

LOGO

BCA internal Audits (Crossover Audits)

Background:

In any operational system that includes a mixture of processes, people and equipment, to ensure that the system is operating effectively, there must be regular monitoring of the way in which the system is working.

This includes the fact that there must be written procedures in place and that those procedures are being followed.

This monitoring takes the form of an audit and, properly used will identify a number of features of the operation that can assist with maintaining ongoing compliance with externally or internally applied regulations, or improving the way in which work is carried out.

The audit can look at a number of aspects of an operation including:

- Are the individual processes that make up the operation being effectively and efficiently performed and managed?
- Are there aspects of the operation that are not being performed or are being performed in a way that it is difficult to demonstrate compliance?
 - What is the impact of this?
 - Are there changes to the process needed?
 - Is further training needed?
 - Is equipment maintenance being carried out and is it effective?
- Are procedures being followed?
- Are the outcomes of these procedures appropriate?

Compliance with written Standard Operating Procedures (SOPs) is a sound way of minimizing risk for the customer, the council and for the individual building officer.

Compliance with appropriate standards, by-laws, rules, and regulations is a basic requirement of any quality system.

The Audit Process:

Auditing may take many forms, from:

external audits where expert professionals look at critical aspects of various functions (eg. Price Waterhouse Cooper and financial systems. IANZ and quality systems).

Or: they can be undertaken by expert professionals from within the organization, who can look at critical aspects of an operation. (eg technical audits)

Or: they can be audits undertaken by a non technical individual from within the organization, asking a range of questions that require both an answer and sound evidence to support that answer.

The internal audit process outlined below is a combination of these last two.

Procedure:

Meet with the building officer who will be undertaking the procedure that is being audited.

1. Identify the written procedure that is being used.

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2. Complete the first section of the audit worksheet
3. Check if the procedure is current
4. Is the officer trained and competent to undertake this task?
 - i. Check the training log
 - ii. Check that training has been signed off as being completed / effective.
 - iii. Check the skills matrix
 - iv. If the officer has been shown to be not yet competent to undertake aspects of this procedure – what process is in place for supervision of this area?
5. Technical Assessment:
(During an external audit this will be undertaken by an expert assessor engaged for this task)

For the purpose of an internal audit the professionalism of the expert internal staff (building officer) is used. The building officer will provide answers that truly reflect the current operation of that procedure and will apply his/her professionalism to determine if this is a technically appropriate way to undertake that part of the consent process or inspection.

Attach a copy of any checklists and decisions recorded during the process.

Equipment:

- Was any specialist or safety equipment used during this process. (Vehicle, Moisture Meter, Thermometer, etc)?
- Is there a record of safety and maintenance checks for this equipment (WOF, routine maintenance schedules)?
- Where appropriate has the equipment been calibrated?
 - Is this calibration current?
 - Is there a procedure for its correct use?
 - Is that procedure being followed?

Documentation:

- Where is any documentation associated with this particular consent application filed?
- Where is it stated how this is filed?
 - If it is a current project
 - Long term after completion of the CCC.

Completion of Audit:

Review the whole procedure and identify any areas where practice and procedure differ. The auditor and building officer sign the worksheet which demonstrates their agreement with what is written.

Place a copy of the audit worksheet and attached documentation in the BCA audit file.

This audit will be reviewed by the building manager within 1 week and opportunities for improvement identified, discussed and actioned where appropriate.