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Lincs Building Consultancy

BS EN ISO 9001:2015

Quality Manual

for Building Control Services



The Lincs Building Consultancy Quality Management System

1.0 Introduction

Lincs Building Consultancy, is committed to providing a high-quality, professional and accountable service to all of our clients. The following paragraphs describe our approach to meeting the requirements of ISO 9001:2015. The continuing assessment procedure required by our accreditation will ensure that the service we provide improves year on year.

1.1 Scope

The Consultancy has established, documented and implemented a quality management system which meets the requirements of ISO 9001:2015. The Consultancy operates predominantly within the East Lindsey District; however we do offer a nationwide plan checking service via the LABC network. The scope of the quality system covers Building Control services including:

- Full Plans
- Building Notice
- Initial Notice
- Requests for Regularisation Certificates
- Inspection of Works
- Enforcement
- Dangerous Structures
- Demolition notices
- Street numbering and Naming

A full comprehensive listing of all areas covered can be found in Appendix 1. The quality management system is maintained in a manner that continually improves its effectiveness in accordance with the requirements of this international standard.

2.0 Management Responsibility

2.1 Management Commitment

The Team Leader is committed to the development and implementation of the quality management system outlined in this quality manual and will continually improve the service by adopting and achieving the following objectives:

- Setting standards
- Being open and provide full information
- Consulting and involving

- Encouraging access and promotion of choice
- Treating all fairly
- Putting things right when they go wrong
- Using resources effectively
- Innovating and improving
- Working with other providers
- Providing user satisfaction

The commitment is embodied within the day to day operations as well as contained within the formal QMS documentation.

2.2 Customer Focus

The Team Leader ensures that the requirements of our customers are identified and established through the development of a service plan for the Consultancy.

Customer feedback is obtained through:

- Service questionnaires

Additionally the Consultancy constantly reviews the information provided to its customers to ensure that they are fully aware of:

- The range and scope of services provided
- How enquiries and applications should be made and how they are processed
- How feedback should be given, including how complaints can be made

This is achieved through:

- Clear and concise forms in plain English
- The Council's website
- Technical information provided on request

2.3 Quality Policy Statement

Lincs Building Consultancy is committed to the concept of:-

- Sustaining and improving the high quality of Building Control services provided to customers based on:
 - professionalism
 - care
 - attention
 - impartiality

- public accountability
- Providing documented assurance to ELDC Members and customers that the service is being provided in a consistent, professional, effective and efficient manner.
- Striving for continuous improvement in quality levels in order to reduce and eliminate errors from operations and any other internal activity.

To meet these objectives the Section applies the Quality System outlined in this Quality Manual which has been developed in accordance with the requirements of BS EN ISO 9001:2015.

Conformance with the requirements of the detailed procedures outlined in this Quality Manual is mandatory for all staff engaged in the provision of building consultancy services.



Signed

Building Consultancy Team Leader

2.4 Quality Planning

2.4.1 Objectives

The Team Leader ensures that quality objectives are established at relevant functions within the division. The achievement of these objectives is measured through performance monitoring, complaint analysis and corrective/ preventative action procedures. These objectives will be reviewed at the regular Management Meetings and the Annual Management Review Meeting.

The setting and reviewing of the objectives will be in accordance with the Team Plan.

2.4.2 System Planning

The work of the Consultancy is such that quality planning to meet new requirements is not a day-to-day function. Where new services or products are introduced, appropriate planning will take place via the regular Meetings. Consideration will be given to internal and external issues that will impact and be relevant at the time. The risk and opportunity matrix shown in Appendix 3 will be referred to as part of the planning process. Changes will be introduced via the document control procedures.

2.4.2.1 Understanding the Needs and Expectations of Interested Parties

The consultancy has determined the interested parties that may impact upon the performance of the service. Any requirements of the interested parties the consultancy have identified as relevant to the consultancy's quality management system are included within the Interested Parties Matrix (shown in Appendix 4) along with the consultancy's requirements relevant to the interested party.

2.4.2.2 Responsibility, Authority and Communication

The Team Leader has overall responsibility for quality.

The inter-relationship of all personnel within the consultancy who manage and perform activities affecting quality is detailed in the organisational chart in Appendix 2.

The duties, responsibilities and authority of those personnel are defined in individual job descriptions and are reflected in the documented procedures described in section 2 of this manual.

The Team Leader ensures that performance information is communicated to all staff through Management Team meetings and through regular staff meetings.

2.4.3 Management Review

The Annual Management Review meeting will be attended by the Quality Manager, Team Leader, Principal Consultant Surveyors and the Technical Admin Lead Officer. The purpose will be to verify the continuing suitability and effectiveness of the Quality System, and minutes will be recorded indicating any recommendations for improvements to the system.

2.4.4 Applicability

2.4.4.1 Design and Development

The building control function is controlled by statute, and does not extend to providing consultancy or design services, therefore conformance with clause 8.3 of ISO 9001:2015 is excluded from the QMS.

2.4.4.2 Monitoring and measuring resources

The only test equipment used is measuring tapes, which are used to determine setting out and other measurements on site. Calibration is not considered necessary, but the tapes are checked for fitness for purpose and repaired/replaced under the "Control of Operational Equipment" procedure.

The procedure also states how specialist equipment such as computer software is maintained. Conformance with clause 7.1.5 of ISO 9001:2015 is therefore excluded from the QMS.

3.0 Documentation Requirements

3.1 Team Plan

The Team Plan for the Consultancy has been developed from the results of the *best value review* and the *Council's Best Value Performance Plan and Customer Feedback*.

The Team Plan details:

- team responsibilities and reporting lines
- delivery of corporate strategy
- performance – KPI's, Corporate Indicators and Benchmarking
- risks

- finance – Revenue budget, Transformation programme, Service efficiencies, Budget pressures, Capital, Grants and external payments.
- service delivery arrangements – team structure, delivering contracts, commissioning services and delivering through partnerships, partnerships and networks.
- Training.

This corporate plan is reviewed and updated based upon analysis of the data produced by the quality management system and through customer feedback.

3.2 Quality Manual (this document)

The document contains:

- policy and objectives for quality assurance
- levels of authority and responsibility of key personnel
- structure and content of the Quality System
- the method of complying with the requirements of ISO 9001:2015
- list of operational procedures

3.3 Procedures Manual

This document contains the detailed instructions necessary to ensure that a consistent service is delivered in accordance with current policy and customer needs. A Procedures List is provided at Appendix 1.

3.4 Control of Documents

The "Control of Documents" procedure ensures that only current documents are in use. The control extends to:

- Quality System procedures and forms
- Technical references
- Obsolete documents retained for knowledge preservation purposes
- Electronic media used within the division

3.5 Quality Records

The Quality Records provide evidence of service delivery and verification. They are identified in every procedure, indexed to the activity, stored safely, and readily retrievable to facilitate corrective action/analysis, as defined in the Control of Quality Records procedure.

3.6 Interaction of Processes within the Quality Management System.

Interaction of Processes within the Quality Management System:

- Service Delivery
- Management Processes
- Support Processes
- Management/ Support Processes

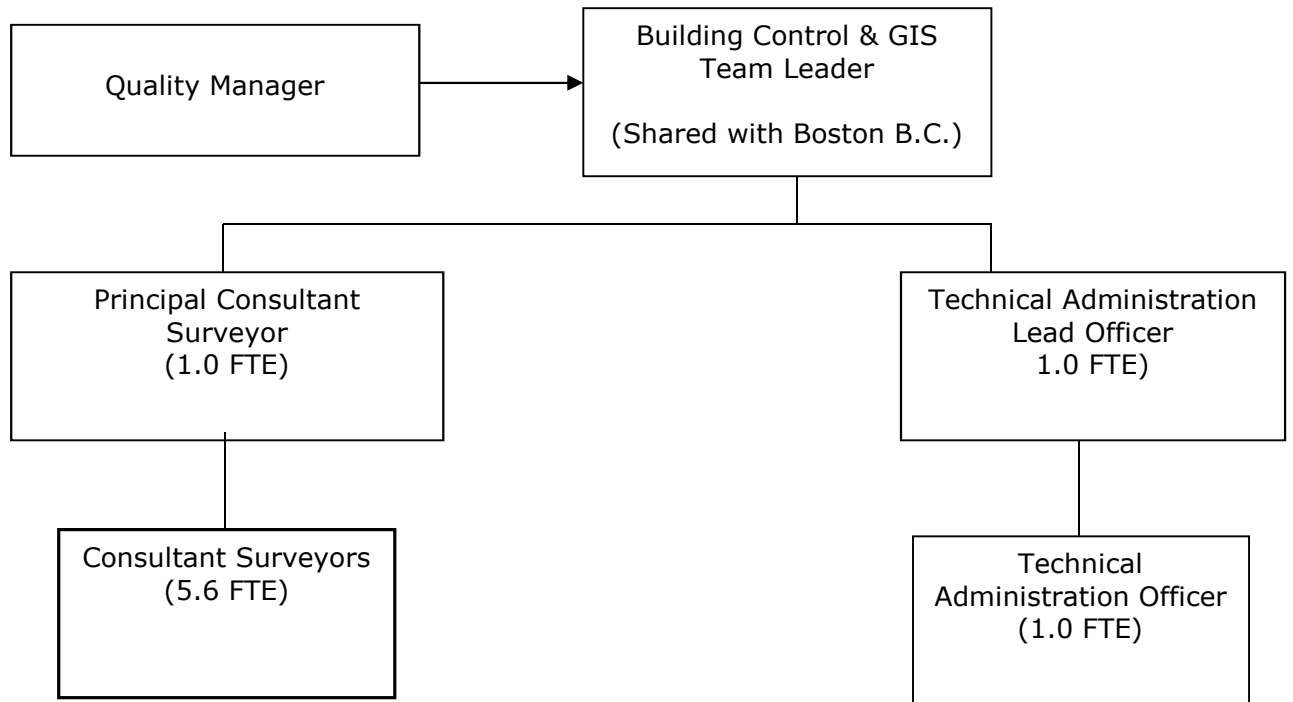
Appendix 1

List of Operational procedures:

- 1 List of Abbreviations
- 2 Management Review
- 3 Control of Documents
- 4 Purchasing & Control of suppliers
- 5 Internal Quality Audit
- 6 Training
- 7 Work Monitoring
- 8 Control of Operational Equipment
- 9 Control of Records
- 10 Customer Care
- 11 Processing of Submissions
- 12 Full Plans Assessment
- 13 Inspection of Works on Site
- 14 Dangerous Structures
- 15 Demolitions
- 16 Enforcement Action
- 17 Street Name and Numbering
- 18 Corrective and Preventative Action/ Improvements

Appendix 2

Lincs Building Consultancy Organisational Chart



Appendix 3

RISK AND OPPORTUNITIES REGISTER

	Issue	Context (Internal/ External)	Interested Parties	Risk	Opportunity	Risk Rating	Significant?	Objective Required?	Actions	Relevant
1	Staff leave organisation (BC Surveyors, BC Admin., Management)	Performance/ knowledge - Internal	Staff Management Customers	High impact – Knowledgeable/ experienced staff. Time taken to source new staff/ familiarise them with policy/ procedures, and time to train junior staff will affect service delivery.	New staff bring fresh ideas for efficiency/ continual improvement. Succession planning.	High	Yes	No	Agency/ seconded Surveyors would be used in the short term whilst permanent replacements could be sourced.	Recruitment process. Quality Manual Clause 6.3
2	Customer Feedback	Competitive – External. Values - Internal	Staff Management Customers	Customer contacts the service to inform of the dis-satisfaction.	The service reacts positively and turns the negative into a positive for the customer resulting in positive feedback.	Low	No	Yes	Monitor Customer satisfaction and review as part of the QMS	Customer Care. Quality Manual Clause 10.0
				Customers recommend the BC Service to others: companies / friends / family.	Results in increase of workload for the service.	Low	No	No		
3	Market conditions	Competitive - External	Staff Management Customers Suppliers Subcontractors	Do not win work - Internal costs for developing the quotes/ less of an increase in customer base. Downturn in economy	Win work through tender process or recommendation - May result in a need to employ more staff/ resources.	Low	No	No	Additional applications with new customers usually replace those completed throughout the year. Review and monitor as necessary.	Monthly performance monitoring

				<p>affecting construction sector.</p> <p>Approved Inspectors undercutting charges to win work on price rather than quality.</p>					<p>Ensure fees and charges are competitive but realistic for service provided. Positive marketing of service by staff as one which offers benefits over private sector.</p>	
4	Changes to legislation	Legal - External	Staff Management Customers Suppliers Subcontractors	<p>Cost / time to implement: Could include additional costs if the use of external training required. Could result in negative publicity/ loss of business if not implemented in timescales</p>	<p>Opportunity to host the training locally for customers. Excellent marketing opportunity.</p>	Medium	Yes	No	Training	Training. Quality Manual Clause 6.0
5	Suppliers	Economic – External Performance - Internal	Staff Management Customers Suppliers Subcontractors	<p>Problems with supply of goods and services may affect our service delivery/ timescales.</p> <p>If the supplier ceases trading this may affect our service delivery/ timescales. Cost and time</p>	<p>If the supplier decreases prices/ rates this gives the service the opportunity to reduce overheads and become more cost effective in the eyes of the customer which may increase custom.</p>	<p>Low</p> <p>Low</p>	<p>Yes</p> <p>Yes</p>	<p>No</p> <p>No</p>	<p>Reviewed as necessary.</p>	<p>Performance reviewed at annual management review. Purchasing & Control of Suppliers Quality Manual Clause 4.0</p>

				preferential as lack of track record with new supplier). If the subcontractor increases prices/ rates and this is passed onto customer it may lead to more customers seeking alternatives. If the increase is absorbed and not passed onto Customers this will lead to a reduction in income for the service.		Low	Yes	No		
7	Debtors	Economic – Internal	Staff Management Customers	May not pay the invoice. Could have an effect on income and result in additional costs in recovering the money owed.		Low	No	No	Retain completion certificate till debt paid in full. Monitored by management/ finance.	Monthly budget monitoring.
8	Equipment (General)	Performance - Internal	Staff Management Customers	Equipment becomes obsolete, damaged or unusable / replacement or new equipment required to ensure service delivery can continue.	Opportunity to invest in modern equipment which may have benefits including increased efficiency.	Medium	No	No	Review as necessary. Equipment replaced on regular cycle	Purchasing & Control of Suppliers Quality Manual Clause 4.0 Control of operational Equipment Clause 8.0.
9	IT Equipment (PC/ Laptop/ Phone)	Technological/ Performance – Internal.	Staff Management Customers	Equipment becomes obsolete and	Opportunity to invest in modern equipment which	Low	No	No	Daily back-up's of electronic information will ensure minimal loss	Purchasing & Control of Suppliers

				<p>unusable / replacement or new equipment required to ensure service delivery continues. Possible loss of information if unexpected breakdown of server.</p>	<p>may have benefits including mobile/ agile working to increase efficiency.</p>				<p>of data. Probability of every PC failing at same time - minimal New PC could be delivered same working day if required. Equipment replaced on regular cycle.</p>	<p>Quality Manual Clause 4.0 Control of operational Equipment Clause 8.0.</p>
10	IT	Technological/ Performance – Internal/ External.	Staff Management Customers	<p>Loss of internet is inconvenient - could relocate to another premises (home working) or mobile working solution.</p> <p>External Hackers - Loss of customer information / service information to the hackers.</p> <p>Loss of information - Service/ customer information may be lost - this could be re-obtained from the external back-up or at worst case by contacting the customer for their information (could cause reputational damage/ fine</p>		Low	Yes	No	Business continuity plan. Review as necessary.	Business Continuity Plan
						Low	Yes	No	Back-up of information retained by IT department.	
						Low	Yes	No	Back-up of information retained by IT department.	

				from ICO).						
11	Vehicles	Performance – Internal/ External	Staff Management Customers	Breakdowns - Surveyor cannot carry out site inspection as agreed / Customer is not satisfied with the service received.		Low	Yes	No	The Surveyors use own vehicles. Either another Surveyor could carry out inspection or a pool car could be used (if available). Customer would be kept informed/ advised of potential delay. Surveyors must ensure their vehicles are serviced / maintained regularly to remain reliable.	Business Continuity Plan. Control of operational Equipment Clause 8.0.
12	Premises		Staff Management Customers	Loss of building – Time taken to return to a suitable level of service.		Low	Yes	No	Business continuity plan. Site Surveyors would be least affected. Administration personnel would work from other premises / contact between site/ office personnel could be via mobile phones. IP landline phones could be diverted to mobiles. Home working as required.	Business Continuity Plan.
				Loss of services (water, gas, electricity, IT) - Time taken to return to a suitable level of service.		Low	Yes	No	Site Surveyors would be least affected. Administration personnel would work from other premises. Contact between site/ office personnel could be via mobile phones. IP landline phones could be diverted to mobiles. Home working as required.	

Appendix 4

INTERESTED PARTIES MATRIX

Interested Party	Needs and Expectations (Requirements)	Monitoring	Needs Met
Employees	Stable employment and safe working environment with good opportunities. Good morale and engagement opportunities.	Induction, training & personal development review records. CSCS Accreditation.	Yes
Corporate Body (ELDC)	Service planning in line with corporate strategy. Regular reporting including performance, risk management and financial forecasting. Service provision in line with best practice and to budget/ income in relation to changes in government funding.	Service Plan. Monthly performance reports.	Yes
Elected Members (ELDC)	Compliance, assurance and support.	Performance and financial reporting. Monthly updates with Portfolio Holder.	Yes
Development Control	Planning conditions.	Building Regulations applications cross-referenced to Planning.	Yes
Planning Enforcement	Regular exchange of intelligence/ information to ensure correct enforcement pathway.	Planning alert notice.	Yes
Environmental Health	Regular exchange of intelligence/ information to ensure correct enforcement pathway.	Alert notice.	Yes
Customer Service (Compass Point)	Provided with correct information, i.e. forms, contact details, guidance documents. Timely response as per service standards	Management meetings	Yes

GIS Team	Correct information provided and timely response as per service standards	Management meetings	Yes
Marketing Team (ELDC)	Support with marketing plan, marketing materials.	Management meetings	Yes
IT (Compass Point)	Robust, reliable and user friendly IT platforms.	IT Service Requests.	Yes
Human Resources (Compass Point)	Recruitment, induction, training and personal development.	Training & personal development review plans.	Yes
Payroll Department (Compass Point)	Claims for expenses are submitted according to Policy.	Reports from payroll.	Yes
Council Tax (Compass Point)	Use LBC records to ascertain at which stage to issue Council Tax. Up to date/ accurate records.	Reports from Council Tax.	Yes
Property Services	Planned maintenance.	PS Service requests.	Yes
Member of Public	Public protection. Dangerous structures, unauthorised building works, demolitions. Competence. Data protection – subject access requests, EIR/ FOI requests.	Complaints records. Notifications of works.	Yes
Customers	Providing quality service at the right time as detailed in ISO quality policy. ISO certification.	Current ISO certification. Feedback.	Yes
Structural Engineer Consultations	Correct information provided and timely response as per service standards	Management meetings.	Yes
Out-of-Hours Contractor	Timely response as per service standards, insurance and health and safety standards.	Management meetings. Risk Assessments.	Yes
Fire Authority Consultations	Correct information provided and timely response as per service standards	Management meetings.	Yes
Water Authority Consultations (Anglian Water)	Correct information provided and timely response as per service standards	Management meetings.	Yes

Other Local Authority Building Control departments	Correct information provided and timely response as per service standards	Performance reports.	Yes
Parish Councils	Community engagement	Management meetings. Street Naming consultations.	Yes
Competitors (Approved Inspectors)	Acceptance of Initial Notices in a timely manner.	Performance reports.	Yes
Suppliers	Follow procurement policies.	Supplier evaluation.	Yes
LABC	Membership, data, opinions, good practice guidance, lobbying government.	Membership registration. Regular e-mail updates. BCPSAG returns. Quarterly meetings.	Yes
Certification bodies	Maintain certification without non-conformances	Current accreditation and ongoing visit reports.	Yes
Government - DCLG	New/ amended legislation. Consultations.	Team made aware of new legislation/ requirements and dates for implementation.	Yes
Government – Central	Adequate funding to provide service at a sustainable, effective and efficient level	Finance reporting. Budget setting.	Yes
Training Providers	Qualified trainers. Comprehensive range of nationally recognised and fully accredited training and assessments.	Training request forms. Training and development plan. Training questionnaires.	Yes
Insurance	Management of risk	Current insurance	Yes

		policies/ reports.	
Management Information (ELDC)	Timely and accurate response to FOI/ EIR and DP subject access requests	Reports from Management Information.	Yes
Business Continuity Team (Lincolnshire County Council)	Regular reviews, updates, training and exercises to confirm BCP is fit for purpose. Advice and support.	Business Continuity Plan Reviews	Yes