Professional Practice Standards

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AIBS
AUSTRALIAN INSTITUTE OF BUILDING SURVEYORS

Contents

AIBS

Professional Practice Standards

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This is an official publication of the Australian Institute of Building Surveyors and is current as at the date of publication.

Foreword

We thank and acknowledge the work of the expert panel members involved in the formulation of these Professional Practice Standards.

This publication represents an extensive review of building surveying practices nationally. It provides an analysis of regulatory requirements across all jurisdictions, creating an overview that ensures consistency in building standards and safety. Although these Professional Practice Standards are designed to be universally applicable, we acknowledge that each state and territory has its own specific building control legislative framework to regulate building standards.

In establishing a holistic, national and best practice approach to building surveying work, these standards also recognise:

- both statutory and consulting building surveying work;
- building surveying work undertaken in both the private and public sectors; and
- the diverse range of work that Building Surveyors undertake, and their vital life-safety role in buildings where the public work, live and play.

Despite the variations in local legislation, there is notable similarity through the National Construction Code (the NCC) and Codes of Ethics adopted in each state and territory. These standards are expected to be upheld by practicing members of AIBS through the AIBS Professional Standards Scheme for Building Surveyors. This unified commitment to the highest levels of accreditation and professionalism underscores the importance of consumer protection, ensuring that it remains a primary focus in the building surveying profession.

On behalf of the AIBS Board, I extend my sincere gratitude to the expert panel members whose contributions were instrumental in developing these Professional Practice Standards. Their expertise and dedication have been vital in creating a robust framework that promotes excellence and safeguards the interests of consumers nationwide.

Roland Wierenga
Chair, the AIBS Professional Practice Standards Expert Panel

Acknowledgements

AIBS sincerely thanks all involved in the development of these Professional Practice Standards, in particular the following contributors:

Brett Mace, Project Manager, for his leadership and management in the project delivery of these standards; and Dr Stephen Scimonello, AIBS Professional Development Manager, Dr Darryl O'Brien, AIBS Education Specialist Advisory Group, and Michael Moran, from Philip Chun for the development and writing of these standards.

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About AIBS

The Australian Institute of Building Surveyors (AIBS) is recognised nationally and internationally as the peak professional body representing Building Surveying practitioners in Australia.

AIBS is a national organisation operating across all legislative jurisdictions that plays a key role in the building industry in Australia. Further detailed information on the role and organisational structure of AIBS can be found here in AIBS as an Occupational Association.

AIBS Building Surveying Practicing Levels

AIBS currently has four categories of accreditation. These are:

Level 1: Building Surveyor

A Building Surveyor accredited to undertake building surveying functions for buildings of all classes and of unlimited size. These building surveying functions are:

a) assess and approve or certify plans for compliance with building regulatory requirements;
b) issue approvals, consents or building permits as applicable under relevant state and territory laws;
c) undertake inspections of building work to check compliance with relevant laws;
d) inspect the health and safety of existing buildings;
e) where authorised by state and territory laws, take appropriate actions to ensure building work complies with regulatory requirements;
f) certify inspected works as complying with regulatory requirements and/or approved plans; and
g) approve the use and occupation of buildings or parts of buildings in accordance with relevant laws.

Level 2: Building Surveyor Limited

A Building Surveyor Limited is accredited to undertake building surveying functions for all classes of buildings unless legislated otherwise that are not more than 2000m² in floor area and not more than three storeys in height. These building surveying functions are:

a) assess and approve or certify plans for compliance with building regulatory requirements;
b) issue approvals, consents or building permits as applicable under relevant state and territory laws;
c) undertake inspections of building work to check compliance with relevant laws;
d) inspect the health and safety of existing buildings;
e) where authorised by state and territory laws, take appropriate actions to ensure building work complies with regulatory requirements;
f) certify inspected works as complying with regulatory requirements and/or approved plans; and
g) approve the use and occupation of buildings or parts of buildings in accordance with relevant laws.

Level 3: Assistant Building Surveyor

An Assistant Building Surveyor is accredited to undertake building surveying functions for Class 1 and Class 10 buildings unless legislated otherwise that are not more than 500m² in floor area and not more than two storeys in height. These building surveying functions are:

a) assess plans and provide advice on compliance with regulatory requirements;
b) undertake inspections of building work to check compliance with relevant building laws;
c) issue inspection certificates for complying work that may be relied on by other Building Surveyors in the issuing of compliance certificates; and
d) provide advice on or to assist in building surveying functions, such as the assessment of plans and issuing of approvals for the use and occupation of buildings or parts of buildings where appropriate and required by relevant building laws.

Accredited Body Corporate

An Accredited Body Corporate provides advisory and consultancy services to clients and/or statutory building surveying services and is committed to the highest standards of building surveying professional practice, as delivered by individual *accredited persons* who are directors of or employed by the Body Corporate.

Refer to the AIBS website for further information regarding the AIBS Accreditation Scheme for practicing levels of Building Surveyors including academic and work experience requirements.

Please note that state and territory building regulators who register Building Surveyors may have their own variations of the accreditation levels listed above.

The AIBS Professional Standards Scheme

What is a Professional Standards Scheme?

AIBS operates under a Professional Standards Scheme, and all practicing AIBS members must be accredited under this scheme.

The objective of a Professional Standards Scheme is to ensure occupational associations and their members deliver ongoing improvements in consumer protection. By limiting civil liability, professional standards schemes ensure that if anything goes wrong, professionals have insurance available to meet damages awarded.

A Professional Standards Scheme ensures consistent levels of technical knowledge and professionalism whilst performing these duties.

Members of a Professional Standards Scheme have committed to improving professional standards and upholding their obligations as professionals.

In accordance with the NSW Government Gazette on 21 May 2021, pursuant to section 13 of the Professional Standards Act 1994, the Australian Institute of Building Surveyors (AIBS) Professional Standards Scheme commenced on 01 July 2021 across all states and territories, except for Victoria where it commenced on 01 September 2021. The AIBS Professional Standards Scheme has been approved for five years.

A member of the AIBS Professional Standards Scheme is known as an AIBS Professional Building Surveyor.

Figure 1 describes how these Professional Practice Standards relate to the AIBS Professional Standards Scheme.

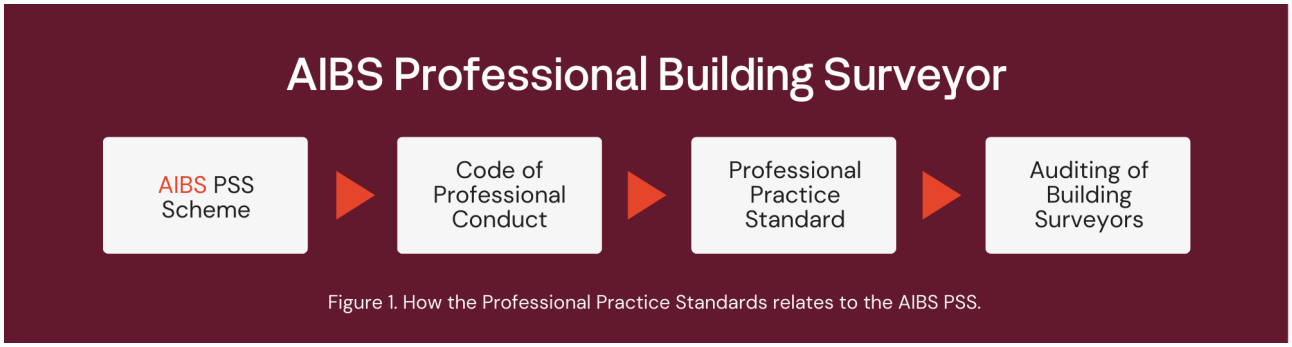

Figure 1. How the Professional Practice Standards relates to the AIBS PSS.

What is a Code of Professional Conduct?

A Code of Professional Conduct is a set of criteria established by a professional organisation or governing body that outlines the ethical and behavioural expectations for individuals within a particular profession. It serves as a framework to ensure that members of the profession uphold high standards of integrity, competence, and professionalism in their interactions with clients, colleagues, and the public.

These codes typically address issues such as confidentiality, conflicts of interest, honesty, respect, and responsibility.

What are Professional Practice Standards?

Professional Practice Standards are a set of standards established by a professional organisation or regulatory body to define the expected level of performance, competence, and conduct within a particular profession. These standards outline best practices, methodologies, and principles that professionals are expected to adhere to in their work. They often cover various aspects of the profession, including technical skills, ethical considerations, safety protocols, and quality assurance measures.

Professional Practice Standards are designed to ensure consistency and quality across the profession, protect the interests of clients and stakeholders, and promote public trust and confidence in the services provided by professionals. They may be developed through collaboration among industry experts, based on research and evidence-based practices, and periodically updated to reflect advancements in the field or changes in regulatory requirements.

Adherence to Professional Practice Standards is typically required for accreditation and/or membership in professional organisations, and failure to comply with these standards may result in disciplinary action or other consequences.

AIBS Professional Practice Standards

There are seven AIBS Professional Practice Standards. These identify the standards, processes and key professional requirements that Building Surveyors are expected to attain.

The seven AIBS Professional Practice Standards are:

Practice Standard 1 – Acting in the Public Interest

Practice Standard 2 – Risk Management

Practice Standard 3 – Construction authorisation
Practice Standard 4 – Inspections
Practice Standard 5 – Project Finalisation
Practice Standard 6 – Compliance enforcement
Practice Standard 7 – Building Surveyor Consultancy

What is Auditing?

Auditing of practitioner conduct in the building surveying industry is a critical component to ensure the integrity of the profession, which plays a key role in ensuring appropriate construction outcomes. To be effective, it is vital that any audit program be transparent, trusted, and robust.

An auditing program is effective through its capacity to demonstrate that Building Surveyors are adhering to consistent levels of practice and professionalism in their work set through Professional Practice Standards.

A robust audit program is transparent and offers building surveying professionals procedural fairness in its processes and outcomes, whilst ensuring that consistent standards are applied to all building surveying professionals.

A trusted audit program is one where participation is widely accepted and valued, particularly for the educational and continuous improvement opportunities that it provides to building surveying professionals.

Auditing of AIBS Professional Building Surveyors

To ensure AIBS Professional Building Surveyors meet their obligation to improve professional standards and ensure consistent levels of technical knowledge and professionalism, the Professional Standards Act 1994 requires auditing of practitioner conduct.

Auditing will be benchmarked against the seven AIBS Professional Practice Standards described in this document and conducted by the AIBS Audit Panel in accordance with the AIBS Professional Audit Program.

Standard 1

Acting in the Public Interest

AIBS

Overview

Public interest underpins all other practice standards. Building Surveyors must prioritise the safety, welfare, and rights of the community in the built environment above any related private interests.

Building Surveyors engaged in a statutory role act as public officials. Whereas Building Surveyors engaged as consultants do not have a statutory role. Regardless of the role, Building Surveyors must carry out their duties impartially and honestly. They are expected to serve in the best interest of the public, always act with integrity, adhering to legislative requirements of the jurisdictions that they operate and exercise their role with the highest of professional standards.

Impartiality

Building Surveyors should act impartially and without bias, applying building regulations and standards consistently and fairly to all parties involved in the building and construction process.

Ethical Conduct

Building Surveyors are expected to maintain high ethical standards and uphold the integrity of their profession. This commitment is underscored by the codes of conduct adopted in each state and territory throughout Australia. The commitment is further re-enforced by the AIBS Code of Conduct that upholds the professional building surveying standards of its members.

Conflict of Interest

A conflict of interest arises when interests of a Building Surveyor clash with their duty to act in the public interest. Interests can be perceived or actual, financial or professional and may involve the Building Surveyor's own interests or those of friends, family, business associates, or competitors. Not all conflicts of interest involve financial matters.

Each state and jurisdictional legislation, along with national codes of practice, includes specific references to conflicts of interest. These regulations are designed to ensure that Building Surveyors conduct their duties with integrity, prioritise public safety, and uphold the standards of the profession.

Building Surveyors must avoid any perception of bias or conflicts of interest to maintain public trust and uphold the integrity of the profession. Failure to do so can damage consumer

confidence, compromise the health, safety, and amenity of buildings, and bring the profession into disrepute.

Community Engagement & Advocacy

Building Surveyors should actively engage with regulators, relevant groups, and forums, including stakeholders, to shape policies and guidelines on matters related to building safety, planning, and development.

Engagement promotes transparency and accountability, fostering a culture of continuous improvement in building practices. It can enhance public trust in the profession and potentially reduce possible costly legal action arising due to a lack of communication or understanding about the building surveying process and the role of Building Surveyors.

Advocacy for Public Interest

Building Surveyors should advocate for policies, practices, and regulations that prioritise public safety, health, accessibility, and environmental sustainability in the built environment. This may involve Building Surveyors participating in policy development, public education campaigns, and collaborative initiatives with other stakeholders.

Continual Professional Development

Building Surveyors should continuously strive to improve the effectiveness and efficiency of their services, seek opportunities to streamline processes, enhance regulatory compliance, and facilitate innovation in the built environment. This includes undertaking relevant training to meet continual professional development (CPD) training requirements as part of their accreditation or registration conditions.

By upholding these principles, Building Surveyors can effectively serve the public interest and contribute to the creation of safe, healthy, and sustainable built environments for current and future generations.

Complaints Systems

Building Surveyors should have a complaint handling process within their place of work or company. Effective complaint handling should include the following pillars:

i. **Respectful Treatment** – Respond to customers promptly and treat them with courtesy and respect.

ii. **Information and Accessibility** - Facilitate easy access for customers to provide feedback, enabling continuous improvement.
iii. **Good Communication** - Keep customers informed about the status of their complaints or feedback where relevant under the terms and agreements with the client.
iv. **Taking Ownership** - Ensure that all team members are trained and skilled in managing consumer complaints.
v. **Timeliness** - Address consumer complaints as swiftly as possible, clearly communicating the timeframes for resolution to customers.
vi. **Transparency** - Record and analyse data on complaint handling processes to enhance service quality continually.

Benchmarks - Acting in the Public Interest

The benchmarks for this standard are:

i. **Continual Professional Development** - Members should adopt a professional development training program that ensures they are appropriately qualified, and their knowledge is relevant to the level of work they undertake.
ii. **Ethics and Conflict of Interest** - Members must adhere to the AIBS Code of Conduct and develop and implement a policy to manage conflicts of interest.
iii. **Prioritise the Public Interest** - Prioritising the public interest will be demonstrated by engagement with relevant CPD activities and adhering to the Professional Practice Standards.

Standard 2

Risk Management

AIBS

Overview

The following principles provide guidance for Building Surveyors to develop management strategies to identify, assess, and mitigate potential risks specific to their projects and individual requirements.

Risk management is explicit in each of the practice standards.

Process Risk Management

Process Risk Management is an integral aspect of a Building Surveyor's responsibilities.

At the commencement of each project, Building Surveyors should conduct a risk assessment to identify potential risks affecting design, construction, staging of construction and effects on neighbouring parts or properties. Risks might also include site conditions, project intricacies, regulatory requirements, and stakeholder and client expectations.

By conducting these assessments, Building Surveyors are proactively managing and mitigating risk.

The project risk assessment should be documented and risk management should be consistent with a risk management framework, such as those contained in the AS ISO 31000:2018 – Risk Management – Guidelines.

Regular Review and Monitoring

Building Surveyors should monitor project progress to identify any changes that may affect the previously identified risk profile. This includes regular assessment of the effectiveness of risk management strategies and adjustment of relevant strategies as necessary.

Post-Project Evaluation

Building Surveyors should conduct post-project evaluations to assess the effectiveness of risk management strategies, identify lessons learned, and capture insights for future improvement. Successes, challenges, and opportunities for enhancement should be documented to ensure continuous improvement and enhance organisational resilience.

Clear Communication and Documentation

Building Surveyors should maintain open and transparent communication with relevant stakeholders. All communication should be documented, including each decision made. This will ensure clarity, accountability, and legal and regulatory compliance.

Adherence to Standards and Regulations

To carry out statutory and consulting responsibilities, Building Surveyors must stay updated with state-specific regulations and standards. State-specific regulations contain statutory and administrative provisions, which further supplement the NCC technical requirements, addressing regional considerations.

Quality Assurance and Control

To mitigate potential risks and ensure projects meet regulatory requirements and industry standards, Building Surveyors should implement robust quality assurance and control processes. These processes must monitor and verify the accuracy, completeness, and integrity of all activities and deliverables.

The use of quality management standards consistent with the ISO 9000 suite of standards is recommended to develop process and control measures for building surveying functions.

Continual Professional Development

Building Surveyors must continually invest in their training, education, and professional development to bolster their skills, knowledge and competencies. This commitment ensures that Building Surveyors remain informed about industry trends, advancements, and regulatory changes, thereby maintaining their relevance and effectiveness in the field.

Compliance with Continuing Professional Development (CPD) programs is a mandatory AIBS accreditation requirement.

Engagement with Qualified Professionals

To address complex issues and mitigate risk, Building Surveyors should engage as necessary with specialist professionals. These may include engineers, architects, designers, environmental consultants, and legal advisors, depending on the specific requirements of the project.

To ensure that relevant specialists possess the knowledge and expertise for a project, it is essential Building Surveyors are satisfied with the competency and accreditation of specialist professionals.

Benchmarks - Risk Management

The benchmarks for this standard are:

i. **Risk Management Framework:** Members should adopt a risk management framework that is consistent with ISO 31000:2018 – Risk management – Guidelines.

ii. **Quality Assurance and Control:** Members should develop applicable process and control measures for building surveying functions consistent with the standard contained in management standards ISO 9000.

Standard 3

Construction Authorisation

AIBS

Overview

Acknowledging the diverse regulatory frameworks across each state and territories, this standard describes a generic approach to the construction authorisation and a process for best industry practice when a Building Surveyor is engaged in a statutory role.

Construction authorisation is the process of engaging a Building Surveyor in a statutory role to:

i. assess plans, specifications and other relevant documentation for compliance;
ii. certify that the proposed building work will likely satisfy the relevant technical provisions; and
iii. authorise construction work to commence.

Appendix One prescribes benchmarks for this standard.

Professional Practice & Management Responsibilities

Building Surveyors must adhere to professional practice and management principles. This involves implementing appropriate risk management strategies, establishing fee structures that allocate sufficient time to their tasks, and ensuring the appropriate contracts are in place relating to the scope and terms of their appointment.

Engagement

Agreements and contracts should describe:

i. the scope of services to be provided;
ii. any limitations, terms and conditions; and
iii. clearly state the Building Surveyor statutory responsibilities.

It is essential to seek advice to ensure these agreements and contracts are comprehensive and legally sound.

Using standard contracts, such as those recommended by AIBS that are consistent with the Professional Standards Scheme, provides clear terms and conditions that define the roles and responsibilities of all parties involved. Contracts should include specific clauses that limit the Building Surveyor's liability in accordance with the limits of the AIBS Professional Standards Scheme and ensure that risks are fairly distributed.

Fees And Charges

Building Surveyors should establish appropriate fee structures for their services. This ensures they have sufficient resources to perform their duties professionally and effectively.

Insurance

Building Surveyors must maintain the appropriate level of professional indemnity insurance for the level of work they undertake in accordance with the AIBS Professional Standards Scheme.

Construction Authorisation Responsibilities

Assessment and Approval Process

Building Surveyors have a statutory responsibility to follow the processes prescribed by legislation, government authorities and regulatory bodies. Building Surveyors should advise applicants through the application process, by providing clear directions on required documentation, fees, request for information and approval timelines.

Commonwealth State and Territory Legislative Compliance

Prior to issuing construction authorisation, Building Surveyors must:

i. ensure that all permits, consents or approvals prescribed by relevant legislation are obtained; and
ii. be satisfied the proposed building plans, specifications and design comply with relevant Acts, the NCC, codes and standards.

Assessment and Review

Building Surveyors must conduct a thorough assessment of building approval applications, including plans, specifications, and supporting documentation, to demonstrate compliance with the NCC and any relevant legislation prescribed in the jurisdiction that the application is being made.

They should review the proposed building design, materials, construction methods, and other relevant supporting documents to assess and determine that the relevant Performance Requirements and the Governing Requirements of the NCC have been met.

As a minimum, assessment and review should be a documented process that includes:

i. as necessary, a Request for Further Information;

ii. determination if a performance solution has been proposed, and if so how the decision to accept the solution as compliant was made, including a Performance-Based Design Brief and Performance-Based Design Report;
iii. identification of non-compliance specifying how resolution options are communicated to the applicant.

Timely Processing and Decision-Making

Building Surveyors should:

i. strive to process building approval applications in a timely manner and provide prompt decisions to applicants and other relevant parties and stakeholders; and
ii. advise relevant stakeholders, including architects, engineers, developers, owners and government authorities of any technical or regulatory issues that may arise during the approval process that need to be addressed. This advice is limited to information related to regulatory matters and does not involve design advice.

Professional Judgment and Accountability

Building Surveyors must exercise professional judgment and discretion in decisions regarding building approvals, considering relevant regulatory requirements, industry standards, and best practices. Building Surveyors should consider the impact decisions have on the health and safety of building occupants and the public.

Building Surveyors should be prepared to justify their decisions and actions, providing clear and well-reasoned explanations and evidence for approval or refusal determinations.

Communication

Building Surveyors are required to provide open and transparent communication with applicants and other relevant parties throughout the construction authorisation process in accordance with their professional and ethical obligations. This includes providing timely feedback on permit applications, responding to inquiries, and addressing concerns or issues that may arise during the audit and assessment of plans, specifications or other documentation.

Documentation And Record-Keeping

Building Surveyors must maintain accurate records of matters relating to the scope and terms of their appointment. This includes:

i. ensuring documentation is able to be retrieved in a timely manner and securely stored in accordance with regulatory requirements and professional standards;
ii. ensuring their advice is documented, providing clear and detailed reasons. This documentation should be sufficient for third parties including regulators, to understand the rationale behind decisions made to replicate outcomes and conclusions;
iii. taking reasonable measures to safeguard and preserve the confidentiality of their clients' information. Due care and caution must be exercised when using external third party or cloud-based storage systems; and
iv. documents must be retained for the prescribed period, and when relevant, disposed of in a confidential manner.

Standard 4

Inspections

AIBS

Overview

Building Surveyors conduct inspections across various construction stages to verify that building work aligns with regulatory standards and is consistent with the construction authorisation.

Generally, inspections are visual, non-invasive, utilising available information, experience, and expertise to form an opinion on the compliance achieved at that stage of construction, but might for example include the witnessing of Integrated Fire Mode Testing (IFMT) of fire systems.

Inspections covered in this practice standard are not quality assessments or a warranty of quality, but rather examinations of specific construction stages to confirm compliance with approved plans and regulations.

Appendix Two prescribes benchmarks for this standard.

Inspection Responsibilities

Building Surveyor Consultant Responsibilities

Building Surveyor Consultants may conduct inspections to ensure the work adheres to the approved design and complies with the NCC and other relevant standards.

Building Surveyor Statutory Responsibilities

When undertaking building inspections or when delegating inspections to third parties, Building Surveyor statutory responsibilities are to:

i. follow the processes prescribed by the relevant legislation, government authorities and regulatory body;
ii. determine or form an opinion that building works comply with the relevant approved plans, supporting documents and construction authorisation;
iii. comply with any legislated mandatory or critical stage inspections; and
iv. undertake necessary enforcement action when non-compliance is identified to ensure that the works are brought into compliance.

Delegation of Inspection Responsibility

When Building Surveyor statutory inspection responsibilities are delegated, Building Surveyors should rely on suitably qualified professionals for inspections of building work that is beyond their competency. In doing so, they must determine that the qualified professional possesses suitable qualifications, competence, experience, and accreditation in the relevant area.

To ensure a person delegated to perform inspections is competent, Building Surveyor statutory responsibilities are to:

i. determine if they have a regulatory licence provided by the relevant state authority; or
ii. verify the person's qualifications and confirm the individual holds the necessary educational credentials;
iii. check certifications and licences relevant to undertake building inspections in the required area;
iv. review the individual's professional experience, including previous inspection work, projects handled, and any specialised areas of expertise; and
v. as necessary, provide appropriate overview of the inspection process and analysis of the inspection outcomes.

Co-Regulation of Inspections

When undertaking inspections, Building Surveyor statutory responsibilities may include liaison with and consultation with co-regulators, such as the fire authority/brigade, to obtain information related to operational requirements which may include testing and commissioning.

Administrative Responsibilities

Inspection Records

Building Surveyors are responsible for maintaining accurate records of inspection reports, approvals, and decisions made on-site, alongside any relevant correspondence or communication pertinent to the inspection. Information that should be included on the record of inspection includes:

i. the site address;
ii. the inspection date;
iii. details of the person undertaking the inspection;

iv. specific details of the scope of the inspection;

v. specific details of the inspection findings; and

vi. the permit/approval number where applicable.

Where the regulatory authority prescribes mandatory forms related to inspections, the Building Surveyor must use these forms. All documents must be filed, organised, and securely stored in adherence to regulatory requirements and best practice. These records must be retained for the specified duration as legislated within each state or territory, with a documented process in place to ensure their appropriate retention and, when necessary, confidential disposal.

As mandated by relevant legislation, Building Surveyors must also ensure that timely inspection results and written reports are provided to all relevant parties.

Professional Practice & Management Responsibility

Consultation and Communication

Building Surveyors should collaborate with relevant stakeholders to address any technical or regulatory issues identified as part of the inspection.

Building Surveyors should communicate the matters to be addressed with relevant stakeholders to ensure the building work complies with the approved plans and regulatory standards. Building Surveyor statutory responsibilities limit this communication to providing information related to regulatory matters and does not involve providing design advice or consultation.

Robust Decision-Making Process

Building Surveyors and delegated qualified professionals must exercise professional judgement and discretion in making decisions when conducting inspections. They must consider relevant regulatory requirements, industry standards, practices and make decisions in the public interest.

Building Surveyors should have a robust decision-making process and be prepared to defend their actions on site, with clear and well-reasoned explanations, while providing evidence for approval or refusal of critical stage or mandatory inspections.

Technical Responsibilities

The Number of Inspections

Prior to the commencement of building work, the Building Surveyor must identify the necessary inspections for various aspects of the project. Given the diverse construction methods prevalent in modern building practices, it is impractical to prescribe all inspections.

The mandatory (critical stage) inspections, specified by relevant legislative provisions, provide a framework for Building Surveyors, however, should not be considered the only stages for inspections.

Based on the specific building characteristics, Building Surveyors should employ a risk-based approach to determine the inspections required. A risk-based approach enables Building Surveyors to focus on inspections at key construction milestones or stages and will consider:

i. the complexity of the design;
ii. proposed construction methods (whether traditional or innovative);
iii. project staging;
iv. unique design features;
v. performance solutions;
vi. feasibility of inspections for particular elements; and
vii. the criticality of building components.

Legislation

During inspections, Building Surveyor statutory responsibilities fall within the relevant legislative provisions. Building Surveyors should adhere to regulations, including the NCC and reference documents to rigorously uphold the safety, integrity, and compliance of construction projects. Enforcement may include issuing notices and orders, as well as showing cause or refusing approval at the inspection stages, where non-compliance is identified.

Inspections Checklists

Building Surveyors should develop a comprehensive checklist for the level of work they inspect. This checklist should include:

i. **Preparation –** Has all relevant documentation been reviewed, including approved plans, and regulatory requirements, commissioning data and sign off correspondence?

ii. **Safety –** Building Surveyors must ensure that the inspections are conducted safely, including but not limited to checking:

    a. appropriate Personal Protective Equipment (PPE) is worn at all times;

    b. site Occupational Health and Safety (OH&S) induction is completed; and

    c. a flashlight, measuring tape, level, camera and ladder are available.

iii. **Schedule –** Coordinate with the construction team to ensure that inspections are scheduled for the appropriate stage of construction.

iv. **Inspection –** Conduct a thorough examination of the construction site to verify that the building is ready for the inspection stage in accordance with the approved plans.

v. **Documentation –** Record the date and time of the inspection, as well as any relevant details about the building works, take appropriate notes and keep suitable documentary evidence.

vi. **Communication –** Communicate inspection findings with the relevant stakeholders.

vii. **Reporting –** Prepare an inspection report detailing your observations, including any areas of non-compliance and recommended corrective actions.

viii. **Follow-up –** Conduct follow-up inspections as necessary to verify compliance and ensure that the construction work meets all statutory requirements.

Standard 5

Project Finalisation

AIBS

Overview

Project finalisation confirms construction is complete, and a building is ready for occupancy under relevant state or territory Acts. Building occupancy is when a building is being used or inhabited by people.

Prescribed by relevant state or territory Acts, a building passing final inspection is a prerequisite to a Building Surveyor issuing final building certification. Often know as an Occupancy Certificate or Permit, final building certification legally allows the building to be used for its intended purpose.

When a Building Surveyor decides to issue final building certification, they must only consider the provisions in their relevant state or territory Building Act or regulation. Compliance with contract law, contracts and other matters, are not part of the Building Surveyor's statutory responsibilities.

Appendix Three prescribes benchmarks for this standard.

Project Finalisation Responsibilities

Inspection Responsibility

Project finalisation of a building should involve inspection(s) to verify compliance with the construction authorisation including any conditions, performance solution reports (such as fire engineering reports, acoustic reports, etc.), and regulatory standards, the NCC and referenced Australian Standards (AS).

The building final inspection represents the culmination of the inspection responsibilities conducted by the Building Surveyor to certify the completed building meets all state or territory Acts, regulations and codes of practice, is generally in accordance with the construction authorisation and ready for occupancy.

At this stage, preliminary tests and commissioning should have been completed and signed off by relevant consultants, installers and compliance matters arising during construction should be addressed and the fire brigade or other relevant authorities must be satisfied.

In forming an opinion that the building is suitable for occupation, the Building Surveyor:

i. generally relies on the visual, non-invasive inspection process;
ii. gathers necessary documents to support an application to finalise the project to determine that the building is generally in accordance with the construction authorisation and functions appropriately in relation to its fire safety measures and essential services; and
iii. may organise and witness testing/commissioning to determine that the building functions appropriately in relation to its fire safety measures and essential services.

Building Surveyor Statutory Responsibilities

At project finalisation, the statutory Building Surveyor should inspect that the structure, fire safety and health and amenity of the building, complies with the construction authorisation. The statutory Building Surveyor should rely on third party evidence for matters outside their competence or for that which cannot be visually verified.

When assessing whether the building is ready for occupancy, the Building Surveyor's statutory responsibility is to:

i. adhere strictly to state or territory legislation;
ii. prioritise the public interest and uphold rigorous standards in their assessment;
iii. review the information made available in support of the request for project finalisation;
iv. assess documentation and the inspection evidence to determine its compliance with the construction authorisation; and
v. decide if the building is safe for occupation.

When the Building Surveyor is satisfied that construction is complete and a building is ready for an occupancy certificate/permit, they should issue the occupancy certificate/permit noting conditions, limitations, specific uses to which the building can be used and as required, identify Essential Safety Maintenance requirements

Administrative Responsibilities

Before confirming construction is complete and a building is ready for occupancy, it is imperative documentation for all relevant aspects are received, including but not limited to:

i. structural adequacy;
ii. health and amenity;
iii. evidence of suitability; and
iv. the installation, testing and commissioning of required fire and life safety systems.

As prescribed by each state or territory, and within mandated timeframes, the Building Surveyor must:

i. ensure that all other required authority occupancy approvals are obtained;
ii. check conditions of the Construction Authorisation and whether it aligns with jurisdictional legislation;
iii. provide all necessary documentation and notifications to relevant stakeholders and authorities; and
iv. check all fees and charges prescribed by the state or territory Building Act or regulation for the project are paid.

All documents must be completed, filed, and stored in adherence to regulatory requirements and best practice. These records must be retained for the period legislated by each state or territory, with a documented process in place to ensure their appropriate retention and, when necessary, confidential disposal.

Professional Practice & Management Responsibilities

Building Surveyors must uphold professional practice and management principles. This involves thorough document assessment to confirm compliance with regulatory standards, including product compliance, testing, and comprehensive reviews. It is essential to prioritise document assessment over other pressures to expedite approvals for occupation, emphasising the importance of thoroughness and accuracy in the certification process.

Technical Responsibilities

In undertaking project finalisation, Building Surveyors must be satisfied the building complies with construction authorisation. This is demonstrated via sign off documents, by inspection and commissioning/testing reviews.

It is essential for matters outside the Building Surveyor's competence to involve relevant consultants in the final sign-off process to ensure a comprehensive assessment and verification of compliance.

Building Surveyor technical responsibilities include:

i. obtaining all necessary consents from fire authorities;
ii. checking the outcomes of performance solutions are achieved;
iii. assessing evidence of suitability;
iv. checking applicable test reports; and
v. obtaining certificates (for example, waterproofing and glazing).

Inspection Checklist

Building Surveyors should develop a comprehensive checklist for the level of work they inspect. This checklist should include:

i. **Preparation** – Has all relevant documentation been reviewed, including approved plans, and regulatory requirements, commissioning data and sign off correspondence?
ii. **Safety** – Building Surveyors must ensure that inspections are conducted safely, including but not limited to checking:
    a. appropriate PPE is worn at all times;
    b. site OH&S induction is completed; and
    c. a flashlight, measuring tape, level, camera and ladder are available.
iii. **Schedule** – Coordinate the inspection date with the construction team.
iv. **Inspection** – Conduct a thorough examination of the construction site, to verify:
    a. the completed building is generally in accordance with the approved plans;
    b. access and egress is provided, including access for people with disabilities;
    c. services are installed including fire services, mechanical, electrical, hydraulic, plumbing, smoke detection, power and water as required;
    d. health and amenity provisions such as energy efficiency, sanitary and other facilities are installed;
    e. safety systems, such as handrails and balustrades are installed; and
    f. fire systems are testing to operation in accordance with approved plans.

v. **Documentation –** Record the date and time of the inspection, as well as any relevant details about the building works, take appropriate notes and keep suitable documentary evidence.

vi. **Communication –** Communicate inspection findings with the relevant stakeholders.

vii. **Reporting –** Prepare an inspection report detailing your observations, including any areas of non-compliance and recommended corrective actions.

viii. **Follow-up –** Conduct follow-up inspections as necessary to verify compliance and ensure that the construction work meets all statutory requirements.

Standard 6

Compliance Enforcement

AIBS

Overview

Building Surveyors as co-regulators have a significant role ensuring compliance with building laws, maintaining technical building standards and mitigating risks associated with non-compliance.

When considering compliance enforcement responsibilities, it is necessary to delineate the jurisdiction between local government Building Surveyors and private Building Surveyors.

i. Local government Building Surveyors enforce building laws within their local government area. They have government authority and may have broader enforcement powers that extend to both the condition or use of existing buildings and structures.
ii. Private Building Surveyor's enforcement actions are limited to the projects they are engaged in. Private Building Surveyors do not have the broader statutory authority of local government Building Surveyors to investigate the unlawful use or condition of existing buildings or structures.

Appendix Four prescribes benchmarks for this standard.

Compliance Enforcement Responsibilities

Responsibilities

Building Surveyor's compliance enforcement responsibilities may include:

i. proactive identification of potential or actual non-compliance issues;
ii. causing the inspections of prescribed stages of building work to occur;
iii. managing enforcement actions, including issuing notices; and
iv. ensuring that corrective actions to rectify the identified non-compliance are executed in a timely manner.

When non-compliance is identified, and a statutory power for enforcement action exists, Building Surveyors should be aware that it must be exercised to its full extent and pursued to conclusion to ensure compliance is achieved.

When investigating alleged matters that may require enforcement action, when appropriate, Building Surveyors should initiate informal discussions with the parties involved to attempt to resolve issues by conciliation and arbitration before moving to more formal options.

When a local Government Building Surveyor considers issuing an emergency order or other enforcement actions requiring total building evacuation, this enforcement option should be a last resort, rather than the default position. Matters that should be considered include:

i. minimising disruption whilst ensuring the most appropriate and proportionate response to the non-compliance; and
ii. balancing public safety, while also considering the potential impact on individuals and communities.

Investigation Procedure

When undertaking an investigation, Building Surveyors should apply the principles of natural justice to ensure procedural fairness and impartiality. This includes:

i. providing all parties with a fair opportunity to present their case;
ii. hearing both sides of the dispute without bias;
iii. making decisions in a timely manner based on evidence rather than personal interest or prejudice; and
iv. documenting all relevant facts.

Building Surveyors should be aware of the relevant entry and investigation legal rules and procedural requirements. These rules may include, but not be limited to obtaining necessary permissions or warrants for entry into premises, respecting privacy of persons or entities being investigated, and following prescribed processes for evidence collection and documentation.

When undertaking a compliance enforcement investigation, it is important for a Building Surveyor to consider the need to obtain independent legal advice to ensure that their actions are legally sound and procedurally fair.

Impartiality

Building Surveyors must act impartially and obtain all information pertinent to the enforcement action.

In some circumstances, the investigator may also be the decision maker and in carrying out an investigation or deciding a matter, a Building Surveyor must not be unduly influenced by political, reputational or financial considerations.

When investigating a matter or making a determination, Building Surveyors must be mindful of other legal instruments, including guidelines, practice notes and court decisions. Building Surveyors must always act within the limits of their powers or delegations.

Administrative Responsibilities

Building Surveyors must:

i. communicate enforcement directives in the prescribed manner by relevant state or territory legislation;
ii. have a process to identify all enforcement directives and the ability to follow-up outstanding directives within a reasonable timeframe; and
iii. ensure investigations and decisions are made within prescribed timeframes.

Where verbal enforcement directions are permitted under law, these should be followed up with detailed written file notes.

A written enforcement directive must:

i. be accurately drafted to ensure clarity, transparency, and accountability in the enforcement process;
ii. be specific, describing the non-compliance;
iii. provide a clear record of the actions required to address the non-compliance;
iv. prescribe actions related only to the non-compliance;
v. detail timelines and the range of potential consequences if the enforcement directive is not complied with; and
vi. be legally correct and reflect statutory processes.

All communication must be:

i. retained for the period required by law; and

ii. disposed of in accordance with the relevant laws, or if there are no statutory requirements in a responsible manner.

Prior to communicating or providing information, the Building Surveyor must verify that parties are authorised to access the information and the confidentially of all parties is always respected.

Professional Practice & Management Responsibilities

Building Surveyors are required to take reasonable steps to investigate non-compliance raised by clients, regulators, third parties or a Building Surveyor carrying out their statutory functions. All complaints must be investigated but will be prioritised based on the potential severity of the matter.

When a reoccurring non-compliance is identified, Building Surveyors may consider engaging in proactive education. Education and guidance may assist in providing a more comprehensive understanding of the relevant technical standards and enhance awareness of potential hazards.

Technical Building Surveyor Responsibilities

During an investigation, the Building Surveyor must research and establish the technical and regulatory standards that were in force both at the time the original works were carried out and at the time the alleged breach occurred.

An enforcement directive must be benchmarked against clear technical standards (such as the NCC or relevant reference documents). Enforcement directives referencing the specific sections, parts or clauses of technical standards will reduce the likelihood of arbitrary decisions or subjective interpretations in the investigation and decision process, and ensure:

i. decisions are robust;
ii. consistency and fairness; and
iii. objective criteria for assessing compliance and identifying non-compliance.

The enforcement directive must clearly identify:

i. the non-compliance;

ii. how the alleged breach departed from the benchmark; and

iii. provide clear directions on how to remedy the matter based on the application of the benchmarks.

When executing an enforcement directive, statutory Building Surveyors cannot provide design advice and must limit their advice to correcting the breach, using the relevant technical standards.

Standard 7

Building Surveyor Consultant

AIBS

Overview

The administration, professional practice and technical responsibilities of a Building Surveyor consultant differ to Building Surveyor statutory responsibilities.

Subject to the scope and terms of their appointment, Building Surveyor consultants provide compliance advice, carry out third-party reviews, within their competency, advise and prepare performance-based design solutions and assist clients in complying with government regulatory frameworks, to ensure adherence to relevant codes and regulations.

Building Surveyor consultants must maintain a clear distinction between consultancy and statutory certification functions to avoid conflicts of interest whilst also balancing a public interest duty.

Building Surveyor Consultant Administrative Responsibilities

Building Surveyor consultants must implement effective administrative and professional practices, including secure documentation, risk management strategies, appropriate fee structures, and comprehensive contracts.

Building Surveyor consultants must maintain accurate records of matters relating to the scope and terms of their appointment. This includes:

i. ensuring documentation can be retrieved in a timely manner and is securely stored in accordance with regulatory requirements and professional standards. Where relevant, documents must be retained for the prescribed period and disposed of in a confidential manner;
ii. ensuring their advice is documented, providing clear and detailed reasons. This documentation should be sufficient for third parties including regulators, to understand the rationale behind decisions made to replicate outcomes and conclusions; and
iii. taking reasonable measures to safeguard and preserve the confidentiality of their clients' information. Due care and caution must be exercised when using external third party or cloud-based storage systems.

Professional Practice & Management Responsibilities

Building Surveyor consultants must adhere to professional practice and management principles. This involves implementing appropriate risk management strategies, establishing fee structures that allocate sufficient time to their tasks, and ensuring the appropriate contracts are in place relating to the scope and terms of their appointment.

Engagement

Agreements and contracts should describe:

i. the scope of services to be provided;
ii. any limitations, terms and conditions;
iii. clearly state the Building Surveyor's scope of service;
iv. identify parties to the engagement agreement; and
v. identify the specific terms and consequences under the engagement for either party to disengage from the contract.

It is essential to seek advice to ensure these agreements and contracts are comprehensive and legally sound.

Using standard contracts, such as those recommended by AIBS that are consistent with the Professional Standards Scheme, will provide clear terms and conditions that define the roles and responsibilities of all parties involved. Contracts should include specific clauses that limit the Building Surveyor's liability and ensure that risks are fairly distributed.

Fees and Charges

Building Surveyor consultants should establish appropriate fee structures for their services. This ensures they have sufficient resources to perform their duties professionally and effectively.

Complaints Systems

Building Surveyor consultants should have a complaint handling process within their place of work or company. Effective complaint handling should include the following pillars:

i. **Respectful Treatment** – Respond to customers promptly and treat them with courtesy and respect.
ii. **Information and Accessibility** – Facilitate easy access for customers to provide feedback, enabling continuous improvement.

iii. **Good Communication –** Keep customers informed about the status of their complaints or feedback where relevant under the terms and agreements with the client.

iv. **Taking Ownership –** Ensure that all team members are trained and skilled in managing consumer complaints.

v. **Timeliness –** Address consumer complaints as swiftly as possible, clearly communicating the timeframes for resolution to customers.

vi. **Transparency –** Record and analyse data on complaint handling processes to enhance service quality continually.

Communication

Building Surveyor consultants are required to provide open and transparent communication with their clients and regulators, including other relevant parties throughout their appointment. This includes:

i. providing timely feedback within the scope and terms of their appointment; and

ii. responding to inquiries and addressing concerns or issues raised by their clients, allied consultants and the statutory Building Surveyor.

Ethics

Building Surveyor consultants should provide open communication with their clients and act in the public interest. Consistent with state and territory legislation, Building Surveyor consultants must not act in the capacity of a statutory Building Surveyor for the same project.

Whilst maximising the client benefit, compliance advice should consider building codes and standards and be in the public interest.

Duty of Care to Notify Relevant Parties

If a Building Surveyor consultant identifies non-compliance or safety issues as part of their professional functions, they should notify the relevant parties or the regulator regarding those issues.

Professional Judgment and Accountability

Building Surveyor consultants must exercise professional judgement and discretion in making decisions regarding the advice they provide, considering relevant regulatory requirements, industry standards, best practices and the public interest.

Building Surveyor consultants, including allied consultants, should be prepared to justify their decisions and actions by providing clear and well-reasoned explanations and evidence.

Benchmarks - Building Surveyor Consultant

The benchmarks for this standard are:

i. **Continual Professional Development –** Members should adopt a professional development training program that ensures they are appropriately qualified, and their knowledge is relevant to the level of work they undertake.

ii. **Ethics and Conflict of Interest –** Members must adhere to the AIBS Code of Conduct and develop and implement a policy to manage conflicts of interest.

iii. **Prioritise the Public Interest –** Prioritising the public interest will be demonstrated by engagement with relevant CPD activities and adhering to the Professional Practice Standards.

Appendix

AIBS

Appendix One

Benchmarks Standard 3 – Construction Authorisation

Domain	Standards / Actions Required	
Administrative	Application for Building Approval / Construction Authorisation is fully completed and signed, where applicable.	
	Terms of Engagement Contract is duly signed by the client.	
	The retention (for the prescribed period) of finalised contracts of engagement is in the approved form.	
	For every building approval, conditions of approval that reflect the specific scope of works are provided.	
	Appointment of Building Surveyor by Building Owner is duly completed and signed.	
	Applicable notification to regulator on appointment (where applicable) is completed.	
	Relevant industry design professionals are duly registered, accredited and licenced in accordance with legislation.	
	The consistent use and retention of checklists are in place.	
	Correctly referenced current versions of the Building Act, Regulations and Code of Conduct for Building Surveyors are utilised.	
	Documented system to ensure third parties that have statutory advice or decision-making powers are consulted as required by legislation.	
	Policy documents or processes that clearly document a public interest test when performing building surveying functions are in place.	
	Processes to identify and manage potential conflicts of interest are in place. This may include, but not be limited to: i. a register of interests to identify potential conflicts of interest; and ii. checklists that document legislative provisions relevant to managing conflicts of interest.	
	Construction authorisation documentation is retained as required by legislation based jurisdictional requirements.	
	The level of insurance is appropriate for the accreditation of the practitioner and services being offered.	
Fees & Charges	All fees and charges are paid on the application of the building approval, or arrangements are in place.	
Documentation	All relevant plans to a suitable scale and detail provided in accordance with relevant state specific regulation are provided.	
	All relevant engineering plans to a suitable scale and detail are provided in accordance with relevant state specific regulation.	
	All relevant design computations are provided in accordance with state specific regulation.	

	Requirements for certificates – Checking the competency and/or registration of applicable design professionals is undertaken.	
	Relevant design-specification certificates are obtained and duly completed.	
	Design certificates are site specific and relevant Applicable local provisions have been undertaken, including relevant performance provisions identified in the design certificates.	
	Performance solutions are approved and documented in accordance with the NCC requirements.	
	A process is in place to check and record that reports or specifications that were relied upon to perform building surveying functions were prepared by suitably licenced or qualified persons.	
	Evidence of suitability is provided for materials and products and are compliant with the NCC to support the use of materials systems or designs relevant to the building approval.	
	The retention (for the prescribed period) of supporting documents is relied on in determining an application.	
	All state based legislative requirements are compliant.	
Government Regulatory Frameworks including the NCC and AS	Protection works and authorisation are assessed in accordance with state legislation and applicable guidelines.	
	All planning ordinances are consistent with approved designs, including plans and specifications.	
	Delegation is provided to relevant staff members and contractors where applicable in accordance with state and/or territory legislation.	
	Appropriate supervision is provided to staff and contractors.	
	Relevant critical stage and/or mandatory inspections are undertaken.	
Supervision & Delegation	All compliance and enforcement actions are satisfactorily resolved prior to occupation. It is noted that some jurisdictions allow building works to continue whilst the building is occupied. Refer to Practice Standard No. 6 Compliance Enforcement.	
	Relevant final building certification is completed, and compliance enforcement matters are closed off and concluded. See Practice Standard 5.	
Inspections	Relevant critical stage and/or mandatory inspections are undertaken.	
Compliance enforcement	All compliance and enforcement actions are resolved prior to occupation.	
Final building certification approval	Final building certification is completed, including compliance.	

Appendix Two

Benchmarks Standard Four – Inspections

Domain	Standards / Actions Required	
Administrative	Effective processes are in place to accept notifications of inspections and manage the carrying out of inspections within required timeframes.	
	Results of inspections are communicated within the required timeframes to all relevant parties.	
	Record of determination that third parties undertaking inspections meet statutory requirements and are appropriately qualified.	
	Detailed records are kept of the inspection process, findings, and any enforcement measures taken.	
Statutory	Required inspections are carried out in accordance with the statutory requirements.	
	Where non-compliance is identified, required enforcement actions are undertaken.	
	State and territory legislations, guidelines, codes of conduct and regulations are consulted to ensure that inspections reflect minimum statutory requirements or best practice.	
Technical	Inspections are benchmarked against relevant technical standards, such as but not limited to the NCC compliance (inc. Australian Standards).	
	Where the inspected aspect involves a performance solution, the nature and scope of the performance solution is communicated to the person undertaking the inspection.	
	Persons undertaking inspections are properly trained and competent in identifying and understanding the technical scope of the inspection.	
Risk Management	Available documentation is thoroughly reviewed, including architectural plans and previous inspection reports.	
	Appropriate PPE is worn when undertaking inspections, and any required site inductions or OH&S requirements are followed.	
	Appropriate checklists and protocols are used to ensure a comprehensive and consistent inspection process.	

Appendix Three

Benchmarks Standard 5 - Project Finalisation

Domain	Standards / Actions Required	
Administrative	Obtain and verify all assessment method evidence prior to issuing the occupancy permits.	
	Review contractual obligations to ensure all terms have been met, including payment schedules, and fulfillment of any outstanding conditions.	
	If relevant, obtain as-built drawings that reflect any variations made during construction.	
	Provide handover documentation for the client, including records of all inspections and enforcement actions.	
Statutory	Verify the project complies with relevant building regulations and codes.	
	As appliable, ensure conditions of the planning approvals have been met.	
	As applicable, confirm that all utility connections (water, gas, electricity, sewage) are installed and approved by relevant authorities.	
Technical	Conduct thorough final inspections to identify any remaining defects or incomplete works.	
	Ensure all statutory requirements, planning and other statutory administrative requirements have been complied with, and that the building meets all necessary NCC compliance benchmarks, (inc. Australian Standards).	
	Confirm fire safety systems, such as alarms, sprinklers, and emergency exits, are installed and tested according to statutory requirements. This may also require obtaining fire safety certification from the relevant fire authority if required.	
Risk Management	Rectify any non-compliance identified during the final inspection. Ensure that all work meets the required standards and specifications prior to issuing the final occupancy permit.	
	Confirm project documentation is complete, accurate, and properly filed. This includes contracts, inspection reports, and compliance certificates.	
	Maintain clear and open communication with all stakeholders, including clients, builders, other consultants and regulatory bodies, as necessary to effectively finalise the project.	

Appendix Four

Benchmarks Standard 6 – Compliance Enforcement

Domain	Standards / Actions Required	
Administrative	Collect documentation and evidence of non-compliance. This may include: i. detailed inspection reports; ii. photographs; iii. notes; and iv. any correspondence related to the suspected non-compliance issue.	
	Provide clear and concise communication to: all stakeholders, including owners; builders/contractors and relevant authorities; and explain the non-compliance issues and the steps required to rectify them.	
	Coordinate with other agencies, such as local authorities and health and safety inspectors to ensure a thorough and consistent investigation.	
	Establish a system for monitoring compliance and following up on enforcement actions.	
	Maintain accurate and detailed records of all enforcement actions, communications, and outcomes.	
Statutory	Prepare and issue formal notices and orders as required by law. This may include: i. show cause notices; ii. stop-work orders; and iii. notices of non-compliance/directions to fix.	
	Communicate compliance timelines as required by the relevant laws.	
	Advise respondents of their right to appeal enforcement actions as necessary. Provide information on the procedures and timelines for submitting appeals to ensure procedural fairness is afforded.	
Technical	Ensure a thorough understanding of the relevant NCC compliance benchmarks, regulations, and legal requirements that may form the basis of the enforcement action.	
Risk Management	Where necessary, obtain legal advice. Ensure that all enforcement actions are legally sound and defensible.	
	Assess and manage risks associated with enforcement actions. This may include considering the potential for disputes to escalate and reputational risks to the organisation.	

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