

ASSURANCE

Building (SFA) Condition & Scale.

15. DIO does not have appropriate resource to assure surveyors who produce condition and scale information, or the survey to confirm the extrapolated results applied to an SFA - in order to achieve this objective, DIO will procure the required resource. Assurance will be carried out in concert with the CA assurance tasks and comprise physical audit surveys of SFA that have already been surveyed, and physical surveys of SFA where an extrapolated result has been applied. The auditor will collect the same information as for a CAAS survey, in isolation of the previous results, and then both sets of results will be provided to CA and DIO concurrently and results compared. Results will be evaluated against; an internal CA assurance scoring system used to measure surveyor accuracy (where any score over 20(?) results in a re-survey), comparison of individual data and CAAS BfC calculation result.

16. The level of assurance applied has been set by DIO at 5% of Core SFA that are available for allocation and regularly used within the allocation process. This level is higher than mandated previously proposed by DIO SD Accn ; the survey and extrapolation processes are seen as critical to the success of the Programme and therefore input of additional resource to deliver the appropriate confidence level to stakeholders is considered justified.

17. The assurance will exclude void SFA subject to disposal in the short term and occupied SFA that will be disposed of before Apr 16. The level applied will be subject to review depending on results; where insufficient confidence in results is achieved, DIO will review with CA the reasons, and how it is to be addressed. Ultimately this will result in additional surveys either through the survey programme or the assurance and audit activity.

18. The assurance will initially be equally divided between the SFA surveyed, and the SFA where an extrapolated result has been applied. It is to be noted that CA include within their survey programme management a discrete audit and assurance resource, and on that basis if greater emphasis is required on assurance of extrapolated results, the DIO resource will be redirected accordingly.

19. The DIO project team will produce regular (monthly) reports on number of SFA assured (surveyed), sub-divided by Survey and Extrapolated, with the resulting CAAS Band including the composition from Condition (Hazards, State of Repair, Modernity, Thermal), and Scale (GIA/EFA and 'positive' points) in comparison to the results that were being assured. The results will be subject to a trend analysis including operatives, and where required input back to the CA Survey Manager or extrapolation model for adjustments as appropriate.

20. The DIO CAAS Team will assure the Category 1 hazard (as defined under HHSRS) process in use by CA to ensure expedited management, including works if applicable, to occupied SFA and interaction with the allocation process for void SFA by reviewing all HHSRS elements of surveys reporting Category 1 and a minimum of 2% reporting Category 2 hazards, reviewing the history of the fault and its management.

Selection of SFA for Survey.

21. The extrapolation model has been compiled by CA from 'legacy' asset data, stakeholder nominations and void surveys carried out under current and previous contracting arrangements.

The data derives approximately 4,500 Groups of SFA across the UK estate as a baseline, the Group composition varies from one to 62 SFA. Those Groups containing 1 – 4 SFA will be subject to 100% survey and are discounted in the selection process. Those Groups containing 5 – 62 SFA will have a proportion of SFA surveyed, the proportion will vary depending on survey and audit results.

22. DIO will review the extrapolation model provided by CA, and carry out a minimum 2% review of the Groups across the composition range to seek clarity that the correct – based on legacy and survey result data – SFA have been allocated to the Group.

23. As the results from physical survey are imported to the extrapolation model, and their respective Groups, DIO will review the CA methodology for confirming Group ‘membership’, and where new groups are required, repeat the assurance that group ‘membership’ is correct. This will be a cyclical process as the survey results are imported into the database.

24. The responsibility for actual selection of which SFA will receive an appointment letter, and which a non-survey (opportunity) letter, has been delegated by CA to the supply chain carrying out the surveys. The supply chain has been provided with; a list of Groups, SFA contained within the Group, latest occupancy status and planned churns in the surveying period. They will issue appropriate letters based on whether a void survey was completed previously or churn planned (non-survey), survey required (survey) or void (no letter). The preference will be to survey voids, the supply chain will then select on no particular basis those occupied SFA for survey in order to meet the initial 40% of the Group. DIO have required specific SFA to be excluded from the surveys at this stage – bereaved families, Irregular Occupants – and will initially retrospectively confirm that this requirement has been met. If it is found not to be met, DIO will implement ‘pre-letter issue’ check of address lists.

25. Where further surveys are required after receipt and evaluation of the data, the supply chain will issue appropriate targeted letters – estimated to be up to an additional 20% of the group if there has been no change to the Group. Where access to a previously excluded SFA is then required, the supply chain will seek authority and direction from DIO through the CA PM.

Data Management and Transfers.

26. Data management and transfers is an area susceptible to unintentional errors that after surveys will have greatest impact on achieving the required assurance level. DIO will review at least 2% of data records by surveyed SFA (i.e. 2% of SFA surveyed, not 2% of total data items) noting each SFA has approximately 650 data items attached to it. The assurance review will comprise comparison of data between both neighbouring and separated stages to ensure that transfer is correct, and that no field values have changed through the process. The assurance will be divided between 1% of total data – all 650 fields – and 1% of random selected data groups/tabs attributed to the SFA. (The 650 data fields are divided across approximately 10 different tabs within an Excel or similar workbook).

27. DIO will review the data compiled by CA for 2% of extrapolated SFA against the master(s) SFA from which the CAAS result is cloned by comparing the source master data with the extrapolated SFA data. The sub-division of assurance will mimic that described above.

28. Where errors are found, they will be investigated jointly with CA, tracking back through the configuration controlled data sheets to ascertain where and why, and corrections carried through;

this may result in a change to a Group, and the commencement of the extrapolation/survey process for the new Groups.