



Report to: Cabinet Meeting: 12 September  
Portfolio Holder: Councillor Lee Brazier - Homes & Health  
Director Lead: Suzanne Shead, Director of Housing Health and Wellbeing  
Lead Officer: Caroline Wagstaff, Business Manager - Housing Maintenance & Asset Management (M) 07929 864367

Report Summary	
Type of Report	Open Report / Non-Key Decision
Report Title	Quarter 4 2022-23 & Quarter 1 2023.24 Housing, Health & Wellbeing -Compliance Assurance Report
Purpose of Report	To provide an update on the position at the end of Quarter 4 and Quarter 1 2023.24 (31st December 2023 to 30th June 2023) with regard to compliance assurance overview and actions arising.
Recommendations	That Cabinet: a) note the compliance performance for the end of financial year, the items for action and changes for next financial years reporting; and b) Identifies any areas of concerns or for further investigation or detail.

## 1.0 Background

1.1 This report presents the combined performance of housing compliance services at the end of March 2023, and at the end June 2023 focusing on exceptions performance which is outside the Councils target parameters. This performance relates to the Council’s legal and regulatory landlord responsibilities for 27 building safety measures including fire protection, gas, asbestos, electrical and water.

1.2 Full details of these performance indicators along with associated commentary are included at **Appendix 1** (at end March 2023) and **Appendix 2** (at end June 2023) to this report. Compared to the same quarters last year, overall annual performance has improved across the 27 areas. Performance against the 27 indicators is “RAG” rated, as follows:

- Green: At target.
- Amber: Within 10% of target.
- Red: below 10% of target

1.3 Table showing overall compliance performance for 27 elements

Month	Compliant	90% -99% compliant	Below 90% compliant	Total
June 2021	20 (74%)	4 (15%)	3 (11%)	27
Sept 2021	19 (70%)	5 (19%)	3 (11%)	27
Dec 2021	20 (74%)	5 (19%)	2 (7%)	27
Mar 2022	23 (85%)	4 (15%)	0 (0%)	27
June 2022	20 (74%)	6 (22%)	1 (4%)	27
Sept 2022	18 (67%)	6 (22%)	3 (11%)	27
Dec 2022	21(77%)	5(19%)	1(4%)	27
Mar 2023	23 (85%)	4 (15%)	0 (0%)	27
June 2023	23 (85%)	4 (15%)	0 (0%)	27

**2.0 Performance Exceptions**

**2.1 Gas Servicing - AMBER**

Of note within the amber segment is the position on gas servicing, which was 98.79% compliant at end March 2023 and improved to 99.31% compliant at end June 2023. There are at end June 2023 36 properties without a current gas safety certificate, but all these properties are now in an enforcement process. Please see Home Standard - GOV.UK ([www.gov.uk](http://www.gov.uk)).for further information on the Council’s responsibilities.

2.2 Following the expiry of the previous contract, the new combined gas servicing contract has now been in place with Phoenix Gas Services Ltd for 11 months and we have seen significant improvements in performance. This improved performance can also be attributed to implementing the MOT style of servicing, which increases the time we have to complete the annual service from one to two months (enabling the access process to commence two months before the service due date, whilst maintaining the anniversary of the service).

2.3 As part of the annual service, we now supply carbon monoxide alarms to all heating appliances in every home (with the exception of cookers). In addition, carbon monoxide alarms are also being fitted on all rewire projects.

2.4 The Council remain under regulatory notice for a breach of the consumer standards – Home Standard. Senior officers have been meeting regularly with the Regulator of Social Housing to report progress on recovery of the gas servicing position and the action plan to understand the cause of the breach and other improvements to enable the Notice to be removed. This is estimated to be August/September 2023 subject to an audit providing significant assurance of the gas servicing programme.

**2.5 Oil Servicing - AMBER**

There are currently 8 homes where the oil service has not been completed, this is because eight tenants have not given access and in a legal process. Phoenix are now carrying out the oil servicing as part of their servicing contract and are continuing to try and gain access to these properties.

## 2.6 **EICR certifications less than five years old - AMBER**

At the end June we have 43 properties without a EICR electrical certification of less than five years old, this is down by 12 at the end March 2023 and of these 39 are in a legal process

- 1 x properties have remedial works that are required prior to the completion of the EICR but this property has poor working conditions, so Compliance are working with T&E to rectify this issue
- the remainder 3 x properties have appointments in the coming month

## 3.0 **Implications**

In writing this report and in putting forward recommendations ,Officers have considered the following implications: Data Protection, Digital and Cyber Security, Equality and Diversity, Financial, Human Resources, Human Rights, Legal, Safeguarding, Sustainability, and Crime and Disorder and where appropriate they have made reference to these implications and added suitable expert comment where appropriate.

3.1 **Tenants** - There are no direct equalities implications arising from this report though as part of how we manage these services, we consider the tenants individual circumstances and work with them through our housing services to achieve compliance. We are fitting alternative alarms for tenants with hearing impairment to ensure effective evacuation in the event of a fire.

3.2 **Financial Implications** - There are no direct financial implications arising from this report.

## **Background Papers and Published Documents**

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

**Newark & Sherwood District Council Housing Services  
Compliance Reporting**

For the month of March 2023 (Housing Services Compliance Performance)

Prepared by Mark Plant

**1) Asset Base**

Total no. of individual dwellings / properties being managed	5541
Total no. of "blocks" being managed Note: "Blocks" relates to multiple dwellings contained within one building i.e. flats, bedsits, maisonettes, apartments, HMO's etc.	341
Total no. of non-residential units (i.e. commercial properties including offices, retail units, storage facilities etc.) Communal Boilers for Gladstone House, Vale View, De Lacy and The Broadleaves buildings.	4

**2) Stock Type**

<b>Residential</b>	<b>Number of Units</b>
<b>Social &amp; Affordable Housing</b>	
Rented	5541
Leasehold/Shared Ownership	183
<b>Non-Housing</b>	
Community centres	32
<b>TOTAL</b>	<b>5,749</b>

**3) How to Read This Report**

This document reports on the compliance activities due to take place each month.

**The Annual Target** column indicates the total number of compliance activities expected in the year.

The number of activities due in the month is shown in the column headed **Target for Month**.

Note: Any work not carried out in the previous month will be carried forward and added to this figure.

**The Total for Month** column records the actual number of compliance activities carried out in the month

The **Outstanding** column records the number of activities due in the month but not completed by the end of the month.







The final two **Compliance** columns record the annual and monthly compliance percentage at the time of the report.

**RAG Rating** is included to assist the reader, as follows:

- Green: At or above target.
- Amber: Within 10% of target.
- Red: Less than 10% of target

#### 4) Work Activity

##### Fire Safety

Fire	Annual Target	Target for Month	Total for Month completed	Outstanding	Compliance	
					Annual	Month
Type 3 Fire Risk Assessments (FRA)	139	29 (internal reviews)	29	0	100% 	100% 
Fire Alarm Testing (including emergency lighting)	6780	540	540	0	100% 	100% 
Sprinkler system	6	0	0	0	100% 	100% 
<p>Comments: All compliant, Fire Alarm, Emergency lighting, Fire extinguisher servicing complete</p> <p>FRA all in-house reviews for March have all been completed. The inspections are being carried out via the Apex mobile app and the surveys/actions being are stored directly onto APEX.</p> <p>N.B FRA's full independent surveys are carried out every 5 years for the majority of the blocks and 3 years for the housing with care schemes with an annual in-house inspection for all. The programme of inspections for both are based on the anniversary date of the FRA.</p>						

##### Type 3 Fire Risk Assessment (FRA) rectification

Below are the remedial actions highlighted during the Type 3 Fire Risk Assessment divided in Table A by work status:

- Further action – this is work that may need further investigation or larger scale works that require programming in such as replacement of fire doors
- Work In progress
- Completed









**Table A**



Completed	Further Action	Work In Progress	Grand Total FRA actions
1108	66	121	1295





Action	Count	Progress
Bin Stores	24 blocks (in 2 schemes)	Kings Court Southwell – delayed due to further consultation with residents after initial feedback. Bin store programme aimed to start toward the end of April 2023 when further consultations and liaison with planning colleagues have been completed.

Door Certification	8	Audit check noted that 8 doors with no certificates. Manufacturer no longer has certificates so new inspections arranged for April 2023 when new door inspection regime commences.
External Works	2	These works are on the External Works programme for 2023/24 financial year.
Fire Alarm	6	Analogue to digital upgrade project has started for alarms to be inter-linked with lifeline units. The majority have been completed with the last 6 blocks outstanding.
Fire Door Renewals	16	All Fire doors currently on order waiting on a date from contractor to install.
Fire Door Repair	59	Fire door minor repairs to be completed on Inspection programme which is currently underway.
Sprinklers (Recommendation not a requirement under the legislation)	1	Recommendation-Quote obtained and costs to be collated for one block - feasibility report including other areas for consideration but not a legal requirement.
Fire Stopping	35	90% of the programme completed. Only minor fire stopping left to complete which is programmed in with the door renewals noted above. Awaiting dates from contractor to complete.
Fire door certification	18	Certification of fire doors (new blocks) currently being checked.
Person Centred Fire Risk Assessment PCFRA	10	Last few remaining blocks to be completed
Procedural	33	Fire Door Inspections. Trial to be completed with contractor to ensure good performance and high tenant satisfaction.

### Heating Appliance Servicing

Heating Systems	Annual Target	Target for Month	Total for Month	Out of Compliance	Compliance	
					Annual	Month
Valid Gas Annual Safety Inspection	5199	274	211	0 (63 with no valid certificate but in an enforcement process)	98.79% 	77.01% 
Solid Fuel	22	1	1	0	100% 	100% 
Oil Servicing	205	32	22	2 (with an additional 8 no valid certificate but in an enforcement process)	95.12% 	68.75% 
LPG Gas Servicing	3	0	0	0	100% 	100% 

Commercial Boilers	4	0	0	0	100% 	100% 
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Heat Pumps	89	0	0	0	100% 	100% 
Electric	18	0	0	0	100% 	100% 

**Comments:**

The increased number of gas enforcement cases is due to the high numbers of properties requiring servicing in the last six months. A review of how to speed up the process from non-access to legal enforcement has been undertaken and NSDC legal team are dealing with all letters and witness statements with effect from January 2023. It is anticipated that other steps taken to improve access such as installation/activating service interval timers and lifetime injunctions will reduce the number of cases required to be entered into a legal process going forward.





**Oil Servicing**

There are currently 10 homes where the oil service has not been completed, this is because 8 are no access cases and in a legal process.

**1st time access approximately 70% as at March with a target of 75% for 2023**

**First time fix on Gas repairs 84.6% March with a stretch target of 85% for 2023.**

**Asbestos Works**




Asbestos	Annual Target	Target for Month	Total to Month	Outstanding	Compliance	
					Annual	Month
Asbestos Surveys (Domestic)	333 (Running total 260)	27	27	0	100% 	100% 
Asbestos Surveys (Communal)	125 (per 1999 blocks)	0	0	0	100% 	100% 





**Comment**

Target met for the year on domestic asbestos surveys





Communal blocks asbestos inspections are carried out inline and at the same time as the FRA inspection programme.

**Electrical Safety**







Electrical 5 Year	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Domestic Testing	1161	265	220	10 (with an additional 45 in the enforcement process)	99.01% 	79.25% 
Housemark Data - Domestic EICR certified up to five years old	5545	N/A	N/A	55	99.01% 	N/A

Non-domestic Testing	133	0	0	0	100% 	100% 
PAT Testing	37	0	0	0	100% 	100% 
<p>Comments:</p> <p>The contractor is working to move the electrical inspection programme to 6 months in front and this is a work in progress. Of the 55 properties outside of five-year certification, 45 properties are in an enforcement process leaving 10 where a final visit is required. Of these 10, 3 properties have poor working conditions which have been passed to the tenancy team to work with the tenants to improve conditions, 1 has remedial works that are required prior to the completion of the EICR, 6 have access issues where we are working to gain access in the coming month.</p>						

### Water Safety





Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Legionella testing	194	33	33	0	100% 	100% 
Gladstone house Bacteria Testing Potable Water	1	0	0	0	100% 	100% 
<p>Comments:</p> <p>Monthly visits completed and minor repairs identified by contractor have been ordered.</p> <p>Gladstone House bacteria testing in April 2023 and due quarterly thereafter.</p> <p>New joint contract (with Corporate Property services) commenced in January 2023. We will be implementing an electronic monitoring system for the communal area/schemes that is updated when flushing and testing is carried out and the system then produces a report in real time as to any actions that are required. This will provide us with up-to-date information and evidence of compliance. Planning is being done for 2023-2024</p>						

### Lifting Equipment









Other Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Passenger and Goods Lift Servicing	108	9	9	0	100% 	100% 
Stair lift Servicing	92	5	5	0	100% 	100% 
Hoist Servicing	30	2	2	0	100% 	100% 
<p>Comments:</p>						



## Environmental

Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Play Park Inspections	884	85	85	0	100% 	100% 
Tree Surveys	1	0	0	0	100% 	100% 
Comments: All Compliant. Tree surveys are undertaken every 5 years and were completed in November 2022						

## Blocks

Other Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
General Block Inspections	1212	101	101	0	100% 	100% 
Gladstone House Air Conditioning	1	0	0	0	100% 	100% 
Gladstone House Commercial Ductwork	1	0	0	0	100% 	100% 
Community Rooms	396 (30 community rooms inspected monthly)	30	30	0	100% 	100% 
Comments All compliant						

## Newark & Sherwood District Council Compliance Reporting

For the month of June 2023  
 (Housing Services Compliance Performance)  
 Prepared by Mark Plant

### 5) Asset Base

Total no. of individual dwellings / properties being managed	5541
Total no. of "blocks" being managed Note: "Blocks" relates to multiple dwellings contained within one building i.e. flats, bedsits, maisonettes, apartments, HMO's etc.	341
Total no. of non-residential units (i.e. commercial properties including offices, retail units, storage facilities etc.) Communal Boilers for Gladstone / Vale View / De Lacy/Broadleaf	4

### 6) Stock Type

Residential	Number of Units
<b>Social &amp; Affordable Housing</b>	
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Community Centres	32
<b>TOTAL</b>	<b>5,749</b>

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## 8) Work Activity

### Fire Safety

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Fire Alarm Testing (including emergency lighting)	6780	540	540	0	100% 	100% 
Sprinkler system	6	0	0	0	100% 	100% 

Comments:  
All compliant, Fire Alarm, Emergency lighting, Fire extinguisher servicing complete  
FRA all in-house reviews for June have all been completed. The inspections are being carried out via the Apex mobile app and the surveys/actions being are stored directly onto APEX.

N.B FRA's full independent surveys are carried out every 5 years for the majority of the blocks and 3 years for the housing with care schemes with an annual in-house inspection for all. The programme of inspections for both are based on the anniversary date of the FRA.

### Type 3 Fire Risk Assessment (FRA) rectification

Below are the remedial actions highlighted during the Type 3 Fire Risk Assessment divided in Table A by work status:

- Further action – this is work that may need further investigation or larger scale works that require programming in such as replacement of fire doors
- Work In progress
- Completed








**Table A**

Complete	Further Action	Work In Progress	Grand Total
1177	4	121	1295

Action	Count	Progress
<b>Works in Progress</b>		
Bin Stores	3 x schemes	Kings Court, Chatham & Wolfit was due to start but now on hold due to resident feedback. Works estimated to be completed by end Oct 2023
External Works	0	All completed now
Fire Alarm	1	Thorseby Road now on site, due to complete in Sept 2023
Fire Door Renewals	16	New contract signed and orders being placed at end June 2023. Estimate mid Novemeber for all to be completed.
Fire Door Repair	59	Fire door minor repairs to be completed as we carry out the Inspection programme. Starting mid July

Fire Stopping	35	Completed 90% of the programme. Only minor fire stopping left, to be included in new contract starting July 2023.
Procedural	0	Fire Door Inspections programme is now completed.
<b>Further Actions</b>		
PCFRA	4	Last few remaining blocks to completed in the general needs stock (Yorke Drive, Strawberry Hall Lane)

## Heating Appliance Servicing

Heating Systems	Annual Target	Target for Month	Total for Month	Out of Compliance	Compliance	
					Annual	Month
Valid Gas Annual Safety Inspection	5199	594	558	36 (with 36 in enforcement process)	99.31% 	93.55%  (Low % due to outstanding enforcement cases)
Solid Fuel	20	0	0	0	100% 	100% 
Oil Servicing	205	31	23	8 (all in an enforcement process)	96.10% 	74.19%  (Low % due to outstanding enforcement cases)
LPG Gas Servicing	3	0	0	0	100% 	100% 
Commercial Boilers	4	0	0	0	100% 	100% 
Heat Pumps	89	9	9	0	100% 	100% 
Electric	18	0	0	0	100% 	100% 

### Comments:

The increased number of gas enforcement cases is due to the high numbers of properties requiring servicing in the last six months. A review of how to speed up the process from non-access to legal enforcement has been undertaken and NSDC legal team are dealing with all letters and witness statements with effect from January 2023. It is anticipated that other steps taken to improve access such as installation/activating service interval timers and lifetime injunctions will reduce the number of cases required to be entered into a legal process going forward.

### Oil Servicing

There are currently 8 homes where the oil service has not been completed, this is because all 8 are no access cases and in a legal process.





**1st time access approximately 75.25% as at end of June with a target of 75% for 2023**

**First time fix on Gas repairs 98% as at the end of June with a stretch target of 85% for 2023.**

**Turn on and test following voids 3.063 days target is 2 days**

This is higher than the 2 days SLA but this is due to tenant requesting appointment out of the two day time scale.

### Asbestos Works








Asbestos	Annual Target	Target for Month	Total to Month	Outstanding	Compliance	
					Annual	Month
Asbestos Surveys (Domestic)	333 (46 running total)	10	10	0	100% 	100% 
Asbestos Surveys (Communal)	125 (per 1999 blocks)	21	21	0	100% 	100% 

#### Comment

Target met for the year on domestic asbestos surveys

Communal blocks asbestos inspections are carried out inline and at the same time as the FRA inspection programme (these are carried out by Terus).





### Electrical Safety

Electrical 5 Year	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Domestic Testing	905	113	70	43 (with 39 in the enforcement process)	95.25% 	61.95% 
Housemark Data - Domestic EICR certified up to five years old	5545	N/A	N/A	43	99.22% 	N/A
Non-domestic Testing	133	0	0	0	100% 	100% 
PAT Testing	37	10	10	0	100% 	100% 







#### Comments:

The contractor is working to move the electrical inspection programme to 6 months in front and this is a work in progress. Of the 43 properties outside of five-year certification, 39 properties are in an enforcement process leaving 4 where a final visit is required. Of these 4, 1 property has poor working conditions which has been passed to the tenancy team to work with the tenant to improve conditions, 1 has remedial works that are required prior to the completion of the EICR, 2 have access issues where we are working to gain access in the coming month.



## Water Safety



Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
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Legionella testing	194	33	33	0	100% 	100% 
Gladstone house Bacteria Testing Potable Water	1	0	0	0	100% 	100% 
<p>Comments:</p> <p>Monthly visits completed and minor repairs identified by Mitie have been ordered.</p> <p>Gladstone House bacteria testing in April 2023 and due quarterly thereafter. We are liaising with the T&amp;E team to agree a date for the main tank clean to be carried out overnight to minimise disruption to tenants.</p> <p>New joint contract (with Corporate Property services) commenced in January 2023. We will be implementing an electronic monitoring system for the communal area/schemes that is updated when flushing and testing is carried out and the system then produces a report in real time as to any actions that are required. This will provide us with up-to-date information and evidence of compliance. Planning is being done for 2023-2024</p>						

## Lifting Equipment









Other Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Passenger and Goods Lift Servicing	108	9	9	0	100% 	100% 
Stair lift Servicing	92	10	10	0	100% 	100% 
Hoist Servicing	30	2	2	0	100% 	100% 
<p>Comments:</p> <p>Passenger lifts have all been check and are compliant but there are some improvement works that have been recommended these are being looked at on an individual basis and will be carried out throughout the remaining financial year.</p>						

## Environmental

Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
					Annual	Month
Play Park Inspections	884	85	85	0	100% 	100% 

Tree Surveys	1	0	0	0	100% 	100% 
Comments: All Compliant. Tree surveys are undertaken every 5 years and were completed in November 2022						

## Blocks

Other Safety Works	Annual Target	Target for Month	Total for Month	Outstanding	Compliance	
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Gladstone House Air Conditioning	1	0	0	0	100% 	100% 
Gladstone House Commercial Ductwork	1	0	0	0	100% 	100% 
Community Rooms	396 (30 community rooms inspected monthly)	30	30	0	100% 	100% 
Comments All compliant						