

Disclaimer: This template contains broad summaries of complicated legal requirements for background information purposes only and must not be relied upon as legal advice or otherwise. Seek independent legal advice.

**File Note**

**Date:**

**Subject: Compliance Audit**

**Attended: N/A**

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**Legend**

**Green** - no action required

**Yellow** - action before next review

**Amber** - action by specified deadline

**Red** - immediate action

Item (colour with appropriate highlight)	Regulation	Summary of Requirement	Comments/Action Required
Risk Assessment	Regulation 3 of the Management of Health and Safety at Work Regulations 1999.	<ul style="list-style-type: none"> <li>• Risk assessment of the risks to the health and safety of your employees to which they are exposed whilst they are at work</li> <li>• Annual review</li> <li>• Communication to employees and contractors</li> <li>• Must be written if over 5 employees</li> </ul>	
Health and Safety Policy Statement	Health and Safety at Work Act (HSWA) 1974	Display on Staff Notice Board	
Health and Safety Poster	Health and Safety Information for Employees Regulations 1989	Display on Staff Notice Board	
Employer's Liability Insurance	Employers' Liability (Compulsory Insurance) Act 1969	You must be insured for at least £5 million and display a copy of the certificate where employees can read it	
Public Liability Insurance	Good Practice	No legal requirement	
Electricity	Electricity At Work Regulations	Fixed Wire Report of electrical installations	


	<p>1989</p> <p>The Consumer Protection Act 1987</p> <p>The Health and Safety at Work etc. Act 1974</p> <p>Electrical Equipment (Safety) Regulations 1994</p> <p>Common Law</p>	every 5 years	
PAT Testing	Electricity At Work Regulations 1989	Equipment must be kept in good working order	
Emergency light testing	Electricity At Work Regulations 1989	<ul style="list-style-type: none"> <li>● Monthly in house testing</li> <li>● Bi-annual 3 hour discharge by qualified electrician</li> </ul>	
Heating, Boilers and Gas Safety	<p>The Health &amp; Safety at Work Act 1974</p> <p>Workplace (Health, Safety &amp; Welfare) Regulations 1992</p> <p>Gas Safety (Installation and Use) Regulations 1998</p>	<ul style="list-style-type: none"> <li>● Repair and maintain gas pipework, flues and appliances in safe condition</li> <li>● Ensure an annual gas safety check on each appliance and flue</li> <li>● Keep a record of each safety check for 2 years and provide copy to tenant</li> </ul>	
Legionella	<p>Section 3(2) of the Health and Safety at Work Act 1974</p> <p>Section 53 of the Health and Safety at Work Act 1974</p> <p>The Control of Substances Hazardous to Health Regulations 2002</p> <p>L8 Approved Code of Practice (3rd edition)</p>	<ul style="list-style-type: none"> <li>● 2 year risk assessment unless changes to water system before</li> <li>● Control measures including: <ul style="list-style-type: none"> <li>○ Monthly testing and setting of tap temperature to 60 degrees</li> <li>○ Annual chlorination of cold water tanks</li> <li>○ Flushing system prior to letting</li> <li>○ Preventing debris falling into tanks</li> <li>○ Removing redundant pipework</li> </ul> </li> <li>● Inform the tenants of the control</li> </ul>	

		measures	
Asbestos	Control of Asbestos Regulations 2012	<ul style="list-style-type: none"> <li>● Asbestos Register on Site if asbestos present</li> <li>● Ensure plan reviewed and asbestos not likely to be damaged</li> <li>● Train anyone likely to be near asbestos</li> <li>● Utilise effective controls when working near asbestos</li> </ul>	
Working at height/Mansafe System Testing	The Work at Height Regulations 2005	<ul style="list-style-type: none"> <li>● Risk assessment: make sure work is properly planned, supervised and carried out by competent people</li> <li>● Take suitable and sufficient measures to prevent, so far as is reasonably practicable, any person falling a distance liable to cause personal injury</li> <li>● Take suitable and sufficient steps to prevent, so far as is reasonably practicable, the fall of any material or object</li> </ul>	
MEWPS and lifting equipment	<p>The Construction (Design and Management) Regulations 2008</p> <p>Lifting Operations and Lifting Equipment Regulations 1998</p> <p>Provision and Use of Work Equipment Regulations 1998</p>	<ul style="list-style-type: none"> <li>● Risk Assessment covering: <ul style="list-style-type: none"> <li>○ Entrapment</li> <li>○ Overturning</li> <li>○ Falling collision</li> <li>○ Control measures</li> </ul> </li> <li>● Emergency procedure</li> <li>● Training for operatives</li> <li>● Regular system of inspection and servicing</li> <li>● Plan lifts carefully, choose competent operative, supervise them and ensure work is carried out safely</li> <li>● LOLER testing every 6 months</li> </ul>	
Scaffolding	Work at Height Regulations 2005	<ul style="list-style-type: none"> <li>● Must erect to standard configuration to ensure adequate strength, rigidity and stability while it is erected, used and dismantled</li> <li>● Training</li> <li>● System of inspection before use, every 7 days, and after any significant event</li> </ul>	

		(e.g. high winds)	
Passenger Lifts	<p>Section 3 of the Health and Safety at Work Act</p> <p>Lifting Operations and Lifting Equipment Regulations</p> <p>Provision and Use of Work Equipment Regulations 1998</p>	<ul style="list-style-type: none"> <li>• Ensure, so far as is reasonably practicable, that persons not in his employment who may be affected thereby are not thereby exposed to risks to their health or safety</li> <li>• Regular system of inspection (biannual) and maintenance</li> <li>• Must be safe for use, maintained in a safe condition and inspected to ensure it is correctly installed and does not subsequently deteriorate</li> <li>• Must be accompanied by suitable control measures</li> </ul>	
Sprinkler systems	<p>Common Insurance requirement</p> <p>Fire Authority Requirement</p> <p>Regulatory Reform (Fire Safety) Order 2005</p> <p>Building Regulations 2000</p> <p>LPC Rules for Automatic Sprinkler Installations; incorporating BSEN 12845</p>	<ul style="list-style-type: none"> <li>• Weekly test</li> <li>• Bi-annual service by qualified engineer</li> <li>• Compliance with LPC requirements as far as possible</li> </ul>	
Fire Alarm	<p>Common Fire Authority Requirement</p> <p>BS5839-1:2002+A2:2008</p>	<ul style="list-style-type: none"> <li>• Must have an appropriate fire detection system.</li> <li>• Weekly siren tests</li> <li>• Bi-annual drill and recording</li> <li>• Bi-annual service and testing</li> <li>• Detectors to be cleaned every two years</li> </ul>	

		<ul style="list-style-type: none"> <li>Manual call points 1.4m from ground with fire action notices</li> </ul>	
Automatic Doors/Mag Locks	<p>BS 7036</p> <p>The Machinery Directive 2006/42/EC</p> <p>HSE Workplace Health, Safety and Welfare Approved Code of Practice</p> <p>The Workplace (Health, Safety and Welfare) Regulations 1992</p> <p>The Provision and Use of Work Equipment Regulations 1998</p> <p>EN 16005</p>	<ul style="list-style-type: none"> <li>Dealing with all significant hazards, hazardous situations and events relevant to power-operated doorsets</li> <li>Monthly test to ensure doors open in the event of power failure/fire (if connected to the alarm)</li> <li>Annual service</li> <li>Automatic door signage.</li> <li>Log Books</li> <li>Minimum activation distance of 1.5m</li> </ul>	
Fire Risk Assessment	The Regulatory Reform (Fire Safety) Order 2005 (England and Wales)	<ul style="list-style-type: none"> <li>Annual Review of Risk Assessment (good practice)</li> <li>Maintain a fire management plan showing location of fire equipment etc</li> <li>Take steps to reduce the risk of fire, consider how to contain a fire should one break out, and then ensure people can safely escape</li> </ul>	
Extinguishers	No legal requirement, per se but would be required if risk assessment under the The Regulatory Reform (Fire Safety) Order 2005 (England and Wales) concluded that they would be necessary	<ul style="list-style-type: none"> <li>Monthly visual inspection</li> <li>Annual inspection by qualified technician</li> </ul>	
Fire exits	Reg 14 of the Regulatory Reform	<ul style="list-style-type: none"> <li>Ensure that routes to emergency exits</li> </ul>	

	(Fire Safety) Order 2005 (England and Wales)	<p>from premises and the exits themselves are kept clear at all times</p> <ul style="list-style-type: none"> <li>● Fire/Smoke seals</li> <li>● Emergency routes and exits must lead as directly as possible to a place of safety</li> <li>● Must be possible for persons to evacuate the premises as quickly and as safely as possible</li> <li>● The number, distribution and dimensions of emergency routes and exits must be adequate having regard to the use, equipment and dimensions of the premises and the maximum number of persons who may be present there at any one time</li> <li>● Emergency doors must open in the direction of escape</li> <li>● Sliding or revolving doors must not be used for exits specifically intended as emergency exits</li> <li>● Emergency doors must not be so locked or fastened that they cannot be easily and immediately opened by any person who may require to use them in an emergency</li> <li>● Emergency routes and exits must be indicated by signs</li> <li>● Emergency routes and exits requiring illumination must be provided with emergency lighting of adequate intensity in the case of failure of their normal lighting</li> </ul>	
Air Conditioning Units/HVAC	Workplace (Health, Safety & Welfare) Regulations 1992	<ul style="list-style-type: none"> <li>● Ensure no leaking refrigerant</li> <li>● Bi-annual service</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>● Ventilation</li> <li>● Plant and Machinery</li> <li>● Temperature</li> </ul>	

Ventilation	Workplace (Health, Safety & Welfare) Regulations 1992	Effective and suitable provision shall be made to ensure that every enclosed workplace is ventilated by a sufficient quantity of fresh or purified air.	
Intruder Alarms	No legal requirement	Annual maintenance (recommended)	
Roller shutter doors	Section 3 of the Health and Safety at Work Act  Provision and Use of Work Equipment Regulations 1998	<ul style="list-style-type: none"> <li>• Ensure, so far as is reasonably practicable, that persons not in his employment who may be affected thereby are not thereby exposed to risks to their health or safety</li> <li>• Regular system of inspection (annual) and maintenance</li> </ul>	
Pest Control	Common Law Good practice	Pest Control Systems in place (recommended)	
Drainage	Common Law Good practice	Drainage Maintenance system in place	
Gutter cleaning	Common Law Good practice	Gutter cleaning system in place	
Data Protection / GDPR	Data Protection Act 1998 General Data Protection Regulation 2016	<ul style="list-style-type: none"> <li>• Have someone responsible for DPA Compliance.</li> <li>• Data Protection Policy (including how compliance with 8 principles is ensured, security and consent, withdrawal, age verification, Data Breaches, Notification of Breach etc - see also DPA checklist)</li> <li>• Staff Training</li> <li>• Process for responding to requests for personal information</li> <li>• Backup to prevent loss</li> <li>• Subject Access Request Procedure</li> <li>• Schedule of Personal Data Held, where</li> </ul>	

		<p>it came from and who it is shared with</p> <ul style="list-style-type: none"> <li>• Privacy Notices (info to be provided to individuals including your identity, how information will be used, lawful basis for processing, data retention periods and rights to complain to ICO)</li> <li>• Procedure to ensure individuals rights including how personal information would be deleted etc</li> <li>• Privacy Impact Assessment (aka Data Protection Impact Assessments)</li> <li>• Contract for sub-processors to comply with DP law</li> </ul>	
Energy Performance Certificates / Minimum Energy Efficiency	<p>Energy Act 2011</p> <p>EPC Regulations 2012</p> <p>Building Regulations 2010</p> <p>Energy Performance of Buildings (England and Wales) 2012</p> <p>The Energy Efficiency (MEES) Regulations 2015 (MEES)</p>	<ul style="list-style-type: none"> <li>• Obtain and fix and EPC to a building (only where an EPC has already been prepared)</li> <li>• Obtain EPC for units where intend to let</li> <li>• Provide upon advertising to prospective tenants</li> <li>• 1st April 2019 – no new tenancies or renewals if the property is below an E rating (unless an exemption is registered for 5 years)</li> <li>• 1st April 2020 – all tenancies are affected from this date – i.e., no lets can happen where a property is below an E rating (unless an exemption is registered for 5 years)</li> </ul>	
Defective Premises (including slips and trips, car parks etc)	<p>Management of Health and Safety at Work Regulations 1999.</p> <p>Workplace (Health, Safety &amp; Welfare) Regulations 1992</p> <p>Common law negligence</p> <p>Defective Premises Act 1972</p>	<ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Appropriate Control Measures</li> <li>• Repair, maintain and clean the property. This duty applies when a landlord ought to have known of a defect, not just when he has been informed of a defect</li> <li>• Take such care as in all the circumstances of the case is reasonable to see that the visitor will be</li> </ul>	



	<p>Occupiers Liability Act 1957</p> <p>Occupiers Liability Act 1984 (trespassers)</p>	<p>reasonably safe in using the premises for the purposes for which he is invited or permitted by the occupier to be there</p> <ul style="list-style-type: none"> <li>● Higher duty of care for children</li> <li>● Take such care as is reasonable in all the circumstances of the case to see that the non-visitor does not suffer injury on the premises by reason of the danger concerned</li> </ul>	
<p>Construction Work/Contractors</p>	<p>CDM Regulations 2015</p>	<ul style="list-style-type: none"> <li>● Make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include: <ul style="list-style-type: none"> <li>○ appointing the <u>contractors</u> and <u>designers</u> to the project (including the <u>principal designer</u> and <u>principal contractor</u> on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability</li> <li>○ allowing sufficient time and resources for each stage of the project</li> <li>○ making sure that any principal designer and principal contractor appointed carry out their duties in managing the project</li> <li>○ making sure suitable welfare facilities are provided for the duration of the construction work</li> </ul> </li> <li>● maintain and review the management arrangements for the duration of the project</li> <li>● provide a <b>pre-construction information pack</b> to every designer and contractor either bidding for the work or already appointed to the project</li> <li>● ensure that the principal contractor or contractor (for single contractor</li> </ul>	

		<p>projects) prepares a <b>construction phase plan</b> before that phase begins</p> <ul style="list-style-type: none"> <li>• ensure that the principal designer prepares a <b>health and safety file</b> for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site</li> <li>• Notify HSE if job will last longer than 500 person days or 30 working days if more than 20 people working at the same time</li> </ul>	
Chemicals and Harmful Substances	The Control of Substances Hazardous to Health Regulations 2002	<ul style="list-style-type: none"> <li>• Find out what the health hazards are</li> <li>• Decide how to prevent harm to health (risk assessment)</li> <li>• Provide and maintain control measures to reduce harm to health</li> <li>• Make sure they are used</li> <li>• Provide information, instruction and training for employees and others</li> <li>• Provide monitoring and health surveillance in appropriate cases</li> <li>• Plan for emergencies</li> </ul>	
Plant and Machinery	Provision and Use of Work Equipment Regulations 1998	<ul style="list-style-type: none"> <li>• Check plant, tools and machinery are suitable for the intended use</li> <li>• Check plant, tools and machinery are safe for use, maintained in a safe condition and inspected to ensure it is correctly installed and does not subsequently deteriorate</li> <li>• Ensure plant, tools and machinery used only by people who have received adequate information, instruction and training</li> <li>• Ensure plant, tools and machinery are accompanied by suitable health and safety measures, such as</li> </ul>	

		<p>protective devices and controls. These will normally include emergency stop devices, adequate means of isolation from sources of energy, clearly visible markings and warning devices</p> <ul style="list-style-type: none"> <li>• Ensure plant, tools and machinery are used in accordance with specific requirements, for mobile work equipment and power presses</li> </ul>	
Manual Handling	The Manual Handling Operations Regulations 1992	<ul style="list-style-type: none"> <li>• Avoid hazardous manual handling operations so far as is reasonably practicable, by redesigning the task to avoid moving the load or by automating or mechanising the process</li> <li>• Make a suitable and sufficient assessment of the risk of injury from any hazardous manual handling operations that cannot be avoided</li> <li>• Reduce the risk of injury from those operations so far as is reasonably practicable. Where possible, provide mechanical assistance, for example, a sack trolley or hoist. Where this is not reasonably practicable then explore changes to the task, the load and the working environment</li> </ul>	
Noise	Control of Noise at Work Regulations 2005	<ul style="list-style-type: none"> <li>• Assess and identify measures to eliminate or reduce risks from exposure to noise so that you can protect the hearing of your employees</li> <li>• Where the risks are low, the actions you take may be simple and inexpensive, but where the risks are high, you should manage them using a prioritised noise-control action plan</li> <li>• Where required, ensure that:</li> </ul>	

		<ul style="list-style-type: none"> <li>○ hearing protection is provided and used;</li> <li>○ any other controls are properly used; and</li> <li>○ you provide information, training and health surveillance</li> </ul>	
Personal Protective Equipment	<p>The Personal Protective Equipment Regulations 2002</p> <p>The Personal Protective Equipment at Work Regulations 1992 (as amended)</p> <p>The Control of Lead at Work Regulations 2002</p> <p>The Ionising Radiations Regulations 1999</p> <p>The Control of Asbestos Regulations 2012</p> <p>The Control of Substances Hazardous to Health Regulations 2002 (as amended)</p> <p>The Control of Noise at Work Regulations 2005</p>	<ul style="list-style-type: none"> <li>● Ensure only used as a last resort</li> <li>● Supply PPE to employees free of charge where risks to health cannot be controlled in other ways</li> <li>● Properly assess PPE before use to make sure it is fit for purpose</li> <li>● Maintain and store PPE properly</li> <li>● Provide PPE with instructions on how to use it safely</li> <li>● Ensure PPE is used correctly by employees</li> </ul>	
Pressure equipment	Pressure Systems Safety Regulations 2000	<p>Applies to:</p> <ul style="list-style-type: none"> <li>● Boilers and steam heating system</li> <li>● Pressurised process plant and piping</li> <li>● Compressed air systems (fixed and portable)</li> <li>● Pressure cookers, autoclaves and retorts</li> <li>● Heat exchangers and refrigeration plant</li> <li>● Valves, steam traps and filters</li> </ul>	

		<ul style="list-style-type: none"> <li>● Pipework and hoses</li> <li>● Pressure gauges and level indicators</li> </ul> <p>Required to:</p> <ul style="list-style-type: none"> <li>● Not operate the system or allow it to be operated unless there is a written scheme for the periodic examination, by a competent person</li> <li>● Provide safe and suitable equipment</li> <li>● Know the operating conditions</li> <li>● Fit suitable protective devices and ensure they function properly</li> <li>● Carry out suitable maintenance</li> <li>● Make provision for appropriate training</li> <li>● Choose a competent person</li> <li>● Provide operating instructions and emergency instructions.</li> </ul> <p>Twenty-five complete exceptions are detailed in PSSR Schedule 1 Part I</p> <p>Three partial exceptions are detailed in PSSR Schedule 1 Part II</p>	
Radiation	<p>Ionising Radiations Regulations 1999</p> <p>Control of Electromagnetic Fields at Work Regulations 2016</p> <p>Management of Health and Safety at Work Regulations 1999</p>	<ul style="list-style-type: none"> <li>● Ensure no risk of significant radiation exposure from normal work with radiation in areas not under your control</li> <li>● Employers planning to carry out work with ionising radiation are required to notify HSE at least 28 days before they start work</li> <li>● Take reasonable steps to prevent harm caused by exposure to electromagnetic fields (“EMF”s) in the workplace</li> <li>● Assess the levels of EMFs to which your employees may be exposed</li> </ul>	

		<ul style="list-style-type: none"> <li>• Ensure that exposure is below a set of exposure limit values (“ELV”s)</li> <li>• When appropriate, devise and implement an action plan to ensure compliance with the exposure limits</li> <li>• When appropriate, assess the risks of employees’ exposure and eliminate or minimise those risks</li> <li>• Make sure you take employees at particular risk, such as expectant mothers and workers with active or passive implanted or body-worn medical devices, into account</li> <li>• Provide information and training on the particular risks (if any) posed to employees by EMFs in the workplace and details of any action you are taking to remove or control them</li> <li>• Take action if employees are exposed to EMFs in excess of the ELVs</li> <li>• Provide health surveillance or medical examination, as appropriate</li> </ul>	
Confined spaces	<p>☒ Management of Health and Safety at Work Regulations 1999</p> <p>The Confined Spaces Regulations 1997</p>	<ul style="list-style-type: none"> <li>• Carry out a suitable and sufficient assessment of the risks for all work activities for the purpose of deciding what measures are necessary for safety</li> <li>• Avoid entry to confined spaces, e.g. by doing the work from the outside</li> <li>• If entry to a confined space is unavoidable, follow a safe system of work</li> <li>• Put in place adequate emergency arrangements before the work start</li> </ul>	
Staff training	Reg 13 of the Management of Health and Safety at Work Regulations 1999	Provide clear instructions and information, and adequate training, for your employees	
Accident Investigation	Reporting of Injuries, Diseases	<ul style="list-style-type: none"> <li>• Investigate cause of accident</li> </ul>	

Procedure	and Dangerous Occurrences Regulations 2013  Good practice	<ul style="list-style-type: none"> <li>• Prepare action plan to prevent further incidents</li> <li>• Update risk assessment</li> <li>• Monitor and review any measures you have put in place to help control risk</li> </ul>	
Planning Permission	Section 57 of the Town and Country Planning Act 1990	Obtain planning permission for any “development” unless exempted	
Building Regulations	Building Act 1984  Regulation 6 of the Building Regulations 2010	Where there is a material change of use of the whole of a building, such work, if any, shall be carried out as is necessary to ensure that the building complies with the applicable requirements of the following paragraphs of Schedule 1 of the Regulations	
PRS (playing music)	The Copyright, Designs and Patents Act 1988	Obtain permission from the copyright holder (performer) in the form of a PRS licence for music that is played on your premises for customers or staff	
Emergency Planning for Major Accidents	The Control of Major Accident Hazards (COMAH) Regulations 2015	Take all necessary measures to prevent major accidents involving dangerous substances as stated in Schedule 1 of the Regulations	
Hot works	Insurance requirement  Management of Health and Safety at Work Regulations 1999  The Regulatory Reform (Fire Safety) Order 2005 (England and Wales)  The Control of Substances Hazardous to Health Regulations 2002  Provision and Use of Work Equipment Regulations 1998  The Personal Protective	Covered by topics above, but in summary: <ul style="list-style-type: none"> <li>• Use a Hot Works Permit System</li> <li>• Prepare a Risk Assessment covering, inter alia, ability to use other methods than hot works, reducing risk of fire, fumes, equipment safety and PPE.</li> </ul>	

	<p>Equipment Regulations 2002</p> <p>The Personal Protective Equipment at Work Regulations 1992 (as amended)</p>		
Pollution and Dust	The Control of Substances Hazardous to Health Regulations 2002	<ul style="list-style-type: none"> <li>• Must protect against the risks from hazardous construction dusts</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>• Chemicals and Harmful Substances</li> </ul>	
Electrical Shock	As above	<p>See:</p> <ul style="list-style-type: none"> <li>• Electricity</li> <li>• PAT Testing</li> <li>• Defective Premises</li> <li>• Plant and Machinery</li> </ul>	
Young Persons	Management of Health and Safety at Work Regulations 1999	<p>Ensure that young people employed by them are not exposed to risk due to:</p> <ul style="list-style-type: none"> <li>• lack of experience</li> <li>• being unaware of existing or potential risks and/or</li> <li>• lack of maturity</li> </ul> <p>Must consider:</p> <ul style="list-style-type: none"> <li>• the layout of the workplace</li> <li>• the physical, biological and chemical agents they will be exposed to</li> <li>• how they will handle work equipment</li> <li>• how the work and processes are organised</li> <li>• the extent of health and safety training needed</li> <li>• risks from particular agents, processes and work</li> </ul>	



<p>Display Screen Equipment</p>	<p>The Health and Safety (Display Screen Equipment) Regulations 1992</p>	<ul style="list-style-type: none"> <li>● Workstation risk assessment</li> <li>● Review upon occurrence of a material change</li> <li>● Appropriate control measures to reduce the risks identified in consequence of an assessment to the lowest extent reasonably practicable</li> <li>● Ensure the minimum requirements of schedule 1 are met including:             <ul style="list-style-type: none"> <li>○ Adequate lighting</li> <li>○ Adequate contrast, no glare or distracting reflections</li> <li>○ Distracting noise minimised</li> <li>○ Leg room and clearances to allow postural changes</li> <li>○ Window covering if needed to minimise glare</li> <li>○ Software: appropriate to task, adapted to user, providing feedback on system status, no undisclosed monitoring</li> <li>○ Screen: stable image, adjustable, readable, glare/reflection-free</li> <li>○ Keyboard: usable, adjustable, detachable, legible</li> <li>○ Work surface: with space for flexible arrangement of equipment and documents; glare-free</li> <li>○ Chair: stable and adjustable</li> <li>○ Footrest if user needs one</li> </ul> </li> <li>● Plan breaks into daily DSE work</li> <li>● Carry out an employee eye - test if requested</li> <li>● Provided operator with adequate health and safety training in the use of any workstation upon which he may be required to work</li> <li>● Ensure that operators are provided with adequate information about all aspects of health and safety relating to their workstations and such measures taken by the employer in compliance with their duties</li> </ul>	
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<p>New and expectant mothers</p>	<p>Regs 16 - 18 of the Management of Health and Safety at Work Regulations 1999</p> <p>Workplace (Health, Safety and Welfare) Regulations 1992</p> <p>Equality Act 2010</p>	<ul style="list-style-type: none"> <li>• Extends general duty under section 3 to include any specific risks to females of childbearing age who could become pregnant, and any risks to new and expectant mothers. These risks can be from any process, working conditions, or physical, biological or chemical agents</li> <li>• If that risk assessment has identified any risks to the health and safety of a new or expectant mother, or that of her baby, and these risks cannot be avoided by taking any necessary preventive and protective measures under other relevant health and safety legislation, then employers must take action to remove, reduce or control the risk</li> <li>• If the risk cannot be removed employers must take the following actions:             <ul style="list-style-type: none"> <li>○ Temporarily adjust her working conditions and/or hours of work; or if that is not possible</li> <li>○ Action 2 - Offer her suitable alternative work (at the same rate of pay) if available, or if that is not feasible</li> <li>○ Action 3 - Suspend her from work on paid leave for as long as necessary, to protect her health and safety, and that of her child</li> </ul> </li> <li>• Provide suitable rest facilities for workers who are pregnant or breastfeeding. The facilities should be suitably located (e.g. near to toilets) and where necessary should provide appropriate facilities for the new or</li> </ul>	

		expectant mother to lie down	
Stress	Management of Health and Safety at Work Regulations 1999	<ul style="list-style-type: none"> <li>• Monitor factors that might suggest there is a problem with stress-related illness in the business, for example, high rates of absenteeism, staff turnover, poor performance, conflict between staff</li> <li>• Ensure there is a health and safety policy that addresses the issue of stress in the workplace, including, if appropriate, a stress management strategy</li> <li>• Ensure effective risk assessments have been carried out, are monitored regularly and any recommendations are being implemented and adequately funded</li> <li>• Plan for stress-related risks when embarking on significant organisational change</li> </ul>	
First Aid	The Health and Safety (First-Aid) Regulations 1981	<ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Provide adequate first aid facilities (even if self-employed)</li> <li>• Ensure there is an appointed person and/or first aider</li> <li>• Provide employees with information about first aid</li> <li>• The Regulations do not place a legal duty on employers to make first-aid provision for non-employees such as the <u>public</u> or children in <u>schools</u></li> </ul>	
Ladders	Work at Height Regulations 2005	<ul style="list-style-type: none"> <li>• Risk Assessment to ensure all work at height is properly planned and organised</li> <li>• Ensure those involved in work at height are competent</li> <li>• Ensure the risks of working on or near</li> </ul>	

		<p>fragile surfaces are properly managed</p> <ul style="list-style-type: none"> <li>• Ensure that a ladder is used for work at height only if a risk assessment demonstrates other equipment is not justified because of low risk, short duration of use or site features</li> <li>• Compliance with 10 requirements of schedule 6 of the regs.</li> <li>• Periodic inspection of ladders (every 7 days if in use)</li> <li>• Training on ladder use/inspection</li> </ul>	
Health and Safety Committee	TBC	<ul style="list-style-type: none"> <li>• If you recognise trade unions, set up a health and safety committee if two union-appointed representatives request it in writing</li> </ul>	
TV Licence	<p>Communications Act 2003</p> <p>Communications (Television Licensing) Regulations 2004 (as amended)</p>	Must have a valid TV licence	
Non-hazardous Waste	<p>The Environmental Protection Act 1990 (including the Duty of Care Regulations)</p> <p>The Controlled Waste Regulations 2012</p> <p>The Hazardous Waste Directive 2011</p> <p>The Carriage of Dangerous Goods Regulations</p>	<ul style="list-style-type: none"> <li>• Keep waste to a minimum by doing everything you reasonably can to prevent, reuse, recycle or recover waste (in that order)</li> <li>• Sort and store waste safely and securely</li> <li>• Complete a waste transfer note for each load of waste that leaves your premises</li> <li>• Check if your waste carrier is registered to dispose of waste</li> <li>• Not allow the waste carrier to dispose of your waste illegally (and report them to Crimestoppers if they do)</li> <li>• You have extra responsibilities if you're</li> </ul>	

		dealing with hazardous waste	
CCTV	Data Protection Act 1998	<ul style="list-style-type: none"> <li>• If your business uses CCTV, you must tell people they may be recorded</li> <li>• This is usually done by displaying signs, which must be clearly visible and readable.</li> <li>• You must also notify the Information Commissioner's Office (ICO) why you're using the CCTV</li> <li>• You should control who can see the recordings, and make sure the system is only used for the purpose it was intended for</li> </ul> <p>Anyone can ask to see images that you've recorded of them. You must provide these within 40 days, and can charge up to £10</p>	
Cable Management	Management of Health and Safety at Work Regulations 1999	<ul style="list-style-type: none"> <li>• Risk Assess any trip, shock or overheating hazards</li> <li>• Use appropriate control measures</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Electricity</li> <li>• PAT Testing</li> <li>• Defective Premises</li> <li>• Display Screen Equipment</li> </ul>	
Safety Anchors	<p>Regulation 3 of the Management of Health and Safety at Work Regulations 1999</p> <p>The Work at Height Regulations 2005</p> <p>Provision and Use of Work Equipment Regulations 1998</p>	<p>See:</p> <ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Working at height/Mansafe System Testing</li> <li>• Scaffolding</li> <li>• Plant and Machinery</li> <li>• Personal Protective Equipment</li> </ul>	

	<p>The Personal Protective Equipment Regulations 2002</p> <p>The Personal Protective Equipment at Work Regulations 1992 (as amended)</p>		
Trademarks / Defamation	<p>Trade Marks Act 1994</p> <p>The Patents Act 1997</p> <p>Copyright Designs and Patents Act 1988</p> <p>Registered Designs Act 1947</p>	Cannot infringe on another's intellectual property rights nor defame someone	
Food Safety	<p>The Food Safety Act 1990 (as amended)</p> <p>The Food Safety and Hygiene (England) Regulations 2013</p> <p>The General Food Law Regulation (EC) 178/2002</p>	General food safety (not detailed here)	
Hierarchy of control procedures (generally)		<p>The law requires you, as an employer, to carry out risk reduction using a clear hierarchy of controls. Where it is reasonably practicable to do so, you should always adopt the following controls in descending order of priority:</p> <ol style="list-style-type: none"> <li>1. <b>Remove</b> the hazard</li> <li>2. Where removal not possible or reasonably practicable, <b>substitute</b> a hazardous activity with a less hazardous one or use improved equipment or technical solutions to reduce level of risk</li> <li>3. If risk reduction not possible,</li> </ol>	

		<p><b>redesign</b> the equipment or work activity to reduce the risks</p> <p>4. If redesign not possible, may be reasonably practicable to physically <b>remove people</b> from risk</p> <p>5. Finally, put in place <b>controls</b> such as training, safe systems of work and personal protective measures</p>	
Accident Reporting	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995	Must make a report to the Incident Contact Centre in the event of an accident to an employee resulting in death, major injury or absence from work for three or more days. Incidents involving members of the public which result in them being taken directly to hospital must also be reported. This includes violent incidents that result in physical injury	
Slavery	Section 54 of the Modern Slavery Act 2015	Businesses with an annual turnover of 36 million or more must disclose each year what action they have taken to ensure there is no modern slavery in their business or supply chains	
Access and Egress (means of entry or exit to a workplace including footpaths, corridors, doorways, ladders, ladders, steps etc.)	<p>The Workplace (Health, Safety and Welfare) Regulations 1992</p> <p>Building Act 1984 (not detailed here)</p> <p>Building Regulations 2000 (not detailed here)</p> <p>Disability Discrimination Act 1995</p> <p>Working at Height Regulations 2005</p>	<ul style="list-style-type: none"> <li>• Every floor in a workplace must be “suitable” for the purpose for which it is used</li> <li>• Floors must have no holes (unless adequate measures taken to prevent falling) or slopes (handrails will be taken into account), or be uneven or slippery so as to expose any person to a risk to his health or safety</li> <li>• Floors shall have effective means of drainage where necessary</li> <li>• So far as is reasonably practicable, every floor in a workplace and the surface of every traffic route in a</li> </ul>	

		<p>workplace shall be kept free from obstructions or substance which may cause a person to slip, trip or fall</p> <ul style="list-style-type: none"> <li>• Suitable and sufficient handrails and, if appropriate, guards shall be provided on all traffic routes which are staircases except in circumstances in which a handrail can not be provided without obstructing the traffic route</li> <li>• Must make “reasonable adjustments” to ensure disabled persons are not treated less favourably.</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>• Working at Height</li> <li>• Ladders</li> <li>• Scaffolding</li> <li>• Fire Risk Assessment</li> <li>• Fire Exits</li> <li>• Emergency Light Testing</li> <li>• Defective Premises</li> </ul>	
Marketing	The Privacy and Electronic Communications (EC Directive) Regulations 2003	<ul style="list-style-type: none"> <li>• Must not use automated recordings for marketing without the recipient’s consent</li> <li>• Must not telephone someone for marketing purposes where they have previously stated they do not wish to be called or are registered on the TPS ‘opt out’ register</li> <li>• Cannot use email for marketing unless:             <ul style="list-style-type: none"> <li>○ that person has obtained the contact details of the recipient of that electronic mail in the course of the sale or negotiations for the sale of a product or service to that recipient;</li> <li>○ the direct marketing is in respect of that person’s similar products and</li> </ul> </li> </ul>	



		<ul style="list-style-type: none"> <li>○ services only; and</li> <li>○ the recipient has been given a simple means of unsubscribing</li> </ul>	
Aggression and Violence	<p>The Health and Safety at Work etc Act 1974</p> <p>The Management of Health and Safety at Work Regulations 1999</p>	<ul style="list-style-type: none"> <li>● Risk Assessment</li> <li>● Appropriate Control Measures</li> </ul>	
Bullying	<p>The Health and Safety at Work etc Act 1974</p> <p>The Management of Health and Safety at Work Regulations 1999</p>	<ul style="list-style-type: none"> <li>● Risk Assessment</li> <li>● Appropriate Control Measures</li> </ul>	
Computer Workstations	<p>The Health and Safety (Display Screen Equipment) Regulations 1992</p>	<p>See:</p> <ul style="list-style-type: none"> <li>● Display Screen Equipment</li> </ul>	
Drugs and Alcohol	<p>Health and Safety at Work etc Act 1974, section 2</p> <p>Management of Health and Safety at Work Regulations 1999</p> <p>Misuse of Drugs Act 1971</p> <p>Road Traffic Act 1988</p> <p>Transport and Works Act 1992</p>	<ul style="list-style-type: none"> <li>● Risk Assessment</li> <li>● Appropriate Controls (e.g. drug and alcohol tests)</li> <li>● Ensure you do not knowingly to permit the production, supply or use of controlled substances on their premises except in specified circumstances</li> <li>● Ensure employees are not under the influence when driving</li> </ul>	

Housekeeping and welfare	Workplace (Health, Safety and Welfare) Regulations 1992	<ul style="list-style-type: none"> <li>• Inside flooring surfaces shall be capable of being kept sufficiently clean</li> <li>• So far as is reasonably practicable, waste material shall not be allowed to accumulate except in suitable receptacles</li> <li>• Every floor and walkway should be kept free from obstructions or any type of contamination which may cause a person to slip, trip or fall, so far as is practicable</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>• Display Screen Equipment</li> <li>• Risk Assessment</li> </ul>	
Lighting	<p>Workplace (Health, Safety &amp; Welfare) Regulations 1992</p> <p>The Management of Health and Safety at Work Regulations 1999</p>	<ul style="list-style-type: none"> <li>• Every workplace shall have suitable and sufficient lighting</li> <li>• Lighting shall, so far as is reasonably practicable, be by natural light</li> <li>• Suitable and sufficient emergency lighting shall be provided in any room in circumstances in which persons at work are specially exposed to danger in the event of failure of artificial lighting</li> <li>• Risk Assessment</li> <li>• Appropriate Control Measures</li> </ul>	
Temperature	Workplace (Health, Safety & Welfare) Regulations 1992	<ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Appropriate Controls</li> <li>• During working hours, the temperature in all workplaces inside buildings shall be reasonable (no legal requirement but 16 degrees okay)</li> <li>• A method of heating or cooling shall not be used which results in the escape into a workplace of fumes, gas or vapour of such character and to such extent that they are likely to be injurious</li> </ul>	

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		<p>or offensive to any person</p> <ul style="list-style-type: none"> <li>• A sufficient number of thermometers shall be provided to enable persons at work to determine the temperature in any workplace inside a building</li> </ul>	
Vehicles and transport safety	<p>Road Traffic Act 1988</p> <p>Transport and Works Act 1992</p>	<ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Appropriate Controls</li> <li>• Annual service and MOT</li> <li>• Annual Car tax</li> <li>• Insurance</li> </ul> <p>See also:</p> <ul style="list-style-type: none"> <li>• Drugs and Alcohol</li> </ul>	
Vibration	The Control of Vibration at Work Regulations 2005	<ul style="list-style-type: none"> <li>• Risk Assessment</li> <li>• Appropriate Control Measures</li> </ul>	

**T - Ensure all relevant sections include (as appropriate):**

- **Include within policy/checklist**
- **Risk Assessment**
- **Control Measures**
- **Emergency procedures**
- **Correct colour coding**
- **Deadline**