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| BUSINESS DOCUMENTATION | | |
| Item1 | Document | |
| 1 | **Business Safeguards**  In the name of the licensee for the past five years (if agent has been operating for less than 5 years, provide evidence from the date letting and management activities commenced to present).   * **Client Money Protection,** * **Professional Indemnity Insurance** (evidencing the level of cover and the business activities covered), * **Membership of an independent letting and management redress scheme (as accepted by Rent Smart Wales).** | |
| 2 | **Client Landlord’s Legal Obligation to Register / Licence**  Documentary evidence advising your client landlords of their legal obligations, under Part 1 of the Housing (Wales) Act 2014. | |
| 3 | **Current Managed Property List** **(MPL)**  Completed in full on the correct template. | |
| 4 | **Complaints Procedure**  For service users which includes prospective tenants, tenants and landlords. | |
| 5 | **Equality & Diversity Policy**  For service users which includes prospective tenants, tenants and landlords. | |
| 6 | **Published List of Client Landlord Fees**  Photographs showing fees displayed in your office and a dated screenshot of the fees published on your website. | |
| 7 | **Client Landlord Contract / Terms of Business**  This can be provided as a blank template. | |
| 8 | **Published List of Tenant (Contract-Holder) Fees**  Photographs showing fees displayed in your office and a dated screenshot of the fees published online. This includes your website and any third party advertising platform used. | |
| 9 | **Written Statement of a New Occupation Contract**  This can be provided as the blank template that you use. | |
| 10 | **Evidence of Membership to a Security Deposit Protection Scheme**  Provide a screenshot when logged into your Deposit Protection Scheme account to show your account number and evidence that an Agent Account is held. | |
| BUSINESS DOCUMENTATION FOR THE PROPERTY:  [ADDRESS] | | |
| Item1 | Document | Provide representations if evidence is unavailable?2 |
| A | **The Published Property Advert**  A copy of the property advert and any Template Used to Produce Property Adverts |  |
| B | **Holding Deposit Information**  Documentation that evidences the information that was issued to the current tenant(s) prior to the tenant(s) being required to pay a holding deposit to reserve this evidentiary property.  Where a Holding Deposit is not taken, provide an explanation and supporting documentation according to Question 5.2 in the Pre-Audit Questionnaire. |  |
| C | **Holding Deposit Refund**  Documentation that evidences that the holding deposit was refunded appropriately in respect of the property. |  |
| D | **Tenant (Contract-Holder) Information Pack**  Documentation that evidences any information provided to the tenant(s) (contract-holder(s)) of this evidentiary property including, but not limited to Gas Safety Records, Energy Performance Certificates, etc. |  |
| E | **Property Inventory (where applicable)**  A copy of the completed inventory given to the current tenant for this evidentiary property (where applicable). |  |
| F | **Notice of Landlord’s Address**  A copy of any notice of the landlord's address given to the tenant (contract-holder) for this evidentiary property. |  |
| G | **Signed Security Deposit Required Information**  Documentation that evidences that the actual signed Security Deposit Required Information was provided to the tenant of this evidentiary property and to any other 'relevant person’ and whether the deposit was placed in a custodial or insured scheme. |  |
| H | **Additional Security Deposit Required Information**  Documentation that evidences any additional information provided to the tenant (contract-holder) and any other ‘relevant person’ to ensure correct service of the required information in relation to a tenancy deposit for this evidentiary property. |  |
| I | **Property Inspection Report**  All property inspection reports for this evidentiary property completed over the last two years. |  |
| J | **Maintenance / Repair Records**  Documentation that evidences the record keeping of maintenance / repair requests through to resolution for this evidentiary property over the last two years. |  |
| K | **Route to Possession Evidence**  Documentation that evidences that the correct routes to possession were followed for this evidentiary property in respect of the previous tenant. |  |
| L | **Return of Security Deposit Timescale**  Documentation that evidences the time taken to return a security deposit in respect of this evidentiary property. |  |
| M | **Security Deposit Deduction Calculation and Reasoning**  Documentation that evidences the calculation and reasoning of the actual losses that have been deducted from a security deposit and whether the former tenant was advised of any deductions in writing in respect of this evidentiary property. |  |
| N | **Security Deposit Escalation**  Documentation that evidences the procedure followed when deductions to a security deposit were disputed and resolved or escalated to the relevant deposit scheme in respect of this evidentiary property. |  |
| O | **Return of Security Deposit Timescale following Resolution / Escalation**  Documentation that evidences the time taken to return a security deposit when deductions to a security deposit were disputed and resolved or escalated to the relevant deposit scheme in respect of this evidentiary property. |  |

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| ENERGY PERFORMANCE CERTIFICATES | |
| PROPERTIES THAT ARE MISSING OR HAVE AN EXPIRED ENERGY PERFORMANCE CERTIFICATES | |
| Provide the current EPC for the following property(s): | Provide representations if the EPC cannot be provided for the property(s): |
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| PROPERTIES WITH ENERGY PERFORMANCE CERTIFICATES BELOW AN ‘E’ RATING | |
| The rating for the following property(s) has an ‘F’ or ‘G’ energy rating: | Provide evidence that the property(s) have a rating or E or higher, evidence of a relevant exemption, or provide representations as to why the property(s) are being let: |
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| GAS SAFETY RECORDS | | | | | |
| Provide the current and previous years (2 years maximum) Gas Safety Records for the following property(s): | Provide evidence that the Gas Engineer / Business is [Gas Safe Registered](https://www.gassaferegister.co.uk/)3: | | Does the current Gas Safety Record confirm if Carbon Monoxide (CO) Alarms are fitted within all rooms of the listed property(s) containing a gas appliance? | | Provide representations if the Gas Safety Records cannot be provided, if there are any anomalies / concerns raised within the record(s) or if you cannot confirm that the Gas Engineer is Gas Safe registered: |
| Name: | Reg No: | Yes | No |
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| CARBON MONOXIDE (CO) ALARMS | |
| Provide evidence for the following property(s) to demonstrate that Carbon Monoxide (CO) alarms are fitted in all rooms containing a gas appliance4, an oil-fired or a solid fuel burning combustion appliance: | Provide representations if evidence cannot be provided: |
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| ELECTRICAL INSTALLATION CONDITION REPORTS (EICR) | | |
| Provide the current EICR for the following property(s): | Provide representations if the EICR cannot be provided, or, if the electrician has deemed the installation to be unsatisfactory: | Provide evidence of the electrician’s competence to install electrical equipment and wiring within a domestic premises5 |
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5 Enter the electricians name provided on the EICR, together with confirmation that the electrician is registered on the [competent persons website](https://www.electricalcompetentperson.co.uk/) to undertake an electrical safety report. If the electrician is not registered, provide evidence to prove the electrician has:

1. Insurance, of at least £2 million public liability insurance and £250,000 professional indemnity insurance,
2. A qualification covering the current version of the wiring regulations (BS 7671),
3. A qualification covering the periodic inspection, testing and certification of electrical installations,
4. At least two years’ experience in carrying out periodic inspection and testing.

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| SMOKE ALARMS | |
| Provide evidence for the following property(s) to show that working, mains wired and interlinked smoke alarms have been installed on each floor: | Provide representations if working, mains wired and interlinked smoke alarms have not been installed or installation cannot be evidenced at the property(s): |
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| HOUSES IN MULTIPLE OCCUPATION (HMO) | | | | |
| List all of the HMO property(s) that you manage in your portfolio: | State whether this HMO has the required **Mandatory**, **Additional**, **Selective Licence** or whether no licence is required | Provide the HMO licence reference number, where applicable: | State the HMO licence expiry date, where applicable: | Provide representations if the HMO should be licenced and it is not: |
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