



**BUILDING CONSENT AUTHORITY ACCREDITATION
ASSESSMENT REPORT**

CHRISTCHURCH CITY COUNCIL

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INTRODUCTION

This report relates to the accreditation assessment of the Christchurch City Council Building Consent Authority's (BCA's) documented policies, procedures and systems, which took place during 6 to 7 November 2018 to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006* (the Regulations).

This report is based on the document review, and discussions with the BCA's employees undertaken during the accreditation assessment.

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

ACCREDITATION FEEDBACK AND CONTINUING ACCREDITATION

Accreditation is a statement, by IANZ, that your organisation complies with the Regulations and MBIE BCA accreditation scheme guidance documents (as relevant). Where non-compliance with the Regulations has been identified, the Act requires that it must be addressed. This report will also highlight examples of good practice and performance.

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

Summary of the non-compliances identified during the assessment

Your non-compliances with the Regulations have been summarised and recorded in detail in this report. Please complete the Record of Non-compliance table/s detailing your proposed corrective actions and forward a copy to IANZ. This plan of action must be provided to IANZ by 10/12/2018.

All non-compliances must be finally addressed and cleared by 11/03/2019. To maintain accreditation you must provide evidence of the actions taken to clear non-compliance to IANZ within the required timeframe. If you do not agree with the non-compliances identified, please contact the Lead Assessor as soon as possible. If you need further time to address non-compliances, please contact the Lead Assessor as soon as possible.

Where you are seeking an extension to an agreed timeframe to address a non-compliance, your Chief Executive is required to make a formal request for an extension of the timeframe.

If you have a complaint about the assessment process, please follow the procedure set out in the IANZ complaint process which can be found in the MBIE Guidance information.

Summary of the good practice and performance identified during the assessment

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

- The assessment team noted a huge improvement in the quality of the records maintained for technical peer reviews and observed records of a thorough process used for competence assessment.
- The contract documents were also noted to be carefully constructed and detailed, including all required elements.

NEXT ACCREDITATION ASSESSMENT

Unless your BCA undergoes a significant change, requiring some form of interim assessment, the next assessment of the BCA is planned for the week of 25 March 2019. This will be an assessment of the implementation of your policies, procedures and systems. You will be formally notified of your next assessment six weeks prior to its planned date.

ASSESSMENT SUMMARY

ORGANISATION DETAILS		
Organisation:	Christchurch City Council	
Address for service:	53 Hereford Street Christchurch Central Christchurch 8011 New Zealand	
Client Number:	7486	
Accreditation Number:	82	
Chief Executive:	Karleen Edwards	
Chief Executive contact details:	Karleen.edwards@ccc.govt.nz	
BCA Authorised Representative:	Tracy Quinton-Boundy	
BCA Authorised Representative contact details:	Tracy.quinton-boundy@ccc.govt.nz	
BCA Quality Manager:	Tracy Quinton-Boundy	
Number of BCA FTE's	Technical - 93 Administration – 65 FTE Vacancies - 15	
ASSESSMENT TEAM		
Lead Assessor:	Adrienne Woollard	
Lead Assessor contact details:	awoollard@ianz.govt.nz	
Technical Expert:	John Tait	
IANZ REPORT PREPARATION		
Prepared by:	Adrienne Woollard	
Signature:		
Checked by:	Peter Wakefield	
Signature:		
Date:	12/11/2018	
ASSESSMENT FINDINGS		
	This assessment:	Last assessment:
Total # of "serious" non-compliances:	0	0
Total # of "general" non-compliances:	14	26
Total # of non-compliances outstanding:	2	19
Number of recommendations:	2	1
Number of advisory notes:	0	0
Date clearance plan required from BCA:	10/12/2018	
Date all non-compliances must be finally cleared:	11/03/2019	
Accreditation to continue with non-compliance clearance?	Yes	
NEXT ASSESSMENT		
Recommended next assessment type:	Assessment of implementation of the BCA's policies, procedures and systems	
Recommended next assessment date:	March 2019	
COMMENTS		

ASSESSMENT OBSERVATIONS

REGULATION 6A NOTIFICATION REQUIREMENTS

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 1 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA amended its documented procedure during the assessment to include reference to change to authorised representative as a reason for notification to IANZ and MBIE.</p> <p>GNC 1</p>	

REGULATION 7 PERFORMING BUILDING CONTROL FUNCTIONS

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	Yes
Number of recommendations:	1
Recommendation number/s:	R1
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA's consumer information, available on its website, was found to include the required information. It is recommended (R1) that the BCA rewords the requirement that the applicant "must provide producer statements: as producer statements do not have any legal standing under the Building Act and can therefore not be a requirement.</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 2
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had documented appropriate systems for receiving, checking and lodgement, except that the BCA was not requiring the lodgement date to be recorded as the date the complete application was received (as required by MBIE).	
GNC 2	

Regulations 7(2)(d)(ii)-(iii): assessing and allocating applications

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had documented appropriate procedures for assessing and allocating applications.	

Regulation 7(2)(d)(iv)-(v): processing, granting and issuing consents

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 3 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>7(2)(d)(iv) Processing</p> <p>The BCA's procedures for processing were seen to be appropriate except that they did not detail how the BCA would handle work completed without a consent. This was added during the assessment. GNC 3</p> <p>7(2)(d)(v) Granting and issuing consents</p> <p>The BCAs procedures for granting and issuing building consents were found to be appropriate.</p>	

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 4 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCAs procedures for planning, managing and performing inspections were found to be appropriate, except there was no mention of the management of non-standard inspections. This was added during the assessment. GNC 4</p>	

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

Non-compliance? Y/N	Yes - See Record of Non-compliance for details
Non-compliance number/s:	GNC 5 - Partially resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCAs procedures for receiving applications for a code compliance certificate were found to be appropriate. Although this assessment did not assess implementation of the procedures it was noted during the assessment that the BCA was stopping the 20 day clock while waiting for an inspection. MBIE consider that an inspection is not building work so the clock may not be stopped while waiting for an inspection. The BCA should be aware that a non-compliance will be raised at the next assessment if the BCA continues with this practice.</p> <p>The procedures for issuing Code Compliance Certificates and Compliance Schedules were found to be appropriate. The procedure for making a decision at 24 months if no application for CCC was received was found to require amendment as it stated that the building consent “remained active” once the CCC was issued. This was not appropriate as the BCA’s role is complete once they have made a decision to issue or refuse the CCC.</p> <p>GNC 5 – to be resolved</p> <p>The procedure for issue of Notices to Fix did not refer to the responsible authority. This was added during the assessment.</p> <p>GNC 5 – this part resolved during the assessment</p>	

Regulation 7(2)(g): customer inquiries

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>7(2)(g) Customer inquiries</p> <p>The BCAs procedures for receiving and managing customer inquiries were found to be appropriate.</p>	

Regulation 7(2)(h): customer complaints

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 6 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCAs procedures for receiving and managing customer complaints were found to be appropriate but incomplete. Further details regarding ensuring objectivity, fairness and providing proportional remedies was added during the assessment.</p> <p>GNC 6</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCAs procedures for forecasting workflow were found to be appropriate.</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for identifying and addressing capacity and capability needs were found to be appropriate.	

REGULATION 9 ALLOCATING WORK

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for allocating work to appropriate staff and contractors were found to be appropriate.	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for assessing prospective employees were found to be appropriate.	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for assessing the competence of employees performing building control functions were found to be appropriate.	

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 7 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had documented its training procedures. It had not specifically included that training plans would be developed annually. This was added during the assessment. The procedures were then found to be appropriate.	
GNC 7	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for supervising employees under training were found to be appropriate.	

REGULATION 12 CHOOSING AND USING CONTRACTORS

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had documented its procedures for choosing and using contractors. The Council had also documented Council-wide procurement procedures. The combination of these documents met the requirements of the MBIE Guidance and the Regulations. A link to the Council procurement procedure was added to the BCA manual during the assessment to make the information more accessible.	

REGULATION 13 ENSURING TECHNICAL LEADERSHIP

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCAs procedures for ensuring technical leadership were found to be appropriate.	

REGULATION 14 ENSURING NECESSARY (TECHNICAL) RESOURCES

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 8 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented its procedures for ensuring sufficient and appropriate technical resources. Information regarding the criticality of equipment was amended during the assessment.</p> <p>GNC 8</p>	

REGULATION 15 KEEPING ORGANISATIONAL RECORDS

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented its organisational structure. It maintained a spreadsheet in TRIM that recorded the number of employees performing building control and administrative functions and any vacancies.</p> <p>The BCA used job descriptions to record roles and responsibilities and maintained a delegations register to record the delegation of powers and authorities.</p> <p>Procedures relating to these functions were found to be appropriate.</p>	

REGULATION 16 FILING APPLICATIONS FOR BUILDING CONSENT

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	Yes
Number of recommendations:	1
Recommendation number/s:	R2
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented an appropriate procedure for filing applications for building consent. If the BCA intends to carry out any work for another BCA it is recommended that the BCA documents how records of the work performed for another BCA will be managed.</p> <p>R2</p>	

REGULATION 17 ASSURING QUALITY

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA's documented policies, procedure and systems appropriately covered its management and operations, except as detailed elsewhere in this report.</p>	

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 9 - resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had appointed a quality manager. The policy on quality was found to be at a very high level. It was amended during the assessment to include reference to the Council's Long Term Plan and details regarding the quality objectives of the BCA. Once amended it was found to be appropriate.</p> <p>GNC 9</p>	

Regulation 17(2)(d) and 17(5): Management reporting and review, including of the quality system

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 10 - resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA's procedures detailed that management review against its quality policy would occur monthly and annually. The procedure for annual strategic management review (including the report template) didn't specifically reference assessing employee and contractor engagement with the quality system and continuous improvement system, or review of the effectiveness of any communications related to the quality assurance system. These items were added during the assessment.</p> <p>GNC 10</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA's procedures documented that it communicated about its quality assurance system to all employees in contractors in a number of ways. These were considered to be appropriate.	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
Not applicable to a BCA that is also a territorial authority as they are required to have full scope.	

Regulation 17(2)(e) Supporting continuous improvement

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

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 11 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented its procedure regarding undertaking annual system and technical audits. Further detail regarding audit sample size and the submission of the audit report to the quality manager and responsible manager was added to the procedure during the assessment. The procedure was then considered to be appropriate.</p> <p>GNC 11</p>	

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

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 12 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCAs procedure was amended during the assessment to include more detail regarding the types of conflicts of interest that should be recorded and managed. The procedure was then considered to be appropriate.</p> <p>GNC 12</p>	

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

Non-compliance? Y/N	No
Non-compliance number/s:	-
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA's procedures for communicating with internal and external persons were considered to be appropriate.	

Regulation 17(3A): Complaints about building practitioners

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 13 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
The BCA had documented its procedures for considering and making complaints about practitioners. It had not documented its process for considering the seriousness of its concerns. This was added during the assessment. The procedure was then considered to be appropriate.	
GNC 13	

REGULATION 18 TECHNICAL QUALIFICATIONS

Non-compliance? Y/N	Yes
Non-compliance number/s:	GNC 14 – resolved during the assessment
Opportunities for improvement? Y/N	No
Number of recommendations:	0
Recommendation number/s:	-
Number of advisory notes:	0
Advisory note number/s:	-
Observations and comments, including good practice and performance	
<p>The BCA had documented its procedures for requiring employees and contractors to hold or be working towards a technical qualification unless exempt. The BCA amended one of the exemptions during the assessment to bring it in line with MBIE expectations.</p> <p>GNC 14</p>	

RECORD OF NON-COMPLIANCE

Non-compliance number:	GNC 2	
Breach of regulatory requirement:	Regulation 7(2)(d)(i): recording applications	
Finding:	General Non-compliance	
Finding details:	The BCA was not requiring the lodgement date of an application to be recorded as the date the complete application was received.	
BCA Actions required:	Please develop and implement an action plan to address the above finding. Please provide evidence to demonstrate that the finding has been addressed.	
IMPORTANT DATES		
Non-compliance to be cleared by:	11/03/2019	
	Due by:	Accepted by IANZ:
Plan of action from BCA:	10/12/2018	Click here to enter a date.
Final date for evidence of implementation from BCA:	25/02/2019	Click here to enter a date.
EVIDENCE		
Plan of action: <i>To be provided by BCA</i>		
Evidence of implementation: <i>To be provided by BCA</i>		
Non-compliance cleared? Y/N	Choose an item.	
Signed:		
Date:	Click here to enter a date.	

RECORD OF NON-COMPLIANCE

Non-compliance number:	GNC 5	
Breach of regulatory requirement:	Regulation 7(2)(f): code compliance certificates	
Finding:	General Non-compliance	
Finding details:	The procedure for making a decision at 24 months if no application for CCC was received incorrectly stated that the building consent "remained active" once the CCC was issued.	
BCA Actions required:	Please develop and implement an action plan to address the above finding. Please provide evidence to demonstrate that the finding has been addressed.	
IMPORTANT DATES		
Non-compliance to be cleared by:	11/03/2019	
	Due by:	Accepted by IANZ:
Plan of action from BCA:	10/12/2018	Click here to enter a date.
Final date for evidence of implementation from BCA:	25/02/2019	Click here to enter a date.
EVIDENCE		
Plan of action: <i>To be provided by BCA</i>		
Evidence of implementation: <i>To be provided by BCA</i>		
Non-compliance cleared? Y/N	Choose an item.	
Signed:		
Date:	Click here to enter a date.	

SUMMARY OF RECOMMENDATIONS

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

It is recommended that:

- R1 The BCA rewords the requirement in its consumer information that the applicant “must provide producer statements” as producer statements do not have any legal standing under the Building Act and can therefore not be a requirement.

- R2 If the BCA intends to carry out any work for another BCA the BCA should document how records of the work performed for another BCA will be managed.

SUMMARY OF ADVISORY NOTES

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

No advisory notes were provided during this assessment

SUMMARY TABLE OF NON-COMPLIANCE

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

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? (Enter Yes where applicable)						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY) N/A where NC is resolved on-site	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recommendations	Advisory notes	
6(A)(1)	General	GNC 1	Yes	Yes					Yes					Procedures missing reference to change to authorised representative as a reason for notification to IANZ and MBIE.
6(A)(2)	Choose an item.													
Regulation 7														
7(1)	Choose an item.													
7(2)(a)	Choose an item.											1		
7(2)(b)	Choose an item.													
7(2)(c)	Choose an item.													
7(2)(d)(i)	General	GNC 2	Yes	Yes					No	11/3/19				The BCA was not requiring the lodgement date to be recorded as the date the complete application was received.
7(2)(d)(ii)	Choose an item.													
7(2)(d)(iii)	Choose an item.													
7(2)(d)(iv)	General	GNC 3	Yes	Yes					Yes					The BCA's procedures for processing did not detail how the BCA would handle work completed without a consent.
7(2)(d)(v)	Choose an item.													
7(2)(e)	General	GNC 4	Yes	Yes					Yes					The BCAs procedures did not include the management of non-standard inspections.
7(2)(f)	General	GNC 5	Yes	Yes					No	11/3/19				The procedure for making a decision at 24 months if no application for CCC was received was found to require amendment as it stated that the building consent "remained active" once the CCC was issued. The procedure for issue of Notices to Fix did not refer to the responsible authority.
7(2)(g)	Choose an item.													
7(2)(h)	General	GNC 6	Yes	Yes					Yes					The BCAs procedures for receiving and managing customer complaints required more details regarding ensuring objectivity, fairness and providing proportional remedies.
Regulation 8														
8(1)	Choose an item.													
8(2)	Choose an item.													
Regulation 9														
9	Choose an item.													
Regulation 10														
10(1)	Choose an item.													
10(2)	Choose an item.													
10(3)(a)	Choose an item.													

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? (Enter Yes where applicable)						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY) N/A where NC is resolved on-site	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recommendations	Advisory notes	
10(3)(b)	Choose an item.													
10(3)(c)	Choose an item.													
10(3)(d)	Choose an item.													
10(3)(e)	Choose an item.													
10(3)(f)	Choose an item.													
Regulation 11														
11(1)	Choose an item.													
11(2)(a)	General	GNC 7	Yes	Yes				Yes						The training procedures didn't specifically include that training plans would be developed annually.
11(2)(b)	Choose an item.													
11(2)(c)	Choose an item.													
11(2)(d)	Choose an item.													
11(2)(e)	Choose an item.													
11(2)(f)	Choose an item.													
11(2)(g)	Choose an item.													
Regulation 12														
12(1)	Choose an item.													
12(2)(a)	Choose an item.													
12(2)(b)	Choose an item.													
12(2)(c)	Choose an item.													
12(2)(d)	Choose an item.													
12(2)(e)	Choose an item.													
12(2)(f)	Choose an item.													
Regulation 13														
13(a)	Choose an item.													
13(b)	Choose an item.													
Regulation 14														
14	General	GNC 8	Yes	Yes				Yes						Inappropriate information regarding the criticality of equipment was amended during the assessment.
Regulation 15														
15(1)(a)	Choose an item.													
15(1)(b)	Choose an item.													
15(2)	Choose an item.													
Regulation 16														
16(1)	Choose an item.													
16(2)(a)	Choose an item.										1			
16(2)(b)	Choose an item.													
16(2)(c)	Choose an item.													
Regulation 17														
17(1)	Choose an item.													
17(2)(a)	Choose an item.													
17(2)(b)	General	GNC 9	Yes	Yes				Yes						The policy on quality was found to be at a very high level with no detail regarding the quality objectives of

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance identification number	Breach of regulation 5/6? (Enter Yes where applicable)						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY) N/A where NC is resolved on-site	Date Non-compliance cleared (DD/MM/YYYY)	Number of		Brief comment (to get to the heart of the issue)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recommendations	Advisory notes	
														the BCA.
17(2)(c)	Choose an item.													
17(2)(d)	Choose an item.													
17(2)(e)	Choose an item.													
17(2)(h)	General	GNC 11	Yes	Yes					Yes					Detail regarding audit sample size and the submission of the audit report to the quality manager and responsible manager was added to the procedure during the assessment.
17(2)(i)	General	GNC 12	Yes	Yes					Yes					The BCAs procedure required more detail regarding the types of conflicts of interest that should be recorded and managed.
17(2)(j)	Choose an item.													
17(3)	Choose an item.													
17(3A)(a)	General	GNC 13	Yes	Yes					Yes					The BCA had not documented its process for considering the seriousness of its concerns about practitioners.
17(3A)(b)	Choose an item.													
17(3A)(c)	Choose an item.													
17(4)(a)	Choose an item.													
17(4)(b)	Choose an item.													
17(5)(a)	General	GNC 10	Yes	Yes					Yes					The procedure for annual strategic management review (including the report template) didn't specifically reference assessing employee and contractor engagement with the quality system and continuous improvement system, or review of the effectiveness of any communications related to the quality assurance system.
17(5)(b)	Choose an item.													
Regulation 18														
18(1)(a)	Choose an item.													
18(1)(b)	Choose an item.													
18(1)(c)	Choose an item.													
18(3)(a)	General	GNC 14	Yes	Yes					Yes					The BCA amended one of its exemptions from holding a qualification during the assessment to bring it in line with MBIE expectations.
18(3)(b)	Choose an item.													