

2 May 2022

[REDACTED]

[REDACTED]

**Request for Official Information responded to under the Local Government and Official Information and Meetings Act 1987 (LGOIMA) (the Act) – reference: 2122-232**

I refer to your information request we received on 6 April 2022 for the following:

- 1. Can you please provide me with your Councils Building Consents Quality Assurance System/Manual that outlines all the internal policy, processes and procedures supporting building control functions.***

Please find attached, a copy of the Quality Assurance Manual the Council's Building Consenting Authority.

- 2. I am also creating a report outlining the use of virtual and remote inspections from regulatory bodies in Australia and New Zealand as a result of Covid and thus I would like to request the Remote/Virtual Inspection policies and procedures set out by your Council.***

We have no specific remote/virtual inspection policies or procedures. On that basis I must decline this part of your request as the documents alleged to contain the information requested do not exist, despite reasonable efforts to locate them, cannot be found, section 17(e) of the Act refers.

- 3. I understand that Kapiti Coast District council uses BRANZ Artisan to conduct remote inspections, thus please provide all the producers, manuals, checklists and information surrounding this inspection tool that your council has in place. What measures have been adopted by your Council to ensure that the quality is maintained when undertaking remote/virtual inspections similar to regular site inspections?***

The council began a trial of Artisan but did not continue to trial its use in the field. We do not have any producers, manuals, checklists or information for the use of this tool. On that basis I must decline this part of your request as the documents alleged to contain the information requested do not exist, despite reasonable efforts to locate them, cannot be found, section 17(e) of the Act refers.

**4. How does your council ensure that the inspectors undertaking remote inspections have been suitably trained and competent in the use of this system and in undertaking inspection for specific projects.**

As we do not use a remote inspections tool, no training has been required. On that basis I must decline this part of your request as the documents alleged to contain the information requested do not exist, despite reasonable efforts to locate them, cannot be found, section 17(e) of the Act refers.

**5. Please provide a recent and complete remote inspection report prepared by Officers of your Council. (you may redact information for specific sites to maintain privacy).**

As we do not use a remote inspections tool no reports are available. On that basis I must decline this part of your request as the documents alleged to contain the information requested do not exist, despite reasonable efforts to locate them, cannot be found, section 17(e) of the Act refers.

**6. How many remote inspections has your Council undertaken from 2020 till date using Artisan or any other remote/virtual inspection tool. How many of them were Pass and Fail? (if you have data available).**

There were no remote/virtual inspections undertaken. On that basis I must decline this part of your request as the documents alleged to contain the information requested do not exist, despite reasonable efforts to locate them, cannot be found, section 17(e) of the Act refers.

I hope I have answered your questions. Alternatively you have the right to request the Ombudsman to review this decision. Complaints can be sent by email to [info@ombudsman.parliament.nz](mailto:info@ombudsman.parliament.nz), by fax to (04) 471 2254, or by post to The Ombudsman, PO Box 10152, Wellington 6143.

Ngā mihi



**James Jefferson**  
Group Manager Regulatory Services  
Te Kaihautū Ratonga Whakaritenga

**KAPITI COAST DISTRICT  
COUNCIL**

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

## Revision History

Version No:	Reason for Revision	Quality Manager / Quality Officer	Effective Date
1	New document	Claire Stevens	15 Aug 2013
2	Update QA2 to reflect use of Agenda and Minute Forms	Katrina Shieffelbein	16 Sept 2013
3	Update PI1 to reflect new mechanism for managing complaints & update org chart	Claire Stevens	8 Nov 2013
4	Changes as determined by Continuous Improvements: 28, 45, 68, 70, 71, 83, 84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 101, 106, 111, 125, 126, 127, 131, 133 and 149.	Katrina Shieffelbein	25 Nov 2013
5	Changes as determined by Continuous Improvements: 96, 101, 145, 149, 171, 174, 189, 222,	Katrina Shieffelbein	8 Aug 2014
6	Changes as determined by Continuous Improvements: 63, 128, 193, 221, 242, 251, 253, 256, 272, 273, 275, 276, 277, 280, 283, 296, 300	Katrina Shieffelbein	16 July 2015
7	Changes as determined by Continuous Improvements: 316, 323, 324, 325	Katrina Shieffelbein	5 Aug 2015
8	Changes as determined by Continuous Improvements: 170, 263, 276, 338, 343, 346, 350, 353, 356, 367, 370, 372, 374, 383, 384, 388, 393, 396, 397, 400, 401, 419, 420, 442, 443, 450, 393	Katrina Shieffelbein	5 Oct 2015
9	Changes as determined by Continuous Improvements: 454, 455	Katrina Shieffelbein	8 Oct 2015
10	Changes as determined by Continuous Improvements: 454, 455, 456	Katrina Shieffelbein	8 Oct 2015
11	Changes as determined by Continuous Improvements: 253, 342, 381, 388, 457, 459, 464, 465, 487, 496, 507, 519, 523, 524, 533, 537, 539, 541, 548, 567	Katrina Shieffelbein	30 June 2016
12	Changes as determined by Continuous Improvements: 460, 573, 580, 581, 582, 584, 595, SR1638422, SR1637784	Katrina Shieffelbein	1 Nov 2016
13	Changes as determined by Continuous Improvements: 481, SR1710823, SR1711885, SR1713599, SR1713514, SR1714247, SR1714321, SR1715021, SR1719491, SR1719212, SR1719248, SR1719334, SR1719185, SR1719176, SR1719352, SR1726644, SR1726647, SR1727179, SR1727226, SR1727234,	Katrina Shieffelbein	14 July 2017

<b>Version No:</b>	<b>Reason for Revision</b>	<b>Quality Manager / Quality Officer</b>	<b>Effective Date</b>
14	<b>Changes as determined by Continuous Improvements:</b> SR1645490, SR1719601, SR1720502, SR1721664, SR1722026, SR1722817, SR1724074, SR1724075, SR1724430, SR1724964, SR1725131, SR1725157, SR1725171, SR1725173, SR1725180, SR1725192, SR1725196, SR1725257, SR1725324, SR1725332, SR1725375, SR1725380, SR1725383, SR1725399, SR1725411, SR1725420, SR1725428, SR1725468, SR1725400, SR1725470, SR1725787, SR1725792, SR1725796, SR1725802, SR1725814, SR1725828, SR1725833, SR1725834, SR1726795, SR1726798, SR1727863, SR1727872, SR1727888, SR1728737, SR1728780, SR1728781, SR1728799, SR1729420, SR1729635, SR1730424, SR1730985, SR1729800, SR1725268, SR1725283, SR1731373, SR1725827, SR1727448	<b>Katrina Shieffelbein</b>	<b>18 August 2017</b>
15	<b>Changes as determined by Continuous Improvements:</b> SR1721998, SR1722814, SR1725275, SR1725279, SR1725406, SR1731791, SR1732449, SR1732455, SR1732632, SR1733774, SR1735283, SR1735556, SR1736083, SR1736084, SR1936224, SR1736918, SR1736920, SR1737079, SR1737082, SR1737096, SR1737133, SR1737356, SR1737359, 1737627	<b>Katrina Shieffelbein</b>	<b>28 September 2017</b>
16	<b>Changes as determined by Continuous Improvements:</b> SR1737566, SR1738171, SR1738177, SR1738179, SR1738180, SR1738261, SR1738290, SR1738292, SR1738294, SR1738560, SR1738903, SR1738955, SR1738973, 1738979, SR1738977	<b>Katrina Shieffelbein</b>	<b>10 October 2017</b>
17	<b>Changes as determined by Continuous Improvements:</b> SR1725269, SR1738492, SR1740728, SR1742542, SR1742837, SR1744646	<b>Katrina Shieffelbein</b>	<b>22 November 2017</b>
18	<b>Changes as determined by Continuous Improvements:</b> SR1725792, SR1744987, SR1745303, SR1745306, SR1745327, SR1745341, SR1745345, SR1745346, SR1745351, SR1745352, SR1745359, SR1746186, SR1746675, SR1746854, SR1746916, SR1746932, SR1746976, SR1747876, SR1800507, SR1800779, SR1801140, SR1805372, SR1805453, SR1805460, SR1805461, SR1805464	<b>Katrina Shieffelbein</b>	<b>7 March 2018</b>
19	<b>Changes as determined by Continuous Improvements:</b> SR1808629, SR1810656, SR1810824, SR1811156, SR1813431, SR1814061, SR1814177, SR1814373, SR1814807, SR1815184	<b>Katrina Shieffelbein</b>	<b>20 April 2018</b>
20	<b>Changes as determined by Continuous Improvements:</b> SR1812952, SR1816768, SR1816772, SR1816821, SR1817226, SR1817559, SR1817566, SR1818530, SR1819805, SR1819811, SR1819933, SR1820164, SR1820375, SR1820978, SR1821185, SR1821296, SR1821732, SR1821737, SR1821741, SR1822005	<b>Katrina Shieffelbein</b>	<b>8 June 2018</b>

Version No:	Reason for Revision	Quality Manager / Quality Officer	Effective Date
21	<b>Changes as determined by Continuous Improvements:</b> SR1821726, SR1823348, SR1823792, SR1823806, SR1823839, SR1823845, SR1823848, SR1823849, SR1823851, SR1823852, SR1823865, SR1826284, SR1826442, SR1826448, SR1827167, SR1827892, SR1827893, SR1827896, SR1827898, SR1827899, SR1827904, SR1827905, SR1827923, SR1827924, SR1827925, SR1827926, SR1827928, SR1827929, SR1827930, SR1827935, SR1827936, SR1827961, SR1827962, SR1827972, SR1827973, SR1827975, SR1827977, SR1827978, SR1827979, SR1827980, SR1827981, SR1827982, SR1827983, SR1827984, SR1828396, SR1828926, SR1828927, SR1828929, SR1828936, SR1828958, SR1828963, SR1828964, SR1828967, SR1829008, SR1829010, SR1831830, SR1833058, SR1835359, SR1835410	Katrina Shieffelbein	17 September 2018
22	<b>Changes as determined by Continuous Improvements:</b> SR1836314, SR1836654, SR1837420, SR137409, SR1837898, SR1838135, SR1838298, SR1839660, SR1841008, SR1841044, SR1841889, SR1841896, SR1841980, SR1844674	Katrina Shieffelbein	14 December 2018
23	<b>Changes as determined by Continuous Improvements:</b> SR1908476, SR1908469, SR1828998, SR1909172, SR 1909163, SR1909167, SR1909168, SR1908466, SR1909161, SR1909311, SR1909336, SR1909312, SR1909332, SR1909325, SR1909413, SR1909316, SR1909310, SR1909158, SR1909308, SR1847499, SR1847491, SR1847490, SR1847488, SR1909313, SR1905054, SR1902964, SR1902543, SR1902494, SR1902494, SR1902478, SR1902420, SR1847563, SR1847561, SR1847554, SR1847550, SR1910670, SR1847557, SR1909335, SR1909747, SR1909813, SR1909746, SR1908474, SR1909741, SR1905995, SR1903183, SR1902200, SR1847487, SR1847456, SR1847426, SR1847425, SR1847464, SR1847423, SR1847415, SR1847410, SR1847409, SR1909161, SR1847202, SR1847475, SR1914094, SR1914098, SR1914096, SR1914095, SR1914108, SR1914110, SR1914142, SR1914114, SR1909345, SR1905066, SR1902840, SR1828954, SR1913910, SR1827911, SR1905056, SR1909739, SR1915667, SR1905074, SR1915397, SR1914145, SR1914146, SR1914154, SR1914159, SR1914160, SR1915407, SR1914163, SR1914162, SR1914161, SR1916380, SR1911337, SR1638548, SR1747716, SR1825385, SR1916098,	Linda Guerin	27 June 2019
24	<b>Changes as determined by Continuous Improvements:</b> SR1919083, SR1909321, SR1919317, SR1919312, SR1920402, SR1921622, SR1921623, SR1919311, SR1919316, SR1919318, SR1919321, SR1922154, SR1922156, SR1922122, SR1923485, SR1922582, SR1922581, SR1922580	Linda Guerin	19 August 2019

<b>Version No:</b>	<b>Reason for Revision</b>	<b>Quality Manager / Quality Officer</b>	<b>Effective Date</b>
25	<b>Changes as determined by Continuous Improvements:</b> SR1926699, SR1926594, SR1926679, SR1926189, SR1926626, SR1927022, SR1927087, SR1927089, SR1927091, SR1927073, SR1927063, SR1927062, SR1927428, SR1927426, SR1927070, SR1927557, SR1927520, SR1927619, SR1928132, SR1928121, SR1928125, SR1928365, SR1928374, SR1928377, SR1928370, SR1928381, SR1928382, SR1928393, SR1928397, SR1928400, SR1928469, SR1928119, SR1928130, SR1928101, SR1928135,	Linda Guerin	4 October 2019
26	<b>Changes as determined by Continuous Improvements:</b> SR1927071, SR1928734, SR1928895, SR1928896, SR1928897, SR1928899, SR1928905, SR1928951, SR1928955, SR1929005, SR1930359, SR1930437, SR1928718, SR1933698, SR1933843, SR1933847, SR1933856, SR1933857, SR1933859, SR1933859, SR1933860, SR1933866, SR1933864, SR1933858, SR1934431, SR1934119, SR1934432, SR1934433, SR1934450, SR1935198, SR1935953, SR1935200, SR1932890, SR1935202	Linda Guerin	16 December 2019
27	<b>Changes as determined by Continuous Improvements:</b> SR2003174, SR2003652, SR2003657, SR2003673, SR2003674, SR2003687, SR2003664, SR2003682, SR2005371, SR2003684, SR2007220, SR2007216, SR2007207, SR2007229, SR1934468, SR2007200, SR2007201, SR2007193, SR2007576, SR2007228, SR2010041, SR2007654, SR2012777, SR2012608, SR2007227, SR2010027, SR2013293, SR2013157, SR2003676, SR2014147	Linda Guerin	9 June 2020
28	<b>Changes as determined by Continuous Improvements:</b> SR2015179, SR2015182, SR2015184, SR2015311, SR2015313, SR2015315, SR2015316, SR2015319, SR2014804, SR2015902, SR2010031, SR2010032, SR2016294, SR2016784, SR2013154, SR2017936, SR2017752, SR2017737, SR2017734, SR2017732, SR2018530, SR2017748	Linda Guerin	16 July 2020
29	<b>Changes as determined by Continuous Improvements:</b> SR2019107, SR2015177, SR2010039, SR2017743, SR2029599, SR2028397, SR2025018, SR2026113, SR2033069, SR2034731, SR2034729, SR2034736, SR2034737, SR2035273, SR2035322, SR2035323, SR2035325, SR2035328, SR2035330, SR2035331, SR2035683, SR2035329, SR2035333, SR2101811, SR2035324, SR2017742, SR2018916, SR2026933, SR2103161, SR2035213, SR2103394, SR2103397, SR2103405, SR2103406, SR2103412, SR2103437	Linda Guerin	1 February 2021

Version No:	Reason for Revision	Quality Manager / Quality Officer	Effective Date
30	<b>Changes as determined by Continuous Improvements:</b> SR2104256, SR2104258, SR2104259, SR2104260, SR2104262, SR2104263, SR2104265, SR2104266, SR2104267, SR2104270, SR2104271, SR2104273, SR2104274, SR2104277, SR2103403, SR2104383, SR2104399, SR2104400, SR2104268, SR2103368, SR2105608, SR2105610, SR2105611, SR2104257, SR2105655, SR2105666, SR2105677, SR2105698, SR2105701, SR2104404, SR2104416, SR2104417, SR2104418, SR2104420, SR2104421, SR2104422, SR2104423, SR2106903, SR2106877, SR2104261, SR2108606, SR2108607, SR2108608, SR2103338, SR2106875, SR2103396, SR2110227, SR2114442, SR2112345, SR2112333, SR2112346, SR2115028, SR2115562, SR2115966, SR2104427, SR2116402, SR2109999, SR2116000, SR2115239, SR2117055, SR2117057, SR2117058, SR2117064, SR2117066, SR2117072, SR2115894, SR2115891, SR2116715, SR2119854, SR2114487	<b>Linda Guerin Katrina Shieffelbein</b>	<b>28 June 2021</b>
31	<b>Changes as determined by Continuous Improvements:</b> SR2121186, SR2121190, SR2121192, SR2121387, SR2121388, SR2121447, SR2121468, SR2121471, SR2121116, SR2121072, SR2105932, SR2104380, SR2103369, SR2117056, SR2003175, SR2035327, SR2103413, SR2103413, SR2007208, SR2121440, SR2122315, SR2122187, SR2104428, SR2121131, SR2122668, SR2121123, SR2122674, SR2123567, SR2121133, SR2123896, SR2123925	<b>Linda Guerin</b>	<b>4 August 2021</b>
32	<b>Changes as determined by Continuous Improvements:</b> SR2128875, SR2129846, SR2130289, SR2130652, SR2130939, SR2130976, SR2130985, SR2130986, SR2130987, SR2130991, SR2130989, SR2132334, SR2132331, SR2132356, SR2132290, SR2132256, SR2132392, SR2132357, SR2132382, SR2132399, SR2132368	<b>Linda Guerin Katrina Shieffelbein</b>	<b>29 October 2021</b>
33	<b>Changes as determined by Continuous Improvements:</b> SR2121470, SR212316, SR2128314, SR2128521, SR2131012, SR2131013, SR2131016, SR2131018, SR2131021, SR2131473, SR2131675, SR2132621, SR2134116, SR2136600, SR2137751, SR2204067, SR2204077, SR2204084, SR2204087, SR2204090, SR2204093, SR2204095, SR2204098, SR2204602, SR2204703	<b>Katrina Shieffelbein</b>	<b>24 March 2022</b>



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## Cross Reference to Regulations

Regulation	System Required	QAS Reference
5	Requirement for policies and procedures and systems	<a href="#">QA 6 Document Control</a> (page 79)
5(c)	Procedure for ensuring that policies, procedures and systems are implemented in a consistent and effective manner	<a href="#">QA 2 Internal Audit</a> (page 71)
6A	Procedure for notifying MBIE and the accreditation body.	<a href="#">QA 9 Notification Requirements</a> (page 82)
7(2)(a)	Procedure for providing information to the public.	<a href="#">PI 2 Public Information</a> (page 51)
7(2)(b)	Procedure for receiving applications	<a href="#">BC 1 Building Consent Application Received</a> (page 13), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(c)	Procedure for vetting applications	<a href="#">BC 1 Building Consent Application Received</a> (page 13), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(d)(i)	Procedure for entering applications in the processing system.	<a href="#">BC 1 Building Consent Application Received</a> (page 13), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(d)(ii)	Procedure for assessing applications.	<a href="#">BC 1 Building Consent Application Received</a> (page 13), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(d)(iii)	Procedure for allocating applications for processing.	<a href="#">BC 1 Building Consent Application Received</a> (page 13), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(d)(iv)	Procedure for processing applications.	<a href="#">BC 2 Consent Application Processing</a> (page 18), <a href="#">BC 5 Amend Consent</a> (page 27), <a href="#">BC 6 Building Alterations – Compliance with Code</a> (page 30), <a href="#">BC 7 Buildings on Land Subject to Natural Hazards</a> (page 31), <a href="#">BC 8 Referral to Fire and Emergency New Zealand</a> (page 34), <a href="#">BC 9 Producer Statements</a> (page 35) <a href="#">BC 10 Owner Builder Exemption</a> (page 36)
7(2)(d)(v)	Procedure for granting, refusing to grant and issuing building consents.	<a href="#">BC 2 Consent Application Processing</a> (page 18), <a href="#">BC 3 Issue Consent</a> (page 24), <a href="#">BC 4 Extension of Time to Start Work</a> (page 26), <a href="#">BC 5 Amend Consent</a> (page 27)
7(2)(e)	Procedure for planning, performing and managing inspections.	<a href="#">BI 1 Booking Inspections</a> (page 37), <a href="#">BI 2 Inspections</a> (page 39)
7(2)(f)	Procedure for issuing and refusing to issue CCCs, compliance schedules and Notices to Fix.	<a href="#">BI 4 Code Compliance Certificate</a> (page 44), <a href="#">BI 5 Monitoring Code Compliance Certificates</a> (page 47), <a href="#">BI 6 Compliance Schedules</a> (page 48), <a href="#">BI 3 Notice to Fix</a> (page 42)
7(2)(g)	Procedure for receiving and managing inquiries.	<a href="#">PI 1 Complaints and Inquiries</a> (page 49)
7(2)(h)	Procedure for receiving and managing complaints.	<a href="#">PI 1 Complaints and Inquiries</a> (page 49)

<b>Regulation</b>	<b>System Required</b>	<b>QAS Reference</b>
<b>8</b>	Procedure for ensuring that the BCA has sufficient employees and/or contractors to perform its building control functions.	<u>CA 6 Ensuring Enough Employees and Contractors</u> (page 65), <u>CA 8 Organisational Capability</u> (page 68) <u>QA 5 Management Review</u> (page 77)
<b>9</b>	Procedure describing how work is allocated to competent employees or contractors.	<u>BC 1 Building Consent Application Received</u> (page 13), <u>BI 1 Booking Inspections</u> (page 37)
<b>10(1)</b>	Procedure describing how the competence of a job applicant to perform building control functions is established.	<u>CA 1 Establishing Competence – Applicants for Employment</u> (page 58)
<b>10(2) and 10(3)</b>	Procedure describing how the competence of employees is assessed annually or more frequently.	<u>CA 2 Competence Assessment</u> (page 59)
<b>11(1)</b>	System for training.	<u>CA 3 Training</u> (page 61),
<b>11(2)(a)</b>	Procedure for making annual (or more frequent) training needs assessments.	<u>CA 3 Training</u> (page 61)
<b>11(2)(b)</b>	Procedure for preparing training plans.	<u>CA 3 Training</u> (page 61)
<b>11(2)(c)</b>	Procedure for ensuring training is received.	<u>CA 3 Training</u> (page 61)
<b>11(2)(d)</b>	Procedure for monitoring effectiveness of training.	<u>CA 3 Training</u> (page 61)
<b>11(2)(e)</b>	Procedure for supervising employees under training.	<u>CA 4 Supervision of Employees Under Training</u> (page 63)
<b>11(2)(f)</b>	Procedure for recording employees' qualifications, experience and training.	<u>CA 5 Recording of Training, Qualifications and Experience</u> (page 64)
<b>11(2)(g)</b>	Procedure for recording continuing training information.	<u>CA 5 Recording of Training, Qualifications and Experience</u> (page 64)
<b>12</b>	Procedure describing how contractors are chosen and used to perform building control functions.	<u>CA 7 Contractors</u> (page 66)
<b>13</b>	Procedure describing how employees and/or contractors who are competent to provide technical leadership are identified and given powers and authorities to provide technical leadership.	<u>CA 8 Organisational Capability</u> (page 68)
<b>14</b>	System for providing the technical information and technical facilities, and equipment that its employees and contractors need to perform building control functions effectively.	<u>AD 2 Information Resources</u> (page 54), <u>AD 3 Facilities and Equipment Management</u> (page 55) <u>QA7 Record Keeping</u> (page 80)

<b>Regulation</b>	<b>System Required</b>	<b>QAS Reference</b>
<b>15</b>	Organisation structure, reporting lines, staff accountabilities, roles, authorities, powers and limitations.	<u>BCA Organisational Structure</u> (Appendix 1, page 84) <u>Authority Matrix</u> (Appendix 4, page 86)
<b>16(1)</b>	Procedure for ensuring every application for a building consent is uniquely numbered.	<u>BC 1 Building Consent Application Received</u> (page 13), <u>BC 5 Amend Consent</u> (page 27), <u>AD 1 Filing of Building Consent Documents</u> (page 52)
<b>16(2)</b>	Procedure for ensuring all information relevant to the consent is filed, accessible and retrievable, and stored securely.	<u>BC 3 Issue Consent</u> (page 24), <u>BI 2 Inspections</u> (page 39), <u>AD 1 Filing of Building Consent Documents</u> (page 52)
<b>17(1)</b>	System for assuring the quality of the performance of building control functions.	This document.
<b>17(2)(a)</b>	QAS covering regulations 5 to 16.	As set out above
<b>17(2)(b)</b>	Quality Policy.	<u>Quality Policy</u> (page 12)
<b>17(2)(c)</b>	Ensuring operation within scope of accreditation.	As for Regulations 8, 9, 10, 11, and 12
<b>17(2)(d)</b>	Procedure for management review.	<u>QA 5 Management Review</u> (page 77)
<b>17(2)(e)</b>	Procedure for continuous improvement.	<u>QA 1 Continuous Improvement</u> (page 69)
<b>17(2)(h)</b>	Procedure for ensuring an internal audit of all building control functions every 12 months.	<u>QA 2 Internal Audit</u> (page 71)
<b>17(2)(i)</b>	Procedure for identifying and managing conflicts of interest	<u>QA 3 Conflicts of Interest</u> (page 73)
<b>17(2)(j)</b>	The procedure for communication with internal and external persons.	<u>QA 4 Communications</u> (page 75)
<b>17(3)</b>	Record of responsibility for managing the QAS.	<u>Definitions section</u> (page 11)
<b>17(3A)</b>	System for making complaints to relevant occupational or professional authorities about practitioners	<u>QA8 Complaints about Licensed Building Practitioners</u> (page 81)
<b>17(4)</b>	System for ensuring that employees and contractors comply with the QAS.	<u>QA 2 Internal Audit</u> (page 71), <u>CA 7 Contractors</u> (page 66)
<b>17(5)</b>	System for periodically reviewing the QAS, and making appropriate changes.	<u>QA 1 Continuous Improvement</u> (page 68) <u>QA 5 Management Review</u> (page 77)
<b>18</b>	System for ensuring that all BCA staff performing building control functions have or are working towards an appropriate qualification.	<u>CA 5 Recording of Training, Qualifications and Experience</u> (page 64)

# Definitions

<b>AMA</b>	Ask Me Anything (Kapiti Coast District Council FAQ System)
<b>BC</b>	Building Consent
<b>BCA</b>	Building Consent Authority
<b>BCA Quality Manager</b>	Steve Cody, Building Team Manager
<b>BC Technical Officer</b>	Building Consents Technical Officer
<b>BO</b>	Building Officer. Includes Building Team Manager.
<b>BI</b>	Building Inspection
<b>BOINZ</b>	Building Officials Institute of New Zealand
<b>BRANZ</b>	Building Research Association of New Zealand
<b>Building Act</b>	Building Act 2004
<b>CPEng</b>	Chartered Professional Engineers who hold current annual practising certificates as registered on <a href="http://www.ipenz.co.nz">www.ipenz.co.nz</a>
<b>CAO</b>	Customer Administration Officer
<b>FENZ</b>	Fire and Emergency New Zealand
<b>GIS</b>	Geographic Information System
<b>HubKap</b>	Kapiti Coast District Council Intranet Site
<b>IANZ</b>	International Accreditation New Zealand
<b>KCDC</b>	Kapiti Coast District Council
<b>MagiQ</b>	Software System Used by Kapiti Coast District Council
<b>MBIE</b>	Ministry of Business Innovation and Employment
<b>NATA</b>	National Association of Testing Authorities
<b>PDP</b>	Performance Development Programme
<b>PI</b>	Public Information
<b>QA</b>	Quality Assurance
<b>QAS</b>	Quality Assurance System – this document
<b>QP</b>	Quality Policy
<b>RAD</b>	Records and Documents (Kapiti Coast District Council Electronic Document System)
<b>Regulations</b>	Building (Accreditation of Building Consent Authorities) Regulations 2006.
<b>Territorial Authority</b>	Kapiti Coast District Council Territorial Authority
<b>WRCG</b>	Wellington Regional Cluster Group

## QP Quality Policy

The Building Control Authority (BCA) is committed to the concept of sustaining and continuously improving the quality of building control and associated services provided to customers based on professionalism, technical competency, care, attention and public accountability while complying in particular with the Building Act 2004, The Building (Accreditation of Building Consent Authorities) Regulations 2006, and the Building (Forms) Regulations 2004.

The organisation will:

- ensure this quality policy is understood and implemented by staff and contractors through regular coaching, internal audits, monitoring and assessment, and performance management framework;
- make the process of applying for, and obtaining an approved Building Consent as simple and as easy as possible, without compromising technical accuracy;
- promote integrity, honesty and professionalism as a key element of all aspects of our business activities and relationships; and
- maintain an appropriate standard of technical skill throughout the organisation together with an appropriate level of compliance with the organisation's processes and procedures.

The BCA will achieve this by endeavouring to:

1. treat all customers impartially, fairly, courteously and respectfully;
2. be responsive to the requirements of customers;
3. ensure the organisation's decisions are based on good technical reasoning;
4. ensure all work undertaken is within the identified technical competency and capability of appropriate staff and contractors;
5. ensure necessary resources are available to support implementation of policy, procedures and systems to fulfil our statutory requirements;
6. process all applications within the required statutory periods;
7. enable the effective investigation and, where appropriate, implementation of customer or management initiatives concerning quality; and
8. ensure that conflicts of interest are identified and managed appropriately in accordance with Council processes.

To meet these objectives, the organisation will continuously improve and apply the BCA Quality Assurance System outlined in this Quality Assurance Manual to ensure we maintain our BCA Accreditation.



Wayne Maxwell  
Chief Executive

27 July 2020

## 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, assessing the category of building work the application falls into, lodging the application into the MagiQ system, and allocating the application for processing. It is carried out by the Customer Engagement Team, BC Technical Officer, and BOs.

### Relevant documents

Regulations 7(2)(b) to 7(2)(d)(iii), 9, and 16(1)  
 Residential Application for Building Consent and or PIM (Form 256a)  
 Commercial and complex Residential Application for a Building Consent and or PIM (Form 256b)  
 Application for Building Consent – Minor Works (Form 443)  
 Checksheet – Signs (Form 332)  
 Checksheet – Single Residential Dwelling and Accessory Building (Form 333)  
 Checksheet – Temporary Buildings (Form 334)  
 Checksheet – Minor Works (Form 336)  
 Checksheet – Multi Residential, Industrial or Commercial Buildings (Form 337)  
 Building Consent Office Record (Form 123)  
 Fee Calculator – Building Consents (Form 612)  
 Fee Calculator – Minor Works (Form 613)  
 Kapiti Coast District Council Competency Framework (Form 503)  
 Technical Skills Matrix (Form 504)  
 Return of Building Consent Application (Form 681)  
 Insufficient Information to Formally Receive Application Letter (Form 679)  
 Invoice letter (Form 682)  
 Consultancy Services Form (Form 691)  
 Planning Processing Checksheet (Form 161)  
 Invoice Email Template – Simpli Application (Form 713)  
 Invoice Email Template – Hardcopy Application (Form 714)  
 Email Template – Invoice Paid (Form 715)

### Procedure

<b>Application submitted</b> Reg. 7(2)(b)	<ol style="list-style-type: none"> <li>1. Hard copy applications are received by mail or brought in to the Council Office in Rimu Road, Paraparaumu. Applications may also be handed in at the Waikanae Service Centre or Ōtaki Service Centre, in which case they are date stamped and forwarded by daily internal mail to Paraparaumu. The hard copy application may be scanned and forwarded directly to the Building Consent Technical Officer.</li> <li>2. When an application is brought in to Council's Office in Rimu Road, Paraparaumu, the Customer Engagement Team will arrange an appointment with the BC Technical Officer or Duty BO if the applicant wishes to speak to someone about their application.</li> <li>3. Applications received by mail or internal mail that are not scanned are date stamped by the Information Management team and placed in the Building Team in-tray ready for pre-vetting.</li> <li>4. Applications received via Simpli generate an automatic email to <a href="mailto:buildingdutyofficer@kapiticoast.govt.nz">buildingdutyofficer@kapiticoast.govt.nz</a>.</li> <li>5. Applications for an Amendment to a building consent are processed as per <b>BC5 Amend Consent</b>.</li> </ol>
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## BC 1 Building Consent Application Received

<p><b>Pre-vetting</b> Reg. 7(2)(c)</p>	<ol style="list-style-type: none"> <li>6. By the third working day the BC Technical Officer or BO checks each application with reference to the appropriate application checksheet (Form 332, 333, 334, 336 or 337) to assess whether or not the application is complete.</li> <li>7. Check to confirm whether or not other applications accompany the building consent documentation. Resource Consent and Deemed Permitted Boundary Activity applications are transferred to the Duty Planning Officer.</li> <li>8. The BC Technical Officer checks to see if there are any outstanding building consents on the property. If there are, and they have not been saved electronically, the BC Technical Officer emails the Information Management Team to retrieve and scan the file. The BC Technical Officer notifies the property owner that there is an outstanding building consent on the property that needs to be resolved and then puts a warning in GoGet to ensure that the processing and inspecting BOs are aware of the situation.</li> <li>9. The BC Technical Officer or BO checks the Council's GIS to see if the land on which the building work is to be carried out is affected by any natural hazard. Where there is no hazard found, the status for "decision s71-74" in the vetting checklist in GoGet is recorded as N/A and a note is added to the vetting checklist to state that there is no natural hazard on the land.</li> <li>10. Where it is likely that the consent will be issued under s72, the applicant is advised verbally, if being interviewed at the counter, that any building consent issued may be subject to a condition that the building consent authority will, on issuing the consent, notify the consent to, —             <ol style="list-style-type: none"> <li>(a) in the case of an application made by, or on behalf of, the Crown, the appropriate Minister and the Surveyor-General; and</li> <li>(b) in the case of an application made by, or on behalf of, the owners of Māori land, the Registrar of the Māori Land Court; and</li> <li>(c) in any other case, the Registrar-General of Land.</li> </ol> </li> </ol>
<p><b>Application incomplete</b></p>	<ol style="list-style-type: none"> <li>11. Where an application received is not completed fully and correctly, or required information is missing, the application may not be accepted for lodgement.</li> <li>12. If the amount of information missing or incomplete is substantial, the application is:             <ol style="list-style-type: none"> <li>12.1. handed back with advice about what documentation is needed for counter interviews, or</li> <li>12.2. posted back if received by mail with a Return of Building Consent Application letter (Form 681) or Insufficient Information to Formally Receive Application Letter (Form 679), or</li> <li>12.3. recorded as SRFI for Simpli applications, and "send all" selected.</li> </ol> </li> <li>13. In each case the applicant is advised to consult and complete the appropriate checksheet (Form 332, 333, 334, 336 or 337) and/or the documents missing are listed.</li> <li>14. If there are only a few items incomplete or missing, or payment has not yet been made, the BC Technical Officer or BO may elect to hold the application for up to a week to await missing information. The applicant is advised either in person (when the application has been brought in to the Paraparaumu Office) or by email using Insufficient Information to Formally Receive Application Letter (Form 679) or phone or Simpli SRFI what information is required.</li> <li>15. If the further information is not supplied or the further information supplied does not provide the information requested, the application is mailed back to the applicant with a Return of Building Consent Application letter (Form 681) or is 'cancelled' in Simpli as applicable.</li> <li>16. Any application which has been returned to the applicant, or which has not been accepted for lodgement because of missing or incomplete information or payment, is treated as a new application when it is resubmitted.</li> </ol>



## BC 1 Building Consent Application Received

<p><b>Vetting</b> Reg. 7(2)(d)(i) and (d)(ii), Reg. 16(1)</p>	<ol style="list-style-type: none"><li>17. Vetting is undertaken by the BC Technical Officer or BO and recorded in GoGet.</li><li>18. Multi-residential and commercial applications are reviewed by a BO and the Building Compliance Officer, checking for completeness of documentation particularly with regard to specified systems information.</li><li>19. MultiProof applications are reviewed by a BO and checked for completeness of documentation particularly with regard to the MultiProof certificate and statement confirming the design complies with the MultiProof number issued by MBIE.</li><li>20. Where the application is complete or substantially complete and accepted for lodgement, the application data mandatory fields <b>and category of work</b> are entered into MagiQ, and a unique number is generated for the application. The status is set to 'lodged' and dated using the date upon which enough information was received to consider it complete or substantially complete – this may be the same as the date stamp (if hard copy) or later if further information was required. Where it is a Simpli application "Simpli" is entered as a status note. For Simpli applications with complete documentation, the application is also set to 'accepted submission' in the Simpli portal which generates a notification to the applicant and the BC number is recorded in Simpli.</li><li>21. Where the property is in the process of being subdivided and there is no valuation number for the new property, enter the valuation number of the parent property.</li><li>22. Where the application documentation is only substantially complete and the applicant has been advised what information is required, the required items are noted on or attached to the application if hard copy or recorded as SRFI in Simpli, and the status in MagiQ is set to 'insufficient information' until payment and all required items are received.</li><li>23. Where application documentation is substantially incomplete or payment required, advise the applicant what information/payment is required. The required items are noted on or attached to the application if hard copy or recorded as SRFI in Simpli, and the status in MagiQ is set to 'insufficient information' for payment and all required items. If awaited information or payment is not received after a week the BC Technical Officer refers to BO for refusal consideration.</li><li>24. The BC Technical Officer accepts the application as lodged once all requested information has been received. The fees payable (including levies) for the application are then calculated by reference to the Fee Calculator – Building Consents (Form 612) or Fee Calculator – Minor Works (Form 613). Where the work is proposed in more than one part of the property, or for re-cladding, enquire about the sequencing of the construction program and allow for additional inspections if appropriate. Note: fees are also calculated on behalf of infrastructure, for damage deposit and inspection. Where there is a new vehicle crossing shown the vehicle crossing application form is completed and given to infrastructure. Email a copy of the Fee calculator to CAO.</li><li>25. Whether fees are paid or outstanding, generate an invoice. Where it is a Simpli application, enter the amount to be paid in the acceptance screen. This generates a notification to the applicant.</li><li>26. The CAO completes the database entry of information into MagiQ using either the hard copy application form or the application information in Simpli as applicable. The invoice is stamped PAID if appropriate and emailed using Email Template – Invoice Paid (Form 715) or posted to the person responsible for paying, with both the invoice and building consent calculator documents attached. Use the invoice letter (Form 682), Invoice Email Template – Simpli Application (Form 713) or Invoice Email Template – Hardcopy Application (Form 714) where there is payment outstanding. Save the notification, fee calculator, and invoice to RAD. Place all hard copy documents in the Customer Engagement area.</li><li>27. CAO receives a daily report of payments made the previous day. For each building consent payment, marks the GoGet record as paid, and if it is a Simpli application also marks the application as paid in the Simpli portal. The CAO sets the status in MagiQ to 'Formally Received' with the date being the date the payment is received, and adds the status 'Fees Paid'.</li></ol>
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## BC 1 Building Consent Application Received

	<p>28. Where fees are outstanding after 1 month, the CAO will prepare a credit note. Return with the documentation to the applicant if hard copy application. Upload credit note and set to 'reject submission' in Simpli if electronic application. Set MagiQ status to 'Application refused'.</p> <p>29. Further information or Simpli alert emails received are forwarded to the vetting officer. The information is reviewed, Simpli records are updated, and the status in MagiQ is set to 'part information received'.</p> <p>30. Once the application is deemed complete, including all fees paid, the MagiQ status is set to 'formally received' and dated the working day the complete information was <u>received by Council</u> which starts the 20 day clock (or 10 day clock for multi-proof consents).</p> <p>31. The decision to accept the application and the reasons for that decision are recorded in the GoGet vetting checklist for the building consent.</p> <p>32. The building officer generates a Building Consent Office Record (Form 123) from GoGet, and notes any referrals required to Planning or Plumbing &amp; Drainage in the dialog record.</p> <p>33. Where a hazard has been identified the BO carries out an assessment as per process <b>BC7 Buildings on Land subject to Natural Hazards</b>. As well as discussion of the issues with the owner where a hazard exists on the land, clarification or information may be sought during the application vetting process.</p> <p>34. If the application is required to be referred to Fire and Emergency New Zealand, forward the application for review as per <b>BC8 Referral to Fire and Emergency New Zealand</b> immediately the application is formally received.</p> <p>35. The BC Technical Officer or BO will check the Heritage New Zealand list on <a href="https://www.heritage.org.nz/the-list">https://www.heritage.org.nz/the-list</a> . Where the application affects a historic place, historic area, waahi tapu or waahi tapu area New Zealand Heritage List/Rarangi Korero and Heritage New Zealand has not been previously advised, BO to advise Heritage New Zealand of the application within five days.</p>
<p><b>Assessment of category</b> Reg. 7(2)(d)(iii)</p>	<p>36. The <b>Technical Officer</b> assesses the relevant category of work for the application by reference to the Kapiti Coast District Council Competency Framework (Form 503). If there is uncertainty about the correct building category, the <b>Technical Officer</b> will check with the BO.</p>
<p><b>Application accepted for lodgement</b> Reg. 7(2)(d)(ii), Reg. 16(2)</p>	<p>37. CAO <b>checks Form 123 in GoGet for</b> referrals required to Planning or Plumbing &amp; Drainage.</p> <p>38. Where Planning referral is required set the "To Planning" status in MagiQ. The CAO will send an email to planning to advise of the referral.</p> <p>39. The application and any responses are then uploaded into RAD if electronic (Simpli).</p> <p>40. Where the application is hard copy the documents are scanned by the Customer Engagement Team or Information Management Team.</p> <p>41. When the documents are scanned, or uploaded the Customer Engagement Team Officer date stamps the application documents, and numbers the plans and cover pages electronically in Trapeze. The status in MagiQ is set to 'SCANNED'.</p>
<p><b>Allocation for processing</b> Reg. 7(2)(d)(iii), Reg. 9</p>	<p>42. For consents allocated to contractors for processing, the allocating BO takes responsibility. For consents processed by staff, the BO processing the plumbing aspects takes responsibility.</p> <p>43. The CAO sets the status in MagiQ to "To Plumbing &amp; Drainage" or "To Plan Checking" if there is no plumbing and drainage work proposed.</p> <p>44. If a planning or Project Information Memorandum (PIM) check is indicated on the Building Consent Office Record (Form 123), the CAO saves the Processing Checksheet (Form 161), the record of title, and any appropriate information, together in RAD; then emails the Resource Consent Team the RAD link to the Processing Checksheet (Form 161) and the Building File. This includes a check to see if development contributions are due. The status in MagiQ is put to "To Planning".</p>

## BC 1 Building Consent Application Received

	<p>45. Work is allocated in discussion with the Team Leader Building Approvals on the basis of the category of work, the Technical Skills Matrix (Form 504), individual workloads, provision of training opportunities and approved leave. Allocations are monitored by Team Leader Building Approvals through review of the daily “Current Building consents with Multi-proof” report and/or the ‘building consents outstanding’ report.</p> <p>46. Work may be allocated outside a BO’s competence as shown on the Technical Skills Matrix (Form 504), provided supervision is undertaken by a competent officer.</p> <p>47. The BO will determine and make any further referrals to internal groups or external agencies if required.</p>
<p><b>Allocation to processing contractor</b></p>	<p>48. Where work is to be allocated to a panel Contractor, the details of the building consents to be allocated and the contractor selected are emailed to the CAO.</p> <p>49. The CAO prepares a Consultancy Services Form (Form 691) by adding the building consent details and emails to the generic email box for the selected contractor with the application documents to be processed. The completed Consultancy Services Form (Form 691) is then saved into the “Contracts and SLAs’ folder within RAD in that Contractor’s ‘Service Orders’ folder and named as follows: <i>‘Date – Service Order Sent – Contractor Name.</i></p> <p>50. If the Contractor advises that they have a conflict of interest or are unavailable, refer back to the allocating BO for reallocation.</p> <p>51. When the signed consultancy services form is received back from the Contractor, the CAO saves it to that Contractor’s ‘Service Orders’ folder in RAD and names as follows: <i>‘Date (using the date the service order was sent to the contractor) – Signed Service Order – Contractor Name.</i></p> <p>52. If there is no response from the Contractor after 2 days, the CAO sends a follow up email to the Contractor and copies in the Team Leader Building Approvals.</p> <p>53. If there is still no response 2 days after the follow up email, the CAO escalates it to the Team Leader Building Approvals and the Building Team Manager to take further action.</p>

## BC 2 Consent Application Processing

### Process

This process involves processing building consent applications to ensure compliance with the Building Code, and granting or refusing to grant a consent. It includes consents related to multi-use approvals and staged consents. It is performed by BOs.

### Relevant documents

Regulations 7(2)(d)(iv) and 7(2)(d)(v)  
 Residential Application for Building Consent and or PIM (Form 256a)  
 Commercial and complex Residential Application for a Building Consent and or PIM (Form 256b)  
 Application for Building Consent – Minor Works (Form 443)  
 Building Consent Office Record (Form 123) - GoGet  
 Compliance Schedule (Form 518)  
 Further Information Letter (Form 506)  
 Statement – Piped Services and Plumbing Stacks (Form 125)  
 Statement – Solar Hot Water Installations (Form 551)  
 Statement – Drainage Work Installed (Form 126)  
 As-Built Drawing Specification Guidance (Form 717)  
 Solid Fuel Heater Installers Checksheet (Form 129)  
 Refusal of Building Consent Letter (Form 573)  
 Request for Further Information Reminder Letter (Form 550)  
 Required Items Report (Form 702) - GoGet  
 Processing Summary Report (Form 639) - GoGet  
 Planning Processing Checksheet (Form 161)

### Procedure

<b>Order of processing</b>	1. Applications for building consents are usually processed in date order of receipt subject to availability of officers with appropriate competency. Consents for minor works may be processed out of order.
<b>Planning Check</b>	2. Where a planning check is required, the planner completes the “Planning Processing Checksheet (Form 161) and issues a certificate under s37 if resource consent is required and a warning is made in GoGet where a s37 certificate is issued. The planner completes the planning section in GoGet and sets the MagiQ status to ‘Planning completed” and then resets the Building Team status with the original date in MagiQ. The Planner then emails the overseer in MagiQ with copy to Building Approvals and Team Leader Building Approvals.
<b>Technical check</b> Reg. 7(2)(d)(iv)	<p>3. Where the inspection is staged building work, documents must show compliance with the building code as a whole. Check already held documents for previous building consents where these relate to the subsequent work being undertaken.</p> <p>4. The BCA will refer to the TA matters related to: certificates of acceptance, waivers or modifications to the Building Code, decision under section 112(2) of the Building Act 2004, the change of use of buildings, the specified intended life of buildings, decision under 133AT(3) alterations to buildings subject to EPB notice, and the subdivision of buildings.</p> <p>5. Research Council database and GIS to gather site information relevant to the project. Information may be recorded in the Site Information section on Form 123 for easy reference.</p> <p>6. Check the consent has been categorised correctly. If the category is incorrect the BO alerts the Team Leader who corrects and decides who will process the consent.</p> <p>7. Work through the GoGet processing checklist, checking the application for compliance with the Building Code, Building Act 2004 and other relevant legislation such as the Resource Management Act 1991.</p> <p>8. Where the consent is restricted work, check that the Certificate of design work has been supplied by an appropriately qualified designer.</p>

## BC 2 Consent Application Processing

	<p>9. Refer to the application for intended means of compliance including complying with building methods or product warnings or bans.</p> <p>10. Check the scope and status of any work that has outstanding building consents (no CCC issued) and consider the potential impact on the current building consent. Where the state of the existing construction is unknown and could impact on the compliance of the current consent application, request further information to clarify the situation.</p> <p>11. Assess the listed means of compliance for each code clause which is relevant to the application. Record all decisions on compliance and reasons for those decisions on the processing checklist.</p> <p>12. The BO will forward an email to <a href="mailto:rates@kapiticoast.govt.nz">rates@kapiticoast.govt.nz</a> to advise the rates team if the consent will create an additional dwelling on the property.</p>
<p><b>MultiProofs</b></p>	<p>13. The BCA is not responsible for checking the Building Code compliance of those parts of the design approved by MBIE.</p> <p>14. The BO:</p> <p>14.1. must be reasonably satisfied that the building consent application complies with the MultiProof (including through the statement supplied by the applicant).</p> <p>14.2. Checks that the conditions of the MultiProof are met</p> <p>14.3. assesses the building code compliance of any site-specific features that have not been approved e.g. foundations or site drainage.</p> <p>14.4. informs MBIE of any non-compliances contained in the MultiProof</p> <p>15. If there are design changes that have not been approved as part of the MultiProof the application is assessed as a standard consent and the normal processing period of 20 working days applies.</p>
<p><b>Alteration to existing building</b></p>	<p>16. If the application is for alterations to an existing building, refer to <b>BC 6 Building Alterations – Compliance with Code</b>.</p>
<p><b>Natural hazard land</b></p>	<p>17. If the building is on land subject to natural hazards, <b>as noted in GoGet checklist</b>, refer to <b>BC 7 Buildings on Land Subject to Natural Hazards</b>. Check that assessment and Team Leader review have been completed in GoGet. Consider if any changes proposed are impacted by hazards and re-assess as appropriate.</p>
<p><b>FENZ</b></p>	<p>18. If the application is required to be referred to Fire and Emergency New Zealand refer to <b>BC 8 Referral to Fire and Emergency New Zealand</b>.</p>
<p><b>Other consultants</b></p>	<p>19. If specialist input is required and hasn't been sought, liaise with the appropriate specialist. Refer to technical specialists and/or technical leaders where specialist input or advice is needed (listed Appendix 3). This includes other parts of Council such as Trade Waste, Environmental Health, Alcohol Licensing etc., if they may have an interest in the application.</p>
<p><b>Producer statements</b></p>	<p>20. Where a producer statement is provided, check it in accordance with <b>BC 9 Producer Statements</b>.</p>
<p><b>Further information</b></p>	<p>21. The application is first sent to the Plumbing and Drainage (P and D) Officer (a BO with competency in P and D). If further information is required to demonstrate compliance in this area, the P and D Officer records the information required in the notes section of the GoGet checksheet and copies the note to the RFI tab. If the application is to be processed by both the P and D Officer and a BO, only generate and send the request for further information when both officers have looked at the application and determined what (if any) additional information is required.</p> <p>22. The P and D Officer may also elect to send an email to the applicant advising what information is required in respect of plumbing and drainage, and that a formal request for further information will be sent when the application has been reviewed by a BO. The clock is not stopped.</p>

## BC 2 Consent Application Processing

	<p>23. The BO works through the application noting instances where further information is required to demonstrate compliance. The BO records the information required in the notes section of the GoGet checksheet and copies the note to the RFI tab.</p> <p>24. When all information required has been entered, the BO emails the CAO that the letter can be sent. The CAO generates a Further Information letter (Form 506) in GoGet giving the applicant 20 working days to provide the requested information. This automatically pauses the clock in GoGet and MagiQ and sets the status in MagiQ to "Further information requested". The letter is signed by the BO and emailed or posted to the applicant and the owner. A copy of the signed letter is scanned and saved to the building consent folder in RAD.</p> <p>25. The CAO monitors the information requests on a weekly basis by generating MagiQ report Building Consents – Further Information and provides a copy for the Team Leader Building Approvals to review. The TL will advise the CAO which consents require a second request using the Request for Further Information Reminder Letter (Form 550). The Request for Further Information Reminder letter (Form 550) will be generated by the CAO and sent to the applicant and the owner, setting a deadline of a further week after which, if information is not received, the BCA may decide to refuse to grant the consent.</p> <p>26. Each week the CAO generates the MagiQ report Building Consents – Further Information Reminder Letter Sent to identify consents where there has been no response to the Further Information reminder letter. If the information has still not been received a week after the reminder letter was sent, the CAO refers to the TL to make a decision whether the BCA refuses to grant the consent.</p> <p>27. When the requested information is received, the CAO receives the information changes the application status in MagiQ to "Information Received" dated that day, scans if hard copy and saves to the building file and stamps with date received. Forward date stamped hard copy to Records for filing. This restarts the 20 working day clock. This process is recorded within GoGet and completed as priority work and within SLA timeframes. The CAO emails information received to the allocated BO promptly. If the allocated BO is away from the office the Building Approvals Team Leader is copied in and may consider re-allocation if the response is urgent.</p> <p>28. If after the BO has checked the further information received, and the information remains incomplete, then a second letter, a Request for Further Information Reminder Letter (Form 550), may be sent to the applicant and copy to the owner noting the outstanding information and acknowledging that if the correct information is not supplied then the BCA may decide to refuse to grant the consent using the 'Refusal to grant consent' procedure. Alternatively, <b>if only a small amount of information is missing</b>, the BO may email the applicant and copy to the owner, save to the building consent folder in RAD. (a contracted BO copies to Building.Approvals@kapiticoast.govt.nz for CAO to file and save). The MagiQ status of 'information received' is cancelled and replaced with 'part information received' status to reset the working day clock.</p> <p>29. If information is received that proposes a minor variation, it is received and checked as for further information generally.</p>
<p><b>Two or more lots</b></p>	<p>30. If the building is over two or more allotments, a condition is required on the consent that one 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. This is done by the TA, refer process TL1 of the TA Manual. The BCA cannot grant the building consent until the section 75 certificate is issued (s77(1)).</p>

## BC 2 Consent Application Processing

<p><b>Specified systems</b></p>	<p>31. Where prescribed specified systems or cable cars are to be installed, altered or removed, check that the applicant has provided accurate specified systems performance standards, complete the Specified Systems Compliance sections of the GoGet checklist and also the Compliance Schedules sheet on the documentation tab.</p> <p>32. Check that the proposed works will ensure that the system will perform and continue to perform to the relevant standards.</p> <p>33. Email the application to the Building Compliance Officer to prepare a new or amended draft Compliance Schedule (Form 518) and raise an invoice for the fee. The draft Compliance Schedule and invoice is sent to the building owner. Refer to <b>BI6 Compliance Schedules</b>.</p> <p>34. Once the compliance schedule draft is prepared the BO is emailed for approval and recording in GoGet. A copy of the draft Compliance Schedule (Form 518) is sent out with the building consent when it is issued.</p>
<p><b>Applications processed by contracted BOs</b></p>	<p>35. When a contracted BO has completed the BCA parts of the GoGet checklist, the application is reviewed by the Territorial Authority and the checklist is completed as applicable for:</p> <p>35.1. S36-37 Resource Management Act matters</p> <p>35.2. S67 Waivers or modifications</p> <p>35.3. S71-73 building on land with hazards identified</p> <p>35.4. S75 building over 2 or more allotments</p> <p>35.5. S112(2) Alteration to existing buildings</p> <p>35.6. S113 Buildings with specified intended lives</p> <p>35.7. S115(b) Change of use</p> <p>35.8. S133AT(3) Alterations to buildings subject to EPB notice</p> <p>36. For commercial building consents where there is a change in the total number of pans plus urinal stalls, the BO will forward an email to <a href="mailto:rates@kapiticoast.govt.nz">rates@kapiticoast.govt.nz</a> to advise the rates team about the change.</p> <p>37. A BO from the BCA then</p> <p>37.1. Emails the Building Compliance Officer to provide a draft compliance schedule and invoice for the fee if applicable, and</p> <p>37.2. Continues remaining tasks to complete the consent processing.</p>
<p><b>Applications processed under supervision</b></p>	<p>38. Where processing is undertaken by an officer requiring supervision, the supervisor records the outcome of the review in the supervision memo in GoGet.</p> <p>39. Details of the supervision memo may be saved to the individuals Record of Learning (form 611) in RAD under the Record of Consents tab, to collate for competency assessment.</p>
<p><b>Application complies with Building Code Reg. 7(2)(d)(v)</b></p>	<p>40. Once checklists are completed, if the BO is satisfied on reasonable grounds that the application complies with the Building Code, Building Act 2004 and other relevant legislation the BO:</p> <p>40.1. Checks that all referrals have been signed off in MagiQ..</p> <p>40.2. Checks that acknowledgement has been received from the owner where a section 73 notice is to be issued. Follow up to discuss if not received.</p> <p>40.3. selects the required inspections in the 'required inspections' tab in GoGet; where the required inspection is a non-standard inspection use the checklist nearest to the work stage, and record specific notes under 'other' section.</p> <p>40.4. selects the appropriate support documentation, licensed building practitioners and completes the compliance schedule worksheet in GoGet;</p>

## BC 2 Consent Application Processing

	<p>40.5. generates a Required Items Report (Form 702), files to 'required items' in GoGet;</p> <p>40.6. selects the conditions for sections 72, 75, 67 and 113 where required, addenda and PIM notes in the lists in MagiQ. Where there is an outstanding invoice for development contributions ensure that <b>resource consents staff have selected PIM note 15</b>;</p> <p>40.7. completes the process in GoGet; generates the Processing Summary Report (Form 639) and files to 'processing summaries' in GoGet;</p> <p><b>40.8. If relevant to the consent, checks that the following documents have been included in the electronic building file by resource consents staff: the PIM, development contribution notice, certificate issued under section 37, confirmation that Heritage New Zealand has been notified under section 39. Note: the granting of the consent cannot be delayed if this information is not yet available.</b></p> <p>40.9. stamps the building consent documents in Adobe Acrobat with the approval stamp and other stamps as may be appropriate for the specific consent;</p> <p>40.10. If the application is a multi-proof consent check the time taken recorded in MagiQ and refer to the Team Leader for invoicing if time taken exceeds 3 hours.</p> <p>40.11. BO checks time record in MagiQ for the consent and refers to the Team Leader where there is more than 0.5 hours' time recorded for processing alternative design or re-assessing further information received or other fees outstanding. TL will make the decision as to whether the additional hours are to be invoiced and the BO will notify the CAO if a further invoice is to go out.</p> <p>40.12. changes the status in MagiQ to 'Plan checked by' and then 'Granted' which stops the 20 day clock (or 10 day clock for Multi-proof consents);</p> <p>40.13. Save a copy of the processing summary to the BC folder in RAD;</p> <p>41. The BO <b>changes the status in MagiQ to 'plan production' then</b> emails the Customer Engagement Team to start the issuing process BC3.</p>
<p><b>Consent Withdrawn or put on hold</b></p>	<p>42. The owner or his agent may at any time during processing request the consent application to be put on hold or withdrawn. BCO makes a dialogue note on Form 123. If the request is made verbally, written/email confirmation must be received before actioning the request.</p> <p>43. Requests for the consent application to be put on hold: BCO sets the status in MagiQ to 'further information requested' with a note 'On hold at owners request'. The process is re-activated upon the request of the owner; BCO sets the status in MagiQ to 'information received'.</p> <p>44. Requests to withdraw the application: BCO puts on hold as per above until written confirmation is received, then BCO sets the status in MagiQ to 'Cancelled' with the note 'withdrawn at owner request'. BCO acknowledges the request and advises the consent application has been withdrawn and that unexpended fees will be refunded less the administration fee.</p> <p>45. Where a consent is withdrawn, BCO emails the Team Leader Building Approvals to consider refunding any unexpended fees.</p>



## BC 2 Consent Application Processing

<b>Refusal to grant consent</b> Reg. 7(2)(d)(v)	<ol style="list-style-type: none"><li>46. If the BO is not satisfied that the application complies with the Building Code, Building Act 2004 and other relevant legislation, the BO advises the Approvals Team Leader or the Building Team Manager that the BCA should refuse to grant a building consent.</li><li>47. If the applicant has received a Further Information Letter (Form 506) and a Request for Further Information Reminder Letter (Form 550) and the information has not been received by the due date the BCA may refuse to grant a building consent.</li><li>48. The Approvals Team Leader or Team Manager makes the decision and<ol style="list-style-type: none"><li>48.1. records the decision in GoGet under Reviews/Consent approval with reasons</li><li>48.2. where the consent is to be refused considers the refund of any unexpended fees.</li></ol></li><li>49. Save a copy of the processing summary to the BC folder in RAD.</li><li>50. The applicant is notified in writing of the decision and the reason for the decision using the Refusal of Building Consent letter (Form 573). The signed letter is scanned, saved and sent by CAO.</li><li>51. Set the MagiQ Status to 'Building Consent refused' and add a note with the reason.</li><li>52. For Simpli applications set the status to 'cancelled' in Simpli.</li></ol>
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## BC 3 Issue Consent

### Process

This process covers printing and sending out the consent, and filing the consent. It is performed by the Customer Engagement Team and BOs.

### Relevant documents

Regulations 7(2)(d)(v) and 16(2)(a)  
 Building Consent Office Record (Form 123)  
 Building Consent Documents (Form 508)  
 Building Consent Letter – detached residential or outbuilding (Form 508a)  
 Building Consent Letter – commercial or multi-residential (Form 508b)  
 Building Consent Letter – fireplace (Form 508c)  
 Invoice Additional Processing Fees Letter (Form 694)  
 Land Subject to Natural Hazards Register (Form 595)

### Procedure

<p><b>Prepare the consent documents</b></p>	<ol style="list-style-type: none"> <li>1. A Customer Administration Officer:           <ol style="list-style-type: none"> <li>1.1. checks that the referrals have been signed off in MagiQ;</li> <li>1.2. prints a copy of the consent documents and the following documents where relevant to the consent: the PIM, development contribution notice, certificate issued under section 37, confirmation that Heritage New Zealand has been notified under section 39;</li> <li>1.3. gives the documents to a BO for signing;</li> </ol> </li> </ol>
<p><b>Issue consent</b> Reg. 7(2)(d)(v)</p>	<ol style="list-style-type: none"> <li>2. The CAO checks that all fees and levies have been paid.       <ol style="list-style-type: none"> <li>2.1. Where the consent is granted with a condition (section 72) requiring a certificate to be registered, check that payment has been received for the registration of that certificate. CAO checks that the consent is showing on the administration page of the Land Subject to Natural Hazards Register (Form 595) confirming that it is to be put on the title. CAO completes the date issued, date s72 advised and paid columns on the administration page of the Land Subject to Natural Hazards Register (Form 595). If the consent is not showing on the administration page of the Land Subject to Natural Hazards Register (Form 595) the CAO emails the BO to advise that page 1 of the Register needs to be updated to show that section 72 is to be put on title. CAO rechecks Register once the BO confirms that the consent has been added.</li> <li>2.2. Raise an invoice for additional fees if directed and prepare the Invoice Additional Processing Fees Letter (Form 694). Invoice can be sent with the invoice letter (Form 694) or by email. Scan and save before sending. Set the MagiQ status to 'suspended for fees' noting 'awaiting fee payment'.</li> <li>2.3. CAO receives the report of payments made the previous day and checks for payment made. If there are outstanding fees change the status in MagiQ to "Suspended for fees", and advise the applicant that the consent is ready for issue upon payment of the outstanding fees.</li> <li>2.4. When all fees are paid CAO emails the BO and sets the MagiQ status to 'Information received' noting 'fees paid'. The BO checks the documentation is correct and signs the building consent.</li> <li>2.5. CAO scans the signed copy of the building consent documents (Form 508) and saves to the building consent file in RAD. CAO then either uploads the issued documents to Simpli or, if not submitted via Simpli, emails a pdf version or a link to download the documents via LiquidFiles (depending on file size) to the applicant.</li> <li>2.6. The building consent is released in both electronic format and hard copy if requested.</li> <li>2.7. The CAO changes the status in MagiQ to 'Document Released'. For Simpli applications CAO changes the status in Simpli to both the 'granted' and 'issued' statuses.</li> </ol> </li> </ol>

## **BC 3 Issue Consent**

### **Customer feedback**

3. Each month the BC Technical Officer emails applicants who have received a building consent, an invitation to participate in a survey to collect feedback.
4. Applicants who submit several applications in a short timeframe may receive one request that covers several applications.
5. Feedback containing BCA complaints are managed using process **PI1 Complaints and Inquiries**.

## BC 4 Extension of Time to Start Work

### Process

The process covers consideration of applications for time to start work. It is performed by the Customer Engagement Team and the Building Inspections Team Leader (or Approvals Team Leader in the absence of the Building Inspections Team Leader).

### Relevant Documents

Regulation 7(2)(d)(v)

Work Start Extension of Time Granted (Form 605)

Request for Extension to Building Consent (Form 149)

### Procedure

<b>Extension of time to commence work</b>	<ol style="list-style-type: none"><li>1. An extension of time to commence work must be made in writing. CAO saves the request to RAD and emails to the Building Inspections Team Leader.</li><li>2. CAO invoices for the fee and receipts if paid.</li><li>3. Any extension of time or further extension of time will be for a specific period as determined on a case-by-case basis by the Building Inspections Team Leader.</li><li>4. The Building Inspections Team Leader notifies the CAO of their decision using the Request for Extension to Building Consent (Form 149) setting out whether or not the request is agreed to, and, if so, the date by which work is required to have started.</li><li>5. CAO checks that invoice has been paid and follows up with the applicant if necessary.</li><li>6. The Customer Engagement Team generate the Work Extension of Time Granted (Form 605) letter and save into the building consent file in RAD. The CAO will then open the word version of the letter and save a pdf version in RAD. The pdf version is then sent to the applicant/owner.</li><li>7. The Customer Engagement Team add the "Work Start Extension Expiry" status in MagiQ and in GoGet to noting the date extended to.</li></ol>
<b>Short extensions</b>	<ol style="list-style-type: none"><li>8. In some instances, the Team Leader may agree to a short extension. The Team Leader will record the reason for the extension and extended date in MagiQ under "notes" and then update the status in MagiQ and GoGet to "Work Start Extension Expiry" with the extended date.</li></ol>

## BC 5 Amend Consent

### Process

This process covers receiving applications for amendments to issued consents, processing the applications, and approving or refusing to approve the amendments. It is performed by BC Technical Officer, the Customer Engagement Team and BOs.

### Relevant documents

Regulations 7(2)(b), 7(2)(c), 7(2)(d) and 16(1)  
 BC Amend Office Record (Form123a)  
 Application for Amendment to Building Consent (Form 265)  
 Fee Calculator – Building Consents (Form 612)  
 Fee Calculator – Minor Works (Form 613)  
 BC Amendment Cover Letter (Form 678)  
 Insufficient Information to Formally Receive Application Letter (Form 679)  
 Invoice Letter (Form 682)  
 Further Information Letter (Form 506)  
 Required Items Report (Form 702)  
 Invoice Email Template – Simpli Application (Form 713)  
 Invoice Email Template – Hardcopy Application (Form 714)  
 Email Template – Invoice Paid (Form 715)

### Procedure

<b>Application submitted</b>	<ol style="list-style-type: none"> <li>1 Hard copy applications are received by mail or brought in to the Council Office in Rimu Road, Paraparaumu. Applications may also be handed in at the Waikanae Service Centre or Ōtaki Service Centre, in which case they are date stamped and forwarded by daily internal mail to Paraparaumu.</li> <li>2 Applications received by mail or internal mail are date stamped by Records. Hard copy applications are scanned directly to the BC Technical Officer unless they are received directly over the front counter.</li> <li>3 Applications received via Simpli generate an automatic email to <a href="mailto:Kapiti.council@kapiticoast.govt.nz">Kapiti.council@kapiticoast.govt.nz</a> which is monitored by the BC Technical Officer. The BC Technical Officer forwards the email to the Building Team Duty Officer.</li> <li>4 By the third working day BC Technical Officer or BO checks the application is complete and calculates the fees using the Fee Calculator – Building Consents (Form 612) or Fee Calculator – Minor Works (Form 613) as appropriate. The fee payable includes half an hour of processing time.</li> <li>5 Multi-residential and commercial applications are reviewed by a BO and the Building Compliance Officer, checking for completeness of documentation particularly with regard to specified systems information.</li> <li>6 Review inspection records to ensure scope of amendment does not include work already undertaken on site.</li> <li>7 The BC Technical Officer or BO refuses an application if the work has already been undertaken or the documentation is significantly incomplete and handed/posted back to the applicant or 'cancelled' in Simpli.</li> <li>8 If the application is substantially complete and the fee is paid, the application may be accepted and the deficiency is addressed as a request for information during processing. The documentation may be held for a week awaiting fee payment using letter using Insufficient Information to Formally Receive Application Letter (Form 679) and refused if fee remains unpaid.</li> </ol>
<b>Unique identification of amendments</b>	<ol style="list-style-type: none"> <li>9 Amendment application mandatory information is entered into MagiQ by the vetting officer and a unique identifier consisting of the original consent number followed by a letter – 'A' for the first amendment, then sequentially for subsequent amendments is given. MagiQ then links the amendment to the original building consent.</li> <li>10 Email the building consent calculator to a CAO to generate an invoice and save to the BC folder in RAD.</li> <li>11 For Simpli applications enter the amendment number in Simpli, BC Technical Officer also enters the fee into Simpli.</li> </ol>

## BC 5 Amend Consent

<p><b>Assessment and processing</b></p>	<p>12 If accepted the CAO updates the status in MagiQ to 'insufficient information' with the comment 'fees owing' if payment has not yet been received, or 'formally received' if fees have been paid, dated when the complete application was received which starts the 20-day clock.</p> <p>13 When all fees are paid CAO emails the BO and sets the MagiQ status to 'Information received' noting 'fees paid' then updates the status in GoGet.</p> <p>14 The CAO completes the database entry of information into MagiQ using either the hard copy application form or the application information in Simpli as applicable. The invoice is generated (with appropriate notation as to fees being due and consent must be granted before work commences) stamped PAID if appropriate and emailed using Email Template – Invoice Paid (Form 715) or posted to the person responsible for paying, with both the invoice and building consent calculator documents attached. Use the invoice letter (Form 682), Invoice Email Template – Simpli Application (Form 713) or Invoice Email Template – Hardcopy Application (Form 714) where there is payment outstanding. Save the notification to RAD. Hard copy application documents are held in the Customer Engagement area.</p> <p>15 When the payment is made, the CAO completes the appropriate parts of BC Amend Office Record (Form123a). Refer to planning if the BC Technical Officer has indicated that there is a planning charge due to the siting or shape of the building envelope being changed by the amendment. Refer commercial amendments to BO for other specialist input.</p> <p>16 Check that original building consent is saved electronically and retrieve hard copy if not. Hard copy applications and original consents are scanned and saved and electronic applications are uploaded to RAD. The documents are stamped with amendment number and date in Trapeze.</p> <p>17 The allocating BO will allocate the amendment to the BO who assessed the original consent subject to availability of the BO to undertake the assessment of the amendment.</p> <p>18 If the amendment is significant enough to change the category of building, the BO alerts the Team Leader who decides the category and re-allocated if appropriate.</p> <p>19 If the amendment has changed the scope of the original consent revise the descriptor of the consent to reflect the changed scope and consider if referrals to other teams in the Council are required, and if appropriate refer back to CAO to distribute to other teams.</p> <p>20 When the amendment is a request for a modification (often a durability modification) follow process WM1 in the TA QAS Manual.</p> <p>21 The BO works through the GoGet processing checklist, checking the application for compliance with the Building Code, Building Act 2004 and other relevant legislation.</p> <p>22 Assess the means of compliance for each code clause which is relevant to the application. Record all decisions on compliance and reasons for those decisions on the processing checklist and if an alteration re-consider the reasonable practicability of upgrades required by the Act.</p>
<p><b>Other consultants</b></p>	<p>23 If specialist input is required, forward the application to the appropriate specialist. This includes other parts of Council such as Trade Waste, Environmental Health, Alcohol Licensing etc., if they may have an interest in the application.</p>
<p><b>FENZ</b></p>	<p>24 If the application is required to be referred to Fire and Emergency New Zealand, refer to <b>BC 8 Referral to Fire and Emergency New Zealand</b>.</p>
<p><b>Producer statements</b></p>	<p>25 Where a producer statement is provided, check it in accordance with <b>BC 9 Producer Statements</b>.</p>
<p><b>Further information</b></p>	<p>26 The BO works through the application noting instances where further information is required to demonstrate compliance. The BO records the information required in the notes section of the GoGet checksheet and copies the note to the RFI tab.</p>

## BC 5 Amend Consent

	<p>27 When all information required has been entered, the details are automatically emailed to Building GoGet Email. A Further Information Letter (Form 506) is generated in GoGet. This automatically pauses the clock in GoGet and MagiQ, and sets the status in MagiQ to “Further information requested”. The letter is signed by the BO and emailed or posted to the applicant and the owner. A copy of the signed letter is scanned and saved to the building consent amendment folder in RAD.</p> <p>28 When the requested information is received, the CAO scans and saves to the building file and stamps with date received. Any hard copy is date stamped and forwarded to records for filing. The CAO changes the application status in MagiQ to “Information Received” with the date set to the working day the information was received by Council. This restarts the 20 working day clock. The CAO emails the processing officers to alert them to receipt of the information.</p> <p>29 The BO checks the information is complete, and, if all required information has been supplied, completes processing to grant the consent. If the information supplied is insufficient the MagiQ status of ‘information received’ is cancelled and replaced with ‘part information received’ status to reset the working day clock. This process is recorded within GoGet and completed within two working days of receiving the information.</p> <p>30 If the information is not received, the BCA may decide to refuse the amendment as per BC2 process.</p>
<p><b>Specified systems</b></p>	<p>31 Check if the amendment affects specified systems. If so follow process in BC2</p>
<p><b>Notify applicant of decision</b></p>	<p>32 The amendment is approved as per <b>BC 2 Consent Application Processing</b> ‘Application complies with Building code’ section appropriate clauses except that BC Amend Office Record (Form123a) is used. A new required items report (Form 702) is only required where there are amended inspections or support documents as a result of the amendment.</p> <p>33 CAO checks that all referrals have been signed off in MagiQ.</p> <p>34 For Simpli applications, CAO changes both the granted and issued statuses in Simpli to ‘Accepted’</p> <p>35 The BO checks time record in MagiQ and refers to Team Leader where time exceeds half hour. When directed by the TL the BO will email the CAO to invoice for additional time and set status in MagiQ to ‘Invoiced’.</p> <p>36 Once the fees are paid, the CAO prepares the amendment documents and the BO signs the BC Amendment Cover letter (Form 678) <b>generated from GoGet</b>. CAO scans and saves the signed documents.</p> <p>37 Hard copy can be provided, in addition to the electronic copy sent upon request.</p> <p>38 CAO emails a copy to the applicant, or advises the applicant that the amended consent is ready for collection when a hard copy has been requested. The CAO sets the status in MagiQ to ‘document released’.</p>

## BC 6 Building Alterations – Compliance with Code

### Process

Judgement is required in assessing whether Section 112 of the Building Act 2004 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.

Section 133AT of the Building Act 2004 may apply instead of section 112 in relation to an application for a building consent for the alteration of a building or part of a building that is subject to an Earthquake Prone Building notice. This process is carried out by BOs.

### Relevant documents

Regulation 7(2)(d)(iv)

### Procedure

<b>Application of s112</b>	<ol style="list-style-type: none"> <li>1. The BCA can only grant consent for alterations to existing buildings if it is satisfied that the requirements of section 112(1) are met.               <ol style="list-style-type: none"> <li>1.1. After the alteration the building will comply, as nearly as is reasonably practicable, with the provisions in the building code that relate to means of escape from fire; and access and facilities for persons with disabilities (section 118).</li> <li>1.2. If it complied with other provisions of the building code immediately before the building work began, it must continue to comply to the same extent; or if it didn't comply with the other provisions of the building code immediately before the work began, it must continue to comply at least to the same extent as before the work was done.</li> </ol> </li> <li>2. Considerations under section 112(2) are referred to the TA for decision. 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>Application of s133AT</b>	<ol style="list-style-type: none"> <li>3. Section 133AT applies to alterations to a building or a part of a building subject to an EQP notice.</li> <li>4. The alteration must include the necessary seismic work where there is a substantial alteration as well as upgrading for means of escape from fire and access and facilities for people with disabilities.</li> <li>5. Refer to the TA to determine if the alteration is 'substantial' and for any written notification allowing alteration without complying with specified provisions.</li> </ol>
<b>Assessment of level of compliance</b>	<ol style="list-style-type: none"> <li>6. The application must detail the level of compliance by the proposed works for each of the relevant clauses.</li> <li>7. Where full compliance with the relevant provisions of the building code subject to upgrade is not achieved, the application must include documentation explaining why it is not considered reasonably practicable to achieve full compliance.</li> <li>8. Review the application to confirm that the proposed work satisfies the requirements for upgrade as detailed in Section 112 of the Building Act 2004.</li> <li>9. Note if there are any issues critical to health and/or safety.</li> </ol>
<b>Record decision</b>	<ol style="list-style-type: none"> <li>10. Record reasons for the decision within GoGet.</li> </ol>



## BC 7 Buildings on Land Subject to Natural Hazards

### Process

Processing an application for consent for construction of building work or major alterations to a building on land which is subject to natural hazards and notifying relevant authorities of the issuing of the consent. It is performed by the BC Technical Officer or BOs with review by Team Leader or Building Team Manager.

### Relevant documents

Regulation 7(2)(d)(iv)

Building Consents – Natural Hazard Guidance Information (Form 570)

Guidance for Staff on the Process and Steps for Sections 71-74 of the Building Act 2004 (Form 589)

Natural Hazards Flow Chart – Guidance for Staff (Form 698)

Intention to Issue Consent Under Section 72 of the Building Act 2004 (Form 571)

Notification of redundant entry (natural hazards) (MBIE form <https://www.building.govt.nz/building-officials/guides-for-building-officials/notifying-natural-hazards-or-building-over-allotments/> )

Notification of Building Consent Granted for Building on Land Subject to Natural Hazard/s (Form 375)  
Land Subject to Natural Hazards Register (Form 595)

### Procedure

<p><b>Identify and record applications to build on land subject to natural hazards</b></p>	<ol style="list-style-type: none"> <li>Information on whether or not the land on which building work is proposed is subject to natural hazard(s) as defined in s71(3) is obtained from the Council's GIS, District Plan hazard maps, on a case by case basis and any other information held by Council as part of the pre-vetting process.</li> <li>The BC Technical Officer or Duty BO will record details of the property on the Land Subject to natural Hazards Register (Form 595) when they are vetting the consent application.</li> <li>If the work is for either a new building or major alterations and it appears likely that a consent would be granted under section 72, the BC Technical Officer or Duty BO rings the owner to discuss this with them. Confirm in writing to them using the Intention to Issue Consent Under Section 72 of the Building Act 2004 (Form 571) letter. Scan and save a copy of the signed letter (Form 571) to RAD or, if sending by email, save and send as a PDF. The owner is asked to respond in writing. Written responses are saved to RAD and recorded in GoGet processing.</li> </ol>
<p><b>Assessment</b></p>	<ol style="list-style-type: none"> <li>With reference to the Guidance for Staff on the Process and Steps for Sections 71-74 of the Building Act 2004 (Form 589), Natural Hazards Flow Chart – Guidance for Staff (Form 698) and Building Consents – Natural Hazard Guidance Information (Form 570), decide if this consent is work to which s71(1) applies.</li> <li>Determine if the land on which the proposed building work is to be carried out is subject to or likely to be subject to one or more natural hazards s71(1)(a), or the building work is likely to accelerate, worsen or result in a natural hazard on any property s71(1)(b). If not, record the reasoning in the GoGet checklist and the details of the property on the Land Subject to Natural Hazards Register (Form 595) and go to clause 11.</li> <li>Determine if the building work is for either a new building or major alterations to an existing building. If not, then there is no requirement for a section 73 notice but all other aspects of the hazard assessment must still be satisfied. <b>Go to clause 11 to have decision confirmed in MagiQ by the Building Team Manager or Team Leader.</b></li> <li>If section 71(1) applies to the consent, undertake an assessment of whether section 71(2) applies to see if there is adequate provision to protect the land and building from the hazard or hazards, or that any damage caused by the building work will be restored. Refer to the Guidance for Staff on the Process and Steps for Sections 71-74 of the Building Act 2004 (Form 589) and Natural Hazards Flow Chart – Guidance for Staff (Form 698) to provide information on steps that need to be taken and information to be recorded.</li> </ol>

## BC 7 Buildings on Land Subject to Natural Hazards

<p><b>Decision to grant or refuse to grant</b></p>	<p>8. If the requirements of section 71(2) have been met, then the consent can be issued under section 49 without notification under section 73. Record in the Land Subject to Natural Hazards Register (Form 595) and go to clause 11.</p> <p>9. If the BCA considers that section 71 applies but that the proposed building work will not accelerate, worsen or result in a natural hazard (s72) 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 under section 72 which will be subject to a section 73 notification. Ensure that the Intention to Issue Consent Under Section 72 of the Building Act 2004 (Form 571) letter has been sent to the owner, if it has not already gone out, arrange for one to be sent.</p> <p>10. If section 71(1) applies to the consent and Council is not satisfied that the requirements of section 72 have been met, then the consent must be refused.</p> <p>11. The assessment and recommendation for every building consent where the land has an identified natural hazard is made by the BO and then reviewed by the Team Leader or Building Team Manager. The result of their decision is recorded in the GoGet checklist.</p> <p>12. If the BCA is satisfied that should the consent be granted, approval would be granted under section 72, the BO checks that the owner has been advised and has confirmed that they wish to proceed with the application. If there has been no response to the Intention to Issue Consent Under Section 72 of the Building Act 2004 (Form 571) letter, ring and discuss with the owner and record details of the conversation on the consent.</p>
<p><b>Record decision</b></p>	<p>13. The decision to grant or refuse to grant the consent, and the reasons for that decision, are recorded on the GoGet checklist and the Land Subject to Natural Hazards Register (Form 595). These should be filled for all situations where hazards are considered.</p> <p>14. Where there is a need for a Section 73 condition on the consent select the condition on the MagiQ list.</p> <p>15. Record the hazard as a 'warning' in GoGet whenever a specific floor level to be achieved.</p>
<p><b>Review</b></p>	<p>16. Review the notes recorded in the Land Subject to Natural Hazards register (Form 595) and update as necessary.</p> <p>17. Where the decision is to issue the consent with a section 72 condition, check that the applicant has been invoiced for the certificate. If payment is outstanding set the status to MagiQ to 'further information requested'. Arrange refund if section 72 payment made and not required.</p>
<p><b>Notify the Registrar General of Lands</b></p>	<p>18. Once consent documents are issued to applicant for a building consent that has been granted pursuant to section 73, check that the document released status and section 72 condition is showing in MagiQ before sending notification to the Registrar-General of Lands either directly or through an agent, using Form 375 Notification of BC Granted for Building on Land Subject to Natural Hazard, signed by the Building Team Manager or the Team Leader in their absence.</p> <p>19. Scan the signed notification form and save to the building consent file in RAD.</p>
<p><b>Crown Land</b></p>	<p>20. When the land is owned by the Crown (gazette notice), send notification to the appropriate Minister and the Surveyor-General. The notification to the Surveyor-General is to be sent either directly or through an agent, using Notification of Building Consent Granted for Building on Land Subject to Natural Hazard/s (Form 375), signed by the Building Team Manager or the Team Leader in their absence.</p>
<p><b>Maori Land</b></p>	<p>21. When the land is owned as Maori Land, send notification to the Registrar of the Maori Land Court either directly or through an agent, using Notification of Building Consent Granted for Building on Land Subject to Natural Hazard/s (Form 375), signed by the Building Team Manager or the Team Leader in their absence.</p>

## BC 7 Buildings on Land Subject to Natural Hazards

<b>Registration certificate received from LINZ</b>	22. When the registration certificate is received from LINZ, the Building Compliance Officer saves it into the building consent folder in RAD. 23. The Building Compliance Officer notes in MagiQ in the General Property Information as a Building Note S73 has been registered against the specific BC number.
<b>Removal of Section 73</b>	24. If it is determined that the entry is no longer required, the reasons for this decision needs to be recorded on the Land Subject to Natural Hazards Register (Form 595). Notify the Registrar-General of Land using the MBIE form Notification of redundant entry (natural hazards). If notification is to the Minister and the Surveyor-General or Registrar of the Maori Land Court use this form with the name adjusted. 25. Add a building note into the General Property Enquiry screen in MagiQ to confirm that the section 73 registration has been removed from the record of title.

## BC 8 Referral to Fire and Emergency New Zealand

### Process

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

### Relevant documents

Regulation 7(2)(d)(iv)

Copy of Building Consent Letter to FENZ (Form 574)

New Zealand Gazette 3 May 2012 (Issue No.49)

### Procedure

<p><b>Requirement for review</b></p>	<ol style="list-style-type: none"> <li>1. The application must be sent to the FENZ if the building or part of the building is being used for one or more of the purposes listed in the current Gazette Notice*, and the application:             <ol style="list-style-type: none"> <li>1.1. proposes the use of an alternative solution or a modification or a waiver in respect of any of building code clauses C1-6, D1, F6 or F8; and/or</li> <li>1.2. 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> </ol> </li> <li>2. Buildings used for other purposes do <b>not</b> need to be sent to the FENZ for advice.</li> <li>3. The following building work does <b>not</b> require referral to the FENZ:             <ol style="list-style-type: none"> <li>3.1. a single household unit;</li> <li>3.2. 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>3.3. an internal fit-out which does not involve a change of use; or</li> <li>3.4. an outbuilding or ancillary building (including marquees)</li> </ol> </li> </ol>
<p><b>Forwarding applications for review</b></p>	<ol style="list-style-type: none"> <li>4. Electronic copies of applications, together with the Copy of Building Consent Letter to FENZ (Form 574), are emailed to the Fire Engineering Unit <a href="mailto:DRReviews@fireandemergency.nz">DRReviews@fireandemergency.nz</a></li> <li>5. The FENZ 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>
<p><b>Consider FENZ comments</b></p>	<ol style="list-style-type: none"> <li>7. CAO receives the information scans and saves to the building file and stamps with date received. Any hard copy is date stamped and forwarded to records for filing.</li> <li>8. Where the FENZ 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>9. Note the decision made and the reasons for the decision in GoGet.</li> <li>10. 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 2 Consent Application Processing</b>.</li> </ol>

\* The current Gazette Notice refers to section 21A of the Fire Service Act 1975. Section 36 of the Fire and Emergency New Zealand Act 2017 states that section 21A of the Fire Service Act will continue to apply until the commencement of sections 75-79. Sections 75-79 come into force 1 July 2018 unless another date is appointed by Order in Council. On 30/08/18 MBIE advised that at this time the Interpretation Act 1999 allows references to the repealed enactment to have continuing effect.

## BC 9 Producer Statements

### Process

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

### Relevant documents

Regulation 7(2)(d)(iv)

### 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 or engineers who have equivalence and are recognised by the registration authority for chartered professional engineers (<a href="https://www.engineeringnz.org/public-tools/find-engineer/">https://www.engineeringnz.org/public-tools/find-engineer/</a>).</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. Other than as set out above, Producer Statements are not accepted as such, but may be considered as information only.</li> <li>4 For all Producer Statements the registration of the practitioner should be checked on the appropriate website.</li> </ol>
<b>Checking producer statement authors</b>	<ol style="list-style-type: none"> <li>5 When a Producer Statement is submitted, the CPEng register on the Registration Authority for Chartered Professional Engineers website is checked to see if the author is CPEng registered. If the engineer is registered overseas this register should be checked and equivalency should also be checked on <a href="https://www.engineeringnz.org/public-tools/find-engineer/">https://www.engineeringnz.org/public-tools/find-engineer/</a>.</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 Producer Statement for design review 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 cannot be accepted.</li> </ol>
<b>Assessing producer statements</b>	<ol style="list-style-type: none"> <li>8 Each Producer Statement is assessed using GoGet.</li> <li>9 The Producer Statement should:             <ol style="list-style-type: none"> <li>9.1. clearly identify the property where the work that it covers is located,</li> <li>9.2. clearly describe the work that it covers;</li> <li>9.3. explicitly reference plans and specifications (including calculations);</li> <li>9.4. state the Building Code clause or clauses which it covers;</li> <li>9.5. state which relevant performances of the Building Code will be or have been met;</li> <li>9.6. state what conditions of the building consent have been met (Producer Statements for construction review only);</li> <li>9.7. justify any claims made by reference to Standards, manufacturer's literature etc;</li> <li>9.8. state any conditions or limitations on the validity of the statement;</li> <li>9.9. where inspections are required by persons other than the BCA, list the inspections required, and identify who will perform them;</li> <li>9.10. for a Producer Statement for construction review, be accompanied by notes from the required inspections;</li> <li>9.11. be dated and signed by the author; and</li> <li>9.12. show the author's name, qualifications, registration number, and a statement of the author's current professional insurance provisions.</li> </ol> </li> </ol>
<b>Record decision</b>	<ol style="list-style-type: none"> <li>10 Record the decision to accept or reject the producer statement, and reasons for the decision, within GoGet.</li> </ol>

## BC 10 Owner-Builder Exemption

### Process

This process covers applications where the design or construction work that is part of a consent for building work is being undertaken by a person under the owner-builder exemption. This process happens when Council is notified during the consent process that work is to be undertaken by an owner-builder. It is performed by BOs.

### Relevant documents

Regulation 7(2)(d)(iv)

Owner-Builder Exemption Register (Form 596)

Building Consent Office Record (Form 123)

Statutory Declaration as to owner-builder status form (MBIE website)

### Procedure

<p><b>Information from the customer</b></p>	<ol style="list-style-type: none"> <li>1 Check whether the owner is proposing to do the design work, construction work or both, and that the appropriate statutory declaration has been received.</li> <li>2 Check that the owner resides or intends to reside in the dwelling that the building consent relates to. If not the owner-builder exemption does not apply.</li> <li>3 Check that the owner will carry out the restricted building work him/herself or only with the assistance of unpaid friends and family members. If not the owner-builder exemption does not apply.</li> <li>4 Check that the statutory declaration is filled out correctly (complete with all sections and signed appropriately).</li> <li>5 When an owner-builder statutory declaration is received after the consent application has been lodged, the owner-builder register is checked to ensure that the applicant has been added to the register.</li> </ol>
<p><b>Record so that the information is available for staff and future owners</b></p>	<ol style="list-style-type: none"> <li>6 Check if the person is an owner and has been registered on the Owner-Builder Exemption Register (Form 596) within the last three years in relation to a different household unit. If they have, inform them that they cannot undertake work under an owner-builder exemption.</li> <li>7 If they have not been on the Owner-Builder Exemption Register (Form 596) within the last three years, enter details into the Owner-Builder Exemption Register (Form 596) identifying what work is being undertaken under an owner-builder exemption.</li> <li>8 Add building note in the general property information of MagiQ 'BC xxxxxx building work carried out under an owner-builder exemption in MagiQ'</li> <li>9 Continue to process as per <b>BC 2 Consent Application Processing</b> or <b>BI 2 Inspections</b>.</li> </ol>
<p><b>Record decision</b></p>	<ol style="list-style-type: none"> <li>10 Record that consent involves an owner-builder exemption on the Building Consent Office Record (Form 123).</li> </ol>

# BI 1 Booking Inspections

## Process

This process covers the receiving of bookings for, and the allocation of, inspections. Bookings are recorded by the Customer Engagement Team, BO and the Building Inspections Team Leader.

## Relevant documents

Regulations 7(2)(e) and 9  
Inspections Calendar (GoGet Scheduler)  
Technical Skills Matrix (Form 504)  
[Supervision Memo \(GoGet\)](#)

## Procedure

<p><b>Inspection booking requested</b> Reg. 7(2)(e)</p>	<ol style="list-style-type: none"><li>1. Inspection bookings are requested by telephone or in person at the Waikanae or Ōtaki Service Centres, or Council's office in Paraparaumu or on demand directly with the Building Officer.</li><li>2. On demand inspections (this is an inspection booking made by the BO when out in the field if they are going to carry out an additional inspection not currently shown in their schedule) must be phoned through by the Building Officer to the Call Centre or Building Inspections Team Leader.</li><li>3. Where there is a 'warning' in place <b>in GoGet</b> refer to the detail to decide if the requested inspection can proceed.</li><li>4. Where the inspection requested is non-standard, book the inspection as the nearest to the stage of work. Check past series of inspections undertaken to ascertain the next expected inspection if unsure. Non-standard inspections may include: work that is unusual or of complex construction; or being undertaken to monitor problems.</li><li>5. The Customer Engagement Team member who takes the call enters an appointment into GoGet Scheduler under an inspector with the appropriate competency.</li><li>6. The following information is recorded for the appointment other than on demand inspections:<ol style="list-style-type: none"><li>6.1. property address;</li><li>6.2. type of inspection;</li><li>6.3. care register yes/no</li><li>6.4. name and contact number;</li><li>6.5. BC number and category of building work;</li><li>6.6. morning or afternoon inspection time if the applicant makes a specific unprompted request;</li><li>6.7. whether anyone will be on site or alternatively that the inspector is required to phone prior to inspection; and</li><li>6.8. whether there will be a dog on site.</li></ol></li><li>7. The following information is recorded for on demand inspections:<ol style="list-style-type: none"><li>7.1. BC number</li><li>7.2. property address</li><li>7.3. type of inspection</li><li>7.4. care register yes/no</li></ol></li><li>8. Where the inspection is for a consent that is over 5 years old, and there has not been an inspection in the last year, the CAO will book the inspection to be carried out in 1 weeks' time and then raise a service request to the duty building officer to check there is a scanned building consent file. Where there is no scanned file the duty building officer forwards the service request to the Information Management Team asking for the records to be retrieved.</li><li>9. If the caller cannot supply the BC number, the Customer Engagement Team member obtains the number from MagiQ or searches it in GoGet.</li></ol>
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## BI 1 Booking Inspections

	<p>10. Where there is a notice issued under s37 with the consent and not yet uplifted, advise the caller that building work may not be undertaken and no inspection can be booked unless there is an explanation note in GoGet confirming which inspections may still go ahead.</p> <p>11. The caller is advised by the Customer Engagement Team member what day the inspection will occur and whether it will be in the morning or afternoon. The caller is also advised that the approved documents must be on site either in hard copy or on a large tablet for an inspection to take place.</p> <p>12. The CAO checks the care register and flags on the booking if there are any entries for the property.</p>
<p><b>Allocating inspections</b> Reg. 9</p>	<p>13. Inspection bookings may be moved between inspectors by the Building Inspections Team Leader or nominated person to suit allocated areas.</p> <p>14. Work is allocated on the basis of category of work, the Technical Skills Matrix (Form 504), individual workloads, provision of training opportunities and approved leave.</p> <p>15. Work may be allocated outside a BO's competence as shown on the Technical Skills Matrix (Form 504), provided supervision is undertaken by a competent officer. Allocation in this case requires a competence override to be entered. The supervision memo in GoGet <b>is allocated to</b> a competent supervisor.</p> <p>16. Where the inspection is undertaken by the Compliance Officer to assist the BO under their direct supervision, no supervision memo in GoGet is required. The BO is the person responsible for any decisions taken as a result of the inspection.</p>



## BI 2 Inspections

### Process

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

### Relevant documents

Regulations 7(2)(e) and 16(2)(a)  
 Kapiti Coast District Council Enforcement Policy  
 Inspection Site Notice (Form 625)  
 Inspection Audit Report (Form 626)  
 Notice to Fix (Form 514)  
 Historic CCC – Issues Raised (Form 699)

### Procedure

<b>Preparation</b>	<ol style="list-style-type: none"> <li>1 Prior to leaving the office, ensure that the mobile tablet has been docked and updated with the day's inspections.</li> <li>2 Check any memos and previous inspection statuses for any site instructions or notes outstanding. The next inspection should not take place where there is a previously failed inspection related to that area.</li> <li>3 Where the Care Register is flagged on the booking discuss your proposed approach to the inspection with the Building Inspections Team Leader before proceeding.</li> <li>4 Check that you have the equipment and personal protective gear you will require for the inspection.</li> </ol>
<b>Arriving at site and documentation</b>	<ol style="list-style-type: none"> <li>5 Check the site for any hazards prior to entry. Read any hazard notification board.</li> <li>6 Introduce yourself to the person on site and receive the site safety induction.</li> <li>7 Check that the approved documentation is on site. Check the consent documents before conducting the inspection.</li> <li>8 If the approved documentation is not on site, the inspection is undertaken or rebooked at the Inspectors discretion considering the nature of the inspection and availability of relevant information either digitally or Council's hardcopy.</li> <li>9 Where there is no one on site it is the inspector's discretion if the inspection proceeds or needs to be re-booked. Inspections are generally undertaken where the inspection is external only, or where prior notification/arrangements for access have been made.</li> </ol>
<b>Inspections</b>	<ol style="list-style-type: none"> <li>10 Where the inspection to be undertaken is for only part of the scope, record in GoGet as a part inspection.</li> <li>11 Check compliance with consented documents. Take photographs as appropriate.</li> <li>12 Where inspection is a non-standard inspection eg strawbale construction, site meetings etc use the checklist nearest to the work stage, and record specific notes under 'other' section.</li> <li>13 For all consents over 5 years or older the inspection is to be failed noting the default "due to the age of the consent a further review of the consent is required before a decision can be made regarding the issuing of CCC" and transfer to the Building Inspections Team Leader. The Team Leader will convene a moderation panel for discussion prior to making the decision.</li> <li>14 Resolve any outstanding issues from previous inspections. Historic CCC – Issues Raised (Form 699) may be used to communicate outstanding issues for older consents.</li> <li>15 Complete the GoGet inspection checklist, recording the inspection result. Check that no warnings or bans relate to any of the building products or methods used in the consented work. Identify where work (whole or specific areas) requires re-inspection before work can proceed, and reasons for the</li> </ol>

## BI 2 Inspections

	<p>decision, results of any measurements taken and names of building practitioners on site (in the documentation tab).</p> <p>16 Discuss inspection results with the person on site, and advise that a copy of the Inspection Site Notice (Form 625) will be emailed or, if preferred, posted to them and or any other nominated person.</p>
<b>Receiving information</b>	<p>17 Any documentation received on site is provided to the CAO upon return to the office for scanning and saving to the building file.</p> <p>18 When verbal advice is received (e.g. the names of LBPs undertaking works) record in GoGet.</p>
<b>Variations and amendments</b>	<p>19 Minor variations from the consented documents can be dealt with on site if the inspector is confident that he can assess the effect on building code compliance. Changes are noted in the notes section of the GoGet inspection checklist, and any relevant new plans are accepted, or required to be provided by the final inspection. Written approval for minor variations is to be obtained from agent/owner prior to CCC being issued.</p> <p>20 An amendment is required if the proposed variation:</p> <ul style="list-style-type: none"> <li>20.1 changes the building footprint;</li> <li>20.2 affects the structural integrity of the building;</li> <li>20.3 affects the durability of building elements;</li> <li>20.4 impacts the weather-tightness of the building;</li> <li>20.5 involves a change of use;</li> <li>20.6 differs from the approved fire report;</li> <li>20.7 affects access or facilities for people with disabilities;</li> <li>20.8 alters vehicle access or parking (refer to planning).</li> </ul>
<b>Amendment required</b>	<p>21 If an amendment to the consent is required, advise the applicant to make an application for an amendment and not to undertake any work related to the amendment until it is approved. An amendment to a building consent is dealt with as per <b>BC 5 Amend Consent</b>.</p> <p>22 Generate a 'warning' memo in GoGet when it is identified that an application for an amendment is required.</p> <p>23 Work related to the amendment is not inspected until the amendment is approved.</p>
<b>Failed Inspection</b>	<p>24 If an inspection is failed, another inspection is required.</p> <p>25 Discuss any non-compliance which has led to a failed inspection on site</p> <ul style="list-style-type: none"> <li>24.1 Explain the reason for the non-compliance.</li> <li>24.2 Areas of the work which need to stop work until non-compliance is resolved.</li> <li>24.3 Discuss how it might be resolved.</li> <li>24.4 Record description of non-compliance and agreed resolutions in the notes section of the GoGet checklist.</li> <li>24.5 Record any agreed resolutions in the notes section.</li> </ul> <p>26 The Inspection Site Notice (Form 625) records the result of the inspection, and any action required as a result of the inspection being failed. A copy of the notice is emailed or posted to the person on site or any other interested party as requested.</p> <p>27 Where there has been a stop on work, generate a 'warning' in GoGet describing specifically the area affected for which a further inspection passed needs to be obtained before subsequent inspections can be booked.</p> <p>28 If an inspection is failed due to a significant non-compliance, a Notice to Fix (Form 514) may be issued – see <b>BI 3 Notice to Fix</b>. Refer to Enforcement Policy for guidance as to appropriate level of enforcement.</p>

## BI 2 Inspections

<p><b>Final inspections requiring a fire safety inspection</b></p>	<p>29 For buildings where there is a draft compliance schedule issued, the Building Compliance Officer may accompany the Building Officer to the final inspection for the purpose of a fire safety inspection.</p> <p>30 Two separate inspections will be recorded in GoGet. In consultation with the Building Officer, the Compliance Officer will note and tick off fire safety items in the GoGet inspection check sheet. The Building Officer's check sheet will make reference to this. The Building Compliance Officer will fail the inspection for Fire Safety until the Building Officer reviews and passes the inspection.</p> <p>31 Both audit reports (Form 626) will be assessed as part of the review process for the issuing of CCC.</p>
<p><b>Inspection record completion and filing</b></p>	<p>32 Sufficient information must be provided on the GoGet inspection checklist to clearly describe what was inspected and the status of the work as a result of the inspection. All measurements taken must be recorded.</p> <p>33 All check boxes or spaces in the checklist are to be completed. If the element is not applicable or was not inspected this is noted as such. Completion of each field is required before continuing.</p> <p>34 Where test results or measurements are not provided for on the checklist these are recorded in the notes section of the checklist.</p> <p>35 Notes in relation to non-compliance or rectification are recorded in the notes section of the checklist.</p> <p>36 The result of the inspection is recorded together with the reason for the decision. Where reliance is placed on evidence other than the inspectors own observations, these must be described.</p> <p>37 Where re-inspection has passed work for which there is a warning in place, remove the warning from GoGet.</p> <p>38 On return to the office, the mobile tablet is docked and inspection records together with associated photographs are uploaded. Inspection Site Notices and Inspection Audit Reports are automatically generated and saved, and the site notices are emailed to interested persons as requested.</p> <p>39 Where the inspection is undertaken by an officer requiring supervision, the supervisor records the outcome of the review in the supervision memo in GoGet.</p> <p>40 Where damage deposits and/or vehicle crossing fees have been paid, email advice to Infrastructure to alert them to any damage observed.</p>

## BI 3 Notice to Fix

### Process

This process covers issuing a Notice to Fix (NTF) where work done does not comply with the building consent and/or Building Code. It is carried out by **BO**, the Building Inspections Team Leader or Approvals Team Leader.

### Relevant documents

Regulation 7(2)(f)

Building Act 2004, sections 163 – 168

Kapiti Coast District Council Enforcement Policy

Notice to Fix (Form 514)

Inspection Site Notice (Form 625)

### Procedure

<p><b>When a Notice to Fix may be issued</b></p>	<p>1 Notices to Fix (Form 514) may be issued by the BCA when building work carried out under a building consent does not comply with that consent, and other efforts to remedy the problem have been unsuccessful.</p> <p>2 In situations where the BCA becomes aware that work has been carried out, or is being carried out, without a building consent, the responsible authority notifies the Territorial Authority. The Territorial Authority is responsible for issuing Notices to Fix (Form 514) in these circumstances.</p>
<p><b>Identifying non-compliant building work</b></p>	<p>3 Building work carried out under a building consent which does not comply with that consent is most often identified during the course of an inspection. Where such work is identified, it is usually initially dealt with by the use of site instructions recorded on the Inspection Site Notice (Form 625) as per <b>BI 2 Inspections</b>.</p>
<p><b>Notice to Fix required</b></p>	<p>4 A notice may be required where the non – compliance is significant, or where site instructions are not complied with. Refer to Enforcement Policy for guidance as to appropriate level of enforcement.</p> <p>5 BO <b>can make decision or</b> refer the non-compliance with their recommendation to the Team Leader.</p> <p>6 <b>The BO or</b> Team Leader records their decision and reasoning <b>in a Site Notice, a Service Request that is linked to the building consent, an email saved into RAD, or</b> as a memo within GoGet.</p>
<p><b>Format of Notice to Fix</b></p>	<p>7 Notices to Fix (Form 514) are issued in the format prescribed in the Building (Forms) Regulations 2004, Form 13 including a description of work that has given rise to a breach of the Building Act.</p>
<p><b>Requirements of notice</b></p>	<p>8 The Notice to Fix (Form 514) must be issued to specified persons including the building owner and, if applicable, to the person supervising or carrying out the work.</p> <p>9 The Notice to Fix (Form 514) must set out:</p> <p>9.1 what is to be remedied; and how the work will be carried out and</p> <p>9.2 whether a certificate of acceptance is required;</p> <p>9.3 reasonable timeframes for compliance to be achieved;</p> <p>9.4 <b>who must be contacted when the work is complete;</b></p> <p>10 The Notice to Fix (Form 514) may also include:</p> <p>10.1 whether an amendment to the consent is required;</p> <p>10.2 whether a stop work applies.</p> <p>11 If the Notice to Fix (Form 514) results in new work being required, a new building consent or an amendment to the existing building consent will be required.</p>
<p><b>Issuing Notice to Fix</b></p>	<p>12 The Notice to Fix (Form 514) is prepared by the <b>BO or</b> Building Inspections Team Leader or the Approvals Team Leader using the template in <b>GoGet</b>. It is signed, and dated by the <b>BO or</b> Team Leader.</p> <p>13 The <b>BO or</b> Team Leader posts, <b>emails or hand delivers</b> to the person or persons specified in the Notice to Fix (Form 514). MagiQ status is <b>updated</b></p>

### BI 3 Notice to Fix

	<p>by BO or Team Leader to “Notice to fix issued” once the Notice to Fix (Form 514) is generated.</p> <p>14 A copy of the signed and dated Notice to Fix (Form 514) is scanned and saved to a newly created subfolder titled ‘Notice to Fix Issued’ within the building consent file in RAD (or where there is no building consent, it is saved in RAD in the Territory Authority file path to a new property address subfolder under Compliance and Enforcement, Notice to Fix.</p> <p>15 All documentation relating to the Notice to Fix will be saved into the ‘Notice to Fix Issued’ subfolder.</p> <p>16 Notice to Fix subfolders are set up by IT upon request.</p>
<b>Further action</b>	<p>17 All follow up inspections, decisions and enforcement actions associated with the Notice to Fix (Form 514) are undertaken as appropriate by the Territorial Authority as shown in NF1, TA Manual.</p> <p>18 Once the TA has issued a written notice to confirm that the Notice to Fix has been complied with and the MagiQ status has been updated to show the notice has been lifted, BCA functions continue as usual.</p>

## BI 4 Code Compliance Certificate

### Process

This process involves receiving an application for a Code Compliance Certificate (CCC), receiving and checking all required documentation, deciding to issue, or to decline to issue, a code compliance certificate, and issuing a code compliance certificate. It is carried out by the Customer Engagement Team, Building Officers and the Building Inspections Team Leader (or in their absence, the Approvals Team Leader).

### Relevant documents

Building (Accreditation of Building Consent Authorities) Regulations 2006, Regulation 7(2)(f)  
 Building (Forms) Regulations 2004  
 Application for Code Compliance Certificate (Form 278)  
 Solid Fuel Heater – Application for Code Compliance Certificate (Form 278b)  
 Code Compliance Certificate (Form 515)  
 Statement of Compliance (Form 640)  
 Inspection Site Notice (Form 625)  
 Inspection Audit Report (Form 626)  
 Compliance Schedule (Form 518)  
 Compliance Schedule Statement (Form 549)  
 Guide for Completing an Application for Code Compliance Certificate (Form 278a)  
 CCC Application Refused Letter (Form 663)  
 Refund of Fees Letter (Form 693)  
 Application for Certificate of Public Use (Form 437)  
 Fees Required Before Issue of CCC (Form 706)  
 CCC RFI Follow Up (Form 710)  
 Unable to Issue CCC – Application Received (Form 712)  
 1991 Code Compliance Certificate (Form 711)

### Procedure

<p><b>Final Inspection follow-up</b></p>	<ol style="list-style-type: none"> <li>1. 6 weeks or more after the final inspection date, a CAO researches to check the status of the consent using MagiQ report 'Building Consents – Passed or Failed Final Inspection'.</li> <li>2. If the final inspection was more than 6 months prior, or the landscaping was not complete around the building at the time of the previous final inspection refer to the Building Inspections Team Leader to determine whether a further final inspection is required.</li> <li>3. If there is no CCC issued and re-inspection is needed, and/or outstanding information is required a CCC RFI Follow Up (Form 710) is generated. The CAO uses GoGet to determine outstanding information required <b>and generate the letter.</b></li> <li>4. The CAO saves the letter in the building consent file in <b>RAD</b>. The CAO will then open the word version of the letter and save a pdf version in <b>RAD</b>. The pdf version is then sent to the applicant/owner. The status is set in MagiQ to "CCC reminder letter sent".</li> <li>5. A check is made to determine if any fees are outstanding, and if there are, the CAO changes the status in MagiQ to "Further Information Requested" to pause the clock while the Customer Engagement Team to follow up,</li> </ol>
<p><b>Receiving an application</b></p>	<ol style="list-style-type: none"> <li>6. An application for a CCC is made using the Application for Code Compliance Certificate (Form 278 or 278b), which follows the format of Form 6 in the Building Forms Regulations 2004.</li> <li>7. When an application is received by the Customer Engagement Team it is entered into MagiQ using the 'CCC Application Received' status to start the 20-day clock. When a CCC application form is received on site, the BO transfers to the Customer Engagement Team to receive. CAO receives the information scans and saves to the building file and stamps with date received. CAO emails the BO who last inspected the work to advise application is received.</li> <li>8. Where a building consent has had CCC refused status, an application for CCC may be accepted. The status remains 'refused' until the appropriate reviews and decisions determine otherwise. CAO raises a service request to the Duty BO</li> </ol>

## BI 4 Code Compliance Certificate

	<p>asking them to check to see if an electronic building file exists. If there is no electronic file, the hard copy file is requested from records.</p> <p>9. The BO checks all relevant information is contained in the CCC application and refers to the Building Inspections Team Leader if necessary for refusal. A CCC application may be refused on recommendation by the BO or if the Building Inspections Team Leader determines that the application does not contain all the relevant information. Where an application is returned or rejected, the Team Leader will advise the applicant (Form 663) CCC Application Refused Letter and then update the MagiQ status to 'Further Information Requested'.</p> <p>10. If the final inspection has been completed and passed, the BO checks to see if all paperwork has been received. If not, the MagiQ status is changed to 'further information requested' and the clock is stopped in MagiQ.</p> <p>11. The Building Compliance Officer monitors receipt of CCC Applications on a weekly basis using the MagiQ report 'Consents with CCC Application received but not issued' (BCCAR). The BCO will contact the applicant and advise if they need to provide further information or if a final inspection is required.</p> <p>12. If neither a final inspection or an extension of time has been arranged then the applicant is advised that no CCC decision can be made using the Unable to Issue CCC – Application Received letter (Form 712). The status is then updated in MagiQ to 'CCC refused' with a note stating "section 93 decision made."</p> <p>13. If a compliance schedule is required, refer to the Building Compliance Officer who prepares, copies; and mails the Compliance Schedule (Form 518) and the Compliance Schedule Statement (Form 549) to the owner as per <b>BI 6 Compliance Schedules</b>.</p>
<p><b>Extending the timeframe</b></p>	<p>14. The decision to issue or refuse a code compliance certificate must be made within 20 working days or a longer timeframe if agreed between the Team Leader Inspections and the owner.</p>
<p><b>CCC application where consent granted by another BCA</b></p>	<p>15. Where a CCC application is received related to building work that was granted building consent by another BCA, seek and obtain the applicant's agreement to consider the application.</p> <p>16. Review documentation provided to establish if there is sufficient evidence to complete the SOC report (Form 640) in GoGet.</p> <p>17. The BO recommendation to refuse or accept the CCC application is reviewed by the Team Leader and the applicant notified using clause 9 to refuse or continuing process to issue.</p>
<p><b>Application checked</b></p>	<p>18. When all required paperwork has been received, the clock is restarted by setting the MagiQ status to 'information received' dated the day that the information was received.</p> <p>19. The BO reviews the building consent documentation (including Inspection Site Notices (Form 625) and Inspection Audit Reports (Form 626) and ensures all documentation required is received, scanned and saved by CAO and accepted in the support documentation field on GoGet.</p> <p>20. The BO checks current warning or bans related to building method or product, and if any relate to the building work, refers the application to the Building Inspections Team Leader.</p> <p>21. The BO must be satisfied, on reasonable grounds that the building work complies with the building consent (or the building code at time of issue of the building consent for those issued under the Building Act 1991) and the specified systems (new or altered) are capable of performing to the standards set in the building consent.</p> <p>22. On completion of the review process, the Statement of Compliance Report (Form 640) is completed in GoGet recording the recommendation to issue or to refuse to issue the CCC with the reasons for the decision, the SOC is either signed electronically or printed and signed by the BO. The signed SOC report is saved</p>

## BI 4 Code Compliance Certificate

	<p>into RAD. The report is emailed to the Building Inspections Team Leader for review and decision.</p> <p>23. If there is not enough information to make a decision to issue CCC, the Team Leader will advise the applicant using (Form 712) Unable to Issue CCC – Application Received and then update the status in MagiQ to ‘CCC Refused’ with a note stating “section 93 decision made”.</p> <p>24. If the decision is to refuse to issue, the Team Leader will advise the applicant using (Form 712) Refuse to Issue CCC – Application Received and then update the status in MagiQ to ‘CCC Refused’.</p>
<p><b>Issue CCC</b></p>	<p>25. The Team Leader, or team member under the Team Leader’s direction, checks to see that all fees (including development contributions, compliance schedule fee and CCC application fee) have been paid. They also check if there are any inspections that need refunding or charging. The Customer Engagement Team will generate an invoice and Fees Required Before Issue of CCC letter (Form 706) or credit note and refund letter (Form 693) as necessary and send to the applicant. If fees are outstanding, the CAO will add the ‘Further Information Requested’ status into MagiQ and add details into GoGet. If a damage deposit has been paid, send an email to Roading advising the CCC has been issued.</p> <p>26. When all fees have been paid, the Customer Engagement Team advise the Team Leader.</p> <p>26.1. The Team Leader or Building Officer prints the CCC (Form 515), or the 1991 CCC (Form 711) if the consent was granted under the 1991 Building Act, in MagiQ which stops the 20 day clock and updates GoGet to CCC issued;</p> <p>26.2. The CCC is to include the numbers of any amendments to the consent but not a project description.</p> <p>26.3. The Team Leader reviews the SOC report (Form 640) and signs the CCC;</p> <p>26.4. gives the signed CCC to the Customer Engagement Team.</p> <p>27. CAO scans and saves the CCC.</p> <p>28. The Customer Engagement Team mail the original CCC and compliance schedule if applicable to the applicant.</p>
<p><b>Occupation of building by public before CCC issued</b></p>	<p>29. Where the building or part of a building may be open to the public but no CCC is yet issued, an application may be made for a Certificate for Public Use using Application for Certificate of Public Use (Form 437). Applications for a Certificate for Public Use are passed to the Building Compliance Officer to process as a Territorial Authority function.</p>



## BI 5 Monitoring Code Compliance Certificates

### Process

This process covers the monitoring of building consents to ensure that a section 93 decision is made within the statutory timeframe. It is carried out by the Customer Engagement Team and the Building Inspections Team Leader (or Approvals Team Leader in the absence of the Building Inspections Team Leader).

### Relevant documents

Regulation 7(2)(f)  
 Code Compliance Certificate (Form 515)  
 CCC Section 93 Decision Letter (Form 718)  
 Application for Code Compliance Certificate (Form 278)

### Procedure

<b>24 month report</b>	<ol style="list-style-type: none"> <li>1. Each week the 'Consents 24 Months CCC decisions' report is run from GoGet and the 'CCC Reminder letter 1 - bcccr1all.html'; 'CCC Overdue/Expired Letter Sent – No Response' and 'CCC Extensions Expiring Soon' reports are automatically generated from MagiQ listing:       <ol style="list-style-type: none"> <li>1.1. consents granted 24 months previously and for which no CCC has been issued;</li> <li>1.2. consents for which the BCA has agreed to an extension of time before it makes a section 93 decision, and that extension of time has expired.</li> </ol> </li> <li>2. CAO emails the reports to the Building Inspections Team Leader. The Building Inspections Team Leader will review the consent records and then email back their decision and instructions for the further steps to be taken on each consent shown on the report.</li> <li>3. Unless advised otherwise by the Team Leader, the CAO will set the status in MagiQ to 'CCC Application received' at the date of 24 months post CCC issue or the agreed extension deadline with a note stating "CCC decision required – but no application received". This will start the 20 working day clock.</li> <li>4. In instances where the Team Leader has instructed that a section 93 decision is required, the CAO will generate a CCC Section 93 Decision letter (Form 718) to the applicant (and the owner where the owner is not the applicant) and save into the building consent file in RAD.</li> <li>5. CAO opens the word version of the letter and saves a pdf version in RAD. The CAO then sends the pdf version of the letter to the applicant/owner together with a copy of the Application for Code Compliance Certificate (Form 278).</li> <li>6. Where the decision is to refuse the CCC, the Refuse to Issue Code Compliance Certificate Letter (Form 547) is generated by the CAO and saved into the building consent file in RAD. The CAO opens the word version of the letter and saves a pdf version in RAD. The pdf version of the letter is sent to the property owner. A copy is also sent to the owner's agent, if one is listed on the consent application. Generating the letter automatically changes the status in MagiQ to "CCC Refused".</li> <li>7. The CAO will set the status in MagiQ to 'CCC Refused' with a note stating "section 93 decision made" which will stop the clock.</li> </ol>
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## BI 6 Compliance Schedules

### 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 BOs and the Building Compliance Officer.

### Relevant documents

Regulation 7(2)(f)

Statement of Compliance Report (Form 640)

Compliance Schedule (Form 518)

Compliance Schedule Statement (Form 549)

Draft Compliance Schedule letter (Form 591)

Compliance Schedule Covering Letter (Form 607)

Code Compliance Certificate (Form 515)

### Procedure

<b>When a compliance schedule is required</b>	<ol style="list-style-type: none"> <li>1. A Compliance Schedule (Form 518) 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 (Form 518) 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 (Form 518) must state:             <ol style="list-style-type: none"> <li>3.1. the specified systems that are in the building;</li> <li>3.2. performance standards for the specified systems within the building;</li> <li>3.3. inspection, maintenance and reporting procedures to be followed by an independent qualified person in respect of each specified system; and</li> <li>3.4. be building specific and relevant to the individual specified systems inspection and maintenance regime.</li> </ol> </li> </ol>
<b>Preparing the compliance schedule</b>	<ol style="list-style-type: none"> <li>4. When a new or amended Compliance Schedule (Form 518) is required, the consent application is sent by the processing BO to the Building Compliance Officer.</li> <li>5. The Building Compliance Officer prepares a draft Compliance Schedule (Form 518) in MagiQ, obtains approval from the BO processing the application or Team Leader and sends. MagiQ generates a compliance schedule number. The original draft compliance schedule is sent to the building owner with the Draft Compliance Schedule letter (Form 591). Electronic copies are saved in RAD under the address in the property index using the compliance schedule number generated by MagiQ</li> <li>6. A signed copy is sent out with the approved consent, and a copy is scanned into RAD.</li> <li>7. When the Code Compliance Certificate (Form 515) is ready to be issued, the Building Compliance Officer prepares the final new or amended Compliance Schedule (Form 518). The GoGet Compliance Schedule Checklist under documentation is updated as accepted. A compliance schedule statement (Form 549) is sent with all new compliance schedules issued by the BCA.             <ol style="list-style-type: none"> <li>7.1. The Building Compliance Officer checks whether the ownership of the property has changed during construction by checking the rates database and updates MagiQ accordingly, prior to issuing the final Compliance Schedule.</li> </ol> </li> <li>8. The original Compliance Schedule (Form 518) and signed Compliance Schedule Statement (Form 549) are sent to the owner with the Compliance Schedule Covering letter (Form 607).</li> <li>9. Copies of the Compliance Schedule (Form 518) and signed Compliance Schedule Statement (Form 549) are sent out with the Code Compliance Certificate (Form 515). This is recorded on the Statement of Compliance Report in GoGet (Form 640).</li> </ol>

# PI 1 Complaints and Inquiries

## Process

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

## Relevant documents

Regulations 7(2)(g) and 7(2)(h)

Making a Building Consent Authority Complaint (Form 664)

Building Consent Office Record (Form 123)

Kāpiti Coast District Council – Our Standards

Kāpiti Coast District Council – Code of Conduct

Service Request Records and Reports for BCA function complaints

## Procedure

<p><b>General inquiries</b></p>	<ol style="list-style-type: none"> <li>1. The BCA receives inquiries from the public on a wide range of issues. General inquiries relating to building control functions are received by phone or email. The Customer Engagement Team log the request on the Council's Service Request system, and refer it to the duty BO for reply. The duty BO responds to the inquiry, records action taken or advice given, and closes the service request.</li> <li>2. Response times must be within the minimum standards as described in the Kāpiti Coast District Council – Our Standards booklet.</li> </ol>
<p><b>Inquiries about specific consents</b></p>	<ol style="list-style-type: none"> <li>3. Inquiries made direct to BOs about specific consents may be recorded within GoGet or in the dialog record on Form 123.</li> <li>4. Response times must be within the minimum standards as described in the <a href="#">Kāpiti Coast District Council - Our Standards booklet.</a></li> </ol>
<p><b>Discussion of general inquiries</b></p>	<ol style="list-style-type: none"> <li>5. General inquiries are discussed during Operational Management Review Team Meetings. If trends in inquiries are observed, consideration is given to amending public information to cover the subject of those inquiries.</li> </ol>
<p><b>Complaints</b></p>	<ol style="list-style-type: none"> <li>6. The BCA Complaints Process is the responsibility of the Building Team Manager and is subject to regular review.</li> <li>7. For the purposes of this process, a complaint is defined as a customer informing the Building Team either verbally or in writing that:             <ol style="list-style-type: none"> <li>7.1. they are dissatisfied with the standard of service they have received; and/ or</li> <li>7.2. the Building Team have failed to do something required by statute or that it had agreed to do (for example exceeding statutory timeframes for processing building consents or not meeting published service levels); and/or</li> <li>7.3. they are dissatisfied with the way they have been treated.</li> </ol> </li> <li>8. This includes but is not limited to complaints about BCA functions. (To be classified as a BCA function complaint, the complaint must relate to an active building consent, specifically, after an application has been formally received and prior to receiving CCC.) Complaints that fall outside the scope of the responsibilities of a BCA will be passed to the Council as a TA for investigation and action.</li> <li>9. <b>Note:</b> if a concern is verbal and is resolved at the first point of contact then this is not regarded as a 'complaint' but as a business as usual inquiry or discussion, and does not need to be recorded (except where the customer requests a complaint be recorded).</li> </ol>

## PI 1 Complaints and Inquiries

<p><b>Receiving and investigating complaints</b></p>	<p>10. Complaints are received in person, by phone, fax, letter, survey feedback or email and are logged in the Council's service request system as a 'BCA Function Complaint' and assigned to a Team Leader or the Building Team Manager. If the complaint is about a rule or behaviour described in the Code of Conduct or Our Standards booklets, it is managed through Human Resources and they will retain the records, the service request will only record that there was a BCA complaint managed by HR and it was upheld or not upheld. No identifying details will be recorded in the service request system.</p> <p>11. When managing complaints the BCA ensures that:</p> <p>11.1. Investigations are undertaken in a way that ensures objectivity and fairness to all parties.</p> <p>11.2. Complaints are prioritised according to risk and urgency.</p> <p>11.3. Complaints are responded to as quickly as possible by the most appropriate method.</p> <p>11.4. A full response is made within two working days, or an acknowledgement is sent. If the issue needs more time the complainant is informed and kept updated.</p> <p>11.5. Remedies are proportionate to the issues raised.</p> <p>11.6. Complaint records are kept and cover –</p> <ul style="list-style-type: none"> <li>• details of the investigation,</li> <li>• the outcome (e.g. whether the complaint is upheld, action taken, apology, or reason why the Council is unable to assist), and</li> <li>• information on the right of further redress and escalation if the customer remains dissatisfied.</li> </ul> <p>12. The complaint is re-classified where it does not meet the definition (e.g. complaint about the outcome rather than the service received).</p> <p>13. The appropriate Team Leader investigates the complaint and reports the result of the investigation back to the complainant. The outcome and communication with the complainant is documented in the service request system. If necessary, the Team Leader escalates the complaint to the Building Team Manager for investigation and resolution.</p> <p>14. If the complaint relates to the actions of a Team Leader, it is investigated by the Building Team Manager.</p> <p>15. A copy of the complaint, the results of the investigation and the response to the complainant are kept in the Service Request System. Before closing off, the Building Team Manager ensures that each BCA Function Complaint is linked to the correct building consent and shows 'BCA Function Complaint' as the initial service request type to ensure that they are pulled through into the Building Consent screen in MagiQ.</p> <p>16. The Building Team Manager provides a report on issues and trends to the Operational Management Review Team meeting.</p>
<p><b>Review of Complaints</b></p>	<p>17. Customer complaints, compliments and inquiries are reviewed weekly by Team Leaders. A report is automatically sent to Team Leaders who check (and amend where necessary) the record to ensure they are classified correctly and have the required information recorded.</p> <p>18. Customer complaints are monitored at the Operational Management Review Team meetings where complaint outcomes and trend analysis are discussed and continuous improvement opportunities considered.</p> <p>19. Prior to each meeting a Quality Officer checks the inquiries and complaints, and alerts the Building Manager of potential changes. The Building Manager approves or rejects the suggestions and ensures any changes are made.</p>

## PI 2 Public Information

### Process

This process covers providing information to building consent applicants on applying for a building consent, how an application is processed, how building work is inspected, and how building work is certified. It is carried out by the Building Team Manager and a Quality Officer.

### Relevant documents

Regulation 7(2)(a)

Public information documents as listed in the procedure below.

### Procedure

<p><b>Information available on the website</b></p>	<ol style="list-style-type: none"> <li>1. All public information is available on the website, <a href="http://www.kapiticoast.govt.nz">www.kapiticoast.govt.nz</a>. Note: AMA is automatically linked to the website and staff may at times use this method of accessing the public information.</li> <li>2. The information includes the following documents:           <p><b>Forms</b></p> <ol style="list-style-type: none"> <li>2.1. Residential Application for a Building Consent and or PIM (Form 256a)</li> <li>2.2. Commercial and Complex Residential Application for a Building Consent and or PIM (Form 256b)</li> <li>2.3. Application for a Building Consent (Minor Works) (Form 443)</li> <li>2.4. Application for Code Compliance Certificate (Form 278)</li> <li>2.5. Application for Amendment to Building Consent (Form 265)</li> <li>2.6. Advising Council of Your Licensed Building Practitioner(s) (Form 134)</li> </ol> <p><b>Checksheets</b></p> <ol style="list-style-type: none"> <li>2.7. Single Residential Dwelling and Accessory Building (Form 333)</li> <li>2.8. Minor Works (Form 336)</li> <li>2.9. Multi Residence, Industrial or Commercial Buildings (Form 337)</li> <li>2.10. Temporary Buildings (Form 334)</li> <li>2.11. Signs (Form 332)</li> </ol> <p><b>Guides</b></p> <ol style="list-style-type: none"> <li>2.12. A Guide to Obtaining a Building Consent on the Kapiti Coast (Form 558)</li> <li>2.13. A Guide to the Inspection Process (Form 559)</li> <li>2.14. Building Consents – Natural Hazard Guidance Information (Form 570)</li> <li>2.15. Making a Building Consent Authority Complaint (Form 664)</li> </ol> </li> </ol>
<p><b>Information available at Reception counter</b></p>	<ol style="list-style-type: none"> <li>3. If a customer requires a document at the counter, it is printed off from the website by the Customer Engagement Team.</li> </ol>
<p><b>Maintaining public information</b></p>	<ol style="list-style-type: none"> <li>4. A review of guides and public information on the website is undertaken each year during internal audits.</li> <li>5. When any of the public information requires a change, it will be managed through process <b>QA1 Continuous Improvement</b>.</li> </ol>

# AD 1 Filing of Building Consent Documents

## Process

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

## Relevant documents

Regulation 16

Documents as listed in the procedure below.

## Procedure

<b>Unique identification of applications</b> Reg. 16(1)	<ol style="list-style-type: none"> <li>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 assigned to the application by MagiQ.</li> <li>2. Amendments are assigned a unique identifier linked to the building consent as per <b>BC5 Amend Consent</b>.</li> </ol>
<b>Filing of records</b> Reg. 16(2)(b) and (c)	<ol style="list-style-type: none"> <li>3. All records filed electronically shall use the following naming convention: unique identifier, property address, description, date in full (e.g. 'BC19001, 6 Wake Street, RFI response received, 25 December 2019').</li> <li>4. Where summaries are automatically saved from GoGet the documents must be re-named in RAD.</li> <li>5. The records are filed either electronically or in hard copy as described in various procedures.</li> </ol>
<b>Receipt of additional information</b>	<ol style="list-style-type: none"> <li>6. When any information is received relevant to a specific building consent, CAO records receipt in MagiQ.</li> <li>7. CAO scans the information and saves to the building consent file in RAD. If the information relates to an application not yet granted, save into Adobe Acrobat and email the allocated BO. File hard copy as appropriate.</li> </ol>
<b>Issue of CCC</b>	<ol style="list-style-type: none"> <li>8. When the CCC is issued, or a decision is made to refuse to issue a CCC, the file is passed to the Territorial Authority and scanned against the property file and copied to the building consent file for long-term storage.</li> </ol>
<b>BC File content</b> Reg. 16(2)(a)	<ol style="list-style-type: none"> <li>9. The completed building consent file includes, at least, the following documents:             <ol style="list-style-type: none"> <li>9.1. Building Consent Office Record (Form 123);</li> <li>9.2. Application for a Building Consent Form and Checksheet (Forms 256a, 256b, 443, 332, 333, 334, 336, 337 if provided);</li> <li>9.3. Proof of ownership;</li> <li>9.4. All plans and specifications received as part of a building consent;</li> <li>9.5. GoGet Processing Summary (Form 639);</li> <li>9.6. Signed Building Consent and attachments;</li> <li>9.7. GoGet Inspection Site Notices (Form 625); and</li> <li>9.8. GoGet Inspection Audit Reports (Form 626).</li> </ol> </li> <li>10. Individual files may also include the following documents:             <ol style="list-style-type: none"> <li>10.1. Site Plan;</li> <li>10.2. PIM Copy;</li> <li>10.3. Certificate of Design Work;</li> <li>10.4. Producer Statements;</li> <li>10.5. Calculations;</li> <li>10.6. Signed Further Information Letter (Form 506);</li> <li>10.7. Signed Request for Further Information Reminder Letter (Form 550)</li> <li>10.8. Signed Notice to Fix (Form 514);</li> <li>10.9. Photos;</li> <li>10.10. Correspondence – Other;</li> <li>10.11. Energy Work Certificates;</li> <li>10.12. As Built Drainage Plan;</li> <li>10.13. Records of work and certificates of work provided under section 45(2) or 88(1)(a) of the Act;</li> <li>10.14. Owner Builder Statutory Declaration;</li> <li>10.15. Application for Code Compliance Certificate (Form 278);</li> <li>10.16. Signed CCC Section 93 Decision Letter (Form 718);</li> </ol> </li> </ol>

## AD 1 Filing of Building Consent Documents

- 10.17. Unable to Issue CCC – Application Received (Form 712)
  - 10.18. Signed Code Compliance Certificate (Form 515);
  - 10.19. Compliance Schedule (Form 518);
  - 10.20. Signed Compliance Schedule Statement (Form 549);
  - 10.21. Fire Systems Certification(verifier);
  - 10.22. BC Amend Office Record (Form 123a);
  - 10.23. Consultant reports;
  - 10.24. Signed GoGet Statement of Compliance Report (Form 640);
  - 10.25. Application for Amendment to Building Consent (Form 265);
  - 10.26. Statement - Piped Services and Plumbing Stacks (Form 125);
  - 10.27. Statement – Drainage Work Installed (Form 126);
  - 10.28. As-Built Drawing Specification Guidance (Form 717)
  - 10.29. Building warrant of fitness's;
  - 10.30. If applicable, the specified intended life of the building;
  - 10.31. Details about any levy collected under section 53 of the Act;
  - 10.32. Records of any information on any land or building received by the BCA from a Statutory authority;
  - 10.33. Any orders issued by the District Court under section 126 of the Act; and
  - 10.34. Any other relevant records that relate to the information above.
11. For building consent applications processed by or for a third party, records are kept in RAD in the contracts file stating:
    - 11.1. The name and address for service of third parties performing building control functions on its behalf;
    - 11.2. Building control function work performed for others using the BCA's own policies, procedures and systems.
  12. Summaries of any complaints laid in relation to a building and the response to those complaints are recorded in MagiQ.

## AD 2 Information Resources

### Process

This process covers making technical information available to staff. It is the responsibility of Team Leaders and Team Manager to ensure access to technical information is provided to staff.

### Relevant documents

Regulation 14

### Procedure

<p><b>Determining information</b></p>	<ol style="list-style-type: none"> <li>1. The Building Team Manager is responsible for ensuring that appropriate information is available. Additional information required for specific purposes can be requested through the Team Leader or Team Manager.</li> <li>2. Requirements for additional technical information may also be identified through job analyses, staff surveys, technical or specialist advice or advice from MBIE.</li> </ol>
<p><b>Availability of information – electronic</b></p>	<ol style="list-style-type: none"> <li>3. All staff have access to information via the internet. This information includes:             <ol style="list-style-type: none"> <li>3.1. standards on <a href="http://www.standards.co.nz">www.standards.co.nz</a>;</li> <li>3.2. Acts and Regulations on <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a>;</li> <li>3.3. Building Code and Compliance Documents on the MBIE website <a href="http://www.building.govt.nz">www.building.govt.nz</a>;</li> <li>3.4. technical literature e.g. BRANZ appraisal certificates on <a href="http://www.branz.org.nz">www.branz.org.nz</a>;</li> <li>3.5. product information and specifications on manufacturers' websites.</li> </ol> </li> <li>4. The primary reference for all these documents is the online version.</li> <li>5. Contractors working onsite will have access to online information through the BCA, Contractors not working onsite will provide their own access to online information.</li> </ol>
<p><b>Availability of information – printed</b></p>	<ol style="list-style-type: none"> <li>6. Printed information is available to all staff, and includes the following documents:             <ol style="list-style-type: none"> <li>6.1. Building Act 2004;</li> <li>6.2. Regulations;</li> <li>6.3. Building Code and Compliance Documents;</li> <li>6.4. Product information and specifications.</li> </ol> </li> <li>7. All hard copy documents are for information only, and are not controlled. Documents held in the building area are stored in the superseded shelving area or clearly marked superseded if kept at the BO's desk.</li> </ol>



## AD 3 Facilities and Equipment Management

### Process

Ensuring that appropriate facilities and equipment are provided, and that inspection, test and measuring equipment used to assess the compliance of building work with specified requirements is controlled, calibrated and maintained. It is performed by the Building Team Manager, BOs and the Building Inspections Team Leader.

### Relevant documents

Regulation 14  
Equipment Repair Register (Form 667)

### Procedure

<b>Facilities and Equipment Policy</b>	<ol style="list-style-type: none"> <li>1. Council shall provide and maintain suitable and adequate facilities and equipment for all building control staff, including:             <ol style="list-style-type: none"> <li>1.1. Suitable and adequate office space;</li> <li>1.2. Computer, photocopying, mobile devices and fax facilities;</li> <li>1.3. Adequate supply of stationery;</li> <li>1.4. Suitable vehicles for rural and urban construction sites;</li> <li>1.5. Measuring equipment and tools;</li> <li>1.6. Filing systems; and</li> <li>1.7. Safety equipment.</li> </ol> </li> <li>2. Contractors that do not have access to Council's facilities and equipment are required to provide their own.</li> <li>3. Shared resources such as additional vehicles (not allocated to building) are available and booked via Outlook calendar system.</li> <li>4. The Building Team Manager is responsible for ensuring that appropriate office facilities are available, and that appropriate equipment is provided for carrying out site inspections, that measuring equipment is appropriately calibrated, and that appropriate test procedures are implemented. Additional equipment required for specific purposes can be requested through the Team Leader or Team Manager.</li> <li>5. Requirements for additional technical resources may also be identified through job analyses, staff surveys, technical or specialist advice or advice from MBIE.</li> </ol>
<b>Measurements undertaken</b>	<ol style="list-style-type: none"> <li>6. <i>Linear measurements</i> <ol style="list-style-type: none"> <li>6.1. Steel retractable tapes are used to measure width, height, length, diameter, depth and distance.</li> <li>6.2. No testing records. Tape condition is checked in everyday use, and damaged tapes are replaced.</li> </ol> </li> <li>7. <i>Gradient</i> <ol style="list-style-type: none"> <li>7.1. Spirit levels are used to measure the gradient of ramps, drains etc.</li> <li>7.2. No testing records. The condition and readability of levels are checked in everyday use. Accuracy is checked by turning levels around on the same surface to ensure the same reading is given each way.</li> </ol> </li> <li>8. <i>Moisture content</i> <ol style="list-style-type: none"> <li>8.1. Digital moisture meters are used for determining moisture content of timber prior to lining.</li> <li>8.2. Moisture meters are checked annually against the manufacturer supplied test block and timber test block for hammer and pins. Moisture meters reading &gt;1% above or below the manufacturer specifications are sent away for repair, results of the repair are recorded on the equipment register in GoGet.</li> <li>8.3. The reference moisture meter is sent away yearly to an authorised organisation for calibration.</li> </ol> </li> <li>9. <i>Water temperature</i> <ol style="list-style-type: none"> <li>9.1. Thermometers are used for determining water temperature at personal hygiene fixtures in:</li> </ol> </li> </ol>

## AD 3 Facilities and Equipment Management

	<p>9.1.1. rest homes and early childhood centres (maximum allowed under G12 AS1 is 45°)</p> <p>9.1.2. all remaining buildings (maximum allowed under G12 AS1 is 55°).</p> <p>9.2. Thermometers used in the field are checked 6 monthly against a calibrated reference thermometer. All thermometers are placed in hot water, with readings recorded for each thermometer when the reference thermometer reads 40°, 50° and 60°. Thermometers reading + or - 1° of the reference thermometer reading are discarded and replaced. The reference thermometer is checked 12 monthly and the result is recorded on the equipment record in GoGet.</p>
<p><b>Equipment register</b></p>	<p>10. The Site Inspections Team Leader maintains a register, held in GoGet, of the equipment used for building control functions to manage recall for calibration and testing. Results of the testing are recorded in GoGet. Calibration certificates are scanned and saved to the Equipment Management Record folder in RAD.</p>
<p><b>Maintenance, repair and replacement</b></p>	<p>11. The physical condition of all equipment is monitored by BOs in day-to-day use. Where a BO identifies any equipment as suspect, faulty, or in poor physical condition, the equipment is withdrawn from service for maintenance, repair or replacement as appropriate.</p> <p>12. Before equipment is returned to service following maintenance or repair, or new equipment is put into service, it is checked by the Building Inspections Team Leader, and details of any maintenance or repair are recorded in the Equipment Repair Register (Form 667).</p>

## AD 4 End of financial year, beginning of new financial year activities

### Process

This process covers updating of the fees and charges in the relevant places at the end of the financial year as well as documenting other activities that must be carried out on an annual basis. This process is carried out by the BC Technical Officer, Building Team Manager and Quality Officer.

### Relevant documents

Fee Calculator – Building Consent (Form 612)

Fee Calculator – Minor works (Form 613)

Controlled Documents Register (Form 538)

### Procedure

<b>Obtaining new fees and charges</b>	1. Obtain a copy of new fees and charges from the Building Team Manager once approved by Council and initiate the update process.
<b>Updating fee calculators</b>	2. Update all fee calculators using instructions from RAD file. <a href="#">Doc:1299028</a> 3. Once fee calculators have been updated, save to your desktop for easy access. 4. On the first working day of the year from 1 July, upload the amended calculators to RAD as new versions. 5. User test to ensure the calculators are working as expected.
<b>Updating Kapiti Coast District Council website</b>	6. Request a login via Service desk. When received, log into external website editor. Refer to HubKap Toolkits; KCDC website for guidance. 7. Update all fees on the “Building Fees” webpage to reflect new schedule of user fees and charges. 8. Advise the Communications Team to set live for the specific date required.
<b>Update affected controlled documents</b>	9. The BC Technical Officer reviews the Controlled Document Register (Form 538) to identify the forms that are subject to annual review due to a dollar amount in the document. 10. The BC Technical Officer drafts the required changes and saves the draft into the ‘Forms under Review’ folder in RAD. 11. A Continuous Improvement SR is raised and forwarded to the Building Team Manager providing the RAD number for the draft documents. 12. Once approved, Building Team Manager forwards Continuous Improvement SR to the Quality Officer asking for the changes to be implemented.
<b>Advice to stakeholders</b>	13. On the first working day of the year from 1 July, email designers the new fees and charges schedule. A list of designers can be found on RAD <a href="#">Doc: 3868077</a>

# CA 1 Establishing Competence – Applicants for Employment

## Process

This process covers establishing the competence of an applicant for employment as a BO or, where applicable, a Team Leader. It is undertaken by the Building Team Manager.

## Relevant documents

Regulation 10(1)

Job descriptions (located with Council's Human Resources department)

Technical Skills Matrix (Form 504)

Building Consent Authority Technical Leaders Chart (Appendix 3)

## Procedure

<b>Advertising and shortlisting</b>	<ol style="list-style-type: none"> <li>1. When engaging a new BO, the Building Team Manager and HR adhere to the Kapiti Coast District Council Corporate Policy: Recruitment and Selection Policy.</li> <li>2. The job description is written by the Building Team Manager. Job descriptions are kept by Council's Human Resources department.</li> <li>3. After a position as a BO has been advertised, the Building Team Manager and interview panel review applications received. Emphasis is placed on:             <ol style="list-style-type: none"> <li>3.1. previous work experience, including involvement in the building industry and regulatory environments such as other BCAs;</li> <li>3.2. knowledge of the Building Act 2004, Building Code, Compliance Documents, Standards, and other relevant legislation;</li> <li>3.3. qualifications, including tertiary and trade qualifications and whether qualifications satisfy regulation 18 requirements;</li> <li>3.4. computer skills (if identified); and</li> <li>3.5. previous experience customer facing.</li> </ol> </li> <li>4. 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>5. Successful applicants without previous BCA experience undergo a full competence assessment as per <b>CA 2 Competence Assessment</b> once they have gained sufficient experience through supervised work.</li> <li>6. Where the successful applicant is a BO from another accredited BCA, the Building Team Manager may, where the other BCA has used similar assessment processes, accept the competencies as supplied by the other BCA as compatible with Kapiti Coast District Council's own assessment process. The BO is then incorporated into the Technical Skills Matrix (Form 504) and the Building Consent Authority Technical Leaders Chart (Appendix 3) on that basis. The new BO will then undergo a full competence assessment within 12 months of starting work.</li> <li>7. Where the Building Team 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 BCA Officers. It is performed by the Building Team Manager, Team Leaders and BOs.

### Relevant documents

Regulations 10(2), 10(3) and 13

National Building Consent Authority Competency Assessment System (available from [www.building.govt.nz/building-officials/national-bca-competency-assessment-system/](http://www.building.govt.nz/building-officials/national-bca-competency-assessment-system/))

Competency Assessment Forms (available from [www.building.govt.nz/building-officials/guides-for-building-officials/competencies-guides/#jumpto-templates-to-help-you](http://www.building.govt.nz/building-officials/guides-for-building-officials/competencies-guides/#jumpto-templates-to-help-you))

KCDC Competency Framework (Form 503)

Technical Skills Matrix (Form 504)

Competency Assessment Schedule (Form 668)

Competency Assessor Checklist (Form 669)

### Procedure

<b>Categories of buildings</b>	<ol style="list-style-type: none"> <li>1. The competence assessment system is based on the building categories listed and described in the KCDC Competency Framework (Form 503). This is based on the National Building Consent Authority Assessment System.</li> <li>2. The BCA's work sits within categories R1, R2, R3, C1, C2 and C3 limited to 4 storeys.</li> <li>3. Competency at C3 is limited to buildings up to four storeys. Buildings over four stories shall be managed using competent contractors.</li> <li>4. The competence assessment system consists of an initial full assessment, followed by periodic reviews.</li> </ol>
<b>Skills matrix</b>	<ol style="list-style-type: none"> <li>5. The competency of BOs and contractors are recorded in the Technical Skills Matrix (Form 504) and this is used to ensure work is allocated appropriately.</li> <li>6. The Technical Skills Matrix (Form 504) records technical area, category of competency, level of competency and any limitations to that competency.</li> <li>7. When the Technical Skills Matrix (Form 504) is updated, the competency information in GoGet is also updated.</li> </ol>
<b>Initial assessment</b>	<ol style="list-style-type: none"> <li>8. When a BO is ready for their first competency assessment, the initial assessment is carried out using the assessment process documented in the National Building Consent Authority Competency Assessment System.</li> </ol>
<b>Contractors competence</b>	<ol style="list-style-type: none"> <li>9. Where a contractor is itself an Accredited Organisation (building) or another Council (accredited BCA) competence is established as described in their QAS and an updated list is provided of staff and their assessed competencies. The contractor name and overall range of competencies covered is recorded on the Technical Skills Matrix (Form 504).</li> <li>10. Where a contractor is not an Accredited Organisation (building) or another Council (accredited BCA) documentation of assessments is required as for staff.</li> </ol>
<b>Periodic review</b>	<ol style="list-style-type: none"> <li>11. Full assessments shall be undertaken at least every 3 years generally using the assessment process documented in the National Building Consent Authority Competency System.</li> <li>12. Reviews are undertaken at least annually, but may be more frequent if required. The timetable for reviews and assessments are recorded on the Competency Assessment Schedule (Form 668).</li> <li>13. For the periodic review an Assessment Plan is completed. The Assessment Plan will include evidence of work performed since the last review, training undertaken, and other factors which may influence the review of competence. It will also include recommendations for future training or note if no training is recommended.</li> <li>14. Assessors are BO's or contractors who meet the assessor requirements of NCAS as recorded by Team Leaders or Team Manager on the Competency Assessor Checklist (Form 669). There is no requirement to revisit the decision</li> </ol>

## CA 2 Competence Assessment

	when the person is known to maintain an active involvement in undertaking competency assessments.
<b>Assessment / review outcome</b>	15. A report is prepared by the assessor, covering the requirements of Regulation 10(3) and a stated level of competence of the BO. 16. The assessment report is jointly signed by BO and Assessor.
<b>Records</b>	17. The Building Team Manager accepts the competency assessment and raises a Continuous Improvement SR to update the Technical Skills Matrix (Form 504) and, where there is a change in the scope of assessed competency, update the GoGet system. 18. The Team Leader saves a copy of the assessment report; for staff to HR folders in RAD and for contractors' staff to Contract folder in RAD.
<b>Review of Technical Leaders</b>	19. Each year the Building Team Manager collects and reviews evidence to support the technical leadership competency. The outcome of the reviews are recorded and reported to the next Operational Management Review Team meeting.

## CA 3 Training

### Process

This process involves establishing the training needs for the BCA, preparing training plans for individuals, ensuring training is received, and monitoring the effectiveness of training. It involves all BCA staff (and contractors working under the Kapiti Coast District Council's QAS when training is in relation to the use of a policy, procedure or system).

### Relevant documents

Regulations 11(1) and 11(2)(a) to 11(2)(d)  
 BCA Induction Form (Form 665)  
 Individual Training Plan (Form 703)  
 Training Request Form (Form 610)

### Procedure

<b>Induction of new employees and contractors working within Council's QAS</b>	1. The Team Leader or Building Team Manager that the position reports to, creates an induction plan using the BCA induction form (Form 665). This includes communicating information about the QAS and how it is to be applied. The completed Form 665 is filed in the employee or contractor's personnel file.
<b>Establishing training needs</b> Reg. 11(2)(a)	2. Training needs are established annually by the Building Team Manager and Team Leaders. Training needs are established through: 2.1. a review of organisational training needs carried out as part of the Strategic Management Review; 2.2. the annual review of competence of each officer; 2.3. the Council PDP process; and 2.4. internal audits.
<b>Individual Training Plans</b> Reg. 11(2)(b)	3. Individual Training Plans (Form 703) are prepared by the appropriate Team Leader for each BO, specifying the training need, the training to be undertaken, the outcomes required, what will be looked at to determine the effectiveness of the training and when the training will be completed. This is recorded in the HR folders in RAD. 4. The Individual Training Plan (Form 703) includes: 4.1. specific training identified as a result of the competence assessment and performance appraisal processes; 4.2. training allocated to the BO by the BCA to meet the organisational training needs identified by the Strategic Management Review. 5. Individual Training Plans (Form 703) may be amended during the year to cater for training needs identified during internal audits, or for the advancement of employees. 6. All Training Plans (Form 703) are discussed with the Building Team Manager.
<b>Training Records</b>	7. The Team Leader or Building Team Manager updates each staff member's training plan (Form 703) in the HR folders in RAD when a training item is agreed upon.
<b>Training Plan Review and update</b>	8. Training Plans (Form 703) are reviewed at least annually. 9. Team Leader or Building Manager reviews training progress against each staff member's training plan (Form 703) in the HR folders in RAD. 10. The effectiveness of training will be reviewed by looking at items listed in the training plan to measure effectiveness. 11. For training plan reviews the BO and manager will: 11.1. review progress for scheduled training, making notes directly into the training plan (Form 703) in the HR folders in RAD specifying the information that has been gathered to support the monitoring findings in the evidence column of the Training Plan (Form 703), 11.2. discuss and agree upcoming training requirements adding additional lines into the training plan (Form 703) for each new training item agreed to.

<b>CA 3 Training</b>	
	12. Any evidence to support completed training such as a competency assessment is scanned into the HR folders in RAD.
<b>Request for Training</b>	13. Where a BO identifies an appropriate training course they fill in the Training Request Form (Form 610) and submit it to the appropriate Team Leader. 14. The Team Leader will discuss the request with the Building Team Manager and where approved add it to the Individual Training Plan (Form 703).
<b>Ensuring training is received</b> Reg. 11(2)(c)	15. When external training courses are included on an Individual Training Plan (Form 703) but the timing of the courses is unknown when the plan is prepared, the appropriate Team Leader is responsible for ensuring that the training is booked when it is available. Team Leaders are also responsible for ensuring that all internal training is carried out within the timeframe set out in the Individual Training Plans (Form 703). 16. Where planned training is not received, the reason is recorded in the training plan (Form 703) in the HR folders in RAD in the 'completion date' column in the training plan (Form 703) and rescheduled if relevant.
<b>Monitoring the effectiveness of training</b> Reg. 11(2)(d)	17. The Individual Training Plan (Form 703) sets out, for each piece of training, the training need, the training to be undertaken, what the desired outcome is and what will be looked at to demonstrate the effectiveness of the training. The timeframe to achieve the training must also be documented. Methods of monitoring effectiveness may include observation and comparison of work of the same type performed before and after training.
<b>Maintaining currency</b>	18. The BO must record unplanned learning opportunities such as research of new products or methods, and reading central government or BRANZ guidance in their Record of Learning. 19. 'Technical discussion' is a regular agenda item at the weekly team meeting. Topical matters are discussed and learnings are shared. 20. QAS is a regular item at the weekly team meetings. A procedure is read to refresh understanding and provide opportunity to discuss process, and where appropriate propose continuous improvements.



## CA 4 Supervision of Employees Under Training

### Process

This process covers providing supervision where necessary for employees under training. It is carried out by the Team Leaders and BOs.

### Relevant documents

Regulation 11(2)(e)  
 Technical Skills Matrix (Form 504)  
 Individual Training Plan (Form 703)  
 Processing Summary Report (Form 639) - GoGet  
 Inspection Audit Report (Form 626)

### Procedure

<b>Supervision</b>	<ol style="list-style-type: none"> <li>1. Areas of work identified as requiring supervision on the Technical Skills Matrix (Form 504) cover both areas of training to extend an individual's competency range and areas where a BO may occasionally undertake work which is of a nature similar to the categories for which competency is already held.</li> <li>2. 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 Individual Training Plan (Form 703).</li> <li>3. Supervision is carried out by a person with a higher level of competence in the particular area, and can be either with a supervisor present or not present.</li> <li>4. Supervision may require the BO to be accompanied by the supervisor on inspections, or while processing.</li> <li>5. For processing, supervision requires the supervisor to fully review the results of processing after it is completed, and to be available for consultation if needed by a BO processing a consent. Supervision of processing is recorded by the supervisor within GoGet and is documented under reviews in the Processing Summary Report (Form 639).</li> <li>6. For inspections, supervision includes:             <ol style="list-style-type: none"> <li>6.1. Inspections where the supervisor is present.</li> <li>6.2. Inspections where the supervisor is not present.</li> <li>6.3. Being encouraged to communicate with the supervisor while on site whenever needing guidance.</li> <li>6.4. If required by the supervisor, photographing work being inspected, and discussing it with the supervisor before confirming the outcome of the inspection.</li> </ol> </li> <li>7. All Inspection Audit Reports (Form 626) are fully reviewed and the supervisor's comments are recorded in the supervision memo in GoGet. A copy may be saved to trainees file in RAD.</li> </ol>
<b>Length of supervision</b>	<ol style="list-style-type: none"> <li>8. Training plans (Form 703) specify a timeframe for supervision. This can be increased by the supervisor if it is felt the BO would benefit, or decreased if the BO is ready earlier.</li> <li>9. When the Team Leader is satisfied that the BO no longer requires supervision where the supervisor is present, confirmed by the reviewer's feedback, the Team Leader records the decision to move to supervision where the supervisor is not present and reasons for the decision on the BO's individual training plan (Form 703).</li> <li>10. When the Team Leader is satisfied that the BO no longer requires supervision, confirmed by a competency assessment as per process CA2, the Team leader records the decision and reasons on the BO's individual training plan (Form 703).</li> </ol>

# CA 5 Recording of Training, Qualifications and Experience

**Process**

This process covers recording BOs' qualifications, experience, and continuing training. It is carried out by Team Leaders and BOs.

**Relevant documents**

- Regulations 3, 11(2)(f), 11(2)(g) and 18
- BCA Technical Qualifications Register (Form 588)
- Training Request Form (Form 610)
- Record of Learning (Form 611)
- Individual Training Plan (Form 703)

**Procedure**

<b>Records to be kept</b>	<p>1. Records of Training, Qualifications and Experience are held as follows:</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">Qualifications</td> <td>RAD – HR folders BCA Qualifications Register (Form 588)</td> </tr> <tr> <td>Individual Training Plans (Form 703)</td> <td>RAD – HR folders</td> </tr> <tr> <td>Competence Assessment</td> <td>RAD - HR folders</td> </tr> <tr> <td>Experience (record of consents worked on)</td> <td>RAD - Attached to competence assessment in the HR folders</td> </tr> <tr> <td>Supervision records (inspections)</td> <td>GoGet – supervision memo may be saved to individuals supervision notes folder in RAD</td> </tr> <tr> <td>Supervision records (processing)</td> <td>GoGet – processing summaries saved to building consent file in RAD</td> </tr> </table> <p>2. Individual Training Plans (Form 703) are prepared by the appropriate Team Leader or Team Manager and held within the HR folders in RAD. Refer to <b>CA3 Training</b> for updating training records.</p> <p>3. A Record of Learning (Form 611) is kept by each BO. This record is used to record both formal and informal training.</p> <p>4. The Record of Learning (Form 611) also includes a Record of Consents tab for each BO to collate information including supervision notes.</p>	Qualifications	RAD – HR folders BCA Qualifications Register (Form 588)	Individual Training Plans (Form 703)	RAD – HR folders	Competence Assessment	RAD - HR folders	Experience (record of consents worked on)	RAD - Attached to competence assessment in the HR folders	Supervision records (inspections)	GoGet – supervision memo may be saved to individuals supervision notes folder in RAD	Supervision records (processing)	GoGet – processing summaries saved to building consent file in RAD
Qualifications	RAD – HR folders BCA Qualifications Register (Form 588)												
Individual Training Plans (Form 703)	RAD – HR folders												
Competence Assessment	RAD - HR folders												
Experience (record of consents worked on)	RAD - Attached to competence assessment in the HR folders												
Supervision records (inspections)	GoGet – supervision memo may be saved to individuals supervision notes folder in RAD												
Supervision records (processing)	GoGet – processing summaries saved to building consent file in RAD												
<b>Appropriate Qualifications</b>	<p>5. All BCA staff and contractors performing building control functions are required to have or be working towards an appropriate specified qualification within 12 months unless the circumstances listed in paragraph 7 apply to them.</p> <p>6. An appropriate specified qualification means any of the specified New Zealand qualifications as listed in regulation 3, Building (Accreditation of Building Consent Authorities) Regulations 2006.</p>												
<b>Circumstances in which qualifications are not required Reg 18(3) (Exemptions)</b>	<p>7. The following circumstances are situations where the BCA does not require its employees and contractors performing a technical role to hold or be working towards an appropriate qualification.</p> <p>7.1. The BO is competent and has attained or is within five years of attaining the age of eligibility for National Superannuation.</p> <p>7.2. The BO is a new employee (i.e. within the first 12 months of employment).</p> <p>7.3. The BO is about to leave the BCA within the next three months.</p> <p>8. To be exempt from qualification requirements an officer must meet the requirements of paragraph 7 and must make an exemption request in writing to the Building Team Manager. (This may be by memo or email).</p> <p>9. The Building Team Manager is the nominated person to sign off exemptions. The record is saved to the individual's folder in the HR folders in RAD.</p>												
<b>Technical Qualification Register</b>	<p>10. All BCA staff performing building control functions will have their qualifications recorded in the BCA Technical Qualifications Register (Form 588).</p>												

## 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. It is carried out by the Building Team Manager.

### Relevant documents

Regulation 8

Building Consents Outstanding List

Kapiti Coast District Council Competency Framework (Form 503)

Organisational Structure (Appendix 1)

### Procedure

<p><b>Reviewing consent application processing times</b></p>	<ol style="list-style-type: none"> <li>1. Processing times are monitored by the Approvals Team Leader:             <ol style="list-style-type: none"> <li>1.1. monitoring the number of applications received for processing; and</li> <li>1.2. printing at least weekly the Building Consents Outstanding List, which is accessible to each BO to ensure attention is given to oldest consents.</li> </ol> </li> <li>2. Building consent applications are to be processed within statutory timeframes. The clock starts when the application is “formally received” and entered as received in MagiQ.</li> <li>3. If the Approvals Team Leader believes that additional resources are needed for processing, the Building Team Manager is advised. The Building Team Manager will assess how resources can best be deployed to meet the need.</li> <li>4. All consents processed appear on the monthly process times for building consents report, which is an agenda item for the monthly Operational Management Review Team Meeting.</li> <li>5. The Approvals Team Leader investigates any instance of processing taking more than 20 days, provides a report on the reasons for the length of time taken to the Operational Management Review Team Meeting, and assesses the need for any training or follow up action to prevent recurrence.</li> </ol>
<p><b>Reviewing inspection times</b></p>	<ol style="list-style-type: none"> <li>6. Where possible, inspections should take place within four working days of the inspection request unless the applicant specifically requests a date that is further out.</li> <li>7. If the Building Inspections Team Leader becomes aware that inspections are not being made within this time frame, or are unlikely to be because of planned leave or training, the Building Team Manager is advised. The Building Team Manager will assess how resources can best be deployed to meet the need.</li> </ol>
<p><b>Reviewing CCC application processing times</b></p>	<ol style="list-style-type: none"> <li>8. The Building Inspections Team Leader monitors CCC application processing times through a printed weekly report.</li> <li>9. All CCCs processed appear on the monthly CCCs report which is an agenda item for the monthly Operational Management Review Team Meeting.</li> <li>10. The Building Inspections Team Leader investigates any instance of processing taking more than 20 days, provides a report on the reasons for the length of time taken to the Operational Management Review Team Meeting, and assesses the need for any training or follow up action to prevent recurrence.</li> </ol>
<p><b>Strategic Management Review</b></p>	<ol style="list-style-type: none"> <li>11. The annual Strategic Management Review includes a review of the adequacy of resources to complete building control functions and internal audits.</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. It is performed by the Building Team Manager and Team Leaders.

### Relevant documents

Regulations 12 and 17(4)(b)

Technical Skills Matrix (Form 504)

Contractor Review Agenda and Report Template (Form 673)

Technology User Registration Form (available from Council Intranet – HubKap)

### Procedure

<p><b>When contractors are used</b></p>	<ol style="list-style-type: none"> <li>1. Contractors may be used either:             <ol style="list-style-type: none"> <li>1.1. to boost existing processing or inspection resources to cover for staff absences or fluctuations in workload; or</li> <li>1.2. 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; or</li> <li>1.3. to provide peer review or technical advice; or</li> <li>1.4. to undertake competence assessments or reviews.</li> </ol> </li> </ol>
<p><b>Contracted providers</b></p>	<ol style="list-style-type: none"> <li>2. There are a range of methods by which contracted resource is engaged:             <ol style="list-style-type: none"> <li>2.1. Reciprocal arrangements in place with other Councils (accredited BCAs) with contracts in place for processing, inspections and competency assessments;</li> <li>2.2. Open panel for consent processing under a framework agreement. Suppliers may or may not be organisations accredited to the BCA regulations for the processing of building consents;</li> <li>2.3. Short Form Works contract to engage technical expertise (organisations or individual) for advice regarding specific pieces of work.</li> </ol> </li> </ol>
<p><b>Selecting and engaging external contractors</b> Reg. 12(2)(b) and 12(2)(c)</p>	<ol style="list-style-type: none"> <li>3. Contractors are to be selected in accordance with the Council's Procurement Policy.</li> <li>4. When seeking to set up or update contracts the BCA shall:             <ol style="list-style-type: none"> <li>4.1. define the scope of services and deliverables required from contractors;</li> <li>4.2. define the criteria against which a prospective contractor will be assessed;</li> <li>4.3. establish a contractor assessment team or person, and gives them decision-making authorities;</li> <li>4.4. define how prospective contractors are sought (for example, through direct approach or tender if relevant);</li> <li>4.5. record how contract negotiations will be undertaken, and any rules or criteria that will apply.</li> </ol> </li> <li>5. An open panel of contractors, able to undertake processing of building consents, is selected via a request for tender process.</li> <li>6. Individual technical specialist contractors are selected by qualification and experience for specific pieces of work.</li> <li>7. Other TA BCAs are engaged through reciprocal agreements.</li> <li>8. When contracts are signed by both parties the Building Team Manager updates the Technical Skills Matrix (Form 504) to include the contractor/BCA, and also updates GoGet if they are undertaking processing or inspecting functions.</li> </ol>
<p><b>Establishing competence, recording qualifications and regularly assessing competence</b> Reg 12(2)(a), (d) and (f)</p>	<ol style="list-style-type: none"> <li>9. Where the contractor is an Accredited Organisation (building) or another Council (accredited BCA), competence is established by the current accreditation under the Building (Accreditation of Building Consent authorities) Amendment Regulations 2017. Qualifications and competencies for staff of Accredited Organisations (building) or other Councils (accredited BCA) are recorded by that BCA.</li> <li>10. The IANZ directory at <a href="https://www.ianz.govt.nz/directory">https://www.ianz.govt.nz/directory</a> can be checked to determine whether an organisation has a current certificate of accreditation.</li> <li>11. Recording qualifications and regularly assessing the competence of Accredited Organisations (building) or other Councils (accredited BCA) staff requires confirmation of each individual's qualifications and competency but a</li> </ol>

## CA 7 Contractors

	<p>copy of their competency assessment is not required. only the fact of continued accreditation is noted on the Technical Skills Matrix (Form 504).</p> <p>12. Where the BCA contracts CPEng registered engineers to provide technical advice related to their area of expertise, competence is established by current registration. Regular assessment of competence is carried out by Engineering NZ, and no further assessment is required.</p> <p>13. Other contractors undertaking processing and inspecting functions are included in the BCA's technical skills matrix. Their competence is established and reviewed as per <b>CA 2 Competence Assessment</b>, and their qualifications recorded as per <b>CA 5 Recording of Qualifications, Experience and Training</b>.</p> <p>14. Contractors undertaking competence assessments and reviews provide sufficient details of their qualifications and experience to enable the Team Manager to establish their competence and suitability to undertake the role.</p>
<p><b>Monitoring and reviewing performance</b> Reg. 12(2)(e)</p>	<p>15. The service panel contracts referred to above include performance standards (e.g. timeframes for completion of work) against which contractors' performance can be measured.</p> <p>16. Every six months the Client's Representative reviews contractor performance against the contract provisions. Any deviations from expected performance are dealt with in accordance with the terms of the contracts.</p> <p>17. For other BCAs with a reciprocal agreement in place, the agreement covers undertaking 'BCA functions' and the agreement is therefore only operative at times when the Council is accredited as a BCA. Continued accreditation as a BCA is relied upon to monitor and review performance.</p> <p>18. A meeting is held with the contractor using Contractor Review Agenda and Report Template (Form 673) as a basis. Complete the report post meeting and save to contractor file.</p>
<p><b>Compliance with Quality Assurance System</b> Reg. 17(4)(b)</p>	<p>19. Accredited organisations performing building control functions comply with their own quality systems.</p> <p>20. Accredited organisations performing building control functions from the KCDC offices (typically inspection work) comply with the Kapiti Coast District Council BCA's Quality Assurance System.</p> <p>21. The Building Team Manager is responsible for monitoring and recording the ongoing accreditation of the organisations. Continued accreditation provides sufficient evidence of compliance with the Quality Assurance System.</p> <p>22. Where an external contractor is providing technical specialist advice only under a Short Form contract, the contractor works within its own quality system.</p> <p>23. Panel contractors that are not Accredited Organisations (building) or other Councils (accredited BCA), comply with the Kapiti Coast District Council BCA's Quality Assurance System.</p>
<p><b>Access to Council Systems</b> Reg. 14</p>	<p>24. When a contractor is using the Council systems such as GoGet to process building consents, a Technology User Registration Form will be completed and submitted electronically in HubKap by the Team Leader Building Approvals or Building Inspections Team Leader to arrange for the named individuals to be given access to the Council computer network and the applications required to undertake the work.</p> <p>25. The Team Leader Building Approvals or Building Inspections Team Leader will instruct IT to remove computer access for individual contractor staff members when notified that a staff member is no longer employed by the contractor. They will also instruct IT to remove all contractor staff access at the completion of a contract.</p>
<p><b>Internal contracts</b></p>	<p>26. The BCA has a Service Level Agreement with the Kapiti Coast District Council for the provision of Records, the Customer Engagement Team, Information Technology, Infrastructure Services (Fleet Vehicles) and Human Resources.</p>

## CA 8 Organisational Capability

### Process

This process describes the capability of the BCA, the need to engage external contractors, and technical leadership. It is performed by the Building Team Manager.

### Relevant documents

Regulations 8 and 13

Kapiti Coast District Council (KCDC) Competency Framework (Form 503)

Building Consent Authority Technical Leaders Chart (Appendix 3)

Authority Matrix (Form 609)

BCA Organisational Structure (Appendix 1)

### Procedure

<b>Description of the BCA's internal capability</b>	<ol style="list-style-type: none"> <li>1 The organisational chart for the BCA is shown in Appendix 1.</li> <li>2 All building work is categorised using the building categories listed and described in the KCDC Competency Framework (Form 503) as shown in Appendix 2, KCDC Building Categories.</li> <li>3 Categories are R1, R2, R3, C1, C2, and C3. The BCA's mainstream work includes all building work other than C3 buildings over 4 storeys.</li> <li>4 The BCA has the capability to process and inspect work under all clauses to at least category R3 and C3 up to four storeys.</li> </ol>
<b>Building work outside the BCA's internal capability</b>	<ol style="list-style-type: none"> <li>5 For building work which the BCA does not have the internal capability to process and / or inspect, the Building Team Manager engages an appropriate external contractor to process and / or inspect the work.</li> <li>6 External contractors are engaged in accordance with CA 7 Contractors.</li> </ol>
<b>Technical leadership</b> Reg. 13	<ol style="list-style-type: none"> <li>7 Team Leaders roles have a requirement and the ability to provide access to technical advice or support related to building regulatory control, the performance of building control functions and/or building methods or materials. Team Leaders are Technical Leaders for the BCA who provide technical advice and support through technical specialists (employees or contractors as appropriate).</li> <li>8 Technical Leaders are recorded in the Building Consent Authority Technical Leaders Chart (Appendix 3)</li> </ol>
<b>Authority</b>	<ol style="list-style-type: none"> <li>9 Authority of BO's in relation to the management of building control functions are defined in Authority Matrix (Form 609) (attached as Appendix 4) and the QAS Manual and are in accordance with their authorised warrant.</li> <li>10 BO's may only sign off aspects of work for which they are authorised. Where work is undertaken outside the individual's competency range the work must be supervised by another with appropriate authorisation status.</li> <li>11 Processing activities generally relate to the issue of building consents, including amendments, certificates for public use and related discretionary decisions.</li> <li>12 Inspections activities generally relate to site assessment of compliance including the issue of notices to fix, code compliance certificates, certificates for public use, certificates of acceptance and audits of specified systems.</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. It is performed by all staff.

## Relevant documents

Regulations 17(2)(e) and 17(5)

## Procedure

<p><b>Identifying opportunities for improvements</b></p>	<ol style="list-style-type: none"> <li>1 Any officer may suggest an improvement.</li> <li>2 The Continuous Improvement Service Request (CISR) template in MagiQ is filled in by the officer making the suggestion and assigned to the Building Team Manager.</li> <li>3 Opportunities for improvement may be identified when reviewing a procedure at a weekly BCA meeting. This is a regular agenda item to consider a procedure at every meeting.</li> <li>4 Opportunities for continuous improvement may be identified through IANZ assessments or internal audits, as set out in <b>QA 2 Internal Audit</b>. These CISR's are entered into the CISR system.</li> <li>5 Opportunities for continuous improvement may also be identified through customer feedback or contractors. These are entered by the BO receiving the feedback or a person nominated by the Building Team Manager.</li> </ol>
<p><b>Review of suggestion</b></p>	<ol style="list-style-type: none"> <li>6 The Building Team Manager assesses the seriousness of the issue and records their decision to either approve or decline within 10 working days of receiving all relevant information.</li> <li>7 Priority will be given to improvements that are significant to the consistent and effective implementation of BCA functions.</li> <li>8 When the suggestion is declined, the Building Team Manager records the decision and reasons for declining in the CISR, advises the person making the suggestion of the decision, and closes the CISR.</li> <li>9 When the suggestion is approved, the Building Team Manager records the decision, the actions to be carried out and sets a timeframe for the work to be completed in the CISR. The Building Team Manager then reassigns the CISR to a staff member for implementation.</li> <li>10 For non-compliances from IANZ assessments, the timeframe is specified by IANZ in accordance with MBIE requirements.</li> </ol>
<p><b>Implementation of improvements</b></p>	<ol style="list-style-type: none"> <li>11 Where a CISR proposes changes to the QAS, it is assigned to the Building Team Manager for consideration, which may include seeking input from other staff. If the proposal is approved the Building Team Manager assigns for implementation.</li> <li>12 When the implementation is complete, the staff member implementing the improvement notes their actions in the CISR and reassigns it to the Building Team Manager. The Building Team Manager checks they are satisfied with the completed work, documents how the implementation is to be monitored and closes the CISR.</li> <li>13 Where an internal audit or investigation has indicated a need to remind staff of the correct process, this is added as an agenda item to the weekly team meeting for discussion.</li> <li>14 When a new version of the QAS is published, the changes are discussed at the next weekly team meeting under the 'continuous improvement' section of the meeting.</li> <li>15 Continuous improvements may result in changes to policies, procedures, and systems. Where this happens, the BCA ensures that all relevant staff and contractors are made aware of the changes. Staff and contractors are</li> </ol>

## QA 1 Continuous Improvement

	<p>expected to familiarise themselves with the amended policies, procedures and systems.</p> <p>16 The effectiveness of the implementation of improvements is monitored as specified in the CISR.</p>
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## 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 and the regulations are audited at least once every year, and that staff and contractor compliance with the QAS is monitored. This includes monitoring the consistent and effective implementation of the BCA's policies, procedures and systems. It is performed by a BCA Quality Officer.

### Relevant Documents

Regulations 5(c), 17(2)(h) and 17(4)  
 Internal Audit Report Form (Form 527)  
 Technical Audit Form (Form 708)  
 Internal Audit Timetable (Form 544)  
 Competency Assessment Schedule (Form 668)

### Procedure

<p><b>Audit schedule</b></p>	<ol style="list-style-type: none"> <li>1. A BCA Quality Officer:           <ol style="list-style-type: none"> <li>1.1. schedules audits at least annually;</li> <li>1.2. writes an audit plan using the Internal Audit Timetable (Form 544) which includes (but is not limited to) the procedures or systems to be audited;</li> <li>1.3. provides the audit plan to the Operational Management Review Team for information / consideration; and</li> <li>1.4. provides an update of the audit plan to the Operational Management Review Team if changes are (or have been) required to the schedule.</li> </ol> </li> </ol>
<p><b>Undertaking process audits</b></p>	<ol style="list-style-type: none"> <li>2. Audits are undertaken using the Internal Audit Report Form (Form 527).</li> <li>3. Where appropriate, the procedure being audited is printed out, and used as the audit worksheet. Comments are made on the procedure as the audit progresses. Evidence of conformance and non-conformance may be recorded on additional sheets.</li> <li>4. When determining sample sizes consideration will be given to frequency of action, spread across officers, and seriousness potential of non-compliance.</li> <li>5. A summary of observations and a list of recommendations (if any) is written on the Internal Audit Report Form (Form 527).</li> <li>6. Any observation that identifies non-compliance with any QAS process must be documented as a recommendation to ensure officers become familiar with the relevant QAS requirements.</li> <li>7. Recommendations for improvements are dealt with through the continuous improvement process as per <b>QA 1 Continuous Improvement</b>.</li> <li>8. A copy of the Internal Audit Report Form (Form 527) is given to the Building Team Manager for signing and then filed electronically in the Internal Audit folder in RAD.</li> </ol>

## QA 2 Internal Audit

<p><b>Technical audits</b></p>	<p>9. All building control functions shall be audited with a minimum sample size of ten or ten percent (whichever is less) of each technical building control function. These are spread over a range of officers and building complexities.</p> <p>10. Where an internal audit is carried out on a process that involves a building control function it will include a technical audit performed by a technically competent person using the Technical Audit Form (Form 708).</p> <p>11. Technical audits are also performed as part of competency assessments and the results are recorded in those. The timetable for competency assessments is recorded in Form 668 Competency Assessment Schedule.</p> <p>12. The Building Team Manger will review the records to identify any trends or improvements. Findings from this review will be reported back in the internal audit section of the Strategic Management Review.</p>										
<p><b>Classifying recommendations</b></p>	<p>13. Recommendations are written for non-compliance and identified improvements. Recommendations are classified as follows:</p> <table border="1" data-bbox="528 752 1442 1184"> <thead> <tr> <th data-bbox="528 752 719 786">Category</th> <th data-bbox="719 752 1442 786"></th> </tr> </thead> <tbody> <tr> <td data-bbox="528 786 719 891">A</td> <td data-bbox="719 786 1442 891"><u>Isolated issue</u>: issues or non-compliance that may identify an individual training need; or prompt a recommendation to improve a policy, procedure or system.</td> </tr> <tr> <td data-bbox="528 891 719 987">B</td> <td data-bbox="719 891 1442 987"><u>Minor issue</u>: issues or non-compliance that may not have had an immediate or significant impact on the BCA's performance but, if left to continue, may create a risk.</td> </tr> <tr> <td data-bbox="528 987 719 1084">C</td> <td data-bbox="719 987 1442 1084"><u>Major issue</u>: issues or non-compliance that may impact on BCA performance and requires expeditious attention to address.</td> </tr> <tr> <td data-bbox="528 1084 719 1184">D</td> <td data-bbox="719 1084 1442 1184"><u>Critical issue</u>: issues that require immediate attention as they identify non-compliance with legal requirements or safety risks for employees or contractors.</td> </tr> </tbody> </table>	Category		A	<u>Isolated issue</u> : issues or non-compliance that may identify an individual training need; or prompt a recommendation to improve a policy, procedure or system.	B	<u>Minor issue</u> : issues or non-compliance that may not have had an immediate or significant impact on the BCA's performance but, if left to continue, may create a risk.	C	<u>Major issue</u> : issues or non-compliance that may impact on BCA performance and requires expeditious attention to address.	D	<u>Critical issue</u> : issues that require immediate attention as they identify non-compliance with legal requirements or safety risks for employees or contractors.
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D	<u>Critical issue</u> : issues that require immediate attention as they identify non-compliance with legal requirements or safety risks for employees or contractors.										
<p><b>Follow-up audits</b></p>	<p>14. A follow-up audit of a specific procedure or system may be undertaken after any discrepancies / necessary improvements identified in the first audit have been made.</p> <p>15. Follow-up audits are added to the Internal Audit Timetable (Form 544) and undertaken as set out above.</p> <p>16. Follow up audits may be a full audit that is a rescheduled audit from the Internal Audit Timetable (Form 544) or a partial audit of a specific aspect.</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 and contractors.

### Relevant documents

Regulation 17(2)(i)

Conflict of Interest Form (Form 152)

Conflict of Interest Register (Form 153)

### 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:             <ol style="list-style-type: none"> <li>3.1. a staff member has a financial, commercial or personal interest in a piece of work; or</li> <li>3.2. a staff member is subjected to inducements, coercion or threats either from inside the BCA or from external parties.</li> </ol> </li> <li>4. Potential conflicts of interest may also arise where the BCA is consenting Council owned buildings.</li> </ol>
<b>Personal conflicts of interest</b>	<ol style="list-style-type: none"> <li>5. Any staff member who has a financial, commercial or personal interest in a piece of work must advise the Building Team Manager of that interest at the earliest possible opportunity, and complete a Conflict of Interest Form (Form 152).</li> <li>6. The Conflict of Interest Form (Form 152) is given to the Building Team Manager then Group Manager Regulatory Services for their signatures.</li> <li>7. The Building Team Manager advises the relevant Team Leader of the conflict. If possible, the work must be undertaken by another staff member who does not have a conflict of interest.</li> <li>8. If there is no other staff member who has the competence to undertake the work, the Team Leader will send the consent to an external contractor for processing or inspecting as required.</li> </ol>
<b>Inducements, coercion or threats</b>	<ol style="list-style-type: none"> <li>9. In the event of an officer being subjected to any inducements, coercion or threats, the officer immediately fills in a Conflict of Interest Form (Form 152).</li> <li>10. Details to be recorded in the Conflict of Interest Form (Form 152) include:             <ol style="list-style-type: none"> <li>10.1. the number of any relevant BC, PIM, or Certificate of Acceptance;</li> <li>10.2. the date of the occurrence or commencement of occurrence;</li> <li>10.3. the nature of the occurrence;</li> <li>10.4. the name of the person making the inducement, coercion or threat;</li> <li>10.5. what was said; and</li> <li>10.6. any other information deemed relevant.</li> </ol> </li> </ol>
<b>Recording conflicts of interest</b>	<ol style="list-style-type: none"> <li>11. The officer gives the Conflict of Interest Form (Form 152) to the Building Team Manager who considers the situation and completes the 'considerations and comments' part of the Conflict of Interest Form (Form 152) before passing it on to the Group Manager Regulatory Services.</li> <li>12. The Group Manager Regulatory Services reviews the actions recommended by the Building Team Manager and may document alternative actions that should be taken or indicate if the matter should be escalated to the Chief Executive.</li> </ol>

### QA 3 Conflicts of Interest

	<p>13. The Group Manager Regulatory Services and / or Chief Executive signs the Conflict of Interest Form (Form 152) to indicate their agreement with the actions to be taken.</p> <p>14. The Conflict of Interest Form (Form 152) is passed back to the Building Team Manager who advises the relevant Team Leader of the conflict and actions to be taken.</p> <p>15. The Building Team Manager notifies the Building Officer of the decision that has been made, sends a copy of the Conflict of Interest Form (Form 152) to HR and files a copy in the Conflict of Interest File, and updates the Conflict of Interest Register (Form 153).</p>
<b>Conflict of interest involving Building Team Manager</b>	<p>16. If the Building Team Manager is involved in an actual or potential conflict of interest, the process for dealing with it is as set out above, except that the role of the Building Team Manager is taken by the Group Manager Regulatory Services.</p>
<b>Council buildings</b>	<p>17. BCA staff members may consent, inspect, certify and otherwise deal with Council owned buildings, providing those staff members are not involved in the design, project management or construction of the building.</p>
<b>Contractors</b>	<p>18. Potential conflicts of interest notified by Contractors are to be treated as for staff except that a copy of the Form 152 is not sent to HR.</p>

## QA 4 Communications

### Process

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

Appropriate communications are made at appropriate times as determined by the relevant process within this QAS.

### Relevant documents

Regulation 17(2)(j)

### Procedure

#### 1. Internal communication

Internal communication is carried out as described in the following table.

Type / Matters	Media	Distributor of information	Frequency	Information Recipient	Record
Operational	Face to face	All BCA staff; Group Manager Regulatory Services	Daily	All BCA staff; Group Manager Regulatory Services	Nil
Team Updates	Meetings	All BCA staff	Weekly *	All BCA staff	Minutes
Operational Management Reviews ( <b>QA 5 Management Reviews</b> )	Meetings	Building Team Manager; Team Leaders; Quality Officer; Customer Engagement Team Manager / Team Leader; RC Team Manager / Team Leader	Monthly except January	Building Team Manager; Team Leaders; Quality Officer; Customer Engagement Team Manager / Team Leader; RC Team Manager / Team Leader; GM Regulatory Services	Minutes
Strategic Management Review ( <b>QA 5 Management Reviews</b> )	Meetings	Building Team Manager; Group Manager Regulatory Services; Quality Officer	Annually or more frequently if required	Building Team Manager; Group Manager Regulatory Services; Quality Officer	Report Minutes
Document change notification	Email Meetings	BCA Quality Manager; Quality Officer	As required	All BCA staff	Continuous Improvement
Process change notification	Email Meetings	BCA Quality Manager	As required	All BCA staff	Continuous Improvement
BCA information	Intranet (HubKap)	BCA Quality Manager	Permanent	All BCA staff	Hard copies & electronic files
Warnings and Bans	Email Meetings	Building Team Manager, Team Leaders	As required	All BCA staff	Electronic files & minutes

## QA 4 Communications

### 2. External communication

External communication is carried out as described in the following table.

Type / Matters	Media	Distributor of information	Frequency	Information Recipient	Record
Public information	Website	Building Team Manager	Permanent	General public	Hard copies & electronic files
General enquiries	As received	Duty BO The Customer Engagement Team	As required	General public	Service Request
Official information requests	As received	Group Manager	As required	General public	Hard copies & electronic files
Response to building work enquiries	As received	BO's	As required	General public	Dialogue record, saved emails, Service Requests, & GoGet notes
Inspections	GoGet	CAOs BO's	As required	BC applicants/builders	GoGet, hard copies & electronic files
Complaint management	As received	Team Leaders Building Team Manager; Group Manager Regulatory Services; Chief Executive	As required	Complainant and any relevant parties	Service Requests
Contractor work flow	Hard copy and email	CAO Team Leaders Building Team Manager;	As required	Contractor	Hard copies & electronic files
MBIE Notifications and other communications	Hard copy and email	Building Team Manager, Group Manager Regulatory Services	As required	MBIE	Hard copies & electronic files
Notifications and advice regarding specific BC's	Hard copy and email	BOs, Team Leaders, Building Team manager	As required	FENZ, Heritage NZ, Surveyor-General, Registrar-General of the Maori Land Court, Registrar-General of Land	Hard copies & electronic files

\* will generally occur at weekly but on occasion may not be held due to other team activities or falling on a holiday.

## QA 5 Management Review

### Process

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

### Relevant documents

Regulations 8, 17(2)(d), 17(5)

Operational Management Review Team Meeting Agenda and Minutes Template (Form 529)

Strategic Management Review Agenda and Report Template (Form 530)

### Procedure

<p><b>Monthly review</b></p>	<ol style="list-style-type: none"> <li>1. Operational Management Review Team Meetings are held monthly except January. The Operational Management Review Team consists of the Group Manager, Regulatory Services, the Building Team Manager, the Team Leaders, a Quality Officer, the Business Improvement Manager, and the Customer Engagement Team Leader.</li> <li>2. Reviews include, but are not limited to:             <ol style="list-style-type: none"> <li>2.1. continuous improvements;</li> <li>2.2. changes in staff or organisational structure;</li> <li>2.3. external contractor performance;</li> <li>2.4. work volumes and service levels;</li> <li>2.5. general enquiries and trends;</li> <li>2.6. compliments and complaints;</li> <li>2.7. changes to legislation or other external requirements or practice;</li> <li>2.8. notifications required; and</li> <li>2.9. Reporting against the Quality Policy.</li> </ol> </li> <li>3. A quorum for a meeting to be held is four.</li> <li>4. Minutes of the monthly meetings are circulated to Operational Management Team members.</li> <li>5. If a meeting is not held the reasons for not holding the meeting should be recorded in the minutes of the previous scheduled meeting (if a decision not to hold the meeting has been made at that meeting), or in the minutes of the next scheduled meeting.</li> </ol>
<p><b>Annual Strategic Management Review</b></p>	<ol style="list-style-type: none"> <li>6. Strategic Management Reviews are undertaken at least annually to review and forecast workflow to identify and meet capacity and capability needs; and to assess the appropriateness and effectiveness of Council's performance and quality assurance system using the Strategic Management Review Agenda and Report template (Form 530).</li> <li>7. The Strategic Management Review Team consists of the Building Team Manager, the Group Manager Regulatory Services and a Quality Officer. The review output is a report covering each of the points listed below, and including recommendations for any further actions which result from the review. The report is developed by the BCA Quality Manager and a Quality Officer.</li> <li>8. A Special Strategic Management Review, in addition to the scheduled annual review may be carried out in extraordinary circumstances, such as the departure of senior management or on-going failure to meet required service levels.</li> <li>9. The Strategic Management Review undertakes an annual planning exercise that includes identifying and recording:             <ol style="list-style-type: none"> <li>9.1. the volume of building control work the BCA has processed, inspected and approved over the past two years, identifying any obvious peaks and/or fluctuations, and any seasonal or other patterns;</li> <li>9.2. the volume of building control work, if any, the BCA has agreed to undertake on behalf of another BCA (for which it must also have capacity and capability);</li> <li>9.3. known pressures impacting the performance of its building control functions such as limited access to technical leadership or specialist technical resources (at any particular time, or for any particular reason);</li> </ol> </li> </ol>

## QA 5 Management Review

	<ul style="list-style-type: none"> <li>9.4. any known internal or external factors that might influence the volume of building control work, such as new internal systems, the impact of environmental events and/or interest rates, and the month in which the factors/s may have an influence;</li> <li>9.5. the consenting, inspection and compliance work it forecasts it will undertake using the competency assessment system assessment levels;</li> <li>9.6. total number of full-time equivalent staff it anticipates it needs (capacity);</li> <li>9.7. number of full-time equivalent staff needed at each level of competency (capability);</li> <li>9.8. technical leadership or specialist experts it reasonably expects to need;</li> <li>9.9. where there are capacity and capability gaps;</li> <li>9.10. work undertaken to fill any capacity and capability gaps;</li> <li>10. The Strategic Management Review will consider the appropriateness and effectiveness of:             <ul style="list-style-type: none"> <li>10.1. the policy on quality;</li> <li>10.2. management reporting on quality processes, internal audits and continuous improvement;</li> <li>10.3. employee and contractor engagement with the quality assurance system;</li> <li>10.4. employee and contractor engagement with the continuous improvement system;</li> <li>10.5. the management of conflict of interest;</li> <li>10.6. any communication related to quality assurance system matters (refer Reg 17(2)(j));</li> <li>10.7. the process to review and make changes in its quality assurance system (refer Reg 17(5)).</li> </ul> </li> </ul>
<p><b>Implementation of review recommendations</b></p>	<ul style="list-style-type: none"> <li>11. Decisions made by the strategic management review are recorded in the minutes.</li> <li>12. Accepted recommendations relating to implementation of the Quality Assurance System are implemented through the continuous improvement system as per <b>QA 1 Continuous Improvement</b>.</li> <li>13. Implementations of recommendations relating to either staffing or corporate structure require the approval of the Chief Executive.</li> </ul>



## QA 6 Document Control

### Process

This process covers the control of documents relating to the Quality Assurance System and the processes and procedures established under it. It is performed by the BCA Quality Manager and a Quality Officer.

### Relevant documents

Regulation 5

Controlled Documents Register (Form 538)

### Procedure

<b>Responsibility</b>	<ol style="list-style-type: none"> <li>1. A Quality Officer is responsible for the review, distribution, updating and archiving of documents, the Quality Manager notifies staff of significant updates and changes to documents when required.</li> <li>2. A Quality Officer is also responsible for the maintenance of the document system.</li> </ol>
<b>Controlled documents</b>	<ol style="list-style-type: none"> <li>3. Controlled documents are the Quality Assurance System document, and all forms, letters and checklists which are used as part of the procedures set out in the Quality Assurance System.</li> <li>4. All controlled documents are recorded in the Controlled Documents Register (Form 538).</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. A Quality Officer maintains all controlled documents. Form and letter templates are held electronically in MagiQ and RAD, and are access controlled. Documents can be read by all staff. Editing can only be undertaken by a Quality Officer or a person delegated by them.</li> <li>7. Controlled documents are identified with:             <ol style="list-style-type: none"> <li>7.1. a title and / or form number;</li> <li>7.2. a version number and / or issue date; and</li> <li>7.3. a page number and total number of pages (where possible).</li> </ol>             Note: GoGet documents are excluded from the requirements of clause 7.           </li> <li>8. The Quality Assurance System document also has a revision history at the front of the document. This records:             <ol style="list-style-type: none"> <li>8.1. the revision number;</li> <li>8.2. the CISR number that initiated the reason for the revision;</li> <li>8.3. the author;</li> <li>8.4. the date the revision is published.</li> </ol> </li> <li>9. The Master Quality Assurance System document is held electronically in RAD. Only the BCA Quality Manager and a Quality Officer (or a person delegated by them) have editing rights.</li> <li>10. When the document requires updating, other than for minor errors, a new version is created, and the previous version is archived. When the new version is created, changes are highlighted in yellow. Changes made in the previous version have the highlight removed.</li> </ol>

## QA 6 Document Control

### **New and updated documents**

11. The need for new and / or updated documents is identified through the continuous improvement process.
12. All new controlled documents are recorded in the Controlled Documents Register (Form 538). The Controlled Documents Register (Form 538) also records changes to controlled documents, including withdrawal and archiving.
13. The Quality Manager notifies staff of significant changes to controlled documents, either verbally or by email when required.
14. Staff access the latest published version of the QAS through HubKap.

## QA 7 Record Keeping

### Process

This process defines the Quality Assurance System and covers the management of records relating to the QAS and the processes and procedures established under it. It is performed by the BCA Quality Manager and a Quality Officer.

### Relevant documents

Regulation 14

Records Management Standards - Principles 3.3, 2.2, and 3.4

Controlled Documents Register (Form 538)

### Procedure

<b>Components of the QAS Reg 17(1)</b>	1. The quality system consists of: 1.1. the QAS document; 1.2. letter and form templates; 1.3. public information 1.4. quality records; 1.5. management records; and 1.6. other documents.		
	2. The system uses MagiQ as the means of recording consent applications and producing standard letters and forms, some, e.g. Inspection Site Notice (Form 625), generated from GoGet, GoGet as the means of generating processing and inspection records, and RAD as the electronic document management system.		
<b>Location of documents</b>	3. Documents are located as set out in the table below. (Reg 14)		
	<b>Category</b>	<b>Document</b>	<b>Location</b>
	<b>Quality Assurance System</b>	Quality Assurance System document (QAS)	RAD – usually accessed through HubKap (intranet)
		Procedures	QAS
		Standard forms / letters	MagiQ, GoGet, RAD
		Processing and inspection forms	RAD, GoGet
		Public information, BC / CCC Application Forms	RAD, Website
	<b>Quality Records</b>	Training records Internal audit records Continuous improvements	HR folders in RAD, RAD, MagiQ Council file storage
	<b>Management Charts / Records</b>	Controlled Documents Register	RAD
		Technical Skills Matrix	
		Organisation Chart	Intranet (HubKap), QAS
		Position Descriptions	HR, Intranet (HubKap)
		Delegations	QAS, HR
	<b>Contract Documents</b>	Records of Engagement	RAD, Council file storage
		Contractor performance reviews	RAD, Operational Management Review Team minutes
<b>Office Documents</b>	Memos, Enquiry Notes; Letters; Faxes; Emails; Electronic Purchase Orders	Council file storage	

## QA 8 Complaints about Licensed Building Practitioners

### Process

This process involves considering whether to make, and making when it appears necessary or desirable, complaints to relevant occupational or professional authorities about practitioners. It is undertaken by all staff and contractors.

### Relevant documents

Regulation 17(3A)

Licensed Building Practitioner Complaints Register (Form 597)

### Procedure

<b>Consideration of whether to lay a complaint</b>	<ol style="list-style-type: none"> <li>1. Where the BCA becomes aware of a practitioner acting in a manner which the BCA considers to be contrary to the requirements of the relevant occupational or professional authority, the BO will email the Building Consent Technical Officer who will record this in the Licensed Building Practitioner Complaints Register (Form 597) along with reference to any supporting information and advise the Building Team Manager.</li> <li>2. In determining the seriousness of concerns about a practitioner and whether to make a complaint the BCA may include, but is not limited to, consideration of:             <ol style="list-style-type: none"> <li>2.1. unlawful activities (which may extend beyond non-compliance with the Building Act 2004);</li> <li>2.2. work or conduct that may bring their profession into disrepute;</li> <li>2.3. work carried out or supervised negligently or incompetently;</li> <li>2.4. work carried out or supervised that does not comply with a building consent;</li> <li>2.5. work carried out or supervised for which they are not licensed or registered;</li> <li>2.6. the practitioner purporting to be licensed or registered for work that they are not;</li> <li>2.7. the practitioner misrepresenting their competence to the BCA or others;</li> <li>2.8. convictions for an offence that affects their fitness to do building work;</li> <li>2.9. concerns about the giving of false or misleading information to get licensed or registered; and/or</li> <li>2.10. failure to provide any required information, contracts or certificates for work carried out.</li> </ol> </li> <li>3. The Building Team Manager will review the complaints received and decide appropriate actions, updates the register (Form 597) and completes the action or allocates the tasks. The tasked person completes the action and updates the register (Form 597) with the outcome.</li> <li>4. The Building Team Manager reports any resultant action to the Operational Management Review Team Meeting.</li> </ol>
<b>Making a complaint</b>	<ol style="list-style-type: none"> <li>5. If the BCA decides to make a complaint, this is done in accordance with the complaints procedure established by the occupational or professional authority to which the complaint is to be made.</li> <li>6. The decision to make a complaint and the result of the complaint is recorded in the Licensed Building Practitioner Complaints Register (Form 597). All records in relation to concerns or complaints raised on the register should be saved in the 'LBP Concerns' folder in RAD which sits within the Building Compliance Issues folder under Building Compliance Management.</li> </ol>

## QA 9 Notification Requirements

### Process

This process covers notifying the building consent accreditation body and MBIE of significant matters. It is performed by the Building Team Manager and/or Group Manager, Regulatory Services.

### Relevant documents

Regulation 6A

Notification Form (Form 661)

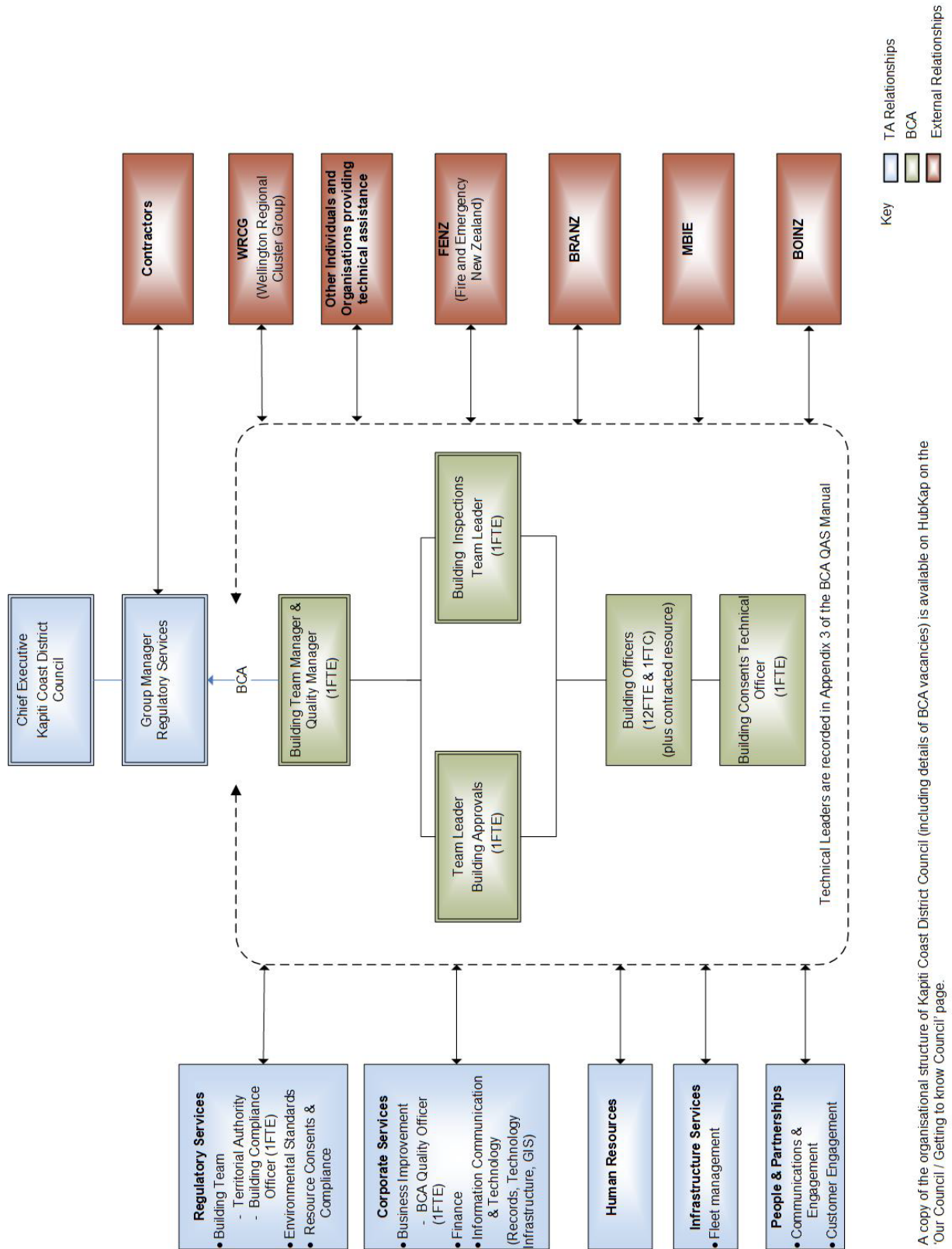
Notification Register (Form 662)

Organisational Structure (Appendix 1)

### Procedure

<p><b>Requirements for notification</b></p>	<ol style="list-style-type: none"> <li>1. IANZ and MBIE must be notified within: 20 working days of the following decision, action or event occurring or being identified:             <ol style="list-style-type: none"> <li>1.1. significant change in legal, commercial or organisational status of a BCA or wider organisation, or</li> <li>1.2. the departure of the building consent authority's authorised representative or responsible manager, or</li> <li>1.3. in any one quarter of the calendar year, 25% or more of any employees doing technical jobs depart and are not replaced with equally qualified and competent people, or</li> <li>1.4. The applicant or BCA formally transfers any or all of its functions under section 233 or 244 of the Act to another BCA, or</li> <li>1.5. The applicant or BCA accepts any or all of another BCA's functions under section 233 or 244 of the Building Act 2004 (the Act), or</li> <li>1.6. the BCA outsources a significant portion of its functions under section 213 of the Act to another BCA, or</li> <li>1.7. the BCA accepts a significant portion of another BCA's functions under section 213 of the Act, or</li> <li>1.8. a material change of policies, procedures or systems occurs e.g. introducing a new computer tool.</li> </ol> </li> </ol>
<p><b>Capturing &amp; recording notifications</b></p>	<ol style="list-style-type: none"> <li>2. 'Notifications' is an agenda item for the monthly Operational Management Review Team meeting.</li> <li>3. The Building Team Manager or Group Manager, Regulatory Services completes the Notification Form (Form 661) where there is a change that requires notification.</li> <li>4. Details to be recorded in the Notification Form (Form 661) include:             <ol style="list-style-type: none"> <li>4.1. the notification requirement that they are complying with</li> <li>4.2. the nature of the change including:                 <ol style="list-style-type: none"> <li>4.2.1. what the change is</li> <li>4.2.2. why the change is being made</li> <li>4.2.3. who is making the change</li> <li>4.2.4. when the change will be implemented</li> <li>4.2.5. how the change will be implemented</li> <li>4.2.6. any mitigations being put in place to address any potential impacts</li> <li>4.2.7. whether the event will impact the BCA's compliance with accreditation requirements</li> </ol> </li> </ol> </li> <li>5. Notifications must be made to both MBIE and the accreditation body (IANZ).             <ol style="list-style-type: none"> <li>5.1. Notifying MBIE: electronic copies of notifications (Form 661) are emailed to <a href="mailto:consentsystem@mbie.govt.nz">consentsystem@mbie.govt.nz</a>.</li> <li>5.2. Notifying IANZ: physical copies of notifications (Form 661) are addressed to Programme Manager: Building Consents Authority Accreditation, International Accreditation New Zealand, Private Bag 28908, Remuera, Auckland 1541. Electronic copies of notifications are to go to <a href="mailto:info@ianz.govt.nz">info@ianz.govt.nz</a></li> </ol> </li> <li>6. The Building Team Manager or Group Manager, Regulatory Services scans and files the completed Notification Form (Form 661) in the Notifications File in RAD, and updates the Notifications Register (Form 662).</li> </ol>

# Appendix 1 – BCA Organisational Structure



A copy of the organisational structure of Kaitiaki Coast District Council (including details of BCA vacancies) is available on HubKap on the 'Our Council / Getting to know Council' page.

# Appendix 2 – Kapiti Coast District Council Building Categories

## COMPETENCY FRAMEWORK

(Based on National BCA Competency Assessment System)



Category	Complexity All Plumbing & Drainage works
<p><b>Category R1</b> <b>Less Complex Residential Buildings</b> that are:</p> <ul style="list-style-type: none"> <li>• <b>Residential outbuildings and ancillary buildings</b> as defined by the Building Regulations 1992</li> <li>• <b>Detached dwellings (SH)</b> designed to a common standard (e.g. NZS3604, NZS4229)</li> <li>• <b>limited</b> to 1 level, and</li> <li>• <b>E2/AS1 risk matrix score</b> less than or equal to 6</li> <li>• <b>Not required</b> to be sent to the NZFS for comment (refer BC8)</li> </ul>	<p>Single level residential dwelling. Solid fuel burner including those with wetback. Domestic solar water heating systems. Domestic swimming pools and fences. Grey water treatment/storage systems. Residential Sprinkler Systems Farm buildings not exceeding 60m2 Detached garages or sleep outs not exceeding 60 m2</p>
<p><b>Category R2</b> <b>Residential Buildings</b> that are:</p> <ul style="list-style-type: none"> <li>• <b>Detached dwellings (SH)</b> designed to a common standard (eg, NZS 3604, NZS 4229)</li> <li>• <b>limited</b> to 2 levels, and</li> <li>• <b>E2/AS1 risk matrix score</b> less than or equal to 12</li> <li>• <b>Not required</b> to be sent to the NZFS for comment (refer BC8)</li> </ul>	<p>Residential dwellings, up to two storeys. Soil stacks. Backflow prevention devices. Complex boiler or alternative water heating systems</p>
<p><b>Category R3</b> <b>More Complex Buildings</b> that are: <sup>(Note 1)</sup></p> <ul style="list-style-type: none"> <li>• 3 levels, and</li> <li>• <b>Are required to be sent to the NZFS for comment (refer BC8)</b></li> </ul>	<p>Residential dwellings, up to three storeys Multi-residential up to three storeys with vertical plane fire separation and direct egress to the outside Residential buildings with multiple claddings and therefore E2/AS1 risk matrix score of 13-20. Soil stacks</p>
<p><b>Category C1</b></p> <ul style="list-style-type: none"> <li>• <b>Commercial, industrial and communal non-residential buildings and their associated outbuildings and ancillary buildings</b> equal to or less than two storeys and an occupancy load of equal to or less than 100 people or</li> <li>• <b>SR or SA residential buildings up to two stories and with horizontal fire separation</b></li> </ul>	<p>Compliance schedule required for building Backflow prevention devices. Complex boiler or alternative water heating systems</p>
<p><b>Category C2</b></p> <ul style="list-style-type: none"> <li>• <b>Commercial, industrial, communal residential and communal non-residential buildings</b> equal to or less than four storey and an occupancy load of equal to or less than 500 people</li> <li>• <b>Sleeping Care or Sleeping Detention that are single storey.</b></li> </ul>	<p>Commercial, Multi-residential unit, Residential – up to 4 storeys Places of assembly up to 500 occupants Specific design Plumbing or Drainage Systems. Piped services. Air Conditioning Cooling Towers.</p>

<p><b>Category C3</b> All uses of buildings that are up to or over four storeys high, or contain over 500 occupants or SC or SD greater than single storey.</p>	<p>Commercial, Multi-residential unit, Residential Places of assembly over 500 occupants Sleeping Care or sleeping Detention greater than single story. Buildings that are up to 4 storeys are undertaken by BOs. Buildings that are 4 storeys or over are managed by contractors. These buildings are outside of Kapiti Coast District Council's District Plan which limits construction within the district to a maximum of 3 storeys and or 12M in height. There are a small number of buildings that fit this criteria in the District and building consents for these would be processed by Council staff with a review by appropriately qualified staff from Wellington City Council (Contract in place) and other external contractors or by appropriately qualified contractors (other BCAs or external).</p>
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**Note 1:**

Select Category first, then apply complexity. If outside scope of complexity, use next higher category. This matrix is suitable for use in establishing appropriate categorisation of a project for Processing and Inspection of Building Consents, for Building, Fire Safety and Plumbing & Drainage. The complexity examples are not exhaustive.



# Appendix 3 – Building Consent Authority Technical Leaders



# Appendix 4 – Building Consent Authority – Authority Matrix

Officers must work within the limitations of their current competency assessment and their warrant as well as the authorities set out below.

## Authority Matrix – BCA

Activity	Group Manager (Building Control functions requiring technical competency delegated to Building Team)	Building Team Manager	Team Leader Building Approvals	Building Inspections Team Leader	Building Officer	BC Technical Officer	Building Compliance Officer
Receiving Applications (s31, 45)	X	X	X	X	X	X	
Process Building Consent Applications (s19, 45, 46(3), 47(3), 48)	X	X	X	X	X		
Grant building consents and amendments (s28, 49, 53, 58)	X	X	X	X	X		
Issue building consents (s51)	X	X	X	X	X		
Consider waivers (s67)	X	X	X	X			
Accept minor variations (s45A(3))		X	X	X	X		
Consider consents with natural hazards (s71-74)	X	X	X	X			
Considering and granting multi-allotment consents (s75, 77)	X	X	X	X	X		
Considering and granting consent for alterations to existing buildings (s112)	X	X	X	X	X		
Refuse applications for building consent (s50)		X	X	X	X		
Issue notices to fix (s164, 165, 166)	X	X	X	X	X		
Undertaking site inspections and issuing notices (s90)	X	X	X	X	X		
Lapse building consents or extend time to commence work (s52)	X	X	X	X			
Issue or refuse to issue CCC (s28, 91, 93-95A)	X	X	X	X	X		
Issue Compliance Schedules and amendments (s102, 103, 104)	X	X	X	X	X		X

Activity	Group Manager	Building Team Manager	Team Leader Building Approvals	Building Inspections Team Leader	Building Officer	BC Technical Officer	Building Compliance Officer
Legal instructions	X	X					
Approve Leave	X	X	X	X			
Contractor payments	X	X					
Assessing technical leadership		X					
Assess officer competence		X	X	X	X		
Propose improvements	X	X	X	X	X	X	X
Approve improvements	X	X					
Carry out reviews and audits	X	X	X	X	X		
Investigate performance complaints			X	X			
Advise customer and collection of fees and levy (s53, 54, 58, 240)		X Delegated to Customer Engagement	X	X	X	X	
Obtain information for and provide information to the chief executive (s63, 239)	X	X	X	X			
Provide to the TA relevant information (s104, 238)	X	X	X	X	X	X	X

Link to [CE to Staff Delegations](#)