



Purpose

The purpose of this document is to describe the verification of the implementation and effectiveness of the Quality System by periodic independent systems audits.

Scope

The manager building control regulatory services is responsible for scheduling the audits, and nominating the auditor(s), approving reports and corrective actions. The internal systems audit is scheduled to happen within a particular quarter of the year. A team member escorts the auditor(s) during the audit and ensures that identified remedial actions are completed within agreed time scales. This procedure applies to all internal quality audits, health and safety audits are outside the scope of this procedure.

References

BA Building Act 2004

BLD-56.0-POL, Management review

BLD-65.2-PROC, Internal technical audits

NZBC, New Zealand building code

Policy

Auditor requirements

- Must have a background of appropriate qualifications, education and experience.
- Must not be a team member, if this is not possible, one independent employee is added to the audit team.

Arranging an audit by the manager

- Nominate the auditor(s)
- Ensure the scope of the audit is known to the auditor(s).

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| | Name | Title | Date |
|-------------|---------------|--|-------------|
| Author | Ian Todd | Contract QA Analyst | |
| Approved by | Ian McCormick | Manager Building Control Regulatory Services | |
| Issued by | Bob de Leur | Principal Building Officer | |
| Version | Draft 1 | Date issued | Expiry date |



Performing the audit by the nominated auditor(s)

- Prepare the audit checklist (see section **Audit Report Format** for report format and checklist), which becomes the audit report during the audit.
- Provide a minimum of two working days notice of the audit date and scope to the relevant laboratory team members.
- Conduct the audit up to a maximum period of three consecutive days as follows.
 - Conduct interviews, examine documentation and observe physical evidence of activities and conditions in the laboratory area.
 - Confirm information gathered through interviews with physical observations, measurements and records.
 - Record all observations, both compliant and non-compliant in the internal systems audit report.
 - Wherever possible, immediately notify the escort(s) of any non-conformance so that corrective actions can be prepared immediately as in BLD-65.2-PROC.
 - Investigate any potential non-conformance, even if it is not covered by the checklist/report, to decide on its status as a non-conformance.
- Complete the audit report prepared in the **Audit Report Format**. For an observed non-conformance cite the relevant section of the policy or procedure to which the non-conformance relates, and provide an example(s) and supporting documentation, where appropriate, to illustrate the non-conformance.
- Forward the report to the manager building control regulatory services.

Checking the audit report by the manager

- Ensure that all audit checklists in the audit report have been completed.
- Where deficiencies are noted, ensure that an explanation is detailed in the commentary section at the side of each page of the report, and that any recommended corrective action is noted.
- Forward a copy of the audit report to the laboratory team members for discussion.

Action taken by the manager

- Convene a meeting with the team to discuss the findings in the audit report.
- Assign the appropriate team member for each corrective action (refer BLD-65.2-PROC).
- Document the details of corrective actions, responsibility and target completion dates.



Approving audit report and follow up actions by the manager

- Approve the audit report by signing and dating the front page.
- Prepare the follow-up checklist, which includes the following information.
- Audit date.
- Brief description of corrective actions required.
- Corrective actions authors.
- Target date(s).
- Date corrective action completed.
- Follow-up evidence (eg. corrective action reference).
- Complete the first four sections of this checklist, attach it to the audit report, and file securely in the office.
- Forward a copy of the follow-up checklist to all responsible staff nominated in the **Action taken by the Manager** section.

Audit follow-up

- Authors of corrective actions complete the actions according to BLD-65.2-PROC.
- The manager approves all completed corrective actions and completes the last section of the follow-up checklist.
- If a corrective action involves a follow-up audit or verification, the manager or delegate performs the audit and attaches the follow-up audit report to the original report.
- If a corrective action is not been completed by the target date, the manager contacts the responsible person and resolves the issues and sets a new target date.
- The manager securely files the completed audit report and attachments in the office.
- 'External' audits conducted by third parties are followed up in the same manner.



Audit report format

Auckland City Environments systems audit report

Date of audit:

Name of auditor:

Scope of audit:

BCA compliance etc.

Critical/major concerns:

Auditor's signature(name) date:.....

Manager's approval(name) date:.....



Audit report programme

Auckland City Environments systems audit report programme

| Requirements | Compliance Yes/No | Comments/Corrective actions |
|--|------------------------------|------------------------------------|
| Management responsibility | | |
| Internal technical audits | | |
| Quality assurance system | | |
| Responsibility and authority | | |
| Technical training programme | | |
| Document control | | |
| Inspection, measuring and test equipment | | |
| Technical library | | |
| Corrective action | | |
| Non compliance reports | | |
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