

Facility Maintenance Audit

Sample Questions by Business Objective

- 1. Facility maintenance operations are performed in compliance with corporate and regulatory requirements (including licensing, certification and training requirements).**
 - How does the region monitor, track, and keep current with regulatory, corporate and industry compliance requirements?
 - How does the region ensure new regulations are identified and implemented timely?
 - How does the region ensure maintenance record keeping is adequate to support/meet regulatory, industry, and/or regional reporting requirements?
 - How are incidents of non-compliance with regulatory, corporate or industry requirements reported and tracked to ensure timely remediation?
 - How are fines/penalties tracked? Is the Regional Compliance Officer involved?
 - How does the region ensure staff have or receive required certifications and licenses, if applicable? How does the region provide/support training needs? Is there tracking of certification/license expiration to ensure they remain current?

- 2. Facility maintenance operations are monitored to assess their effectiveness and identify needs and trends, including the use of metrics and key performance indicators (KPIs) across the program.**
 - What key reports, dashboards, scorecards, etc. are reviewed to monitor the effectiveness of the facility maintenance program and activities?
 - Which metrics are monitored in this region on a regular basis? What frequency?
 - What actions are driven by the KPIs? Have thresholds been defined that trigger certain actions?
 - What benchmarks are utilized to measure performance – are they driven by the industry or corporate?
 - Which metrics provided by Program Offices are most useful? Are all metrics provided by Program Offices used by the region?
 - What is the source of regional KPI data?

- 3. The Computerized Maintenance Management System (CMMS) contains a current, complete, and accurate inventory of all assets and work orders related to facility maintenance.**
 - Who has access to modify settings in CMMS? Administer/change access privileges? Enter data?
 - How is CMMS utilized as part of daily work by facilities staff?
 - How are new equipment and other assets purchased and logged in CMMS?
 - How are the initial configuration/settings of the equipment determined? Who has access to change the settings (e.g., establish thresholds, set alerts, etc.)? How does the region ensure equipment is utilized in the most effective and efficient manner?
 - What is the methodology to assign work orders / preventive maintenance to staff?
 - How is prioritization of Work Order vs. Preventive Maintenance determined?
 - How does the region ensure all applicable equipment and assets are recorded in CMMS?
 - How does the region ensure CMMS is updated accurately (i.e., the service performed and type/categorization is entered correctly) and timely (i.e. all completed maintenance is entered)?
 - Are ad-hoc reports generated from CMMS?
 - How does the region ensure equipment/manufacture maintenance requirements are setup accurately in CMMS?

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4. Management monitors vendor performance and compliance with contractual terms, including the accuracy of payments and validity of work performed.

- What are the top vendors in the region by dollars spent for facilities maintenance activities? Who approves the contracts? If a national contract exists to provide the same or similar service, is the region required to use that vendor?
- How is compliance with the terms and conditions of the agreement monitored by the region on an ongoing basis?
- Is a review performed to validate work performed by the vendor prior to payment?
- Have service level agreements been established and, if so, how is compliance with those agreements monitored?

5. An effective governance structure is in place to monitor the program.

- Describe the organizational structure in place to oversee facility maintenance and operations at a regional level? If a committee, which groups are represented and how frequently do they meet? Who is the chair? What drives the agenda?
- Who has ultimate responsibility over the effectiveness of the facility maintenance program at a regional level?

6. Investments and expenditures related to facility maintenance align with the needs of the organization, including the effectiveness of capital maintenance and operating expenditures.

- What is the region's strategy and approval process for determining maintenance funding?
- Who has authority to defer maintenance? Are there thresholds based on the dollar amount deferred?
- How many years in advance are funding needs identified?
- How are benefits of maintenance projects tracked and measured?
- Is funding that was originally allocated for facility maintenance permitted to be applied to other needs within the region? Who has authority to redirect funds?
- Is there oversight to monitor how funding that was allocated for specific facility maintenance activities is spent?