ASB4 ASSESSMENT FORM
RECORD OF FORMAL MEETING WITH LICENCE HOLDER/APPLICANT

Purpose of formal meeting:	
a. Assessment of a licence applicant's fitness to be granted a licence (new)	
b. Assessment of a licence applicant's fitness to be granted a licence (renewal)	
c. For licence review meetings to consider licence amendment or revocation	

Report by Asbestos Licensing Principal Inspector (ALPI) (please complete all relevant sections and check ALU pre-completed information at assessment)

1.	**Inspector details**			
1.1	Date of meeting:			
1.2	Name of Inspector(s) and HSE office:			
2.	**Licence Holder or Applicant's details**			
2.1	**Company Name** (or full names of all partners):	**ALU ref**: **Expiry date**:		
2.2	**Company Address**	**Telephone**: **Mobile**: **Email**:		
2.3	**Person(s) seen and position** (NB: normally the Director or senior manager who signed the application)			
2.4	Type of licence applied for			
2.5	Total number of employees			
2.6	Number of employees actively engaged in asbestos work			
2.7	Summary and range of work undertaken			

3.	**Performance History**
Number of notifications since last assessment (from ASB5 database)	
Number of inspections since last assessment (from COIN database)	
Number of enforcement notices in last 5 years (from HSE Enforcement database)	
Numbe of prosecutions in last 5 years (from HSE Enforcement database)	

Asbestos Licensing Unit (ALU) Performance Summary/Business Review

[ALU Performance Summary/Business Review to be copied into this space, if appropriate]

Please provide details of issues discussed concerning the performance history/business review, **including the licence holder's/applicant's comments:**

- Inspection History
- Enforcement History
- Serious Incidents
- HSE Action
- Applicant's response to previous advice

4. To assess health and safety management, the following topics should be examined:

1. Leadership
2. Management
3. Training and competence
4. Worker involvement
5. Any other issue
6. Overall assessment

For each of these topics, there are question prompts below. These are from Managing for Health and Safety. Please note that while the topics are mandatory, the question prompts are not and you should feel free to adapt these to what works for you. They are intended to be helpful to those who may wish to refresh their approach, or who are new to assessing.

4.1	**Leadership** includes the company culture, the visibility and influence of senior managers, their attitudes and behaviours, and how this reflects in business performance

How is leadership provided from the top of the organisation?

How does the organisation show commitment to health and safety?

How do directors find out about health and safety issues?

What do the controlling minds of the business consider as their top risks (residual/actual)?

How do the leaders of the business set examples?

How do the leaders of the business talk about health and safety? How is this visible in the workplace?

Describe the status of health and safety versus production, costs etc?

Are the leaders trusted in health and safety issues, and how is this evidenced?

How are health and safety implications of business decision recognised and addressed?

4.2	**Management** is the process side of running the business, with a sensible and proportionate approach to risk management – in short, a balanced approach

What process/management arrangements are in place for running the business?

Who are the key people and what are their responsibilities?

How are health and safety issues integrated into business planning processes?

How do senior managers access competent advice?

How is health and safety information communicated?

What are the monitoring arrangements for checking and performance?

How is health and safety performance audited, and reviewed?

4.3	**Training and Competence** through all levels of the workforce. Competency is the ability to undertake responsibilities and perform activities to a recognised standard on a regular basis. It combines practical and thinking skills, knowledge and experience.

How is training organised?

How is competence assessed?

How are training needs analyses (TNAs) conducted, and recorded?

How are training records renewed/kept up to date?

Are all levels within the organisation included in training?

How are non-asbestos training needs and competence issues dealt with?

4.4	**Worker involvement -** Full participation of the workforce in managing health and safety

How are employees or their representatives consulted and involved in H&S matters?

How effective are those mechanisms in relation to organisation size, structure, or rate of workplace change?

Do employees confirm they are involved and that the arrangements are working?

Are meetings where H&S is considered recorded, and is the information cascaded to the workforce?

Do H& S representatives confirm arrangements to support them are in place and suitable?

4.5	**Any additional comments** concerning leadership and health and safety management

Please include comments about anything that should be included but does not fit into the mandatory categories from 4.1 to 4.4

4.6	**Overall assessment -** Comment on health and safety management

Please collate all the factors examined to comment on the effectiveness of the health and safety management arrangements.

- If it works, why does it work?
- If it does not work, what's wrong with it?

5.	**Asbestos specific matters**
Applicants should be able to demonstrate excellent standards of working with asbestos. Applicants who cannot display satisfactory knowledge in the following areas may be refused a licence.	

For each of the subheadings below, please give an indication of how the duty holder **evidenced** their understanding, or on what other basis you came to your conclusion.

5.1	**Legislative Understanding**

What is the applicant's/licence holder's knowledge and understanding of their legal duties?

Do they have copies of all relevant literature?

Are you confident that the applicant has understood its key points?

5.2	**Controlled techniques** for removal and repair of asbestos

What is the applicant's/licence holder's knowledge and understanding of asbestos stripping techniques?

Do they reflect Chapter 7 of the Licensed Contractors Guide and current ALG memos?

How do they ensure that appropriate techniques are chosen?

5.3	**Plans of Work** (from the paperwork for sample jobs seen at assessment) New applicants should be able to provide simulated plans

How does the applicant/licence holder generate and implement Plans of Work?

Do plans compare favourably with guidance in the relevant ALG memo and the guidance in OG00108 "Asbestos Regulation 7 Plans of Work – Purpose and Core Principles"?

Are they suitable?

5.4	**Site checks and equipment maintenance** (from the paperwork for sample jobs seen at assessment)

What evidence is there that checks are undertaken daily?

What is included in the checks (inspections of enclosures, air locks, smoke tests, DCUs, NPUs, vacuum cleaners)?

Is certification available for clearance checks?

Are DCUs, air extraction equipment and H-vacs clearly identifiable and subject to thorough examination and maintenance?

5.5	**Decontamination**

How knowledgeable and competent is the applicant/licence holder of decontamination process?

Can the applicant describe the transit procedure?

Do they avoid the need for transit to the DCU wherever possible?

5.6	**Site cleaning and preparation for reoccupation** (4-stage clearance)

How knowledgeable and competent is the applicant/licence holder of correct cleaning methods?

Is there evidence that the contractor carries out a thorough visual inspection at the end of the job?

How does the applicant/licence holder deal with the 4-stage clearance procedure?

The analyst should be employed by the building owner or occupier: How does the applicant ensure adequate co-operation with the analyst?

5.7	**Disposal of asbestos waste**

What is the applicant/licence holder knowledge of how to package, label, store and transfer waste?

5.8	**RPE/PPE** (this includes full face, half mask and disposable RPE). Refer to INDG479 for RPE face-fitting requirements

What equipment is provided?

How is it selected?

Are robust arrangements in place to ensure (a) that face fits are carried out, (b) daily pre-use checks are undertaken and (c) the equipment is regularly maintained by competent staff?

Are coveralls (or anything else) laundered?

Where employees provide their own equipment, how does the applicant ensure it is fit for purpose prior to any work being undertaken?

Face-fit testing for respirators – How do they ensure testing is adequate and the tester is competent?

Refer to INDG479 Guidance on respiratory protective equipment (RPE) fit testing (accreditation is one way of demonstrating competency of face-fit testers; eg, are the face-fit test providers accredited by fit2fit?)

5.9	**Air monitoring/Exposure records -** Air monitoring/personal monitoring is required by Regulation 19 CAR

Are air monitoring and personal monitoring carried out? What is the monitoring strategy?

Are they carried out to (a) establish how well control measures are working and (b) to inform future risk?

Is personal monitoring representative of the range of jobs and work methods being used? Is it used to establish exposure records?

5.10	**Medical health surveillance**

Is there a system to ensure repeat examinations at appropriate intervals?

Can the applicant demonstrate arrangements for secure 40-year storage?

If there are temporary workers, how are their records managed?

Is there an occupational health programme for workers (additional to minimum health surveillance requirements)?

5.11	**Insurance (ELCI) -** If there is no policy, it will either be a licence condition for new applicants, or a factor to be considered for refusal due to a breach of legislation that calls into question their reputation

Is there a current insurance policy for working with asbestos?

5.12	**New applicants**

How will the applicant resource the business (e.g. what is the business plan)?

5.13	**Any additional comments** concerning knowledge and competence of work with asbestos

Please comment on any issue not captured in sections 5.1 to 5.12

5.14	**Overall assessment -** Comment of asbestos specific matters

Please provide an overall comment on the applicant's/licence holder's knowledge, expertise and capability of carrying out licensed asbestos work.

6.	**Final comments and recommendation** As any decision made by ALU could potentially be appealed under Section 44 of the Act to the Secretary of State in DWP, the comments should summarise and collate the most relevant factors from the assessment on which the recommendation is based.

This should also include any **agreed actions** for the applicant/licence holder, as well as an indication of **how these will be, or have been, communicated** to them (eg, letter, email).

6.1	**Assessors Final Comments**

Where an assessment was not carried out by, or with the Asbestos Licensing Principal Inspector (ALPI) present, the ALPI is expected to provide **Band 2 oversight** in the form of a short analysis of the evidence presented in the ASB4, either endorsing the assessors' conclusions or else explaining any difference in views.

This can be done subtopic by subtopic throughout the form, or as a block at the end. The headings below are designed to assist ALPIs with this analysis but the list is neither prescriptive nor exhaustive.

Summary of factors affecting recommendation

Current licence term and conditions

Volume of work (and type of work) actually undertaken does it allow applicant/licence holder to demonstrate competence/effectiveness of management systems

Analysis of general management systems – policies, procedures and plans of work

Monitoring performance

Arrangements for establishing/monitoring competency

Leadership

Worker involvement

General performance history (inspection data and any other relevant indicators of management)

Delivery on previous commitments assurances (at assessment or following other interventions)

6.2	**Recommendation to ALU**	
Grant Licence: Please specify duration for any period up to a maximum of 3 years New licence should normally be up to a maximum of 1 year		**Licence Term:**
Outright Refusal: provide summary of reasons in 6.1		
Conditional Refusal: specify reasons in 6.1 and/or letter to applicant		
Amendment: summarise reasons in 6.1 and specify requirements below		
Revocation: provide summary of reasons in 6.1		
If **additional conditions** are recommended (including those required for an ancillary licence) by HSE or requested by the applicant, please provide details:		
Name of ALPI		
HSE Office		
Signature		
Date		