

Water Industry Registration Scheme for Accredited Entities in the Non-Household Retail Market (WIRSAE)

Requirements Document

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Document History

Version 1 - June 2017

Version 2 – November 2021: Change of name from Lloyd’s Register to LRQA

1 Introduction and Purpose

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

The Scheme has been developed in accordance with the Wholesale Retail Code and will allow Accredited Entities (known in this document as WIRSAE Providers) to undertake work referenced as an alternative to the Wholesaler (known in this document as the Adopting Utility) undertaking the work. The Wholesale Retail Code Part 3 Operational Terms sets out the processes, steps and timescales where a Retailer wishes to use an accredited entity. LRQA would wish to acknowledge the contributions of the WIRSAE working group in the development of the scheme.

Where a retailer wishes to use an accredited entity they must ensure that the wholesaler operates the WIRSAE scheme in their area, and also which scopes are currently permissible.

Use of Accredited Entities to undertake certain activities, the Wholesalers may operate the WIRSAE accreditation scheme which authorises qualified entities to perform certain activities in relation to the Wholesaler's Network. The processes in the Operational Terms set out the operational steps and timescales which would apply in cases where the Wholesaler has established the WIRSAE accreditation arrangements.

The obligations which shall apply to the Retailer when it wishes to use an Accredited Entity are set out in the Wholesale Retail Code - Business Terms. The provision for accreditation arrangements in the Operational Terms does not require the Wholesaler to establish or subscribe to the accreditation scheme. The processes and obligations in respect of Accredited Entities shall only apply where the Wholesaler has subscribed to the WIRSAE accreditation scheme covering those activities.

The document details the assessment criteria against which WIRSAE 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 1.9.

The aim of WIRS is to facilitate competition in the provision of the Wholesale Retail Code in the water utility sector. The Registration scheme assessment process seeks appropriate evidence that WIRSAE 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. WIRSAE Provider compliance is demonstrated by means of a thorough assessment of WIRSAE 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 WIRSAE Providers under the scheme and details what needs to be completed to maintain accreditation.

WIRSAE scopes cover meter maintenance, temporary disconnection and permanent disconnection activities.

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 WIRSAE 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 WIRSAE 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 Wholesaler which will be adopting the constructed asset.

Assessment – objective and detailed evaluation of the WIRSAE 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.

WIRSAE Provider 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.

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

Scheme Advisory Panel – Governing Body for the scheme. Known as ‘WIRSAE Advisory Panel’. ‘WIRSAEP’.

WIRSAE Provider – an Accredited Entity 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:
The Wholesale Retail Code;
- the adopting utilities published addendum to the Code of Practice;
- 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) 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;
- Works performed which are outside the WIRSAE Provider's registered scope (unless prior approval by the adopting Wholesaler has been sought);
- non-compliant use of persons, i.e. failure to hold appropriate qualifications.

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 follow the customer charter protocols.

Observations are made where:

- the accreditation body identifies potential improvements for the WIRSAE 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

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
DWI	-	Drinking Water Inspectorate
EUSR	-	Energy and Utility Skills Register
HSWA	-	Health and Safety at Work Act
HSE	-	Health and Safety Executive
ICE	-	Institution of Civil Engineers
IoW	-	Institution of Water
LR	-	LRQA ()
MOSL	-	Market Operator Services Ltd
NCO (W)	-	National Construction Operations (Water)
NJUG	-	National Joint Utilities Group
NRSWA	-	New Roads and Street Works Act
NVQ	-	National Vocational Qualification
OFWAT	-	The Water Services Regulatory Authority
PPE	-	Personal Protective Equipment
SHEA	-	Safety, Health and Environmental Awareness
WRC	-	Wholesale Retail Code
WIAPS	-	Water Industry Approved Plumber Scheme
Watersafe	-	Watersafe Approved Plumber Scheme
WIRSAE	-	Water Industry Registration Approved Entity

Responsibilities

Accreditation is a demonstration that procedures, processes and competencies have been established by a WIRSAE Provider to ensure consistent delivery of the accredited scopes of work to the WIRSAE scheme requirements in accordance with the generic code of practice and the adopting utility addendum 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 WIRSAE 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. WIRSAE Providers shall comply with the generic code of practice and the adopting utility addendums.

1.5 WIRSAE Provider responsibilities

WIRSAE 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 addendum published by the adopting utility and agreements, and the standards contained in the relevant Code of Practice;
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 WIRSAE Provider responsibility;
9. provide information required by any relevant regulatory bodies;
10. provide complete data in a timely manner as per the Wholesale Retail Code;
11. show a sound understanding of the Wholesale Retail Code;
12. increase audit frequencies where poor performance is identified, and provide regular feedback to WIRSAE Advisory Panel.

1.6 Risk Management

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

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.

1.7 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 WIRSAE Provider business constraints;
5. take action to investigate/suspend WIRSAE 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 WIRSAE 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 WIRSAE Providers.

1.8 Adopting Utility (Wholesalers Responsibility)

In operating the scheme the Adopting Utility :-

1. May conduct evaluations where required against the scheme requirements in a technically competent and objective manner;
2. Shall adopt a pragmatic but consistent approach to the maintenance of scheme standards;
3. May plan audits visits which, over time, cover the scope of accreditation;
4. Shall support both the WIRSAE Provider and the Accreditation Body in managing the scheme;
5. Shall publish wholesaler specific addendum
6. May increase audit frequencies where poor performance is identified, and provide regular feedback to the WIRSAE Provider and the WIRSAE Advisory Panel;
7. Shall work closely with all parties to improve quality of work.

8. Shall work closely with MOSL to facilitate any requirements of the scheme as a result of changes to the Market Codes
9. Shall work within the guidelines of the generic code of practice and their addendums

1.9 Scopes

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

WIRSAE 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 WIRSAE 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 WIRSAE Provider, or the host Wholesaler, shall separately undertake all work elements that are outside the authorised scope of the 'original' WIRSAE Provider and the adopting utility and LRQA shall be formally notified of the arrangements that have been put into place.

WIRSAE Providers shall ensure that in performing work for which accreditation has been granted they strictly adhered to the competency requirements detailed in Section 2.

WIRSAE Providers shall have a detailed understanding of the Wholesale Retail Code together with both the generic code of practice and any adopting utility (wholesaler) addendums.

1.10 Disconnections

This scope covers temporary disconnections and the subsequent reconnection. It follows the process covered in the Wholesale Retail Code Part 3 Operational Term Part I: Disconnections.

Part I (Disconnections) sets out the processes by which the Wholesaler and Retailer should interact in relation to making either Temporary Disconnections or Permanent Disconnections of some or all of the water connections to an Eligible Premises, and any subsequent reconnections. This part also sets out the process to be followed for gaining entry to an Eligible Premises for the purposes of Disconnection using the Wholesaler's powers of entry. In addition to following the processes set out here, the Wholesaler and Retailer shall follow and observe any statutory or other requirements.

Permanent Disconnections are those where a connection to the Network is removed or otherwise made unworkable such that the supply of Water Services at that point could only resume if a new connection was made (which should be done in accordance with part A (New Connections)). All other Disconnections are Temporary Disconnections, which may subsequently be reconnected without a new connection being made.

Temporary Disconnections

Accreditation under the temporary disconnection scope can be awarded against the following categories as detailed within the Wholesale Retail Code Part 3 Operational Term Part I covering;

Process I2 – Disconnection requested by the Retailer and performed by an Accredited Entity in relation to Non-Household Customer non-payment – Temporary disconnection only

Process I6 – Disconnection requested by the Non-Household Customer and performed by an Accredited Entity Temporary disconnection only

Process I9 – Reconnection requested by the Retailer and performed by an Accredited Entity

Process I12 – Reconnection performed by an Accredited Entity following a Disconnection requested by the Non-Household Customer

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

- a. Temporary Disconnection and Re-Connection Non-Household Premises up to and including 40mm sized supply.(TDNHS)**
- b. Temporary Disconnection and Re-Connection Non-Household Premises over 40mm sized supply (TDNHA)**

This scope covers work on adopting utility pipework and will include shutting off operable stop taps or valves, removing meters and fitting locking or capping devices.

For full accreditation to be awarded a temporary disconnection and re-connection needs to be successful demonstrated/audited on site by the Accreditation body.

Permanent Disconnections

Accreditation under the permanent disconnection scope can be awarded against the following categories as detailed within the Wholesale Retail Code Part 3 Operational Term Part I covering;

Process I2 – Disconnection requested by the Retailer and performed by an Accredited Entity in relation to Non-Household Customer non-payment – Permanent disconnection only

Process I6 – Disconnection requested by the Non-Household Customer and performed by an Accredited Entity Permanent disconnection only

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

- c. Permanent Disconnection of Non-Household Premises up to and including 40mm sized supply (PDNHS)**
- d. Permanent Disconnection of Non-Household Premises over 40mm sized supply (PDNHA)**

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

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.

1.11 Meter Installation, Replacement and Meter Maintenance Activities

This scope covers meter installation, replacement and meter maintenance activities. It follows the process covered in the Wholesale Retail Code Part 3 Operational Term Part B: Metering.

Part B (Metering) sets out the processes which the Wholesaler and the Retailer shall follow in relation to installation, accuracy testing, fault and repair, and change of meters owned by the Wholesaler, and Retailer requests for Meter Reads for Non-Market Meters in certain circumstances.

Accreditation under the metering scope can be awarded against the following categories as detailed within the Wholesale Retail Code Part 3 Operational Term Part I covering;

Process B2 - Installation of a meter performed by an Accredited Entity

Process B6 - Repair or replacement of a faulty meter performed by an Accredited Entity

Process B8 - Retailer requested change to size or location of meter performed by an Accredited Entity (other than a replacement following a fault)

Process B9 - Retailer requested change of model of meter performed by an Accredited Entity (other than a replacement following a fault)

For further details please refer to the Wholesale Retail Codes.

The scopes will cover all work associated to the requirements as listed above.

- a. Installation or replacement meter in existing chamber / inside building up to and including 40mm sized supply (MIAES)**
- b. Installation or replacement meter in existing chamber / inside building over 40mm sized supply (MIAEL)**
- c. Installation or replacement meter with pipework modifications and / or excavations works all sizes (MIAEA)**

For full accreditation to be awarded a meter installation /replacement needs to be successful demonstrated/audited on site by the Accreditation body.

2 Role Competency Requirements

2.1 General Competency Requirements

WIRSAE 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.

WIRSAE 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. 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.

2.2 Role Specific Competency Requirements

2.2.1 Metering Construction Activities

All employees engaged in metering construction activities including installation / replacement / pipe work modification 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. WIRSAE 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 WIRSAE Providers employing contractors on a direct labour only basis, the requirement is that the direct labour personnel shall have identification documents issued by the WIRSAE 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 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 IWO or other appropriate institution.

The Technical Advisor shall be responsible for overseeing the 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.

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:

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

As a minimum,

WIRSAE Providers constructing / replacing / modifying metering 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 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 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 by the WIRS Providers Technical Advisor 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.

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

WIRSAE 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.

2.2.2 Disconnections

In addition to satisfy the criteria for metering installation / construction activities under the accreditation scopes covering temporary disconnections, WIRSAE 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.

WIRSAE 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 shall hold these registrations for the carrying out of permanent disconnections.

4.2.4 Meter Installation, Replacement and Meter Maintenance Activities

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

WIRSAE 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 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. They shall be a member of the Water Safe Scheme or an equivalent plumbing scheme.

3 Sub Contracted Work

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

3.1 Sub-contracting arrangements

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

- undertaken by a WIRSAE Provider who has a current Accreditation for the sub contracted scope of work;
- undertaken by a WIRSAE 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 3.2;
- Temporary / permanent disconnections carried out by a subcontractor who themselves holds the temporary / permanent disconnections scope (at the Full level) for the work being completed and where the WIRSAE Provider and sub-contractor must satisfy the requirements of Section 3.4.

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

In all situations where work is subcontracted the WIRSAE 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.

3.2 'Labour Only' Sub-contractors

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

1. subcontract personnel shall be fully integrated into the WIRSAE Providers Health, Safety, Customer Service, Quality, Hygiene and Environmental and competency systems which include being fully inducted and working strictly in accordance with the WIRSAE Providers safety systems and method statements;
2. 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;
3. document the approved tools and equipment requirements and ensure that the requirements are implemented;
4. ensure that calibrated equipment falls within WIRSAE Provider's calibration regime or is verified by the WIRSAE 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 WIRSAE Provider's approved supplier list;
5. all materials shall be purchased by the WIRSAE Provider, and
6. the Accredited WIRSAE Provider shall demonstrate effective management control process and structure to control on/off site activities.

3.3 Disinfection and Testing

Where disinfection and testing activities are not directly undertaken by the WIRSAE Provider but are subcontracted to a specialist disinfection and testing contractor the WIRSAE 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 WIRSAE Provider. The WIRSAE Provider shall ensure that their contract with the subcontractor and the checks completed by the WIRSAE Provider whilst disinfection and testing work is carried out complies with the following:

1. before any work is started the WIRSAE 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, customer service and environmental controls are met;
2. specific instructions shall be issued to the subcontractor for each piece of work which fully identify the fittings to be disinfected and/or tested. the WIRSAE Provider shall verify that the competences of all operatives engaged in disinfection and testing work satisfy the requirements specified in Section **Error! Reference source not found.** and that the subcontractor assesses operative competence on an ongoing basis;
3. the subcontractor shall have procedures in place that ensure that the hygiene requirements detailed in Section **Error! Reference source not found.** are satisfied, and
4. the WIRSAE Provider shall ensure that subcontracted work is routinely audited and that any non-conformance issues are promptly closed-out.

3.4 Temporary Disconnections

Where temporary disconnections activities are not directly undertaken by the Accredited WIRSAE Provider but are subcontracted to a specialist contractor the WIRSAE 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 WIRSAE Provider. The WIRSAE Provider shall ensure that their contract with the subcontractor and the checks completed by the WIRSAE Provider whilst temporary disconnection work is carried out complies with the following:

1. before any work is started the WIRSAE Provider shall formally agree the method of working with the subcontractor. The agreed method of working shall ensure that scheme requirements relating to disconnections activities, including those relating to health and safety, quality, customer service, hygiene and environmental controls are met;
2. specific instructions shall be issued to the subcontractor for each disconnection which fully identify the connection(s) to be disconnected and any other site specific requirements;
3. authorisation to proceed to undertake the disconnection from Retailer and/or the Adopting Utility has been acknowledged;
4. WIRSAE Provider will ensure the subcontractor shall have procedures in place that ensure that the hygiene requirements detailed in Section **Error! Reference source not found.** are satisfied, and
5. the WIRSAE Provider shall ensure that subcontracted work is routinely audited and that any non-conformance issues are promptly closed-out.

3.5 Permanent Disconnections

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 permanent disconnection work satisfy the requirements specified in Section 4.2.2 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 **Error! Reference source not found.** 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.

4 Methods of Working

4.1 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.

4.2 Method Statements

For the scopes of work undertaken WIRSAE Providers shall have documented method statements detailing how the work is to be undertaken to the generic code of practice. Except where adopting utility addendums 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 above and beyond the generic code of practice.

WIRSAE 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 WIRSAE Providers carrying out construction activities shall have method statements/Codes of Practice/charters covering the following activities;

- signing and guarding excavations and traffic management;
- excavating procedure;
- constructing mains (in a range of materials) [*permanent disconnections- all and meter installation/replacement – all*];
- safe working in the vicinity of buried plant;
- Pressure testing and chlorination of installations (where allowed by adopting utility);
- Confined Spaces, working in meter chambers;
- hygienic storage and handling of pipes and fittings;
- capture of new, replaced and removed meter details;
- WIRSAE customer charter – covering all customers
- contaminated ground procedures, and
- disposal of liquid and solid waste.

Disconnections

WIRSAE Providers holding disconnection scopes, shall, in addition to those listed above, have method statements that detail the disconnection, temporary disconnection and reconnection of supply from the network.

Meter Installation, Replacement and Meter Maintenance Work

WIRSAE Providers holding scopes covering meter installation, replacement and 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, meter exchanging for meter accuracy testing, repair and/or replacement and exchange.,

4.3 Assessment of Risks

WIRSAE 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.

WIRSAE 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.

WIRSAE 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.

4.4 Generic Code of Practice and Adopting Utility Addendum

The WIRSAE providers shall have a detailed understanding of both the generic code of practice and any adopting utility addendums, and ensure these are built into their method statements and working instructions.

5 Work issue and control

5.1 Work Control and Management

5.1.1 Work Control and Management

WIRSAE 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 WIRSAE Providers, adopting utilities and Retailers;
3. ensure technical compliance from support sections within the WIRSAE 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.

5.1.2 Adopting Utility Requirements

WIRSAE 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.

WIRSAE 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.

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

5.1.3 Work Instructions

WIRSAE 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 WIRSAE 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

5.1.4 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
- WIRSAE 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 WIRSAE Providers shall notify the Accreditation Body of work they are scheduling (see Section 1.3).

5.1.5 Issue of Work

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

In issuing work:

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

5.1.6 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.)

5.1.7 Equipment

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

WIRSAE 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 or chamber conditions differ from that anticipated;
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;
- chlorination/disinfection and de-chlorination/disinfection equipment;
- lifting equipment;
- access equipment;
- portable pumps, electric tools, leads, transformers, generators etc.;
- mobile plant, and
- light plant and tools.

5.2 Approved Suppliers and Procurement

5.2.1 Suppliers

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

WIRSAE 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;

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.

5.2.2 Specifications

WIRSAE Providers shall establish and maintain procedures to ensure that all fittings, 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 WIRSAE Provider is active are understood;
3. material schedules produced include sufficient technical specification details to enable accurate purchase orders to be raised;
4. purchase orders clearly identify the materials or services required and, when appropriate, refer to the relevant technical specification, and
5. delivery instructions confirm that materials to the required technical specification have been provided.

5.2.3 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.

WIRSAE Providers shall:

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

6 Audit

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

6.1 Technical Audit

WIRSAE 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 sub contract 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.
7. Encourage joint audits with the adopting utility.
- 8.

6.2 Health, Safety, Hygiene, Customer Service, Quality and Environmental Audit

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

WIRSAE 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.
5. Encourage joint audits with the adopting utility

7 Contract Document and Record Control

7.1 Documentation and Document Control Procedures

WIRSAE 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.
7. This may also be reviewed by the adopting utility.

7.2 Records

WIRSAE 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:

- contracts, drawings;
- data capture around meters
- technical, construction and maintenance manuals;
- inspection, commissioning, and calibration records;
- chlorination/disinfection and de-chlorination data;
- connection authorisations and associated approval documents;
- audit results and any resulting corrective actions;
- standards and specifications (industry, BSI, ISO etc.);
- health, safety, environment and quality;
- training and competency records, and
- Signed customer charter.
- customer complaints.

8 Legislation, Standards and Guidance

8.1 Reference Library

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

As a minimum this should include:

- UKWIR Code of Practice for the Self Lay of Water Mains and Services for England and Wales;
- Wholesale Retail Code Part 3: Operational Terms;
- Adopting utility addendums to national Codes of Practice;
- Adopting utility specific Codes of Practice;
- WRAS approved materials and fittings;
- The New Roads and Street Works Act and all related Codes of Practice and Specifications;
- National Joint Utilities Group (NJUG) publications;
- WIRSAE Customer Charter;
- WIRSAE Data logging Charter;
- Materials specifications;
- BS6700 EN805/806;
- Customer Charter;
- Principles of Water Supply Hygiene (published by Water UK), and
- Documentation specified by the adopting utility.

WIRSAE 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.

9 Quality and Safety Systems

9.1 Quality Management System

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

Through their Quality Management Systems the WIRSAE 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.

9.2 Customer Service and Complaints

WIRSAE Providers shall sign up to the WIRSAE Customer Charter and ensure Retailer and Wholesaler customers are treated and communicated too as per the Charter. WIRSAE Providers shall maintain a schedule of customer complaints and make this available to the accreditation body, the retailer and the adopting utility along with all investigations and details of action taken following such complaints.

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

9.3 Health, Safety, Quality, Hygiene, Customer Service and Environmental Systems

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

WIRSAE 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, hygiene, customer service 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, hygiene, customer service 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.

9.3.1 CoSHH Regulations

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

9.3.2 PPE and Other Safety Equipment

WIRSAE 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 WIRSAE 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 WIRSAE Provider and maintained and stored in serviceable condition and is within its calibration date.

9.3.3 Safety Briefings

WIRSAE 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.

9.3.4 Accident and Incident Investigation and Reporting

WIRSAE 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.

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

10 Human Resources Procedures and Training

10.1 Human Resource Procedures

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

10.2 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, Hygiene, Customer Service, 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.

10.3 Training Policy

WIRSAE 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 WIRSAE 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.

10.4 Induction Training

WIRSAE 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, customer charter, hygiene rules, quality, design and construction manuals and drawings, and other relevant policies and procedures.

Appendices

Appendix 1. Accreditation management arrangements

Once a WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE Provider are monitored by means of regular surveillance visits.

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

A1.2.1 Partial Accreditation

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

Where a WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE 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.

WIRSAE 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 WIRSAE Provider with Partial Accreditation has been carrying out work without notifying the Accreditation Body their accreditation will be terminated without notice.

When a WIRSAE 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 WIRSAE Provider.

A1.2.2 Full Accreditation

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

To achieve Full Accreditation for any particular element of the requested scope then those elements shall be carried out by the WIRSAE Provider (or managed by the WIRSAE Provider if appropriate to the WIRSAE Provider's scope) and witnessed and assessed by the accreditation body. In order to progress from Partial Accreditation to Full Accreditation, WIRSAE 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. WIRSAE Providers shall also demonstrate a full understanding of the specific adopting utility requirements, specification details and contact arrangements.

The WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE Provider they must stop using the Scheme Registration Mark and, where necessary, withdraw any material carrying the mark.

A1.3 Monitoring of Accredited WIRSAE Providers

Having gained accreditation the work and adherence to process of WIRSAE 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 WIRSAE Provider.

A1.3.1 Surveillance Visits

The Accreditation Body shall verify through surveillance visits and periodic reassessment that the WIRSAE 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 2;

2. processes are established and maintained to ensure that retailer 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 retailers, customers 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.
10. Customer Charter is adhered too at all times.
11. encourage where practical for the adopting utility to get involved in these visits.

A1.3.2 Surveillance Visit Programme

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

Periodicity of surveillance will be based on:

- Scopes of accreditation;
- Levels of activity and number of operational bases;
- WIRSAE 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 WIRSAE 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:

Scopes	Frequency of visits
TDNHS	Annually
TDNHA	Annually
PDNHS	Six Monthly
PDNHA	Six Monthly

MIAES	Annually
MIAEL	Annually
MIAEA	Six monthly

Minimum frequency based on number of Jobs completed:

No of AE Jobs	Frequency of visits
>50	Six monthly
<50	Annually

The Adopting utility and the retailer may carry out their own surveillance visits.

A1.3.3 Surveillance Visit Arrangements

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

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

The accreditation body will routinely (normally annually) advise WIRSAE Providers of the surveillance visit schedule (covering site and office activities) that needs to be witnessed. WIRSAE 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.

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

WIRSAE 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. meter replacement, installation, disconnection, reconnection and data logging).

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 WIRSAE Provider, relax the frequency they expect to view such work. This arrangement will only be allowed when the WIRSAE 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 WIRSAE 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 WIRSAE 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, WIRSAE 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 WIRSAE 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 WIRSAE Providers shall present each scope of its accredited activities for surveillance audit annually.

A1.3.5 Surveillance Visit Payments

WIRSAE 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.

WIRSAE 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 WIRSAE Provider:

- is found to have made false claims within the application for accreditation which are considered to impact on the integrity of the WIRSAE 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 WIRSAE Providers are working, or planning to work, on live water networks and a major deficiency is raised WIRSAE 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 WIRSAE Provider, the accreditation body shall carry out an investigation.

When an investigation is being carried out, the WIRSAE Provider shall provide facilities for the accreditation body to do inspections, including checking any test equipment and providing access to the work. The WIRSAE 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 WIRSAE Provider has not complied with the scheme requirements, including doing work to the standards of the adopting utility, the WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE Provider.

A1.5 Appeals, Complaints and Disputes concerning Accreditation

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

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

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

Alternatively, if the appeals process finds the accreditation withdrawal to be the correct course of action then re-instatement of the WIRSAE 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 WIRSAE Provider during the period of accreditation. If the WIRSAE 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 WIRSAE 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 WIRSAE 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 WIRSAE Provider three month's notice of the expiry of their accreditation. If the WIRSAE 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 WIRSAE 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 being satisfactorily reassessed and a surveillance programme agreed the WIRSAE 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 WIRSAE 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 WIRSAE Scheme Registration Mark**

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

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