



This is to certify that

Queenstown Lakes District Council Building Consent Authority

has been assessed in October 2025 by IANZ, on behalf of the Ministry of Business, Innovation and
Employment, as a

Building Consent Authority

under the

Building (Accreditation of Building Consent Authorities) Regulations 2006

Accreditation Number: 73

Initial Accreditation Date: 22 January 2009

Chairperson
Accreditation Council

Chief Executive
IANZ



The NZ mark of competence
Tohu Matatau Aotearoa

BUILDING CONSENT AUTHORITY ACCREDITATION ASSESSMENT INITIAL REPORT

QUEENSTOWN LAKES DISTRICT COUNCIL

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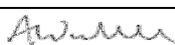
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BCA AND ASSESSMENT DETAILS

ORGANISATION DETAILS													
Organisation:		Queenstown Lakes District Council											
Address for service:		10 Gorge Road, Queenstown 9300											
Client Number:		7491	Accreditation Number:		73								
Chief Executive:		Mike Theelen											
Chief Executive Contact Details:		Mike.theelen@qldc.govt.nz											
Responsible Manager:		Chris English											
Responsible Manager Contact Details:		Chris.English@qldc.govt.nz											
Authorised Representative:		Chris English											
Authorised Representative Contact Details:		Chris.English@qldc.govt.nz											
Quality Assurance Manager:		Sina Schreiber											
Quality Assurance Manager Contact Details:		Sina.schreiber@qldc.govt.nz											
Number of FTEs:		Technical		Support functions									
Total FTEs should = technical FTEs + admin FTEs + vacancies		23.9		19.6									
		Vacancies (Technical)		Vacancies (Support)									
		1		1									
Building Consents (excl. Amendments)													
Activity during the previous 12 months:						R1	297	R2	482	R3	520		
						C1	112	C2	35	C3	16		
						National Multi-use Approvals						0	
						Amendments						136	
						Inspections undertaken						18457	
						CCCs						1687	
						New compliance schedules						32	
						BCA Notices to Fix						2	
						ASSESSMENT TEAM							
Assessment Dates:		7 October 2025 to 10 October 2025											
Lead Assessor:		Peter Wakefield											
Technical Expert(s):		Phil Judge, Rose MacLaughlan											
Observer(s):		Mike Reedy (Remotely)											
ASSESSMENT FINDINGS AND IMPORTANT DATES													
		This assessment (RR):	Oct 2023 (RR):	Oct 2021 (RR):									
Total # of "serious" non-compliances:		0	0	0									
Total # of "general" non-compliances:		8	12	9									
Total # of non-compliances outstanding:		4	9	4									
Recommendations:		11	25	5									
Advisory notes:		6	0	0									
Date all action plans must be accepted:		28 November 2025											
Final date clearance evidence can be accepted:		13 February 2026											
Date all non-compliances must be cleared:		27 February 2026											
NEXT ASSESSMENT													
Recommended next assessment type:		Routine Reassessment											
Recommended next assessment month:		October 2027											
IANZ REPORT PREPARATION													
Prepared by: Peter Wakefield		Date: 29 October 2025		Signature: 									
Checked by: Adrienne Woollard		Date: 29 October 2025		Signature: 									

INTRODUCTION

This report relates to the routine accreditation assessment of the **Queenstown Lakes District Council Building Consent Authority (BCA)** which took place on site during **October 2025** to determine compliance with the requirements of the *Building (Accreditation of Building Consent Authorities) Regulations 2006*.

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

A copy of this report, and subsequent information regarding progress towards clearance of non-compliances, will be provided to the Ministry of Business, Innovation and Employment in accordance with International Accreditation New Zealand's 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. IANZ may also be required to release this report and assessment documentation if requested under the Official Information Act 1987.

ASSESSMENT SUMMARY

The assessment identified that the BCA had put in a significant amount of work to prepare for this assessment. Staff were engaged and supportive of their own processes and systems. BCA records were easy to access and had been well maintained. A number of areas of good practice were noted, including maintenance of records of minor variations and labelling of photos during inspection activities, recording of the application of training, contractor performance monitoring, and the implementation of the BCA's continuous improvement system.

There were, however, some outstanding issues, which were raised as General Non-compliances (GNCs). These are detailed below.

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 in order for accreditation to continue.

IDENTIFYING AND NUMBERING OF NON-COMPLIANCES

Non-compliance numbers have been issued to each Regulation and sub-Regulation which was assessed and found to be non-compliant, however, where more than one non-compliance is identified within one Regulation or sub-Regulation, then only one finding number is generated.

Regulations 7(2)(d)(v) and 7(2)(f)(i) have been split out into their component parts to enable easy recording and management of the key issues.

STEPS TO ADDRESSING NON-COMPLIANCES IDENTIFIED

<p>Step 1</p>	<p>Action plans Non-compliances raised during the assessment have been summarised and recorded in detail in this report. BCA to analyse the root cause of the finding within the finding tables nested under the relevant regulation and then develop and document an action plan to address each finding (including documenting the evidence that will be submitted to address the finding). Note: Where a serious non-compliance has been raised, the cause analysis is required to be recorded within the SNC table.</p>	<p>Required to be submitted within 10 working days of the receipt of this report.</p>
<p>Step 2</p>	<p>IANZ Reviews the action plans provided IANZ will analyse the submitted action plans with the proposed evidence of implementation indicated, and will respond to the BCA accordingly with required improvements and/or acceptance of the plan.</p>	<p>IANZ has a KPI of 10 working days to review and respond. Action plans and proposed evidence required to be accepted within 20 working days of the receipt of this report.</p>
<p>Step 3</p>	<p>Submitting clearance evidence Upon the acceptance of all action plans, the BCA can proceed to provide clearance evidence to IANZ.</p>	<p>BCA to submit a separate email to address each GNC, ideally containing all listed proposed evidence.</p>
<p>Step 4</p>	<p>Review of clearance evidence Upon receiving clearance evidence, IANZ will review the appropriateness of the evidence to clear the identified non-compliance(s). Note that where the evidence provided does not provide sufficient assurance that the non-compliance has been addressed then IANZ may request further information to be satisfied, even if supply of that information was not detailed in the original action plan.</p>	<p>IANZ has a KPI of 10 working days to review and respond to each piece of clearance evidence provided.</p>
<p>Step 5</p>	<p>Last date for information submission The BCA must provide its final clearance information in sufficient time to allow for review, revision and resubmission of the information before the last date for final information submission provided.</p>	<p>If insufficient or incomplete information is received by the last date for information submission, the BCA must apply for an extension of time (if relevant). Alternatively, an initial notice of possible revocation of accreditation may be issued.</p>
<p>Step 6</p>	<p>Final clearance The BCA must clear all identified non-compliances.</p>	<p>Within 3 months of the issuing of this report (unless an extension is granted or a finding is conditionally cleared waiting for future information).</p>

If you do not agree with the non-compliances identified, or if you need further time to address non-compliances, please get in touch with 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 formally request an extension of the timeframe. These will only be granted for unpredictable and unmanageable reasons.

Failure to provide timely, objective evidence that identified non-compliances have been effectively and sustainably resolved may result in a recommendation to revoke accreditation.

If you have a complaint about the assessment process or wish to appeal any of the findings or outcomes, please refer to the BCA Accreditation disagreements guidance, which can be found [here](#), or contact the IANZ Lead Assessor, IANZ Programme Manager – Building, or IANZ Operations Manager - Inspection and BCA sectors for further information about the IANZ appeals and complaints process.

RISK ASSESSMENT

The BCA's risk, both to the Territorial Authority, as a BCA and also as an organisation accredited by IANZ was assessed using the following criteria:

High risk	A non-functioning BCA – depending on extent and type of risk and agreed management method. E.g. there is a pattern of failure to follow multiple policies, procedures and systems (PPS) and/or that multiple PPS have not been consistently and effectively implemented.	Some form of monitoring within 6 months
Medium risk	The BCA is not currently compliant and is unlikely to demonstrate substantial compliance at the next assessment if significant actions are not taken to address the identified issues, especially where there was a failure to implement PPS over two or more assessment cycles.	1 year
Low risk	“Normal” risk (the BCA is likely to remain substantially compliant over the next two years).	2 years
Extra Low risk	The BCA is almost fully compliant and likely to remain that way.	Reduced monitoring at next 2 yearly assessment

Consideration, as at the end of the on-site assessment phase of this assessment has determined that the BCA is considered to pose a Low Risk. The main reasons for considering this risk category were:

- Staff were well focussed, engaged and supportive of their Building Control functions and processes
- A low number of findings were raised
- There were no repeat findings from the last IANZ BCA assessment.

NEXT ACCREDITATION ASSESSMENT

As part of the clearance process, IANZ will consider if the clearance material demonstrates full compliance with the accreditation requirements and the likelihood of the BCA to remain substantially compliant moving forward. Based on this, IANZ will undertake a further review of the Risk category of your BCA at the end of the clearance process. This further review will determine the timing of your next assessment.

Currently, if your BCA does not undergo a significant change, requiring some form of interim assessment, and the BCA is able to clear the identified non-compliances within the agreed timeframe, the next assessment of the BCA is planned as a **Routine Reassessment** for **October 2027**.

You will be formally notified of your next assessment at least six weeks prior to its planned date.

RISK AT THE END OF THE ASSESSMENT CLEARANCE PROCESS

The risk level will be reassessed at the end of the assessment clearance process and any change notified at the time of accreditation continuation.

ABBREVIATIONS

the Act	the Building Act 2004
AOB	Accredited Organisation – Building
BCA	Building Consent Authority
BCO	Building Control Officer
CCC	Code Compliance Certificate
Consent	Building Consent
CI	Continuous improvement
CoI	Conflict of Interest
Forms Regulations	Building (Forms) Regulations 2004
GNC	General Non-compliance
IANZ	International Accreditation New Zealand
MBIE	Ministry of Business, Innovation and Employment
LBP	Licensed Building Practitioner
NCAS	National Building Consent Authority Competency Assessment System
NZBC	New Zealand Building Code
NTF	Notice to Fix
the Regulations	Building (Accreditation of Building Consent Authorities) Regulations 2006
QLDC	Queenstown Lakes District Council
RFI	Request for Further Information
SNC	Serious Non-compliance

ASSESSMENT OBSERVATIONS AND RECORDS OF NON-COMPLIANCE

Regulation 6A(1) A system for notification

The BCA had appropriately documented its system for notifying the building consent accreditation body and the Ministry of any of the matters listed within Regulation 6A(1) within 20 working days of the matter taking place.

No notifications had been made in the past 2 years as none were required.

Regulation 7(2)(a) Providing consumer information

The BCA provided consumer information regarding how to apply for a consent, and how an application was processed, inspected and certified in accordance with Regulation 7(2)(a).

The BCA is recommended to update its consumer information to provide information regarding how it will manage and undertake inspections to comply with Regulation 7A.

See Recommendation R1.

The BCA's consumer information relating to failing an inspection indicated that a Notice to Fix maybe issued if warranted. However, the information did not provide the consumer with the definition of what a Notice to Fix was. The BCA is recommended to include a definition of a Notice to Fix and under what legislation it may be issued.

See Recommendation R2.

Regulation 7(2)(b) Receiving building consent applications

The BCA had appropriately documented its procedure for receiving applications in accordance with Regulation 7(2)(b).

The BCA was seen to be appropriately receiving and accepting complete applications.

Regulation 7(2)(c) Checking building consent applications

The BCA had appropriately documented its procedure for checking applications in accordance with Regulation 7(2)(c).

Received applications were checked for completeness and further information requested as necessary.

The BCA is recommended to ensure the Form 2 application is completed on the latest version of the form. One example was observed where an old version of the document was submitted and accepted, which did not align with the current Form 2 of the Building (Forms) Regulations 2004.

See Recommendation R3.

Regulation 7(2)(d)(i) Recording building consent applications

The BCA had appropriately documented its procedure for recording applications in accordance with Regulation 7(2)(d)(i).

The BCA recorded all applications within its TechOne software system.

Regulation 7(2)(d)(ii) Assessing building consent applications

The BCA had appropriately documented its procedure for assessing applications in accordance with Regulation 7(2)(d)(ii).

Applications were seen to have been appropriately assessed using the building categories documented within the NCAS.

Regulation 7(2)(d)(iii) Allocating building consent applications

The BCA had appropriately documented its procedure for allocating applications in accordance with Regulation 7(2)(d)(iii).

All reviewed applications were seen to have been appropriately allocated to competent staff (or to staff working under appropriate supervision).

Regulation 7(2)(d)(iv) Processing building consent applications

The BCA had appropriately documented its procedure for processing building consent applications to establish whether the applications complied with the requirements of the Act, the Building Code, and any other applicable regulations under the Act specified for buildings, in accordance with Regulation 7(2)(d)(iv).

The BCA had not always effectively implemented its procedure in relation to the consideration of specified systems during Building Consent processing for the following reasons:

- In some cases, multiple performance standards were provided by the applicant and accepted by the BCO without seeking clarification as to which performance standard was relevant to the system.
- Inappropriate performance standards were sometimes provided by the applicant and accepted by the BCO.
- The technical references to standards were sometimes not considered to be appropriate yet had been accepted by the BCO, E.g., referencing the incorrect origin of the standard.

- The version of the referenced standard was not always provided when it would have been applicable.
- The BCO had not documented consideration for all of the specified systems that were nominated on the Form 2.
- All relevant specified systems were not considered by the BCO when they were applicable to the building.
- The BCO had not documented consideration for the inspection, maintenance and reporting procedures

See GNC 1

The BCA is recommended to ensure appropriate consideration is documented for the acceptance of PS1 designs. One example was observed where the BCO had not documented the reasons for accepting a PS1 for the design of Specific Engineering Design foundations and supporting posts.

See Recommendation R4.

General Non-compliance No. 1: Action Plan Accepted Pick date **Cleared** Pick date

Breach of requirement:	Regulation 7(2)(d)(iv)						
Breach of requirement:	Regulation(s)	<input type="checkbox"/> 5(a)	<input type="checkbox"/> 5(b)	<input checked="" type="checkbox"/> 5(c)	<input checked="" type="checkbox"/> 6(b)	<input checked="" type="checkbox"/> 6(c)	<input checked="" type="checkbox"/> 6(d)
FINDING DETAILS							
<p>The BCA had not always effectively implemented its procedure in relation to the consideration of specified systems during Building Consent processing for the following reasons:</p> <ul style="list-style-type: none"> • In some cases, multiple performance standards were provided by the applicant and accepted by the BCO without seeking clarification as to which performance standard was relevant to the system. • Inappropriate performance standards were sometimes provided by the applicant and accepted by the BCO. • The technical references to standards were sometimes not considered to be appropriate yet had been accepted by the BCO, E.g., referencing the incorrect origin of the standard. • The version of the referenced standard was not always provided when it would have been applicable. • The BCO had not documented consideration for all of the specified systems that were nominated on the Form 2. • All relevant specified systems were not considered by the BCO when they were applicable to the building. • The BCO had not documented consideration for the inspection, maintenance and reporting procedures 							
PLAN OF ACTION <i>(to be completed by BCA)</i>							
PROPOSED EVIDENCE OF IMPLEMENTATION <i>(to be completed by BCA)</i>							
EVIDENCE OF IMPLEMENTATION REVIEW AND ANY DISCUSSIONS							
Date ORG (Initials)							
Date ORG (Initials)							

Date ORG (Initials)	
NON-COMPLIANCE CLEARED	Signed:

Regulation 7(2)(d)(v) Granting and issuing building consents and Compliance with Form 5

The BCA had appropriately documented its procedure for granting and issuing consents, in accordance with Regulation 7(2)(d)(v).

The issued Draft Compliance Schedules were not always considered appropriate for the following reasons:

- In some cases, the performance standard referenced on the draft compliance schedule did not align with those documented and accepted by the processing BCO.
- The version of the referenced standard was not always provided when it would have been applicable.
- All relevant specified systems were not included when they were applicable to the building.

See GNC 2.

The BCA is advised to ensure the names of the individuals who were making the technical decision to grant a Building Consent are included on the processing check sheet to make it clear who the individual was that made the technical decision. It was noted that a signature on its own was not always clear without additional input.

See Advisory Note A1.

General Non-compliance No. 2: Action Plan Accepted Pick date **Cleared** Pick date

Breach of requirement:	Regulation 7(2)(d)(v)						
Breach of requirement:	Regulation(s)	<input type="checkbox"/> 5(a)	<input type="checkbox"/> 5(b)	<input checked="" type="checkbox"/> 5(c)	<input type="checkbox"/> 6(b)	<input type="checkbox"/> 6(c)	<input type="checkbox"/> 6(d)
FINDING DETAILS							
<p>The issued Draft Compliance Schedules were not always considered appropriate for the following reasons:</p> <ul style="list-style-type: none"> • In some cases, the performance standard referenced on the draft compliance schedule did not align with those documented and accepted by the processing BCO. • The version of the referenced standard was not always provided when it would have been applicable. • All relevant specified systems were not included when they were applicable to the building. 							
PLAN OF ACTION <i>(to be completed by BCA)</i>							
PROPOSED EVIDENCE OF IMPLEMENTATION <i>(to be completed by BCA)</i>							
EVIDENCE OF IMPLEMENTATION REVIEW AND ANY DISCUSSIONS							
Date ORG (Initials)							
Date ORG (Initials)							
Date							

ORG (Initials)	
NON-COMPLIANCE CLEARED	Signed:

Regulation 7(2)(d)(v) Lapsing building consents

The BCA had documented its procedure for lapsing of Building Consents, in accordance with Regulation 7(2)(d)(v). However, the BCA had not appropriately defined its procedure for lapsing of Building Consents in relation to making technical decisions to grant extensions to Building Consents for commencement of work. This included the Building Support team being able to grant two 12-month extensions without technical staff input to the decision-making process. This was **raised as part of GNC 2 and was resolved during the assessment** with a revision to the BCA’s documented procedure.

The BCA utilised reports from its system to flag when building consents were due for reminders or lapsing processes. Checks were made by the BCA on build progress with respect to the starting of building work. The BCA appeared to be implementing its process for 12 month lapsing appropriately.

Regulation 7(2)(d)(v) Compliance with statutory timeframes for granting building consents

The BCA’s compliance with the statutory timeframe for granting building consents within 20 working days was seen to be averaging around 95.5%, which was considered to be substantially compliant.

No Multi-use Building Consents had been received or processed within the past 12-month period.

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

The BCA had appropriately documented its procedure for planning, performing, and managing inspections in accordance with Regulation 7(2)(e).

Inspections were adequately planned as part of processing.

Inspection activities witnessed appeared to follow the BCA’s procedures. Inspection records had been maintained appropriately. The BCA were maintaining good records of Minor Variations and labelling photos. These issues were raised as areas of concern in the last IANZ BCA assessment so, it was pleasing to see good implementation of this procedure.

Inspection could generally be carried out within acceptable timeframes, usually within 3 days of booking.

Regulation 7(2)(f)(i) Application for code compliance certificates

The BCA had appropriately documented its procedure for receiving and considering applications for a Code Compliance Certificate in accordance with Regulation 7(2)(f)(i).

Applications were checked for completeness and, if complete, accepted into the BCA’s system for consideration of issue of CCC and the statutory clock started.

Regulation 7(2)(f)(i) Preparing, issuing and refusing to issue code compliance certificates

The BCA had appropriately documented its procedure for the preparation and issuing Code Compliance Certificates in accordance with Regulation 7(2)(f)(i).

CCCs had generally been prepared and issued in an appropriate manner in accordance with the BCAs documented procedures.

The BCA is advised to consider reviewing the description of work prior to issue of the CCC. Amendments were appropriately summarised on Form 7, however, the description of work included information such as details of amendments, address, etc which was not considered necessary.

See Advisory Note A2.

Regulation 7(2)(f)(i) 24-month CCC decisions

The BCA had appropriately documented its procedure for making a 24-month decision on whether to issue or refuse to issue a Code Compliance Certificate where no application for Code Compliance Certificate had been received, in accordance with Regulation 7(2)(f)(i).

The BCA had implemented its processes for CCC 24-month decisions making. However, the BCA had not always ensured that the reasons for granting an extension of time for making a CCC decision were adequately recorded.

See GNC 3.

General Non-compliance No. 3: Action Plan Accepted Pick date Cleared Pick date

Breach of requirement:	Regulation 7(2)(f)(i)						
Breach of requirement:	Regulation(s)	<input type="checkbox"/> 5(a)	<input type="checkbox"/> 5(b)	<input checked="" type="checkbox"/> 5(c)	<input checked="" type="checkbox"/> 6(b)	<input checked="" type="checkbox"/> 6(c)	<input type="checkbox"/> 6(d)
FINDING DETAILS							
The BCA had not always ensured that the reasons for granting an extension of time for making a CCC decision were adequately recorded.							
PLAN OF ACTION <i>(to be completed by BCA)</i>							
PROPOSED EVIDENCE OF IMPLEMENTATION <i>(to be completed by BCA)</i>							
EVIDENCE OF IMPLEMENTATION REVIEW AND ANY DISCUSSIONS							

Date ORG (Initials)	
Date ORG (Initials)	
Date ORG (Initials)	
NON-COMPLIANCE CLEARED	Signed:

Regulation 7(2)(f)(i) Compliance with statutory timeframes for issuing or refusing to issue code compliance certificates

The BCA’s compliance with the statutory timeframe for issuing or refusing Code Compliance Certificates within 20 working days was seen to be averaging around 98%, which was considered to be substantially compliant.

Regulation 7(2)(f)(ii) Compliance schedules

The BCA had appropriately documented its procedure for preparation and issuing of Compliance Schedules in accordance with Regulation 7(2)(f)(ii).

The BCA had provided examples of recently issued Compliance Schedules. Whilst the BCA had made significant improvements since their last assessment there were some issues noted of inappropriate implementation; these were:

- When referencing C/AS2 for passive systems the BCA was not citing the full compliance path i.e., identifying the Part and section that applied. (It was noted that the full compliance path was being noted for other performance standards such as F8/AS1).
- Some specified systems did not include a field for system description (i.e., SS4, SS7 and SS9)
- Performance standards for design were checked against the Draft Compliance Schedule and notes were recorded in the CCC processing checklist when these changed but this check was not being performed for Inspection, Maintenance and Reporting requirements.

See GNC 4.

The BCA is recommended to include its reasons for decision when changing performance standards on Compliance Schedules (e.g. the year of the standard). Changes were recorded in the CCC checklist, but the BCA did not always record the reason why they considered the change was appropriate.
See Recommendation R5.

The BCA is recommended to include a list of appendices for attachments to Compliance Schedules.
See Recommendation R6.

General Non-compliance No. 4: Action Plan Accepted Pick date Cleared Pick date

Breach of requirement:	Regulation 7(2)(f)(ii)						
Breach of requirement:	Regulation(s)	<input type="checkbox"/> 5(a)	<input type="checkbox"/> 5(b)	<input checked="" type="checkbox"/> 5(c)	<input checked="" type="checkbox"/> 6(b)	<input checked="" type="checkbox"/> 6(c)	<input checked="" type="checkbox"/> 6(d)
FINDING DETAILS							

The BCA had not always implemented its procedures for preparation and issuing of Compliance Schedules appropriately as per the following:

- When referencing C/AS2 for passive systems the BCA was not citing the full compliance path i.e., identifying the Part and section that applied. (It was noted that the full compliance path was being noted for other performance standards such as F8/AS1).
- Some specified systems did not include a field for system description (i.e., SS4, SS7 and SS9)
- Performance standards for design were checked against the Draft Compliance Schedule and notes were recorded in the CCC processing checklist when these changed but this check was not being performed for Inspection, Maintenance and Reporting requirements.

PLAN OF ACTION *(to be completed by BCA)*

PROPOSED EVIDENCE OF IMPLEMENTATION *(to be completed by BCA)*

EVIDENCE OF IMPLEMENTATION REVIEW AND ANY DISCUSSIONS

Date ORG (Initials)	
Date ORG (Initials)	
Date ORG (Initials)	

NON-COMPLIANCE CLEARED	Signed:
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Regulation 7(2)(f)(iii) Notices to fix

The BCA had appropriately documented its procedure for issuing Notices to fix in accordance with Regulation 7(2)(f)(iii).

The BCA had provided examples of notices to fix for review and whilst the accompanying CS31 form explaining the breach and non-compliance was excellent, the Notices themselves fell short of explaining the issue.

- One example did not identify the section of the Act or explain why the locks did not comply.
- One example did not explain what the breach was.

These issues **were raised as GNC 5 and were resolved during the assessment** with a new template, documented process and examples of updated NTFs provided.

Regulation 7(2)(g) Receiving and managing inquiries about building control functions

The BCA had appropriately documented its procedure for receiving and managing customer inquiries about building control functions in accordance with Regulation 7(2)(g).

Inquiries were received through various media including face to face, by email, and by phone. Inquiries of a technical nature were forwarded to BCO staff where appropriate. Responses to inquiries were observed to be within prescribed timeframes.

Regulation 7(2)(h) Receiving and managing complaints about building control functions

The BCA had appropriately documented its procedure for receiving and managing customer complaints about building control functions in accordance with Regulation 7(2)(h).

The BCA's complaint records indicated that complaints had been recorded, investigated, and responded to appropriately and in a timely manner.

Regulation 7A Policies and procedures for managing inspections must ensure specified performance requirement is met

Whilst the BCA had a Continuous Improvement in place for Regulation 7A, the BCA did not have a detailed procedure for booking inspections and monitoring timeframes explaining how this system will be implemented. It was also noted that the BCA's current procedures discussed a 5-day wait time. The BCA is recommended to ensure that its documented procedure adequately covers the requirements of Regulation 7A.

See Recommendation R7.

Regulation 8(1) Forecasting workflow

The BCA had appropriately documented its procedure to forecast its workflow in accordance with Regulation 8(1).

The BCA carried out data recording and analysis of workflow hours, building consent numbers by NCAS category, and CCCs processed, together with projections of expected workloads. This information was then compiled into the BCA's Annual Planning Data report and then discussed at the BCA Annual Planning Meeting.

Regulation 8(2) Identifying and addressing capacity and capability needs

The BCA had appropriately documented its procedure to identify and address capacity and capability needs on an ongoing basis, and in accordance with Regulation 8(2).

The BCA had analysed workloads and had actively worked to address any shortfalls in capacity and capability. A small number of poor monthly performance levels relating to the 20-day clock timeframes were noted by the BCA. The reasons were recorded. Action had been taken by the BCA, whereby contractors had been engaged, to achieve a positive effect leading to a now substantially compliant level for Building Consent processing. CCC applications processing was seen to be substantially compliant for the whole 24-month period since the last IANZ BCA assessment.

Whilst the BCA had drafted a procedure for inspections which included consideration of the requirements for Regulation 7A and the timeframe requirements for inspection completion against date requested, the BCA is recommended to add this consideration into its procedure for identifying capacity and capability procedure under Regulation 8(2).

See Recommendation R8.

Regulation 9 Allocating work to competent employees or contractors

The BCA had appropriately documented its procedure to allocate work in accordance with Regulation 9.

The processing, inspection and certification work reviewed was seen to have been appropriately allocated to competent staff or to staff working under appropriate supervision or to competent contractors.

Regulation 10(1) Assessing prospective employees

The BCA had appropriately documented its procedure for establishing the competence of a person who applied to it for employment as an employee performing building control functions in accordance with Regulation 10(1).

Regulation 10(2) Assessing employees performing building control functions

The BCA had appropriately documented its procedure for assessing annually (or more frequently) the competence of its employees performing building control functions in accordance with Regulation 10(2).

All BCA technical staff had been competency assessed, and all assessments were current at the time of this assessment. The BCA's procedure continued to reflect the BCA's intention to retain a one-year period for competency assessments.

Regulation 10(3)(a)-(f) The competency assessment system

The BCA had appropriately documented its procedure which specified the technical requirements for a competence assessment system. All competence assessments were found to be appropriate and to record an appropriate level of detail, as per the National Building Consent Authority Competency Assessment System (NCAS) in accordance with Regulation 10(3).

The BCA had documented a procedure and was performing remote inspections. However, these had not been captured or included in the competency assessment for the person(s) performing these. The BCA is recommended to ensure that Competency Assessments cover remote inspection activity whenever it is appropriate to do so.

See Recommendation R9.

Regulation 11(1) The training system

The BCA had developed a training system in accordance with Regulation 11(1).

Regulation 11(2)(a) Making annual (or more frequent) training needs assessments

The BCA had appropriately documented its procedure for making annual (or more frequent) training needs assessments in accordance with Regulation 11(2)(a).

Training plans had been prepared for all BCA staff. Records of these had been appropriately maintained.

Regulation 11(2)(b) Preparing training plans that specify the training outcomes required

The BCA had appropriately documented its procedure for preparing training plans that specified the training outcomes required in accordance with Regulation 11(2)(b).

Training plans had been prepared for all BCA technical staff. Records of these had been appropriately maintained on BCA Training Plans and in individual training folders.

BCA training plans had been well maintained for each BCA staff member and contained training needs identified and timeframes for training to be undertaken, together with the desired outcomes and how training was to be monitored and reviewed.

Regulation 11(2)(c) Ensuring that employees receive the training agreed for them

The BCA had appropriately documented its procedure for ensuring that employees received the training agreed for them in accordance with Regulation 11(2)(c).

Training achievement against planned arrangements was monitored by the BCA. Any missed training was recorded and rescheduled appropriately.

Regulation 11(2)(d) Monitoring and reviewing employees' application of the training they have received, including by observing relevant activities

The BCA had appropriately documented its procedure for monitoring and reviewing employees' application of the training they had received, including by observing relevant activities, in accordance with Regulation 11(2)(d).

The application of training was monitored and recorded on the BCA's Individual Training Plans. It was noted that the BCA had implemented its procedure for recording of the application of training to a level of good practice.

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

The BCA had documented its procedure to supervise its employees doing a technical job under training in accordance with Regulation 11(2)(e). However, the BCA's documented procedure for the supervision of employees undergoing training indicated that the BCO was to be supervised by way of direct or indirect supervision. It was noted that the procedure did not adequately describe the difference between direct or indirect supervision. This was **raised as GNC 6 and was resolved during the assessment** with a revision to the BCA's documented procedure.

Supervision of employees doing a technical job under training was seen to have been appropriately carried out and recorded as required.

Regulation 11(2)(f) Recording employees' qualifications, experience and training

The BCA had appropriately documented its procedure for recording employees' qualifications, experience, and training in accordance with Regulation 11(2)(f).

Qualifications of BCA staff had been recorded in individual personnel folders and competency assessments. Training records contained details of completed training and relevant known experience was recorded in staff competency assessment records.

Regulation 11(2)(g) Recording continuing training information

The BCA had appropriately documented its procedure for recording continuing training information in accordance with Regulation 11(2)(g).

The BCA had ensured that professional development logs for technical staff had been maintained in individual training folders.

Regulation 12(1) A system for choosing and using contractors to perform its building control functions

The BCA had appropriately documented its procedure for choosing and using contractors to perform its building control functions in accordance with Regulation 12(1).

Regulation 12(2)(a) Establishing contractors' competence

The BCA had appropriately documented its procedure to establish contractors' competence in accordance with Regulation 12(2)(a).

Contractor competency had been established as part of the engagement process. The contract agreements included appropriate details of competency expectations and the requirement for competency assessments for each of the contractor staff engaged on BCA work.

Regulation 12(2)(b) Engaging contractors

The BCA had appropriately documented its procedure for engaging contractors in accordance with Regulation 12(2)(b).

Contract agreements were in place for the contractors utilised by the BCA. The agreements included the scope of work to be undertaken, requirements for adhering to a quality management system, and actions to be taken in the event of unsatisfactory performance, together with the BCA's performance measuring processes.

Regulation 12(2)(c) Making written or electronic arrangements with contractors

The BCA had appropriately documented its procedure for making written or electronic agreements with contractors in accordance with Regulation 12(2)(c).

The BCA had appropriate contract agreements in place for each of its contractors.

Regulation 12(2)(d) Recording contractors' qualifications

The BCA had appropriately documented its procedure for recording contractors' qualifications in accordance with Regulation 12(2)(d).

The BCA's contractors' qualifications had been appropriately recorded.

Regulation 12(2)(e) Monitoring and reviewing contractors' performance

The BCA had appropriately documented its procedure for monitoring and reviewing contractors' performance in accordance with Regulation 12(2)(e).

The BCA had monitored the performance of its contractors, with records of the contractor performance monitoring activity being appropriately maintained. The BCA had implemented their contractor performance monitoring to a level of good practice.

The BCA is advised to consider revising its Contractor Performance Evaluation records so that if a line item such as breaches of confidentiality were not occurring, the record entry indicates 'none' rather than 'not applicable'.

See Advisory Note A3.

Regulation 12(2)(f) Annually (or more frequently) assessing contractors' competence

The BCA had appropriately documented its procedure for annually (or more frequently) assessing contractors' competence in accordance with Regulation 12(2)(f).

The BCA had maintained records of contractor staff competency assessments which were seen to be current.

Regulation 13(a) Identifying employees and contractors who are competent to provide technical leadership

The BCA had appropriately documented its procedure for identifying employees and contractors who were competent to provide technical leadership in accordance with Regulation 13(a).

Identification and appointment of technical leaders was as per the BCA's procedure and was seen to be appropriate.

Regulation 13(b) Giving the employees and contractors the powers and authorities to enable them to provide the leadership

The BCA had appropriately documented its procedure for giving its employees and contractors powers and authorities to enable them to provide technical leadership in accordance with Regulation 13(b).

Records of establishment of Technical Leaders and the powers and authorities granted to Technical Leaders had been maintained in the QLDC BCA skills matrix.

The BCA had provided a list of Technical Leaders on the skills matrix however their power appeared to be limited to Code clauses and it did not appear to include decisions on legislative matters, policies and procedures, etc. The BCA is recommended to revise its skills matrix to better clarify the roles and responsibilities of Technical Leaders.

See Recommendation R10.

Regulation 14 Ensuring necessary (technical) resources

The BCA had appropriately documented its procedure for ensuring it had a system for providing, and for ensuring the continuing availability of and continuing appropriateness of the technical information, facilities, and equipment that its employees and contractors needed to perform building control functions.

BCA staff had electronic access to standards and other reference material. Calibration of measuring equipment had been carried out as scheduled and appropriate records maintained.

The BCA is advised to consider revising its procedure in relation to the temperature range over which thermometer calibrations are carried out from 40 to 60 degrees C to 40 to 50 degrees C.

See Advisory Note A4.

Regulation 15(1)(a) A building consent authority must record its organisational structure

The BCA had appropriately documented its organisational structure in accordance with Regulation 15(1)(a).

Regulation 15(1)(b) A building consent authority must record in the structure its reporting lines and relationships with external parties

The BCA had appropriately documented its organisational structure, including reporting lines and accountabilities, and the authority's relationships with external organisations in accordance with Regulation 15(1)(b).

Regulation 15(2) A building consent authority must record roles, responsibilities, powers, authorities and any limitation on powers and authorities

The BCA had appropriately documented the roles, responsibilities, powers, authorities and any limitation on powers and authorities for its employees and contractors performing building control functions in its organisational structure in accordance with Regulation 15(2).

Position descriptions were appropriate, with objectives of each role, required competencies and tasks that each role was responsible for being well defined.

Descriptions of building control functions and delegated powers to perform all required building control functions had been appropriately recorded within the BCA's Delegations Register.

Regulation 16(1) A system for giving every application for a building consent its own uniquely identified file

The BCA had appropriately documented its procedure for allocating every application for building consent and building consent amendment its own unique identification in accordance with Regulation 16(1).

Regulation 16(2)(a) System for ensuring that all information relevant to an application for a building consent is put on the application's file

The BCA had appropriately documented its procedure for ensuring that all information relevant to a building consent application was included in the application's file in accordance with Regulation 16(2)(a).

Contact details for names and addresses of third parties performing building control functions on the BCA's behalf were held in contract agreement documents. BCA file information was readily available and clearly identified to each building consent file.

Whilst complaint records were retained within a complaints register, the BCA had not made reference or summarised complaint information on the related Building Consent file. This was **raised as GNC 7 and was resolved during the assessment** with a revision to its Complaints Register and references inserted into Building Consent file notes.

Regulation 16(2)(b) System for ensuring that all information relevant to an application for a building consent is kept in a way that makes it readily accessible and retrievable

The BCA had appropriately documented its procedure for ensuring that all information relevant to an application for a building consent was kept in a way that made it readily accessible and retrievable, in accordance with Regulation 16(2)(b).

BCA information relevant to building consent applications were easily accessible and all building consent files reviewed contained clearly identified records.

The BCA utilised computer systems such as TechOne, and Datacom to store building consent and application data.

Regulation 16(2)(c) System for ensuring that all information relevant to an application for a building consent is stored securely

The BCA had appropriately documented its procedure for ensuring that all information relevant to an application for a building consent was stored securely in accordance with Regulation 16(2)(c).

The BCA had arrangements with its Information Technology provider who maintained systems and conducted back-up checks on their data storage and computer systems. A full backup was being taken weekly and stored in multiple locations across four physically isolated data centres. Passwords were used for file security and access. Multi-factor authentication (MFA) was being utilised where required.

The BCA is advised to consider conducting a disaster recovery exercise, whereby specific data files for a number of Building Consents are targeted to demonstrate disaster recovery processes are working in a real-world scenario.

See Advisory Note A5.

Regulation 17(1) A quality assurance system that covers management and operations and covers the policies, procedures and systems described in Regulations 5 to 16 and 18

The BCA had developed a quality assurance system that covered its management and operations. The quality assurance system covered the policies, procedures, and systems described in regulations 5 to 16 and 18. Where omissions were identified, they have been addressed under their relevant Regulation in this report.

Regulation 17(2)(b) The policy on quality

The BCA had appropriately documented its quality policy, which included quality objectives, and quality performance indicators for its building control functions at a high level, in accordance with Regulation 17(2)(b).

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

The BCA had appropriately documented its procedure for reviewing its management system annually (or more frequently) against the expected standards for performance and high-level performance indicators from its quality policy in accordance with Regulation 17(2)(d).

The BCA carried out regular monthly reporting and reviews together with BCA Management Meetings, and BCA Technical Meetings.

Regulation 17(2)(e) Supporting continuous improvement

The BCA had appropriately documented its procedure for supporting continuous improvement in accordance with Regulation 17(2)(e).

The BCA had maintained detailed records regarding identifying and managing continuous improvement. These were actively monitored during BCA meetings.

The BCA's CI Register was seen to be very well maintained. Track history records by way of status notes were likewise well maintained. Good practice was noted for the BCA's implementation of its continuous improvement system.

Regulation 17(2)(h) Undertaking annual audits

The BCA had appropriately documented its procedure for ensuring that an internal audit of every building control function occurred annually (or more frequently) in accordance with Regulation 17(2)(h).

The BCA had carried out internal audits for both system and technical procedures. These had been conducted as scheduled, with records maintained in the form of audit reports. Follow up on issues raised during audits was via the BCA's continuous improvement system.

The BCA is recommended to ensure that examples of evidence reviewed during internal audits are always recorded. One example of an internal audit report for Regulation 12 was noted, where the report did not record the examples reviewed during the internal audit.

See Recommendation R11.

The BCA is advised to consider including more complete references within internal audit reports, particularly when the report needs to refer to attached or related individual spreadsheets used to record internal audit examples reviewed during the internal audit.

See Advisory Note A6.

Regulation 17(2)(i) Managing conflicts of interest

The BCA had appropriately documented its procedure in its quality assurance system for identifying and managing conflicts of interest (COI) in accordance with 17(2)(i).

The BCA had maintained a register of conflicts of interest which gave the detail of the conflict, persons involved, and the management method stated to be used to manage the COI. Appropriate records and management of COI's appeared to be in place.

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

The BCA had appropriately documented its procedure in its quality assurance system for communicating with internal and external persons, in accordance with 17(2)(j).

The BCA employed various communication methods, including face-to-face, phone, emails, staff and management meetings, together with quarterly newsletters, which were reviewed and approved by senior management prior to release.

Regulation 17(3) A quality assurance manager

The BCA had appointed a Quality Assurance Manager, named as Sina Schreiber in its quality assurance system in accordance with Regulation 17(3).

Regulation 17(3A) Concerns and complaints about building practitioners

The BCA had appropriately documented its procedure to ensure that the BCA considered concerns raised about practitioners and decided whether to make, and made complaints, to relevant occupational or professional authorities about practitioners who were practitioners of or within an occupation or profession in accordance with Regulation 17(3A)(a).

The BCA had a register of concerns and complaints about building practitioners. No complaints about building practitioners had been raised in the past 24-month period, however concerns had been recorded by the BCA when deemed to be appropriate. Records of concerns had been well maintained.

Regulation 17(4)(a) A system for ensuring that its employees comply with the authority's quality assurance system

The BCA had appropriately documented its procedure for ensuring that its employees complied with the authority's quality assurance system in accordance with Regulation 17(4)(a).

Communication of the BCA's quality system was via a number of methods, such as via BCA team meetings, continuous improvement, internal audit and training mechanisms. Appropriate records had been maintained.

Staff induction processes in place for new staff had been implemented and recorded appropriately.

Regulation 17(4)(b) A system for ensuring that its contractors comply with a nominated quality assurance system

The BCA had appropriately documented its procedure for ensuring that its contractors complied with either, the authority's quality assurance system, or the contractor's quality assurance system in accordance with Regulation 17(4)(b).

The BCA had appropriately defined within contract agreements which quality assurance system their contractors were to comply with, namely the BCA's system.

Regulation 17(5)(a) Strategic management reporting and review

The BCA had appropriately documented its system for annually (or more frequently) reviewing its quality assurance system in accordance with Regulation 17(5)(a).

Strategic management review meetings were carried out as scheduled and covered all requirements appropriately. Minutes had been well maintained and covered the appropriateness and effectiveness of each requirement.

Regulation 17(5)(b) Making appropriate changes in the quality assurance system

The BCA had appropriately documented its system for annually (or more frequently) making appropriate changes in the quality assurance system in accordance with Regulation 17(5)(b).

Changes to the BCA's Quality System were managed via the BCA continuous improvement system and were discussed at strategic management meetings.

Regulation 18(1) Technical qualifications

The BCA had appropriately documented its system for ensuring that each employee and contractor who performed the authority's building control functions by doing a technical job held an appropriate technical qualification or was working towards one (unless exempted from the requirements).

The BCA had not always ensured that staff making technical decisions during CCC processing held or were working towards an appropriate technical qualification as required by Regulation 18. This was **raised as GNC 8 and was resolved during the** assessment with a revision to the BCA's skills matrix and documented procedure indicating a change of staff to be utilised for CCC processing.

BCA staff qualifications were recorded on staff competency assessment records and the BCA's Technical Qualifications Register.

Regulation 18(3) Technical qualifications

The BCA had appropriately documented its procedure for establishing circumstances of employees and contractors that would make it unreasonable and impractical to require technical qualifications in accordance with Regulation 18(3)(a) and (b).

All BCA technical staff were either working towards or held an appropriate qualification and therefore no BCA staff required exemption from holding an appropriate qualification.

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 Regulation 7(2)(a)** – The BCA is recommended to add consumer information in relation to the new regulation 7A requirements for planning, performing and managing inspections within the required timeframe.
- R2 Regulation 7(2)(a)** – The BCA’s consumer information relating to failing an inspection, indicated that a Notice to Fix maybe issued if warranted. However, the information did not provide the consumer with the definition of what a Notice to Fix was. The BCA is recommended to include a definition of a Notice to Fix and under what legislation it may be issued.
- R3 Regulation 7(2)(c)** – The BCA is recommended to ensure that all building consent applications are made on the latest version of the Form 2.
- R4 Regulation 7(2)(d)(iv)** - The BCA is recommended to ensure appropriate consideration is documented for the acceptance of PS1 designs.
- R5 Regulation 7(2)(f)(ii)** - The BCA is recommended to include its reasons for decision when changing performance standards on Compliance Schedules (e.g. the year of the standard).
- R6 Regulation 7(2)(f)(ii)** - The BCA is recommended to include a list of appendices for attachments to Compliance Schedules.
- R7 Regulation 7A** - Whilst the BCA had a Continuous Improvement in place for Regulation 7A, the BCA did not have a detailed procedure for booking inspections and monitoring timeframes explaining how this system will be implemented. It was also noted that the BCA procedures discussed a 5-day wait time. The BCA is recommended to ensure that its documented procedure adequately covers the requirements of Regulation 7A.
- R8 Regulation 8(2)** - Whilst the BCA had drafted a procedure for inspections which included consideration of the requirements for Regulation 7A and the timeframe requirements for inspection completion against date requested, the BCA is recommended to add this consideration into its procedure for identifying capacity and capability procedure under Regulation 8(2).
- R9 Regulation 10(3)** - The BCA had documented a procedure and was performing remote inspections. However, these had not been captured or included in the competency assessment for the person(s) performing these. The BCA is recommended to ensure that Competency Assessments cover remote inspection activity whenever it is appropriate to do so.
- R10 Regulation 13(b)** - The BCA had provided a list of Technical Leaders on the skills matrix however their power appeared to be limited to Code clauses, and it did not appear to include decisions on legislative matters, policies and procedures, etc. The BCA is recommended to revise its skills matrix to better clarify the roles and responsibilities of its Technical Leaders.
- R11 Regulation 17(2)(h)** - The BCA is recommended to ensure that examples of evidence reviewed during internal audits are always recorded.

SUMMARY OF ADVISORY NOTES

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

IANZ advises that:

- A1 Regulation 7(2)(d)(v)** - The BCA is advised to ensure the names of the individuals who are making the technical decision to grant a Building Consent are included on the processing check sheet to make it clear who the individual was that made the technical decision. It was noted that a signature on its own was not always clear without additional input.
- A2 Regulation 7(2)(f)(i)** - The BCA is advised to consider reviewing the description of work that is to be included on the issued CCC to ensure that it is clear and not overly descriptive.
- A3 Regulation 12(2)(e)** - The BCA is advised to consider revising its Contractor Performance Evaluation records so that if a line item such as breaches of confidentiality were not occurring, the record entry indicates 'none' rather than 'not applicable'.
- A4 Regulation 14** - The BCA is advised to consider revising its procedure in relation to the temperature range over which thermometer calibrations are carried out from 40 to 60 degrees C to 40 to 50 degrees C.
- A5 Regulation 16(2)(c)** - The BCA is advised to consider conducting a disaster recovery exercise, whereby specific data files for a number of Building Consents are targeted to demonstrate disaster recovery processes are working in a real-world scenario.
- A6 Regulation 17(2)(h)** - The BCA is advised to consider including more complete references within internal audit reports, particularly when the report needs to refer to attached or related individual spreadsheets used to record internal audit examples reviewed during the internal audit.

SUMMARY TABLE OF NON-COMPLIANCES

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 number (e.g. GNC 1)	Breach of Regulation 5/6? Enter “Y” where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number(s) of		Brief comment (where applicable)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recommendations	Advisory Notes	
Regulation 6A														
6(A)(1)	NC Type													
6(A)(2)	NC Type													
Regulation 7														
7(1)	NC Type													
7(2)(a)	NC Type											R1, R2		
7(2)(b)	NC Type													
7(2)(c)	NC Type											R3		
7(2)(d)(i)	NC Type													
7(2)(d)(ii)	NC Type													
7(2)(d)(iii)	NC Type													
7(2)(d)(iv)	General	GNC 1			Y	Y	Y	Y	No	27/02/2026		R4		
7(2)(d)(v)	General	GNC 2			Y				No	27/02/2026			A1	
7(2)(e)	NC Type													
7(2)(f)(i)	General	GNC 3			Y	Y	Y		No	27/02/2026			A2	
7(2)(f)(ii)	General	GNC 4			Y	Y	Y	Y	No	27/02/2026		R5, R6		
7(2)(f)(iii)	General	GNC 5	Y	Y	Y				Yes		10/10/2025			
7(2)(g)	NC Type													
7(2)(h)	NC Type													
Regulation 7A														
7A	NC Type											R7		
Regulation 8														
8(1)	NC Type													
8(2)	NC Type											R8		
Regulation 9														
9	NC Type													
Regulation 10														
10(1)	NC Type													
10(2)	NC Type													
10(3)	NC Type											R9		
Regulation 11														
11(1)	NC Type													
11(2)(a)	NC Type													
11(2)(b)	NC Type													
11(2)(c)	NC Type													
11(2)(d)	NC Type													
11(2)(e)	General	GNC 6	Y	Y					Yes		10/10/2025			
11(2)(f)	NC Type													
11(2)(g)	NC Type													

Regulatory requirement	Non-compliance (Serious / General)	Non-compliance number (e.g. GNC 1)	Breach of Regulation 5/6? Enter "Y" where applicable						Resolved On-site? Yes/No	Date Non-compliance to be cleared by (DD/MM/YYYY)	Date Non-compliance cleared (DD/MM/YYYY)	Number(s) of		Brief comment (where applicable)
			5(a)	5(b)	5(c)	6(b)	6(c)	6(d)				Recommendations	Advisory Notes	
Regulation 12														
12(1)	NC Type													
12(2)(a)	NC Type													
12(2)(b)	NC Type													
12(2)(c)	NC Type													
12(2)(d)	NC Type													
12(2)(e)	NC Type											A3		
12(2)(f)	NC Type													
Regulation 13														
13(a)	NC Type													
13(b)	NC Type										R10			
Regulation 14														
14	NC Type											A4		
Regulation 15														
15(1)(a)	NC Type													
15(1)(b)	NC Type													
15(2)	NC Type													
Regulation 16														
16(1)	NC Type													
16(2)(a)	General	GNC 7			Y			Yes		10/10/2025				
16(2)(b)	NC Type													
16(2)(c)	NC Type											A5		
Regulation 17														
17(1)	NC Type													
17(2)(a)	NC Type													
17(2)(b)	NC Type													
17(2)(c)	NC Type													
17(2)(d)	NC Type													
17(2)(e)	NC Type													
17(2)(h)	NC Type										R11	A6		
17(2)(i)	NC Type													
17(2)(j)	NC Type													
17(3)	NC Type													
17(3A)	NC Type													
17(4)(a)	NC Type													
17(4)(b)	NC Type													
17(5)(a)	NC Type													
17(5)(b)	NC Type													
Regulation 18														
18(1)	General	GNC 8	Y	Y				Yes		10/10/2025				
18(3)	NC Type													