

Jason Blakley
Deputy Director Plan Review

Audit, Appeal Process & Field Changes



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Plan Review Audits



Purpose

- Verify code compliance
- Measure efficiency of program

Types of Audits

- Random
- Automatic



Random Audits

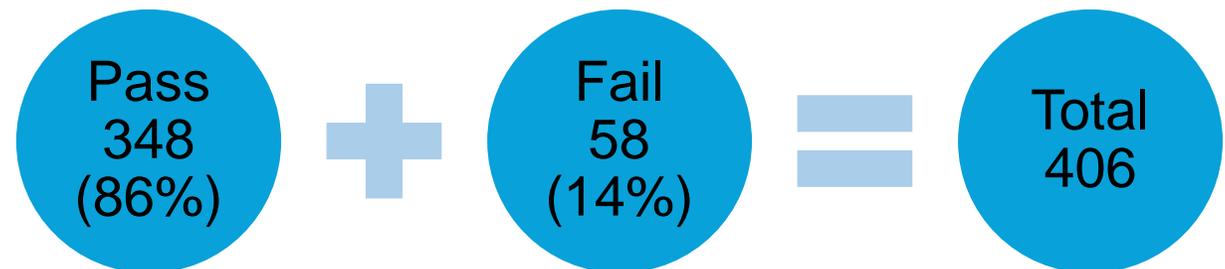
- **Ways to be selected:**

- **Previous failed audit in past 3 years**
- **Field issues**
- **Random selection**

(Self certifier will be notified if project is selected for a random audit)



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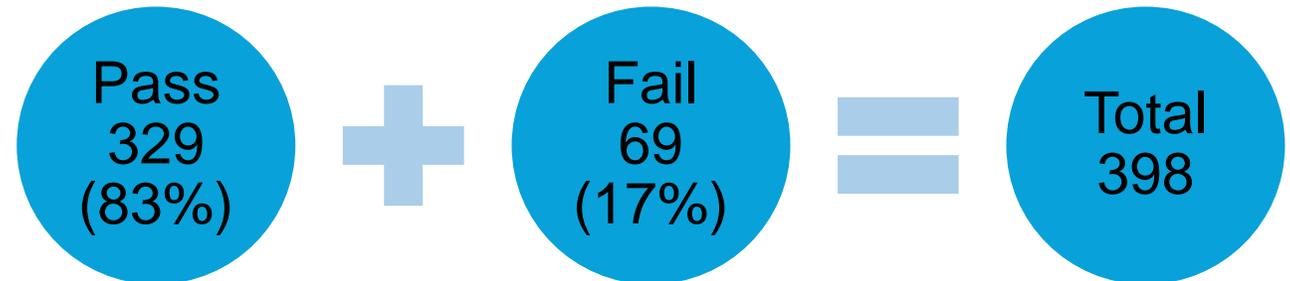
Automatic Audits

Selected based on scope & size of project – see Eligibility Chart / Audit Guidelines

Audit review time frames vary based on project scope and size



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Audit Process

Review Criteria

- Checklists
- Phoenix Building Construction Code
- Phoenix City Code
- Zoning Ordinance
- Other referenced codes and ordinances



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Audit Scoring

One point per code violation

- Like violations often combined

10 or more points = failed audit

- Building projects with valuations less than \$2.5 million
- All civil and landscape



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20 or more points = failed audit

- Projects with valuations of \$2.5 million or more

Notification

P&D will notify Self-Certified Professional and Owner of Record of results

- Letter of corrections with score emailed to self-certified professional & inspectors
- Letter mailed to owner & self-certified professional
 - Instructions for how to resolve any violations
 - Appeal process
 - Timeline



Appeal Process

Self-Certified Professional may:

- Request a Plan Review meeting with Team Leader and/or auditor(s) (within 7 calendar days of audit completion)
- File application for Administrative Review Hearing by Building Official for building plans or City Manager's Representative for civil and landscape plans (within 3 business days of Plan Review meeting); \$300 or \$450 fee
- Appeal decision of Administrative Review to Development Advisory Board in writing (within 10 calendar days of hearing decision); \$600 fee plus \$300 for each additional appeal item



Audit Results

Self-Certification privileges revoked if 3 audits are failed within a 3-year period



Audit Results & Statistics



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	Permits	Valuation
2010	32	\$5.2m
2011 (Expanded)	89	\$46.9m
2012 (Expanded)	178	\$139.6m
2013	259	\$253.8m
2014	369	\$289.5m
2015	362	\$322.7m
2016	492	\$313.7m
2017	595	\$297.9m
2018	625	\$384.4m
2019	457	\$283.2m
Total	3458	\$2.3b

Audit Results & Statistics



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Scoring		F=10 < \$2.5M F=20 > \$2.5M
Average Passing Score		4.6
Average Failing Score		21.1
Highest Failing Score		103
Lowest Passing Score		0

Audit Results & Statistics



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Audit Fails		3 Fails = out of program
# Pros with 1 Fail		45
# Pros with 2 Fails		16
# Pros with 3 Fails		11

Questions Related to Audits and Appeals?



- **Project Team Leader**

Or

- **Jason Blakley**
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Types of Field Changes

- **Voluntary Changes**
 - Field conditions, value engineering
- **Mandatory Changes**
 - Code violations



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Voluntary Field Changes

- **Self-Certified Professional must request the change from permitted plans in writing**
- **Field Inspector will determine if revised plans must be provided to complete change**



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Voluntary Field Changes

- **Minor change – no additional plans required**

- Document in KIVA

- **Significant change – revised plans required**

- Review by inspector in field @ \$150/hr



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- **Change in scope or additional area - requires a new permit application, plans and permit**

Mandatory Field Changes

- Simple items can be handled in the field without revised plans but will be documented in Kiva
- More complex violations will be notified in writing and will require revised plans
 - Plan review conducted by inspector using Field Plan Review @ \$150/hr



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- Violations that require major design changes will trigger an audit of the self-certified plans

Violations



- All design violations will be tracked by the inspection section through the field supervisor
- Design violations will be scored according to the department's self-certified audit process
- Any project that accumulates a score of five or greater during construction will be subject to a full audit

Violations



Self-Certified Professional has the right to request a second opinion from the Technical Lead on any violation

- **Written request must be provided to the field supervisor within 48 hours of notification**

Audit Results



When a plan is selected for audit:

- **Audit results will be provided to Self-Certified Professional and Owner of Record in writing**
- **Regardless of score, all code violations must be addressed**
- **Work with field supervisors to determine method of resolution (submittal type)**



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Construction Plan

Each page of the revised construction plans must have the following note:

MANDATORY FIELD CHANGE OR REVISIONS

SELF-CERTIFIED BY: _____

(Insert name of Self-Certified Professional) Date

- *Plans were prepared by or under the direct supervision of the Self-Certified Professional*
- *Plans are complete*
- *The plans are, as of the date of submission, in compliance with City of Phoenix building, civil, site, and zoning codes, ordinances, and all other applicable laws.*

Field Change Questions?

Building Plans

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Civil and Landscape Plans

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