

## **Compliance Schedule Audits for 2005/06**

**Please note:** Meeting the following timeframes will be a consideration as part of your performance development review.

**Please have the following completed and back to me by end of Friday 23rd of June 2006:**

- Photocopies of 6 audit check-sheets (deduct any already done during the year) Where the audit is correct the original check-sheet should be provided but a copy only in instances where follow-up is necessary.
- Where issues have been identified, copies of any follow-up correspondence necessary to the owner resulting of the audit.
- Inspection and any necessary follow-up correspondence charges need to entered onto the internal charging database by the above date also.

**Where there have been issues identified by the initial audit process please have the completed check-sheet to me by Friday 25th of August.**

Completion of the audit process could mean the identified issues have been resolved or a formal Notice to Fix has been issued with a subsequent 2 month bring-up for follow-up entered into your calendar. If this is the case it should be noted on the check-sheet.

**Note:**

Additional inspection and/or follow-up necessary above those of the original audit inspection-correspondence needs to entered onto the internal charging database by 25/08/06 also.

**Refer to the Procedure-Process Manual on Q Drive for Compliance Schedule Audit processes but basically follows:**

- Access Compliance Schedule database.
- Enter “inspector” in top area of user/password box that comes up. There is no need to enter a password.
- Once there apply filter to identify Compliance Schedules relevant to your area of the District. These have been updated to the current operating areas.

**Note:**

Keri can provide you a hardcopy version identifying the CS structures relating to your area including the audit record if you ask.

- Where possible identify buildings from the database which have not previously been audited. If you find you have to select already audited compliance schedules to make up the number choose from those with the older audit dates. Those that have been audited have an audit date entered.

- Pull relevant property files once you have decided on those to be audited.
- I generally print-off a compliance schedule audit check sheet and clip it to the cover of the property file for filling out on site.
- Contact the building owner or relevant contact person to arrange an audit time suitable them. During discussions advise that we annually randomly select 10% of buildings within the District having compliance schedules to be audited. Go gently, as I would imagine nobody will be very keen on the idea of being rung up out of the blue for an audit. Explain things as best you can to put the person at ease.
- Its also helpful to advise that part of the process involves checking:
  1. The building warrant of fitness is correctly completed.
  2. Is current.
  3. Displayed somewhere within the building accessible to the public.
  4. We will need to see 2 years worth of sign-off documents from the IQP for the systems present in the building
  5. For situations where there are manual fire arms present, and the owner or representative is responsible for the interim monthly checking of the alarm, advise we will also need to see the log book sign-off from them that the IQP bases their annual sign-off on.
  6. Other features such as exitways, disabled access could require log book signing off by the owner or representative before the IQP should be signing them off for his annual check of the features.
- Explaining your expectations for the audit whilst arranging the appointment for several days latter enables them opportunity to get their ship in order so to speak before we arrive for the audit.
- Before going on site enter the features we have record of being on site from the compliance schedule record on the property file. Could also be useful to check it corresponds to the electronic database record of features also.
- Undertake the audit at the agreed time explaining the process again and working through the items on the check-sheet.
- Check items identified on our records are actually present on site and if there are any variations note this as being necessary for an update on our electronic database records. Check the warrant is current and displayed in a public place. Note down name of IQP providing checking of features on the relevant section of the check-sheet. Don't get bogged down checking actual compliance of the features unless it is revealed that an IQP has not been on site for checking.
- Thank the owner/representative for their assistance and advise there will be follow-up correspondence if something comes to light that needs following up.
- Diary record the inspection and identify as a "C" type inspection.

- Ensure check-sheet is completed, check IQP is actually approved for the features he is signing off.
- Identifying any deficiencies on the check-sheet along with any action taken, advice given and any timeframe for follow-up.
- Enter inspection charge (allows for 30min on site) plus any additional time taken on site or in follow-up correspondence into the “Compliance Schedule” section of the Internal Charging Database. This will then be recovered from Council by the business unit so make sure you include all charges.
- Photocopy the check-sheets along with any follow-up correspondence necessary and provide me with a copy by 23/06/06. Where follow-up is necessary retain the master copy.
- When follow-up is complete before 25/08/06 note as such on the original check-sheet and forward to me for checking off and filing on the property file.

Any queries let me know please.

Thanks, Kevin O’Connor