



Quality Assurance Manual 2008

SECTION 7

Assessment Panels

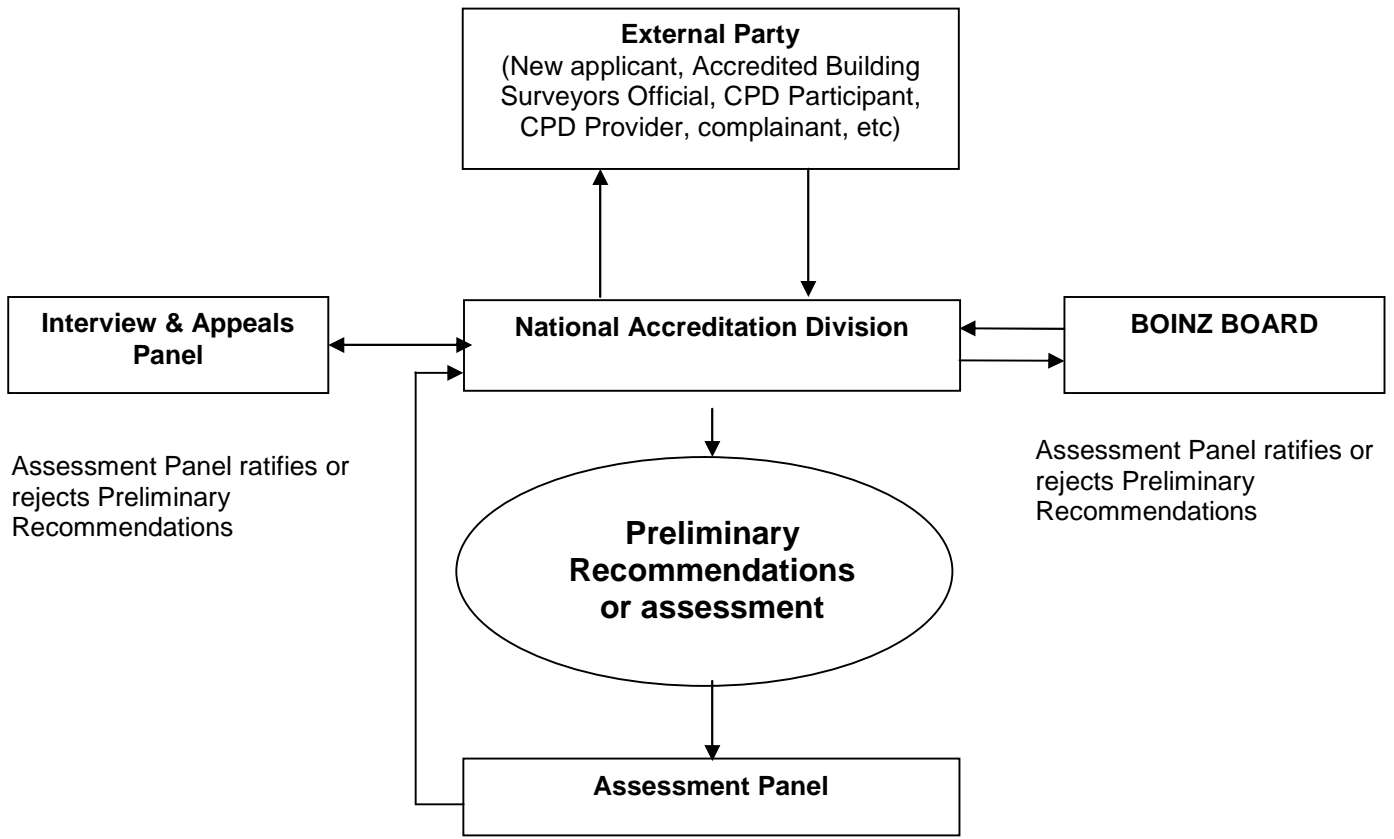
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SUMMARY

1. Assessment Panels are constituted for the purposes of undertaking assessments, conducting interviews and evaluating any preliminary recommendations or assessments that may have been formulated by the Board or its delegate(s) (or initiating further assessment) in relation to accreditation and re-accreditation, interviews and appeals, continued professional development, and any other requirements under this Manual;
2. Assessment Panels may take the form of a multi-person panel or a one (1) person panel (authorised officer panel). A multi-person panel shall be composed of a balance of stakeholders unless inappropriate;
3. A panel may establish sub-committees or task groups, or authorise officers (including external experts on Board or its delegate's approval) to perform any of its duties under this Manual;
4. Assessments undertaken by a panel are limited to assessments of the documentation and preliminary recommendations filed. Assessments undertaken shall be in accordance with the provisions set forth in the "Assessments" section;
5. Recommendations by panels shall be forwarded to the Board or its delegate(s) for action.

The following diagram represents the general decision process predominantly incorporated within this Manual, and as such provides an indication as to where assessment panel fits into the process.



AP 1 RESPONSIBILITIES OF ASSESSMENT PANELS

- 1.1 Assessment Panels are constituted for the purposes of undertaking assessments, conducting interviews and evaluating any preliminary recommendations or assessments that may have been formulated by the Board or its delegate(s) (or initiating further assessment) in relation to:
 - 1.1.1 Accreditation and re-accreditation;
 - 1.1.2 Interviews and appeals;
 - 1.1.3 Continued professional development
 - 1.1.4 Any other requirements under this Manual;
- 1.2 An assessment panel may also assess and/or recommend changes to standards, policies and procedures either as part of a systematic review program (refer to the “Review of Standards, Policies and Procedures”), or on an ad hoc basis;
- 1.3 A panel or any other sub-group constituted for the purposes of this Manual must comply with the Conflict of Interest, Evidence, Assessments, and General Provisions set forth in this Manual.

AP 2 FORM AND COMPOSITION

- 2.1 Assessment panels may take the form of a multi-person panel or a one (1) person panel (authorised officer panel). The Board or its delegate(s) shall determine the form a panel shall take;
- 2.2 A multi-person panel is the preferred option regardless of the substantive issue where:
 - 2.2.1 The credibility of the party subject to the proceedings and/or the reputation of the Institute are a significant factor;
 - 2.2.2 Where the community’s interests or confidence is a significant factor;
 - 2.2.3 The development and protection of the building surveying profession is a significant factor;
 - 2.2.4 Decisions by the panel are likely to have a significant impact on the party subject to the proceeding;
 - 2.2.5 The risks to the Institute of an incorrect or inappropriate decision are high;
 - 2.2.6 The perception of conflict of interest is considered to be high;
 - 2.2.7 The Board or its delegate(s) considers it appropriate;
- 2.3 Unless otherwise specified, both authorised officer and multi-person panels shall be referred to from here on as “a panel” or “the panel”;
- 2.4 Assessment Panels may be temporary or ongoing. A multi-person panel shall consist of:
 - 2.4.1 At least three (3) persons representing the Institute.
 - 2.4.2 A multi person panel may also include one (1) or any number of the following where the Board or its delegate(s) considers that due to the nature of the assessment involved, a broader balance of stakeholders requires representation:
 - 2.4.2.1 Government or authority representative;
 - 2.4.2.2 A council representative;
 - 2.4.2.3 A representative from private industry;

- 2.4.2.4 A legal representative;
 - 2.4.2.5 A related industry organisation representative;
 - 2.4.2.6 A representative of the community;
- 2.5 Panel members may designate an alternate from the stakeholder group. An alternate may vote and act on behalf of the member at meetings when a member is absent;
 - 2.6 In relation to multi-person panels, the panel shall designate from among the members a Chairperson and a Vice-chairperson who shall serve in those offices for the duration of the panel's life. The panel may remove a panel member where the panel considers the member is not serving the panel or the Institutes best interests. An officer may be appointed by the panel to fill a vacancy;
 - 2.7 For multi person panels, three (3) members constitute a quorum providing that in all cases a majority of members are representatives of the Institute. A multi-person panel acts by simple majority vote of voting members present. In the event that a quorum is not present at a panel meeting, all substantive recommendations made by the panel must be affirmed by a majority letter ballot vote, or for ongoing multi-person panels at a subsequent panel meeting at which a quorum is present;
 - 2.8 A panel may establish sub-committees or task groups, or authorised officers to perform any of its duties under this Manual. External experts may also be appointed subject to the approval of the Board or its delegate(s). Members of such sub-committees or task groups shall be members of a panel or authorised delegates;
 - 2.9 Absence by a panel member, or that member's voting alternative at four (4) or more meetings in one (1) calendar year, may be construed by a Committee as a lack of interest in serving on the panel. A panel may recommend to the Chair that the appointment of the member or voting alternate to the panel be terminated. The motion shall be forwarded to the Board or its delegate(s) for approval.
 - 2.10 The Board or its delegate(s) may review the composition of a panel from time to time as it considers appropriate;
 - 2.11 In undertaking such a review the Board or its delegate(s) may dismiss a panel member as it sees fit.

AP 3 APPOINTMENT

- 3.1 The Board or its delegate(s) shall appoint all multi-person and authorised officer assessment panels. Appointments to multi-person panels must be supported with explicit written terms of engagement. Panels may be on-going or for a fixed period of time as determined by the Board or its delegate(s);
- 3.2 Subsequent appointments shall be made by the Board or its delegate(s).

AP 4 MEETING PROCEDURES - GENERAL

- 4.1 A multi-person assessment panel may meet monthly or at intervals as the Chairperson considers necessary to meet its responsibilities in a timely manner. The Chairperson shall designate the time and at a venue for the meeting;
- 4.2 A special meeting may be called by a Chairperson or by a petition of a majority of panel members on seven (7) day's or any period deemed relevant by the Board or its delegate(s) or any period deemed relevant by the Board or its delegate(s) written notice;
- 4.3 Assessment panel proceedings commence by the filing of **appropriate documentation** (in a form specified by this Manual) with **sufficient, relevant and reliable supporting evidence** (where necessary);
- 4.4 The Conflict of Interest provisions shall apply at all times.

Role of the Assessment Panels

- 4.5 Assessment panels shall:
 - 4.5.1 Undertake assessments and conduct interviews;
 - 4.5.2 Evaluate any preliminary recommendations or assessments forwarded to the panel by the Board or its delegate(s);
 - 4.5.3 Formulate recommendations to the Board or its delegate(s); in relation to the matters identified in paragraph AP 1 of this section;
- 4.6 If after undertaking an assessment of documentation filed, a panel is substantially dissatisfied with the information provided, it shall recommend to the Board or its delegate(s) the following:
 - 4.6.1 Evidence supporting preliminary recommendations is insufficient, irrelevant, and/or unreliable as per the provisions set forth in the "Evidence" section;
 - 4.6.2 The information submitted is inadequate, incomplete, or insufficient;
 - 4.6.3 Preliminary recommendations fail to fully consider the Boards' or its delegate(s) approved standards and policies;
 - 4.6.4 The applicant should be interviewed;
 - 4.6.5 Any other grounds a panel deems relevant;

Assessments

- 4.7 Assessments undertaken by a panel are limited to assessments of the documentation and preliminary recommendations filed. Assessments undertaken shall be in accordance with the provisions set forth in the "Assessments" section. Panels shall render a report to the Board or its delegate(s) in accordance with INV 2 "Assessment reports" in relation to each application, form or request assessed;
- 4.8 Authorised assessment panels or assessment officers shall not perform interviews (as per the "Interview" section) unless approved by the Board or its delegate(s);

Panel Recommendations

- 4.9 Recommendations formulated by panels shall be forwarded to the Board or its delegate(s) for action;
- 4.10 Recommendations by multi-person panels are to be finalised at the conclusion of the meeting in which the documentation is filed, unless:
 - 4.10.1 A panel, or party subject to a proceeding requires and extension for good cause;
 - 4.10.2 Further assessment of a matter is required (in accordance with paragraph INV 1 “General nature of assessments”);
- 4.11 Recommendations by panels shall be forwarded to the Board or its delegate(s) within fourteen (14) days or any period deemed relevant by the Board or its delegate(s) unless good cause can be shown or further assessment is required in accordance with sub-paragraph 4.10.2;
- 4.12 Recommendations formulated by a panel shall be sent to the Board or its delegate(s) no later than seven (7) days or any period deemed relevant by the Board or its delegate(s) after a panel has assessed the matter;
- 4.13 The Board or its delegate(s) shall, no later than seven (7) days or any period deemed relevant by the Board or its delegate(s) after a decision has been made, formally notify a party subject to a proceeding of the result.
- 4.14 Notification times shall be guided by paragraph GP 12 “Time allocated for proceedings”;

Conduct of panels

- 4.15 Panel members shall not divulge or allow to be divulged, except in the performance of their duties or under the authority of the Board or its delegate(s), information obtained by them or which has come to their duties under this section in respect to all internal matters of the Institute.

AP 5 ADDITIONS AND AMENDMENTS

- 5.1 The Board or its delegate(s) maintains a systematic program of review of its standards, policies and procedures (refer to the “Review of Standards, Policies and Procedures” section) in order to ensure that it contributes to:
- 5.2 Community safety, health, and amenity, and the preservation of community confidence in the Accredited Building Surveyors profession and professions specialising in a particular area of Accredited Building Surveyors (such as Pre-purchase and pre sale inspections compliant to NZS4306:2005, management and maintenance inspections, disability access, etc.);
- 5.3 The development and enhancement of the Accredited Building Surveyors profession;
- 5.4 The achievement of the objectives of various regulations and good trade and management practices around New Zealand as determined by the Institute.

5.5 However, where Accredited Building Surveyors professional or interested parties believe that all or parts of this section require addition or amendment, they are encouraged to do so by filing a submission with the Board or its delegate(s).

AP 6 BOARD DELEGATION

6.1 The Board may choose to delegate its authority wholly or partly under this section.