



## Purpose

The purpose of this document is to describe the processes required when issuing a code compliance certificate (CCC).

## Scope

This document is to be used after the pre-CCC findings process has been completed and after the final site inspection has passed. The CCC is the final step of a building consent.

## References

Building Act 2004, sections 91-95

Building (Forms) Regulations 2004 – Form13 – Notice to Fix

Building (Forms) Regulations 2004 – Form 11 – Application for amendment to compliance schedule

Building (Specified Systems, Change of Use, and Earthquake-prone Buildings) Regulations 2005 – Schedule 1 – Specified Systems

BLD-26.2-PROC, Compliance schedule

BLD-28.2-PROC, Inspections

BLD-31.0-POL, Code compliance certificate

BLD-31.1-FLOW, Code compliance certificate

BLD-5.1-FLOW, Managing solid fuel appliance applications

CENV 4071, Application for amendment to compliance schedule

PRNT 0077, Site instruction to property owner

TFRD 1021, Street damage deposit refund request

Waiver or modification application forms:

BLD-22.3-FORM, Request for waiver or modification relating to B2 Durability on a determination

BLD-22.4-FORM, Request for waiver or modification relating to clauses of the building code

BLD-22.5-FORM, Request for waiver or modification relating to B2 Durability on a code compliance certificate

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| Issued by   |             |  |             |             |
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### Roles and responsibilities

**Building control manager:** Ensures that building officials have the appropriate competence necessary to undertake the processing of CCCs.

**Quality manager:** Audits the policies and procedures associated with processing CCCs.

**Team leader:** Ensures that the documentation is correct before issuing the CCC.

**Building official:** Undertakes the processing of CCCs.

**Compliance schedule officer:** Undertakes the processing of compliance schedules related to the building consent.

**Administration:** Undertakes the administrative tasks relevant when processing a CCC.

### Procedure

| Step | Description  | Responsibility                           |
|------|--|--|
| 1    | <p><b>Final inspection undertaken</b><br/> Refer to BLD-28.2-PROC.<br/> If the inspection is passed, go to step 2.<br/> If the inspection has failed, then go to step 3.</p>   | <b>Building official</b>                 |
| 2    | <p><b>Update WorkSmart</b><br/> WorkSmart is updated. If the final inspection has passed satisfactorily, go to step 5.</p>   | <b>Administration</b>                    |
| 3    | <p><b>Issue site instruction notice or notice to fix</b><br/> When the final inspection has failed, it is necessary to either issue a site instruction notice or a notice to fix. The decision as to which notice is issued depends on why the inspection failed.<br/> If the inspection shows unconsented building work or major variations to the approved BC, then a notice to fix is issued. This is a Word template document generated in WorkSmart. The number is generated from the notice to fix register located on G:\.<br/> If the inspection failed because certain items are of a minor nature, then a site instruction notice is issued, ie. PRNT 0077.<br/> Examples of a minor nature include</p> <ul style="list-style-type: none"> <li>• Painting not completed – internal or external</li> <li>• Minor flashings</li> <li>• Penetrations not sealed properly</li> <li>• Smoke alarms not installed</li> <li>• Internal variations to the building consent drawings</li> <li>• Wet area sealants missing</li> <li>• Seismic restraint not installed</li> <li>• Subfloor fixings missing</li> <li>• Haunching of gulleys not completed</li> <li>• Handrails not secured properly</li> <li>• Downpipe clips not secured properly.</li> </ul> | <b>Building official and Team leader</b> |



| <b>Step#</b> | <b>Description</b>  | <b>Responsibility</b>              |
|--------------|---|------------------------------------|
| <b>4</b>     | <b>Refer client to address issues and rebook inspection</b><br>If a site instruction notice or a notice to fix has been issued, then the applicant is advised to address the identified issues in the notice within the notified timeframe, and then rebook for the final inspection.   | <b>Building official</b>           |
| <b>5</b>     | <b>Ensure all documents received</b><br>Check that all the relevant documents have been received and are completed.<br>If all the documents are not submitted, the applicant is notified in writing. The CCC process is placed on-hold until the requested documentation is presented.  | <b>Administration</b>              |
| <b>6</b>     | <b>Check conditions have been satisfied</b><br>Some BCs have conditions imposed on them, so it is important to confirm that the pre-CCC findings check identifies these and are completed satisfactorily. If not, the applicant is notified in writing. The CCC process is placed on-hold until the conditions have been met and the inspection has passed.   | <b>Administration</b>              |
| <b>7</b>     | <b>Check if a compliance schedule required</b><br>If it is a commercial BC, then a Compliance schedule is required or an existing one is amended due to the installation or alteration to one or more system features (or specified system as defined in the Building Act 1991) as listed in Building (Specified Systems, Change of Use, and Earthquake-prone Buildings) Regulations 2005 – Schedule 1 – Specified Systems. If required use form CENV 4071, Application for amendment to compliance schedule.<br>If a Compliance schedule is required, then go to step 8. If a Compliance schedule is not required, then the CCC process continues and a check to see if there any outstanding fees.<br>If there are outstanding fees, an invoice is raised for the outstanding amount and sent to the applicant. WorkSmart is updated. When payment is received, the CCC is released and WorkSmart is updated. If there are no outstanding fees, go to step 9. | <b>Administration</b>              |
| <b>8</b>     | <b>Compliance schedule is processed</b><br>If a compliance schedule is required or is amended, refer to BLD-26.2-PROC, Compliance schedule.   | <b>Compliance schedule officer</b> |
| <b>9</b>     | <b>Prepare CCC</b><br>A CCC is prepared once all the required checks and conditions are met and any outstanding fees have been paid.  | <b>Administration</b>              |
| <b>10</b>    | <b>CCC Signed</b><br>The CCC is checked and then signed by the building control manager before issuing.   | <b>Team leader</b>                 |



| <b>Step#</b> | <b>Description</b>   | <b>Responsibility</b> |
|--------------|--|-----------------------|
| <b>11</b>    | <p><b>Issue CCC and update WorkSmart</b></p> <p>The CCC is issued and WorkSmart is updated.</p> <p>Traffic and roading inspects the state of the footpath at the site of the building consent work. If there is any damage to the footpath and repairs are necessary, then the applicant is notified and given a specified timeframe to make the necessary repairs. Failure to do this results in Traffic and roading contracting out the repair work. Payment for this work is deducted from the street damage deposit.</p> <p>If there is no damage WorkSmart is updated, then the street damage deposit is refunded to the person who made the payment at lodgement. Refer to TFRD 1021, Street damage deposit refund request. Any documents that are not already scanned into EDMS, are forwarded to the scanning team. This completes the BC process.</p> | <b>Administration</b> |