a business but are also prescribed by regulation. Having an avenue to record conflicts is essential to the business. Not having an adequate continuous improvement system to manage would be a factor that could impede not just on our reputation or standard of work, but our accreditation as a Building Consenting Authority.</p> <p>Mitigation: The business maintains a conflict of interest register. This process is maintained by specialist staff and supported by the management team</p>

Risk	Planned Controls and Mitigation
<p>control.</p> <p>This would result in: non-compliant, policy, process, procedures. Leading to the occurrence of R00588: As a Building Consent Authority (BCA) we are not compliant with the requirements of the Building Act 2004 and associated regulations.</p>	<p>Dedicated staff administer the Vault against the Regulations, the Building Act, and Ministry Guidance.</p> <p>All changes to the Vault are controlled by a continuous improvement register (CIR). BCA management team have scheduled monthly meetings with a specific focus of managing all BCA matters. These meetings are overseen by the Head of Building Consenting, Head of Business Solutions and the General Manager Consenting and Compliance. Dedicated staff provide data to support the BCA meetings reporting.</p>
<p>Compliance with Building Consent Processes, Policy and Procedures: There is a risk that: Council staff don't follow the Building Consent processes, policies and procedures (linked to R00588: cause #2);</p> <p>Potential causes for this occurring include: - staff confusion or awareness. - changes to process not notified or clear. - policy, process not accessible. - continuous feedback is not provided.</p> <p>This would result in: Consenting decisions are not aligned with BC process, policy, procedures. Leading to the occurrence of R00588: As a Building Consent Authority (BCA) we are not compliant with the requirements of the Building Act 2004 and associated regulations.</p>	<p>Ensure competency matrix is followed when allocating work. Where staff are allocated work they are developing a competency in, provide adequate supervision is provided with supervision records completed with 24 hours.</p> <p>Specific Risk: The principles of a conflict of interest register are central to managing a business but are also prescribed with regulation. Having an avenue to record conflicts is essential to the business. Not having an adequate continuous improvement system to manage would be a factor that could</p> <p>Mitigation: The business maintains a conflict of interest register. This process is maintained by specialist staff and supported by the management team "</p> <p>The Council via the Building Consent Authority (BCA) has and operates a dedicated operational system to manage policies, procedures and systems (the Vault). Quality Assurance and Training Team conduct specific audits (according to a schedule) of the BCA operational processes. These audits are tailored specifically to the BCA process and procedures and are assessed against the quality management system (the Vault).</p> <p>BCA management team have scheduled monthly meetings with a specific focus of managing all BCA matters. These meetings are overseen by the Head of Building Consenting, Head of Business Solutions and the General Manager Consenting and Compliance. Actions from audits are received and monitored through BCA management meeting.</p>
<p>Competency of staff: There is a risk that: Staff are not suitably skilled or trained or have appropriate competency to comply with processes, policy, procedures</p> <p>(linked to R00588: cause #3);</p> <p>Potential causes for this occurring include: - no training register or schedule (record keeping) - staff not maintaining competency levels (avoiding a lapse)</p>	<p>Specific Risk: A functioning BCA delivers technical assessment and decisions as a part of business as usual. As such, it has competent staff to make technical decisions, and supports this with competencies and appropriate technical training. This is a cornerstone of the business and without such capacity would directly lead to a loss of accreditation.</p> <p>Mitigation(s) 1 Technical training is provided based on business needs, competencies findings, and audit results.</p>

Risk	Planned Controls and Mitigation
<p>- staff unaware of training requirements / apathetic.</p> <p>This would result in: Staff failing to comply or failing to interpret and apply: processes, policy, procedures. Leading to the occurrence of R00588: As a Building Consent Authority (BCA) we are not compliant with the requirements of the Building Act 2004 and associated regulations.</p>	<p>Staff are required to undertake routine audits to demonstrate competency. Where necessary, this work is peer reviewed. This process is managed in line with the national competency framework and all records are held within the quality management system.</p> <p>2 To ensure consistency, the business has specialist staff to assess and monitor competencies for technical staff.</p> <p>3 For direct focus and quality control, specialist technical staff are utilised in the development and provision of technical training to the BCA staff. To enable agility, for training sessions of short duration a Principal Building Official provides this monthly to the necessary staff.</p> <p>Quality Assurance and Training Team conduct specific audits (according to a schedule) of the BCA operational processes. These audits are tailored specifically to the BCA process and procedures and are assessed against the quality management system (the Vault).</p> <p>Dedicated training team, to assess, plan and deliver training to operational staff. This team maintain all staff training records, a register and a schedule.</p>
<p>Claims coverage:</p> <p>There is a risk that: Council are not insured for building claims, or we're insured but unable to claim/access funds.. Where, and if insurance is not realised, councils actual exposure will increase from the insurance excess to the total(s) claimed. Where the quantum is significant this could increase the funds required. Historic claims / notifiable events are still with historic insurance providers.</p> <p>This is caused by: Council fail to secure adequate sufficient insurance over building claims. Council's insurance history with providers creates potential gaps in Council cover. In addition it is likely that such a circumstance would likely fall outside the Insurance Law Reform Act 1950 and becomes a contractual matter with recourse generally only enforceable via a formal court process. The portfolio is made up of high volume of (relatively) small matters (below excess). As a result, in the event of a larger claim that materialises in the circumstances above (no cover) this will directly and financially impact Council's ability to settle.</p>	<p>Council has a dedicated and up to date management tool for claims [LEX]. The claims team have specific staff to maintain this tool. Council has insurance cover for building related matters. Council uses external financial actuaries to provide recommendations on financial provisioning. The financial actuaries are engaged every year to provide a recommendation. Process in place to manage claims; including: All known matters that may give rise to a claim are notified to insurance broker, specialist legal support available through panel arrangement, claims are investigated to understand issue/liability and remediation options, delegations in place to settle, settlements supported by legal advice.</p>

Risk	Planned Controls and Mitigation
<p>The result of not having sufficient adequate insurance cover will directly affect the Councils financial position.</p>	
<p>Regulatory compliance with the Building Act: There is a risk that: As a Building Consent Authority (BCA) we are not compliant with the requirements of the Building Act 2004 and associated regulations.</p> <p>Causes: Possible actions that could led to non-compliance and the potential loss of accreditation status:</p> <ol style="list-style-type: none"> 1. Council processes, policy, procedures are not compliant or kept up-to-date. 2. Processes, policy, procedures are not followed. 3. Staff don't fully/partially understand what is required to comply with regulations; they may not be suitably skilled or trained to comply with processes, policy, procedures. <p>Consequence: Operationally: An unsafe building (that is not compliant with the Building Act) is occupied. A subsequent event occurs (such as earthquake), and persons are injured, and/or CCC are found to be at fault.</p> <p>Regulatory Action: International Accreditation New Zealand (IANZ) through the cycle of reviews (also known as accreditation assessments) could locate matters of non-compliance, such as process, procedures or business activity, that do not align with either the Building Act 2004, Regulation or Ministry Guidance. In the event of such a discovery IANZ issue an audit report outlining the general non-compliance with the regulation (GnC's). The operational business then have opportunity to address the GnC's as outlined in the IANZ audit report and demonstrate a resolution. In the event the GnC remains unresolved or unaddressed and the issue is significant enough, IANZ can recommend to Ministry of Business Innovation and Employment that accreditation be revoked.</p>	<p>The cause #3 regarding staff competency - has been expressed in more detail and is managed through Risk R00598 The cause #1 regarding processes, policy, procedures are not compliant or kept up-to-date.- has been expressed in more detail and is managed through Risk R00596 The cause #2 regarding Compliance with Building Consent Processes, Policy and Procedures - has been expressed in more detail and is managed through Risk R00597 Relationship with IANZ is managed through an authorised representative. Including all correspondence, visiting arrangements, resolving concerns/non-compliance items.</p>
<p>Technical decision making:</p>	<ul style="list-style-type: none"> - Technical decision makers, have adequate qualifications. - Receive up to date training

Risk	Planned Controls and Mitigation
<p>There is a risk that a technical decision is non-compliant with various building code/act/legislation, and there is failure with the building owner/user suffering a loss</p> <p>Caused by:</p> <ul style="list-style-type: none"> - unclear process/procedures - staff capability - poor training lack of knowledge - lapse of concentration/application <p>Results in:</p> <ul style="list-style-type: none"> - Reputation - Financial cost - litigation action could lead to regulator action - safety of building user 	<ul style="list-style-type: none"> - Supported with mentors and technical advisors. - Supported with correct technical information. - Support with appropriate process and systems - Have a correct competency relevant to project type - Have supervision where working outside competency area
<p>Evidence/documentation of decision making</p> <p>There is a risk that technical decisions are not supported by documented reasons, evidence, etc.</p> <p>Caused by:</p> <ul style="list-style-type: none"> - poor training/awareness - lack of time / time constrains - lack of documentation tools/equipment - not following process <p>This will result in :</p> <ul style="list-style-type: none"> - inadequate decisions - the Council can't demonstrate how, on reasonable ground, the decision was taken - process not being followed 	<p>Maintain audit schedule and monitoring report. Monitoring report tabled at monthly BCA meetings and appropriate actions taken. Providing decision making tools (e.g. Go-Get & B100 series)</p> <p>Providing proper training for the decision making tools (Go-Get & B100 series)</p>
<p>Compliance to legislative timeframes:</p> <p>There is a risk that substantial compliance to the 20 day processing timeframe for Building Consents and Code Compliance Certificates will not be met.</p> <p>A cause for this could be staff resourcing, and/or an unexpected higher volume of applications and inaccurate application forecasting.</p> <p>If substantial, this could result in: reputational damage, and legislative action.</p>	<p>The number of staff required to meet customer and statutory time frame expectations has been established.</p> <p>Ongoing forecasting will be continued to ensure resource requirements are understood both from numbers of staff through to level of competency of those staff. Resource plan is updated monthly to reflect forecasted demand:</p> <p>The timeframe is monitored by way of dashboard dials at officer and team manager level with</p>

Risk	Planned Controls and Mitigation
	monthly performance reporting provided by Quality Assurance Monitoring report delivered to BCA leadership meeting. This is reviewed by Heads of BC & Op Policy. Staff with appropriate qualifications and competency are recruited, to avoid an increase of outsourcing to contractors.