**Guidance Note 7**

**Compliance Checklist**

The Compliance Checklist is designed as a tool to record evidence policy requirements are being met. These areas will be reviewed by Corporate Health and Safety during the Health & Safety Audit

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| **No.** | **Dutyholder - Building/Premises Manager/Senior Manager Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
| 1.1 | Make all areas accessible to those surveying |  |  | Asbestos Register has no “No Access” areas. |
| 1.2 | Ensure Asbestos documentation in place i.e.* Survey
* Asbestos Register
* Marked up plans
* Management Action Plan
 |  |  | Management Action plan completed either in the Asbestos Register or separate documentPriority Assessment has been completed in Asbestos Register |
| 1.3 | Keep the Asbestos Register up to date with any changes, including changes in the use of rooms and for each asbestos occurrence when condition or risk changes.  |  |  | Asbestos Register shows evidence of being updated e.g. inspections or removals or encapsulation |
| 1.4 | Checking and recording the condition of the material on an annual basis (Dutyholder inspections – see Guidance Note 5) |  |  | Dutyholder inspection sheets completed annually |
| 1.5 | Advising the Council’s Facilities Team of any changes, so the central records are updated |  |  | Emails showing Facilities Team contacted about changes – asbestos records on Tech Forge shows updates |
| 1.6 | Making the site Asbestos Register available to people who need to see it, (e.g. contractors)  |  |  | Signatures of contractors showing they have been shown Asbestos Register |
| 1.7 | Monitor compliance with this policy within their area of responsibility |  |  | Up to date asbestos documentation, staff training records and management of asbestos during repairs and refurbishment |

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| **No.** | **Dutyholder - Building/Premises Manager/Senior Manager Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
| 1.8 | Have access to facilities information / database e.g. Concerto |  |  | Knowledge of how to access info e.g. Concerto and evidence of usage e.g. access evidence |
| **No.** | **Facilities Team/Housing Management/Schools Asset Manager Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
| 2.1 | Ensuring all corporate buildings have a suitable asbestos survey and register in place |  |  | Suitable surveys and registers are in place for all corporate and school buildings e.g. ConcertoFor residential buildings common parts Housing database |
| 2.2 | The asbestos management plan has been reviewed within the last 12 months |  |  | The asbestos management plans on Concerto are less than a year old |
| 2.3 | Arranging for formal re-inspections of sites, to meet the requirements identified in the risk assessment |  |  | Formal re-inspection programme in place covering all corporate, residential common areas and school buildings with asbestos |
| 2.4 | Monitoring the repairs and maintenance contract of corporate buildings in relation to asbestos including ensuring contractors reference the Asbestos Register before commencing works |  |  | Monitoring visit records showing checks on asbestos worksProcedure in place with contractor detailing how and when the asbestos registers are accessed |
| 2.5 | Arranging for remedial works where required  |  |  | Identified actions in asbestos registers are completed |
| 2.6 | Liaising with the Dutyholder to ensure the register is up to date both locally and centrally. |  |  | Minutes of Building Managers’ Meeting showing asbestos register updating. Up-to-date asbestos register on both Concerto and onsite |

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| **No.** | **School senior management / Governors Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
|  3.1 | Nominating a suitable member of staff to be the Dutyholder and ensuring they are suitably trained, including refresher training every three years |  |  | Named Dutyholder site with suitable training |
|  3.2 | The asbestos management plan has been reviewed within the last 12 months |  |  | The asbestos management plans on Concerto are less than a year old |
|  3.3 | Ensuring a suitable asbestos survey and register are in place that includes a management action plan on recommendations made by the surveyor |  |  | Asbestos survey, register, management action plan in place |
|  3.4 | Arranging for formal re-inspections of sites by competent persons, to meet the requirements identified in the risk assessment |  |  | Formal re-inspections documents with updated asbestos register and management action plan |
|  3.5 | Managing the repairs and maintenance of buildings, ensuring contractors are competent and reference the Asbestos Register before commencing works  |  |  | Evidence of contractors reading asbestos register and plans of invasive works that includes asbestos |
|  3.6 | Monitoring compliance with this policy within their area of responsibility |  |  | Premises Committee reports include asbestos |
| 3.7 | Liaising with the Dutyholder to ensure the register is up to date |  |  | Asbestos register up-to-date and knowledge of asbestos register and current position |
|  3.8 | Ensuring the Dutyholder carries out annual recorded inspections |  |  | Annual inspection records and knowledge of Dutyholder inspections |
| **No.** | **Manager Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
|  4.1 | Ensure all staff know where the site Asbestos Register is kept and ensure it is referred to prior to carrying out any work that is liable to disturb the fabric of the building or work on any building plant. |  |  | Knowledge of where asbestos register is located and understanding of importance of not carrying out invasive works without checking first |
| **No.** | **Manager Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
|  4.2 | Follow safe systems of work and controls identified in Asbestos Register.  |  |  | Site procedures in place and accessible – team minutes  |
|  4.3 | Staff must **not** carry out any invasive works (e.g. drilling holes to put up a shelf) without the agreement of the site/facilities staff and confirmation the Asbestos Register has been checked, prior to the activity.  |  |  | As above. |
| **No.** | **Staff Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
| 5.1 | Follow safe systems of work and not put themselves in danger |  |  | Knowledge of the dangers of asbestos and safe systems of work |
| **No.** | **Health and Safety Team’s Responsibilities** | **Yes/No or NA** | **Actions** | **Example of Evidence** |
| 6.1 | Review this policy regularly and at least every three years |  |  | Policy review date is not more than three years old |
| 6.2 | Competent advice and help to Facilities Team, Housing Management /Schools Asset Manager, managers and staff on asbestos issues. HST staff will hold appropriate certification |  |  | Competent advice given and training certificates |
| 6.3 | Monitoring to ensure Council compliance with this Policy |  |  | Asbestos documentation checks during health and safety audits |
| 6.4 | Training and support for Dutyholders and site based staff  |  |  | Suitable training courses and training records of staff |
| 6.5 | Advise schools and academies, dependent on service purchased |  |  | Records of competent advice given  |

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| Start Date |  | End Date |  |
| Name of Assessor |  |
| Signature of Assessor |  |
| Name of Verifier |  |
| Signature of verifier |  |