

Compliance Self-Assessment Form

Have a go at answering this basic compliance self-assessment questionnaire. Whilst this cannot and should not be used as any kind of comprehensive assessment tool, it can act as a ‘can opener’ and give you an early indication of gaps in your compliance regime. It may also trigger the need to undertake a more in depth review.

To get the best from this questionnaire, it is really important that you answer it honestly and factually. With each answer you give, ask yourself the questions - how do I know and where is my evidence to support this? If you do not know, or you do not have the evidence, you should answer no.

Gas Safety

Question	Yes	No	Comment
Are you 100% compliant with a valid LGSR for every property serviced by gas?			
Do you have the last 2 LGSR records for every property and can you fully evidence this?			
Do you have a forward gas servicing programme which will ensure you stay 100% compliant?			
Does your access process start more than 60 days prior to LGSR expiry date?			
Does legal action commence on the first day following the expiry of the LGSR - legal papers issued to tenant on day 1?			
Do you use ‘forced entry’ as part of your ‘no access’ process?			
Are you confident that your asset list for your gas servicing programme, matches the asset list in your core IT system, and reflects the stock you have on the ground?			
Do you validate your asset list used for gas servicing on at least a monthly basis (if this isn’t managed from your core IT system)?			
Do you have a full asset and equipment list for all communal schemes you have?			
Do you have a valid LGSR for all communal boilers and other			

equipment serviced by gas in these schemes?			
Are these LGSR's displayed in all communal areas?			
Do you have a Gas Policy in place which has been approved by your Board?			
Do your Board receive KPI reports on gas safety and understand your current position in relation to compliance or non-compliance?			
Do you have the gas servicing work carried out by your gas contractors, independently and externally audited on a sample basis?			
Are you prepared for the changes to Regulation 36 (3) scheduled for April 2018?			

Write down any further observations/thoughts.

Electrical Safety

Question	Yes	No	Comment
Do you have a valid electrical safety record for every domestic property (within the last 10 years)?			
If not, do you have a programme in place (and published) that will address the compliance 'backlog' within the next 6 months?			
Are you working towards and/or operating with a 5 year programme for your domestic stock in accordance with best practice guidance?			
Do you have a valid electrical safety record for every communal property dated within the last 5 years)?			

If not, do you have a programme in place (and published) that will address the compliance 'backlog' within the next 3 months?			
Do you carry out an electrical safety test on every void property prior to re-letting?			
Do you have a cyclical electrical inspection programme in place (and published) that will ensure that you remain compliant?			
Does legal action commence on the first day following the expiry of the electrical safety certificate - legal papers issued to tenant on day 1?			
Are you confident that your asset list for your electrical safety inspection programme, matches the asset list in your core IT system, and reflects the stock you have on the ground?			
Do you validate your asset list used for electrical safety on at least a monthly basis (if this isn't managed from your core IT system)?			
Do you have an Electrical Safety Policy in place which has been approved by your Board?			
Do you reference the Landlord & Tenant Act 1985 as the principle legislation in your policy?			
Do you have the electrical inspection work carried out by your electrical contractors, independently and externally audited on a sample basis?			

Write down any further observations/thoughts.

Asbestos

Question	Yes	No	Comment
Do you have an Asbestos Policy in place which has been approved by your Board?			
Do you have an Asbestos Management Plan (AMP) in place?			
Does your AMP set out your survey strategy in respect of domestic stock for repairs, voids and planned maintenance?			
Do you carry out a sample survey of your domestic stock?			
Do you know if the Policy and AMP reflects the nature of your stock, and therefore the approach you should take regarding asbestos? (Remove, manage, mixture, etc.)			
Do you have an internal member of staff managing asbestos who holds the P405 qualification?			
Do you have a valid asbestos management survey for every communal scheme you own dated after 6th April 2012 (when the CAR 2012 regulations came in)?			
Do you have a cyclical programme of re- inspections in place for all communal schemes which require one?			
Do you have an Asbestos Register which is updated on a weekly basis and provides access to robust asbestos data to third parties (contractors, suppliers, tenants, staff, etc.)?			
Are you confident that your asset list for your asbestos programme, matches the asset list in your core IT system, and reflects the stock you have on the ground?			
Do you validate your asset list used for asbestos on at least a monthly basis (if this isn't managed from your core IT system)?			
Does your asbestos contractor hold UKAS accreditation and have			

in-house laboratory facilities for bulk sampling/analysis?			
Do you have separate contractual arrangements for surveying and removal works?			
Do you report on compliance with asbestos to your management team and board?			
Do you know if your survey reports comply with UKAS requirements?			

Write down any further observations/thoughts.

Fire Safety

Question	Yes	No	Comment
Do you have a Fire Safety Policy in place which has been approved by your Board?			
Do you have a valid Fire Risk Assessment in place for every communal scheme you own or manage?			
If not, do you have a programme in place which will see you have a valid Fire risk assessment in place within the next 3 months?			
Do you have an approach in place which sees re-assessment cycles take place based on occupancy risk?			
Do you know if your fire risk assessments comply with PAS 79?			
Do you commission surveys other than Type 1 (i.e. Type 2, 3 or 4)?			
Are you confident that all mandatory actions identified within your FRA's have been completed, signed off and recorded accordingly?			

Are you confident that your asset list for your fire safety programme, matches the asset list in your core IT system, and reflects the stock you have on the ground?			
Do you validate your asset list used for fire safety on at least a monthly basis (if this isn't managed from your core IT system)?			
Do you know if your fire risk assessments are carried out by a suitably qualified and competent person?			
Do you have separate contractual arrangements for FRA's and remedial works?			
Have you procured a formal contract for your FRA programme (minimum of 4 years)?			
Do you have clarity on your policy approach to fire safety (stay put, evacuation, etc.)?			
Have you implemented the interim measures outlined by the DCLG (September 2017) in respect of tower blocks where the ACM has failed the tests?			
Have you had a fire in your stock within the last 2 years?			

Write down any further observations/thoughts.

Water Hygiene

Question	Yes	No	Comment
Do you have a Water Hygiene (or Legionella) Policy in place which has been approved by your Board?			

Do you have a valid Risk Assessment and subsequent inspection and monitoring regime in place for every communal scheme you own?			
If not, do you have a programme in place which will see you have a valid risk assessment in place within the next 3 months?			
Have you carried out a programme of risk assessments to your domestic stock to formulate your approach to your domestic stock?			
Do you hold all records in relation to water hygiene for the last 5 years?			
Do you employ an external competent person to manage your approach to Water Hygiene?			
Are you confident that all mandatory items identified within your risk assessments and inspections have been completed, signed off and recorded accordingly?			
Are you confident that your asset list for your water hygiene programme, matches the asset list in your core IT system, and reflects the stock you have on the ground?			
Do you validate your asset list used for water hygiene on at least a monthly basis (if this isn't managed from your core IT system)?			
Do you know if your risk assessments are carried out by a suitably qualified and competent person?			
Do you provide training at the outset and thereafter on an annual basis to any in-house staff deployed to help deliver the inspection and monitoring regime?			
Does your Policy or Procedure outline what you should do in a situation where there is an outbreak of legionnaire's disease?			
Do you carry out water hygiene checks on every void?			

Have you written to all your tenants to outline what they can do in their home to minimise the risks associated with legionella?			
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Write down any further observations/thoughts.

How did you get on?

Does this highlight any immediate gaps or concerns, or does it show you have a clean bill of compliance health?

If you would like to discuss the benefits of carrying out a compliance health check, we are here to help.

Compliance Health Check

Our Compliance Health Check involves a structured assessment to determine the extent of compliance risks and highlight any gaps in compliance. We check against statutory requirements and best practice, drawing on HSE guidance, codes of practice and industry guidelines. We then apply our industry and sector experience and knowledge - through knowing what good looks like - to provide commentary on compliance performance including what is working well, what can be improved, and importantly, our recommendations for improvements and actions.

Benefit from our unique position and experience

Pennington Choices have demonstrable experience of delivering compliance services from both a client and contractor perspective. We have in-house technical advisors from a fire, gas, electrical, water and asbestos background, and our team of Health Check consultants have held responsibility for housing compliance at an executive and operational level within housing associations, local authorities, ALMOS and contractor businesses. We know first-hand what the pitfalls are and how to avoid them.

Get in touch, we can help

For further information or a confidential discussion about your compliance obligations, please contact our Head of Consultancy, Sarah Davies on sdavies@pennington.org.uk or **01928 568 842**.