



Purpose

The purpose of this document is to develop technical audit processes to ensure quality assessments are conducted in accordance with the policy and procedures for the processing of building consents, certificates of acceptance, conduction of inspections and the storage/accessibility of all related documentation.

Policy

An internal technical audit regime will be developed and maintained that shall:

- Provide feedback on the performance of individual staff as an input to their competency assessment and personal development plan.
- Provide surety as to the quality and consistency of key process outputs.
- Identify performance, procedure and system improvement opportunities.
- Identify deficiencies on and initiate corrective action as required.
- Ensure the continuous suitability and effectiveness of its systems, procedures and its compliance with regulatory requirements.

Results from internal technical audits must be:

- Recorded
- Dated
- Undertaken using the correct audit checklist
- Recorded with sufficient notes to demonstrate the rationale for any decisions taken
- Key decisions/outcomes must be recorded
- Results must be filed along with any checklists used in the **‘internal technical audit folder’** for each discipline.

During reviews, non-compliances shall be categorised as follows:

O denotes observation. An isolated lapse of non-compliance which may result in a recommendation to improve performance

CA denotes corrective action. A lapse of non-compliance which may have immediate impact on quality and requires immediate attention

CCA denotes critical corrective action. A lapse which requires immediate attention, which if not rectified will result in Auckland City Environments being in non-compliance with the Regulations.

Team leaders are responsible for resolving corrective actions within their areas of responsibility in a timely and effective manner.

The number and form of the internal technical audits conducted will be as directed by the building control manager.

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Version	Draft 1	Date issued	Expiry date	



Scope

This document is used when carrying out an audit of the processing of a building consent, certificate of acceptance, building incident 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.

References

BA2004, Building Act 2004

Building Code 1992, including all relevant amendments

BLD-4.3-FORM, Residential building consent processing checksheet

BLD-4.4-FORM, Commercial building consent processing checksheet.

Roles and responsibilities

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

Team leader

- Identifies consents for audit in some audit types.
- Provides QA feedback to respective officers together with linking to staff competency and staff development plans.
- Ensures that corrective action are actioned and those actions recorded in the audit log.

Delegated internal auditor

- Conducts the audit.
- Records and files any documentation arising from the audit in the audit log.
- Initiates unscheduled audits when necessary [when errors are identified etc]
- Identifies any corrective action and monitoring its resolution.
- Raises the results of the audit to the relevant staff/team leader concerned.
- Documents any recommendations for people, processes or systems.
- Reports the results of audits conducted to the BCM on not more than a monthly basis.

Building control manager

- Ensures that regular audits are being performed to targeted volume and comply with documented process.
- Ensures that any corrective actions are actioned.
- Ensures that any trends in omissions/divergence from best practice are recognised and appropriate mitigation/rectification action is taken.
- Mediates in the instance that there is a difference of opinion between the auditor and any team leader/ manager on identified corrective action arising from any audit of a staff members work.
- Approves an audit procedure for any area/ audit frequency and authorises the auditor to conduct the process.



Abbreviations and acronyms

BCM	Building Control Manager
COA	Certificate of acceptance
EDMS	Electronic document management system
RFS	Request for service
W/S	WorkSmart: a council computer program for recording information relating to building consent inspections etc.

1 Building consent approval audit

The following audits checksheets are used: BLD-4.3-FORM and BLD-4.4-FORM.

Audit type	Frequency	Responsibility	Identified through
Long audit	Min two per month	Delegated internal auditor	<ul style="list-style-type: none"> Audit programme Probationary assessment Identified concerns
Short audit	Min 10 per month	Delegated internal auditor	<ul style="list-style-type: none"> Audit programme Probationary assessment Identified concerns, including failed quality check.
Quality check	All consents (except complexity #1)	Delegated internal auditor	<ul style="list-style-type: none"> All consents other than fireplaces and drainage separation prior to 'approval for uplift.'

The following approach details the procedure to be followed for short and long audits:

Step #	Building consent approval process audit	Responsibility
1	Select consent to audit and forward	Team leader
2	Review consent/log into audit log]. Note: In the case of quality check consents are forwarded to the delegated internal auditor prior to approval for uplift.	Delegated internal auditor
3	Evaluate consent against checklist. Refer to Long audit/short audit/mini audit.	Delegated internal auditor
4	Update audit log and return consent. Detail if correct action is required prior to issue.	Delegated internal auditor
5	Review checklist and consent with officer audited.	Team leader
6	Conduct any necessary corrective action as indicated. Note: In the case of a quality check, the identification of a non-compliance triggers a short audit on the consent in question by the Delegated internal auditor.	Team leader
7	Feedback any results to staff as input into their personal development plan/competency level.	Team leader



The following procedure details the procedure for performing Quality checks:

Step #	Description	Responsibility
1	Forward processed consent application for quality check (place in audit bin).	Processing officer
2	Review consent. Check the following: <ul style="list-style-type: none"> Plans etc stamped correctly. Calculations and PS supplied. Don't check if right or not, just confirm they are included. All relevant specialists have reviewed consent. View the plans and species in a quick overview, to observe any obvious errors on the plans or support documents. Only obvious items need to be looked at a bit closer. Do not investigate if correct, unless obvious. View the report created by the processing officers. Are conditions relevant to application? Discuss any obvious issues with the processing officer. 	Delegated internal auditor
3	Record findings in the quality check spreadsheet. This includes whether any non-compliance was identified and confirming that a short audit was conducted or details of how the issue resolved if by some other means.	Delegated internal auditor
4	Undertake a short audit. Follow the checklist if evidence of non-compliance uncovered in quality check. Refer building consent approval process audit BLD-65-PROC, Internal technical audit.	Delegated internal auditor
5	Forward the packets to the dispatch section for continuation of the building consent approval process/approval for uplift.	Delegated internal auditor

2 Building on-site inspection audit

Audit type	Frequency	Responsibility	Identified through
On-site inspection audit	Min 20 per month	Delegated internal auditor	<ul style="list-style-type: none"> Audit programme Probationary assessment Identified concerns.

3 Building incident audit

Audit type	Frequency	Responsibility	Identified through
Building incident audit	Min three per month	Delegated internal auditor	<ul style="list-style-type: none"> Audit programme Probationary assessment Identified concerns.



The following procedure is followed.

Step #	Building incident audit	Responsibility
1	Select incident to audit based on programme.	Delegated internal auditor
2	Review incident record against incident checklist.	Delegated internal auditor
3	Record findings on checksheet.	Delegated internal auditor
4	Update audit log with details and result of audit	Delegated internal auditor
5	Communicate audit findings to building incidents team leader	Team leader
6	Discuss findings with staff member and take any requisite corrective actions. This audit result becomes an input into the case managers personal development plan.	Team leader
7	Update audit log with result of audit/corrective action taken. Note: The internal technical audit results are an input into the monthly quality assurance meeting.	Team leader

4 Certificate of acceptance audit

Audit type	Frequency	Responsibility	Identified through
COA audit	Min three per month	Delegated internal auditor	<ul style="list-style-type: none"> Audit programme (random) Probationary assessment Identified concerns.

The following procedure is followed.

Step #	COA audit	Responsibility
1	Select COA to audit based on programme.	Delegated int. auditor
2	Review application and associated documentation.	Delegated int. auditor
3	Review Inspection records.	Delegated int. auditor
4	Review decision making regarding acceptance or rejection for COA.	Delegated int. auditor
5	Review sufficiency of fees charged.	Delegated int. auditor
6	Update audit log with details and result of audit.	Delegated int. auditor
7	Communicate audit findings and any corrective actions to COA officer's supervising team leader.	Delegated int. auditor
8	Discuss findings with staff member and take any requisite corrective actions. This audit result becomes an input into the COA officer's personal development plan.	Team leader
9	Update Audit log with result of audit/corrective action taken. Note: The internal technical audit results are an input into the monthly quality assurance meeting.	Team leader



5 Building warrant of fitness (BWOFF) audit

A random sample of 5% of BWOFF renewal is audited. This includes a physical on-site inspection comparing the systems specified in the compliance schedule with what exists on site. The results of the audit are documented and forwarded to the building warrant of fitness officer who collates the documentation and takes appropriate escalation action which shall include the issue of a notice to fix for any non-compliance with the compliance schedule.

6 Reporting

The following procedure is followed.

Step #	Reporting	Responsibility
1	Collate results of all audit formats on audit database G:\Ace\Internal technical audit\Monthly reports\Bob	Delegated internal auditor
2	Enter trend results into draft monthly audit (MAR) report and forward.	Delegated internal auditor
3	Receive draft MAR and review with quality officer as required.	Delegated internal auditor
4	Attach to monthly report.	Delegated internal auditor
5	Identify log any process procedural, people, system improvement opportunities.	Delegated internal auditor

7 Quality actions taken

Each month the monthly audit reports are considered as part of the monthly quality assurance monthly meeting. The observations and corrective actions, critical corrective actions identified are reviewed and any recommendations to address [over an above any immediate action that may have been required to be taken at the time] are considered and any required actions determined.

The following procedure is followed.

Step #	Reporting	Responsibility
1	Circulate monthly audits reports prior to quality assurance monthly meeting.	Delegated internal auditor
2	Review monthly reports and recommendations prior to monthly meeting	Team managers
3	Conduct meeting. Walk through previous actions taken from Quality action taken report and update status/resolution. Determine any additions actions required based on new reports and assign with timeframes.	BCM
4	Action task. Action any assigned task within agreed timeframe.	Team manager