

# Guide

## Minister's Guide to Auditing for Building Surveyors

April 2014



**Government of South Australia**

Department of Planning,  
Transport and Infrastructure



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April 2014

**Department of Planning, Transport and Infrastructure**

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# Purpose

This guide aims to clarify what to expect from an audit – its purpose, the audit process, the conduct of technical checks, potential outcomes and other information associated with an audit. The relationship between the final Audit Report and the Minister or the Registration Authority is also explained.



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# Introduction

# 01

It is understood that many building surveyors have had no experience with an audit of their business practices. As such, the prospect of being audited can be daunting, not quite knowing what to expect. Firstly, it is important to understand that audits are not undertaken to penalise building surveyors. Apart from being a legislative requirement, audits are undertaken to identify areas within the building rules assessment process where building surveyors might unwittingly be incurring compliance issues or might be exposed to risks of non-compliance with the *Development Act 1993* (the Act) and the *Development Regulations 2008* (the Regulations). By identifying these areas through an independent audit, building surveyors are able to develop and implement any actions that may be required to remedy or manage such issues or risks.

Examples are provided extensively throughout this document; however they cannot possibly cover all situations. People will need to determine what best fits their particular circumstances and make decisions accordingly.

The examples include documentation and assessment tools that can be considered for both ensuring and demonstrating legislative compliance. In addition, **Appendix B** includes examples of activities for managing key risks in the building rules assessment process. These examples were identified in the practices of building surveyors who were audited as part of the pilot audit programme and, as such, provide a useful benchmark to assist any building surveyor looking at reviewing their current building rules assessment processes well in advance of an audit.

This guide is issued by the Minister in accordance with Section 56B (18) of the Act.



# Purpose of an audit

# 02

The *Development Act 1993* identifies three purposes for an audit:

- Section 56B (3)(a) - to check whether the procedures associated with the assessment of proposed developments against the provisions of the Building Rules, and with the granting of any relevant building rules consents, have been undertaken in accordance with the requirements of the Act and the Regulations. There is an emphasis on the matters prescribed by the regulations
- Section 56B (3)(b) – to allow a check of the technical aspects of building rules assessments to the extent that the auditor thinks that it is appropriate to do so.
- Section 56B (3)(c) – to allow any other aspect to be examined that is prescribed by the regulations – at this stage there are no such matters.



# The Audit Process

# 03

The audit process comprises the following key phases: Planning, Fieldwork and Reporting. What's involved in each phase and what might be expected of the building surveyor is summarised below.

## Planning

- Private certifier or council is initially contacted to agree on the timing of the audit. Where there are multiple certifiers in a private certification firm, all certifiers will be audited at the same time. Similarly, where councils share resources all of the councils will be done at the same time (subject to any logistical limitation).
- Once the timing has been agreed, the approach, scope and the timing of the audit is formally documented in the Audit Planning Memorandum which is sent to the private certifier or council for their records.
- An initial document request list (e.g. population of building applications approved, assessment tools, documented procedures etc as may be relevant) is then sent to the private certifier or council prior to commencing fieldwork.

## Fieldwork

- The ground work for the audit is performed in this phase.
- Initially, there will be a walkthrough of the building rules assessment process being used, including interviews and discussions with the private certifier or relevant council officers.
- A review is then conducted of the documents provided, such as building application files, assessment tools, documented procedures (if applicable) and other relevant information.
- A sample of applications is generally selected from the last 12 months and their assessment processes reviewed. However, the sample period may go beyond the previous 12 months if there is a valid reason to do so. Samples may be taken randomly or selectively or combination of both (Section 56B (9)(b) of the Act).
- If required, a technical check is performed. (Refer to Technical Checks on page 9 for more information.)
- Issues arising during the audit are discussed with the private certifier or council officers.

## Reporting

- A draft report of the results of the audit is sent to the private certifier or council for review.
- Required actions for addressing issues are then discussed with the private certifier or council and included in the draft report.
- Report is finalised and issued upon confirmation of any correction of error or fact (if any) with the private certifier or council.
- Report is referred to the Minister or the Registration Authority if necessary. (Refer to Audit Report to the Minister / Registration Authority on page 11 for more information.)

See **Appendix A** for a flowchart of the audit process.



# Demonstrating Compliance

# 04

There are a large number of provisions in the Act and the Regulations that relate to the Building Rules assessment component of the development approval system.

Councils and private certifiers work with these on a day to day basis determining, for each application, what provisions are to be complied with.

A key risk for private certifiers and councils is not being able to demonstrate compliance with the legislation. This could arise in a number of circumstances such as a complaint investigation, coronial investigation or legal action by a person questioning the validity of a building rules consent. This is also true for an audit where compliance can only be ascertained, in an independent review, through the available information or evidence. As such, audits are primarily evidence-based. Accordingly, business practices should be developed that provide a reasonable level of confidence for demonstrating compliance.

The pilot audit programme has identified different types of documentation and assessment tools that some building surveyors use as part of their assessment process. These are listed below and building surveyors can use them as a reference when considering what may be an appropriate mechanism for ensuring and demonstrating legislative compliance. This is not to imply that all of these should be in place. Whatever means is used will depend on a number of factors such as the technology used, the volume of building applications assessed, the need to ensure internal consistency (because of the number of people employed), cost-benefit consideration and other relevant matters.

- The use of a computer application where legislative requirements are embedded and checked for compliance.
- Internally adopted policies and procedures.
- Checklists or check sheets.
- Quality assurance review by an independent person.
- Copies of relevant documents retained (e.g. formal notifications, CITF payment, certificate of independent technical expert, document transfers)
- Relevant correspondence and emails retained.
- Notes to file (e.g. discussions held, minutes of meetings, reasons for making a decision)
- Assessment notes (e.g. codes and standards used, aspects of compliance on an application)

Further to the examples above:-

**Appendix B** includes some more specific examples of activities that could be used for managing key risks related to building rules assessment processes

**Attachment 1** has a copy of Advisory Notice 10/14 Retention of documents relating to consents issued.





The technical assessment of an application by a building surveyor is critical for ensuring that the purpose of a building rules consent is attained. That is, an independent check is undertaken to make sure that all proposed buildings meet certain minimum standards of health, safety, amenity and sustainability for people who will use the buildings.

The Act recognises that some technical checks may be necessary as part of the audit process for some assurance that an appropriate technical assessment has been made, but such checks are only to be performed where the auditor thinks that it is appropriate to do so (Section 56B (3)(b)). As such, technical checks will not be performed for all audits, nor will they necessarily be performed on every application being reviewed in an audit.

The nature and extent of a technical check is dependent on the issue identified by the auditor and the building application being audited. Technical checks involve the review of plans, drawings and other documentation (such as alternative solutions) that have been approved by a private certifier or council to ascertain compliance with the relevant technical standards or legislation, including the Building Code of Australia (in the National Construction Code), Australian Standards and Minister's Specifications. They will be undertaken by an accredited level 1 Building Surveyor for reporting to the auditor. If necessary, expert advice will be sought.

Any technical issues arising will be discussed with the private certifier or council prior to the finalisation of the Audit Report.

## What could trigger a technical check?

### A. Technical checks initiated during the audit process (as part of fieldwork)

A key objective of doing a building rules assessment audit is to obtain assurance that building rules consents are appropriately approved. In general, the matters and examples discussed in the previous section (Demonstrating Compliance) and the control activities in **Appendix B** would provide the auditor with a reasonable basis for ascertaining the appropriateness of the assessment procedures undertaken. However, if the auditor is not able to form a conclusion about this then it is possible that undertaking a technical check may be the only option. In these circumstances, any technical check will be to the extent necessary to ascertain if there is any issue (arising from the assessment procedures used) that impact on the granting of the building rules consent being audited.

The following issues are examples of what may trigger a technical check:

- Insufficient documentation or other evidence demonstrating that building rules assessments are properly undertaken.
- A lack of documentation or other evidence supporting the granting of building rules consents.
- A lack of established procedures for processing applications indicating there may not be a systematic approach to the undertaking of building rules assessments.
- Independence/conflict of interest issues.
- Practices that undermine the purpose of building rules assessments or the professional due diligence of a private certifier or council.

The above are only examples and are not all-inclusive. There may be other issues that the auditor may identify during an audit that could warrant a technical check.

## **B. Technical checks initiated by other circumstances**

Whilst the previous section A identifies potential scenarios for the initiation of a technical check during an audit being undertaken under Section 56B (3)(a) of the Act, this does not limit or preclude the conduct of technical checks being initiated by other means. An appropriate reason for a check of the technical aspects of building applications may also be initiated by consideration of the broader circumstances surrounding a private certifier or council's assessment operations. Examples of this might occur are:

- There is a complaint or a history of complaints made against a private certifier or council.
- There are high risk matters within the activities of a private certifier or council where it is determined that a technical check is required (such as buildings outside a person's usual range of building applications, innovative buildings and high profile developments). These matters may also be identified during the fieldwork as samples of building assessments are reviewed.
- The existence of 'hot technical issues' that are relevant or applicable to the operation of a private certifier or council (such as swimming pool safety).

The extent of technical check will be limited to the specific technical matter relating to the circumstances (eg complaint, high risk activity or 'hot technical issue') for which a technical check is instigated. As such, the technical check will not necessarily comprise all of the technical components of a building application.

**Note:** Whilst A and B above provide an indication of when a technical check may potentially be triggered, it should be noted that it is not possible to encapsulate all possible circumstances when a technical check will be appropriate; private certifiers and councils have distinct circumstances and operations. There is also a possibility that technical checks may be undertaken where both A and B may apply. Nonetheless, private certifiers and councils will be advised of any technical check to be undertaken.

The Audit Report includes the issues identified by the auditor, their ratings (as per the issue rating table below) and the agreed actions by the private certifier or council for addressing them.

Before issuing the final version of the Audit Report, the auditor must provide a copy to the council or private certifier (Section 56B (10) of the Act) for an opportunity to correct any error of fact. As any issues will have been discussed during the audit, the draft version of the Audit Report should largely represent and confirm issues already discussed.

## Rating of issues in Audit Reports

Issues raised in Audit Reports are given a rating based on their severity and the urgency for rectification. This gives a building surveyor an appreciation of their relative significance and what the order of priority is for addressing them. The rating of particular issues will be part of discussions before finalisation of the report.

Of particular importance are issues rated as 'significant' as the Act (Section 56B (11)) requires significant issues to be reported to the Minister.

The issue rating table below provides guidance for rating issues in audit reports.

Issue rating	Description / nature of issue	Indicative timeframe for addressing issues
<b>Significant</b>	<ul style="list-style-type: none"> <li>Represents a breach of the Act or Regulations that poses a threat to public health or safety; or</li> <li>There is a gross misrepresentation or negligence in the conduct of work</li> </ul>	Immediately (issue to be reported to the Minister)
<b>High</b>	<ul style="list-style-type: none"> <li>Represents a breach of the Act or Regulations but there is no threat to public health or safety; or</li> <li>Existing controls or processes are not adequate to ensure compliance with the Act or the Regulations and there are no compensating controls in place</li> </ul>	Within three months of the report date
<b>Moderate</b>	<ul style="list-style-type: none"> <li>Represents deficiencies in control processes that have residual risks for non-compliance with the Act or the Regulations</li> </ul>	Within six months of the report date
<b>Low</b>	<ul style="list-style-type: none"> <li>Business improvement opportunities that do not pose risks of non-compliance with the Act or the Regulations</li> </ul>	No timeframe

It is important that any commitments by building surveyors to undertake certain actions are within an agreed timeframe to ensure that any risks of non-compliance are being handled with an appropriate degree of urgency.

## **Referral of the Audit Report to the Minister / Registration Authority**

Following the issue of the final Audit Report, it may be referred to the Minister or the Registration Authority as may be relevant.

It is important to understand that once a final Audit Report has been referred to the Minister / Registration Authority, the audit process itself ceases and the auditor's role ends. From that point on, a new process starts. Any subsequent action by the Minister or the Registration Authority (as explained below) is outside of the audit process.

### **Minister**

If there are significant audit findings, the Minister may take such action as the Minister thinks fit (Section 56B (12) of the Act). This can include the appointment of an investigator for a more formal investigation. Amongst the actions that the Minister can take is the ability to issue directions to both a council and a private certifier; failure to comply with a direction is an offence which carries a fine (Section 56B (16) of the Act).

### **Registration authority**

Under Section 56B (6) of the Act, private certifiers, when renewing registration, may be required to provide evidence of compliance with Section 56B of the Act. Any matters identified during the course of an audit and not adequately addressed by a private certifier may be grounds for the cancellation of their registration (Section 56B (7)(b) of the Act). Accordingly, private certifiers need to be able to provide a progress report on implementing their audit report actions when applying for renewal of their registration.

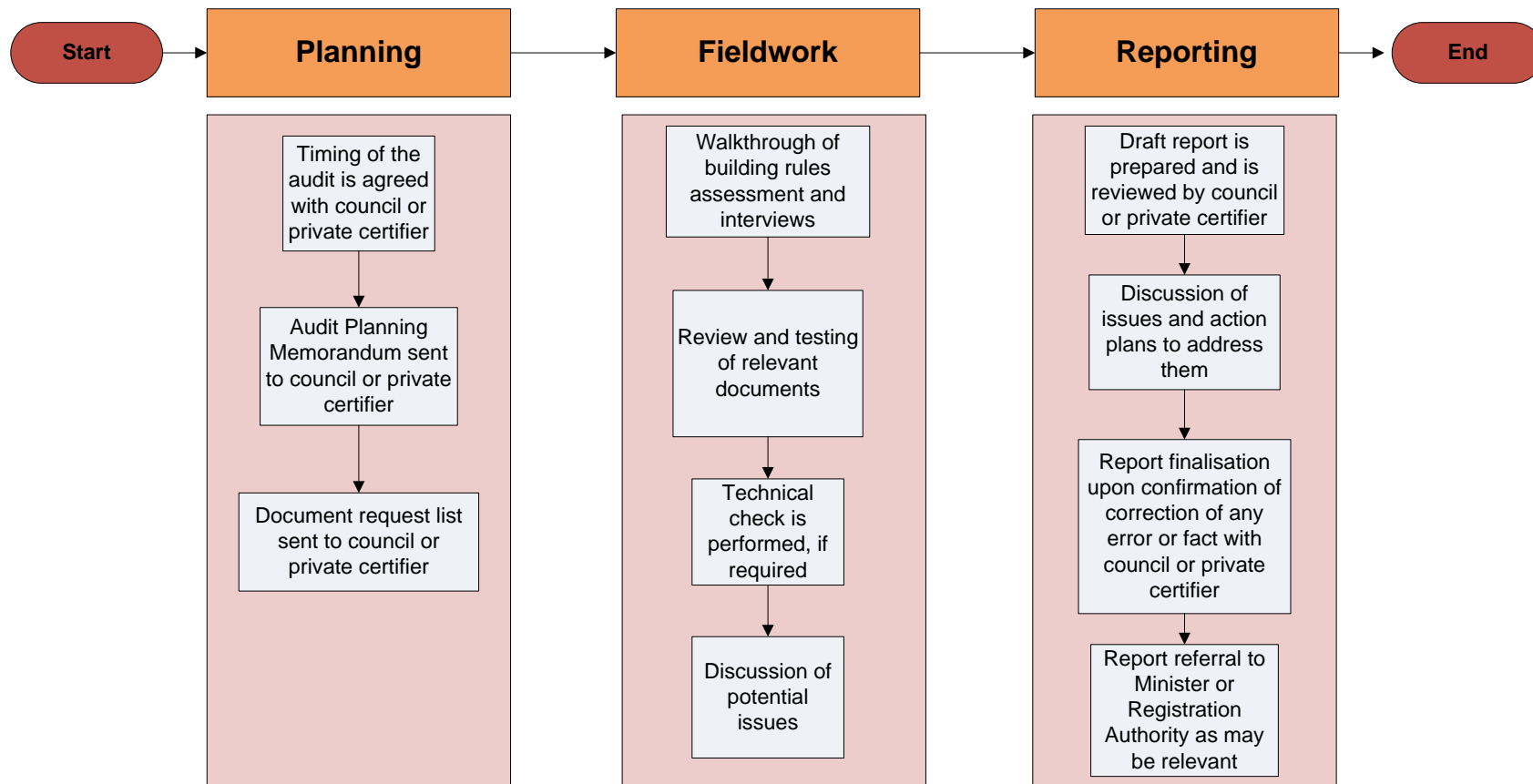
### **Disciplinary Action and Natural Justice**

Notwithstanding the above, the Act (Section 45A) and Regulations (Regulation 93A) contain some important principles of natural justice to be followed, the first being an opportunity for the council or private certifier to make submissions on the particular issue(s) of concern. Further, any proposed action must be given in writing, together with the reasons, and the council or certifier invited to show why such action should not be taken.

So even after the issuing of the final Audit report, there will be further opportunities for a council or private certifier to put their views the Minister / Registration Authority before any disciplinary action is taken.

# Appendix A

## The Audit Process





# Appendix B

## Examples of Control Activities

Councils and private certifiers who have not yet been audited may be interested to know what control practices can be implemented to manage some of the key risks of the building rules assessment process.

The table below provides examples of such control activities. Some of these examples were identified in the processes established by private certifiers and councils who have already been audited. These practices are straightforward, but require customisation to suit the individual circumstances of councils and private certifiers. Additionally, it does not follow that there is a requirement to implement all the examples provided nor do they represent an exhaustive list for managing building rules assessment risks. These have been compiled for the purpose of illustrating risk mitigation activities.

Item	Key Risks	Examples of Control Activities
<b>Ethics and Qualifications</b>		
1	Building rules assessment is undertaken by a private certifier (or the relevant building assessment function in council) where independence issues or conflict of interest may exist.	<ul style="list-style-type: none"> <li>Independence requirements are covered in policies, documented procedures, contract agreements or Code of Conduct.</li> <li>There is a requirement to declare any conflict of interest in the conduct of building rules assessments.</li> </ul>
2	Building rules assessment may be undertaken by an unqualified individual (applicable for private certifiers and the building officer from councils) who does not have the appropriate accreditation or qualifications to perform building rules assessments.	<ul style="list-style-type: none"> <li>Continuous professional development and maintenance of up-to-date accreditation and qualifications are required as a matter of professional responsibility and policy (in councils or in private certification firms).</li> <li>There is an initial review of building applications so that these are allocated to building surveyors with the appropriate qualifications.</li> <li>Part of the building rules assessment process is to assess the need for an advice from an independent technical expert.</li> </ul>
3	Third parties providing certificates or reports in relation to proposed building works are not qualified or independent.	<ul style="list-style-type: none"> <li>Contract of agreement with independent technical experts stipulates the requirement to declare any conflict of interest and to ensure that professional qualifications are in good standing order. (Applicable for those private certifiers and councils that have an ongoing contract with an independent technical expert).</li> <li>Ad hoc requests for professional services from independent technical experts contain a requirement to declare any conflict of interest with respect to the relevant development.</li> <li>An action is undertaken to verify the qualifications of the independent technical expert (eg check in a national registry website); this verification is documented.</li> </ul>

## Assessment Considerations

4	The building rules consent may not be in accordance with the relevant development plan.	<ul style="list-style-type: none"> <li>Building rules consents are only granted following the review of planning documents (where appropriate).</li> <li>The consistency check between the building rules and the planning consent is a requirement documented in assessment tools (eg checklists) used.</li> </ul>
5	There is a lack of documented evidence on the appropriateness of assessment procedures undertaken by private certifiers or councils in relation to their approval of building rules consents.	<ul style="list-style-type: none"> <li>There are assessment tools (eg checklists) used that contain the key requirements of the Building Rules (eg the Act, the Regulations, Building Code, Minister's Specifications) to ensure that these are assessed completely. Assessment tools are completed and kept to evidence the assessment procedures undertaken.</li> <li>There are documented procedures that cover the key requirements of the building rules assessment process. These procedures are updated and are monitored for compliance.</li> <li>There is an information sheet or brochures for applicants that contain all the requirements for submission accompanying building rules application.</li> <li>Assessment tools or any other aid used (including template documents) in the assessment process are kept up-to-date in line with changing requirements.</li> <li>Outstanding information requested from applicants are monitored, followed-up and assessed accordingly.</li> <li>Relevant information supporting the decision to grant the building rules consents (or otherwise) are retained on file.</li> <li>There is a quality assurance performed to ensure the appropriateness of assessment procedures undertaken (including any administrative compliance requirements) before building rules consents are finalised.</li> </ul>
6	There is no documented evidence of any review or assessment of the reports or certificates issued by third parties (eg third parties providing advice).	<ul style="list-style-type: none"> <li>Building surveyors perform a reasonableness review of certificates from independent technical experts against supporting documents.</li> <li>Clarification / correspondence in relation to reliance placed on advice or certificates from independent technical experts are documented.</li> <li>Requirements surrounding independent technical experts are incorporated in assessment tools (eg checklist) and evidence of their completion is retained.</li> </ul>
7	All the required information for assessment against the building rules are not assessed completely and are attached as conditions of approval to building rules consents.	<ul style="list-style-type: none"> <li>There are assessment tools (eg checklists) used that contain the key requirements of the Building Rules (eg the Act, the Regulations, Building Code, Minister's Specifications) to ensure that these are assessed completely. Assessment tools are completed and kept to evidence the assessment procedures undertaken.</li> <li>The use of condition of consents are minimised to the extent practicable. Outstanding information requiring assessments are not placed as conditions of consent.</li> <li>Outstanding information requested from applicants are monitored, followed-up and assessed accordingly.</li> </ul>



Assessment Considerations		
8	Building rules applications are not assessed for applicability of essential safety provisions.	<ul style="list-style-type: none"> <li>Assessment tools contain requirements relating to essential safety provisions and are assessed accordingly.</li> <li>There is a quality assurance performed to ensure that all relevant forms/templates accompanying decision notification forms have all been appropriately completed.</li> </ul>
9	Building applications in bushfire prone areas and the related bushfire risk level are not identified.	<ul style="list-style-type: none"> <li>Building surveyors ascertain whether a development is in a bushfire prone area.</li> <li>Assessment tools contain the requirement to ascertain if a development is in a bushfire prone area and what the related requirements for assessments are.</li> </ul>
10	The relevant information for building applications that include the building of roof frames/trusses are not assessed completely in accordance with the Roof Framing Checklist (Ministers Schedule 5).	<ul style="list-style-type: none"> <li>The Roof Framing Checklist is included as part of the information required to be submitted in information sheets or brochures to building applicants.</li> <li>Assessment tools contain the requirement to ascertain the applicability of the Roof Framing Checklist.</li> <li>The information in the Roof Framing Checklist submitted by applicants is verified by the building surveyor. There is an evidence of the verification performed.</li> </ul>
Insurance		
11	Costs incurred representing damages resulting from acts of omission or negligence by a private certifier in relation to building rules assessment may not be recovered.	<ul style="list-style-type: none"> <li>There is a professional indemnity insurance in place that is in accordance with the requirements of the Regulations.</li> <li>There is a calendar reminder or a similar mechanism to ensure the timely payments of insurance premiums.</li> </ul>
12	Costs or damages incurred resulting from negligence or poor workmanship of builders for domestic building work may not be recovered.	<ul style="list-style-type: none"> <li>Building indemnity insurance for domestic building work is a requirement indicated in information sheets and brochures to applicants.</li> <li>Building indemnity insurance is verified as part of the assessment process and is included as a requirement in assessment tools.</li> </ul>
Other Requirements		
13	The quarterly building rules levy payments of private certifiers and councils to the Department are not accurate or complete.	<ul style="list-style-type: none"> <li>The calculation of levy payments is supported with workings reviewed and approved by a person independent of the calculation.</li> <li>Changes to levy rates are noted and incorporated in the calculation of levy rates.</li> <li>There are calendar reminders or similar mechanism to ensure that levy payments are made on time.</li> </ul>
14	Building rules consent is issued for building work when the related Construction Industry Training Fund (CITF) levy is not paid.	<ul style="list-style-type: none"> <li>The payment of the CITF levy is indicated in information sheets and brochures to applicants.</li> <li>The payment of the CITF levy is verified as part of the assessment process and is included as a requirement in assessment tools.</li> </ul>



# Attachment 1

## ADVISORY NOTICE BUILDING

10/14

Advisory Notices are issued to assist in the interpretation of the Development Act 1993

May 2014

### **PROFESSIONAL: Retention of documentation relating to consents issued**

A key risk for councils and private certifiers is not being able to demonstrate compliance with the *Development Act 1993* and the *Development Regulations 2008*. This could arise in a number of circumstances such as a complaint investigation, coronial investigation, or legal action by a person questioning the validity of a building rules consent.

The *Development Act 1993* and the *Development Regulations 2008* contain a number of requirements relating to building work, but the major area relates to the processing and assessment of applications for building rules consent (and complying development plan consent) by both relevant authorities and private certifiers exercising the functions of a relevant authority.

To assist councils and private certifiers in deciding what level of documentation they should be keeping, the following tables are provided. These tables suggest a **minimum level** of documentation that councils and private certifiers should retain, either electronically or hard copy, which could be used as evidence to demonstrate compliance.

GENERAL ADMINISTRATION	Legislation reference	Advisory Notice	Comment
Prescribed qualifications and authorised delegations	S30, S101(2), R87, R91, R110		Must be current for consents to be valid
Private certifier registration	R93A		Must be current for consents to be valid
Professional indemnity insurance cover	S100, R93 and R93A		Must be current for consents to be valid
Register/records of applications processed	R98		No format is specified but register contents are prescribed
Systematic filing of documents and records pertaining to individual applications	R102	18/04	Able to readily produce or obtain all assessment records relating to a specific application
Collection and distribution of building rules assessment levy pertaining to each assessment	R95, Schedules 6 and 7		Calculation of levy and record of payment to the Minister

<b>LODGING OF APPLICATIONS</b>	<b>Legislation reference</b>	<b>Advisory Notice</b>	<b>Comment</b>
Engagement of private certifier/council	R15, R90		Signed record of application/engagement For private certifier - owner of the land has been notified or given approval.
Private certifier notification to council of engagement	S93(1)(a)		Copy of email or letter on file
Construction Industry Training Fund levy	R79		Record that payment was made prior to issuing building rules consent
Building Indemnity Insurance cover	R21	16/02	Domestic building work requirement – where a licensed builder is nominated

<b>ASSESSMENT OF APPLICATIONS</b>	<b>Legislation reference</b>	<b>Advisory Notice</b>	<b>Comment</b>
Development plan consent issued for development	R89(2)		Consent and stamped plans have been sighted and conditions taken into account
Building rules consent only	Sch 1A		Not excluded by Sch 1A, item 1(4)
Development plan applications for residential code development	Sch 4		Council was provided with fees and information and council response
Building rules assessments	S33(1)(b) S36(4) R89(1)(a)		Any assessment notes, reports and certificates relied on, that are relevant to an application.
Building rules assessments triggered by Development plan maps	R78, R78B	02/13	Identification of relevant map(s) and nature of assessment required
Referrals to other authorities undertaken	R28		Reports received and decisions made in relation to referred matters
Applications made to BRAC for an opinion or concurrence	S36, R28		Outcome and subsequent decisions
Alternative solution decisions		05/03	Evidence of suitability, reasons substantiating compliance with performance requirements, and identified risks are recorded
Monitoring of outstanding information	R19		Timely processing of applications - requests, follow up and responses received
Roof framing checklist	R74A, Sch 5, item 1(1)(g)	09/12	Verification that details in Minister's Schedule 5 roof framing checklist received
Independent technical experts	R85 & R88	11/05	Verification of expertise and suitability of certification relied on
Assessment of existing buildings	S53A		Record reasons for concerns, and discretion exercised

ISSUING CONSENTS	Legislation reference	Advisory Notice	Comment
Decision notification	S93(b)(i), R42		Issued in required format. Applicant notified
Conditions and reasons	R42(3)		Reasons for conditions imposed provides clarity for applicant
Assignment of classification	S66, R42(6), R82	32/02	May need to provide reasons for assigning classification(s) to relevant building area(s)
Currency of any relevant technical documents and standards	R4, R106		Documents referred to in order to check compliance with the Building Rules current at time of lodgement
Essential safety provisions to be installed and maintained	R76, Sch 16	33/03	Forms 1, 2 and 3 filled out and issued with consent documentation
Statement of Compliance	R42(7), R83AB, Sch 19		Schedule 19A form issued with consent documentation
Certificate of consistency	R92(2)(e) Sch 22A	09/14	Verifying consents are consistent with each other
Endorsement of documents that form part of a building rules consent and/or a development plan consent	R92(2), R47		Retain a list of the plans, drawings, specifications, documents and information lodged by the applicant and endorsed as forming part of the approved consent
Private certifier notification to council	S93(1)(b), S93(2) & R47	15/04	Verification that the private certifier has notified council of any consents issued and of any changes for compliance

It should be noted that these tables are based on the most commonly processed building applications. As a result, for any one application, there may be other documentation relevant to the specific legislative requirements for the application (such as those relating to Minister's Specifications) that have not been included in the tables but which are nevertheless sensible to retain. The onus is on a council or private certifier to determine what documents should be retained, based on the specific circumstances of a building application.

Other documents that might also be considered for retention on file include:

- Emails and/or letters sent and received
- Notes to file
- Copies of industry information or advice
- Advice from other building practitioners on specific matters
- Advice received and relied on

It is appreciated that some information can be superseded by later information received (such as changing framing from steel to timber or vice versa), or a document may be exploring options that eventually are not relevant to the final consent. The extent to which this sort of information is retained requires a risk assessment of its relevance to the final decision. Some practitioners choose to keep everything, whilst others are more selective about what they keep.



# Contact Details

# 07

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