



Purpose

The purpose of this document is to develop audit processes to ensure quality assessments are carried out and recorded in accordance with policy and procedures for the processing of building consents, carrying out inspections and the storage/accessibility of all related documentation.

Scope

This document is used when carrying out an audit of the processing of a building consent or carrying out any on-site inspection audits. The audit process is to show that due consideration has been given to the level of expertise and knowledge that is required of the building officer for the various technical sections.

Roles and responsibilities

The roles and responsibilities of each person involved in the process is listed as follows.

Team leader (TL): Ensures staff have the required competency to process the applications or carry out the required inspections.

Quality control officer (QCO): Audits processing or inspections staff to ensure that the quality of their documentation, process's and results are in compliance with council's policies and procedures along with the requirements of the Building Act and any other referenced associated Acts.

Abbreviations and acronyms

BA2004, Building Act 2004

Building code 1992, including all relevant amendments

WorkSmart: a council computer program for recording information relating to building consent inspections etc.

EDMS: Electronic document management system

BLD-4.3-FORM, Residential building consent processing checklist

BLD-4.4-FORM, Commercial building consent processing checklist

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Procedure

Step #	Description	Responsibility
1	<p>Request audit/scheduled audit</p> <p>An audit can be requested by a TL (or manager, if applicable) for residential or commercial building consents. A scheduled audit normally occurs when the auditor has allocated a time slot to carry out an audit, scheduled inspection audits are normally arranged with the respective teams being notified in advance, ie. > 24 hours notice.</p> <p>Note: A scheduled building inspection audit occurs when the auditor attends the job with the inspector. The auditor completes an audit checklist on-site, ie. BLD-4.3-FORM or BLD-4.4-FORM.</p> <p>A checklist is completed by the auditor, to verify that the items have been addressed.</p>	QCO, TL, Manager
2	<p>Auditee selection</p> <p>The inspections auditor decides who they are going to go on-site with but has normally had a selection of staff requested by a TL or another QCO from building control team.</p> <p>The processing auditor will normally select randomly a consent to be audited, but sometimes will receive specific requests form TL's or other QCO's</p>	TL, QCO
3	<p>Full or short audit</p> <p>The length of an audit, ie. short or full, depends on how much time the auditor has allocated to spend on analysing the information associated with the consent, or how many are intended to be reviewed during that day. Short audits are usually less than one hour and will not pick-up on all the technical and system deficiencies as accurately as a full audit.</p> <p>The techniques used for conducting short audits are as follows for the various QCO's</p> <p>For processing: This consists of reviewing the plans and associated documentation. There is a brief view of the computer system. The reporting method is to make recommendations and observations on the checklist used. If there are any doubts about the suitability of the plans or other documents, the consent may be recommended for a full audit.</p> <p>For inspections: This consists of a computer audit, ie. selecting individual lists of inspections an individual officer has carried out. A spreadsheet is then generated summarising these results. At any given day the results from WorkSmart and EDMS are compared to see if all the information is correct.</p> <p>A full processing audit requires about 3-5 hours. This will consist of checking all documents and computer entries. Technical issues such as, deficiencies with bracing, cladding, ventilation, safety and many other code items. In addition, system issues are identified and may address how things are done within our various operations, or clarify if all parties have followed the required processes.</p>	QCO



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3	<p>Full or short audit continued Recommendations are made for actions to be carried out, for that particular consent prior to issuing, or for operational items, to achieve greater quality through recognising opportunities. This could be for staff to perform differently or correctly as per the documented procedures or a recommendation for a change to a process.</p> <p>A full inspections audit is an on-site inspection and involves several inspections on that day with the same inspector. The inspector is reviewed for their actions and technical ability. Recommendations are made about if an inspection should be passed or not and what training is required or what processes should be followed or changed for all staff. For on-site inspections full audits are when the auditor accompanies the inspector for the entire or part of the day.</p>	QCO
4	<p>Assessment For a processing short audit a combined checklist/report is generated. For a processing full audit: a checklist together with a separate full report is generated. For short audit inspections: a spreadsheet with results of computer audits is used. For inspections: a full audit, a checklist and separate report is generated.</p>	QCO
5	<p>Requires full audit If there is any doubt about the suitability for issuing a consent while conducting a short audit and there is and/are important issue/s noted, the consent may be referred to having a full audit conducted.</p>	QCO
6	<p>OK to approve After the audit process, the auditor decides if there are issues to be addressed. If there are no issues to address, the consent is issued. Or if an inspection audit, the inspection result from the inspections officer, is upheld. If there are issues, proceed to the next step.</p>	QCO
7	<p>Can settle issues If there are issues, they can be settled in the following ways. For inspections: For a full audit the issues are raised on-site with the inspector. If there is no resolution between the inspector and the auditor, the TL or manager will make the final decision. But the inspection must not be passed until that decision is finalised. For processing: the recommendations are listed in the audit report. The TL will assess and decide whether to action or not. However, communications are still held to clarify and feedback from the TL is recorded by the auditor, as to the results of the recommendations.</p>	QCO, TL



Step#	Description	Responsibility
8	<p>Audit report TL and/or manager</p> <p>The TL or manager decides whether or not remedial action is required. But should be discussing thoroughly with the auditor and provide the written feedback.</p>	TL, Manager
9	<p>Remedial action required</p> <p>The auditor lists the actions required to address the issues in their audit report. Recommendations will be made for remedial work for that consent, prior to issue or passing an inspection.</p> <p>Likewise recommendations will be made for training for the officer or the relevant team/s.</p> <p>Recommendations may also be made to improve a process or operation.</p>	QCO
10	<p>TL or manger to make final decision</p> <p>TL agrees or disagrees with the auditor's recommendations. A written feedback should be provided to the auditor for filling the results of that audit.</p>	TL
11	<p>Remedial action completed</p> <p>Following the auditor's recommendations, the items that need to be corrected are completed. The details are provided to the auditor on the feedback document.</p>	
12	<p>Completed and approved</p> <p>Documentation is complete and the consent is prepared for issuing.</p> <p>If an inspection is held off for approving, the finalised result is to then dictate the result of that inspection.</p>	
13	<p>Summarise results in monthly report</p> <p>The results of the number of audits are summarised in the monthly report. The report includes an overview of issues discovered during audits, recommendations for improvements for staff training and system operations.</p> <p>The reports will also record graphs and results as detailed on QA spreadsheets, with an intention of recording and demonstrating any trends that may be occurring.</p>	