

**From:** [Official Information](#)  
**To:** [s7\(2\)\(a\)](#)  
**Cc:** [Official Information](#)  
**Subject:** Final response - [s7\(2\)\(a\)](#) - Harry - IANZ assessment reports 2019, 20, 21, 22, 23  
**Date:** Tuesday, 17 October 2023 11:38:18 am  
**Attachments:** [image001.png](#)  
[image002.jpg](#)  
[image003.jpg](#)  
[IANZ Audit 2020- Hamilton CC Assessment Report - 2020-06-11\\_Redacted.pdf](#)  
[2022 Hamilton Assessment Report INITIAL - Amended 12{2}05{2}2022 \(ID 604731\) Redacted.pdf](#)

---

Kia ora,

We refer to your information request below. Hamilton City Council provides the following response.

**Your request:**

*Requesting Hamilton City Councils Building Consent Authority IANZ assessment report Final. For the years 2019, 2020, 2021, 2022, 2023 where relevant.*

**Our response:**

Hamilton City Council only has IANZ assessment every 2 years, therefore we only have 2 reports for the timeframe requested 2020 and 2022. Please see attached.

We have had to withhold some information from the documents which we are releasing in response to your request. We have applied digital black redactions over the withheld information and have supplied the code to identify the section of the Local Government Official Information and Meetings Act 1987 (LGOIMA) which we are relying on. We have withheld information on the basis that it is necessary to protect the Privacy of natural persons per [section 7\(2\)\(a\)](#) LGOIMA.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at [www.ombudsman.parliament.nz](http://www.ombudsman.parliament.nz) or freephone 0800 802 602.

**Ngaa mihi**  
**Keeley Faulkner**  
**Official Information Coordinator**  
Governance & Assurance Team | Business Services  
Email: [officialinformation@hcc.govt.nz](mailto:officialinformation@hcc.govt.nz)



**Hamilton City Council | Private Bag 3010 | Hamilton 3240 | [www.hamilton.govt.nz](http://www.hamilton.govt.nz)**

 [Like us on Facebook](#)  [Follow us on Twitter](#)

*This email and any attachments are strictly confidential and may contain privileged information. If you are not the intended recipient, please delete the message and notify the sender. You should not read, copy, use, change, alter, disclose or deal in any manner whatsoever with this email or its attachments without written authorisation from the originating sender. Hamilton City Council does*

not accept any liability whatsoever in connection with this email and any attachments including in connection with computer viruses, data corruption, delay, interruption, unauthorised access or unauthorised amendment. Unless expressly stated to the contrary the content of this email, or any attachment, shall not be considered as creating any binding legal obligation upon Hamilton City Council. Any views expressed in this message are those of the individual sender and may not necessarily reflect the views of Hamilton City Council.

*I support flexibility at work. While it suits me to send this email now, I don't expect a response outside of your own working hours.*

-----Original Message-----

**From:** **s7(2)(a)**

**Sent:** Tuesday, 3 October 2023 1:25:29 pm

**To:** [info@hcc.govt.nz](mailto:info@hcc.govt.nz)

**Subject:** LGOIMA Request

Afternoon,

Requesting Hamilton City Councils Building Consent Authority IANZ assessment report Final. For the years 2019, 2020, 2021, 2022, 2023 where relevant.

Kind Regards

**s7(2)(a)**



## **BUILDING CONSENT AUTHORITY ACCREDITATION INITIAL ASSESSMENT REPORT**

**AMENDED ON 12 MAY 2022**

**HAMILTON CITY COUNCIL**

**CONTENTS**

INTRODUCTION	3
ASSESSMENT SUMMARY	3
CONTINUING ACCREDITATION	3
RISK ASSESSMENT	4
NEXT ACCREDITATION ASSESSMENT	4
BCA AND ASSESSMENT DETAILS	5
ASSESSMENT OBSERVATIONS	6
RECORDS OF NON-COMPLIANCE	23
SUMMARY OF RECOMMENDATIONS	26
SUMMARY OF ADVISORY NOTES	27
SUMMARY TABLE OF NON-COMPLIANCE	28

## INTRODUCTION

This report relates to the remote accreditation assessment of the **Hamilton City Council Building Consent Authority (BCA)** which took place during **May 2022** to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006* (the Regulations).

This report is based on the document review, witnessing of activities and interviews with the BCA's employees and contractors undertaken during the accreditation assessment.

A copy of this report, and subsequent information regarding progress towards clearance of non-compliance/s, will be provided to the Ministry of Business, Innovation and Employment (MBIE) in accordance with International Accreditation New Zealand's (IANZ) contractual obligations. This report may also be made publicly available by the BCA as long as this is not done in a way that misrepresents the content within. It may also be released under the Local Government Meetings and Official Information Act 1987 consistent with any ground for withholding that might be applicable.

## ASSESSMENT SUMMARY

This initial report has been amended to provide the accurate number of Recommendations and Advisory notes within the table under BCA and Assessment Details on page 5.

The assessment identified that the BCA has a very well-functioning quality system, which was managed by a very dedicated BCA team under supportive management.

There were however, some outstanding issues including the management of the statutory clock when issuing RFIs during processing. These are detailed below. The outstanding non-compliances must be addressed in order for accreditation to continue.

## CONTINUING ACCREDITATION

Accreditation is a statement, by IANZ, that your organisation complies with the Regulations and MBIE BCA accreditation scheme guidance documents (as relevant). Where non-compliance with the Regulations has been identified, the Act requires that it must be addressed.

### Addressing non-compliances identified during the assessment

**Action Plan:** Your non-compliances with the Regulations have been summarised and recorded in detail in this report. Please complete the Record of Non-compliance table/s detailing your proposed corrective actions and the evidence that will be provided, and forward a copy to IANZ.

**Evidence of addressing non-compliances:** Evidence, as described in your action plan, must be supplied to IANZ to demonstrate that you have addressed your non-compliances.

To maintain accreditation you must provide evidence of the actions taken to clear non-compliance to IANZ within the required timeframe. Please allow at least 10 working days for IANZ to respond to any submitted material and allow sufficient time after submission of your evidence in case further evidence is required.

If you do not agree with the non-compliances identified, or if you need further time to address non-compliances, please contact the Lead Assessor as soon as possible. Where you are seeking an extension to an agreed timeframe to address a non-compliance, your Chief Executive is required to make a formal request for an extension of the timeframe. These will only be granted for unpredictable and unmanageable reasons.

If you have a complaint about the assessment process, please refer the BCA Accreditation disagreements guidance which can be found [here](#) or contact the IANZ Lead Assessor, IANZ Programme Manager – Building, or IANZ Operations Manager - Inspection and BCA sectors, for further information about the IANZ appeals and complaints process.

## RISK ASSESSMENT

The BCA's risk, both to the Territorial Authority, as a BCA and also as an organisation accredited by IANZ was assessed. The BCA was considered to pose a **Low Risk**. The main reasons for considering this risk category were:

- There were only three general non-compliances identified during the assessment, and some parts to these were resolved during the assessment.
- The assessment had no concerns about the BCA's technical output.
- There were no significant non-compliances repeated from the last assessment.
- The BCA had been compliant for the whole of the period since the last assessment for both Building Consents and Code Compliance Certificates.
- The BCA appeared to have a plan and sufficient resources to address the remaining findings.
- There are no upcoming changes that could affect the BCA's ongoing performance.

## NEXT ACCREDITATION ASSESSMENT

Unless your BCA undergoes a significant change, requiring some form of interim assessment, or the BCA is unable to clear the identified non-compliances within the agreed timeframe, the next assessment of the BCA is planned as a **Routine Reassessment for May 2024**.

You will be formally notified of your next assessment six weeks prior to its planned date.

## BCA AND ASSESSMENT DETAILS

ORGANISATION DETAILS											
Organisation: Hamilton City Council											
Address for service: Municipal Offices, Garden Place, Hamilton 3204											
Client Number:	6696	Accreditation Number:	19								
Chief Executive:		Lance Vervoort									
Chief Executive Contact Details:		<a href="mailto:lance.vervoort@hcc.govt.nz">lance.vervoort@hcc.govt.nz</a>									
BCA Responsible Manager:		Mr Cory Lang									
BCA Responsible Manager Contact Details:		<a href="mailto:cory.lang@hcc.govt.nz">cory.lang@hcc.govt.nz</a>									
BCA Authorised Representative:		Mr Cory Lang									
BCA Authorised Representative Contact Details:		<a href="mailto:cory.lang@hcc.govt.nz">cory.lang@hcc.govt.nz</a>									
BCA Quality Manager:		Mr Cory Lang									
BCA Quality Manager Contact Details:		<a href="mailto:cory.lang@hcc.govt.nz">cory.lang@hcc.govt.nz</a>									
Number of BCA FTEs Total FTEs should = technical FTEs + admin FTEs + vacancies	Technical Vacancies (Technical)	32 2	Admin support Vacancies (Admin)	14 2							
BCA Activity during the previous 12 months						Building Consents					
						R1	788	R2	526	R3	531
						C1	251	C2	84	C3	62
						CCCs				1538	
						New compliance schedules				75	
						BCA Notices to Fix				3	
ASSESSMENT TEAM											
Assessment Date:		2 May 2022 to 6 May 2022									
Lead Assessor:		Lesley Chen									
Lead Assessor Contact Details:		<a href="mailto:LChen@ianz.govt.nz">LChen@ianz.govt.nz</a>									
Technical Expert(s):		Brendan Guyton and Phil Judge									
Observer(s):		S 7(2)(a)									
ASSESSMENT FINDINGS											
				This assessment:			Last assessment:				
Total # of “serious” non-compliances:				0			0				
Total # of “general” non-compliances:				3			5				
Total # of non-compliances outstanding:				3			4				
Recommendations:				6 5			1				
Advisory notes:				0 4			2				
Date clearance plan required from BCA:				10 June 2022							
Date non-compliances must cleared:				5 August 2022							
NEXT ASSESSMENT											
Recommended next assessment type:				Routine Reassessment							
Recommended next assessment date:				May 2024							
IANZ REPORT PREPARATION											
Prepared by: Lesley Chen		Date: 9 May 2022			Signature:		S 7(2)(a)				
Checked by: S 7(2)(a)		Date: 10 May 2022			Signature:						
Amended by: Lesley Chen		Date: 12 May 2022			Signature:						
Amendment checked by:		Date: 12 May 2022			Signature:						

## ASSESSMENT OBSERVATIONS

### REGULATION 6A NOTIFICATION REQUIREMENTS

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had appropriately documented and effectively implemented its procedure for notification requirements in accordance with Regulation 6A.</p> <p>The BCA submitted a notification in October 2021 informing MBIE and IANZ of the appointment of a new Chief Executive Officer for Hamilton City Council.</p>	

### REGULATION 7 PERFORMING BUILDING CONTROL FUNCTIONS

#### Regulation 7(2)(a): providing consumer information

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA provided adequate consumer information regarding how to apply for a consent, and how an application was processed, inspected and certified, in accordance with Regulation 7(2)(a).</p>	

### Regulation 7(2)(b)-(c), and 7(2)(d)(i): receiving, checking and recording applications

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	1
<b>Recommendation number/s:</b>	R1
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had appropriately documented and effectively implemented its procedure for receiving, checking and recording applications in accordance with Regulation 7(2)(b), (c) and 7(2)(d)(i).</p> <p>The BCA is recommended to consider a way to address the completion of the Form 2 in relation to the means of compliance section.</p> <p><b>See Recommendation R1.</b></p>	

### Regulations 7(2)(d)(ii): assessing applications

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriately documented and effectively implemented its procedure for assessing applications, which was effectively implemented in accordance with Regulation 7(2)(d)(ii).</p>	

### Regulations 7(2)(d)(iii): allocating applications

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriately documented and effectively implemented its procedure for allocating applications in accordance with Regulation 7(2)(d)(iii).</p>	

**Regulation 7(2)(d)(iv): processing building consent applications and Regulation 7(2)(e): planning inspections**

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 1</b>
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	<b>0</b>
<b>Recommendation number/s:</b>	<b>-</b>
<b>Number of advisory notes:</b>	<b>3</b>
<b>Advisory note number/s:</b>	<b>A1, A2, A3</b>
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had adequately documented its procedure for processing building consent applications in accordance with Regulation 7(2)(d)(iv).</p> <p>The BCA is advised to consider for clarification purposes, to revise the wording of the prompt “Is the competency correct on this project” within its processing system, so that it would be clear that the prompt is for the Building Officer to consider that the measure of the category of the building is correctly selected, and that they have the relevant competency to assess it.</p> <p><b>See Advisory Note A1.</b></p> <p>The BCA is also advised to consider reviewing their processing checklist, as the current assessment for compliance of NZBC G5 is being recorded within NZBC D1.</p> <p><b>See Advisory Note A2.</b></p> <p>A range of samples of Building Consents were reviewed for Processing under Regulation 7(2)(d)(iv). The samples identified that the BCA included the request for fee payment as part of the technical review RFI (section 48(2) of the Building Act 2004). If the fee payment did not form part of the RFI response, the BCA continued to have the statutory clock stopped until such time this fee would be paid, and the BCA would not consider that RFI response as a complete response.</p> <p>As fee payment is not a request for further technical information, the BCA was considered to not have grounds to keep the statutory clock for the Building Consents on hold.</p> <p><b>GNC 1 to be resolved.</b></p> <p>The BCA is advised to consider articulating some finer level of technical information within the processing record other than just the compliance path to help give context to the reasoning documented.</p> <p><b>See Advisory Note A3.</b></p>	

## Regulation 7(2)(d)(v): granting and issuing consents

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 2</b>
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	<b>1</b>
<b>Recommendation number/s:</b>	<b>R2</b>
<b>Number of advisory notes:</b>	<b>0</b>
<b>Advisory note number/s:</b>	<b>-</b>

### Observations and comments, including good practice and performance

#### Compliance with Form 5

The BCA had adequately documented its procedure for granting and issuing consents, in accordance with Regulation 7(2)(d)(v).

Implementation of its procedures was not always adequate, where the Performance Standards that were listed within the Building Consent Form 5 were not always appropriate for the proposed Specified Systems, and within examples whereby the existing Compliance Schedule was requiring an amendment; the Building Consent Form 5 did not always list all of the Specified Systems and their performance standards relevant to the “Building”.

#### GNC 2 to be resolved.

The BCA is recommended to reformat the conditions section on its Building Consent Form 5, in a way that the headers would be listed clearly, as currently, it was unclear whether the inspection heading was part of the conditions or not, and it did not reference Section 90 of the Building Act 2004.

#### See Recommendation R2.

#### Lapsing

The BCA had adequately documented its procedure for lapsing of Building Consents, in accordance with Regulation 7(2)(d)(v).

The BCA had not adequately implemented its documented procedure when it discussed that it would send out lapse reminder letters at the 10th month after the consent was issued. The BCA’s documented procedure had not provided an indication as to when this process was to take place. The BCA indicated that as long as the letter was sent, it was satisfied that the process was fulfilled. The BCA’s system had indicated that it would run the “10 month reminder letter report”, and then a “10 month reminder letter” was to be sent to the customer.

**This part of GNC 2 was resolved during the assessment**, where the BCA updated their desk file procedure nominating performance measures as to when this process would take place.

#### Compliance with statutory timeframes

The BCA’s statutory timeframe for granting and issuing building consents within 20 working days was seen to be substantially compliant for the last 24 months, averaging around 96.6%.

**Regulation 7(2)(e): planning, performing and managing inspections**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	1
<b>Advisory note number/s:</b>	A4
<b>Observations and comments, including good practice and performance</b>	
<p>Inspections were adequately planned as part of processing.</p> <p>The BCA had appropriately documented and effectively implemented its procedure for planning, performing and managing inspections in accordance with Regulation 7(2)(e).</p> <p>The BCA is advised to consider providing a brief description to the inspection photographs attached to the inspection reports, so that it can clarify the relevance of the photos to the inspection outcome.</p> <p><b>See Advisory Note A4.</b></p> <p>At the time of the assessment, the BCA was able to provide next day inspections to customers for lower category inspections (such as residential work), but for commercial work, there was around a 4-5 working day wait time.</p> <p>This assessment was carried out as a remote assessment due to the COVID-19 virus pandemic and as such, assessment of the implementation of inspection activities by on-site witnessing was outside of the assessment scope.</p>	

## Regulation 7(2)(f): code compliance certificates, compliance schedules and notices to fix

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 3</b>
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	<b>1</b>
<b>Recommendation number/s:</b>	<b>R3</b>
<b>Number of advisory notes:</b>	<b>0</b>
<b>Advisory note number/s:</b>	<b>-</b>

### Observations and comments, including good practice and performance

#### **Application for a code compliance certificate**

The BCA had appropriately documented and effectively implemented its procedure for receiving and considering applications for a Code Compliance Certificate.

#### **Code compliance certificates**

The BCA had appropriately documented and effectively implemented its procedure for preparation and issue Code Compliance Certificates.

#### **24 month CCC decision**

The BCA had appropriately documented its procedure for making a 24-month decision on whether to issue a Code Compliance Certificate where no application for Code Compliance Certificate had been received.

The BCA had not adequately implemented its documented procedure when it discussed that it would send out CCC reminder letters at the 22<sup>nd</sup> month after the consent was granted. The BCA's documented procedure had not provided an indication as to when this process was to take place. The BCA indicated that as long as the letter was sent, it was satisfied that the process was fulfilled. The BCA's system had indicated that it would run the "22 month reminder letter report", and then a "22 month reminder letter" was to be sent to the customer.

**This part of GNC 3 was resolved during the assessment**, where the BCA updated their desk file procedure nominating performance measures as to when this process would take place.

The BCA had inappropriately stated in its 24<sup>th</sup> month CCC decision letter template that the reason for CCC refusal was partly due to no CCC application received.

**This part of GNC 3 is to be resolved.**

#### **Compliance with statutory timeframes**

The BCA's statutory timeframe for issuing Code Compliance Certificates within 20 working days was seen to be substantially compliant for the last 24 months, averaging around 98.8%.

#### **Compliance schedules**

The BCA had appropriately documented and effectively implemented its procedure for preparation and issue of Compliance Schedules.

The BCA is recommended to ensure the Performance Standards referenced on the Compliance Schedule are specific with the required level of detail as would be required for the IQP to understand the performance requirements.

One Compliance Schedule reviewed where C/VM2 was listed as the performance standard for a Specified System. It would be more appropriate to include the reference to the specific fire design rather than the verification method in isolation.

**See Recommendation R3.**

**Notices to fix**

The BCA had an appropriately documented and effectively implemented its procedure in accordance with Regulation 7(2)(f) for Notices to Fix.

**Regulation 7(2)(g): customer inquiries**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedure for receiving and managing customer inquiries about building control functions in accordance with Regulation 7(2)(g).	

**Regulation 7(2)(h): customer complaints**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedure for receiving and managing customer complaints about building control functions in accordance with Regulation 7(2)(h).	

**REGULATION 8 ENSURING ENOUGH EMPLOYEES AND CONTRACTORS****Regulation 8(1): forecasting workflow**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedure to forecast its workflow in accordance with Regulation 8(1).	

**Regulation 8(2): identifying and addressing capacity and capability needs**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedure to identify and address capacity and capability needs in accordance with Regulation 8(2).	

**REGULATION 9 ALLOCATING WORK**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedure to allocate work in accordance with Regulation 9.	

**REGULATION 10 ESTABLISHING AND ASSESSING COMPETENCY OF EMPLOYEES****Regulation 10(1): assessing prospective employees**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriately documented procedure which was effectively implemented in accordance with Regulation 10(1) for establishing the competence of a person who applied to it for employment as an employee performing building control functions.</p>	

**Regulation 10(2) and (3): assessing employees performing building control functions**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriately documented procedure which was effectively implemented in accordance with Regulation 10(2) for assessing annually (or more frequently) the competence of its employees performing building control functions.</p> <p>The BCA had an appropriately documented procedure which was effectively implemented in accordance with Regulation 10(3)(a) to (f), which specified the technical requirements for a competence assessment system. All competence assessments were found to be appropriate and to record an appropriate level of detail, as per the National Building Consent Authority Competency Assessment System (NCAS).</p>	

**REGULATION 11 TRAINING EMPLOYEES DOING A TECHNICAL JOB****Regulation 11(1) and (2)(a)-(d),(f) and (g): the training system**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	1
<b>Recommendation number/s:</b>	R4
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had developed a training system in accordance with Regulation 11(1). Where omissions were detected, they are addressed under their relevant regulation below.</p> <p>The BCA had appropriately documented and effectively implemented its procedure in accordance with Regulation 11(2)(a) to (d), (f) and (g) for making annual (or more frequent) training needs assessments, preparing training plans that specified the training outcomes required, ensuring that employees received the training agreed for them, monitoring and reviewing its employees' application of the training they received, recording employees' qualifications, experience and training, and recording continuing training information.</p>	
<p><b>Regulation 11(2)(b)</b>  The BCA is recommended to ensure the Training Plan Matrix is filled out at the time that training completion data was received, to reflect the employee's individual learning and development plans.  <b>See Recommendation R4.</b></p>	

**Regulation 11(2)(e): supervising employees doing a technical job under training**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had appropriately documented and effectively implemented its procedure to supervise its employees doing a technical job under training in accordance with Regulation 11(2)(e).</p>	

**REGULATION 12(1) and (2)(a) to (f) CHOOSING AND USING CONTRACTORS**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	<b>1</b>
<b>Recommendation number/s:</b>	<b>R5</b>
<b>Number of advisory notes:</b>	<b>0</b>
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had appropriately documented its procedure for choosing and using contractors to perform its building control functions in accordance with Regulation 12(1).</p> <p>The BCA had appropriately documented its procedures for having a system that covered the requirements listed in Regulations 12(2)(a) to (f). The BCA does not currently use any contractors to assist with its building control functions; therefore implementation of its procedures was not able to be reviewed.</p> <p>The BCA is recommended to ensure its contract template complies with the requirements of Regulation 12, and of the requirements set out within the detailed regulatory guidance should it decided to enter into any contractual agreements in the future.</p> <p><b>See Recommendation R5.</b></p>	

**REGULATION 13(a) and (b) ENSURING TECHNICAL LEADERSHIP**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	<b>No</b>
<b>Number of recommendations:</b>	<b>0</b>
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	<b>0</b>
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had appropriately documented and effectively implemented its procedure for having a system identifying employees and contractors who were competent to provide technical leadership in accordance with Regulation 13(a) and (b). The BCA assessed their technical leaders under the NCAS, and had given them the appropriate powers and authorities to perform building control functions.</p>	

**REGULATION 14 ENSURING NECESSARY (TECHNICAL) RESOURCES**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had appropriately documented and effectively implemented its procedures for ensuring it had a system for providing, and for ensuring the continuing availability of and continuing appropriateness of the technical information, facilities, and equipment that its employees and contractors needed to perform building control functions.	

**REGULATION 15(1)(a) and (b) and (2): KEEPING ORGANISATIONAL RECORDS**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had documented its organisational structure in accordance with Regulation 15(1)(a) and (b).  The BCA had an appropriate procedure for recording the roles, responsibilities, powers, authorities and any limitation on powers and authorities for its employees and contractors performing building control functions in accordance with Regulation 15(2). The procedure was adequately implemented.	

**REGULATION 16(1) and (2)(a) to (c): FILING APPLICATIONS FOR BUILDING CONSENT**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriate procedure for allocating every application for building consent, and building consent amendment its own unique identification. The procedure was appropriately implemented in accordance with Regulation 16(1).</p> <p>The BCA had an appropriate procedure for putting information on an applications file and storing it securely and in a way that made it accessible and retrievable. This was appropriately implemented in accordance with Regulation 16(2)(a) to (c).</p>	

**REGULATION 17 ASSURING QUALITY****Regulations 17(1) and (2)(a): A quality assurance system that covers management and operations**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had developed a Quality Assurance System that covered its Management and Operations. Where omissions were detected they were addressed under their relevant Regulation in this report.</p>	

**Regulation 17(2)(b) and (3): A policy on quality and a quality manager**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriate Quality Policy which included quality objectives, and quality performance indicators for its building control functions at a high level. It was adequately implemented in accordance with Regulation 17(2)(b).</p> <p>The BCA had appointed a Quality Manager, named as Cory Lang in its Quality Assurance System, in accordance with Regulation 17(3).</p>	

**Regulation 17(2)(d): Regular management reporting and review, including of the quality system**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriate procedure for reviewing its management system annually (or more frequently) against the expected standards for performance and high level performance indicators from its Quality Policy. This was adequately implemented in accordance with Regulation 17(2)(d).</p>	

**Regulation 17(2)(e) Supporting continuous improvement**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriate procedure for supporting continuous improvement, and this was adequately implemented in accordance with Regulation 17(2)(e).</p>	

**Regulation 17(2)(h): Undertaking annual audits**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure for undertaking annual audits, and this was adequately implemented in accordance with Regulation 17(2)(h).	

**Regulation 17(2)(i): Identifying and managing conflicts of interest**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure in its quality assurance system for identifying and managing conflicts of interest. It was adequately implemented in accordance with 17(2)(i).	

**Regulation 17(2)(j): Communicating with internal and external persons**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure in its quality assurance system, for communicating with internal and external persons, and it was adequately implemented in accordance with 17(2)(j).	

**Regulation 17(3A): Complaints about building practitioners**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriately documented procedure to ensure that the BCA considered whether to make, and made complaints to relevant occupational or professional authorities about practitioners whenever they appeared to it necessary or desirable in accordance with Regulation 17(3A)(a) to (c).	

**Regulation 17(4): Compliance with a quality assurance system**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure for ensuring that its employees complied with its quality assurance system. This was adequately implemented in accordance with Regulation 17(4).	

**Regulation 17(5): Strategic management reporting and review**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure for annual (or more frequent) review of its quality assurance system, and for making appropriate changes in the quality assurance system. It was adequately implemented in accordance with Regulation 17(5).	

**REGULATION 18 TECHNICAL QUALIFICATIONS**

<b>Non-compliance? Y/N</b>	<b>No</b>
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate procedure, which was adequately implemented for requiring technical qualifications, and establishing circumstances of employees and contractors that would make it unreasonable and impractical for requiring technical qualifications in accordance with Regulation 18(1) to (3).	

## RECORDS OF NON-COMPLIANCE

<b>RECORD OF NON COMPLIANCE #:</b>		<b>GNC 1</b>
<b>Breach of requirement:</b>	<b>Regulation 7(2)(d)(iv)</b>	
<b>Finding:</b>	General Non-compliance	
<b>FINDING DETAILS</b>		
<p>A range of samples of Building Consents were reviewed for Processing under Regulation 7(2)(d)(iv). The samples identified that the BCA included the request for fee payment as part of the technical review RFI (section 48(2) of the Building Act 2004). If the fee payment did not form part of the RFI response, the BCA continued to have the statutory clock stopped until such time this fee would be paid, and the BCA would not consider that RFI response as a complete response.</p> <p>As fee payment is not a request for further technical information, the BCA was considered to not have grounds to keep the statutory clock for the Building Consent on hold.</p>		
<b>BCA ACTIONS REQUIRED</b>		
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report. Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the “Date final evidence of implementation is required from BCA” indicated below.</p>		
<b>IMPORTANT DATES</b>		
<b>Plan of action from BCA due by:</b>	<b>10 June 2022</b>	
<b>All action plans accepted by IANZ:</b>	Click or tap to enter a date.	
<b>Date final evidence of implementation is required from BCA:</b>	<b>22 July 2022</b>	
<b>Final date non-compliance to be cleared by:</b>	<b>5 August 2022</b>	
<b>EVIDENCE</b>		
<p><b>Plan of action</b> <i>(To be provided by BCA):</i></p>		
<p><b>Proposed evidence of implementation</b> <i>(To be provided by BCA):</i></p>		
<p><b>Evidence of implementation and discussion:</b></p>		
<b>NON COMPLIANCE CLEARED</b>		
<b>Signed:</b>	<b>Date:</b> Click or tap to enter a date.	

<b>RECORD OF NON COMPLIANCE #:</b>	GNC 2
<b>Breach of requirement:</b>	Regulation 7(2)(d)(v)
<b>Finding:</b>	General Non-compliance
<b>FINDING DETAILS</b>	
The Performance Standards that were listed within the Building Consent Form 5 were not always appropriate for the proposed Specified Systems, and within examples whereby the existing Compliance Schedule was requiring an amendment; the Building Consent Form 5 did not always list all of the Specified Systems and their performance standards relevant to the “Building”.	
<b>BCA ACTIONS REQUIRED</b>	
Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.	
Please provide the action plan to IANZ for acceptance in the space provided in this report. Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.	
<u>Once the action plan and proposed evidence has been accepted by IANZ</u> , and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the “Date final evidence of implementation is required from BCA” indicated below.	
<b>IMPORTANT DATES</b>	
<b>Plan of action from BCA due by:</b>	10 June 2022
<b>All action plans accepted by IANZ:</b>	Click or tap to enter a date.
<b>Date final evidence of implementation is required from BCA:</b>	22 July 2022
<b>Final date non-compliance to be cleared by:</b>	5 August 2022
<b>EVIDENCE</b>	
<b>Plan of action</b> <i>(To be provided by BCA):</i>	
<b>Proposed evidence of implementation</b> <i>(To be provided by BCA):</i>	
<b>Evidence of implementation and discussion:</b>	
<b>NON COMPLIANCE CLEARED</b>	
<b>Signed:</b>	<b>Date:</b> Click or tap to enter a date.

<b>RECORD OF NON COMPLIANCE #:</b>	<b>GNC 3</b>	
<b>Breach of requirement:</b>	<b>Regulation 7(2)(f)</b>	
<b>Finding:</b>	General Non-compliance	
<b>FINDING DETAILS</b>		
The BCA had inappropriately stated in its 24 <sup>th</sup> month CCC decision letter template that the reason for CCC refusal was partly due to no CCC application received.		
<b>BCA ACTIONS REQUIRED</b>		
Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.		
Please provide the action plan to IANZ for acceptance in the space provided in this report. Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.		
Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the “Date final evidence of implementation is required from BCA” indicated below.		
<b>IMPORTANT DATES</b>		
<b>Plan of action from BCA due by:</b>	<b>10 June 2022</b>	
<b>All action plans accepted by IANZ:</b>	Click or tap to enter a date.	
<b>Date final evidence of implementation is required from BCA:</b>	<b>22 July 2022</b>	
<b>Final date non-compliance to be cleared by:</b>	<b>5 August 2022</b>	
<b>EVIDENCE</b>		
<b>Plan of action</b> ( <i>To be provided by BCA</i> ):		
<b>Proposed evidence of implementation</b> ( <i>To be provided by BCA</i> ):		
<b>Evidence of implementation and discussion:</b>		
<b>NON COMPLIANCE CLEARED</b>		
<b>Signed:</b>	<b>Date:</b> Click or tap to enter a date.	

## SUMMARY OF RECOMMENDATIONS

Recommendations are intended to assist your BCA to maintain compliance with the Regulations. They are **not** conditions for accreditation but a failure to make changes may result in non-compliance with the Regulations in the future.

**It is recommended that:**

- R1 Regulation 7(2)(b)** – The BCA is recommended to consider a way to address the completion of the Form 2 in relation to means of compliance.
- R2 Regulation 7(2)(d)(v)** – The BCA is recommended to reformat the conditions section on its Building Consent Form 5, in a way that the headers would be listed clearly, as currently, it was unclear whether the inspection heading was part of the conditions or not, and it did not reference Section 90 of the Building Act 2004.
- R3 Regulation 7(2)(f) Compliance Schedules** – The BCA is recommended to ensure the Performance Standards referenced on the Compliance Schedule are specific with the required level of detail, as would be required for the IQP to understand the performance requirements.
- R4 Regulation 11(2)(b)** – The BCA is recommended to ensure the Training Plan Matrix is filled out at the time that training completion data was received, to reflect the employee's individual learning and development plans.
- R5 Regulation 12(2)(c)** – The BCA is recommended to ensure its contract template complies with the requirements of Regulation 12, and of the requirements set out within the detailed regulatory guidance should it decided to enter into any contractual agreements in the future.

## SUMMARY OF ADVISORY NOTES

Advisory notes are intended to assist your BCA to improve compliance with accreditation requirements based on IANZ's experience. They are **not** conditions for accreditation and do not have to be implemented to maintain accreditation.

### IANZ advises that:

- A1 Regulation 7(2)(d)(iv)** – The BCA is advised to consider for clarification purposes, to revise the wording of the prompt “Is the competency correct on this project”, so that it would be clear, that the prompt is for the Building Officer to consider that the measure of the category of the building is correctly selected, and that they have the relevant competency to assess it.
- A2 Regulation 7(2)(d)(iv)** – The BCA is also advised to consider reviewing their processing checklist, as the current assessment for compliance of NZBC 5 was being recorded within NZBC D1.
- A3 Regulation 7(2)(d)(iv)** – The BCA is advised to consider articulating some finer level of technical information within the processing record other than just the compliance path to help give context to the reasoning documented.
- A4 Regulation 7(2)(e)** – The BCA is advised to consider providing a brief description to the inspection photographs attached to the inspection reports, so that it can clarify the relevance of the photos to the inspection outcome.

## SUMMARY TABLE OF NON-COMPLIANCE

The following table summarises the non-compliance identified with the accreditation requirements in your BCA's accreditation assessment. Where a non-compliance has been identified, a Record of Non-compliance template has been prepared detailing the issue, and to enable you to detail your proposed corrective actions to IANZ. You must update and return a template for each non-compliance identified.

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs.	Adv. notes	
6(A)(1)	Choose item.													
6(A)(2)	Choose item.													
<b>Regulation 7</b>														
7(1)	Choose item.													
7(2)(a)	Choose item.													
7(2)(b)	Choose item.											1		
7(2)(c)	Choose item.													
7(2)(d)(i)	Choose item.													
7(2)(d)(ii)	Choose item.													
7(2)(d)(iii)	Choose item.													
7(2)(d)(iv)	General	GNC 1		Yes					No	05/08/2022		3		A range of samples of Building Consents were reviewed for Processing under Regulation 7(2)(d)(iv). The samples identified that the BCA included the request for fee payment as part of the technical review RFI (section 48(2) of the Building Act 2004). If the fee payment did not form part of the RFI response, the BCA continued to have the statutory clock stopped until such time this fee would be paid, and the BCA would not consider that RFI response as a complete response. As fee payment is not a request for further technical information, the BCA was considered to not have grounds to have the statutory clock for the Building Consent remain on hold.
7(2)(d)(v)	General	GNC 2		Yes					No	05/08/2022		1		The Performance Standards that were listed within the Building Consent Form 5 were not always appropriate for the proposed Specified Systems, and within examples whereby the existing Compliance Schedule was requiring an amendment; the Building Consent Form 5 did not always list all of the Specified Systems and their performance standards relevant to the "Building".
7(2)(e)	Choose item.											1		
7(2)(f)	General	GNC 3		Yes					No	05/08/2022		1		<ul style="list-style-type: none"> <li>The BCA had not adequately implemented its documented procedure when it discussed that it would send out CCC reminder letters at the 22nd month after the consent was granted. The BCA's documented procedure had not provided an indication as to when this process was to take place. The BCA indicated that as long as the letter was sent, it was satisfied that the process was fulfilled. The BCA's system had indicate that it would run the "22 month reminder letter report", and then a "22 month reminder letter" was to be sent to the customer.</li> <li>The BCA had inappropriately stated in its 24th month CCC decision letter template that the reason for CCC refusal was partly due to no CCC application received.</li> </ul>
7(2)(g)	Choose item.													
7(2)(h)	Choose item.													
<b>Regulation 8</b>														
8(1)	Choose item.													
8(2)	Choose item.													
<b>Regulation 9</b>														
9	Choose item.													
<b>Regulation 10</b>														
10(1)	Choose item.													
10(2)	Choose item.													
10(3)	Choose item.													
<b>Regulation 11</b>														

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)	
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs.	Adv. notes		
11(1)	Choose item.														
11(2)(a)	Choose item.														
11(2)(b)	Choose item.											1			
11(2)(c)	Choose item.														
11(2)(d)	Choose item.														
11(2)(e)	Choose item.														
11(2)(f)	Choose item.														
11(2)(g)	Choose item.														
<b>Regulation 12</b>															
12(1)	Choose item.														
12(2)(a)	Choose item.														
12(2)(b)	Choose item.														
12(2)(c)	Choose item.											1			
12(2)(d)	Choose item.														
12(2)(e)	Choose item.														
12(2)(f)	Choose item.														
<b>Regulation 13</b>															
13(a)	Choose item.														
13(b)	Choose item.														
<b>Regulation 14</b>															
14	Choose item.														
<b>Regulation 15</b>															
15(1)(a)	Choose item.														
15(1)(b)	Choose item.														
15(2)	Choose item.														
<b>Regulation 16</b>															
16(1)	Choose item.														
16(2)(a)	Choose item.														
16(2)(b)	Choose item.														
16(2)(c)	Choose item.														
<b>Regulation 17</b>															
17(1)	Choose item.														
17(2)(a)	Choose item.														
17(2)(b)	Choose item.														
17(2)(c)	Choose item.														
17(2)(d)	Choose item.														
17(2)(e)	Choose item.														
17(2)(h)	Choose item.														
17(2)(i)	Choose item.														
17(2)(j)	Choose item.														
17(3)	Choose item.														
17(3A)(a)	Choose item.														
17(3A)(b)	Choose item.														
17(3A)(c)	Choose item.														
17(4)(a)	Choose item.														
17(4)(b)	Choose item.														

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs.	Adv. notes	
17(5)(a)	Choose item.													
17(5)(b)	Choose item.													
<b>Regulation 18</b>														
18(1)	Choose item.													
18(3)(a)	Choose item.													
18(3)(b)	Choose item.													



**BUILDING CONSENT AUTHORITY ACCREDITATION  
ASSESSMENT REPORT**

**Hamilton City Council**

**CONTENTS**

INTRODUCTION	3
ACCREDITATION FEEDBACK AND CONTINUING ACCREDITATION	3
NEXT ACCREDITATION ASSESSMENT	4
ASSESSMENT SUMMARY	5
ASSESSMENT OBSERVATIONS	6
RECORD OF NON-COMPLIANCE	25
RECORD OF NON-COMPLIANCE	26
RECORD OF NON-COMPLIANCE	27
RECORD OF NON-COMPLIANCE	28
SUMMARY OF RECOMMENDATIONS	30
SUMMARY OF ADVISORY NOTES	31
SUMMARY TABLE OF NON-COMPLIANCE	32

## INTRODUCTION

This report relates to the accreditation assessment of the Hamilton City Council (HCC) Building Consent Authority (BCA) which took place during May 2020 to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006* (the Regulations). The assessment was conducted remotely due to the COVID-19 alert level 2 status in place at the time of the assessment. This meant that some aspects were unable to be assessed, such as on-site witnessing of building inspections, which were therefore excluded from the scope of this assessment.

This report is based on the document review, and records review, together with interviews with the BCA's employees and contractors undertaken during the accreditation assessment.

A copy of this report, and subsequent information regarding progress towards clearance of non-compliance/s, will be provided to the Ministry of Business, Innovation and Employment (MBIE) in accordance with International Accreditation New Zealand's (IANZ) contractual obligations. This report may also be made publicly available by the BCA as long as this is not done in a way that misrepresents the content within. It may also be released under the Local Government Meetings and Official Information Act 1987 consistent with any ground for withholding that might be applicable.

## ACCREDITATION FEEDBACK AND CONTINUING ACCREDITATION

Accreditation is a statement, by IANZ, that your organisation complies with the Regulations and MBIE BCA accreditation scheme guidance documents (as relevant). Where non-compliance with the Regulations has been identified, the Act requires that it must be addressed.

This accreditation assessment found that the BCA was non-compliant with a number of accreditation requirements as detailed below. The non-compliances identified must be addressed before accreditation is continued.

### Summary of the non-compliances identified during the assessment

**Action Plan:** Your non-compliances with the Regulations have been summarised and recorded in detail in this report. Please complete the Record of Non-compliance table/s detailing your proposed corrective actions and the evidence that will be provided, and forward a copy to IANZ. This plan of action must be provided to IANZ by 10/07/2020, for IANZ review and acceptance.

**Evidence of addressing non-compliances:** Evidence, as described in your action plan, must be supplied to IANZ to demonstrate that you have addressed your non-compliances. All non-compliances must be finally addressed and cleared by 11/09/2020. To maintain accreditation you must provide evidence of the actions taken to clear non-compliance to IANZ within the required timeframe. Please allow at least 10 working days for IANZ to respond to any submitted material and allow sufficient time after submission of your evidence in case further evidence is required.

If you do not agree with the non-compliances identified, or if you need further time to address non-compliances, please contact the Lead Assessor as soon as possible. Where you are seeking an extension to an agreed timeframe to address a non-compliance, your Chief Executive is required to make a formal request for an extension of the timeframe. These will only be granted for unpredictable and unmanageable reasons.

If you have a complaint about the assessment process, please refer the BCA Accreditation disagreements guidance which can be found [here](#).

### Summary of the good practice and performance identified during the assessment

This accreditation assessment found the following aspects of the BCA's operations of particular note as good practice and/or performance which should be maintained:

- The BCAs Quality Management systems were seen to be very well maintained
- Records such as Inspection and Supervision records had been well maintained.

## **NEXT ACCREDITATION ASSESSMENT**

Unless your BCA undergoes a significant change, requiring some form of interim assessment, or the BCA is unable to clear the identified non-compliances within the agreed timeframe, the next assessment of the BCA is planned for May 2022. You will be formally notified of your next assessment six weeks prior to its planned date.

## ASSESSMENT SUMMARY

ORGANISATION DETAILS							
<b>Organisation:</b> Hamilton City Council							
<b>Address for service:</b> Municipal Offices, Garden Place, Hamilton 3204							
<b>Client Number:</b>	6696	<b>Accreditation Number:</b>	19				
<b>Chief Executive:</b>		Richard Briggs					
<b>Chief Executive Contact Details:</b>		Richard.briggs@hcc.govt.nz					
<b>BCA Responsible Manager:</b>		Cory Lang					
<b>BCA Responsible Manager Contact Details:</b>		Cory.lang@hcc.govt.nz					
<b>BCA Authorised Representative:</b>		Cory Lang					
<b>BCA Authorised Representative Contact Details:</b>		Cory.lang@hcc.govt.nz					
<b>BCA Quality Manager:</b>		Cory Lang					
<b>BCA Quality Manager Contact Details:</b>		Cory.lang@hcc.govt.nz					
<b>Number of BCA FTEs</b> Total FTEs should = technical FTEs + admin FTEs + vacancies	Technical Vacancies (Technical)	30 3	Admin support Vacancies (Admin)	8 0			
<b>BCA Activity during the previous 12 months</b>		<b>Building Consents</b>					
		R1	825	R2	366	R3	439
		C1	337	C2	62	C3	70
		<b>CCCs</b>				1806	
		<b>New compliance schedules</b>				92	
		<b>BCA Notices to Fix</b>				4	
ASSESSMENT TEAM							
<b>Assessment Date:</b>	25 May 2020 to 29 May 2020						
<b>Lead Assessor:</b>	S 7(2)(a)						
<b>Lead Assessor Contact Details:</b>	S 7(2)(a)@ianz.govt.nz						
<b>Technical Experts:</b>	Phil Judge, Brendan Guyton						
<b>MBIE observer/s:</b>	S 7(2)(a)						
ASSESSMENT FINDINGS							
<b>Total # of "serious" non-compliances:</b>	This assessment:			Last assessment:			
0	0			0			
<b>Total # of "general" non-compliances:</b>	5			2			
<b>Total # of non-compliances outstanding:</b>	4			1			
<b>Recommendations:</b>	1			2			
<b>Advisory notes:</b>	2			1			
<b>Date clearance plan required from BCA:</b>	10 July 2020						
<b>Date non-compliances must cleared:</b>	11 September 2020						
NEXT ASSESSMENT							
<b>Recommended next assessment type:</b>	Full assessment						
<b>Recommended next assessment date:</b>	May 2022						
IANZ REPORT PREPARATION							
<b>Prepared by:</b> S 7(2)(a)	<b>Signature:</b> S 7(2)(a)						
<b>Checked by:</b> S 7(2)(a)	<b>Signature:</b> S 7(2)(a)						
<b>IANZ Report Preparation Date:</b>	11 June 2020						

## ASSESSMENT OBSERVATIONS

### REGULATION 6A NOTIFICATION REQUIREMENTS

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures address requirements and had been effectively implemented.	
Notifications had been sent to IANZ or MBIE within the past 24 months when required.	

### REGULATION 7 PERFORMING BUILDING CONTROL FUNCTIONS

#### Regulation 7(2)(a): providing consumer information

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA provided public information regarding how to apply for a consent, and how an application is processed, inspected and certified. The BCAs consumer information was complete and appropriate.	

## Regulation 7(2)(b)-(c), and 7(2)(d)(i): receiving, checking and recording applications

<b>Non-compliance? Y/N</b>	Yes - See Record of Non-compliance for details
<b>Non-compliance number/s:</b>	GNC 1
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented procedures for receiving, checking and recording applications. However, the BCA had not always ensured that the Form 2 applications were only accepted when completed correctly regarding the required information for the specified systems within the application.</p> <p>Also, the forms that have been provided to support the Form 2 (Waikato Building Consent cluster specified system information forms) require revision as the indicated “performance standards, inspection and maintenance requirements” were not accurate (example: SS15/1-5). <b>See GNC 1.</b></p>	

## Regulations 7(2)(d)(ii): assessing applications

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had a suitably documented procedure for assessing applications. This was appropriately implemented.</p>	

### Regulations 7(2)(d)(iii): allocating applications

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Applications were allocated to processors according to the competence of the assessor, as recorded on the Skills Matrix, and the complexity of the building work. Implementation was appropriate.	

### Regulation 7(2)(d)(iv): processing building consent applications and Regulation 7(2)(e): planning inspections

<b>Non-compliance? Y/N</b>	Yes - See Record of Non-compliance for details
<b>Non-compliance number/s:</b>	GNC 2
<b>Opportunities for improvement? Y/N</b>	Yes
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	1
<b>Advisory note number/s:</b>	A1
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had a documented procedure for processing of building consents. Processed consents generally included appropriate records of decisions, reasons for decisions and outcome of decisions.</p> <p>However, the BCA had not always ensured that the implementation of processing processes had been effective in that all relevant code clauses had not always been considered and records of these considerations maintained. E.g.</p> <p>1: Compliance of C/AS1 section 5.3 had not been considered for the spread of flame from a lower roof resulting in a Building Consent that did not comply with the intended means of compliance for C3 [BC2020-40365] <b>See GNC 2.</b></p> <p>2: Compliance of relevant Code clauses [C4, F6 and F7] had not been recorded as considered for the specified systems within the application [BC2020-40387] <b>See GNC 2.</b></p> <p>An advisory note was made. The BCA is advised to consider revising its checklist to provide the requirement of the BCO to verify that the building category of the application has been correctly recorded when the application was vetted. <b>See Advisory Note A1.</b></p>	

**Regulation 7(2)(d)(v): granting and issuing consents**

<b>Non-compliance? Y/N</b>	Yes - See Record of Non-compliance for details
<b>Non-compliance number/s:</b>	GNC 3
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<b>Compliance with Form 5</b>	
The BCA had not always ensured that Form 5's when issued, accurately reflected the specified systems and their performance standards listed in Building Consents. <b>See GNC 3.</b>	
Also, some listed performance standards were not sufficiently specific and did not accurately describe the performance criteria for the specified system.. <b>See GNC 3.</b>	
<b>Lapsing</b>	
The BCA's documented procedure and implementation were appropriate.	
<b>Compliance with statutory timeframes</b>	
Compliance with the building consent processing timeframes were recorded. The BCA was seen to meet statutory timeframes.	

**Regulation 7(2)(e): planning, performing and managing inspections**

<b>Non-compliance? Y/N</b>	Yes - resolved during assessment
<b>Non-compliance number/s:</b>	GNC 4
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Inspections were planned as part of processing.  This assessment was carried out as a remote assessment due to the COVID-19 virus pandemic and as such, assessment of the implementation of inspection activities by on-site witnessing was outside of the assessment scope.  The BCA had not always ensured that its documented procedures aligned with section 92 of the Building Act in relation to final inspections being completed. E.g. Incorrect reference in BCA procedure PR_CS_15 (7.1.1 – states that a CCC application is only lodged when the final inspection has been passed). <b>Raised as GNC 4.</b>  Also, the BCA's documented procedures PR_CS_15 and DF_CS_15 did not discuss the process for inspection of works that are not considered restricted building works. The BCA's procedures required LBP information to be provided before the booking would be made. <b>Raised as GNC 4.</b>  This <b>GNC 4</b> has now been resolved during the assessment, with revised procedures, and is now closed out.	

## Regulation 7(2)(f): code compliance certificates, compliance schedules and notices to fix

<b>Non-compliance? Y/N</b>	Yes – Partly Resolved on-site, see Record of Non-compliance for details to be resolved
<b>Non-compliance number/s:</b>	GNC 5
<b>Opportunities for improvement? Y/N</b>	Yes
<b>Number of recommendations:</b>	1
<b>Recommendation number/s:</b>	R1
<b>Number of advisory notes:</b>	1
<b>Advisory note number/s:</b>	A2
<b>Observations and comments, including good practice and performance</b>	
<p><b>Application for a code compliance certificate</b></p> <p>Applications for CCC were seen to be fully completed by applicants, including where the application contained specified systems.</p>	
<p><b>Code compliance certificates</b></p> <p>The BCA had not always implemented its procedure in relation to amended compliance schedules and their attachment to the issued CCC. When an amended compliance schedule was applicable to the building consent the BCA's CCC Form 7 did not include the required declaration that <i>"the specified systems in the building are capable of performing to the performance standards set out in the building consent"</i>. <b>See GNC 5.</b></p>	
<p><b>24 month CCC decision</b></p> <p>Procedures addressed requirements. The BCA had been making the decision to issue/not issue CCCs at 24 months where there had been no application for CCC.</p>	
<p><b>Compliance with statutory timeframes</b></p> <p>Procedures addressed requirements. The BCA had been compliant with the statutory clock for issuing CCCs.</p>	
<p><b>Compliance schedules</b></p> <p>The BCA had not always ensured that Compliance Schedules contained accurate and complete references to:</p> <ol style="list-style-type: none"> <li>Standards for inspection and maintenance requirements. <b>See GNC 5.</b></li> <li>Details were not specific enough for performance standards referenced within the compliance schedule. <b>See GNC 5.</b></li> <li>Compliance Schedules did not always show the make of the Specified Systems, when it was known. <b>See GNC 5.</b></li> <li>Compliance Schedules did not always show accurate references in that multiple and conflicting number references were sometimes given. <b>See GNC 5.</b></li> </ol> <p>A recommendation was raised. The BCA is recommended to ensure that the correct classified use term is always used rather than lay terms only. e.g. Multi-Unit Dwelling rather than apartments. Both may be used but the formal classified use should always be used. <b>See Recommendation R1.</b></p>	

### Notices to fix (NTF)

The BCA had not always raised NTFs with correct technical referencing. The referencing was not in line with the Building Act 2004 section 165, as it required the COA to be obtained rather than just an application made. This **part of GNC 5 was resolved** during the assessment with a revised NTF template and was closed out.

An advisory note was raised. The BCA is advised to record when they became aware of the contravention or non-compliance, so that section 378 of the Building Act 2004 cannot be questioned. **See Advisory Note A2.**

### Regulation 7(2)(g): customer inquiries

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had documented its procedure for management of enquiries. Implementation of this procedure was appropriate.	

### Regulation 7(2)(h): customer complaints

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had documented its Complaint Policy and made it available to the public on the HCC website. The BCAs policy, procedures and implementation were seen to be appropriate, with good records being maintained.	

**REGULATION 8 ENSURING ENOUGH EMPLOYEES AND CONTRACTORS****Regulation 8(1): forecasting workflow**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The organisation undertook planning exercises using Forecasting Reports as part of BCA's operations resource planning. This included review of previous workflow, forecasting upcoming workflow, and ensuring that there was appropriate capacity and capability within the organisation.	

**Regulation 8(2): identifying and addressing capacity and capability needs**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had an appropriate documented procedure and had undertaken an analysis process to consider its capacity and capability and to determine how to address any identified gaps. It was noted that the BCA had some vacancies for Technical Staff at the time of this assessment, but were not able to recruit staff due to a Council-wide hold on all recruitment. The BCA were considering the use of contractors to fill any shortfall in staff resources.	
Compliance with the building consent, inspection and CCC timeframes were recorded. The BCA was seen to meet statutory timeframes.	

**REGULATION 9 ALLOCATING WORK**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriately documented procedure for the allocation of work to competent employees. The documented procedure included the utilisation of the BCA's skills matrix.</p> <p>Implementation of the BCA's procedure appeared to be appropriate.</p>	

**REGULATION 10 ESTABLISHING AND ASSESSING COMPETENCY OF EMPLOYEES****Regulation 10(1) and (3): assessing prospective employees**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented an appropriate procedure for assessing the competence of prospective employees.</p>	

**Regulation 10(2) and (3)(a)to (f): assessing employees performing building control functions**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had an appropriate procedure for assessing the competence of employees' performing building control functions.</p> <p>Competency assessments were seen to have been completed for all BCA staff performing technical building control functions, with appropriate records maintained.</p>	

**REGULATION 11 TRAINING EMPLOYEES DOING A TECHNICAL JOB****Regulation 11(1) and (2)(a)-(d),(f) and (g): the training system**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented procedures for the planning of training and the monitoring of training received.</p> <p>Training needs had been reviewed for BCA staff and training plans documented on individual training plans to reflect training needs identified. Training had been given as planned, or rescheduled when necessary.</p> <p>The implementation and uptake of training was monitored through a variety of methods, including observation, interview and assessing examples of work subsequent to the training.</p> <p>Training records had been well maintained.</p>	

**Regulation 11(2)(e): supervising employees doing a technical job under training**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had a documented system for supervision of employees. The procedure had been implemented appropriately, with good records of supervision activities maintained.	

**REGULATION 12(1) and (2)(a) to (f) CHOOSING AND USING CONTRACTORS**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had documented its procedures for choosing and using contractors.	
The BCA were not utilising any contractor services at the time of this assessment.	

**REGULATION 13(a) and (b)****ENSURING TECHNICAL LEADERSHIP**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<b>13(a) Identifying competency of individuals to be Technical Leaders</b>	
Procedures addressed all requirements. Technical leadership positions were identified on the BCA's skills matrix. Technical leadership positions were consistent with the outcomes of competency assessment records. Implementation of technical leadership identification procedures was effective.	
<b>13(b) Granting Technical Leaders powers and authorities.</b>	
The procedures for granting powers and authorities to Technical Leaders were appropriate and were effectively implemented.	

**REGULATION 14 ENSURING NECESSARY (TECHNICAL) RESOURCES**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures for ensuring necessary technical resources were appropriate and well implemented. A Building Unit Equipment List was in place for all measuring equipment held and used.	
Facilities and equipment had been maintained and calibrated, with appropriate records maintained.	

**REGULATION 15(1)(a) and (b) and (2): KEEPING ORGANISATIONAL RECORDS**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had recorded their structure and lines of accountability on an organisational chart. Roles and responsibilities were recorded in position descriptions.</p> <p>Powers and authorities were appropriately recorded for all building control functions in the HCC Delegations Manual.</p>	

**REGULATION 16(1) and (2)(a) to (c): FILING APPLICATIONS FOR BUILDING CONSENT**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented its procedure for allocating each application and assigning it a unique number. This was seen to be appropriately implemented.</p> <p>A number of file records were reviewed and found to contain appropriate information.</p> <p>Information was retained and managed securely on the HCC information technology systems with regular back-ups stated to have been carried out.</p>	

## REGULATION 17 ASSURING QUALITY

**Regulations 17(1) and (2)(a): A quality assurance system that covers management and operations**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had a well written quality system that covered its management and operations. It was made available to all BCA staff electronically.</p> <p>A number of non-compliances with the MBIE checklist and guidance were noted. These are detailed elsewhere within this report. Some changes were made to the BCA's procedures during the assessment. These changes are recorded under the individual regulations as General Non-Conformances which have been resolved on-site during the assessment.</p>	

**Regulation 17(2)(b) and (3): A policy on quality and a quality manager**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had a documented Quality Policy which included quality objectives and quality performance indicators of the BCA functions at a high level.</p> <p>The BCA had a Quality Manager who was named on the BCA's Desk File DF_QM_01.</p>	

**Regulation 17(2)(c): Ensuring operation within any scope of accreditation**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Not applicable to a BCA that is also a Territorial Authority.	

**Regulation 17(2)(d): Regular management reporting and review, including of the quality system**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA undertook regular meetings in the form of Building Control Quality and Improvement Meetings and Building Control Unit Management Review Meetings. Minutes of these meetings were kept by the BCA.	
Implementation of management reporting, review and records appeared to be appropriate.	

**Regulation 17(2)(e) Supporting continuous improvement**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The organisation had documented an appropriate procedure for supporting continuous improvement of the organisation's performance. Continuous improvement items were recorded in a Continuous Improvement Register.</p> <p>Implementation of CI actions and CI records was appropriate with good records, management and implementation in evidence.</p>	

**Regulation 17(2)(h): Undertaking annual audits**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA's documented procedure for internal audit was found to be appropriate, with internal audits occurring to schedule. Technical audits and peer reviews had been carried out. Internal audit records in the form of internal audit reports had been very well maintained. Follow up on issues raised during internal audits was being implemented appropriately.</p>	

**Regulation 17(2)(i): Identifying and managing conflicts of interest**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented an appropriate procedure for management of conflicts of interest (COI). COIs had been raised by staff where necessary. These were logged onto the HCC COI Register. Each COI was recorded, reviewed by management, and the method by which the COI was to be managed was held on record. Records had been well maintained.</p>	

**Regulation 17(2)(j): Communicating with internal and external persons**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had documented procedures for communicating with internal and external persons. These had been appropriately implemented.</p>	

### Regulation 17(3A): Complaints about building practitioners

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA had developed an appropriate procedure for raising concerns regarding building practitioners and making complaints as required.</p> <p>Records of evidence to support concerns were being maintained on meeting minutes when required.</p> <p>No complaints about practitioners had been raised within the past 24-month period.</p>	

### Regulation 17(4): Compliance with a quality assurance system

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA used a number of measures to ensure compliance with its quality system, such as in process checking, internal audit and management reviews.</p> <p>The BCA communicated about its quality system to its employees.</p> <p>The measures that the BCA used to ensure compliance with the quality system were found to be appropriate.</p>	

**Regulation 17(5): Strategic management reporting and review**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>The BCA conducted regular Building Control Unit Management and Quality Improvement reviews to consider the appropriateness and effectiveness of its quality system and the performance of the BCA's functions.</p> <p>Minutes of these meetings demonstrated that the requirements of this regulation were being met.</p>	

**REGULATION 18 TECHNICAL QUALIFICATIONS**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>Procedures addressed the requirements for ensuring employees and contractors doing a technical job held a technical qualification or were appropriately exempted.</p> <p>The BCA had recorded the qualifications and/or exemptions for all of its employees.</p>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	GNC 1
<b>Breach of regulatory requirement:</b>	Regulation 7(2)(b)
<b>Finding:</b>	General Non-compliance
<b>Finding details:</b>	The BCA had not always ensured that the Form 2 applications were only accepted when completed correctly regarding the required information for the specified systems within the application. The forms that had been provided to support the Form 2 (Waikato Building Consent cluster specified system information forms) require revision as the indicated "performance standards, inspection and maintenance requirements" were not accurate (example: SS15/1-5).
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by date</b>.</p>

### IMPORTANT DATES

<b>Non-compliance to be cleared by:</b>	<b>11/09/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	<b>10/07/2020</b>	Click here to enter a date.
<b>Evidence of implementation from BCA date:</b>	<b>21/08/2020</b>	Click here to enter a date.

### EVIDENCE

<b>Plan of action:</b> <i>To be provided by BCA</i>	
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>	
<b>Evidence of implementation:</b>	

<b>Non-compliance cleared? Y/N</b>	Choose an item.
<b>Signed:</b>	
<b>Date:</b>	Click here to enter a date.

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	GNC 2	
<b>Breach of regulatory requirement:</b>	Regulation 7(2)(d)(iv)	
<b>Finding:</b>	General Non-compliance	
<b>Finding details:</b>	<p>The BCA had not always ensured that the implementation of processing processes had been effective, in that all relevant code clauses had not always been considered and records of these considerations maintained.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by date</b>.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	11/09/2020	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	10/07/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	21/08/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	Choose an item.	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	GNC 3
<b>Breach of regulatory requirement:</b>	Regulation 7(2)(d)(v)
<b>Finding:</b>	General Non-compliance
<b>Finding details:</b>	<p>The BCA had not always ensured that Form 5s when issued, accurately reflected the specified systems and their performance standards as listed in Building Consent applications.</p> <p>Also, some listed performance standards were not sufficient specific to the relevant specified system.</p>
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by date</b>.</p>

### IMPORTANT DATES

<b>Non-compliance to be cleared by:</b>	11/09/2020	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	10/07/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	21/08/2020	<a href="#">Click here to enter a date.</a>

### EVIDENCE

<b>Plan of action:</b> <i>To be provided by BCA</i>	
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>	
<b>Evidence of implementation:</b>	
<b>Non-compliance cleared? Y/N</b>	Choose an item.
<b>Signed:</b>	
<b>Date:</b>	<a href="#">Click here to enter a date.</a>

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	GNC 5	
<b>Breach of regulatory requirement:</b>	Regulation 7(2)(f)	
<b>Finding:</b>	General Non-compliance	
<b>Finding details:</b>	<p>The BCA had not always ensured that Compliance Schedules contained accurate and complete information:</p> <ul style="list-style-type: none"> <li>• references to standards for inspection and maintenance requirements were incomplete</li> <li>• details were not specific enough for performance standards referenced within the Compliance Schedule</li> <li>• Compliance Schedules did not always show the make of the Specified Systems, when it was known.</li> <li>• Compliance Schedules did not always show accurate references in that multiple and conflicting number references were sometimes given.</li> </ul> <p>Also, the BCA had not always implemented its procedure in relation to amended compliance schedules and their attachment to the issued CCC as the BCA's CCC form 7 did not include the declaration that "<i>the specified systems in the building are capable of performing to the performance standards set out in the building consent</i>" where an amended Compliance Schedule was issued.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	11/09/2020	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	10/07/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	21/08/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		

<b>Plan of action:</b> <i>To be provided by BCA</i>	
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>	
<b>Evidence of implementation:</b>	
<b>Non-compliance cleared? Y/N</b>	Choose an item.
<b>Signed:</b>	
<b>Date:</b>	Click here to enter a date.

## SUMMARY OF RECOMMENDATIONS

Recommendations are intended to assist your BCA to maintain compliance with the Regulations. They are **not** conditions for accreditation but a failure to make changes may result in non-compliance with the Regulations in the future.

**It is recommended that:**

R1 The BCA is recommended to ensure that the correct classified use term is always used rather than lay terms only. e.g. Multi-Unit Dwelling rather than apartments. Both may be used but the formal classified use should always be used. Regulation 7(2)(f).

## SUMMARY OF ADVISORY NOTES

Advisory notes are intended to assist your BCA to improve compliance with accreditation requirements based on IANZ's experience. They are **not** conditions for accreditation and do not have to be implemented to maintain accreditation.

### IANZ advises that:

- A1 The BCA is advised to consider revising its processing checklist to add the requirement of the BCO to verify that the building category of the application has been correctly recorded when the application was vetted. Regulation 7(2)(d)(iv).
- A2 When issuing a Notice to Fix the BCA is advised to record when they became aware of the contravention or non-compliance, so that section 378 of the Building Act 2004 cannot be questioned. Regulation 7(2)(f).

## SUMMARY TABLE OF NON-COMPLIANCE

The following table summarises the non-compliance identified with the accreditation requirements in your BCA's accreditation assessment. Where a non-compliance has been identified, a Record of Non-compliance template has been prepared detailing the issue, and to enable you to detail your proposed corrective actions to IANZ. You must update and return a template for each non-compliance identified.

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)	
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes		
6(A)(1)	Choose an item.														
6(A)(2)	Choose an item.														
<b>Regulation 7</b>															
7(1)	Choose an item.														
7(2)(a)	Choose an item.														
7(2)(b)	General	GNC 1		Yes					No	11/09/2020					BCA had not always ensured that the Form 2 applications were only accepted when completed correctly regarding the required information for the specified systems within the application.
7(2)(c)	Choose an item.														
7(2)(d)(i)	Choose an item.														
7(2)(d)(ii)	Choose an item.														
7(2)(d)(iii)	Choose an item.														
7(2)(d)(iv)	General	GNC 2		Yes					No	11/09/2020			1		The BCA had not always ensured that the implementation of processing processes had been effective, in that all relevant code clauses had not always been considered and records of these considerations maintained. E.g. C3, C4, F6, F7.
7(2)(d)(v)	General	GNC 3		Yes					No	11/09/2020					BCA had not always ensured that Form 5 accurately reflected the specified systems and their performance standards. Some performance standards were not sufficiently detailed/specific to the relevant specified system.
7(2)(e)	General	GNC 4	Yes	Yes					Yes		29/05/2020				BCA had not always ensured that its documented procedures aligned with section 92 of the Building Act in relation to final inspections being completed.  The BCAs documented procedures PR_CS_15 and DF_CS_15 did not discuss the process if an inspection was requested for works that were not considered restricted building works.
7(2)(f)	General	GNC 5	Yes	Yes	Yes				No	11/09/2020			1	1	BCA had not always ensured that Compliance Schedules contained accurate and complete references. Form 7's that included building work that required an amended compliance schedule did not always include the declaration that " <i>the specified systems in the building are capable of performing to the performance standards set out in the building consent</i> ".
7(2)(g)	Choose an item.														
7(2)(h)	Choose an item.														
<b>Regulation 8</b>															
8(1)	Choose an item.														
8(2)	Choose an item.														
<b>Regulation 9</b>															

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
9	Choose an item.													
<b>Regulation 10</b>														
10(1)	Choose an item.													
10(2)	Choose an item.													
10(3)(a)	Choose an item.													
10(3)(b)	Choose an item.													
10(3)(c)	Choose an item.													
10(3)(d)	Choose an item.													
10(3)(e)	Choose an item.													
10(3)(f)	Choose an item.													
<b>Regulation 11</b>														
11(1)	Choose an item.													
11(2)(a)	Choose an item.													
11(2)(b)	Choose an item.													
11(2)(c)	Choose an item.													
11(2)(d)	Choose an item.													
11(2)(e)	Choose an item.													
11(2)(f)	Choose an item.													
11(2)(g)	Choose an item.													
<b>Regulation 12</b>														
12(1)	Choose an item.													
12(2)(a)	Choose an item.													
12(2)(b)	Choose an item.													
12(2)(c)	Choose an item.													
12(2)(d)	Choose an item.													
12(2)(e)	Choose an item.													
12(2)(f)	Choose an item.													
<b>Regulation 13</b>														
13(a)	Choose an item.													
13(b)	Choose an item.													
<b>Regulation 14</b>														
14	Choose an item.													
<b>Regulation 15</b>														
15(1)(a)	Choose an item.													
15(1)(b)	Choose an item.													
15(2)	Choose an item.													
<b>Regulation 16</b>														
16(1)	Choose an item.													
16(2)(a)	Choose an item.													
16(2)(b)	Choose an item.													
16(2)(c)	Choose an item.													
<b>Regulation 17</b>														
17(1)	Choose an item.													
17(2)(a)	Choose an item.													

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
17(2)(b)	Choose an item.													
17(2)(c)	Choose an item.													
17(2)(d)	Choose an item.													
17(2)(e)	Choose an item.													
17(2)(h)	Choose an item.													
17(2)(i)	Choose an item.													
17(2)(j)	Choose an item.													
17(3)	Choose an item.													
17(3A)(a)	Choose an item.													
17(3A)(b)	Choose an item.													
17(3A)(c)	Choose an item.													
17(4)(a)	Choose an item.													
17(4)(b)	Choose an item.													
17(5)(a)	Choose an item.													
17(5)(b)	Choose an item.													
<b>Regulation 18</b>														
18(1)	Choose an item.													
18(3)(a)	Choose an item.													
18(3)(b)	Choose an item.													