

## ALU POLICY FOR CHANGES TO ASBESTOS LICENCES (revised 08.07)

	Category	Reason for change	Current licence term	ALU policy/action	Charge	Comments
1	PLC/Ltd company/LLP	Change of address	1yr/3yr	Company confirm change in writing; original licence returned; ALU amend licence and issue (expiry date of licence/licence no unchanged)	Yes (admin charge)	Limited Liability Partnerships (LLPs) are registered with companies House - treat as per Ltd/PLC companies
2	PLC/Ltd company/LLP	Change of name, <b>same</b> registration number (ie co stays the same); <b>same</b> structure and personnel	1yr/3yr	Company confirm change in writing; copy of Companies House 'Certificate of Incorporation' on change of name to ALU; ALU amend licence and issue (expiry date of licence/licence no unchanged)	Yes (admin charge)	Reg no is issued by Companies House when a co is incorporated. Reg no remains unchanged although co name may change. New Reg no issued when a <b>new</b> co (ie a new legal entity) is established
3	PLC/Ltd Company/LLP	Change of company registration no; <b>same</b> personnel and management structure	1yr/3yr	Company confirm change in writing; previous licence withdrawn; new legal entity created therefore ASB1 req'd; ALPI assessment req'd; new 1 year licence issued for a <b>new</b> 1 year period, (new licence no) unless the ALPI has no concerns arising from the name change and is convinced competency levels remain the same or have improved, in which case a new licence may be issued for a longer period.	Yes (full fee)	Default position is new 1 year licence – but flexibility to grant the licence for a longer period if circumstances permit.
4	PLC/Ltd Company/LLP	Change of company registration no. <b>and</b> personnel and management structure etc	1yr/3yr	Company confirm change in writing; previous licence withdrawn; new legal entity created therefore ASB1 req'd; ALPI assessment req'd; new 1 year licence issued for a <b>new</b> 1 year period (new licence no)	Yes (full fee)	
5	PLC/Ltd Company/LLP	Same name, same company, (ie same legal entity) but change of personnel	1yr/3yr	ALU / ALPI contact required to determine how the personnel changes affect competency levels. If there is no impact, no action required.  If personnel change results in reduced levels of	N/A  Yes (if licence	

	Category	Reason for change	Current licence term	ALU policy/action	Charge	Comments
				competence, then licence amendment (conditions/tenure) may be required, or the licence withdrawn.	is amended)	
6	Partnerships/ TA/Sole proprietors	Change of address	1yr/3yr	As at 1 above	Yes (admin charge)	Partnerships referred to from 6 onwards are <b>not</b> Limited Liability Partnerships
7	Partnerships/ TA/Sole proprietors <b>(England and Wales)</b>	Change of name	1yr/3yr	As at 1 above, so long as no change to structure, personnel or legal status.	Yes (admin charge)	
8	Partnerships <b>(England and Wales)</b>	Change of personnel – (partner leaves)	1yr/3yr	Firm confirms change in writing; determine how the personnel change affects competency levels. If there is no impact, original licence returned; ALU amend names on the licence and issue (expiry date of the licence/licence no unchanged).  If personnel change results in reduced levels of competence, then licence amendment (conditions/tenure) may be required, or the licence withdrawn.	Yes (admin charge name change amendment)  Amendment charge	In England and Wales, the licence is issued to the named individuals; if a partner leaves then the licence must be amended to remove that person's name.

	Category	Reason for change	Current licence term	ALU policy/action	Charge	Comments
9	Partnerships <b>(England and Wales)</b>	Change of personnel – partner(s) joins	1yr/3yr	Firm confirms change in writing; obtain written declaration from new partner(s); determine impact on management structure/organisation and competency levels (if any). If declaration details of new partner are OK/ no impact on competency, original licence returned, ALU amend names on the licence and issue (expiry date of the licence/licence no unchanged).  If there are problems re new partner/concerns re competency, then licence amendment (conditions/tenure) may be required, or the licence withdrawn	Yes (name change amendment charge)  Other amendment charge	As above – but we cannot add a name to a licence without first making enquiries. ASB1 not required but signed declaration re previous licence history/enforcement activity is required.
10	Partnerships/ TA/Sole proprietors <b>(Scotland)</b>	Change of name	1yr/3yr	If the legal entity remains the same, then the licence is still valid. Action as at 1 above.  If not, licence becomes invalid - action as at 3 above.	Yes (admin charge)  Yes (full fee)	
11	Partnerships <b>(Scotland)</b>	Change of personnel (ie partners either leaving or joining)	1yr/3yr	In Scotland, the licence is still valid although the personnel have changed, so long as a new legal entity has not been established. Ensure expertise, competence etc not reduced through these changes. If satisfied, no licence change required. No further action.  If change of partner results in reduced levels of competence, then licence amendment (conditions/tenure) may be required, or the licence withdrawn.	N/A  Yes other amendment charge	In Scotland, a partnership is a legal entity and the leaving/joining of personnel does not invalidate the licence - unless a new legal entity is established.

	Category	Reason for change	Current licence term	ALU policy/action	Charge	Differs from previous ALU policy	Comments for ALU only
12	Partnerships/TA/Sole proprietors	Sole trader becomes ltd company/ partnership - <b>same personnel and management</b> structure.	1yr/3yr	As at 3 above	Yes (full fee)	Yes – previously only a new 1 year licence would be granted in all cases	As previous policy was open to legal challenge, policy reviewed and agreed at Sept 2002 ALPI conference. Default position is new 1 year licence – but flexibility to grant the licence for a longer period if circumstances permit.
13	Partnerships/TA/Sole proprietors	As at 12 - <b>plus change of</b> personnel/ management structure	1yr/3yr	As at 4 above	Yes (full fee)	No	
14	Other licence changes	Change of licence condition eg one of the conditions states a named person (as eg supervisor) but they leave the company; or company request change from supervisory to full licence etc; or company wishes to work with more/other licensable asbestos materials.	1yr/3yr	<p>Company confirm change in writing - determine competency; if ALPI content original licence returned, ALU amend licence and issue (expiry date of licence/licence no. unchanged).</p> <p>If ALPI not content with proposed changes, licence is not amended, or may be withdrawn, depending on the circumstances.</p> <p><b>NB Each case will have to be judged on its own merits and agreed in discussion with ALPIs/ALU. Included here as an example only.</b></p>	<p>Yes (if licence is amended)</p> <p>N/A</p>	Yes – previously there was only a charge for full assessment	