

# Water Industry Registration Scheme (WIRS)

## Requirements Document

Version 2.2 – April 2009



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## Contents

<b>Document History</b>	<b>3</b>
<b>1. Introduction and Purpose</b>	<b>4</b>
1.1 Definitions - Explanation of Terminology	4
1.2 Mandatory/Non Mandatory Terms	5
1.3 Definitions of Major and Minor Deficiencies	5
1.4 Abbreviations	6
<b>2. Responsibilities</b>	<b>7</b>
2.1 Utility Connection Provider responsibilities	7
2.2 Risk Management	7
2.3 Accreditation Body Responsibilities	8
<b>3. Scopes</b>	<b>9</b>
3.1 Design	9
3.2 Project Management	9
3.3 Construction of Mains and Services	10
<b>4. Role Competency Requirements</b>	<b>11</b>
4.1 General Competency Requirements	11
4.2 Role Specific Competency Requirements	11
<b>5. Sub Contracted Work</b>	<b>14</b>
5.1 Sub-contracting arrangements	14
5.2 'Labour Only' Sub-contractors	14
5.3 Ground Workers	14
<b>6. Scheme Requirements</b>	<b>16</b>
6.1 Work Control and Management	16
6.2 Methods of working	18
6.3 Procurement	20
<b>7. Audit</b>	<b>22</b>
7.1 Technical Audit	22
7.2 Health, Safety, Quality and Environmental Audit	22
7.3 Managing Risk	22
<b>8. Contract Document and Record Control</b>	<b>24</b>
8.1 Documentation and Document Control Procedures	24
8.2 Records	24
<b>9. Legislation, Standards and Guidance</b>	<b>25</b>
9.1 Reference Library	25

<b>10. Quality and Safety Systems</b>	<b>26</b>
10.1 Quality Management System	26
10.2 Customer Complaints	26
10.3 Health, Safety, Quality and Environmental Systems	26
<b>11. Human Resources Systems</b>	<b>29</b>
11.1 Human Resource Procedures	29
11.2 Job Descriptions	29
<b>12. Training</b>	<b>30</b>
12.1 Training Policy	30
12.2 Induction Training	30
<b>Appendix 1. Accreditation management arrangements</b>	<b>32</b>
A1.1 Accreditation Process Overview	32
A1.2 Approval Process	32
A1.3 Monitoring Of Accredited Utility Connection Providers	34
A1.4 Investigations and Removal of Accreditation	37
A1.5 Appeals, Complaints and Disputes concerning Accreditation	37
A1.6 Re-certification	38
A1.7 Adopting Utility Requirements	38
A1.8 Notifications to Adopting Utility Companies	39
<b>Appendix 2. Guidance on Project Management Function</b>	<b>40</b>
A2.1 Requirement to Hold Project Management Scope	40
A2.2 Requirements of the Project Management Scope	40
A2.3 Scheme Project Management Responsibilities	40
A2.4 Requirements of an Accredited Project Manager	41

## Document History

### Changes in Version 1.1 (May 2008)

1. Appendix 1 - enhanced requirements regarding surveillance visit arrangements
2. Addition of Appendix 2 – Guidance on Project Management Function
3. Minor changes to text in body of document to align with GIRS and NERS wording

### Changes in Version 2.1 (January 2009)

1. Section 4.2.3 – Date changed from 31 December 2008 to 30 June 2009

### Changes in Version 2.2 (April 2009)

1. Section 3.3 – Construction of Services scope extended to include connections to existing mains adjoining site. Also note added about proposed scope covering the making of 'routine'/in-line mains connections.
2. Section 4.2.3 – Requirement for team leaders to hold NCO(W) registration at Level 2 and operatives at Level 1 added.
3. Section 6.2.1 – Requirement, where the making of 'routine'/in-line mains connections is permitted, for scheme specific method statements to be produced and authorisation obtained before the work is started.

## 1. Introduction and Purpose

The purpose of this document is to provide details for Utility Connection Providers (UCPs) of the requirements they need to meet for accreditation under the Water Industry Registration Scheme (WIRS).

The document details the assessment criteria against which UCPs will be measured in respect of key safety, quality, environmental, competency and technical issues covering the various scopes of registration established by the Scheme Advisory Panel. The registration scopes are detailed in Section 3.

The aim of WIRS is to facilitate competition in the provision of new infrastructure connections in the water utility sector. The Registration scheme assessment process seeks appropriate evidence that UCPs wishing to perform the activities for which they seek accreditation understand and comply with all the necessary technical and legislative requirements to satisfy the water industry criteria for adoption of the installed assets. UCP compliance is demonstrated by means of a thorough assessment of UCPs' systems and procedures prior to work commencing and a technical audit of work in progress.

An essential feature of the accreditation process is to provide assurance that the practices and procedures against which accreditation is awarded are consistently applied and maintained. Hence work being carried out and supporting procedures are regularly checked throughout the accreditation period.

In addition to specifying the technical requirements this document outlines (in Appendix 1) the process for accrediting UCPs under the scheme and details what needs to be done to maintain accreditation.

### 1.1 Definitions - Explanation of Terminology

**Accreditation** – see Appendix 1 for details of the accreditation process and the arrangements covering the granting of 'Partial' and 'Full' accreditation.

**Accreditation Body** – an organisation which undertakes the assessment of the competence of UCPs in accordance with the Scheme and has been approved for doing so by the Scheme Advisory Panel

**Accreditation Certificate** – a certificate awarded to a UCP by the Accreditation Body for a scope(s) of work assessed under the Scheme.

**Accreditation Period** – 'Partial' accreditation validity is for a term of 1 year and 'Full' accreditation validity is for a term of 3 years.

**Adopting Utility** – The company which will be adopting the constructed asset.

**Assessment** – objective and detailed evaluation of the UCP to determine their capability in accordance with the Scheme criteria.

**Competency** – a combination of qualifications, training, knowledge, experience, aptitude and fitness for the job.

**Deficiency** – the identified absence of or a failure to implement or maintain one or more of the specified criteria. These may be characterised as major, minor or observations as defined within Section 1.3.

**Scheme** – The general requirements of WIRS as defined in this document

**Scheme Advisory Panel** – Governing Body for the scheme. Known as WIRSAP (or WIRS Advisory Panel).

**Utility Connection Provider (UCP)** – a company meeting the requirements for accreditation and which has been assessed as competent in accordance with the scheme requirements.

## 1.2 Mandatory/Non Mandatory Terms

In this document the following terms have the stated meanings:

**Shall:** Indicates a mandatory requirement

**Should:** Indicates a strong preference and is used to denote best practice or where a new requirement is being introduced.

**May:** Indicates an option which is not mandatory

## 1.3 Definitions of Major and Minor Deficiencies

Major Deficiencies occur where there is:-

- objective evidence which demonstrates that an element from the scheme requirements has not been documented or implemented or maintained;
- significant safety implications;
- multiple minor deficiencies in a specific category;
- significant numbers of minor deficiencies;
- action not taken to close previously identified minor deficiencies;
- failures in meeting requirements for keeping the adopting utility informed about works programme;
- incomplete documentation for the certification/completion file and late delivery of these files;
- contestable works performed which are outside the UCP's registered scope;
- non compliant use of persons on contestable work;
- failures in hygiene procedures;
- connections made to properties where the supply cannot be isolated and controlled.

Minor Deficiencies occur where there is:-

- objective evidence that there is a weak element within the management system, procedure or control for the effective implementation and maintenance of the scheme requirements;
- isolated cases of non conformance to procedures;
- isolated instances of failure to comply with Health & Safety procedures;
- isolated instances of failure to comply with good safety/working practice;
- limited shortfalls in established documented management and H&S systems;
- failure in observing customer care protocols;
- connections made to properties where the supply pipe has not been approved and a controlling stoptap is not fitted in the property.

Observations are made where:

- the accreditation body identifies potential improvements for the UCP;
- an indicator of a potential weakness is identified which the accreditation body may wish to examine at their next assessment visit.

## 1.4 Abbreviations

CDM - Construction, Design and Management Regulations

CIWEM - Chartered Institution of Water and Environmental Management

EUS - Energy and Utility Skills

HSWA- Health and Safety at Work Act

HSE - Health and Safety Executive

IWO - The Institution of Water Officers

LR - Lloyd's Register EMEA

NRSWA - New Roads and Street Works Act

NVQ - National Vocational Qualification

OFWAT - The Water Services Regulatory Authority

PE - Polyethelene

PPE - Personal Protective Equipment

UCP - Utility Connections Provider (formerly known as SLO)

## 2. Responsibilities

Accreditation is a demonstration that the systems, procedures and competencies have been established by a UCP to ensure consistent delivery of the accredited scopes of work to the WIRS scheme requirements in accordance with industry good practice and the adopting utility requirements.

An essential feature of the approval process is the assurance that procedures and practices against which approval has been awarded is consistently applied and maintained by the UCP. This is verified through an ongoing surveillance audit programme which checks, over the period of accreditation, work carried out and supporting procedures.

### 2.1 Utility Connection Provider responsibilities

UCPs shall:

1. maintain an effective management structure to consistently deliver accredited scopes of work to the scheme requirements;
2. clearly define the scope of the services they provide;
3. be pro-active in monitoring the quality of their work without reliance on the Accreditation Body or the Adopting Utility;
4. arrange with the Accreditation Body for visits to be done in accordance with the agreed surveillance programme;
5. ensure deficiencies identified by the accreditation body are closed out within agreed time scales;
6. notify the Accreditation Body of the following:
  - changes to key personnel;
  - changes to ownership;
  - HSE notices issued on them;
  - award of the first contract for a scope of work for which partial accreditation is currently held.

### 2.2 Risk Management

UCPs should establish a risk management process which evaluates on going risk to their accreditation status. Subcontracted aspects of their accredited scopes of work should be incorporated into this process.

### 2.3 Accreditation Body Responsibilities

In operating the scheme the Accreditation Body shall:-

1. conduct evaluations against the scheme requirements in a technically competent and objective manner;
2. adopt a pragmatic but consistent approach to the maintenance of scheme standards;
3. plan audits visits which, over time, cover the scope of accreditation;
4. endeavour to respect UCP business constraints;
5. maintain minimum assessor competency requirements as defined by the Scheme Advisory Panel;
6. ensure any information determined in respect of the UCPs commercial business interests is treated in confidence and not passed to any third party except to meet the direct requirements of the operation of the scheme;
7. to raise the awareness of adopting utility companies of imminent changes in status of accredited UCPs.

### 3. Scopes

Accreditation can be gained in any of the scopes detailed in this section.

UCPs shall ensure that in performing work for which accreditation has been granted they strictly adhered to the competency requirements detailed in Section 4.

Note: UCPs who hold accreditation in any of the construction categories do not also require to hold project management accreditation but where such UCPs also operate as a project manager they shall adhere to the requirements specified for the project management scope.

#### 3.1 Design

For the design scope category UCPs shall demonstrate fully implemented procedures which satisfy national and adopting utility specific requirements and which incorporate the requirements of Health and Safety Legislation and accepted design guidance.

The design procedures shall cover arrangements for both 'complex' and 'simple' designs.

Complex designs being those where either the:

- supply, in total, is to more than 500 residential units;
- maximum flows exceed 8 l/s;
- incoming supply is fed from more than one direction;
- route involves engineering difficulties such as river, canal or railway crossings;
- maximum design pressure exceeds 40m head;
- ground is classified as 'contaminated'.

All other designs being classified as 'simple'.

For this scope the UCP shall appoint a nominated design engineer who has responsibility for the design procedures to be followed by any design technicians working on 'simple' design layouts, for auditing 'simple' designs and approving all 'complex' designs.

#### 3.2 Project Management

This accreditation scope applies to UCPs who do not themselves carry out construction activities but who manage this work by subcontracting such activities to accredited UCPs.

For the project management scope category UCPs are required to have processes, procedures and technical competencies in place to effectively manage the subcontract relationship and the quality of the work performed. Also to ensure effective channels of communication, change controls and interfaces are maintained within the contractual chain involving, as applicable; clients, developers, designers, constructors and adopting utility companies. The processes and procedures shall define responsibilities for the listed aspects throughout the project life cycle.

### 3.3 Construction of Mains and Services

This scope covers the laying of water mains and/or services, including associated installations in full technical compliance with, in England and Wales, the UKWIR Code of Practice for the Self Laying of Water Mains or, in Scotland, Water for Scotland (2<sup>nd</sup> edition) published by WRs and adopting utility requirements.

For this scope service laying is defined as under pressure connections of up to and including 63mm diameter made to a live main.

Accreditation under the construction scope can be awarded against the following categories.

**a. Construction of Mains and Services - All works**

This scope includes off-site work and on-site work with pipe diameters over 355mm diameter plus services as defined for category c.

**b. Construction of Mains and Services - site works only**

This scope covers work on development sites with mains up to 355mm diameter plus services as defined for category c.

**c. Construction of Services on development sites**

This scope covers service laying on connections not exceeding 63mm diameter (OD) including services to new and existing mains adjoining development sites.

Water companies are developing requirements for allowing UCPs to make 'routine' in-line mains connections. Once these requirements are known an additional WIRS scope will be added covering this work. Until this scope is introduced individual water companies will decide whether UCPs can make such mains connections in their area and where UCPs are allowed to connect new mains to existing networks this work activity will be included in mains construction scope assessments.

## 4. Role Competency Requirements

### 4.1 General Competency Requirements

UCPs shall ensure that personnel responsible for design, project management, construction, testing and commissioning activities carried out under this scheme are competent to do so and meet both the general and role specific competency requirements.

UCPs shall, where the post holder's activities can materially affect work activities carried out under this scheme or there are role specific requirements in this scheme;-

1. have a documented process for determining competency and document minimum competency requirements comprising training, experience, and qualification for operational and management positions;
2. assess, by a suitably competent person, and document the competency of persons performing roles for which competencies have been set;
3. review, by a suitably competent person, ongoing competencies at least annually. These competency reviews shall be documented and recorded;
4. ensure that the minimum documented competencies are satisfied and that staff are trained and qualified for the work they carry out;
5. establish and maintain sufficient current, valid, credible and authentic evidence to demonstrate that individuals are competent to do work within the accredited scope (s).
6. ensure that role holders perform competently;
7. have a training programme in place which is adequate to close any competency gaps;
8. maintain a robust process to ensure that the renewal of time limited qualifications is completed before the expiry of validity. (It is a requirement that all operatives with such time limited qualifications e.g. CITB, CPCS, NRSWA, NCO(W), hygiene cards etc. shall have evidence of in date qualifications on site at the time of any audit);

Best practice is demonstrated when role specific competency requirements are built up from job descriptions which are broken down into job related tasks against which personnel can be assessed.

Role specific competencies are best summarised in a matrix detailing the minimum requirements for each grade and showing the actual level of competence for each role holder. Such a matrix should be supported with evidence confirming qualifications, training, experience, aptitude and fitness.

### 4.2 Role Specific Competency Requirements

#### 4.2.1 Design

The design procedures shall be overseen by a nominated approving design engineer who shall be registered as an Incorporated Engineer, or higher, with an appropriate recognized professional institution (such as CIWEM or IWO) and be experienced in the design of new water mains and services.

Technicians engaged on the design of 'simple' potable water mains and services installation should be able to provide evidence of both competence and knowledge and understanding of water industry requirements and design activities. This may be achieved by an appropriate combination of education, training and practical experience relating to the design activity undertaken.

The competence of any design technicians should be reviewed at least annually by the nominated approving design engineer and the outcome of such reviews documented.

#### **4.2.2 Project Management**

Those involved in delivering works as project managers shall have the technical competency to manage the subcontract relationship and interface with the adopting utility company to ensure that the works constructed are to specification for adoption in line with the adopting utility and industry standards.

Project management UCPs shall appoint a suitably qualified Technical Advisor to oversee the process and they shall be qualified to a minimum level of Incorporated Engineer status in CIWEM, IWO or an equivalent Institution and have experience of new mains and service provision.

The Technical Advisor may be an employee of the UCP or employed on a consultancy basis. If employed on a contract basis then their responsibilities shall be clearly defined within the contract of employment.

The Technical Advisor shall be responsible for overseeing the role competency process. Records shall be kept of all competency assessments together with the supporting evidence obtained during the competency interview and these should be reviewed and updated at least annually.

Those responsible for project management site supervision/delivery co-ordination shall have relevant education, training and practical experience. Qualifications may include NCO(W) or NVQ Level 2 Utilities Distribution DS100, 101, 102 and DS 200, 201 and 202 or equivalent. Alternatively they have had more than 5 years performing that role in another utility sector and have attended training courses by a recognised water industry training provider giving an appreciation of mains and service laying work.

Until such time as someone responsible for project management site supervision/delivery co-ordination has been assessed as competent to perform the role unsupervised by the Technical Advisor, and the decision documented, their technical audit function shall be overseen by the Technical Advisor, or someone assessed as being competent by the Technical Advisor.

#### **4.2.3 Construction**

All employees engaged in construction activities done under the scheme shall be required to have a hygiene certificate valid for the location where they are working. Human Resources practices shall ensure that the hygiene certificate requirements are maintained and that sickness and other absences are managed in accordance with hygiene requirements.

Persons engaged in the installation of potable water mains and services shall be able to provide evidence of both competence and knowledge and understanding of the construction phase. This may be achieved by an appropriate combination of education, training and practical experience relating to the construction activity undertaken. Formal qualifications may include Incorporated Engineer registration or higher through CIWEM, IWO or other appropriate institution.

**Technical Advisor** - Where line managers do not have appropriate background, qualifications and experience a Technical Advisor shall be nominated by the UCP to oversee the competency assessment process, approve and carry out annual reviews of the method statements and perform periodic quality audits. The Technical Advisor shall have an appropriate level of relevant sector specific education training and practical experience relating to the provision of mains and services. Professional qualifications may include Incorporated Engineer registration or higher through CIWEM, IWO or other appropriate institution

**Line manager** – Relevant education training and practical experience.

**Supervisor** – Relevant education training and practical experience. Qualifications may include Network Construction Operations (Water) at Supervisor level or previous relevant qualifications such as NVQ Level 2 Public Utilities Distribution DS100, 101, 102 and DS 200, 201 and 202 or equivalent units in the 5831 Scheme

**Operative** - Relevant education training and practical experience as detailed below:

#### **Work in England and Wales**

UCPs doing work in England and Wales shall only use operatives on constructing new water assets who hold Network Construction Operations (Water) registration with EUS. As a minimum Team Leaders shall hold NCO(W) at Level 2 and Operatives NCO(W) at Level 1 and their registration scope shall cover the category of work being done.

*In the period to 30 June 2009 EUS can register operatives for NCO(W) through the 'grandfathers rights'/'experienced worker' route. UCPs will need to allow time for operative registrations to be confirmed before they can be engaged on water self-lay work.*

*Full details of the requirements needing to be satisfied by both new and experienced workers for NCO(W) are available on the EUS web site - [www.eusr.co.uk/](http://www.eusr.co.uk/).*

#### **Work in Scotland**

UCPs doing work in Scotland to WIRS accreditation shall only use operatives who hold DOMS registration with EU Skills covering all the activities they are required to perform. Where these operatives do not also hold NCO(W) registration with EUS the UCP shall, through undertaking a competency assessment before they do any work, determine that their operatives have the necessary skills for the activities they are required to undertake.

*Details of the requirements needing to be satisfied for DOMS registration are available on the EUS web site - [www.eusr.co.uk/](http://www.eusr.co.uk/).*

**Testing and Disinfection Operatives (all areas)** - Operatives engaged in testing and disinfecting new mains shall be able to demonstrate their competence in doing these activities. This will be through an appropriate mix of experience and training. For work done in Scotland such operatives shall hold appropriate DOMS modules.

**Administration** - Although formal qualifications are not generally required for administrative posts, measures of performance should be in place which ensures that the quality of the service is satisfactory and complies with the requirements specified for the work being done.

## 5. Sub Contracted Work

### 5.1 Sub-contracting arrangements

Where a UCP sub-contracts work for which they are accredited, the work to be sub-contracted shall either be:

- undertaken by a UCP who has a current Accreditation for the sub contracted scope of work;
- undertaken by a UCP who has Partial Accreditation for the scope of work to be subcontracted and that work is used as the basis to achieve Full Accreditation;
- on the basis of 'labour only,' - subject to compliance with section 5.2;
- be undertaken by a specialist subcontractor in the performance of the following activities;
  - directional drilling;
  - reinstatement.

### 5.2 'Labour Only' Sub-contractors

Where 'labour only' subcontractors are used the UCP shall clearly define responsibilities in respect of the labour only relationship which shall comply with the following:

1. subcontract personnel shall be fully integrated into the UCPs Health, Safety, Quality and Environmental and competency systems which include being fully inducted and working strictly in accordance with the UCPs safety systems and method statements;
2. document the PPE requirements of the labour only contractor (which shall be consistent with their own PPE standards) and ensure the requirements are implemented and that the PPE is maintained in good condition;
3. document the approved tools and equipment requirements and ensure that the requirements are implemented;
4. ensure that calibrated equipment falls within UCP's calibration regime or is verified by the UCP to be managed within an effective calibration management system. In the event that calibrated tools and equipment are sourced from a hire company then the order shall be placed with a hire company on the UCP's approved supplier list;
5. all materials shall be purchased by the UCP;
6. the Accredited UCP shall demonstrate effective management control process and structure to control on/off site activities.

### 5.3 Ground Workers

Ground workers are contractors, who work directly on-site for developers and who may have a basic level of competence to excavate trenches, lay ducts, backfill and potentially lay continuously coiled dead service pipe of not exceeding <32mm.

The Accredited UCP may agree with a developer to install new infrastructure in trenches excavated and re-instated by ground workers. This is recognized custom and practice and is acceptable provided the following procedure is implemented by the Accredited UCP.

Where ground workers are used;-

1. the UCP shall develop a procedure which details the specification for excavations, laying ducts, any allowable infrastructure and backfill;
2. the procedure shall be cross referenced in the contract with the developer;
3. the specification shall be presented to the Site Manager at the pre-start site meeting and this shall be documented;
4. the UCP shall implement an audit regime to ensure that the ground workers adhere to the specification and appropriate codes of practice;
5. the UCP shall be responsible for ensuring that work is done to the relevant standards.

## **6. Scheme Requirements**

### **6.1 Work Control and Management**

#### **6.1.1 Work Control and Management**

UCPs shall have procedures and systems for managing work from inception through to adoption by the adopting utility.

These procedures shall:

1. recognise adopting utility and industry specific requirements;
2. provide effective interfaces with other UCPs, adopting utilities and developers;
3. ensure technical compliance from support sections within the UCP;
4. establish and maintain information, in a suitable medium (e.g. paper or electronic format) that describes the core elements of the management system and their interactions.

#### **6.1.2 Adopting Utility Requirements**

UCPs shall establish procedures which ensure compliance with technical specifications and requirements for notices and communication specific to the adopting utility areas in which they operate.

UCPs should also know how to access the sector specific requirements of those adopting utility companies who operate in areas where the UCP is not currently active.

#### **6.1.3 Tendering, Planning and Construction**

Documented processes should be established to control the technical elements of Tendering, Planning, and Construction elements of work carried out under this scheme. These shall include processes for contract variation pre and post contract letting (including delegations of authority) and, where appropriate, feedback into the design process.

#### **6.1.4 Work Instructions**

UCPs shall have a process in place for the issue of documented work instructions.

Written work instructions shall;-

1. clearly describe the full extent of work to be carried out including layout and, as necessary, specification;
2. detail the limits of the work to be carried out;
3. include the name of the recipient and the issuer and should include a facility for sign off on completion by the recipient;
4. provide sufficient detail for work completed to be matched to a work instruction;
5. once signed off, be retained by the UCP for an appropriate time.

Work packs produced for issue to operatives shall include appropriate documentation which shall when relevant include;

- work instructions;
- method Statements & Risk Assessments (including site specific);
- appropriate drawings including utility drawings;
- assembly drawings/specifications;
- wayleave and easement routes;
- proposed route plans and access arrangements.

#### **6.1.5 Work Scheduling**

A process shall be available for work scheduling which shall ensure that adequate numbers of experienced/trained staff are allocated to effectively schedule work.

In work scheduling;-

- the methodology shall be defined (i.e. tee cards, white boards, software etc);
- all associated/inter-related activities should be co-ordinated by the work scheduling activity e.g. order of materials, provision of work packs, transport etc.;
- UCPs shall ensure that suitably trained and experienced resources are available to meet the work schedule programme and the effectiveness of the work scheduling process should be regularly reviewed.

#### **6.1.6 Issue of Work**

The issue of work shall be a formal arrangement which shall include procedures for the handover of work from any design/planning functions to the construction function.

In issuing work:

1. method statements and risk assessments shall be briefed and made available to all appropriate staff;
2. handover meetings should be formal and documented;
3. adequate arrangements shall be in place for the handover and continuity of projects in the event of planned or unplanned absences.

#### **6.1.7 Site Supervision**

Site supervision and the supervision of operatives and sub contractors shall be at a level to ensure compliance with safety and technical requirements.

Site supervision arrangements shall ensure that:

1. qualified Supervisors, as defined in Section 4, shall be appointed to site supervision responsibilities for all accredited scopes of work;
2. effective communications exist between supervisors and operatives;
3. progress of work is recorded;
4. relevant on site verbal instructions and agreements are recorded (site diaries, day books etc.)

### **6.1.8 Variations**

UCPs shall have procedures which detail how variations to the work are to be managed. These shall detail levels of empowerment and specify, in a format appropriate for operatives, which types of variation need to be referred back to the designer.

### **6.1.9 Adoption of assets**

UCPs shall have procedures for the formal handover of assets for adoption by the adopting utility. These procedures shall recognise staged completion and provide all the information required by the adopting utility including as-laid drawings, test certificates, Construction (Design and Management) Regulations (CDM) files and records of connected properties.

## **6.2 Methods of working**

### **6.2.1 Method Statements**

For the scopes of work undertaken UCPs shall prepare method statements detailing how the work is to be undertaken to the standards set by the adopting utility. Except where adopting utility Codes of Practice are used these shall provide a full description of how the work is to be undertaken, the standards to which the installation will comply, the material specification and how these criteria will be measured on site.

UCPs shall:

1. identify, in addition to those method statements prescribed below, those activities that require documented method statements providing guidance/instruction to operatives and ensure that adequate method statements are available for all relevant activities;
2. ensure, where adopting utilities require a variation to standard methodology not covered by a method statement, that the specific procedures are documented and that confirmation of acceptance is received from the adopting utility in advance of work commencing;
3. support, where appropriate, each method statement with a risk assessment identifying the risks associated with the work and the risk mitigating measures to be employed;
4. document responsibilities for the preparation and regular review of method statements and risk assessments;
5. review, at least annually, method statements for continued validity against current H&S legislation and technical requirements.

As a minimum UCPs carrying out construction activities shall have method statements/Codes of Practice covering the following activities;

- signing and guarding excavations and traffic management;
- safe working in the vicinity of buried plant;
- excavating procedure;
- moling;
- laying mains (in a range of materials suitable for clean and contaminated land) *[mainlaying scopes only]*;
- laying services (in a range of materials suitable for clean and contaminated land);
- electrofusion of PE pipe;
- butt fusion of PE pipe *[mainlaying scopes only]*;
- pressure testing of mains;
- disinfection of water mains;
- hygienic storage and handling of pipes and fittings;
- capture of meter details;
- contaminated ground procedures;
- disposal of liquid and solid waste;

Where UCPs are allowed to make 'routine'/in-line mains connections they shall prepare scheme specific method statements for the work and have procedures which ensure that the making of each connection is approved by the adopting water company before connection work is started.

### Design

UCPs with design accreditation shall have a method statement/procedure specifying their design practices from receiving information from the client to handover of construction pack to the constructor.

### Project Management

UCPs with project management scope shall ensure that the method statements of the contractors they employ deliver work to the scheme requirements. This may be achieved either by benchmarking against internal documentation or by documented, formal review of the contractors method statements by the Technical Advisor.

UCPs with project management scope shall also have a method statement/procedure specifying the project management role and which assigns responsibilities throughout the project life cycle.

## 6.2.2 Compliance with specification

Work undertaken shall be done to the standards and specification required by the adopting utility and in accordance with the working methods described in any method statements and work instructions.

## 6.2.3 Assessment of risk

UCPs shall have adequate procedures for assessing risk covering all key operations. These shall identify associated risks, preventative measures, management system procedures and methods of communication.

UCPs shall complete generic and/or project specific and site specific risk assessments as appropriate and these should be communicated to all relevant staff in advance of the work commencing.

UCPs;-

1. should retain for an appropriate time all risk assessments including those prepared by operatives on site immediately prior to carrying out works;
2. shall have available risk assessments for ensuring compliance with legal and other requirements e.g. COSHH, environmental issues, manual handling, confined spaces, PPE, working at heights etc.

#### **6.2.4 Equipment**

UCPs shall hold or have ready access to sufficient equipment to enable the timely and satisfactory completion of works under this scheme.

UCPs shall:

1. ensure that such equipment as necessary meets documented specifications and standards and is used in accordance with industry requirements;
2. establish procedures to satisfactorily manage the storage, issue, inspection, maintenance and re-calibration of equipment;
3. ensure that hired equipment is appropriate for the application including having valid calibration.

Equipment is any non consumable object used in the process of carrying out work under this scheme and includes, but is not limited to:

- test and measuring equipment;
- electrofusion and butt fusion equipment;
- lifting equipment;
- access equipment;
- portable electric tools, leads, transformers, generators etc.;
- mobile plant;
- light plant and tools.

### **6.3 Procurement**

#### **6.3.1 Procurement**

UCPs shall establish and maintain procedures to ensure that all materials, goods and services are procured and delivered to the correct specifications/requirements of the adopting utility.

The procedures shall ensure that:

1. only appropriately trained and competent staff undertake the technical aspects of the procurement function;

2. the material specifications and requirements of those adopting utility companies where the UCP is active are understood;
3. material schedules produced include sufficient technical specification details to enable accurate purchase orders to be raised;
4. purchase orders clearly identify the materials or services required and, when appropriate, refer to the relevant technical specification;

### **6.3.2 Approved Suppliers**

Materials, goods and services shall only be procured from suppliers/subcontractors which the UCP has approved.

UCPs shall:

1. maintain a list of all approved suppliers/sub-contractors and make the list available to all relevant staff;
2. have controls to prevent procurement outside of the approved supplier system or the provision of substitute materials;
3. have a procedure detailing the process for introducing new suppliers/sub-contractors onto the approved list;
4. have a procedure which determines the assessment/audit process to verify the ongoing suitability of existing suppliers/subcontractors. The level of assessment/audit should be determined by the criticality of the supplier/sub-contractor as determined by a risk framework process;
5. highlight, where appropriate, for inclusion within the management process risk register where the procurement function identifies that materials, goods and service can only be procured from a single source.

### **6.3.3 Goods Receipt and Storage**

Goods receipt processes shall ensure received goods comply with purchase requisition technical specifications and that any non conforming product is quarantined and not accepted into stock.

UCPs shall:

1. ensure that suitable storage is available at depots and/or onsite;
2. make instructions available to all staff responsible for storage of equipment or materials with special storage requirements;
3. ensure that materials are stored in accordance with industry specific best practice and any adopting utility requirements;
4. maintain records, as appropriate, of stored equipment.

## **7. Audit**

### **7.1 Technical Audit**

UCPs shall have an audit policy and a rationale regarding the levels of audit for particular work activities.

The audit policy shall:

1. check that the works are constructed in compliance with the appropriate industry agreed standards;
2. ensure that audits are carried out using competent staff;
3. plan audits to ensure, as far as is reasonably possible, that over a documented period the full range of activities performed by each operative (direct labour and sub contract labour) are audited;
4. ensure that identified deficiencies are closed-out within reasonable time periods;
5. make available internal audit reports, on request, to the accreditation body and adopting utility.

UCPs with project management accreditation shall have a technical audit regime independent to that used by their contractors.

### **7.2 Health, Safety, Quality and Environmental Audit**

As part of an overall risk based audit programme UCPs shall carry out site based Health, Safety, Quality and Environmental Audits.

UCPs:

1. should ensure that the frequency of these audits is determined using a risk based approach and is sufficient to provide reasonable assurance that required levels of performance are achieved;
2. shall record, the results of such audits, analyse for trends, and use for management review of performance;
3. shall address all deficiencies identified through the audit process or other investigations;
4. shall carry out such audits in addition to any inspections carried out as part of routine site supervision.

### **7.3 Managing Risk**

UCPs should regularly undertake audit checks of activities which form a scheme requirement for which the UCP is either reliant on others or for which the UCP delegates to others to perform.

Examples of situations where such risks can arise are:-

- reliance on scheme accreditation as the sole indicator of contractors ongoing competence (as the checks done on UCPs are limited in number and may only periodically sample the work elements being sub-contracted);

- checking that sub-contractors work to scheme requirements;
- ensuring that notices are issued to the adopting utility.

## **8. Contract Document and Record Control**

### **8.1 Documentation and Document Control Procedures**

UCPs shall establish and maintain procedures for controlling all documents, data and information required by the scheme accreditation so that:

1. these documents, data and information can be located and accessed by authorised personnel;
2. these documents, data and information are periodically reviewed, revised as necessary, and approved for adequacy by authorised personnel;
3. current versions of relevant documents, data and information are available at all locations where operations are performed;
4. obsolete documents, data and information are promptly removed from all points of issue and points of use;
5. archival documents, data and information retained for legal, knowledge preservation purposes etc. are suitably identified;
6. these documents, data and information are secure and, if in electronic format, are adequately backed up and recoverable.

### **8.2 Records**

UCPs shall establish and maintain procedures for the identification, maintenance and disposal of records. These records should be legible, identifiable and traceable to the activities involved. The records should be readily retrievable and protected from loss or damage.

Records per project/contract should include but not be limited to:

- Designs;
- contracts, drawings;
- technical, construction and maintenance manuals;
- inspection, commissioning, and calibration records;
- as laid records;
- audit results and any resulting corrective actions;
- standards and specifications (industry, BSI, ISO etc);
- health, safety, environment and quality;
- training and competency records;
- customer complaints.

## 9. Legislation, Standards and Guidance

### 9.1 Reference Library

UCPs shall have access to appropriate technical standards and guidance documents.

As a minimum this should include:

- UKWIR Code of Practice for the Self Lay of Water Mains and Services for England and Wales and/or Water for Scotland (2nd Edition);
- UKWIR Civil Engineering Specification for the Water Industry (CESWI 6th Edition);
- Adopting utility addendums to the UKWIR Code of Practice and/or Scottish Water requirements;
- Relevant WIS specifications. This should include WIS 4-32-08 - Specification for Site Fusion of MDPE Pipe and Fittings;
- A guide to Pressure Testing of Water Supply Pipelines and Sewer Rising Mains (published by WRc plc);
- Relevant Water Supply (Water Quality and Water Fittings) Regulations;
- Construction (Design Management) Regulations;
- The New Roads and Street Works Act and all related Codes of Practice and Specifications;
- Chapter 8 of the Traffic signs manual;
- National Joint Utilities Group (NJUG) publications;

## **10. Quality and Safety Systems**

### **10.1 Quality Management System**

UCPs shall demonstrate that they have an appropriate Quality Management System which covers the requirements of their accreditation.

Through their Quality Management Systems the UCP shall demonstrate that they have a good understanding of the requirements for constructing new utility infrastructure in accordance with the scheme.

The accreditation body will take credence of any accredited quality management systems where these systems fully cover the scheme activities.

### **10.2 Customer Complaints**

UCPs shall maintain a schedule of customer complaints and make this available to the accreditation body along with all investigations and details of action taken following such complaints.

### **10.3 Health, Safety, Quality and Environmental Systems**

UCPs shall demonstrate appropriate Health, Safety, Quality and Environmental provision that provide clear direction for the organisation to follow.

UCPs:-

1. shall establish a management structure to deliver these provisions which clearly allocates key safety responsibilities between managers, staff and contractors;
2. shall ensure that the organisation's Health, Safety, Quality and Environmental policies are communicated to all employees and sub-contractors;
3. should ensure that health, safety and environmental performance is measured against targets and that Health, Safety, Quality and Environmental policies are regularly reviewed and in the light of measured performance updated as required;
4. shall, where improvement needs are identified, ensure that timely and effective corrective action is taken and that staff are briefed on any lessons learnt.

#### **10.3.1 CDM Regulations**

Adequate procedures shall be in place to ensure compliance with the CDM Regulations both when the UCP has significant duty holder responsibilities under the Regulations or where the UCP is operating on a site controlled by others.

The procedures shall ensure that:-

1. staff given responsibilities under the Regulations shall be suitably trained and experienced;
2. when simply working as a contractor on a site to which the Regulations apply the UCPs operatives and sub contractors co-operate with those holding significant duties under the Regulations.

### **10.3.2 COSHH Regulations**

UCPs shall establish adequate procedures to ensure compliance with COSHH Regulations.

The procedures shall ensure that:-

1. responsibilities for COSHH compliance and for the preparation of COSHH assessments are clear;
2. a register of substances used by the UCP and covered by the COSHH Regulations is available;
3. those responsible for preparing COSHH assessments are adequately trained;
4. operatives using substances covered by the COSHH regulations have assessments or datasheets available and that they are adequately trained in order to avoid danger;
5. UCPs shall, as required, hold valid certification for the carriage and disposal of hazardous substances.

### **10.3.3 PPE and Other Safety Equipment**

UCPs shall establish procedures for the identification, provision, control and use of PPE.

The procedures shall ensure that:-

1. records are maintained for the issue of PPE and its condition is monitored;
2. high Visibility clothing is provided by the UCP to operatives and used by operatives to meet the requirements of NRSWA and other recognised standards or good working practices;
3. emergency equipment such as fire extinguishers and first aid kits for vehicles and such other emergency equipment as demanded by the work being carried out is provided by the UCP and maintained and stored in serviceable condition and is within its calibration date.

### **10.3.4 Safety Briefings**

UCPs shall establish a procedure for providing routine and ad hoc H,S&E briefings to operatives. Records of briefings, including subject matter and attendees, should be maintained.

### **10.3.5 Accident and Incident Investigation and Reporting**

UCPs shall have a documented procedure in place for the investigation and reporting of accidents and incidents.

This procedure should, with respect to work carried out under the accredited approval;-

1. allocate responsibility for accident investigation and reporting;
2. establish the make up of formal panels of enquiry into serious accidents or incidents;
3. require that root causes are sought and disseminated;
4. require that the client, adopting utility and accreditation body are informed of serious accidents or incidents;

## **11. Human Resources Systems**

### **11.1 Human Resource Procedures**

UCPs shall have HR procedures detailing recruitment, selection, interview and appointment criteria.

These procedures shall detail the competency requirements for the members of an interview panel and in regard to successful candidates;

1. require that qualifications and references from previous employers are verified;
2. require that results of any psychometric or trade tests (if appropriate) be recorded;
3. require that results of medical assessments (where appropriate) be held;

### **11.2 Job Descriptions**

Job descriptions shall be available for all personnel where the post holder's activities can materially affect work activities carried out under this scheme. As required for the accreditation scope this includes Designers, Project Managers, Technical Advisors, 1st line Managers (Supervisors), Team Leaders and Assistants etc. for all activities carried out under this scheme.

Job descriptions should detail:-

1. responsibilities with respect to Health, Safety, Environment and Quality;
2. minimum training/experience/qualification criteria for each post responsible for providing elements of the new assets;

Where advisors are appointed on a contract basis to support activities their role and the activities they perform should be documented and details of the terms and duration of their contract shall be provided to the Accreditation Body.

## **12. Training**

### **12.1 Training Policy**

UCPs should have comprehensive training records for individuals at all levels and a training policy to train, refresh and update staff as required.

The training policy:

1. should only procure formal technical and operational training from industry recognised training providers. Other training may be procured from bona fide training providers or from in house resources;
2. shall ensure that where training is provided to a person by the provision of personal supervision that such personal supervision is provided only by a person with suitable knowledge and experience;
3. should indicate circumstances where personal supervision is an appropriate form of training and, if so, detail its provision in terms of duration, number of occasions of provision, and the like. The receipt of personal supervision should be recorded in training records;
4. shall identify and comply with any specific training requirement of adopting utility companies where the UCP is active;
5. should ensure that employees have sufficient knowledge and training to be aware of and know how to deal with unexpected dangers arising from their activities or from the environment within which their activities take place.

### **12.2 Induction Training**

UCPs shall establish and maintain procedures to ensure that its employees and, where appropriate, its contractors and suppliers, especially when the activity is new to them, are aware of:

1. the standards and requirements to maintain scheme compliance;
2. the importance of compliance with all work instructions, safety rules, design and construction manuals and drawings, and other relevant policies and procedures;
3. their roles and responsibilities in achieving compliance with the organisation's policies and procedures;
4. the potential consequences of departing from work instructions, method statements, safety rules, design and construction manuals and drawings, and other relevant policies and procedures.

# Appendices

## Appendix 1. Accreditation management arrangements

Once a UCP has been assessed as satisfactorily performing the activities for which approval is sought a certificate of accreditation will be awarded which details the scope of approved activities. At this stage the name of the UCP, along with the scope of works for which they are approved, will be added to the list on the accreditation body website. Once they achieve Full accreditation, the UCP will be able to display the quality mark associated with the scheme.

### A1.1 Accreditation Process Overview

Once a UCP has been assessed as satisfactorily performing the activities for which approval is sought a certificate of accreditation will be awarded which details the scope of approved activities. At this stage the name of the UCP provider will be added to the list on the accreditation body website. Once they achieve Full accreditation, the UCP will be able to display the quality mark associated with the scheme.

### A1.2 Approval Process

The approval process has 2 key stages. These are gaining;

- a) Partial accreditation
- and b) Full accreditation.

To assist UCPs preparing for assessment, especially those who are new to scheme accreditation in any utility sector, a desktop review or gap analysis is usually undertaken.

Having gained Full accreditation the work and systems of the UCP are monitored by means of regular surveillance visits.

#### A1.2.1 Partial Accreditation

For Partial Accreditation the systems, procedures and documentation of the UCP are assessed for completeness and compliance with the requirements of the scheme. Where such procedures and documentation are already in place, their implementation will be assessed. Subject to the outcome of this assessment Partial Accreditation may be awarded entitling the UCP to tender and obtain work which can then be used to demonstrate site activities during an assessment for Full Accreditation.

Where a UCP has yet to recruit staff at the Partial accreditation stage they shall demonstrate that their recruitment strategy will ensure that competent personnel are in place before any work is commenced.

For the assessment UCPs should ensure that the Accreditation Body's representatives have access to those parties responsible for direct delivery of the work within the company and those who support the activity together with related systems, documentation and equipment.

The extent of assessment will be determined by the Accreditation Body having regard to the range, scale and geographical spread of work for which accreditation is sought.

Partial accreditation remains valid for 1 year by which time it should be upgraded to full accreditation by means of an on-site assessment. Where this is not possible the UCP will be subject to a surveillance visit to establish that the required systems, procedures and competencies remain in place. If these requirements are not demonstrated the Partial accreditation will lapse.

UCPs with Partial accreditation shall inform the accreditation body as soon as any work which requires accreditation is obtained so that an assessment for Full Accreditation can be arranged.

When a UCP demonstrates that they meet the requirements for Partial accreditation the Accreditation Body will issue a Certificate of Partial Accreditation; such certificates will remain the property of the Accreditation Body and shall be returned to them on their request.

Major deficiencies identified at the Full evaluation stage can lead to the accreditation body cancelling the Partial accreditation of the UCP.

### **A1.2.2 Full Accreditation**

The Full Accreditation of the UCP is dependent on satisfactory technical assessments of activities for which accreditation is sought.

To achieve Full Accreditation for any particular element of the requested scope then those elements shall be carried out by the UCP (or managed by the UCP if appropriate to the UCP's scope) and witnessed and assessed by the accreditation body. In order to progress from Partial Accreditation to Full Accreditation, UCPs shall make each activity available for assessment at the first possible opportunity.

Where work covering the full range of the scope requested is not witnessed the Accreditation Body will restrict any accreditation to the scope of work reviewed.

Award of Full Accreditation requires that systems and processes assessed for Partial Accreditation, but previously untried, are fully implemented and are operating effectively. UCPs shall also demonstrate a full understanding of the specific adopting utility requirements, specification details and contact arrangements.

The UCP shall be fully prepared for the assessment by the Accreditation Body's representative, and shall ensure the availability of appropriate personnel, documentation and site activities. Facilities and access to sites shall be arranged by the UCP in order that the Accreditation Body can witness all appropriate work activities.

Subject to satisfactory performance throughout the accreditation process Full Accreditation will remain valid for 3 years after which time a reassessment will be carried out.

Following completion of the assessment, and on acceptance of the ongoing surveillance program, the Accreditation Body will issue an Accreditation Certificate which will be valid for the term of the accreditation. The certificate will remain the property of the Accreditation Body and shall be returned to them on their request.

### **A1.3 Monitoring Of Accredited Utility Connection Providers**

Having gained accreditation the work and adherence to process of UCPs will be monitored through routine surveillance visits. The accreditation body will also respond to any reports of non-compliance.

Surveillance visits and any extra visits needed to investigate substantiated reports of non-compliance will be chargeable to the UCP.

#### **A1.3.1 Surveillance Visits**

The Accreditation Body shall verify through surveillance visits and periodic reassessment that the UCP has established, implemented and maintained procedures, systems and competencies which provide for a consistent quality of the delivered product/service and which conform both in terms of quality and safety to industry good practice. The Accreditation Body will apply a robust, consistent and transparent assessment regime which will focus on criteria to ensure that;-

1. individual competence is achieved and maintained to levels defined in Section 4;
2. systems are established and maintained to ensure that client requirements are accurately translated into Work Instructions;
3. appropriate equipment is safely operated by trained and competent operatives;
4. site based activities are performed competently, safely and in full compliance with company documented systems and processes;
5. interfaces with all stakeholders (especially developers and adopting utility companies) are managed in accordance with the scheme requirements;
6. procedures are in place to ensure that assets installed are accurately recorded and, following completion of the work, as laid drawings are issued to the adopting utility in a timely manner or in the case of an ongoing site, the completed as laid drawings are retained and made available on site until completion when they are issued to the adopting utility within agreed time frame;
7. installation specifications are compliant with the requirement of adopting utilities.
8. (where required) technical advisors are active in assessing competences and monitoring technical standards

#### **A1.3.2 Surveillance Visit Programme**

Each approved activity scope shall be subject to audit, as a minimum annually, with the first surveillance visit held within 6 months of accreditation being awarded.

Periodicity of surveillance will be based on:

- Scopes of accreditation;
- UCP's previous experience in this field;
- Assessed performance;
- Complaints;
- Results of internal and external audits.

The following table indicates typical frequency of visits based on number of employees, including support staff and subcontractors (excluding any who hold their own accreditation), who are engaged in the activity being accredited.

No of employees	Frequency of visits
>50	Quarterly
<50 >20	4 monthly
<20 > 10	6 monthly
<10	annually

### A1.3.3 Surveillance Visit Arrangements

Arrangements for routine surveillance visits will be agreed between the accreditation body and the UCP in accordance with the surveillance schedule specified at the time of accreditation. Should the volume of the UCP's work, or scope of the UCP's accreditation, change during the accreditation period then the surveillance visit programme shall be revised accordingly.

Where concerns about the compliance of a UCP are made to the accreditation body by adopting utilities or others additional investigation surveillance visits will be immediately arranged. If the non-compliance issue investigated is confirmed the UCP will be required to cover the cost of the investigation.

The accreditation body will routinely (normally annually) advise UCPs of the surveillance visit schedule (covering site and office activities) that needs to be witnessed. UCPs shall arrange with the Accreditation Body for surveillance visits to be undertaken no later than a month after the month specified in the schedule.

UCPs shall arrange with the Accreditation Body for surveillance visits (covering site and office activities) to be undertaken on their work in accordance with the agreed schedule.

In order that work activities can be assessed UCPs shall make reasonable provision for contestable work to be available for surveillance. Where it is necessary to change pre-arranged visits UCPs should give a minimum of 5 working days notice to the accreditation body.

UCPs shall ensure that site work made available is sufficient for an assessment of the full scope of their accreditation and the work being carried out is related to the actual construction of the asset (e.g. excavation only site works will not be sufficient as excavation is only an element of the tasks in constructing new infrastructure assets).

Where a surveillance visit is cancelled within the notice period an abortive visit charge based on the charge for a surveillance visit will be made. Where the planned activities are not being carried out at the time of the visit the Accreditation Body will make a charge for a further visit to assess the activities.

At least annually whilst undertaking surveillance visits the Accreditation Body expects to meet with any nominated technical advisors to ensure that they are taking active responsibility for the duties which are assigned to their roles.

#### **A1.3.4 Non Compliance with Surveillance Visit Schedule**

In the event that the UCP's programme of work does not incorporate any work meeting the requirements for a surveillance visit for a period which extends beyond one month of the surveillance visit due date then the accreditation status of the UCP shall be downgraded to Partial. Under these circumstances the surveillance visit programme shall be revised with the next visit set for 6 months after the surveillance visit was due, with subsequent visits done annually. These visits will be an assessment which is limited to ensuring competency and procedures/systems, against which the initial accreditation was awarded, are maintained.

As required for all holders of partial accreditation UCPs who have had their accreditation status downgraded must notify the Accreditation Body of their intention to start any work relating to their accreditation so that a surveillance visit can be arranged. Subject to the surveillance visit confirming that work is being done in accordance with the scheme requirements, and that the required systems and procedures are in place, then full accreditation shall be reinstated and ongoing surveillance visits re-established.

If a UCP considers that their ongoing workload is less than that used to determine the surveillance visit schedule they should notify the Accreditation Body and ask for the schedule to be re-assessed. However, as a minimum, to retain their accreditation UCPs shall present each scope of its accredited activities for surveillance audit annually.

#### **A1.3.5 Surveillance Visit Payments**

UCPs will be charged for surveillance visits carried out in accordance with the agreed programme or any which are subsequently arranged to close-out major deficiencies or the suspension/removal of accreditation.

UCPs shall pay all such charges promptly. Where surveillance visit payments become overdue the accreditation body is unable to commit to doing further visits. When this arises the accreditation will initially be suspended and if the payment has not been made by the end of the period of suspension the accreditation will be cancelled

## A1.4 Investigations and Removal of Accreditation

Accreditation shall be subject to cancellation or amendment by the accreditation body if a UCP:

- is found to have made false claims within the application for accreditation which are considered to impact on the integrity of the UCP;
- does not rectify, to the satisfaction of the accreditation body, the required remedial action within the agreed time scales to rectify a major or series of minor deficiencies;
- implementation of corrective action is subsequently found to have been inadequate to prevent a reoccurrence at any location of recently identified deficiencies;
- is found to continually fail to maintain safe systems of working and has working practices which result in the workforce or members of the public being exposed to danger or serious risk of injury through the use of faulty workmanship/working practice and faulty materials or materials not conforming to recognised standards;
- becomes bankrupt or insolvent;
- claims to have been approved for work not included at the time in the scope of their approval;
- commits a breach of any of the obligations imposed by the adopting utility;
- undertakes work below the standard required and demonstrates a lack of commitment to achieve the required standard or is unable to continue to comply with the criteria set out in the scheme requirements;
- makes use of the Scheme and /or the Quality mark or logo in a manner which, in the opinion of the accreditation body, is likely to bring the accreditation body or scheme into disrepute;
- carries out work with Partial accreditation without arranging for the Accreditation Body to undertake a full assessment;
- fails to make arrangements for surveillance visits in accordance with the agreed programme (unless section A1.3.4 applies);
- fails to incorporate into their procedures and working practices any changes made to the scheme by the Scheme Advisory Panel within an agreed time period;
- notifies the accreditation body that they no longer wish to be accredited for scopes of work.

The accreditation body shall notify the UCP in writing of the intention to cancel certification, fully detailing such reasons for its action. Normally, unless the nature of the non-conformance merits immediate action or is a reoccurrence of a recently closed deficiency, this will be in 2 stages. Firstly the UCP will be notified that their accreditation is being suspended and given a limited time to address the non-conformances giving rise to the suspension. If the non-conformances are not satisfactorily addressed during the allotted time period and steps are not taken to prevent a reoccurrence the accreditation will be cancelled.

Once accreditation has been cancelled then re-accreditation will be subject to a full re-assessment of the UCP.

## A1.5 Appeals, Complaints and Disputes concerning Accreditation

If the UCP wishes to object to action taken, including withdrawal of accreditation, by the accreditation body they shall, within twenty-one days of the issue of the notification to them, give notice in writing to the accreditation body of their objections setting out clearly the grounds for an appeal.

Any such appeal will be assessed by a panel within the accreditation body, independent of those members of the Accreditation Body associated with the original withdrawal action.

The results of the review will be communicated to the UCP in writing, detailing clearly the basis for the decision.

If the decision is not to the satisfaction of the UCP then they can appeal to the Scheme Advisory Panel which will be furnished with the basis for the original accreditation withdrawal and the findings of the appeals review. The Scheme Advisory Panel shall be the final arbiter of all such appeals.

The UCP and accreditation body shall bear their own costs associated with any appeal, regardless of the outcome.

Re-instatement of accreditation will be effected under the conditions prescribed by the accreditation body's review or that of the Scheme Advisory Panel, should the finding be that the accreditation withdrawal was not warranted.

Alternatively, if the appeals process finds the accreditation withdrawal to be the correct course of action then re-instatement of the UCP would entail a full re-evaluation.

## **A1.6 Re-certification**

At the end of the 3 year full accreditation period a reassessment covering all required scopes of accreditation should be undertaken.

The scale of this reassessment will take account of the performance of the UCP during the period of accreditation. If the UCP has performed satisfactorily over the accreditation period their accreditation is likely to be reviewed with minimum examination. However if the work carried out by the UCP is limited, or if a number of audit reports identify major deficiencies or a growing trend of minor deficiencies, an appropriately more in depth level of re-assessment will be required.

Having being satisfactorily reassessed and a surveillance programme agreed the UCP will be accredited for a further 3 years.

## **A1.7 Adopting Utility Requirements**

It should be noted that adopting utility companies have the right to insist on defective work being corrected and the right to refuse to adopt infrastructure if it is not fit for purpose even though the work may have been carried out by an accredited UCP.

### **A1.8 Notifications to Adopting Utility Companies**

The accreditation body will notify those adopting utility companies in whose areas a UCP is known to be active when action is taken to amend, suspend or terminate accreditation. Other information on accreditation status will be shown on the scheme specific website maintained by the accreditation body.

## Appendix 2. Guidance on Project Management Function

### A2.1 Requirement to Hold Project Management Scope

The project management scope is for UCPs who do not themselves carry out construction activities but who manage this work by subcontracting such activities to UCPs with the required construction accreditation.

Many different types of project management company exist; ranging from those who simply introduce constructors to the client (developer or whoever) to those who have a detailed involvement in controlling construction activities. Nevertheless there are minimum requirements expected of UCPs with project management accreditation which need to be established and maintained throughout the accreditation period. Whilst these are detailed throughout the main body of the scheme requirements this summary provides an overview of the project management scope requirements to aid companies in preparing for accreditation assessments and ongoing surveillance visits.

#### Notes

1. *There is not normally a requirement for UCPs who simply introduce contractors to the client and where the construction UCP does all the liaison with the host utility and the on-site liaison with the client to be accredited as project managers.*
2. *Where a UCP holding construction accreditation operates as a project manager (employing a UCP with the required construction accreditation rather than doing the work under their direct supervision) they must demonstrate compliance with the project management scope requirements.*

### A2.2 Requirements of the Project Management Scope

Although they employ an accredited UCP to undertake construction work project management UCPs need to get involved in many technical aspects of new infrastructure delivery. Hence they need to be able to demonstrate utility sector specific technical understanding and competence alongside their project management capability.

### A2.3 Scheme Project Management Responsibilities

For the project management scope UCPs are responsible for:-

- ensuring that the constructed assets are to the standards required by the host utility
- providing clear instructions, which fully detail the technical requirements, to their contractor
- appointing construction UCPs who are competent in doing the work using criteria which do not simply rely on their accreditation

- giving technical direction and guidance to their contractor
- ensuring that work done by their client/developer meets the requirements of the host utility
- meeting the notice and communication requirements of the host utility
- providing, to the specified timescale, all the information required by the host utility on adoption of mains, services and meter installations
- managing variations and ensuring that they are involved in agreeing all changes
- ensuring that there is good communication between all parties

#### **A2.4 Requirements of an Accredited Project Manager**

To be awarded project management accreditation UCPs needs to demonstrate that they have;-

- systems and procedures in place which competently manage work from receipt of design through to handover/adoption and which assigns responsibilities throughout the project life cycle
- a thorough understanding of host utility requirements
- arrangements in place to access the required technical standards
- a clearly defined interface between themselves and their contractor such that it is obvious who is responsible for each element of the scheme requirements.
- a technical advisor who has been given a clear and workable remit to ensure technical compliance.
- staff appointed (or, at the partial stage, plans to appoint staff) who have been assessed as having the required technical understanding to oversee work issue, delivery and on-site audits
- a training and development plan for their staff
- arrangements to cover any competency gaps amongst their staff until such time as training has been delivered and competency re-assessed
- agreed working methods with their contractors covering all aspects of the work being done
- arrangements which meet all CDM requirements
- documentation covering all stages of the project
- adequate interface arrangements with other stakeholders including the developer/client and the host utility
- audits and checks being routinely done covering the work of the project manager and of their UCP contractor
- follow through and close-out arrangements for identified deficiencies
- identification of compliance risks, covering the aspects of work they do themselves or which their contractor does on their behalf, and have taken appropriate action to mitigate these risks
- regular reviews meetings with their contractor

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