



The NZ mark of competence  
Tohu Matatau Aotearoa

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

**Kaipara District Council**

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## INTRODUCTION

This report relates to the accreditation assessment of the Kaipara District Council Building Consent Authority (BCA) which took place during 7 to 10 September 2020 to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006* (the Regulations).

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

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

## ACCREDITATION FEEDBACK AND CONTINUING ACCREDITATION

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

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

### Addressing non-compliances identified during the assessment

**Action Plan:** Your non-compliances with the Regulations have been summarised and recorded in detail in this report. Please complete the Record of Non-compliance table/s detailing your proposed corrective actions and the evidence that will be provided, and forward a copy to IANZ. This plan of action must be provided to IANZ by 21/10/2020. for IANZ review and acceptance.

**Evidence of addressing non-compliances:** Evidence, as described in your action plan, must be supplied to IANZ to demonstrate that you have addressed your non-compliances. All non-compliances must be finally addressed and cleared by 21/12/2020. To maintain accreditation you must provide evidence of the actions taken to clear non-compliance to IANZ within the required timeframe. Please allow at least 10 working days for IANZ to respond to any submitted material and allow sufficient time after submission of your evidence in case further evidence is required.

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

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

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



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

- The BCA continued to have a strong commitment towards implementing their Quality System.

## **NEXT ACCREDITATION ASSESSMENT**

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

## ASSESSMENT SUMMARY

ORGANISATION DETAILS					
<b>Organisation:</b>		Kaipara District Council Building Consent Authority			
<b>Address for service:</b>		PO Box 224 Mangawhai 0540 New Zealand			
<b>Client Number:</b>	7457	<b>Accreditation Number:</b>	46		
<b>Chief Executive:</b>		Louise Miller			
<b>Chief Executive Contact Details:</b>		lmiller@kaipara.govt.nz			
<b>BCA Responsible Manager:</b>		Neil Donnellan			
<b>BCA Responsible Manager Contact Details:</b>		ndonnellan@kaipara.govt.nz			
<b>BCA Authorised Representative:</b>		Sue Davidson			
<b>BCA Authorised Representative Contact Details:</b>		sdavidson@kaipara.govt.nz			
<b>BCA Quality Manager:</b>		Alistair Dunlop			
<b>BCA Quality Manager Contact Details:</b>		adunlop@kaipara.govt.nz			
<b>Number of BCA FTEs</b>	<b>Technical</b>	9	<b>Admin support</b>	6	
<b>Total FTEs should = technical FTEs + admin FTEs + vacancies</b>	<b>Vacancies (Technical)</b>	2	<b>Vacancies (Admin)</b>	0	
<b>BCA Activity during the previous 12 months</b>		<b>Building Consents</b>			
		<b>R1</b>	392	<b>R2</b>	210
		<b>C1</b>	7	<b>C2</b>	4
		<b>R3</b>	30	<b>C3</b>	0
		<b>CCCs</b>			186
		<b>New compliance schedules</b>			15
		<b>BCA Notices to Fix</b>			2
ASSESSMENT TEAM					
<b>Assessment Date:</b>		7 September 2020 to 10 September 2020			
<b>Lead Assessor:</b>		Carolyn Osborne			
<b>Lead Assessor Contact Details:</b>		cosborne@ianz.govt.nz			
<b>Technical Experts:</b>		John Tait			
<b>MBIE observer/s:</b>		Mike Reedy, Gary Higham			
ASSESSMENT FINDINGS					
		<b>This assessment:</b>		<b>Last assessment:</b>	
<b>Total # of "serious" non-compliances:</b>		0		0	
<b>Total # of "general" non-compliances:</b>		17		15	
<b>Total # of non-compliances outstanding:</b>		14		-	
<b>Recommendations:</b>		0		0	
<b>Advisory notes:</b>		2		1	
<b>Date clearance plan required from BCA:</b>		21 October 2020			
<b>Date non-compliances must cleared:</b>		21 December 2020			
NEXT ASSESSMENT					
<b>Recommended next assessment type:</b>		Full assessment			
<b>Recommended next assessment date:</b>		September 2022			
IANZ REPORT PREPARATION					
<b>Prepared by: Carolyn Osborne</b>		<b>Signature:</b> 			
<b>Checked by: Adrienne Woollard</b>		<b>Signature:</b> 			
<b>IANZ Report Preparation Date:</b>		17 September 2020			

## ASSESSMENT OBSERVATIONS

### REGULATION 6A NOTIFICATION REQUIREMENTS

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

### REGULATION 7 PERFORMING BUILDING CONTROL FUNCTIONS

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	<b>GNC 1 Resolved during assessment.</b>
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
<b>Observations and comments, including good practice and performance</b>	
<p>Procedures addressed most requirements.</p> <p>Public Information where it addressed the application process did not discuss method of fee and levy payment for consents, inspections and Code Compliance Certificates. <b>GNC 1. Resolved during assessment.</b></p> <p>Public Information where they discussed when to apply for a CCC incorrectly required at 24 months that " Your consented building work should be completed within 2 years of the date consent was granted "<b>GNC 1. Resolved during assessment.</b></p> <p>Public Information did not discuss required content and detail required of plans, and supporting material. <b>GNC 1. Resolved during assessment.</b></p> <p>Public Information where it addressed the CCC process did not discuss method of fee and levy payment for consents, inspections and Code Compliance Certificates. <b>GNC 1. Resolved during assessment.</b></p>	

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

<b>Non-compliance? Y/N</b>	<b>Yes</b>
<b>Non-compliance number/s:</b>	<b>GNC 2. Resolved during assessment.</b>
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	1
<b>Advisory note number/s:</b>	A1
<b>Observations and comments, including good practice and performance</b>	
<p><b>7(2)(b) Receiving</b> Procedures addressed requirements and were effectively implemented.</p> <p><b>7(2)(c) Checking for completeness</b> <b>Procedures</b> did not describe what happens if the application is not complete (e.g. reject and or return) <b>GNC 2. Resolved during assessment.</b> Procedures were implemented.</p> <p>The BCA is advised (<b>A1</b>) to consider ensuring the BCA does not accept applications that are incomplete.</p> <p><b>7(2)(d) (i) Lodging</b> Procedures addressed requirements and were effectively implemented</p>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 3. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p><b>7(2)(d)(iv) Processing</b> Procedures addressed requirements.</p> <p><b>Implementation</b> of the procedure for managing receipt of RFI was not consistent. Specifically the BCA was not always backdating the statutory clock and was not always aware when to restart/not restart the clock. <b>GNC 3. To be resolved.</b></p> <p><b>Implementation</b> was not appropriate where the BCA was not recording consideration of Specified Systems, Performance Standards and Inspection Maintenance and Reporting information during processing. <b>GNC 3. To be resolved.</b></p> <p><b>7(2)(e) Planning Site Inspections</b> Procedures addressed requirements and were effectively implemented. Site inspections were determined during processing.</p>	



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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 4. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p><b>Compliance with Form 5</b>  Procedures addressed requirements.</p> <p><b>Implementation</b> was not effective when issuing a building consent (Form 5) for a new construction or an alteration to an existing building with specified systems that must be covered by the Compliance Schedule. Specifically, the BCA was not attaching a Draft Compliance Schedule to the Form 5 listing the specified systems and their performance standards as per the BCA procedure. <b>GNC 4. To be resolved.</b></p> <p><b>Lapsing</b>  Procedures addressed requirements and were effectively implemented.</p> <p><b>Compliance with statutory timeframes</b>  Procedures addressed requirements. The BCA had been mostly compliant with the statutory clock for granting consents in all the previous 24 months. The BCA was investigating recording and resolving any exceptions to compliance.</p>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p>Inspections were planned as part of processing. Procedures addressed requirements. Implementation of procedures onsite was not fully reviewed due to COVID-19 restrictions. Records of site inspections were reviewed and deemed appropriate.</p>	

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 5. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<p><b>Application for a code compliance certificate</b> Procedures addressed requirements and were effectively implemented.</p> <p><b>Code compliance certificates</b> Procedures addressed requirements. <b>Implementation</b> was not effective where the BCA was issuing CCCs without receiving Fire Alarm Installation Certificates from an accredited Inspection Body. <b>GNC 5. To be resolved</b></p> <p><b>24 month CCC decision</b> Procedures addressed requirements and were effectively implemented. There were a few (21) historic consents in the BCA system where the BCA was required to make a decision to issue/not issue CCC at 24 months as there had been no application for CCC, but where the BCA was yet to make this decision. The BCA was actively managing those few.</p> <p><b>Compliance with statutory timeframes</b> Procedures addressed requirements. <b>Implementation</b> was not effective where the BCA was not initiating the clock when there was a complete application but there had been no final inspection. <b>GNC 5. To be resolved.</b></p> <p><b>Implementation</b> of procedures to establish compliance with the statutory clock was not reliable because of the previous finding. Therefore the Assessors were not able to determine compliance with this requirement. <b>GNC 5. To be resolved.</b></p> <p><b>Compliance schedules</b> Procedures addressed requirements. <b>Implementation</b> was not effective where the BCA was issuing Compliance Schedules with incorrect and non-specific Performance Standards. <b>GNC 5. To be resolved</b></p> <p><b>Notices to fix</b> <b>Procedures</b> did not address the requirement to issue a NTF to the specified person. <b>GNC 5. Resolved during assessment.</b></p> <p><b>Procedures</b> did not address the requirement to notify another responsible authority of the potential need for a NTF. <b>GNC 5. Resolved during assessment.</b></p> <p>The BCA had not issued any NTF for Building Control Functions since their last assessment.</p>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

## REGULATION 8 ENSURING ENOUGH EMPLOYEES AND CONTRACTORS

### Regulation 8(1): forecasting workflow

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

**REGULATION 9 ALLOCATING WORK**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNCs 6, 7, 8, 9, 10, 11. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements.	
<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(a-f) in the Site Inspector Competency Assessments. <b>GNCs 6, 7, 8, 9, 10, 11. To be resolved.</b>	

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNCs 12, 13. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<b>11(2)(a) Training Needs Assessments</b> Procedures addressed requirements. <b>Implementation</b> was not effective where the BCA had not undertaken annual training needs assessment of all employees performing a building control function by doing a technical job since July 2018. <b>GNC 12. To be resolved.</b>	
<b>11(2)(b) Training Plans</b> Procedures addressed most requirements. <b>Procedures</b> and <b>implementation</b> were not effective where the Training Plans did not specify the outcome desired from any training. <b>GNC 13. To be resolved.</b>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented. The BCA was currently contracting the services of Technical Leadership from an external contractor.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	Yes
<b>Non-compliance number/s:</b>	<b>GNC 14. Resolved during assessment</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements. Implementation was mostly effective.	
<p><b>Implementation</b> was not effective where the BCA had not recorded/delegated the power to implement s133 AT of the Building Act. <b>GNC 14. Resolved during assessment.</b></p>	



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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 15. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements. Implementation was mostly effective.	
<b>Implementation</b> was not effective where a summary of complaints laid in relation to buildings, and the BCA's response were not retained in the Consent Files. <b>GNC 15. To be resolved.</b>	

**REGULATION 17 ASSURING QUALITY**

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had developed a Quality Assurance System that covered management and operations. Where omissions were found they are addressed under their relevant regulation.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
The BCA had a suitable Quality Policy with appropriate objectives. The BCA had named their Quality Manager as Alistair Dunlop.	

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

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

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 16. To be resolved.</b>
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
<b>Procedures</b> and their <b>implementation</b> were not effective where the BCA was not specifically reporting progress against the objectives in their Quality Policy. <b>GNC 16. To be resolved.</b>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

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

<b>Non-compliance? Y/N</b>	<b>Yes - See Record of Non-compliance for details</b>
<b>Non-compliance number/s:</b>	<b>GNC 17. To be resolved</b>
<b>Opportunities for improvement? Y/N</b>	<b>Yes</b>
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	1
<b>Advisory note number/s:</b>	A2
<b>Observations and comments, including good practice and performance</b>	
<p>Procedures addressed requirements.</p> <p><b>Implementation</b> was not demonstrated where the BCA is required as a result of any relevant outcome from management review or audit under regulations 17(2)(d), (h) or (5) to communicate QA matters to employees and contractors. <b>GNC 16. To be resolved.</b></p> <p>The BCA is advised (<b>A2</b>) to consider embedding in their respective procedures (rather than as a stand-alone procedure) the prompt "The BCA will communicate Quality Assurance matters to employees and contractors" as a result of any relevant outcome from 17(2)(d), (h) and 17(5) review.</p>	

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

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

**REGULATION 18 TECHNICAL QUALIFICATIONS**

<b>Non-compliance? Y/N</b>	No
<b>Non-compliance number/s:</b>	-
<b>Opportunities for improvement? Y/N</b>	No
<b>Number of recommendations:</b>	0
<b>Recommendation number/s:</b>	-
<b>Number of advisory notes:</b>	0
<b>Advisory note number/s:</b>	-
<b>Observations and comments, including good practice and performance</b>	
Procedures addressed requirements and were effectively implemented.	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 3</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 7(2)(d)(iv)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> of the procedure for managing receipt of RFI was not consistent. Specifically the BCA was not always backdating the statutory clock and was not always aware when to restart/not restart the clock.</p> <p><b>Implementation</b> was not appropriate where the BCA was not recording consideration of Specified Systems, Performance Standards and Inspection Maintenance and Reporting information during processing.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by date</b>.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 4</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 7(2)(d)(v)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective when issuing a F5 with specified systems that must be covered by the compliance schedule. Specifically the BCA was not attaching Draft CS to F5 as per BCA procedure.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	



## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 5</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 7(2)(f)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Compliance with statutory timeframes</b>  <b>Implementation</b> was not effective where the BCA was not initiating the clock when there was a complete application but there had been no final inspection.</p> <p><b>Implementation</b> of procedures to establish compliance with the statutory clock was not reliable because of the previous finding. Therefore the Assessors were not able to determine compliance with this requirement.</p> <p><b>Compliance schedules</b>  <b>Implementation</b> was not effective where the BCA was issuing Compliance Schedules with incorrect and/or non-specific Performance Standards.</p> <p><b>Implementation</b> was not effective where the BCA was issuing CCCs without Fire Alarm Installation Certificates from an accredited Inspection Body.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by date</b>.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		

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

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 6</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(a)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(a) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 7</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(b)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(b) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 8</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(c)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(c) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 9</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(d)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(d) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 10</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(e)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(e) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 11</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 10(3)(f)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(f) in the Site Inspector Competency Assessments</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	



## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 12</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 11(2)(a)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where the BCA had not undertaken annual training needs assessment of all employees performing a building control function by doing a technical job since July 2018.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 13</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 11(2)(b)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Procedures</b> and <b>implementation</b> were not effective where the Training Plans did not specify the outcome desired from any training.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 15</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 16(2)(a)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not effective where a summary of complaints laid in relation to buildings, and the BCA's response were not retained in the Consent Files</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 16</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 17(2)(d)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<b>Procedures</b> and their <b>implementation</b> were not effective where the BCA was not specifically reporting progress against the objectives in their Quality Policy	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) <u>no later than</u> the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## RECORD OF NON-COMPLIANCE

<b>Non-compliance number:</b>	<b>GNC 17</b>	
<b>Breach of regulatory requirement:</b>	<b>Regulation 17(4)</b>	
<b>Finding:</b>	<b>General Non-compliance</b>	
<b>Finding details:</b>	<p><b>Implementation</b> was not demonstrated where the BCA is required as a result of any relevant outcome from management review or audit under regulations 17(2)(d), (h) or (5) to communicate QA matters to employees and contractors.</p>	
<b>BCA Actions required:</b>	<p>Please analyse the cause of the above finding and then develop and implement an action plan to address the finding.</p> <p>Please provide the action plan to IANZ for acceptance (<b>Plan of action</b>), along with details of the records of the evidence that will be supplied to address the non-compliance (<b>Proposed evidence of implementation</b>), by the <b>Plan of action from BCA date</b> indicated below .</p> <p>Once the action plan has been accepted and implemented please provide complete evidence to demonstrate that the findings have been addressed (<b>Evidence of implementation</b>) no later than the <b>Evidence of implementation from BCA date</b> indicated below. Please allow sufficient time to ensure that the non-compliance can be cleared by the <b>Non-compliance to be cleared by</b> date.</p>	
<b>IMPORTANT DATES</b>		
<b>Non-compliance to be cleared by:</b>	<b>21/12/2020</b>	
	<b>Due by:</b>	<b>Accepted by IANZ:</b>
<b>Plan of action from BCA date:</b>	21/10/2020	<a href="#">Click here to enter a date.</a>
<b>Evidence of implementation from BCA date:</b>	7/12/2020	<a href="#">Click here to enter a date.</a>
<b>EVIDENCE</b>		
<b>Plan of action:</b> <i>To be provided by BCA</i>		
<b>Proposed evidence of implementation:</b> <i>To be provided by BCA</i>		
<b>Evidence of implementation:</b>		
<b>Non-compliance cleared? Y/N</b>	<a href="#">Choose an item.</a>	
<b>Signed:</b>		
<b>Date:</b>	<a href="#">Click here to enter a date.</a>	

## SUMMARY OF RECOMMENDATIONS

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

No recommendations were made.

## SUMMARY OF ADVISORY NOTES

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

### IANZ advises that:

- A1 The BCA consider ensuring that it does not accept incomplete applications.
- A2 The BCA consider embedding in their respective procedures (rather than as a stand-alone procedures) the prompt "The BCA will communicate Quality Assurance matters to employees and contractors" as a result of any relevant outcome from 17(2)(d), (h) and 17(5) review.

## SUMMARY TABLE OF NON-COMPLIANCE

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

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
6(A)(1)	Choose an item.													
6(A)(2)	Choose an item.													
<b>Regulation 7</b>														
7(1)	Choose an item.													
7(2)(a)	General	GNC 1	Yes	Yes					Yes					<p><b>The</b> Public Information did not discuss method of fee and levy payment for consents, inspections and Code Compliance Certificates under application or CCC processes.</p> <p>Public Information incorrectly required at 24 months that "Your consented building work should be completed within 2 years of the date consent was granted"</p> <p>Public Information did not discuss required content and detail required of plans, and supporting material.</p>
7(2)(b)	Choose an item.													
7(2)(c)	General	GNC 2	Yes	Yes					Yes				1	<b>Procedures</b> did not describe what happens if the application is not complete (e.g. reject and or return)
7(2)(d)(i)	Choose an item.													
7(2)(d)(ii)	Choose an item.													
7(2)(d)(iii)	Choose an item.													
7(2)(d)(iv)	General	GNC 3			Yes				No	21/12/2020				<p><b>Implementation</b> of the procedure for managing receipt of RFI was not consistent. Specifically the BCA was not always backdating the statutory clock and was not always aware when to restart/not restart the clock.</p> <p><b>Implementation</b> was not appropriate where the BCA was not recording consideration of Specified Systems, Performance Standards and Inspection Maintenance and Reporting information during processing.</p>
7(2)(d)(v)	General	GNC 4			Yes				No	21/12/2020				<b>Implementation</b> was not effective when issuing a Form 5 with specified systems as it was not attaching a Draft Compliance Schedule as per BCA procedure.
7(2)(e)	Choose an item.													
7(2)(f)	General	GNC 5	Yes	Yes	Yes				Part	21/12/2020				<p><b>Compliance with statutory timeframes</b></p> <p><b>Implementation</b> was not effective where the BCA was not initiating the clock when there was a complete application but there had been no final inspection.</p> <p><b>Implementation</b> of procedures to establish compliance with</p>



Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
														<p>the statutory clock was not reliable because of the previous finding. Therefore the Assessors were not able to determine compliance with this requirement.</p> <p><b>Compliance schedules</b> <b>Implementation</b> was not effective where the BCA was issuing Compliance Schedules with incorrect and/or non-specific Performance Standards.</p> <p><b>Code Compliance Certificates</b> <b>Implementation</b> was not effective where the BCA was issuing CCCs without Fire Alarm Installation Certificates from an accredited Inspection Body.</p> <p><b>Notices to fix</b> <b>Procedures</b> did not address the requirement to issue a NTF to the specified person or the requirement to notify another responsible authority of the potential need for a NTF.</p>
7(2)(g)	Choose an item.													
7(2)(h)	Choose an item.													
<b>Regulation 8</b>														
8(1)	Choose an item.													
8(2)	Choose an item.													
<b>Regulation 9</b>														
9	Choose an item.													
<b>Regulation 10</b>														
10(1)	Choose an item.													
10(2)	Choose an item.													
10(3)(a)	General	GNC 6			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(a) in the Site Inspector Competency Assessments
10(3)(b)	General	GNC 7			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(b) in the Site Inspector Competency Assessments
10(3)(c)	General	GNC 8			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(c) in the Site Inspector Competency Assessments
10(3)(d)	General	GNC 9			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(d) in the Site Inspector Competency Assessments
10(3)(e)	General	GNC 10			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(e) in the Site Inspector Competency Assessments
10(3)(f)	General	GNC 11			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA was not consistently recording specific evidence against 10(3)(f) in the Site Inspector Competency Assessments
<b>Regulation 11</b>														
11(1)	Choose an item.													
11(2)(a)	General	GNC 12			Yes				No	21/12/2020				<b>Implementation</b> was not effective where the BCA had not undertaken annual training needs assessment of all

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
														employees performing a building control function by doing a technical job since July 2018
11(2)(b)	General	GNC 13	Yes	Yes	Yes				No	21/12/2020				<b>Procedures</b> and <b>implementation</b> were not effective where the Training Plans did not specify the outcome desired from any training.
11(2)(c)	Choose an item.													
11(2)(d)	Choose an item.													
11(2)(e)	Choose an item.													
11(2)(f)	Choose an item.													
11(2)(g)	Choose an item.													
<b>Regulation 12</b>														
12(1)	Choose an item.													
12(2)(a)	Choose an item.													
12(2)(b)	Choose an item.													
12(2)(c)	Choose an item.													
12(2)(d)	Choose an item.													
12(2)(e)	Choose an item.													
12(2)(f)	Choose an item.													
<b>Regulation 13</b>														
13(a)	Choose an item.													
13(b)	Choose an item.													
<b>Regulation 14</b>														
14	Choose an item.													
<b>Regulation 15</b>														
15(1)(a)	Choose an item.													
15(1)(b)	Choose an item.													
15(2)	General	GNC 14			Yes				Yes					<b>Implementation</b> was not effective where the BCA had not recorded/delegated the power to implement s133 AT of the Building Act
<b>Regulation 16</b>														
16(1)	Choose an item.													
16(2)(a)	General	GNC 15			Yes				No	21/12/2020				<b>Implementation</b> was not effective where a summary of complaints laid in relation to buildings, and the BCA's response were not retained in the Consent Files.
16(2)(b)	Choose an item.													
16(2)(c)	Choose an item.													
<b>Regulation 17</b>														
17(1)	Choose an item.													
17(2)(a)	Choose an item.													
17(2)(b)	Choose an item.													
17(2)(c)	Choose an item.													
17(2)(d)	General	GNC 16	Yes	Yes	Yes				No	21/12/2020				<b>Procedures</b> and their <b>implementation</b> were not effective where the BCA was not specifically reporting progress against the objectives in their Quality Policy
17(2)(e)	Choose an item.													
17(2)(h)	Choose an item.													

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? Enter "Yes" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (one sentence/line only to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recs	Advisory notes	
17(2)(i)	Choose an item.													
17(2)(j)	Choose an item.													
17(3)	Choose an item.													
17(3A)(a)	Choose an item.													
17(3A)(b)	Choose an item.													
17(3A)(c)	Choose an item.													
17(4)(a)	General	GNC 17			Yes				No	21/12/2020			1	<b>Implementation</b> was not demonstrated where the BCA is required as a result of any relevant outcome from management review or audit under regulations 17(2)(d), (h) or (5) to communicate QA matters to employees and contractors.
17(4)(b)	Choose an item.													
17(5)(a)	Choose an item.													
(a)17(5)(b)	Choose an item.													
Regulation 18														
18(1)	Choose an item.													
18(3)(a)	Choose an item.													
18(3)(b)	Choose an item.													