



Build Waikato Independently Qualified Person (IQP) Policy

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1. Introduction

1.1. Purpose

The Build Waikato IQP Register Policy and Process document outlines the procedures and requirements for individuals seeking new registration and renewal of registration as IQPs on the Build Waikato IQP Register.

The register allows successful applicants to become an IQP and submit Form 12As to the following member territorial authorities:

- Hamilton City Council.
- Hauraki District Council.
- Kawerau District Council.
- Matamata / Piako District Council.
- Opotiki District Council.
- Otorohanga District Council.
- Rotorua District Council.
- Ruapehu District Council.
- South Waikato District Council.
- Taupo District Council.
- Tauranga City Council.
- Thames-Coromandel District Council.
- Waikato District Council.
- Waipa District Council.
- Waitomo District Council.
- Western Bay of Plenty District Council.
- Whakatane District Council.

Form 12As will be approved by the above Territorial Authorities provided that the document is prepared by a person listed on the Build Waikato Register, is in the correct form and contains the requisite information.

1.2. Scope

This document applies to persons who want to become registered IQP and maintain their registration with Build Waikato.

1.3. Definitions

IQP: Independently Qualified Person as defined in the Building Act 2004.

Build Waikato (Co-Lab): The organisation responsible for managing and maintaining the registration process on behalf of member councils.

Form 12A: Certificate of compliance with inspection, maintenance, and reporting procedures.



Panel of Experts: A group of members from across the member councils responsible for assessing and approving applications for IQP registration.

Referees: Individuals who provide assessments of the applicant's skills and abilities.

Insurance Certificate: A document providing evidence of current Public Liability Insurance coverage.

Registration: The process of becoming a registered IQP or renewing an existing registration.

2. Application Process

2.1. Application for Initial Registration

Persons wishing to become a registered IQP must follow the application process outlined by Build Waikato. This includes completing the online application form, providing the required documentation, and paying the application fee (see 4. Application Fees).

2.2. Renewal of Registration

Registered IQP's must renew their registration annually, before it expires, by completing the online application form, providing the required documentation, and paying the application fee (see 4. Application Fees).

3. New Application Requirements

When applicants prepare an application, the focus of the application should be on demonstrating their qualifications and experience tailored to the specified systems they are applying for. Applicants must only apply for 'Specified Systems' approval if they possess the necessary skills, qualifications, and expertise, and can provide details of relevant experience. Restrictions may be placed on 'Specified Systems' depending on qualifications and experience.

The application form must be supported by all required supporting information.

3.1. Qualifications

Applicants must provide copies of qualifications that are relevant to each of the specified systems they are applying for as outlined in the IQP Framework (**Appendix 1**).

Any overseas qualifications must have NZQA equivalency provided (which would incur additional costs – these charges are between applicant and the independent assessor).

3.2. Work History

Applicants must provide a comprehensive and descriptive work history demonstrating their skills and experience in the relevant area of expertise.



3.3. Evidence of Experience

Applicants must submit evidence of experience for each specified system as outlined in the IQP Framework (**Appendix 1**). This should include items such as detailed job sheets that show experience with the specified system, and photographic evidence to demonstrate the identification of compliant systems vs non-compliant systems.

3.4. Referees

Applicants must nominate two referees to complete a detailed online assessment of the applicant's skills and abilities. A referee should be experienced in the specified systems that the applicant is applying for, have worked with the applicant for at least 12 months and is not a family member or relative.

It is the responsibility of the applicant to send a link to their nominated referees to the online referee form.

3.5. Insurance Certificate

Applicants must submit a copy of their current Public Liability Insurance Certificate with a minimum of \$1Million with a minimum of 3 months remaining coverage and professional indemnity Certificate with a minimum of \$200,000 with a minimum of 3 months remaining coverage. Applicants who are approved need to submit updated certificates as their coverage expires to maintain their register currency.

Insurance certificates need to include an appropriate level of professional indemnity and public liability insurance, demonstrating the amount held and the period of cover.

3.6. Knowledge and understanding of Building Act 2004

Applicants must understand the Building Act 2004 and its amendments, having particular regard to and understanding of:

- Section 3 – Purpose.
- Sections 100 to 111 – Compliance schedule and building warrant of fitness.
- Sections 164 to 168 – Notices to fix.
- Section 121 to 126 – dangerous buildings.
- Sections 362A to 363A – public use.

4. Application Fees

A non-refundable application fee of \$650, plus a 2.9% merchant fee, is required for each new application. Payment must be made at the end of the online application.

A renewal fee of \$150, plus a 2.9% merchant fee, is required for each annual renewal. Payment must be made at the end of the online renewal application.



5. New Application Approval Process

5.1. Initial Application Review

Upon receiving an application, Build Waikato will review it for completeness. If further information is required, the applicant will be contacted by the Business Support Co-ordinator.

An application is not complete until both referees have completed their online assessments.

Failure to provide information or demonstrate the suitability and competence of criteria will result in an application being refused. An application will be declined if the applicant cannot satisfy Build Waikato of their suitability or competence.

If granted, an author's approval may be rescinded at any time at the discretion of Build Waikato. Written reasons for a decision to rescind an approval must be provided by Build Waikato.

5.2. Review by Panel of Experts

A Panel of Experts from the member councils will review the complete application within 10 working days. The Panel will assess the applicant's qualifications, work history, evidence of experience, Building Act 2004 questionnaire answers and referee assessments before making a decision. The Panel may request further information to support an application and where this is requested the process restarts from 5.1.

5.3. Notification of Outcome

Applicants will be notified of the Panel's decision. If approved, a registration certificate will be emailed, and the applicant's details will be added to the online register within 7 days of successful notification.

If declined, the reasons for this decision will be provided to the applicant.

6. Renewal Application Requirements

6.1. Renewal Application Requirements

Registered IQP's must apply to renew their registration prior to their expiry date. IQP's complete the online application and provide the following documents:

- three copies of Form 12As completed and submitted to a Territorial Authority in the past 12 months; and
- a copy of their current Public Liability Insurance Certificate with at least 3 months remaining coverage; and
- certificates or evidence of relevant training completed in the past 12 months.



Authors are responsible for ensuring their IQP approval remains current. If a renewal application is not received, please see section 8 of the Policy for information regarding expired authorship.

7. Renewal Application Approval Process

7.1. Initial Application Review

Upon receiving an application, Build Waikato will review it for completeness. If further information is required, the applicant will be contacted by the Business Support Coordinator.

7.3. Notification of Outcome

Applications are processed and a new registration certificate will be emailed within 10 days. The applicant's details are updated on the register within 7 days following the new certificate being issued. If the application is not approved the reasons for non-approval will be emailed to the applicant.

8. Expired Authorship

8.1. Applications lodged when approval has expired

If an application is received from an IQP where their IQP approval has expired:

- **If the approval expired less than 12 months ago:** An explanation as to why the approval was left to lapse must be submitted with the appropriate fee. The Panel of Experts will review the application and the reason why the approval was left to expire to consider whether the renewal can be accepted along with a further \$150 fee to cover the lapsed year or if a new application is required. This decision is at the discretion of the Panel of Experts.
- **If the approval expired over 12 months ago:** The application fee will be refunded, and the author will be notified via email that they will need to lodge a new application. All requirements for new applications will need to be met.

For both processes, the applicant will be notified of the outcome in writing.

9. Maintaining Registration

9.1. Updating Information

IQP's are responsible for keeping their contact information, insurance certificate and qualifications up to date. Any changes should be communicated to Build Waikato promptly when the change occurs.



The applicants must participate in continuous professional development and upskilling to maintain registration.

10. Disciplinary Code

All approved applicants must comply with the Build Waikato IQP Disciplinary Code.

10.1. Purpose & Scope

The purpose of this code is to outline expectations for IQPs around values, principles and standards in delivering building owners a level of quality in undertaking and completing specified system inspection work and the personal ethics required to maintain a safe and healthy workplace.

Disciplinary matters will be managed by The Panel of Experts panel members and Build Waikato through a fair and effective process. Any written complaints received by the Registrar or Panel regarding IQPs will be managed in the public interest to ensure they are accountable for their duties under the Building Act 2004 and its amendments.

The Code applies to all registered IQPs.

10.2. Principles of Code

- Acting lawfully and ethically in the best interests of Building Owners.
- Abiding by the law.
- Being honest in dealings with Territorial Authorities (Councils) and Building Owners.
- Being of sound character.
- Treating all information gained with care and using it for appropriate purposes only.
- Complying with all relevant legislation, regulations and the building code.

Disciplinary action may be applied where there is a failure to produce acceptable quality work or meet any of the Principles of Code. The disciplinary action is to encourage acceptable work quality ethics and provide consequences for failing to do so.

10.3. Grounds for discipline

The grounds for discipline include, but are not limited to:

- Carrying out or supervising work negligently or incompetently.
- Obtaining IQP approval dishonestly.
- Carrying out work on systems they were not registered for.
- Consistently failing to provide correct documentation.
- Misrepresenting their competence on specified systems.
- Carrying out or supervising work on specified systems outside their competency.
- Providing false information / documentation to Building Owner or the Council.
- Making a false or misleading declaration or representation.
- Making use of any document, knowing that it was not genuine or was falsified.

- Being the recipient of validated complaint/s received from a customer regarding the quality of the service being provided or any matter regarding inappropriate behaviour.
- Failing to provide evidence of training to demonstrate competence when requested by Build Waikato.

10.4. Warnings Process

Build Waikato reserves the right to vary the warning process as appropriate to the situation. The warning process is based on a 3-strike process where a warning may include but is not limited to the IQP receiving a Notice of Non-Compliance. The warnings will be recorded on a register held by Build Waikato.

- In the first event of a breach of discipline the IQP may be issued a Notice of Non-Compliance outlining the breach issues.
- In the second event of a breach of discipline the IQP may be issued a further Notice of Non-Compliance outlining the breach issues.
- Any further breach of discipline will be classified as Serious Misconduct culminating in suspension of registration, deregistration and/or any further action deemed necessary according to the breach.

At any point during the warning process, the IQP may be required to complete further training to demonstrate their competence within their registered area of expertise and provide evidence of this to Build Waikato.

10.5. Serious Misconduct

All serious misconduct will result in an instant suspension from the IQP register during an investigation. This may mean waiting for reports from emergency services or suitably qualified persons to determine the extent of issue.

Serious misconduct may include but is not limited to:

- An IQP has been issued with 2 Notices of Non-Compliance and another breach of the Discipline Code has been identified.
- A specified system is found to be in a state that would suggest that no or negligent testing and / or maintenance has been completed for some time.
- A specified system is directly linked to a serious injury.
- A specified system is directly linked to a death.

10.6. Suspension and Revocation of Registration as an IQP

Build Waikato reserves the right to suspend or revoke an IQP's registration for non-compliance or unethical conduct at any time.

If it is determined that no further action is required, then registration will continue.

If further action is required registration may be suspended until further investigation is complete this information will be relayed to the IQP and to other Territorial Authorities.

Removal of registration would only occur after a thorough investigation had been completed.

If the findings are that, the Independent Qualified Persons registration is to be suspended or deregistered the IQP and Territorial Authorities will be notified.

11. Contact Information

11.1. Contact Details

For inquiries and assistance with the registration process, please contact Build Waikato at buildwaikato@colabsolutions.govt.nz.

This policy and process document is subject to periodic review and updates. Registered IQPs should refer to the most recent version for current information and requirements.

12. Disclaimer

Build Waikato (Co-Lab) takes no responsibility for ensuring the accuracy of the information provided or held and is not liable to any party who may rely on that information.