

Chairperson and Committee Members
REGULATORY MANAGEMENT COMMITTEE

23 APRIL 2015

Meeting Status: **Public**

Purpose of Report: For Information

REGULATORY SERVICES OPEN FOR BUSINESS UPDATE

PURPOSE OF REPORT

- 1 This report is to provide the Regulatory Management Committee with an update of the Regulatory Services Open for Business work programme.

DELEGATION

- 2 The Regulatory Management Committee has the delegated authority to consider this paper.

“6. Generally this delegation provides authority to exercise all functions, duties and powers relating to all matters assigned to this Committee, as adopted by the Council from time to time, where financial provision has been made in the Annual Plan or LTP, and where the action proposed is not contrary to established Council strategy and/or policy or the power of delegation.”

BACKGROUND

- 3 Since April 2013 Regulatory Services staff have progressed a wide range of continuous improvements under the banner of Open for Business. Updates on the Regulatory Open for Business project have been presented to Council at briefings on 29 May 2014 and 21 October 2014.
- 4 A further improvement was reported to this Committee at its meeting of 12 March 2015. The improvement is a new Regulatory Services Quarterly Report that provides a ‘dashboard’ of what is happening in Regulatory Services. The first report using the new template will be provided at the end of the first quarter 2015/16. Graphs will be provided to add context and allow Councillors to track trends over time and across the secondary level Key Performance Indicators (KPIs) that appear in the Regulatory Services Activity Management Plan. The meeting supported this initiative and resolved:

MOVED (D. Scott/Mayor)

That the Regulatory Management Committee notes it will receive a quarterly report on the volumes and quality of work undertaken by Regulatory Services with the first report due after 30 September 2015.

CARRIED.

- 5 The Regulatory Open for Business work programme has included a series of workshops in April and May 2014 at which Regulatory staff identified what was being done well and what could be done better in Regulatory Services. In addition to the Regulatory Services workshops, staff have participated in the corporate-wide Caring, Dynamic, Effective workshops. The work undertaken in all these workshops contributed to the work programme outlined in the draft Regulatory Services Activity Management Plan.

ISSUES AND OPTIONS

Issues

- 6 Staff have been considering how best to publicly build on the successful development of the new Regulatory Services Quarterly Report associated with the draft Regulatory Services Activity Management Plan. They have identified a need to formalise their Regulatory Services Open for Business work programme updates through meetings rather than briefings. The update, titled the Regulatory Services Open for Business Report, will inform elected members and the public of the progress in improved operational effectiveness, efficient systems and processes, effective and well-targeted regulatory advice, and improved quality of service provided to the community.
- 7 The report will be prepared four times per year and presented on a schedule that is complimentary to the Regulatory Services Quarterly Report. If additional content is sought by Elected Members and/or identified by staff then this will be included.

CONSIDERATIONS

Policy considerations

- 8 There are no policy considerations.

Legal considerations

- 9 This new Regulatory Services Open for Business Report matches the new purpose for local government the Local Government Act 2002 Amendment Act 2012 [clause 10(1)(b)]: *“to meet the current and future needs of communities for good-quality local infrastructure, local public services, and performance of regulatory functions in a way that is most cost effective for households and businesses.”*
- 10 It also gauges compliance with section 10(2) *“In this Act, good-quality, in relation to local infrastructure, local public services, and performance of regulatory functions, means infrastructure, services, and performance that are efficient, effective, and appropriate to present and anticipated future circumstances.”*

Financial considerations

- 11 There are no financial considerations.

Tāngata whenua considerations

- 12 There are no Tāngata Whenua considerations.

SIGNIFICANCE AND ENGAGEMENT

Degree of significance

13 This matter has a low level of significance under Council policy

Consultation already undertaken

14 There is no consultation required.

Engagement planning

15 As this is an information paper an engagement plan is not required.

Publicity

16 There may be public interest in the information on work programmes (Appendix 1 to report RS-15-1536 refers).

RECOMMENDATIONS

17 That the Regulatory Management Committee notes the information contained in the Regulatory Services Open for Business Update as detailed in Appendix 1 of RS-15-1536.

Report prepared by **Approved for submission** **Approved for submission**

Katrina Shieffelbein

Tamsin Evans

Sharon Foss

Quality Officer

**Group Manager,
Community Services**

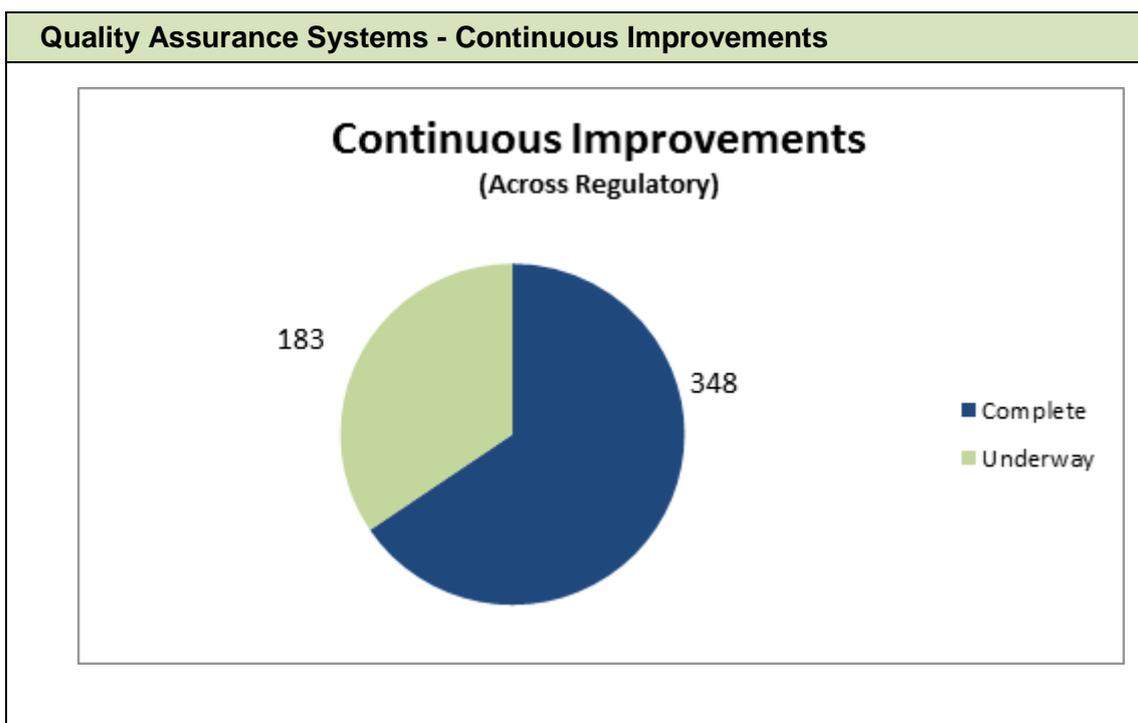
**Acting Group Manager,
Regulatory Services**

ATTACHMENTS

1 Appendix 1. Regulatory Services Open for Business Report

Regulatory Services Open for Business Report

Development of Quality Assurance Systems (QAS) Manuals	
<ul style="list-style-type: none"> • QAS Manual - complete 	<ul style="list-style-type: none"> • Animal Control After Hours QAS Manual • Building Consent Authority QAS Manual
<ul style="list-style-type: none"> • QAS Manual - drafted and being reviewed 	<ul style="list-style-type: none"> • Building Control Territorial Authority QAS Manual draft – 25 processes drafted and being reviewed. • Animal Control QAS Manual draft – 40 processes drafted and being reviewed. • Alcohol Licencing QAS Manual draft – 17 processes drafted and being reviewed.
<ul style="list-style-type: none"> • QAS Manual - content outline started 	<ul style="list-style-type: none"> • Resources Consents and Compliance QAS Manual draft – content outline started.



Quality Assurance Systems – NCS System Improvements
--

NCS Service Requests		
Issue	Solution	Outcome
Database contained obsolete staff details and request types which didn't align with current/future reporting outcomes. Reporting on KPIs not easily achieved.	Audit of Napier Computing Service (NCS) service request database configuration across all Regulatory teams and changes to database to reflect identified changes and report requirements.	Request types and timeframes now align with Annual Plan and Activity Management Plan reporting requirements ensuring ease of use by staff in providing reporting results.
Service requests not being actioned within required timeframes.	Created automated weekly report on overdue requests by team and/or officer.	All internal and external requests are followed up and outcomes of resolution are recorded for future reference. Timely customer response to queries.
Lack of training and/or understanding by staff in use of NCS Service Request system.	Development of service request system training documentation and one on one training of staff as required.	Training programme ensures that the service request system is used consistently and therefore reports produced are meaningful and accurate.
No system for recording compliments and complaints or in what format these are being received within the organisation.	Created templates within NCS for electronic recording of Regulatory compliments and complaints in NCS service request system.	Enable reporting and monitoring of compliments and complaints as well as identifying in what format these are being received (e.g. via feedback form, social media etc.).
Resource Consents		
Issue	Solution	Outcome
Risk of resource consents not processed within required timeframes due to lack of monitoring.	Created automated weekly report on current (outstanding) resource consents.	Report distributed and reviewed at weekly team meetings to monitor status of outstanding consents, processing timeframes and workload allocations.
Duplication and inconsistency in some reports which were manually created in different formats by different people.	Created automated weekly and monthly reports on resource consent applications received and decisions issued.	New reports ensure consistency in content/format and require no manual data input by staff therefore reducing potential for operator input error.

Resource Consent invoice process doesn't allow for financial breakdown of different revenue streams.	Drafted series of new invoice codes which align with proposed fee structure 2015/16. Also ensure that proposed invoicing codes also meet Ministry for the Environment (MfE) reporting requirements.	Enable analysis of revenue from resource consents dependant on fee type and therefore provide meaningful data for future fee reviews (for implementation from July 2015). Future National Monitoring System (NMS) reports won't require manual data input of financial information.
Input of resource consent data not consistent with MfE National Monitoring System report requirements for 2014/15.	On-going work with Resource Consent staff to ensure their understanding of the requirements for NCS data input to meet report outcomes. On-going monitoring of data quality and feedback to staff if errors occur.	Staff have a greater understanding of the requirement for accurate data input and how the system can work for them. Minimal manual data input will be required for 2014/15 NMS reporting.
Building Consents		
Issue	Solution	Outcome
Report on outstanding building consents from NCS was run manually and required adjustment and input by staff.	Created automated weekly report on current building consents for monitoring consent status and processing times.	Report reviewed at weekly team meetings to monitor status of outstanding consents, processing timeframes and workload allocations.
Database contained obsolete staff details and status which didn't align with required reporting outcomes.	Consultation with staff on required changes and audit of NCS building consent database. Structure of database amended to meet requirements.	Staff more confident in using system with up to date data and improved report accuracy.
Building Consent invoice process doesn't allow for breakdown of revenue streams.	Drafted series of new invoice codes which align with proposed fee structure 2015/16.	Enable analysis of revenue from building consents dependant on fee type and therefore provide data for future fee reviews (for implementation from July 2015).

Building consent reports on applications received and consents issued were generated by different people for different purposes. Format and data results often inconsistent.	Created automated report for consent applications and consents issued which can be filtered by user date range and therefore used for all reporting requirements.	Consistency in reporting format and data quality with no requirement for manual input by staff.
LIMS		
Issue	Solution	Outcome
No system for monitoring LIMS to ensure they are processed in time.	Created report on LIMS outstanding – emailed three times weekly to key staff.	Early identification of LIMS approaching statutory timeframes and internal KPIs.
Inaccuracy in reporting of processing times of LIMS	Improved internal checklists and processes for issuing LIM.	Ensure accuracy with issue date and calculation of processing times
Licences		
Issue	Solution	Outcome
Inconsistency in content and format of letters, documents and reports sent to licensees.	Revised all documentation and loaded all templates into NCS system.	Documentation sent to customers is consistent and readily available for staff to access in a central place.

Open for Business Projects (as included in the Draft Activity Management Plan)	
Technology	
<ul style="list-style-type: none"> • Online applications and LIMs 	
<ul style="list-style-type: none"> • Mobile technology 	
<ul style="list-style-type: none"> • Improved technology in general – what comes next - developments 	
Pre Application Advice	
<ul style="list-style-type: none"> • Duty Officer Review 	
<ul style="list-style-type: none"> • Business Start-up Group Review 	
<ul style="list-style-type: none"> • Design Review Meetings Review 	
Communication	
<ul style="list-style-type: none"> • Digital newsletter 	
<ul style="list-style-type: none"> • Customer forums and meetings 	
<ul style="list-style-type: none"> • User/ Business Groups 	
<ul style="list-style-type: none"> • User Feedback - from surveys, feedback forms, compliments and complaints 	
Projects	
<ul style="list-style-type: none"> • Protocols – Incident response manual e.g. whale stranding, asbestos, water quality 	
<ul style="list-style-type: none"> • Review Regulatory signs in the District 	
<ul style="list-style-type: none"> • Environmental Monitoring Strategy – Review framework to prioritise sectors for compliance e.g. signs 	
<ul style="list-style-type: none"> • Public Information Review - Website 	
<ul style="list-style-type: none"> • Public Information Review - Forms / letter templates 	
<ul style="list-style-type: none"> • Public Information Review - Guidance documents and brochures 	
<ul style="list-style-type: none"> • Bylaw and Associated Policy Review 	
<ul style="list-style-type: none"> • Hazardous Substances and New Organisms (HSNO) Review 	
<ul style="list-style-type: none"> • LIMs – Process and Quality Control (source data) 	
<ul style="list-style-type: none"> • Use of contaminated land process 	
<ul style="list-style-type: none"> • Scanning Documents – process 	
<ul style="list-style-type: none"> • GIS display on website review 	