



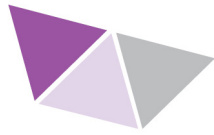
ACCREDITATION
AUTHORITY

Accredited Professionals Scheme Guide to Spot Check Audits

October 2021

A guide to assist accredited professionals in understanding the requirements and their obligations for Spot Check Audits conducted under Periodic Audit Program of the *Planning, Development and Infrastructure (Accredited Professionals) Regulations 2019*





1. Introduction

The Accredited Professionals Scheme (the Scheme) established under the *Planning, Development and Infrastructure Act 2016* (the PDI Act) requires the accreditation of industry professionals involved in making development decisions. It is a key component in supporting accountable, impartial and effective decision making, and improving confidence in the planning and development system.

Compliance monitoring and audit activities are important aspects of administering and assuring the success of the Scheme by ensuring a baseline standard of quality in development assessment decisions is achieved.

Spot check audits are designed to verify accredited professional administrative processes are aligned and consistently performed with development application and assessment pathway requirements prescribed within the PDI Act, relevant regulations, and the Accredited Professionals Scheme Code of Conduct.

2. Scope

The Spot Check Audit Program aims to quickly assess the level of compliance of key development assessment processes across a large number of accredited professionals.

Audit procedures will consist of two types of review, including:

- Data analytics reviews – Fully automated and repeatable investigation of exceptions.
- Requested ad hoc reviews – Use of random or selective sampling techniques, complemented by use of data analytics.

Spot checks will be performed using a combination of Development Application Processing (DAP) system data analytics, the Accreditation Authority's register of accredited professionals, and comparison of documentation to legislated requirements.

3. Objectives

The main objective of a Spot Check Audit is to provide high level assurance that accredited professionals are meeting their legislative obligations and the terms and conditions of their accreditation for providing development assessment services.

The Spot Check Audit Report is a key compliance and performance monitoring tool. It is used by the Accreditation Authority to encourage quality in accredited professional work through flagging non-compliances, identifying opportunities for education and awareness, and issuing process improvement action requests.



4. Audit Testing Procedures

Unannounced and random spot checks are conducted by reviewing information held within the DAP system for compliance with the PDI Act and relevant regulations, Practice Directions, Code of Conduct and other Ministerial Instruments.

The topic selected for review during a Spot Check Audit are called Audit Criteria. Each criteria is broken down into different tests which the auditor will perform in order to make an evidence-based decision as to the level of compliance. Examples of the Audit Criteria to be tested along with a brief description are documented within Attachment 1.

If the auditor identifies exceptions during data monitoring activities, they will review the supporting documentation lodged within the DAP System in order to assess the reasoning for the exception. In certain circumstances they may also elect to contact the accredited professional who performed the development assessment to obtain further information.

The auditor is required to document the audit procedures they performed, identify the audit evidence obtained to demonstrate compliance, and record their audit conclusion.

5. The Spot Check Audit Report

If a Spot Check Audit identifies non-compliance, the auditor will issue a Spot Check Audit Results report to the accredited professional responsible for performing the development assessment. The report will detail the non-compliance identified and the relevant legislative references.

The accredited professional will be provided with an opportunity to respond to the issue raised, with a view of correcting any error of fact.

If required, the accredited professional will be responsible for re-educating themselves and developing and implementing development assessment process improvements to decrease the likelihood of future non-compliance.

The Spot Check Audit Results report template is included within Attachment 2.

6. Dashboard Reporting

A summary of Spot Check Audit topics and results will be published periodically and available via the PlanSA portal.

Reporting will include compliant practices to present an objective and balanced scorecard of accredited professional compliance.

Accredited Professional Spot Check Audits are confidential. Information presented on the audit dashboard will be de-identified and aggregated to safeguard individual audit results.



Attachment 1 – Spot Check Audit Criteria

Audit Criteria	Description
Works by Accredited Professional	Confirm that an accredited professional is acting within the limitations/conditions of their accreditation.
Undertaking Work Only When Accredited	Confirm that accredited professionals are granting consents and providing certificates of occupancy only when their accreditation is current.
Works by Assessor are Endorsed	Confirm that where a non-accredited person is undertaking assessments, their work is reviewed and endorsed by an accredited professional prior to granting of consent.
Professional Indemnity Insurance	Confirm accredited professionals are maintaining appropriate and current Professional Indemnity Insurance, including providing evidence of the insurance policy to the Accreditation Authority.
Certificate Of Building Insurance	Ensure that Certificate of Building Insurance requirements are being correctly assessed and that supporting documentation is retained within the DAP system.
Construction Industry Training Fund	Ensure that Construction Industry Training Fund requirements are being correctly assessed and that supporting documentation is retained within the DAP system.
Development Assessment Timeframes	Review verification, application, assessment and decision timeframes within the DAP system to ensure that they are in line with legislative requirements.
Mandatory Conditions	Confirm that mandatory conditions are being included on Decision Notification Forms when required.
Bushfire Zones	Confirm appropriate referrals are occurring for development assessments within Bushfire Zones.

Attachment 2 – Spot Check Audit Report



Spot Check Audit Results

Accredited Professional's Name:	
Registration Number:	
Spot Check Audit Criteria:	
Spot Check Date:	
Relevant legislation:	
Name of Auditor:	

On >>DATE<<, the Qualified Auditor for the Accredited Professionals Scheme Accreditation Authority conducted a spot check to monitor compliance with development assessment legislation and conditions of accreditation for an accredited professional.

The table below provides details of the non-compliance identified during the spot check audit:

DA Number	Finding

Under regulation 27(12) of the *Planning, Development and Infrastructure (Accredited Professionals) Regulations 2019*, we are required to provide opportunity for you to respond to audit findings with the view of correcting any error of fact. You are invited to provide your response to the findings to DIT.APSAudit@sa.gov.au within 21 days of the date of this notice.

Yours sincerely

Jessica Koop
Qualified Auditor

>>Date of Results Report<<

ACCREDITATION AUTHORITY
Accredited Professionals Scheme
PO Box 1815 Adelaide SA 5001
Level 5, 50 Flinders St Adelaide SA 5000
DIT.APSAudit@sa.gov.au
08 8402 1937





ACCREDITATION AUTHORITY