

Principal Certifying Authority Role and Occupation Certificates

Sections 81A, 109C to 109H of the EP&A Act and Clauses 149, 152 to 154 and 162 of the EP&A Regulation 2000

Development Consents and Commencement of Development Section 81A of the Act

1. Is there evidence that construction was started prior to a construction certificate being issued?	Yes / No
2. Has the certifier been nominated as the Principle Certifying Authority by the person having the benefit of the development consent? Date Signed: ___/___/___ Date of receipt: ___/___/___	Yes / No
3. Is there evidence that the certifier was satisfied if the builder was to operate as an owner/builder or otherwise prior to the work commencing?	Yes / No
4. Is there evidence that the principal certifying authority has notified the consent authority and the Council of their appointment at least 2 days prior to works commencing? Date notified: ___/___/___ Method: _____ eg. post/fax	Yes / No
5. Is there evidence that the principal certifying authority has notified the person having the benefit of the development consent of the critical stage and other inspections required throughout construction, at least 2 days prior to construction commencing?	Yes / No
6. Has the principle certifying authority been notified as to the principle contractors details (if not an owner-builder) prior to works commencing?	Yes / No

Part 4A Certification

Section 109C of the Act	
Have part 4A compliance certificates been issued by the certifier in relation to any inspections undertaken?	Yes / No

Section 109D of the Act	
If an occupation certificate has been issued? Was the person that issued the occupation certificate, the same as he/she who was appointed as the PCA	Yes / No

Section 109E of the Act	
1. Has the person having the benefit of the development consent or CDC appointed the PCA (not the builder/contractor if appointed on or after 1 July 2004)?	Yes / No
2. Is there evidence that a construction certificate has been issued for <i>“such of the building work as requires development consent and over which the principle certifying authority has control, before the work commences on-site”</i> ?	Yes / No
3. Is there evidence that the certifier has been satisfied that the principle contractor for the work is covered by appropriate insurance under the Home Building Act 1989, before any residential building work has been carried out? Or if an owner-builder, covered by an appropriate owner-builders permit?	Yes / No
4. Is there evidence that the PCA (or other certifying authority) completed the inspections as required by the Act and Regs and on other such occasions as required, prior to issuing an occupation certificate for the building work?	Yes / No
5. Is there evidence that any preconditions required by the development consent or CDC have been met prior to an occupation certificate being issued by the PCA?	Yes / No

Section 109EA of the Act	
Has the principle certifying authority been replaced at any time?	Yes / No
Has the relevant authority approved of the replacement in writing, prior to the new PCA being appointed? Name of new certifier: _____ Date of Transfer: ___/___/___	Yes / No

Clause 162 of the Regulations	
Has the newly appointed PCA notified the consent Authority and/or Council within 2 days of the appointment? (Not required if Council approved the appointment.) Date advised: ___/___/_____	Yes / No

Critical Stage Inspections

Clause 162A and 162B of the Regulations

Class 1 and 10 Buildings

Commencement of building works – (Pre-commencement Inspection)

Date of Inspection: ____/____/____

Inspection Undertaken by:

- PCA
- Nominated AC
- Suitably qualified person
- Other

Does the record of the Inspection contain the following information?

- DA/CC or CDC No:
- Address
- Type of Inspection
- Result of Inspection

Name of AC: _____ Accreditation No: _____

After excavation and prior to placement of footings – (Footings Inspection)

Date of Inspection: ____/____/____

Inspection Undertaken by:

- PCA
- Nominated AC
- Suitably qualified person
- Other
- (Must be undertaken by PCA after 1 July 2005)

Does the record of the Inspection contain the following information?

- DA/CC or CDC No:
- Address
- Type of Inspection
- Result of Inspection

Name of AC: _____ Accreditation No: _____

Prior to pouring concrete – (Steel Inspection)

Date of Inspection: ____/____/____

Inspection Undertaken by:

- PCA
- Nominated AC
- Suitably qualified person
- Other
- (Must be undertaken by PCA after 1 July 2005)

Does the record of the Inspection contain the following information?

- DA/CC or CDC No:
- Address
- Type of Inspection
- Result of Inspection

Name of AC: _____ Accreditation No: _____

Prior to covering framework or other building element – (Framework Inspection)

Date of Inspection: ____/____/____

Inspection Undertaken by:

PCA

Nominated AC

Suitably qualified person

Other

(Must be undertaken by PCA after 1 July 2005)

Does the record of the Inspection contain the following information?

DA/CC or CDC No:

Address

Type of Inspection

Result of Inspection

Name of AC: _____ Accreditation No: _____

Prior to application of waterproofing in wet areas – (Wet Area Inspection)

Date of Inspection: ____/____/____

Inspection Undertaken by:

PCA

Nominated AC

Suitably qualified person

Other

(Must be undertaken by PCA after 1 July 2005)

Does the record of the Inspection contain the following information?

DA/CC or CDC No:

Address

Type of Inspection

Result of Inspection

Name of AC: _____ Accreditation No: _____

Prior to covering any stormwater drainage connections – (Stormwater Inspection)

Date of Inspection: ___/___/___ Inspection Undertaken by: PCA <input type="checkbox"/> Nominated AC <input type="checkbox"/> Suitably qualified person <input type="checkbox"/> Other <input type="checkbox"/> (Must be undertaken by PCA after 1 July 2005)	Does the record of the Inspection contain the following information? DA/CC or CDC No: <input type="checkbox"/> Address <input type="checkbox"/> Type of Inspection <input type="checkbox"/> Result of Inspection <input type="checkbox"/>
Name of AC: _____ Accreditation No: _____	

After completion of building work and prior to issue of Occupation Certificate – (Completion Inspection)	
Date of Inspection: ___/___/___ Inspection Undertaken by: PCA <input type="checkbox"/> Nominated AC <input type="checkbox"/> Suitably qualified person <input type="checkbox"/> Other <input type="checkbox"/> (Must be undertaken by PCA after 1 July 2005)	Does the record of the Inspection contain the following information? DA/CC or CDC No: <input type="checkbox"/> Address <input type="checkbox"/> Type of Inspection <input type="checkbox"/> Result of Inspection <input type="checkbox"/>
Name of AC: _____ Accreditation No: _____	

Class 2, 3 and 4 Buildings	
Commencement of building works – (Pre-commencement Inspection)	
Date of Inspection: ___/___/___ Inspection Undertaken PCA Name of PCA: _____ Accreditation No: _____	Does the record of the Inspection contain the following information? DA/CC or CDC No: <input type="checkbox"/> Address <input type="checkbox"/> Type of Inspection <input type="checkbox"/> Result of Inspection <input type="checkbox"/>

Prior to application of waterproofing in wet areas – (Wet Area Inspection)
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Date of Inspection: ____/____/____	Does the record of the Inspection contain the following information?
Inspection Undertaken PCA	DA/CC or CDC No: <input type="checkbox"/>
Name of PCA: _____	Address <input type="checkbox"/>
Accreditation No: _____	Type of Inspection <input type="checkbox"/>
	Result of Inspection <input type="checkbox"/>

Prior to covering any stormwater drainage connections – (Stormwater Inspection)	
Date of Inspection: ____/____/____	Does the record of the Inspection contain the following information?
Inspection Undertaken PCA	DA/CC or CDC No: <input type="checkbox"/>
Name of PCA: _____	Address <input type="checkbox"/>
Accreditation No: _____	Type of Inspection <input type="checkbox"/>
	Result of Inspection <input type="checkbox"/>

After completion of building work and prior to issue of Occupation Certificate – (Completion Inspection)	
Date of Inspection: ____/____/____	Does the record of the Inspection contain the following information?
Inspection Undertaken PCA	DA/CC or CDC No: <input type="checkbox"/>
Name of PCA: _____	Address <input type="checkbox"/>
Accreditation No: _____	Type of Inspection <input type="checkbox"/>
	Result of Inspection <input type="checkbox"/>

Class 5, 6, 7, 8 and 9 Buildings

Commencement of building works – (Pre-commencement Inspection)	
Date of Inspection: ____/____/____	Does the record of the Inspection contain the following information?
Inspection Undertaken PCA	DA/CC or CDC No: <input type="checkbox"/>
Name of PCA: _____	Address <input type="checkbox"/>
Accreditation No: _____	Type of Inspection <input type="checkbox"/>
	Result of Inspection <input type="checkbox"/>

Prior to covering any stormwater drainage connections – (Stormwater Inspection)	
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Date of Inspection: ____/____/____ Inspection Undertaken PCA Name of PCA: _____ Accreditation No: _____	Does the record of the Inspection contain the following information? DA/CC or CDC No: <input type="checkbox"/> Address <input type="checkbox"/> Type of Inspection <input type="checkbox"/> Result of Inspection <input type="checkbox"/>
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After completion of building work and prior to issue of Occupation Certificate – (Completion Inspection)	
Date of Inspection: ____/____/____ Inspection Undertaken PCA Name of PCA: _____ Accreditation No: _____	Does the record of the Inspection contain the following information? DA/CC or CDC No: <input type="checkbox"/> Address <input type="checkbox"/> Type of Inspection <input type="checkbox"/> Result of Inspection <input type="checkbox"/>

Record of Missed Inspections - Clause 162C of the Regulations	
Have any mandatory inspections been missed? Details: _____	Yes / No
Has the PCA kept a record of missed inspections? Details: _____	Yes / No

<p>Does the record of missed inspections include the following information?</p> <ol style="list-style-type: none"> 1. A description of the development to which the record relates and of class of the building concerned. <input type="checkbox"/> 2. The address and land title particulars (such as the Lot and DP numbers) of the property concerned. <input type="checkbox"/> 3. The registered number of the development consent and the construction certificate or of the complying development certificate. <input type="checkbox"/> 4. The name and accreditation number of the principal certifying authority. <input type="checkbox"/> 5. The name, address and telephone number of the principal contractor or owner builder and, if that person is required to be the holder of a licence or permit, the number of that licence or permit. <input type="checkbox"/> 6. Particulars of the inspection that was missed and of the circumstances that the principal certifying authority considers were unavoidable that caused it to be missed. <input type="checkbox"/> 7. A statement that the principal certifying authority is satisfied that the work that would have been the subject of the missed inspection was satisfactory. <input type="checkbox"/> 8. The documentary evidence that was relied on to satisfy the principal certifying authority that the work that would have been the subject of the missed inspection was satisfactory, including (but not limited to) documentary evidence of a kind referred to in Part A2, clause A2.2, of the <i>Building Code of Australia</i>. <input type="checkbox"/> 	<p>Yes / No</p>
<p>Is there evidence that the PCA has notified the person by whom they were appointed and/or the principle contractor and/or the owner-builder as soon as practicable after becoming aware the inspection was missed? (Clause 162C(5) of the Regs)</p>	<p>Yes / No</p>
<p>Is there evidence that the PCA has sent a record of the missed inspection to the accreditation body and the person by whom they were appointed? (Clause 162C(5) of the Regs)</p>	<p>Yes / No</p>

Applications for Occupation Certificates

Clause 149 of the EP&A Regulations

<p>Does the application for an occupation certificate contain the following information and documentation?</p> <ol style="list-style-type: none"> 1. The name and address of the applicant <input type="checkbox"/> 	<p>Yes / No</p>
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2. A description of the building to which the application relates, including the existing and new classifications of the building under the <i>Building Code of Australia</i> , as identified by the development consent	<input type="checkbox"/>	
3. The address, and formal particulars of title, of the land on which the building to which the application relates is situated	<input type="checkbox"/>	
4. The type of occupation certificate applied for (that is, interim or final)	<input type="checkbox"/>	
5. A list of the documents accompanying the application	<input type="checkbox"/>	
6. A copy of the relevant development consent or complying development certificate	<input type="checkbox"/>	
7. A copy of any relevant construction certificate	<input type="checkbox"/>	
8. A copy of any relevant fire safety certificate	<input type="checkbox"/>	
9. A copy of any relevant compliance certificate	<input type="checkbox"/>	
10. In the case of an application with respect to development the subject of a condition requiring commitments listed in a BASIX certificate to be fulfilled, the application must also be accompanied by a copy of the relevant BASIX certificate for the development	<input type="checkbox"/>	
11. Was the application sent by post, hand delivered or transmitted electronically to the principal office of the certifying authority. (Not to be sent by facsimile transmission.)	<input type="checkbox"/>	
12. Immediately after it receives an application for an occupation certificate, the certifying authority must endorse the application with the date of its receipt.	<input type="checkbox"/>	

Restrictions on issue of occupation certificates
Clause 109H of the EP&A Act

Interim occupation certificate

Final occupation certificate

<p>Have the preconditions to the issue of the certificate for the Development Consent or Complying development certificate been met?</p>	<p>Yes / No</p>
<p>Have the following requirements been met to allow the issue of the interim certificate:</p> <ul style="list-style-type: none"> <p>that a development consent or complying development certificate is in force with respect to the building, and <input type="checkbox"/></p> <p>• that a development consent or complying development certificate is in force with respect to the building, and <input type="checkbox"/></p> <p>• in the case of a building erected pursuant to a development consent but not a complying development certificate, that a construction certificate has been issued with respect to the plans and specifications for the building, and <input type="checkbox"/></p> <p>• that the partially completed building is suitable for occupation or use in accordance with its classification under the <i>Building Code of Australia</i>, and <input type="checkbox"/></p> <p>• that such other requirements as are required by the regulations to be complied with before such a certificate may be issued have been complied with. <input type="checkbox"/></p> 	<p>Yes / No</p>
<p>Has an <u>interim</u> occupation certificate for the development to authorise a person to commence a new use in part of a building resulting from a change of building use of an existing building been issued and has the certifying authority been satisfied of the following:</p> <ul style="list-style-type: none"> <p>• that a development consent or complying development certificate is in force with respect to the change of building use, and <input type="checkbox"/></p> <p>• that the part of the building is suitable for occupation or use in accordance with its classification under the <i>Building Code of Australia</i>, and <input type="checkbox"/></p> <p>• that such other requirements as are required by the regulations to be complied with before such a certificate may be issued have been complied with. <input type="checkbox"/></p> 	<p>Yes / No</p>

<p>Has a final occupation certificate been issued to authorise a person to commence occupation or use of a new building and has the certifying authority been satisfied of the following:</p> <ul style="list-style-type: none"> • that a development consent or complying development certificate is in force with respect to the building, and <input type="checkbox"/> • in the case of a building erected pursuant to a development consent but not a complying development certificate, that a construction certificate has been issued with respect to the plans and specifications for the building, and <input type="checkbox"/> • that the building is suitable for occupation or use in accordance with its classification under the <i>Building Code of Australia</i>, and <input type="checkbox"/> • that such other matters as are required by the regulations to be complied with before such a certificate may be issued have been complied with. <input type="checkbox"/> 	<p style="text-align: center;">Yes / No</p>
<p>Has a final occupation certificate been issued to authorise a person to commence a new use of a building resulting from a change of building use for an existing building and has the certifying authority been satisfied of the following:</p> <ul style="list-style-type: none"> • that a development consent or complying development certificate is in force with respect to the change of building use, and <input type="checkbox"/> • that the building is suitable for occupation or use in accordance with its classification under the <i>Building Code of Australia</i>, and <input type="checkbox"/> • that such other matters as are required by the regulations to be complied with before such a certificate may be issued have been complied with. <input type="checkbox"/> 	<p style="text-align: center;">Yes / No</p>