

# The DMA Estates Compliance & Assurance Checklist

Supporting statutory compliance, risk management and governance



This checklist is designed to support estates and facilities teams in reviewing statutory compliance across the built environment. Before completing the detailed sections, it is important to capture the context in which your buildings operate.

Statutory compliance requirements vary depending on building type, occupancy, risk and sector. Establishing this context helps ensure that the checklist is interpreted correctly and that risks are assessed proportionately.

## Guidance Notes

Section 1 is not an assessment in itself. It provides background information that supports assurance, audit readiness and governance discussions.

Section 2 focuses on the core statutory compliance areas that apply to most non-domestic buildings in the UK, including fire safety, electrical safety, gas safety, water hygiene and asbestos management.

The purpose of these questions is not to assess technical detail, but to help confirm whether appropriate controls, ownership and evidence are in place to support compliance and assurance.

When completing section 2, responses should reflect the current position, not intended assumptions.

**\*Note:** This is an interactive form when viewing in Adobe Acrobat

**Property Reference Name**

**Checklist Completed By**

**Date**

## Section 1

### Building Type (select all that apply)

Office

Educational (school, college, academy, university)

Healthcare / clinical

Residential (non-domestic common areas)

Industrial / workshop

Public / visitor-facing building

Mixed-use

Other

### Occupancy & Usage (select all that apply)

Low occupancy (primarily staff)

High occupancy

Public access

Vulnerable occupants (children, elderly, patients)

Out-of-hours use

High turnover of users

Are occupancy levels or usage patterns likely to change in the next 12 months? Yes | No | Unsure

### Overall Risk Profile

Overall Risk Profile  
(Based on your assessment)

Low

Medium

High

### Guidance notes:

**Low risk:** Modern building, low occupancy, limited public access, stable use

**Medium risk:** Mixed-use building, public access, ageing assets

**High risk:** Vulnerable occupants, high footfall, complex systems, older estate

### Local Authority & Sector-Specific Additional Requirements Check

We have considered local authority guidance relevant to this building

We have considered sector-specific requirements (e.g. education, healthcare)

Not applicable / Not sure

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## Section 2

### What should I be thinking about?

Are fire risks assessed, controls maintained, and actions reviewed and recorded?



### Fire Safety

Yes / Review

- Fire risk assessment completed, suitable and sufficient
- Fire risk assessment reviewed regularly and after change
- Fire alarm systems tested and serviced to required frequency
- Emergency lighting inspected and tested
- Fire doors inspected and maintained
- Firefighting equipment inspected and certified
- Means of escape kept clear and managed
- Records of drills, training and testing retained

### What should I be thinking about?

Are inspections completed as planned, defects addressed, and records linked to the correct assets?



### Electrical Safety

Yes / Review

- Fixed electrical installation inspected and tested (EICR)
- Remedial actions tracked and completed
- Portable appliance testing regime in place where appropriate
- Electrical rooms secured and labelled
- Electrical risk assessments reviewed
- Records centrally stored and accessible

### What should I be thinking about?

Are inspections current, defects managed promptly, and certificates accessible?



### Gas Safety

Yes / Review

- Gas appliances inspected and serviced annually
- Gas safety certificates current and accessible
- Emergency isolation arrangements known and labelled
- Competent engineers used for all works
- Defects recorded and rectified promptly

### What should I be thinking about?

Are Legionella risks assessed, monitoring carried out, and actions documented?



### Water Hygiene

Yes / Review

- Legionella risk assessment completed and reviewed
- Written scheme of control in place
- Responsible persons appointed
- Monitoring regime implemented (temp., flushing, inspections)
- Remedial works tracked and closed
- Records retained and auditable

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## What should I be thinking about?

Is asbestos information current, accessible, and reviewed when buildings or works change?



### Asbestos Management

Yes / Review

- Asbestos survey appropriate to building use and condition
- Asbestos register maintained and accessible
- Management plan in place and implemented
- Contractors informed prior to works
- Re-inspections carried out as required

## What should I be thinking about?

Are statutory inspections up to date and defects addressed?



### Lifts and Lifting Equipment

Yes / Review

- Statutory inspections carried out by competent persons
- Inspection reports reviewed and actions completed
- Maintenance regime in place
- Emergency procedures documented
- Records available on site

## What should I be thinking about?

Are pressure systems inspected as required, defects managed, and certification available?



### Pressure Systems

Yes / Review

- Written scheme of examination in place
- Inspections carried out at required intervals
- Defects recorded and addressed
- System modifications reviewed for compliance impact

## What should I be thinking about?

Is work equipment suitable, maintained and inspected, with risks assessed and controls in place?



### Work Equipment & Workplace Safety

Yes / Review

- Risk assessments completed and reviewed
- PUWER requirements addressed
- Safe systems of work documented
- Staff training recorded
- Incident reporting procedures in place

## What should I be thinking about?

Is responsibility clear, evidence accessible, and compliance reviewed regularly?



### Evidence, Records, Visibility & Governance

Yes / Review

- Compliance evidence stored centrally
- Records accessible without delay
- Clear audit trail from asset to action
- Outstanding actions visible and tracked
- Senior reporting in place
- All compliance responsibilities clearly assigned
- Is competence of contractors and staff evidenced
- Are changes to buildings triggering compliance reviews
- Is assurance independent and routine

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## Important Note on Use of This Checklist

This checklist is intended to support internal review, assurance and informed decision-making. It does not replace statutory inspections, professional advice, formal audits or sector-specific compliance requirements.

It should be used alongside official documentation, competent inspections and regulatory guidance, and as a reference point to help identify gaps, prompt review and support governance discussions.

Where uncertainty, risk or gaps are identified, further investigation, professional advice or specialist support may be required.

Used correctly, this checklist may assist estates teams move from reactive compliance activity towards structured, ongoing assurance.

Statutory Compliance Status	Controlled / Requires Review
Compliance Area	
Fire Safety	
Electrical Safety	
Gas Safety	
Water Hygiene	
Asbestos Management	
Lifts and Lifting Equipment	
Pressure Systems	
Work Equipment & Workplace Safety	
Evidence, Records, and Visibility	

## Supporting Good Facilities Management in 2026

Good facilities management in 2026 is defined by control, visibility and assurance, not by reactive activity or reliance on individual effort.

As compliance requirements become more complex and scrutiny increases, estates teams need confidence that statutory obligations are being managed consistently across their estate. This means moving beyond fragmented records and manual tracking towards structured processes that are embedded into day-to-day FM activity.

Technology plays an important supporting role in this shift. When aligned to a clear compliance framework, digital systems help provide oversight of statutory inspections, centralise evidence and maintain audit readiness.

At DMA, this approach is supported through our BiO® maintenance management platform. BiO® is designed to reinforce good FM practice by improving visibility, consistency and governance across complex estates, helping teams move from reactive compliance towards sustained assurance.

Used in the right way, technology does not replace professional judgement. It strengthens it. That is what good facilities management looks like in 2026.

**Speak to DMA about reducing risk, improving visibility and supporting governance in 2026.**