



Licensing Manual 2006

Section 6

Assessments

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Summary

1. Assessments undertaken as part of this Manual shall be adequately planned, sufficient and appropriate for the purpose, be based on sufficient, relevant and reliable evidence, undertaken with an attitude free of value judgments, undertaken with professional competence, due care, objectivity, and integrity, supported by expert sources when considered necessary, and with a proper understanding of the risks;
2. Assessments undertaken as part of this Manual shall apply an analytical approach incorporating assertion recognition, hypothesis formulation, preliminary survey, assessment plan, evidence collection, evidence evaluation, and decision making;
3. Written reports are to be prepared for each assessment undertaken;
4. Reports shall present factual data accurately and fairly, include only data, findings, and conclusions that are adequately supported by sufficient relevant and reliable evidence, present findings and conclusions in a convincing manner, be objective, and present factual data completely to fully inform users.

Assessments

AST 1 General nature of assessments

- 1.1 Assessments undertaken as part of this Manual shall be:
 - 1.1.1 Adequately planned, and assistants utilised are to be properly supervised;
 - 1.1.2 Sufficient and appropriate for the purpose to enable reasonable conclusions to be logically drawn for the evidence;
 - 1.1.3 Be based on sufficient, relevant and reliable evidence as set forth within the "Evidence" section. Evidence acquired shall not be used for personal gain, or be used in a manner detrimental to the welfare of the person(s) subject to the assessment;
 - 1.1.4 Undertaken with an attitude of professional objectivity assuming that the documentation is neither correct or incorrect, relevant or irrelevant, sufficient or insufficient;
 - 1.1.5 Undertaken in the context of ensuring that the purposes of licensing as set forth in paragraph GI 1, and the responsibility of the Board as set forth in paragraph GI 2 are not compromised;
 - 1.1.6 Free of value judgments;
 - 1.1.7 Undertaken with professional competence, due care, objectivity, integrity and in accordance with the relevant paragraphs of the conflict of interest provisions set forth within this Manual;
 - 1.1.8 Based on accepted standards, codes, and policies;
 - 1.1.9 Supported by expert sources when considered necessary in accordance with paragraph EV 9, "Expert evidence" as set forth in the "Evidence" section;
 - 1.1.10 With a proper understanding of the risks associated with an incorrect or inappropriate recommendation;
 - 1.1.11 Undertaken through inspection, observation, interview, inquiry and confirmation;

- 1.2 Assessments undertaken as part of this Manual shall apply an analytical approach incorporating:
 - 1.2.1 Assertion recognition – The ascertainment of pertinent facts and circumstances in relation to the assertions under assessment;
 - 1.2.2 Hypothesis formulation - 1 – The identification of assessment objectives based on the assertions identified from sub-paragraph (1.2.1);
 - 1.2.3 Preliminary survey – Familiarisation process of gathering information, without detailed assessment or verification procedures. The preliminary survey shall be an organised activity, with a written plan. It shall not be a haphazard “get acquainted” activity conducted loosely. It should lead to an assessment plan;
 - 1.2.4 Hypothesis formulation - 2 – The specification of assessment objectives in detail based on sub-paragraphs (1.2.2) and (1.2.3);
 - 1.2.5 Assessment plan – The listing of assessment procedures, which shall allow the assessor to determine what steps to take to obtain sufficient, relevant and reliable evidence in order to form a recommendation in relation to the assertions, identified within sub-paragraph (1.2.4). The plan should identify the nature, timing, and extent of assessment procedures;
 - 1.2.6 Evidence collection – The selection and performance of procedures designed to produce information related to the assertions under assessment (refer to paragraph EV 5 “Obtaining evidence”);
 - 1.2.7 Evidence evaluation – Assessors shall be as objective as possible when evaluating evidence, drawing conclusions and making recommendations. This objectivity is achieved by:
 - 1.2.7.1 Finding standards, codes, and/or policies for evaluation, and
 - 1.2.7.2 Using measurements of actual results, so
 - 1.2.7.3 The actual results can be compared to the standards, codes, and/or policies;
 - 1.2.8 Decision making – Reporting findings, drawing conclusions, and formulating recommendations;

- 1.3 Parties to an assessment are entitled to disclosure of all new evidence submitted by parties or obtained by the assessor (s), and to notice of any new issue(s) identified by the assessor (s) in the course of an assessment.

AST 2 Assessment reports

- 2.1 Written reports are to be prepared for each assessment undertaken by an officer of the Institute, panel or expert as part of the processes identified within this Manual;
- 2.2 Reports shall include:
 - 2.2.1 A description of the scope and objectives of assessment procedures undertaken (see sub-paragraph (1.2.4), and the assessment procedures themselves (see sub-paragraph (1.2.5) ;
 - 2.2.2 A statement that the assessment was conducted with due consideration of all relevant standards, codes and/or policies (see sub-paragraph (1.2.7)), and the principles listed within paragraph AST 1;
 - 2.2.3 A description of evidence collected (see sub-paragraph (1.2.6));
 - 2.2.4 A description of any material issues, problems, discrepancies, inconsistencies, etc. found;
 - 2.2.5 A statement of positive assurance on assertions assessed where sub-paragraph (2.2.4) does not apply, or negative assurances on assertions not tested or where sub-paragraph (2.2.4) does apply;
 - 2.2.6 Recommendations for actions to overcome matters described in sub-paragraph (2.2.4);
 - 2.2.7 A listing of issues and questions needing further assessment and consideration;
 - 2.2.8 A statement of whether any pertinent information has been omitted because it is deemed privileged or confidential. The nature of such information should be described, and the law or other basis under which it is withheld should be stated;
 - 2.2.9 Any qualifications or disclaimers described in detail;
- 2.3 Reports shall be signed by the assessor and the Chairperson for multi person panels(s);

- 2.4 Reports shall:
 - 2.4.1 Present factual data accurately and fairly;
 - 2.4.2 Include only data, findings, and conclusions that are adequately supported by sufficient relevant and reliable evidence as identified within the “Evidence” section;
 - 2.4.3 Present findings and conclusions in a convincing manner;
 - 2.4.4 Be objective;
 - 2.4.5 Be written in language as clear and simple as the subject matter allows;
 - 2.4.6 Be concise, but at the same time, clear enough to be understood;
 - 2.4.7 Present factual data completely to fully inform users.

AST 3 Additions and amendments

- 3.1 The Board 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:
 - 3.1.1 Community safety, health, and amenity, and the preservation of community confidence in the building control profession;
 - 3.1.2 The development and protection of the building control profession;
 - 3.1.3 The achievement of the objectives of various building acts and regulations around New Zealand;
- 3.2 However, where Licensed Building Control Officials or interested parties believe that all or parts of this section requires addition or amendment, they are encouraged to do so by filing a submission with the Board or its delegate(s).

AST 4 Board delegation

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