

BCA accreditation scheme checklist

Regulation 6: Observance of policies, procedures and systems

Minimum criteria for accreditation against regulation 6

The BCA records decisions, reasons and outcomes for:

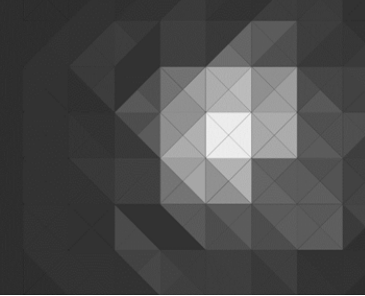
- processing building consents
- inspecting building work
- certifying building work
- managing complaints
- workload forecasting
- determining employee and contractor capacity and capability needs
- recruitment activities
- allocating work to competent employees and contractors
- establishing the competency of employees and contractors
- developing training plans for employees doing a technical job
- employees and contractors requiring supervision
- contractor selection
- selecting technical leaders
- delegating technical leader's powers and authorities
- establishing the information a Building Control Officer needs to perform building control functions
- establishing the facilities a Building Control Officer needs to perform building control functions
- establishing the equipment a Building Control Officer needs to perform building control functions
- management oversight of the quality assurance process
- decisions about continuous improvement
- managing conflicts of interest

Notes: [Click here to enter text.](#)

[Regulation 6 regulatory guidance](#) provides further information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: Click here to enter text.



BCA accreditation scheme checklist

Regulation 6A: Notification Requirements

Minimum criteria for accreditation against regulation 6A

Notification requirements

The BCA's policy, procedure and system ensures the BCA notifies MBIE and the accreditation body where:

- there are significant changes in the legal, commercial, or organisational status of a BCA or the wider organisation in which it operates
- the "authorised representative" departs or is replaced
- the BCA's "responsible manager" departs or is replaced
- the BCA's "quality assurance manager" departs or is replaced
- in any one quarter of the calendar year, 25 per cent or more of any employees doing technical jobs depart and are not replaced with equally qualified and competent people
- 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)
- the applicant or BCA formally transfers any or all of its functions under section 233 or 244 of the Act to another BCA
- the applicant or BCA outsources a significant portion of its functions under section 213 of the Act to another BCA
- the applicant or BCA accepts a significant portion of another BCA's functions under section 213 of the Act
- a material change of policies, procedures or systems occurs

Notes: *Click here to enter text.*

Additional notification requirements for BCAs not part of a territorial or regional authority

A private organisation or person that is accredited and registered (private BCA) must ensure that MBIE and the accreditation body are also notified of:

- any professional misconduct of the BCA or its management (including conduct that may give rise to a professional misconduct action being taken by a professional association)
- a civil claim being made against the building consent authority or its management in relation to contract or tort

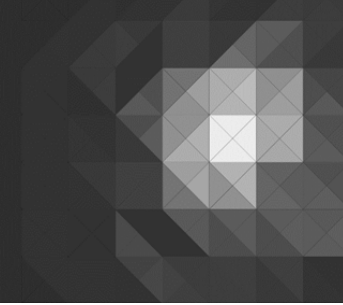
- a conviction of, or pending proceedings against, the building consent authority or its management, in New Zealand or in another country, for a:
 - crime involving dishonesty
 - building control offence.

Notes: *Click here to enter text.*

[The regulation 6A regulatory guidance](#) provides further information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*



BCA accreditation scheme checklist

Regulation 7(2)(a): Consumer information

For a BCA that only consents dams, the information required to comply with regulation 7(2)(a) is information relevant only to the consenting process for dams.

Minimum criteria for accreditation against Regulation 7(2)(a)(i)

Information on applying for a consent

- The BCA has consumer information about how to apply for a consent that covers the definition of a building consent

Notes: *Click here to enter text.*

The BCA has consumer information about how to apply for a consent that covers building work that:

- requires consent
- may be proposed on land subject to natural hazards
- is restricted building work
- is exempt from consent requirements

Notes: *Click here to enter text.*

The BCA has consumer information about how to apply for a consent that covers:

- the licensed building practitioners (LBP) scheme
- owner-builder exemption from LBP requirements
- project information memorandum
- other legislation the applicant should consider, such as the Resource Management Act 1991 (RMA)

Notes: *Click here to enter text.*

The BCA has consumer information about how to apply for a consent that covers how and where to apply for a consent, including the:

- consent applications that the BCA can process (if it has a limited scope)
- appropriate form(s) to complete
- detail required of plans, and supporting material

- acceptance and management of professional opinions (eg producer statements)
- section 112 requirements where the application is for alteration to an existing building
- section 115 requirements related to the change of use of a building
- section 116 requirements related to an extension to the specified intended life of the building
- section 116A requirements for subdivision of existing building
- the need for proposed inspection, maintenance and reporting procedures for specified systems

Notes: *Click here to enter text.*

The BCA has consumer information about how to apply for a consent that covers:

- how to make applications for minor variations or amendments to a consent
- applicable fees and levies
- method of fee and levy payment for consents, inspections and Code Compliance Certificates
- when a consent lapses
- when building work can begin (including any RMA requirements)
- when premises for public use can be occupied (including CPU process)

Notes: *Click here to enter text.*

Minimum criteria for accreditation against Regulation 7(2)(a)(ii)

Information on how consents are processed

The BCA has consumer information about how consents are processed that covers the process for acceptance of a consent including the:

- statutory timeframe for processing, and when the 'clock' may be stopped and started
- statutory timeframe for processing a consent that includes a National Multiple-Use Approval (MultiProof) certificate, and when the 'clock' may be stopped and started
- request for information (RFI) process
- referrals to Fire and Emergency New Zealand (FENZ)

Notes: *Click here to enter text.*

The BCA has consumer information about how consents are processed that covers:

- at a high level, how the application is assessed against the relevant Act and associated regulations
- the section 49 requirement to be 'satisfied on reasonable grounds'
- the meaning of 'grant' of consent
- when conditions can be applied to a consent, and their meaning

Notes: *Click here to enter text.*

The BCA has consumer information about how consents are processed that covers queries, concerns and complaints about the consent decision (to grant or otherwise) including the:

- BCA complaint process
- determination process

Notes: *Click here to enter text.*

Minimum criteria for accreditation against Regulation 7(2)(a)(iii)

Information on how consents are inspected

The BCA has consumer information about how building work is inspected that covers:

- that the grant of a consent is conditional on enabling the building work to be inspected
- inspection requirements, and how to make bookings
- at a high-level, a description of typical inspection types, for example, structure, drainage, etc

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is inspected that covers on-site requirements for inspections including:

- access for inspectors
- people and information that need to be available on-site

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is inspected that covers a summary of what happens in an on-site inspection including:

- verification of construction to consented documents
- recording of inspection findings

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is inspected that covers a summary of what happens when inspections find non-compliant building work including:

- conditional continuation of work
- notices to fix (NTF)

Notes: *Click here to enter text.*

Minimum criteria for accreditation against Regulation 7(2)(a)(iv)

Information on how consents are certified

The BCA has consumer information about how building work is certified that covers:

- the definition of a CCC
- the requirement to apply for a CCC once work is complete
- when to apply for a CCC

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is certified that covers how and where to apply for a CCC, including the:

- appropriate form(s) to complete
- required content and detail required of plans, and supporting material

Notes: *Click here to enter text.*

- The BCA has consumer information about how building work is certified that covers the section 94 requirement to be 'satisfied on reasonable grounds'

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is certified that covers the process for issuing the CCC including the:

- statutory timeframe for processing, and when the 'clock' may be stopped and started
- RFI process
- compliance schedule matters

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is certified that covers:

- the fees and levies payable, including development contributions
- the method of fee and levy payment for consents, required inspections and CCCs
- what the receipt of a CCC means

Notes: *Click here to enter text.*

The BCA has consumer information about how building work is certified that covers queries, concerns and complaints about the compliance decision (to issue or otherwise) including the:

- BCA complaint process
- determination process

Notes: *Click here to enter text.*

[Regulation 7\(2\)\(a\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 7(2)(b),(c) and (d)(i): – Receiving applications for building consents

Minimum criteria for accreditation against Regulation 7(2)(b)

Receiving applications

The BCA's policy, procedure and system in place for receiving building consent applications ensures:

- all relevant information required on the prescribed Form 2 is completed by the applicant
- memoranda (Form 2A) from LBPs are supplied if the application involves restricted building work

Notes: Click or tap here to enter text.

Minimum criteria for accreditation against Regulation 7(2)(c)

Checking applications

The BCA's policy, procedure and system:

- ensures each application has the relevant information provided in accordance with section 45
- describes what happens if the application is not complete (eg reject and or return)
- stipulates a timeframe in which an application will be checked (MBIE recommends within 48 hours)

Notes: Click or tap here to enter text.

Minimum criteria for accreditation against Regulation 7(2)(d)(i)

Recording applications in the consenting processing system

The BCA records in its building consent processing system:

- the date a complete consent application was received
- any acknowledgement of the receipt and acceptance for processing of the application
- the date/s upon which any acknowledgements were made

Notes: Click or tap here to enter text.

BUILDING PERFORMANCE



[Regulation 7\(2\)\(b\),\(c\) and \(d\)\(i\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: Click or tap here to enter text.

BCA accreditation scheme checklist

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

Minimum criteria for accreditation against Regulations 7(2)(d)(ii) and (iii)

Assessing and allocating consents

The BCA assesses the content of a building consent application to:

- classify the application using the work classification framework required by regulation 9
- allocate the application to one or more competent employee or contractor
NB – where a self-allocation process is used, ensure there is a record confirming the work is within the employees competency.
- identify if technical leadership or specialist expertise may be required
- decide whether to provide a copy to Fire and Emergency New Zealand (FENZ)

Notes: *Click here to enter text.*

[Regulation 7\(2\)\(d\)\(ii\) and \(iii\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 7(2)(d)(iv): processing consents

Minimum criteria for accreditation against Regulation 7(2)(d)(iv)

Processing consents

The BCA refers to the region's territorial authority matters related to:

- building work already undertaken (with or without an issued consent) which may require a certificate of acceptance (s 42)
- waivers or modifications to the Building Code (s 67 – 70)
- decisions under section 112(2) of the Building Act 2004 (the Act)
- the change of use of buildings (s 115)
- the specified intended life of buildings (s 113)
- the subdivision of a building or part of a building (s 116A)

Notes: Click or tap here to enter text.

The BCA's policies, procedures and systems for processing a building consent application include:

- processes for the receipt of certificates or other information or matters from a territorial authority related to a consent

Notes: Click or tap here to enter text.

The BCA's policies, procedures and systems for processing a building consent application include processes for the processing of building consents related to:

- national multiple-use approvals (s 30A-H)
- modular components manufactured, or designed and manufactured, by registered Modular Component Manufacturers
- current registered product certificates
- minor variations (s 45A)
- changes to plans or specifications (s 45(4))
- new buildings
- alterations to existing buildings (s 112)
- allotments and subdivisions (s 75-77 and s 116A)

BUILDING PERFORMANCE

- specified systems (s 102)
- cable cars
- swimming pools

Notes: Click or tap here to enter text.

The BCA's policies procedures and systems for processing a building consent application include processes for:

- making and receiving requests for information (RFIs), including coordinating requests (as far as is possible)
- processing consents that include building methods or materials that rely on alternative solutions
- applications for minor variations or amendments to a consent
- staged building work
- the collection and payment of the relevant building levy and development contributions

Notes: Click or tap here to enter text.

The BCA's policies, procedures and systems for processing a building consent application include processes for making section 112(1) decisions related to:

- earthquake-prone buildings (s 133AT)
- means of escape from fire
- access and facilities for people with disabilities

Notes: Click or tap here to enter text.

The BCA's policies, procedures and systems for processing a building consent application include processes for:

- utilising Fire and Emergency New Zealand (FENZ) advice
- making decisions related to building on land subject to natural hazards
- making decisions related to buildings on two or more allotments
- making decisions about conditions on consents
- complying with any building method or product warnings or bans
- compiling and amending compliance schedules (CS) (where required – i.e. compiling specified system information for inclusion on Form 5, a draft CS or amending an existing CS)
- ensuring compliance with other legislation relevant to the consent process such as the Resource Management Act 1991

- how the BCA applies the test of being ‘satisfied on reasonable grounds’ in order to grant a consent

Notes: Click or tap here to enter text.

[Regulation 7\(2\)\(d\)\(iv\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: Click or tap here to enter text.

BCA accreditation scheme checklist

Regulation 7(2)(d)(v): Granting, refusing to grant and issuing

Minimum criteria for accreditation against Regulation 7(2)(d)(v)

Granting a consent

- The BCA has processes to ensure it complies with the time limits specified in section 48 of the Act for granting a consent
- The BCA's process for granting a consent complies with the legal test in section 49 of the Act
- The BCA has processes to ensure it complies with sections 53(2)(b), 54 and 58 of the Act with regard to the building levy when granting a consent

Notes: *Click here to enter text.*

Where a consent is granted subject to section 72 of the Act, the BCA:

- complies with the notification requirements in section 73 of the Act

Notes: *Click here to enter text.*

Where a consent is granted subject to section 77 of the Act, the BCA:

- ensures the territorial authority has issued any certificate required under section 75(2) of the Act
- notes on the consent, any conditions imposed in the certificate issued by the territorial authority

Notes: *Click here to enter text.*

Issuing a consent

- The BCA's process for issuing a consent complies with the requirements of section 51 of the Act and the prescribed form
- The BCA advises the applicant of its entitlement to undertake inspections under section 90 of the Act

Notes: *Click here to enter text.*

The BCA ensures that consents are issued with, as required, a copy of:

- any project information memorandum
- the applicant's development contribution notice under section 36 of the Act (if any)
- a certificate issued under section 37 of the Act (if any)

Notes: *Click here to enter text.*

The BCA ensures that consents are issued with, as required, notifications under:

- section 73 of the Act
- section 39 of the Act to Heritage New Zealand

Notes: *Click here to enter text.*

If a compliance schedule is required as a result of the building work, the building consent states the:

- specified systems that must be covered by the compliance schedule
- performance standards for the specified systems that are required

Notes: *Click here to enter text.*

If an amendment to an existing compliance schedule is required as a result of the building work, the building consent states the:

- specified systems that must be covered by the compliance schedule
- performance standards for the specified systems that are required

Notes: *Click here to enter text.*

- The BCA sends any territorial authority documents or information to an applicant if and when they are received (section 51(1)(3)(4))

Notes: *Click here to enter text.*

- The BCA advises of any requirement under any other Act which will prevent the commencement of building work (section 51(2)) eg RMA

Notes: *Click here to enter text.*

Extending the timeframe in which a consent remains valid

- The BCA has a policy, procedure and system for making a decision about whether to extend the timeframe in which a consent remains valid (which may be on application only)
- The BCAs record/system is updated with the result of each decision

Notes: *Click here to enter text.*

Refusing a consent

The BCA's policy, procedure and system provides for the refusal to grant a consent application:

- where the information received, at any time prior to granting a consent, is materially insufficient and or inadequate
- in writing, stating the refusal and reasons for the refusal (s 50) – refer example in BCA accreditation guidance

Notes: *Click here to enter text.*

[Regulation 7\(2\)\(d\)\(v\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

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

Minimum criteria for accreditation against Regulation 7(2)(e)

Planning, performing and managing inspections

The BCA's process for inspecting building work includes:

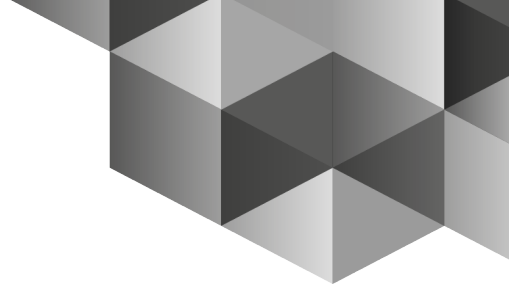
- a description of the standard inspection types undertaken by the BCA
- a description of the building work to be assessed for each standard inspection type
- how the building work may be inspected for each standard inspection type
- how any inspections outside the standard inspection types are identified and delivered eg strawbale construction, site meetings etc
- how inspections may be requested, received and recorded in the BCA
- how inspections will be scheduled and allocated to one or more competent employee or contractor
- how an inspection is recorded, including the matters that must be recorded and may be recorded
- how building work that varies from the consent is dealt with
- how building work that does not comply with the Building Code is dealt with
- how building work is checked for any warnings or bans issued by MBIE
- how the outcomes of inspections are communicated to an applicant and owner
- how any requirements of the issued consent are requested, received, recorded and communicated eg PS4 from chartered professional engineer

Notes: [Click here to enter text.](#)

[Regulation 7\(2\)\(e\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: [Click here to enter text.](#)



BCA accreditation scheme checklist

Regulation 7(2)(f)(i), (ii) and (iii): Code compliance certificates, compliance schedules, and notices to fix

Minimum criteria for accreditation against Regulation 7(2)(f)(i)

Applications for code compliance certificates

The BCA's policy, procedure and system in place for receiving code compliance certificate (CCC) applications:

- ensures all relevant information required on the prescribed Form 6 is completed by the owner or their agent
- describes what happens if the application is not complete eg reject and return
- describes what happens if the application is complete

Notes: [Click or tap here to enter text.](#)

The BCA collects the following information from an applicant for a CCC where required:

- certificates that relate to the energy work
- evidence showing the specified systems are capable of performing to the performance standards identified on the issued building consent
- current manufacturers certificates issued by a registered manufacturer, that relate to any modular components

Notes: [Click or tap here to enter text.](#)

Accepting a CCC application where the building consent was granted by another BCA

The BCA's policies, procedures and systems for accepting (or otherwise) a CCC application for building work where the building consent was granted by another BCA covers:

- seeking the applicant's agreement to the BCA considering the application
- how the BCA makes a decision to consider the application

Notes: [Click or tap here to enter text.](#)

Recording the receipt of a CCC application

The BCA records in its building consent processing system:

- the date a CCC application was received
- any acknowledgement of the receipt of a CCC application made to the applicant
- the date/s upon which any acknowledgements of a CCC application were made

Notes: [Click or tap here to enter text.](#)

Deciding a CCC application

The BCA's policies, procedures and systems for considering whether to issue a CCC include processes for:

- considering whether the specified systems in the building are capable of performing to the performance standards set out in the building consent
- considering whether there are any applicable warnings or bans related to any building method or product that may have been used
- accepting current manufacturers certificates for modular components as establishing that the building work to which the certificate applies complies with the building consent
- making a decision where no application has been made two years after the date on which the building consent was granted
- making a decision about whether to extend the timeframe in which the code compliance of the building work may be determined

Notes: [Click or tap here to enter text.](#)

Issuing a CCC

- The BCA has a process to monitor its compliance with the timeframes specified in section 93 of the Act
- The BCA's process for issuing CCCs ensures that it complies with the timeframes specified in section 93 of the Act
- The BCA has a process in place that outlines what it will do if it is unable to meet the timeframes in section 93 of the Act
- The BCA's process for considering whether to issue a CCC satisfies section 94 of the Act
- The BCA's CCCs meet the requirements of section 95 of the Act

Notes: [Click or tap here to enter text.](#)

The BCA's CCCs include the declaration that:

- the BCA is satisfied, on reasonable grounds that the building work complies with the building consent
- where relevant, the specified systems in the building are capable of performing to the performance standards set out in the building consent

Notes: [Click or tap here to enter text.](#)

The BCA's process for issuing a CCC enables it to ensure that it has received any required:

- development contribution under section 198 of the Local Government Act 2002
- fee for the processing of the application

Notes: [Click or tap here to enter text.](#)

Refusing a CCC

- The BCA has a policy, procedure and system for refusing a CCC application

Notes: [Click or tap here to enter text.](#)

Minimum criteria for accreditation against Regulation 7(2)(f)(ii)

Issuing any required compliance schedule

The BCA's policy, procedure and system for issuing CCCs enables it to:

- identify where a compliance schedule must be issued with the CCC
- issue a compliance schedule consistent with the requirements of section 103 of the Act
- (where a BCA is not a TA) provide the relevant territorial authority with a copy of the certificate within five working days (section 104)

Notes: [Click or tap here to enter text.](#)

Minimum criteria for accreditation against Regulation 7(2)(f)(iii)

Notices to fix

The BCA has a policy, procedure and system for making decisions to:

- issue a NTF to the specified person
- notifying another responsible authority of the need for a NTF

Notes: [Click or tap here to enter text.](#)

The BCA's policy, procedure and system for NTF support it to comply with the requirements of:

- section 165 of the Act
- section 166 of the Act

Notes: [Click or tap here to enter text.](#)

[Regulation 7\(2\)\(f\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: [Click or tap here to enter text.](#)

BCA accreditation scheme checklist

Regulation 7(2)(g): Receiving and managing inquiries

Minimum criteria for accreditation against Regulation 7(2)(g)

Customer inquiries

The BCA:

- enables customers to make inquiries (and ask questions)
- responds to inquiries in an appropriate way and timeframe

Notes: *Click here to enter text.*

[Regulation 7\(2\)\(g\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 7(2)(h): Receiving and managing complaints

Minimum criteria for accreditation against Regulation 7(2)(h)

Customer complaints

- The BCA's complaint policy is publicly available and accessible to applicants

Notes: *Click here to enter text.*

- There is a nominated person responsible for the effective and consistent functioning of the BCA's complaint process

Notes: *Click here to enter text.*

The BCA's complaint policy and procedure:

- has service standards for acknowledging, considering and responding to complaints
- ensures appropriate levels of objectivity and fairness to all parties
- enables complaints to be prioritised
- provides remedies proportionate to the issues raised
- enables complaints to be systematically and accurately logged and tracked

Notes: *Click here to enter text.*

[Regulation 7\(2\)\(h\) regulatory guidance](#) provides more information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 8: Ensuring enough employees and contractors

Minimum criteria for accreditation against regulation 8

Forecasting workflow

The BCA undertakes an annual planning exercise that includes identifying and recording:

- the volume of building control work it has processed, inspected and approved over the past two years, identifying any obvious peaks and/or fluctuations, and any seasonal or other patterns
- the volume of building control work, if any, it has agreed to undertake on behalf of another BCA (for which it must also have capacity and capability)
- 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)
- 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 factor/s may have an influence
- the consenting, inspection and compliance work it forecasts it will undertake using the BCAs nominated competency assessment system assessment levels eg NCAS

Notes: [Click here to enter text.](#)

Identifying capacity and capability needs

The BCA undertakes an annual planning exercise that includes identifying and recording:

- total number of full-time equivalent staff it anticipates it needs (capacity)
- number of full-time equivalent staff needed at each level of competency (capability)
- technical leadership or specialist experts it reasonably expects to need
- where there are capacity and capability gaps

Notes: [Click here to enter text.](#)

Fulfilling capacity and capability gaps

- The BCA actively works to fill any capacity and capability gaps

Notes: [Click here to enter text.](#)

[Regulation 8 regulatory guidance](#) provides further information.

Of note:

A BCA does not need to meet these requirements for any building control functions performed by another BCA using the other BCA's policies, procedures and systems under an arrangement or transfer. It does need to include any building control functions it is performing on behalf of another BCA.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: Click here to enter text.

BCA accreditation scheme checklist

Regulation 9: Allocating work to competent employees or contractors

Minimum criteria for accreditation against regulation 9

Classifying building control work

- The BCA classifies all building control work consistently with the National BCA competency assessment system assessment levels (NB – it is not yet mandatory to use NCAS. The current test is that the classification system for building work matches up to the defined competency assessment system used for employees and contractors)

Notes: *Click here to enter text.*

Allocating building control work to competent employees and/or contractors

- The BCA allocates work to competent or supervised employees and contractors

Notes: *Click here to enter text.*

[Regulation 9 regulatory guidance](#) provides further information.

Of note:

The following activities are not subject to the requirements of regulation 9:

- receiving and accepting building consent or code compliance certificate applications
- checking building consent applications to ensure that they contain all the required information
- classifying work according to the BCA's classification framework
- allocating applications or inspection appointments to competent employees or contractors
- accepting and making inspection bookings
- printing and sending consents or code compliance certificates to applicants or owners.

Where the work is performed by another BCA, it is sufficient for the primary BCA to simply record the name of the BCA, not the individual staff member performing the building control function.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 10: Establishing and assessing competence of employees

Minimum criteria for accreditation against regulation 10

The competency assessment system

The BCA's competency assessment system covers the:

- employees' understanding of the philosophy and principles of building design and construction
- employees' understanding and knowledge of building products and methods
- employees' knowledge and skill in applying the Act, the Building Code, and any other applicable regulations under the Act

Notes: *Click here to enter text.*

The BCA's competency assessment system covers the employees' ability to:

- process applications for building consents
- inspect building work
- certify building work

Notes: *Click here to enter text.*

The BCA's competency assessment system covers the:

- employees' ability to communicate with internal and external persons
- employees' ability to comply with the building consent authority's policies, procedures, and systems

Notes: *Click here to enter text.*

Assessments of employees performing building control functions

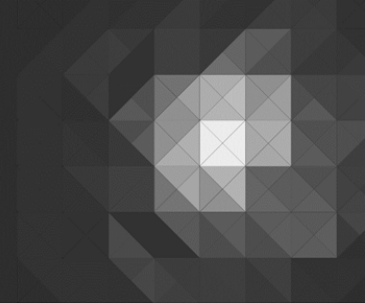
- The BCA must assess the competency of all employees performing building control function at least every two years

Notes: *Click here to enter text.*

[Regulation 10 regulatory guidance](#) provides further information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*



BCA accreditation scheme checklist

Regulation 11: Training employees

Minimum criteria for accreditation against regulation 11

Note: This checklist should be read in conjunction with the [Building \(Accreditation of Building Consent Authorities\) Regulations 2008](#) and the [Regulation 11 regulatory online guidance](#) provides further information on how to meet this regulation.

Individual employee training needs assessment

- The BCA must have a system to undertake an annual training needs assessment of all employees performing a building control function by doing a technical job

Notes: [Click here to enter text.](#)

Annual training plans

The BCA's employees' annual training plan records:

- training need/s
- training to be undertaken
- outcome/s desired from any training to be undertaken
- timeframe/s in which training will be undertaken
- the completion of the training
- how the application of any training will be monitored and reviewed

Notes: [Click here to enter text.](#)

Ensuring that employees receive the agreed training

The BCA has a monitoring mechanism:

- to ensure that all employees' agreed training is undertaken
- for recording the reason/s any employees' training is missed

Notes: [Click here to enter text.](#)

Monitoring and reviewing the application of training

- The BCA monitors and reviews an employee's application of any training as agreed in their training plan

Notes: *Click here to enter text.*

Supervising employees under training

- The BCA appropriately supervises employees under training consistent with regulation 9

Notes: *Click here to enter text.*

Recording qualifications, training completed and relevant known experience

The BCA records the following of all employees performing a building control function by doing a technical job:

- Qualifications
- Relevant known experience
- Completed training
- Continuous professional development completed

Notes: *Click here to enter text.*

Of note:

This regulatory requirement only applies to employees performing a building control function by doing a technical job. It does not apply to contractors.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 12: Choosing and using contractors

Minimum criteria for accreditation against regulation 12

Establishing a prospective contractor's qualifications and competency

- the BCA establishes the competency of all prospective contractors
- the BCA records the qualifications (if any) of all contractors performing building control functions

Notes: *Click here to enter text.*

Engaging contractors

The BCA:

- defines the scope of services and deliverables required from contractors
- defines the criteria against which a prospective contractor will be assessed
- establishes a contractor assessment team or person, and gives them decision-making authorities
- defines how prospective contractors are sought (for example, through direct approach or tender)
- records how contract negotiations will be undertaken, and any rules or criteria that will apply

The BCA's contracts set out the:

- scope of services and deliverables required from contractors
- contractors' performance standards, and how they will be monitored and reviewed
- measures to be taken in the event of unsatisfactory performance
- reporting requirements
- contractor's requirement to comply with a quality assurance system
- selection of staff within an organisation that will perform building control work (if applicable)
- powers and authorities granted to any contracted staff
- process for managing conflicts of interest
- process for managing internal and external communications, including engagement with media
- requirement for annual competency assessments

- requirement to adhere to the BCA's policies, procedures and systems (or their own)
- requirement to comply with the Building Act 2004 and associated regulations

Notes: *Click here to enter text.*

Monitoring and reviewing contractor performance

- the BCA monitors and reviews contractors' performance against the defined standards documented in their contract
- the BCA addresses contractors' unsatisfactory performance against the defined standards documented in their contract

Notes: *Click here to enter text.*

Annually or more frequently assessing a contractor's competency

- the BCA undertakes an annual assessment of the competency of all contractors performing building control functions

Notes: *Click here to enter text.*

[Regulation 12 regulatory guidance](#) provides further information.

Of note:

These accreditation requirements do not apply to contractors who provide technical or specialist expertise. This includes expertise that contributes to the processing of and decisions on consent or code compliance applications, the development of compliance schedules, and the issue of notices to fix, where their advice is on a single matter, and given under specific direction or by special request.

Contractors may also carry out certain activities or functions such as writing policies and procedures, or performing competency or quality assessments. These contractors are not performing building control functions, or providing technical or specialist advice related to the performance of a building control function and are outside the scope of the regulations.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BUILDING PERFORMANCE



BCA accreditation scheme checklist

Regulation 13: Ensuring technical leadership

Minimum criteria for accreditation against regulation 13

Establishing competency

The BCA establishes the competency of its technical leaders through:

- evidence collection
- assessment of the evidence
- a record of outcome

Notes: *Click here to enter text.*

Powers and authorities

- The BCA grants its technical leaders the powers and/or authorities they need

Notes: *Click here to enter text.*

[Regulation 13 regulatory guidance](#) provides further information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 14: Ensuring necessary technical resources

Minimum criteria for accreditation against regulation 14

Ensuring technical resources are available

The BCA:

- identifies the information, facilities and equipment available and accessible to employees and contractors performing building control functions
- records the information, facilities and equipment available to employees and contractors
- determines the information and equipment that a contractor is required to provide

Notes: *Click here to enter text.*

Keeping technical resources appropriate

The BCA:

- identifies superseded information and archives that material
- ensures superseded information is updated with the relevant new information
- maintains required facilities and equipment
- calibrates measuring equipment
- replaces facilities and equipment where required.

Notes: *Click here to enter text.*

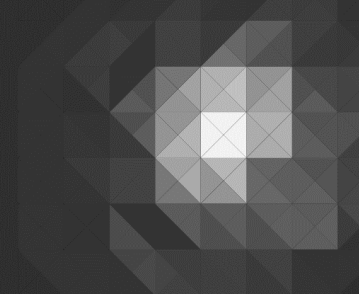
[The regulation 14 regulatory guidance](#) provides further information.

Of note:

The level of calibration required for any equipment is a matter for the BCA to decide and record. There is no accreditation requirement for a BCA to calibrate equipment to an international standard, however it may choose to do so if it wishes.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*



BCA accreditation scheme checklist

Regulation 15: Keeping organisational records

Minimum criteria for accreditation against regulation 15

Recording organisational structure

The BCA has an up-to-date organisational chart that records:

- where the BCA is placed in the management structure of its parent organisation (if applicable)
- any relationships the authority has with external organisations ie other BCAs, accredited organisations or contractors performing building control functions
- lines of accountability for employees and contractors
- number of employees performing building control functions (in full-time equivalent)
- outstanding vacancies

Notes: [Click here to enter text.](#)

Recording roles, responsibilities, powers and authorities

The BCA records the following information for all employees and contractors performing a building control function:

- objectives of their role
- required competencies of their role
- tasks/activities their role is responsible for undertaking
- key responsibilities and accountabilities
- powers to perform building control functions, and what functions
- administrative authorities (including any delegated authorities)
- any limitations on the powers and authorities in their role
- reporting lines and key relationships

Notes: [Click here to enter text.](#)

[The regulation 15 regulatory guidance](#) provides further information.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: [Click here to enter text.](#)

BCA accreditation scheme checklist

Regulation 16: Filing applications for building consents

Minimum criteria for accreditation against regulation 16

Recording a unique file number

- The BCA allocates each and every complete application a unique file number

Notes: *Click here to enter text.*

Information relevant to an application

The BCA stores the following information on file where available:

- all plans and specifications received as part of a building consent
- project information memoranda (if any)
- building consents
- code compliance certificates
- compliance schedules
- if applicable, the specified intended life of the building
- statutory declarations provided by an owner-builder
- records of work and certificates of work provided under section 45(2) or 88(1)(a) of the Act
- building warrants of fitness
- energy work certificates
- notices to fix
- any orders issued by the District Court under section 126 of the Act
- records of any information on any land or building received by the BCA from a statutory authority
- details about any levy collected under section 53 of the Act
- a summary of any complaints laid in relation to the building, and the BCA's response
- any other relevant records that relate to the information above

Notes: *Click here to enter text.*

Building consent applications processed by or for a third party

The BCA keeps records of the:

- name and address for service of third parties performing building control functions on its behalf
- building control function work performs for others using its own policies, procedures and systems

Notes: *Click here to enter text.*

Ensuring information is readily accessible, retrievable and stored securely

The BCA's records are:

- readily accessible and retrievable in a way that complies with principle 3.3 of the IRMS
- stored securely in a way that complies with principles 2.2 and 3.4 of the IRMS

Notes: *Click here to enter text.*

[Regulation 16 regulatory guidance](#) provides further information.

Of note:

A BCA may demonstrate compliance with regulation 16 by providing an independent assessment of its own, or parent organisation's compliance with the Information and Records Management Standard for the New Zealand Public Sector (the IRMS) that has been completed within 12 months of its accreditation assessment.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BUILDING PERFORMANCE

Regulation 17: Assuring quality

Minimum criteria for accreditation against regulation 17

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

- The BCA's quality assurance system covers its management and operation, including the performance of its building control functions

Notes: [Click here to enter text.](#)

Regulation 17(2)(b): A policy on quality

- The BCA has a policy on quality

The BCA's policy on quality includes its:

- quality objectives
- expected standards for the performance of its building control functions
- quality performance indicators, at a high level
- commitment to continuous improvement

Notes: [Click here to enter text.](#)

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

Where a BCA has a limited scope of accreditation, it specifically monitors its implementation of:

- regulation 7(2)(a) and the provision of information to customers about how to apply for a building consent
- regulation 7(2)(c) and process for receiving applications to ensure that only those within its scope of accreditation are accepted for processing

Notes: [Click here to enter text.](#)

Regulation 17(2)(d): Management reporting and review

- The BCA undertakes management reporting against its quality policy

The BCA's management reporting systems states the:

- frequency of required management reports
- form required of the management reports, at a high level

Notes: [Click here to enter text.](#)

Regulation 17(2)(e): Supporting continuous improvement in the BCA's performance

The BCA:

- accepts and considers feedback from customers, employees and contractors
- identifies issues and opportunities within its policies, procedures and systems
- responds to issues identified in its performance of building control functions
- responds to any non-compliances identified with accreditation requirements in an assessment
- assesses the seriousness of an issue or non-compliance
- decides if any action might be taken to address issues or improve a policy, procedure or system
- agrees on action necessary to address non-compliance with accreditation requirements
- plans for, and implements any agreed action
- monitors and evaluates any action implemented

Notes: [Click here to enter text.](#)

Regulation 17(2)(h): Annual audits

The BCA's annual audit of its building control functions as defined in regulation 3 include:

- an audit schedule that covers each function being audited every 12 months
- a defined scope and criteria for each audit
- a detailed audit process, including guidance on audit sample sizes
- a framework for classifying non-compliance
- the submission of an audit report to the BCA's quality assurance manager and responsible manager
- the taking of action (within a defined time) to address adverse findings
- the recording of evidence of audits and actions taken.

Notes: [Click here to enter text.](#)

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

The BCA has:

- a defined a conflict of interest and provided guidance on the definition
- declarations of perceived, potential or actual conflicts of interest its employees and contractors
- managed any actual conflicts of interest

Notes: [Click here to enter text.](#)

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

The BCA:

- identifies matters that should be communicated to internal and external parties
- decides to whom matters should be communicated
- decides on the communication approach
- ensures communications are approved by an appropriate person
- ensures agreed communications are made
- records decisions made and their outcomes

Notes: [Click here to enter text.](#)

Regulation 17(3): A quality assurance manager

- The BCA has a quality assurance manager (however named)

Notes: [Click here to enter text.](#)

Regulation 17(3A): Complaints about building practitioners

The BCA's has procedures and processes for:

- employees or contractors to report concerns with building practitioners
- recording concerns raised about practitioners
- recording evidence to support concerns (or reference to where evidence is stored)
- evaluating the seriousness of the concerns
- determining whether or not to make a complaint
- the steps to be taken after making a decision to complain

Notes: [Click here to enter text.](#)

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

The BCA communicates about its quality assurance system to all employees and contractors who are using its policies, procedures and systems:

- at induction
- as part of any training in their use of a policy, procedure or system
- where required as a result of any management review or audit under regulations 17(2)(d), (h) or (5)
- where required as a result of any continuous improvement process under regulation 17(2)(e)

Note - these items may be covered within other specific policies, procedures and system

- The BCA ensures that contractors performing building control functions using their own policies, procedures and systems comply with a quality assurance system

Notes: *Click here to enter text.*

Regulation 17(5): Review of the quality assurance system

The BCA's responsible manager, annually or more frequently, considers the appropriateness and effectiveness of:

- its policy on quality
- management reporting on quality processes, internal audits and continuous improvement
- employee and contractor engagement with the quality assurance system
- employee and contractor engagement with the continuous improvement system
- the management of conflicts of interest (refer Reg 17(2)(i))
- any communication related to quality assurance system matters (refer Reg 17(2)(j))
- its process to review and make changes in its quality assurance system (refer Reg17(5))

Notes: *Click here to enter text.*

[Regulation 17 regulatory guidance](#) provides further information.

Of note:

A BCA can comply with regulations 17(1), (2), (3) and (5) if it or its parent organisation is currently certified under *AS/NZS ISO 9001:2016 Quality management systems – Requirements* (ISO 9001:2016 certification) and its certified quality management system covers the management and operation of the BCA.

A BCA or parent organisation with ISO 9001:2016 certification must still meet the requirements of regulations 17(3) and 17(3A).

A BCA may meet the requirement to undertake an annual audit by engaging Audit New Zealand, a licensed auditor or registered audit firm with appropriate skills and experience to undertake an audit on its behalf.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: *Click here to enter text.*

BCA accreditation scheme checklist

Regulation 18: Requiring technical qualifications

Minimum criteria for accreditation against regulation 18

Ensuring employees and contractors doing a technical job hold a technical qualification

- The BCA's employees and contractors performing building control functions by doing a technical job have – or are working towards achieving – a technical qualification or recognised international equivalent, unless exempt

Notes: [Click here to enter text.](#)

System for decisions on exemptions

The BCA's system for decisions on exemptions includes:

- a general policy statement or objective that sets out the goal for the BCA related to qualifications
- an agreed set of circumstances where an exemption may be considered
- a nominated person who can sign off an exemption
- the process for seeking the sign off of an exemption (which may simply be by memo)

- The BCA records the employees and contractors who are exempt from this regulatory requirement

Notes: [Click here to enter text.](#)

[Regulation 18 regulatory guidance](#) provides further information.

Of note:

This regulatory requirement only applies to those employees and contractors who are performing building control functions by doing a technical job. The regulatory requirement does not apply to employees or contractors who perform non-technical jobs or functions within a building consent authority (BCA), or to contractors who have been engaged to provide technical or specialist expertise.

Evidence of Policy/Procedure/System being completely and effectively implemented

Notes: [Click here to enter text.](#)