

Customer & Designer Guide

COMPLIANCE SCHEDULES

WHAT IS A COMPLIANCE SCHEDULE?

A compliance schedule is a document that contains specific information about, and procedures for, specified systems within a building.

A building owner must submit information in relation to the make, model and location of the specified system, as well as the appropriate performance standard and its performance, installation, inspection and maintenance procedures for the purposes of the compliance schedule as part of a building consent application.

It is important that a compliance schedule is a relevant, useful and compliant document. A building's compliance schedule must also be specific and tailored to the building and its specified systems. This is essential to ensure the ongoing performance of the specified systems to the required performance standards and to allow those carrying out and auditing the compliance schedule requirements to understand what is required.

Compliance schedules need to be tailored to the building for the following main reasons:

- A building's environment can introduce specific requirements for a specified system. In turn, this means there can be a range of possible specific inspection and maintenance requirements. Requirements for the same specified system in two different buildings may be completely different.
- Some specified systems incorporate a broad range of sub-systems and features. Each of these systems and features has its own individual inspection and maintenance requirements to ensure it performs to the performance standards. Issuing a compliance schedule with generic inspection and maintenance procedures for a given specified system, when there are varying types, would be meaningless.

Compliance schedules for new buildings (i.e., those with no existing schedule) are issued by a building consent authority when the code compliance certificate (CCC) is issued.

WHAT IS A SPECIFIED SYSTEM?

Specified systems are systems or features that contribute to the proper functioning of the building. Specified systems require ongoing inspection and maintenance to ensure they function as required, because if they fail to operate properly, they have the potential to adversely affect health or life safety.

The specified systems are listed in Schedule 1 of the Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) regulations 2005 and also below for your reference. These systems are also listed on the building consent application form BAM 002-I. Where one or more of these systems exist in a building, a compliance schedule is required.

SS 1 Automatic systems for fire suppression	SS 12/2 FM radio frequency systems and infrared beam transmission systems
SS 2 Automatic or manual emergency warning systems	SS 13/1 Mechanical smoke control
SS 3/1 Automatic doors	SS 13/2 Natural smoke control
SS 3/2 Access controlled doors	SS 13/3 Smoke curtains
SS 3/3 Interfaced fire or smoke doors or windows	SS 14/1 Emergency power systems
SS 4 Emergency lighting systems	SS 14/2 Signs
SS 5 Escape routes pressurisation systems	SS 15/1 Systems for communicating spoken information intended to facilitate evacuation
SS 6 Riser mains	SS 15/2 Final exits
SS 7 Automatic back-flow preventers	SS 15/3 Fire separations
SS 8/1 Passenger-carrying lifts	SS 15/4 Signs for communicating information intended to facilitate evacuation
SS 8/2 Service lifts	SS 15/5 Smoke separations
SS 8/3 Escalators and moving walks	SS16 Cable cars
SS 9 Mechanical ventilation and air conditioning systems	
SS 10 Building maintenance units	
SS 11 Laboratory fume cupboards	
SS 12/1 Audio loops	

EXISTING BUILDINGS

All existing buildings that contain a system or feature listed in the former Act for inclusion on a compliance schedule should already have been issued with a compliance schedule under that Act. These compliance schedules remain in effect as if they were issued under the Building Act 2004. However, these compliance schedules should be amended to align with the specified systems in the Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) regulations 2005.

OWNER'S OBLIGATIONS

Section 101 of the Building Act provides that the owner of a building for which a compliance schedule is required must obtain one. Failure to do so is an offence. The owner is responsible for being aware of any specified system installed in the building and ensuring it is listed on a compliance schedule.

Owners of a building for which a compliance schedule has been issued also have a responsibility to ensure:

- The compliance schedule is kept at the place stated on the schedule and agreed to by the owner and the territorial authority
- The compliance schedule is available for inspection by any person or organisation with the right to inspect the building under any Act
- For the first 12 months after the compliance schedule is issued, a compliance schedule statement is displayed in a public place within the building
- Each of the specified systems are performing and will continue to perform to the performance standards for that system
- They obtain annual written reports relating to the inspection, maintenance, and reporting procedures of the compliance schedule signed by the Independent Qualified Person (IQP)
- They keep the annual written reports together with the compliance schedule for a period of 2 years and produce these reports when required by the territorial authority or person / organisation that has the right to inspect the building.
- They provide the territorial authority with an annual Building Warrant of Fitness (BWoF) on or before the anniversary of the issue of the compliance schedule, accompanied by Form 12A(s) from an IQP for each specified system and any recommendations to amend the compliance schedule by an IQP

COMPLIANCE SCHEDULE STATEMENT

A compliance schedule statement states the specified systems contained in the building and notes where the compliance schedule is kept. It is not a statement about the performance of the specified systems listed. A compliance schedule statement is issued on Form 10 of the Building (Forms) Regulations 2004 by the territorial authority. It is required to be publicly displayed for 12 months after the compliance schedule is issued.

FEES AND CHARGES

The drafting of a compliance schedule by Council has a fee associated with it that is payable by the building owner upon receipt of the appropriate application.

The cost is based on a 'flat rate fee' plus hourly rate. The Council fees and charges are subject to annual review, and the most up-to-date schedule is available upon request from Council directly, or by accessing the information on the GDC website www.greydc.govt.nz and click on the "fees and charges" link, then access the relevant information under "Building Department".

For further assistance, contact the GDC *Compliance Officer* (tel 03 769 8600, fax 03 769 8610, E-mail: info@greydc.govt.nz).

CONTENT OF A COMPLIANCE SCHEDULE

The following subjects need to be considered on the compliance schedule:

- System description + an appropriate plan(s) of the building showing all the specified system components installed
- Performance/installation and inspection/maintenance standards
- Inspection and maintenance procedures and their frequency
- Reporting and recording
- Responsibility

Including information about these items will ensure the compliance schedule can be understood and used by the owner, the IQPs and the territorial authority.

The following is a guide for how to supply this information.

SYSTEM DESCRIPTION

Include the following information for each of the specified systems:

- System reference number - Assigning a reference number to each specified system will help to distinguish between different specified systems of the same type. These reference numbers can then be used on plans to help identify a specified system's location.
- Basic description of the system
- Its purpose
- Location – A brief description is helpful along with a plan showing the system reference number
- Extent of installation

Example: **System Type:** Type 7 - Automatic back-flow preventers connected to a potable water supply

Reference No: 7.1

Description: 15 mm double check valve assembly

Purpose: Boiler feed supply

Location: Located in the level 9 plant room –see building consent BC5394, drawing 4 page 5 (attached)

INSPECTION AND MAINTENANCE

The Building Act requires that each specified system have inspection and maintenance procedures to ensure the system is performing the standards set out for that specified system. The inspection, maintenance and reporting procedures need to be relevant to the performance standard, to ensure the specified system continues to perform in the way it was intended. Often a New Zealand or international Standard will be suitable for the inspection and maintenance procedures for a particular specified system. In other cases it may be an inspection and maintenance document provided by the manufacturer/designer of the system, or it may be an inspection document prepared by a person qualified to do so (this may be developed using a combination of manufacturers' specifications and other inspection Standards).

The inspection and maintenance procedures, including frequency, need to be appropriate to the particular specified system and its purpose within a building. This may include considering the age of the system, the system's historical performance, or a change in the use of the building.

Example:

Inspection statement for mechanical ventilation system (system reference no: 9.1) – fire and smoke control: Inspection content and frequency for the mechanical ventilation system shall be in accordance with sections 1 and 18 of AS 1851: 2005 – Maintenance of fire protection systems and equipment (attached). In particular, inspections shall be carried out in accordance with tables 18.4.1.1 to 18.4.1.6 and 18.4.2.2 to 18.4.2.5.

Where no appropriate procedures have been identified and where the listed procedures are not appropriate to a particular specified system, a specifically-designed inspection and maintenance document must be prepared by a person who is qualified, experienced and competent to do so. This may be the designer's recommendations or manufacturer's specifications. In any case, the inspection and maintenance procedures must be appropriate for the specified system.

It is essential to nominate the relevant clauses or sections, and have attached dates or versions, of the documents included on the building's compliance schedule.

REPORTING AND RECORDING

Including a reporting and recording section on the compliance schedule provides for the keeping of records and the availability of these records to the IQP, in order to issue a Form 12A certificate and for reference at any other time.

While in many cases all the inspection and maintenance procedures for a specified system are carried out by a single contracted IQP, it is possible that another IQP may be involved in carrying out the procedures. Their contribution may need to be known to the originally contracted IQP in order to verify that the inspection and maintenance procedures have been carried out during the previous 12 months. Depending on the installation, it may be appropriate to keep records in a log book at the installation, with a summary report held in the designated location with the compliance schedule. The Building Act states that it is the owner's responsibility to keep records relating to the compliance schedule. However, for practical reasons, it may be appropriate for the IQP to keep the records on the owner's behalf.

Example of a reporting/recording statement: The owner must keep records of all inspection, maintenance and repairs undertaken in the previous 24 months. The records must, as a minimum, include: – details of any inspection, test or preventative maintenance carried out, including dates, work undertaken, faults found, remedies applied, and the person who performed the work – details of any other faults found or maintenance and repair work undertaken to maintain the system in working order, including dates, work undertaken, faults found, remedies applied and the person who performed the work.

RESPONSIBILITY

It is the owner's responsibility to satisfy the obligations under section 105 of the Building Act. These obligations include the requirement to ensure that inspection, maintenance, and reporting procedures are carried out. Assistance may be sought from property management and facility management companies for coordination of the work. IQPs will have to be involved in the technical aspects of the necessary work to verify that performance standards have been satisfied, and all inspection, maintenance and reporting procedures have been carried out to enable Form 12A to be issued. A representative from Grey District Council will discuss this with you when preparing the compliance schedule.

Example of responsibility section for SS 1 – Automatic systems for fire suppression All inspections shall be undertaken by independent qualified persons.