



Kawerau District Council

Building Consent Authority Quality Assurance System

Revision History

Revision No:	Reason for revision	Author	Effective Date
1	New system introduced	Steve Mazey	May 2016
	Pg 24 – Add all four building consent application forms to list	Sharlaine Anapu	
2	Pg 39 – Add author details to paragraph 7 of QA 6 Document Control	Sharlaine Anapu	March 2017
3	Pg 23 – Paragraph 8 of PI 1, amend procedure. CEO deals with complaints in the absence of MPCC	Sharlaine Anapu	June 2017
4	Pg 28 – Add procedure for new Regulation 6A – Change notification	Steve Mazey	August 2017
	Pg 8 – BC 1 - Allocation for processing Reg 7(2)(d)(iii), Reg 9 – Undertaken by Contractor RLC BCA	Sharlaine Anapu	
	Pg 9 – BC 2 – Consent application processing. Technical check Reg 7(2)(d)(iv) and Application granted Reg 7(2)(d)(v) - Undertaken by Contractor RLC BCA		
	CA 2 Competence Assessment Regs 10(2), 10(3) Update procedure to include RLC		
	CA3 & CA 4 Training. Add references to RLC and update Qualification items.		
	Amend procedure for CA 6 – Choosing and Using Contractors. Reg 12 and 17(4)(b). Update references to include RLC		
5	Amend procedure for CA 2 Competence Assessment. Reg 13 - Update references to include RLC	Sharlaine Anapu	September 2017
	Amend procedure for AD 2 Information Resources to include Standards Register		
6	Amend QM to reflect MBIE Guidance	Steve Mazey Sharlaine Anapu	October and November 2017
7	Amend procedures CA 3, CA2, CA 4, CA5, CA6, QA 1, QA 2, QA 3, QA 5	Sharlaine Anapu	April/Jul 2018
8	Amend procedure BI 1 – Remove reference of Reg 9	Sharlaine Anapu	June 2019
9	CA 3 Training	Sharlaine Anapu	September 2019
10	Minor changes to procedures due to GNCs issued from routine assessment Nov/Dec 2019	Sharlaine Anapu	January 2020
11	BI 5 Monitoring Code Compliance Certificates	Sharlaine Anapu	May 2021

12	BC 3 Granting, refusing to grant, and Issuing a Consent – include building consent processed by a third party	Sharlaine Anapu	Nov 2021
	Amend procedure BI 2 Inspections, add paragraphs 11 and 22		
	BI 3 Notice to Fix – minor changes to paragraph 1		
	BI 5 Monitoring Code Compliance Certificates - Amend paragraph 11		
	AD 1 Filing of Building Consent Documents - Add minor changes to paragraph 5		
	AD 4 Change Notification – Change entire procedure		
	CA 4 Recording of Qualifications, Experience and Training – Amend paragraph 5		
13	BC 5 Amend Consent	Sharlaine Anapu	Feb 2022
14	QA 7 Quality Assurance and Record Keeping – amend Quality Manager to Michaela Glaspey	Michaela Glaspey	Nov 2023
15	CA 3 Training – Add supervising employees under training Reg 11(2)(e) - paragraphs 9 to 12	Michaela Glaspey	Feb 2024
	CA 1 Establishing Competence – amend paragraph 5 to include a technical review of competency provided by previous BCA/AOM and add Induction paragraph 7 to 8		
	CA 2 Competence Assessment – amend paragraph 1 to change from based on to uses the NCAS system		
	BC 2 Consent Application Processing – amend paragraph 7 & 8 to remove reference to development contributions and added paragraph 5 in address waivers and modifications		
	BC 3 Granting, refusing to grant, and issuing a Consent – added paragraph 2 to address s51(3) and amended paragraph 6 to remove development contributions.		
	BI 4 Code Compliance Certificate – Inserted paragraph 2 & 3 outlining a complete application and requests for further information. Paragraph 4 amended to address clock management and paragraph 6 added manufactures certificates. Paragraph 7 amended the need to print requests for information and paragraph 11 to remove development contributions. Paragraphs 13 to 16 added or amended to address the fees and clock management process for		

	CCC's. Paragraph 18 amended to add the stopping of the clock.		
	BC 1 – Receiving application – paragraph 1 amended to include use of date stamp to record received date and paragraph 12 to record 'Application Accepted' upon payment.		
	BC4 – Lapse Consent – Inserted paragraphs 1 & 2 regarding adding issued building consents to Lapsed and CCC Reminder Register and the monitoring of the consents. Paragraph 5 amended to include inspection if required, paragraph 10 amended to show BCO authorises lapsed consent, and paragraph 12 file to be marked lapsed prior to filing.		
16	QA 7 Quality Assurance and Record Keeping – amend Quality Manager to Cheryl Kinley	Michaela Glaspey	May 2024
17	Quality Policy – Insert clarification that 20 working days relate the granting of Building Consents and issuing of Code Compliance Certificates	Cheryl Kinley	Sept 2024
	Quality Policy – amend Chief Executive Officer to Morgan Godfery		
	CA 2 Competence Assessment – amended wording from “level” to “category” to clarify competency - clause 15.		
	BI6 Compliance Schedule - Amended procedure to check for minor variation or amendments before issuing compliance schedule – clause 6.		
18	BI 1 – Booking Inspections - Included agent/owner details	Cheryl Kinley	January 2025
	AD 3 – Facilities and Equipment Management – Included equipment provided to or required by contractors and updated temperature		February 2025
	CA 6 – Contractors – Inclusion of “Accredited Organisations (Building)”		
	PI 2 – Public Information – Remove reference to hard copies available at reception and replacement of new versions.		
19	QA 7 - Quality Assurance and Record Keeping – amend Quality Manager to Michaela Glaspey	Michaela Glaspey	August 2025
	QA 1 - Continuous Improvements – Inserted Quality Manager as a person to advise of improvement suggestions – clause 1.		

	CA 6 Contractors – Included considerations engage contractors and KPIs - clauses – 1, 2, 5, 7, 10.		
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Cross reference to Regulations

The following Table provides a cross reference to the Building (Accreditation of Building Consent Authorities) Regulations 2006.

Regulation	System Required	QAS reference
5(b)	Document Control	<u>QA 6 Document Control</u>
5(c)	Ensuring consistent and effective implementation	<u>QA 2 Internal Audit</u>
6A	Notifying MBIE and IANZ of significant changes in organisation	<u>AD 4 Change Notification</u>
7(2)(a)	Providing information to the public	<u>PI 2 Public Information</u>
7(2)(b)	Receiving applications	<u>BC 1 Building Consent Application Received</u> , <u>BC 5 Amend Consent</u> , <u>BC 5 Amend Consent</u>
7(2)(c)	Vetting applications	<u>BC 1 Building Consent Application Received</u> , <u>BC 5 Amend Consent</u>
7(2)(d)(i)	Entering applications in the processing system	<u>BC 1 Building Consent Application Received</u> , <u>BC 5 Amend Consent</u>
7(2)(d)(ii)	Assessing applications	<u>BC 1 Building Consent Application Received</u> , <u>BC 5 Amend Consent</u>
7(2)(d)(iii)	Allocating applications for processing	<u>BC 1 Building Consent Application Received</u> , <u>BC 5 Amend Consent</u>
7(2)(d)(iv)	Processing applications	<u>BC 2 Consent Application Processing</u> , <u>BC 5 Amend Consent</u> , <u>BC 6 Building Alterations – Compliance with Code</u> , <u>BC 7 Buildings on Land Subject to Natural Hazards</u> , <u>BC 8 Producer Statements</u> , <u>BC 9 Referral to Fire and Emergency New Zealand</u>
7(2)(d)(v)	Granting, refusing to grant and issuing building consents	<u>BC 3 Grant, Refuse to Grant, Issue Consent</u> , <u>BC 4 Lapse Consent</u> , <u>BC 5 Amend Consent</u>
7(2)(e)	Planning, performing and managing inspections	<u>BI 1 Booking Inspections</u> , <u>BI 2 Inspections</u>
7(2)(f)	Issuing and refusing to issue CCCs, compliance schedules and notices to fix	<u>BI 4 Code compliance Certificate</u> , <u>BI 5 Monitoring Code Compliance Certificates</u> , <u>BI 6 Compliance Schedules</u> , <u>BI 3 Notice to Fix</u>
7(2)(g)	Receiving and managing enquiries	<u>PI 1 Complaints and Inquiries</u>
7(2)(h)	Receiving and managing complaints	<u>PI 1 Complaints and Inquiries</u>
8	Ensuring that the BCA has sufficient employees and/or contractors to perform its building control functions	<u>CA 5 Ensuring Enough Employees and Contractors</u>
9	Allocating work to competent employees or contractors	<u>BC 1 Building Consent Application Received</u> , <u>BI 1 Booking Inspections</u>
10(1)	Establishing the competence of a job applicant to perform building control functions	<u>CA 1 Establishing Competence – Applicants for Employment</u>
10(2) and (3)	Annually assessing the competence of employees	<u>CA 2 Competence Assessment</u>
11(2)(a)	Making regular training needs assessments	<u>CA 3 Training</u>
11(2)(b)	Preparing training plans	<u>CA 3 Training</u>
11(2)(c)	Ensuring training is received	<u>CA 3 Training</u>
11(2)(d)	Monitoring the effectiveness of training	<u>CA 3 Training</u>
11(2)(e)	Supervising employees under training	<u>CA 3 Training</u>
11(2)(f)	Recording employees' qualifications, experience and training	<u>CA 4 Recording of Training, Qualifications and Experience</u>
11(2)(g)	Recording continuing training information	<u>CA 4 Recording of Training, Qualifications and Experience</u>
12	Choosing and using contractors to perform building control functions	<u>CA 6 Contractors</u>

Regulation	System Required	QAS reference
13	Identifying employees and/or contractors who are competent to provide technical leadership	<u>CA 2 Competence Assessment</u>
14	Providing technical information, facilities, and equipment	<u>AD 2 Information Resources , AD 3 Facilities and Equipment Management , QA 7 Quality System and Record Keeping</u>
15	Organisation structure, reporting lines, staff accountabilities, roles, authorities, powers and limitations	Organisational structure
16(1)	Ensuring every application for a building consent is uniquely numbered	<u>BC 1 Building Consent Application Received , AD 1 Filing of Building Consent Documents</u>
16(2)	Ensuring all information relevant to the consent is filed, accessible and retrievable, and stored securely	<u>BC 3 Grant and Issue Consent , BC 4 Lapse Consent , BI 2 Inspections , BI 4 Code Compliance Certificate , AD 1 Filing of Building Consent Documents</u>
17(1)	Quality assurance system	<u>QA 7 Quality Assurance System and Record Keeping</u>
17(2)(a)	QAS covering regulations 5 to 16	As set out above
17(2)(b)	Quality Policy	<u>Quality Policy</u>
17(2)(c)	Ensuring operation within scope of accreditation	Not applicable to TA BCAs
17(2)(d)	Management review of the BCA's performance	<u>QA 5 Management Review</u>
17(2)(e)	Continuous improvement	<u>QA 1 Continuous Improvement</u>
17(2)(f) & (g)	Revoked	
17(2)(h)	Ensuring an internal audit of all building control functions every 12 months	<u>QA 2 Internal Audit</u>
17(2)(i)	Identifying and managing conflicts of interest	<u>QA 3 Conflicts of Interest</u>
17(2)(j)	Communicating with internal and external persons	<u>QA 4 Communications</u>
17(2)(k)-(n)	Revoked	
17(3)	Record of responsibility for managing the QAS	<u>QA 7 Quality Assurance System and Record Keeping</u>
17(3A)	Considering whether to make and making complaints about practitioners	<u>QA 8 Complaints about Practitioners</u>
17(4)	Ensuring that employees and contractors comply with the QAS	<u>QA 2 Internal Audit , CA 6 Contractors QA 9 Compliance with a Quality Assurance System</u>
17(5)	Periodically reviewing the QAS, and making appropriate changes	<u>QA 5 Management Review</u>
18(2)	Ensuring employees and contractors have appropriate qualifications	<u>CA 4 Recording of Training, Qualifications and Experience</u>
18(3)	Establishing circumstances in which qualifications are not required	<u>CA 4 Recording of Training, Qualifications and Experience</u>

Definitions

BCA	Building Consent Authority
BC Admin	Building Control Administrator
BCO	Building Control Officer
QP	Quality Policy
QAC	Quality Assurance Coordinator
TA	Territorial Authority (Kawerau District Council)

QP Quality Policy

Kawerau District Council is committed to improving its high quality of building control services along with improving its service to customers and clients. The Council will give full support to the Building Consent Authority in every aspect of their duties in order for the quality systems they have introduced to function correctly, and to perform in accordance with all accreditation regulations.

The Council will ensure its staff has a good understanding of its Quality Systems and this will be implemented by the Building Consent Authority (BCA) employees and contractors through regular coaching by management, internal audits, continuous improvements and monitoring. A high standard of technical skill will be maintained throughout the Building Consent Authority.

Kawerau District Council is committed to staff training and will fully support and encourage all forms of training that will enhance the technical and practical abilities of its staff.

The BCA will provide documentation to Kawerau District Council management annually in order for the management team to assess how the BCA is working as a whole and so a review can identify areas where continuous improvements could be made.

Council will achieve this by:

- Making the process of applying for and obtaining a building consent as simple and as easy as possible
- Responding promptly to enquiries to customers, the building consent accreditation body and the Ministry of Business Innovation and Employment.
- Ensuring the BCA decisions are accurate and based on solid advice from the legal team if required
- Continuously assessing and improving its procedures in order to keep up to date with changes and to encourage staff to be actively involved in helping to maintain its high standards
- Audit All BCA functions at least once a year
- Peer reviews of all technical staff at least once a year
- Compliance with 100% within 20 working days, for granting of Building Consents and issuing of Code Compliance Certificates
- Ensuring that all work undertaken is within the identified technical competency and capability of the BCA employees and contractors
- Managing complaints effectively
- Requesting continuous improvement ideas from all BCA staff on a regular basis

Morgan Godfery
Chief Executive Officer



Signature

BC 1 Building Consent Application Received

Process

This process includes receiving an application for a building consent, checking that all required documentation is present, assessing the category of building work the application falls into, lodging the application into the Datacom Ozone system, and allocating the application for processing. It is carried out by BC Admin and the BCO.

Relevant documents

Regulations 7(2)(b) to (d)(iii), 9, and 16(1)

Form 2 Application for Building Consent and vetting checklist

Appendix 10.4.14: Returned PIM/Building Consent Application

Appendix 10.4.15 Building Consent Application Acceptance

Procedure

Application received Reg 7(2)(b)	1 Applications are received by mail or over the counter at Council's office in Kawerau. The date the application is received by mail or over the counter is recorded with a date stamp. 2 Applications lodged by mail are received through Council's mail system and are allocated to the BCA via that system. 3 Applications are vetted by the BCO. A prelodgement interview may be booked for substantial residential work or work that falls outside the in house competency of the BCA. 4 The BCO checks that the application has been signed by the owner, or that an authority for an agent to sign has been supplied by the owner, that all relevant information has been entered on the application form, and that, where the application includes restricted building work, the application includes a certificate or certificates of design work. 5 When the BCO is not available, Council receives the application and the vetting process follows as if the application was lodged by mail.
Checking Reg 7(2)(c)	6 Each application is checked by the BCO completing the appropriate vetting checklist to determine whether or not the application contains all relevant information and can be accepted for lodgement. This check is completed within 3 working days of receipt. If the application is acceptable, the checklist is signed and dated by the BCO performing the check.
Assessment of category Reg 7(2)(d)(ii)	7 As part of the vetting process, the BCO assesses the relevant category of work for the application by reference to the national competence assessment system building categories. The category is recorded on the checklist.
Application not accepted for lodgement	8 If it is established that the information required by s45 of the Act is incomplete or the application is otherwise deficient, the BCO establishes whether the application can be completed immediately. If the information is immediately available, then the application is completed. 9 If the information is not immediately available, the BCO rejects the application and returns it to the applicant along with a returned PIM/Building consent application letter (<i>Appendix 10.4.14</i>). 10 Any application which has been returned to the applicant is treated as a new application when it is resubmitted.
Application accepted for lodgement Reg 7(2)(d)(i), Reg 16(1)	11 If the application is complete, including any fees payable, the application is accepted by the BCO. 12 BC Admin date stamps the application with 'Application Accepted' with date application fee received for a complete application. The BC Admin then enters details of the application into the Datacom Ozone system, which generates a unique number for the application, and the 20 day clock is started. A building consent application acceptance letter (<i>Appendix 10.4.15</i>) is sent to the applicant. 13 If the application was complete when received, the BCA rewinds the clock to the date of receipt.

BC 1 Building Consent Application Received

**Allocation for processing
Reg 7(2)(d)(iii),
Reg 9**

- 14 After the application has been accepted, BC Admin allocates all categorised work in accordance with the skills matrix.
- 15 Where technical leadership or specialist input may be required, or an application may be required to be sent to Fire and Emergency New Zealand, BC Admin refers the application to the BCO for a decision.

BC 2 Consent Application Processing

Process

This process involves processing of building consent applications to ensure compliance with the Building Code. It is performed by the BCO.

Relevant documents

Regulation 7(2)(d)(iv)

Appendices: 10.4.19 to 10.4.19.4 - Processing Sheets

Appendix 10.4.47 - Processing Timesheet

Appendix 10.4.20 – Request for Information Letter

Procedure

Technical check Reg 7(2)(d)(iv)	1 Work through the appropriate processing sheets (<i>Appendices 10.4.19 to 10.4.19.4</i>), checking the application for compliance with the Building Code, Building Act 2004 and other relevant legislation. 2 Refer to the application for intended means of compliance. If the means of compliance is an alternative solution, the applicant must provide sufficient information to demonstrate compliance with the code. 3 Assess the listed means of compliance for each code clause which is relevant to the application. Record all decisions on compliance and reasons for those decisions on the processing sheet. Ensure that the application does not include any building methods or products that are subject to warnings or bans. 4 Where the application: • Includes a Certificate of acceptance (building work already undertaken); or • involves a request for a waiver or modification of a building code clause; or • involves a change of use of the building, an extension of the specified intended life of the building or a subdivision of land affecting the building; the BCO will refer the application to the Technical Advisor for advice/consideration. 5 Waivers and Modifications • When dealing with a request for a waiver or modification, upon review, if the Technical Advisor agrees with the waiver or modification, they will record an explanation for the reasoning on the checklist. • The BCO will record on the building consent was issued subject to the waiver or modification references the performance clause- in which it relates. • The BCA will notify the Chief Executive and MBIE, in writing, of the waiver or modification in accordance with section 68 of the Building Act 2004 using the Notification of Waiver or Modification of Building Code Form. 6 The territorial authority provides copies of any certificates or other information relating to its consideration of these matters to the BCA for inclusion in the consent file.
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Range of work to be processed	7 The BCO must ensure the correct processing of the following types of building consent work and the relevant actions relating to: • national multiple-use approvals (s30A-H) • new buildings • energy work relating to specified system (s 43(2)) • cable cars • swimming pools • staged consents • the collection and payment of the relevant building levy 8 The BCO will ensure the relevant building work is checked for compliance in accordance with the Building Code, Building Act 2004 other relevant legislation and MBIE's guidance. Additionally, the BC Admin will ensure the Ministry of Business, Innovation and Employment levy are paid before granting the consent.
Specified systems	9 Where the application includes specified systems, refer to BI 6 Compliance Schedules .
Specified intended life	10 Where the application specifies an intended life for the building of less than 50 years, a condition must be placed on the consent stating that the building must be altered, removed, or demolished on or before the end of the specified intended life.
Alteration to existing building	11 If the application is for alterations to an existing building, refer to BC 6 Building Alterations – Compliance of Building with Code .
Two or more lots	12 If the building is over 2 or more allotments, the application is referred to the territorial authority. The territorial authority must issue a certificate that states that, as a condition of the grant of a building consent for the proposed work, 1 or more of those allotments specified by the territorial authority must not be transferred or leased except in conjunction with any other allotments specified by the territorial authority. 13 The territorial authority provides a copy of the certificate to the BCA for inclusion in the consent file. 14 The BCO records on the processing checklist the requirement to enter the condition on the building consent.
Natural Hazard Land	15 If the building is on land subject to natural hazards, as indicated on the PIM checklist refer to BC 7 Building on Land Subject to Natural Hazards .
Fire and Emergency New Zealand	16 If the application is required to be referred to the Fire Engineering Unit of Fire and Emergency New Zealand, refer to BC 9 Referral to Fire and Emergency New Zealand .
Producer statements	17 Where a producer statement is provided, check it in accordance with BC 8 Producer Statements .
Time limits specified for granting a consent	18 The BCA runs a report on a weekly basis to ensure it complies with the time limits specified in section 48 of the act for granting a consent
Further information	19 If further information is required to demonstrate compliance, the BCO writes a letter (<i>Appendix 10.4.20</i>) to the applicant, an email confirming the RFI may also be sent to the applicant. BC Admin pauses the 20 working day clock the next day. The application is returned to the live consents cabinet in the Building office. Copies of letters are placed on the file. 20 When the requested information is received, the BCO checks the information is complete, and, if all required information has been supplied, requests BC Admin to restart the 20 working day clock. If not all information has been received, the applicant is contacted and requested to provide the missing information.

BC 3 Granting, refusing to grant, and Issuing a Consent

Process

This process involves granting, refusing to grant and issuing a building consent. It covers generating and sending an invoice, printing and sending out the consent, and filing the consent. It is performed by BC Admin and the BCO.

Relevant documents

Regulations 7(2)(d)(v) and 16(2)(a)

Appendix 10.4.20.2 – Refusal to Grant Building Consent Letter

Appendix 10.4.21 - Building Consent

Procedure

Application granted Reg 7(2)(d)(v)	1. If the BCO is satisfied on reasonable grounds that the application complies with the Building Code, Building Act 2004 and other relevant legislation the BCO; • signs and dates the processing sheet to record that the application can be granted; • stamps the approved consent documents; • records time taken, conditions, advice notes, compliance schedule information and inspections on the processing timesheet (<i>Appendix 10.4.47</i>); • Notifies BC Admin who stops the clock in Datacom Ozone and generates the consent. 2. If the BCA does not, within the time limit for granting the building consent, receive from the territorial authority any document or information required for compliance with s51 (1)(b)(ba) of the Building Act 2004, the BCA may grant the building consent despite that subsection.
Building Consent processed by a third party	3. Where another BCA processes a building consent on our behalf, that BCA must make a recommendation for the granting of the building consent.
Refusal to grant consent Reg 7(2)(d)(v)	4. Where the BCO is not satisfied on reasonable grounds that the application complies with the Building Code, Building Act 2004 and other relevant legislation the BCO signs and dates the processing sheet to record that the application is refused, and the reasons for that decision. 5. When an application is refused, the BCO sends the applicant a letter advising of the refusal of the application, and including the reasons for the refusal.
Generate invoice	6. If necessary BC Admin prepares an invoice for outstanding fees and/or levies. 7. The invoice is emailed to the applicant.
Issue consent Reg 7(2)(d)(v)	8. When payment is received, BC Admin issues the consent with the requirements of Section 51 of the Act on the prescribed form: • adds conditions, advice notes, specified systems (if relevant) covered by a compliance schedule and list of inspections to the consent on the prescribed form; • prints the consent document; • attaches copies of any PIM or certificate issued under section 37; • gives the documents to a BCO for signing; • once the documents are signed, mails the consent to the applicant or advises the applicant that the consent is ready for collection; • where section 72 of the act applies, sends the notification required by section 73 to the appropriate party;

	• where section 39 of the Act applies sends the appropriate notification to Heritage New Zealand. Note that there are currently no heritage sites or areas, or wahi tapu or wahi tapu areas in Kawerau District.
File Consent Reg 16(2)(b) and (c)	9. BC Admin puts a signed copy of the consent into the office copy of the consent file and places the consent file in the live consents cabinet in the building office.

BC 4 Lapse Consent

Process

This process covers monitoring consents which have been issued but work has not started after 10 months from issue date, and lapsing consents where work has still not started after 12 months from issue date. It is performed by BC Admin and the BCO.

Relevant Documents

Regulation 7(2)(d)(v) and Regulation 16(2)(a)
 Appendix 10.4.22 - Lapsing of Building Consent Letter
 Appendix 10.4.22.1 - Lapsed Building Consent Letter
 Application for extension of time to start or complete work

Procedure

10 month letters	1 Building consents added to Lapsed and CC Reminder Register when consent is issued. 2 The BC Admin monitors building consents (via Datacom Ozone/Lapsed and CCC Reminder Register) that have no record of work commencing 10 months after consent was issued. Datacom Ozone is used to confirm no inspections have been recorded. 3 The BC Admin will issue a building consent lapsing letter (<i>Appendix 10.4.22</i>) to each applicant reminding them the consent will lapse if work does not start within 12 months of the date the consent was issued, or by a later date which has been agreed to by the BCA. 4 A copy of the letter is placed on the consent file.
Response received from applicant	5 If a response is received from the applicant, the BCA confirms whether or not work has started, if it is about to start, or if an extension of time to commence work is sought. Where necessary, to BCO will arrange a site inspection to establish the status of the project.
Extension of time to commence work	6 An application for an extension of time to commence work must be made in writing. 7 The BCO responds to the applicant in writing setting out whether or not the request is agreed to, and, if so, the date by which work is required to have started. The extension length, and the number of times an extension can be granted on a consent, are considered on a case by case basis. 8 BC Admin prints and signs the letter. BC Admin sends the letter to the applicant, and, where the request is agreed to, adds the consent to Lapsed and CCC Reminder Register for reminder letters to be issued 2 and 1 months out from expiry.
11 month letters	9 The procedure set out from 1 to 4 is repeated at 11 months.
Lapse consent	10 Where no response is received from the applicant by the anniversary of the consent being issued (12 months), or by the end date of any extension agreed to by the BCA, the BCO authorises the building consent to be lapsed. 11 BC Admin changes the status of the consent in Datacom Ozone to lapsed, and sends a letter (<i>Appendix 10.4.22.1</i>) advising that, pursuant to section 52 of the Building Act 2004, the building consent has lapsed. 12 BC Admin marks all documentation with "Lapsed" and passes the consent file to the Territorial Authority for filing on the property file.

BC 5 Amend Consent

Process

This process covers receiving applications for amendments to issued consents, processing the applications, and approving or refusing to approve the amendments. It is performed by BC Admin and the BCO.

Relevant documents

Regulation 7(2)(b),(c) and (d)

Application for Amendment to Building Consent

Procedure

Application lodged	1 Applications are received either by email, post, or over the counter at Council's office in Kawerau. 2 The BCA ensures that all relevant information required by the Building Act 2004 and associated regulations has been included before entering amendment applications into the system. 3 If the application is accepted, BC Admin enters details of the application into the Datacom Ozone computer system, Datacom Ozone populates a new field for the description of the amendment. 4 The BC Admin will manually allocate a unique identifier, which will be stamped on the amended plans.
Assessment and processing	5 The amendment is assessed and processed as per BC 2 Consent Application Processing .
Notify applicant of decision	6 The applicant is notified as per BC 3 Issue Consent .
Application not accepted	7 If the information is deficient, the BCO rejects the application and returns it to the applicant along with a returned PIM/Building consent application letter (<i>Appendix 10.4.14</i>).

BC 6 Building Alterations – Compliance with Code

Process

Judgement is required in assessing whether section 112 of the Act applies to proposed alterations to a building, and, if so, assessing whether or not the proposed alterations will result in the building complying as nearly as is reasonably practicable with the building code clauses relating to means of escape from fire. This process is carried out by the BCO.

Relevant documents

Regulation 7(2)(d)(iv)

Procedure

Application of s112	1 Section 112 applies to: • all buildings in respect of means of escape from fire; and • buildings to which the public has access and which are used for purposes listed in Schedule 2 of the Act, in respect of access and facilities for people with disabilities. 2 Where an applicant wishes to undertake alterations to a building without the building complying with certain clauses of the building code, the application is referred to the territorial authority. Section 112(2) allows the territorial authority, under certain circumstances, to allow an alteration to a building without the building complying with provisions of the building code specified by the territorial authority.
Earthquake prone buildings	3 Where a building on which building work is proposed is an earthquake prone building, section 133AT of the Act applies. 4 Section 133AT has the same requirements as section 112 plus a requirement that, in the case of substantial alterations being undertaken, the necessary seismic work is included.
Assessment of level of compliance	5 The application must detail the proposed level of compliance for the altered building for each of the relevant clauses, and provide a gap analysis between compliance and the existing state of the building. 6 Assess the evidence presented by the applicant to determine if the building will comply as nearly as is reasonably practicable with the relevant clauses of the building code.
Decision	7 Record reasons for the decision on the building consent processing sheet. Where advice is received from the TA that it is allowing an alteration without the building complying with specified provisions of the code a copy of that advice is included in the consent file.

BC 7 Buildings on Land Subject to Natural Hazards

Process

This process involves processing an application for consent for building work on land which is subject to natural hazards, notifying relevant authorities of the issuing of the consent. It is performed by the BCO.

Relevant documents

Regulation 7(2)(d)(iv)

Procedure

Information from Territorial Authority	1	Information on whether or not the land on which building work is proposed is subject to natural hazard(s) is recorded on the PIM by the TA.
Decision to grant or refuse to grant	2	If the land on which the proposed building work is to be carried out is subject to or likely to be subject to 1 or more natural hazards, or the proposed building work is likely to accelerate, worsen or result in a natural hazard on any property, the BCA must refuse to grant a consent for the work unless it is satisfied that adequate provision will be made to protect the land and building from the hazard or hazards, and that any damage caused by the building work will be restored.
	3	Section 72 of the Building Act requires that if the BCA is satisfied that the proposed building work will not create or worsen a hazard; and the land is subject to, or likely to be subject to, one or more natural hazards; and it is reasonable to grant a waiver or modification of the building code in respect of the hazard, the BCA must grant a consent.
Recording the decision	4	The decision to grant or refuse to grant the consent, and the reasons for that decision, are recorded on the processing sheet.
Condition on consent	5	Where the BCA grants a consent to which section 72 of the Building Act applies it is required by section 73 to include a condition on that consent that the BCA will notify the consent to: - the appropriate Minister and the Surveyor-General if the application is made by or on behalf of the Crown; or - the Registrar of the Maori Land Court if the application is made by or on behalf of owners of Maori land; or - the Registrar-General of Land in any other case.

BC 8 Producer Statements

Process

This process covers checking producer statement authors, and assessing producer statements. It is performed by the BCO.

Relevant documents

Regulation 7(2)(d)(iv)

Processing Sheet

Procedure

Policy on acceptance of producer statements	1 Producer statements for design, design review, and construction review are accepted from CPEng registered engineers. 2 Producer statements for design from persons other than CPEng registered engineers are only accepted if accompanied by a producer statement for design review from a CPEng registered engineer. 3 Producer statements for construction are accepted as information only, and the weight to be accorded to them in assessing compliance is decided on a case by case basis. 4 Other than as set out above, producer statements are not accepted as such, but may be considered as information only.
Checking producer statement authors	5 When a producer statement is submitted, the CPEng register on the IPENZ website is checked to see if the author is CPEng registered. The details are checked on the IPENZ/CPEng register to ensure that the author is current and working within his field of expertise. 6 Applicants providing producer statements for design from persons who are not on the CPEng register are advised that they must provide a producer statement for design review from a CPEng registered engineer. 7 Applicants providing producer statements for design review or construction review from persons who are not on the CPEng website are advised that the producer statement can not be accepted.
Assessing producer statements	8 Each producer statement is assessed using the processing sheet. 9 The producer statement should: • clearly identify the property where the work that it covers is located; • clearly describe the work that it covers; • explicitly reference plans and specifications (including calculations); • state the Building Code clause or clauses which it covers; • state which relevant performances of the Building Code will be or have been met; • justify any claims made by reference to Standards, manufacturer's literature etc; • state any conditions or limitations on the validity of the statement; • where inspections are required by persons other than the BCA, list the inspections required, and identify who will perform them; • for a producer statement for construction review, be accompanied by notes from the required inspections; • be dated and signed by the author; and • show the author's name, qualifications, Registration number, and a statement of the author's current professional insurance provisions.
Record decision	10 Record the decision to accept the producer statement, and reasons for the decision, on the processing sheet.

BC 9 Referral to Fire and Emergency New Zealand

Process

This process involves dealing with applications for building consents which are required by section 46 of the Building Act 2004 to be sent to the Fire Engineering Unit (FEU) of Fire and Emergency New Zealand for review. It is performed by the BCO and BC Admin.

Relevant documents

Regulation 7(2)(d)(iv)

Procedure

Requirement for review	1 The application must be sent to the FEU if the building or part of the building is being used for 1 or more of the purposes listed in the current Gazette notice, and the application: • proposes the use of an alternative solution or a modification or a waiver in respect of any of building code clauses C1-6, D1, F6 or F8; or • involves an alteration, change in use or subdivision and affects the fire safety systems, including any building work on a specified system relating to fire safety (except where the effect on the fire safety system is minor). 2 Buildings used for other purposes do not need to be sent to the FEU for advice. 3 Building work which consists of: • a single household unit; • multiple household units where each is a separate fire cell which has independent and direct egress to a safe place outside the building; • an internal fit-out which does not involve a change of use; or • an outbuilding or ancillary building (including marquees) does not require referral to the FEU.
Forwarding applications for review	4 Copies of applications, together with a letter, are sent to: Auckland Fire Region PO Box 68 042 Newton AUCKLAND 1145 Applications may be emailed to reviews@fireandemergency.nz. 5 The FEU may, within 10 days, provide a memorandum to the BCA setting out advice on provisions for means of escape from fire, and the needs of firefighters for access. 6 If no response is received within 10 working days the BCA may proceed to determine the application without the memorandum.
Consider FEU comments	7 Where the FEU provides a memorandum, the BCA must have regard to that memorandum when deciding to grant or refuse an application for a building consent. 8 Note the decision made and the reasons for the decision on the processing checklist. 9 If, as a result of considering the memorandum, further design work is required, the 20 day clock is paused and the applicant advised of the requirements. The process continues as per BC 2 Consent Application Processing.

BI 1 Booking Inspections

Process

This process covers the receiving of bookings for, and the allocation of, inspections. It is performed by CSOs and BC Admin.

Relevant documents

Regulations 7(2)(e) and 9
Skills Matrix

Procedure

Inspection booking requested	1	Inspection bookings are requested by telephone, email, or in person at the counter.
Details entered in BCO diary Reg 7(2)(e)	2	CSOs or BC Admin enter inspections into the BCO inspections calendar, noting the following information: • building consent number • property address • agent's/owner's name • type of inspection • contact phone number of person on site • any other relevant information
Allocating inspections	3	BC Admin allocates the inspections according to the skills matrix.

BI 2 Inspections

Process

This process covers undertaking inspections, to ensure that all work complies with the building consent documentation and New Zealand Building Code. It is carried out by the BCO.

Relevant documents

Regulation 7(2)(e) and 16(2)(a)

Appendices 10.4.23 - 10.4.36 - Inspection sheets

Appendix 10.4.12 - Variation to consented building work

Site Instruction Sheet

Procedure

Preparation Reg 7(2)(e)	1	Check previous inspection records for any outstanding issues as noted on previous inspection sheets.
Arriving at site and documentation	2	Introduce yourself to builder, site manager, owner or agent if present.
	3	Check that the approved documentation is on site. Check the consent documents before conducting the inspection.
	4	If the approved documentation is not on site, advise the owner/agent that the inspection cannot proceed, and must be rebooked.
Inspection types	5	The types of inspections, and the building work assessed under each type are: • Foundations Includes siting and foundations, footings, prefloor, blockwork • Structure Includes, subfloor, wall and roof framing, preline building internal, post line • Weathertightness Includes preclad, cavity, brick veneer • Plumbing and drainage Includes prefloor plumbing, preline plumbing, sanitary and storm water drainage • Final Includes final solid fuel, final building, final plumbing and drainage.
Non standard inspections Warnings or bans	6	The BCA will plan, perform and manage inspections to address the following criteria: • how any inspections outside the standard inspection types are identified and delivered • how building work is checked for any warnings or bans issued by MBIE
Documents on site	7	Check compliance with consented documents and the building code as it was at the time of application for the consent. Take photographs as appropriate.
	8	Resolve any outstanding issues from previous inspections.
	9	Complete, sign and date the inspection sheet, recording the inspection result and reasons for the decision.
	10	Receive any relevant documentation provided on site.
	11	Discuss inspection results with the owner, applicant or their representative on site.

Variations and amendments	12 Minor variations from the consented documents can be dealt with on site. Changes are noted on an inspection sheet, and any relevant new plans attached to the sheet. The variation will be formalised, the BCO will advise the owner or authorised agent to complete a variation application form (<i>Appendix 10.4.12</i>) which will be added to the consent file. 13 An amendment is required if the proposed variation: • changes the building footprint; • affects the structural integrity of the building; • affects the durability of building elements; • impacts the weather-tightness of the building; • involves a change of use.
Amendment required	14 If an amendment to the consent is required, advise the applicant accordingly. An amendment to a building consent is dealt with as per BC 5 Amend Consent.
Failed Inspection	15 If an inspection is failed, another inspection may be required. 16 Discuss any non-compliance which has led to a failed inspection on site. A non-compliance may be either a failure to follow the consented documents, or a failure to meet the requirements of the Code. Explain the reason for the non-compliance and record remedial work required on the inspection sheet and provide the person on site with a Site Instruction sheet. 17 If an inspection is failed due to a significant non-compliance, a Notice to Fix may be issued – see BI 3 Notice to Fix
Inspection record Reg 16(2)(a)	18 Sufficient information should be provided on the inspection sheet to clearly describe what was inspected and the status of the work as a result of the inspection. 19 No check boxes or spaces are to be left blank. If the element is not applicable or was not tested this is noted as such. 20 Notes in relation to non-compliance or rectification are noted on the inspection sheets. 21 The result of the inspection is recorded on the inspection sheet, together with the reason for the decision. 22 Advice notes and/or consent conditions are written on the Form 5 document. Additionally any further requirements may be relayed to the contact onsite by written instruction which may include eg; a PS4 from a chartered professional engineer or any other specialist. 23 On return to the office any photos taken are printed and attached to the inspection sheet, and given to BC Admin. Any documents required by the consent which are received on site are also passed to BC Admin for adding to the consent file.
Filing of inspection records	24 BC Admin enters the details from the inspection sheet into Datacom Ozone. Completed inspection sheets are then placed in the relevant consent file.

BI 3 Notice to Fix

Process

This process covers issuing a notice to fix (NTF) where work done does not comply with the building consent and/or Building Code, or work has been carried out and no building consent has been obtained. It is carried out by the BCO and the Group Manager, Regulatory & Planning.

Relevant documents

Regulation 7(2)(f)

Appendix 10.4.44 - Notice to Fix

Procedure

When a NTF may be issued	1	Notices to fix may be issued by the BCA when building work carried out under a building consent does not comply with that consent, and other efforts to remedy the problem have been unsuccessful. In situations where the BCA becomes aware that work has been carried out, or is being carried out, without a building consent, the BCA notifies the TA or other responsible authority. The TA is responsible for issuing notices to fix in these circumstances.
Identifying non – compliant building work	2	Building work carried out under a building consent which does not comply with that consent is most often identified during the course of an inspection. Where such work is identified, it is usually initially dealt with by the use of Inspection Notifications as per BI 2 Inspections .
NTF required	3	A notice may be required where the non – compliance is significant, or where Inspection Notifications are not complied with.
Format of NTF	4	Notices to fix are issued in the format prescribed in the Building (Forms) Regulations 2004, Form 13.
Required information	5	The NTF must be issued to the specified person on the prescribed form. It may also be issued to the person supervising or carrying out the building work.
	6	The NTF should set out: • describe the contravention that fails to comply with the Act or the regulations • what work is to be remedied • timeframes for compliance to be achieved; • whether an amendment to the consent is required; • whether an application to the TA for a certificate of acceptance is required; • whether a stop work applies.
	7	If the NTF results in new work being required, a new building consent or an amendment to the existing building consent will be required.
Issuing NTF	8	NTFs are only issued with the approval of the Group Manager, Regulatory & Planning.
	9	The NTF is prepared by the BCO using the template (<i>Appendix 10.4.44</i>). It is signed, the date and time are entered, and the NTF is handed to or posted to the person or persons specified in the NTF.
	10	A copy of the signed and dated NTF is placed in the consent file (or on the property file where there is no building consent).
Inform TA	11	The TA is informed that the NTF has been issued. All follow up inspections and enforcement actions associated with the NTF are undertaken as appropriate by the TA or BCA.

BI 4 Code Compliance Certificate

Process

This process involves receiving an application for a Code Compliance Certificate, receiving and checking all required documentation, deciding to issue, or to decline to issue, a code compliance certificate, and issuing a code compliance certificate. It is carried out by BC Admin and the BCO.

Relevant documents

Regulation 7(2)(f), Regulation 16(2)(a)

Application for Code Compliance Certificate

Appendix 10.4.40 - Code Compliance Certificate

Appendix 10.4.37 - Code Compliance Certificate Certification Checksheet

Procedure

Receiving an application	1 An application for a CCC is made on the Application for Code Compliance Certificate Form, which follows the format of the prescribed Form 6 in the Building Forms Regulations 2004. 2 An application is complete when submitted on the prescribed form and includes any records of work provided by licensed building practitioners for restricted building work, and where applicable includes: • a current manufacturer's certificate for a modular component • an energy work certificate for energy works undertaken as part of the building consent. 3 A Code Compliance Certificate Application is reviewed for completeness by the BCO. Incomplete applications will result in a request for further information. 4 BC Admin enters details of the application into Datacom Ozone including the date received. The clock starts automatically. All management of the clock occurs in Datacom Ozone. 5 If inspections are complete, up to but excluding final, BC Admin contacts the applicant to book a final inspection as per BI 1 Booking Inspections.
Application checked	6 When the final inspection has been passed the BCO works through the Code Compliance Certificate Certification Checksheet to ensure that all documentation, including manufacturer certificates or energy work certificates have been received. 7 If some documents have not been received, the BCO contacts the applicant and requests further information, and prints the request for further information to place a copy on the file. The BC Admin pauses the clock in Datacom Ozone. 8 When the required documents have been received, BC Admin restarts the clock and the BCO completes the Code Compliance Certificate Certification Checksheet.
Warnings or bans	9 In considering the application for CCC the BCO checks whether there are any warnings or bans in place related to any building method or product that may have been used. Section 28 of the Act provides that a BCA must not issue a CCC in such cases, unless the warning or ban was issued after the building consent was granted.
Consent issued by another BCA	10 Acceptance for a Code Compliance Certificate application for building work where the Building Consent was granted by another BCA must cover: • Seeking the applicant's agreement to the BCA considering the application. • How the BCA makes a decision to consider the application. 11 Kawerau District Council BCA will not accept an application for a CCC in respect of a building consent issued by another BCA. Any person making an application under these circumstances is advised that: • the application is not accepted because the BCA did not issue the building consent; and • if no BCA is prepared to issue a CCC the person may apply to the relevant territorial authority for a certificate of acceptance.
Issue CCC	12 If the BCO is satisfied on reasonable grounds that the building work complies with the consent and, if applicable, that the specified systems

	are capable of performing to the performance standards set out in the building consent, the BCO records the decision to issue the CCC and the reasons for the decision on the Code Compliance Certificate Certification Checksheet. 13 The BC Admin records the decision date in Datacom Ozone. 14 BC Admin checks to see that the correct processing fees have been charged. If any fees are outstanding, the BC Admin contacts the applicant to notify the applicant that the Code of Compliance Certificate is refused until payment is made. An invoice is generated and sent to the applicant. 15 The 20 day clock can be extended on agreement with the applicant or the CCC can be refused until payment is made, stopping clock. 16 When all fees have been paid, BC Admin prints the CCC and gives it to the BCO. The BCO signs the CCC in the prescribed form and returns the documents to BC Admin. 17 When the building work involves specified systems, a compliance schedule and compliance schedule statement, or an amended compliance schedule, is prepared as per BI 6 Compliance Schedule and is attached to the CCC. 18 BC Admin copies the signed CCC, mails the original to the applicant, and places the copy in the consent file. The BC Admin records the issue date in Datacom Ozone system and the clock is stopped. 19 BC gives the file to the TA for long term storage.
Refuse to issue CCC	20 If the decision is to refuse to issue a CCC the BCO writes to the applicant advising the decision and reasons for the decision.

BI 5 Monitoring Code Compliance Certificates

Process

This process covers the monitoring of building consents to ensure that a decision to issue, or not to issue, a code compliance certificate is made within the statutory timeframe. It is carried out by BC Admin and BCO.

Relevant documents

Regulation 7(2)(f)

Appendix 10.4.45 – CCC Reminder Letter

Appendix 10.4.37 - Code Compliance Certificate Certification Checksheet

Appendix 10.4.40 - Code Compliance Certificate

Appendix 10.4.46 - CCC Refusal Letter

Appendix 10.4.20.3 – Extension of Time Letter

Procedure

22 month reminder letter	1 Each month BC Admin runs a report from Datacom Ozone listing consents granted 22 months previously, and for which no CCC has been issued. A CCC reminder letter (<i>Appendix 10.4.45</i>) is sent to each applicant advising that no application for a CCC has been received. A copy of the letter is placed on the consent file, and the consent number is noted in the Lapsed and CCC reminder register.
Owner/ applicant contact established	2 If a response is received from the applicant, establish timeframes to completion. 3 If necessary, arrange for a site inspection to establish the status of the project, or book a final inspection as per BI 1 Booking Inspections . 4 If an extension is requested, refer to the BCO for a decision.
Extension of time to make decision	5 If the BCO agrees to extend the time by which the BCA must decide whether to issue or to refuse to issue a CCC, prepare an extension of time letter (<i>Appendix 10.4.20.3</i>) for the BCO's signature. BCO signs the letter, and passes it to BC Admin. 6 BC Admin notes the extension of time in the Lapsed and CCC Reminder Register. 7 BC Admin sends the letter to the applicant.
23 month reminder letter	8 The procedure set out in paragraphs 1 to 7 is repeated at 23 months. 9 Each month BC Admin checks the Lapsed and CCC reminder register for consents where the extension of time is due to expire in the next month and sends a CCC reminder letter to the owner.
Refusal to issue CCC	10 The BCA starts the CCC clock in Datacom Ozone where the consent was granted 24 months previously, and no CCC application has been received. 11 If there is insufficient information and/or the owner has not applied for a CCC, the BCA notifies the owner within 20 working days explaining the BCA's decision to refuse to issue a CCC at that time. The CCC refusal letter is sent to the applicant and a copy is held in the consent file. The CCC clock is stopped in Datacom Ozone detailing the action taken.
Issue CCC	12 If the BCO is satisfied on reasonable grounds that the building work complies with the consent, the BCO records the decision to issue the CCC and the reasons for the decision on the Code Compliance Certificate Certification Checksheet (<i>Appendix 10.4.37</i>). 13 The CCC clock is stopped in Datacom Ozone and the BCO signs the CCC in the prescribed form. The original CCC document is sent to the applicant and a copy is held in the consent file.

BI 6 Compliance Schedule

Process

This process covers issuing a compliance schedule for a new building, or a new or amended compliance schedule where specified systems are added, deleted or changed as a result of building work to an existing building. It is undertaken by the BCO.

Relevant documents

Regulation 7(2)(f)

Appendix 10.4.41 - Compliance Schedule

Appendix 10.4.42 - Compliance Schedule Statement

Procedure

When a compliance schedule is required	1 A compliance schedule is required for any new building (other than a building used wholly as a single household unit) which has any of the specified systems listed in the Regulations. An amended compliance schedule is required whenever a building consent is issued for work which adds, removes or alters specified systems in an existing building with a compliance schedule. 2 A compliance schedule is required for a building used wholly as a single household unit only if it has a cable car attached, or is serviced by a cable car.
Required information	3 The compliance schedule must state: • the specified systems that are in the building; • performance standards for the specified systems within the building; • inspection, maintenance and reporting procedures to be followed by an independent qualified person in respect of each specified system.
Preparing the compliance schedule	4 When an application for consent for building work which includes specified systems is being processed, the BCO advises BC Admin that a compliance schedule or amended compliance schedule will be required. 5 Prior to issue, check for any minor variations or amendments to specified systems to ensure accuracy of compliance schedule. 6 When the consent is ready to be issued BC Admin includes details of the specified systems and performance standards for those systems on the consent document. 7 When the CCC is ready to be issued, BC Admin prints off the compliance schedule and compliance schedule statement (if required) or amended compliance schedule. 8 The compliance schedule statement and compliance schedule or amended compliance schedule are checked and signed by the BCO, and sent out with the CCC.

PI 1 Complaints and Inquiries

Process

This process covers receiving and recording inquiries, receiving, recording and resolving complaints, and advising complainants of the outcome of the complaint. It is undertaken by officers as indicated in the procedure below.

Relevant documents

Regulation 7(2)(g) and (h)

Appendix 10.5.2 – Complaints form

Appendix 10.5.3 – Complaints register

Procedure

General inquiries Reg 7(2)(g)	1 The BCA receives inquiries from the public on a wide range of issues. General inquiries relating to building control functions are received by phone or email and referred to the BCO for reply. 2 If a BCA staff member is unavailable a service request is generated by the Customer Services Officer and forwarded to the BCA to action.
Inquiries about specific consents	3 Technical inquiries about specific consents are received by phone or email and referred to the BCO for reply. Where necessary, a file note is placed on the consent file. Copies of emails are placed on the relevant consent file. Inquiries are responded to within three working days.
Reporting on general inquiries	4 Inquiries are a standing agenda item for operational management meetings. Any trends are noted in the minutes along with recommendations to change public information if necessary.
Complaints Reg 7(2)(h)	5 Complaints are received in person, by phone, fax, letter or email. 6 Where complaints are received verbally, the complainant is asked to put the complaint in writing. Only written complaints are investigated. When a written complaint is received, BC Admin writes to the complainant acknowledging receipt of the complaint and advising the timeframe within which the complaint will be investigated. 7 Only complaints about building control functions are considered by the BCA. These functions include: • Meeting statutory timeframes • Lodgement or vetting of building consent applications • Processing of building consent applications • Inspection of work under construction • Issuing of a Notice to Fix • Issuing of Code Compliance Certificates • Issuing of Compliance Schedules 8 Complaints are dealt with by the Group Manager, Regulatory & Planning who investigates the complaint, and advises the complainant of the outcome within two weeks. If the Group Manager, Regulatory & Planning can not deal with the complaint due to being absent, the complaint will be referred to the Chief Executive Officer. 9 The Group Manager, Regulatory & Planning will enable complaints to be prioritised and will endeavour to rectify the problem in a timely manner and provide remedies proportionate to the issues raised. 10 If the nature of the complaint is such that further time is required to investigate it, the Group Manager, Regulatory & Planning advises the complainant of the new timeframe. 11 Any complaints which cannot be resolved to the satisfaction of both the complainant and the Group Manager, Regulatory & Planning are referred to the Chief Executive Officer. 12 Details of the complaint, the investigation, resolution, and any action taken, are recorded on the Complaint Record Form (<i>Appendix 10.5.2</i>). The form is placed on the Complaints Register (<i>Appendix 10.5.3</i>). 13 Where the complaint relates to a specific consent, a copy of the Complaint Record Form is added to the consent file.

PI 2 Public Information

Process

This process covers providing information to building consent applicants on applying for a building consent, how an application is processed, how building work is inspected, and how building work is certified. It is carried out by BC Admin.

Relevant documents

Regulation 7(2)(a)

Public information documents as listed in the procedure below.

Procedure

Information available on the website	1 All public information is available on the website. 2 The information includes the following documents: • Application for Code Compliance Certificate • Notice of Owner builder status • Statutory Declaration of Owner/Builder Status • Certificate of Design Work from LBP • Record of Work from LBP • Application for Building Consent and or PIM/Vetting Forms 4x 1. <i>Simple Application</i> 2. <i>Minor Application</i> 3. <i>Residential Application</i> 4. <i>Multi Residential, Industrial, Commercial Application</i> • Application for Building Consent Amendment • Application for an Extension of Time • Advice of Licensed Building Practitioner/(s) • Application for Certificate of Acceptance • Application for Certificate of Public Use • Building Consent Public Information • Pool Safety Barrier Information • Earthquake Prone Buildings
Information available at Reception counter	3 If a customer requires a document which is not available at the counter, it is printed off from the current version held on the intranet.
Maintaining public information	4 When any of the public information documents are changed, BC Admin requests IT to update the site to include new version. 5 BC Admin ensures that any printed hard copies of documents which are changed are destroyed.

AD 1 Filing of Building Consent Documents

Process

This process covers providing each consent application with a unique identifier and file, ensuring all information relevant to the application is placed on the file, and ensuring secure and accessible storage of the file. It is undertaken by BC Admin and BCO.

Relevant documents

Regulation 16

Appendix 10.4.37 - Code Compliance Certificate Certification Checksheet

Procedure

Unique identification of applications Reg 16(1)	1	When each new application for a building consent is set up as per BC 1 Building Consent Application Received , a unique identifier is assigned to the application by Datacom Ozone.
Primary record Reg 16(2)(b) and (c)	2	The primary record is the paper copy filed in the live consents cabinet in the building office.
Issue of CCC	3	When the CCC is issued or refused the file is passed to the TA to maintain for long term storage.
BC File content Reg 16(2)(a)	4	The completed building consent file includes, at least, the following documents: • Building Consent Application Form • Building Consent Application Checklist • Proof of ownership • Specifications • Building Plans • PIM • Site Plan • Processing sheet • Signed building consent and attachments or letter refusing to grant a building consent • Inspection sheets • Details about any levy collected under section 53 of the Act • Signed Code Compliance Certificate or refusal to issue CCC.
	5	Individual files (due to the nature of the work) may also include the following documents: • Certificate of Design Work • Producer Statements • Calculations • Further Information Letter • Notices to Fix • Photos • Superseded Plans • Correspondence – Other • Energy work certificates • As Built Drainage Plan • Record of work • Building Warrants of fitness • Application for CCC • Compliance Schedule • Compliance Schedule Statement • If applicable, the specified intended life of the building • Statutory declarations provided by an owner-builder • A summary of any complaints laid in relation to the building, and the BCA's response • Section 37 notice • Section 75 notice • Any order issued by the District Court under section 126 of the Act

		- Records of any information on any land or building received by the BCA from a statutory authority - Any other relevant records that relate to the information above
Secure and accessible storage	6	From the time an application for building consent is received until the CCC is issued or refused the consent file is held in a locked filing cabinet in the building office, which is also locked after hours.
	7	After CCC issue or refusal, the file is added to the property file which is held by the territorial authority in locked storage.
	8	All files are accessible and retrievable during office hours. No records are held off site.

AD 2 Information Resources

Process

This process covers making technical information available to staff, defines the contents of the technical library, and describes how essential documents are updated. It is performed by BC Admin.

Relevant documents

Regulation 14

Appendix 10.8.2 – Standards Register

Procedure

Availability of information – electronic	1 All staff have access to information via the internet. This information includes: • acts and regulations on www.legislation.govt.nz; • Building Code and Acceptable Solutions and Verification Methods on the MBIE website www.building.govt.nz; • BRANZ appraisal certificates on www.branz.org.nz; • Product information and specifications on manufacturers' websites. 2 The primary reference for all these documents is the online version.
Availability of information - printed	3 Other printed information is available to all staff, and includes the following documents: • Building Act • Regulations • Building Code and Acceptable Solutions and Verification Methods; • Standards • Product Information 4 These documents are marked as superseded and are not controlled with the exception of PDF and hard copy Standards. Current Standards are recorded in the BCA's Standards Register (<i>Appendix 10.8.2</i>). The BCA regularly checks that all current copies align with the latest online version by accessing www.standards.govt.nz . If the standard is no longer current this will be marked as superseded and will be archived. 5 The BCA ensures that superseded information is updated with the relevant new information as required.

AD 3 Facilities and Equipment Management

Process

This process involves ensuring that appropriate facilities and equipment are provided, and that inspection, test and measuring equipment used to assess the compliance of building work with specified requirements is controlled, calibrated and maintained. It is performed by BC Admin and BCO.

Relevant documents

Regulation 14

Appendix 10.8.3 -Technical equipment register

Procedure

Facilities	1 Council is responsible for providing and maintaining suitable and adequate facilities and equipment for all building control staff, including: • Suitable and adequate office space • Computer and photocopying facilities • Adequate supply of stationery and sundry items as required. • The Territorial Authority will maintain and replace as necessary facilities and equipment as required. • The BCA vehicle containing technical equipment will be made available for Contractors (building inspection purposes). • All authorized agencies or Contractors undertaking consent processing externally, will be required to have access to a computer, documentation and we will print off any required documents.
Equipment	2 The BCA is responsible for providing, maintaining, and checking the accuracy of all equipment used by the BCO to take measurements used for verifying compliance with the code. 3 Council will provide the Contracting BCO's with a vehicle if required and equipment – (including but not limited to - ladder, thermometer, measuring tape, level, torch, string line, screwdriver set, mirror, moisture meter, hammer probe, first aid kit, gloves, sunscreen, safety helmet, safety harness, ear muffs), or we will request a contracting BCO to provide any inspection equipment required.
	4 All equipment used is recorded in the BCA's technical equipment register (<i>Appendix 10.8.3</i>), a copy of which is held by the BCA. 5 The BCA provides copies of current accuracy checks for moisture meters against a (test bar). Thermometers are checked in conjunction with Rotorua Lakes Council Building Consent Authority against an (IANZ calibrated approved thermometer) at 45 and 50 degrees Celsius. The thermometers will be required to retain an accuracy of +/-1 degrees Celsius. 6 The technical equipment register is audited every 6 months.

AD 4 Change Notification

Process

This procedure covers the process of notifying MBIE and IANZ of significant changes in the organisation or its policies, procedures and systems.

Relevant Documents

Reg 6A

Procedure

When notification is required	- The BCA is required to notify MBIE and IANZ where: - there are significant changes in the legal, commercial or organisational status of a BCA or the wider organisation in which it operates - the “authorised representative” departs or is replaced - the BCA’s “responsible manager” departs or is replaced - in any one quarter of the calendar year, 25% or more of any employees doing technical jobs depart and are not replaced with equally qualified and competent people - the applicant or BCA accepts any or all of another BCA’s functions under section 233 or 244 of the Building Act 2004 - the applicant or BCA formally transfers any or all of its functions under section 233 or 244 of the Act to another BCA - the applicant or BCA outsources a significant portion of its functions under section 213 of the Act to another BCA - the applicant or BCA accepts a significant portion of another BCA’s functions under section 213 of the Act - a material change of policies, procedures or systems occurs
Making a notification	- Any required notification must be made by the applicant, accredited organisation or BCA’s authorised representative within 20 working day of the decision, action or event to be notified occurring or being identified. - Notifications to MBIE are addressed to Manager, Building System Assurance Consumer Protection and Standards Market Services PO Box 1473 WELLINGTON 6140 and emailed to consentsystem@mbie.govt.nz - Notifications to IANZ are addressed to: The Programme Manager: BCA Accreditation International Accreditation New Zealand Private Bag 28908, Remuera AUCKLAND 1541. and emailed to info@ianz.govt.nz
Content of notification	- The notification should detail: - the notification requirement being complied with; - the nature of the change including: - what the change is; - why the change is being or has been made - who is making the change - when and how the change has been or will be implemented.

CA 1 Establishing Competence – Applicants For Employment

Process

This process covers establishing the competence of an applicant for employment as a building officer. It is undertaken by the Group Manager, Regulatory & Planning.

Relevant documents

Reg 10(1)

Procedures

Advertising and shortlisting	1 When engaging a new building officer, the Group Manager, Regulatory & Planning adheres to the Kawerau District Council's Recruitment Procedure. 2 After a position as a building officer has been advertised, the Group Manager, Regulatory & Planning reviews applications received. Emphasis is placed on: • previous work experience, including involvement in the building industry and regulatory environments such as other BCAs; • knowledge of the Building Act, Building Code, Compliance Documents, Standards, and other relevant legislation. • qualifications, including tertiary and trade qualifications; • computer skills (if identified); • the applicant's ability to fit in with the culture of the building section. 3 Applicants who appear satisfactory may be short-listed and invited to attend an interview. The interview includes questions designed to confirm the information provided in the application. The Group Manager, Regulatory & Planning may engage the services of an appropriately and competent external person to assist with the interview process.
Assessment of successful applicants	4 Successful applicants without previous BCA experience undergo a competence assessment. 5 Where the successful applicant is a building officer from another accredited BCA or AOB, the Group Manager, Regulatory & Planning may, where the other Provider has used similar assessment processes, accept the competencies as supplied by the other BCA or AOB as compatible with KDC's own assessment process. 6 A technical review of their competency may be undertaken by the BCA's technical expert/competency assessor. 7 The building officer is then incorporated to the skills matrix on that basis. 8 Where the Group Manager, Regulatory & Planning does not accept the other Provider's assessment process, the competence assessment is conducted as set out in CA 2 Competence Assessment.
Induction	9 Any successful applicant, whether from an existing BCA or AOB, will receive an induction to Kawerau District Council. The induction will include training in the BCA's Quality Assurance System, KDC's computer systems and the BCA's filing system. 10 The BCA will record inductions on BCO's training records.

CA 2 Competence Assessment

Process

This process covers assessing the competence of building officers, and technical leadership. It is performed by a contractor.

Relevant documents

Regulation 10(2), 10(3) and 13
Appendix 10.4.16 – Skills Matrix

Procedures

Categories of buildings	1 The competence assessment system uses the National Competence Assessment System building categories. Building work is categorised as Residential or Commercial, with three levels of complexity under each type - R1, R2 and R3 and C1, C2, and C3. 2 The BCA's mainstream work sits within categories R1, R2, R3 and C1, C2. 3 All C3 work is defined as outside the BCA's mainstream work. <i>(Note: the current Senior Building Control Officer has C3 competency)</i>
Assessing competence	4 A variety of methods are used to assess competence, including : • The recording of evidence demonstrating the candidate's competence • on-the-job observations • qualifications • audits/reviews of completed work • interviews • experience
Initial assessment	5 KDC's approved assessor undertakes an initial competence assessment. 6 The assessment involves interviewing each officer, observing them at work, and reviewing completed work. 7 The assessor prepares a report on each BCO, and provides a skills matrix with the recommended competence for each level. 8 The Group Manager, Regulatory & Planning reviews and confirms or adjusts the recommendations made.
Annual assessment	9 Competence assessments are reviewed annually by an external assessor. This review is aimed at confirming existing competence, and assessing any movements in competence levels which have occurred during the year. 10 The building officer provides the assessor with: • training records, including evidence of technical reading or writing; • a recent consent they consider is suitable to show their competence at the relevant level; • evidence of other work completed which they consider supports a competence outcome. 11 The building officer must also demonstrate a good understanding of their previous competence assessment. 12 The assessor: • reviews the findings of the officer's previous competence assessment; • reviews training plan as a tool to assist in tracking the officer's progress of competence and to assess with training needs; • reviews applications processed and inspected by the officer; • reviews available audit records.

Technical Leadership	13 The assessment also records consideration of technical leadership. The Group Manager, Regulatory & Planning relies on technical leadership provided through a contract with Rotorua Lakes Council Building Consent Authority. 14 The BCA grants its technical leader(s) the powers and/or authorities they require to provide technical expertise and guidance to assist decision making under the Building Act 2004.
Assessment outcome	15 The outcome of each competence assessment is a report specifically addressing the requirements of Regulation 10(3), and a recommended level of competence of the building officer for each category. 16 The skills matrix is authorised by the Group Manager, Regulatory & Planning on the basis of the competence assessments provided by the assessor. The matrix may be amended between competence assessments to reflect successful training outcomes as described in the training procedures. 17 The current Technical Leader is Allan Hoffman.

CA 3 Training

Process

This process involves establishing the training needs for the BCA, preparing training plans for individuals, ensuring training is received, and monitoring the effectiveness of training. It involves all BCA staff and the Contractor.

Relevant documents

Regulation 11(1) and (2)(a) to (e)

Regulation 17(4)

Individual Training Plan

Procedure

Establishing training needs and training plans Reg 11(2)(a)	1 Training needs are agreed annually by the Group Manager, Regulatory & Planning and BCO, having regard to the BCO's training review. Training needs are established through: • an annual training review with the BCO • the annual review of competence of the BCO; • audits.
Training plans Reg 11(2)(b)	2 An Individual Training Plan is prepared specifying the training need, the means by which it will be delivered, the outcomes required, and how the effectiveness of the training will be monitored. 3 The plan includes: • specific training identified as a result of the competence assessment • any training allocated to the BCO by the BCA to meet the organisational training needs • other training identified as beneficial to the BCO's professional development. 4 The training plan may be amended during the year to cater for training needs identified during internal audits, or for the advancement of new employees. 5 The training plan is approved by the Group Manager, Regulatory & Planning.
Ensuring training is received Reg 11(2)(c)	6 The Group Manager, Regulatory & Planning is also responsible for ensuring that all training is carried out within the timeframe set out in the training plan. If planned training is not undertaken, the Group Manager, Regulatory & Planning records the reasons on the individual training plan.
Monitoring the effectiveness of training Reg 11(2)(d)	7 The training plan sets out, for each piece of training a method for assessing the effectiveness of the training. Methods may include observation and comparison of work of the same type performed before and after training, peer review, and completion of work under supervision. 8 The contractor reviews the training plan ensuring that its effectiveness is monitored. The Group Manager, Regulatory & Planning will sign off the review.
Supervising employees under training Reg 11(2)(e)	9 The BCA can allocate work to BCOs in training where they are supervised and their work is peer reviewed. The skills matrix will record the competency level of the BCO including whether direct or indirect supervision is required to ensure the appropriate allocation of work. 10 Direct or indirect supervision must be undertaken by a person with a higher level of competence or at the same level providing they are competent in the processing/inspection area.

	Direct supervisions requires the BCO to be accompanied by a supervisor to process applications and on all inspections. The supervisor must counter sign all work undertaken by the trainee BCO. Indirect supervision does not require the trainee BCO to be accompanied by a supervisor. • Processing - All processing once complete, must be reviewed and counter signed by supervisor. • Inspections – The trainee BCO can undertake onsite Inspections without direct supervision; however a supervisor will be available by phone to provide any guidance, if required. Photos should be taken where possible to support findings. The supervisor is required to review inspections findings and counter sign the inspection check sheet. 11 All supervision undertaken, whether direct or indirect, must be recorded on the individual's supervision record. The supervisor will record their observations, decisions, and reasons or outcomes for decisions for each piece of work undertaken by trainee. 12 The BCO will remain under either direct or indirect supervision until their competency is established and recorded on the Skills Matrix.
Compliance with a quality assurance system Reg 17(4)	13 Any action required from training shall include the staff to refresh and review the understanding of the relevant procedure.

CA 4 Recording of Qualifications, Experience and Training

Process

This process describes the appropriate qualifications for BCA employees and contractors, and covers recording building officers' qualifications, experience, and continuing training. It is carried out by all BCOs

Relevant documents

Regulation 11(2)(f), 11(2)(g), and 18

Procedure

Appropriate qualifications Reg 18(1) and (2)	1 The BCA will obtain copies of qualifications for all employees and contractor's performing building control functions. 2 The following qualifications are appropriate for BCA employees and contractors who perform a technical role: • National Diploma in Building Control Surveying (Small Buildings) • National Diploma in Building Control Surveying (Medium and Large Buildings) • Diploma in Building Surveying • Diploma in Construction Management • Diploma in Construction • Diploma in Quantity Surveying • Diploma in Architectural Drafting • Diploma in Architectural Technology • Bachelor of Applied Technology – Building • Bachelor of Architecture • Bachelor of Architectural Studies • Bachelor of Building Science • Bachelor of Construction (Construction Management and Construction Economics) • Bachelor of Engineering 3 Every BCA employee or contractor who performs a technical role is required either to hold, or be working towards one of the recognised qualifications listed above, unless exempted from this requirement because one of the circumstances in paragraph 6 below applies. 4 Copies of qualifications for all officers undertaking work for the BCA are held by the BCA.
Circumstances in which qualifications are not required Reg 18(3)	5 Circumstances in which qualifications are not required are: • employees who have been assessed as competent in their current role and are within 5 years of retirement. • a new employee within the first 12 months of employment and are appropriately supervised. • employees who have tendered their resignation and will leave the BCA within the next three months. 6 Officers to whom these circumstances apply are listed on the skills matrix. 7 Employees or contractors seeking an exemption from the requirement to hold or be working towards a qualification make a written request with supporting evidence to the Group Manager, Regulatory & Planning. Exemptions are approved by the Group Manager, Regulatory & Planning. Exemptions will be recorded on the Skills Matrix.

Records to be kept Reg 11(2)(f) and (g)	8	Records for individual officers are kept by the BCA.
	9	Records kept include: • qualifications • experience • training plan • supervision records • competence Assessment • training log recording informal training undertaken

CA 5 Ensuring Enough Employees and Contractors

Process

This process covers ensuring that the BCA has enough employees and contractors to perform its building control functions, and assessing when contractors are required. It is carried out by BC Admin and the Group Manager, Regulatory & Planning.

Relevant documents

Regulation 8

Procedure

Employee used	1 All building control functions are performed by the BCO. 2 BC Admin monitors applications to ensure that they are processed within 20 working days of the clock starting. 3 Inspections should take place within 3 working days of the day on which they are booked, unless a later specific date is requested. 4 All consents and CCCs processed appear on the monthly process times report, which is an agenda item for the monthly operational review meeting. 5 BC Admin investigates any instance of processing taking more than 20 days and provides a report on the reasons for the length of time taken to the Group Manager, Regulatory & Planning who assesses the need for any follow up action to prevent recurrence.
Additional Resources	6 If additional resources are needed the Group Manager, Regulatory & Planning requests a Contractor to provide them. 7 In certain cases if the workload is at capacity the Group Manager, Regulatory & Planning will request the BCO to work extra hours/days to ensure that statutory clock timeframes are met.
Technical Leadership	8 The BCA relies on a Contractor to provide technical leadership or specialist experts as required.
Annual planning	9 The Group Manager, Regulatory & Planning will undertake a minimum annual planning exercise to identify: 10 Known pressures impacting on the performance of its building control functions such as limited access to technical leadership or specialist technical resources at any particular time, or for any particular reason. 11 Any known internal or external factors that might influence the volume of building control work, such as new internal systems, the impact of environmental events and/or interest rates, and the month in which the factor/s may have an influence. 12 The Group Manager, Regulatory & Planning will identify and record its likely resource requirements for the year ahead. Factors considered include work volumes for the previous two years and current expectations for the next year. 13 The exercise identifies any likely gaps in capability or capacity, and proposes solutions for closing those gaps.

CA 6 Contractors

Process

This process covers selecting and engaging contractors, establishing and reviewing their competence, recording their qualifications, and monitoring their performance. It is performed by the BC Admin and the Group Manager, Regulatory & Planning.

Relevant documents

Regulations 12 and 17(4)(b)

Contract– Rotorua Lakes Council Building Consent Authority

Procedure

When contractors are used	1 The BCA Manager shall assess the requirements for contractors giving account to: • Whether the BCA has internal capacity and capabilities for the complexity and volume of work; and • The BCA's ability to fulfil its obligations under the Building Act.; 2 The BCA has a contract with Rotorua Lakes Council Building Consent Authority to provide support services to the BCA including competence assessments, technical leadership, technical audits, training, leave and or other unforeseen cover. 3 The BCA may also engage other BCA's or Accredited Organisations (Building) to provide support services identified from time to time. 4 From time to time the BCA may require specialist input when assessing a building consent for matters including but not limited to, fire safety, structural design, HVAC, Geotechnical, hydraulic. These services are procured either by the individual BCA or through the Lakes Cluster Group.
Establishing competence, recording qualifications and regularly assessing competence Reg 12(2)(a), (d) and (f)	5 The competence and qualifications of any contracted BCO are recorded by Rotorua Lakes Council Building Consent Authority or other BCAs or Accredited Organisations (Building) (as required), and copies are provided to the BCA. The competence assessment, which are based on the National Competence Assessment System, are updated at least annually. 6 The BCA records the competency and qualifications of any contracted BCO on the skills matrix.
Selecting and engaging external contractors Reg 12(2)(b) and (c)	7 Contractors will be selected engaged based on: • Previous history and experience; • Qualifications; • Understanding and knowledge of building products and materials; • Knowledge and skills in applying the Building Act/Code and other applicable regulations. 8 All contractors are engaged under a written contract.
Monitoring and reviewing performance Reg 12(2)(e)	9 The scope of services and deliverables required from contractors are described in any contract. 10 The Group Manager, Regulatory & Planning reviews the contractor's performance annually against key performance indicators including meeting legislative timeframes, customer satisfaction and functions performed in alignment with the Quality Assurance Manual. Any deviations from expected performance are dealt with in accordance with the terms of the agreement or contract. 11 All external correspondence must be relayed from this office unless specified in the contract. All records related to building work carried out on behalf of the BCA must be recorded on the building consent file.
Compliance with quality systems Reg 17(4)(b)	12 Any BCO seconded to perform building control functions pursuant to the contract complies with the BCA's quality system.

QA 1 Continuous Improvement

Process

This process covers the identification, consideration and implementation of improvements to the BCA's policies, systems and procedures. It is performed by all staff.

Relevant documents

Regulation 17(2)(e) and 17(4)

Continuous Improvement Register

Procedure

Identifying opportunities for improvements	1 Any officer may suggest an improvement. 2 The officer verbally requests or emails the suggestion to BC Admin/QAC or Quality Manager, who enters it in the Continuous Improvements Register. 3 Opportunities for continuous improvement may also be identified through internal audits, as set out in QA 2 Internal Audit, external audits such as IANZ assessments, or from feedback from customers or contractors. A detailed audit process, including guidance on audit sample sizes is determined by the auditor on a case by case basis.
Framework for classifying non-compliance	4 The framework for classifying non-compliance; • Isolated issues or non-compliance that may identify an individual training need or prompt a recommendation to improve a policy, procedure or system. • Minor issues or non-compliance that may not have had an immediate or significant impact on the Building Consent Authority's performance but, if left to continue, may create a risk. • Major issues or non-compliance that may impact on a Building Consent Authority's performance and require expeditious attention to address. • Critical issues that require immediate attention as they identify non-compliance with legal requirements or safety risks for employees or contractors.
Implementation of Improvements	5 BC Admin records details of the suggestion and actions required in the register. 6 A target implementation date and a method of reviewing the effectiveness of implementation is recorded in the register. 7 Non-compliances identified in accreditation assessments are entered on the register, and actioned in accordance with the timeframes agreed with IANZ. Implementation is monitored as required by IANZ. 8 Implementation of improvements is monitored through an agenda item at operational management reviews.
Compliance with a quality assurance system Reg 17(4)	9 Any action required from a continuous improvement shall include the staff to refresh and review the understanding of the relevant procedure.
Monitoring effectiveness	10 When an improvement has been implemented, and implementation has been found to be effective, the BC Admin closes the improvement.

QA 2 Internal Audit

Process

This process covers the BCA's internal audit and review programme. The programme ensures that all of the BCA's building control functions are audited at least once every year, that staff and contractor compliance with the QAS is monitored, and that the consistent and effective implementation of the BCAs policies, procedures and systems is monitored. It is performed by the Quality Assurance Coordinator and external contractors.

Relevant Documents

Regulation 17(2)(h) and 17(4)

Appendix 10.2.4 - Internal Audit Report form

Procedure

Audit schedule	1. The QAC schedules audits at least annually, and records scheduled audits on an audit timetable.
Process audits	2. Process audits are undertaken using the Internal Audit Report Form. 3. Where appropriate, the procedure being audited is printed out, and used as the audit worksheet. Comments are made on the procedure as the audit progresses. Evidence of conformance and non-conformance may be recorded on additional sheets. 4. A summary of observations, and a list of recommendations (if any) is written on the Process Audit Record. 5. Recommendations for improvements are dealt with through the continuous improvement process as per QA 1 Continuous Improvement. 6. Audit records are reviewed by the Quality Manager and filed in the Audit folder.
Technical Audits	7. Technical audits are conducted by suitably qualified contractors. 8. A minimum of 10 examples of processing records and inspection records are audited each year. 9. Copies of all technical audits and peer reviews are reviewed by the Quality Manager and filed in the Audit folder.
Compliance with a quality assurance system Reg 17(4)	10. Any action required from an internal audit shall include the staff to refresh and review the understanding of the relevant procedure.

QA 3 Conflicts of Interest

Process

This process describes conflicts of interest, and covers how they are recorded and managed. It is undertaken by all staff and contractors.

Relevant documents

Regulation 17(2)(i)

Appendix 10.2.3 - Conflict of Interest Form

Procedure

Policy	1 Officers shall be free from any commercial, financial, political, or other pressures that might affect their independence.
Types of conflict of interest	2 Conflicts of interest arise where: - a staff member or contractor has a financial, commercial or personal interest in a piece of work; or - a staff member is subjected to inducements, coercion or threats either from inside the BCA or from external parties. 3 Potential conflicts of interest may also arise where the BCA is consenting Council owned buildings.
Personal conflicts of interest	4 Any staff member or contractor who has a financial, commercial or personal interest in a piece of work must advise the Group Manager, Regulatory & Planning of that interest at the earliest possible opportunity, and complete a Conflict of Interest form. 5 The form is given to the Group Manager, Regulatory & Planning who decides how the conflict will be handled and records that on the form.
Recording of inducements, coercion or threats	6 In the event of an officer being subjected to any inducements, coercion or threats, the officer immediately fills in a Conflict of Interest form, and gives it to the Group Manager, Regulatory & Planning. 7 Details to be recorded in the memo include: - the number of any relevant BC, PIM or CoA; - the date of the occurrence or commencement of occurrence; - the nature of the occurrence; - the name of the person making the inducement, coercion or threat; - what was said; - any other information deemed relevant. 8 The Group Manager, Regulatory & Planning determines what action, if any, should be taken, or if the matter should be escalated to the Chief Executive Officer. 9 The Group Manager, Regulatory & Planning and / or Chief Executive Officer records the decision taken on the Conflict of Interest form. 10 The Group Manager, Regulatory & Planning signs off the decision on managing conflicts of interest 11 The form is filed in the Conflict of Interest Folder.
Conflict of interest involving Manager	12 If the Group Manager, Regulatory & Planning is involved in an actual or potential conflict of interest, the Chief Executive Officer takes the role of the Group Manager, Regulatory & Planning.
Council buildings	13 BCA staff may consent, inspect, certify and otherwise deal with Council owned buildings, providing no BCA staff are involved in the design, project management or construction of the building.

QA 4 Communications

Process

This process covers internal and external communications. It involves all staff.

Relevant documents

Regulation 17(2)(j)

Procedure

Internal communication	1 Internal communication is carried out as described in the following table.			
Type	Media	Frequency	Who	Record
Operational	Face to face	Daily	All BCA staff, Group Manager, Regulatory & Planning	Nil
Operational Reviews	Meetings	Monthly	All BCA staff, Group Manager, Regulatory & Planning	Operational Review meeting minutes
Strategic Management Review	Meetings	Annually	Group Manager, Regulatory & Planning, CEO	Report
Document Change notification	Meetings	As required	BC Admin	Operational Review meeting minutes
Process Change notification	Meetings	As required	BC Admin	Operational Review meeting minutes
External communication	2 External communication is carried out as described in the following table.			
Type	Media	Frequency	Who	Record
Public information	Hardcopy + website	Permanent	BC Admin	Hardcopies, electronic files
General Enquiries	As received	As required	BC Admin, BCO	Nil
Building work enquiries	As received	As required	BCO	File note
Inspections	Inspection calendar	As required	BCO, BC Admin, CSOs	Inspection calendar
Complaints	Hardcopy	As required	Group Manager, Regulatory & Planning, CEO	BCA Complaints Register
Contractors	Hardcopy + email	As required	BC Admin Group Manager, Regulatory & Planning, Contractor	Standard forms, letters

QA 5 Management Review

Process

This process covers annual reviews of the QAS, and monthly reviews of the BCA's performance against the QAS. It is undertaken by all BCA staff and the Group Manager, Regulatory & Planning.

Relevant documents

Regulation 17(2)(d), 17(4) and 17(5)
Operational Review Meeting minutes
Strategic Management Review Report

Procedure

Monthly review	- Operational reviews are carried out by BC Admin and the Group Manager, Regulatory & Planning at the monthly meeting. The agenda for the meeting includes: - actions from previous meeting - work volumes and service levels - trends in work volumes and service levels - internal audits - continuous improvements - inquiries, compliments and complaints - conflicts of interest - general - Minutes of the monthly meetings are stored in X:\Drive. - Management reports are discussed at monthly Managerial Leadership meetings.
Annual Strategic Management Review	- Strategic Management Reviews are undertaken at least annually to assess the appropriateness and effectiveness of Council's quality system. - Strategic Management Reviews are carried out by the Group Manager, Regulatory & Planning, and the CEO. The review output is a report covering each of the points listed below, and including recommendations for any further actions which result from the review. - Strategic Management Reviews include, but are not limited to, consideration of the effectiveness of the following points: - its policy on quality - management reporting on quality processes, internal audits and continuous improvement - employee and contractor engagement with the quality assurance system - employee and contractor engagement with the continuous improvement system - the management of conflicts of interest (refer Reg 17(2)(i)) - any communication related to quality assurance system matters (refer Reg 17(2)(j)) If an analysis of each of the above identify possible system failures the BCA must review and change its QA system as required.
Compliance with a quality assurance system Reg 17(4)	Accepted recommendations relating to compliance with the BCA's Quality Assurance system are implemented through the continuous improvement system and will be discussed at monthly meetings.

QA 6 Document Control

Process

This process covers the management and control of documents relating to the QAS and the processes and procedures established under it. It is performed by the QAC.

Relevant documents

Regulation 5(b)

Appendix 10.2.1.1 Documents Register

Procedure

Responsibility	1 QAC is responsible for the review, distribution, updating and archiving of documents, and for notifying staff of updates and changes to documents. 2 QAC is also responsible for the maintenance of the document management system.
Controlled documents	3 Controlled documents are the QAS document, and all forms, letters and checklists which are used as part of the procedures set out in the QAS. 4 All controlled documents are recorded in the Documents Register
Control of documents	5 Changes, other than minor corrections of errors, are identified through the continuous improvement process. 6 QAC maintains all controlled documents. Form and letter templates are held electronically on Intranet or in Datacom Ozone, and are access controlled. Documents can be read by all staff, but can only be edited by QAC. 7 Controlled documents are identified with: • a title and / or form number; • the author; • a version number and / or issue date; and • a page number and total number of pages. 8 The QAS document also has a revision history at the front of the document. This records: • the revision number; • the reason for the revision; • the author; • the date of the revision. 9 The Master QAS document is held electronically in the Regulatory Directory on the intranet, with QAC only having editing rights. When the document requires updating, other than for minor errors, a new version is created, and the previous version is archived. When the new version is created, changes are highlighted in yellow. Changes made in the previous version have the highlight removed. 10 Staff access the QAS document via an icon on their computer desktops which links to the latest version of the QAS document.
New and updated documents	11 The need for new and / or updated documents is identified through the continuous improvement process. 12 All new controlled documents are recorded in the Documents Register. The Register also records changes to controlled documents, including withdrawal and archiving. 13 QAC notifies staff of changes to controlled documents at the next operational meeting.

QA 7 Quality Assurance System and Record Keeping

Process

This process defines the Quality Assurance System, names the people responsible for managing it, and covers the management of records relating to the QAS and the processes and procedures established under it. It is performed by the Quality Manager and QAC.

Relevant documents

Regulation 14, 17(1), 17(3)

Procedure

Description of the QAS Reg 17(1)	1 The quality assurance system consists of: • the QAS document; • letter and form templates; • forms; • public information; • quality records; • management records; and • other documents. 2 The system uses Origin Ozone as the means of recording consent applications and producing standard letters and forms. Sharepoint on the KDC computer system is used as the repository for original documents.		
Responsibility for managing the QAS Reg 17(3)	3 The Quality Manager who is responsible for managing the BCA's quality assurance system is Michaela Glaspey. 4 The day to day quality system processing and auditing is undertaken by the QAC under the direction of the Quality Manager.		
Location of documents Reg 14	5 Documents are located as set out in the table below.		
	Category	Document	Location
	Quality Assurance System	Quality Assurance System document (QAS)	Intranet
		Letter and form templates Processing and inspection forms	Datacom Ozone Intranet
		Public information, BC/CCC Application forms	Intranet, Website
	Quality Records	Training records Internal audit records Consent records, property files	Training Folder Audit Folder Council file storage
	Management Charts/Records	Controlled Document Register, Delegations	X:\ Drive
		Organisation Chart	Intranet
		Skill Matrix	Training Folder
		Position Descriptions	HR records
	Contract Documents	Records of Engagement Contractor performance reviews	Contractors Folder
Office Documents	Memos, Enquiry Notes, Letters, Emails, Purchase orders	Council file storage	

QA 8 Complaints about Practitioners

Process

This process involves considering whether to make, and making when it appears necessary, complaints to relevant occupational or professional authorities about practitioners.

Relevant documents

Regulation 17(3A)

Procedure

Raising concerns about practitioners	1. Any employee or contractor who has concerns about a practitioner reports those concerns in writing to the Group Manager, Regulatory & Planning. The report includes details of the concerns, and the relevant consent application number.
Consideration by the Group Manager, Regulatory & Planning	2. The Group Manager, Regulatory & Planning considers the reported concerns. If the Manager considers that the concerns are not serious enough to warrant a complaint, the employee or contractor is advised accordingly. 3. If the Manager considers that the concerns may be sufficiently serious to warrant a complaint an officer is delegated to collect evidence supporting the concerns. When the officer has completed assembling the evidence, the Manager decides whether or not to make a complaint to the relevant occupational or professional authorities.
Making a complaint	4. If the Group Manager, Regulatory & Planning decides to make a complaint, this is done in accordance with the complaints procedure established by the occupational or professional authority to which the complaint is to be made.
Recording concerns	5. When an employee or contractor advises the Group Manager, Regulatory & Planning of concerns about a practitioner a copy of the written report is saved against the relevant consent application file. 6. Any evidence collected in support of the concerns, details of the Manager's decision to complain or not to complain, and the reasons for that decision, are also saved against the relevant consent application file.

QA 9 Compliance with a Quality Assurance System

Process

The BCA will ensure that its employees and contractors comply with the quality system.

Relevant Documents

Regulation 17(4)

Procedure

Quality Assurance System	The BCA communicates about its quality assurance system to all employees and contractors who are using its policies, procedures and systems:
Induction	1. At inductions where the BCA provided access to the quality manual and requires the new employee or contractor to review it.
Training	2. As part of any training in their use of a policy, procedure and system, the trainee is guided through the meaning of the policy, procedure and system.
Continuous Improvement	3. Where required as a result of any management review or audit under regulations 17(2)(h) or (5) as discussed at monthly team meetings.
Management Review	4. Where required as a result of any continuous improvement process under regulation 17(2)(e) as discussed at monthly team meetings.
Action Required	Any action required from points above, listed from 1 to 4 shall include the staff to refresh and review the understanding of the relevant procedure.