



The NZ mark of competence
Tohu Matatau Aotearoa

BUILDING CONSENT AUTHORITY ACCREDITATION ASSESSMENT REPORT

Rangitikei District Council

CONTENTS

INTRODUCTION	3
ASSESSMENT SUMMARY	3
CONTINUING ACCREDITATION	3
NEXT ACCREDITATION ASSESSMENT	3
BCA AND ASSESSMENT DETAILS	4
ASSESSMENT OBSERVATIONS	5
RECORDS OF NON-COMPLIANCE	25
SUMMARY OF RECOMMENDATIONS	37
SUMMARY OF ADVISORY NOTES	38
SUMMARY TABLE OF NON-COMPLIANCE	39

INTRODUCTION

This report relates to the on-site accreditation assessment of the Rangitikei District Council Building Consent Authority (BCA) which took place during February 2021 to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006* (the Regulations). This report is based on the document review, witnessing of activities and interviews with the BCA's employees and contractors undertaken during the accreditation assessment.

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

ASSESSMENT SUMMARY

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

The assessment identified that the BCA was generally being well managed and was positive in its approach towards continuous improvement. The BCA's documented procedures were well written and easy to follow utilising the Simpli Manual system.

CONTINUING ACCREDITATION

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

Addressing non-compliances identified during the assessment

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

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

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



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

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

NEXT ACCREDITATION ASSESSMENT

Unless your BCA undergoes a significant change, requiring some form of interim assessment, or the BCA is unable to clear the identified non-compliances within the agreed timeframe, the next assessment of the BCA is planned for February 2023. You will be formally notified of your next assessment six weeks prior to its planned date.

BCA AND ASSESSMENT DETAILS

ORGANISATION DETAILS																																			
Organisation:		Rangitikei District Council																																	
Address for service:		46 High Street, Marton 4710																																	
Client Number:	7466	Accreditation Number:	39																																
Chief Executive:		Peter Beggs																																	
Chief Executive Contact Details:		peter.beggs@rangitikei.govt.nz																																	
BCA Responsible Manager:		Johan Cullis																																	
BCA Responsible Manager Contact Details:		johan.cullis@rangitikei.govt.nz																																	
BCA Authorised Representative:		Johan Cullis																																	
BCA Authorised Representative Contact Details:		johan.cullis@rangitikei.govt.nz																																	
BCA Quality Manager:		Johan Cullis																																	
BCA Quality Manager Contact Details:		johan.cullis@rangitikei.govt.nz																																	
Number of BCA FTEs	Technical	2	Admin support	2																															
Total FTEs should = technical FTEs + admin FTEs + vacancies	Vacancies (Technical)	1	Vacancies (Admin)	0																															
BCA Activity during the previous 12 months		Building Consents <table border="1"> <tr> <td>R1</td> <td>269</td> <td>R2</td> <td>8</td> <td>R3</td> <td>3</td> </tr> <tr> <td>C1</td> <td>20</td> <td>C2</td> <td>5</td> <td>C3</td> <td>0</td> </tr> <tr> <td colspan="4">CCCs</td> <td colspan="2">274</td> </tr> <tr> <td colspan="4">New compliance schedules</td> <td colspan="2">6</td> </tr> <tr> <td colspan="4">BCA Notices to Fix</td> <td colspan="2">4</td> </tr> </table>				R1	269	R2	8	R3	3	C1	20	C2	5	C3	0	CCCs				274		New compliance schedules				6		BCA Notices to Fix				4	
R1	269	R2	8	R3	3																														
C1	20	C2	5	C3	0																														
CCCs				274																															
New compliance schedules				6																															
BCA Notices to Fix				4																															
ASSESSMENT TEAM																																			
Assessment Date:		23 February 2021 to 26 February 2021																																	
Lead Assessor:		Peter Wakefield																																	
Lead Assessor Contact Details:		pwakefield@ianz.govt.nz																																	
Technical Experts:		Colin Pickering																																	
MBIE observer/s:		Gary Higham																																	
ASSESSMENT FINDINGS																																			
		This assessment:		Last assessment:																															
Total # of "serious" non-compliances:		0		0																															
Total # of "general" non-compliances:		10		23																															
Total # of non-compliances outstanding:		10		23																															
Recommendations:		3		0																															
Advisory notes:		6		4																															
Date clearance plan required from BCA:		16 April 2021																																	
Date non-compliances must cleared:		16 June 2021																																	
NEXT ASSESSMENT																																			
Recommended next assessment type:		Full assessment																																	
Recommended next assessment date:		February 2023																																	
IANZ REPORT PREPARATION																																			
Prepared by: Peter Wakefield		Signature: 																																	
Checked by: Adrienne Woollard		Signature: 																																	
IANZ Report Preparation Date:		12 March 2021																																	

ASSESSMENT OBSERVATIONS

REGULATION 6A NOTIFICATION REQUIREMENTS

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 1
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>Procedures for notification of changes within the BCA to MBIE and IANZ addressed requirements.</p> <p>The BCA had not always ensured that notification of significant changes to MBIE and IANZ occurred within the required timeframe of 20 working days of the change. E.g. The BCA's Organisation restructure had not been appropriately notified.</p> <p>See GNC 1.</p>	

REGULATION 7 PERFORMING BUILDING CONTROL FUNCTIONS**Regulation 7(2)(a): providing consumer information**

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 2
Opportunities for improvement? Y/N	Yes
Number of recommendations:	1
Recommendation number/s:	R1
Number of advisory notes:	1
Advisory note number/s:	A1
Observations and comments, including good practice and performance	
<p>The BCA provided public information regarding how to apply for a consent, and how an application is processed, inspected and certified. However, The BCA had not provided consumer information appropriately/adequately in the following areas:</p> <ul style="list-style-type: none"> • The link for Change of Use application form in the alterations and extensions of life heading links was not correct and there was no information provided to advise potential applicants of what a change of use is, or what they are required to provide in an application • There was no information provided to advise potential applicants of what an extension to the specified life is, or what they are required to provide in an application • There was no information provided to advise potential applicants of what is required in regards to subdivision of an existing building. • Method of fees and payment; The information was difficult to follow and find, and there appeared to be no detail on how the deposit was to be paid, The BCAs T-Form coversheet did not reference Building or BRANZ levies, although it was referenced in the whole of council Schedule of Fees and Charges. • There was no reference to conditions applied to a consent • The information did not state that the grant of a consent is conditional on enabling the building work to be inspected • There was a bond referenced for Code Compliance, however there was no reference to how the fees are managed for Code Compliance Certificates. • There were several instances where the Department of Building and Housing had been referenced, when it should be MBIE • There were links that referenced information from another BCA <p>See GNC 2.</p> <p>A recommendation was raised in that the BCA could consider reviewing its documented process for sign off by the Quality Manager of changes to consumer information relating to BCA functions.</p> <p>See Recommendation R1.</p> <p>The BCA is advised to consider reviewing its consumer information in relation to:</p> <ul style="list-style-type: none"> • The information on the website being difficult to follow as there were items duplicated, and items that were out of sequence for a logical search. 	

- acceptance and management of professional opinions, e.g. producer statements, and wording of supporting documentation to satisfy the BCA on reasonable grounds of compliance, noted that information relating to producer statements was in 2 different places.
- section 112 requirements where the application was for alteration to an existing building references in required plans “renovations and extensions and upgrades (but not alteration),
- information as to what will require an application to be forwarded to FENZ
- National Multiple-Use Approval (MultiProof) certificate, incorrectly references Multiply-Use
- reference to starting clock in the working day following a complete CCC application or complete RFI information received.

See Advisory Note A1.

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had appropriate procedures for receiving, checking and recording applications. These were appropriately implemented.	

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

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

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

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

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 3
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had a documented procedure for processing of building consents. Processed consents generally included records of decisions, reasons for decisions and outcome of decisions.</p> <p>However, the BCA's documented procedure for processing a building consent application did not adequately cover Section 133AT, in that it was not referenced in the BCAs procedure "Process an application involving an alteration to an existing building".</p> <p>Also, the BCA had not always ensured that there was a consistent level of recorded reasons for considering the appropriateness of performance standards and why they had been accepted.</p> <p>Some processing records did not contain sufficiently specific detail in relation to Compliance Schedule information.</p> <p>See GNC 3.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 4
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>Compliance with Form 5</p> <p>The BCA's implementation of issued consents was not always appropriate in the following areas:</p> <ul style="list-style-type: none"> the conditions section included conditions that are not provided for in the Building Act, such as lapsing, required inspections, and the building being in accordance with plans and specifications, issued building consents consistently did not include the requirements of section 90 sections 75, 67/68, and 113 were not included on the BCA's system templates for issued building consents <p>See GNC 4.</p> <p>Lapsing</p> <p>The BCA's documented procedure and implementation were appropriate.</p> <p>Compliance with statutory timeframes</p> <p>The BCA's documented procedures did not describe the process that the BCA utilised to monitor the statutory timeframe for processing of consents.</p> <p>See GNC 4.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 5
Opportunities for improvement? Y/N	Yes
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	1
Advisory note number/s:	A2
Observations and comments, including good practice and performance	
<p>Procedures for performing and managing inspections had been documented.</p> <p>However, the BCAs Inspection recording system within the “GoGet” system did not prompt or record consideration of warnings and bans. See GNC 5.</p> <p>The BCA is advised to consider including the known on site builder, to email contact list, for the purposes of sending inspection findings. See Advisory Note A2.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 6
Opportunities for improvement? Y/N	Yes
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	1
Advisory note number/s:	A3
Observations and comments, including good practice and performance	
<p>Application for a code compliance certificate</p> <p>The BCA's documented procedure was appropriate. Applications for CCC were seen to be fully completed by applicants.</p> <p>Code compliance certificates</p> <p>CCC files were sometimes inconsistent in the content of the issued form 7 for commercial consents, such as statements for “Specified systems are capable of performing to the performance standards listed in the consent”, “Compliance schedule is attached”. The cause of these inconsistencies was traced to the BCA's Magiq system having an old template still stored and not archived. The old template was removed. This part of GNC 6 was therefore cleared on site.</p> <p>24 month CCC decision</p> <p>Procedures addressed requirements. The BCA had been making the decision to issue/not issue CCCs at 24 months where there had been no application for CCC.</p>	

Compliance with statutory timeframes

The BCA had been substantially compliant with the statutory clock for issue of CCCs, whether or not an application for CCC had been made.

Compliance schedules

The BCA's documented procedures did not provide appropriate detail of the process to be implemented if the specified system or performance standard was different to that listed in the building consent / draft compliance schedule.

The BCA had not always ensured that compliance schedules contained appropriate content as follows:

- Incorrect references to section 108 of the Act
- No make of specified systems recorded (if known)
- Several descriptions of specified systems did not record location in the description of the system when it was relevant to clearly describe the specified system, e.g. Final exits
- Several performance standards listed under heading for inspection / maintenance / reporting therefore giving a potential ambiguity as to which standard applied
- Several specified systems did not have a performance standard listed i.e. SS15/2 and SS15/4
- Inappropriate use of NZBC with a listed acceptable solution being used as the performance or inspection standard, i.e.. SS 15/4 (F6/AS1 and F8 / AS1 are not in the NZ Building Code therefore cannot have NZBC reference.)
- Use of inappropriate performance standards, i.e SS15/4; F6/AS1 is not referenced in SS04, and F8/AS1 is not enough to be specific to the specified system as F8 provides for numerous types of signage requirements.
- Several specified systems included the Compliance Schedule Handbook as the performance standard. This is a guidance document and does not include any performance standards.i.e.s15/2 and SS 15/4
- Inspections for SS14/2 Annual inspection for illuminated signage does not clearly specify the duration where NZBC F6 is offered as the performance standard as F6 provides options
- There was inconsistency in the performance standards listed in the compliance schedule to those listed in the building consent.

See GNC 6.

Notices to fix

The BCA had documented an appropriate procedure for issue of Notices to Fix (NTF).

The BCA is advised to consider including details of how the contravention was identified and the relationship of the specified persons on a NTF, i.e. Owner / Builder/ Person supervising work.

See Advisory Note 3.

Regulation 7(2)(g): customer inquiries

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

Regulation 7(2)(h): customer complaints

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

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

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

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had an appropriately documented procedure for identifying and addressing capacity and capability needs.</p> <p>A contractor had been employed in January 2021 to correct staff resource deficiencies and poor statutory timeframe performance levels. This had resulted in an improvement in the performance levels, which had now reached substantially compliant levels.</p> <p>The BCA had one vacancy for a technical staff member at the time of this assessment.</p>	

REGULATION 9 ALLOCATING WORK

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

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

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

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	Yes
Number of recommendations:	1
Recommendation number/s:	R2
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had an appropriate procedure for assessing the competence of employees' performing building control functions.</p> <p>Competency assessments had been completed, with records maintained.</p> <p>The competency assessments had recorded reasons for decision for 10 (3) (a-f), however these were minimal and did not always fully record the evidence that satisfied the assessor of the skill of application for regulation 10(3)(c), and the evidence to support ability to certify regulation 10(3)(d)(iii), ability to communicate regulation 10(3)(e), and the ability to comply with procedures and policy regulation 10(3) (f).</p> <p>The BCA is recommended to consider reviewing its procedure to ensure that assessments include an appropriate level of evidence of skill of application for 10(3)(c) and ability of application of 10(3)(e) and (f). See Recommendation R2.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 7
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented procedures for the planning of training and the monitoring of training received.</p> <p>Training needs had been reviewed and training plans updated to reflect training needs identified. Training had been given as planned, or rescheduled when necessary. The implementation and uptake of training was monitored through a variety of methods, including observation, and comparison of examples of work before and subsequent to the training.</p> <p>The BCA had not always ensured that training records had been maintained for all BCA staff. See GNC 7.</p>	

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

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

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented its procedures for choosing and using contractors.</p> <p>A contract service agreement was in place for the contractor being used. The agreement included the scope of work to be undertaken, requirements for adhering to a quality management system, actions to be taken in the event of unsatisfactory performance and performance measuring processes.</p> <p>Contractor performance was being monitored and records maintained.</p>	

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

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

REGULATION 14 ENSURING NECESSARY (TECHNICAL) RESOURCES

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 8
Opportunities for improvement? Y/N	Yes
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	1
Advisory note number/s:	A4
Observations and comments, including good practice and performance	
<p>Procedures for ensuring necessary technical resources were documented and implemented appropriately.</p> <p>The BCA had not always ensured that calibration of measuring instruments such as thermometers and moisture meters had been carried out on an annual basis. See GNC 8.</p> <p>The BCA is advised to consider performing calibration of its thermometers at the specific values of interest. E.g. at 45 and 55 degrees Celsius, and the BCA is advised to consider documenting the process by which the BCA's reference thermometer is calibrated by an outside calibration service provider and the period at which this is done. E.g. IANZ Calibration Laboratory at a specified number of years. See Advisory Note A4.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 9
Opportunities for improvement? Y/N	Yes
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	1
Advisory note number/s:	A5
Observations and comments, including good practice and performance	
<p>The BCA had recorded their structure and lines of accountability on an organisational chart. Roles and responsibilities were recorded in job descriptions.</p> <p>The BCA had not always ensured that the delegation register was current and appropriately referenced. See GNC 9.</p> <p>The BCA is advised to consider rewording job descriptions in relation to Regulation 18 requirements. E.g. The BCA's Job description for Senior BCO and BCO indicate that a trade cert is required but does not point to or mention Reg 18. See Advisory Note A5.</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA allocated each application for a building consent and amendment a unique application number.</p> <p>Records were found to be accessible and retrievable. Records were maintained in hard copy files, with plans to go to digital records after March 2021. Current records management processes appeared to be appropriate and effective.</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had a well written quality system that covered its management and operations. It was made available to all BCA staff electronically.</p> <p>A number of non-compliances with the MBIE checklist and guidance were noted. These are detailed elsewhere within this report.</p>	

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

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

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

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

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>Reporting and review of the BCA's quality system was being carried out through the BCA's regular BCA Team Meetings, and Management Reviews. Results of these reviews were recorded within the minutes of these meetings.</p> <p>Implementation of management reporting, review and records appeared to be appropriate.</p>	

Regulation 17(2)(e) Supporting continuous improvement

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

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	Yes
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	1
Advisory note number/s:	A6
Observations and comments, including good practice and performance	
<p>The BCA's documented procedure for internal audit was found to be appropriate, with internal audits occurring to schedule. Technical audits and peer reviews had been carried out. Internal audit records in the form of internal audit reports had been well maintained. Follow up on issues raised during internal audits was being implemented appropriately.</p> <p>The BCA is advised to consider reviewing its file naming process, so that referring to "Internal Audit Plan Items to comply with QM" document without the specific year in the Simpli Quality Manual, as the current manual indicates the 2020 version instead of 2021, which is outdated.</p> <p>See Advisory Note A6.</p>	

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

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

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

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

Regulation 17(3A): Complaints about building practitioners

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	Yes
Number of recommendations:	1
Recommendation number/s:	R3
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had developed an appropriate procedure for raising concerns regarding building practitioners and making complaints as required.</p> <p>No complaints about practitioners had been raised within the past 24-month period.</p> <p>The BCA is recommended to consider reviewing its systems for recording track history of building practitioners so that information supporting concerns which may lead to an actual complaint about a practitioner is suitably recorded.</p> <p>See Recommendation R3.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 10
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA used a number of measures to ensure compliance with its quality system, such as in process checking, internal audit and management reviews.</p> <p>The BCA communicated about its quality system to its employees.</p> <p>However, the BCA did not have an appropriately documented procedure for induction an employee to their quality management system. I.e. The procedure references a template document that did not exist. Also, the BCA had not recorded any induction training to the BCA's quality management systems.</p> <p>See GNC 10.</p>	

Regulation 17(5): Strategic management reporting and review

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

REGULATION 18 TECHNICAL QUALIFICATIONS

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

RECORDS OF NON-COMPLIANCE

RECORD OF NON COMPLIANCE #:	GNC 1	
Breach of requirement:	Regulation 6A	
Finding:	General Non-compliance	
FINDING DETAILS		
<p>The BCA had not always ensured that notification of significant changes to MBIE and IANZ occurred within the required timeframe of 20 working days of the change. E.g. The BCAs Organisation restructure.</p>		
BCA ACTIONS REQUIRED		
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.</p>		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action <i>(To be provided by BCA):</i>		
Proposed evidence of implementation <i>(To be provided by BCA):</i>		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

RECORD OF NON COMPLIANCE #:	GNC 2
Breach of requirement:	Regulation 7(2)(a)
Finding:	General Non-compliance
FINDING DETAILS	
<p>The BCA had not provided consumer information appropriately/adequately in the following areas:</p> <ul style="list-style-type: none"> • The link for Change of use application form in the alterations and extensions of life heading links was not correct and there was no information provided to advise potential applicants of what a change of use is, or what they are required to provide in an application • There was no information provided to advise potential applicants of what an extension to the specified life is, or what they are required to provide in an application • There was no information provided to advise potential applicants of what is required in regards to subdivision of an existing building. • Method of fees and payment; The information was difficult to follow and find, and there appeared to be no detail on how the deposit was to be paid, The BCAs T-Form coversheet did not reference Building or BRANZ levies, although it was referenced in the whole of council Schedule of fees and Charges. • There was no reference to conditions applied to a consent • That the grant of a consent is conditional on enabling the building work to be inspected • There was a bond referenced for Code Compliance, however there was no reference to how the fees are managed for Code Compliance Certificates. • There were several instances where the Department of Building and Housing had been referenced, when it should be MBIE • There were links that referenced information from another BCA 	
BCA ACTIONS REQUIRED	
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p><u>Once the action plan and proposed evidence has been accepted by IANZ</u>, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.</p>	
IMPORTANT DATES	
Plan of action from BCA due by:	16/04/2021
All action plans accepted by IANZ:	Click here to enter a date.
Date final evidence of implementation is required from BCA:	2/06/2021
Final date non-compliance to be cleared by:	16/06/2021
EVIDENCE	
Plan of action <i>(To be provided by BCA):</i>	
Proposed evidence of implementation <i>(To be provided by BCA):</i>	

Evidence of implementation and discussion:	
NON COMPLIANCE CLEARED	
Signed:	Date: Click here to enter a date.

RECORD OF NON COMPLIANCE #:	GNC 3
Breach of requirement:	Regulation 7(2)(d)(iv)
Finding:	General Non-compliance
FINDING DETAILS	
<p>The BCA's documented procedure for processing a building consent application did not adequately cover Section 133AT, in that it was not referenced in the procedure "Process an application involving an alteration to an existing building".</p> <p>Also, the BCA had not always ensured that there was a consistent level of recorded reasons for considering the appropriateness of performance standards. Processing records of acceptance of performance standards for specified standards did not include specific enough detail.</p>	
BCA ACTIONS REQUIRED	
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p><u>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed no later than the "Date final evidence of implementation is required from BCA" indicated below.</u></p>	
IMPORTANT DATES	
Plan of action from BCA due by:	16/04/2021
All action plans accepted by IANZ:	Click here to enter a date.
Date final evidence of implementation is required from BCA:	2/06/2021
Final date non-compliance to be cleared by:	16/06/2021
EVIDENCE	
Plan of action <i>(To be provided by BCA):</i>	
Proposed evidence of implementation <i>(To be provided by BCA):</i>	
Evidence of implementation and discussion:	
NON COMPLIANCE CLEARED	
Signed:	Date: Click here to enter a date.

RECORD OF NON COMPLIANCE #:	GNC 4
Breach of requirement:	Regulation 7(2)(d)(v)
Finding:	General Non-compliance
FINDING DETAILS	
<p>The BCA's documented procedures did not describe the process that the BCA utilises to monitor the process of the statutory timeframe for processing of consents.</p> <p>The BCA's implementation of its procedure for issuing consents was not always appropriate in the following areas:</p> <ul style="list-style-type: none"> the conditions section included conditions that were not provided for in the Building Act, such as lapsing, required inspections, and the building being in accordance with plans specs, issued building consents consistently did not include the requirements of section 90 sections 75, 67/68, and 113 were not included on the BCA's system templates for issued building consents 	
BCA ACTIONS REQUIRED	
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p><u>Once the action plan and proposed evidence has been accepted by IANZ</u>, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.</p>	
IMPORTANT DATES	
Plan of action from BCA due by:	16/04/2021
All action plans accepted by IANZ:	Click here to enter a date.
Date final evidence of implementation is required from BCA:	2/06/2021
Final date non-compliance to be cleared by:	16/06/2021
EVIDENCE	
Plan of action <i>(To be provided by BCA):</i>	
Proposed evidence of implementation <i>(To be provided by BCA):</i>	
Evidence of implementation and discussion:	
NON COMPLIANCE CLEARED	
Signed:	Date: Click here to enter a date.

RECORD OF NON COMPLIANCE #:	GNC 5	
Breach of requirement:	Regulation 7(2)(e)	
Finding:	General Non-compliance	
FINDING DETAILS		
<p>The BCA's Inspection recording system within the "GoGet" system did not prompt or record consideration of warnings and bans.</p>		
BCA ACTIONS REQUIRED		
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p><u>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed no later than the "Date final evidence of implementation is required from BCA" indicated below.</u></p>		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action <i>(To be provided by BCA):</i>		
Proposed evidence of implementation <i>(To be provided by BCA):</i>		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

RECORD OF NON COMPLIANCE #:	GNC 6
Breach of requirement:	Regulation 7(2)(f)
Finding:	General Non-compliance
FINDING DETAILS	
<p>The BCA's documented procedures did not provide appropriate detail of the process to be implemented if the specified system or performance standard was different to that listed in the building consent / draft compliance schedule.</p> <p>The BCA had not always ensured that compliance schedules contained appropriate content as follows:</p> <ul style="list-style-type: none"> • Incorrect references to section 108 of the Act • No make of specified systems recorded (if known) • Several descriptions of specified systems did not record location in the description of the system when it was relevant to clearly describe the specified system, e.g. Final exits • Several performance standards listed under heading for inspection / maintenance / reporting therefore giving a potential ambiguity as to whether performance standard or the IMR standard • Several specified systems did not have a performance standard listed i.e. SS15/2 and SS15/4 • Inappropriate use of NZBC with a listed acceptable solution being used as the performance or inspection standard, i.e.. SS 15/4 (F6/AS1 and F8 / AS1 are not in the NZ building Code therefore cannot have NZBC reference.) • Use of inappropriate performance standards, i.e SS15/4; F6/AS1 is not referenced in SS04, and F8/As1 is not enough to be specific to the specified system as F8 provides for numerous types of signage requirements. • Several specified systems included the compliance schedule handbook as the performance standard, which does not include any performance standards.i.e.s15/2 and SS 15/4 • Inspections for SS14/2 Annual inspection for illuminated signage does not clearly specify the duration as F6 provides options • There was inconsistency in the performance standards listed in the compliance schedule to those listed in the building consent. 	
BCA ACTIONS REQUIRED	
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p><u>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed no later than the "Date final evidence of implementation is required from BCA" indicated below.</u></p>	
IMPORTANT DATES	
Plan of action from BCA due by:	16/04/2021
All action plans accepted by IANZ:	Click here to enter a date.
Date final evidence of implementation is required from BCA:	2/06/2021
Final date non-compliance to be cleared by:	16/06/2021
EVIDENCE	

Plan of action <i>(To be provided by BCA):</i>	
Proposed evidence of implementation <i>(To be provided by BCA):</i>	
Evidence of implementation and discussion:	
NON COMPLIANCE CLEARED	
Signed:	Date: Click here to enter a date.

RECORD OF NON COMPLIANCE #:	GNC 7	
Breach of requirement:	Regulation 11(2)(f)	
Finding:	General Non-compliance	
FINDING DETAILS		
The BCA had not always ensured that training records had been maintained for all BCA staff.		
BCA ACTIONS REQUIRED		
Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.		
Please provide the action plan to IANZ for acceptance in the space provided in this report.		
Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.		
Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action (<i>To be provided by BCA</i>):		
Proposed evidence of implementation (<i>To be provided by BCA</i>):		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

RECORD OF NON COMPLIANCE #:	GNC 8	
Breach of requirement:	Regulation 14	
Finding:	General Non-compliance	
FINDING DETAILS		
The BCA had not always ensured that calibration of measuring instruments such as thermometers and moisture meters had been carried out on an annual basis.		
BCA ACTIONS REQUIRED		
Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.		
Please provide the action plan to IANZ for acceptance in the space provided in this report.		
Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.		
Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action (<i>To be provided by BCA</i>):		
Proposed evidence of implementation (<i>To be provided by BCA</i>):		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

RECORD OF NON COMPLIANCE #:	GNC 9	
Breach of requirement:	Regulation 15(2)	
Finding:	General Non-compliance	
FINDING DETAILS		
The BCA had not always ensured that the delegation register was current and appropriately referenced.		
BCA ACTIONS REQUIRED		
Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.		
Please provide the action plan to IANZ for acceptance in the space provided in this report.		
Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.		
Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action (<i>To be provided by BCA</i>):		
Proposed evidence of implementation (<i>To be provided by BCA</i>):		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

RECORD OF NON COMPLIANCE #:	GNC 10	
Breach of requirement:	Regulation 17(4)	
Finding:	General Non-compliance	
FINDING DETAILS		
<p>Procedure: The BCA did not have an appropriately documented procedure for inducting an employee to their quality management system. I.e. The procedure referenced a template document that did not exist.</p> <p>Implementation: The BCA had not recorded any induction training to the BCA's quality management systems.</p>		
BCA ACTIONS REQUIRED		
<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance in the space provided in this report.</p> <p>Please provide details of the records of the evidence that will be supplied to address the non-compliance in the space provided.</p> <p>Once the action plan and proposed evidence has been accepted by IANZ, and implemented by the BCA, please provide complete evidence to demonstrate that the findings have been addressed <u>no later than</u> the "Date final evidence of implementation is required from BCA" indicated below.</p>		
IMPORTANT DATES		
Plan of action from BCA due by:	16/04/2021	
All action plans accepted by IANZ:	Click here to enter a date.	
Date final evidence of implementation is required from BCA:	2/06/2021	
Final date non-compliance to be cleared by:	16/06/2021	
EVIDENCE		
Plan of action (<i>To be provided by BCA</i>):		
Proposed evidence of implementation (<i>To be provided by BCA</i>):		
Evidence of implementation and discussion:		
NON COMPLIANCE CLEARED		
Signed:	Date: Click here to enter a date.	

SUMMARY OF RECOMMENDATIONS

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

It is recommended that:

- R1 The BCA considers reviewing its documented process for Quality Manager sign off on any changes of information to public relating to the BCA functions by the BCA Quality Manager. Regulation 7(2)(a).
- R2 The BCA is recommended to consider reviewing the procedure to ensure that assessments include appropriate level of evidence of skill of application for 10 (3) (c) and ability of application of 10 (3) (e) and (f).
The competency assessments had recorded reasons for decision for 10 (3) (a-f), however these were minimal and did not always record where the evidence was located, that satisfied the assessor of skill of application for regulation 10 (3) (c) and of evidence to support ability to certify regulation 10 (3) (d) (iii), ability to communicate regulation 10 (3) (e), and ability to comply with procedures and policy regulation 10(3) (f).
Competence Assessment – one off example did not have specific examples such as BC numbers listed in the relevant section of the Comp Assessment for each clause. The overall Comp Assessment did have BC examples listed however. Regulation 10(2).
- R3 The BCA considers reviewing its systems for recording track history of building practitioners so that information supporting concerns which may lead to an actual complaint about a practitioner is suitably recorded. Regulation 17(3A).

SUMMARY OF ADVISORY NOTES

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

IANZ advises that:

- A1 The BCA considers reviewing its consumer information in relation to:
- The information on the website being difficult to follow as there were items duplicated, and items that were out of sequence for a logical search.
 - Acceptance and management of professional opinions, e.g. producer statements, and wording of supporting documentation to satisfy the BCA on reasonable grounds of compliance, noted that information relating to producer statements was in 2 different places.
 - Section 112 requirements where the application was for alteration to an existing building. The information currently references in required plans "renovations and extensions and upgrades - but not alteration,
 - Information as to what will require an application to be forwarded to FENZ
 - National Multiple-Use Approval (MultiProof) certificate, incorrectly references MultiUse
 - Reference to starting clock in the working day following a complete CCC application or complete RFI information received.
- A2 The BCA considers including known on site builder to email contact list, for the purposes of sending inspection findings. Regulation 7(2)(e).
- A3 The BCA considers including on the NTF, details of how the contravention was identified and the relationship of the specified persons, i.e. Owner / Builder/ Person supervising work. Regulation 7(2)(f).
- A4 The BCA is advised to consider performing calibration of its thermometers at the specific values of interest. E.g. at 45 and 55 degrees Celsius.
The BCA is advised to consider documenting the process by which the BCA's reference thermometer is calibrated by an outside calibration service provider and the period at which this is done. Regulation 14.
- A5 The BCA considers rewording job descriptions in relation to Regulation 18 requirements. E.g. Job description for Senior BCO and BCO indicate that a trade cert is required but does not point to or mention Reg 18. Regulation 15(2).
- A6 The BCA considers reviewing its file naming process, so that referring to "Internal Audit Plan Items to comply with QM" document without the specific year in the Simpli Quality Manual, as the current manual indicates the 2020 version instead of 2021, which is outdated. Regulation 17(2)(h).

SUMMARY TABLE OF NON-COMPLIANCE

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

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
6(A)(1)	General	GNC 1			Yes				No	16/06/2021				BCA had not always ensured that notification of significant changes to MBIE and IANZ occurred within the required timeframe of 20 working days of the change.
6(A)(2)	Choose an item.													
Regulation 7														
7(1)	Choose an item.													
7(2)(a)	General	GNC 2	Yes	Yes					No	16/06/2021		1	1	BCA had not provided consumer information appropriately/adequately in a number of areas
7(2)(b)	Choose an item.													
7(2)(c)	Choose an item.													
7(2)(d)(i)	Choose an item.													
7(2)(d)(ii)	Choose an item.													
7(2)(d)(iii)	Choose an item.													
7(2)(d)(iv)	General	GNC 3	Yes	Yes	Yes	Yes	Yes	Yes	No	16/06/2021				BCA's documented procedure for processing a building consent application did not adequately cover Section 133AT, in that it was not referenced in the procedure "Process an application involving an alteration to an existing building". Also, the BCA had not always ensured that there was a consistent level of recorded reasons for considering the appropriateness of performance standards, and acceptance of performance standards that are not of specific enough detail in relation to processing records for Compliance Schedules.
7(2)(d)(v)	General	GNC 4	Yes	Yes	Yes				No	16/06/2021				BCAs documented procedures did not describe the process that the BCA utilises to monitor the process of the statutory timeframe for processing of consents. The BCAs implementation of issued consents was not always appropriate in the following areas: the conditions section included conditions that are not provided for in the building act issued building consents did not include the requirements of section 90, sections 75, 67/68, and 113 were not included on the BCA's system templates
7(2)(e)	General	GNC 5	Yes	Yes	Yes				No	16/06/2021			1	The BCAs Inspection recording system within the "GoGet" system did not prompt or record consideration of warnings and bans.

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
7(2)(f)	General	GNC 6	Yes	Yes	Yes	Yes			No	16/06/2021			1	BCA had not always ensured that compliance schedules contained appropriate content. Also, BCAs documented procedures did not provide appropriate detail of the process to be implemented if the specified system or performance standard was different to that listed in the building consent / draft compliance schedule.
7(2)(g)	Choose an item.													
7(2)(h)	Choose an item.													
Regulation 8														
8(1)	Choose an item.													
8(2)	Choose an item.													
Regulation 9														
9	Choose an item.													
Regulation 10														
10(1)	Choose an item.													
10(2)	Choose an item.											1		
10(3)(a)	Choose an item.													
10(3)(b)	Choose an item.													
10(3)(c)	Choose an item.													
10(3)(d)	Choose an item.													
10(3)(e)	Choose an item.													
10(3)(f)	Choose an item.													
Regulation 11														
11(1)	Choose an item.													
11(2)(a)	Choose an item.													
11(2)(b)	Choose an item.													
11(2)(c)	Choose an item.													
11(2)(d)	Choose an item.													
11(2)(e)	Choose an item.													
11(2)(f)	General	GNC 7			Yes				No	16/06/2021				BCA had not always ensured that training records had been maintained for all BCA staff.
11(2)(g)	Choose an item.													
Regulation 12														
12(1)	Choose an item.													
12(2)(a)	Choose an item.													
12(2)(b)	Choose an item.													
12(2)(c)	Choose an item.													
12(2)(d)	Choose an item.													
12(2)(e)	Choose an item.													
12(2)(f)	Choose an item.													
Regulation 13														
13(a)	Choose an item.													
13(b)	Choose an item.													
Regulation 14														

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
14	General	GNC 8			Yes				No	16/06/2021			1	BCA had not always ensured that calibration of measuring instruments such as thermometers and moisture meters had been carried out on an annual basis.
Regulation 15														
15(1)(a)	Choose an item.													
15(1)(b)														
15(2)	General	GNC 9			Yes				No	16/06/2021			1	The BCA had not always ensured that the delegation register was current and appropriately referenced.
Regulation 16														
16(1)	Choose an item.													
16(2)(a)	Choose an item.													
16(2)(b)	Choose an item.													
16(2)(c)	Choose an item.													
Regulation 17														
17(1)	Choose an item.													
17(2)(a)	Choose an item.													
17(2)(b)	Choose an item.													
17(2)(c)	Choose an item.													
17(2)(d)	Choose an item.													
17(2)(e)	Choose an item.													
17(2)(h)	Choose an item.												1	
17(2)(i)	Choose an item.													
17(2)(j)	Choose an item.													
17(3)	Choose an item.													
17(3A)(a)	Choose an item.											1		
17(3A)(b)														
17(3A)(c)														
17(4)(a)	General	GNC 10	Yes	Yes	Yes				No	16/06/2021				The BCA did not have an appropriately documented procedure for induction an employee to their quality management system. Implementation - BCA had not recorded any induction training to the BCAs quality management systems.
17(4)(b)	Choose an item.													
17(5)(a)	Choose an item.													
17(5)(b)														
Regulation 18														
18(1)	Choose an item.													
18(3)(a)	Choose an item.													
18(3)(b)	Choose an item.													