



Purpose

The purpose of this document is to describe the steps a customer needs to follow when lodging a building consent application in the Auckland City, Great Barrier Island or Waiheke Island offices. The building consent (BC) application form is combined with the project information memorandum (PIM) application form. This document also describes those additional activities associated with processing an application for works to ‘reclad’ a building.

Note: all building work requires both a PIM and a BC.

Scope

This document describes what happens to a building consent application when it is lodged at one of the three office locations.

References

- Building Act 2004 sections 40 – 52, and Schedule 1
- BLD-4.0-TRAIN, Applying for a building consent
- BLD-4.0-POL, Applying for a building consent
- BLD-4.5-FORM, Planning check team – processing sheet
- BLD-4.7-FORM, Building consent - processing sheet
- BLD-4.10-FORM, PIM checklist
- BLD-4.11-FORM, PIM processing sheet
- BLD-4.12-FORM, Cancelling a building consent request
- BLD-9.2-PROC, Project information memorandum
- BLD-18.2-PROC, Consent processing
- CENV4078, Residential application for project information memorandum and/or building consent (Section 33 or section 45, Building Act 2004)
- CENV4079, Commercial application for project information memorandum and/or building consent (Section 33 or section 45, Building Act 2004)

Roles and responsibilities

The roles and responsibilities of the each of the people involved in the process are listed as follows.

Building control manager: Ensures that building officials have the appropriate competence to undertake the processing of building consents and that the documented processes and procedures are being followed.

Quality manager: Audits policies and procedures to ensure that the quality of the documentation and the information provided with the application is in accordance with the requirements of the BA2004

Building official: Assesses the building consent application for completeness and ensures the quality of the submitted documents.

Cashier: Receives payments and issues receipts as required.

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Administration: Undertakes the input of data into the computer systems used for tracking the building consent.

Scan team: Undertakes the scanning of the documents associated with the building consent into the data storage computer system EDMS.

Streamer: Inputs the relevant details into the computer system so that transaction and lodgement details are recorded.

Abbreviations and acronyms

BC	Building consent
BLD	Prefix for a building consent tracking number.
NAR	Name and address register
PATS	Professional and technical Services
PIM	Project information memorandum
TARS	Transport and roading services
W/B	Workbench
W/S	WorkSmart



Procedure

1. Building consent and PIM process: including reclad focus

The procedure for applying for a building consent is as follows. Also refer to BLD-4.0-TRAIN

Step #	Description	Responsibility
1.	<p>Application received</p> <p>The streamer receives a building consent application.</p> <p>The application is either.</p> <p>CENV4078 for residential applications</p> <p>CENV4079 for commercial applications</p> <p>The customer has the options of booking an appointment with a lodgement officer through the call centre, visiting the service centre and seeing a lodgement officer or lodging the application by mail.</p> <p>Note: If the customer contacts the call centre. The call centre service representative:</p> <ol style="list-style-type: none"> 1. Determines if the requested lodgement is for a commercial or residential application. 2. Logs an appointment for the customer into the processor schedulers. <p>Note: There are 10 processor schedule identities that may be allocated to a specific processing officer in the morning by the lodgement coordinator</p>	Customer
2.	<p>Enter customer information into PLA</p> <ol style="list-style-type: none"> 1. Confirm with customer the type of query ie. want to lodge a building consent. 2. Enter application details into PLA. 	Streamer
3.	<p>Create photocopy of front page and forward</p> <ol style="list-style-type: none"> 1. Review application and ensure all application completed. If not advise customer to complete. 2. Photocopy the first five pages of the application. 3. Forward photocopies to lodgement support. 4. Original back to customer. 5. Set customer expectation for how long wait before talking to a lodgement officer. 	Streamer
4.	<p>Create building consent in WB/WS</p> <ol style="list-style-type: none"> 1. Enter building consent. 2. Create W/S number/status 'pending'. 3. Enter application details into W/S. 4. Enter applicant details into NAR if new. 5. Update NAR details in W/S for existing customer. 6. Save W/S record. 7. Write the W/S record number on the application form and the lodgement date. 	Administration



Step #	Description	Responsibility
5.	<p>Enter 'mailed in' application into PLA</p> <ol style="list-style-type: none"> 1. Receive mailed in application. 2. Enter customer details into PLA and forward to lodgement. <p>Note: If the customer has booked through the call centre. The schedules are allocated to a specific lodgement officer. The appointment is entered into PLA in the assigned officer's name.</p>	Streamer
6.	<p>Collect customer and application/attach PIM and building consent checklists</p> <ol style="list-style-type: none"> 1. Collect customer and application. 2. Attach PIM BLD-4.10-FORM and building consent checklists. Refer to BLD-9.2-PROC. 3. Forward a copy of the application to administrative support who will enter the application into PLA if this hasn't already been done. 	Lodgement officer
7.	<p>Complete lodgement checklist/ search W/S for a related claim</p> <p>The application is now assessed for completeness</p> <ol style="list-style-type: none"> 1. Interview customer and work through checklist. 2. Ask customer if the work related to a claim through the WHRS. 3. Search WS under site address for claim 'CLM' and detail on application and processing sheet. 4. Identify requirement for drainage check. 5. Identify if the application may be treated as a 'fast track consent.' 6. If 'fast track' add BLD-4.11-FORM and BLD-4.7-FORM. Indicate on the sheet whether a drainage inspection is required. <p>Note: Confirm the lodgement checklist includes this activity. Go to step 10. For reclad issues, go to steps 8 and 9.</p>	Lodgement officer
8.	<p>Notify PATS administration officer of reclad lodgement</p> <ol style="list-style-type: none"> 1. Forward email to PATS with BLD consent number, site address and any know claim number. 	Lodgement officer
9.	<p>Receive notification/enter into reclad database/review against any related claim</p> <ol style="list-style-type: none"> 1. Receive email from lodgement officer. 2. Enter into reclad database. 3. Liaise with 'Claims' as required. 	PATS administration
10.	<p>Calculate fees and W/B input questions</p> <ol style="list-style-type: none"> 1. Use fee wizard to determine fixed cost consent or deposit required 2. Work though the questions and enter responses as indicated. 3. Identify if 'fast track'. If so, mark clearly on BLD-4.7-FORM. 	Lodgement officer
11.	<p>Allocation decision</p> <ol style="list-style-type: none"> 1. Identify which technical areas are required to review the application based on consent type and attributes. 2. Record on BLD-4.7-FORM. 	Lodgement officer



Step #	Description	Responsibility
<p>12.</p>	<p>Update PLA</p> <p>If rejected:</p> <ol style="list-style-type: none"> 1. Assess W/S application. 2. Add W/S PRW event and add the details of the person who rejected the application if applicable. <p>Note: Rejections make up to 29% of all applications.</p> <p>If accepted:</p> <ol style="list-style-type: none"> 1. Enter any additional names, search, confirm details in W/S select/modify. 2. Change status to 'closed further information required'. <p>Note: If the customer does not attend for a booked appointment lodgement officer needs to cancel W/S record and PLA entry.</p>	<p>Lodgement officer</p>
<p>13.</p>	<p>Create Workpacket in Workbench /update W/S</p> <ol style="list-style-type: none"> 1. Create Workpacket in Workbench when accepted. 2. Attach planning checklist. BLD-4.5-FORM 3. Add any additional information from the application into W/S. This typically includes the value of the development/ total floor area etc. 4. Add W/S PRO event 5. Update W/S extra information screens. 6. Match PLA and W/S numbers. 7. Request customer to take application form and related documents to the cashier for payment. 	<p>Administration</p>
<p>14.</p>	<p>Receive payment</p> <ol style="list-style-type: none"> 1. The cashier receives applicant. 2. If the building consent application is a residential project, the fees calculated will be the fixed fees for that type of project. The fees will include the inspections and code compliance certificate charges. 3. If the project is a commercial one, then the fees payable on lodgement could be a deposit or full fees. This is dependent upon the value of the building work proposed. Over \$500,000 value of work, the fee is a deposit only. Below \$500,000, a fixed fee will be applicable. 4. Advise customer there may be other additional fees when the application is uplifted in the event other significant levels of service are required[in the case of fixed fees] or in the case of deposits to make up the balance of the processing charges. 	<p>Cashier</p>
<p>15.</p>	<p>PIM lodged in Worksmart</p> <ol style="list-style-type: none"> 1. The building consent details are copied into W/S to create the PIM record with its own unique identifier. This is linked to the building consent record. 	<p>Cashier</p>



Step #	Description	Responsibility
16.	<p>Prepare documentation for scanning and separate for building and planning processing</p> <ol style="list-style-type: none"> 1. Determine if CBD or Isthmus 2. Uplift application 3. Separate for scanning 4. Create scanning header sheets 5. Create bag label 6. Separate PIM copy and building consent plans. 7. Place consent in zip bag and affix bag consent number label. <p>Note: Fast track go in plastic bag with 'fast track' label If CBD</p> <ol style="list-style-type: none"> 8. One copy of application and plans with copy of the planning checklist placed in CBD plan check basket for forwarding to City Planning. Other PIM checklist highlighted to show CBD plan check required. 9. Building consent portion of file forwarded to drainage if required if not straight onto building processing co-ordinator for assignment. 	Administration
17.	<p>Scan documents</p> <ol style="list-style-type: none"> 1. Confirm all batch properly prepared for scanning ie. all relevant header sheets attached. 2. Scan documents. 3. Reassemble file and place in out-tray for uplift. 	Scanning officer
18.	<p>Collect/Allocate to building initiation and update W/S</p> <ol style="list-style-type: none"> 1. Print out GIS plans. 2. Review cover sheet if the consent has been identified as meeting the Fast Track criteria Refer to BLD-18.2-PROC. 3. Review coversheet to determine if a drainage engineering review is required. If so: <ul style="list-style-type: none"> • Assign the consent to drainage engineering workbasket in W/B. • Add an event to W/S detailing the consent has been allocated to drainage engineering. <p>If drainage check is not required:</p> <ul style="list-style-type: none"> • Assign the consent to building planning workbasket in W/B. • Add an event to W/S detailing the consent has been allocated to building planning. <ol style="list-style-type: none"> 4. Create task 'building consent plan check' and make 'active'. 5. Allocate in W/B to planning 6. Update register in 'G:\drive 7. Place in trolley. 8. The building consent files are placed in the building planning in-tray. 'Fast track' consents go in fastrack bin/'mainstream' into shelves. 	
19.	<p>Cancelling a BC request</p> <p>To cancel a BC request complete BLD-4.12-FORM.</p>	



Variations – location based

Waiheke Island applications

- PLA and the fee wizard are not used.
- Good neighbour notifications are not sent for properties in the Hauraki Gulf Islands (HGI).
- Documents are prepared for scanning on Waiheke and sent by courier to Graham St. They are scanned at Graham St, then either destroyed or sent back to Waiheke. This process takes two days.
- Fireplace applications are processed by the building support officer (BSO) instead of customer services officer.
- Building consents for other Hauraki Gulf islands (excluding Great Barrier) are also processed at Waiheke.

Lodging a BC and PIM

- The building processing officer usually has a pre-lodgement interview with the applicant and checks the application for completeness. The BSO will then provide PIM input via a paper checklist.
- The building support officer then
 - Lodges the building consent and PIM in WorkSmart, and the building consent only in Workbench.
 - Sends a letter of acknowledgement to the applicant (from a G:\drive template) (not done at Graham St).
 - Generates an invoice and takes payment to the cashier for receipting
 - Sends the PIM documentation to the planners for BC and PIM plan checking. The planners will then send the documentation to the Transport and roading services (TARS) officer for BC and PIM input.
 - Once the PIM has returned from TARS, generate the PIM (from the G:\ drive template) and post to the applicant
 - Enter the building consent in the Waiheke BC In Progress spreadsheet, which is updated (along with WorkSmart and Workbench) every time the consent is sent for input or put on hold.
 - Gives the building consent documentation to the building processing officer.
- The BPO also receives applications from Graham St. Payment for these applications will have already been receipted.

Processing a building consent

- No applications are fast tracked on Waiheke
- The building processing officer (BPO) sends approximately 40% of applications to Graham St for processing due to excess workload. Applications requiring structural or geotechnical engineering inputs take priority to be processed at Graham St, as they need to travel there anyway.
- The BPO provides the drainage input to the PIM and building consent.
- If any specialist input is required, the consent is re-allocated to Graham St who will then allocate the appropriate specialist.
- The Graham St BPO will create the final report if the processing is to be done there.



Issuing a building consent

- The BPO completes BLD-4.7-FORM to aid with keeping track of inspections and to be used during CCC processing later on (not completed at Graham St until inspection time)
- Hard copies BLD-4.7-FORM and any inspection records are retained in a filing cabinet.
- The building support officer sends a statement of account with any invoice (not done at Graham St).

Great Barrier Island applications

- The building officer performs all processing (building, engineering and plan check)
- If specialist engineering input is required, the application is sent to Graham St for that input.
- The administration assistant performs all other tasks (lodging, preparation, issuing)
- Documents are not scanned
- PIMs are generated through the G:\drive template (same as Waiheke)
- Workbench, PLA and the fee wizard are not used.

Variations - other

Mailed in applications

- Mailed in applications are given directly to the lodgement support officer (instead of going to the streamer)
- The lodgement support officer enters the mailed application into PLA
- The lodgement support officer then lodges the application into WorkSmart and makes a photocopy (as per normal)
- Applications made in person will take precedence over the mailed in applications in the PLA queue
- There is no interview
- If lodgement is rejected, the lodgement officer will draft a letter (from a G: drive template) explaining why the application has been rejected and the additional information required. This letter will be sent with the rejected application to the applicant
- If lodgement is accepted, the lodgement officer will pass the original application documents to the cashier (normally the applicant would walk them over)
- The process then proceeds as per normal.

Residential/Commercial

Residential and commercial building consent applications are handled by two separate teams of building processing officers. The commercial applications often involve different and additional levels of inputs from and types of specialist (eg. NZ Fire Service, ARC approvals, acoustic engineering). The acceptance of producer statements for commercial applications requires an engineer to have checked the design engineer's work. There are two versions of the building processing checklist – residential and complex.



Large scale commercial

Large scale commercial projects usually involve building work with a value over \$5 million and may require the project to be staged, i.e. a number of consents may be applied for consecutively.

- A pre-lodgement meeting with the applicant involving a council project manager, a building processing officer and a council drainage engineer takes place before lodgement. The purpose of this meeting is to:
 - Check the application for completeness
 - Determine if any additional information is required
 - Discuss staging of the building consents
 - Determine the deposit amount required
 - Determine if any necessary resource consents, ARC consents, engineering approvals, PIMs etc have been applied for (if applicable).
- Once the information has been provided, a lodgement meeting will take place. The purpose of this meeting is to:
 - Submit the documentation to the building processing officer
 - Generate an invoice for the deposit and receipt any payment made (cashiers).
- The application will then be treated as a mailed application – the building processing officer will take the application to the lodgement area
- As new applications are required for each stage, the applicant will contact the project manager or building processing officer to arrange further lodgement meetings as needed
- Applicants are encouraged to apply for one PIM only (for the entire project) before pre-lodgement.

PIM only

Council is required to issue a PIM with every building consent, unless a PIM has already been issued for that work. Customers can apply for a PIM before they apply for a building consent. The PIM-only process follows the same process (lodgement, processing and issue) as the PIM-specific steps of the general building consent approval process.

BC only BC amendment

If a PIM has already been issued for some particular building work, a customer can apply for a building consent alone. A building consent amendment is also in this category. The BC-only process follows the same process as the general building consent approval process, excluding the steps relating to PIMs.

Amendment and staged applications are lodged using the 'copy WorkSmart' functionality and share the same building consent number prefix as the original.



Metrowater applications

Metrowater is carrying out a drainage separation project over the city. They require a building consent for each property worked on. They (or their agents) lodge the consent on behalf of the property owners. The lodgement process is similar to the mailed in variation above. Building processing is performed by a building support officer.

The building support officer (Metrowater) will:

- Complete a pre-lodgement check (including planning and drainage checks). The drainage engineer will also perform a brief check.
- Accept lodgement (PLA, W/S)
- Calculate fees and generate invoice (W/B, W/S)
- Create BC & PIM Workpacket and activate next task (W/B)
- Print off GIS maps (SG)

The application will then travel to a drainage engineer and a planner for their PIM and BC inputs, and then be returned to the building support officer (Metrowater).

The building support officer (Metrowater) will:

- Complete the final building report
- Update W/B and W/S
- Prepare documents for scanning, send to scanning
- Send the approved documents to the customer.

If the application is rejected at lodgement. The building support officer (Metrowater) will:

- Draft letter explaining information required
- Send the letter and application documents back to the customer
- Reject lodgement (W/S, PLA).