

# ***AUDITING OF RISK ASSESSORS AND LEAD INSPECTORS***



# CITATION VS NON CITATION

- CITATION EQUATES TO A MONETARY FINE DUE TO *SERIOUS* RULE OR ACT VIOLATION



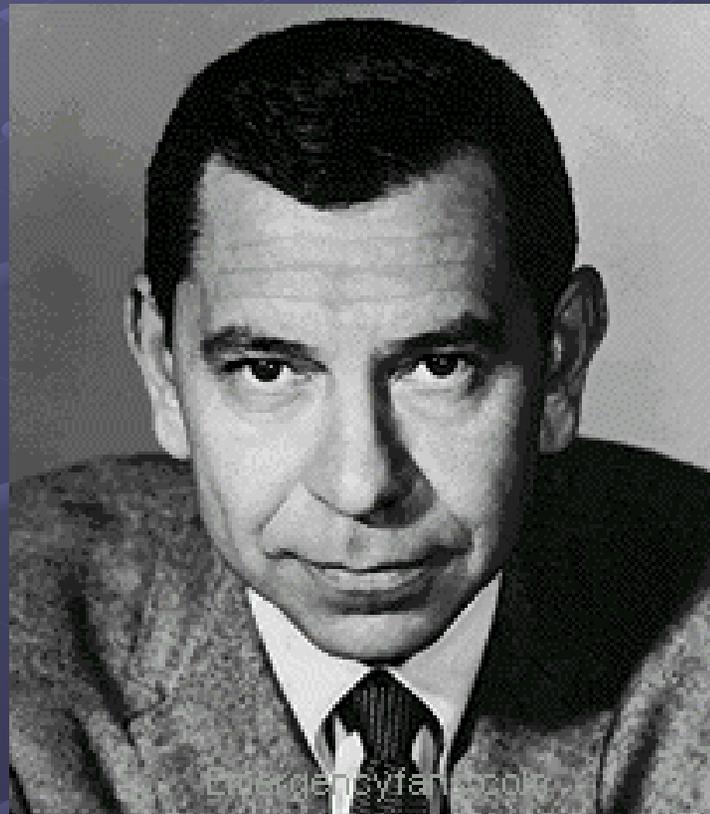
- NON CITATION REFLECTS A VIOLATION OF THE RULES OR ACT OF A LESS SERIOUS NATURE

- ***EACH REQUIRE CORRECTIVE ACTION***

***“My name is Friday”***  
***“Just the facts, ma’am”***

*- Sergeant Joe Friday -*  
*Dragnet 1951 - 1959*

● Jack Webb



# THE FACTS

# 79%

No citations!!  
GREAT JOB !!



- The statistical sample size is relatively modest but representative
  - One large case was not included
  - Includes mostly RA/LI but a few Clearances

# THE *OTHER* 21%

- Average number of citations per case – 1.2
- Average fine per citation - \$303
- Fines were reduced an average of 75% including some that were vacated upon informal appeal

# PROGRAMMED AUDITS VS COMPLAINT BASED AUDITS

- 30% Audits were Complaint based
  - 100% of these complaint audits resulted in at least 1 citation
  - Average number of citations per complaint audit was 1.6
  - Average fine per complaint audit was \$1515 after informal appeal
    - Average fine reduced 21.6% after informal appeal
  - 50% of the complaints were against governmental unit, 50% against private firm

# PROGRAMMED AUDITS VS COMPLAINT BASED AUDITS (*continued*)

- 66.6% of the complaint based audits also had NON citations
  - Average number of NON citations per complaint based audit is 3.3
- 70% of the audits were programmed audits
  - 21% of programmed audits had citation
  - Average number of citations per programmed audit was 1
  - 35.7% of programmed audits had NON citations
    - Average number of NON citations for programmed audits is 1.4

# ENFORCEMENT THEORY

- We get into the field less than 5%
- If a problem is found to exist i.e. not taking the correct number of dust wipes, then it is presumed that this pattern/problem is historic demanding immediate correction
- **Fines change behavior and outcomes.** Getting “ruffled” is good if the outcome also changes.
- Auditing improves the link with trainers as enforcement patterns might reflect training deficiencies i.e. the need to provide a RA/LI template during RA/LI training.
  - **For example: 35.2% of the audited population used the State developed template**
  - **The probability of getting a citation is 3 times greater if the State developed template is not used.**
- Get it on record, even minor infractions to ensure that it won't repeat as penalties on repeat violations increase substantially.

# ASSOCIATED DATA

(DATA SUGGESTS THE FOLLOWING)

- **Larger firms** employing 3 or more Risk Assessors/Lead Inspectors perform better when audited
- **Lower price** for RA/LI is an indicator of non-compliance
- Using only **paint chip analysis** is a high probability indicator of non-compliance
- Certified less than 3.5 years is an indicator of non-compliance
- Not having a ladder or step ladder is an indicator of non-compliance

# “JUST THE FACTS, MA’AM”

## *RESUMED*

- 25% Audited were female
- 40% audited were government employed
- Average age 42.1
  - 18-25 5%
  - 26-35 11%
  - 36-45 47%
  - 46-55 26%
  - 56+ 11%
- Average certification 5.6 years
  - 1-5 yrs 47%
  - 6-10 yrs 26%
  - 11+ yrs 26%
- *Informal appeal*
  - *78% of those cited requested an informal appeal hearing*
    - *100% received a reduction in fine amount*

# “HELLO, THIS IS STEVE FROM THE LEAD PROGRAM...”

*IF YOU ARE AUDITED*



- Don't worry (it won't help anyway)
- Provide documents in a timely fashion and/or set up an audit inspection as soon as possible.
  - Projects should be occupied and built before 1945 whenever possible
- Conduct your normal routine. Don't try to do something special during the audit as it likely won't be done right since it is not part of your normal routine. Example – taking 10x's the XRF shots that you normally would. (I compare this report to previous reports)

# AUDITING PROCEDURES

## ● Field procedures

- I observe from start to finish
  - Observations are made based on HUD guidelines, established protocol, documented methodologies etc.
  - I use the following “check sheets” to help direct my field audit
  - I take a lot of pictures and notes. Doesn’t mean I am finding something at fault

### RISK ASSESSMENT / LEAD INSPECTION FIELD AUDIT SHEET

*Project #* \_\_\_\_\_ *Address*  
\_\_\_\_\_

Dust wipe testing			
	Testing locations relate to play areas		
	Gloves – was first glove discarded		
	Taping and measuring ok		
	Wipe method correct – S method and folded in		
	Approved wipes and moist		
	Wipe expiration date still good		
	Approved hard container used		
	Number of samples/rooms correct		
	If template used cleaned correctly		
	Blank submitted to lab		
	Numbered and identified correctly		
	No cross contamination		
	Correct collection and handling of trash		

# REPORT REVIEW PROCEDURES

- Report is evaluated based on 404(10)

## RISK ASSESSMENT REPORT

Address: \_\_\_\_\_

Date: \_\_\_\_\_

REQUIREMENTS	COMMENTS	YES NO	
		YES	NO
Table of Contents		<input type="checkbox"/>	<input type="checkbox"/>
Plain language conclusion		<input type="checkbox"/>	<input type="checkbox"/>
Results of enviro sampling		<input type="checkbox"/>	<input type="checkbox"/>
Applicable comparison standards		<input type="checkbox"/>	<input type="checkbox"/>
Units of measurement		<input type="checkbox"/>	<input type="checkbox"/>
Stand alone description of each sampling location and component		<input type="checkbox"/>	<input type="checkbox"/>
Date of assessment		<input type="checkbox"/>	<input type="checkbox"/>
Address of each building		<input type="checkbox"/>	<input type="checkbox"/>
Date of construction		<input type="checkbox"/>	<input type="checkbox"/>
Apartment number		<input type="checkbox"/>	<input type="checkbox"/>
owner name address phone		<input type="checkbox"/>	<input type="checkbox"/>
Name, signature and certification number of risk assessor		<input type="checkbox"/>	<input type="checkbox"/>
Name address and phone number of the company employing the risk assessor		<input type="checkbox"/>	<input type="checkbox"/>

# TOP 5

## ● Top 5 CITATIONS

- Failed to test all pre '78 surfaces (lead inspection)
- Failed to submit monthly report (often associated with complaint)
- Failed to take correct number of dust wipes
- Failed to take dust wipes from required locations
- Failed to test all surfaces in poor condition (risk assessments)

## ● Top 5 NON

- No Table of Contents
- Conclusion section not near front of report
- Failed to prioritize hazards
- Lacking XRF quality control data such as calibration shots and/or serial number
- 1 or more property descriptors missing – usually owner's phone number



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