



Compliance Report

17th August 2022

All data in this report was captured on the 15th of August 2022

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Executive Summary

The joint venture between Uttlesford Norse Services Limited (UNSL) and Uttlesford District Council (UDC) commenced on April 1st, 2020, at that time compliance was managed differently. With the formation of the JV a new compliance process needed to be developed, this has continued to change over time as processes are adapted and improved.

Day one of the joint venture, compliance was monitored through a mixture of external portals, spreadsheets and the asset database, SAM. However, there was no formal compliance filing system which meant certificates were saved locally in personal files which prevented others from viewing certificates. Some certificates were paper based with no electronic copy which again made monitoring compliance problematic, at transfer UDC had an internal paperwork clear-out discarding any paperwork older than 7 years, this particularly impacted the electric compliance statistics because these certificates are compliant for 10 years.

Following the pandemic, the compliance process began to be streamlined to enable UNSL staff to monitor compliance more efficiently. Commencing last financial year, the compliance team began to upload all compliance data onto Connect. Electric, heating, fire, legionella and lift compliance all required their own asset management reporting dashboards and, once these were created, and relevant assets assigned to each category e.g., legionella, the compliance team began uploading certificates to properties under the relevant dashboard. One asset management group was prioritised at a time by the team until all were uploaded, this took several months to complete. An asbestos dashboard was created soon after as a temporary measure to provide an indication of where we were and what next steps were required.

Currently, all dashboards are complete and in operation, each asset has visible KPI tiles which are used to monitor compliance in conjunction with excel spreadsheets. The compliance dashboard displays all asset management categories and its compliance percentage. Additionally, each asset has its own dedicated dashboard which shows overall compliance.

Each compliance area is monitored slightly differently, electric for example, shows total assets under that category.

- compliance with 5-year inspections as a percentage, total assets with expired certificates
- assets with expired certificates over 10 years
- total certificates uploaded
- inspections due current month
- inspections completed the current financial year
- inspections next financial year
- planned replacements this current year
- planned replacements due in the next financial year
- sites which refused access

- sites which refused access whose compliance cert has left 10-year compliance

To further monitor compliance each asset category has a dedicated monthly compliance dashboard, this shows which month an asset is about to become non-compliant and allows the compliance team to pre-plan and prioritise inspections and/or testing to ensure compliance is maintained.

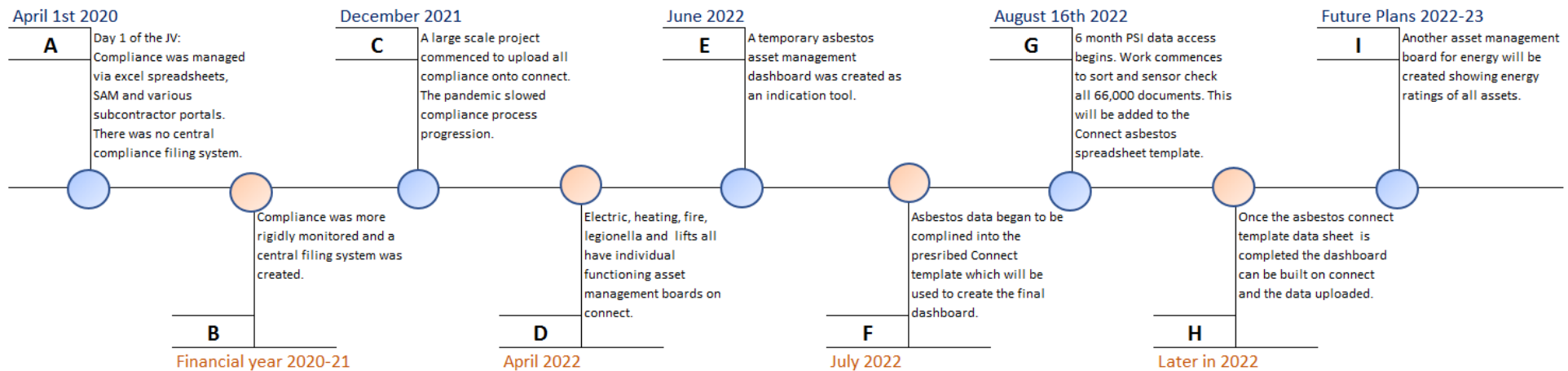
This newer system has been working effectively at identifying asset priority for compliance checks and re-tests that year. The data presented on the dashboard can be exported onto an excel spreadsheet which allows data to be completed by subcontractors. This is a new feature which was only made available at the start of August 2022, however, has already improved how compliance is being managed.

Currently there are still some development updates required to the Connect system such as the ability to store information on sold assets and linking of stored documents. Once these features are created, Connect compliance monitoring will become even more effective.

At present a detailed excel spreadsheet is being compiled which outlines individual asset asbestos status, type of asbestos, where it is present in a property, actions associated with the reports, last compliance check date, surface treatment, disturbance location etc. Once completed this can be used to create the final asbestos management dashboard which will present asbestos compliance much more accurately. An additional benefit of managing asbestos through the dashboard is that once all data is compiled, operatives can download to their mobile device, a summary report of where the asbestos is in the property, they are working in. The compliance and KPI team at Uttlesford are currently working together to achieve this.

Included at the end of each compliance area update are the questions and answers to the UDC report Dated November 2021. Most, if not all the answers are embedded in the area updates but for clarity they are included as part of this report.

Timeline:



Compliance:

Currently, FRA, legionella, lifts, electric and heating all have fully operational management dashboards displaying real time KPI information. Overall compliance percentages, per group, are displayed on the dashboards.

In addition to this each compliance area has a monthly dashboard which shows in real time how many assets are no longer compliant. Each board is periodically sense checked to ensure the validity of the data being presented. This a new process that was introduced at the end of financial year 2021-2022 but was not fully operational until the start of the current financial year. This was done to streamline the compliance process and to be used as a tool to help ensure compliance across all areas was visible.

Asbestos also has a management dashboard to provide details of current position, however asbestos was not designed to be managed as an asset therefore the compliance dashboard for asbestos is not reliable. The compliance and KPI team are working to build the asbestos management dashboard on connect.

A universal process across all compliance areas will ensure that when new assets are developed or purchased by UDC they are added to the property list. This will then be surveyed to identify any compliance areas or locations such as communal areas. Where required surveys will be independently assessed by the relevant licenced subcontractor to ensure compliance. Similarly, if a location is closed or sold this is noted on the central list and all relevant contractors are told to remove the site from their testing regime.

All Data Captured on 15 th August 2022			
	Nominator	Denominator	Compliance %
FRA	48	48	100%
Asbestos	WIP	WIP	TBC
Electrical 5 Year	2059	2789	75%
Electrical 10 Year	2774	2789	99%
Heating	2490	2511	99%
Lifts	56	56	100%
Legionella Risk Assessment	21	22	95%
Legionella Monthly Monitoring	11	11	100%

Fire Risk Assessments (FRA)

FRA Data Captured on 15 th August 2022		
Nominator	Denominator	Compliance %
48	48	100%

FRA compliance prior to the formation of the joint venture was conducted internally by surveyors. A management spreadsheet was used to monitor when assets were last visited, and any recommended actions found. The required FRA actions were then assigned to subcontractors to be completed, once invoices for works were received the spreadsheet was updated. Assets were visited on an annual basis.

Currently there are 48 assets which require annual FRA assessments, these sites consist of residential and corporate buildings where there is a multi-occupancy of residents or users. Communal areas including the exits within the building must also have an FRA. Any new assets which are added to the property list are assessed to determine whether there are any communal areas and therefore, whether the site should be added to the FRA list.

The FRA spreadsheet is sent to a sub-contractor (My Fire). This outlines where assessments are needed and when they were last assessed.

My Fire visit the locations on the list before the previous certification becomes non-compliant and once attended reports are emailed to the compliance team who import the actions onto the FRA management spreadsheet. Actions are split into the relevant areas of housing, corporate and UNSL and then assigned to the appropriate person to complete within the action deadline. This is recorded on the spreadsheet and marked as completed once conformation is received that the action has been resolved.

As a process this is proving to be very effective, the compliance figure from 15.08.22 is 100%, all 48 assets have an in-date compliance report, this can be seen on connect.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many properties have a requirement for a Fire Risk Assessment, and therefore require an inspection: ***The number of properties that have a requirement for Fire Risk Assessment under current legislation is 48, this is being recorded on the Connect Compliance Portal. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- The inspection rate – namely exactly how many properties have been inspected, and a percentage thereof against the denominator: - ***The number***

of properties, 48 have been subjected to a Fire Risk Assessment and is recorded on the Connect Compliance Portal, this is shown as a percentage against the Denominator. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.

- The success rate – namely how many properties have fully passed the inspection, and a percentage thereof against the denominator: - ***The number of properties, 48 have fully passed the Fire Risk Assessment is recorded on the Connect Compliance Portal, this is shown as a percentage against the Denominator. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- For any of those properties inspected and found to have any defect, we require adequate details for each specific named property (as specified above): – ***Any property in which the Fire Risk Assessment highlight defects will be reported on the monthly Compliance Spreadsheet. Any defect will be actioned or passed to the relevant person within UDC for action on receipt of the FRA. An example is poor housekeeping with tenant's old items left in communal areas causing access issues.***
- For any properties that were not inspected but are not out of the 12-month inspection window, we expect confirmation that each is programmed in for the following month: – ***The Connect Compliance Portal has a front page for each compliance discipline. This has a next month, two month and annual inspection key and allows UNSL to adequately plan future Fire Risk Assessments throughout the year. Future functionality will allow orders to be directly placed with nominated specialists directly by the system.***
- For any properties that were not inspected and are now outside the 12-month inspection window, we expect full details of the action being taken to secure prompt access: - ***All properties requiring a Fire Risk Assessment are communal or corporate. Therefore, access is not an issue. If a Fire Risk Assessment is not undertaken with the 12-month inspection window, this will be reported on the monthly compliance spreadsheet and will detail the reason why Fire Risk Assessment has not been carried out and the status of the actions being undertaken by UNSL in order to complete the same.***
- We would expect the SIMPRO portal to be populated by 31 December 2021, including any back log of reports since [1 April 2020] not yet uploaded: - ***The decision was made to use the Connect Portal for management of the Fire Risk Assessments.***

Asbestos

Asbestos Data Captured on 15 th August 2022		
Nominator	Denominator	Compliance %
WIP	WIP	TBC

Originally in April 2020 asbestos compliance was tracked on the PSI system, however, it was observed this information was corrupted and so all information from the portal was exported to conserve it and an integrity check was attempted but due to the nature of the spreadsheet this proved impossible.

UNSL also did not have access to UDC's Northgate system at this time, access was given 14 months after the joint venture commenced.

This information was also blended with data provided by UDC, unfortunately the product was not what UNSL was expecting, and the data presented in this spreadsheet was unreliable. To rectify this, a process to obtain new asbestos surveys was implemented for the affected assets and these were stored in a central folder.

At this current time, the asbestos management dashboard on connect is a high priority because it will enable us monitor asbestos and any recommended actions much more effectively. To do this an extensive spreadsheet is being compiled to aid the Connect KPI team to build the dashboard, however, more asbestos information is required to do this.

Uttlesford UNSL are working with PSI to create a spreadsheet compiling all Uttlesford's asbestos data, this will be merged with the required Connect spreadsheet to upload, the final spreadsheet will form the basis of the asbestos dashboard.

By the 17th of August 2022 UNSL will have full access for 6 months to PSI's 66,000 records which consists of old and new. This will provide UNSL with sufficient time to export and sense check all PSI data and use this to build upon the information we already have, in order to complete the final asbestos spreadsheet before uploading onto connect.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many properties were constructed pre-2000, and therefore require an annual inspection: – ***The number of properties that were constructed pre 2000 and have a requirement for an annual asbestos inspection under The Control of Asbestos Regulations 2012, will be recorded on the Connect Compliance Portal. The full list of those same properties will be available for downloading if required and this number is also reported monthly as per the Reporting Lines table***

- The asbestos containing properties number: ***The number of properties that were constructed pre 2000 and have a requirement for an annual asbestos inspection under The Control of Asbestos Regulations 2012, will be recorded on the Connect Compliance Portal. The full list of those same properties will be available for downloading if required and this number is also reported monthly as per the Reporting Lines table***
- The inspection rate – namely exactly how many properties have been inspected for asbestos, and a percentage proportion of the denominator: - ***The number of properties that have been subjected to an Asbestos Inspection will be recorded on the Connect Compliance Portal and will be shown as a percentage against the Denominator. This will also be detailed as per the Reporting Table for Asbestos as both a numerator and a percentage.***
- The proactive reinspection rate – the percentage proportion of those found in the first inspection to have contained asbestos that have been proactively routinely reinspected within the agreed [12 month] window: - ***Prior to the start of the JV contract, UDC informed Norse that all properties were compliant with respect to the Management of Asbestos. UNSL now undertake re-inspections on a rolling programme in order that all properties built prior to 2000 will be inspected every 5 years. The exception to this will be any property that following risk assessment is deemed High Risk or where asbestos has been disturbed by any means.***
- The reactive reinspection rate – the percentage proportion of those where specific concerns of disturbed asbestos have been reported that were reinspected within one day of the report: - ***If a reactive report is logged with UNSL by any means / person, UNSL will undertake an inspection and testing of the area of concern on the same day that it was reported. Post inspection, UNSL carry out any remediation works using a specialist asbestos contractor and implement an asbestos management programme for this property with re-inspection in 12 months, unless the remediation works resulted in total removal of any asbestos containing material. Any incident of this nature will be reported on the monthly compliance spreadsheet.***
- For any of those properties inspected and found to have any asbestos and where a need for its removal was identified, we require adequate details for each specific named property including when that removal is scheduled for: ***Where the asbestos survey identifies that a property has asbestos that needs to be removed, it will be managed by UNSL using a competent asbestos removal contractor. All records relating to the removal will be stored in the compliance portal for future reference and details of all asbestos removals carried out in the month being highlighted on the monthly compliance spreadsheet.***

- Target date for population of the Teams online portal. The latter has now been confirmed as 31 March 2022: - ***The Connect Portal is being populated with timescales agreed at the 2022 / 2023 Q1 Liaison Board meeting as to the completion of the full transfer from PSI to Connect.***

Electric – Fixed Wire Testing

Electric Data Captured on 15 th August 2022			
	Nominator	Denominator	Compliance %
5 Year	2059	2789	75%
10 Year	2774	2789	99%

Prior to the joint venture a spreadsheet was used to monitor electrical compliance, however, this was superseded by SAM at the very beginning of the joint venture. SAM was updated using the stock database spreadsheet, when new certificates were received the compliance team updated the information. All data was checked by the compliance manager before it was manually uploaded into SAM.

Unfortunately, we do not have the correct numerator and denominator for April 2020, we would have no way of verifying the data because there was no central compliance filing system and it is unclear how often data was checked and uploaded. This cannot be verified because none of the previous compliance staff transferred or still work for UNSL.

At this time certificates were held on personal drives which could not be accessed by others and so when the compliance staff left the company data could not be easily accessed. Prior to the joint venture some certificates were paper based only, if this was destroyed no electronic backup was available. All paper-based documents older than seven years were discarded by UDC, this particularly impacted electrical compliance because their certification duration is 10 years. Furthermore, electrical certificates were stored on the Eclipse portal, this data was meant to be transferred to UNSL at the start of the joint venture however access was cut off to this portal until July 2022. Once we had regained the electrical information from UDC it was found that in some cases invoices for electrical rewires were found without the certificate and therefore had to be defaulted to non-compliant.

Current procedural requirement dictates that electrical certification should be compliant within 5 years as opposed to the statutory position of 10-year compliance. All electrical testing is subcontracted across four different companies, a list is supplied by UNSL which outlines which assets are being assigned to which company. Once a location has been tested the certification is emailed to compliance and the certificate is saved centrally and uploaded to connect the last compliance check date is also amended here. A master spreadsheet is also regularly updated with last compliance

check date and the pass or fail status. If a certification fails UNSL assigns an electrician to go and rectify the problem and the location is reassessed until a pass certification is received.

There are 2789 assets which require electrical ECIR tests to be carried out at a minimum of 5-year intervals. As of 15th August 2022, statistics reveal that of the 2789 assets 2059 have ECIR tests which were carried out in the last 5 years (75%), however, 2774 ECIR tests were carried out within the last 10 years (99%).

The target is to obtain 100% compliance, we however have not achieved this due to refusal of access by some tenants. To obtain 100% compliance a procedure has been put in place, a letter is sent out to the residents to inform them that their property requires an electrical check. The nominated contractor then attempts to gain access to carry out the check by making 3 phone calls and sending 3 appointment letters. Should they not be able to make an appointment and gain access for servicing then the address is passed back to Ourselves. We make attempts to contact the resident by also making 3 calls and send 3 letters. We are currently looking into other organisations for some successful processes they use to assist with access issues.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many properties are in scope [i.e., all, as all have electricity], and therefore require a five yearly inspection: - ***The number of properties,2789 that have a requirement for an Electrical Installation Condition Report to the applicable IET Wiring Regulations applicable at the time of this report.***
- The inspection rate – namely exactly how many properties that have been inspected: - ***The number of properties that have been subjected to an Electrical Installation Condition Report is being recorded on the Connect Compliance Portal and shown in the table above.***
- For any of those properties inspected and found to have any defect, we require adequate details for each specific named property of both fault and remediation plan: – ***If during the Electrical Installation Condition survey, a property is found to have defects classified as C1 or C2 under the applicable IET Wiring Regulations, these would be repaired at the time of the inspection, where possible. If this is not possible, they are completed the next working day. Any exceptional issues found will be reported separately by email to UDC, C3 are recommendations only and are works to bring a property up to the latest IET Wiring Regulations, this is not required to be undertaken, as properties should be tested to the applicable Wiring Edition applicable at the time of installation, unless significant wiring has been undertaken at the property.***

- For any properties that were not inspected but are not out of the 5-year inspection window, we expect confirmation that each is programmed in for the following month: – ***The Connect Compliance Portal has a front page for each compliance discipline and has a next month, two month and annual inspection key. This allows UNSL to adequately plan future Electrical Installation Condition Report surveys throughout the year. Future functionality will allow orders to be directly placed with nominated specialist directly by the system.***
- For any properties that were not inspected and are now outside the 5-year inspection window, we expect full details of the action being taken to secure prompt access: - ***If an Electrical Installation Condition Report test is not undertaken and therefore the property no longer has a certificate that is dated within the previous 5-year window, it will be reported on the monthly compliance spreadsheet. It will detail the reasons why the EICR has not been carried out and what steps are being taken by UNSL to undertake the inspection.***
- Target date for population of the Teams online portal. The latter has now been confirmed as 31 March 2022: - ***The Connect Portal is being used for management of Electrical Inspections and is up to date and relaying “real time” data.***

Heating – Gas Servicing

Heating Data Captured on 15 th August 2022			
Nominator	Denominator	Compliance %	Properties without Certification
2490	2511	99%	11

Gas compliance was monitored by the UDC housing department at the very beginning of the joint venture. A compliance spreadsheet was given to the subcontractor at the beginning of the contract, they used the spreadsheet to ensure all Uttlesford’s gas assets stayed within compliance. The subcontractor gave weekly updates and provided certificates for the properties they had serviced and the outcome of this. Their weekly updates also outlined any assets which they could not gain access to and whether any locations are no longer compliant as a result, or when a location was due to be serviced next. If refused access this information was sent to UDC housing who would escalate this legally until access was obtained. Air Source Heat Pump and oil heating were managed internally rather than by housing and all certification checks were subcontracted, otherwise the procedure was the same as gas.

6 months into the joint venture UDC informed UNSL all processes up to the legal stage is to be overseen by UNSL and not UDC housing. The gas responsibility was therefore transferred to UNSL, and the no access procedure was amended, however, if the tenant repeatedly refused access the UDC legal team would be informed.

Currently the heating compliance process has not significantly changed except all compliance data including heating is now workable and useable on connect. UNSL's electrical contractor works to a 10-month servicing programme, they attempt to make servicing appointments from the 10th month after the last service. To book an appointment with a tenant they are required to make up to 3 phone calls and send 3 appointment requests by letter. If they are unable to make an appointment and gain access for servicing the address is passed back to UNSL at the 11th month after the last service. UNSL then try to contact the resident by also making 3 calls and send 3 appointment letters. If UNSL fail to confirm an appointment with the resident the address is passed back to housing at UDC at month 12, when the property is out of compliance to start the legal process.

In total there are 2511 assets where there is an individual heating system, properties which have a communal heating system the boiler is counted a 1 asset as opposed to how many flats there are in the block. 15th August statistic report that 2490 properties/ communal boilers have a compliant service certificate which equates to 99.39% compliant.

There are 11 properties without a current service certificate, this comprises of 2 oil and 9 gas fed properties. There are various reasons for this, refusal of access or some residents had their supply cut off and as a result use alternative heating measures such as electric heaters or log burners, this is sometimes because of fuel poverty. These addresses are given to UDC so they can support residents with any help or reassurance needed, financial assistance is offered to those in fuel poverty and supplies are reinstated or altered for other residents. The options are assessed on a case-by-case basis depending on the needs of the tenant.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many properties have gas, and therefore require an annual inspection: – ***The number of properties, 2511 that have a requirement for an annual gas inspection under the Gas Safe Legislation are recorded on the Heating Page of the Connect Compliance Portal. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- The numerator – namely exactly how many properties with gas that have been inspected: – ***The number of properties that have a valid gas inspection certificate, 2490 are recorded on the Heating Page of the Connect Compliance Portal. The Gas Certificate are uploaded to the portal for future reference and for statutory reporting requirements. This is shown***

as a percentage against the Denominator. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.

- For any of those properties inspected and found to have any defect, we require adequate details for each specific named property (as specified above) – ***Any defect found either as part of the annual appliance planned preventative maintenance servicing routine or during the annual gas safety check will if possible be fixed at the time of the visit. If a repair cannot be undertaken, then the property is provided with alternative heating options [Electric Heaters] and the hot water immersion cylinder is checked and left working. A report is then issued detailing the works required by UNSL’s sub-contractor and a decision is made on the best solution to rectify the issue. This is business as usual under the contract and not currently reported to UDC unless the rectification period is going to take an unreasonable time.***
- Details of properties ‘Disc-ed’ – ***The details of any property which has been Disc-ed is reported to UDC on the Weekly Gas Servicing Report / Dodd Service Program weekly report.***
- Where the proportion of those inspected compared to those that need an inspection is not 100%, we further require both the number of properties that have not been inspected and a detailed list of those specific properties, as well as a treatment strategy, with dates, detailing the action being taken by UNSL as agreed in the SLA: – ***Any property which needs an inspection, however has not received an inspection for whatever reason is captured on the Weekly Gas Servicing Report. This report details the reason why an inspection has not been carried out and the status of the actions being undertaken by UNSL to gain access to complete the inspection.***
- We need to be notified on properties where no carbon monoxide monitor has been recorded: – ***The carbon monoxide monitor is checked as part of the annual Gas safety check with the result recorded on the Gas Certificate. If a battery powered Monitor is not working when tested, the battery is replaced and if required a new Monitor installed. Where a mains carbon monoxide monitor is found to be defected, this is reported by Dodd to UNSL, and treated as an emergency however, as an interim measure a battery carbon monoxide monitor is fitted until a replacement mains monitor is installed. Currently all properties which have a gas appliance have a Carbon Monoxide Monitor fitted. In the exceptional event that this changes UDC will be notified on the Weekly Gas Servicing Report and the monthly compliance report. This will include details of when the property will receive a monitor, and the reason why no monitor is fitted. In order to have an up-to-date record of all properties which have a Gas Fire, Dodd’s are compiling a list as they undertake the annual gas boiler servicing, at***

the same time they are installing a 2nd carbon monoxide monitor, UDC has been provided with a list of properties with Gas fires previously.

- The reporting mechanism needs to migrate from a locally managed excel spreadsheet to the online SIMPRO or Piranha by 31 March 2022. A decision on which portal is to be made by 31 November 2021: - ***The decision was taken to use the Connect Portal and is being used for management of Gas and is up to date and relaying “real time” data***

LOLER – Lift Servicing

Lift Data Captured on 15 th August 2022		
Nominator	Denominator	Compliance %
56	56	100%

In April 2020 when the joint venture began a pre-existing contract with Emerald was brought over from UDC, this contractual arrangement had expired however, they continued to service lifts on an ad-hoc basis for UNSL. Lift compliance was managed via a spreadsheet and some data was uploaded to SAM, actions recommended by Emerald were added to the spreadsheet and these were assigned to subcontractors to complete the work.

Currently we have a formal arrangement with several subcontractors, the compliance team prepares spreadsheets listing the assets that company is required to service. A master spreadsheet is kept in the central compliance folder which specifies which company services each lift, and when each of them were last serviced. Once servicing reports are received any recommended actions are recorded on the master spreadsheet and remedial works are given to subcontractors to resolve.

There are 56 lifts which currently require servicing these are found within any residential or corporate building where there is a passenger, through the floor lift or stairlift. Lifts within corporate or multiple occupancy buildings are serviced at 3 monthly intervals. LOLER states testing is only required every 6 months, but due to the use of the building and the types of occupants using the lifts testing is carried out every 3 months to reduce the risk of breakdowns. Domestic lift & stairlifts, however, are serviced every 6 monthly in line with LOLER.

At this time, 15th August 2022, all 56 lifts have a current servicing report which means lifts are being managed at a 100% compliant rate.

When a lift or stairlift is installed or removed this is added or removed from the central and servicing list with our contractor. Any new developments added to the property list will be assessed to identify whether any lifts or stairlifts are installed, if present then it will be added to the serving contract.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many lifts and stairlifts are installed, and therefore require [annual] inspection: – ***The number of properties, 56 which have a requirement for an annual inspection under the Lifting Operations and Lifting Equipment Regulations 1998 [LOLER Regulations], are being recorded on the Connect Compliance Portal. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- The numerator inspection rate – namely exactly how many lifts and stairlifts have been inspected, and a percentage against the denominator: - ***The number of properties that have been subjected to an inspection under the requirement of the LOLER Regulations, are being recorded on the Connect Compliance Portal, this is shown as a percentage against the Denominator. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- The success rate – namely how many lifts and stairlifts have passed the inspection, and a percentage against the denominator: - ***The number of properties that have fully passed the LOLER Regulations required Insurance inspection, is being recorded on the Connect Compliance Portal. this is shown as a percentage against the Denominator. The full list of those same properties can be downloaded if required and this number is also reported monthly as per the Reporting Lines table.***
- For any of those lifts and stairlifts inspected and found to have any defect, we require adequate details for each specific named item of equipment (as specified above) – ***Any Lift or Stairlift in which the Insurance Inspection highlights defects will be reported on the monthly Compliance Spreadsheet. Any defect will be actioned in accordance with the SLAs within the contract.***
- For equipment not inspected but are not out of the 12-month inspection window, we expect confirmation that each is programmed in for the following month: – ***The Connect Compliance Portal has a front page for each compliance discipline and has a next month, two month and annual inspection key. This allows UNSL to adequately plan future Insurance Inspections required under the LOLER Regulations throughout the year. Future functionality will allow orders to be directly placed with nominated specialist directly by the system.***

- For any properties that were not inspected and are now outside the 12-month inspection window, we expect full details of the action being taken to rectify the programme slippage: - ***If an insurance inspection is not undertaken, it will be reported on the monthly compliance spreadsheet. It will include the reasons why the inspection has not been carried out and what steps are being taken by UNSL to undertake the inspection.***
- We would expect the SIMPRO portal to be populated by 31 December 2021, including any back log of reports since [1 April 2020] not yet uploaded: - ***The Connect Portal is used for management of Lifts & Stairlifts and is up to date and relaying “real time” data***

Legionella

Legionella Data Captured on 15 th August 2022			
	Nominator	Denominator	Compliance %
Risk Assessment	21	22	95%
Monthly Monitoring	11	11	100%

Legionella compliance was managed similarly at the start of the joint venture as it is now however, the contractor employed has changed. A list of addresses and the assets within them which require legionella testing is sent to the contractor. They determine which testing is required at each site. A schedule of when they intend to visit the properties is sent to compliance so that they know when to expect a certificate. Once received any recommended actions are added to the master spreadsheet and assigned to the relevant people, actions are split into sheltered housing, UNSL and corporate responsibility. The assigned person must complete the action within the prescribed deadline, once it has been confirmed that the action has been completed this is updated on the master spreadsheet this applies for monthly temperature checks and risk assessments. Monthly temperature checks and risk assessments each has their own dedicated master spreadsheet. Present day legionella is also monitored on connect which was not available at the start of the joint venture.

There is a total of 22 locations which require biannual risk assessments, this is carried out by an accredited company. A total of 21 locations has a current risk assessment, which equates to 95% compliance. Walpole Farm did not have a risk assessment conducted before handover to UDC, one has been requested by UNSL and was carried out on 05/08/22. We are waiting for it to be signed off and issued.

11 of the 22 locations require monthly temperature checks, an independent company assessed the buildings with communal water systems and determined only 11 buildings required monthly temperature checks based on water usage, storage and draw on the system. The compliance figure on the 15th of August 2022 is 100%.

Compliance with UDC Internal Audit Email

- The denominator – namely exactly how many properties have shared water tanks, and therefore require monthly inspection: ***The number of properties that have a requirement for monthly, 11 water monitoring under L8 Legionnaires Disease legislation are being recorded on the Connect Compliance Portal. The full list of those same properties will be available for downloading if required and this number is also reported monthly as per the Reporting Lines table***
- The inspection rate – namely exactly how many properties have been inspected, and a percentage thereof against the denominator: - ***The number of properties that have been subjected to monthly monitoring / sampling / flushing is being recorded on the Connect Compliance Portal. The full list of those same properties will be available for downloading if required and this number is also reported monthly as per the Reporting Lines table, this is shown as a percentage against the Denominator.***
- The success rate – namely how many properties have fully passed the monthly inspection, and a percentage thereof against the denominator. - ***The number of properties that have fully passed the monthly monitoring / sampling / flushing is being recorded on the Connect Compliance Portal. The full list of those same properties will be available for downloading if required and this number is also reported monthly as per the Reporting Lines table, this is shown as a percentage against the Denominator.***
- Itemised updates on each individual property that either failed the test the previous month or was not tested because of lack of access – ***Currently any property which fails any element of the monthly monitoring checks is dealt with UNSL. No access is not an issue as all properties under the testing regime are communal buildings and any property which has failed monitoring checks is highlighted on the monthly compliance spreadsheet. This details the reason why any element of the monitoring routine has not been carried out and the status of the actions being undertaken by UNSL in order to gain access to complete the inspection.***
- We would expect the Teams portal to be populated by 31 December 2021, including any back log of reports since [1 April 2020] not yet uploaded: - ***The Connect Portal is being used for management of Legionella and is up to date and relaying “real time” data.***

Summary of Next Steps and Contact Points

Next steps for all areas of compliance (except asbestos) are to continue using the Connect system with continued develop. There will also be a full-time compliance manager and assistant whose sole duties will be to manage and monitor compliance.

UNSL are working with its existing provider, Totalmobile, to enable document uploads to each dashboard in Connect as well as creating an asset archive function.

The primary objective for Electrical compliance is to obtain certificates for 718 assets which currently do not have an in-date certificate. Recently 38 mutual exchange electrical certificates have been located and these are being uploaded to Connect. 680 electrical test orders have been raised to be completed, orders have been split over 4 contractors, however based on previous visits we are expecting a 20% no-access rate on first visits.

Heating compliance is currently at 99%, the 11 properties without current service certificate are due to tenants refusing access. As gas servicing is a legal requirement, to obtain 100% compliance UNSL and UDC need to begin joint visits with gas engineers possibly out of hours following a final compliance letter to gain access. Following a trial of this process last financial year a request has been send to UDC housing department to make this a formal process.

No access is particularly impacting electrical and gas compliance and so alternative processes already used within Norse will be explored. Currently necessary access is being gained via a legal process, which is having limited success. Alternative methods such as incentivising access may be a more effective alternative.

Finally, the next steps for asbestos compliance include examining all PSI data and filter records that are no longer relevant or instances showing corrupt data. This will then be combined with the Connect template spreadsheet already in place. The Connect dashboard building can then begin once all data is compiled.

The above next steps and their progress will be discussed at the quarterly board meetings, quarterly liaison board meetings and the monthly contract meetings. Compliance data will also continue to be reported to UDC on a monthly, quarterly and annual basis via Pentana. The results of these are also discussed at board meetings. In addition, UNSL collate data for House Mark on a monthly basis. Results are sent to UDC who forward the data directly to House mark. Similarly, all findings arising from this data can be discussed at liaison, board or monthly meetings.

Conclusion:

This report has outlined how UNSL has improved and streamlined the compliance procedures since the inception of the joint venture. There is now a central compliance filing system in place which can be accessed by all.

The business and compliance staff members have master spreadsheets that have been created for all areas of compliance and these are regularly updated. The Connect system holds the information for legionella, FRA, lifts, electrical and heating compliance and accurately presents stats via KPI tile dashboards. These dashboards have been merged into an overall master compliance dashboard. These help the compliance team break down the data into manageable and useful filters which allow them to focus on areas needing attention. This will continue to evolve and progress as more data is acquired and dashboards developed with the final piece of the jigsaw being the asbestos management full upload into Connect.