

Internal Audits

Training for Building Consent Authorities

Roger Austin
Austin Solutions Limited
May 2007

Why audit?

- Monitor how a system is working
 - Is it effective?
 - Is it performing as designed?
 - Are changes needed?
- Monitor compliance with Regulations

Why do BCA's need to audit?

- Regulation 5
 - Are your systems, policies and procedures appropriate?
- Regulation 6
 - Does practice follow procedure?

What does my signature mean?

- Taking responsibility
- Delegated authority
- Requisite knowledge and experience
- Trained
- Currently competent

Internal Audit Procedure

Auditor

1. Meet building officer
2. Identify procedure(s) being audited
3. Complete 1st section of audit worksheet
4. Check if procedure is current and controlled
5. Is the officer trained and competent?
6. Are there any areas within this process where the officer needs supervision?

Types of Evidence

- Flow or process charts
- Documented procedures
- Checklists
- Forms
- Competency assessments
- Skills Matrices
- Training records
- Calibration records

Technical Assessment

- Building officer is technical assessor
- Have all investigations been undertaken in an appropriate technical manner?
- Have all decisions been properly recorded?
- Keep a copy of all checklists and forms and attach to this audit worksheet.

Equipment

- Calibrated? Current?
- Was it used according to its appropriate procedure?
- Was safety on site observed at all times?

Documentation

- Has all of the documentation used in the process been filed in the project file?
- Confirm long term storage requirements are being met.

Final Steps

1. Auditor and building officer review and sign off worksheet
2. Any disagreement should be noted and signed
3. File worksheet and any attached documentation in BCA audit file
4. Building manager review audit
5. Discussion with team
6. Action any changes as appropriate

Why record the audit?

- Good quality management practice
- Evidence you do what you say you do
- Opportunity for improvement
- Requirement of the Regs leading up to 2010