

Tenant Compliance Pack

Industrial & Commercial Facilities Management | Compliance
Support | Landlord-Managed Buildings



Prepared for: Commercial, industrial, leisure and public-sector tenants

Prepared by: Industrial & Commercial Facilities Management (ICFM) LTD

Document status	Client issue template	Version	1.0
Issue date	08/04/2026	Review trigger	Every 12 months or following material change
Document owner	ICFM Compliance Lead	Intended use	Tenant compliance review and evidence pack

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Executive Summary

This compliance pack gives tenants a practical framework for managing compliance within landlord-managed buildings. It explains what information should be requested from the landlord or managing agent, what duties usually remain with the tenant, where responsibilities may be shared, and what evidence should be kept for audit and review.

The pack is intended for commercial, industrial, leisure and public-sector tenants who need a structured way to confirm building safety arrangements, contractor controls, statutory records and operational responsibilities before occupation, renewal, annual review or material change.

Key outcome: the tenant should be able to demonstrate that responsibilities have been reviewed, evidence has been requested, local controls are in place, gaps have been recorded, and outstanding actions have been assigned for close-out. The practical templates and forms needed to evidence this process are provided in the annexes at the back of this pack.

Executive Summary: Quick Start for Tenants

1. **Confirm the scope:** identify the site, demised area, landlord-controlled areas and tenant activities covered by this review.
2. **Request landlord evidence:** use Annex A and Annex B to request current building compliance documents from the landlord or managing agent.
3. **Review tenant duties:** check fire safety, health and safety, contractor control, equipment, water hygiene, asbestos information and local records.
4. **Record gaps:** use Annex D to capture missing documents, unclear responsibilities, overdue checks and required follow-up actions.
5. **Sign off and retain evidence:** complete Annex E, Annex F and Annex G once the review has been completed and evidence has been stored.

1. Purpose of This Pack

Industrial & Commercial FM (ICFM) helps tenants and occupiers operate safely, evidence compliance and coordinate responsibilities within landlord-managed buildings. This pack provides a structured framework for clarifying landlord, managing agent and tenant duties across commercial, industrial, leisure and public-sector premises.

- **Landlord responsibilities:** Identifies the building systems, shared areas and statutory records normally controlled by the landlord or managing agent.
- **Tenant legal duties:** Explains duties that usually remain with the tenant, including risks created by operations, staff, equipment, visitors and contractors.
- **Shared compliance areas:** Highlights where landlord and tenant duties overlap, such as fire safety, asbestos, water hygiene and contractor control.
- **Documentation requirements:** Sets out the records that should be requested, retained or reviewed to demonstrate active compliance management.
- **Contractor control:** Clarifies expected checks before work starts, including competence, RAMS, permits, landlord approvals and safe-working evidence.
- **Record-keeping expectations:** Describes how evidence should be stored, reviewed and updated for audits, inspections, renewals and incident investigations.
- **How ICFM supports compliance:** Shows where ICFM can help tenants review gaps, coordinate documents, manage actions and maintain evidence.

Commercial value: clear scopes, proportionate compliance processes, documented responsibilities, and evidence-based recommendations that support safer occupation, informed maintenance decisions, and audit-ready records.

1.1 How to Use This Pack

1. **Review the purpose and scope:** Confirm why the pack is being used, who owns the review and which premises or unit it applies to.
2. **Request landlord information:** Use Annex A and Annex B to obtain current building compliance documents before relying on assumptions.
3. **Review tenant-controlled duties:** Check activities, equipment, staff arrangements, emergency procedures, contractors and records under tenant control.
4. **Confirm shared responsibilities:** Use the shared responsibilities matrix to clarify landlord, managing agent and tenant duties.
5. **Record gaps and actions:** Add missing documents, unclear responsibilities or improvement actions to the action tracker.
6. **Complete sign-off:** Use the acknowledgement form and checklist to confirm the review has been completed.
7. **Review periodically:** Repeat the review annually and after material changes to layout, activity, occupancy, equipment, contractors or landlord arrangements.

Supporting annexes: use Annex A to identify landlord information requirements, Annex B to issue a formal request, Annex C to clarify shared responsibilities, Annex D to track actions, Annex E to evidence receipt, Annex F to complete the tenant checklist, and Annex G to record outstanding actions and final sign-off.

1.2 Compliance Workflow

Step	Action	Output	Relevant annex
1	Request landlord documents.	Building compliance evidence requested.	Annexes A and B
2	Review tenant duties.	Tenant-controlled risks identified.	Annexes C, H and I
3	Confirm shared responsibilities.	Responsibility gaps clarified.	Annex C
4	Record gaps and actions.	Action owner and target date agreed.	Annex D
5	Complete tenant review and sign-off.	Signed evidence retained.	Annexes E, F and G
6	Review annually or after material change.	Pack remains current and auditable.	Annexes D and J

2. Landlord Information Request Pack

Tenants should request and review building compliance information from the landlord or managing agent before occupation, renewal, annual review or material change. This confirms which systems are landlord-controlled, which duties remain with the tenant, and where cooperation is required.

Use **Annex A – Landlord / Managing Agent Information Request** as the document checklist and **Annex B – Landlord / Managing Agent Request Letter Template** where a formal written request is needed.

2.1 Required Documents

- **Fire Risk Assessment:** Confirms building fire hazards, escape arrangements, fire precautions and significant findings.
- **Asbestos Register & Management Plan:** Identifies asbestos information and controls before maintenance or intrusive works.
- **Electrical Installation Condition Report:** Confirms inspection status and any remedial actions affecting fixed electrical systems.
- **Gas Safety Certificates:** Required where gas appliances, pipework or landlord-controlled gas systems are relevant.
- **Legionella Records:** Shows how water hygiene risks are assessed, monitored and controlled.
- **Fire Alarm Records:** Evidence of servicing, testing, maintenance and defect management.
- **Emergency Lighting Records:** Confirms testing of lighting supporting safe escape.
- **Sprinkler / Suppression Records:** Relevant where suppression systems protect the building or tenant risk profile.
- **Lift LOLER Certificates:** Confirms statutory examination of lifts or lifting equipment where applicable.
- **Insurance Schedule:** Helps confirm property and public liability cover affecting tenant obligations.
- **Building Rules & Emergency Procedures:** Sets out site-specific access, security, emergency, delivery, waste and contractor rules.
- **Permit-to-Work Requirements:** Identifies when formal approval is required for higher-risk work.
- **Site Plans, Fire Strategy and Escape Routes:** Helps tenants understand layout, assembly points, compartmentation and evacuation strategy.

If documents are unavailable, incomplete or out of date, record the gap in **Annex D – Tenant Compliance Action Tracker** with a follow-up owner and target date. Where the gap affects shared duties, update **Annex C – Shared Responsibilities Matrix**.

3. Tenant Legal Responsibilities

Tenants remain responsible for the risks they create or control within their demised area, including activities, equipment, staff, visitors, contractors and local procedures. This section has been checked against current UK Health and Safety Executive and GOV.UK guidance for general health and safety duties, risk assessment, fire safety duties, asbestos duty-to-manage principles, legionella control and electrical safety. The precise duty-holder position must still be checked against the lease, control of areas, operating arrangements, landlord rules and any written appointments. Where responsibility is shared or unclear, record the current position, request written clarification and avoid relying on assumptions. Use **Annex C – Shared Responsibilities Matrix** to record responsibilities and **Annex I – Key Legislation & Guidance References** as a practical reference point.

Verification note: This pack is intended as a practical compliance coordination tool. It reflects recognised UK guidance that employers and those in control of premises must assess risks, put suitable controls in place, maintain records and cooperate where responsibilities overlap. It does not replace legal advice, a competent person's assessment, statutory inspection, specialist survey or project-specific appointment.

3.1 Health & Safety

- **Risk assessment and management arrangements:** Identify hazards arising from tenant activities, decide who may be harmed and how, evaluate the level of risk, put proportionate controls in place, and record actions where further control is required. Reviews should take place after incidents, significant changes, new equipment, layout changes, staffing changes or new processes.
- **Written health and safety arrangements:** Tenants with five or more employees should maintain a written health and safety policy and practical arrangements for planning, organising, controlling, monitoring and reviewing preventive and protective measures.
- **Competence, supervision and consultation:** Ensure staff and appointed contractors are competent for the tasks they undertake, receive suitable induction and instruction, and are consulted on risks and controls that affect their work.
- **Incident, near-miss and corrective-action management:** Maintain a process for recording accidents, near misses, unsafe conditions and corrective actions. Escalate issues that may affect landlord-controlled areas, shared routes, statutory systems or other occupiers.
- **First aid and welfare:** Provide first aid arrangements and welfare facilities suitable for the number of people, work activities, operating hours, location, lone-working arrangements and foreseeable emergencies.
- **DSE assessments:** Review workstation setup, equipment, breaks and adjustment needs.
- **COSHH management:** Identify hazardous substances and ensure assessments, storage and exposure controls are in place.
- **Manual handling controls:** Reduce lifting and carrying risks through task design, equipment and training.

3.2 Fire Safety

- **Tenant fire risk assessment:** Review fire hazards, ignition sources, combustible materials, people at risk, escape routes, local evacuation arrangements and controls within the tenant's demised area. The assessment should be coordinated with the landlord's building fire strategy where alarms, escape routes, compartmentation, assembly points or fire safety systems are shared.
- **Responsible Person and cooperation:** In commercial premises, more than one party may have duties under fire safety law. Tenants, landlords, managing agents and contractors should cooperate and coordinate where each has control over different parts of the premises or fire precautions.
- **Fire precautions, training and drills:** Maintain suitable local procedures covering alarm response, evacuation, assembly points, fire warden duties, visitor arrangements, high-risk activities, housekeeping and storage. Staff should receive appropriate information, instruction and refresher training.
- **Emergency evacuation support:** Put personal or general emergency evacuation arrangements in place where people may need assistance. Confirm whether refuges, lifts, communication systems or assisted evacuation equipment are landlord-controlled or tenant-controlled.
- **Fire safety system interface:** Confirm responsibility for fire alarm testing, emergency lighting, fire doors, extinguishers, smoke control, suppression systems, compartmentation and defect reporting. Keep local evidence and escalate defects that affect escape or shared precautions.

3.3 Electrical Safety

- **Electrical systems and equipment:** Electrical systems must be constructed, maintained and used so as to prevent danger. Tenants should confirm which fixed installations are

landlord-controlled, which are tenant-controlled, and who is authorised to inspect, isolate, modify or energise systems.

- **Portable and tenant-owned equipment:** Maintain portable appliances and work equipment according to risk, use, environment and previous inspection findings. PAT testing should be risk-based and supported by user checks, visual inspections, defect reporting and withdrawal of unsafe equipment.
- **Safe isolation and electrical work:** Electrical work should be planned, controlled and carried out by competent people using suitable isolation, lock-off, testing and permit arrangements where required. Unauthorised modifications to landlord systems must not be permitted.
- **Records and remedials:** Retain inspection, testing, maintenance, defect and remedial records for tenant-controlled equipment and electrical works. Where a landlord EICR identifies actions affecting tenant occupation, record the action owner and target date in Annex D.

3.4 Water Hygiene

- **Risk assessment and control scheme:** Employers and those in control of premises must identify and assess legionella risks, prevent or control exposure, keep suitable records and review arrangements. Confirm whether the landlord, tenant or specialist contractor controls the water system and local outlets.
- **Tenant outlets and local use:** Where the tenant controls outlets, showers, welfare areas, spray-generating equipment or infrequently used taps, maintain flushing, cleaning, descaling, temperature or monitoring records in line with the risk assessment and written scheme.
- **Escalation of water hygiene issues:** Report dead legs, redundant outlets, poor temperature control, disused areas, leaks, stagnation risks or changes in occupancy to the landlord or appointed water hygiene contractor. Record follow-up actions and evidence in Annex D.

3.5 Asbestos Management

- **Duty-to-manage interface:** The duty to manage asbestos applies to non-domestic premises and may sit with the owner, landlord, tenant or another party depending on who has maintenance or repair responsibilities. In multi-occupied buildings, responsibilities may be split between common parts and demised areas.
- **Register, management plan and contractor information:** Review the asbestos register and management plan before maintenance, installation, fixing, drilling, refurbishment or intrusive work. Provide relevant asbestos information to employees, contractors and anyone who may disturb building fabric.
- **No intrusive works without confirmation:** Do not allow intrusive works unless the asbestos position has been confirmed, suitable surveys have been considered, controls are agreed and landlord or managing agent approval has been obtained where required.

Retain evidence in a clear location and review it at suitable intervals. Examples of acceptable records are listed in **Annex H – Evidence Examples**. Add missing or incomplete records to **Annex D – Tenant Compliance Action Tracker**.

4. Contractor Induction & Permit-to-Work Requirements

Contractor work within tenant areas, or work that may affect landlord systems, must be controlled before it starts. This includes confirming competence, insurance, risk assessments, method statements, permits, isolation arrangements and landlord approvals where required. Check contractor-related responsibilities against **Annex C – Shared Responsibilities Matrix** and record unresolved controls in **Annex D – Tenant Compliance Action Tracker**.

4.1 Contractor Requirements

- **RAMS:** Confirm hazards, controls, sequencing, supervision and emergency arrangements are addressed.
- **Insurance documentation:** Confirm suitable employer's liability, public liability and specialist cover.
- **Competence evidence:** Check qualifications, accreditations, training or experience relevant to the task.
- **Asbestos awareness:** Confirm awareness or task-specific competence where works may affect building fabric.
- **Hot works permit:** Required where work creates ignition sources such as welding, grinding or cutting.
- **Electrical isolation permit:** Required where electrical systems need isolation, access, testing or work.
- **Working at height permit:** Required for ladders, towers, MEWPs, roof access or elevated work.
- **Confined space permit:** Required where restricted access, poor ventilation or rescue difficulty may exist.

4.2 Tenant Responsibilities

- **Verify competence:** Confirm the contractor is suitable for the task and understands site risks.
- **Issue and manage permits:** Ensure permits are issued, monitored and closed out.
- **Monitor works:** Check that contractors follow agreed controls and report issues promptly.
- **Coordinate with landlord:** Obtain approval where works affect shared systems, structure, services or access routes.
- **Follow building rules:** Communicate rules on access, security, noise, deliveries, isolation, waste and working hours.

File contractor documents with the tenant compliance records and cross-check them against **Annex H – Evidence Examples**. Where landlord or managing agent input is required, use **Annex B – Landlord / Managing Agent Request Letter Template** to confirm the approval route in writing.

5. Compliance Sign-Off & Record Keeping

Tenants should maintain accurate compliance records that evidence review, action and close-out. Records should show what has been completed, who is responsible, where evidence is stored, what remains outstanding and when the next review is due. Use **Annex E – Tenant Acknowledgement Form** to confirm receipt, **Annex F – Tenant Sign-Off Checklist** to evidence completion, and **Annex G – Outstanding Actions & Final Sign-Off** to record remaining actions and formal sign-off.

5.1 Required Records

- **Risk assessments:** Keep current assessments for tenant activities, premises use, equipment and substances.
- **Training records:** Retain induction, refresher and task-specific training evidence.

- **PAT certificates:** Keep inspection and testing evidence for tenant-controlled portable equipment.
- **Water hygiene logs:** Retain flushing, temperature, outlet and escalation records where applicable.
- **Fire safety records:** Keep fire training, drills, alarm tests, extinguisher checks and FRA records.
- **Contractor permits:** Retain permits, RAMS approvals, competence checks and close-out evidence.
- **Accident and incident reports:** Record incidents, near misses, investigations and corrective actions.
- **Equipment inspection records:** Keep inspection, maintenance and defect records for tenant-controlled equipment.

5.2 Suggested Retention Periods

- **Risk assessments: 3–5 years.** Retain longer where risks are significant or claims may arise.
- **Training records: duration of employment.** Keep competence evidence while the person remains employed.
- **Fire safety records: minimum 3 years.** Retain drills, training, checks and maintenance records.
- **Accident reports: 3 years or longer for RIDDOR.** Retain for reporting, investigation and insurance requirements.
- **Equipment inspections: 12–24 months.** Retain according to equipment type, inspection frequency and statutory requirements.

For audit readiness, retain supporting records in a consistent location and use **Annex D – Tenant Compliance Action Tracker** to monitor open actions until closure. Use **Annex H – Evidence Examples** when deciding what evidence to keep.

6. ICFM Contact & Support

Industrial & Commercial Facilities Management (ICFM)

Compliance-led FM services for commercial, industrial, leisure and public-sector clients
Swindon, Wiltshire

ICFM can help tenants review landlord information, identify compliance gaps, coordinate contractor controls, organise records and prepare practical close-out actions. The annexes provide the working templates used to structure that process, particularly **Annex A, Annex C, Annex D, Annex F** and **Annex G**.

6.1 Primary Contact Details

- Email: info@industrialandcommercialfm.co.uk
- Phone: 07470 040671
- Out-of-hours support: 07470 040671
- Address: Unit 14, Ergo Business Park, SN3 3JW

6.2 Escalation Pathway

1. Level 1 – Site/Contract Lead
2. Level 2 – Compliance Manager

3. Level 3 – Managing Director (ICFM)

6.3 Services Provided by ICFM

- **Fire risk assessments:** Review tenant areas and align arrangements with the building strategy.
- **Legionella monitoring:** Assist with flushing checks, outlet records and local water hygiene controls.
- **Asbestos management:** Coordinate register review, contractor briefings and approval routes.
- **Electrical testing:** Coordinate inspection, testing, remedial recommendations and records.
- **Contractor control:** Support RAMS review, competence checks, permits and close-out records.
- **Reactive and planned maintenance:** Link repairs, compliance findings and planned preventative actions.
- **Compliance audits:** Review records, identify gaps and prioritise actions.
- **Emergency planning:** Review escalation routes, contacts and evacuation arrangements.
- **Staff training:** Support awareness sessions, toolbox talks and compliance briefings.

6.4 Optional Support Packages

- **Compliance Assurance Package:** Structured review of documents, responsibilities, action tracking and evidence retention.
- **Full FM Support Package:** Broader FM support covering planned maintenance, reactive works, compliance coordination and reporting.
- **Tenant Onboarding Package:** Setup support for new tenants, including document requests, responsibility review and action planning.

7. Why ICFM Is the Go-To Partner for Tenant Activity Support

Tenant compliance is more than holding certificates. It requires day-to-day activities, contractor works, landlord interfaces, statutory records and operational risks to be coordinated and evidenced. ICFM combines practical facilities management delivery with compliance-led thinking, giving occupiers a clear route for identifying gaps, managing actions and keeping records audit-ready.

ICFM understands the practical reality of landlord-managed buildings, where responsibilities may sit across leases, managing agents, tenant-controlled areas, shared services, specialist contractors and statutory duty holders. ICFM brings those moving parts together in a clear, proportionate and commercially sensible way.

7.1 What Makes ICFM Different

- **Compliance-led FM delivery:** ICFM links maintenance, contractor coordination and statutory evidence so tenants are not left with disconnected records or unclear ownership.
- **Practical landlord interface:** ICFM can help tenants request, review and chase landlord or managing agent documents, then turn the response into a usable compliance position.

- **Clear action management:** ICFM supports the translation of findings into clear actions, owners, target dates and close-out evidence.
- **Contractor control support:** ICFM can review RAMS, permits, competence evidence and landlord approvals so tenant works are planned and recorded properly.
- **Commercially proportionate approach:** ICFM focuses on sensible, risk-based recommendations that support compliance without creating unnecessary administration.
- **Audit-ready record keeping:** ICFM helps tenants organise evidence so reviews, inspections, renewals and incident follow-ups can be supported with clear records.

7.2 How ICFM Supports Tenant Activity

Tenant need	ICFM support	Practical outcome
Understanding responsibilities	Review landlord, tenant and shared duties using this pack and the annexes.	Clearer ownership and fewer compliance assumptions.
Managing landlord information	Coordinate document requests and review supplied information for gaps.	Better evidence control and faster follow-up.
Controlling contractor activity	Support RAMS review, permit coordination, competence checks and close-out records.	Safer works, clearer approvals and stronger audit trail.
Maintaining compliance records	Organise evidence, action trackers, checklists and review schedules.	Audit-ready records and visible progress against actions.
Planning maintenance and remedials	Link compliance findings to practical maintenance, remedial works and budgeting.	Better decision-making and reduced reactive disruption.

Why tenants choose ICFM: because they need more than a checklist. They need a partner who can interpret the compliance position, coordinate the right parties, manage the evidence trail and help keep buildings safe, operational and commercially manageable.

8. Disclaimer

Purpose of this section: This disclaimer explains the intended use of this pack, the limits of the information provided, and how completed annexes should be retained as tenant compliance evidence. This pack is provided for guidance and practical coordination only and should not be treated as a statement of current law.

Distribution note: This pack should be issued only to relevant tenant representatives, landlord/managing agent contacts, appointed contractors, consultants and internal duty holders with a legitimate operational or compliance need.

Completed annexes: Completed annexes should be treated as part of the tenant's compliance evidence set and retained with the relevant building, lease or operational records. Where responsibilities remain unclear, the tenant should seek confirmation from the landlord, managing agent, competent adviser or appointed duty holder before relying on assumptions.

Limitations: This compliance pack is for general guidance, information and practical coordination only. It is not a statement of current law, does not confirm legal compliance, and must not be relied on as legal advice, statutory interpretation, a competent person's assessment, a binding quotation, a contractual commitment or an assumption of statutory duty-holder responsibilities unless expressly agreed in writing within a formal appointment, contract or project-specific scope.

Current law and guidance: Legislation, regulations, approved codes of practice, statutory guidance and industry guidance may change over time. Users of this pack should check the latest applicable law, official guidance, lease requirements, insurance conditions and site-specific appointments before making decisions or taking action. Where doubt exists, the tenant should obtain advice from a suitably competent professional or legal adviser.

Next step: ICFM can review completed annexes, identify gaps, coordinate landlord information requests and prepare a clear action plan aligned to the building, operational risk profile and documentation requirements.

9. Quality Control and Review

This section should be completed before the pack is issued to a client, reissued following amendment, or relied on as part of a formal tenant compliance review. It provides a simple document-control layer so the pack can be managed, reviewed and updated consistently.

Document owner	ICFM Compliance Lead	Reviewer	To be completed before issue
Approval status	Client issue template — subject to client/site-specific completion	Verification date	To be completed before issue
Next review date	08/04/2027 or earlier following material change	Review triggers	Annual review / material change / legal update / incident / landlord change
Client acceptance	To be completed by tenant representative	Evidence location	Tenant compliance evidence file / agreed client location

9.1 Verification Status

Area checked	Source type	Date checked	Status	Next review trigger
Health and safety duties	HSE guidance	To be completed before issue	Guidance checked	Legal update / annual review
Fire safety duties	GOV.UK guidance	To be completed before issue	Guidance checked	Legal update / premises change
Asbestos management	HSE guidance	To be completed before issue	Guidance checked	Works / survey / landlord change

Water hygiene	HSE L8 and HSG274 guidance	To be completed before issue	Guidance checked	System change / annual review
Electrical safety	HSE guidance	To be completed before issue	Guidance checked	Inspection / remedial works / legal update

Annexes

The following annexes are practical working tools. They can be completed separately, issued to tenants or landlords, and retained as part of the tenant compliance evidence file. Review completed annexes alongside the action tracker and update them whenever responsibilities, documentation or site arrangements change.

Annex A – Landlord / Managing Agent Information Request

Purpose	To identify the landlord or managing agent compliance information required for review.
When to use	Before occupation, renewal, annual review or material change.
Completed by	Tenant representative, with landlord/managing agent input.
Evidence created	Document request checklist and compliance evidence file index.

- **Fire Risk Assessment for the building:** Confirms how fire risks are assessed across shared and landlord-controlled areas.
- **Asbestos register and management plan:** Identifies asbestos information and the controls required before works or disturbance.
- **Electrical Installation Condition Report:** Provides assurance on the condition of fixed electrical systems and any remedial requirements.
- **Gas safety certificates:** Relevant where gas systems, appliances or landlord services affect the tenant's occupation.
- **Legionella risk assessment and monitoring records:** Confirms how water hygiene risks are assessed and monitored.
- **Fire alarm maintenance records:** Evidence that the alarm system is serviced, tested and defects are managed.
- **Emergency lighting test records:** Confirms escape lighting is tested and maintained for safe evacuation.
- **Sprinkler or suppression system maintenance records:** Relevant where fire suppression supports building or tenant risk controls.
- **Lift LOLER certificates:** Confirms statutory examination of lifts or lifting equipment where applicable.
- **Insurance schedule:** Helps clarify landlord and tenant cover expectations for property and public liability.
- **Building rules and emergency procedures:** Provides site-specific operational, emergency and contractor requirements.
- **Permit-to-work requirements:** Confirms which higher-risk works need formal approval before starting.
- **Site plans, fire strategy and escape routes:** Helps the tenant understand layout, evacuation, access, assembly and shared routes.

Completion guidance: Mark each requested document as received, not applicable, missing or awaiting landlord response. Where evidence is missing or unclear, add a follow-up action to Annex D and keep a copy of all correspondence with the compliance evidence file.

Annex B – Landlord / Managing Agent Request Letter Template

Purpose	To provide a formal wording template for requesting landlord-controlled compliance documents.
When to use	When documents are missing, outdated, unclear or needed for audit evidence.
Completed by	Tenant representative or authorised compliance contact.

Subject: Request for building compliance information

Dear Landlord / Managing Agent,

As part of our tenant compliance review, please provide current building compliance documents relevant to our occupation and any shared or landlord-controlled areas. This may include the fire risk assessment, asbestos register and management plan, electrical installation condition report, legionella risk assessment and monitoring records, fire alarm servicing records, emergency lighting records, lift LOLER certificates where applicable, building rules, emergency procedures and permit-to-work requirements.

Please also confirm any tenant obligations, contractor approval requirements, access restrictions, reporting routes, emergency contacts and planned compliance works that may affect our demised area or shared building services.

Kind regards,
Tenant representative

Completion guidance: Keep a copy of the issued request, any landlord or managing agent response, and all attachments received. If no response is received within the agreed timeframe, record the issue in Annex D and agree an escalation route.

Annex C – Shared Responsibilities Matrix

Purpose	To provide a clear working record of how landlord, managing agent and tenant responsibilities are divided.
When to use	Use before occupation, renewal, contractor works, annual review or whenever responsibilities are unclear.
How to complete	Review each compliance area, confirm the current position with the landlord or managing agent, and record any unresolved items in Annex D.

Completion note: This matrix is not intended to replace lease wording or legal advice. It should be used as a practical coordination tool to identify who controls each area, what evidence is required, and where follow-up is needed.

Area	Landlord / managing agent	Tenant	Coordination / evidence
Fire alarm	Maintain and service the base building system where under landlord control.	Keep devices unobstructed and avoid unauthorised alterations.	Report faults, confirm testing arrangements and retain evidence.
Fire risk assessment	Assess landlord-controlled and common areas.	Assess demised areas, tenant activities and local evacuation controls.	Share findings where risks affect both parties.
Water hygiene	Manage base water systems and landlord plant.	Manage tenant outlets, local flushing and reporting of concerns.	Confirm monitoring scope and record any gaps in Annex D.
Asbestos	Maintain asbestos information where responsible for the building fabric.	Review the register before works and brief contractors.	No intrusive works without written confirmation and controls.
Electrical safety	Maintain landlord fixed installation and landlord equipment.	Maintain tenant equipment, PAT records and local controls.	Coordinate isolations, changes and contractor works.
Contractors	Set building rules, approval routes and landlord permit requirements.	Check contractor competence, RAMS, insurance and task controls.	Agree works affecting shared systems, access routes or fire strategy.

Follow-up: Any unclear responsibility, missing evidence or unresolved action should be added to **Annex D – Tenant Compliance Action Tracker** with an owner and target date.

Annex D – Tenant Compliance Action Tracker

Purpose	To record gaps, follow-ups, owners, due dates and evidence locations.
When to use	Whenever a document, control, approval or responsibility needs follow-up.
Review	Update until all actions are closed or transferred to a managed compliance plan.

Use this tracker to record missing evidence, unresolved responsibilities, risk-control improvements, landlord follow-ups and tenant actions requiring close-out.

Action ref	Action / gap identified	Risk area	Owner	Priority	Target date	Status	Evidence / close-out location
				High / Medium / Low		Open / In progress / Closed	
				High / Medium / Low		Open / In progress / Closed	
				High / Medium / Low		Open / In progress / Closed	
				High / Medium / Low		Open / In progress / Closed	

Completion guidance: Each action should have a named owner, priority, target date and evidence location. Do not close an action until evidence has been reviewed, stored and referenced.

Annex E – Tenant Acknowledgement Form

Purpose	To evidence that the tenant has received the pack and understands the need to review and act on it.
Completed by	Tenant representative with authority for site compliance or occupation arrangements.

The tenant confirms receipt of this compliance pack and acknowledges their responsibility to review, implement and maintain suitable compliance arrangements within their demised area and operational activities.

Tenant organisation	
Tenant representative	
Role / position	
Signature	
Date	

Completion guidance: The acknowledgement confirms receipt of the pack only. It does not confirm legal compliance or that all actions have been completed.

Annex F – Tenant Sign-Off Checklist

Purpose	To evidence that the tenant has reviewed the key compliance control areas.
When to use	Onboarding, annual review, renewal or material change.
Retain with	Tenant compliance records and completed action tracker.

This compact checklist should be completed for onboarding, annual review, renewal, or any material change to the premises, activities, layout, equipment, staffing, contractors or landlord arrangements.

Site / unit		Tenant	
Completed by		Date	
Ref	Checklist item	Done	Notes / evidence
1	Pack reviewed.	☐	
2	Landlord documents requested/received.	☐	
3	Tenant fire risk assessment reviewed.	☐	
4	Fire training, evacuation and PEEPs reviewed.	☐	
5	Health and safety risk assessments reviewed.	☐	
6	COSHH, manual handling, DSE and task controls reviewed.	☐	
7	PAT, equipment checks and electrical controls confirmed.	☐	
8	Water hygiene and flushing arrangements confirmed.	☐	
9	Asbestos register reviewed before works.	☐	
10	Contractor RAMS, permits and approvals confirmed.	☐	
11	Emergency contacts and escalation confirmed.	☐	
12	Record owner, location and review frequency confirmed.	☐	

Tenant declaration: I confirm the checklist has been reviewed and any outstanding actions are recorded below for follow-up.

Completion guidance: Any unchecked item, missing evidence or unclear responsibility should be transferred to Annex D before final sign-off is completed.

Annex G – Outstanding Actions & Final Sign-Off

Purpose	To record remaining actions and provide a final review/sign-off record.
Completed by	Tenant representative or appointed compliance lead.

Annex G.1 Outstanding Actions

Action	Owner	Due	Closed
			☐
			☐
			☐
			☐

Add additional rows if required.

Annex G.2 Final Sign-Off

Name		Role	
Signature		Date	

Annex H – Evidence Examples

Purpose	To help tenants recognise what good compliance evidence may look like.
Use with	Annex D action tracker and Section 5 record-keeping guidance.

- **Signed and dated risk assessments:** Demonstrate that hazards have been considered, controls agreed and reviews completed.
- **Fire drill records and training logs:** Evidence that staff understand evacuation arrangements and that procedures are tested.
- **Personal Emergency Evacuation Plans:** Show that individual evacuation needs have been considered where support may be required.
- **PAT register and maintenance records:** Evidence that equipment is inspected, tested and defects are managed.
- **Water flushing logs:** Demonstrate that tenant-controlled outlets are monitored where flushing arrangements apply.
- **Asbestos register acknowledgement:** Shows that asbestos information has been checked before maintenance or contractor works.
- **Contractor RAMS, insurance and permits:** Evidence that contractors have been reviewed and controlled before work starts.
- **Accident, incident and corrective-action records:** Show that events are recorded, investigated and closed out.
- **Training matrix:** Provides a simple overview of who has received required training and when refresher training is due.

Annex I – Key Legislation & Guidance References

Purpose	To give tenants a concise reference point for common compliance duties.
Important note	This is a practical reference only and does not replace legal advice or competent duty-holder assessment.

The following legislation and guidance areas commonly inform tenant compliance duties in commercial and landlord-managed premises. The list has been checked against current UK HSE and GOV.UK guidance. It is not exhaustive and does not replace legal advice or a competent duty-holder assessment. The exact duty-holder position should always be checked against the lease, occupation arrangements, control of areas and written appointments.

Legislation / guidance area	What it covers	Typical tenant action	Evidence expected	Review trigger
Health and Safety at Work etc. Act 1974	General duty to protect employees and others affected by work activities.	Manage tenant operations, staff, visitors and contractors.	Policy, risk assessments, training and records.	Annual / material change.
Management of Health and Safety at Work Regulations 1999	Risk assessment, planning, organisation, control, monitoring and review.	Maintain suitable and sufficient assessments and management arrangements.	Risk register, action plan, review record.	Incident / change / annual.
Regulatory Reform (Fire Safety) Order 2005	Fire risk assessment and general fire precautions for relevant premises.	Assess tenant areas, cooperate with other Responsible Persons and maintain evacuation controls.	FRA, training, drills, alarm test evidence.	Layout / activity / legal change.
Fire Safety Act 2021 and Building Safety Act 2022 fire safety changes	Clarifies and strengthens fire safety information, cooperation and recording duties where applicable.	Confirm whether duties affect the premises, especially shared or multi-occupied buildings.	Responsible Person details, FRA records, coordination evidence.	Legal update / building change.
Control of Asbestos Regulations 2012	Asbestos information, management planning and controls before disturbance.	Check register before maintenance, installation, refurbishment or intrusive work.	Register acknowledgement, management plan, contractor briefing.	Works / survey update.

Electricity at Work Regulations 1989	Safe construction, maintenance and use of electrical systems.	Control tenant equipment, safe isolation and electrical contractor works.	EICR, PAT records, remedial evidence.	Inspection / works.
COSHH Regulations 2002	Assessment and control of hazardous substances.	Identify, assess, store and control substances used or generated by tenant operations.	COSHH assessments, SDS, storage checks.	New substance / process.
Workplace Health, Safety and Welfare Regulations 1992	Workplace welfare, maintenance, traffic routes and general conditions.	Maintain tenant-controlled workplace conditions and report landlord defects.	Inspection records, defect logs, welfare checks.	Inspection / complaint.
PUWER 1998	Suitability, maintenance, inspection and safe use of work equipment.	Maintain tenant equipment, provide training and remove unsafe equipment.	Inspection logs, maintenance records, training.	Equipment change / defect.
LOLER 1998	Safe use and examination of lifting equipment.	Confirm thorough examination and safe lifting operations where tenant controls lifting equipment.	LOLER certificates, lifting plans.	Examination due / new equipment.
Manual Handling Operations Regulations 1992	Avoiding, assessing and reducing hazardous manual handling.	Review lifting, carrying, pushing and pulling tasks.	Manual handling assessments, training records.	Task / layout change.
Display Screen Equipment Regulations 1992	Workstation assessment and control of DSE-related risks.	Assess regular DSE users and provide suitable adjustments.	DSE assessments, adjustment records.	New user / workstation change.
RIDDOR 2013	Reporting of specified injuries, diseases and dangerous occurrences.	Maintain incident reporting and escalation arrangements.	Incident reports, investigation records, RIDDOR confirmations.	Incident / near miss.

Construction Design and Management Regulations 2015	Management of health and safety in construction, refurbishment and maintenance projects.	Confirm client duties, appointments, pre-construction information and construction phase planning where works apply.	Appointments, CPP, RAMS, health and safety file.	Project / refurbishment.
Gas Safety guidance and Gas Safety Regulations where applicable	Safe installation, maintenance and use of gas fittings, appliances and flues.	Confirm responsibility for gas appliances, ventilation, maintenance and emergency arrangements.	Gas safety records, engineer competence, maintenance logs.	Annual / appliance change.
HSE legionella guidance including L8 and HSG274	Assessment and control of legionella risks in water systems.	Confirm control of outlets, flushing, monitoring and escalation arrangements.	Risk assessment, written scheme, flushing and temperature records.	System change / low use.

Verification sources used: HSE guidance on PUWER, COSHH, manual handling, CDM, gas safety, legionella and electrical safety; GOV.UK fire safety guidance for those with legal duties and small businesses operating from commercial premises; and relevant HSE Approved Codes of Practice and guidance summaries. This verification supports practical guidance only and does not make this pack a statement of current law.

Annex J – Revision History

Purpose	To provide a clear record of document issue status, ownership, approvals and future review requirements.
When to update	Update this annex whenever the pack is revised, reissued, approved, superseded or reviewed following a material change.
Owner	ICFM Compliance Lead or nominated document controller.

Revision-control note: Each new issue should briefly describe what changed, who prepared the update, who approved it and when the next review is due.

Version	Issue date	Status	Summary of change	Prepared by	Approved by	Next review
1.0	08/04/2026	Client issue template	Initial issue of tenant compliance pack.	ICFM	ICFM	08/04/2027