



ACCREDITATION
AUTHORITY

Accredited Professionals Scheme **Spot Check Audit Program**





1. Introduction

The Accredited Professionals Scheme (**the Scheme**) established under the *Planning, Development and Infrastructure Act 2016* (**the 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 administrating 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 and decision-making 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* (**the Code of Conduct**). 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 notifications for process improvement action.

Spot Check Audit Reports will provide high level assurance that accredited professionals are acting in accordance with legislative obligations and code of conduct requirements.

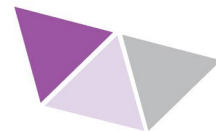
2. Spot Check Audit Testing

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

The topic selected for review during a Spot Check Audit is called an Audit Criteria. The auditor will obtain and review a sample of data and documentation across multiple accredited professional activity within the DAP system and make an evidence-based decision as to the level of compliance for the Audit Criteria.

The Spot Check Audit Criteria to be tested, along with a brief description of the objective of each audit, are documented within [Attachment 1](#). Spot Check Audits are not limited to the listed Audit Criteria within the attachment.

If the auditor identifies exceptions during a Spot Check Audit, they will review the supporting documentation lodged within the DAP System and determine the reason for the exception. In certain circumstances the auditor may also elect to contact the accredited professional who performed the action within the DAP system to seek clarification and obtain further information.



3. Spot Check Audit Results

If a non-compliance is identified during a Spot Check Audit, the auditor will issue a Spot Check Audit Result notification to the accredited professional responsible for the action and/or decision within the DAP system.

The notification will detail the non-compliance identified and reference the relevant legislative procedures that apply.

The accredited professional will have the opportunity to respond to the non-compliances identified in the Spot Check Audit Result notification letter. This includes correcting any error of fact in the finding or providing corrective actions to decrease the likelihood of future non-compliance.

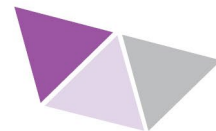
An example of the Spot Check Audit Results notification is included within [Attachment 2](#).

Repeated non-compliance may result in a significant audit finding. Further information about Accreditation Authority action that may be taken in response to significant audit findings can be found within the *Accredited Professionals Scheme – Audit Program Frequently Asked Questions (FAQ)* published on the PlanSA portal at plan.sa.gov.au/resources/accreditation/audits_and_complaints.

4. Reporting

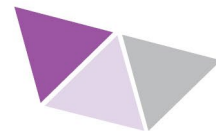
A summary of outcomes from all audits completed will be published on the PlanSA portal, including the overall level of compliance, to educate and advise accredited professionals of key findings. Information presented on the dashboard will be de-identified to safeguard the confidentiality of individual audit results.

Detailed reporting of audit findings will be completed regularly for internal business stakeholders. This will assist Planning and Land Use Services (**PLUS**) to identify areas for improvement such as development or review of educational materials, amendments to DAP system workflows and regulatory change.

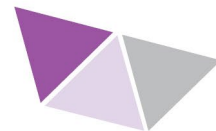


Attachment 1 – Examples of Spot Check Audit Criteria

Test	Audit Criteria	Description
01	Works by Assessor are Endorsed	Where a non-accredited person is undertaking assessments, confirm their work is reviewed and endorsed by the accredited professional named on the decision notification form (DNF) prior to granting of consent
02	Bushfire Zones	Review stamped plans and documentation to confirm requirements of Ministerial Building Standard <i>MBS008 – Designated bushfire prone areas - additional requirements</i> were included for assessment
03	Mandatory Conditions	Confirm that mandatory conditions required by <i>Practice Direction 12 – Conditions 2020</i> are included on each DNF when required
04	Development Application Cancellation and Withdrawals	For applications that have been withdrawn or cancelled by an accredited professional, confirm: <ul style="list-style-type: none"> the applicant requested the withdrawal or cancellation; or the Court directed the application be cancelled
05	Exempt Development	Confirm that the accredited professional categorised and actioned Exempt Development correctly
06	Accepted Development	Confirm that the accredited professional correctly categorised and assessed the development application as Accepted Development
07	Deemed-To-Satisfy (DTS) Planning Decisions	Confirm that DTS decisions granted by accredited professionals are within their Relevant Authority powers: <ul style="list-style-type: none"> Building Level 1 – DTS (No Minor Variations) Planning Level 3 – DTS (Minor Variations) Planning Level 4 – DTS (No Minor Variations) Surveyor – Land division DTS (No Minor Variations)
08	Performance Assessed	Confirm that no independent accredited professionals (e.g. those who are not Council or State government employees/contractors) have granted planning consent for applications categorised as Performance Assessed.
09	Variations	Confirm that endorsed minor variations fall within the accredited professional's decision-making powers
10	Swimming Pool/Spa Safety Barriers	Review application documentation against the stamped plans and documentation to confirm the applicant included prescribed swimming pool/spa safety barrier documentation and specifications for assessment



Test	Audit Criteria	Description
11	Inconsistency	Review applications to determine where a consent has been granted that is inconsistent with a previously granted consent for the same development
12	Conflict of Interest	Review each application to verify that the accredited professional decision-maker is not granting approvals where they: <ul style="list-style-type: none"> • are recorded as the landowner or applicant, or • has a company or family association with the landowner or applicant, or • where the accredited professional or their company has prepared any documentation included within the application.
13	Certificate of Occupancy	Verify that each certificate of occupancy was granted only when all required documentation has been received
14	Ceased Accreditation	Review websites of people who are no longer accredited to ensure they have removed all references to being an accredited professional and the Accredited Professionals Scheme logo
15	Continuing Professional Development (CPD)	Confirm accredited professionals are complying with mandatory CPD obligations and reporting requirements
16	Professional Indemnity Insurance	Confirm independent accredited professionals (e.g. those who are not Council or State government employees) are maintaining appropriate and current professional indemnity insurance, including providing evidence of the insurance policy to the Accreditation Authority
17	Certificate of Building Indemnity Insurance	For domestic building work applications, ensure that the certificate of building indemnity insurance was included with application documentation or that an appropriate note was placed upon the DNF
18	Development Assessment Timeframes	Review verification, application, assessment and/or decision timeframes within the DAP system to ensure that they are in line with legislative requirements
19	Works by Accredited Professional	Review DAP system decisions and confirm that the accredited professional was acting within the limitations/conditions of their accreditation for each decision
20	Schedule of Essential Safety Provisions (ESPs)	Confirm that each new Schedule of Essential Safety Provisions generated includes all installed (existing) or to be installed (approved) ESPs in line with <i>MBS002 – Maintaining the performance of essential safety provisions</i>



Test	Audit Criteria	Description
21	Performance Solution	Where an application proposes a performance solution, confirm that a performance-based design report is provided by the applicant for assessment and included within stamped plans to demonstrate the solutions' suitability
22	Residential/caravan parks fire safety	Review stamped plans and documentation to confirm requirements of Ministerial Building Standard <i>MBS003 – Fire safety in caravan parks and residential parks</i> were included for assessment
23	On-site retention of stormwater	Review stamped plans and documentation to confirm requirements of Ministerial Building Standard <i>MBS009 – On-site retention of stormwater</i> were included for assessment
24	Control of external sound	Review stamped plans and documentation to confirm requirements of Ministerial Building Standard <i>MBS010 – Construction requirements for the control of external sound</i> were included for assessment
25	Development impacting tunnel protection	Review stamped plans and documentation to confirm requirements of Ministerial Building Standard <i>MBS011 – Additional requirements for designated Tunnel Protection Areas</i> were included for assessment



Attachment 2 – Spot Check Audit Result Notification



PRIVATE AND CONFIDENTIAL

Letter date

Name
Company
Address
Suburb State Postcode
Via email: email address

Dear Accredited Professional

Spot check audit result notification

On behalf of the Accredited Professionals Scheme Accreditation Authority (Accreditation Authority), I write to notify you of the results of a Spot Check Audit.

The audit authority

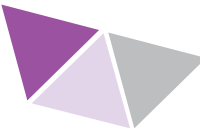
Pursuant to regulation 27(4) of the *Planning, Development and Infrastructure (Accredited Professionals) Regulations 2019 (the Regulations)*, the Accreditation Authority is authorised to verify that accredited professional processes and procedures associated with the assessment of development, and the granting of relevant consents, comply with the *Planning, Development and Infrastructure Act 2016 (the Act)* and regulations under the Act.

Spot check audit

A spot check audit to monitor compliance with development assessment and decision-making legislation was conducted by a Qualified Auditor. The table on the following page provides details of the audit criteria, the date the spot check audit was conducted and details of the non-compliance identified.

ACCREDITATION AUTHORITY
Accredited Professionals Scheme
PO Box 1815 Adelaide SA 5001
Level 10, 83 Pirie Street Adelaide SA 5000
DTLAPSAudit@sa.gov.au
(08) 7133 2619





Audit criteria	Title of audit criteria Description of audit test
Spot check date	Insert date testing conducted
Relevant legislation	Insert details of the legislative procedure or instrument and links where available
Non-compliance identified	
Details of the non-compliance identified	
Previous instances of the same non-compliance	
Details of the previous non-compliance identified	

Next steps

The audit findings indicate that improvement action is required to your development assessment and decision-making processes to prevent re-occurrence of the non-compliance.

Under regulation 27(12), the Qualified Auditor is 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 a response to the findings to DTI.APSAudit@sa.gov.au **within 21 days of the date of this notice**. Your response may include further information to correct any error of fact or your corrective action plan.

Spot check audit results will be recorded and monitored. Repeated non-compliance may result in a significant audit finding. Significant audit findings must be reported to the Accreditation Authority for potential sanctions and disciplinary action.

Further information

Please feel free to contact Audit and Investigations via DTI.APSAudit@sa.gov.au or 08 7133 2619 if you require assistance to develop your corrective action plan or wish to discuss the audit finding.

Further information around the accredited professionals scheme audit program including Fact Sheets and de-identified audit results is available via the [PlanSA portal](#).

Yours sincerely

Qualified Auditor



ACCREDITATION AUTHORITY

plan.sa.gov.au



Government of South Australia

Department for Trade
and Investment