

Survey Plan Processing and Pre-Lodgement Advice

Procedure

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Version History

Date	Version	Author	Description/Comments
02/11/2010	1.00	Jim Sloan	Replacing former NRW Policy : RPS/2004/1706
05/08/2013	1.01	Jim Sloan	Rebranding due to departmental name change and organisational structure changes
31/10/2013	1.02	Jim Sloan	Incorporates content from repealed policy RPS/2004/1705 – Performance Reporting.

Approval

Chris Robson Assistant Director-General, Land and Indigenous Services	1 March 2011
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Purpose

This procedure details the various methods of processing survey plans in relation to survey matters. The processing of plans within the department also involves Titles Registry and State Land Asset Management processes.

Objectives

This procedure is designed to achieve the following objectives:

- Provide an open and transparent procedure for processing of survey plans;
- Provide a basis for consistent plan processing across the State;
- Enable the Registrar of Titles to have a level of confidence in plans intended for registration;
- Ensure the quality of survey data derived from plans is suitable for entry into other systems and for other users;
- Maintain and enhance the integrity of the cadastral boundary system;
- Ensure that plans dealing with State Land actions implement the proposed action;
- Ensure compliance with record-keeping requirements;
- Ensure appropriate information is recorded to support:
 - accreditation; and
 - competency assessment and disciplinary action by the Surveyors Board.

Principles

To achieve the objectives, the following principles must be applied in the preparation and assessment of all surveys:

- Preserve the Integrity of the Register
- Comply with legislative authority
- Comply with standards
- Recognise guidelines
- Adhere to best practice

Principles of Plan Validation (Appendix 1) details the necessary considerations required to achieve the optimum outcome in the preparation and assessment of all surveys.

Scope

The procedure shall apply to the processing of all cadastral survey plans that are either lodged for registration or deposited with the department. The processing referred to in this document is limited to the processing that deals with survey-related matters.

Procedure

Introduction

Plans may be given to the department in the following ways:

- A deposited copy of a plan, endorsed by an accredited surveyor, in advance of lodgement for registration.
- An original plan, lodged for registration. This includes both plans endorsed by an accredited surveyor and unendorsed plans.
- A copy of a plan submitted as a record of survey, to meet the requirements of s.16 of the *Survey and Mapping Infrastructure Act 2003*. This includes both Red Cats (Redundant Catalogue plans) and Identification Survey plans.
- A copy of a plan, submitted for pre-lodgement advice, on a fee-for-service basis.
- An administrative plan, submitted for administrative action purposes.

The process for each of these is dealt with separately in this document.

Record Keeping

The keeping of records is governed by the *Public Records Act 2002* and Information Standards IS31 and IS40.

The following points are particularly relevant to survey plan processing:

- Any incoming or outgoing correspondence is a record. Examples include letters or emails stating “enclosed please find a copy of DPxxxxxx”.
- Evidence of our action or inaction is a record – Examples include a written or email:
 - note documenting the reasons for issuing, or not issuing, a requisition;
 - decision or direction by a supervisor in relation to a requisition.
- A requisition is a record. The ancillary data leading to it may not be (e.g. the working copy of the plan used in the checking process). If the working copy is not kept, the requisition must be able to stand on its own merits.
- If a requisition letter is accompanied by a colour copy of an annotated plan, a colour copy must also be retained as a record.
- Records need to be kept in the way they were created (i.e. if a record was created electronically, it must be held electronically, and if it was created in paper form, it must be held in paper form). Conversion to a different form is a copy of the record, and not the record itself. For example, if a DP is provided to the department in paper form, the scanned image is a copy, and not the record. Similarly, if a DP or RC is provided in electronic form, the electronic form is the record.
- No record is to be disposed of without the approval of State Archives. Documents are to be retained in accordance with the department's Retention and Disposal Schedule.
- When deciding what supporting information to keep, survey assessors should keep in mind the possible use of records for:
 - performance assessment by the department and the Surveyors Board; and
 - evidence for future professional conduct action.
- The Department of Natural Resources and Mines' Retention and Disposal Schedule requires records relating to the pre-examination and approval of survey plans to be retained for seven years after the last action.



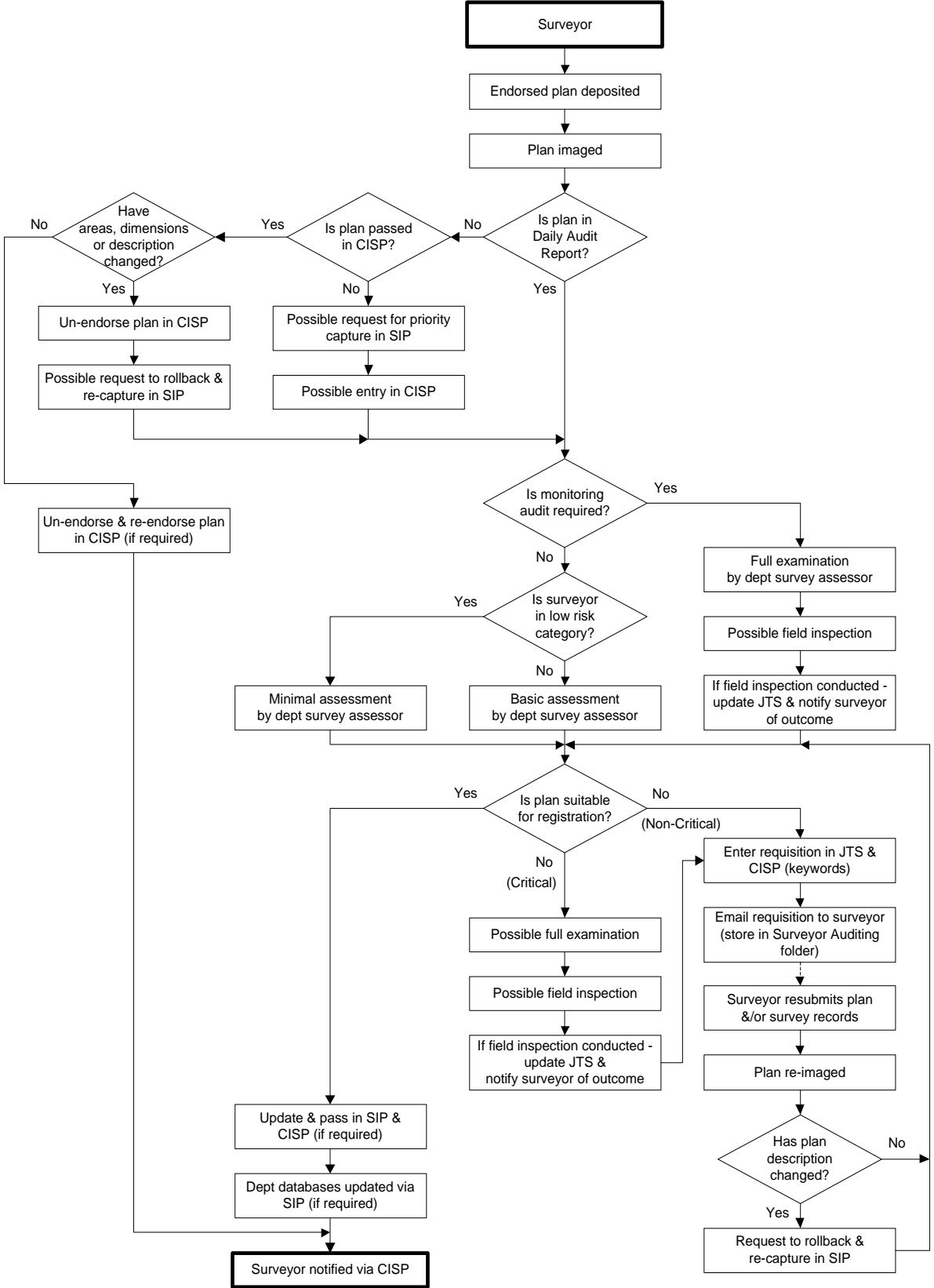
Standard Operating Procedure (SOP)

A SOP has been prepared (Appendix 2) for what is considered as best practice for the processing of plans and should be used as a guideline for all plan validation to be followed by departmental survey assessors when validating survey plans in the SIP environment.

Procedure for Deposited Plan – Endorsed

The flowchart below outlines the process for dealing with an endorsed plan that has been deposited with the department in advance of lodgement for registration. Further details on particular aspects of the process are presented below.

PROCESS FOR A DEPOSITED PLAN (DP) – ENDORSED

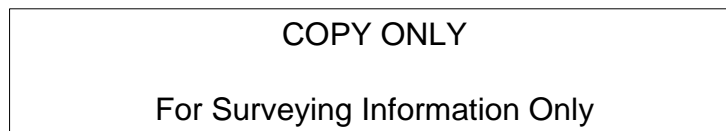


Imaging and original documentation

The deposited copy of an endorsed plan (DP) can be deposited with the department by sending a hardcopy to a regional office or by sending an image file (such as PDF) to a regional surveying group email address (e.g. WFSurvBrisbane, see surveying contacts <http://www.nrm.qld.gov.au/contactus/mapping.html>)

Plan imaging

- The DP and any associated survey records must be imaged within one working day of receipt.
- Any DP or survey records submitted by email are to be printed to enable imaging.
- The following alterations must be made to the DP prior to imaging:
 - The prefix “SP” must be covered and the letters “DP” substituted, either under the original SP or beside it to the left, and on each subsequent sheet
 - Part of the bar code should be obliterated, to avoid the plan being detected as an SP by the scanning software (the plan number will need to be entered manually at scanning)
 - There must be a stamp in a prominent position on the face of plan, stating



Form 6 imaging

Any new or updated permanent survey mark plans (Form 6) must be imaged within five days of receipt and the original sent to the Plan Archive.

Database entry

Where possible, DPs submitted to the department are captured into the departmental systems through the SIP capture process.

Upon imaging of a DP, the system verifies that a DP or SP of the same number does not already exist and then places the plan in the Daily Image Report. Working from the Daily Image Report, the SIP capture team capture survey observations, allocations and action statements as per the *SIP Project Survey Capture Processes*. SIP captured plans are automatically entered into CISP and placed in the Daily Audit Report. A priority system is in place for SIP capture. In exceptional circumstances, where an imaged DP has not yet been captured, the survey assessor can request priority capture by emailing the SIP capture team through CadastralAdminDataHelp.

DPs that are not able to be captured in SIP are entered, under instruction from the SIP capture team, directly into CISP as follows:

- Enter the plan details into CISP, as a DP in accordance with *CISP User Guidelines*. (Plan description must **not** be entered as “Plan of”).
- Enter Departmental Comments regarding field notes, if relevant (e.g. “field notes forwarded to Plan Archive on dd/mm/yyyy”).

If a previous version of a DP is already passed in CISP, the new DP will not be placed in the Daily Image Report, captured by the SIP team nor appear in the Daily Audit Report. An annotated copy showing the changes to the previous DP is required to be submitted with the new DP. The processing of the new DP is dependant on whether the annotated copy shows that any areas, dimensions or description have changed.

- Where area, dimensions or description have changed, the plan needs to be un-endorsed in CISP to enable the new version to be assessed.
 - For plans that were previously captured in SIP, the departmental systems need to be rolled back and the new version of the DP captured in SIP. The survey assessor must email the SIP capture team through CadastralAdminDataHelp, to request the roll back and re-capture.
- Where area, dimensions or description have **not** changed, the new plan is not re-assessed.
 - For plans that were previously captured in SIP, no further action is required.
 - For plans that were previously entered in CISP only, the plan is to be un-endorsed and then re-endorsed in CISP.

Any necessary update to the SCDB will occur in the business unit responsible for the Plan Archive.

Record keeping requirements

The original deposited copy is a record, which is subject to record-keeping requirements:

- This applies to both hard copy and electronic copies provided to the department.
- Emails from surveyors containing DPs or survey records must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”.

Send all original (and printed) hard copy DPs and survey records/field notes to the business unit responsible for the Plan Archive. The Plan Archive must not destroy any deposited copy without disposal approval.

Plan assessment

All plans are to be assessed in accordance with the Standard Operating Procedure (SOP) (Appendix 2).

Every DP is to be assessed in accordance with either:

- the Minimal Assessment Checklist (Appendix 3), for plans of surveyors that meet the low risk category criteria; or
- the Basic Assessment Checklist (Appendix 4) for plans not assessed under the Minimal Assessment or Full Examination; or
- the Plan Registration Compliance Checklist (Form 10), Full Examination, for plans of any surveyor that require monitoring audit.

If a State Land action plan has been deposited and the department has not issued a letter of offer, update CISP for a non-critical requisition, with the permanent comment “awaiting letter of offer”, to prevent the plan from registering without a survey assessor sighting an offer letter. A JTS requisition is **not** to be issued.

Advise the surveyor:

- the plan is suitable for survey content (if appropriate)
- plan has not been passed
- awaiting advice from State Land Asset Management.

Do **not** pass the plan until advice is received from SLAM and it has been confirmed that the plan is suitable for the proposed action.

If the plan has a non-SLAM departmental file reference, the appropriate officer should be contacted to check that the plan meets the survey contract specifications and is suitable for the proposed action.

If a critical requisition arises from a Minimal Assessment or a Basic Assessment, a Full Examination of the plan should be undertaken. If deciding not to undertake a full examination, consideration should be given to Principles for Plan Validation (Appendix 1).

Record keeping requirements

- The assessment checklist completed by the survey assessor is not required to be kept if there is no requisition or the requisition letter is self-explanatory.
- The working copy of the plan used by the survey assessor is required to be kept only if information contained on it documents decisions made about the requisition (e.g. supervisor decision), or if the working copy is necessary to give meaning to a requisition e.g. a complicated requisition that cannot be fully explained without reference to an annotated copy of the plan.
- If it is necessary to hold a copy of either the completed assessment checklist or the working copy of the plan, these are to be stored locally, and CISP must be updated to include the keyword “regional records”.
- When a decision is made to alter a requisition (withdraw in whole or in part) the reason for the alteration should be recorded in JTS as an addition to the JTS letter details. If all critical items are withdrawn, the requisition should be removed from CISP.
- Email is the preferred method of correspondence with surveyors. All correspondence to and from the surveyor must be kept. Email correspondence must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”. This includes all written advice prior to preparation of a plan.

JTS entry

The Job Tracking System (JTS) in MIS is the point of truth for all requisition information.

JTS is to be used as the electronic record keeping system that must be utilised for:

- Full examination, regardless of whether or not requisitions are issued;
- Field inspections, regardless of whether or not requisitions are issued; and
- All requisitions on deposited plans.

The JTS plan letters will be the standard letters for all correspondence in regard to plan and field assessments (see Sample JTS Letter - Appendix 5)

A letter is not required for a minimal assessment or basic assessment unless a requisition is issued.

The JTS letter must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each requisition item, the letter must contain explicit reference to the approved CISP/JTS keywords (Appendix 6), consistent with CISP and the Plan Registration Compliance Checklist (Form 10).

The preferred method of outward correspondence is to cut and paste the unsigned, system generated JTS letter into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.



Disputed requisitions

If a surveyor disagrees with a survey requisition the first point of contact should be the relevant survey assessor. If agreement cannot be reached the surveyor may appeal the decision to a Senior Surveyor. If agreement still cannot be reached the final avenue of appeal within the department is to the Director of Surveys.

CISP update

CISP update needs to be completed for all plans **prior** to passing in SIP, in accordance with *CISP User Guidelines*.

If a requisition is issued, the keyword used must correspond with the relevant section on the Plan Registration Compliance Checklist (Form 10). For field audits there is a “field inspection” administrative term in CISP. For SIP captured plans, update them using the SIP Plan Auditing transaction in CISP. This transaction allows requisition information, keywords and performance scores to be added to the plan record prior to passing the plan in SIP.

The SIP Plan Auditing transaction also allows the SIP examiner to be changed to enable the plan to be processed in the absence of the original survey examiner and also allows an endorsed plan to be unendorsed should amendments be necessary.

Passing plans

When the department survey assessor is satisfied the plan is suitable for passing, ensure CISP and JTS have been updated for any return from requisition information and performance recording.

Close off the record in JTS.

Only then should the plan be passed in SIP.

Amended plans

All amendments to endorsed plans require a new copy of the plan to be submitted to the department. This new copy must be accompanied by a copy of the previously submitted plan with the differences highlighted.

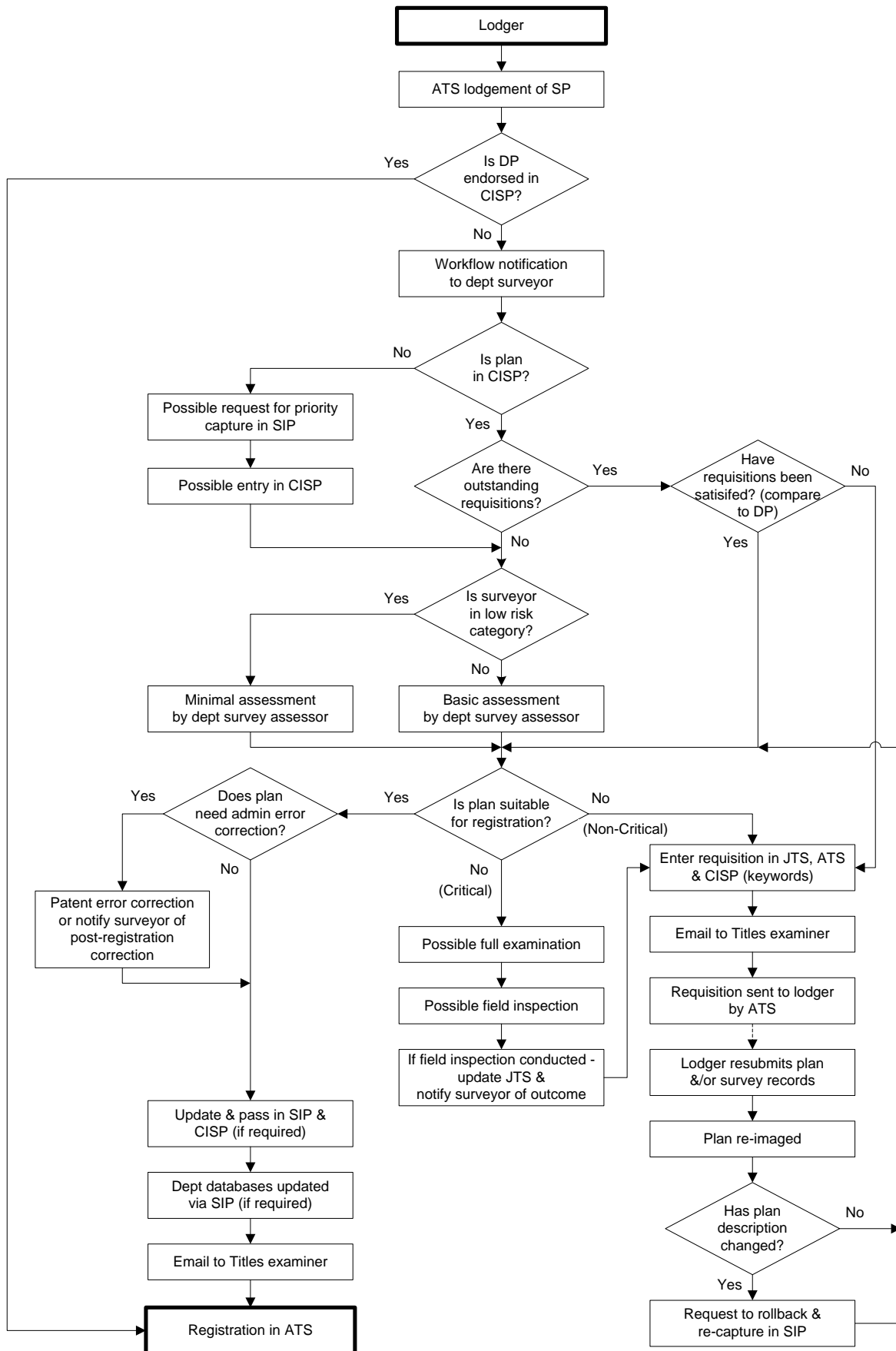
Non-endorsed plans

Non-endorsed plans must **not** be assessed prior to lodgement, without payment of fee for pre-lodgement advice.

Procedure for Lodged Plan – Endorsed

The flowchart below outlines the process for dealing with an endorsed plan that has been lodged for registration. Further details on particular aspects of the process are presented below.

PROCESS FOR A LODGED PLAN (SP) – ENDORSED



Imaging and original documentation

The plan and any accompanying survey records, including any new or updated permanent survey mark plans (Form 6) are imaged on lodgement in ATS.

The original plan is forwarded to the business unit responsible for the Plan Archive by titles staff once the plan is registered.

Field notes, if any, should be forwarded to the Plan Archive once the plan is registered and CISP noted accordingly.

Database entry

If the DP of the plan has been passed and endorsed in CISP prior to lodgement, the SP proceeds to ATS registration and no database entry is required. (The titles examiner will update CISP from a DP to an SP provided the plan is passed and endorsed. CISP is updated automatically from ATS following registration of plans.)

If the DP of the plan was not passed and endorsed in CISP, a workflow notification is triggered from titles staff to the survey assessors (see above diagram - PROCESS FOR LODGED PLAN – ENDORSED). This may occur because:

- a) a copy of the endorsed plan was not deposited; or
- b) the plan has been endorsed by an accredited surveyor, but a deposited copy has not yet been assessed by a survey assessor; or
- c) the plan has been endorsed by an accredited surveyor, a deposited copy has been assessed by a survey assessor and the surveyor has been requested to attend to some matters.

In the cases of (b) or (c), where the DP has already been captured, no database entry is required.

In the case of (a) or (b), where a DP has not been previously captured, the plan is captured into the departmental systems through the SIP capture process where possible. Upon imaging of the SP into ATS, the system verifies that a DP or SP of the same number does not already exist and then places the plan in the Daily Image Report. Working from the Daily Image Report, the SIP capture team capture survey observations, allocations and action statements as per the *SIP Project Survey Capture Processes*. SIP captured plans are automatically entered into CISP and placed in the Daily Audit Report. A priority system is in place for SIP capture, with SPs receiving highest priority. Where a plan has not yet been captured, the survey assessor can request priority capture by emailing the SIP capture team through CadastralAdminDataHelp. Any SPs that are not able to be captured in SIP are captured under instruction from the SIP capture team directly into CISP as follows:

- Enter the plan details into CISP, as an SP in accordance with *CISP User Guidelines*. (Plan description must **not** be entered as “Plan of”).
- Enter Departmental Comments regarding field notes, if relevant (e.g. “field notes forwarded to the Plan Archive on dd/mm/yyyy”).
- If a lodged State Land plan has been entered in CISP previously and a non-critical requisition issued for a letter of offer, with the permanent comment “awaiting letter of offer”, and the requirements of the letter of offer have been satisfied and the Minister’s delegate has approved the plan, remove the requisition in CISP.

Any necessary update to the SCDB will occur in the business unit responsible for the Plan Archive.

Communication between titles examiners and survey assessors

Where an endorsed plan is lodged, and the titles examiner notes that the plan has not been passed in CISP, the following requirements apply to the processing of the plan:

Titles examiner

When the titles examiner begins to process a lodged survey plan that is endorsed, and notes that CISP does not have an entry for the plan, or the plan is not passed, they must:

- Contact department survey assessor.
 - Email to the WFSURV address applicable to the survey assessor of the regional centre
 - ask for "prompt attention to the matter", and
 - state "endorsed plan with no CISP entry".
- Outcome
 - Registration/finalisation of processing of the plan as presented will occur at the expiry of the 2 hours only if –
 - acknowledgement of the initial request has been received, and
 - no request for extension of time has been made.
 - Where no acknowledgement to the initial request has been received, the titles examiner must contact the senior surveyor to ascertain the current position prior to any registration/finalisation action.

Survey assessors

Survey Assessors must send an email to the originating titles examiner within the specified time frame (note time of sending on the initial email), indicating that the email has been received, and advising one of the following:

- the plan is acceptable, and CISP has been updated
[In this case, the plan was assessed as a DP, and either (a) no matters required attention; or (b) matters requiring attention have been addressed]; OR
- the plan has not been assessed due to (give reason) and assessment will be completed by (give firm date/time)
[In this case, the DP has been received in an acceptable time prior to lodgement, but due to other factors, has not been assessed. Urgent action is required by survey audit staff.]; OR
- the plan has not been assessed due to the DP not being deposited in an appropriate time prior to lodgement, and assessment will be completed by (give firm date)
[In this case, the DP either (a) has not been received; or (b) has been received at, or shortly before, lodgement. The plan should be assessed as soon as is practicable (1-2 days). A letter should be sent to the surveyor by the department Senior Surveyor advising that the period between the deposit of the endorsed DP and lodgement is unacceptable and may lead to the accreditation status being reviewed.]; OR
- the plan has been assessed and there are matters outstanding that the surveyor has been requested to attend to.
[In this case, the plan was assessed as a DP, and a letter was sent prior to lodgement advising of the matters requiring attention. The outstanding matters must be requisitioned to the lodger through ATS, as per 2 below.]
- If the plan is not acceptable, a requisition must issue, and the following must occur:
 - the requisition must be to the lodger under ATS, by completing "Maintain Supplementary Dealing Notes" and advising the titles examiner of that activity;
 - update CISP (SP) and JTS; and
 - consider the accreditation status of surveyor.

- Under any of the above scenarios, when the plan is acceptable for survey content, the survey assessor must:
 - complete processing of the plan as a DP
 - update the plan in CISP from a DP to an SP; and
 - advise the titles examiner that the plan has been passed in CISP.

Plan assessment

All plans are to be assessed in accordance with the Standard Operating Procedure (SOP) (Appendix 2).

- If the plan was not previously assessed, ensure the plan is captured and carry out a minimal assessment or a basic assessment.
- If a critical requisition arises from a Minimal Assessment or a Basic Assessment, a Full Examination of the plan should be undertaken. If deciding not to undertake a full examination, consideration should be given to Principles for Plan Validation (Appendix 1).
- If the plan was previously assessed, determine whether any outstanding requisitions have been satisfied. If the requisition has been satisfied update CISP and JTS, otherwise issue an ATS requisition.

Record keeping requirements

- The assessment checklist completed by the survey assessor is not required to be kept if there is no requisition or the requisition letter is self-explanatory.
- The working copy of the plan used by the survey assessor is required to be kept only if information contained on it documents decisions made about the requisition (e.g. supervisor decision), or if the working copy is necessary to give meaning to a requisition e.g. a complicated requisition that cannot be fully explained without reference to an annotated copy of the plan.
- If it is necessary to hold a copy of either the completed assessment checklist or the working copy of the plan, these are to be stored locally, and CISP must be updated to include the keyword “regional records”.
- When a decision is made to alter a requisition (withdraw in whole or in part) the reason for the alteration should be recorded in JTS as an addition to the JTS letter details. If all critical items are withdrawn, the requisition should be removed from CISP.
- Email is the preferred method of correspondence with surveyors. All correspondence to and from the surveyor must be kept. Email correspondence must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”. This includes all written advice prior to preparation of a plan.

JTS entry

The Job Tracking System (JTS) in MIS is the point of truth for all requisition information.

JTS is to be used as the electronic record keeping system that must be utilised for:

- Full examination, regardless of whether or not requisitions are issued; and
- Field inspections, regardless of whether or not requisitions are issued.

A letter is not required for a minimal assessment or basic assessment unless a requisition is issued.

ATS is the source of requisitions on lodged plans. A copy of the JTS requisition must be entered in ATS. A JTS letter may be issued in addition to the ATS requisition, if considered necessary for clarity.

The JTS letter must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each requisition item, the letter must state the JTS Non-conformance item corresponding to the relevant item on the Plan Registration Compliance Checklist (Form 10).

If a JTS letter is issued, it is preferred that the unsigned, system generated JTS letter is cut and paste into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.

Disputed requisitions

If a surveyor disagrees with a survey requisition the first point of contact should be the relevant survey assessor. If agreement cannot be reached the surveyor may appeal the decision to a Senior Surveyor. If agreement still cannot be reached the final avenue of appeal within the department is to the Director of Surveys.

CISP update

CISP update needs to be completed for all plans **prior** to passing in SIP, in accordance with *CISP User Guidelines*.

If a requisition is issued, the keyword used must correspond with the relevant section on the Plan Registration Compliance Checklist (Form 10). For field audits there is a “field inspection” administrative term in CISP.

For SIP captured plans, update them using the SIP Plan Auditing transaction in CISP. This transaction allows requisition information, keywords and performance scores to be added to the plan record prior to passing the plan in SIP.

The SIP Plan Auditing transaction also allows the SIP examiner to be changed to enable the plan to be processed in the absence of the original survey examiner and also allows an endorsed plan to be unendorsed should amendments be necessary.

Passing plans

When the department survey assessor is satisfied the plan is suitable for passing, ensure CISP and JTS have been updated for any return from requisition information and performance recording.

Close off the record in JTS.

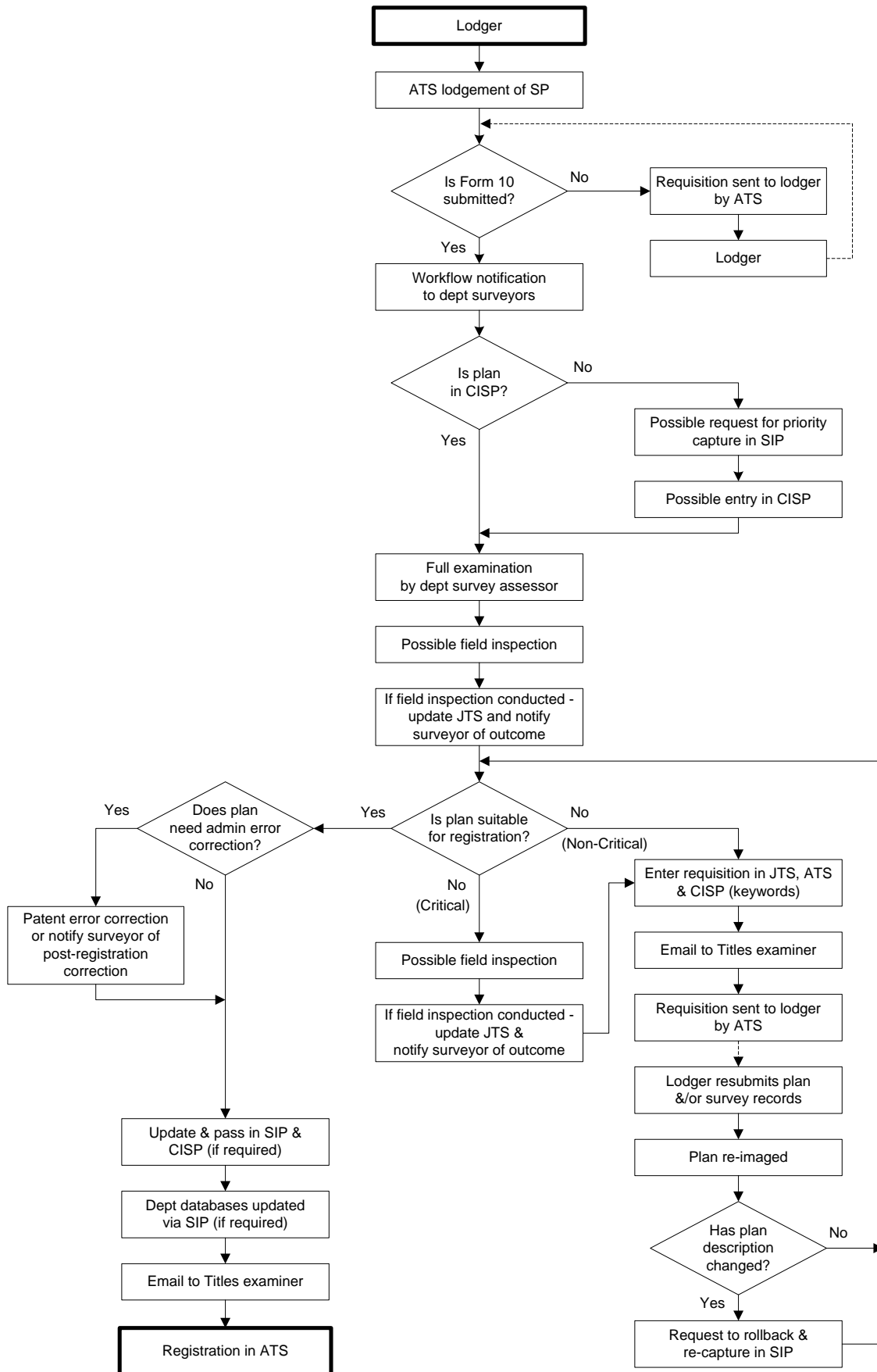
Only then should the plan be passed in SIP.

Once the plan has been passed in SIP and/or CISP, then the survey assessor must send an email to the originating titles examiner advising them that the plan is acceptable.

Procedure for Lodged Plan – Not Endorsed

The flowchart below outlines the process for dealing with an unendorsed plan that has been lodged for registration. Further details on particular aspects of the process are presented below.

PROCESS FOR A LODGED PLAN (SP) – NOT ENDORSED





Imaging and original documentation

The plan and any accompanying survey records, including any new or updated permanent survey mark plans (Form 6) are imaged on lodgement in ATS.

The original plan is forwarded to the business unit responsible for the Plan Archive by titles staff once the plan is registered.

Field notes, if any, should be forwarded to the Plan Archive once the plan is registered and CISP noted accordingly.

Database entry

When an unendorsed plan is lodged with the department, the plan has not previously been assessed by the department. A prior DP does not exist for the plan, and therefore a workflow notification is triggered from titles staff to the survey assessors (see above diagram - PROCESS FOR LODGED PLAN – NOT ENDORSED).

The plan is captured into the departmental systems through the SIP capture process where possible. Upon imaging of the SP into ATS, the system verifies that a DP or SP of the same number does not already exist and then places the plan in the Daily Image Report. Working from the Daily Image Report, the SIP capture team capture survey observations, allocations and action statements as per the *SIP Project Survey Capture Processes*. SIP captured plans are automatically entered into CISP and placed in the Daily Audit Report. A priority system is in place for SIP capture, with SPs receiving highest priority. Where a plan has not yet been captured, the survey assessor can request priority capture by emailing the SIP capture team through CadastralAdminDataHelp. Any SPs that are not able to be captured in SIP are captured under instruction from the SIP capture team directly into CISP as follows:

- Enter the plan details into CISP, as an SP in accordance with *CISP User Guidelines*. (Plan description must **not** be entered as “Plan of”).
- Enter Departmental Comments regarding field notes, if relevant (e.g. “field notes forwarded to the Plan Archive on dd/mm/yyyy”).
- If a lodged State Land plan has been entered in CISP previously and a non-critical requisition issued for a letter of offer, with the permanent comment “awaiting letter of offer”, and the requirements of the letter of offer have been satisfied and the Minister’s delegate has approved the plan, remove the requisition in CISP.

Any necessary update to the SCDB will occur in the business unit responsible for the Plan Archive.

Communication between titles examiners and survey assessors

Where a Plan Registration Compliance Checklist (Form 10) is submitted with the lodged plan, the titles examiner is to Email the WFSURV group indicating the plan is ready for examination.

If no Plan Registration Compliance Checklist (Form 10) is submitted, the titles examiner is to requisition the lodger for the Form 10.

Plan assessment

All plans are to be assessed in accordance with the Standard Operating Procedure (SOP) (Appendix 2).

- Determine whether the Plan Registration Compliance Checklist (Form 10) has been supplied (see plan packet image, using the dealing number of the plan). If this was not supplied, advise titles examiner who will issue an ATS requisition to the lodger. Note JTS for the purpose of recording the requisition, but it is not a requirement to issue a JTS letter for this element only.
- Ensure the plan is captured and undertake a Full Examination in accordance with the Plan Registration Compliance Checklist (Form 10). Note and complete SIP, CISP, JTS and ATS as appropriate. Where no requisition is required, no entry in ATS is made, and the titles examiner must be notified that plan has been passed in CISP.
- It is not a requirement to notify the surveyor of an ATS requisition, but local departmental survey assessors may choose to do so.

Record keeping requirements

- The Plan Registration Compliance Checklist completed by the survey assessor is not required to be kept if there is no requisition or the requisition letter is self-explanatory.
- The working copy of the plan used by the survey assessor is required to be kept only if information contained on it documents decisions made about the requisition (e.g. supervisor decision), or if the working copy is necessary to give meaning to a requisition e.g. a complicated requisition that cannot be fully explained without reference to an annotated copy of the plan.
- If it is necessary to hold a copy of either the completed Plan Registration Compliance Checklist or the working copy of the plan, these are to be stored locally, and CISP must be updated to include the keyword “regional records”.
- When a decision is made to alter a requisition (withdraw in whole or in part) the reason for the alteration should be recorded in JTS as an addition to the JTS letter details. If all critical items are withdrawn, the requisition should be removed from CISP.
- Email is the preferred method of correspondence with surveyors. All correspondence to and from the surveyor must be kept. Email correspondence must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”. This includes all written advice prior to preparation of a plan.

JTS entry

The Job Tracking System (JTS) in MIS is the point of truth for all requisition information.

JTS is to be used as the electronic record keeping system that must be utilised for:

- Full examination, regardless of whether or not requisitions are issued; and
- Field inspections, regardless of whether or not requisitions are issued.

ATS is the source of requisitions on lodged plans. A copy of the JTS requisition must be entered in ATS. A JTS letter may be issued in addition to the ATS requisition, if considered necessary for clarity.

The JTS letter must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each requisition item, the letter must state the JTS Non-conformance item corresponding to the relevant item on the Plan Registration Compliance Checklist (Form 10).

If a JTS letter is issued, it is preferred that the unsigned, system generated JTS letter is cut and paste into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.



Disputed requisitions

If a surveyor disagrees with a survey requisition the first point of contact should be the relevant survey assessor. If agreement cannot be reached the surveyor may appeal the decision to a Senior Surveyor. If agreement still cannot be reached the final avenue of appeal within the department is to the Director of Surveys.

CISP update

CISP update needs to be completed for all plans **prior** to passing in SIP, in accordance with **CISP User Guidelines**.

If a requisition is issued, the keyword used must correspond with the relevant section on the Plan Registration Compliance Checklist (Form 10). For field audits there is a “field inspection” administrative term in CISP.

For SIP captured plans, update them using the SIP Plan Auditing transaction in CISP. This transaction allows requisition information, keywords and performance scores to be added to the plan record prior to passing the plan in SIP.

The SIP Plan Auditing transaction also allows the SIP examiner to be changed to enable the plan to be processed in the absence of the original survey examiner and also allows an endorsed plan to be unendorsed should amendments be necessary.

Passing plans

When the department survey assessor is satisfied the plan is suitable for passing, ensure CISP and JTS have been updated for any return from requisition information and performance recording.

Close off the record in JTS.

Only then should the plan be passed in SIP.

Once the plan has been passed in SIP and/or CISP, then the survey assessor must send an email to the originating titles examiner advising them that the plan is acceptable.

Procedure for Field Inspections

Field inspections provide an opportunity to monitor the performance of surveyors as well as identify potential uncertain boundary areas. It is envisaged that any uncertain boundary areas would be handled in accordance with the strategies developed by the Director of Surveys, after consultation with surveyors and other interested parties.

Field assessment

Field inspections may be undertaken on any survey, regardless of the endorsement or registration status of the plan.

It should be recognised that a survey assessor will undertake random field inspections in accordance with the strategies developed in each district, as well as inspections triggered as part of the processing of plans. Where a critical requisition arises from the processing of a plan, an assessment should be made as to whether a field inspection should also be undertaken. If deciding not to undertake a field inspection, consideration should be given to Principles for Plan Validation (Appendix 1).

The criteria to be considered during a field inspection are outlined in the Field Inspection Checklist (Appendix 7), which should be used as a structure for the reporting of all field inspections.

Record keeping requirements

- The field inspection checklist completed by the survey assessor is not required to be kept if there are no unsatisfactory items or the field inspection report is self-explanatory.
- Any field record generated by the survey assessor is required to be kept if the information documents decisions made about any unsatisfactory items (e.g. supervisor decision), or it is necessary to give meaning to any unsatisfactory items within the field inspection report.
- If it is necessary to hold a copy of either the completed field inspection checklist or field records, these are to be stored locally, and CISP must be updated to include the keyword “regional records”.
- Email is the preferred method of correspondence with surveyors. All correspondence to and from the surveyor must be kept. Email correspondence must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”. This includes all written advice prior to preparation of a plan.

Prepare report to surveyor

For all field inspections, a report shall be generated. A copy of the report will be forwarded to the surveyor who undertook the original survey. The original surveyor should be offered every opportunity to respond to issues raised in an inspection report. This may include an explanation or undertaking remedial action.

Database entry

Where field inspections are conducted as part of the processing of plans, CISP and SIP are updated in the normal course of processing the plan that has been deposited, lodged or submitted to the department. Where field inspections are conducted on a plan that is already registered, then CISP and SIP are not updated.

JTS entry

JTS is to be used as the electronic record keeping system that must be utilised for all field inspections, regardless of whether or not requisitions are issued and regardless of whether or not the plan is registered.

The JTS plan letters will be the standard letters for all correspondence in regard to plan and field assessments (see Sample JTS Letter - Appendix 5)

The JTS field inspection report must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each unsatisfactory item, the report must contain explicit reference to the approved CISP/JTS keywords (Appendix 6), consistent with CISP and the Plan Registration Compliance Checklist (Form 10).

The preferred method of outward correspondence is to cut and paste the unsigned, system generated JTS report into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.



Disputed requisitions

If a surveyor disagrees with a survey requisition the first point of contact should be the relevant survey assessor. If agreement cannot be reached the surveyor may appeal the decision to a Senior Surveyor. If agreement still cannot be reached the final avenue of appeal within the department is to the Director of Surveys.

Procedure for Post-Registration Corrections

The *Registrar of Titles Directions for the Preparation of Plans* specifies the actions to be taken by surveyors to amend registered plans.

JTS entry

The Job Tracking System (JTS) in MIS is the point of truth for all requisition information.

JTS is to be used as the electronic record keeping system that must be utilised for all post registration corrections.

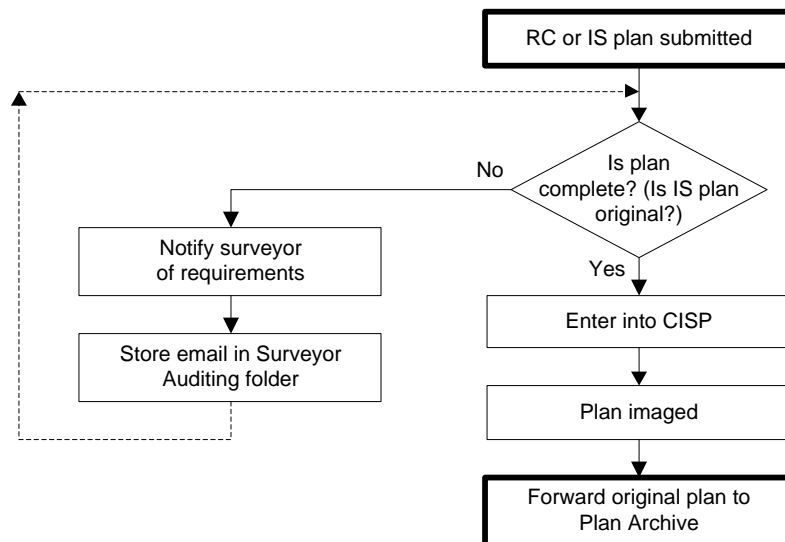
The JTS letter must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each requisition item, the letter must contain explicit reference to the approved CISP/JTS keywords (Appendix 6), consistent with CISP and the Plan Registration Compliance Checklist (Form 10).

The preferred method of outward correspondence is to cut and paste the unsigned, system generated JTS letter into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.

Procedure for Redundant Catalogue Plan (Red Cats) and Identification Survey Plan

The flowchart below outlines the process for dealing with a plan that has been submitted as a record of survey, to meet the requirements of s.16 of the *Survey and Mapping Infrastructure Act 2003*. Further details on particular aspects of the process are presented below.

PROCESS FOR RED CAT PLAN (RC) & IDENTIFICATION SURVEY PLAN (IS)



Mandatory items

There are mandatory requirements that Red Cats and Identification Surveys must comply with.

- Plans must have a valid Form 13 certification attached (survey completed date, signed, signature date).
- The surveyor must be registered at the time of signing the certification.
- For IS plans, the plan must be an original plan with a barcode label attached.

Imaging and data entry

On receipt, after checking that the plans comply with the mandatory requirements, plans must be entered into CISP as a RC or IS in accordance with *CISP User Guidelines*. Enter Departmental Comments in CISP regarding survey records, if relevant (e.g. “field notes forwarded to the Plan Archive on dd/mm/yyyy”).

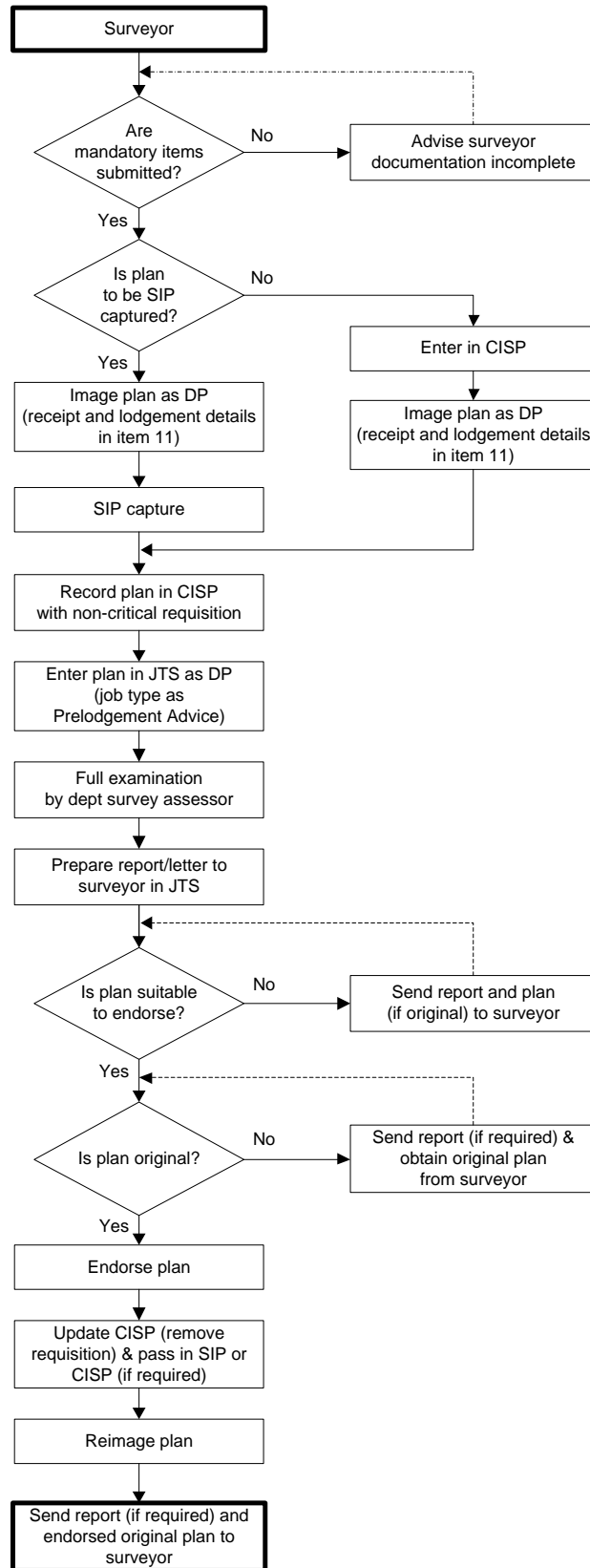
The plan must be imaged and the original (and printed RC) hardcopy plan sent to the business unit responsible for the Plan Archive.

Red Cats and Identification Surveys are not routinely assessed by a departmental survey assessor.

Procedure for Pre-lodgement Advice

The flowchart below outlines the process for dealing with a plan that has been submitted for pre-lodgement advice. Further details on particular aspects of the process are presented below.

PROCESS FOR PRE-LODGEMENT ADVICE (DP)



Mandatory items

There are mandatory items that must be submitted with a request for pre-lodgement advice. The survey assessor should verify that the submitted documents comply with these requirements.

The documents to be submitted are:

- Copy of Plan (front and back) or Original Plan, and any additional sheets.
 - Plans must have a barcode label and a valid Form 13 certificate (survey completed date, signed, signature date),
 - The surveyor must be registered at the time of signing the certification.
- a completed Pre-Lodgement Advice Request Form, including Pre-lodgement Advice Checklist
- the relevant documentation identified in the checklist
- copy of payment receipt.

Imaging and data entry

Print/copy the plan and write “Pre-lodgement”, receipt number and examination office in Item 11 on reverse of the copy of the plan prior to imaging. The copy of the plan is imaged as a DP.

If the survey assessor considers that the pre-lodgement advice plan is best processed without SIP capture, then the plan details should be entered into CISP **prior** to imaging the plan as a DP in accordance with *CISP User Guidelines*. SIP captured plans are automatically entered into CISP and placed in the Daily Audit Report.

Enter “Pre-lodgement” in Departmental Comments in CISP.

All plan details are to be recorded in JTS as a DP with a job type of Pre-lodgement Advice.

Plan assessment

The plan is assessed for its suitability for endorsement by full examination in terms of the Plan Registration Compliance Checklist (Form 10).

CISP is to be updated as a non-critical requisition awaiting completion of Item 11 and any other requirements.

Surveyors may, in addition to these items, request the department to review the boundary reinstatement of the survey. Item 1 of the Pre-Lodgement Advice Request Form indicates the services requested by the surveyor.

Advice on reinstatement will be included only at the request of the surveyor (a fee will be charged for reinstatement advice in accordance with the relevant Fee for Advice on Survey Requirements for Plan Lodgement).

Prepare report to surveyor

A report is prepared for all plans deposited for Pre-Lodgement Advice. (See Sample JTS Letters Appendix 5)

Reports take the form of the standard JTS pre-lodgement advice letter, using the Plan Registration Compliance Checklist (Form 10) results.

The report to the surveyor must include all suggested amendments to the plan. Where appropriate, the reasons for the suggested amendments should be included in the report. A copy of the plan may be annotated to show the suggested amendments. A copy of this must be retained by the department. This copy is used to verify that amendments have been made to the plan before it is endorsed.

All advice (requisition) information is to be captured in JTS.

Email correspondence must be stored in a folder for the particular surveyor under: "Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing".

Endorse plan and update CISP

The original plan is to be endorsed after any requested amendments have been made. The original plan must have the barcode attached and the Form 13 certificate completed

Endorsement is done by completing Item 11 of the Plan (Form 21 Version 2) as follows:

11. Passed & Endorsed:

By: DNRM

Date:

Signed: (Surveyor Assessor)

Designation: (Survey Assessor's position title)

Prior to passing the plan, the survey assessor must ensure that the date of certification recorded in CISP is the same as the date of the Form 13 certificate on the original plan. The plan is to be closed off in JTS, CISP is to be updated to remove requisition and show as Third Party Accredited, and the plan is to be passed/endorsed in SIP or CISP (if not captured through SIP).

The plan must then be reimaged as a DP.

The JTS letter and the Pre-lodgement Advice Request Form both make reference to a 14 day limit for the provision of the original plan for endorsement, where the advice was sought on the basis of a copy. The department is not prepared to endorse a plan where a longer period of time has elapsed from the date of its assessment of the plan, unless alternative arrangements have been made.


Return report and/or plan to surveyor

If an original plan has been submitted for Pre-Lodgement Advice and the plan is not suitable for endorsement or is not complete, it must be returned to the surveyor for corrective action prior to endorsement.

The report is sent to the surveyor advising them of the outcome of the pre-lodgement advice examination.

JTS entry

The Job Tracking System (JTS) in MIS is the point of truth for all requisition information.



JTS is to be used as the electronic record keeping system that must be utilised for all pre-lodgement advice.

The JTS plan letters will be the standard letters for all correspondence in regard to plan and field assessments (see Sample JTS Letter - Appendix 5).

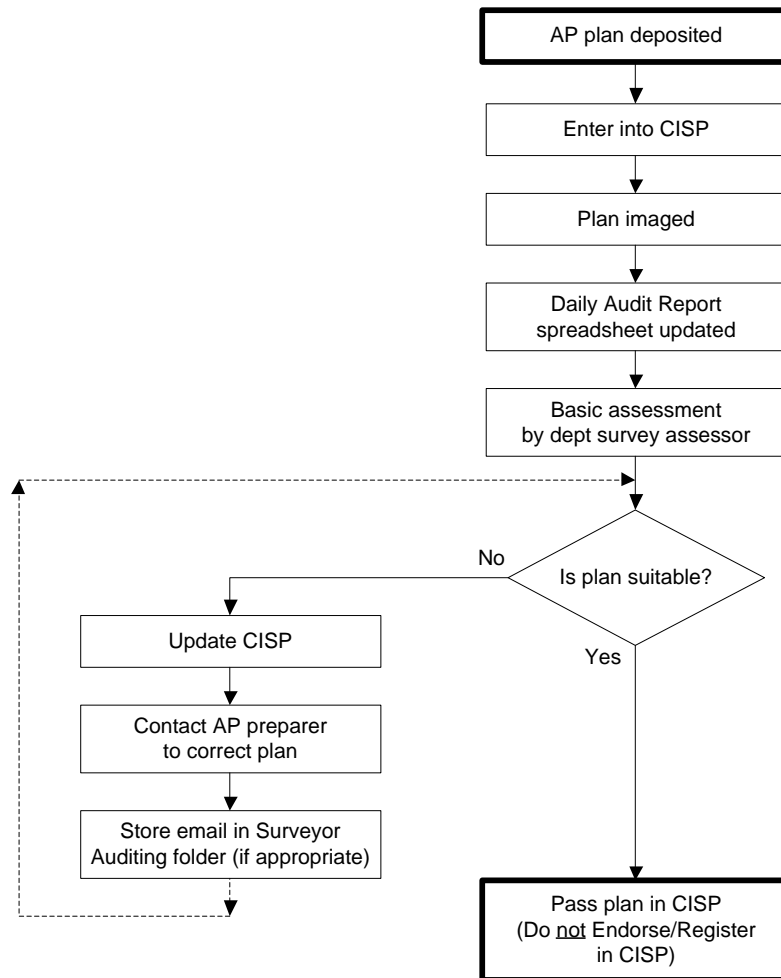
The JTS letter must be clear, unambiguous and comprehensive, containing sufficient information to allow other users to understand the nature of the requests (the recipient, the accreditation committee and the Surveyors Board). For each requisition item, the letter must contain explicit reference to the approved CISP/JTS keywords (Appendix 6), consistent with CISP and the Plan Registration Compliance Checklist (Form 10).

The preferred method of outward correspondence is to cut and paste the unsigned, system generated JTS letter into the body of an email to the surveyor. Correspondence sent by regular post must be on departmental letterhead and signed.

Procedure for Administrative Plan

The flowchart below outlines the process for dealing with a plan that has been submitted as an administrative plan. Further details on particular aspects of the process are presented below.

PROCESS FOR ADMINISTRATIVE PLAN (AP)



Imaging and data entry

The plan must be an original plan with a barcode label attached. On receipt, the plan must be entered into CISP as an AP in accordance with *CISP User Guidelines*.

The plan must be imaged and the original sent to the business unit responsible for the Plan Archive.


Plan assessment

Plan should be assessed against the Basic Assessment checklist to ensure basic elements are correct.

Prepare report to preparer

The preparer of the plan should be notified of any non-compliance issues with the plan.

Where the plan has been prepared by a surveyor, the notification should take the form of the standard JTS audit letter.



If the AP was prepared by a surveyor, any email correspondence must be stored in a folder for the particular surveyor under: “Public Folders\All Public Folders\Departmental Folders\Surveyor Auditing”.

Update CISP

The plan must be passed in CISP, after any requested amendments have been made.

Do **not** endorse/register in CISP.



Responsibilities

The controller of this document is responsible for this document and for the maintenance and control of Appendices 1 to 6.

The responsibilities outlined below do not abrogate the responsibility of the department for the plan registration process, nor does it abrogate the responsibility of surveyors for the accuracy of their surveys.

Cadastral Surveyors shall be responsible for:

- the quality of their survey plans;
- maintenance of their internal procedures for plan preparation;
- quality improvement strategies dealing with plan preparation and lodgement;
- correction of all error/s identified in their plans.

Liaison Officers shall be responsible for:

- the conveying of information between a corporation registered as a cadastral surveyor and the department. This does not preclude any surveyor from contacting the department, through the local office, on specific issues;
- addressing errors found on deposited, lodged or registered plans prepared by the corporation

Department Survey Assessors shall be responsible for:

- the processing of survey plans deposited/lodged with the department in accordance with this document.
-

Definitions

Assessment - The assessment of the survey content of plans in accordance with the relevant standards defined under the *Survey and Mapping Infrastructure Act 2003* and the *Land Title Act 1994*.

Accreditation - Formal recognition by the department that a surveyor produces surveys of a high standard, that is, a standard which satisfies the quality requirements of plans lodged with the department.

ATS - The Automated Titles System is the electronic register of interests in land.

Administrative Plan (AP) – A plan that has been submitted to the department in accordance with the procedure for Administrative Plans.

CISP - The Computer Inventory of Survey Plans is a computerised database and index to survey plans.

CISP Performance Criteria - each requisition will be recorded in CISP as either critical or non-critical where:

- Critical means unsuitable to register; and
- Non-critical means minor matter requiring attention.

(Refer to CISP/JTS Keywords Appendix 6)

Department - The department responsible for administering the *Survey and Mapping Infrastructure Act 2003*

Deposited Plan or DP - A copy of an endorsed plan that has been submitted to the department in accordance with Procedure for Deposited Plan - Endorsed or a plan copy submitted for pre-lodgement advice.

Director of Surveys – The director within the Land & Spatial Information Group of DNRM who holds delegations for surveying matters from the Chief Executive of the department.

Endorsed Survey Plan - A survey plan that has been noted as “Passed & Endorsed” in Section 11 (Form 21 Version 3) on the reverse of the plan by an Accredited Surveyor or by the department.

JTS - The departmental Job Tracking System incorporated in the Management Information System (MIS).

Liaison Officer - A person appointed by a corporation which is registered as a consulting cadastral surveyor, where the corporation is an Accredited Surveyor, whose role is to co-ordinate with the department on matters relating to the processing of endorsed plans.

Lodged Plan - A Lodged Plan is defined as a plan that has been submitted to the department for registration under an act, such as the *Land Title Act 1994*, *Land Act 1994*, *Building Units and Group Title Act 1980*, *Body Corporate and Community Management Act 1997*, etc. and has been lodged into the Automated Titles System.

Monitoring Audit – Includes full plan audit and/or field audit.

Plan - A record of a cadastral survey prepared on Form 21 (*Land Title Regulations 1994*).

Plan Archive – The archival facility where the official survey plans and records are stored. Records for the Plan Archive are sent to:

*Plan Archives, DNRM, Landcentre Podium, Level 2
Cnr Main & Vulture Streets, Woolloongabba Qld 4102*

Plan Registration Compliance Checklist (Form 10) – a prescribed document under Section 20(1)(c) of the Survey and Mapping Infrastructure Regulation 2004 (On-line *from* the survey standards page of the department’s web site)

Pre-Lodgement Advice - The provision of written advice, charged on a fee-for-service basis, which would allow plans to proceed towards registration.

Pre-Lodgement Advice Request Form & associated Checklist – A form to be completed when submitting a plan for pre-lodgement advice. (On-line *from* the survey standards page of the department’s web site)

Redundant Catalogue or RC - A plan, other than an identification survey plan, that has been submitted to the department for the purpose of satisfying Section 16 of the *Survey and Mapping Infrastructure Act 2003*.

SCDB – The Survey Control Database administered by the department

Senior Surveyor – Includes Senior Surveyors, Principal Surveyors or other senior surveying operatives of the department.

Service Standards – Standards set by the department to prescribe processing timeframes.

Survey Information Processing (SIP) - a computer system used to capture textual data about a survey as well as survey observations, allocations and action statements and to validate the data captured against business rules.

Survey Assessor - An officer of the department who undertakes processing of plans deposited with the department.

References

Plan Registration Compliance Checklist (Form 10)

<http://www.nrm.qld.gov.au/property/surveying/pdf/form10.pdf>

DNRM Pre-Lodgement Advice Request Form

<http://www.nrm.qld.gov.au/property/surveying/pdf/prelodge-advice-request.pdf>

SIG/2012/5041 Accreditation of Surveyors

http://www.nrm.qld.gov.au/services_resources/item_details.php?item_id=100843&topic_id=6

RPS/2005/2189 Communication and referral of surveying issues to the Surveyors Board Queensland

http://www.nrm.qld.gov.au/services_resources/item_details.php?item_id=100248&topic_id=6

Cadastral Survey Requirements

<http://www.nrm.qld.gov.au/property/surveying/pdf/cadastral-survey-requirements.pdf>

Registrar of Titles Directions for the Preparation of Plans

<http://www.nrm.qld.gov.au/property/titles/rdpp/index.html>

Computer Inventory of Survey Plans (CISP) User Guidelines

Survey Control Database User Manual

Survey Information Processing - Survey Capture Processes

Information Standard 31 - Retention and Disposal of Public Records

<http://www.qgcio.qld.gov.au/products/qgea-documents/548-information/2360-retention-and-disposal-of-public-records-is31>

Information Standard 40 – Recordkeeping

<http://www.qgcio.qld.gov.au/products/electronic-document-and-records-management/548-qgea/products/qgea-documents/information/2357-recordkeeping-is40>

Legislation

Survey and Mapping Infrastructure Act 2003

Public Records Act 2002



Appendices

Appendix 1 - Principles for Plan Validation

Appendix 2 - Standard Operating Procedure (SOP)

Appendix 3 - Minimal Assessment Checklist

Appendix 4 - Basic Assessment Checklist

Appendix 5 - Sample JTS Letter

- Basic Assessment Letter
- Compliance Assessment Letter
- Field Inspection Letter
- Pre-Lodgement Advice Letter

Appendix 6 - CISP/JTS Keyword

Appendix 7 – Field Inspection Checklist

Appendix 1 - Principles for Plan Validation

The **objectives** for plan validation include:

- Provide an open and transparent procedure for processing of survey plans;
- Provide a basis for consistent plan processing across the State;
- Enable the Registrar of Titles to have a level of confidence in plans intended for registration;
- Ensure the quality of survey data derived from plans is suitable for entry into other systems and for other users;
- Maintain and enhance the integrity of the cadastral boundary system.

To achieve the objectives, the following **principles** should be applied. Surveys must:

- **Preserve the integrity of the Register** - Fundamental to any cadastral survey and the Register and the basis of the security of the current Land Tenure system in Queensland.
- **Comply with legislative authority** – The lawful requirements of any survey or tenure transaction.
- **Comply with standards** – A prescribed method of satisfying the legislative requirements.
- **Recognise guidelines** – An alternative method to comply with the standard.
- **Adhere to best practice** – A peer reviewed approach to conducting a survey and preparing a plan which maintains and enhances the integrity of the cadastral boundary system.

Any plan audit should be cognisant of these principles.

The Measure of Compliance with the Principles

The determination of the level of compliance with the department's Plan Registration Compliance Checklist (Form 10) should measure the compliance with the principles. A survey plan will:

- **satisfy all items** – plan is fit to register; or
- **have minor matters that require attention** – plan should be amended prior to lodgement, but if the original is lodged for registration, will the registration of the plan in its current form adversely affect the application of the principles? or
- **be unsuitable for registration** – plan must be amended prior to registration.

The Plan Registration Compliance Checklist (Form 10) has been developed around these principles. It is the main processing tool for the validation of survey plans. Compliance with the items in the checklist needs to be considered in line with the measures of compliance above.

Appendix 2 - SOP for Plan Validation in the SIP Environment

Purpose: This document details the procedure considered as best practice for the processing of plans and should be used as a guideline for all plan validation to be followed by departmental survey assessors when validating survey plans in the SIP environment.

Obtaining Plan:	Assessment Item
1. Select plan from Daily Audit Report spreadsheet on survprog	
2. Open SIP and log on	
3. Open plan in SIP and allocate it to yourself	
4. Obtain copy of plan from Imageviewer	
CISP:	
5. CISP data transfer checking (SIP Plan Audit Transaction) <ul style="list-style-type: none"> • Check plan description has been transferred correctly • Check surveyors name • Validate surveyors certificate – compiled/surveyed • Check Fieldnotes • Update keywords to accredited or none to be recorded 	1, 2,3
SIP:	
6. Turn on Edit mode in SIP	
7. Open the Administration tab	
8. Review any Fieldnote comments from SIP capture staff <ul style="list-style-type: none"> • Compare version number with plan header version • Ensure F/N Ref Number field is updated if fieldnotes exist 	
9. Review Head of Power, Plan Format	3
Hardcopy:	
10. Open SmartMap and locate the parcel being affected by the survey.	
11. Validate locality, local government, map ref. (from SmartMap) and Item 11.	1, 2
12. Validate adjoining information from SmartMap	5
13. Validate connection to two PM's – use Smartmap to check numbers and approximate location	9
14. Ensure Form 6's are available for any new PM's.	9
15. Validate surveyor's certificate (Form 13, Form 18) and Item 11 on reverse. If unsure of accreditation status – check in JTS "Clients – Audit Recommendation".	1
16. Validate description on face with description in title block.	2

17. Obtain current title search from SmartMap	
18. Validate title allocation and any secondary interest allocations <ul style="list-style-type: none"> • Validate hardcopy and SIP. 	2, 6
19. Obtain copy of cancelled plans from Imageviewer.	
20. Compare external surveyed dimensions of subject lot with original.	4
21. Ensure any differences are working differences only, otherwise review reinstatement further.	7
22. Check for encroachments and ambulatory boundaries	8, 10
23. Public Use land identified on sheet 1	3
24. Validate bar code label, plan number and sheet numbers on all sheets of plan.	3
25. Ensure scale and north point are shown.	3
26. Validate Meridian	3
27. Validate any compilation certificates.	1
28. Validate marking statements on face.	9
29. Check Action Statements tab	11
30. For scheme land validate using hardcopy and relevant item from Assessment checklist	12, 13, 15
31. For volumetric format plans validate using hardcopy and item 14 from Assessment checklist	14
32. For State land plans validate using hardcopy and item 11 from Assessment checklist	11
33. Validate plan in SIP.	
34. Address any error reports – use parcel close report if necessary	
35. If ambulatory boundary <ul style="list-style-type: none"> • As SIP does not check close or area, a manual check is required for full or non accredited lodgements. • Note in CISP Permanent Comments “Reserved plan, ambulatory bdy satisfactory under SMIA 2003” or “First plan, ambulatory bdy satisfactory under SMIA 2003” • Note in CISP Department Comments, “Plan referred to policy on (date)”. 	10
36. Update CISP in SIP Plan Auditing transaction for surveyor’s performance or any requisition information.	
37. An appropriate record must be kept of any critical or non critical requisition.	
38. When ready to pass, pass plan in SIP after completing all CISP notations and closing off plan in JTS if necessary.	

Appendix 3 - Minimal Assessment Checklist (Version 1.0)

This Checklist specifies the minimum assessment of all endorsed plans received from surveyors deemed "low risk" prior to passing.

(Refer also to Plan Registration Compliance Checklist Form 10).

Plan Number	Surveyor	Assessor	Date Checked
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ITEM	Item in Full Assessment	COMMENT
2 Description		
Title description agrees with lots and secondary interests on face and title allocation on reverse	2.1	
3 Plan Presentation		
Access addressed for Public Use Land	3.12.2	
5 Adjoining Information		
Adjoining descriptions correct - immediately adjoining the subject parcel/s	5.1	
6 Allocations		
Allocations evident – confirm that where the title/s affected have registered secondary interests or noted with an AA (for example) etc, that allocations are evident, or if not, that the presentation is acceptable - (Evident means that all the expected allocation table/s and/or statement is present, but examination of content is not routinely undertaken)	6.1 – 6.6	
9 Marking		
Permanent mark numbers correct, connections evident and Form 6 supplied for new marks	9.1	
10 Ambulatory boundary		
Examined for acceptance of boundary at first receipt of any plan in the dept.	10.1-10.9	
Confirm that original survey records are received in the dept.	10.4	
11 State Land Plan		
Is a letter of offer/approval available? Is the dept. file ref shown?	11.1	
Does the plan fully comply with the letter of offer from the dept.?	11.1	
Have the parcels been correctly described, lot <alpha>, lot <number>? See standard 3.17	11.2	
Have the correct action statements been shown on the plan?	11.3	
Is the plan suitable for the action intended?	11.4	

Appendix 4 - Basic Assessment Checklist (Version 2.0)

This Checklist specifies the Basic assessment of all endorsed plans received prior to passing.

(Refer also to Plan Registration Compliance Checklist Form 10).

Plan Number	Surveyor	Assessor	Date Checked
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ITEM	Item in Full Assessment	COMMENT
1 Certification		
Correct and full certification – Form 13, 18, Explanatory Plan, accredited surveyor endorsement	1.1-1.4	
2 Description		
Title description agrees with lots and secondary interests on face and title allocation on reverse	2.1	
Locality and Local Government in agreement with gazetted name – agrees with SMIS	2.11	
3 Plan Presentation		
Plan format correct	3.1	
Barcode label – evidence of an “original”	3.3	
Sheet numbers and plan number correct on all additional sheets	3.5	
Field notes provided with DP	3.6, 7.2, 8.1,	
Northpoint and barscale shown	3.7, 3.8	
Areas and totals evident for every lot/parcel	3.10	
PUL identified on sheet 1	3.12.1	
Access addressed for Public Use Land	3.12.2	
4 Accuracy		
Metes and bounds complete – every boundary of subject lot/parcel has a B&D, totals, correctly labelled etc (eg. Tidal Boundary)	4.1, 4.2, 4.3	
5 Adjoining Information		
Adjoining descriptions correct - immediately adjoining the subject parcel/s	5.1	
6 Allocations		
Allocations evident – confirm that where the title/s affected have registered secondary interests or noted with an AA (for example) etc, that allocations are evident, or if not, that the presentation is acceptable - (Evident means that all the expected allocation table/s and/or statement is present, but examination of content is not routinely undertaken)	6.1 – 6.6	
9 Marking		
Permanent mark numbers correct, connections evident and Form 6 supplied for new marks	9.1	
10 Ambulatory boundary		
Examined for acceptance of boundary at first receipt of any plan in the dept.	10.1-10.9	
Confirm that original survey records are received in the dept.	10.4	
11 State Land Plan		
Is a letter of offer/approval available? Is the dept. file ref shown?	11.1	
Does the plan fully comply with the letter of offer from the dept.?	11.1	
Have the parcels been correctly described, lot <alpha>, lot <number>? See standard 3.17	11.2	
Have the correct action statements been shown on the plan?	11.3	
Is the plan suitable for the action intended?	11.4	

12	Standard Format with Common Property		
	Sequential numbering – numbering in accordance with RTDPP	12.3	
	Item 3 – completed – if new CTS (name only) – if old CTS (name and number)	12.4	
	Development approval date (or statement) evident	12.5	
13	Building Format Plan		
	Base parcel area evident	13.3	
	Connections to building – 2 corners of each building – correct and complete info if interconnections between multiple buildings is used	13.5	
	Remainder lot statement evident when cancelling SF Lots	13.6	
	Numbering system acceptable – RTDPP 9.4	13.9	
	Linework weights clearly identify the limits of lots and common boundaries between parts of same lots	13.10	
	Same scale and orientation for all levels diagrams	13.12	
	Areas – parts and totals evident	13.13	
	Purpose of lots in agreement with RTDPP 9.5	13.14	
	Adjoining description on level diagrams evident for all lots	13.19	
	VOIDS correctly shown – no area - part of a lot – does not apply to common property	13.21	
	Item 3 – completed – if new CTS (name only) – if old CTS (name and number)	13.24	
	Item 12 – complete, and all necessary additional statements provided RTDPP 9.20	13.25 - 13.28	
	If scheme land – development approval date (or statement) evident	13.29	
14	Volumetric Plans		
	Sequential numbering – numbering in accordance with RTDPP	14.1	
	Area of footprint evident	14.3, 14.4	
	Ground level evident	14.5	
	Volume evident	14.6	
	RL datum stated	14.7	
	Vertical plane statement – RTDPP 10.5 – if present the definition of all bounding edges is relaxed	14.8	
	Metes and bounds of bounding edges – not required if using vertical planes	14.10	
	Isometric view – drawn to scale, is an isometric view, clearly demonstrates the surfaces and bounding edges of the lot/parcel	14.14	
	Isometric view directional arrow evident	14.15	
	Remainder lot statement if cancelling SF lots	14.18	
15	Volumetric Plan with Common Property		
	Item 3 – completed – if new CTS (name only) – if old CTS (name and number)	15.3	
	Development approval date (or statement) evident	15.4	



Appendix 5 – Sample JTS Letters

Basic Assessment Letter

Author:

Section:

Phone:

Date:

Joe Bloggs
PO BOX 1234
ROBINA TOWN CENTRE QLD 4230

Dear Sir/Madam,

BASIC ASSESSMENT of DP11

This plan has been quality sampled in accordance with the Basic Assessment Checklist forming part of our *Plan Processing and Pre-Lodgement Advice, SIG/2010/4272* documentation.

There are elements of this plan that do not meet the relevant standards.

Your attention is drawn to the following points that need to be addressed.

1 CERTIFICATION

1.1 Incorrect certificate used for certification,

***adequately describe the problem for each item listed ***

After the matters have been addressed, a re-endorsed copy of the amended plan should be provided to the department well in advance of the plan being lodged.

Should you require additional information, please contact this office.

Yours sincerely,

XYZ Region

.....

Compliance Assessment Letter

Author:

Section:

Phone:

Date:

Joe Bloggs
PO BOX 1234
ROBINA TOWN CENTRE QLD 4230

Dear Sir/Madam,

COMPLIANCE ASSESSMENT of DP11

This plan has been audited against the Cadastral Plan Registration Compliance Checklist (Form 10), in accordance with *Plan Processing and Pre-Lodgement Advice, SIG/2010/4272* procedure.

There are elements of this plan that do not meet the relevant standards.

Your attention is drawn to the following points that need to be addressed.

1 CERTIFICATION

1.1 Incorrect certificate used for certification,

***adequately describe the problem for each item listed ***

If the plan has not been lodged in the land registry, a re-endorsed copy of the amended plan should be provided to the department after the matters have been addressed and well in advance of the plan being lodged.

Should you require additional information, please contact this office.

Yours sincerely,

XYZ Region

.....

Field Inspection Letter

Author:

Section:

Phone:

Date:

Joe Bloggs
PO BOX 1234
ROBINA TOWN CENTRE QLD 4230

Dear Sir/Madam,

FIELD INSPECTION REPORT

PLAN: DP11

Inspection Officer:

Inspection Date:

Field inspections, when combined with the desktop audit of the survey plan, provide the department with an assessment of the quality of the survey presented to it. Such inspection may include, but shall not be limited to, the elements of the following list. Where applicable, additional comments or recommendations are provided for your information and action.

The results of the inspection are indicated against each of the elements as shown hereunder:-

- | | |
|---|----------------|
| 1. Marking of the Survey | Satisfactory |
| 2. Reference marks - placement/distribution | Unsatisfactory |
| 3. Permanent Marks - distribution/connection | Not Audited |
| 4. Original Marks - existing and connected | Satisfactory |
| 5. Occupation - existing and connected | Unsatisfactory |
| 6. Encroachments – existing and connected | Not Audited |
| 7. Measurements - accuracy | Not Audited |
| 8. Ambulatory Boundaries | Not Audited |
| 9. Building Format Plans - Definition of Building Format Lots | Not Audited |
| 10. Other | Not Audited |

***adequately describe the problem for each item listed ***

This report is provided for your information and action. A response is expected from you for those elements that are reported as being below a satisfactory standard.

Yours sincerely,

XYZ Region

.....

Pre-lodgement Advice Letter

Author:

Section:

Phone:

Date:

Joe Bloggs
PO BOX 1234
ROBINA TOWN CENTRE QLD 4230

Dear Sir/Madam,

PRE-LODGE MENT ADVICE for RC11

This plan has been assessed against the Cadastral Plan Registration Compliance Checklist (Form 10), in accordance with *Plan Processing and Pre-Lodgement Advice, SIG/2010/4272* procedure.

There are elements of this plan that do not meet the relevant standards.

Your attention is drawn to the following points that need to be addressed.

1 CERTIFICATION

1.1 Incorrect certificate used for certification,

***adequately describe the problem for each item listed ***

After attending to any matters identified above the original plan should be presented to this office for endorsement. Endorsement of the original plan will remove the requirement for the lodgement of your completed Cadastral Plan Registration Compliance Checklist and allow for timely passage of the plan through the department's registration process after the plan is lodged.

Should you require additional information, please contact this office.

Yours sincerely,

XYZ Region

.....

Post Registration Examination and Post Registration Correction Letter

Author:

Section:

Phone:

Date:

Joe Bloggs

PO BOX 1234

ROBINA TOWN CENTRE QLD 4230

Dear Sir/Madam,

RE: Post Registration Examination and Post Registration Correction to SP11

An examination has revealed errors in the above registered survey plan and your attention is drawn to the following points that need to be addressed.

7 REINSTATEMENT

7.1 Reinstatement requires further explanation,

***adequately describe the problem for each item listed ***

As this plan is registered, a post registration correction to this plan is required. The requirements for a post registration correction are set out in Direction 23.5 of the *Registrar of Titles Directions for the Preparation of Plans*.

Please supply all the necessary documentation to effect this correction within the next ten (10) business days. If you cannot supply all the necessary documentation within the next ten (10) business days, would you please confirm this in writing, as well as an outline of the expected timeframe to acquire the required documentation.

Failure to supply the required information within the specified timeframe may cause this matter to be brought to the attention of the Registrar of Titles to be addressed under *Part 3 Division 5 of the Survey and Mapping Infrastructure Act 2003*.

If you have any questions relating to the documentation required or the post registration correction process please contact your local senior surveyor for clarification.

Yours sincerely,

XYZ Region



Appendix 6 – CISP/JTS Keywords

Critical Keywords:

Accuracy	Does not satisfy Full Checklist Item 4
Adjoining information	Does not satisfy Full Checklist Item 5
Allocations	Does not satisfy Full Checklist Item 6
Ambulatory boundaries	Does not satisfy Full Checklist Item 10
Certification	Does not satisfy Full Checklist Item 1
Check-list	Plan not endorsed – no checklist provided
Description	Does not satisfy Full Checklist Item 2
Encroachment	Does not satisfy Full Checklist Item 8
Marking	Does not satisfy Full Checklist Item 9
Plan presentation	Does not satisfy Full Checklist Item 3
Reinstatement	Does not satisfy Full Checklist Item 7
Scheme - building format	Does not satisfy Full Checklist Item 13
Scheme - standard format	Does not satisfy Full Checklist Item 12
Scheme – volumetric format	Does not satisfy Full Checklist Item 14
State land plans	Does not satisfy Full Checklist Item 11
Volumetric	Does not satisfy Full Checklist Item 15

Administrative terms:

Accredited-self	A self-endorsed plan
Accredited-third party	A plan endorsed by a third party
Examination	Full examination of the plan
Field inspection	The plan has been field inspected
Non-critical error	The surveyor has been notified of a non-critical error
None to be recorded	No requisition to be recorded
Regional records	Denotes additional information in regional file regarding Requisition issued

Appendix 7 – Field Inspection Checklist (Version 1.0)

This Checklist specifies the field assessment that may be undertaken on any plan.

Plan Number	Surveyor	Assessor	Date Checked
-------------	----------	----------	--------------

ITEM (Rule through where not applicable)	YES/NO	AUDIT COMMENT	REFERENCE
1 MARKING			
1.1 Have the corners of all new lots and new secondary interests been marked?			CSR 3.22.1
1.1.1 Are the lot numbers correctly branded?			CSR 3.22.3
1.2 Have sufficient and suitable new reference marks been placed?			CSR 3.22.2
1.2.1 Are the connections accurate?			CSR 3.22.2
1.3 Have relevant original reference marks been located?			CSR 3.22.2
1.3.1 Are the connections accurate?			CSR 3.22.2
1.4 Has all occupation in existence been located?			CSR 3.22.2
1.4.1 Are they correctly described?			CSR 3.22.2
1.4.2 Are they accurately referenced?			CSR 3.22.2
1.5 Does the plan show connections to two (2) PMs? Are the connections accurate?			CSR 3.26.1
1.5.1 Are the PM connections the most suitable for cadastral integrity?			CSR 3.26.1
1.5.2 Are the PM numbers correct?			CSR 3.26.2
1.5.3 Is the correct mark type shown for new marks?			CSR 3.26.2
1.5.4 Is the mark durable, permanent and stable?			CSR 3.26.2
2 MEASUREMENTS			
2.1 Are all boundary measurements (bearings & distances) accurate?			CSR 3.4.2
3 ENCROACHMENT			
3.1 Are there any encroachments in existence?			SMI Reg 18-19
3.1.1 Is the size, nature and location of any encroachment shown appropriately?			CSR 3.20
3.2 Are there any improvements on or near the boundary?			CSR 3.20
4 AMBULATORY BOUNDARIES			
4.1 Is the ambulatory boundary tidal or non-tidal?			CSR 4.3
4.2 Does the survey re-determine the ambulatory boundary, in part or in full? Is it the same feature? Is it in the same location?			CSR 4.5
4.2.1 If in a different location, is the shift in the boundary a result of sudden or gradual means?			CSR 4.5
4.2.2 Or is the shift in the boundary a result of misdescription?			CSR 4.5
4.3 Is there any evidence of any reclamation?			CSR 4.7

<i>ITEM (Rule through where not applicable)</i>	<i>YES/NO</i>	<i>AUDIT COMMENT</i>	<i>REFERENCE</i>
4.4 Is the location of the proposed boundary acceptable?			CSR 4.5
5 BUILDING FORMAT PLAN			
5.1 Are the corners (of the base parcel) marked or referenced to physical structures?			RDPP 9.7
5.2 Are the part lots outside of the building marked?			RDPP 9.3.1
5.3 Does the numbering system agree with the plan?			RDPP 9.4
5.4 Are all lots bounded by structural elements?			RDPP 9.6
5.4.1 If not and for a boundary within a building, are the corners marked, boundaries dimensioned and referenced to structural elements or base parcel?			RDPP 9.6.2
5.5 Are the two direct or indirect connections to the corners of the base parcel for each building correct?			RDPP 9.8
5.6 Is the building layout correctly shown and plotted?			RDPP 9.9
5.7 Are the level diagrams correctly shown and plotted?			RDPP 9.12
5.8 Are voids shown correctly?			RDPP 9.5.5
5.9 Are the Courtyards/Private Yards correctly shown and plotted?			RDPP 9.6.4
5.10 Are the Courtyards predominantly paved?			RDPP 9.1
5.11 Have all part lots been correctly described with an approved purpose?			RDPP 9.5.4
5.12 Are there any encroachments by the buildings onto adjoining land or road?			RDPP 9.20
5.12.1 If so, has the encroachment been addressed correctly?			RDPP 9.20
5.13 If an encroachment is shown, is there a statement about "the lots being wholly contained within the base parcel"?			RDPP 9.20
5.14 Does the encroachment relate to an "existing building"?			RDPP 9.20
5.14.1 If so, is the appropriate noting made?			RDPP 9.20
6 VOLUMETRIC FORMAT PLAN			
6.1 Are the corners marked or referenced to physical structures?			RDPP 10.9
6.2 Is the datum and datum RL correctly shown?			RDPP 10.10.2
6.3 Is the ground RL correctly shown?			RDPP 10.12.5

Abbreviations

RL	Reduced level
SMI Reg	Survey and Mapping Infrastructure Regulation 2004
CSR	Department of Natural Resource and Mines Cadastral Survey Requirements (see www.nrm.qld.gov.au/property/surveying/technical_standards.html)
RDPP	Registrar of Titles Directions for the Preparation of Plans (see www.nrm.qld.gov.au/property/titles/rdpp/index.html)

Instructions for completing the form

- Complete the general information at the top of the form
- All relevant items in the checklist should be completed. Completion involves:
 - Indicating in the box whether the item that has been checked and is correct; and
 - Adding further comments in the "Audit Comment" column including a statement when the item has not been checked
- Items that are not applicable, should be ruled through and the ruling through should be initialled.