

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	
														<p>systems in the building are capable of performing to the performance standards set out in the building consent” was not accurate as the specified systems had been altered from those described in the building consent.</p> <p>The procedures did not clearly document the process for managing the preparation of Compliance Schedules where the information provided did not match the building consent.</p> <p>6. Several applications were noted where the performance, inspection, maintenance and reporting details on the Compliance Schedule were not consistent with those listed in the Building Consent/Draft Compliance Schedule (and no application for variation/amendment had been recorded).</p> <p>Some performance standards listed on Compliance Schedules were not considered to be appropriate (e.g. F8/AS1 for SS15.4, SS 14.2).</p>
7(2)(g)	Choose an item.													
7(2)(h)	General	Nov 18 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)	General	March 19 GNC 3			Yes			Yes						Records of implementation did not include identifying and recording known pressures impacting the performance of its building control functions such as limited access to technical leadership..
8(2)	General	March 19 GNC 4			Yes			Yes						Records of the annual planning exercise did not include the required number of FTEs the BCA anticipated it needed (capacity), the required number of FTEs it anticipated it needed at each level of competence (capability), and the technical leadership or specialist expertise that it expected to need.
Regulation 9														
9	Choose an item.													
Regulation 10														
10(1)	Choose an item.										1	1		
10(2)	Choose an item.													
10(3)(a)	Choose an item.													
10(3)(b)	Choose an item.													
10(3)(c)	Choose an item.													
10(3)(d)	Choose an item.													
10(3)(e)	Choose an item.													
10(3)(f)	Choose an item.													
Regulation 11														

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11(1)	Choose an item.													
11(2)(a)	General	Nov 18 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.										1			
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)	General	Mar 19 GNC 5	Yes	Yes	Yes			Yes						One contract did not include a requirement for annual competence assessment or to comply with the Building Act 2004.
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	Nov 18 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.										2			
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	Nov 18 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 the BCA.
17(2)(c)	Choose an item.													
17(2)(d)	Choose an item.													
17(2)(e)	Choose an item.													

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17(2)(h)	General	Nov 18 GNC 11	Yes	Yes					Yes			1		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	Nov 18 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	Nov 18 GNC 13	Yes	Yes					Yes			1		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	Nov 18 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	Nov 18 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.													