

Supervision Companion Guide for IQP's

SAFETY | COMPETENCY | COMPLIANCE





Supervision Companion Guide for IQP's

Undertaking supervision is an important role and it should not be undertaken unless you have considered the practical and legal implications of performing this function.

This supervision guideline has been written to assist Independent Qualified Persons (IQP) who supervise persons carrying out prescribed inspections, tests, and maintenance work.

Supervision is an important process and one that needs to be understood by both the Supervisor (the person doing the supervision) and the Supervisee (the person being supervised). It allows for the training and development of persons who are seeking registration as an Independent Qualified Persons (IQP) and ensures that there are sufficient workers available to the industry.



Supervision of prescribed compliance schedule inspections, test and maintenance work.

Prescribed compliance schedule inspections, test and maintenance work as required by the Building Act 2004 and in the buildings compliance schedule.

Supervision is also defined as: supervision, in relation to any work, means that the work is undertaken under such control and direction of a person authorised to do the work or, a person authorised to supervise work is sufficient to ensure -

- a) that the work is performed competently; and
- b) that while the work is being undertaken, appropriate safety measures are adopted; and
- c) that the completed work complies with the requirements of any regulations.

Put simply, if you are supervising you are responsible for making sure that the work is done safely and competently and is compliant. Supervising IQP's should also note that the work done under supervision is being done under their authorisation and as such it is the Supervisor who is responsible for and accountable for the work being done. It is the supervising IQP who can face disciplinary action before the TA(Council) and other regulatory bodies if the work is not completed to an acceptable standard.

Remember: An Independent Qualified Persons (IQP) who supervises another person doing work is responsible for and can be held accountable for the work that person completed under their supervision.





Who can be supervised?

A registered Independent Qualified Persons (IQP) can supervise any unregistered person who is carrying out inspections, test and/or maintenance work but there are some limitations.

Limitation 1: the IQP can only supervise persons that they are authorized to supervise: must be register with the TA(Council) for the specific specified system undergoing the work performed by the trainee and/or

Limitation 2: if the person being supervised is not a Trainee then: the work completed by the trainee must be inspected and tested by the supervising IQP.

A Trainee is a person who is not competent to perform the work unsupervised, unregistered for the specific system and/or needs to undergoing instruction or training to perform any inspections, test and/or maintenance work for the purpose of maintaining or obtaining building compliance

Who is the supervisor?

The Supervisor is the registered Independent Qualified Persons (IQP) who is registered for the specific specified system that is being inspected, tested and/or maintained and is ensuring that the work that is being carried out by the person who is being supervised is done safely and competently and is compliant.

A Trainee's Supervisor may not always be the person who agreed to oversee their training. A Trainee's Supervisor is the person who is actually supervising the work that they are carrying out. The Supervisor must know who they are supervising and what work

is being done under their supervision. The Supervisee must know who their Supervisor is and how they can get the Supervisor's assistance when they need it. The Supervisor may change during the course of a job and from time to time.

Can an IQP supervise another IQP?

The TA(Council) registration is based on competence and accountability. If an IQP is authorised and registered to carry out the work then they do not need to be supervised.

They must take responsibility for and be accountable for the work that they carry out or supervise.

If the work is beyond the limits of competence and registration they must then be supervised by another IQP who is authorised and registered for the specific specified system. If a worker is not confident that they have the knowledge or skill to complete the work safely and compliantly then they can get the supervising IQP to check and verify their work. They can also get it inspected by the supervising IQP. Getting work checked and certified or inspected may also be appropriate in situations where electrical work is being carried.

An IQP can also get another IQP to mentor them so that they can continue to learn and develop. This is different from supervision as the IQP is still responsible for their work.

Types of supervision

If an registered IQP is supervising the completion of work they need to follow the guidelines below. The guidelines give acceptable and recognized forms of supervision for those working in Rangitikei for the purpose of achieving compliance for a Building Warrant of Fitness. Note that there may be more specific requirements imposed in certain types of installations.

Consider providing written instructions or diagrams for complex work or for work that the person being supervised is unfamiliar with.



Direct Supervision

Direct supervision is working one-on-one with the person you are supervising. Typically, this type of supervision is for low-skilled workers or inexperienced workers or when you are completing complex or high-risk work. Direct supervision requires direct contact with the person being supervised while they are completing tasks. This means you maintain visual contact and/or are within earshot of those you are supervising.

Direct supervision is best used when:

- The person being supervised has not shown a consistent ability to perform a task at the required standard;
- The person being supervised is new to a task or is untrained;
- The work is complex or contains variations to tasks that are usually performed as a matter of course. Work might include detailed design which requires frequent reference to the working drawings and specifications; and
- There is a reasonable chance for unplanned events to arise that may be beyond the person's current ability. If you are in doubt as to the level of supervision that is required it is safest to use direct supervision.

EXAMPLE IN ACTION: A Trainee is performing a test or inspection for the first time. Direct supervision should be adopted here as the initial overall task would be considered complex.



Indirect Supervision

Indirect supervision is the most common form of supervision. This requires face-to-face contact on a regular or periodic basis. The Supervisor must continue to provide direction, control and oversight of tasks although not necessarily always in close proximity. However, the Supervisor must be contactable for assistance or instruction when required.

Indirect supervision should be used when:

- the person being supervised has previously demonstrated the ability to perform a task with limited oversight, control and direction;
- the person being supervised knows (has demonstrated) an ability to seek clarity or assistance when it is needed; and
- on-the-job training has been undertaken in the past, which has resulted in a safe, competent and compliant outcome.

EXAMPLE IN ACTION: The person being supervised is inspecting, testing or doing maintenance work that they have previously installed under direct supervision. The Supervisor is working in the same district and is utilising indirect supervision because he has assessed the complexity of the work and knows the skills of the individuals doing the work. The Supervisor will periodically check and assist with the work as it proceeds.





Remote Supervision

Remote supervision may be used where a registered IQP is running one or more jobs and cannot be present on site at all times. Remote supervision may be appropriate where the following conditions are present:

- those being supervised are skilled and/or knowledgeable and have demonstrated the ability to undertake certain tasks without constant, oversight, control and direction;
- the Supervisor has identified specific tasks when he or she is needed on site to provide direction, control or oversight; and
- lines of communication (phone or using other electronic media) are in place so that advice and assistance can be offered when and where required. Regular contact with the supervised persons is still required. Remember circumstances may change during the completion of the tasks. It may be necessary to reassess the level of supervision required if and when this happens and to use direct or indirect supervision when appropriate.

EXAMPLE IN ACTION: A Supervising IQP is in charge of multiple buildings/sites of differing complexity on the go at the same time. With some that involve simple low risk inspections, tests and/or maintenance work.

The person being supervised is well known to the Supervisor and is highly skilled and/or knowledgeable in the task they are to perform. The Supervisor has adopted remote supervision and after issuing instructions touches base by phone regularly, supervising IQP must visit buildings periodically in person, annually at a minimum in order to ensure compliance and to be able to issue the relevant compliance reports and/or 12a's.



Specific supervision considerations and requirements

A Supervisor must provide instructions to enable the supervised person to carry out the work in a safe, competent and compliant manner. The instructions should include:

- a) Site and health and safety instructions;
- b) How the prescribed inspections, tests and/or maintenance work is to be carried out;
- c) The parts to be installed (if any) and how to install them, including reference to any manufacturers' instructions and/or declarations of conformity;
- d) How relevant standards, regulations and codes are to be complied with;
- e) Methods of isolation, testing and inspection;
- f) Procedures in relation to the use of locks for personal protection against electric shock and safety tags;
- g) The equipment to be used and how to use it;
- h) Personal protective equipment to be used and how to use it;
- i) The limits of the prescribed work the Trainee can carry out; and
- j) Procedures to follow in the event the Trainee requires assistance or clarification.

The supervising IQP must visit buildings periodically in person, annually at a minimum in order to ensure compliance and to be able to issue the relevant compliance reports and/or 12a's.

Remember part of the role of a Supervisor is to allow the supervised person to learn and to gain the benefit of the Supervisor's knowledge, skill and experience.

A Supervisor is responsible for the competence and compliance of any work carried out under their supervision.

To ensure this a Supervisor must test to verify the work is safe and compliant prior to issuing of any compliance reports and/or 12a's as required by the Building Act 2004.



Can a trainee do any certification?

The TA(Council) allows Trainees to complete site check lists, test sheets, make comment in the site record file and is required to verify any of the work they have done on any specified system in the building. This would include any maintenance or repair (including replacement) work carried out on a buildings specified system. Their Supervising IQP must ensure that the supervisee clearly understands the compliance schedule requirements along with the required building record keeping requirements. A Trainee/supervisee cannot issue a compliance report and/or 12a for the purpose of issuing a Building Warrant of Fitness (BWOFF). The TA(Council) requires that such reports be issued by the supervising/registered IQP.

The Supervisor's responsibilities

Supervision is a two-way relationship. The person being supervised also has obligations and responsibilities. The person being supervised should check and understand:

- Who their Supervisor is;
- The health and safety requirements for the work; and
- The Supervisor's instructions on how the work is to be carried out. The person being supervised must also take all practicable steps to ensure their own safety whilst carrying out the work including:
- Ensuring personal protective equipment to be used is in good order and condition, and is safe for its intended use;
- Ensuring all equipment to be used is in good order and condition, and is safe for its intended use;
- Taking all practicable steps to follow the instructions set out by the Supervisor and/or employer in relation to health and safety; and
- Taking all practicable steps to carry out the work in a safe manner. The person being supervised must also:
 - Know who their Supervisor is at all times whilst carrying out prescribed work and how they can contact them;
 - Understand and follow the directions and instructions given by their Supervisor at all times;
 - Use their best endeavours to carry out work assigned by a Supervisor in a competent and compliant manner; and
 - Ask their Supervisor if they do not understand any instruction or if they are unsure how to carry out any work assigned by the Supervisor.

A person who is being supervised should refuse to do any work where they feel unsafe or where they do not consider they have the required competence or skills or the necessary supervision to carry out the work in a safe, competent or compliant manner.



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