

# UPDATED MANAGEMENT RESPONSE

AUDIT	Corporate Buildings Statutory Compliance	PREPARED BY	Lorraine Sarson	DATE	4 <sup>th</sup> June 2015
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Please note: The updated management responses have been provided by the Head of Property Maintenance, Service Delivery - Property Maintenance.  
A follow-up audit is included in the 2015/16 Internal Audit plan.

NO	RECOMMENDATIONS	RESPONSIBLE OFFICER/DATE TO BE ACTIONED	ORIGINAL MANAGEMENT RESPONSE	UPDATED MANAGEMENT RESPONSES
1	<b><i>Risk: Policies and procedures for corporate buildings statutory compliance meet the relevant statutory regulations and best practice standards.</i></b>			
1.1	<p>Relevant property compliance health and safety policies should be reviewed at least annually for appropriateness.</p> <p>This review should ensure that the policies reflect all statutory compliance responsibilities and are fit for purpose for the range of corporate properties.</p> <p>Procedures should be produced to support the policies and be published on the Intranet and Swindon Borough Council's Internet so all stakeholders have access and are aware of whom to contact.</p> <p>Evaluate and benchmark premises management handbooks etc. produced by other organisations to assist in implementing the above recommendations. The Cornwall Council Premises Management was found to be a good reference for this review and can be found at: <a href="http://www.cornwall.gov.uk/.../land...property/.../property.../premises-management-handbook-and-log-book">www.cornwall.gov.uk/.../land...property/.../property.../premises-management-handbook-and-log-book</a></p> <p><b>Priority: High</b></p>	<p>Head of Property Maintenance</p> <p>September 2016</p>	<p>The corporate health and safety team have agreed to put together a programme to review policies and compliance with statutory requirements, which is to include testing to identify gaps in roles and responsibilities.</p> <p>Procedures are to be put together and published on the Intranet and SBC's website for statutory requirements listed as follows:</p> <ul style="list-style-type: none"> <li>• Asbestos Management</li> <li>• Electrical Safety Management</li> <li>• Fire Safety Management</li> <li>• Gas Safety Management</li> <li>• Water Hygiene Management</li> </ul>	<p><u>Head of Property Maintenance</u></p> <p>The review of property compliance health and safety policies has been started by the Corporate Health and Safety team, prioritising policies considered to be of most importance.</p> <p>Risk assessments will be used at premises to guide on site staff. This will be supplemented by help and guidance from the Property Maintenance team and Corporate Health and Safety.</p> <p>Work is in progress to produce and align procedures to support the overarching health and safety policies. The revised policies will be published on the Intranet.</p>

NO	RECOMMENDATIONS	RESPONSIBLE OFFICER/DATE TO BE ACTIONED	ORIGINAL MANAGEMENT RESPONSE	UPDATED MANAGEMENT RESPONSES
1.2	<p>Review whether the multi storey car parks should be classified as a corporate building for the purpose of statutory compliance responsibilities.</p> <p>A matrix schedule of properties should be produced. This should set out the roles and responsibilities for all statutory compliance functions in relation to corporate properties.</p> <p>Review the relevant building statutory compliance health and safety policies, published on the intranet following the outcome of the ownership of responsibility for statutory compliance of multi-storey car parks. This is to ensure that responsibility for statutory compliance of car parks is clearly classified i.e. is it a corporate building in which case Property Services will be responsible or is it an operational building for which Highways and Transport are responsible.</p> <p>Priority: Medium</p>	<p>Head of Property Maintenance</p> <p>March 2017</p>	<p>Resources still to be identified for surveys to all corporate and operational buildings.</p> <p>It is proposed that a risk based approach is to be undertaken to survey premises with the objective to identify components that need servicing, testing or inspection in accordance with statutory requirements.</p> <p>A statutory requirement checklist or register is to be maintained for premises on the Open IT system.</p> <p>It is to include items for servicing, testing and inspection along with frequency rates and responsible persons.</p> <p>Documented records from servicing, testing and inspection are to be held electronically on the Open IT system for premises.</p> <p>The asbestos surveys for multi-storey car parks are to be carried out by Property Maintenance with management plans being reviewed at contract management meetings with Car Parking Services.</p>	<p><u>Head of Property Maintenance</u></p> <p>Classification of multi-storey car parks for the purposes of conducting and managing statutory compliance is still to be determined.</p> <p>Work has commenced to compile a matrix schedule of properties i.e. to set out the roles and responsibilities for all statutory compliance functions in relation to corporate properties.</p> <p>Repairs and maintenance to car parks is carried out by the existing service area with support for statutory compliance works such as testing of dry risers, fire alarm systems, passenger lifts and water hygiene, where appropriate from the Property Services Team.</p> <p>Asbestos surveys have been carried out to car parks and reviewed by Property Maintenance.</p> <p>We still need to determine whether we have capacity to undertake surveys or requirement to appoint a specialist consultant.</p>

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2.	<b>Risk - Demonstrate that statutory compliance is achieved for corporate buildings, including completion of the appropriate and timely compliance inspections by accredited suppliers and remedial works to address defects as necessary.</b>			
2.1	<p>A planned programme of asbestos surveys and monitoring must be devised to ensure that all corporate buildings are inspected by an accredited supplier and evidenced by a certificate of inspection.</p> <p>Any asbestos defects and subsequent remedial works should be recorded and prioritised.</p> <p>Corporate Buildings' asbestos registers should be promptly updated to ensure all stakeholders and building repairs and maintenance contractors are made aware of any asbestos containing material.</p> <p>A performance target of 100% should be put in place and used to monitor that asbestos surveys have been completed for all corporate properties within the last twelve months or sooner if indicated by a risk assessment. This reinforces the requirements set in both the Health and Safety at Work Act and Control of Asbestos Regulations.</p> <p><b>Priority: Critical</b></p>	<p>Head of Property Maintenance</p> <p>May 2015</p>  <p>September 2015</p>	<p>A base position has been put together to show the status on compliance for asbestos surveys. Orders have been raised with a survey contractor to undertake outstanding inspections and any defects or remedial works will be carried out by our in-house asbestos removals team. A reporting mechanism and protocol will be put in place to monitor compliance with asbestos re-inspections.</p> <p>It is recognised that the vacant asbestos manager post does not provide sufficient capacity to manage surveys and asbestos management plans. A restructure is planned to take place to assist with recruitment for the asbestos manager post with the overall aim to increase capacity for the management of asbestos.</p>	<p><u>Head of Property Maintenance</u></p> <p>A total of 211 corporate properties require an asbestos re-inspection on an annual basis to comply with the asbestos regulations. The planned programme for re-inspections is being delivered through an accredited supplier and has been accelerated to ensure that we have an up to date asbestos certificate of inspection for all premises. To date, 35 premises which are more than 3 months overdue still require a re-inspection. Attempts have been made to contact the key-holders for all the outstanding premises by phone, email, letter and cold-calling, including evenings and weekends. The outstanding premises have been rescheduled with target dates for asbestos re-inspections. We will investigate whether premises still require a re-inspection with our corporate Property Services team and compile an issues log to record reasons for no access etc.</p> <p><b>Revised target date August 2015</b></p> <p>Asbestos reports are held on the IT Open system and it is intended that all sites are issued with the latest re-inspection records or new asbestos survey report. We will continue to ensure that asbestos refurbishment surveys and any necessary remedial works are carried out prior to any major works.</p>

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				<p>Performance indicator LPI86 measures and monitors the number of premises with a compliant inspection record for asbestos. The performance target is 100% with performance being monitored from April 2015. Any defaults are being investigated to establish the reason for no access. All re-inspections or asbestos survey reports are being reviewed by the Asbestos Removal Manager to ensure remedial works are put in place. No significant issues have been identified from asbestos re-inspections and the risk remains low. Defect works are logged through the Open IT system for completion. We are to report statutory compliance and progress with delivery of asbestos re-inspections to the Delivery Leadership Team (DLT) on a monthly basis.</p> <p>The role profile for the Asbestos Manager role is to be updated and re-evaluated prior to advertising the vacancy. This post will provide 100% for the management of asbestos across all Council assets.</p>

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2.2	<p>The filing of asbestos surveys should be held by property and in date order. All surveys should be recorded on the asbestos data base promptly following completion.</p> <p>Awareness and training should be undertake to ensure that all staff responsible for asbestos management are aware of the Council's asbestos responsibilities as a landlord of buildings which make up the corporate buildings portfolio.</p> <p>Update the asbestos key performance indicator property data base following the determination of whether multi-storey car parks are deemed corporate buildings (see the recommendation at action plan 1.3)</p> <p><b>Priority: High</b></p>	<p>Head of Property Maintenance</p> <p>June 2016</p> <p>September 2015</p>	<p>Asbestos reports are to be compiled from the Teams survey software and asbestos records are to be held on the Open IT system to maintain an Asbestos Register.</p> <p>A review is to be undertaken to check that all Property Maintenance technical officers have undertaken asbestos awareness training in last 2 years and specific training need to be identified for asbestos management team.</p>	<p><u>Head of Property Maintenance</u></p> <p>The implementation of dedicated IT asbestos management software package (TEAMS) has almost been completed with training scheduled to be delivered in early June 2015. Electronic data i.e. copies of current and historical data, surveys and certificates, is being gathered from contractors and directly upload to TEAMS and then loaded on to the OPEN IT system, used within Property Maintenance.</p> <p>Asbestos awareness training is being undertaken by all trained operatives working in Council premises; refresher courses are scheduled every two years.</p> <p>The updating of the asbestos key performance indicator with multi-storey car parks will be dependent on the outcome of the recommendation at action plan point 1.3; this is yet to be determined.</p>

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2.3	<p>Evaluate providing a full statutory compliance service for all Council owned buildings including corporate buildings, local authority and academy schools and community buildings etc. regardless of responsibilities set out in lease agreements. This will provide management with an overall level of assurance on corporate buildings statutory compliance.</p> <p><b>Priority: High</b></p>	<p>Board Director: Service Delivery in conjunction with Corporate Board</p> <p>March 2016</p>	<p>Property Assets and Property Maintenance to review corporate property leases and record where there is still a requirement to undertake statutory compliance works.</p>	<p><u>Head of Property Maintenance</u></p> <p>The Council will not undertake statutory compliance checks for Academy schools.</p> <p>All leases will be reviewed; however, Council buildings will be assessed based on likely risk of compliance not being met. For example a community centre will receive regular review by Property Services and in many instances the Council retains responsibility for ensuring statutory compliance is met. However, in the case of a building such as the Link Centre which transferred to a major leisure organisation in November 2014, the responsibility for compliance safety inspections and works transferred to the organisation.</p>

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2.4	<p>Produce a procurement plan to include the tendering of the corporate buildings statutory compliance inspections and remedial works.</p> <p>A procurement specification and evaluation process should be put in place to ensure that only accredited suppliers conduct corporate building statutory inspections.</p> <p>Appropriate terms and conditions should be affixed to contracts to ensure inspections and remedial works are performed to the relevant statutory standard and frequency.</p> <p><b>Priority: High</b></p>	<p>Head of Property Maintenance</p> <p>June 2015</p>	<p>A procurement plan is to be put together for statutory compliance works, which will be monitored on a quarterly basis to check on progress and implementation.</p> <p>Internal trade resources are to be increased to deliver non-specialist servicing, testing and inspection in-house.</p> <p>Specification and evaluation of tenders is to be supported by the Property Maintenance Capital Contract Management team.</p> <p>Contracts are to include details on the minimum standard and frequency times for the different elements of work.</p> <p>Monitoring is to be undertaken to check that accredited suppliers carry out all statutory compliance servicing, testing and inspection works.</p>	<p><u>Head of Property Maintenance</u></p> <p>A procurement plan has been drafted and procurement has commenced in the higher risk areas. Progress is reviewed monthly at the HRA Delivery Team meeting.</p> <p>The procurement specification will ensure that we only appoint accredited suppliers for statutory inspection works. Contract terms and conditions will require safety checks are carried out in accordance with relevant approved codes of practice.</p> <p>Recruitment has been undertaken for gas fitters and all posts now recruited to. In other areas, the Council was not competitive with the market and work has been undertaken to review pay and grading, the outcome of which has now been agreed with TU's and staff, allowing recruitment to commence.</p> <p>A post inspection regime is being developed for existing contracts on a risk based approach to sampling and this will be extended to the contracts which are subsequently awarded.</p> <p><b>Revised target date December 2015</b></p>

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2.5	<p>A sample of defects arising from inspections and remedial works should be inspected to ensure that remedial works are justified before placing orders for remedial works.</p> <p>Post inspection checks should be conducted on a sample of remedial works completed to ensure these are delivered to a satisfactory standard. This is required to support the certification of payment.</p> <p><b>Priority: High</b></p>	<p>Head of Property Maintenance</p> <p>April 2015</p> <p>December 2015</p>	<p>A post-inspection regime is to be introduced as part of the contract management.</p> <p>Documented records are to be held on the Open IT system.</p>	<p><u>Head of Property Maintenance</u></p> <p>An inspection regime is now in place and a pro forma is being developed to consistently record results and ensure defects are treated effectively. The pro forma to be in place by end May/early June 2015.</p>



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2.6	<p>Implement the following actions which were determined and agreed during the audit:</p> <ul style="list-style-type: none"> <li>Property Services should receive any relevant defect reports following ZM inspections at corporate properties.</li> <li>A designated officer in Property Services should amend the status report on CRIMSON to 'complete' once defects works are finalised satisfactorily.</li> <li>Any other property reports should be managed initially by the Insurance and Claims Officer who will e-mail these onto the relevant officer responsible for the respective site.</li> <li>The Insurance and Claims Officer should set the status for these defects to 'requires action' and request an e-mail response from the responsible person to confirm satisfactory completion of the works. On receipt of the confirmation notice the relevant inspection report in CRIMSON should be changed to status 'complete' by the Insurance and Claims Officer.</li> <li>An annual report should be generated from CRIMSON for corporate buildings to demonstrate that any defects identified during the year have been remedied.</li> </ul> <p><b>Priority: High</b></p>	<p>Head of Property Services in conjunction with the Insurance Manager</p> <p>August 2015</p>	<p>Actions to be implemented as per recommendations.</p> <p>First annual report and review meeting planned to take place with Infrastructure Assets team Aug 2015.</p>	<p><u>Head of Property Services in conjunction with the Insurance Manager</u></p> <p>A dedicated Property Services officer has been identified to be responsible for all ZM inspection reports to ensure these are responded to appropriately.</p> <p>Regular meetings to monitor inspections and defects have been diarised with representatives from the Council's Insurance team. The Insurance team is reviewing how inspection and defects information might be gathered to produce an annual report.</p> <p>All new compliance contractors (e.g. Stannah Stair Lifts) are given access to and training for the use CRIMSON. Monitoring will be undertaken by Property Services to ensure contractor compliance.</p>

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2.7	<p>The awareness and benefits of linking corporate buildings statutory compliance inspections and defects work with the property condition surveys should be communicated to all relevant staff.</p> <p>The means of effectively securing this process should be determined so to ensure a standard and consistent approach is adopted to secure effective use of resources.</p> <p><b>Priority: Medium</b></p>	<p>Head of Property Maintenance in conjunction with the Head of Operational Property</p> <p>September 2015</p>	<p>Pro-forma to be developed to itemise and refer components to be replaced on the capital repairs and maintenance programme from statutory servicing, testing and inspection regimes.</p> <p>Service area leads for statutory compliance and capital contract management are to review risks arising from statutory servicing, testing and inspection regimes on a monthly basis and re-prioritise capital repairs and maintenance works as necessary.</p>	<p><u>Head of Property Maintenance in conjunction with the Head of Operational Property</u></p> <p>Work in progress.</p>

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2.8	<p>See recommendations in action plan points 1.1 regarding the classification of multi-storey car parks and also 1.2 for production of a matrix setting out roles and responsibilities for Council owned building statutory compliance roles and responsibilities.</p> <p>The Head of Operational Property should confirm, in writing, to SEQOL that as tenant of Enterprise Works they are responsible for the statutory compliance of ventilation equipment which they have installed for the purpose of operating a workshop.</p> <p>For information, provide a copy of this correspondence to the Senior Services Building Engineer, Property Services.</p> <p><b>Priority: Medium</b></p>	<p>Head of Operational Property</p> <p>February 2015</p>	<p>Clarification on the responsibility for statutory requirement checks for the ventilation system at Enterprise Works is to be confirmed.</p>	<p><u>Head of Operational Property</u> Recommendation implemented.</p>

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2.9	<p>Evaluate a means of measuring and monitoring the effectiveness of the in-house asbestos team to measure the effective use of resources.</p> <p>In light of a large number of corporate buildings pending asbestos surveys, evaluate whether the smaller property surveys i.e. shops, could be effectively inspected by the in-house asbestos team to fit around work demand.</p> <p><b>Priority: Medium</b></p>	<p>Head of Property Maintenance</p> <p>December 2015</p>	<p>Performance monitoring reports will be implemented as part of the new Open IT system.</p> <p>The restructure of the team for the management of asbestos will increase capacity and improve performance monitoring.</p> <p>A review will take place when the new asbestos manager is appointed to assess the level of resources required for asbestos removal type works.</p> <p>The asbestos removal manager has reviewed the capacity, capability and flexibility of the asbestos removal team, and concludes that they could not effectively undertake re-inspections.</p>	<p><u>Head of Property Maintenance</u></p> <p>An additional Asbestos Surveyor was appointed early 2015 to undertake low risk surveys.</p> <p>All asbestos surveys now initiated within the Open IT System with reports available for review.</p> <p>The asbestos team is fully employed conducting encapsulation and asbestos removal works. We are planning to move the asbestos team to mobile working with diarised appointments as part of the IT improvement project for the Open system.</p> <p>An independent Asbestos Removal Contractors Association (ARCA) site audit was undertaken on the in-house asbestos removal team, this was to assess the team's compliance with regulations for the removal of asbestos from a Council property. The Council has been awarded grade A (referred to as 'Gold Standard').</p> <p>Capacity in removal team will be reviewed as demand for the service has been expanding e.g. review of Brindley Close (ex Averages waste disposal) site.</p>

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3	<b><i>Risk: Applications and Renewals Risk: Relevant compliance information and records are kept up to date for statutory compliance requirements in corporate buildings.</i></b>			
3.1	<p>Evaluate and implement the most effective integrated / operable management information system(s) to plan, monitor, report and track statutory compliance requirements, including asbestos, for all corporate buildings.</p> <p>The status and level of risk for compliance against each corporate property and relevant disciplines (to comply with legislation and approved codes of practice and guidance) should be provided.</p> <p>Standard and regular management reports should be produced and monitored by responsible officers and action taken where necessary.</p> <p>Priority: High</p>	<p>Head of Property Maintenance</p> <p>December 2015</p> <p>March 2016</p>	<p>The Open IT system is currently used for initiating statutory compliance work orders for premises.</p> <p>The Open IT system is to be used to plan works for servicing, testing and inspection regimes for corporate and operational premises.</p> <p>The Master query function or bespoke reports are to be put together to monitor and track progress with statutory compliance works.</p> <p>Quarterly reports are to be put together and monitored through Property Assets Infrastructure team with exception reports to Corporate Board.</p> <p>Asbestos reports are to be compiled from the Teams survey software and asbestos records are to be held on the Open IT system to maintain an Asbestos Register.</p>	<p><u>Head of Property Maintenance</u></p> <p>The Open IT system has gone live for management and booking of annual domestic gas servicing, this will be rolled out to all other relevant compliance services over the coming months with the next priority (lift maintenance) already identified and underway.</p> <p>Building compliance performance reports are currently under development with Asbestos reports now on the Open IT system.</p>

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3.2	<p>Based on the level and nature of recommendations made in this report implement a robust quality assurance process. This should form an integral part of the management assurance process for the service in reporting, monitoring and managing performance and risk.</p> <p>Implement and maintain a service risk register to effectively manage emerging risks and issues.</p> <p>Review the appropriateness of the set of performance indicators for the statutory compliance of corporate buildings and benchmark other organisations for best practice.</p> <p>Evaluate producing performance indicators for all relevant building statutory compliance inspections by discipline and recommended inspection frequencies.</p> <p>Ensure performance is measured and monitored against:</p> <ul style="list-style-type: none"> <li>the agreed plan of inspections</li> <li>defects for remedial action and maintaining up to date asbestos registers on sites</li> </ul> <p><b>Priority: High</b></p>	<p>Head of Property Maintenance</p> <p>December 2015</p>	<p>The statutory requirement for servicing, testing and inspection for corporate premises is currently reported through quarterly Housing LPAR meetings.</p> <p>Reporting and monitoring is to be undertaken through the newly formed Infrastructure Assets team.</p> <p>Performance indicators are to be reviewed and updated in line with other good practice.</p> <p>Dashboard to be reported to Delivery Leadership Group on a monthly basis</p> <p>Quarterly review meetings are to be held with the Infrastructure Assets team.</p>	<p><u>Head of Property Maintenance</u></p> <p>This recommendation is work in progress.</p> <p>A quality assurance process being developed, including the implementation of a service risk register.</p> <p>To date the following progress has been achieved in developing the performance indicator set:</p> <ul style="list-style-type: none"> <li>LPAR targets for 2015/16 developed and reviewed by the Housing Property Forum. Monitoring to commence from May 2015.</li> <li>Statutory compliance works and asbestos re-inspections have been identified as Key Performance Indicators and issues of concern will be escalated to the Service Delivery Leadership Team and Corporate Board as appropriate.</li> </ul> <p><b>Revised target date March 2016</b></p>