



# Estates and Compliance Handbook

2025-26

Our vision is to enable all to flourish.



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## 1. Welcome

Welcome to your Estates & Compliance Handbook – your go-to resource for managing key areas of responsibility at your school.

This guide is here to help you:

- Understand your legal and operational responsibilities such as premises management, facilities use, policy implementation along with sustainability & Efficiency
- Know what support is available
- Feel confident in managing your school premises, data, health & safety, and more

For any questions, contact:

- **Nicki Wadley (COO)** – [nwadley@cen.dgat.org.uk](mailto:nwadley@cen.dgat.org.uk) | 07818 360447
- **Claire Morgan (Estates & Compliance Manager)** – [cmorgan@cen.dgat.org.uk](mailto:cmorgan@cen.dgat.org.uk) | 07388 638240

### Who is Responsible?

The Trust Board is ultimately responsible for estates and compliance across the Trust. Responsibilities are delegated to:

- The Trust Board estates and compliance committee
- The central estates and compliance team
- Headteachers
- Local Governing Boards (LGBs)

Refer to **Appendix 1 – Scheme of Delegation** for full details. It's reviewed annually, so please ensure you have the latest version.

### How We Support You?

The Estates and Compliance team is here to support you in all aspects of your responsibilities related to estates and compliance. We offer a wide range of proactive and practical support to help you focus on what matters most - delivering excellent education.

We provide the below:

- Thorough estate audits conducted every 5 years to help prioritise improvements and actions
- Expert support in shaping your long-term estate management and premises development strategy
- Management of all insurance arrangements, including land and buildings—negotiated and set up on your behalf
- End-to-end tendering, procurement, and management of capital projects
- Health and safety compliance made simple, including support with checks and access to an easy-to-use online dashboard
- Guidance and assistance with emergency planning and response
- Savings and efficiencies through central procurement for premises compliance services

- Trust-wide deals on everyday school supplies and services—saving you time and money
- Centrally managed contracts for convenience and consistency
- Carbon reduction and energy efficiency audits, including strategic heat decarbonisation planning
- Support with Count Your Carbon reporting
- Streamlined Energy and Carbon Reporting (SECR) to keep your school compliant and you informed
- Annual GDPR audits and training to keep your data safe and secure
- Maintenance of a comprehensive corporate risk register
- Oversight and management of all school leases and contracts
- Full support with insurance (RPA), including managing claims
- Responsive assistance if an emergency arises on site
- Provision of statutory health and safety training
- Management of centrally funded capital projects
- Support with developing evacuation and invacuation plans
- Guidance and assistance with business continuity plans

## 2. Best practice and regularity of compliance testing

### 2.1 Premises compliance management

There are many legal responsibilities that apply to the safe and compliant management of the school. Some of these are completed by the central team and some are the responsibility of the school. The following table indicates the frequency of the action required and who is responsible. This below table also identifies the Trusts preferred supplier.

All certification documents arising from compliance testing must be securely retained at school level and sent to the Estates and Compliance manager for central records.

Compliance Test	Frequency	Responsibility	Preferred Supplier	Notes
Asbestos Management Survey	Every 3 years	School / Estates and Compliance Team	CWE Services	To be issued to every contractor that attends the school site.
Asbestos register review	Annually	School		Annual visual monitoring checks to be undertaken by the school and photographs taking to identify any changes.

Boiler Servicing	Annually	Estates and Compliance Team	P&R Heating	Compliance report instructed by Estates and Compliance team. Remedials sit with the school to instruct.
COSHH Inventory Audit	Annually	School		An up to date hazardous substance list and where it is stored needs to be create and maintained by the school.
Display Energy Certificate	Annually (School dependent)	Estates and Compliance Team	ESOS Energy	
Emergency Lighting Test	Annually	Estates and Compliance Team	A&E Fire	Full 3 hour test. Needs to be documented in the schools fire log.
Emergency Lighting Test	Monthly	School		Visual testing completed by school. Documented in fire log booklet.
Fire Alarm System Inspection	Annually	Estates and Compliance Team	A&E Fire	Full system inspection broken down to 2 x 6 monthly visits.
Fire Alarm Call Point Tests	Weekly	School		This involves activating a different manual call point each week to ensure the entire system is functional and all occupants are familiar with the alarm sound. All documented tests need to be recorded in the Fire Log book.
Fire Risk Assessment	Every 3 years	Estates and Compliance Team		Required by law; update sooner if site changes.

Fixed Wire Testing (EICR)	Every 5 years	Estates and Compliance Team	EIS Midlands	Compliance report instructed by Estates and Compliance team. Remedials sit with the school to instruct.
Gas Safe (Kitchen)	Annually			
Insurance inspection water vessels and pressure tanks	Annually	Estates and Compliance Team	British Engineering Services	Compliance report instructed by Estates and Compliance team. Remedials sit with the school to instruct.
Legionella (Water Hygiene) Checks	Weekly/Monthly	School		Includes temperature checks and flushing. Needs to be recorded and situated in a premises site file.
Legionella Risk Assessment	Every 2 years	School / Estates and Compliance Team	Primary Water Solutions	Remedials sit with the school to instruct.
Lightning Protection Inspection	Annually	School		Only required if installed on site.
Portable Appliance Testing (PAT)	Annually	Estates and Compliance Team	Calbarrie Compliance	Applies to all electrical equipment.

Each school is responsible for ensuring their site is safe and operationally sound.

There are also two very helpful resources to assist with the management and arrangements of these activities.

Resources:

- [CIPFA Compliance Monitoring Guide](#)
- [Good Estate Management for Schools \(GEMS\)](#)

The CIPFA Compliance Monitoring Guide can be used to carry out regular self-audits, identify gaps, and evidence statutory and governance compliance in a consistent way. Alongside this, the Good Estate Management for Schools (GEMS) framework supports effective management of buildings and grounds by guiding long-term planning, ensuring health and safety compliance, prioritising maintenance spend, and embedding sustainability. Used together, these documents will help you to meet the statutory standard.

## 2.2 Fire Drills - Regularity and Best Practice

Fire drills must be carried out at least **once per term** (3 times/year). It is recommended good practice to vary the timing and location each time, and to practice different scenarios (e.g. blocked exits, missing children).

### Best Practices:

- First drill: Start of autumn term
- Aim: Evacuation within **2.5 minutes**

Keep a log of:

- Evacuation time
- Any issues encountered
- Improvements made

There is a Fire Log Book template included in A&E Fire log book

- The Fire Marshal Ratio is 1 fire marshal per 50 people

*Please note – False alarms may be counted as drills.*

## 2.3 Fire Doors

Fire doors must never be obstructed or blocked and should always open in the direction of travel towards a fire exit, be fitted with a vision panel, have three hinges and be self-closing. Fire door-keep closed signage should also be present on both sides. Fire doors should be kept closed at all times unless they are fitted with automatic closers that are integrated with the fire alarm system.

## 2.4 Managing Asbestos

As part of our Health and Safety policy, all staff must be aware of the arrangements in place for asbestos management. Below is a step-by-step guide of the expectations of managing Asbestos in your school.

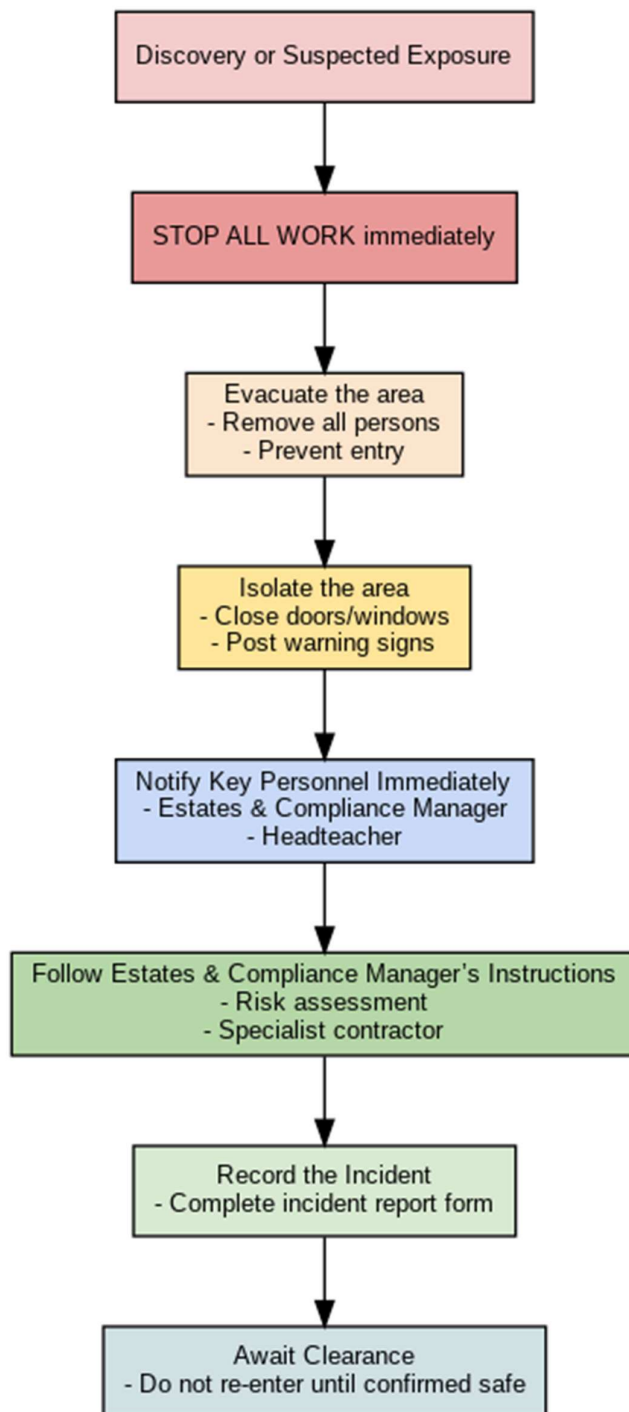
We have a duty of care to our staff to be able to help them work in a safe environment. Annual updates should be provided to staff identifying where the asbestos is located around the school and be documented. Staff should be reminded that no items should be pinned to walls unless they have a display board or sampling of the wall has taken place.

Step	Action	Details
1	Appoint Duty Holder	Assign responsibility for managing asbestos (e.g. headteacher or site manager).
2	Conduct Asbestos Survey	Arrange a professional survey to identify any asbestos-containing materials (ACMs).
3	Create Asbestos Register	Log location, type, and condition of all ACMs including pictures; update regularly.
4	Develop Management Plan	Outline how asbestos risks will be controlled, monitored, and communicated.
5	Monitor & Review	Inspect ACMs at least every 6–12 months; update register and plan.

<b>6</b>	Communicate with Staff & Contractors	Share register before any works; train staff on risks and procedures.
<b>7</b>	Manage Work Near ACMs	Avoid disturbance; use licensed contractors if needed; assess risks.
<b>8</b>	Respond to Disturbances	Isolate area, evacuate if needed, contact specialists, log incident.
<b>9</b>	Maintain Records	Keep all surveys, registers, plans, incidents, and training records.
<b>10</b>	Train Key Staff	Provide asbestos awareness training; refresh every 1–2 years.

If you have any concerns or questions about asbestos or if you have a building project commencing to contact Claire M.

Staff also need to be made aware where of the emergency evacuation process if an uncontrolled release of asbestos happens. Below is a flow chart all schools need to be familiar with.



This diagram has been adapted for our Trust based off the Health and Safety Executives Asbestos management procedures.

## 2.4 Legionella

Schools must retain information concerning Legionella management. Details regarding the specific information that must be retained can be found in the Legionella Health & Safety Policy. Below are examples of tasks schools are required to carry out and how often these should be done.

Weekly	Monthly	Quarterly or 6 Monthly	Annually
Flushing of little-used outlets	Take hot and cold temperatures at sentinel taps.  Take hot and cold temperatures of a random selection of taps	Dismantle, clean and descale showerheads and tap heads	Tank inspection and disinfection.

## 3. Insurance Cover

### 3.1 Risk protection Arrangements

All schools within the Trust are automatically enrolled to the DfE assurance scheme - the Risk Protection Arrangements (RPA). The cost for this scheme is taken at source by the DfE (i.e. before the funding for each school is released to the Trust) on a per pupil basis which for the 2025/26 academic year is £27 per pupil.

The RPA Covers:

Material Damage	Unlimited
Business Interruption	£10 Million any one loss
Employers Liability	Unlimited
Third Party Liability	Unlimited
Governors Liability	£10 Million any one loss and in one membership year
Professional Indemnity	Unlimited
Employee and third-party dishonesty	£500,000
Money	£5000
Personal Accident	Death and capital benefits £100,000
United Kingdom Travel	Baggage and money £2000 per person Cancellation £1000 per person
Overseas Travel	Medical £10,000,000 plus various see full details of cover
Full details of cover can be found <a href="#">here</a>	

In the event that you need to make a claim please contact Claire Morgan who will process the claim on behalf of the school.

Insurance certificates will be issued to school at the beginning of every academic year and will be added to the school's individual Estates channel in the Trust Finance and Estates Team.

### 3.2 Occasional Business Use (Motor Insurance)

The Trust also provides occasional business use motor insurance for all employees via Marsh and a certificate with full details of cover is sent at the start of each academic year to each school and uploaded to the Trust Finance and Estates Teams channel

Driving for business purposes must have the permission of the headteacher. For those using their vehicle for business use there should be a formal procedure for regular licence and safety to drive checks for all new and existing employees and/or drivers before allowing them to drive for business purposes. When traveling with pupils, the school's Safeguarding and Child Protection Policy must also be followed at all times.

These checks should include

- There are no driving convictions or prosecutions pending of any motor offence with conviction codes AC BA CD DD DR IN UT TT or XX.
- There has not been an occurrence of refused insurance or quoted an increased premium or had special terms imposed or a disqualification that prevents the individual from driving a vehicle.
- The individual should not suffer from any heart complaint, diabetes, fits or any other physical or mental infirmity that renders them incapable of driving an insured vehicle.
- The individual has not been regularly taking any prescribed medication that will impact on driving ability unless the condition has been notified to the DVLA and a licence to drive has been granted.
- That vehicles are in a roadworthy condition

A proforma for these checks will be uploaded to the Trusts Finance and Estates Teams Channel.

## 4. Types of funding available

Funding Sources

• **School Condition Allocation (SCA):** Managed by the Trust central team, SCA funding is designated for essential safety and condition-related works across the estate.

- **Devolved Formula Capital (DFC):** DFC is allocated for smaller-scale projects and ICT upgrades.

## 5. Capital projects and minor repairs

### 5.1 SCA Projects

Projects funded through SCA are prioritised based on Property Condition Surveys carried out by Border Consultancy. These priorities are reflected in the Trust's Estates Strategy. Projects are identified and prioritised based on organisational needs. Proposals are reviewed and discussed within the Estates and Compliance Committee to ensure alignment with strategic objectives, regulatory requirements, and resource availability before final decisions are made. Schools will be notified during the autumn term if any building projects are scheduled. Approved projects are typically planned to take place during school holidays to minimise disruption.

## 5.2 DFC Usage

DFC funding will support the ongoing rolling replacement of ICT equipment, prioritised according to ICT audits conducted by ICT4. Each school will have access to £1,000 of DFC funds ring-fenced annually for any compliance remedial works this fund will be held and monitored centrally. If remedial needs exceed this amount, schools are expected to use their approved revenue budgets to cover the additional costs. If schools do not have the revenue budget available or an overspend will occur approval is to be sought from the CFO. Each May, a review of DFC expenditure will be conducted by the Estates and Compliance team and reported to the Estates and Compliance committee. Based on this assessment, a proportion of remaining DFC funds may be redistributed to schools for minor property improvement works, such as new carpets, redecoration, or furniture.

## 5.3 Revenue-Funded Building Projects

Any projects involving alterations to buildings that are funded from your school's revenue budget must receive prior approval from the Trust and be reviewed and approved by the Estates and Compliance Manager before any work begins. This is necessary to ensure that our landlords are informed and, depending on the nature of the work, to notify the RPA insurance as required.

## 5.4 Emergency Repairs

Contingency funds are reserved for emergency repairs. If an urgent issue arises, please contact the Estates & Compliance Team immediately for support. For emergencies occurring outside of normal working hours, approval must be sought via the designated duty line manager. In such cases, only essential works required to make the site safe and operational should be instructed, with full details reported to the Estates & Compliance Team at the earliest opportunity.

## 6. Policies

Several Trust policies have been created to support you in your work in this area of school life. These are compliant with the relevant legislation and are updated when the law changes or there are any good practice updates.

- Health and Safety Policy
- Data Protection Policy
- Capital Funding Policy
- Estates Strategy
- Legionella Policy
- Working at Heights Policy
- COSHH Policy

These can all be found on the members' area of the trust website [here](#). This area is password protected. Please contact your Headteacher or the Estates and Compliance Team if you do not have the password for your area.

The Trust also has a Contractors Policy in place, which primarily applies to any work that is instructed or commissioned directly by the Trust. However, if individual schools choose to contract work themselves, it is essential that they also follow the requirements set out in this policy to ensure consistency, compliance, and the safety of all site users. A copy of the policy will be provided after acceptance of any school-led project, following formal authorisation from the Trust.

## **7. School Visits**

### **7.1 Estate and Compliance SCA project Visits**

In October and November of the academic year schools who have been identified for a SCA funded project will have a visit from the Estates and Compliance team to review the building survey data we hold for your school. These meetings will involve the headteacher and school business manager where applicable.

At this meeting we will also discuss any concerns or plans you may have related to the planned project. All projects will be managed by the Estates and Compliance Manager, with site facilitation led by the school. Where possible projects will be arranged to take place during the school holiday period. Arrangements are made for the contractors to have access to the building without the need for school staff to be interrupted during their holiday.

### **7.2 Compliance visits**

Compliance visits are carried out by the Estates Team between January and April each year. These visits focus on key areas such as fire safety, hygiene, statutory compliance, accessibility, emergency readiness, and risk assessments—each of which plays a vital role in maintaining a safe and supportive educational environment. All reports will be uploaded to the Finance and Estates Teams channel. Any resulting actions must be addressed and reviewed on an annual basis.

## **8. Training**

Three training events will be during the academic year for statutory training needs:

- Legionella Awareness
- Asbestos Awareness
- Fire Marshall Training

People that need to attend are SBMs, Caretakers and Headteachers. For any schools that have a School Finance Partner a member of the admin team should attend the training.

## **9. Trust handyperson**

We currently have two handypersons available within the Trust billed by the hour, no call-out charge.

Schools should contact caretakers directly to request support, with any claims or travel expenses agreed and approved in advance. Caretakers' responsibilities should be clearly defined to ensure expectations are managed. They must only undertake tasks for which they are trained and authorised to do so, holding the necessary working at heights permits, asbestos and legionella awareness.

Contact information:

Chris Dunn – 07757779327

Roy Chamberlin - 07900 181027

## **10. Trust Suppliers**

Below is a list of preferred suppliers, this list is not exhaustive. Please ensure you use suppliers that are already set up on the Trust finance system. If you wish to engage a new supplier, you must consult with the Estates and Compliance Manager beforehand to ensure

they meet Trust requirements and compliance standards. If agreed schools should complete a new supplier request via Hoge 100.

Roofing Companies	
PS Mitchell Roofing Limited	Tel: 01452 526365
	Mobile: 07970 462813
Advanced Roofing & Property Care	Tel: 01452 8027474
	Mobile: 07770 856173
Neil Williams Roofing Service	Tel: 01452 307366
	Mobile: 07973 349690
Electricians	
A&E Fire and Security	Tel: 01452 712021
	Mobile: 07521 777540
EIS Midlands	Tel: 01684 291275
	Mobile: 07908 331048
P&R Electrical	Tel: 01453 791492
	Mobile: 07974 209855
Boiler Issues	
P&R Heating Services	Tel: 01453 791492
	Mobile: 07974 209855
Drainage	
Cotswold Drainage	Tel: 01452 855233
	Tel: 01242 224929

Smiths (Gloucester) Ltd	Tel:01453 822227
Happy Drains	Tel: 0800 849 8099
	Mobile: 07824 757572
<b>Carpenters</b>	
Forest Complete Carpentry	Tel:07903 885364
AC Carpentry	Tel: 07795 516732
<b>Fencing Companies</b>	
TEK Fencing	Tel: 07731520788
Dudley Fencing	Tel: 01989 720800
<b>Insurance</b>	
RPA (TopMark)	Tel: 0330 058 5566
<b>Technical Consultants – only to be used whilst a SCA funded project is taking place</b>	
Gawen Angove - Border Consultancy	Tel: 01452 346776
	Mobile: 07551 973007
Chris Jones - Border Consultancy	Tel: 01452 346776
	Mobile: 07771 933994
<b>Surveys</b>	
Asbestos - CWE Services	Tel: 01934 838025
Legionella - Primary Water Solutions	Tel: 01454 501818

## 11. Health and Safety

The schools' responsibilities for health and safety are outlined in the Health and Safety policy. This document is centrally issued but has sections that must be completed at school level to give contextual information. It is very important that you read and understand the processes and procedures that are required within your individual school. It is also important to use this policy to inform your decision making.

Appendix 1 and 2 of the Health and Safety Policy must be completed and returned to the Estates and Compliance team and uploaded to the Finance and Estates Teams channel in September at the start of each academic year.

In addition, all schools within the Trust must purchase the SHE unit traded service from Gloucester County Council.

## 12. Data protection

The protection of data is everyone's responsibility, and the Data Protection Policy provides detailed information about how to look after personal data. It also includes some helpful background information to the law. This policy can be found in the members' area of the Trust's website.

DGAT employs SchoolPro TLC Ltd to act as its Data Protection Officer (DPO).

The Diocese of Gloucester Academies Trust employs SchoolPro TLC Ltd as its Data Protection Officer (DPO).

The DPO can be contacted on 01452 947633 or via email at [dpo@schoolpro.uk](mailto:dpo@schoolpro.uk)

SchoolPro supports with:

- Annual school visits
- SARs & FOIs – including redaction of information
- Data breach management

All staff must:

- Be aware of and adhere to the Data Protection Policy
- Receive data protection training as part of their induction

The Data Protection Policy sets out what to do in case of a SAR or FOI request and what to do in the event of a data breach however the rule of thumb is in the event of any of these situations contact SchoolPro and the Estate and Compliance team as soon as possible. They will then guide you through each step of the process. SchoolPro has an online portal that is used to manage requests for data and data breaches (<https://app.schoolpro.uk/login>) – each school will have access to this.

## Appendix I – Appropriate sections of the scheme of delegation

Estates and compliance						
<b>Decide</b>		<b>Decide</b> - Has primary responsibility for decision making related to the decision or action.				
<b>Consulted</b>		<b>Consulted</b> - Will be consulted as part of the process of completing a task. Their contribution may inform the approach or decision.				
<b>Deliver</b>		<b>Deliver</b> - Accountable for: undertaking particular tasks; following agreed policies and procedures; ensuring appropriate training of staff.				
<b>Monitor</b>		<b>Monitor</b> - Responsible for reviewing whether a task or action is being carried out satisfactorily and, where appropriate, requiring action to be taken to ensure task is delivered appropriately.				
Decision/Action		Members	Trust Board	Executive leadership team	Local governing board	Headteacher
EC.1	Procure buildings insurance and personal liability.			<b>Decide</b> <b>Deliver</b>		
EC.2	Develop an estates strategy or master plan.		<b>Decide</b>	<b>Deliver</b>		<b>Consulted</b> for own school
EC.3	Maintain buildings, including implementing a premises and development plan.			<b>Consulted</b> <b>Monitor</b>	<b>Monitor</b>	<b>Decide</b> <b>Deliver</b> <b>Monitor</b>
EC.4	Determine Trust Health and Safety policy.		<b>Decide</b>			
EC.5	Ensure the Trust Health and Safety policy is implemented.		<b>Decide</b> <b>Monitor</b>	<b>Deliver</b> <b>Monitor</b>	<b>Monitor</b>	<b>Deliver</b> <b>Monitor</b>

EC.6	Review security of school premises and equipment.		Monitor	Deliver Monitor	Monitor	Consulted Deliver
EC.7	Draw up, agree and monitor an Accessibility Plan for the school.		Monitor	Monitor Consulted	Monitor	Decide Deliver Monitor
EC.8	Determine a Trust Lettings Policy.		Decide	Consulted Deliver		
EC.9	Ensure the appropriate implementation and use of the accident book and agree appropriate actions.				Monitor	Decide Deliver Monitor
EC.10	Implement and monitor the school's climate action plan and its impact			Monitor	Monitor	Decide Deliver Monitor

Central Services	
Decide	<b>Decide</b> - Has primary responsibility for decision making related to the decision or action.
Consulted	<b>Consulted</b> - Will be consulted as part of the process of completing a task. Their contribution may inform the approach or decision.
Deliver	<b>Deliver</b> - Accountable for: undertaking particular tasks; following agreed policies and procedures; ensuring appropriate training of staff.
Monitor	<b>Monitor</b> - Responsible for reviewing whether a task or action is being carried out satisfactorily and, where appropriate, requiring action to be taken to ensure task is delivered appropriately.

Decision/Action		Members	Trust Board	Executive leadership team	Local governing board	Headteacher
CS.1	Determine the scope of mandatory core services to be delivered by the Trust on behalf of its schools.		<b>Decide</b>	<b>Deliver</b>	<b>Consulted</b>	<b>Consulted</b>
CS.2	Determine a Trust-wide procurement policy and set the delegated levels of authority for such contracts.		<b>Decide</b> <b>Monitor</b>	<b>Deliver</b>		
CS.3	Approve contracts which constitute related party transactions.			<b>Decide</b>		
CS.4	Enter into contracts up to the limits of delegation, within an agreed budget and in accordance with the finance policy.			<b>Decide</b> Up to delegated limits within the financial procedures policy	<b>Decide</b> Up to limit of LGB delegation	<b>Consulted</b>

A.5	Ensure that a compliant data protection policy is implemented.		<b>Decide</b>	<b>Deliver</b> <b>Monitor</b>	<b>Monitor</b>	<b>Deliver</b>
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