



# WIRS Requirements Document

## Water Industry Registration Scheme (WIRS)



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## 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, and
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, and
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.

### **Changes in Version 2.3 (July 2009)**

1. Section 3 – to enhance the definitions of scope limitations and that controlling work outside the scopes actually held is not permitted, and
2. Section 5 – to specify the arrangements that need to be in place when testing and disinfection work is subcontracted.

### **Changes in Version 3 (March 2010)**

1. Addition of scope covering connection of routine mains connections (in Section 3, 4, 5 and 6);
2. Changes made to previous document covering:
  - a) Documentation required to support systems;
  - b) Quality and supervisory arrangements required for Project Managers;
  - c) Method statements become a standalone section (Section 6) and Work control and management;
  - d) (excluding method statements) becomes Section 7 (with subsequent sections renumbered);
  - e) Human Resources and Training combined in new Section 12;
  - f) Duplication in risk management requirements removed (Section 7 requirements included in Sections 2), and
  - g) Accreditation management arrangements (in Appendix 1) updated to provide further information on how surveillance visits and re-accreditations are managed.

### **Changes made in Version 3.1 (April 2010)**

1. Terminology changed from systems and procedures to ‘procedures and processes’ (to align with terminology in updated GIRS and NERS) and some wording repositioned.

### **Changes made in Version 3.2 (January 2011)**

1. Changes to NCO (W) registration categories made in Section 4.2.3, and
2. Requirements relating to use of WIRS Registration Mark added to Appendix 1 in Section A1.9.

#### **Changes made in Version 4.0 (January 2012)**

1. Additional scopes introduced relating to newly contestable work in Scotland;
2. Controls relating to work on live networks enhanced, and
3. Separation of first-time accreditation for mains and service laying (Section 3.3).

#### **Changes made in Version 4.2 (April 2013)**

1. Additional scopes introduced relating to Permanent Disconnections work in Scotland, and
2. Documentation wording updated within requirements.

Note – changes in Version 4.2 are highlighted in blue.

#### **Changes made in Version 5.0 (August 2014)**

1. Alignment with other Lloyds Register scheme requirement documents.
2. Trainee status added.
3. Formatting and Appendix 2 inclusion within table of contents.

Note – changes in Version v5 are highlighted in and blue.

#### **Changes made in Version 6.0 (October 2018)**

1. Changes to section 3.4. and 3.7.
2. Changes to section 4.2.4 – Routine and no-Routine Mains Connections.

Note – changes in Version v6 are highlighted in and yellow.

#### **Changes made in Version 7.0 (April 2021)**

1. Updated for Water Sector Guidance and DCS for England and Self-Lay CoP v3.1 (for Wales), January 2021;
2. Updated to reflect CRUPC scope accreditation;
3. Changes due to periodic review of surveillance visits;
4. Updated the process for SCP/CP registrations with EUSR (March 2021), and
5. Section 5.2 Labour only subcontracting updated.

**Note – changes in Version 7.0 are highlighted in cyan.**

#### **Changes made in Version 7.1 (November 2021)**

1. Removal of references to Lloyd's register following the change of name to LRQA.

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# 1 Introduction and Purpose

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

The document details the assessment criteria against which WIRS Providers 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 WIRS Providers 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. WIRS Provider compliance is demonstrated by means of a thorough assessment of WIRS Providers' procedures and processes 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 WIRS Providers under the scheme and details what needs to be completed to maintain accreditation.

WIRS scopes cover water mains connection work, meter maintenance and permanent disconnection activities (a greater range of work being able to be completed in Scotland than is available in England and Wales) and opening up these scopes has necessitated the introduction of enhanced control requirements for work carried out on live water networks.

## 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 WIRS Providers in accordance with the Scheme and has been approved for doing so by the Scheme Advisory Panel.

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

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

**Adopting Utility** – The company which will be adopting the constructed asset. For assets not to be adopted this is the utility company to whose system the asset being worked on is either already connected or is to be connected.

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

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

**Contestable Work** – Is work that can be undertaken by a WIRS Provider as defined by the [Water Sector Guidance in relation to the adoption of self-laid assets by Water Companies in England](#) or Water for Scotland (A design and construction guide for developers in Scotland). [The existing Self-Lay Code of Practice for England & Wales v3.1 still applies to work in Wales only.](#)

**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.

**Procedure** – a specified way of carrying out a process or activity. Where specified procedures shall be documented, such procedures shall be version controlled with the approver/authoriser of each document identifiable. The media used for documented procedures shall enable the information to be readily accessible by those working on associated activities.

**Process** – a set of interrelated activities for transforming inputs into outputs.

**Project Management** – A scope of work performed by a provider who seeks to subcontract scopes of work for which it is not accredited, to a provider which is accredited to perform the subcontracted work.

**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’.

**Scottish Water WIRS Advisory Group (SWWAG)** – Subgroup of WIRSAP that focuses on matters relating to application of WIRS in Scotland.

**WIRS Provider** – 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;
- controls are insignificant to mitigate risk to water hygiene and/or impact on users of existing water network;
- work being carried out and/or working practices that are not in accordance with:

For England:

Water Sector Guidance in relation to the adoption of self-laid assets by Water Companies in England;

For Wales:

The existing Self-Lay Code of Practice for England & Wales v3.1.

For Scotland:

Water for Scotland (A design and construction guide for developers in Scotland), and

The Scottish Water Distribution Operations Maintenance strategy (DOMS) scheme.

- the adopting utilities published annual contestability summary and the Water Sector Guidance in relation to the adoption of self-laid assets by Water Companies in England;
- 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 and the certifying body (LRQA EMEA) informed about a weekly work programme (in particular the process for Full certification and the continuous predetermined surveillance visits schedule) upon evidence of a systematic failure in the process;
- contestable works performed which are outside the WIRS Provider's registered scope (unless prior approval by the adopting water utility has been sought);
- non-compliant use of persons on contestable work, i.e. failure to hold appropriate NCO (W) registration or evidence of application, and
- connections made to properties where the supply pipe has not been approved by the adopting utility company or self-certified with the adopting utility company's requirements, and a controlling stop-tap is not fitted in the property, and

Minor Deficiencies occur where there is: -

- objective evidence that there is a weak element within the management systems procedures, processes and controls 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 and procedures, and
- a failure to observe customer care protocols.

Observations are made where:

- the accreditation body identifies potential improvements for the WIRS Provider to mitigate against compliance or delivery risks, including related impacts on the adopting utility's own performance, and

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

## 1.4 Abbreviations

<b>ACS</b>	-	<b>Annual Contestability Summary</b>
CABWI	-	The Certification and Assessment Board for the Water Industry
CDM	-	Construction, Design and Management Regulations
CESWI	-	Civil Engineering Specification for the Water Industry
CIWEM	-	Chartered Institution of Water and Environmental Management
CoSHH	-	Control of Substances Hazardous to Health
CPCS	-	Construction Plant Competence Scheme
<b>DCS</b>	-	<b>Design Construction Specification</b>
DOMS	-	(Scottish Water) Distribution Operations and Maintenance Strategy
EUSR	-	Energy and Utility Skills Register
HSWA	-	Health and Safety at Work Act
HSE	-	Health and Safety Executive
ICE	-	Institution of Civil Engineers
IWO	-	The Institution of Water Officers
LRQA	-	LRQA (EMEA)
<b>NAV</b>	-	<b>New Appointments and Variations</b>
NCO (W)	-	National Construction Operations (Water)
NJUG	-	National Joint Utilities Group
NRSWA	-	New Roads and Street Works Act
<b>SL CoP</b>	-	<b>Self-Lay Code of Practice v3.1</b>
(S) NVQ	-	(Scottish) National Vocational Qualification
PE	-	Polyethylene
PPE	-	Personal Protective Equipment
SHEA	-	Safety, Health and Environmental Awareness
WIRS Provider	-	WIRS scheme connections provider (UCP/SLO)
<b>WSG</b>	-	<b>Water Sector Guidance in relation to the adoption of self-laid assets by Water Companies in England</b>

## 2 Responsibilities

Accreditation is a demonstration that procedures, processes and competencies have been established by a WIRS Provider 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 WIRS Provider. This is verified through an ongoing surveillance audit programme which checks, over the period of accreditation, work carried out and supporting procedures.

Where the adopting utility has a requirement for an agreement to be entered into this must be completed before any work commences. WIRS Providers shall comply with all changes to adopting utility **Design Construction Specification (DCS) under the Water Sector Guidance in relation to the adoption of self-laid assets by Water Companies in England, DOMS requirements for Scotland and Self-Lay CoP v3.1 for Wales.**

### 2.1 WIRS Provider responsibilities

WIRS Providers 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. **work to the current DCS published by the adopting water company and agreements, and to the standards contained in the WSG;**
4. be pro-active in monitoring the quality of their work without reliance on the Accreditation Body or the Adopting Utility;
5. arrange with the Accreditation Body for visits to be completed in accordance with the agreed surveillance programme;
6. immediately cease work and implement improvements when a major deficiency is raised where the work could directly affect a live water network;
7. ensure deficiencies identified by the accreditation body are closed out within agreed time scales;
8. ensure that identified workmanship issues are rectified before work proceeds or otherwise agreed with the Adopting Utility;
9. notify the Accreditation Body of the following:
  - changes to key personnel including contact details;
  - changes to ownership;
  - HSE notices issued on them, and
  - award of the first contract for a scope of work for which partial accreditation is currently held.
8. rectify any defects notified by the accreditation body, or the adopting utility, that are the WIRS Provider responsibility;
9. provide information required by any relevant regulatory bodies;
10. increase audit frequencies where poor performance is identified, and
11. provide regular feedback to WIRS Advisory Panel and any local Advisory Groups (such as established in the Scottish Water area).

## 2.2 Risk Management

WIRS Providers should establish a risk management process which evaluates on going risk to their accreditation status, i.e. risks which could affect accreditation compliance have been identified and arrangements are in place to mitigate these risks. Subcontracted aspects of their accredited scopes of work should be incorporated into this process.

Examples of where risks to accreditation can arise are:

- reliance on scheme accreditation as the sole indicator of contractors on-going competence (as the checks completed on providers are limited in number and may only periodically sample the work elements being sub-contracted);
- inadequate checking of sub-contracted activities or not ensuring that scheme requirements delegated to others are being adequately performed, and
- turnover and consistency of qualified and competent staff.

## 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 WIRS Provider business constraints;
5. take action to investigate/suspend WIRS Providers who do not promptly respond and take the required action when a major deficiency being raised;
6. maintain minimum assessor competency requirements as defined by the Scheme Advisory Panel;
7. ensure any information determined in respect of the WIRS Providers 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, and
8. inform the adopting utility companies of imminent changes in status of accredited WIRS Providers.



## 3 Scopes

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

WIRS Providers shall only do work within the specified parameters of their accreditation scope(s). This means that they shall observe any capacity, size or geographical limitations along with any other constraints that apply to their accreditation.

Where scope limitations preclude a WIRS Provider from providing a 'complete solution' to their client they must not have any involvement in controlling the work that falls outside the accreditation they hold. Instead a suitably accredited WIRS Provider, or the host utility, shall separately undertake all work elements that are outside the authorised scope of the 'original' WIRS Provider and the adopting utility and LRQA shall be formally notified of the arrangements that have been put into place.

Where construction activities are being project managed the 'project management' WIRS Provider shall ensure that the work being completed is within the scope of the 'construction' WIRS Provider.

All work specification and design not completed by the adopting utility shall be completed by a WIRS Provider holding design accreditation. However, where the new infrastructure adoption agreement issued by the adopting utility company is with a 'construction' or 'project management' WIRS Provider who does not hold design accreditation that WIRS Provider may act as the primary interface between the client, the adopting utility and the design WIRS Provider.

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

Note: WIRS Providers who hold accreditation in any of the construction categories are not required to hold project management accreditation but where such WIRS Providers 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, WIRS Providers shall demonstrate documented procedures and processes which satisfy national and [adopting utility Design Construction Specification](#) and which incorporate the requirements of Health and Safety Legislation and accepted design guidance.

Design processes and procedures should cover the complete life cycle of the design process from engagement of the client to the completion of the handover pack to the constructor.

For the Design scope, the WIRS Provider 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.

The design procedures shall cover arrangements, as specified below, 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, including bridges;
- maximum design pressure exceeds 40m head;
- adopting utility determines (at the point of connection stage) that the design is complex, and
- the impact of the work on the water network is such that the adopting utility classifying the design as complex.

All other designs being classified as 'simple'.

## 3.2 Project Management

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

For the project management scope category WIRS Providers are required to have documented procedures and processes 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 procedures and processes shall define responsibilities for the listed aspects throughout the project life cycle.

WIRS Providers shall ensure that their quality control and supervisory arrangements are sufficient to ensure that the work is constructed to the required quality standards and that all adopting utility requirements are satisfied. The adequacy of these arrangements should be checked through a risk-based evaluation.

## 3.3 Construction of Mains and Standard Services

This scope covers the laying of water mains and/or services, including associated installations in full technical compliance with the edition current when the adoption agreement for the work is issued in England **via the WSG**, and Wales **via the Self-Lay Code of Practice v3.1** or, in Scotland, Water for Scotland and the adopting utility requirements.

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

Scope categories categorise work in terms of the external diameter of the largest pipe being installed.

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

### **a. Construction of Mains and Services - All works (CMS)**

This scope includes off-site work and on-site work with pipe diameters including those above

355mm diameter plus services as defined for category e. Note – The award of CMS (All works) for new WIRS Providers and WIRS Providers at their first Partial Status shall be upon the completion of award of both CS and CMA scopes, i.e. separate certifications for CS and CMA at full.

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

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

**c. Construction of Mains on Development Sites (CM)**

This scope covers work on development sites with mains up to 355mm diameter.

**d. Construction of Mains (CMA)**

This scope includes off-site work and on-site work with pipe diameters including those above 355mm diameter.

**e. Construction of Services (CS)**

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

### 3.4 Construction of Routine Mains Connections

In England, WIRS Providers are only able to carry out the CRMC scope and, before being assessed for this scope, need to hold full accreditation for a main laying construction scope.

In England, WIRS Providers are able to carry out the CRUPC scope where the host water company allows this scope within their operating area of supply in accordance with the host water companies annual contestability summary (ACS) , and before being assessed for this scope, need to hold full accreditation for a main laying construction scope.

In Scotland, WIRS Providers can carry out any of the routine mains connections scopes within the correct level of their accreditation, i.e. without having CMS/CMA scopes first.

In Wales, currently under the Self-Lay Code of Practice v3.1, this scope (CRUPC), is not available.

For full accreditation to be awarded a connection needs to be successful audited on site by the Accreditation body.



**a. Construction of Routine Mains Connections (CRMC)**

This scope covers the making of routine main connections (defined as controlled routine in-line connections which do not affect supplies to existing customers) as detailed in the documentation agreed by the water industry in full technical compliance with the scheme **and adopting utilities DCS**.

**b. Construction Routine Under Pressure Mains Connections (CRUPC)**

This scope covers the making of any size under pressure mains connections. **This is an additional scope to the CRMC scope as detailed in 3.4a) above.**

### 3.5 Construction of Non-Routine Mains Connections

These scopes are only applicable to WIRS Providers working in Scotland.

*For full accreditation to be awarded a connection needs to have been successful audited on site by the Accreditation body.*

**a. Construction Non-Routine Basic Branch Mains Connections (CNRBC)**

*This scope is restricted to cut-outs on mains up to 180mm diameter and to connections to either PE or iron mains or classified as ‘complex’ by the adopting utility at the network impact assessment stage.*

**b. Construction Non-Routine Complex Mains Branch Mains Connections (CNRCC)**

*This scope covers all work 180mm diameter and above and work falling outside the non-routine basic mains connections scope.*

### 3.6 Permanent Disconnections

This scope is only applicable to WIRS Provider working in Scotland.

*For full accreditation to be awarded a connection needs to be successful audited on site by the Accreditation body.*

For work in England and Wales, the WIRSAE Requirement document specifies the scope requirements.

*This scope is restricted to permanent disconnecting the service supply for non-household premises only. The scope will cover all work associated to the requirement of a permanent disconnection, approved by the adopting utility.*

**a. Permanent Disconnection Non-Household Premises (PDNHP)**

*This scope covers work on adopting utility pipework.*

### 3.7 Meter Installation Maintenance Activities

*These scopes are only applicable to WIRS Providers working in Scotland.*

For work in England and Wales, the WIRSAE Requirement document specifies the scope requirements.

*These scopes cover work on meter installations which is completed downstream of the valve controlling the metered connection. This includes installation, accuracy testing, repair and/or replacement, exchange, temporary disconnection of metered supply points and subsequent re-connection of metered supply points in compliance with the Scottish Water Meter Code of Practice (published by Scottish Water).*

**a. External Routine Meter Installation Maintenance (ERMIM)**

This scope covers work on **adopting utility pipework**.

**b. Internal Routine Meter Installation Maintenance (IRMIM)**

This scope covers work on **customer/private** pipework.

**c. All Routine Meter Installation Maintenance (ARMIM)**

This scope covers meter installation work on **all pipework**.

## 4 Role Competency Requirements

### 4.1 General Competency Requirements

WIRS Providers 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.

WIRS Providers 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, on-going 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, and
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

Persons engaged on the design of water infrastructure shall be able to provide evidence of competence incorporating the necessary skills, knowledge and understanding of the design activity. This may be achieved through an appropriate combination of education, training and practical experience relating to the design activity undertaken.

The design procedures shall be overseen by a nominated approving design engineer who shall be experienced in the design of new water mains and either:

- i) registered either as an Incorporated Engineer, or higher, with an appropriate recognized professional institution (such as CIWEM, ICE or IWO);
- ii) S/NVQ Level 3 in Network Mains Design / CABWI Level 3 - Diploma Designing Water Networks.

Technicians engaged on the design of 'simple' potable water mains and services installation should be able to provide evidence of both competence and knowledge/understanding of water industry requirements and design activities and should hold S/NVQ Level 3 in Network Mains Design / CABWI Level 3 - Diploma Designing Water Networks.

The competence of each design technician shall be audited at least annually by the nominated approving design engineer and the outcome of such reviews documented.

Where a Design Scope is held as a sole trader capacity, i.e. providing Design services only, the competence of the nominated approving Designer shall be audited and assessed on an annual basis by an Independent Technical Advisor or independent nominated and approved Design engineer.

#### **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 WIRS Providers 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, ICE, IWO or an equivalent Institution and have experience of new mains and service provision.

The Technical Advisor may be an employee of the WIRS Provider 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.

WIRS Providers may appoint a consultant solely for submission of applications and agreeing the work with the adopting utility. Where this arises those responsible for the subsequent delivery of the agreed work must fully satisfy the scheme requirements.

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 completed under the scheme shall be required to have a national hygiene and a Safety Health and Environmental Awareness (SHEA - Water) registration with EUSR together with any supplementary hygiene certification (Blue Hygiene Card) required for the location where they are working. WIRS Provider Human Resources practices shall ensure that the hygiene registration requirements are maintained and that sickness, and other absences, are managed in accordance with hygiene requirements.

All personnel engaged in construction activities shall hold WIRS Provider issued identification. For WIRS Providers employing contractors on a direct labour only basis, the requirement is that the direct labour personnel shall have identification documents issued by the WIRS Provider.

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 shall include those that facilitate EUSR registration or appropriate professional membership such as Incorporated Engineer registration or higher through CIWEM, IWO or other appropriate institution.

**Technical Advisor – A Technical Advisor shall be appointed by the provider to oversee the competency assessment process, approve and carry out annual reviews of the method statements and perform periodic technical audits.** The Technical Advisor may be an employee of the provider or employed on a consultancy basis and 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.

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.

**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. Experienced Supervisors may also be registered if they are able to demonstrate evidence to meet the criteria shown on the EUSR website.

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

WIRS Providers completing work shall only use operatives on constructing new water assets who hold Network Construction Operations (Water) registration with EUSR.

As a minimum,

WIRS Providers constructing new water assets must only use operatives who hold Network Construction Operations (Water) registration with EUSR. All NCO (W) registrants including Trainees must also hold current National Water Hygiene Card and Utility SHEA (Water) Network registration with EUSR.

**Team Leaders** shall hold NCO (W) at Level 2 and their registration scope must cover the category of work being undertaken.

**Assistants** shall hold NCO (W) Assistant registration (Level 1).

**Operatives** shall hold NCO (W) at Level 1 and their registration scope shall cover the category of work being completed.

Where experienced operatives who are new to the water sector who do not hold valid NCO (W) registrations then they must be registered as trainees at the level most appropriate for their experience or present evidence of registration:

- i) **Trainees (Probationary)** - registration will be suitable for new entrants into the water utility industry with no previous experience. The registration will last for 15 months only by which time the operative will be expected to have achieved registration as NCO (W) Assistant by successfully completing an NVQ Level 1 (or equivalent) qualification. Suitably competent trainees may progress to NCO (W) Level 2. Formal training should commence no later than three months after initial EUSR registration at commencement of employment, or
- ii) **Trainee (Experienced Worker)** - registration will be suitable for operatives who are experienced in the installation of utility assets but are not registered as NCO (W). The registration will last for 12 months only by which time the operative will be expected to have achieved registration as NCO (W) Assistant by successfully completing an NVQ Level 1 (or equivalent) qualification. Suitably experienced trainees may progress to NCO (W) Level 2.

Applications to EUSR for registration of operatives as NCO (W) Trainee must be authorised by the WIRS Providers Technical Advisor.

**Requests for extensions to the 15 and 12-month registrations period for an operative must be made to the Accreditation Body detailing the reasons for the extension and the proposed extent of the extension. The Accreditation Body will review the request and notify the WIRS Provider and EUSR of their decision.**

## Summary

- All operatives will be registered as NCO (W) with EUSR;
- EUSR Trainee (Probationary) registration period allows for a three-month probationary period for new entrants;
- EUSR Trainee registration will be made without the need to prove that the trainee has enrolled on a relevant NVQ;
- A Trainee (Probationary) can act as the second man within a gang as long as there is adequate supervision of the project by the requirement to have in place a first man with NCO (W) L2 qualifications as a minimum;
- Failure to register a new employee with EUSR as a Trainee (probationary or experienced) at the start of employment will result in a major non-conformance against the scheme requirements, and
- Failure to register a trainee (probationary or experienced) with an NVQ qualification provider by the end of the first three months of employment will result in a major non-conformance against the scheme requirements.

Full details of the requirements needing to be satisfied for NCO (W) are available on the EUSR web site – <http://www.eusr.co.uk/>

WIRS Providers also need to ensure that their operatives satisfy any additional competence requirements specified by individual water companies when they are undertaking work in areas where these water company specific requirements apply.

### **Work in Scotland (additional)**

WIRS Providers working in Scotland may use operatives who have obtained written permission from the adopting water company which allows the operatives concerned to work on a specific project.

As a minimum, with NCO (W), Team Leaders should hold NCO (W) at Level 2 and Operatives NCO (W) at Level 1 and their registration scope shall cover the category of work being completed.

Water Distribution Trainee Status: The following pre-requisites are required prior to registration for trainee status in Scotland;

1. EUSR National Water Hygiene registration,
2. SW DOMS Registration that includes Modules 1 – 13 (minimum),
3. EUSR Safety, Health and Environmental Awareness (SHEA) (Water), and
4. Registration with training provider for relevant water distribution construction training.

WIRS Provider's involved in any valve operations on the water distribution network shall be able to demonstrate competence and prior training specific to valve operations. This may be demonstrated through the completion of any relevant S/NVQ unit accreditation in water distribution control at level 2 or leakage control at level 3 and/or recognised prior training in valve operations such as the City & Guilds 5831 scheme along with completion of the relevant SW DOMS module.

WIRS Providers doing work in Scotland to WIRS accreditation shall, in addition to satisfying the NCO (W) requirements, only use operatives who hold DOMS Module registration with EUSR covering the modules specified by Scottish Water for the type of work being undertaken.

*Details of the requirements needing to be satisfied for DOMS registration are available on the EUS web site – <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 and may include holding City and Guilds Scheme 5831 Units 159 (for testing) and 268 (for disinfection) or equivalent. For work completed 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 completed.

#### 4.2.4 Routine and Non-Routine Mains Connections

In addition to satisfying the criteria for construction activities (see Section 4.2.3) under the accreditation scopes covering routine and non-routine mains connections WIRS Providers shall:

**WIRS Providers wishing to carry out construction of routine inline mains connections (CRMC) and Construction of Routine Under Pressure Connections (CRUPC) shall comply with the following clauses:**

The WIRS Provider and Water Company shall ensure that all staff involved in the process of authorising and carrying out connections have been trained to support the activity. The training should fully specify the process to be followed when making connections and be relevant to the roles detailed below.

In addition, to satisfy the criteria for construction activities (see Section 4.2.3) under the accreditation scopes covering routine and non-routine mains connections, WIRS Providers shall demonstrate that they employ competent personnel for routine and non-routine mains connections of the supply scope they hold. They shall appoint a Senior Competent Person (SCP) to oversee the work. This person may, where their experience is appropriate, also act as a Technical Advisor.

**Following the completion of SCMC training, for the appointment of a Senior Competent Person (SCP) and/or Competent Person (CP), an Authorised Nominated Signatory must be in place for the WIRS Provider. This is expedited via the completion of the EUSR SCMC (Water) Authorised Signatory Registration Form ([Safe Control of Mains Connections \(Water\) - Energy & Utility Skills Register \(eusr.co.uk\)](#)) and should be completed by the Water Technical Advisor in the first instance for competency and this is required to be submitted to LRQA ([utilities@lrqa.com](mailto:utilities@lrqa.com)) to complete the Lloyd's Declaration who will then send it to EUSR for inclusion on their Authorised Signatory Database.**



When the WIRS Providers then completes the Job Role Declaration Form for either SCP or CP registration (EUSR form), EUSR will cross check the Authorised Signatory Database for the correct authorised signatory and update the respective EUSR cards for SCP or CP registrations.

**NB. The completion of the Job Role Declaration Form will ascertain whether the applicant has NCO (W) Mains for the CP role. i.e. the SCP role does not necessarily require the NCO (W) Mains registration.**

WIRS Providers shall have a competency process to demonstrate that all personnel involved in the preparation, authorisation and completion of all routine and non-routine mains connections are competent for the role they are to undertake. The competency process shall include documented evidence of interviews held with the Senior Competent Person, Competent Person, Supervisor, Team Leader and Assistants to establish their competency.

WIRS Providers wishing to carry out routine mains connections shall:

- hold Safe Control of Routine Mains Connections (SCMC) registration/qualification;
- appoint a Senior Competent Person (SCP) with the ability, appropriate training, knowledge and experience, to authorise work to be undertaken in a safe and proper manner;
- appoint a Competent Person (CP) with the ability, appropriate training, knowledge and experience to supervise and/or carry out work on site in a safe and proper manner;
- ensure that their Senior Competent Person and Competent Person are listed in with The Energy and Utility Skills Register (EUSR) as being competent to undertake these roles, and
- arrange onsite auditing of connection work to demonstrate ongoing competence.

Note: The Energy and Utility Skills Register (EUSR) ([www.eusr.co.uk](http://www.eusr.co.uk)) lists the persons registered as having the required competences for the Safe Control of Mains Connections (SCMC). Energy and Utility Skills coordinate training through the assessment of trainers and a competency test at the end of each training session.

The appointed Senior Competent Person (SCP) and Competent Person (CP) shall be in possession of a National Hygiene card and a Water SHEA Passport.

The Senior Competent Person (SCP) shall:

- ensure that method statements, risk assessments, processes and procedures for routine mains connections are in place;
- be available when routine mains connections are being carried out;
- notify the Water Company of completion of the connection within 24 hours if a Water Company representative is not on site at time of connection;
- notify the Water Company within 24 hours if work is aborted, if a Water Company representative was not on site at the time of planned connection;
- inform the Water Company immediately and assist as required if an incident occurs which affects the water network.

The Competent Person (CP) shall:

- carry out the connection in accordance with the agreed method statements, risk assessments, processes and procedures for routine water mains connections and any conditions imposed by the Water Company;
- be on site at all times whilst a routine connection is being carried out;
- make the decision to abort a connection if problems arise;
- ensure that all staff on-site complies with the agreed working arrangements and method statement.

#### 4.2.5 Permanent Disconnections

In addition to satisfy the criteria for construction activities (see Section 4.2.3) under the accreditation scopes covering permanent disconnections, WIRS Providers shall demonstrate that they employ competent personnel for the permanent disconnection of the supply scope they hold. They shall appoint a Senior Competent Person to oversee the work. This person may, where their experience is appropriate, also act as a Technical Advisor.

WIRS Providers shall have a competency process to demonstrate that all personnel involved in the preparation, authorisation and completion of all permanent disconnections are competent for the role they are to undertake. The competency process shall include documented evidence of interviews held with the Senior Competent Person, Supervisor, Team Leader and Assistants to establish their competency.

In addition to satisfying any requirements for holding NCO (W) registrations Operatives, Supervisors and Senior Competent Person.

#### 4.2.6 Meter Installation Maintenance Activities

In addition to satisfying the criteria for construction activities (see Section 4.2.3) under the accreditation scopes covering meter installation maintenance activities WIRS Providers shall demonstrate that they employ competent personnel for the meter maintenance activities. They shall appoint a Senior Competent Person to oversee the work. This person may, where their experience is appropriate, also act as a Technical Advisor.

WIRS Providers shall have a competency process to demonstrate that all personnel involved in external meter maintenance work are competent for the role they are to undertake. The competency process shall include documented evidence of interviews held with the Senior Competent Person, Supervisor, Team Leader and Assistants to establish their competency. Operatives, Supervisors and Senior Competent Person shall hold EUS registration for the Safe Control of Mains Connections (SCMC).

Operatives engaged in internal routine meter installation maintenance activities shall be able to provide evidence of both competence and knowledge and understanding of meter installation maintenance activities and be graded in accordance with the following role descriptions. Formal qualifications may include S/NVQ Level 3 or equivalent alternative and trainees working towards S/NVQ Level 3 or equivalent alternative to apprenticeship.

**Technician Plumber** – Operative with Exceptional skills, ability and experience, at least five years' experience as an Advanced Plumber with a minimum of three years in a supervisory capacity in charge of plumbing installations.

**Advanced Plumber** – Operative with particularly practical and productive skills, technical and supervisory knowledge beyond a Plumber.

**Plumber** – Operative registered as an apprentice for at least four years.

Trainee – Operative working towards attaining S/NVQ Level 3 or equivalent alternative or apprenticeship

*Full details of the requirements needing to be satisfied for the Approved Certifier of Construction in the Drainage, Heating & Plumbing Scheme are available on the Scottish Building Services Certification web site – <http://www.sbsc.uk.net>*

## 5 Sub Contracted Work

WIRS Providers are accountable for the overall project and shall ensure that all personnel, subcontractors and consultants are managed and comply with all requirements.

### 5.1 Sub-contracting arrangements

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

- undertaken by a WIRS Provider who has a current Accreditation for the sub contracted scope of work;
- undertaken by a WIRS Provider 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, and
  - reinstatement;
- mains testing and disinfection where the WIRS Provider and subcontractor must satisfy the requirements of Section 5.4;
- mains connections carried out by a subcontractor who themselves holds the connections scope (at the Full level) for the work being completed and where the WIRS Provider and subcontractor must satisfy the requirements of Section 5.5, and
- permanent disconnections carried out by a subcontractor who themselves holds the permanent disconnections scope (at the Full level) for the work being completed and where the WIRS Provider and sub-contractor must satisfy the requirements of Section 5.6.

WIRS Providers shall have a documented procedure in place which details their use and control of subcontractors.

In all situations where work is subcontracted the WIRS Provider shall fully assess the risks on their own accreditation of using subcontractors and ensure that identified risks are documented and suitable control measures instigated.

### 5.2 'Labour Only' Sub-contractors

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

1. subcontracted personnel shall hold the relevant NCO (W) qualification for WIRS activity they are being contracted to complete including mandatory qualifications of Water Hygiene and SHEA Water;
2. the WIRS Provider shall verify that the competences of all operatives engaged in 'labour only' work satisfy the requirements specified in Section 4.2.3 and that the subcontractor assesses operative competence on an ongoing basis;
3. subcontract personnel shall be fully integrated into the WIRS Providers Health, Safety, Quality and Environmental and competency systems which include being fully inducted and working strictly in accordance with the WIRS Providers safety systems and method statements;

4. document the Personal Protection Equipment (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;
5. document the approved tools and equipment requirements and ensure that the requirements are implemented;
6. ensure that calibrated equipment falls within WIRS Provider's calibration regime or is verified by the WIRS Provider 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 WIRS Provider's approved supplier list;
7. all materials shall be purchased by the WIRS Provider, and
8. the Accredited WIRS Provider 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 diameter.

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

Where ground workers are used; -

1. the WIRS Provider shall have a documented procedure which details the specification for excavations, laying ducts, any allowable infrastructure and backfill including health and safety considerations such as the use of cable avoidance tools;
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 WIRS Provider shall implement an audit regime to ensure that the ground workers adhere to the specification and appropriate **WSG and DCS for England and Self-Lay Code of Practice v3.1, for Wales, and**
5. **the WIRS Provider shall be responsible for ensuring that work is completed to the relevant standards for example NJUG specifications and Line and Levels survey requirements (depths).**

### 5.4 Testing and Disinfection

Where testing and disinfection activities are not directly undertaken by the Accredited WIRS Provider but are subcontracted to a specialist testing and disinfection contractor, the WIRS Provider shall ensure that the work is controlled and managed to the same standards that apply when these activities are completed by labour directly employed by the WIRS Provider. The WIRS Provider shall ensure that their contract with the subcontractor and the checks completed by the WIRS Provider whilst testing and disinfection work is carried out complies with the following:

1. before any work is started the WIRS Provider shall formally agree the method of working with the subcontractor. The agreed method of working shall ensure that scheme requirements

- relating to testing and disinfection work, including those relating to health and safety and environmental controls are met;
2. specific instructions shall be issued to the subcontractor for each piece of work which fully identify the section(s) of main to be tested and disinfected and which state the test pressure and any other site-specific requirements;
  3. the WIRS Provider shall verify that the competences of all operatives engaged in testing and disinfection work satisfy the requirements specified in Section 4.2.3 and that the subcontractor assesses operative competence on an ongoing basis;
  4. the subcontractor shall have procedures in place that ensure that the hygiene requirements detailed in Section 4.2.3 are satisfied, and
  5. the WIRS Provider shall ensure that subcontracted work is routinely audited and that any non-conformance issues are promptly closed-out.

## 5.5 Routine and Non Routine Mains Connections

Where routine and non-routine connection activities are not directly undertaken by the Accredited WIRS Provider but are subcontracted to a specialist contractor the WIRS Provider shall ensure that the work is controlled and managed to the same standards that apply when these activities are completed by 'labour only' directly employed by the WIRS Provider. The WIRS Provider shall ensure that their contract with the subcontractor and the checks completed by the WIRS Provider whilst routine and non-routine work is carried out complies with the following:

1. subcontracted personnel shall hold the relevant NCO (W) qualification for WIRS activity they are being contracted to complete including mandatory qualifications of Water Hygiene, SHEA Water and SCMC;
2. before any work is started the WIRS Provider shall formally agree the method of working with the subcontractor. The agreed method of working shall ensure that scheme requirements relating to routine and non-routine connection activities, including those relating to health and safety and environmental controls are met;
3. specific instructions shall be issued to the subcontractor for each routine and non-routine connection which fully identify the main to be connected and any other site-specific requirements;
4. authorisation to proceed to undertake the routine or non-routine connection from Adopting Utility has been acknowledged;
5. the WIRS Provider shall verify that the competences of all operatives engaged in routine and non-routine mains connection work satisfy the requirements specified in Section 4.2.3 and that the subcontractor assesses operative competence on an ongoing basis;
6. the subcontractor shall have procedures in place that ensure that the hygiene requirements detailed in Section 4.2.3 are satisfied, and
7. the WIRS Provider shall ensure that subcontracted work is routinely audited and that any non-conformance issues are promptly closed-out.

## 5.6 Permanent Disconnections (Non-household only)

Where permanent disconnections (non-household only) activities are not directly undertaken by the Accredited WIRS Provider but are subcontracted to a specialist contractor the WIRS Provider shall ensure that the work is controlled and managed to the same standards that apply when these activities are completed by labour directly employed by the WIRS Provider. The WIRS Provider shall ensure that their contract with the subcontractor and the checks completed by the WIRS Provider whilst permanent disconnection work is carried out complies with the following:

1. before any work is started the WIRS Provider shall formally agree the method of working with the subcontractor. The agreed method of working shall ensure that scheme requirements relating to permanent disconnections (non-household only) activities, including those relating to health and safety and environmental controls are met;
2. specific instructions shall be issued to the subcontractor for each permanent disconnection (non-household only) which fully identify the connection(s) to be disconnected and any other site-specific requirements;
3. authorisation to proceed to undertake the permanent disconnection from Adopting Utility has been acknowledged;
4. the WIRS Provider shall verify that the competences of all operatives engaged in routine and non-routine mains connection work satisfy the requirements specified in Section 4.2.3 and that the subcontractor assesses operative competence on an on-going basis;
5. the subcontractor shall have procedures in place that ensure that the hygiene requirements detailed in Section 4.2.3 are satisfied, and
6. the WIRS Provider shall ensure that subcontracted work is routinely audited and that any non-conformance issues are promptly closed-out.

## 6 Methods of Working

### 6.1 Compliance with specification

Work undertaken shall be 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 Method Statements

For the scopes of work undertaken WIRS Providers shall have documented method statements detailing how the work is to be undertaken to the standards set by the adopting utility. Except where adopting utility **Design Construction Specifications in England 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.

WIRS Providers 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 which shall be undertaken by a person deemed technically competent, and
5. review, at least annually, method statements for continued validity against current H&S legislation and technical requirements.

As a minimum WIRS Providers 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) *[main laying scopes only]*;
- **Use of pipe trailers and handling of pipe coils;**
- laying services (in a range of materials suitable for clean and contaminated land);
- electrofusion of PE pipe;
- butt fusion of PE pipe *[main laying scopes only]*;
- pressure testing of mains (where allowed by adopting utility);
- disinfection of water mains (where allowed by adopting utility);
- hygienic storage and handling of pipes and fittings;
- capture of meter details;
- contaminated ground procedures, and
- disposal of liquid and solid waste.



### **Construction of Routine and Non-Routine Mains Connections**

WIRS Providers holding mains connections scopes shall, in addition to those listed above related to main laying, have method statements that detail the making of mains connections and commissioning the connected pipework. Generic method statements shall be supplemented by site specific method statements and risk assessments prepared for each mains connection.

### **Permanent Disconnections (non-household only)**

WIRS Providers holding permanent disconnection scopes, shall, in addition to those listed above relating to main laying, have method statements that detail the disconnection of supply from the network; decommissioning of mains connections and abandoning of water mains and fittings. Generic method statements shall be supplemented by site specific method statements prepared for each mains connection.

### **Meter Maintenance Work**

WIRS Providers holding scopes covering meter maintenance work shall, in addition to the generic method statements listed above related to the scope(s) of accreditation they hold, have method statements that detail installation, accuracy testing, repair and/or replacement, exchange, temporary disconnection and subsequent re-connection.

### **Design**

WIRS Providers 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**

WIRS Providers 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 contractor's method statements by the Technical Advisor.

WIRS Providers 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 from inception to adoption.

## **6.3 Assessment of Risk**

WIRS Providers shall have adequate procedures for assessing risk covering all key operations. These shall identify associated risks, preventative measures, procedures and processes and methods of communication.

WIRS Providers 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.

WIRS Providers: -

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

## 7 Work issue and control

### 7.1 Work Control and Management

#### 7.1.1 Work Control and Management

WIRS Providers shall have procedures and processes 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 WIRS Providers, adopting utilities and developers;
3. ensure technical compliance from support sections within the WIRS Provider, and
4. establish and maintain information, in a suitable medium (e.g. paper or electronic format) that describes the core elements of the processes and their interactions.

#### 7.1.2 Adopting Utility Requirements / **Design Construction Specification (DCS)**

WIRS Providers 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.

WIRS Providers shall, where the adopting utility requires an adoption agreement or contract to be set-up before the work commences, ensure that such documentation is in place and completed by all the required signatories before any work is commenced.

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

#### 7.1.3 Tendering, Planning and Construction

Documented procedures and 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.

#### 7.1.4 Work Instructions

WIRS Providers 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, and
5. once signed off, be retained by the WIRS Provider 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, and
- (Scotland only, where required) valid and authorised impact assessment form.

### 7.1.5 Work Scheduling

A process shall be in place 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., and
- WIRS Providers 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.

Where required by the adopting utility WIRS Providers shall notify the Accreditation Body of work they are scheduling (see Section 1.3).

### 7.1.6 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 (including site/project specific);
2. handover meetings should be formal and documented, and
3. adequate arrangements shall be in place for the handover and continuity of projects in the event of planned or unplanned absences.
4. (Scotland only, where required) completed impact assessment form.

### **7.1.7 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, and
4. relevant on-site verbal instructions and agreements are recorded (site diaries, day books etc.)

### **7.1.8 Variations**

WIRS Providers shall have documented 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 to the designer.

### **7.1.9 Adoption of assets**

WIRS Providers 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 (meter details).

### **7.1.10 Equipment**

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

WIRS Providers shall:

1. ensure that such equipment as necessary meets documented specifications and standards and is used in accordance with industry requirements;
2. ensure equipment can be obtained for use should ground conditions differ from that anticipated at the design stage;
3. establish procedures to satisfactorily manage the storage, issue, inspection, maintenance and re-calibration of equipment, and
4. 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;
- chlorination/disinfection and de-chlorination/disinfection equipment;
- decommissioning equipment for the abandonment of water mains and fittings;
- lifting equipment;
- access equipment;
- portable electric tools, leads, transformers, generators etc.;
- mobile plant, and
- light plant and tools.

## 8 Approved Suppliers and Procurement

### 8.1.1 Suppliers

Materials, goods and services shall only be procured from suppliers/subcontractors whom the WIRS Provider has approved.

WIRS Providers 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 **in accordance with Water Regulation 31**;
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, and
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.

### 8.1.2 Specifications

WIRS Providers 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 WIRS Provider is active are understood, **e.g. Water Regulation 31**;

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, and
5. delivery instructions confirm that materials to the required technical specification have been provided.

### **8.1.3 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.

WIRS Providers 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 transported and stored in accordance with industry specific best practice and any adopting utility requirements, and
4. maintain records, as appropriate, of stored equipment.

## 9 Audit

WIRS Providers should regularly undertake audit checks of activities which form a scheme requirement. These include activities performed either directly by the WIRS Provider or which the WIRS Provider has delegated to others.

### 9.1 Technical Audit

WIRS Providers shall have a documented audit procedure and a rationale regarding the levels of audit for particular work activities.

The audit procedure shall:

1. check that the works are constructed in compliance with the appropriate industry agreed standards;
2. ensure that audits are regularly 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 subcontract labour) are audited;
4. ensure that identified deficiencies are closed-out within reasonable time periods;
5. make available internal technical audit reports, on request, to the accreditation body and adopting utility, and
6. when necessary cooperate fully with technical audits undertaken by the adopting utility or water industry regulators.

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

### 9.2 Health, Safety, Quality and Environmental Audit

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

WIRS Providers:

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, and
4. shall carry out such audits in addition to any inspections carried out as part of routine site supervision.

# 10 Contract Document and Record Control

## 10.1 Documentation and Document Control Procedures

WIRS Providers 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, and
6. these documents, data and information are secure and, if in electronic format, are adequately backed up and recoverable.

## 10.2 Records

WIRS Providers 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, as appropriate to the work being completed, but not be limited to:

- Designs;
- contracts, drawings;
- technical, construction and maintenance manuals;
- inspection, commissioning, and calibration records;
- as laid records including line and level signoffs;
- pressure testing records/logs;
- chlorination/disinfection and de-chlorination data;
- connection authorisations and associated approval documents;
- decommissioning of mains;
- abandonment of water mains fittings;
- audit results and any resulting corrective actions;
- standards and specifications (industry, BSI, ISO etc.);
- health, safety, environment and quality;
- training and competency records, and
- customer complaints.



# 11 Legislation, Standards and Guidance

## 11.1 Reference Library

WIRS Providers shall have access to appropriate technical standards and guidance documents.

As a minimum, this should include:

- WSG and DCS for England, Self-Lay Code of Practice v3.1 for Wales and/or Water for Scotland;
- UKWIR Civil Engineering Specification for the Water Industry (CESWI 7th Edition);
- UKWIR Material Choice for potentially contaminated ground;
- Relevant WIS specifications. This should include WIS 4-32-08 - Specification for Site Fusion of MDPE Pipe and Fittings;
- IGN 4-01-03 Pressure Testing of Pressure Pipes and Fittings for use by Public Water Suppliers;
- Construction (Design Management) Regulations ;
- Traffic Management Act 2004;
- 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;
- Materials specifications;
- Principles of Water Supply Hygiene (published by Water UK), and
- Documentation specified by the adopting utility.

WIRS Providers carrying out mains connections shall have access to: -

- Adopting utility DCS covering mains connections activities;
- (In Scotland) the Water Connections Code for Scotland;
- (In Scotland) Guide for completion for access to working on the Scottish Water Network and DOMS TBT No 14 Impact Assessment Form, and
- (In Scotland) The Scottish Water Meter Code.

WIRS Providers should ensure that reference libraries, for paper copies and electronic/on-line referencing, are kept up to date and that all information is current.

## 12 Quality and Safety Systems

### 12.1 Quality Management System

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

Through their Quality Management Systems, the WIRS Provider 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.

### 12.2 Customer Complaints

WIRS Providers 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.

### 12.3 Health, Safety, Quality and Environmental Systems

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

WIRS Providers: -

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, and
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.

#### 12.3.1 CDM Regulations

Adequate procedures shall be in place to ensure compliance with the CDM Regulations both when the WIRS Provider has significant duty holder responsibilities under the Regulations or where the WIRS Provider 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, and
2. when simply working as a contractor on a site to which the Regulations apply the WIRS Providers operatives and sub-contractors co-operate with those holding significant duties under the Regulations.

### **12.3.2 CoSHH Regulations**

WIRS Providers 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 WIRS Provider 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, and
5. WIRS Providers shall, as required, hold valid certification for the carriage and disposal of hazardous substances.

### **12.3.3 PPE and Other Safety Equipment**

WIRS Providers shall establish procedures for the identification, provision, control and use of PPE and other safety equipment.

The procedures shall ensure that: -

1. records are maintained for the issue of PPE and other safety equipment and its condition is monitored;
2. high Visibility clothing is provided by the WIRS Provider 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 WIRS Provider and maintained and stored in serviceable condition and is within its calibration date.

### **12.3.4 Safety Briefings**

WIRS Providers shall establish a procedure for providing routine and ad hoc Health, Safety & Environmental briefings to operatives. Records of briefings, including subject matter and attendees, should be maintained.

### **12.3.5 Accident and Incident Investigation and Reporting**

WIRS Providers 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 makeup 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, and
5. co-operate fully with any incident investigations undertaken by the adopting utility and or water industry regulators.

WIRS Providers shall co-operate fully with any investigations undertaken by the adopting utility and or industry regulators.

# 13 Human Resources Procedures and Training

## 13.1 Human Resource Procedures

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

## 13.2 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, Line Managers (Supervisors), Team Leaders and Assistants (including testing and disinfection operatives) for all activities carried out under this scheme.

Job description should detail:

1. responsibilities with respect to Health, Safety, Environment and Quality, and
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.

## 13.3 Training Policy

WIRS Providers 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 WIRS Provider is active, and
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.

## 13.4 Induction Training

WIRS Providers shall have 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, and
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.

## 14 Insurance

All WIRS Providers shall have adequate insurances for the activities being completed.

WIRS Providers working in Scotland shall at all times effect and maintain with insurers regulated by the Financial Services Authority under the Financial Services and Markets Act 2000, insurance cover as follows:

- loss or damage to Scottish Water's property to a minimum of £1,000,000;
- loss or damage to plant, materials and equipment provided by Scottish Water to a minimum of £20,000;
- loss or damage to property (other than Scottish Water's property, plant, materials and equipment) and bodily injury to or death of a person (not an employee of the WIRS Provider) arising from or in connection with the services provided by the WIRS Provider under the Scheme, to a minimum of £5,000,000 for any one incident, and
- bodily injury to or death of employees of the WIRS Provider arising from or in connection with the services provided by the WIRS Provider under the Scheme, to a minimum of £10,000,000 for any one incident.

WIRS Providers shall, upon request, produce documentary evidence to the Assessing Body and/or Scottish Water that the above insurance cover remains in place.

# Appendices



## Appendix 1. Accreditation management arrangements

Once a WIRS Provider 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 WIRS Provider, 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 WIRS Provider will be able to display the quality mark associated with the scheme.

### A1.1 Accreditation Process Overview

Compliance with the requirements specified in this document will enable WIRS Providers to gain and maintain scheme accreditation. This section provides guidance on how scheme accreditation operates and the actions that will be taken in the event of non-compliance with the scheme requirements.

### A1.2 Approval Process

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

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

To assist WIRS Providers 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 processes of the WIRS Provider are monitored by means of regular surveillance visits.

To complete the assessment process WIRS Providers need to secure work that is suitable for assessment and relates to the scopes for which they are seeking accreditation.

In England, the CRMC/CRUPC scope will only be awarded to WIRS Providers holding the Construction of Mains and Services (CMS) scope at full accreditation level. This means, in England only, it will only be possible for new applicants to combine CMS and CRMC/CRUPC assessments up to the partial stage.

#### A1.2.1 Partial Accreditation

For Partial Accreditation, the procedures processes and documentation of the WIRS Provider 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 WIRS Provider to tender and obtain work which can then be used to demonstrate site activities during an assessment for Full Accreditation.

Where a WIRS Provider 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 WIRS Providers 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 processes, 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.

Following an assessment WIRS Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period, the Accreditation Body will issue a report concluding the evaluation and summarising the findings. At this stage, the need for any further evaluation time to review deficiency close-out will be identified.

Partial accreditation remains valid for one year by which time it should be upgraded to full accreditation by means of an on-site assessment. Where scopes held at Partial are not upgraded within one year the WIRS Provider will be subject to annual surveillance visits to establish that the required procedures, processes and competencies remain in place. If these requirements are not demonstrated the Partial accreditation will lapse.

WIRS Providers 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. Where the Accreditation Body identifies that a WIRS Provider with Partial Accreditation has been carrying out work without notifying the Accreditation Body their accreditation will be terminated without notice.

When a WIRS Provider 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 terminating the Partial accreditation of the WIRS Provider.

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

The Full Accreditation of the WIRS Provider 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 WIRS Provider (or managed by the WIRS Provider if appropriate to the WIRS Provider's scope) and witnessed and assessed by the accreditation body. In order to progress from Partial Accreditation to Full Accreditation, WIRS Providers 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 procedures and processes assessed for Partial Accreditation, but previously untried, are fully implemented and are operating effectively. WIRS Providers shall also demonstrate a full understanding of the specific adopting utility requirements, specification details and contact arrangements.

The WIRS Provider 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 WIRS Provider 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 three years after which time a reassessment will be carried out.

Following an assessment WIRS Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period, the Accreditation Body will issue a report concluding the evaluation and summarising the findings. At this stage, the need for any further evaluation time to review deficiency close-out will be identified.

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.

When a certificate is issued following a full assessment WIRS Providers become entitled to use the WIRS Scheme Registration Mark that is combined with a LRQA Approval Mark. This Approval Mark can only be used in the ways specified when it is issued and correct use of the WIRS Registration Mark is a contractual obligation and will be monitored during surveillance and accreditation renewal visits. Should a WIRS Provider misuse the WIRS Registration Mark and continues to do so after attention has been drawn to the misuse then the LRQA accreditation certificate can be withdrawn.

If scheme accreditation is removed from a WIRS Provider they must stop using the Scheme Registration Mark and, where necessary, withdraw any material carrying the mark.

### **A1.3** Monitoring of Accredited WIRS Providers

Having gained accreditation, the work and adherence to process of WIRS Providers 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 WIRS Provider.

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

The Accreditation Body shall verify through surveillance visits and periodic reassessment that the WIRS Provider has established, implemented and maintained procedures, processes 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. processes 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 procedures 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, and
9. (where required) for compliance with adopting utility procedures for control of connections that there is an auditable trail of connection activity by Senior Competent Persons.

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

Each approved activity scope shall be subject to audit, as a minimum annually, with the first surveillance visit completed **as per the surveillance visit schedule.**

Periodicity of surveillance will be based on:

- Scopes of accreditation;
- Levels of activity and number of operational bases;
- WIRS Provider's previous experience in this field;
- Assessed performance;
- Complaints, and
- Results of internal and external audits.

The frequency of surveillance visits is based on the risk profile of the categories of work being completed, the range of work activities being undertaken by the WIRS Provider and the volume of workload which is usually based on the number of employees, including support staff and subcontractors (excluding any who hold their own accreditation), who are engaged in the activity being accredited.

**Minimum frequency based on type of activity:**

<b>Number of Scopes</b>	<b>Number of visits over the three-year certification period</b>
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One	Three
Two	Five
Three	Six
Four or more	Seven
Meter Installation Maintenance	Quarterly
Permanent Disconnections	Six-monthly

LRQA reserve the right to review the number of WIRS surveillance visits over the course of a three-year certification period based on the size (employee/gang numbers) of the organisation (either direct or indirect employees).

### A1.3.3 Surveillance Visit Arrangements

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

Where concerns about the compliance of a WIRS Provider 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 WIRS Provider will be required to cover the cost of the investigation.

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

WIRS Providers 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 WIRS Providers shall make reasonable provision for contestable work to be available for surveillance. Where it is necessary to change pre-arranged visits WIRS Providers should give a minimum of five working days' notice to the accreditation body.

WIRS Providers 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.

During the accreditation period, the Accreditation Body expects to see all the accredited scopes being demonstrated and will reduce accreditation to 'partial' for any scopes that are not witnessed over a 12-month period unless the nature of the work covered by the scope is such that the type of work is only completed 'infrequently'. Where work can be classed as 'infrequent' the Accreditation Body may, taking into account the general compliance of the WIRS Provider, relax the frequency they expect to view such work. This arrangement will only be allowed when the WIRS Provider agrees to notify the Accreditation Body every time work on the 'infrequently' performed scope is being completed.

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

In the event that the WIRS Provider'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 WIRS Provider shall be downgraded to Partial status which will be updated on the LRQA WIRS website. All Water Utilities will also be notified of the certification status change with supporting commentary. Under these circumstances, the surveillance visit programme shall be suspended and an annual (on the anniversary of the last surveillance visit) visit arranged to ensure that competency and procedures/processes, against which the initial accreditation was awarded, are maintained.

As required for all holders of partial accreditation, WIRS Providers 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 completed 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. All Water Utilities notified of the status change and the LRQA WIRS website updated to reflect the status change.

If a WIRS Provider considers that their on-going 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 WIRS Providers shall present each scope of its accredited activities for surveillance audit annually.

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

WIRS Providers 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.

WIRS Providers shall pay all such charges promptly. Where any payments to the Accreditation Body become overdue the accreditation body is unable to commit to doing further visits. When this arises, the accreditation will initially be suspended for one month 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 WIRS Provider:

- is found to have made false claims within the application for accreditation which are considered to impact on the integrity of the WIRS Provider;
- 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, and
- notifies the accreditation body that they no longer wish to be accredited for scopes of work.

All major deficiencies identified as part of the surveillance programme shall be notified to the adopting water utility with applicable supporting information such as completed close out actions.

All Water Utilities shall be notified of a change of status from Full Accreditation to Partial Accreditation and the reinstatement to Full Accreditation following successful assessment.

Where WIRS Providers are working, or planning to work, on live water networks and a major deficiency is raised WIRS Providers should expect their accreditation(s) relating to working on live networks to be immediately suspended and an investigation (see section A1.4.1) instigated.

#### A1.4.1 Investigations

Where the accreditation body is notified that unsatisfactory work or non-compliance with the scheme requirements has occurred and the matter is disputed by the WIRS Provider, the accreditation body shall carry out an investigation.

When an investigation is being carried out, the WIRS Provider shall provide facilities for the accreditation body to do inspections, including checking any test equipment and providing access to the work. The WIRS Provider shall also provide all relevant documentation relating to the work and shall ensure that the supervisor responsible for the work is available to visit the work and meet with the accreditation body.

Where an investigation finds that the WIRS Provider has not complied with the scheme requirements, including doing work to the standards of the adopting utility, the WIRS Provider shall meet the costs incurred by the accreditation body in carrying out the investigation and any follow-up work, including verification close-out of remedial actions.

The accreditation body shall notify adopting utilities or others with an interest in the matter, the outcome of any investigation.

#### **A1.4.2 Removal of Accreditation**

The accreditation body shall notify the WIRS Provider 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 two stages. Firstly, the WIRS Provider 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. The LRQA WIRS website will be updated with removal of accreditation and all Water Utilities will be notified of the removal of accreditation.

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

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

If the WIRS Provider 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 WIRS Provider in writing, detailing clearly the basis for the decision.

If the decision is not to the satisfaction of the WIRS Provider, 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 WIRS Provider and accreditation body shall bear their own costs associated with any appeal, regardless of the outcome.

Re-instatement of accreditation will be affected 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 WIRS Provider would entail a full re-evaluation.

### A1.6 Re-certification

At the end of the three-year full accreditation period a reassessment covering all required scopes of accreditation shall be undertaken.

The scale of this reassessment will take account of the performance of the WIRS Provider during the period of accreditation. If the WIRS Provider 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 WIRS Provider 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.

The extent of the renewal assessment will take account of recently witnessed work with any scopes not seen during the previous 12-month period required to be seen during the re-assessment process. Where this cannot be arranged the level of accreditation, subject to satisfactory verification of systems and procedures, will reduce to 'Partial'. However, where one of the scopes being re-assessed covers work that may be infrequently carried out (see Section A1.3.3) then, provided the WIRS Provider has agreed this with the accreditation body and has notified all instances of the work being completed, the accreditation body will take account of surveillance visits over the three-year certification period. In such the accreditation body may re-certify at the 'Full' level without witnessing work being completed.

The Accreditation Body shall give each WIRS Provider three months' notice of the expiry of their accreditation. If the WIRS Provider does not put in place adequate accreditation renewal arrangements or allow adequate time for the required renewal assessment to take place, the accreditation will be terminated.

The reaccreditation assessment will take account of scopes viewed over the preceding 12 months and also consider whether any infrequently performed scopes have been satisfactorily demonstrated during the accreditation period. Where scopes are not witnessed during the re-accreditation, or there is not adequate evidence to support the award of 'Full' accreditation, these scopes may only be awarded 'Partial' status.

Following an assessment WIRS Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period of time the Accreditation Body will issue a report concluding the accreditation. At this stage, the need for any further evaluation time to review deficiency close-out will be identified.

Having been satisfactorily reassessed and a surveillance programme agreed the WIRS Provider will be accredited for a further three 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 WIRS Provider.

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

The accreditation body will notify all water utility companies 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.

### **A1.9 Use of WIRS Scheme Registration Mark**

On gaining accreditation WIRS Providers will be issued with the WIRS Scheme Registration Mark (which incorporates the LRQA Approval Mark). Guidance on the use of this Mark will be provided when it is issued and the Mark shall only be used in the as issued configuration and can be displayed by accredited WIRS Providers on their stationery, publicity material, company buildings, flags, vehicles, and so on. It can be reproduced in any single colour.

Correct use of a WIRS Mark is a contractual obligation and a WIRS accreditation certificate can be withdrawn if a WIRS Provider misuses a WIRS Scheme Mark and continues to do this after attention has been drawn to the misuse. Also, if WIRS accreditation is withdrawn from a WIRS Provider, they must stop using the WIRS Scheme Mark and, where necessary, withdraw any material carrying the Mark.

## **Appendix 2. Guidance on Project Management Function**

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

The project management scope is for WIRS Providers who do not themselves carry out construction activities but who manage this work by subcontracting such activities to WIRS Providers with the required construction accreditation. Where work is project managed the 'lead' WIRS Provider has responsibility for the complete project.

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 WIRS Providers 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 WIRS Providers who simply introduce contractors to the client and where the construction WIRS Provider completes the entire liaison activity with the host utility and the on-site liaison with the client to be accredited as project managers.*
2. *Where a WIRS Provider holding construction, accreditation operates as a project manager (employing a WIRS Provider 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 WIRS Provider to undertake construction work project management WIRS Providers 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 WIRS Providers 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 WIRS Providers 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 completed 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, and
- ensuring that there is good communication between all parties.

## A2.4 Requirements of an Accredited Project Manager

To be awarded project management accreditation WIRS Providers 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 completed;
- 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 completed covering the work of the project manager and of their WIRS Provider 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, and
- regularly reviews meetings with their contractor.

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