

# Landlord Risk Audit Report

## COMPLIANCE ASSESSMENT

### Report for Calle 147 #11-72

Client: Julián López

Conducted 12-Nov-2025 to 12-Nov-2025

Audited by: James Homes

### Confidential Contents

## Executive Summary

Report ID: LRA-2025-11-1CYKXW  
Property: Calle 147 #11-72  
Landlord: Julián López  
Auditor: James Homes  
Audit Date: 12 Nov 2025




### Overall Compliance Score

4.6 

**Risk Classification:** Tier 0 - Minimal Risk

**Compliance Status:** 6 of 21 areas meet standards (10 require immediate action)

## Compliance Overview

| Category                      | Score | Status  |
|-------------------------------|-------|---|
| Documentation                 | 5.1   |  |
| Landlord-Tenant Communication | 4.9   |  |
| Evidence Gathering Systems    | 3.7   |  |

### CRITICAL FINDINGS REQUIRING IMMEDIATE ACTION

- Certificates: Are your certificates displayed or provided to tenants as legally required?

- **Tenant Manuals & Documents:** Do you provide a comprehensive tenant manual/welcome pack for each property?
- **Tenant Responsibilities:** Are tenant responsibilities clearly documented and acknowledged in writing?
- **Fire Safety Documentation:** Do you have a current fire risk assessment and documented fire safety procedures?
- **Tenant Information:** Do you maintain comprehensive records of tenant information and emergency contacts?
- **Day-to-day Communication System:** Do you have a clear, documented system for day-to-day communication with tenants?
- **Behaviour Reporting Procedure/System:** Is there a clear procedure for tenants to report behavioral issues or concerns?
- **Property Maintenance Log:** Do you maintain a comprehensive log of all maintenance and repairs?
- **Property Maintenance Log:** Do you have a system for tenants to report repairs with tracking until completion?
- **External Property Inspection Log:** Do you conduct regular external property inspections with documented findings?
- **Fire and Accident Log & Safety Action List:** Do you maintain a fire and accident log with documented safety actions?
- **Condensation Prevention Procedures:** Do you have documented procedures for condensation prevention and tenant education?

## Auditor's Professional Opinion

This property shows moderate compliance with several areas requiring attention. Immediate action on critical items will significantly reduce legal exposure. Implementation of recommended improvements within 30-90 days is advised.

## Critical Findings Summary

### URGENT: 12 Critical Non-Compliance Issues Identified

The following findings expose you to immediate legal action, prosecution, and substantial financial penalties. These items require urgent remediation within 7 days. Professional legal consultation is strongly recommended for items involving statutory violations.

## Items Requiring Immediate Action

### Q1.2

Documentation / Certificates

**Issue:** Are your certificates displayed or provided to tenants as legally required?

**Current Status:** No system for displaying or providing certificates to tenants

#### Legal Consequences:

Fines exceeding £5,000 per certificate violation. Personal liability for tenant injuries. Prosecution for non-compliance with safety regulations.

### Q2.1

Documentation / Tenant Manuals & Documents

**Issue:** Do you provide a comprehensive tenant manual/welcome pack for each property?

**Current Status:** No tenant manual or welcome pack provided

#### Legal Consequences:

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q4.1**

## Documentation / Tenant Responsibilities

**Issue:** Are tenant responsibilities clearly documented and acknowledged in writing?

**Current Status:** No clear documentation of tenant responsibilities

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q6.1**

## Documentation / Fire Safety Documentation

**Issue:** Do you have a current fire risk assessment and documented fire safety procedures?

**Current Status:** No fire risk assessment or fire safety documentation

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q8.1**

## Documentation / Tenant Information

**Issue:** Do you maintain comprehensive records of tenant information and emergency contacts?

**Current Status:** Minimal tenant information records

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q9.1**

## Landlord-Tenant Communication / Day-to-day Communication System

**Issue:** Do you have a clear, documented system for day-to-day communication with tenants?

**Current Status:** Ad-hoc communication with no clear channels or expectations

**Legal Consequences:**

Eviction proceedings invalidated entirely. Legal fees wasted. Must restart process from beginning with 6+ month delays.

**Q10.1**

## Landlord-Tenant Communication / Behaviour Reporting Procedure/System

**Issue:** Is there a clear procedure for tenants to report behavioral issues or concerns?

**Current Status:** No clear procedure for reporting behavioral issues

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q16.1**

## Evidence Gathering Systems and Procedures / Property Maintenance Log

**Issue:** Do you maintain a comprehensive log of all maintenance and repairs?

**Current Status:** No systematic maintenance logging

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q16.2**

## Evidence Gathering Systems and Procedures / Property Maintenance Log

**Issue:** Do you have a system for tenants to report repairs with tracking until completion?

**Current Status:** No formal repair reporting or tracking system

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q18.1**

## Evidence Gathering Systems and Procedures / External Property Inspection Log

**Issue:** Do you conduct regular external property inspections with documented findings?

**Current Status:** No systematic external property inspection process

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q20.1** Evidence Gathering Systems and Procedures / Fire and Accident Log & Safety Action List

**Issue:** Do you maintain a fire and accident log with documented safety actions?

**Current Status:** No formal fire and accident logging system

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

**Q21.1** Evidence Gathering Systems and Procedures / Condensation Prevention Procedures

**Issue:** Do you have documented procedures for condensation prevention and tenant education?

**Current Status:** No formal condensation prevention procedures

**Legal Consequences:**

Tribunal claims and potential financial penalties. Enforcement action possible. Licensing authority sanctions may apply.

## Audit Methodology

This compliance audit was conducted using a structured assessment framework designed to evaluate landlord practices against statutory requirements and industry best practices. The methodology ensures comprehensive coverage of critical compliance areas while maintaining objectivity and consistency.

## Audit Scope

This audit examined the following areas:

- **Documentation Systems:** Safety certificates, tenancy agreements, council licensing, financial records, maintenance logs, and tenant communications.
- **Communication Protocols:** Written record systems, complaint handling procedures, notice protocols, response time tracking, and tenant accessibility.
- **Evidence Systems:** Inspection processes, photographic documentation, evidence archives, maintenance records, and digital backup procedures.

## Assessment Framework

The audit utilized a 26-question structured questionnaire addressing statutory requirements and professional standards. Questions are weighted by legal significance, with critical compliance items carrying higher impact on overall scoring.

### Assessment Standards Referenced:

Housing Act 2004, Health and Safety at Work Act 1974, Gas Safety Regulations, Electrical Safety Standards, Energy Performance of Buildings Regulations, Tenancy Deposit Protection Requirements, and relevant local authority licensing schemes.

## Scoring Methodology

Each question receives a score from 1-10 based on compliance level demonstrated. Scores are weighted by question significance and aggregated to produce subcategory, category, and overall scores. The scoring system is designed to reflect both legal compliance and operational risk.

- **Critical Questions:** Weighted 2.0x (statutory requirements with prosecution risk)
- **Standard Questions:** Weighted 1.0x (best practices and operational procedures)



## Limitations & Assumptions

- This audit is based on information provided and documentation presented at the time of assessment. Changes to regulations or property circumstances may affect compliance status.
- Recommendations reflect general best practices. Specific legal advice should be obtained for complex situations or where enforcement action is threatened.
- This report does not constitute legal advice. Professional legal counsel should be consulted for interpretation of specific statutory requirements.
- Physical site inspection scope: Documentation review only

## Auditor Credentials

This audit was conducted by James Homes, a qualified property compliance auditor with expertise in residential letting regulations, tenancy law, and property management best practices.

## Understanding Your Risk Rating

Your overall risk rating determines the level of legal exposure and potential financial liability you face. This rating influences insurance premiums, lending decisions, and licensing authority assessments.

### Risk Tier Classifications

#### **Tier 0**     **Minimal Risk**

Exemplary compliance. All statutory requirements met with robust systems in place. Minimal probability of enforcement action or tenant tribunal claims.

*Insurance: Premium rates. Lending: Favorable terms. Licensing: Fast-track renewals.*

#### **Tier 1**     **Low Risk**

Good compliance with minor improvements needed. Statutory requirements met. Low probability of legal issues if current practices maintained.

*Insurance: Standard rates. Lending: Normal terms. Licensing: Routine renewals.*

#### **Tier 2**     **Moderate Risk**

Compliance gaps present. Some statutory requirements not fully met. Moderate probability of enforcement action if improvements not made within 90 days.

*Insurance: Elevated premiums or coverage restrictions. Lending: Additional scrutiny. Licensing: May face renewal delays.*

#### **Tier 3**     **High Risk**

Significant compliance failures. Multiple statutory violations. High probability of enforcement action, tribunal claims, and financial penalties.

*Insurance: May be refused or heavily loaded. Lending: Difficult to obtain. Licensing: Renewal likely refused.*

## Tier 4 Severe Risk

Critical compliance failures. Immediate legal exposure to prosecution, prohibition orders, and substantial financial penalties. Property may be unlettable until full remediation.

*Insurance: Refused. Lending: Refused. Licensing: Will be refused. Property prohibition orders possible.*

## Score Interpretation

● 7.0 - 10.0

Compliant. Continue current practices with regular reviews.

● 4.0 - 6.9

Improvements needed. Address within 30-90 days to avoid legal risk.

● 1.0 - 3.9

Critical non-compliance. Immediate action required within 7 days.

## Legal Compliance Status


This section assesses compliance with statutory requirements. These are not recommendations but legal obligations. Non-compliance exposes you to prosecution, fines, and property prohibition orders.

**Compliance Summary: 1 of 8 Requirements Met**

Pass: 1 | Partial: 5 | Fail: 2

| Statutory Requirement  | Status  | Action Required   |
|--|---------|---|
| <b>Current Gas Safety Certificate</b><br><small>Penalty: £5,000+ fine per violation</small>                            | PARTIAL | Obtain valid certificate within 7 days. Letting property without valid gas certificate is criminal offense. |
| <b>Current Electrical Installation Condition Report (EICR)</b><br><small>Penalty: £5,000+ fine, insurance void</small> | PARTIAL | Obtain valid EICR immediately. Required for all tenancies.  |
| <b>Current Energy Performance Certificate (EPC)</b><br><small>Penalty: £5,000 fine, cannot let property</small>        | PARTIAL | Obtain EPC rated E or above. Cannot legally let property without valid EPC.                                 |
| <b>Certificate Provision to Tenants</b><br><small>Penalty: Rent repayment claims possible</small>                      | FAIL    | Provide copies to tenants within 28 days and retain proof of delivery.                                      |
| <b>HMO Licensing (if applicable)</b><br><small>Penalty: £30,000 fine + 12 months rent repayment</small>                | PARTIAL | Apply for mandatory HMO license immediately if required.  |
| <b>Fire Risk Assessment (HMO)</b><br><small>Penalty: Unlimited fines, property prohibition</small>                     | PASS    | Review annually or after significant changes  |
| <b>Deposit Protection</b><br><small>Penalty: 1-3x deposit amount compensation</small>                                  | PARTIAL | Protect deposits within 30 days and provide prescribed information.   |
| <b>Written Tenancy Agreement</b><br><small>Penalty: Cannot enforce any tenancy terms</small>                           | FAIL    | Implement written agreements with clear tenant responsibilities.  |

**CRITICAL: 2 Statutory Violations**



You are currently in violation of 2 statutory requirements. This exposes you to immediate prosecution, substantial fines, and potential prohibition from letting. Urgent remediation within 7 days is required. Professional legal advice is strongly recommended.

## Evidence & Documentation Review

This section summarizes the evidence examined during the audit process. The assessment was based on documentation provided, systems in place, and procedures demonstrated. Evidence quality directly impacts the reliability and defensibility of compliance findings.

### Evidence Examined

| Evidence Category        | Status   | Assessment Method         |
|--------------------------|----------|---------------------------|
| Safety Certificates      | Reviewed | Documentation examined    |
| Tenancy Agreements       | Reviewed | Documentation examined    |
| Financial Records        | Reviewed | Systems assessed          |
| Maintenance Logs         | Reviewed | Procedures evaluated      |
| Communication Records    | Reviewed | Systems examined          |
| Inspection Documentation | Reviewed | Procedures assessed       |
| Evidence Archives        | Reviewed | Storage systems evaluated |
| Council Licensing        | Reviewed | Documentation examined    |

### Assessment Coverage

This audit evaluated 26 compliance areas across three primary categories. Each area was assessed against statutory requirements and industry best practices. Responses were validated for consistency and completeness.

**Important Note Regarding Evidence Limitations:**

This audit is based on information and documentation provided at the time of assessment. Findings reflect the state of compliance as presented. Undisclosed issues, incomplete documentation, or changes in circumstances may affect actual compliance status. This report does not constitute legal advice. Professional legal counsel should be consulted for interpretation of specific regulatory requirements.

### Quality Assurance

All responses and documentation were cross-referenced for consistency. Scoring methodology was applied uniformly across all assessment areas. Weighted scoring reflects legal significance of each compliance requirement.

## Introduction

This Landlord Risk Audit Report provides a comprehensive assessment of your property management practices and compliance status. The audit evaluates three critical areas of landlord responsibility: Documentation, Landlord-Tenant Communication, and Evidence Gathering Systems and Procedures.




Each area has been assessed using a structured questionnaire designed to identify potential risks, compliance gaps, and areas for improvement. The results are presented using a traffic light system to help you quickly identify priority actions.

## Purpose of Survey

The primary purpose of this audit is to help landlords:

- Identify compliance risks before they result in legal issues or fines
- Understand their current practices relative to best practices and legal requirements
- Develop a prioritized action plan for improvement
- Protect themselves from tenant claims and disputes

## What the Colours and Scores Mean

-  **Red (1-3):** Actions need to be taken immediately. You can be fined or tenants have power to claim money from you. These are critical compliance issues that require urgent attention.
-  **Orange (4-6):** Improvements need to be planned. Tenants will be able to win if you are taken to court. These areas require attention to avoid potential legal issues.
-  **Green (7-10):** Doing well in this area. Maintain regular inspection and continue good practices. You are safe from compliance issues in these areas.

## Theory

The audit is structured around three main categories, each containing multiple subcategories that address specific aspects of landlord compliance and best practices.

### 1. Documentation

Proper documentation is the foundation of compliant property management. This category assesses:

- Certificates (Gas, Electrical, EPC, PAT)
- Tenant Manuals & Welcome Documents

- Council Required Documents (HMO licenses, planning permissions)
- Tenant Responsibilities Documentation
- Rent & Financial Tracking Systems
- Complaint & Repair Systems
- Tenant Agreement Compliance

## **2. Landlord-Tenant Communication**

Effective communication prevents disputes and demonstrates professionalism. This category evaluates:

- Written Records of Communications
- Contact & Complaint Logs
- Notice Procedures & Documentation
- Response Time & Quality
- Accessibility & Availability

## **3. Evidence Gathering Systems and Procedures**

Strong evidence systems protect landlords in disputes and demonstrate due diligence. This category assesses:

- Inspection Process & Documentation
- Photographic & Video Evidence
- Evidence Archives & Storage
- Maintenance & Repair Records
- Incident Documentation
- Tenant Communication Archives
- Deposit Protection Documentation

## **Background and Methodology**

This audit uses a structured questionnaire approach with questions weighted by importance and legal significance. Critical compliance areas (such as safety certificates) carry higher weight in the overall score calculation.

Each question is scored on a scale where higher scores indicate better compliance and lower risk. Questions are grouped into subcategories, and subcategory scores are aggregated to produce category and overall scores.

The audit results identify specific actions needed to improve compliance, reduce risk, and implement best practices in property management.



# The Results

|                                 |       |
|---------------------------------|-------|
| <b>Overall Score</b>            |       |
| <b>Overall Compliance Score</b> | 4.6 ● |

|  |       |
|--|-------|
| <b>Category Scores</b>                           |       |
| <b>Documentation</b>                             | 5.1 ● |
| <b>Landlord-Tenant Communication</b>             | 4.9 ● |
| <b>Evidence Gathering Systems and Procedures</b> | 3.7 ● |

## Recommended Actions

Based on your audit results, the following actions are recommended to improve compliance and reduce risk. Priority should be given to areas with lower scores (red and orange).

## Suggestions for Improvement

### Documentation

| Priority                    | Subcategory   | Required Actions  |
|-----------------------------|---|---|
| <b>P1</b><br>Legal Exposure | <b>Certificates</b><br>Score: 6.5                   | <ul style="list-style-type: none"><li>• This is a CRITICAL compliance issue. No system for displaying or providing certificates to tenants. You must address this immediately to avoid legal issues and protect your tenancy.</li><li>• Most certificates current but some organization issues. Consider improving your systems in this area for better compliance.</li></ul> |
| <b>P1</b><br>Legal Exposure | <b>Fire Safety Documentation</b><br>Score: 1.0      | <ul style="list-style-type: none"><li>• This is a CRITICAL compliance issue. No fire risk assessment or fire safety documentation. You must address this immediately to avoid legal issues and protect your tenancy.</li></ul>  |
| <b>P1</b><br>Legal Exposure | <b>Tenant Manuals &amp; Documents</b><br>Score: 1.0 | <ul style="list-style-type: none"><li>• No tenant manual or welcome pack provided. This area requires attention to ensure full compliance and reduce risk.</li></ul>  |
| <b>P1</b><br>Legal Exposure | <b>Tenant Responsibilities</b><br>Score: 1.0        | <ul style="list-style-type: none"><li>• No clear documentation of tenant responsibilities. This area requires attention to ensure full compliance and reduce risk.</li></ul>  |
| <b>P1</b><br>Legal Exposure | <b>Tenant Information</b><br>Score: 1.0             | <ul style="list-style-type: none"><li>• Minimal tenant information records. This area requires attention to ensure full compliance and reduce risk.</li></ul>   |
| <b>P2</b><br>Tribunal Risk  | <b>Council Required Documents</b><br>Score: 5.0     | <ul style="list-style-type: none"><li>• Most requirements met but some gaps or pending renewals. Consider improving your systems in this area for better compliance.</li></ul>  |

| Subcategory                 |   | Required Actions   |
|-----------------------------|---|--|
| <b>P1</b><br>Legal Exposure | <b>Behaviour Reporting Procedure/System</b><br>Score: 3.0 | <ul style="list-style-type: none"> <li>• No clear procedure for reporting behavioral issues. This area requires attention to ensure full compliance and reduce risk.</li> <li>• Some record-keeping but not systematic. Consider improving your systems in this area for better compliance.</li> </ul> |
| <b>P1</b><br>Legal Exposure | <b>Day-to-day Communication System</b><br>Score: 1.0      | <ul style="list-style-type: none"> <li>• Ad-hoc communication with no clear channels or expectations. This area requires attention to ensure full compliance and reduce risk.</li> </ul>   |
| <b>P2</b><br>Tribunal Risk  | <b>Rotas</b><br>Score: 5.0                                | <ul style="list-style-type: none"> <li>• Rotas exist but compliance is inconsistent. Consider improving your systems in this area for better compliance.</li> </ul>  |

## Evidence Gathering Systems and Procedures

| Priority                    | Subcategory   | Required Actions   |
|-----------------------------|---|--|
| <b>P1</b><br>Legal Exposure | <b>Fire and Accident Log &amp; Safety Action List</b><br>Score: 1.0 | <ul style="list-style-type: none"> <li>• This is a CRITICAL compliance issue. No formal fire and accident logging system. You must address this immediately to avoid legal issues and protect your tenancy.</li> </ul>   |
| <b>P1</b><br>Legal Exposure | <b>Property Maintenance Log</b><br>Score: 1.0                       | <ul style="list-style-type: none"> <li>• No systematic maintenance logging. This area requires attention to ensure full compliance and reduce risk.</li> <li>• No formal repair reporting or tracking system. This area requires attention to ensure full compliance and reduce risk.</li> </ul> |
| <b>P1</b><br>Legal Exposure | <b>External Property Inspection Log</b><br>Score: 1.0               | <ul style="list-style-type: none"> <li>• No systematic external property inspection process. This area requires attention to ensure full compliance and reduce risk.</li> </ul>  |
| <b>P1</b><br>Legal Exposure | <b>Condensation Prevention Procedures</b><br>Score: 1.0             | <ul style="list-style-type: none"> <li>• No formal condensation prevention procedures. This area requires attention to ensure full compliance and reduce risk.</li> </ul>  |
| <b>P2</b><br>Tribunal Risk  | <b>Room Inventory</b><br>Score: 5.0                                 | <ul style="list-style-type: none"> <li>• Basic inventory but lacking detail or photographic evidence. Consider improving your systems in this area for better compliance.</li> </ul>   |

**P2**  
Tribunal Risk

**Tenant Behaviour Log**  
Score: 5.0

- Informal notes of major issues but not systematic. Consider improving your systems in this area for better compliance.

**Follow-on Products and Services**

The following professional services and products are recommended to address specific low-scoring areas identified in your audit:

| Low-scoring Subcategory | Suggested Follow-on Product/Service |
|-------------------------|-------------------------------------|
| /                       | Documentation Package               |
| /                       | Tenancy Agreement Review            |

## Action Plan

This action plan provides a prioritized timeline for addressing findings identified in this audit. Actions are categorized by urgency and legal risk, with immediate actions requiring attention within 7 days to avoid legal exposure.

### IMMEDIATE ACTIONS (0-7 Days)

*Critical compliance issues exposing you to immediate fines or prosecution.*

|                 |   |
|-----------------|---|
| <b>CRITICAL</b> | Certificates: Are your certificates displayed or provided to tenants as legally required?                               |
| <b>CRITICAL</b> | Tenant Manuals & Documents: Do you provide a comprehensive tenant manual/welcome pack for each property?                |
| <b>CRITICAL</b> | Tenant Responsibilities: Are tenant responsibilities clearly documented and acknowledged in writing?                    |
| <b>CRITICAL</b> | Fire Safety Documentation: Do you have a current fire risk assessment and documented fire safety procedures?            |
| <b>CRITICAL</b> | Tenant Information: Do you maintain comprehensive records of tenant information and emergency contacts?                 |
| <b>CRITICAL</b> | Day-to-day Communication System: Do you have a clear, documented system for day-to-day communication with tenants?      |
| <b>CRITICAL</b> | Behaviour Reporting Procedure/System: Is there a clear procedure for tenants to report behavioral issues or concerns?   |
| <b>CRITICAL</b> | Property Maintenance Log: Do you maintain a comprehensive log of all maintenance and repairs?                           |
| <b>CRITICAL</b> | Property Maintenance Log: Do you have a system for tenants to report repairs with tracking until completion?            |
| <b>CRITICAL</b> | External Property Inspection Log: Do you conduct regular external property inspections with documented findings?        |
| <b>CRITICAL</b> | Fire and Accident Log & Safety Action List: Do you maintain a fire and accident log with documented safety actions?     |
| <b>CRITICAL</b> | Condensation Prevention Procedures: Do you have documented procedures for condensation prevention and tenant education? |

### HIGH PRIORITY (30 Days)

*Significant gaps that increase tribunal vulnerability and legal risk.*

|             |   |
|-------------|---|
| <b>HIGH</b> | Certificates: Do you have all required safety certificates (Gas, Electrical, EPC, PAT) current and readily availab... |
| <b>HIGH</b> | Council Required Documents: Do you have all required council documentation (HMO license, planning permissions)?       |
| <b>HIGH</b> | Behaviour Reporting Procedure/System: Do you maintain records of behavioral reports and actions taken?                |
| <b>HIGH</b> | Rotas: Do you have cleaning rotas or shared responsibility schedules in place?  |
| <b>HIGH</b> | Room Inventory: Do you maintain detailed inventories for each room with photographic evidence?                        |
| <b>HIGH</b> | Tenant Behaviour Log: Do you maintain a log of tenant behavior issues and actions taken?                              |

**MEDIUM PRIORITY (90 Days)***Best practice improvements to strengthen overall compliance position.*

|               |   |
|---------------|---|
| <b>MEDIUM</b> | Certificates: Implement recommended improvements (Score: 6.5)                         |
| <b>MEDIUM</b> | Fire Safety Documentation: Implement recommended improvements (Score: 1.0)            |
| <b>MEDIUM</b> | Tenant Manuals & Documents: Implement recommended improvements (Score: 1.0)           |
| <b>MEDIUM</b> | Tenant Responsibilities: Implement recommended improvements (Score: 1.0)              |
| <b>MEDIUM</b> | Tenant Information: Implement recommended improvements (Score: 1.0)                   |
| <b>MEDIUM</b> | Council Required Documents: Implement recommended improvements (Score: 5.0)           |
| <b>MEDIUM</b> | Behaviour Reporting Procedure/System: Implement recommended improvements (Score: 3.0) |
| <b>MEDIUM</b> | Day-to-day Communication System: Implement recommended improvements (Score: 1.0)      |
| <b>MEDIUM</b> | Rotas: Implement recommended improvements (Score: 5.0)                                |

|               |   |
|---------------|---|
| <b>MEDIUM</b> | Fire and Accident Log & Safety Action List: Implement recommended improvements (Score: 1.0) |
| <b>MEDIUM</b> | Property Maintenance Log: Implement recommended improvements (Score: 1.0)                   |
| <b>MEDIUM</b> | External Property Inspection Log: Implement recommended improvements (Score: 1.0)           |
| <b>MEDIUM</b> | Condensation Prevention Procedures: Implement recommended improvements (Score: 1.0)         |
| <b>MEDIUM</b> | Room Inventory: Implement recommended improvements (Score: 5.0)                             |
| <b>MEDIUM</b> | Tenant Behaviour Log: Implement recommended improvements (Score: 5.0)                       |

## Detailed Results


This section provides a comprehensive breakdown of all audit questions, categorized by their scoring level. Each question includes the selected answer, any additional comments provided, and the associated score.

Questions are organized into three traffic light categories:

- **Red (Low Scoring - 1-3):** Critical issues requiring immediate attention and corrective action.
- **Orange (Medium Scoring - 4-6):** Areas that need improvement to meet compliance standards.
- **Green (High Scoring - 7-10):** Well-managed areas demonstrating good compliance practices.

### Red (Low) Scoring Answers


*These questions received low scores (1-3) and require immediate attention. Critical compliance issues that could result in fines or legal action.*

**Q1.2** Are your certificates displayed or provided to tenants as legally required? 

Category: Documentation | Subcategory: Certificates

**Answer:**


- No system for displaying or providing certificates to tenants

**Q2.1** Do you provide a comprehensive tenant manual/welcome pack for each property? 

Category: Documentation | Subcategory: Tenant Manuals & Documents

**Answer:**

- No tenant manual or welcome pack provided


**Q4.1** Are tenant responsibilities clearly documented and acknowledged in writing? 

Category: Documentation | Subcategory: Tenant Responsibilities

**Answer:**

- No clear documentation of tenant responsibilities




**Q6.1** Do you have a current fire risk assessment and documented fire safety procedures? 

Category: Documentation | Subcategory: Fire Safety Documentation

**Answer:**


- No fire risk assessment or fire safety documentation

**Q8.1** Do you maintain comprehensive records of tenant information and emergency contacts? 

Category: Documentation | Subcategory: Tenant Information

**Answer:**


- Minimal tenant information records

**Q9.1** Do you have a clear, documented system for day-to-day communication with tenants? 

Category: Landlord-Tenant Communication | Subcategory: Day-to-day Communication System

**Answer:**


- Ad-hoc communication with no clear channels or expectations

**Q10.1** Is there a clear procedure for tenants to report behavioral issues or concerns? 

Category: Landlord-Tenant Communication | Subcategory: Behaviour Reporting Procedure/System

**Answer:**


- No clear procedure for reporting behavioral issues

**Q16.1** Do you maintain a comprehensive log of all maintenance and repairs? 

Category: Evidence Gathering Systems and Procedures | Subcategory: Property Maintenance Log

**Answer:**


- No systematic maintenance logging

**Q16.2** Do you have a system for tenants to report repairs with tracking until completion? 

Category: Evidence Gathering Systems and Procedures | Subcategory: Property Maintenance Log

**Answer:**

- No formal repair reporting or tracking system

**Q18.1** Do you conduct regular external property inspections with documented findings? 

Category: Evidence Gathering Systems and Procedures | Subcategory: External Property Inspection Log

**Answer:**

- No systematic external property inspection process

**Q20.1** Do you maintain a fire and accident log with documented safety actions?



Category: Evidence Gathering Systems and Procedures | Subcategory: Fire and Accident Log & Safety Action List

**Answer:**

- No formal fire and accident logging system

**Q21.1** Do you have documented procedures for condensation prevention and tenant education?



Category: Evidence Gathering Systems and Procedures | Subcategory: Condensation Prevention Procedures

**Answer:**

- No formal condensation prevention procedures

## Orange (Medium) Scoring Statements

*These questions received medium scores (4-6) and should be improved. Areas that need attention to avoid potential legal issues.*

**Q1.1** Do you have all required safety certificates (Gas, Electrical, EPC, PAT) current and readily available?



Category: Documentation | Subcategory: Certificates

**Answer:**

- Most certificates current but some organization issues

**Q3.1** Do you have all required council documentation (HMO license, planning permissions)?



Category: Documentation | Subcategory: Council Required Documents

**Answer:**

- Most requirements met but some gaps or pending renewals

**Q10.2** Do you maintain records of behavioral reports and actions taken?



Category: Landlord-Tenant Communication | Subcategory: Behaviour Reporting Procedure/System

**Answer:**

- Some record-keeping but not systematic

**Q13.1** Do you have cleaning rotas or shared responsibility schedules in place?



Category: Landlord-Tenant Communication | Subcategory: Rotas

**Answer:**

- Rotas exist but compliance is inconsistent

**Q15.1** Do you maintain detailed inventories for each room with photographic evidence?



Category: Evidence Gathering Systems and Procedures | Subcategory: Room Inventory

**Answer:**

- Basic inventory but lacking detail or photographic evidence

**Q19.1** Do you maintain a log of tenant behavior issues and actions taken?



Category: Evidence Gathering Systems and Procedures | Subcategory: Tenant Behaviour Log

**Answer:**

- Informal notes of major issues but not systematic

## Green (High) Scoring Answers

*These questions received high scores (7-10) and demonstrate good compliance practices. Well-managed areas that serve as examples of proper procedures.*

**Q1.3** Do you have a system to track certificate expiry dates and schedule renewals?



Category: Documentation | Subcategory: Certificates

**Answer:**

- Automated reminder system with advance notifications

**Q1.5** Do you have a valid Fire Risk Assessment document for this property?



Category: Documentation | Subcategory: Certificates

**Answer:**

- Current fire risk assessment completed within 12 months

**Q5.1** Do tenants have access to critical emergency information (contacts, utilities, fire procedures)?



Category: Documentation | Subcategory: Tenant Critical Information

**Answer:**

- Comprehensive emergency information prominently displayed and in tenant packs

**Q7.1** Do you have a system to alert you of upcoming compliance deadlines and property tasks?




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Category: Documentation | Subcategory: Landlord Alert/Reminder System

**Answer:**

- Automated system with advance alerts for all key deadlines

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**Q11.1** Are cleanliness standards and expectations clearly communicated to all tenants? 


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Category: Landlord-Tenant Communication | Subcategory: Cleanliness

**Answer:**

- Written cleanliness standards with regular communication and inspections

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**Q12.1** Is there a clear system for purchasing shared household items (cleaning supplies, etc.)? 


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Category: Landlord-Tenant Communication | Subcategory: Product Buying

**Answer:**

- Documented purchasing system with clear responsibilities and budget

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**Q14.1** Do you conduct and document regular room inspections? 


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Category: Evidence Gathering Systems and Procedures | Subcategory: Room Inspections Log

**Answer:**

- Regular scheduled inspections with comprehensive photographic records

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**Q17.1** Do you conduct regular inspections of shared spaces with documented findings? 

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Category: Evidence Gathering Systems and Procedures | Subcategory: Shared Spaces Inspection Log

**Answer:**

- Weekly/bi-weekly inspections with photographic records and action logs