



**STRATFORD DISTRICT  
COUNCIL**

**Building Consent Authority  
Quality Assurance System  
(QAS)**

**(incorporating Territorial Authority Building Procedures)**



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## Revision History

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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.

<b>Regulation</b>	<b>System Required</b>	<b>QAS reference</b>
7(2)(a)	Procedure for providing information to the public	<a href="#">PE 2 Public Information</a>
7(2)(b)	Procedure for receiving applications	<a href="#">BC 1 Building Consent Application Received</a>
7(2)(c)	Procedure for vetting applications	<a href="#">BC 1 Building Consent Application Received</a>
7(2)(d)(i)	Procedure for entering applications in the processing system	<a href="#">BC 2 Initial Assessment</a>
7(2)(d)(ii)	Procedure for assessing applications	<a href="#">BC 2 Initial Assessment</a>
7(2)(d)(iii)	Procedure for allocating applications for processing	<a href="#">BC 2 Initial Assessment</a>
7(2)(d)(iv)	Procedure for processing applications	<a href="#">BC 3 Building Technical Check</a>
7(2)(d)(v)	Procedure for granting, refusing to grant and issuing building consents	<a href="#">BC 3 Building Technical Check</a> , <a href="#">BC 4 Issue Consent</a>
7(2)(e)	Procedure for planning, performing and managing inspections	<a href="#">BI 1 Booking Inspections</a> , <a href="#">BI 2 Booking a Final Inspection</a> , <a href="#">BI 3 Inspections</a>
7(2)(f)	Procedure for issuing and refusing to issue CCCs, compliance schedules and notices to fix	<a href="#">BI 5 Code compliance Certificate</a> , <a href="#">BI 7 Compliance schedules</a> , <a href="#">BI 4 Notice to Fix</a>
7(2)(g)	Procedure for receiving and managing inquiries	<a href="#">PE 1 Complaints and Inquiries</a>
7(2)(h)	Procedure for receiving and managing complaints	<a href="#">PE 1 Complaints and Inquiries</a>
8	Procedure for ensuring that the BCA has sufficient employees and/or contractors to perform its building control functions	<a href="#">CA 6 Ensuring Enough Employees and Contractors</a>
9	Procedure describing how work is allocated to competent employees or contractors	<a href="#">BC 2 Initial Assessment</a> , <a href="#">BI 1 Booking Inspections</a> , <a href="#">BI 2 Booking a Final Inspection</a>
10(1)	Procedure describing how the competence of a job applicant to perform building control functions is established	<a href="#">CA 1 Establishing Competence – Applicants for Employment</a>
10(2) and (3)	Procedure describing how the competence of employees is regularly assessed	<a href="#">CA 2 Competence Assessment</a>
11	Procedure describing how employees are trained	<a href="#">CA 3 Training</a> , <a href="#">CA 4 Supervision of Employees Under Training</a> , <a href="#">CA 5 Recording of Training, Qualifications and Experience</a>
12	Procedure describing how contractors are chosen and used to perform building control functions	<a href="#">CA 7 Contractors</a>
13	Procedure describing how employees and/or contractors who are competent to provide technical leadership are identified	<a href="#">CA 8 Organisational Capability</a>
14	System for providing the technical information and technical facilities, and equipment that its employees and contractors need to perform building control functions effectively	<a href="#">AD 2 Information Resources</a> , <a href="#">AD 3 Facilities and Equipment Management</a>
15	Organisation structure, reporting lines, staff accountabilities, roles, authorities, powers and limitations	Organisational structure



<b>Regulation</b>	<b>System Required</b>	<b>QAS reference</b>
16(1)	Procedure for ensuring every application for a building consent is uniquely numbered	<u>BC 1 Building Consent Application Received</u> , <u>AD 1 Filing of Building Consent Documents</u>
16(2)	Procedure for ensuring all information relevant to the consent is filed, accessible and retrievable, and stored securely	<u>AD 1 Filing of Building Consent Documents</u>
17(1)	System for assuring the quality of the performance of building control functions	This document.
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	As for regulations 8, 9, 10, 11, and 12
17(2)(d)	Procedure for management review	<u>QA 5 Management Review</u>
17(2)(e)	Procedure for continuous improvement	<u>QA 1 Continuous Improvement</u>
17(2)(f)	Procedure for managing human resources	As for regulations 8, 10, 11, 13, and 15
17(2)(g)	Procedure for providing and maintaining information, facilities and equipment	<u>AD 2 information Resources</u> , <u>AD 3 Facilities and Equipment Management</u>
17(2)(h)	Procedure for ensuring an internal audit of all building control functions every 12 months	<u>QA 2 Internal Audit</u>
17(2)(i)	Procedure for identifying and managing conflicts of interest	<u>QA 3 Conflicts of Interest</u>
17(2)(j)	The procedure for communication with internal and external persons	<u>QA 4 Communications</u>
17(2)(k)	Procedure for document control	<u>QA 6 Document Management and Control</u>
17(2)(l)	Procedure for contract management	<u>CA 7 Contractors</u>
17(2)(m)	Procedure for record-keeping	<u>QA 6 Document Management and Control</u> , <u>AD 1 Filing of Building Consent Documents</u>
17(2)(n)	Procedure for reviewing the effectiveness of the QAS	<u>QA 5 Management review</u>
17(3)	Record of responsibility for managing the QAS	<u>Quality Manager</u> , <u>Quality Assistant</u>
17(4)	System for ensuring that employees and contractors comply with the QAS	<u>QA 2 Internal Audit</u> , <u>CA 7 Contractors</u>
17(5)	System for periodically reviewing the QAS, and making appropriate changes	<u>QA 5 Management Review</u> , <u>QA 1 Continuous Improvement</u>



## Definitions

BC Admin	Building Control Administration Officer
BCA	Building Consent Authority
BCO	Building Control Officer. Includes SBCO.
CSO	Customer Service Officer
DRU	Design Review Unit, NZ Fire Service
PRM	Planning and Regulatory Manager
QAP	Quality Assurance Policy
QAS	Quality Assurance System – this document
Quality Assistant	Stacey Paton, Building Control Administration Officer
Quality Manager	Mike Avery, Planning and Regulatory Manager
SBCO	Senior Building Control Officer
Technical Leaders	Pat Moore, SBCO (Categories 1 & 2) Andrew Fraser, Red Jacket consulting Engineers (Category 3)



## QAP Quality Assurance Policy

- 1 Stratford District Council's Building Consent Authority (the BCA) is committed to providing a high quality building control service to Stratford District based on professionalism, technical excellence, and continuous improvement.
- 2 The BCA is committed to complying with regulatory requirements set out in the Building Act 2004 and regulations made pursuant to that Act.
- 3 The BCA will ensure that all employees and contractors are aware of, and implement, this policy by undertaking regular internal audits and process reviews. A high standard of skill, together with a high level of compliance with the BCA's processes and procedures will be maintained at all times.
- 4 The BCA will ensure that service is provided consistently, professionally and in a technically competent manner.
- 5 To this end, the BCA will:
  - make the consent process from application to issuing as simple and as easy as possible, without compromising technical quality;
  - treating all customers impartially, fairly, courteously and respectfully;
  - act at all times with integrity, honesty and professionalism;
  - identify and eliminate conflicts of interest;
  - respond promptly to requests for service, including processing all applications within the statutory timeframes;
  - ensure that all work is undertaken by technically competent employees or contractors;
  - provide a friendly and inviting atmosphere for customers, employees and contractors alike.
- 6 The detailed procedures set out in this Quality Assurance System (QAS) are required to be followed by all employees and contractors engaged in the provision of services for the BCA.

Michael Freeman  
Chief Executive Officer

June 2009

**BC 1 Building Consent Application Received****Process**

This process includes receiving an application for a building consent and checking that all required documentation is present, assigning the application a unique identifying number, and forwarding it to the Building Office.

**Personnel**

CSOs

**Relevant documents**

BC 74 Service Centre Building Consent Checklist

BC 92 Further BC Information Required

**Procedure**

<b>Application lodged and entered into system</b>	<ol style="list-style-type: none"> <li>1 Applications are lodged either in person at Council's office in Miranda Street or by mail.</li> <li>2 Each application is checked using the Service Centre Building Consent Checklist (BC-74).</li> <li>3 When the application is lodged in person, the check is performed in the presence of the applicant. The following items are checked: <ul style="list-style-type: none"> <li>• completeness of the application form;</li> <li>• Certificate of Title or acceptable alternative is attached if no CT is available (Crown land etc).</li> </ul> </li> <li>4 The checklist is completed to indicate whether or not the application can be accepted for lodgement. If the application is acceptable, the checklist is signed and dated by the CSO performing the check.</li> <li>5 The application is allocated the next sequential number from the BC numbering system.</li> <li>6 The 20 day clock starts the day that the application fees are receipted. This occurs within 1 working day of the application being accepted for lodgement.</li> </ol>
<b>Application not accepted for lodgement</b>	<ol style="list-style-type: none"> <li>7 If the application is not acceptable, the applicant is advised in writing what is missing, and that the application will not be accepted until the missing information is received.</li> <li>8 In the case of applications lodged in person, the application may be retained by Customer Services for up to 2 days to give the applicant a chance to provide the missing information. If the information has not been provided at this point, the application is mailed back to the applicant with a letter (BC-92) advising what additional information is required.</li> <li>9 In the case of applications received by mail, the application is returned to the applicant together with the BC-92 letter.</li> <li>10 When the application is resubmitted, it is treated as a new application.</li> </ol>
<b>File made up and forwarded to building officials</b>	<ol style="list-style-type: none"> <li>11 The documents are placed in a building consent file, which is marked with the building consent number.</li> <li>12 The Consent Folder is placed in the building tray for collection..</li> </ol>



## BC 2 Initial Assessment

### Process

Initial assessment includes entering the application into Civica Authority, checking the required plans are present, determining what broad category of building work the application falls into and whether it should be processed by a BCO or by contractors.

### Personnel

BC Admin  
SBCO

### Relevant documents

BC-66 Checklist – Preparing Building Consent Applications  
BC-76 Acknowledge Building Consent Application  
BC-46 Non Habitable Building Checklist  
BC-67 Building Checklist  
BC-77 Fires Checklist  
BC-103 Veranda / Porch Checklist  
BC-105 Commercial Building Checklist  
BC-106 Internal Commercial Building Checklist  
BC-113 Solar Water Heating Checklist

### Procedure

<b>Entering the application into Civica Authority</b>	<p>1 BC Admin :</p> <ul style="list-style-type: none"> <li>• enters the details of the application into Civica Authority, and ensures that the number assigned to the application by Civica Authority matches the BC number assigned in <b>BC 1 Building Consent Application Received</b>;</li> <li>• checks the application using BC 66 to ensure all documentation listed is attached. Plans are date stamped and stamped with the "Approved" stamp;</li> <li>• sends the applicant an acknowledgement letter (BC-76).</li> </ul>
<b>Assessment of category</b>	<p>2 BC Admin assesses the category of building work by reference to the Building Categories list, and circles the category on the application form. If BC Admin is unsure of the category to be assigned, the application is referred to the SBCO for a decision.</p> <p>3 Select the appropriate consent processing checklist.</p> <p>4 Where building work is predominantly of one category, but certain elements are higher than that category, the work is assessed at the lower category, and the elements at a higher category are noted.</p> <p>5 Applications are assessed in date received order.</p>
<b>Allocation for processing</b>	<p>6 BC Admin allocates work for processing, using the assessed building category and the skills matrix.</p> <p>7 Where an application, or an element of an application, is assessed as being outside the competence of the BCA, the application is allocated to the SBCO, who refers the application to an external contractor for processing.</p> <p>8 BC files are placed on the shelf to await processing.</p>



## BC 3 Building Technical Check

### Process

This process involves processing of building consent applications to ensure compliance with the Building Code, and granting or refusing to grant building consents.

### Personnel

BCOs

BC Admin

CSOs

### Relevant documents

BC-46 Non Habitable Building Checklist

BC-67 Building Checklist

BC-77 Fires Checklist

BC-103 Veranda / Porch Checklist

BC-105 Commercial Building Checklist

BC-106 Internal Commercial Building Checklist

BC-113 Solar Water Heating Checklist

BC-21 BC Further Information Request

BC-31 Compliance Schedule Checklist

BC-32 Compliance Schedule

### Procedure

<b>Order of processing</b>	1	Process applications for building consents in date order of receipt.
<b>Technical check</b>	2	Work through the processing checklist, checking the application for compliance with the Building Code. Record all decisions and reasons for decisions on the checklist.
	3	Compliance with the Code is required for new work. Where the work is not new work, determine if the work will comply as nearly as is reasonably practicable by reference to <b>BC 7 Building Alterations – Compliance of Building with Code</b> .
<b>Natural Hazard Land</b>	4	If the building is on land subject to natural hazards, as indicated on the PIM refer to <b>BC 8 Building on Land Subject to Natural Hazards</b> .
<b>NZ Fire Service</b>	5	If the application is required to be referred to the Design Review Unit of the New Zealand Fire Service, refer to <b>BC 9 Referral to New Zealand Fire Service</b> .
<b>Other Consultants</b>	6	If specialist input is required, forward the application to the appropriate specialist.
<b>Means of compliance</b>	7	Refer to the application form for intended means of compliance.
	8	If the means of compliance is an acceptable solution, assess it against the compliance documents.
	9	If the means of compliance is an alternative solution, check it in accordance with <b>BC 10 Assessing Alternative Solutions</b> .
	10	Where a producer statement is provided, check it in accordance with <b>BC 11 Producer Statements</b> .
<b>Further information</b>	11	If further information is required to demonstrate compliance, BC Admin sends a BC Further Information Request (BC-21) detailing the information required, and suspends the application in Civica Authority



	<p>to pause the 20 day clock.</p> <p>12 BC Admin places the BC file on the "Awaiting Information" shelf.</p> <p>13 When the requested information is received, a CSO places the documentation in the building tray.</p> <p>14 BC Admin</p> <ul style="list-style-type: none"> <li>• stamps the information with the date stamp and the "Approved" stamp;</li> <li>• writes on the BC number;</li> <li>• Attaches the information to the file;</li> <li>• Changes the status of the application in Civica Authority to current to restart the clock;</li> <li>• Places the BC file on the shelf for further processing.</li> </ul> <p>15 The BCO processing the application checks the information is complete, and, if all required information has been supplied, the status of the application is changed to current, and the 20 day clock is restarted. This process is completed within 2 working days of receiving the information.</p> <p>16 Where additional information is required by an external consultant, the consultant advises BC Admin of the request, the application is suspended in Civica Authority and the 20 day clock is paused. When the consultant advises that the required information has been received, the application is reactivated, and the clock restarted.</p>
<b>Two or more lots</b>	<p>17 If the building is over 2 or more allotments, a condition is required on the consent that 1 or more allotments specified by the territorial authority is/are not transferred or leased except in conjunction with any other allotments specified by the territorial authority in a linking certificate.</p>
<b>Specified systems</b>	<p>18 Where prescribed specified systems are to be installed, altered or removed, complete a Compliance Schedule Checklist (BC-31).</p> <p>19 Check that the proposed works will ensure that the system will perform and continue to perform to the relevant standards.</p> <p>20 Prepare Compliance Schedule (BC-32). This is held on the building consent file, to be issued with the CCC.</p>
<b>Grant consent</b>	<p>21 If the consent is to be granted, the BCO;</p> <ul style="list-style-type: none"> <li>• selects and attaches the appropriate notes and reminders;</li> <li>• selects the required inspections;</li> <li>• records time taken to process the application on the processing checklist;</li> <li>• signs and dates the processing checklist as "Approved";</li> <li>• ensures both copies of the plans and specifications are stamped as approved, and signs the stamps;</li> <li>• gives the file to BC Admin for invoicing.</li> </ul> <p>22 BCO updates the application status in Civica Authority to "Granted". This stops the 20 day clock.</p>
<b>Decline to grant</b>	<p>23 If the application is to be declined, the BCO advises the Planning and Regulatory Manager.</p> <p>24 Notify the applicant in writing of the decision and the reason(s) for the decision.</p> <p>25 Record the reason(s) for declining the application in Civica Authority.</p>



## BC 4 Issue Consent

### Process

This process covers generating and sending an invoice, printing and sending out the consent, and filing the consent.

### Personnel

BC Admin

### Relevant documents

Building Consent

### Procedure

<b>Generate invoice</b>	1	Costs incurred are taken from the consent processing sheet. The data is entered into Civica Authority, and an invoice is generated.
	2	The invoice is printed and posted to the applicant.
<b>Issue consent</b>	3	Payments are received by customer services. Once advice of payment has been received from Customer Services, BC Admin: <ul style="list-style-type: none"><li>• prints the consent documents;</li><li>• changes the application status in Civica Authority to "Issued";</li><li>• hand delivers the documents to a BCO for signing;</li><li>• once documents are signed, mails the consent to the applicant, or advises the applicant that the consent is ready for collection;</li><li>• places office copy of consent in the consent file;</li><li>• files the consent file on shelves in the building office in numerical order.</li></ul>



## BC 5 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.

### Personnel

BC Admin

SBCO

Planning and Regulatory Manager

### Relevant Documents

BC-101 Lapsed Building Consent

BC-115 Advice of Lapse of Building Consent

### Procedure

<b>10 month letters</b>	<ol style="list-style-type: none"> <li>1 Each month BC Admin checks the filing cabinets to identify consents issued 10 months previously against which no inspections have been recorded.</li> <li>2 A letter (BC-101) advising that the consent will lapse if work does not start within 12 months of the date the consent was issued is sent to the applicant. A copy of the letter is placed on the consent file.</li> </ol>
<b>Response received from applicant</b>	<ol style="list-style-type: none"> <li>3 If a response is received from the applicant, confirm whether or not work has started, if it is about to start, or if an extension of time to commence work is sought.</li> <li>4 If an extension is requested, refer to the Planning and Regulatory Manager and SBCO for a decision.</li> <li>5 If necessary, arrange a site inspection to establish the status of the project.</li> </ol>
<b>Lapse consents</b>	<ol style="list-style-type: none"> <li>6 Where no response is received by the anniversary of the consent being issued, and no extension of time to commence work has been granted, BC Admin changes the status of the consent in Civica Authority to lapsed, and sends a letter (BC 115) advising that the building consent has lapsed.</li> <li>7 BC Admin passes the consent file to the Territorial Authority for filing on the property file.</li> </ol>



## BC 6 Amend Consent

### Process

This process covers receiving applications for amendments to issued consents, processing the applications, and approving or refusing to approve the amendments.

### Personnel

CSOs

BC Admin

BCOs

### Relevant documents

BC-104 Building Consent Amendment

BC-111 Amendment Approval

### Procedure

<b>Application lodged</b>	1 Applications are lodged either in person at Council's office in Miranda Street or by mail.
<b>Application received and recorded</b>	<p>2 CSOs check that the Building Consent Amendment form (BC104) has been completed correctly. If the application form is not completed correctly, it is dealt with as per <b>BC 1 Building Consent Application Received</b>.</p> <p>3 If the form is complete, it is placed in the building tray for collection by building officials.</p> <p>4 BC Admin date stamps the documents and also stamps them with the "Approved" stamp.</p> <p>5 BC Admin enters the following details of the application into Civica Authority:</p> <ul style="list-style-type: none"> <li>• date received;</li> <li>• description of amendment;</li> <li>• a unique identifier. This is the original consent number followed by a letter, with the first amendment to any consent being "A".</li> </ul> <p>6 Entering the details starts the 20 day processing clock.</p> <p>7 BC Admin retrieves the consent file from the filing cabinet, places the application for amendment on top of the file, and places the file on the processing shelf.</p>
<b>Assessment and processing</b>	8 The amendment is assessed and processed as per <b>BC 2 Initial Assessment</b> and <b>BC 3 Building Technical Check</b> .
<b>Notify applicant of decision</b>	<p>9 If the application is approved, the BCO signs the plans and / or specifications as approved, updates the status in Civica Authority to "Amendment Approved", places one copy in the consent file, and returns the file to the filing cabinet.</p> <ul style="list-style-type: none"> <li>• The BCO passes the applicant's copy of the stamped plans to BC Admin who posts them to the applicant, together with a letter (BC-111) advising the amendment has been approved.</li> </ul>



## BC 7 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, and access and facilities for persons with disabilities.

### Personnel

BCOs

### Relevant documents

None

### Procedure

<b>Application of s112</b>	<ol style="list-style-type: none"><li>1 Section 112 does not generally apply for alterations to single residential dwellings and their accessory buildings, except in relation to the requirement to install smoke alarms.</li><li>2 The provisions relating to access and facilities for people with disabilities are restricted to those buildings to which the public has access, and which are used for purposes listed in Schedule 2 of the Act.</li><li>3 The territorial authority may, under certain circumstances, allow an alteration to a building without the building complying with provisions of the building code specified by the territorial authority.</li></ol>
<b>Assessment of level of compliance</b>	<ol style="list-style-type: none"><li>4 Assess the <b>whole</b> building to find out what level of compliance exists for each of the building code clauses required to comply as nearly as is reasonably practicable.</li><li>5 The application must detail the level of compliance by the proposed works for each of the relevant clauses.</li><li>6 Determine the gap between compliance and the existing state of the building and note if there are any issues critical to health and/or safety.</li></ol>
<b>Decision</b>	<ol style="list-style-type: none"><li>7 Record reasons for the decision on the building consent processing checklist.</li></ol>



## BC 8 Buildings on Land Subject to Natural Hazards

**Process**

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.

**Personnel**

BCOs

**Relevant documents**

None

**Procedure**

<b>Information from Territorial Authority</b>	1	Information on whether or not land on which building work is proposed is subject to natural hazard(s) is recorded on the PIM by the TA.
<b>Decision to grant or refuse to grant</b>	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	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.
<b>Recording the decision</b>	4	The decision to grant or refuse to grant the consent, and the reasons for that decision, are recorded on the processing checklist.



## BC 9 Referral to New Zealand Fire Service Commission

### 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 Design Review Unit (DRU) of the New Zealand Fire Service Commission for review.

### Personnel

SBCO

### Relevant documents

BC-96 Fire Service Letter

### Procedure

<b>Requirement for review – types of building</b>	<ol style="list-style-type: none"> <li>1 The application must be sent to the DRU if the building or part of the building is being used for 1 or more of the purposes listed in the current Gazette notice:</li> <li>2 Buildings used for other purposes do <b>not</b> need to be sent to the (DRU) for advice.</li> <li>3 Building work which consists of: <ul style="list-style-type: none"> <li>• a single household unit;</li> <li>• multiple household units where each is a separate fire cell which has independent and direct egress to a safe place outside the building;</li> <li>• an internal fit-out which does not involve a change of use; or</li> <li>• an outbuilding or ancillary building (including marquees)</li> </ul> does <b>not</b> require referral to the DRU. </li> </ol>
<b>Requirement for review – other considerations</b>	<ol style="list-style-type: none"> <li>4 An applications <b>must</b> be sent to the DRU for comment if it: <ul style="list-style-type: none"> <li>• proposes the use of an alternative solution or a modification or a waiver in respect of any of building code clauses C1-4, D1, F6 or F8; or</li> <li>• 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).</li> </ul> </li> </ol>
<b>Forwarding applications for review</b>	<ol style="list-style-type: none"> <li>5 Copies of applications, together with a letter (BC-96), are sent to <b>Auckland Fire Region</b> <b>PO Box 68 444</b> <b>Newton</b> <b>AUCKLAND 1145</b> The DRU 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.</li> <li>6 If no response is received within 10 working days the BCA may proceed to determine the application without the memorandum.</li> </ol>
<b>Consider DRU comments</b>	<ol style="list-style-type: none"> <li>7 Where the DRU provides a memorandum, the BCA must have regard to that memorandum when deciding to grant or refuse an application for a building consent.</li> <li>8 Note the decision made and the reasons for the decision on the processing checklist.</li> <li>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 <b>BC 3 Building Technical Check</b>.</li> </ol>



## BC 10 Assessing Alternative Solutions

### Process

This process involves assessing alternative solutions to check that the building work will, if built in accordance with the proposed alternative solution, comply with the relevant provisions of the building code.

### Personnel

BCOs

### Relevant documents

None

### Procedure

<b>Assessment</b>	1	Alternative solution proposals are assessed on the processing checklist, taking into account the points listed below.
<b>Scope of solution</b>	2	The alternative solution proposal must identify the Building Code clauses, and specific performances of each clause, that the solution claims to meet.
	3	The documentation must contain sufficient evidence for the BCA to be satisfied on reasonable grounds that the performance criteria of all relevant clauses will be met.
<b>Types of evidence</b>	4	<p>The following tools may be used to provide evidence of compliance:</p> <ul style="list-style-type: none"> <li>• <b>Calculation or test method.</b> These are calculations, test results, models, simulations that are not contained in the Compliance Documents.</li> <li>• <b>Comparison with a Compliance Document.</b> Compliance Documents are one set of instructions that lead to compliance. Deviation from some of the steps is possible to accommodate, for example different materials or detailing provided that deviation is compensated for or otherwise justified. In many cases, Compliance Documents provide an excellent guidance mechanism for assessing the robustness of an alternative solution.</li> <li>• <b>Comparison with a product</b> previously accepted by a BCA. For example, some building methods not covered by Compliance Documents may have been previously accepted by a BCA on a comparable building.</li> <li>• <b>Comparison with a determination</b> issued by the Department on similar proposals. Although determinations are case-specific and therefore have a very limited application, they do provide sound guidance on interpretation of the Building Act and Building Code at a particular point in time.</li> <li>• <b>Trade literature.</b> Is it a proprietary product? The manufacturer's literature may contain technical data that supports the proposal.</li> <li>• <b>Appraisal.</b> Is there a current appraisal certificate that describes how compliance with the Building Code is achieved?</li> <li>• <b>In-service history.</b> Is there proof that arises from in-service history? For example, has the proposed material been used in a similar application on a similar site? Overseas evidence can be used, but be mindful of New Zealand conditions, such as seismic activity, ultra violet light, and exposure to salt-laden winds and wind-driven rain.</li> <li>• <b>Assessment of actual conditions on site.</b> Is there proof that arises from local environmental conditions? For example, a very sheltered site that is supported by meteorological or horticultural evidence.</li> <li>• <b>Expert evidence.</b> Is there collaborative expert support? This could be peer review of the proposed solution or opinions obtained from credible organisations.</li> </ul>



<b>Independence</b>	5 Except as stated below, the author must be independent from: <ul style="list-style-type: none"><li>• the manufacturer or supplier of the product or system</li><li>• financial interest in the property that is the subject of the opinion.</li></ul> 6 Generally the author will not be linked financially, other than by payment for the opinion, unless there is an independent audit of his/her work. 7 Chartered Professional Engineers and Registered Architects professional codes of ethics require independence of opinion that means that peer review from other professionals within the same organisation as the author may be accepted as independent. 8 Independence of testing laboratories can be demonstrated through international accreditation (IANZ, NATA etc). Accredited testing laboratories which are associated with the manufacturer of a product may be accepted as independent. 9 If the author is not sufficiently independent request information from another source.
<b>Competence</b>	10 Competence, which is a mixture of qualification and relevant experience (not simply the number of years in the profession), can be established by the following means: <ul style="list-style-type: none"><li>• CPEng registration;</li><li>• Accreditation, where reports are issued under the accreditation logo;</li><li>• Other individuals may be able to provide expert opinion depending upon their individual competence and the nature of the opinion being given. This is assessed on a case by case basis</li></ul> 11 If the author is not adequately qualified or experienced, seek information from another source.
<b>Record decision</b>	12 Record the decision to accept the alternative solution, and reasons for the decision, on the processing checklist.



## BC 11 Producer Statements

### Process

This process covers checking producer statement authors, and assessing producer statements.

### Personnel

BCOs

### Relevant documents

BC-79 Producer Statement Checklist

### Procedure

<b>Policy on acceptance of producer statements</b>	<ol style="list-style-type: none"> <li>1 Producer statements for design, design review, and construction review are accepted from CPEng registered engineers.</li> <li>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.</li> <li>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.</li> <li>4 Other than as set out above, producer statements are not accepted.</li> </ol>
<b>Checking producer statement authors</b>	<ol style="list-style-type: none"> <li>5 When a producer statement is submitted, the CPEng website is checked to see if the author is CPEng registered.</li> <li>6 Applicants providing producer statements for design from persons who are not on the CPEng register are advised that they must provide a peer review of the producer statement from a CPEng registered engineer.</li> <li>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.</li> </ol>
<b>Assessing producer statements</b>	<ol style="list-style-type: none"> <li>8 Each producer statement is assessed using BC-79.</li> <li>9 The producer statement should: <ul style="list-style-type: none"> <li>• clearly identify the property where the work that it covers is located;</li> <li>• clearly describe the work that it covers;</li> <li>• explicitly reference plans and specifications (including calculations);</li> <li>• state the Building Code clause or clauses which it covers;</li> <li>• state which relevant performances of the Building Code will be or have been met;</li> <li>• state what conditions of the building consent have been met (producer statements for construction review only);</li> <li>• justify any claims made by reference to Standards, manufacturer's literature etc;</li> <li>• state any conditions or limitations on the validity of the statement;</li> <li>• where inspections are required by persons other than the BCA, list the inspections required, and identify who will perform them;</li> <li>• be dated and signed by the author; and</li> <li>• show the author's name, qualifications, Registration number, and a statement of the author's current professional insurance provisions.</li> </ul> </li> <li>10 Record the decision to accept the producer statement, and reasons for the decision, on the processing checklist.</li> </ol>
<b>Record decision</b>	<ol style="list-style-type: none"> <li>11 Record the decision to accept the producer statement, and reasons for the decision, on the processing checklist.</li> </ol>



## BI 1 Booking Inspections

### Process

This process covers the receiving of bookings for, and the allocation of, inspections.

### Personnel

CSOs  
BC Admin  
SBCO

### Relevant documents

Inspection Notice

### Procedure

<b>Inspection booking requested.</b>	<ol style="list-style-type: none"><li>1 Applicant or contractor requests inspection by telephone or in person.</li><li>2 Inspections requested before 4 pm are undertaken the next day. In some cases, inspections may be made the same day as the request is received.</li><li>3 If a final inspection is requested, proceed as per <b>BI 2 Booking a Final Inspection</b>.</li></ol>
<b>Details entered in calendar.</b>	<ol style="list-style-type: none"><li>4 A CSO or BC Admin enters the inspection into the inspection calendar.</li><li>5 The CSO also completes an inspection notice. Information recorded in the notice is:<ul style="list-style-type: none"><li>• building consent number</li><li>• property address</li><li>• owner's details</li><li>• name of requester</li><li>• contact phone number of requester</li><li>• any other relevant information</li><li>• AO's name, date, and time.</li></ul></li><li>6 The inspection notice is placed in the building tray for collection by building officials. After collection, notices are put on the building office whiteboard.</li></ol>
<b>Calendar printed.</b>	<ol style="list-style-type: none"><li>7 BC Admin prints the inspection calendar for each day, and puts the calendar on the building office whiteboard.</li><li>8 The SBCO allocates inspections appropriately according to the skills matrix.</li><li>9 A copy of the calendar is held electronically.</li></ol>



## BI 2 Booking a Final Inspection

### Process

This process covers the receiving of bookings for, and the allocation of, final inspections.

### Personnel

CSOs  
BC Admin  
SBCO

### Relevant documents

BC-09 Application for Code Compliance Certificate

### Procedure

<b>Inspection booking requested.</b>	<ol style="list-style-type: none"> <li>1 A final inspection is requested by telephone, or in person.</li> <li>2 The CSO or BC Admin checks that an application form (BC-09) has been received. If not, the requester is advised that a form is required before a final inspection can be booked. If necessary, a new BC-09 is printed and given or sent out to the applicant.</li> </ol>
<b>CCC Application form received</b>	<ol style="list-style-type: none"> <li>3 The CSO or BC Admin enters the inspection into the calendar, as per <b>BI 1 Booking an Inspection</b> and advises the person requesting the inspection of the approximate time it will occur.</li> <li>4 If the application form has been received, the BC Admin changes the status in Civica Authority to "CCC Application received". The 20 day clock starts.</li> </ol>
<b>CCC Application received by mail</b>	<ol style="list-style-type: none"> <li>5 Where a BC-09 is received by mail, and no final inspection has been booked, the BC-09 is date stamped by a CSO and forwarded to BC Admin.</li> <li>6 BC Admin contacts the applicant to arrange a final inspection.</li> </ol>
<b>Calendar printed.</b>	<ol style="list-style-type: none"> <li>7 BC Admin prints the inspection calendar for each day, and puts the calendar on the building office whiteboard.</li> <li>8 The SBCO allocates inspections appropriately according to the skills matrix.</li> <li>9 A copy of the calendar is held electronically.</li> </ol>



## BI 3 Inspections

### Process

This process covers undertaking inspections, to ensure that all work complies with the building consent documentation and New Zealand Building Code.

### Personnel

BCOs

### Relevant documents

Inspection checklists: BC-39 to BC-45, BC-47 to BC-63, BC-113

### Procedure

<b>Preparation</b>	1	Check previous inspection records for any site instructions or outstanding issues.
<b>Arriving at site and documentation</b>	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 can not proceed, and must be rebooked.
<b>Documents on site</b>	5	Check compliance with consented documents and the building code as it was at the time of issue of the consent. Take photographs as appropriate.
	6	Resolve any outstanding issues from previous inspections.
	7	Complete inspection checklist.
	8	Discuss inspection results with builder, site manager, owner or owner's agent.
	9	Record the inspection result, and reasons for the decision, on the inspection checklist. Sign and date the checklist.
<b>Variations from consent</b>	10	Minor variations from the consented documents can be dealt with on site. Changes are noted on the plans, and initialled by the BCO. The varied plan is photographed. Details of the changes are recorded on the inspection checklist.
	11	An amendment is required if the proposed variation: <ul style="list-style-type: none"> <li>• changes the building footprint;</li> <li>• affects the structural integrity of the building;</li> <li>• affects the durability of building elements;</li> <li>• impacts the weather-tightness of the building;</li> <li>• creates issues around health and safety;</li> <li>• involves a change of use.</li> </ul>
<b>Amendment required</b>	12	If an amendment to the consent is required, advise the applicant accordingly. An amendment to a building consent is dealt with as per <b>BC 6 Amend Consent</b> .



<b>Failed Inspection</b>	13 If an inspection is failed, another inspection is required. 14 Discuss any non-compliance which has led to a failed inspection on site. <ul style="list-style-type: none"><li>• Explain the reason for the non-compliance.</li><li>• Discuss how it might be resolved.</li><li>• Record precise details of the discussion on the inspection checklist.</li><li>• Note any agreed resolutions on the inspection checklist.</li></ul> 15 A Notice of Inspection is left on site. This notice records the result of the inspection, and any action required as a result of the inspection being failed. A copy of the Notice is stapled to the inspection checklist 16 If an inspection is failed due to a significant non-compliance, a Notice to Fix may be issued – see <b>BI 4 Notice to Fix</b>
<b>Inspection record</b>	17 Sufficient information should be provided on the inspection checklist to clearly describe what was inspected and the status of the work as a result of the inspection. 18 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. 19 Where test results or measurements are not provided for on the checklist these should be recorded in the comments section. 20 Notes in relation to non-compliance or rectification are noted on the checklists. 21 The result of the inspection is recorded on the checklist, together with the reason for the decision. 22 On return to the office any photos taken are printed and labelled with the BC number and attached to the inspection checklist..
<b>Filing of inspection records</b>	23 Completed inspection checklists are placed in the relevant consent file.



## BI 4 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.

### Personnel

SBCO

### Relevant documents

BC-15 Notice to Fix

### Procedure

<b>When a NTF may be issued</b>	1	Notices to fix may be issued by the BCA when non – compliant building work has been undertaken, 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. The TA is responsible for issuing notices to fix in these circumstances.
<b>Identifying non – compliant building work</b>	2	Non – compliant building work 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 Notices of Inspection as per <b>BI 3 Inspections</b> .
<b>NTF required</b>	3	A notice may be required where the non – compliance is significant, or where Notices of Inspection are not complied with.
<b>Format of NTF</b>	4	Notices to fix are issued in the format prescribed in the Building (Forms) Regulations 2004, Form 13. The BCA's form is BC-15.
<b>Required information</b>	5	The NTF must be issued to the building owner. It may also be issued to the person supervising or carrying out the building work.
	6	The NTF should set out: <ul style="list-style-type: none"> <li>• what work is to be remedied;</li> <li>• timeframes for compliance to be achieved;</li> <li>• whether an amendment to the consent is required;</li> <li>• whether an application to the TA for a certificate of acceptance is required;</li> <li>• whether a stop work applies.</li> </ul>
	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.
<b>Issuing NTF</b>	8	The NTF is prepared by the SBCO, using the BC-15 template. It is signed, and dated by the SBCO, and posted, emailed, faxed or personally delivered to the person or persons specified in the NTF.
	9	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).
<b>Inform TA</b>	10	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 5 Code Compliance Certificate

### Process

This process involves performing a final inspection to ensure that all work complies with the building consent documentation and New Zealand Building Code, receiving and checking all required documentation, deciding to issue, or decline to issue, a code compliance certificate, and issuing a code compliance certificate.

### Personnel

BCOs  
BC Admin

### Relevant documents

Code Compliance Checklist (printed on BC Folder)  
Code Compliance Certificate

### Procedure

<b>Inspection</b>	<ol style="list-style-type: none"> <li>1 Carry out the final inspection as per <b>BI 3 Inspections</b>.</li> <li>2 Collect all required documentation, including: <ul style="list-style-type: none"> <li>• energy work certificates;</li> <li>• producer statements;</li> <li>• warranties;</li> <li>• as-built drainage plan.</li> </ul> </li> </ol>
<b>Inspection failed</b>	<ol style="list-style-type: none"> <li>3 If the inspection is failed, another inspection is required. Record the inspection as failed in Civica Authority and pause the 20 day clock.</li> <li>4 If the failure is due to significant non compliance, a Notice to Fix may be issued as per <b>BI 4 Notice to Fix</b>.</li> </ol>
<b>Inspection passed</b>	<ol style="list-style-type: none"> <li>5 If the final inspection results in a pass, and all required documentation is supplied, a Code Compliance Certificate can be issued. If not all documentation is supplied, pause the clock until the documentation is provided.</li> </ol>
<b>Issue CCC</b>	<ol style="list-style-type: none"> <li>6 When the inspection is passed, the BCO places the inspection checklist and documentation on the consent file.</li> <li>7 If a compliance schedule is required, see <b>BI 7 Compliance Schedule</b>.</li> <li>8 The BCO completes the Code Compliance Checklist, and records the decision to grant or refuse to issue the CCC and the reasons for the decision.</li> <li>9 The BCO prints and signs three copies of the CCC (and compliance schedule if required). One copy is placed in the consent file, and one is scanned for electronic storage and the hard copy placed on the TA's property file. Printing the CCC stops the 20 day clock.</li> <li>10 The BCO checks to see that the correct fees have been charged. If any fees are outstanding, an invoice is generated by BC Admin and sent to the applicant.</li> <li>11 When all fees have been paid, BC Admin mails the applicant's copy of the CCC to the applicant.</li> </ol>



## BI 6 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.

### Personnel

BC Admin  
Planning and Regulatory Manager  
SBCO

### Relevant documents

Code Compliance Checklist (printed on BC Folder)  
Code Compliance Certificate  
BC-100 Further Reminder Letter  
BC-23 CCC Decision Letter

### Procedure

<b>18 month notice</b>	<ol style="list-style-type: none"> <li>1 Each month a list of consents granted 18 months previously, and for which no CCC has been issued, is generated from Civica Authority.</li> <li>2 A reminder letter (BC-100) is sent to the applicant advising that no application for a CCC has been received. A copy of the letter is placed on the consent file.</li> </ol>
<b>Owner/ applicant contact established</b>	<ol style="list-style-type: none"> <li>3 If a response is received from the applicant, establish timeframes to completion.</li> <li>4 If necessary, arrange for a site inspection to establish the status of the project, or book a final inspection as per <b>BI 2 Booking Final Inspection</b>.</li> <li>5 If an extension is requested, refer to the Planning and Regulatory Manager and the SBCO for a decision.</li> </ol>
<b>23 month notice</b>	<ol style="list-style-type: none"> <li>6 Each month a list of consents granted 23 months previously, and for which no CCC has been issued, is generated from Civica Authority.</li> <li>7 A further reminder letter (BC-100) is sent to the applicant. A copy of the letter is placed on the consent file.</li> </ol>
<b>Owner/ applicant contact established</b>	<ol style="list-style-type: none"> <li>8 If a response is received from the applicant, establish timeframes to completion.</li> <li>9 If necessary, arrange for a site inspection to establish the status of the project, or book a final inspection as per <b>BI 2 Booking Final Inspection</b>.</li> <li>10 If an extension is requested, refer to the Planning and Regulatory Manager and the SBCO for a decision.</li> </ol>
<b>24 month report</b>	<ol style="list-style-type: none"> <li>11 Each month a list of consents granted 24 months previously, and for which no CCC has been issued, is generated from Civica Authority.</li> <li>12 A letter (BC-23) is sent to each applicant advising them of the BCA's decision not to issue a CCC at that time. Each letter is signed by the SBCO and sent to the property owner.</li> <li>13 A copy of the signed letter is placed on the consent file, which is then added to the property file, and a note added to Civica Authority detailing the action taken.</li> </ol>



## BI 7 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 BCOs

### Personnel

SBCO  
BC Admin

### Relevant documents

BC-30 Compliance Schedule Statement  
BC-32 Compliance Schedule

### Procedure

<b>When a compliance schedule is required</b>	<ol style="list-style-type: none"> <li>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.</li> <li>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.</li> </ol>
<b>Required information</b>	<ol style="list-style-type: none"> <li>3 The compliance schedule must state: <ul style="list-style-type: none"> <li>• the specified systems that are in the building;</li> <li>• performance standards for the specified systems within the building;</li> <li>• inspection, maintenance and reporting procedures to be followed by an independent qualified person / licensed building practitioner in respect of each specified system.</li> </ul> </li> </ol>
<b>Preparing the compliance schedule</b>	<ol style="list-style-type: none"> <li>4 The compliance schedule is prepared during processing as per BC 3 Building Technical Check.</li> <li>5 When the code compliance certificate is ready to be issued, check the compliance schedule and amend as required.</li> <li>6 BC Admin prepares a Compliance Schedule Statement (BC-30).</li> <li>7 The Compliance Schedule Statement and Compliance Schedule are checked and signed by the SBCO.</li> <li>8 The compliance schedule and compliance schedule statement are sent out with the code compliance certificate.</li> </ol>



## PE 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.

### Personnel

BCOs  
BC Admin  
SBCO

### Relevant documents

Consent Inquiry record (printed on BC Folder)

### Procedure

<b>General inquiries</b>	1	The BCA receives inquiries from the public on a wide range of issues. General inquiries relating to building control functions are logged by subject.
<b>Inquiries about specific consents</b>	2	Inquiries about specific issued consents are recorded on the consent inquiry record inside the back cover of the BC folder.
<b>Categories of general inquiries</b>	3	Inquiries are categorised under building control functions. These are: <ul style="list-style-type: none"> <li>• issuing building consents;</li> <li>• inspecting work being carried out under a building consent;</li> <li>• notices to fix;</li> <li>• issuing code compliance certificates;</li> <li>• issuing compliance schedules.</li> </ul>
	4	Each category is further divided for recording purposes. These sub-categories may be changed from time to time to suit the purposes of the BCA.
<b>Reporting on general inquiries</b>	5	Each month, the SBCO prepares a report on the number of inquiries received in each category and sub-category. This report is used to discern trends in inquiries, and to inform the need to update or amend public information. The report forms part of the monthly management report.
<b>Complaints</b>	6	Complaints are received in person, by phone, fax, letter or email.
	7	Complaints are dealt with through Council's CRM process.



## PE 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.

### Personnel

CSOs  
BC Admin  
Quality Manager

### Relevant documents

Public information documents as listed in the procedure below.

### Procedure

<b>Information available at Reception counter</b>	<p>1 Information available at the Reception counter includes:</p> <ul style="list-style-type: none"> <li>• A General Guide to the Building Consent Process</li> <li>• Guide to Building Consents (How to go about applying for a consent)</li> <li>• Consent application forms</li> <li>• Code Compliance certificate application form</li> <li>• Building Consent Amendment Form</li> <li>• List of Inspections</li> </ul> <p>2 Stocks of these documents are monitored by CSOs, who advise BC Admin when stocks are low. BC Admin prints additional copies as required to keep the Reception counter adequately stocked.</p>
<b>Information available from the website</b>	<p>3 Information available on Council's website includes:</p> <ul style="list-style-type: none"> <li>• A General Guide to the Building Consent Process</li> <li>• Guide to Building Consents (How to go about applying for a consent)</li> <li>• Consent application forms</li> <li>• Code Compliance certificate application form</li> <li>• Building Consent Amendment Form</li> <li>• List of Inspections</li> <li>• The BCA's Quality Assurance System</li> </ul> <p>4 When any of these documents is changed, the Quality Manager requests the webmaster to update the site to include the new version.</p> <p>5 A links is also provided on the website to the Homeowner's Building Guide.</p>



## 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.

### Personnel

CSOs  
BC Admin  
Quality Manager

### Relevant documents

Building consent contents (printed on BC Folder)

### Procedure

<b>Unique identification of applications</b>	1	When each new application for a building consent is set up as per <b>BC 1 Building Consent Application Received</b> , a unique identifier is given to the application.
<b>Amended applications/ documents</b>	2	When amended applications and/or documents are received they are filed on the BC file. The original documents are noted as "superseded".
<b>Primary records</b>	3	The primary record is the paper copy filed in the BC file (orange folder) maintained for each application. This record is held in the filing cabinet in the building area.
<b>Issue of CCC</b>	4	When the CCC is issued the file is passed to the TA to maintain for long term storage.
<b>BC File content</b>	5	The completed building consent file includes, at least, the following documents: <ul style="list-style-type: none"> <li>• Service Centre Building Consent Checklist</li> <li>• Proof of ownership</li> <li>• Specifications</li> <li>• Calculations</li> <li>• Building Plans</li> <li>• Site Plan</li> <li>• Checklist for Preparing Building Consent Applications</li> <li>• Building consent Application Form</li> <li>• Acceptance Letter</li> <li>• Processing checklist</li> <li>• Signed building consent and attachments</li> <li>• Inspection checklists</li> <li>• Application for CCC</li> <li>• Signed Code Compliance Certificate.</li> </ul>
	6	Individual files (due to the nature of the work) may also include the following documents: <ul style="list-style-type: none"> <li>• Further Information Letter</li> <li>• Further Invoice for Fees</li> <li>• PIM Copy</li> <li>• Amendments</li> <li>• Superseded Plans marked</li> <li>• Correspondence – Other</li> <li>• Energy work certificates</li> <li>• As Built Drainage Plan</li> <li>• Producer Statements</li> <li>• Fire Service Inspection Certificate</li> <li>• Consultant reports.</li> </ul>



## 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.

### Personnel

BC Admin  
SBCO

### Relevant documents

Essential documents as listed below.

### Procedure

<b>Availability of information – electronic</b>	<p>1 All staff have access to information via the internet. This information includes:</p> <ul style="list-style-type: none"> <li>• standards on <a href="http://www.standards.co.nz">www.standards.co.nz</a>;</li> <li>• acts and regulations on <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a>;</li> <li>• Building Code and Compliance Documents on the Department of Building and Housing website <a href="http://www.dbh.govt.nz">www.dbh.govt.nz</a>;</li> <li>• BRANZ appraisal certificates on <a href="http://www.branz.org.nz">www.branz.org.nz</a>;</li> <li>• product information and specifications on manufacturers' websites.</li> </ul> <p>2 The primary reference for all these documents except standards is the online version.</p>
<b>Availability of information - printed</b>	<p>3 A technical library of printed information is available to all staff. It consists of the following essential documents:</p> <ul style="list-style-type: none"> <li>• NZS3604;</li> <li>• AS/NZS3500;</li> <li>• NZS4229;</li> <li>• NZS2918;</li> <li>• NZS3602;</li> <li>• NZS4223;</li> <li>• AS/NZS1547;</li> <li>• NZS4218.</li> </ul> <p>4 These documents are controlled and maintained by BC Admin.</p> <p>5 Other documents, such as the Building Act and Compliance Documents, are available in printed form, but are uncontrolled and for information only.</p>
<b>Location of essential documents</b>	<p>6 All essential documents are held in the shelves located in the building area.</p>
<b>Control and maintenance of essential documents</b>	<p>7 The BCA receives updates for all standards listed above as part of the BCA's subscription to Standards New Zealand services. Updates to each standard are inserted as appropriate by BC Admin, and the update register at the front of the standard is signed and dated.</p>



## AD 3 Facilities and Equipment Management

**Process**

Ensuring that inspection, test and measuring equipment used to assess the compliance of building work with specified requirements is controlled, calibrated and maintained.

**Personnel**

SBCO  
BCO

**Relevant documents**

Essential documents as listed below.

**Procedure**

<b>Facilities and Equipment Policy</b>	<p>1 Council shall provide and maintain suitable and adequate facilities and equipment for all building control staff.</p> <p>2 Facilities include:</p> <ul style="list-style-type: none"> <li>• Suitable and adequate office space</li> <li>• Computer, photocopying and fax facilities</li> <li>• Adequate supply of stationery</li> </ul> <p>3 Equipment includes:</p> <ul style="list-style-type: none"> <li>• Suitable vehicles for rural and urban construction sites</li> <li>• Measuring equipment</li> <li>• Safety equipment</li> </ul>			
<b>Measurements undertaken</b>	4 Measurements undertaken are set out in the Table below			
	<b>Measurement</b>	<b>Requirement</b>	<b>Required Accuracy Limits</b>	<b>Equipment</b>
	Temperature	NZBC G12 6.14	Unspecified	Thermometer
	Moisture	NZBC E2 11.2	Unspecified	Moisture meter
	Lintel Sizes	NZS 3604:1999	Unspecified	Measuring tape
	Foundation		Unspecified	Manual Prodder
	Bearing			
	Drain levels		Unspecified	Level
	Wood burner clearances	NZS 7421 / NZBC C1.2	Unspecified	Measuring tape
	Boundary Distances	Stratford District Plan	Unspecified	Measuring tape
<b>Equipment register</b>	5 The SBCO maintains a register of equipment used for building control functions. In addition to a list of equipment, the register also contains calibration certificates, results of quarterly tests, and maintenance records.			



<b>Moisture meters</b>	<p>6 Moisture meters are used by Building Officials to measure the moisture content of timber at the pre-line inspection. This measurement is significant as it affects the ability of the builder to install interior linings. NZS 3602:2003 table 4 sets out the range of allowable moisture readings in different settings. For practical purposes, when readings are higher than 20%, an inspection may be failed unless alternative evidence of compliance with the Building Code can be provided.</p> <p>7 Moisture meters are calibrated by the manufacturer at the time of purchase. Each quarter meters are check against the check block provided. If any meter's reading differs from that of the stated check reading by more than 3%, the meter is sent to the manufacturer for adjustment and calibration.</p> <p>8 Meters are visually checked when used. Additional checks using the manufacturer supplied check block are also undertaken if the BCO believes that a meter's readings are suspect.</p>
<b>Thermometers</b>	<p>9 Thermometers are used by BCOs to check the temperature of hot water supplied at sanitary fittings.</p> <p>10 The Building Code (G 12.3.6) requires water to be supplied to sanitary fixtures and appliances at a temperature that avoids the likelihood of scalding. G12/AS1 6.14 sets a maximum delivery temperature of 55°C for the hot water supply to sanitary fixtures except in Early Childhood Centres, old people's homes etc where the maximum temperature is 45°C.</p> <p>11 For practical purposes, where indicative readings exceed the maximum delivery temperature specified by G12/AS1 6.14 an inspection may be failed unless alternative evidence of compliance with the Building Code can be provided.</p> <p>12 The thermometer is calibrated annually by an external calibration company. Quarterly checks are done by comparison with the TA's Environmental Health Officer's calibrated thermometer. The check is performed by pointing the thermometers at a block of ice, and at boiling water. The readings are recorded. If the thermometer reading is not within 3 degrees of the reference thermometer, it is returned to the manufacturer for calibration.</p>
<b>Tape Measures</b>	<p>13 Steel tape measures are used by BCOs to make a wide range of distance measurements. Visual checks are made at each use to ensure the tape measures are in good repair. Where indicative readings indicate that measurements do not comply with the consented documents, BCOs may request the provision of alternative evidence of compliance. .</p>
<b>Manual prodders</b>	<p>14 BCOs use manual prodders to check ground bearing capacity. Prodders are not able to be calibrated. In practice, BCOs base their compliance decision on the depth to which a prodder penetrates the ground. If the BCO has any doubt that the ground bearing capacity is sufficient for the consented work, an engineer's report is required.</p>
<b>Levels</b>	<p>15 Accuracy checks of levels are carried monthly by positioning the level on a flat surface, noting the reading, then turning the level around and checking that the reading is the same. If the readings are more than 0.2 different, the level is reset according to the manufacturer's instructions (Superset), and rechecked.</p>



<b>Other measurements</b>	<b>Water pressure</b> 16 G12/AS1 Water Supplies 7.5 sets out the requirements to test water supply systems to ensure water-tightness. 17 Council staff do not directly undertake tests to pipes, but may observe and record the outcome of tests undertaken by plumbers. Faults and un-crimped joints become obvious at 800kpa. Because of this, plumbers test equipment could have an inaccuracy of 40% and still provide an acceptable test result. As a consequence, the BCA does not require plumbers to calibrate their equipment.  <b>Sound (STC), Lighting, Ventilation, Inclinations, and Fire</b> 18 The BCO checks that these building elements are constructed / installed in accordance with the approved building consent documents. Where the BCO is not satisfied on reasonable grounds that these elements comply with the requirements of the Building Code, the builder will be required to demonstrate to the BCO that compliance has been achieved.
<b>Maintenance, repair and replacement</b>	19 The physical condition of all equipment is monitored by BCOs in day to day use. Where a BCO identifies any equipment as suspect, faulty, or in poor physical condition, the equipment is withdrawn from service for maintenance, repair or replacement as appropriate. 20 Before equipment is returned to service following maintenance or repair, or new equipment is put into service, it is checked by the SBCO, and details of any maintenance or repair are recorded in the Equipment Register. 21 In the case of thermometers, or moisture meters which are new or have undergone repairs or maintenance an accuracy check is also carried out before the item is returned to, or put into, service.



## 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 Planning and Regulatory Manager and SBCO.

### Personnel

Planning and Regulatory Manager  
SBCO

### Relevant documents

None

### Procedure

<b>Advertising and shortlisting</b>	<ol style="list-style-type: none"> <li>1 When engaging a new building officer, the Planning and Regulatory Manager and SBCO adhere to the Stratford District Council's Recruitment Procedure.</li> <li>2 After a position as a building officer has been advertised, the Planning and Regulatory Manager and SBCO review applications received. Emphasis is placed on: <ul style="list-style-type: none"> <li>• previous work experience, including involvement in the building industry and regulatory environments such as other BCAs;</li> <li>• knowledge of the Building Act, Building Code, Compliance Documents, Standards, and other relevant legislation.</li> <li>• qualifications, including tertiary and trade qualifications;</li> <li>• computer skills (if identified);</li> </ul> </li> <li>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.</li> </ol>
<b>Assessment of successful applicants</b>	<ol style="list-style-type: none"> <li>4 Successful applicants without previous BCA experience undergo a full competence assessment.</li> <li>5 Where the successful applicant is a building officer from another accredited BCA, the Planning and Regulatory Manager may, where the other BCA has used similar assessment processes, accept the competencies as supplied by the other BCA as compatible with SDC's own assessment process. The building officer is then incorporated to the skills matrix on that basis;</li> <li>6 Where the Planning and Regulatory Manager does not accept the other BCA's assessment process, the skills assessment is conducted in accordance with the competence assessment procedures set out in <b>CA 2 Competence Assessment</b>.</li> </ol>



## CA 2 Competence Assessment

**Process**

This process covers assessing the competence of building officers.

**Personnel**

External contractors  
Planning and Regulatory Manager  
SBCO  
Quality Manager

**Relevant documents**

Skills Matrix

**Procedure**

<b>Categories of buildings</b>	<ol style="list-style-type: none"> <li>1 The competence assessment system is based on building categories. The categories are 1, 2 and 3, with sub categories at each level.</li> <li>2 The BCA's mainstream work sits within categories 1 and 2.</li> <li>3 All category 3 work is defined as outside the BCA's mainstream work and is assessed using an external contractor.</li> </ol>
<b>Assessing competence</b>	<ol style="list-style-type: none"> <li>4 A variety of methods may be used to assess competence, including : <ul style="list-style-type: none"> <li>• questionnaires relating to the Building Act, Building Codes, BCA Processes and Procedures</li> <li>• on-the-job observations</li> <li>• qualifications</li> <li>• audits/reviews of completed work</li> <li>• interviews</li> <li>• experience.</li> </ul> </li> </ol>
<b>Initial assessment</b>	<ol style="list-style-type: none"> <li>5 SDC uses an external contractor to undertake initial competence assessments.</li> <li>6 The contractor performs an initial competence assessment on all building officers. This involves interviewing each officer, observing them at work, and reviewing completed work.</li> <li>7 The assessor prepares a report on each BCO, and provides a skills matrix with the recommended competence level for each clause of the code.</li> <li>8 The SBCO reviews and confirms or adjusts the recommendations made in respect of all other building officers. The Planning and Regulatory Manager reviews and confirms the recommendations made in respect of the SBCO.</li> </ol>
<b>Annual assessment</b>	<ol style="list-style-type: none"> <li>9 Competence assessments are reviewed annually by the external contractor. This review is aimed at assessing development from the last assessment, and confirming movements in competence levels which have occurred during the year following training.</li> <li>10 The building officer provides the assessor with: <ul style="list-style-type: none"> <li>• training records, including evidence of technical reading or writing;</li> <li>• a recent consent they consider is suitable to show their competence at the relevant level;</li> <li>• any other evidence of work completed that they consider supports a competence outcome.</li> </ul> </li> <li>11 The building officer must also demonstrate a good understanding of their previous competence assessment.</li> <li>12 The assessor:</li> </ol>



	<ul style="list-style-type: none"><li>• reviews the findings of the officer's previous competence assessment;</li><li>• reviews training plans, and records of completion of training and monitoring of effectiveness;</li><li>• processes a consent with the officer;</li><li>• reprocesses a recently granted consent with the officer;</li><li>• undertakes 3 inspections with the officer;</li><li>• reviews available audit records.</li></ul>
<b>Assessment outcome</b>	<p>13 The outcome of the competence assessments is a report specifically addressing the requirements of Regulation 10(3), and a recommended level of competence of the building officer for each clause of the building code.</p> <p>14 The skills matrix is completed by the Quality Manager on the basis of the competence assessments provided by the assessor. The matrix may be amended between competence assessment reviews to reflect successful training outcomes as described in the training procedures.</p>



## 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.

### Personnel

All BCA staff

### Relevant documents

Performance Building Folder

BC-84 Training Needs

BC-91 Training Request Form

BC-86 Course / Training Evaluation

### Procedure

<b>Establishing training needs</b>	1 Training needs are established annually by the SBCO and Planning and Regulatory Manager. Training needs are established through: <ul style="list-style-type: none"> <li>the annual competence assessment of each officer;</li> <li>internal audits.</li> </ul>
<b>Recording training needs</b>	2 Individual training plans are recorded on a Training Needs form (BC-84) as a result of the annual competence assessment. The form is placed in each officer's Performance Building Folder. 3 Training Plans may be amended during the year to cater for training needs identified during internal audits, or for the advancement of new employees.
<b>Ensuring training is received</b>	4 Prior to attending training listed in the individual training plan, the officer completes a Training Request form (BC-91) for approval by the Planning and Regulatory Manager. 5 On completion of the training, the officer completes a Course / Training Evaluation form (BC-86), which is reviewed by the Planning and Regulatory Manager. A copy of the form is kept in the officer's Performance Building Folder, together with any certificate or other record of course attendance.
<b>Monitoring the effectiveness of training</b>	6 Within two months of completion of a course, an internal audit will be conducted as per <b>QA 2 Internal Audits</b> to assess the effectiveness of the training. A copy of the audit report is placed on the officer's Performance Building Folder.



## CA 4 Supervision of Employees Under Training

### Process

This process covers providing supervision where necessary for employees under training.

### Personnel

SBCO

External contractors

### Relevant documents

Performance Building Folders

### Procedure

<b>Recording supervision</b>	<ol style="list-style-type: none"> <li>1 Where a need is identified for training under supervision, the activities to be supervised, the desired outcome, and the time by which the training is to be completed are entered on the Training Record.</li> <li>2 All copies of inspection sheets, checklists, or other relevant documentation are signed and countersigned by the trainee and the supervising officer and filed in the Training Section of the Performance Building Folder.</li> <li>3 Supervision is carried out by a person with a higher level of competence in the particular area, and can be either direct or indirect.</li> </ol>
<b>Direct supervision</b>	<ol style="list-style-type: none"> <li>4 Direct supervision requires the building officer to be accompanied by the supervisor on inspections, or while processing.</li> <li>5 All documentation is countersigned by the supervisor.</li> </ol>
<b>Indirect supervision</b>	<ol style="list-style-type: none"> <li>6 For processing, indirect supervision requires the supervisor to review the results of processing after it is completed, and to be available for consultation if needed by a building officer processing a consent.</li> <li>7 For inspections, indirect supervision means: <ul style="list-style-type: none"> <li>• Being encouraged to communicate with the supervisor while on site whenever needing guidance.</li> <li>• If required by the supervisor, photographing work being inspected, and discussing it with the supervisor before confirming the outcome of the inspection.</li> </ul> </li> <li>8 All documentation is countersigned by the supervisor.</li> </ol>
<b>Length of supervision</b>	<ol style="list-style-type: none"> <li>9 The training plan for a building officer requiring supervision specifies the minimum number of directly supervised consent processing or inspection events that are required before the building officer can be indirectly supervised. This number can be increased by the supervisor if it is felt the building officer would benefit from further direct supervision. The supervisor records on the building officer's Training Record the decision to switch to indirect supervision, and records the reasons for that decision.</li> <li>10 The internal audit process is used to verify competence and effectiveness of training.</li> <li>11 When the supervisor is satisfied that the building officer no longer requires supervision, the supervisor records that decision and the reasons for it on the building officer's Training Record. If necessary the skills matrix is updated.</li> </ol>



## CA 5 Recording of Training, Qualifications and Experience

### Process

This process covers recording building officers' qualifications, experience, and continuing training.

### Personnel

All BCA staff

### Relevant documents

Performance Building Folder

### Procedure

<b>Records to be kept</b>	<ol style="list-style-type: none"><li>1 Records for individual officers are kept in the Performance Building Folders. These records include:<ul style="list-style-type: none"><li>• Qualifications</li><li>• Experience</li><li>• Training Plan</li><li>• Supervision records</li><li>• Competence Assessment</li><li>• Requests for training</li><li>• Training evaluation forms</li><li>• Internal audit reports</li></ul></li><li>2 The minutes of regular Training and Issues Update Meetings are held electronically, and are available to all BCA staff.</li></ol>
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## CA 6 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.

### Personnel

Planning and Regulatory Manager

### Relevant documents

Monthly LTCCP Performance Indicators Report

### Procedure

<b>Policy</b>	<ol style="list-style-type: none"> <li>1 Council shall maintain sufficient technically competent staff and contractor levels with the range of expertise and experience necessary to carry out its normal building control functions.</li> <li>2 Sufficient staff levels shall take into account anticipated staff and contractor absences due to annual leave, sick leave, special leave, training days, and time allocated to public good. In addition allowance should also be made for staff members who are involved in the enforcement functions of building control as opposed to functions of a BCA.</li> <li>3 There should always be sufficient staff and contractors to meet statutory timeframes and to maintain the quality described in this Quality Assurance System. Staff numbers should also take into account workload fluctuations including seasonal activity. People fulfilling one off specialist roles will be backed up in the event of absence or increased workload.</li> </ol>
<b>Reviewing staffing resources</b>	<ol style="list-style-type: none"> <li>4 The monthly report on the SDC LTCCP performance indicators is used to monitor the adequacy of staffing resources.</li> <li>5 These indicators include: <ul style="list-style-type: none"> <li>• Numbers of building consents being processed and inspected</li> <li>• Types and complexity of building consents being processed and inspected</li> <li>• Processing times</li> <li>• Trends over time in the indicators</li> <li>• External audit recommendations.</li> </ul> </li> <li>6 Where LTCCP performance indicators are at risk of not being met then further assessments are made in regard to <ul style="list-style-type: none"> <li>• Use of existing back-up contracts</li> <li>• Other resources available in Taranaki</li> <li>• Any matters raised in Staff Performance Appraisals.</li> </ul> <p>A decision will then be made as to whether or not further recruitment is required and the level at which that recruitment is required.</p> </li> <li>7 Resource levels may be justified based on the following: <ul style="list-style-type: none"> <li>• recent and anticipated levels of construction activity</li> <li>• recent and expected changes to legislative requirements, compliance documents, and codes of practice</li> <li>• trends in building design and construction methods, and systems and products</li> <li>• current and expected numbers and type of building consent applications</li> <li>• the number and type of inspections currently and expected to be undertaken</li> <li>• results of internal and external audits and reviews.</li> </ul> </li> </ol>



## CA 7 Contractors

### Process

This process covers selecting and engaging contractors, establishing and reviewing their competence, recording their qualifications, and monitoring their performance.

### Personnel

SBCO

Planning and Regulatory Manager

### Relevant documents

None

### Procedure

<b>When contractors are used</b>	<p>1 Contractors are used either:</p> <ul style="list-style-type: none"> <li>• to boost existing processing resources to cover for staff absences or fluctuations in processing workload; or</li> <li>• to process parts of building consents where the category of work to be processed is outside the capability of the BCA to process in-house.</li> </ul>
<b>Contractor(s) to cover day to day processing</b>	<p>2 The SBCO monitors consent processing times and planned staff absences, and assesses the need for additional temporary processing resources. The BCA uses other accredited BCAs for overflow processing.</p>
<b>Contracts</b>	<p>3 All contractors who perform building control functions are subject to Service Level Contracts. For each contract, the Planning and Regulatory Manager:</p> <ul style="list-style-type: none"> <li>• defines the scope of work required to be performed under the contract;</li> <li>• defines the competency requirements for the contractor;</li> <li>• defines the key performance indicators for the contract;</li> <li>• ensures the budget is approved;</li> <li>• ensures procurement procedures under the Local Government Act 2002 are followed.</li> </ul>
<b>Specialist contractors</b>	<p>4 Specialist contractors are needed from time to time to consider specific building elements (e.g. lifts) which are outside the BCA's usual work.</p> <p>5 A specialist contractors must be either:</p> <ul style="list-style-type: none"> <li>• accredited as a BCA; or</li> <li>• a CPEng registered engineer.</li> </ul> <p>6 Competence of specialist contractors is established either by accreditation (in the case of a BCA), or CPEng registration.</p> <p>7 Contractors operate within this Quality Assurance system.</p>
<b>Monitoring and reviewing performance</b>	<p>8 All contracts with specialist contractors include key performance indicators (e.g. timeframes for completion of work) against which contractors' performance can be measured.</p> <p>9 Every six months the SBCO reviews contractor performance against the key performance indicators, and records the details of the review on an External Contractor Performance Evaluation form. Any deviations from expected performance are dealt with in accordance with the terms of the contract.</p>
<b>Regular assessment of contractor competence</b>	<p>10 Contractors are required to maintain their BCA accreditation or CPEng registration (whichever is appropriate). As long as this requirement is met, no further assessment of competence is required.</p>



## CA 8 Organisational Capability

### Process

This process covers assessing the capability of staff, technical leadership, and the need to engage external contractors.

### Personnel

SBCO

Planning and Regulatory Manager

### Relevant documents

None

### Procedure

<b>Internal capability</b>	<ol style="list-style-type: none"> <li>1 The competence assessment system is based on building categories. The categories are 1, 2, and 3.</li> <li>2 The BCA's mainstream work sits within categories 1 and 2.</li> <li>3 All category 3 work is defined as outside the BCA's mainstream work.</li> <li>4 The BCA has the capability to process and inspect work under all clauses to at least category 2.</li> </ol>
<b>Technical Leader</b>	<ol style="list-style-type: none"> <li>5 The SBCO, Pat Moore, is the Technical Leader for processing and inspections.</li> </ol>
<b>Work outside the BCA's internal capability</b>	<ol style="list-style-type: none"> <li>6 For all work which is outside the BCA's mainstream work, and for which the BCA does not have the internal capability to process and / or inspect, the SBCO will either: <ul style="list-style-type: none"> <li>• engage an appropriate external contractor to process and / or inspect the work; or</li> <li>• require producer statements for design and construction. The provider of a producer statement for construction will also be required to undertake the necessary inspections.</li> </ul> </li> <li>7 External contractors are engaged in accordance with <b>CA 7 Contractors</b>. Producer statements are assessed in terms of <b>BC 11 Producer Statements</b>. Where building work is of high or very high complexity, peer review of producer statements for design may be sought from external engineers.</li> </ol>



# QA 1 Continuous Improvement

## Process

This process covers the identification, consideration and implementation of improvements to the BCA's policies, systems and procedures

## Personnel

All staff

## Relevant documents

- BC-89 Continuous Improvement Form
- BC-90 Continuous Improvement Form Register

## Procedure

<b>Identifying opportunities for improvements</b>	<ol style="list-style-type: none"> <li>Any officer may initiate a suggested improvement.</li> <li>The first two sections of BC-89 are filled in by the officer making the suggestion, and the form is given to the Quality Manager.</li> <li>Opportunities for continuous improvement may also be identified through internal audits, as set out in <b>QA 2 Internal Audit</b>.</li> </ol>
<b>Consideration of potential improvements</b>	<ol style="list-style-type: none"> <li>A decision on whether or not to implement the suggested improvement will only be made after consultation with all officers affected by the proposal.</li> <li>Where any suggested improvements potentially affect staff within other Council Departments, the proposal is put before the Corporate Management Committee for consideration. The Corporate Management Committee may reject, modify or support the proposal.</li> <li>Where a proposal does not require Corporate Management Committee consideration, the Quality Manager is responsible for approving, rejecting or modifying the proposal.</li> <li>The decision is recorded on the BC-89. A copy of the completed form, together with any relevant Minutes from the Corporate Management Committee, is given to the originator of the suggestion.</li> <li>The Continuous Improvement Form Register (BC-90) is updated by the Quality Manager. This register is kept on file in Council's file storage.</li> </ol>
<b>Implementation of improvements</b>	<ol style="list-style-type: none"> <li>Implementation of improvements is monitored through the internal Audit process as per <b>QA 2 Internal Audit</b>.</li> </ol>



## 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, and that staff and contractor compliance with the QAS is monitored.

### Personnel

Quality Manager

### Relevant Documents

BC-85 Internal Audit report

### Procedure

<b>Audit schedule</b>	<p>1 The Quality Assistant:</p> <ul style="list-style-type: none"> <li>• schedules audits at least annually;</li> <li>• writes an audit plan which includes (but is not limited to) the procedures or systems to be audited;</li> <li>• informs staff when the audits will be undertaken</li> </ul>
<b>Undertaking audits</b>	<p>2 Audits are undertaken by appropriately experienced personnel.</p> <p>3 All evidence of conformance and non-conformance is recorded using the Internal Audit Report Form (BC-85), and any recommendations for improvements are noted.</p> <p>4 Recommendations for improvements are dealt with through the continuous improvement process as per <b>QA 1</b>.</p> <p>5 Audit report forms are given to the Quality Manager, and filed in the Internal Audit File maintained by the Quality Manager and held in the file strong room.</p>
<b>Follow-up audits</b>	<p>6 If discrepancies are found, a follow up audit of the specific procedure or system is required. This is undertaken after any necessary corrective actions identified in the first audit have been taken.</p> <p>7 Follow up audits are also used to monitor the effectiveness of training received, and the implementation of continuous improvements.</p> <p>8 Follow-up audits are undertaken as set out above.</p> <p>9 Where a follow-up audit is undertaken as a result of an earlier audit finding discrepancies, details of the follow-up audit are recorded and added to the original audit records.</p>



## 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.

### Personnel

Planning and Regulatory manager

### Relevant documents

### Procedure

<b>Policy</b>	<ol style="list-style-type: none"> <li>1 Officers shall be free from any commercial, financial, political, or other pressures that might affect their independence.</li> <li>2 An officer's remuneration shall not be dependent on the volume or outcome of consents and inspections completed by that officer.</li> </ol>
<b>Types of conflict of interest</b>	<ol style="list-style-type: none"> <li>3 Conflicts of interest arise where: <ul style="list-style-type: none"> <li>• a staff member has a financial, commercial or personal interest in a piece of work; or</li> <li>• a staff member is subjected to inducements, coercion or threats either from inside the BCA or from external parties.</li> </ul> </li> </ol>
<b>Personal conflicts of interest</b>	<ol style="list-style-type: none"> <li>4 Any staff member who has a financial, commercial or personal interest in a piece of work must advise the Planning and Regulatory Manager of that interest at the earliest possible opportunity.</li> <li>5 At the time of allocation of the work for processing, the processing checklist is annotated to record the conflict of interest. A copy of the annotated checklist is retained on the Conflict of Interest File.</li> <li>6 If possible, the work must be undertaken by another staff member who does not have a conflict of interest.</li> <li>7 If there is no other staff member who has the competence to undertake the work, the Planning and Regulatory Manager may allow the conflicted staff member to perform the work. In this case, file is countersigned by the Planning and Regulatory Manager, and the work is peer reviewed by another BCA.</li> </ol>
<b>Recording of inducements, coercion or threats</b>	<ol style="list-style-type: none"> <li>8 In the event of an officer being subjected to any inducements, coercion or threats, the officer immediately refers the matter by way of a memo to the Planning and Regulatory Manager.</li> <li>9 Details to be recorded in the memo include: <ul style="list-style-type: none"> <li>• the number of any relevant BC, PIM or CoA;</li> <li>• the date of the occurrence or commencement of occurrence;</li> <li>• the nature of the occurrence;</li> <li>• the name of the person making the inducement, coercion or threat;</li> <li>• what was said;</li> <li>• any other information deemed relevant.</li> </ul> </li> <li>10 The Planning and Regulatory Manager determines what action, if any, should be taken, or if the matter should be escalated to the Chief Executive Officer.</li> <li>11 The Planning and Regulatory Manager and / or Chief Executive Officer records the decision taken on the memo.</li> <li>12 The memo is filed in the Conflict of Interest File</li> </ol>
<b>Council buildings</b>	<ol style="list-style-type: none"> <li>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.</li> </ol>



## QA 4 Communications

**Process**

This process covers internal and external communications.

**Personnel**

All staff

**Relevant documents**

As per tables below

**Procedure**

<b>Internal communication</b>	1 Internal communication is carried out as described in the following table.			
<b>Type</b>	<b>Media</b>	<b>Frequency</b>	<b>Who (Lead in bold)</b>	<b>Record</b>
Operational	Face to face	Daily	All BCA staff, <b>PRM</b>	Nil
Operational	Meetings	As required but no less than monthly	All BCA staff, <b>PRM</b>	Minutes
Operational Reviews	Email	Monthly	BCO, <b>PRM</b> , CEO	Monthly Report to CEO
Management Review	Face to face	Annually	All BCA staff, <b>PRM</b> , CEO	Memorandum to CEO
Document Change notification	Email	As required	Originating staff, affected staff, <b>PRM</b>	Continuous Improvement
Process Change notification	Email	As required	Originating staff, affected staff, <b>PRM</b>	Continuous Improvement

<b>External communication</b>	2 External communication is carried out as described in the following table.			
<b>Type</b>	<b>Media</b>	<b>Frequency</b>	<b>Who (Lead in bold)</b>	<b>Record</b>
Public information	Hardcopy & website	Permanent	<b>PRM</b> , IT, Service Centre, BCAO	Hardcopies, electronic files
General Enquiries	As received	As required	<b>Service Centre</b> , BCAO, BCO	Nil
Building work enquiries	As received	As required	Service Centre, <b>BCO</b> , BCAO	File note
Inspections	Outlook	As required	<b>Service Centre</b> , BCO, BCAO	Inspection booking sheet, Outlook appointment
Complaints	CRM	As required	Service Centre, <b>BCO</b> , <b>PRM</b> , CEO	CRM
Contractors	Hardcopy & email	As required	<b>BCO</b> , <b>PRM</b> , 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.

### Personnel

Planning and Regulatory Manager

### Relevant documents

Monthly LTCCP Performance Indicators Report  
Strategic Management Review memorandum

### Procedure

<b>Monthly review</b>	<p>1 The performance of the BCA is reported each month to the Chief Executive Officer through the Monthly LTCCP Indicators Report. The report includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• changes in staff or organisational structure</li> <li>• work volumes and service levels</li> <li>• trends in work volumes and service levels</li> <li>• compliments and complaints</li> <li>• appeals to DBH or Courts</li> <li>• changes to legislation or other external requirements or practice</li> </ul>
<p>2 <b>Annual Strategic Management Review</b></p>	<p>3 Strategic Management Reviews are undertaken annually to assess the appropriateness and effectiveness of Council's performance and quality system.</p> <p>4 A Special Strategic Management Review, in addition to the scheduled annual review, may be required either where an ongoing failure to meet required service levels has been identified over a period of at least three months.</p> <p>5 Strategic Management Reviews are carried out by the Planning &amp; Regulatory Manager. The review output is a report memorandum on each of the points listed below, and including recommendations for any further actions which result from the review.</p> <p>6 Strategic Management Reviews include, but are limited to, consideration of the following points:</p> <ul style="list-style-type: none"> <li>• work volumes and service levels</li> <li>• staff availability</li> <li>• service levels achieved</li> <li>• summaries of quality audits</li> <li>• Quality Assurance System policy objectives</li> <li>• compliments and complaints</li> <li>• implementation of projects</li> <li>• corrective and preventive actions required</li> <li>• recruitment, induction, training and professional development</li> <li>• staff retention</li> <li>• analysis of the above data to identify trends or common causes of system failure</li> <li>• assessment of the effect of changes in building designs and methods, consent volumes, and legislative requirements.</li> </ul>
<b>Implementation of review recommendations</b>	<p>7 Accepted recommendations relating to implementation of the quality system are implemented through the continuous improvement system. Implementations of recommendations relating to either staffing or corporate structure require the approval of the Chief Executive Officer.</p>



## QA 6 Document Management and Control

### Process

This process covers the management and control of documents relating to the QAS and the processes and procedures established under it.

### Personnel

Quality Manager

Quality Assistant

### Relevant documents

BC-64 Documents Register

### Procedure

<b>Responsibility</b>	<ol style="list-style-type: none"> <li>1 The Quality Assistant is responsible for the review, distribution, updating and archiving of documents, and for notifying staff of updates and changes to documents.</li> <li>2 The Quality Assistant is also responsible for the maintenance of the document management system.</li> </ol>
<b>Controlled documents</b>	<ol style="list-style-type: none"> <li>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.</li> <li>4 All controlled documents are recorded in the Documents Register (BC-64)</li> </ol>
<b>Control of documents</b>	<ol style="list-style-type: none"> <li>5 Changes, other than minor corrections of errors, are identified through the continuous improvement process.</li> <li>6 The Quality Assistant maintains all controlled documents. Form and letter templates are held electronically, and are access controlled</li> <li>7 Controlled documents are identified with: <ul style="list-style-type: none"> <li>• a title and / or form number; and</li> <li>• a version number and / or issue date.</li> </ul> </li> <li>8 The QAS document also has a revision history at the front of the document. This records: <ul style="list-style-type: none"> <li>• the revision number;</li> <li>• the reason for the revision;</li> <li>• the author;</li> <li>• the date of the revision.</li> </ul> </li> <li>9 The QAS document is held electronically, with the Quality Assistant holding the password. When the document requires updating, other than for minor errors, a new version is created, and the previous version is archived.</li> <li>10 Other documents are controlled and / or maintained in accordance with the procedures set out in the QAS.</li> </ol>
<b>New and updated documents</b>	<ol style="list-style-type: none"> <li>11 The need for new and / or updated documents is identified through the continuous improvement process.</li> <li>12 All new controlled documents are recorded in the Documents Register. The Register also records changes to controlled documents, including withdrawal and archiving.</li> <li>13 The Quality Assistant or Quality Manager notifies staff of all changes to controlled documents, either verbally or by email.</li> <li>14 Superseded documents are removed from service within five working days of becoming superseded.</li> </ol>
<b>Location of documents</b>	<ol style="list-style-type: none"> <li>15 Documents are located as set out in the table below</li> </ol>



<b>Category</b>	<b>Document</b>	<b>Location</b>
<b>Quality Assurance System</b>	Quality Assurance System document (QAS)	Intranet
	Procedures	QAS
	Standard forms/letters	O:/Templates/Building
	Public information, BC/CCC Application forms	O:/Templates/Building Website
<b>Quality Records</b>	Training records, consent records, property files	Council file storage
<b>Management Charts/Records</b>	Controlled Document Register	Electronic O:/Templates/Building
	Organisation Chart	QAS
	Skill Matrix	QAS
	Position Descriptions	QAS
<b>Contract Documents</b>	Records of Engagement Contractor performance reviews	Council file storage
<b>Office Documents</b>	Memos, Enquiry Notes, Letters, Faxes, Emails, Purchase orders	Council file storage
<b>External Documents</b> (controlled as detailed in AD 2 Information Resources)	Compliance Documents Standards Technical Books/Manuals	Building Control Office Building Control Office Building Control Office



## **TA 1.1 Compliance Schedule Auditing**

### Process Description

Selection and auditing of a minimum of 10% of buildings that have compliance schedules to ensure that all compliance schedule and building warrant of fitness requirements have been met.

### Purpose

To ensure that the compliance schedule and building warrant of fitness regime is effective in terms of health and safety of building users.

### Outcome

Buildings that can be used in a safe and healthy manner.

### Scope

All buildings that contain specified systems in terms of the Building Act 2004.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Auditing check list  
Compliance schedule database – Licensing module in Civica Authority.

### Standard Forms and Documents

Auditing check list

**TA1.1 Compliance Schedule Auditing**

1.	<b><i>Report of issued compliance schedules is generated.</i></b> <ul style="list-style-type: none"><li>• Compliance schedule auditing is completed once each year.</li><li>• Report from the compliance schedule database held electronically generated to provide a list of all current issued compliance schedules.</li></ul>
2.	<b><i>10% are select annually for audit.</i></b> <ul style="list-style-type: none"><li>• From the report 10% are selected.</li><li>• The prime criteria for selection are the status of the risk. For example old people's homes and hospitals carry a greater risk than say a community hall.</li><li>• Buildings that have issues in the past are also high on the priority list.</li></ul>
3.	<b><i>Building inspection in terms of the compliance schedule undertaken.</i></b> <ul style="list-style-type: none"><li>• The building official undertakes the inspection in terms of the compliance schedule for each building.</li></ul>
4.	<b><i>Check list completed.</i></b> <ul style="list-style-type: none"><li>• Compliance Schedule Check List Form BC-73 for each building is completed.</li></ul>
5.	<b><i>Have any issues been identified that need attention?</i></b> <ul style="list-style-type: none"><li>• What issues have been identified as needing attention on the check list?</li><li>• Do any of the issues raised adversely impact on the safe use of the building.</li><li>• If the building could be deemed dangerous, earthquake prone, or insanitary due to an issue raised then go to TA 1.6 Dangerous, earthquake prone, or insanitary Buildings.</li></ul>
6.	<b><i>If not the compliance schedule database is updated to indicate a successful audit.</i></b> <ul style="list-style-type: none"><li>• Update database.</li></ul>
7.	<b><i>If there are issues a letter is sent to the building owner requesting issues to be addressed.</i></b> <ul style="list-style-type: none"><li>• Letter drafted (no standard form) to the building owner describing the issue/s raised and what is required to have the issues rectified.</li><li>• Hardcopy to property file.</li></ul>
8.	<b><i>Should a Notice to Fix be issued?</i></b> <ul style="list-style-type: none"><li>• Is the matter serious or is this building being revisited from an earlier letter or requisition?</li></ul>
9.	<b><i>Building owner addresses the issues.</i></b>
10.	<b><i>Owner notifies the Council that the issues have been addressed.</i></b> <ul style="list-style-type: none"><li>• The building owner telephones or notifies the team leader building that the issues have been addressed.</li></ul>
11.	<b><i>Re-inspection by the building official arranged.</i></b> <ul style="list-style-type: none"><li>• An inspection is booked in the same way as normal building inspections.</li></ul>
12.	<b><i>Building official undertakes the re-inspection.</i></b> <ul style="list-style-type: none"><li>• A second check sheet (BC-73) is completed. Previously audited items that satisfied the audit requirements can be marked as not applicable for the re-inspection.</li><li>• Go back to step 5</li><li>• Process ends.</li></ul>



## **TA 1.1A Building Warrant of Fitness (BWOFF)**

### Process Description

The receipt and review of BWOFFs (Form 12 and reports from LBP and IQPs (Form 12A).

### Purpose

To ensure that the compliance schedule and building warrant of fitness regime is effective in terms of health and safety of building users.

### Outcome

Buildings that can be used in a safe and healthy manner.

### Scope

All buildings that contain specified systems in terms of the Building Act 2004.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Auditing check list  
Compliance schedule database

### Standard Forms and Documents

Letter BC-29  
Checklist BC-73

**TA 1.1A Building Warrant of Fitness (BWOFF)**

1.	<b><i>IQPs or LBPs complete their routine maintenance and testing requirements.</i></b>
2.	<b><i>IQPs or LBPs complete the respective Inspection report.</i></b>
3.	<b><i>IQPs or LBPs complete the respective Building Warrant of Fitness.</i></b>
4.	<b><i>IQP or LBP sends Building Warrant of Fitness or Advice of Variation to Council.</i></b>
5.	<b><i>Forms received Corporate Services or at the Service Centre.</i></b> <ul style="list-style-type: none"><li>• As the forms are received they are forwarded to the building officials.</li></ul>
6.	<b><i>Forms sent to the building officials.</i></b> <ul style="list-style-type: none"><li>• Forms sent via internal mail system to the building officials.</li></ul>
7.	<b><i>Forms reviewed.</i></b> <ul style="list-style-type: none"><li>• Building Officials review the forms to ensure that they are complete and accurate.</li></ul>
8.	<b><i>Discrepancies referred to the building owner or their agent.</i></b> <ul style="list-style-type: none"><li>• Any discrepancies detected are referred to the building owner or their agent, IQP, or LBP for correction.</li><li>• Is any of the information provided false?</li><li>• If so what corrective measures are recommended?<ul style="list-style-type: none"><li>○ Notice to Fix</li><li>○ Prosecution</li><li>○ Deem building dangerous, earthquake prone, or insanitary</li></ul></li></ul>
9.	<b><i>Database updated.</i></b> <ul style="list-style-type: none"><li>• Database is updated to reflect new expiry date. This will generally be one year out – alter the year only.</li></ul>
10.	<b><i>Hard copy filed.</i></b> <ul style="list-style-type: none"><li>• Hardcopy of BWOFF filed in the team leaders BWOFF file.</li></ul>



## TA 1.2 Certificate of Public Use

### Process Description

The issue of a certificate certifying that part of a building that is undergoing building work in another part is safe for public use.

### Purpose

To enable the continued safe use of buildings, undergoing building work, by the public.

### Outcome

Buildings or parts of buildings that can continue to be used, by the public, in a safe and healthy manner.

### Scope

All buildings, that are normally used by the public, that are undergoing building work, and it is reasonable, and safe to do so, continue to be used by the public.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Note Recorded on Property File

### Standard Forms and Documents

Form BC-17  
Form BC-18

**TA 1.2 Certificate of Public Use**

1.	<b><i>Application Form BC-17 requested by the building owner.</i></b> <ul style="list-style-type: none"><li>• Application requested by telephone, email, writing, or in person.</li></ul>
2.	<b><i>Application Form BC-17 sent or given to the building owner.</i></b> <ul style="list-style-type: none"><li>• Application form given to the building owner or sent out in the mail.</li></ul>
3.	<b><i>Application Form BC-17 completed by the building owner along with all supporting information.</i></b> <ul style="list-style-type: none"><li>• Supporting information prepared.</li><li>• Supporting information collated.</li><li>• Application Form BC-17 completed.</li></ul>
4.	<b><i>Building owner lodges their application for a COPU with Council.</i></b> <ul style="list-style-type: none"><li>• Application lodged with Council's service centre in person or received by mail or courier.</li></ul>
5.	<b><i>The application is received by the service centre.</i></b> <ul style="list-style-type: none"><li>• Application checked for completeness and accuracy.</li><li>• Any errors or omissions are referred back to the applicant for correction or inclusion.</li></ul>
6.	<b><i>The completed application form and supporting documentation is forwarded to the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• Application placed in the SBCO in-tray.</li></ul>
7.	<b><i>Application received by the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• Received via in-tray.</li></ul>
8.	<b><i>Has a building consent been issued for building work affecting the premises?</i></b> <ul style="list-style-type: none"><li>• A COPU can only be issued for work that has a building consent.</li></ul>
9.	<b><i>Has a CCC been issued for the building work?</i></b> <ul style="list-style-type: none"><li>• If a CCC has been issued for the building work a COPU <b>cannot</b> be issued.</li></ul>
10.	<b><i>Is it appropriate to issue a COPU?</i></b> <ul style="list-style-type: none"><li>• The prime criteria are health and safety.</li><li>• Can that part of the building that is to be used for public use be used safely by the public?</li><li>• Are all safety systems in that part of the building functioning properly?</li><li>• Is that part of the building where building work is being undertaken protected from inadvertent entry by the public?</li></ul>
11.	<b><i>Go to TA 1. Illegal Building Work.</i></b> <ul style="list-style-type: none"><li>• If the building work does not have a building consent then the work is probably illegal.</li></ul>
12.	<b><i>Application for COPU refused.</i></b> <ul style="list-style-type: none"><li>• If a CCC has been issued for the work a COPU is not applicable – the application should be refused.</li></ul>
13.	<b><i>Building owner notified of the decision.</i></b> <ul style="list-style-type: none"><li>• Notify the building owner, in writing (no standard form), of the refusal and the reason for the refusal.</li><li>• Place application on file.</li></ul>
14.	<b><i>Decision received by the building owner.</i></b>

**TA 1.2 Certificate of Public Use**

15.	<b><i>Application declined.</i></b> <ul style="list-style-type: none"><li>• If the application does not meet the criteria described in 10 above then the application should be declined.</li><li>• Building owner advised why the COPU cannot be issued.</li></ul>
16.	<b><i>Building owner advised of decision and the reasons for the decision.</i></b> <ul style="list-style-type: none"><li>• Owner advised in writing of decision and the reason for the decision.</li></ul>
17.	<b><i>COPU issued.</i></b> <ul style="list-style-type: none"><li>• COPU issued using BC-18 Certificate of Public Use.</li><li>• Send a laminated copy of the certificate to the building owner for display in a prominent place the building.</li><li>• Copy to building file.</li></ul>



## TA 1.3 Illegal Building Work

### Process Description

Process to be followed to determine the ultimate path that should be followed to resolve or deal with the illegal building work.

### Purpose

Provides a mechanism to deal with illegal building work to enable a satisfactory resolution to be achieved.

### Outcome

A resolution that provides the illegal building work with a lawful status.

### Scope

All illegal building work within the SDC district.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Note recorded on Property File

### Standard Forms and Documents

Form BC-10 Application for Certificate of Acceptance  
Form BC-11 Certificate of Acceptance  
Form BC-15 Notice to Fix  
Form BC-01/02 Application for a PIM or Building Consent

**TA 1.3 Illegal Building Work**

1.	<b><i>Illegal building work detected by a member of the public or a Council officer.</i></b> <ul style="list-style-type: none"><li>• A member of the public may report alleged illegal building work.</li><li>• Council officers may detect illegal building work during the course of their normal work.</li></ul>
2.	<b><i>Illegal building work verified.</i></b> <ul style="list-style-type: none"><li>• Council's files and Civica Authority are checked to verify or otherwise the status of the alleged illegal work.</li></ul>
3.	<b><i>If confirmed as illegal further investigation is undertaken.</i></b> <ul style="list-style-type: none"><li>• Council files and Civica Authority are thoroughly checked for any information that may be present regarding the work.</li><li>• A site inspection is undertaken to determine if the work is dangerous, earthquake prone, or insanitary and what future action should be taken.</li><li>• Photographs of the work are taken particularly in relation to:<ul style="list-style-type: none"><li>○ Bulk and location</li><li>○ General appearance</li><li>○ Structural details</li><li>○ Weather-tightness</li><li>○ Health and safety aspects</li></ul></li><li>• Photographs shall be supported with a detailed written report.</li></ul>
4.	<b><i>Is the building work dangerous, earthquake prone, or insanitary?</i></b> <ul style="list-style-type: none"><li>• In terms of the Building Act 2004 could the building works or part of the works be deemed dangerous, earthquake prone, or insanitary.</li></ul>
5.	<b><i>If so go to TA 1.6 – Dangerous, earthquake prone, or insanitary Buildings.</i></b>
6.	<b><i>If not should the building owner be asked to remove or demolish the building work?</i></b> <ul style="list-style-type: none"><li>• A subjective call – things to consider may include:<ul style="list-style-type: none"><li>○ Complexity of the work</li><li>○ Size of the work</li><li>○ Age of the work</li><li>○ State of compliance</li><li>○ Economics</li><li>○ Degree of contravention</li><li>○ Is it reasonable?</li></ul></li></ul>
7.	<b><i>If deemed prudent or necessary the owner is asked to remove or demolish the building work.</i></b> <ul style="list-style-type: none"><li>• A Site Advice Note is issued to the owner requesting the removal or demolition of the work.</li></ul>
8.	<b><i>If the owner is not asked to remove or demolish a Notice to Fix((NTF) Form BC-15) is prepared.</i></b> <ul style="list-style-type: none"><li>• The NTF shall identify the non-complying elements of the building work and advise that a building consent will be required to rectify those items.</li><li>• NTF forwarded to the planning and regulatory manager for checking and signing.</li></ul>
9.	<b><i>Planning and Regulatory Manager checks and signs NTF.</i></b> <ul style="list-style-type: none"><li>• NTF checked and signed.</li></ul>

**TA 1.3 Illegal Building Work**

10.	<b><i>NTF returned to the building officer.</i></b> <ul style="list-style-type: none"><li>• NTF sent back to the building official for service on the owner and/or specified person.</li></ul>
11.	<b><i>NTF served on the building owner or specified person.</i></b> <ul style="list-style-type: none"><li>• Service can be:<ul style="list-style-type: none"><li>○ Delivered personally.</li><li>○ Delivered to the person at the person's usual or last known place of residence or business.</li><li>○ Sent by fax or email to the person's fax number or email address.</li><li>○ Posted in a letter addressed to the person, to the person's usual or last known place of residence or business.</li></ul></li></ul>
12.	<b><i>NTF received by the owner or specified person.</i></b>
13.	<b><i>Has the NTF been complied with?</i></b> <ul style="list-style-type: none"><li>• Regardless of any notification from the owner or specified person an inspection of the works will be required to ascertain compliance or otherwise with the NTF.</li></ul>
14.	<b><i>If yes the owner is advised they apply for a Certificate of Acceptance (COA) for the remaining work.</i></b> <ul style="list-style-type: none"><li>• A Site Advice Note or letter (no standard form) can be used for this.</li></ul>
15.	<b><i>Go to TA 1.4 Certificate of Acceptance.</i></b>
16.	<b><i>Has a COA and/or Building Consent been applied for?</i></b> <ul style="list-style-type: none"><li>• Check Civica Authority for any applications.</li></ul>
17.	<b><i>If a COA and/or a BC been applied for the process ends.</i></b>
18.	<b><i>Has the work been removed or demolished?</i></b> <ul style="list-style-type: none"><li>• Regardless of any notification from the owner or specified person an inspection of the works will be required to ascertain the status of the work.</li></ul>
19.	<b><i>If the work has been removed or demolished the building owner is advised to apply for a building consent to reinstate any of the work.</i></b>
21.	<b><i>If the work has not been removed or demolished a NTF is prepared.</i></b> <ul style="list-style-type: none"><li>• Regardless of any notification from the owner or specified person an inspection of the works will be required to ascertain the status of the work.</li><li>• NTF prepared detailing requirements to achieve rectification.</li><li>• NTF forwarded to the team leader for checking and signing.</li></ul>
22.	<b><i>Planning and Regulatory Manager NTF.</i></b> <ul style="list-style-type: none"><li>• NTF checked and signed.</li></ul>
23.	<b><i>NTF returned to the building officer.</i></b> <ul style="list-style-type: none"><li>• NTF sent back to the building official for service on the owner and/or specified person.</li></ul>

**TA 1.3 Illegal Building Work**

24.	<b><i>NTF served on the building owner or specified person.</i></b> <ul style="list-style-type: none"><li>• Service can be:<ul style="list-style-type: none"><li>○ Delivered personally.</li><li>○ Delivered to the person at the person's usual or last known place of residence or business.</li><li>○ Sent by fax or email to the person's fax number or email address.</li><li>○ Posted in a letter addressed to the person, to the person's usual or last known place of residence or business.</li></ul></li></ul>
25.	<b><i>NTF received by the owner or specified person.</i></b>
26.	<b><i>Has the NTF been complied with.</i></b> <ul style="list-style-type: none"><li>• Regardless of any notification from the owner or specified person an inspection of the works will be required to ascertain compliance or otherwise with the NTF.</li></ul>
27.	<b><i>If the work has been removed or demolished the building owner is advised to apply for a building consent to reinstate any of the work.</i></b>
29.	<b><i>Letter sent to the Owner or specified person outlining the consequences of not complying with a NTF.</i></b> <ul style="list-style-type: none"><li>• Letter drafted on standard letter layout through the Executive Administration Officer explaining the consequences of not complying with a NTF ie prosecution and maximum fines and the likely adverse impact on the property and any future sales.</li></ul>
30.	<b><i>Letter received by the owner or specified person.</i></b>
31.	<b><i>Has the letter of NTF been complied with?</i></b>
32.	<b><i>If the NTF has been complied with the owner is advised to apply for a building consent to reinstate any of the work.</i></b>
34.	<b><i>If non-compliance persists got to TA 1.11 <u>p203</u> – Prosecutions.</i></b>



## TA 1.4 Certificate of Acceptance

### Process Description

A process to provide select illegal building work with a legal status and lawful completeness.

### Purpose

Provides a mechanism to deal with selected illegal building work to enable a satisfactory resolution to be achieved .

### Outcome

A resolution that provides selected illegal building work with a lawful status.

### Scope

All illegal building work within the SDC district is eligible for an application but not all applications will be granted.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Note made on Property File

### Standard Forms and Documents

Form BC-10 Application for Certificate of Acceptance  
Form BC-11 Certificate of Acceptance  
Form BC-27 Decline Certificate of Acceptance  
Form BC-28 Further Information Certificate of Acceptance

**TA 1.4 Certificate of Acceptance (COA)**

1.	<b><i>Request for an application form for a COA is made.</i></b> <ul style="list-style-type: none"><li>Request could be made in person, writing or by phone.</li></ul>
2.	<b><i>Application form (Form BC-10) and notes for the applicant provided to the applicant.</i></b> <ul style="list-style-type: none"><li>These are either collected personally by the applicant or agent or mailed to the applicant by the Service Centre.</li></ul>
3.	<b><i>Application form and notes received by the applicant.</i></b>
4.	<b><i>Applicant prepares all the necessary supporting information and completes the application form.</i></b> <ul style="list-style-type: none"><li>A full set of plans and specifications will be required.</li></ul>
5.	<b><i>Application lodged with Council.</i></b> <ul style="list-style-type: none"><li>Application received in person or sent by mail.</li></ul>
6.	<b><i>Application received by the Service Centre</i></b>
7.	<b><i>Application passed to the Admin Team.</i></b>
8.	<b><i>Application set up in Civica Authority.</i></b> <ul style="list-style-type: none"><li>20 working day time clock is activated automatically.</li></ul>
9.	<b><i>Application passed to the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>Placed in Planning and Regulatory Manager's in-tray.</li></ul>
10.	<b><i>Application received by the Planning and Regulatory Manager.</i></b>
11.	<b><i>Was the building work undertaken under urgency?</i></b> <ul style="list-style-type: none"><li>Was the work urgent in terms of Section 41(1) of the Building Act 2004?</li></ul>
12.	<b><i>If so due consideration of the circumstances should be taken into account.</i></b> <ul style="list-style-type: none"><li>Without compromising the Building Act 2004 and the NZ Building Code the circumstances under which the urgent work was undertaken should be taken into account.</li></ul>
13.	<b><i>Has a CCC been refused by another BCA?</i></b> <ul style="list-style-type: none"><li>Has a CCC been refused by another BCA in terms of Section 91(3) of the Building Act 2004.</li></ul>
14.	<b><i>If so obtain the relevant information from the refusing BCA.</i></b> <ul style="list-style-type: none"><li>Write (no standard form) to the refusing BCA to obtain all the relevant background information leading to their refusal to issue a CCC.</li></ul>
15.	<b><i>Due consideration of the circumstances surrounding the refusal of the CCC should be taken into account.</i></b> <ul style="list-style-type: none"><li>Take into account the information received from the refusing BCA.</li></ul>
16.	<b><i>Building Official requested to undertake an inspection.</i></b>

**TA 1.4 Certificate of Acceptance (COA)**

17.	<b><i>Inspection undertaken by the building official.</i></b> <ul style="list-style-type: none"><li>• A site inspection is undertaken to determine the extent of compliance with the Building Code.</li><li>• Photographs of the work are taken particularly in relation to:<ul style="list-style-type: none"><li>○ Bulk and location</li><li>○ General appearance</li><li>○ Structural details</li><li>○ Weather-tightness</li><li>○ Health and safety aspects</li></ul></li><li>• Photographs shall be supported with a detailed written report.</li></ul>
18.	<b><i>Report prepared by the inspecting officer.</i></b> <ul style="list-style-type: none"><li>• A detailed report written and registered in Civica Authority.</li><li>• Report forwarded to the Planning and Regulatory Manager.</li></ul>
19.	<b><i>Report considered by the Planning and Regulatory Manager</i></b>
20.	<b><i>Are any specialist reports required?</i></b> <ul style="list-style-type: none"><li>• Structural stability will often be an issue. Is a report from a structural engineer desirable.</li><li>• What other specialist reports would be prudent.</li></ul>
21.	<b><i>If so the applicant requested to obtain relevant specialist reports.</i></b> <ul style="list-style-type: none"><li>• Write (BC-28) to the applicant requesting the reports.</li></ul>
22.	<b><i>Specialist reports obtained by the applicant.</i></b>
23.	<b><i>Specialist reports received by the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• Reports received in person or by post.</li></ul>
24.	<b><i>Are there any non-complying building elements?</i></b> <ul style="list-style-type: none"><li>• Non-complying elements should be identified in the inspectors report and specialist reports if any were obtained.</li></ul>
25.	<b><i>Applicant advised to apply for a building consent for any remedial work.</i></b> <ul style="list-style-type: none"><li>• Applicant notified in writing (BC-28) to apply for a building consent for any remedial work.</li><li>• A building consent information pack and building consent application form shall be sent with the letter.</li></ul>
28.	<b><i>Planning and Regulatory Manager completes the review of the application for a COA.</i></b> <ul style="list-style-type: none"><li>• Civica Authority update as required.</li></ul>
29.	<b><i>Will the application for a COA be approved?</i></b>
30.	<b><i>Exclusions listed on the approved certificate.</i></b> <ul style="list-style-type: none"><li>• All exclusions for the certificate are identified.</li><li>• Identified exclusions shall be listed on the certificate.</li></ul>
31.	<b><i>Completed application sent to the Admin Team.</i></b> <ul style="list-style-type: none"><li>• Time and costs recorded in Civica Authority.</li><li>• File passed to the admin team for invoicing.</li></ul>
32.	<b><i>Invoice generated by the support team.</i></b> <ul style="list-style-type: none"><li>• Printed invoice, and 'ready to uplift' letter sent to the applicant.</li></ul>

**TA 1.4 Certificate of Acceptance (COA)**

33.	<b><i>Invoice received by the applicant.</i></b>
34.	<b><i>Invoice is paid by the applicant.</i></b>
35.	<b><i>If the COA cannot be approved the applicant is advised.</i></b> <ul style="list-style-type: none"><li>• Letter (BC-27) declining the application for a COA is sent to the applicant.</li></ul>
36.	<b><i>Notification of decline received by the applicant.</i></b>
37.	<b><i>COA issued upon payment of the outstanding fees.</i></b>
38.	<b><i>COA received by the Applicant.</i></b>



## **TA 1.5 Alterations, Change of Use, Extension of Life, or Sub-Division**

### Process Description

A process to ensure that buildings that are altered, have a change of use, have their life extended, or undergo sub-division will comply, as nearly as is reasonably practicable, with the building code as required in terms of the Building Act 2004.

### Purpose

To ensure that existing buildings, that undergo any changes, continue to comply with the building code in terms of the Building Act 2004.

### Outcome

Existing buildings continue to comply with the building code.

### Scope

All existing buildings that undergo some form of change.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1FTE

### Recording

Civica Authority

### Standard Forms

BC-92 Further Information Request

**TA 1.5 Alterations, Change of Use, Extension of Life, or Subdivision**

1.	<b><i>A building consent application in respect of building work in an existing building is in the system and is at the technical checking stage.</i></b>
2.	<b><i>Are there any alterations to the building?</i></b>
3.	<b><i>If not proceed to step 8.</i></b>
4.	<b><i>Will the building comply with Section 112(1) of the Building Act 2004?</i></b> <ul style="list-style-type: none"><li>• Comply, as nearly as is reasonably practicable and to the same extent as if it were a new building, with the provisions of the building code that relate to:<ul style="list-style-type: none"><li>i. Means of escape from fire: and</li><li>ii. Access and facilities for persons with disabilities (if this is a requirement in terms of Section 118 of the Building Act 2004); and</li><li>iii. Continue to comply with other provisions of the building code to at least the same extent as before the alteration.</li></ul></li></ul>
5.	<b><i>If yes proceed to step 8.</i></b>
6.	<b><i>If the application will not comply with section 112(1) the application is suspended and further information requested to demonstrate compliance.</i></b> <ul style="list-style-type: none"><li>• Suspend the application in Civica Authority</li><li>• Using the request for further information letter (BC-92) request the information required to demonstrate compliance with Section 112(1) of the Building Act 2004.</li></ul>
7.	<b><i>Return to the building consent process from BC 3.0.</i></b>
8.	<b><i>Will there be a change of use, life extension, or subdivision of the building?</i></b>
9.	<b><i>If not return to the building consent process at BC 3.0.</i></b>
10.	<b><i>Has written notice been received from the applicant regarding a change of use, life extension, or subdivision of the building?</i></b> <ul style="list-style-type: none"><li>• In most cases the receipt of a building consent application will be sufficient written notification that there is a change of use, extension of life, or subdivision of the building. However, further explanation may be required in respect of subdivision.</li><li>• If it is unclear as to what is intended further information may need to be requested.</li></ul>
11.	<b><i>Applicant requested to provide written notification of intentions or clarification of intentions.</i></b> <ul style="list-style-type: none"><li>• Application suspended in Civica Authority.</li><li>• Letter on standard letter layout (no standard letter) prepared requesting written notification from the applicant or seeking clarification of intentions.</li></ul>
12.	<b><i>Applicant prepares their written notification or clarification.</i></b>
13.	<b><i>Written notification or clarification received from the applicant.</i></b>

**TA 1.5 Alterations, Change of Use, Extension of Life, or Subdivision**

14.	<b><i>Will the building comply with Section 115 and/or 116 of the Building Act 2004?</i></b> <ul style="list-style-type: none"><li>• Section 115<ul style="list-style-type: none"><li>○ Means of escape from fire</li><li>○ Protection of other property</li><li>○ Sanitary facilities</li><li>○ Structural performance</li><li>○ Fire rating performance</li><li>○ Accessibility</li><li>○ Continue to comply with other provisions of the building code</li></ul></li><li>• Section 116<ul style="list-style-type: none"><li>○ Means of escape from fire</li><li>○ Accessibility</li><li>○ Protection of other property</li><li>○ Continue to comply with other provisions of the building code.</li></ul></li></ul>
15.	<b><i>If yes return to the building consent process at BC 3.0</i></b>
16.	<b><i>The application is reassessed in terms of section 115 and/or 116 of the Building Act 2004.</i></b> <ul style="list-style-type: none"><li>• Identify the issues in respect of sections 115 and/or 116 of the Building Act 2004.</li><li>• Establish what further information will be required.</li></ul>
17.	<b><i>Suspend the application.</i></b> <ul style="list-style-type: none"><li>• Suspend the application in Civica Authority.</li></ul>
18.	<b><i>Applicant notified in writing on standard letter layout through the Executive Administration Officer of the suspension and what further information is required.</i></b>
19.	<b><i>Applicant receives a request for further information from the Team Leader</i></b>
20.	<b><i>The further information is gathered by the applicant and lodged with Council.</i></b>
21.	<b><i>Is all the information now present and correct?</i></b>
22.	<b><i>If yes return to the building consent process at BC 3.0.</i></b>



## **TA 1.6 Dangerous, Earthquake Prone, or Insanitary Buildings**

### Process Description

The process of deeming buildings either dangerous, earthquake prone, or insanitary in terms of the Building Act 2004 and instigating procedures and measures that will remedy the dangerous, earthquake prone, or insanitary building.

### Purpose

To remedy buildings that are deemed dangerous, earthquake prone, or insanitary in terms of the Building Act 2004.

### Outcome

Buildings that are safe and healthy to use.

### Scope

All buildings

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Civica Authority

### Standard Forms

BC-37 Section 124 Notice

**TA 1.6 Dangerous, Earthquake Prone, and Insanitary Buildings**

1.	<p><b><i>Building brought to the attention of the TA.</i></b></p> <ul style="list-style-type: none"><li>• Generally buildings that are thought to be dangerous, earthquake prone, or insanitary are brought to the TAs notice by way of a complaint from a member of the public.</li><li>• Complaints are generally received by telephone or in person. On some occasions complaints will come by email, fax, or letter. Written complaints are first dealt with by Councils inward correspondence procedures described elsewhere.</li></ul>
2.	<p><b><i>An inspection is undertaken of the building.</i></b></p> <ul style="list-style-type: none"><li>• A building official is assigned the task of inspecting the building.</li><li>• The inspection is undertaken as soon as possible after receipt of the complaint.</li></ul>
3.	<p><b><i>Is the building dangerous, earthquake prone, or insanitary?</i></b></p> <ul style="list-style-type: none"><li>• Following the inspection an assessment of the building is made to determine if the building is dangerous, earthquake prone, or insanitary.</li><li>• Sections 121 and 123 of the Building Act 2004 provide definitions for dangerous and insanitary buildings.</li></ul>
4.	<p><b><i>If the building is not deemed dangerous, earthquake prone, or insanitary then no further action is required other than recording the outcome of the complaint on the property file.</i></b></p>
5.	<p><b><i>If the building is deemed dangerous, earthquake prone or insanitary is immediate action required to protect the public?</i></b></p>
6.	<p><b><i>If no immediate action is required would it be prudent to protect the public by the erection of a fence or hoarding?</i></b></p>
7.	<p><b><i>If it would be prudent to erect a fence or hoarding approval via a memo is sought from the Planning and Regulatory Manager to arrange for such a fence or hoarding.</i></b></p> <ul style="list-style-type: none"><li>• Memo on standard letter layout through the Executive Administration Officer to the Planning and Regulatory Manager outlining need for a fence or hoarding.</li><li>• Description of proposed fence or hoarding to be given along with estimated costs.</li></ul>
8.	<p><b><i>If immediate action is required the matter is referred to the Planning and Regulatory Manager to authorise the appropriate action.</i></b></p> <ul style="list-style-type: none"><li>• A brief but concise report shall be provided to the manager describing the extent of the danger or insanitary state.</li><li>• The report shall explain why and what immediate action is required.</li></ul>
9.	<p><b><i>Is the building owner willing to take immediate action?</i></b></p> <ul style="list-style-type: none"><li>• The building owner or their representative is contacted by telephone or in person to establish if they are willing to remedy the situation immediately.</li></ul>
10.	<p><b><i>If the building owner is not willing to take any remedial action a recommendation is put to the Chief Executive that specific action to remedy the problem be taken under warrant.</i></b></p> <ul style="list-style-type: none"><li>• A brief but concise report is prepared for the Chief Executive to support his authorizing the urgent remedial action.</li></ul>
11.	<p><b><i>Specific measures authorised, under warrant, by the Chief Executive to remove the danger or to fix the insanitary condition.</i></b></p> <ul style="list-style-type: none"><li>• Copy of the authorisation provided to the Planning and Regulatory Manager for action.</li></ul>

**TA 1.6 Dangerous, Earthquake Prone, and Insanitary Buildings**

12.	<p><b><i>At the first available opportunity the Chief Executive shall apply to the District Court for confirmation of the warrant.</i></b></p> <ul style="list-style-type: none"><li>• The District Court may:<ul style="list-style-type: none"><li>○ confirm the warrant without modification</li><li>○ confirm the warrant with modification or</li><li>○ set the warrant aside</li></ul></li><li>• Confirmation of the warrant is not required if the owner of the building does not dispute the entry onto the land and pays all the associated costs.</li></ul>
13.	<p><b><i>Work specified in the warrant is arranged and undertaken.</i></b></p> <ul style="list-style-type: none"><li>• The Planning and Regulatory Manager arranges to have the work specified in the warrant undertaken immediately.</li><li>• Preference shall be given to Council contractors. However, because of the urgent nature of the work the best available contractor should be used.</li><li>• A written instruction on standard letter layout through the Executive Administration Officer shall be given to the contractor/s along with a copy of the warrant.</li></ul>
14.	<p><b><i>Notice given under Section 124 of the Building Act 2004.</i></b></p> <ul style="list-style-type: none"><li>• The notice (BC-37) shall give the building owner a minimum of 10 days to remove the danger or to prevent the building from remaining insanitary.</li><li>• The notice shall state if the owner is required to obtain a building consent for the required work.</li></ul>
15.	<p><b><i>The notice is served in terms of section 125 of the Building Act 2004.</i></b></p> <ul style="list-style-type: none"><li>• The notice shall be served as soon as is reasonably practicable and copies shall be served as follows:<ul style="list-style-type: none"><li>○ Fixed to the building concerned</li><li>○ Given to the owner of the building</li><li>○ Given to the occupier of the building</li><li>○ Given to every person that has an interest in the land under a mortgage</li><li>○ Given to every person claiming an interest protected by a caveat</li><li>○ Given to any statutory authority if the land has been classified and</li><li>○ The New Zealand Historic Places Trust if the building is a heritage building</li></ul></li></ul>
16.	<p><b><i>Should approval be given by the Planning and Regulatory Manager to have a fence or hoarding erected?</i></b></p>
17.	<p><b><i>Is a fence or hoarding deemed necessary?</i></b></p> <ul style="list-style-type: none"><li>• Is it necessary or desirable that the public be prevented from entering the building or upon the land? If so a fence or hoarding should be erected.</li></ul>
18.	<p><b><i>If it is deemed necessary that a fence or hoarding be erected the appropriate arrangements are made by the building official.</i></b></p> <ul style="list-style-type: none"><li>• The Planning and Regulatory Manager instructs a building official to have a fence or hoarding erected immediately.</li><li>• Preference shall be given to Council contractors. However, because of the urgent nature of the work the best available contractor should be used.</li><li>• A written instruction on standard letter layout through the Executive Administration Officer shall be given to the contractor/s .</li></ul>
19.	<p><b><i>Is a warning notice necessary to help protect the public?</i></b></p>

**TA 1.6 Dangerous, Earthquake Prone, and Insanitary Buildings**

20.	<b><i>If yes the building official shall arranged for a warning notice/s to be posted in prominent places to warn the public of the dangers.</i></b>
21.	<b><i>Has the notice issued in terms of section 124 of the Building Act 2004 been complied with?</i></b> <ul style="list-style-type: none"><li>• An inspection is undertaken on the day specified in the notice that the work should have been completed by.</li></ul>
22.	<b><i>If the notice has been complied with no further action is required.</i></b> <ul style="list-style-type: none"><li>• The property file shall be noted accordingly.</li></ul>
23.	<b><i>Should the TA do the work required to remove the danger or to prevent the building remaining insanitary?</i></b>
24.	<b><i>If so the work is arranged to be undertaken.</i></b> <ul style="list-style-type: none"><li>• The Planning and Regulatory Manager arranges to have the work to remove the danger or to prevent the building remaining insanitary undertaken immediately.</li><li>• Preference shall be given to Council contractors. However, because of the urgent nature of the work the best available contractor should be used.</li><li>• A written instruction on standard letter layout through the Executive Administration Officer shall be given to the contractor/s.</li></ul>
25.	<b><i>If the notice has not been complied with and Council decides not to do the work enforcement action is instigated.</i></b> <ul style="list-style-type: none"><li>• The situation is discussed with the Group Manager, Regulatory Services with the view of commencing enforcement and prosecution proceedings.</li></ul>
26.	<b><i>Should the costs incurred be claimed from the building owner?</i></b> <ul style="list-style-type: none"><li>• A number of issues should be considered prior to claiming costs. These include but are not limited to:<ul style="list-style-type: none"><li>○ The seriousness of the situation</li><li>○ Is some form of punishment necessary</li><li>○ The quantum of costs</li><li>○ The ability of the owner to pay</li><li>○ The costs involved in claiming the costs – will it be economical to do so.</li></ul></li></ul>
27.	<b><i>If costs should be sought the matter should be referred to Councils solicitor for action.</i></b> <ul style="list-style-type: none"><li>• A letter on standard letter layout through the Executive Administration Officer is sent to Council's solicitor instructing them to take whatever action is necessary to recover the costs.</li><li>• A full report and details of the costs to be recovered shall be forwarded to the solicitor with the letter.</li></ul>
28.	<b><i>If costs are not to be recovered no further action is required.</i></b> <ul style="list-style-type: none"><li>• Property file noted accordingly.</li></ul>
29.	<b><i>Was the claim for costs against the owner successful?</i></b>
30.	<b><i>If the claim was successful no further action is required.</i></b> <ul style="list-style-type: none"><li>• Property file noted accordingly.</li></ul>
32.	<b><i>If the claim for costs recovery was unsuccessful the appropriate recommendation is prepared for the Chief Executive.</i></b> <ul style="list-style-type: none"><li>• The matter is discussed with Council's solicitor so that a view can be formed as to what the next appropriate action will be.</li><li>• A report is prepared for the Chief Executive with the appropriate recommendations.</li></ul>



**TA 1.6 Dangerous, Earthquake Prone, and Insanitary Buildings**

33.	<i>Decision from the Chief Executive on any future action.</i>
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## TA 1.7 Exemption Under Schedule 1

### Process Description

Determining if building work, upon application, is exempt from the need for a building consent in terms of the Building Act 2004.

### Purpose

To ensure that due diligence is applied to exempting building work from the need for a building consent.

### Outcome

Buildings that are entitled to be exempt from the need for a building consent are in fact exempt when an application has been received for such an exemption.

### Scope

All building work as described in section 41 and Schedule 1 of the Building Act 2004.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Note recorded on the property file

### Standard Forms and Documents

Nil

**TA 1.7 Exemptions Under Schedule 1**

1.	<p><b><i>An application or request is made by the building owner for an exemption from the need to apply for a building consent.</i></b></p> <ul style="list-style-type: none"><li>• Applications or requests for exemptions are generally made by telephone or in person.</li><li>• Building owner to provide an outline of what is proposed including the use of the building work.</li></ul>
2.	<p><b><i>Customer Services generally are the first contact point for people wanting exemptions.</i></b></p> <ul style="list-style-type: none"><li>• First response from Customer Services should be to quote Section 40 (1) of the Building Act 2004:<ul style="list-style-type: none"><li>◦ <i>A person must not carry out any building work except in accordance with a building consent.</i></li></ul></li><li>• If this section is challenged by the building owner then the matter shall be referred to the building officials.</li></ul>
3.	<p><b><i>A request or application is referred to the building officials.</i></b></p> <ul style="list-style-type: none"><li>• The request or application is passed to the building officials.</li><li>• If by telephone the call is transferred or in person the building official is asked to come to the Service Centre.</li></ul>
4.	<p><b><i>Does any of the building work described in Section 41 of the Building Act 2004 apply?</i></b></p>
5.	<p><b><i>If yes, will a building consent be required for the proposed work?</i></b></p>
6.	<p><b><i>If a building consent will not be required for the proposed building work the customer is verbally advised accordingly.</i></b></p> <ul style="list-style-type: none"><li>• A note is placed on the property file of the decision.</li></ul>
7.	<p><b><i>If a building consent is required for the proposed building work the customer is verbally advised accordingly.</i></b></p> <ul style="list-style-type: none"><li>• An application form and information pack is given to the customer.</li><li>• The customer is advised of what is required in order to apply for the building consent.</li></ul>
8.	<p><b><i>Does anything in Schedule 1 of the Building Act 2004 apply?</i></b></p> <ul style="list-style-type: none"><li>• If not go to step 7</li><li>• If so go to step 6</li></ul>



## **TA 1.8 Monitoring of Swimming Pools**

### Process Description

The registering of new and existing swimming pools (including spa pools) and the annual audit of pools in the Stratford district.

### Purpose

To ensure that all pools comply with the Fencing of Swimming Pools Act 1987.

### Outcome

All pools complying with the Fencing of Swimming Pools Act 1987.

### Scope

All pools as defined by the Fencing of Swimming Pools Act 1987.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE (EHO)

### Recording

Swimming Pools Register  
Note recorded on the property file

### Standard Forms and Documents

Fencing of Swimming Pools Act 1987

**TA 1.8 Monitoring of Swimming Pools**

1.	<b><i>Pool, property, and owner details entered in the Swimming Pool's register.</i></b> <ul style="list-style-type: none"><li>• Council can be notified of the existence of pools in a number of ways:<ul style="list-style-type: none"><li>○ Owner notification</li><li>○ As a result of a complaint</li><li>○ TA Officer detection</li><li>○ Aerial photograph detection or</li><li>○ Building consent for a new pool.</li></ul></li></ul>
2.	<b><i>Has the pool been notified by way of a building consent?</i></b> <ul style="list-style-type: none"><li>• <b><i>New swimming pools are classified as building work and do require building consents.</i></b></li></ul>
3.	<b><i>If the notification is by way of a building consent go to BC 1.0 in the building consent process.</i></b>
4.	<b><i>If the pool was notified in some other way an inspection of the pool and fencing is arranged.</i></b>
5.	<b><i>Does the pool and its fence comply with the Fencing of Swimming Pools Act 1987 and the building code?</i></b>
6.	<b><i>If so no further action is required.</i></b>
7.	<b><i>If the pool and/or fence is not compliant could the pool be deemed a dangerous building?</i></b> <ul style="list-style-type: none"><li>• Section 121 of the Building Act 2004 provides the definition of a dangerous building.</li><li>• If the pool is deemed a dangerous building go to TA 1.6 Dangerous or Insanitary Buildings.</li></ul>
8.	<b><i>If the pool is not deemed dangerous a letter is sent to the owners outlining the non-compliance issues.</i></b> <ul style="list-style-type: none"><li>• Letter drafted using standard template on standard letter layout through the Executive Administration Officer to the owner detailing the non-compliance..</li><li>• The owner given a minimum of 10 days to rectify the non-compliance.</li></ul>
9.	<b><i>Owner receives letter.</i></b>
10.	<b><i>Owner arranges for the remedial work to be undertaken.</i></b>
11.	<b><i>Owner notifies the TA when the remedial work is completed.</i></b> <ul style="list-style-type: none"><li>• Owner will generally telephone the author of the letter to inform them that the remedial work has been completed.</li><li>• Alternative forms of notification may be by fax, email, letter, or in person.</li><li>• If in person customer Services staff will ask the appropriate building official to meet with the pool owner.</li><li>• Faxes, emails, and letters will be directed in the normal manner.</li></ul>
12.	<b><i>Is the pool or fence now compliant?</i></b> <ul style="list-style-type: none"><li>• An inspection is arranged to check compliance with the Fencing of Swimming Pools Act 1987 and the building code.</li><li>• Go to step 4 of this process.</li></ul>
13.	<b><i>If the pool and fencing is compliant no further action is required other than updating the property file.</i></b> <ul style="list-style-type: none"><li>• Property file and pool register updated.</li></ul>
14.	<b><i>If the pool or fencing remains non-compliant go to BI 4.0 to issue a Notice to Fix.</i></b>
15.	<b><i>10% selected at random, annually, from the swimming pool's register for audit.</i></b>



## **TA 1.9 Enforcement of a Notice to Fix**

### Process Description

Enforcing a Notice to Fix issued by Council or another BCA and terminating in the appropriate conclusion.

### Purpose

To ensure Notices to Fix are enforced and concluded appropriately.

### Outcome

All Notices to Fix are complied with or concluded appropriately.

### Scope

All Notices to Fix issued within the Council's district.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Property file/Consent file

### Standard Forms and Documents

Fencing of Swimming Pools Act 1987  
Building Act 2004

**Ta 1.9 Enforcement of a Notice to Fix (NTF)**

1.	<p><b><i>Written advice is provided to the TA that a NTF issued by a BCA has not been complied with.</i></b></p> <ul style="list-style-type: none"><li>• The written advice can be letter, fax, memo, or email.</li><li>• The advice shall include:<ul style="list-style-type: none"><li>○ NTF number</li><li>○ Building consent number</li><li>○ Specified person's name</li><li>○ Specified person's address for service</li><li>○ Job address</li><li>○ Details of non-compliance</li><li>○ Copies of any correspondence entered into between the BCA and the specified person in relation to the NTF.</li></ul></li></ul>
2.	<p><b><i>Written advice received by the planning and regulatory manager advising of the non-compliance with the NTF.</i></b></p> <ul style="list-style-type: none"><li>• Advice received via Corporate Services or the Service Centre.</li><li>• Advice forwarded to the planning and regulatory manager via the internal mail system.</li></ul>
3.	<p><b><i>Inspection arranged with a building official.</i></b></p> <ul style="list-style-type: none"><li>• Copy of the NTF forwarded to a building official who is requested to undertake an inspection.</li></ul>
4.	<p><b><i>Inspection diarised by the building official.</i></b></p> <ul style="list-style-type: none"><li>• Inspection diarised in the same manner as a normal building inspection. Refer to BI 1.0.</li></ul>
5.	<p><b><i>Inspection undertaken by the building official.</i></b></p> <ul style="list-style-type: none"><li>• The inspection is only to ascertain compliance with the NTF.</li><li>• Record written notes specific to the NTF. Remember these notes may be used in a prosecution so need to be detailed.</li><li>• Record:<ul style="list-style-type: none"><li>○ Date and time of inspection</li><li>○ Weather conditions at the time</li><li>○ Names of those present for the inspection (it is advisable to have a witness when conducting this type of inspection)</li><li>○ List what you actually inspected</li><li>○ Describe your observations</li><li>○ Record the results of all measurements and tests</li><li>○ Record any instructions or statements made to the specified person on the NTF</li><li>○ Record anything said by the specified person on the NTF</li><li>○ Record any appropriate or prudent general comments</li><li>○ Take digital photographs as appropriate.</li></ul></li></ul>
6.	<p><b><i>Report and recommendation regarding action required prepared for the Planning and Regulatory Manager.</i></b></p> <ul style="list-style-type: none"><li>• Using MS Word prepare a detailed report for the planning and regulatory manager. The report shall include a recommendation of further action.</li></ul>



**Ta 1.9 Enforcement of a Notice to Fix (NTF)**

	<ul style="list-style-type: none"> <li>• Attach a copy of the field notes to the report.</li> </ul>
7.	<p><b>Report and recommendation received by the planning and regulatory manager.</b></p> <ul style="list-style-type: none"> <li>• Report emailed or hand delivered to the planning and regulatory manager.</li> </ul>
8.	<p><b>Report and recommendation considered.</b></p> <ul style="list-style-type: none"> <li>• Does the report cover all aspects?</li> <li>• Can an informed and justifiable decision be made based on the report?</li> </ul>
9.	<p><b>Should enforcement proceedings be instigated?</b></p> <ul style="list-style-type: none"> <li>• Does the offence warrant prosecution?</li> <li>• Is there a large degree of certainty around a successful prosecution?</li> <li>• Will prosecution achieve the desired outcome?</li> <li>• Are there lessons to be learnt from a successful prosecution?</li> <li>• Is it cost effective to proceed with a prosecution.</li> <li>• Is there any history with those involve that may influence the decision to prosecute?</li> </ul>
10.	<p><b>If it is decided that a prosecution will not be proceeded with, the BCA is advised, in writing, that enforcement proceedings will not be actioned and that the NTF should be withdrawn.</b></p> <ul style="list-style-type: none"> <li>• The decision including reason/s, using Form on standard letter layout through the Executive Administration Officer, is forwarded to the BCA that prosecution proceedings will not be commenced.</li> </ul>
11.	<p><b>Written advice received by the BCA regarding non-enforcement of the NTF.</b></p> <ul style="list-style-type: none"> <li>• Advice received by either normal mail, email, or fax.</li> </ul>
12.	<p><b>Is the advice acceptable to the BCA?</b></p> <ul style="list-style-type: none"> <li>• The TA decision is reviewed.</li> </ul>
13.	<p><b>If not acceptable to the BCA the matter is referred back to the TA stating the reasons why the TA advice has not been accepted.</b></p> <ul style="list-style-type: none"> <li>• Generally the TAs decision will be accepted by the BCA. However, on occasions there will be times when the TA has perhaps misunderstood or misinterpreted the advice from the BCA and that the TA should consider reconsidering their decision.</li> <li>• A report is prepared and referred to the TA for their consideration.</li> </ul>
14.	<p><b>Go back to step 9.</b></p> <ul style="list-style-type: none"> <li>• The TA planning and regulatory manager reconsiders the matter.</li> </ul>
15.	<p><b>If the TA decision is acceptable action is taken to withdraw the NTF.</b></p> <ul style="list-style-type: none"> <li>• Letter is drafted to the specified person in the NTF advising them that the NTF is being withdrawn.</li> </ul>
16.	<p><b>If enforcement proceedings are to be proceeded with a letter is prepared advising the specified person on the NTF the consequences of failing to comply with a NTF.</b></p> <ul style="list-style-type: none"> <li>• A letter is drafted to the specified person on the NTF quoting the following consequences of failing to comply with a NTF.</li> <li>• A person commits an offence if the person fails to comply with a notice to fix.</li> <li>• A person who commits an offence under this section is liable to a fine not exceeding \$200,000 and, in the case of a continuing offence, to a further fine not exceeding \$20,000 for every day or part of a day during which the offence has continued.</li> </ul>
17.	<p><b>Letter sent to the specified person on the NTF.</b></p> <ul style="list-style-type: none"> <li>• Letter sent by normal mail.</li> </ul>

**Ta 1.9 Enforcement of a Notice to Fix (NTF)**

18.	<b>Letter received.</b> <ul style="list-style-type: none"><li>• Letter received by the specified person.</li></ul>
19.	<b>Responded to as the SP sees fit.</b> <ul style="list-style-type: none"><li>• The specified person will either respond by complying with the NTF or continue to ignore the NTF.</li></ul>
20.	<b>Follow-up inspection arranged with a building official.</b> <ul style="list-style-type: none"><li>• Details passed to the building official that undertook the initial inspection to enable them to undertake a follow-up inspection.</li></ul>
21.	<b>Inspection diaried.</b> <ul style="list-style-type: none"><li>• Inspection diarised with other building inspections.</li></ul>
22.	<b>Inspection undertaken.</b> <ul style="list-style-type: none"><li>• Inspection undertaken specific to the NTF and the initial report that was prepared.</li><li>• Record written notes specific to the NTF. Remember these notes may be used in a prosecution so need to be detailed.</li><li>• Record:<ul style="list-style-type: none"><li>○ Date and time of inspection</li><li>○ Weather conditions at the time</li><li>○ Names of those present for the inspection (it is advisable to have a witness when conducting this type of inspection)</li><li>○ List what you actually inspected</li><li>○ Describe your observations</li><li>○ What has changed since the last inspection</li><li>○ Record the results of all measurements and tests</li><li>○ Record any instructions or statements made to the specified person on the NTF</li><li>○ Record anything said by the specified person on the NTF</li><li>○ Record any appropriate or prudent general comments</li><li>○ Take digital photographs as appropriate.</li></ul></li></ul>
23.	<b>Has the NTF been complied with?</b>
24.	<b>If the NTF has been complied with the file is noted and the BCA is advised accordingly.</b> <ul style="list-style-type: none"><li>• Noted added to the file stating that the NTF has been complied with</li><li>• Advice on standard letter layout through the Executive Administration Officer is prepared advising the BCA that the NTF has been complied with.</li><li>• Advice mailed or emailed to the BCA.</li></ul>
25.	<b>If the NTF has not been complied with a report prepared for the Planning and Regulatory Manager.</b> <ul style="list-style-type: none"><li>• Using the initial report as a base, prepare a second report to provide sufficient information to the planning and regulatory manager to enable a successful prosecution.</li></ul>
26.	<b>Report received from the Building Official.</b>
27.	<b>Should prosecution proceed?</b>

**Ta 1.9 Enforcement of a Notice to Fix (NTF)**

28.	<b><i>If yes a letter is drafted to the SP advising that prosecution proceedings will be instigated.</i></b> <ul style="list-style-type: none"><li>• On standard letter layout through the Executive Administration Officer a letter is drafted to the specified person stating that prosecution proceedings will be commenced.</li></ul>
29.	<b><i>Letter received by the SP advising of prosecution proceedings.</i></b>
30.	<b><i>Letter drafted to Council's Solicitors instructing them to commence prosecution proceedings.</i></b> <ul style="list-style-type: none"><li>• On standard letter layout through the Executive Administration Officer draft a letter to Council's solicitor instructing them to proceed with prosecution proceedings.</li><li>• The complete file shall accompany the letter to the solicitor.</li><li>• Copy of the instruction forwarded to the Chief Executive.</li></ul>
31.	<b><i>Prosecution proceedings commenced.</i></b>
32.	<b><i>If approval has not been granted to prosecute go back to Step 10 in the process.</i></b>



## **TA 1.10 Serving of Notices**

### Process Description

The serving of all statutory notices issued in terms of the Building Act 2004.

### Purpose

To ensure that all notices are served in the correct and legal manner.

### Outcome

That all statutory notices issued in terms of the Building Act 2004 are legally served.

### Scope

All statutory notices issued in terms of the Building Act 2004.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Not applicable - see references to specific provisions

### Standard Forms and Documents

Fencing of Swimming Pools Act 1987  
Building Act 2004



## TA 1.10 Serving of Notices

<p>1. An infringement notice must be issued by an enforcement officer. Section 7 of the Building Act 2004 defines an enforcement officer as an officer of a territorial authority who is authorised, under section 229 of the Building Act 2004, to issue infringement notices under section 372 of that Act. A territorial authority may authorise any of its officers to issue infringement notices and must supply warrants to those officers. The warrant must be carried by the officer together with evidence of his or her identity, and both documents must be produced if required. The officer need not be an employee of the local authority. They may be a person acting under contract to perform the operational aspects of enforcement. The enforcement powers of a territorial authority may also be transferred to another territorial authority under section 233 of the Building Act 2004, but in that case the enforcement officer would be an officer authorised by the territorial authority exercising the transferred powers.</p>
<p>2. Service of an infringement notice under section 372(2) of the Building Act 2004 may be made by personal delivery or by post addressed to the person's last name place of residence or business. Under section 372(3) an infringement notice sent to the last known place of residence or address must be treated as having been served when it was posted. This presumption may be rebutted where a notice is returned with an indication that the person has left the address or a wrong address has been used.</p>
<p>3. Any notice or other document required to be served on, or given to, any person under this Act is sufficiently served if it is:</p> <ol style="list-style-type: none"><li>delivered personally to the person; or</li><li>delivered to the person at the person's usual or last known place of residence or business; or</li><li>sent by fax or email to the person's fax number or email address; or</li><li>posted in a letter addressed to the person at the person's usual or last known place of residence or business.</li></ol>
<p>4. If a notice or other document is to be served on a body (whether incorporated or not), service on an officer of the body in accordance with 1 above is taken to be service on the body.</p> <p>If a notice or other document is to be served on a partnership, service on any one of the partners in accordance with 1 above is taken to be service on the partnership.</p>
<p>5. If a notice or other document is to be served on a Crown organisation for the purposes of the Building Act 2004, it may be served:</p> <ol style="list-style-type: none"><li>by delivering it personally to an employee of the organisation at its head office or principal place of business; or</li><li>by delivering it at the organisation's head office or principal place of business, including by fax; or</li><li>in accordance with a method agreed between the informant and the organisation.</li></ol>
<p>6. A notice or other document sent by post to a person in accordance with 1 above must be treated as having been received by that person at the time at which the letter would have been delivered in the ordinary course of post.</p>

Part 10 of Te Ture Whenua Maori Act 1993 applies to the service of notices under the Building Act 2004 on owners of Maori land, except that the period fixed for anything to be done by the owners must not be extended by more than 14 working days under section 181(4) of that Act, unless otherwise provided by the territorial authority or the regional authority concerned.



## TA 1.11 Prosecution Proceedings

### Process Description

Commencing legal action and prosecutions for offences committed against any of the Acts administered by SDC Building Control.

### Purpose

To ensure offences are punished as appropriate.

### Outcome

All appropriate offences are punished.

### Scope

All offences detected to be enforced.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTE

### Recording

Property file

### Standard Forms and Documents

Fencing of Swimming Pools Act 1987  
Building Act 2004  
Summary Proceedings Act 1957

**TA 1.11 Prosecution Proceedings**

1.	<b><i>An offence against the Building Act 2004 is detected.</i></b> <ul style="list-style-type: none"><li>• Detection could be as a result of failing to comply with an order issued under the Building Act (NTF for example) or resulting from activities undertaken as part of the normal duties of a building control officer (illegal building work for example).</li><li>• The general public will also bring to the attention of building officials suspected and/or alleged illegal acts by others.</li></ul>
2.	<b><i>A report is prepared along with a recommendation for the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• A report reviewing and analysing previous actions is prepared.</li><li>• A recommendation is included or attached to the report.</li></ul>
3.	<b><i>Report sent to Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• The report along with the file and any other relevant information is handed to the Planning and Regulatory Manager for his consideration.</li></ul>
4.	<b><i>Report received by the Planning and Regulatory Manager.</i></b> <ul style="list-style-type: none"><li>• The report is received directly from the building official.</li></ul>
5.	<b><i>Should prosecution proceedings be commenced?</i></b> <ul style="list-style-type: none"><li>• Does the offence warrant prosecution?</li><li>• Is there a large degree of certainty around a successful prosecution?</li><li>• Will prosecution achieve the desired outcome?</li><li>• Are there lessons to be learnt from a successful prosecution?</li><li>• Is it cost effective to proceed with a prosecution?</li><li>• Is there any history with those involve that may influence the decision to prosecute?</li><li>• What case histories are available which may influence a decision one way or the other?</li></ul>
6.	<b><i>Has the 6 month time period expired?</i></b> <ul style="list-style-type: none"><li>• An Information needs to be laid within 6 months of the offence being known.</li></ul>
7.	<b><i>If prosecution should not proceed or the 6 month period has expired, the matter is referred back to the BO for an alternative resolution. Options include:</i></b> <ul style="list-style-type: none"><li>• Issue a Notice to Fix.</li><li>• Issue an infringement notice.</li><li>• Issue a notice in terms of a dangerous, insanitary, or earthquake prone building.</li><li>• Negotiate compliance.</li></ul>
8.	<b><i>Alternative resolution commenced by the building official.</i></b> <ul style="list-style-type: none"><li>• A process from 7 above is commenced.</li></ul>
9.	<b><i>If the 6 month period has not expired the matter is referred to Council Solicitors.</i></b> <ul style="list-style-type: none"><li>• Letter of instruction on standard letter layout through the Executive Administration Officer is prepared for Council's solicitor.</li><li>• Letter along with the file is sent to Council's solicitor.</li></ul>
10.	<b><i>Instructions received from Council.</i></b> <ul style="list-style-type: none"><li>• Letter of instruction and file received from Council.</li></ul>
11.	<b><i>Letter sent to defendant advising that prosecution proceedings are being commenced.</i></b>

**TA 1.11 Prosecution Proceedings**

	<ul style="list-style-type: none"><li>• Letter shall advise that prosecution proceedings are being commenced and where appropriate provide an opportunity for the defendant to right or partially right their wrong.</li><li>• Copy of the letter forwarded to the GM.</li></ul>
12.	<b><i>Has the offence been mitigated in any way?</i></b> <ul style="list-style-type: none"><li>• Has any attempt been made to mitigate the offence?</li></ul>
13.	<b><i>If no attempt at mitigation has been made an information is prepared.</i></b> <ul style="list-style-type: none"><li>• An information is prepared in terms of the Summary Proceedings Act 1957.</li></ul>
14.	<b><i>Information is laid with the District Court.</i></b> <ul style="list-style-type: none"><li>• A copy of the information laid with the District Court shall be forwarded to the Planning and Regulatory Manager.</li></ul>
15.	<b><i>If mitigation has been attempted should proceedings continue?</i></b> <ul style="list-style-type: none"><li>• If mitigation or partial mitigation has been successful consideration should be given to abandoning proceedings.</li><li>• Proceedings shall continue if little or no effort has been made toward mitigation.</li></ul>
16.	<b><i>If it is decided that proceedings should not be continued the matter is referred back to the Planning and Regulatory Manager for alternative resolution.</i></b> <ul style="list-style-type: none"><li>• Planning and Regulatory Manager notified of reasons for not pursuing the matter.</li><li>• File returned to Planning and Regulatory Manager.</li></ul>
17.	<b><i>Alternative resolution commenced.</i></b> <ul style="list-style-type: none"><li>• Alternative resolutions could include either:<ul style="list-style-type: none"><li>○ Issue a Notice to Fix</li><li>○ Issue an infringement notice</li><li>○ Issue a notice in terms of a dangerous, insanitary, or earthquake prone building</li><li>○ Negotiate compliance.</li></ul></li></ul>
18	<b><i>Briefs of evidence prepared.</i></b> <ul style="list-style-type: none"><li>• Based on the information on file and interviews with the inspecting officers the brief of evidence is prepared.</li></ul>
19.	<b><i>Brief of evidence forwarded to the Planning and Regulatory Manager for verification.</i></b> <ul style="list-style-type: none"><li>• A draft of the brief of evidence is sent to the Planning and Regulatory Manager for checking and verification.</li></ul>
20.	<b><i>Brief of evidence received.</i></b>
21.	<b><i>Brief of evidence factual and complete?</i></b> <ul style="list-style-type: none"><li>• In consultation with the inspecting officer the brief of evidence is checked for completeness and accuracy.</li><li>• Any amendments are noted.</li></ul>
22.	<b><i>If the brief of evidence is OK it is returned to the Council Solicitor.</i></b> <ul style="list-style-type: none"><li>• Memo drafted to the solicitor confirming and verifying the brief of evidence.</li><li>• Memo and brief returned directly to the solicitor.</li></ul>
23.	<b><i>Prosecution proceedings continue.</i></b> <ul style="list-style-type: none"><li>• As all is in order continue with proceedings.</li></ul>
24.	<b><i>If the brief of evidence is defective or deficient in some way suggested amendments are</i></b>

**TA 1.11 Prosecution Proceedings**

	<p><b><i>prepared and sent to Solicitor.</i></b></p> <ul style="list-style-type: none"><li>• Corrections and additions to the brief are prepared separately.</li><li>• These along with the original brief are returned to the solicitor.</li><li>• Memo to accompany file explaining amendments or alterations.</li></ul>
25.	<p><b><i>Suggested amendments received.</i></b></p>
26.	<p><b><i>Amendments made.</i></b></p> <ul style="list-style-type: none"><li>• Proposed amendments are considered.</li><li>• Brief of evidence amended as appropriate.</li></ul>
27.	<p><b><i>Return to step 19.</i></b></p> <ul style="list-style-type: none"><li>• Recheck of brief of evidence.</li></ul>



## **TA 1.12 Earthquake Prone Buildings – Policy Procedures**

### Process Description

A means of monitoring and identifying buildings likely to be earthquake prone and acting upon those deemed to be earthquake prone so that the potential risk is significantly reduced.

### Purpose

To ensure that buildings deemed to be earthquake prone are identified and their respective potential risks significantly reduced.

### Outcome

That all earthquake prone buildings become safe and healthy in terms of the Building Act 2004.

### Scope

All earthquake prone buildings.

### Responsibility and Authority

Planning and Regulatory Manager  
Building Officials

### Resources

1 FTEs

### Recording

Notes recorded on the property file

### Standard Forms and Documents

Building Act 2004

**TA 1.12 Earthquake Prone Buildings – Policy Procedure**

1.	<b><i>Earthquake prone buildings identified by Council by:</i></b> <ul style="list-style-type: none"><li>• Search of Council records.</li><li>• Checking compliance with the building code as a result of being notified of a change of use.</li><li>• Being brought to Councils attention as a result of a LIM or PIM application.</li><li>• Historic Places Trust Heritage Buildings database.</li><li>• Council officer local knowledge.</li></ul>
2.	<b><i>Earthquake prone building database built and property files noted accordingly.</i></b> <ul style="list-style-type: none"><li>• Stand alone database of earthquake prone buildings built recording at least the following information:<ul style="list-style-type: none"><li>○ Property ID</li><li>○ Property address</li><li>○ Building owner details</li><li>○ Description of building/s affected</li><li>○ Class of building</li><li>○ Date owner notified</li><li>○ Date building upgraded</li></ul></li><li>• Rating database flagged to indicate the presence of an earthquake prone building.</li><li>• Hardcopy files flagged to indicate the presence of an earthquake prone building.</li></ul>
3.	<b><i>Is the building dangerous in terms of the BA?</i></b> <ul style="list-style-type: none"><li>• Refer to Section 121 of the Building Act 2004.</li></ul>
4.	<b><i>Go to TA 1.6</i></b>
5.	<b><i>Information sheet and letter notifying building owners that their respective buildings are potentially earthquake prone.</i></b> <ul style="list-style-type: none"><li>• An information sheet and a copy of Councils earthquake prone buildings policy document is sent to the building owner.</li><li>• The earthquake prone letter, on standard letter layout through the Executive Administration Officer, is sent to the owner advising that their building is potentially earthquake prone and what measures are required to address the issue.</li></ul>
6.	<b><i>Letter received by building owner.</i></b>
7.	<b><i>Will the right of appeal be exercised?</i></b> <ul style="list-style-type: none"><li>• Should the owner disagree with Council's decision to deem their building earthquake prone the owner may appeal to Council to have the decision reconsidered.</li></ul>
8.	<b><i>If the owner accepts Council's decision the building, if not deemed dangerous, is upgraded upon change of use or voluntarily.</i></b> <ul style="list-style-type: none"><li>• Should the owner not upgrade the building voluntarily then there will be a requirement to upgrade the building at the time of a change of use of the building.</li><li>• Owners will be encouraged to upgrade voluntarily.</li></ul>
9.	<b><i>Owners wishing to appeal Council's decision are required to submit an engineer's report on the structural integrity of the building.</i></b> <ul style="list-style-type: none"><li>• In support of the owners appeal an engineer's report is required on the structural integrity of the building in the event of a MMVIII earthquake.</li></ul>

**TA 1.12 Earthquake Prone Buildings – Policy Procedure**

	<ul style="list-style-type: none"><li>The engineer engaged shall be appropriately qualified and experienced in the structural behaviour of buildings during earthquakes.</li></ul>
10.	<b><i>Report lodged with Council.</i></b>
11.	<b><i>Report considered by Council engineers.</i></b> <ul style="list-style-type: none"><li>The report shall be peer reviewed by engineers engaged by Council for this specific roll.</li><li>A peer review report shall be drafted and contain the appropriate recommendations.</li></ul>
12.	<b><i>Status of building reassessed.</i></b> <ul style="list-style-type: none"><li>A reassessment shall be made based on the recommendations of Council's engineers.</li><li>Database and Council records updated accordingly.</li></ul>
13.	<b><i>Outcome of appeal notified to the building owner.</i></b> <ul style="list-style-type: none"><li>Owner advised in writing on standard letter layout through the Executive Administration Officer of the outcome of the appeal.</li></ul>
14.	<b><i>Notification received.</i></b>
15.	<b><i>Has the building status changed?</i></b> <ul style="list-style-type: none"><li>As a result of the appeal has the building's status been changed to no longer deemed dangerous, or earthquake prone.</li></ul>
16.	<b><i>Building upgraded as and when required.</i></b> <ul style="list-style-type: none"><li>Building owner upgrades the building as per the requirements of Council.</li><li>The requirements will include both a time frame and expected structural standard to be achieved.</li></ul>
17.	<b><i>If the status is changed to the building no longer being deemed dangerous, or earthquake prone, no further action is required.</i></b>
18.	<b><i>Go to BC 3.0.</i></b>
19.	<b><i>Council notified of upgrade.</i></b> <ul style="list-style-type: none"><li>Notification will be by way of an application for a Code Compliance Certificate (Form 6) for the work to upgrade the building.</li></ul>
20.	<b><i>Building status changed accordingly.</i></b> <ul style="list-style-type: none"><li>The database and other Council records updated accordingly.</li><li>Owner notified on standard letter layout through the Executive Administration Officer of update and change of status.</li></ul>



## **Appendix A - Position Descriptions - Three**

### **STRATFORD DISTRICT COUNCIL**

#### **APPENDIX 1**

#### **JOB DESCRIPTION**

##### **1. JOB TITLE**

PLANNING AND REGULATORY MANAGER

##### **2. RESPONSIBLE TO**

Chief Executive

##### **3. DIRECTLY SUPERVISING**

Senior Building Control Officer

Building Control Officer

Compliance Officer

Administration Officer

External Contracts

- Resource Management
- After-hours call-outs

##### **4. RELATIONSHIPS**

1. Corporate Services Manager

2. Operations Manager



## 5. **PURPOSE OF THE POSITION**

1. To professionally and efficiently discharge the duties and key tasks of the position of Planning & Regulatory Manager.
2. To be responsible for the overall management of the Planning and Regulatory Department in accordance with Council policy, goals, objectives and the directives of the Chief Executive.
3. To be a member of the Corporate Management Team, (chaired by the Chief Executive) and to contribute positively and enthusiastically to the overall management, control and leadership of the Stratford District Council.

## 6. **PRIMARY OBJECTIVES**

To provide for the effective and efficient administration of all regulatory functions including the Resource Management Act.

## 7. **AUTHORITY LIMITS**

1. The Planning & Regulatory Manager has delegated authority to manage the Planning & Regulatory Department operations in accordance with general policies adopted by Council.
2. The Planning & Regulatory Manager has delegated authority to:
  - (a) recommend to the Chief Executive the recruitment/appointment of staff.
  - (b) recommend to the Chief Executive, staff promotions and remuneration reviews.
  - (c) recommend to the Chief Executive the dismissal of staff.
3. The Planning & Regulatory Manager has delegated authority to commit expenditure in accordance with the approved budget for the Planning & Regulatory Department to the extent authorised by Council pursuant to:
  - (a) the provisions of the Public Bodies Contract Act (1959), and the
  - (b) delegations approved by Council as contained in its Policy Manual (Appendix 15C, Section 3, subsection 2(b)).
4. Delegations for items 1., 2. and 3. above are given by the Chief Executive pursuant to Section 716 of the Local Government Act 1974.

**8. KEY TASKS**

<b>No.</b>	<b>KEY RESULT AREAS</b>	<b>EXPECTED OUTCOMES</b>
1	Activity Management Plans	Review completed for LTCCP by 31 August each year.
2	Annual Business Implementation Plan	Information to Chief Executive by 31 July each year.
3	LTCCP - Annual Plan Development	Budgets for next year by 31 October prior.
4	Annual Report measures of performance	Completed by 20 July each year.
5	Staff Appraisals	Completed by 30 June each year.
6	Keep Council informed of departmental activities	Monthly and other decision/information reports to Council as required.
7	Staff Management	Ensure that staff comply with the conditions of their individual employment agreements.
8	Staff Performance	Quarterly review of staff KRA's.
9	Project Participation	Complete projects as directed by the Chief Executive.
10	Participate in the CMC Team.	Positive and enthusiastic contribution.
11.	Good Public Relations	Well informed public and minimal complaints concerning service delivery.



## 9. **JOB SCHEDULE**

1. Staff supervision.
2. Attending Committee and Council meetings as required by the Chief Executive.
3. Preparation of departmental monthly reports.
4. Staff employment.
5. Staff control.
6. Preparation of statistical data.
7. Engage relevant consultants as required.
8. Observation of Bylaws, Acts and Regulations including Building, Health, Sale of Liquor, Forest and Rural Fires, Dangerous Goods and Reserves Acts.
9. Preparation of Reserves Plans etc.
10. Liaise with Chief Executive and Departmental Managers.
11. Initiate and review departmental policies.
12. Civil Defence Alternate Controller.
13. Carry out other duties as maybe required by the Chief Executive.

## 10. **PERSON SPECIFICATION**

The position calls for:

1. Management and leadership skills of a high level to ensure the effective management of Council's staff and resources.
2. A good working knowledge of legislation applicable to Local Government.
3. A high level of communication skills and good presentation.
4. A person with a tertiary qualification and skills in planning, policy development, resource management and regulatory functions. However, those with suitable experience and the appropriate skills may also apply.
5. A person with eight to ten years relevant post-graduate experience.
6. Current motor vehicle drivers licence.





**APPENDIX**

Stratford District Council

**Job Description**

<b>Position:</b>	Building Control Officer	<b>Department:</b>	Planning & Regulatory
<b>Date:</b>	November 2007	<b>Location:</b>	Stratford

<b>Functional Relationships</b>		
<b>External:</b>	<b>Internal:</b>	<b>Committees/Groups/ Professional Affiliations:</b>
Public	Planning & Regulatory Consents Officer Environmental Health Officer Compliance Officer Operations Manager Chief Executive Service Centre	Building Officials Institute of New Zealand (BOINZ)

<b>Planning &amp; Regulatory Department</b>
This department is to function as the Council's delivery arm for planning and regulatory services such as: the District Plan, Development Control (Resource Consents), Building Control, Environmental Health, Liquor Licensing, Dog Control, Bylaws' Enforcement, Rural Fires Control and Emergency Management.

<b>Main Purpose of the Job</b>
<ul style="list-style-type: none"> <li>• To establish procedures, administer and enforce Council's responsibilities under the Building Act 2004 and its regulations.</li> <li>• Supervision of building consenting and monitoring processes.</li> <li>• To perform duties associated with the management of information within the Planning &amp; Regulatory Department.</li> </ul>



**Organisational Context**

<i>Reports To:</i>
Chief Executive
<i>Working Under:</i>
<b>Planning &amp; Regulatory Manager</b>
<b>This Position:</b>
<b>Building Control Officer</b>
<i>Directly Supervising: Nil</i>
<i>Working Alongside:</i>
Planning & Regulatory Building Consents Administration Officer
Planning & Regulatory Consents Officer

<b>Authority Limits</b>
The Building Control Officer has delegated authority limit of \$500 to commit expenditure.



<b>KEY ACCOUNTABILITY AREAS (KAA)</b>	<b>KEY RESULT AREAS (KRA)</b>
<b><i>Building Control</i></b>	
<p>Administer and Enforce Building Act 2004.</p> <p>Establish and maintain procedures for administering the Building Act 2004.</p> <p>Public Relations.</p> <p>General Enforcement Duties.</p> <p>Monitoring.</p> <p>Building Consent Authority information requirements.</p> <p>Amusement Devices</p> <p>Swimming Pool Inspections</p>	<p>To process all consents, certificates, etc. in the required time and note in a monthly report to Planning &amp; Regulatory Manager.</p> <p>The procedures for administering the Building Act 2004 are adhered to as directed. Processing of building consents and related inspections in compliance with procedures documentation.</p> <p>To project a good public image.</p> <p>To process all building and other complaints quickly and efficiently.</p> <p>To ensure that all areas of building and planning are monitored.</p> <p>To provide technical direction for the maintenance of information relevant to functions carried out by the Building Consent Authority.</p> <p>To administer, inspect, issue licences and implement any necessary requirements pursuant to legislation relating to Amusement Devices.</p> <p>To perform swimming pool inspections and maintain a database of records.</p>
<b><i>Stratford District Council Bylaws</i></b>	
Fully conversant with all Council Bylaws.	Enforcement of bylaws as required.
<b><i>Civil Defence</i></b>	
Undertake Civil Defence training and duties as required.	Civil Defence procedures and responsibilities clearly understood and Civil Defence duties effectively completed as/when required.
<b><i>Other</i></b>	
Any other duties that may be required from time to time.	All other duties are completed as required.



Stratford District Council

**Person Specification****Key: E = Essential; D = Desirable**

<b>Personal Focus</b>	
E	Demonstrated ability to embrace the goals and objectives of the entity and in being dedicated and self-motivated towards achieving them.
E	Demonstrated record of excellence in achievement.
E	Demonstrated capability to develop and implement innovative solutions.
E	Demonstrable ability to maintain focus and objectiveness and to continue to perform effectively in stressful situations.
E	Demonstrated record of participation and achievement in a team environment.
E	Demonstrated willingness to speak your own mind in discussion but also to follow and champion direction once given.
E	Demonstrated willingness to embrace the responsibilities and accountabilities that are inherent in the role.
<b>Customer Focus</b>	
E	At all times applies excellent customer service principles in dealing with internal and external customers and staff.
<b>Job Knowledge</b>	
E	Has knowledge of the Building Consent Authority - Quality Requirements.
D	Has a relevant qualification.
D	Has recent relevant experience in Building Consent Authority.
E	Has relevant computer skills. Is competent with current Microsoft Office suite programmes. Is competent with a wide range of electronic reference tools.
<b>Organising for Quality Results</b>	
E	Demonstrates strong time management skills.
E	Undertakes sound research using sound methodologies.



<b>Organising for Quality Results</b>	
E	Develops and implements innovative and cost-effective solutions.
D	Identifies and embraces opportunities for continual improvement.
<b>Teamwork</b>	
D	Leads teams by engendering support, provides motivation and has the knowledge to obtain the best from team members.
E	Demonstrates an ability to work well in a team.
D	Champions beneficial change and constantly reinforces the merits to team members.
<b>Communication</b>	
E	Communicates clearly and concisely when seeking or providing information <i>eg. with senior management or public groups.</i>
E	Produces clearly written, well-formatted reports, which have clear recommendations for action.
E	Maintains confidentiality.
E	Operates within the organisation in a non-discriminatory manner by respecting the rights of others.
E	Has an understanding of and is capable of empathising with the needs of others.
E	Demonstrates excellent listening and verbal communication skills.
D	Manages diversity, and encourages and assists others in this.
D	Understands the Treaty of Waitangi and its implications for local authorities.
<b>Coaching and Development</b>	
D	Willingly embraces opportunities to undertake ongoing management development.
<b>Health</b>	
E	Has no previous or current medical conditions, which would affect the ability to effectively and efficiently perform the duties described in this job description.



<b>Circumstances</b>	
E	Is willing to work on-call should this be required.
<b>Testing and Verification</b>	
E	Can verify authenticity of qualifications.
E	Holds a current full driver's licence.



## **STRATFORD DISTRICT COUNCIL**

### **APPENDIX**

#### **JOB DESCRIPTION**

##### **1. JOB TITLE**

Consents Administration Officer

##### **2. RESPONSIBLE TO**

Planning & Regulatory Manager

##### **3. PRIMARY OBJECTIVES**

To provide administration for consenting and quality management

##### **4. RELATIONSHIPS**

1. Building Control Officer
2. Environmental Health Officer
3. Service Centre staff
4. Operations staff
5. Corporate Services staff
6. Chief Executive



## 5. KEY TASKS

No.	KEY RESULT AREA	EXPECTED OUTCOMES
1	Building Control Administration	Building Consents administration
2	LIMs	Processing, co-ordination and issuing of LIMs
3	Documentation control	Ensuring that all reference and standard documentation held within the Planning & Regulatory Department is maintained, reviewed and updated
4	Process documentation	Ensuring process documentation aligns with requirements of the SOLGM Legal Compliance Project
5	Records	Maintaining and updating outcomes databases
6	Backup Administration	Provide backup administration for Planning and Regulatory activities

## 6. JOB SCHEDULE

1. Co-ordinating administration of Building Consent applications.
2. Input of LIM / PIM / Consent applications into relevant database modules.
3. Monitoring of processing of LIM / PIM / Consent applications to ensure compliance with required timeframes.
4. Preparation of LIMs / PIMs / Building Consents.
5. Co-ordination of Planning and Regulatory Department Monthly and Quarterly Reports.



6. Co-ordination of process documentation in compliance with the SOLGM Legal Compliance Project.
7. Provide back-up administration for other Planning & Regulatory Department activities.
8. Provide backup assistance for dog and animal control and general bylaw duties.
9. Such other duties as may be required from time to time.

#### 7. **PERSON SPECIFICATION**

The position calls for:

1. A person with a bright and outgoing personality.
2. A person who is a team player.
3. Excellent communication and organisational skills.
4. A high degree of confidentiality
5. Computer literacy skills.
6. Qualifications - Sixth Form Certificate
7. A current motor vehicle drivers licence.



## Appendix B Delegations

<b>SECTION: Delegations</b>	
<b>POLICY: BUILDING CONTROL</b>	
<b>RESPONSIBILITY: P &amp; R</b> Manager	<b>REVIEW DATE:</b> April 2008
<b>VERSION: 1</b>	<b>APPROVED DATE:</b> April 2005
<b>FILE NUMBER: 16069</b>	
<b>DELEGATIONS</b> <b>REGISTER NO: 1</b>	

### 1. DELEGATION AUTHORITY

The delegations listed below are made pursuant to Schedule 7, Clause 32(1) of the Local Government Act 2002 and Section 232 of the Building Act 2004. All section references are to the Building Act 2004 unless stated otherwise.

The Stratford District Council makes the following delegations and authorisations.

### 2. AUTHORISED OFFICERS

Section 222 – The following Officers are authorised to carry out all of the functions and powers of an authorised officer, including the authority to enter private land pursuant to Section 174 of the Local Government Act 2002.

- Senior Building Control Officer
- Building Control Officer
- Project Engineer

### 3. ENFORCEMENT OFFICERS

Section 229 - The following Officers are authorised as enforcement officers to carry out all of the functions and powers of an enforcement officer, including the issue of infringement notices.

- Senior Building Control Officer
- Building Control Officer
- Project Engineer

### 4. GENERAL DELEGATION

Section 12(2) - The Stratford District Council delegates to the Chief Executive Officer, or any officer appointed by him, all of the functions, duties and powers listed, thereby enabling Council to carry out its legislated role as a Building Consent Authority, except that the following powers, duties and functions are not delegated.



- Section 131 – Policy on dangerous, earthquake prone and insanitary buildings
- Section 213 – make arrangements for any other Building Consent Authority to perform any of Council's functions as a Building Consent Authority
- Section 219(1)(a) – impose any fee or charge
- Section 233 – transfer any of Council's functions, duties or powers to another territorial authority



## Appendix C Building Categories

Description	Type	Project Description	Building Category
Ancillary / Outbuildings & simple residential	1.1	Installation of solid fuel heating appliances (not including a wet back), kitset ancillary buildings (including garages and garden sheds), pole construction farm buildings up to 200m <sup>2</sup> (where Producer Statement provided) and any alterations relating to these Non-habitable	1
	1.2	Ancillary buildings; pergolas, garden sheds, utility buildings, etc. Outbuildings, carports, garages, pole construction farm buildings up to 200m <sup>2</sup> and any alterations relating to these. Retaining walls (not incurring a surcharge), fences >2.0m height. Non-habitable	
	1.3	Simple single storey detached residential dwellings within scope of NZS3604 and any alterations relating to these including conservatories. Minor plumbing and drainage work. On-site waste water disposal systems and effluent fields. Swimming pools, spa pools and associated fencing. Farm buildings, including pole construction, over 200m <sup>2</sup> . <ul style="list-style-type: none"> <li>E2 risk score <b>0-6</b></li> </ul>	
Residential and light commercial & industrial	2.1	Simple single or two storey detached residential dwellings within scope of NZS3604 and any alterations relating to these. Retaining walls with surcharge. Installation of solid fuel heating appliances (including a wet back) and solar water heating units. <ul style="list-style-type: none"> <li>E2 risk score <b>7-12</b></li> </ul>	2
	2.2	Complex single or 2-storey detached residential dwellings with enclosed decks and any alterations relating to these includes 2-storey brick veneer. <ul style="list-style-type: none"> <li>E2 risk score <b>13-20</b></li> </ul>	
	2.3	Light industrial or small commercial buildings up to 2 storeys and with less than 100 people (CS or WL) e.g. schools, colleges, workshops, warehouse, factory, retail shops, hairdressers, offices, restaurants and bars and any alterations to these. Any buildings not included in Category 3 but having a Compliance Schedule or Specified System.	
Complex residential & commercial & industrial	3.1	Complex single or multi-storey dwellings or apartments (SR and SH) 3 storeys or less and any alterations to these E2 risk score <b>greater than 20</b>	3
	3.2	Public / group assembly buildings 1-2 storeys with occupant load greater than 100 people (but less than 500), e.g. school, college, university, bank, halls, stadiums, restaurants, nightclubs, bars, shopping	



		complex and any alterations to these.	
	3.3	Buildings containing sleeping purpose groups other than SR and SH, buildings 3-4 storeys, or buildings with occupant load greater than 100 people (but less than 500), e.g. hotel, motels, boarding houses, rest homes, flats, apartments, commune/marae, hospitals etc.	
	3.4	Buildings 5 or more storey's or buildings with an occupant load of greater than 500 people, e.g. hotels, stadiums, hospitals, office blocks, etc	

**Buildings or building work not specifically identified on list**

Where it is not clear which category a building sits within then the decision, reason for decision and outcome must be clearly identified on the Building Checklist. The assessment of such building work should be on the basis of equivalent risk. Work may for instance relate to minor work which is either part of an existing building of a higher category or where the proposed construction is less complex such that it is appropriate for the application work to be assessed at a lower level. The reasoning for the assessment must be recorded on the Building Checklist.



## Appendix D Staff Authority and Skills Matrix tables

### Staff Authority Table

Name of staff member	Determination of building category	Sign building consent	Sign code compliance	Issue notices to fix	Sign compliance schedule statements	Supervised officer	Trainee officer
<b>Technical Staff</b>							
Pat Moore	✓	✓	✓	✓	✓	-	-
John Richmond	✓	✓	✓	✓	✓	✓	-
<b>Administration Staff</b>							
Stacey Paton	-	-	-	-	-	✓	✓

**Name of Organisation: Stratford District Council**

**Senior Building Control Officer: Pat Moore**

**Technical Leader: Pat Moore (Categories 1 and 2)  
Andrew Fraser (Category 3)**

**Quality Manager: Mike Avery**

**Skills Assessment Completed By: John Tait (Spect8 Ltd)**

**Date Reviewed: 06 July 2009**

**Checked By: Mike Avery**

**Date Checked: 09 July 2009**

**Revision Due: 01 July 2010**

**Previous Matrix Update: 29 July 2008**



**Staff Qualifications**

<b>Staff Member</b>	<b>Highest Trade Qualification/s</b>
<b>Technical Staff</b>	
Pat Moore	Second Qualifying Carpentry (Residential and Commercial)
John Richmond	Trade Certificate in Carpentry
Stacey Paton	6th Form Certificate
<b>Administration Staff</b>	
Stacey Paton	6th Form Certificate

Directions – Skills Matrix Tables:

1. Rate officers according to their competency in the highest applicable building category with the colour codes as given below – “Green” being competent, “Amber” requiring supervision, and “Red” either an unacceptable level requiring extensive training, or a grading for new staff members yet to be trained in the area.
2. Note any specific limitations to competency for specific code areas for each staff person.

Categorisation of buildings:

For the purposes of this skills matrix buildings shall be categorised as stated in Appendix 6. Included in each category shall be ancillary buildings and outbuildings built in association with the buildings of their respective category.

Building Code Exclusions

D2 (mechanical installations for access), G9 (electricity) and G11 (gas) have been excluded from the Code clauses which were assessed

Competency for D2 has not been assessed as that there is only 1 lift in the region and it is not a device which falls within the Code clause. The BCA is therefore not able to sustain a suitable level of experience in assessing such devices. The BCA considers that the



type of building that would need a lift is one that would fall most probably into Category 3 which are to be dealt with on a case by case basis using external assistance as appropriate.

Competencies for G9 and G11 have not been assessed as these are self certifying in terms of other legislation. G9 has issues of amenity in this clause but these would relate typically to larger buildings in Category 3, while the remainder is covered by the specific Act. G11 does not contain issues of amenity and the certificates issued by the registered trade are relied on solely as these are well established as a means of compliance.

The stated competencies apply to all building code clauses unless specifically noted.

#### Building Consent Authority Scope

The BCA does not have internal competency to either process or inspect Category 3 structures. The Technical Leader (Categories 1 & 2), Pat Moore, does have the competency only to receive and assign a category to Category 3 structures. All Category 3 structures are processed and inspected by the Team Leader (Category 3), Andrew Fraser, Red Jacket Consulting Engineers.

#### Analysis colour coding:

Green – Competent to assess

Amber – Limited capacity to assess – supervision (with co-signing of documentation) required

Red – No capacity or capability to assess



**All building control technical staff members**

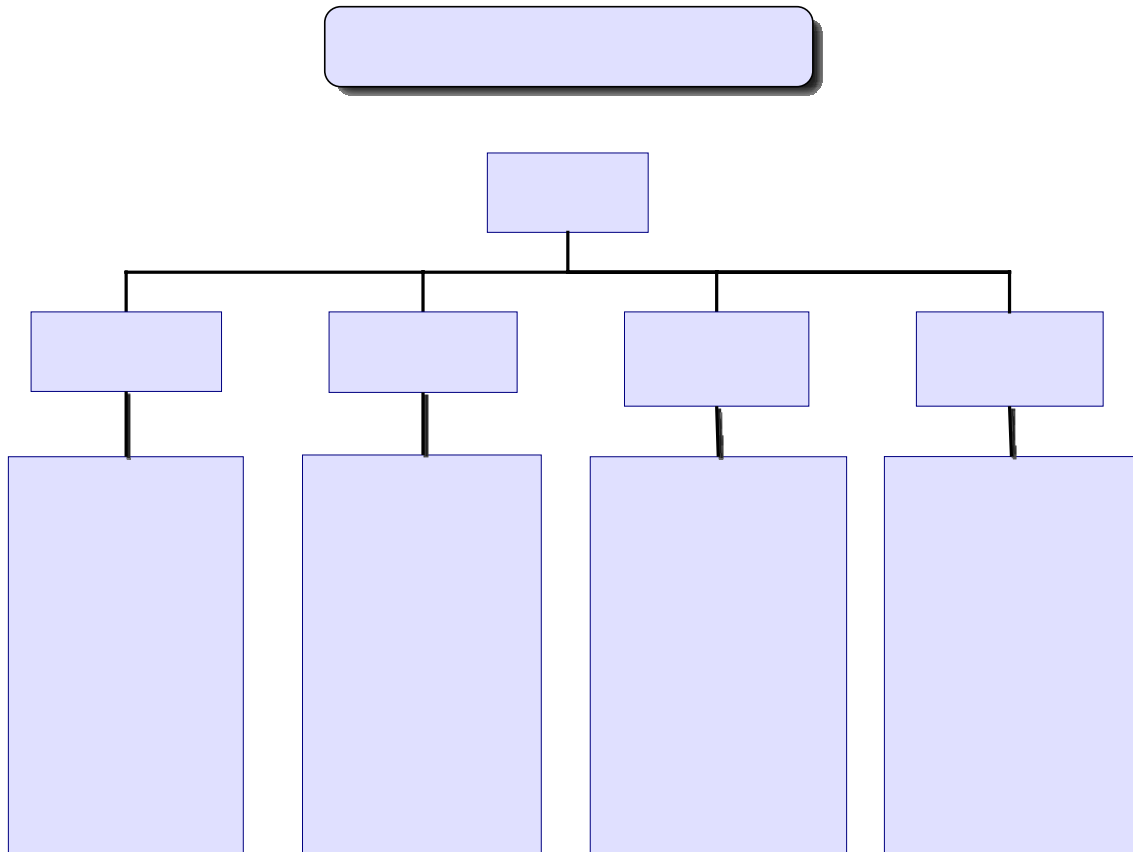
Name of staff member, contractor, or other BCA	Understanding of the philosophy and principles of design and construction	Understanding and knowledge of building products and methods	Knowledge and skill in applying the Act, and Regulations	Ability to process applications for building consents	Ability to inspect building work	Ability to certify building work	Ability to communicate with internal and external personnel	Ability to comply with the BCA's policies, procedures, and systems
Staff members	Reg 10(3)(a)	Reg 10(3)(b)	Reg 10(3)(c)	Reg10(3)(d)(i)	Reg10(3)(d)(ii)	Reg10(3)(d)(iii)	Reg 10(3)(e)	Reg 10(3)(f)
Pat Moore	2	2	2	2	2	2	3	2
John Richmond	2	2	2	2	2	2	2	2
Stacey Paton	1.2	1.2	1.2	1.2	1.2	1.1	1.2	1.2

Additional Code Competency Restrictions  
None noted.



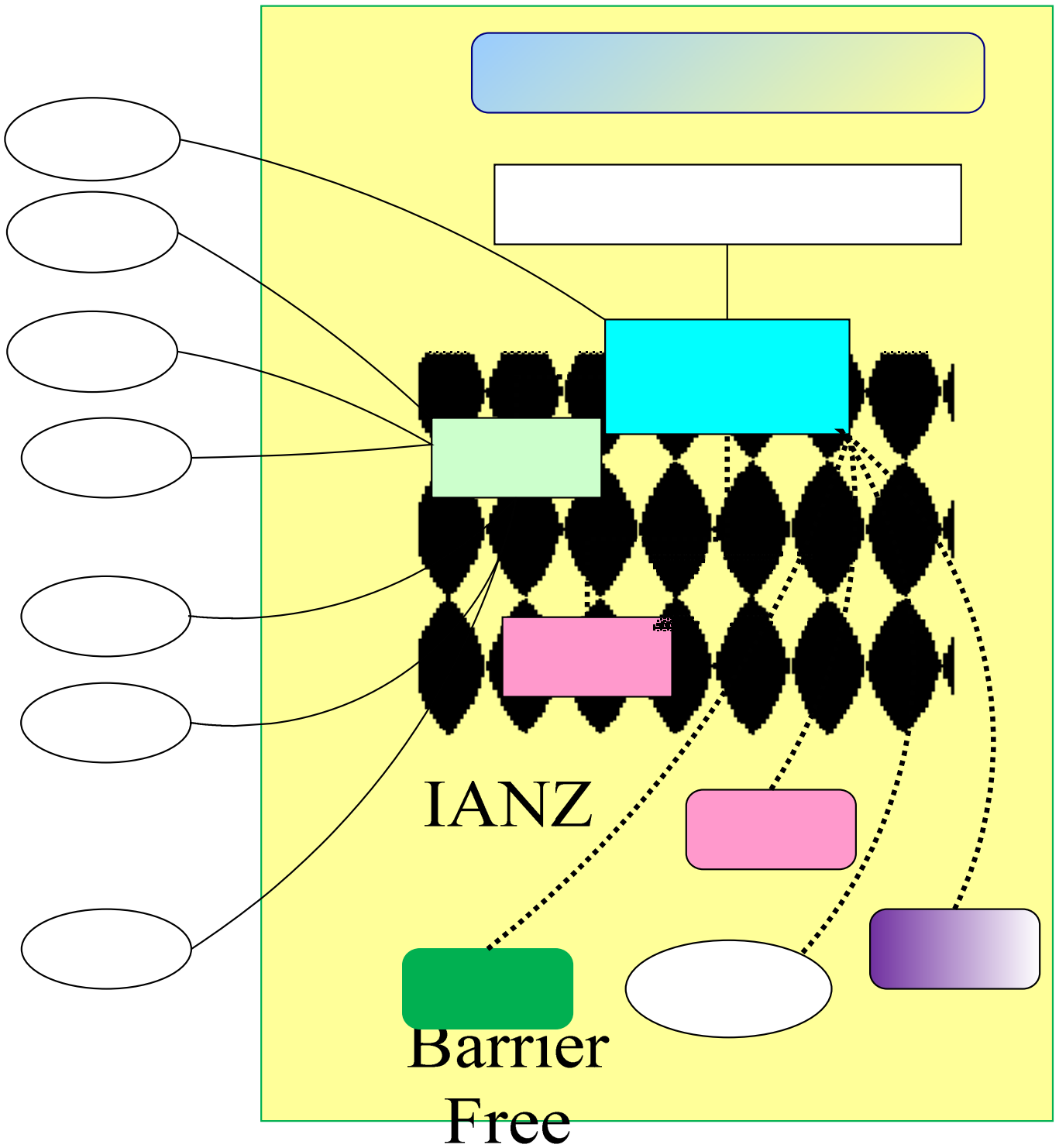
## Appendix E Organisation Charts

### Council Chart





**BCA Chart**

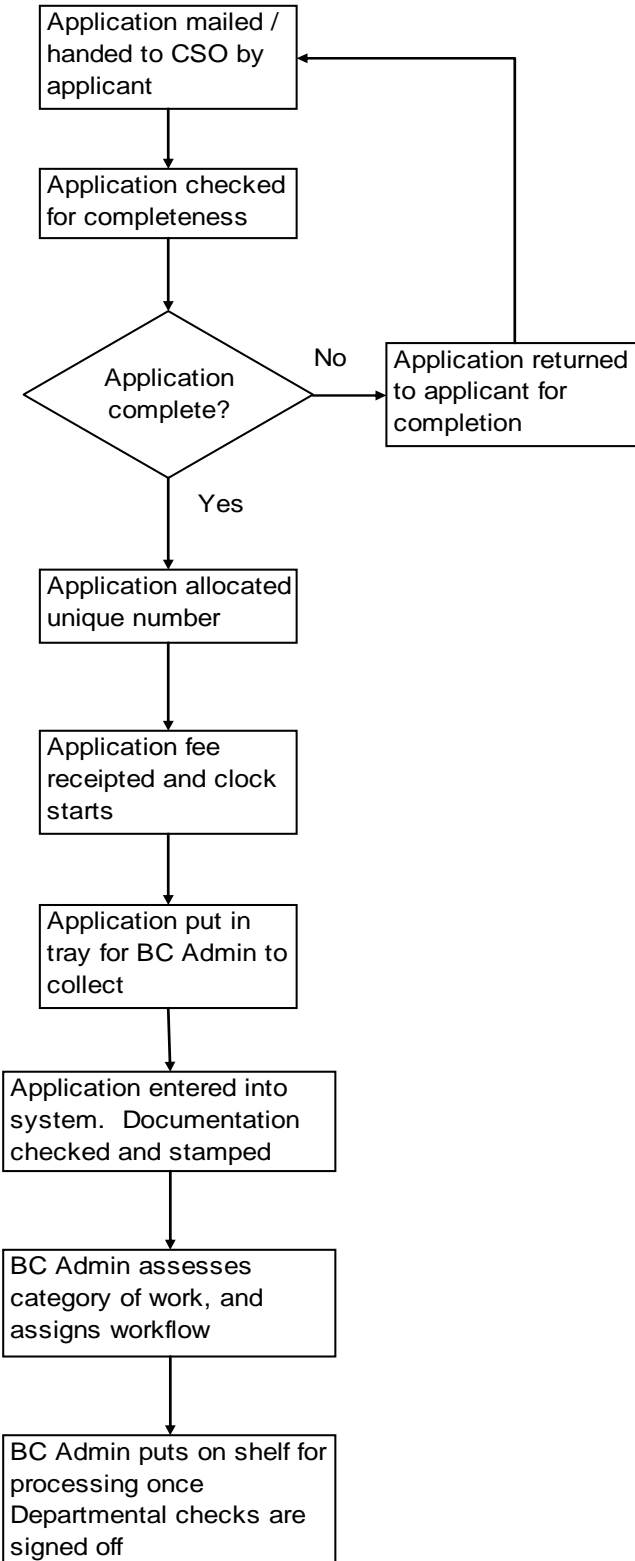


**External  
Consultants**



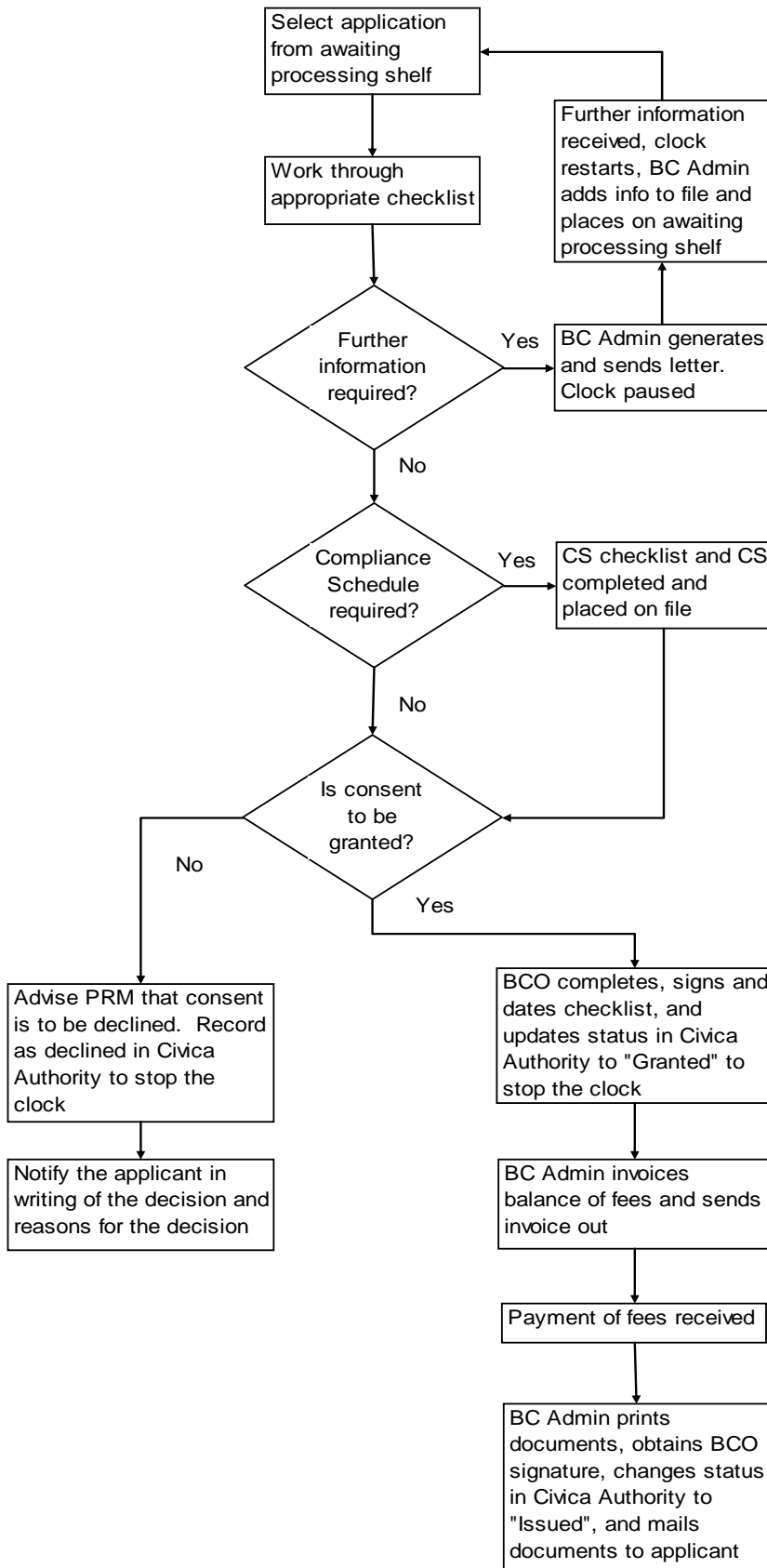
## Appendix F Process Flow Charts

### Application Receipt



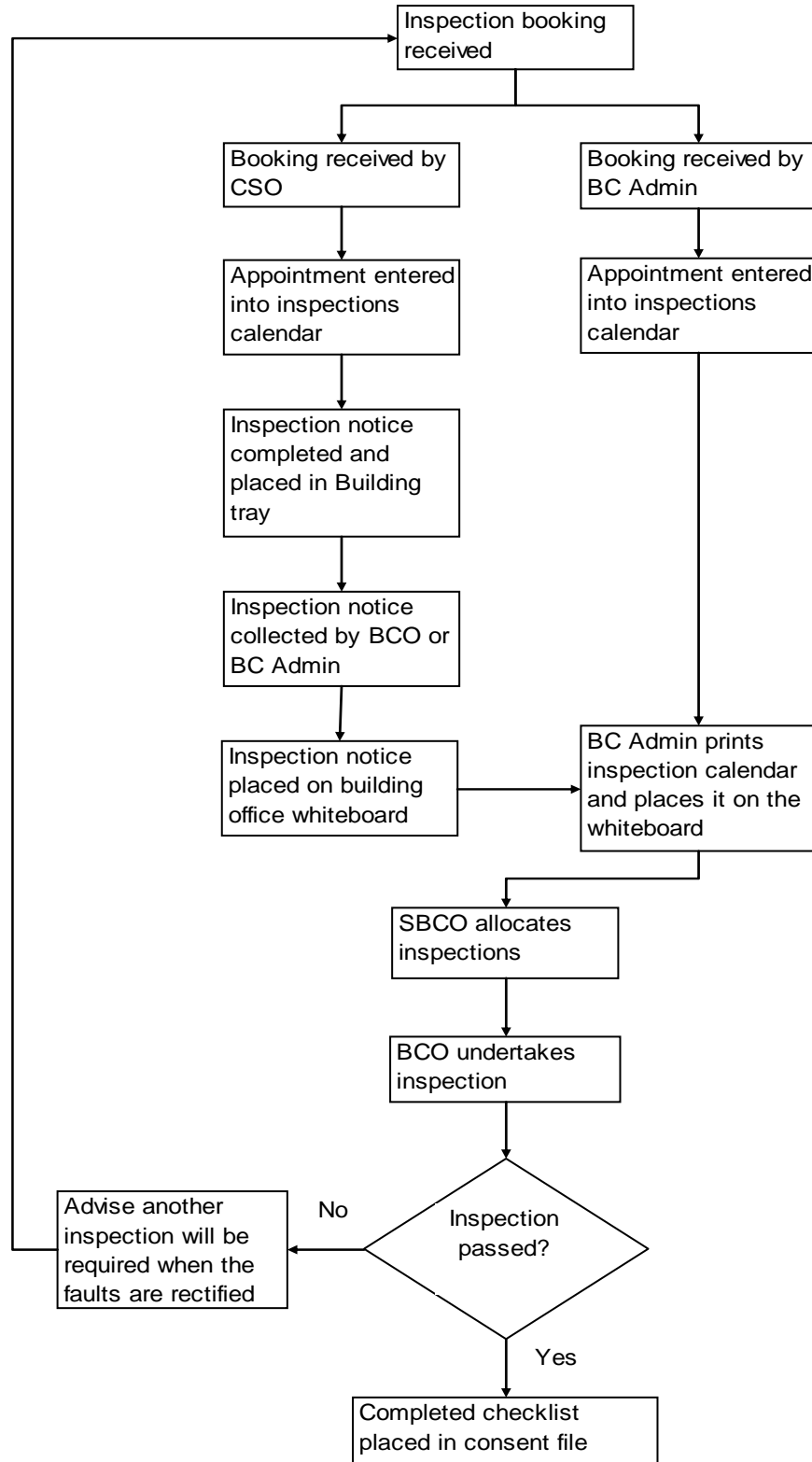


### Application Processing





## Inspections





### Final Inspections

