

Purpose

All self-certified projects are subject to audit by the Development Services Department to determine if the plans and/or projects are in compliance with the requirements of the Mesa Building Construction Code and other ordinances and codes adopted or followed by the City of Mesa. The audit will also measure the efficiency of the Self-Certification Program. The audits may be conducted prior to the issuance of the permit or after the issuance of the permit. There are two types of audits: random and automatic.

Random Audit Process

The Department will perform audits on randomly selected projects that are allowed in the Self-Certification Program. The random audits will be conducted if:

1. In any given month, a Self-Certified Professional has had four or more projects accepted for Self-Certification by the department and none of those projects has been audited by the department;
2. Within the preceding 12 months, no project submitted by a Self-Certified Professional, and accepted for Self-Certification by the department, has been audited by the department;
3. A project accepted for Self-Certification is a complex project. For purposes of this item, the term “complex project” means a project involving at least four of the following plan review disciplines:
 - a. Accessibility
 - b. Architectural
 - c. Electrical
 - d. Mechanical
 - e. Plumbing
 - f. Structural
4. A Self-Certified Professional has failed any audit within three years; or
5. A field inspection conducted by the department finds that the plans permitted under the Self-Certification permit program are not in compliance with the requirements of the Mesa Building Construction Code or other codes or ordinances of the City of Mesa.

Automatic Audit Process

Audits are performed on all pilot projects that are allowed in the Self-Certification Program. An Automatic Audit will be completed within thirty (30) days of a permit being issued.

Review Criteria

Each self-certified project selected for an audit, whether random or automatic, will be audited for compliance with the Mesa Building Construction Code and all other applicable codes, supplements, amendments, ordinances or standards. The Plan Reviewer for each discipline will complete the review in accordance with the scoring system described in the “Self-Certification Program Auditing and Appeal Procedures.”

Scoring (Evaluation) System

The audit system includes the following details and procedures (evaluation measures):

1. For each applicable plan review discipline, review for relevance and applicability of all plan review corrections entered by the applicable auditor;
2. For each applicable plan review discipline, group by subject matter, all building code violations identified in such plan review corrections to eliminate repetitive comments addressing essentially the same building code violation;
3. For each applicable plan review discipline, and except as otherwise provided, assign a point value of “1” to each such subject-matter group into which such plan review corrections have been categorized;
4. For each applicable plan review discipline:
 - a. Tally the applicable point value(s) assigned to each group into which plan review corrections have been categorized to determine the numeric auditing grade for that discipline;
 - b. If such numeric auditing grade exceeds the cap on numeric auditing grades, adjust such numeric auditing grade accordingly to determine the final numeric auditing grade for that discipline; and
 - c. Enter the applicable final numeric auditing grade for such discipline on the master audit spreadsheet.
5. After a final numeric auditing grade has been determined for each applicable discipline, add all such final numeric auditing grades together to determine the audited project’s final cumulative auditing grade.
6. Enter the audited project’s final cumulative auditing grade on the master audit spreadsheet; and
7. Based on the audited project’s final cumulative auditing grade, determine whether the audited project “failed” or “passed” the audit.

Audit Results

Review corrections categorized as administrative violations of the Mesa Building Construction Code and all other applicable codes, ordinances, or standards referenced in the Review Criteria Section above shall be assigned a point value of “0” for purposes of grading an audit. Such administrative violations include, but are not limited to, the following: application-related and fee-related violations; missing engineering or architectural stamps; missing or incorrect contractor information. Notes will document the violations to identify areas that the Self-Certified Professional may need additional training and direction.

Audit Point System – Buildings:

A point shall be scored for each building code violation. Within each applicable plan review discipline, a cap shall be set on the numeric auditing grade assigned for that discipline, as follows:

Plan Review Discipline	Applicable Cap on Points
Architecture	No limit on points
Structural	No limit on points
Electrical 8	points
Energy 3	points
Accessibility 3	points
Plumbing 5	points
Mechanical 5	points

Determining Final Audit Results

If the final cumulative audit grade is ten (10) points or more for projects with valuations of less than \$2.5 million, such project shall be deemed to have failed the audit.

If the final cumulative audit grade is twenty (20) points or more for projects with valuations of \$2.5 million or greater, such project shall be deemed to have failed the audit.

Notification to Self-Certified Professional

Development Services shall notify the Self-Certified Professional in writing of the results of any audit conducted under these rules.

1. Notify the Self-Certified Professional and Owner of Record in writing; and
2. Identify the permit number applicable to the audited project.
3. State, for each plan review discipline auditing the project, the applicable final numeric audit grade for such discipline.
4. State the audited project’s final cumulative auditing grade.

5. Provide an explanation of the Self-Certified Professional's appeal options.
6. State that if an appeal application has not been timely submitted or if the Self-Certified Professional fails to appear at a timely requested plan review meeting or an appeal hearing, the Self-Certified Professional shall be deemed to have waived his or her right to dispute the results of the audit.
7. Notify the Self-Certified Professional that all Mesa Building Construction Code violations or violations to other ordinances and codes adopted or followed by the City of Mesa identified in the plan review comments entered for such audited project must be corrected by following the directions for follow-up contained in the notification.
8. State the date by which the corrections must be submitted.
9. Notify the Self-Certified Professional that if the corrections to the Mesa Building Construction Code and other ordinances and codes followed by the City of Mesa identified in the code correction comments have not been corrected or resolved by the date indicated on the notification, the Building Official may, without further notice, suspend the Self-Certified Professional's Self Certification privileges until such time that such Mesa Construction Code violations are corrected or resolved.
10. Notify the Self-Certified Professional that if it is determined that the building code and/or city ordinance violation(s) identified in the plan review comments pose a threat to the public health, safety or welfare, the permit may be revoked.

Appeal Process

If the Self-Certified Professional of an audited project disputes the results of the audit or connection with such audit, the Self-Certified Professional of record has the right to call the Plan Reviewer/s to discuss and/or:

1. Plan Review Meeting

Request an informal meeting within seven (7) calendar days from audit completion/decision to review the matter with the Plan Reviewer/s.

The Self-Certified Professional will indicate in writing which comments (s)he is appealing and provide justification at least three business days prior to the meeting.

2. Administrative Review

File an appeal with the Building Official within three (3) business days from plan review meeting completion/decision.

3. Appeal to Building Board of Appeals

If the Self-Certified Professional disputes the results of the Building Official, an appeal request to the Building Board of Appeals must be provided in writing within thirty (30) calendar days of a Building Official decision. The fee to file an appeal to the Building Board of Appeals is \$228.80

The Self-Certified Professional of an audited project shall be deemed to have waived his or her right to dispute the results of an audit if such Self-Certified Professional fails to submit, in the time specified above, a written request for a meeting to review the results of such audit or does not submit an administrative review request or appeal to the Building Board of Appeals

If the Self-Certified Professional submits a written request for a review meeting in a timely manner but fails to appear at such meeting, DSD may, upon a showing of good cause, reschedule such meeting. For purposes of this rule, the term “timely manner” means the date identified in the notification.

Appeal Results

If, as a result of a plan review meeting, it is determined that a disputed plan review correction is accurate and applicable to the audited project such that a revision to permit is required for the project or that the results of an audit are correct, and the Self-Certified Professional agrees with such determination, such mutual understanding between the plan examiner and Self-Certified Professional shall be memorialized in writing. If the Self-Certified Professional does not agree, and would like to pursue it further, an administrative review application must be submitted within three (3) working days of the plan review meeting.

If, as a result of a plan review meeting or a Building Official review, it is determined that a disputed plan review correction is not accurate or applicable to the audited project or that the results of an audit are incorrect, the Building Official shall inform the Self-Certified Professional in writing and, if applicable, shall resolve the matter by not requiring the Self-Certified Professional to address the particular correction(s).

If, as a result of a plan review meeting or an administrative review, a determination will change the results of an audit, the Self-Certified Professional may request that the Building Official recalculate the final cumulative audit grade of the project. Upon receipt of such request, the Building Official shall recalculate the final cumulative audit grade accordingly and shall notify the Self-Certified Professional in writing of the results of such recalculation.

The Self-Certified Professional’s Self-Certification privileges shall be revoked by the Building Official if:

1. The Self-Certified Professional fails three audits within a three-year period,
2. Fails to take all remedial measures within such Self-Certified Professional’s control to bring the required plans and any construction thereunder into compliance with the City of Mesa Building Construction Code and other city ordinances.