

STATUTORY COMPLIANCE CHECKLIST - UK

Issue / Area (listed alphabetically)	Requirements / Guidance	Frequency / Regularity	Assessment of Competency of Contractor	Evidence required to demonstrate compliance	Statutory/ Regulatory/ Industry Code / Good practice	Checklist
Asbestos	Overall duty is to manage asbestos in premises. Each site should have an asbestos management survey	Re-survey recommended every 3 – 5 years.	UKAS Accredited company for testing and inspection.	✓ Current Asbestos Management ✓ Survey ✓ Completed asbestos log book	✓ Control of Asbestos Regulations 2012	
	Each site must have a site specific asbestos management plan, including asbestos risk register and action plan.	Reviewed annually.	No specific skills required, but asbestos awareness training recommended.	Asbestos management plan, risk register and action plan.		
	Demolition / refurbishment survey for areas undergoing construction, renovation or maintenance where intrusive work is planned.	Prior to intrusive works taking place.	UKAS Accredited company for testing and inspection.	Demolition / refurbishment survey for areas where intrusive work is planned.		
	Asbestos removal or remedial works.	Where management survey recommends action or as part of refurbishment or demolition.	Removal company to be an HSE Licensed Contractor, preferably holding a 3 year License.	Clearance certification and hazardous waste consignment notes for any removal works carried out.		
	Regular monitoring of visible asbestos to determine condition.	Annual	Visual inspection only and can be carried by premises staff who have had asbestos awareness training.	Annual monitoring inspection form.		

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Air Conditioning and Ventilation (including fans, filters and motors)	Units and systems should be maintained according to the manufacturer's guidance. Units and systems may require an inspection under the Energy Performance of Buildings Regulations.	Annual or bi-annual	✓ Holds C&G 2078 ✓ Holds CITB Safe Handling of Refrigerants certificate	✓ F-Gas records ✓ Maintenance records	✓ BSEN 378. Refrigeration systems - Safety and Environmental Requirements. ✓ BS 5720 and BS5925; Building Regulations 1991 F1 "Means of Ventilation" ✓ Energy Performance of Buildings Regulations (Certificates and Inspections) (England and Wales) Regulations 2013.	
Boiler Maintenance	Must be maintained in accordance with the manufacturers' recommendations.	Annual	The Service technician's Gas Safecard has credits appropriate to the equipment / service being maintained.	Maintenance records are kept including: · Date of maintenance. · Date by which next maintenance is due. · Record of defects and rectification. · Service document should also record the Gas Safe registration of the technician carrying out the work.	✓ Gas Safety (Installation and Use) Regulations 1998	
	Safety inspections are to include internal gas pipe work, including all ancillary equipment including the pipes, valves, regulators, boosters and compressors.					
Electrical, fixed installation	Testing of all fixed wiring and distribution boards.	Every 5 years	NICEIC / ECA registered contractor or equivalent.	Written records including date of test, date next test due, defects found and records of repairs to rectify defects	✓ Electricity at Work Regulations 1998 ✓ BS7671 IEE Wiring Regulations	
	Testing of all distribution boards in mobile accommodation.	Annual	NICEIC / ECA registered contractor or equivalent.	Written records including date of test, date next test due, defects found and records of repairs to rectify defects	✓ Electricity at Work Regulations 1998 ✓ BS7671 IEE Wiring Regulations	

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Electrical, Portable Appliances	Visual inspections	6 monthly	In many low-risk environments, a sensible (competent) member of staff can undertake visual inspections if they have enough knowledge and training.	Log of any faults identified and remedial action taken.	✓ Electricity at Work Regulations 1998	
	Combined inspection and testing	Varied, but generally annually. Frequency is determined by risk assessment. In practice combined inspection and testing annually is probably easier to manage and therefore more cost effective.	When undertaking combined inspection and testing, a greater level of knowledge and experience is needed, and the person will need: · The right equipment to do the tests · The ability to use this test equipment properly · The ability to properly understand the test results A NICEIC / ECA / NAPIT accredited contractor is recommended.	Documented records of items tested: · Test stickers placed on items	✓ Electricity at Work Regulations 1998	
Emergency Lighting	Disconnect the mains lighting to enable a function test of the check emergency lighting units. Usually involves turning on and off with 'fish key'	Monthly	None required	Results normally recorded in the Fire log book.	✓ Electricity at Work Regulations 1998 ✓ BS 5266: Part 1 1999	
	Carry out full rated 3 hour load test, including battery test and maintenance. Normally carried out by a competent contractor.	Annual	NICEIC / ECA	Test certificate including date of test and results of annual test.		

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Energy Performance	Display Energy Certificate (DEC) must be produced and displayed at all times in a prominent place clearly visible to the public. DECs are only required for buildings that have a total useful floor area of more than 500m ² , that are occupied by a public authority or an institution providing a public service to a large number of people, and are frequently visited by members of the public.	Where the building has a total useful floor area of more than 1,000m ² , the DEC is valid for 12 months. Where the building has a total useful floor area of between 500m ² and 1000m ² , the DEC is valid for 10 years.	An Energy Assessor, accredited to produce DEC's or EPC's for that type of building, is the only person who can produce the certificates and Advisory Reports for your building. The DEC and EPC will need to be lodged in a national register by the assessor and given a unique reference number.	Current certificate and advisory report	✓ The Energy Performance of Buildings (Certificates and Inspections) Regulations 2007 ✓ Energy Performance of Buildings Directive (EPBD) ✓ "Improving the energy efficiency of our buildings - A guide to display energy certificates and advisory reports for public buildings"	
	Energy Performance Certificates (EPCs) are required when a building is constructed, sold or let. The EPC rating is different from a Display Energy Certificate (DEC) as it shows how the building has been constructed, not how it is used.	When a building is constructed, sold or let		EPC Displayed		
Fire detection and alarm systems	Testing of call points and sounders on rotation	Weekly	Basic training in fire alarm operation only.	Results to be recorded in the Fire log book	BS 5839 1:2013	
	Inspection and service by competent contractor	6 monthly (or 25% quarterly, dependent on the size of the system)	Competent engineer experienced in type of fire alarm being tested.	Appropriate test and inspection certificate		

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Fire doors	Operation of release devices	Weekly	Trained premises team person.	Results to be recorded in the Fire log book.	✓ Regulatory Reform (Fire Safety) Order 2005	
	Condition checks	Monthly				
Fire Fighting Equipment: Fire Extinguishers	Visual check to ensure equipment is in its assigned location and has not been discharged.	Monthly	None, visual check only.	Results to be recorded in the Fire	✓ BSEN 3 extinguisher ✓ Commissioning and Maintenance to BS 5306-3: 2009	
	Thorough inspection and testing by competent contractor	Annual	BAFE accredited engineer or equivalent trained and qualified engineer.			
	Extended service (test discharge)	5 yearly	BAFE accredited engineer or equivalent trained and qualified engineer.			
	Overhaul (hydraulic test)	10 yearly	BAFE accredited engineer or equivalent trained and qualified engineer.			
Fire Fighting Equipment: Hoses	Hoses are no longer recommended as they are more likely to put a user at risk than prevent injuries. The recommendation is to decommission and remove fire hoses. Where hose reels remain in sit, they must be maintained to ensure that water flow is adequate and that all parts are in good working condition.	Annual	BAFE accredited engineer or equivalent trained and qualified engineer.	Test Certificate	✓ BS 5306:Part 1: 2006 BS 671-3: 2009	
	Where hose reels are in place, a flexible tubing pressure test must be carried out.	5 yearly	BAFE accredited engineer or equivalent trained and qualified engineer.	Test Certificate		

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Fire Fighting Equipment: Sprinklers Systems	Annual inspection of system by competent contractor. BS EN 12845 lists various other monthly, quarterly, six-monthly etc. checks and tests for things such as flow switches, remote signalling and water supply, and further guidance is available from insurers and sprinkler servicing companies.	Annual	LPS 1048 approved sprinkler engineer or equivalent	To be logged in the Sprinkler log book and work sheet filed.	✓ BS EN 12845 ✓ LPCB TB203 Care and Maintenance of automatic sprinkler systems	
	BSEN12845 and its accompanying technical bulletins advise that sprinkler systems should be tested once a week. Seek advice from a competent maintenance company for the full testing, inspection and maintenance requirements as different systems may have different requirements.	Weekly	This can be carried out in-house with appropriate training.	Results to be recorded in the Sprinkler log book.		
Fire Fighting Equipment: Wet and dry Risers <i>Wet / dry risers are intended for the use of the Fire Service to provide a readily available means of delivering considerable quantities of water to extinguish or to prevent the spread of fire.</i>	Wet Risers: Regular maintenance and servicing A wet riser is a system of valves and pipe work which are kept permanently charged with water.	2 visual inspection services per year. 2 electric pump inspection services per year. 1 flow test per year (if applicable).	UKAS Accredited company for testing and inspection.	Written records including date of test, date next test due, defects found and records of repairs to rectify defects.	✓ BS 5306 Part 1: 2006 Regulatory Reform (Fire Safety) Order 2005	
	Dry Risers: Regular maintenance and servicing. A dry riser is a system of valves and pipe work which enables the Fire Service to pump water on to upper floors of a building.	A visual inspection every six months. An annual pressure test.	UKAS Accredited company for testing and inspection.	Written records including date of test, date next test due, defects found and records of repairs to rectify defects.		

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Fire fighting Equipment: Wet and dry suppression systems e.g. Ansul, FM 200	Maintenance of suppression systems as per manufacturer's guidance.	Annual	BAFE accredited engineer or equivalent trained and qualified engineer.	Records of examination and maintenance are kept, including date of inspection / maintenance, date next inspection or maintenance due and record of defects and rectification.	✓ BS 5306 ✓ Regulatory Reform (Fire Safety) Order 2005	
Gas Appliances	Must be maintained in accordance with the manufacturers' recommendations.	Annual	Ensure that service technician has demonstrable proof of competency i.e. a Gas Safe card with credits appropriate to the equipment / service being maintained.	Records of examination and maintenance are kept, including date of inspection / maintenance, date next inspection or maintenance due and record of defects and rectification. Service document should also record the Gas Safe registration of the technician carrying out the work.	✓ Gas Safety (Installation and Use) Regulations 1998 ✓ L56: Safety in the installation and use of gas systems and appliances	
Gas Pipe Work	Safety inspections of internal gas pipe work (including all ancillary equipment including the pipes, valves, regulators, boosters and compressors).	Annual	Ensure that service technician has demonstrable proof of competency.	Records of examination and maintenance are kept.	✓ Gas Safety (Installation and Use) Regulations 1998	
	Tightness testing of internal gas pipe work.	5-yearly				
Intruder Alarm	Monitored inspection and testing according to manufacturers guidelines.	6 monthly	Demonstrably competent person or contractor.	An inspection report summarising any faults and remedial action required.	✓ Electricity at Work Regulations 1998 ✓ IEE Wiring Regulations: BS7671	

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Lifts And Lifting Equipment: Lifting equipment includes any equipment used at work for lifting or lowering loads, including attachments used for anchoring, fixing or supporting it.	Thorough examination of equipment designed for the lifting of passengers e.g. passenger lifts, patient hoists, powered stair lifts, tail lifts on disabled transport vehicles, window cleaning cradles.	Before using for the first time and every 6 months.	Thorough inspection is usually carried out by someone other than the person maintaining the equipment, commonly through an insurance company.	Written report containing date of examination, date next examination is due and a full list of any defects found.	✔ Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) ✔ “Guidelines on the supplementary tests of in-service lifts” - The Safety Assessment Federation (SAFed) and the HSE	
	Thorough examination of equipment designed for the lifting of goods / objects only, e.g. scissor lifts, mobile elevating work platforms, vehicle inspection platform hoists, vehicle tail lifts, cranes, fork lift trucks, lifting beams.	Before using for the first time and annually.	Note: A thorough inspection is not the same thing as routine maintenance.			
	Thorough examination of all Lifting accessories, regardless of whether they are used to lift passengers or goods. Lifting accessories are any components to the main lifting structure that are subject to wear and tear and the bearing of a load and which are integral to the operation of the lifting equipment, e.g. chains, slings, ropes, hooks, shackles, eyebolts, fall arrest harness.	Before using for the first time and every 6 months.				
	Full routine maintenance of equipment designed for both the lifting of passengers and goods according to manufacturer's guidelines.	Depending on the equipment and the manufacturer's recommendations this can be anything from Quarterly to annually.	Suitably qualified mechanical engineer.	Maintenance records showing any defects and their rectification.		
	Supplementary tests for in-use passenger and goods lifts are tests or examinations called for by a 'Competent Person' where concerns regarding the condition of equipment arise following thorough examination. The requirement for supplementary tests is determined on the basis of an assessment of risks at the time of each thorough examination. Supplementary tests may include: Testing of safety gear. Thorough overhaul and in-depth testing, including the use of weights, to test cables, breaking and motor efficiency.	As determined by the competent person engaged to carry out thorough examination.	Thorough inspection is usually carried out by someone other than the person maintaining the equipment, commonly through an insurance company.	Must be certificated and a copy kept on site for inspection.		

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Lightning Conductors	Where fitted, the lightning conductor installation must be checked for damage and deterioration. The electrical continuity of conductors, bonds and joints require testing and the earth resistance measured.	11 monthly	Demonstrably competent person.	Issue of test compliance sheet.	✓ Section 32 of BS6651- "Protection of Structures against Lightning."	
Water Hygiene: Risk Assessment	Water Hygiene risk assessment carried out and reviewed	Every 2 years or when there is significant change to the system or use of the building.	Assessor should have suitable experience and training, e.g. Legionella Control Association registered.	Legionella risk assessment including asset register of components and schematic diagram of the system. Identification of likely risks and measures to reduce / control the hazard.	✓ The control of Legionella bacteria in water systems L8	

GLOSSARY

Item	Definition
BAFE	British Approvals for Fire Equipment
BS	British Standard
CLEAPSS	Consortium of Local Education Authorities for the Provision of Science Services
COSHH	Control of Substances Hazardous to Health
DATA	Design and Technology Association
ECA	Electrical Contractors Association
EN	European Norm
HSE	Health and Safety Executive – The national enforcement body for health and safety law in the UK.
IEE	Institution of Electrical Engineers
L8	Legionnaires' Diseases. The Control of Legionella Bacteria in Water Systems Approved Code of Practice
NAPIT	National Association of Professional Inspectors and Testers
NICEIC	National Inspection Council for Electrical Installation Contracting
PUWER	Provision and Use of Work Equipment Regulations
PASMA	Prefabricated Access Suppliers' and Manufacturers' Association
SFG/20	Building and Engineering Services Association Standard Maintenance Specification

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