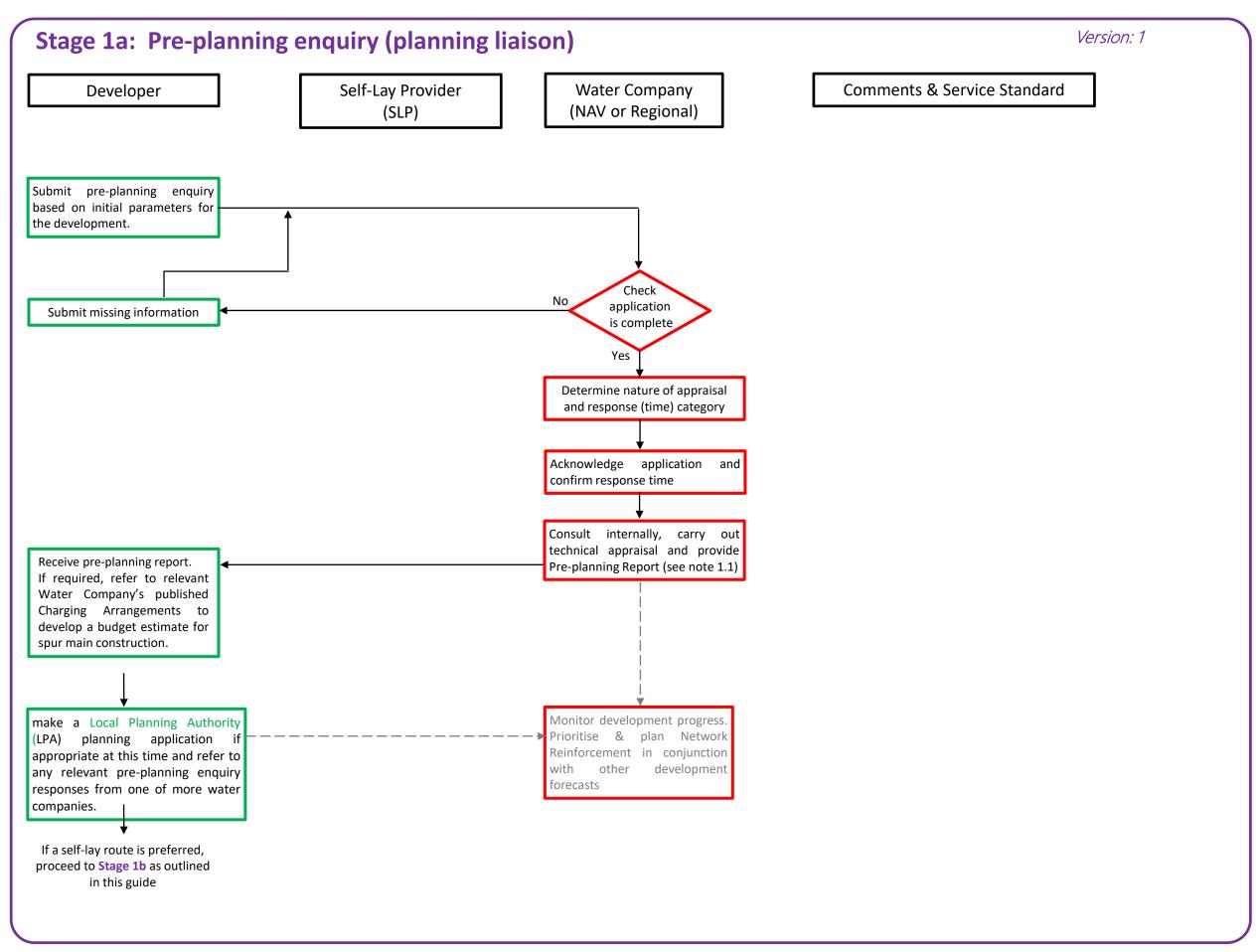
Adoption Procedures

These Procedures cannot be viewed in isolation and must be read in conjunction with the Water Sector Guidance (WSG) and Model Water Adoption Agreement (MWAA). Please refer to the Master Definitions Appendix to the WSG for an explanation of the defined terms used in these Procedures.

3 September 2020

Water UK 240620 Appendix C - 1



Stage 1b: Choose Delivery Route & Allocate Self-Lay Duties

Developer

Self-Lay Provider (SLP)

Water Company (NAV or Regional)

Comments & Service Standard

Note 1.1:

Refer to the Connections Options section of the Sector Guidance for more information on other potential connection routes.

Note 1.2:

More detail on the Principal Designer role can be found at:

http://www.hse.gov.uk/construction/cdm/2015/principal-designers.htm

Note 1.3:

To ensure these Procedures offer Customers a high degree of choice, these flow charts categorise activities as Unaccredited & Accredited.

Unaccredited Activities can be carried out by a Developer or SLP. **Accredited Activities** are typically only carried out by SLPs' which have demonstrated competence through recognised schemes, such as the Water Industry Registration Scheme (WIRS). (https://www.lr.org/en/utilities/water-industry-registration-scheme-wirs-wirsae/)

If pursuing a self-lay delivery route, refer to list of potential self-lay providers:

Choose a connection design &

delivery route

https://www.lr.org/en/utilities/ water-industry-registrationscheme-wirs-wirsae/search

Choose an SLP and appoint a competent Principal Designer in accordance with the CDM 2015 regulations (see note 1.2).

Agree an initial allocation of Self-Lay Work between the Developer and its chosen SLP (see note 1.3).

Unaccredited Activity

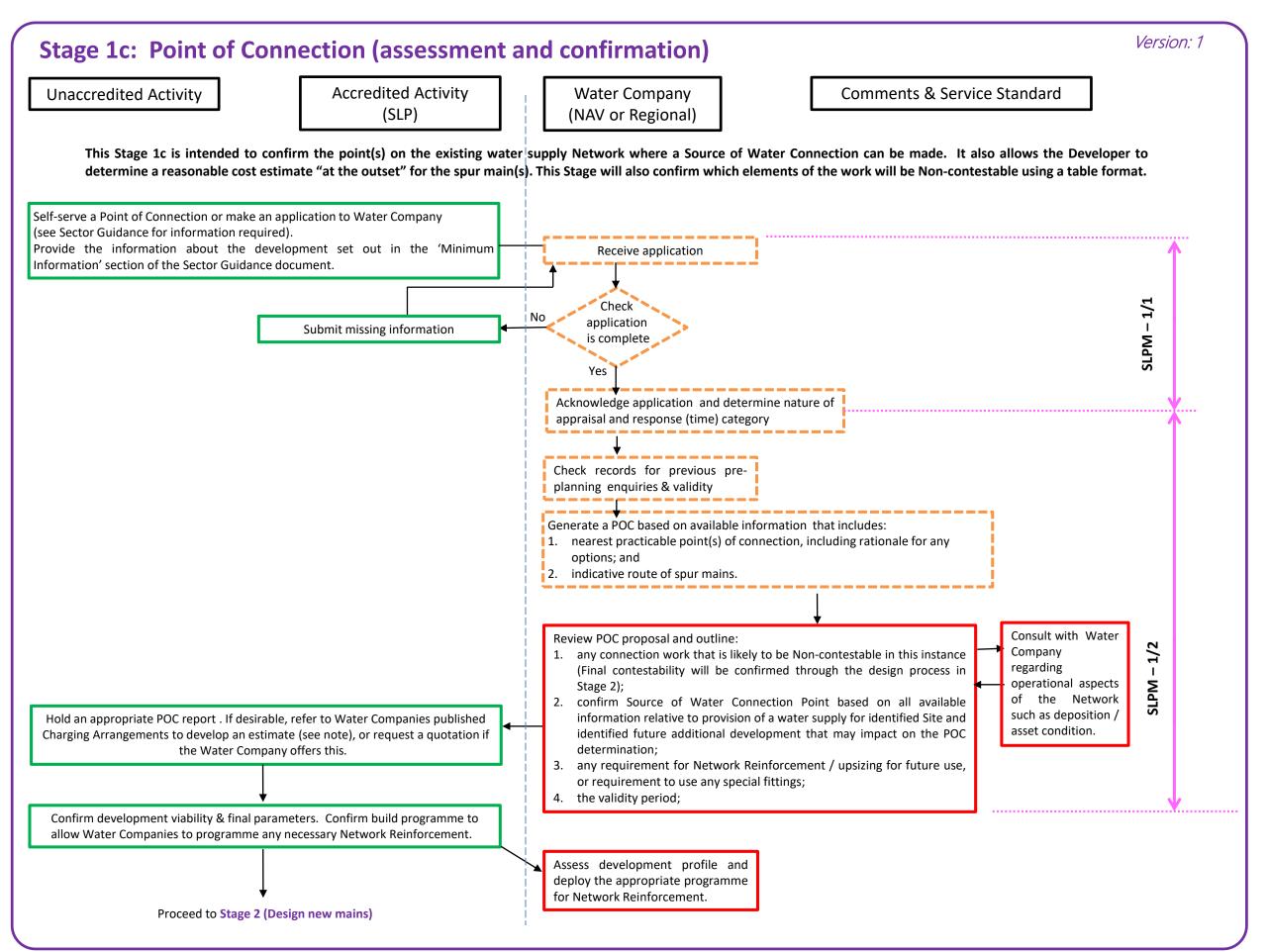
Construction activity that can be done by Developers or their contractors (such as trenching, final levels).

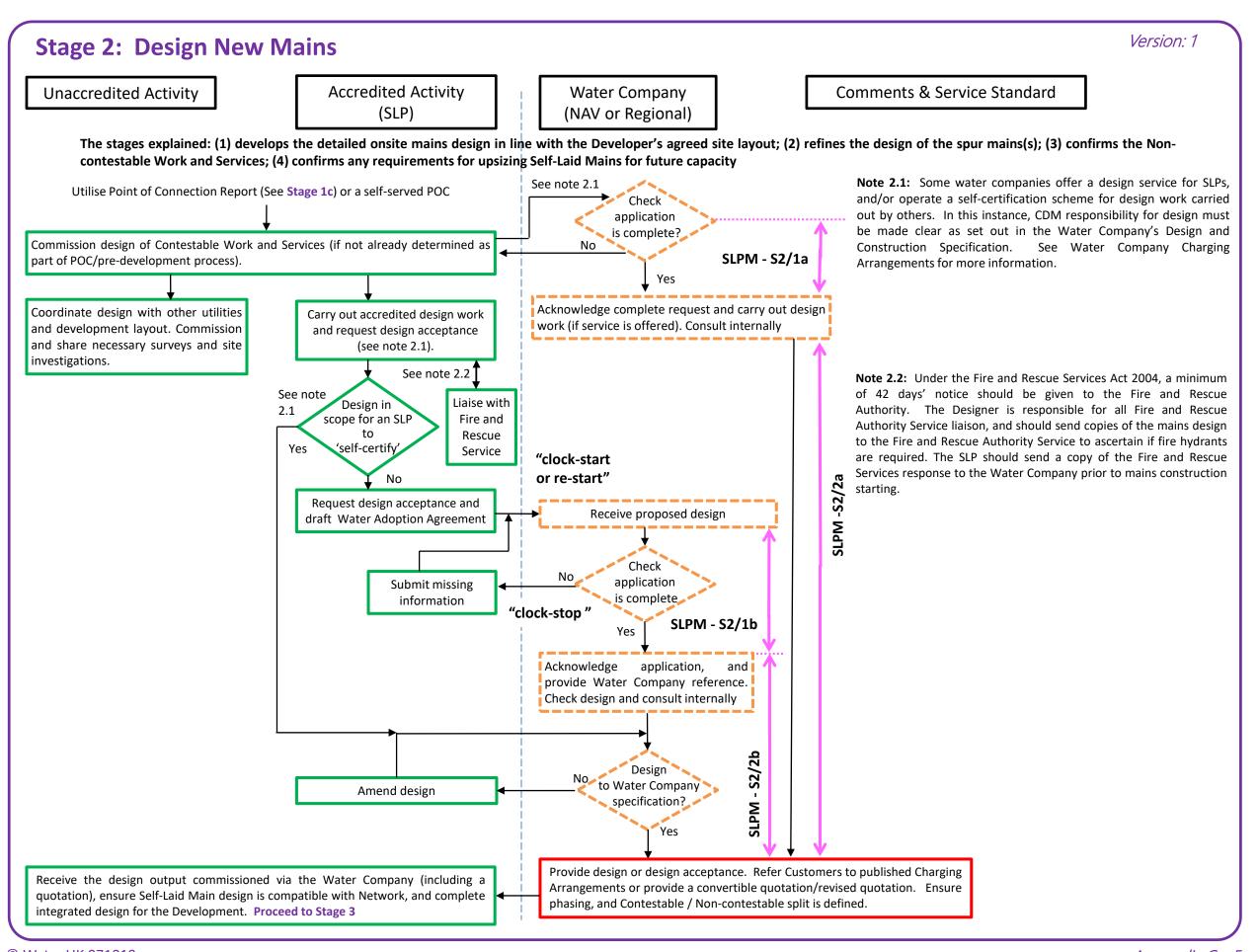
Accredited Activity (SLP)

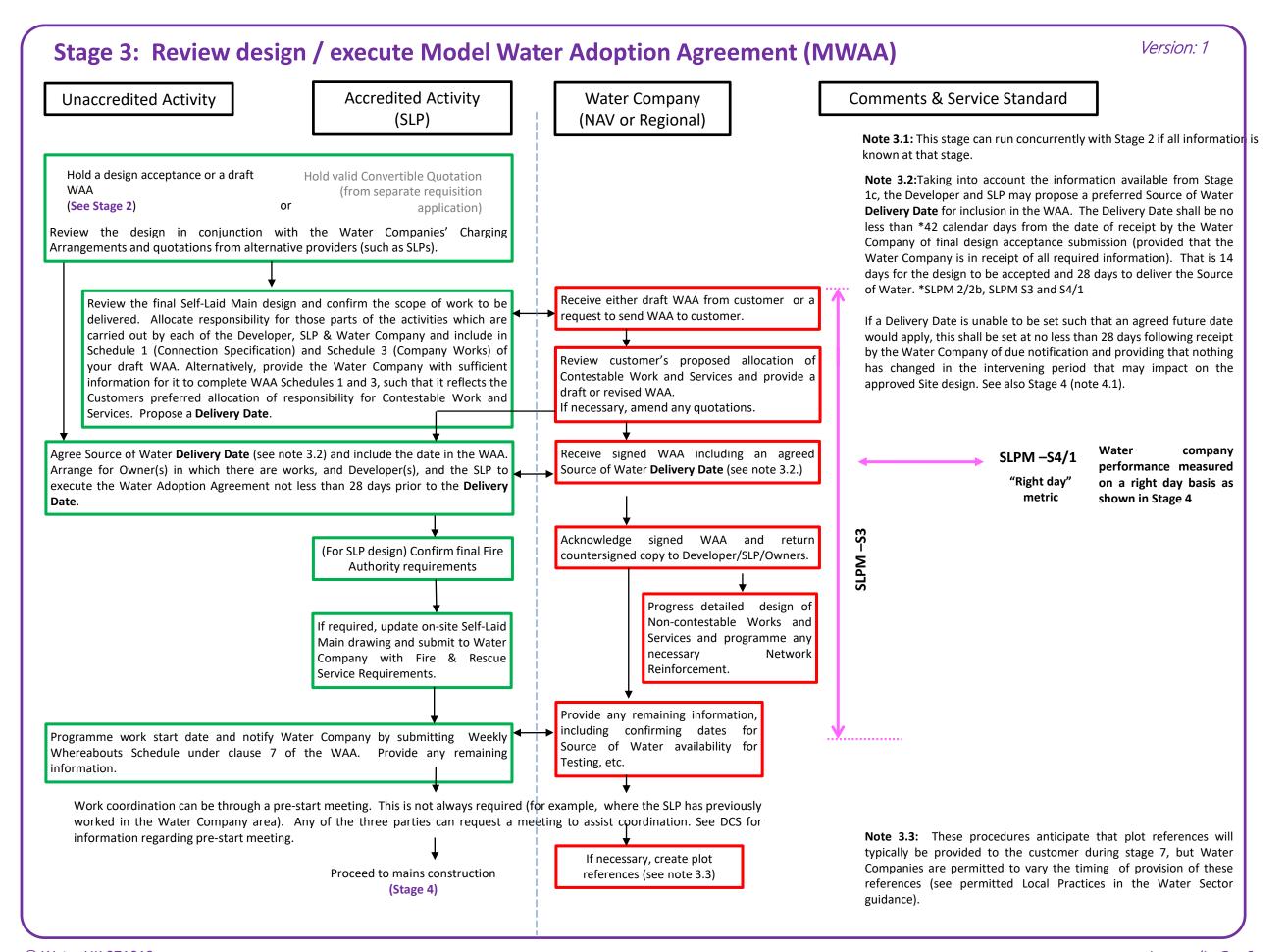
Water asset construction such as pipelaying, connection work etc that can typically only be done by accredited specialist SLPs. According to the Water Company's published Annual Contestability Summary (ACS)

Proceed to **Stage 1c** to identify or confirm the appropriate Point of Connection(s)

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Stage 4: Construct Water Main

Unaccredited Activity

Progress provision of any unaccredited works, control premises, and coordinate overall development programme.

Provide access for works

Provide or procure any Land Rights and/or Statutory Consents where relevant, in accordance with the WAA (see note 4.1)

SLPM - S4/2

Accredited Activity
(SLP)

Progress provision of any Accredited activities. Update Weekly Whereabouts (see note 4.1).

Construct Self-Laid Main in accordance with SLP Accept Design or Water Company Design and WAA (see note 4.2).

If Site conditions dictate, agree any variations in accordance with clause 19.2 of the WAA. Should a change to the PoC location become unavoidable, notify the Water Company as soon as reasonably practicable.

Give Water Company advance notice and provide method statement (see note 4.3) of drawing water from the existing Network for flushing, disinfection or testing.

Where there is no available spur, or end hydrant present, seek further guidance.

Carry out pressure test in accordance with agreed method/programme and provide results.

Flush and disinfect (chlorinate) mains in accordance with agreed method & provide records. Take water quality sample (see note 4.4) or ask Water Company to sample

Arrange for sample analysis at an UKAS accredited laboratory in line with DWI specifications (DWTS). Provide results

Submit construction records
(unaccredited works)

Submit construction records

Water Company (NAV or Regional)

Progress provision of any Company Works (such as designing and installing any new branch or spur) in accordance with **Delivery Date** / location (see note 4.1)

If appropriate, carry-out coordination and compliance visits to support design coordination and alignment with the WAA.

Depending on design route used in Stage 3, either review design or agree appropriate design amendments. If necessary, re-consult with Water Company for any alternative Point of Connection location pursuant to Stage 1c.

Confirm availability of Source of Water for Testing including operational information on Existing Main (such as restriction to flow rate, or unusual pressures). If water is not available at the anticipated location or date, confirm an alternative Source of Water for Testing.

Witness or audit pressure tests using a risk based approach.

Witness or audit disinfection using a risk based approach. Specify any additional water quality parameter testing necessary.

Assess sample results expediently, and in line with the Water Company's obligation to supply wholesome water. Repeat if necessary to confirm compliance.

Record as-built information on asset management database to assist with any subsequent works.

Comments & Service Standard

Note 4.1: In most cases the Water Company shall be providing a new branch or end connection as a Source of Water. Where this is the case, the new branch should be provided in line with the agreed **Delivery Date**. See also note 3.2

Changes to the **Delivery Date** may be necessary due to; Special Engineering Difficulties, changes to the design to overcome Site issues, issues with obtaining third party consents, or unforeseen Highway Authority restrictions.

Changes to the **Delivery Date** should only be made when the Water Company has notified the SLP and evidenced the reasons for such change to the **Delivery Date** in the WAA. Any changes to the **Delivery Date** must be notified to the Developer and SLP in writing as soon as known and in accordance with the Redress requirements set out in the Water Sector Guidance and the WAA.

The WAA requires the Developer to provide or procure Land Rights and/or Statutory Consents to progress the Self-Lay Works.

"Right day" SLPM –S4/1

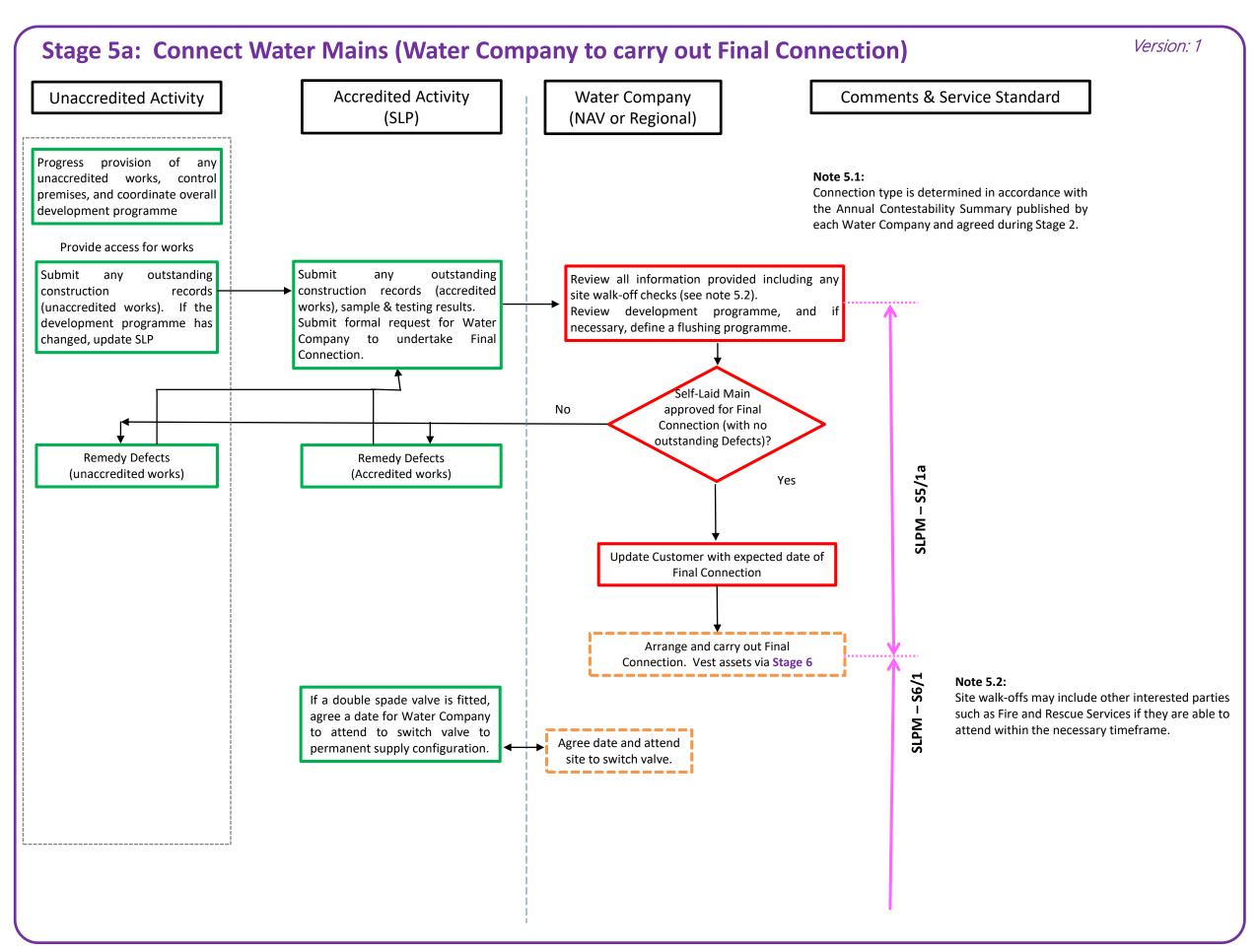
metric

* (SLP incurs cost of advance work to install POC connection arrangement if later aborted / WAA remains unsigned).

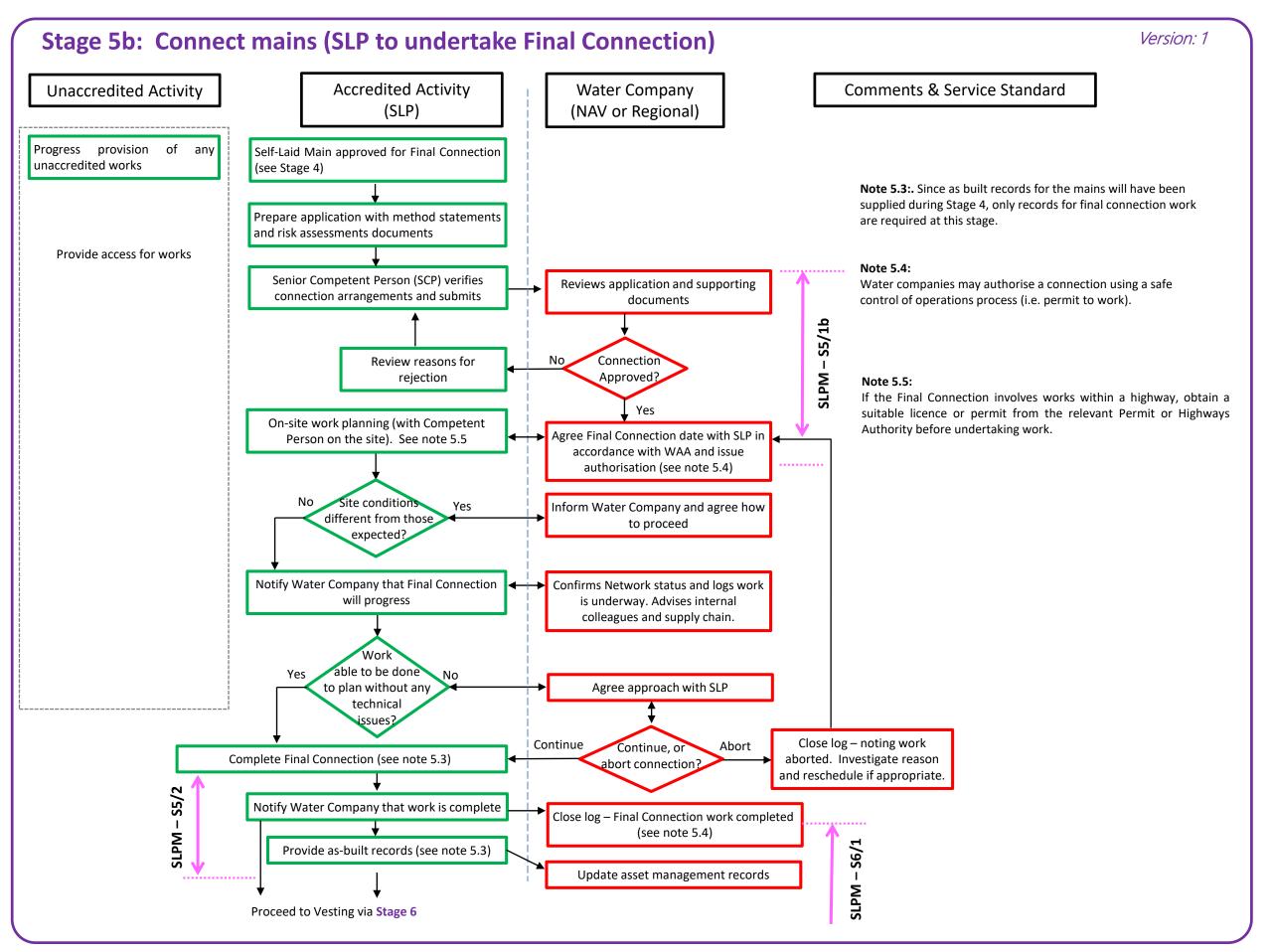
Note 4.2: The Self-Laid Main construction activities shown on this page may also include the construction of water main diversions of the Existing Main, provided that such works are provided for within the SLP Accepted Design or the Water Company Design.

Note 4.3: The method statement shall confirm which party is responsible for ensuring that all required permits and agreements are in place, for identifying where water can be flushed to, for disposal of flushing water, and confirm whether flushing water is required to be dechlorinated first. See the DCS also.

Note 4.4: All water quality samples must be collected, submitted and analysed in accordance with DWTS 17025.



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Stage 5c: Connect Mains (Medium or High Risk Connection) (Part 1 of 2)

Unaccredited Activity

Progress provision of any unaccredited works

Provide access for works

Accredited Activity (SLP)

Self-Laid Main approved for Final Connection (see Stage 4)

Prepare method statements and risk assessments documents

Senior Competent Person (SCP) verifies connection arrangements and submits details.

Review Water Company requirements and decide whether to proceed with SLP connection

Proceed?

No

Request Water Company connection

Yes

Provide suitable evidence to confirm suitability for carrying out medium risk connections that is out of scope for WIRS. Incorporate Water Company requirements into method statement and risk assessment. Confirm additional terms are acceptable. (See notes 5.8 and 5.9).

> Review reasons for rejection

On-site work planning (with Senior Competent Person on the site)

Proceed as below

Water Company (NAV or Regional)

Review application and supporting documents to determine how SLP could evidence competency for activities that lie outside of WIRS scope. Set out any particular requirements regarding connection method, standby resources, or materials etc. Set out any additional terms or costs that would apply. See note 5.7.

> If no agreement is reached add this work to the scope of Company Work and proceed Final Connection in Stage 5a.

Review evidence, method statement, risk assessment and supporting evidence in accordance with this Sector Guidance (see note 5.10).

Yes

Connection

Approved?

Agree Final Connection date and issue authorisation (see note 5.9)

Comments & Service Standard

Note 5.6:

Stage 5c is intended as a guide on how Water Companies and SLPs may innovate by agreement, making work that is classed as Noncontestable available to SLPs.

Note 5.7:

Existing forms of Accreditation are aligned to specific activities and training. Where both Customers and Water Companies agree to allow SLPs to carry out bespoke or more complex work, additional methods of confirming competency may be required. Stage 5B should be used where a bespoke review of competency is necessary.

Note: Where possible, the review to determine SLP evidence of competency should be carried out earlier for example, during Stages 2 or 3 to the extent that the connection had been identified as medium risk.

Note 5.8:

Each company holds an individual Drinking Water Safety Plan that defines its approach to risk assessment and work management practices. Each company will publish its approach to assessing connection risk to allow SLPs to provide suitable evidence in advance of Final Connection.

Note 5.9:

Water Companies may authorise a Final Connection using a safe control of operations process (i.e. permit to work).). See also Stage 4 (note 4.1 as notwithstanding the agreed Delivery Date for a Final Connection, no such connection shall be made without Water Company authorisation.

Note 5.10:

If the Final Connection involves works within a highway, obtain a suitable licence or permit from the relevant Permit or Highways Authority before undertaking work.

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Proceed to Vesting via Stage 6

Version: 1 **Stage 6: Adopt New Main and Correct Defects Accredited Activity Unaccredited Activity** Water Company **Comments & Service Standard** (SLP) (NAV or Regional) Note – This procedure applies to each section of main that is brought into use Mains Connected by SLP or Water Company (See Stage 5a, 5b, 5c) Note 6.1: -56/1The adoption process transfers legal ownership of the Provide access for works newly constructed asset(s) to a Water Company in Once each main of section of it has under section 51(a) of the Water Industry Act 1991. been connected in accordance with (For SLP design) Notify (and SLPM Ensure final cover levels are Evidence of the legal transfer is provided when he clause 10.2 of the MWAA, issue a invoice) Fire and Rescue Authority achieved / maintained throughout Water Company issues a Declaration of Vesting Declaration of Vesting (see note any remaining landscaping or in relation to connected hydrants document to the SLP/Developer once the conditions of 6.1). Defect Correction Period starts. carriageway works. the MWAA have been met. Issue Declaration of Vesting in Service connections can only be made to an Adopted Await vesting certificate, before Self-Laid Main. As such, work to make service accordance with clause 11.1 of the making service connections. connections follows the provision of the Declaration of WAA confirming date of Adoption. Vesting. If appropriate, licence holders should notify the Highways Authority of the change Note 6.2: of responsibility in accordance with Section 50 of NRSWA Ensure that leakage and accidental damage is (if not completed earlier in the process) responded to by the Water Company. If necessary, Take responsibility for the operation and ensure that suitable periodic flushing is carried either by the Water Company, or if required in the WAA, the SLP, maintenance of the asset and update Water Company asset database records (see note to maintain water quality. Liaise with the Fire and Rescue Service regarding the commissioning and maintenance of Fire Hydrants associated with the Adopted Self-Laid Main as necessary At appropriate points during the Defect Correction Period, visit Site and provide the SLP and Developer with a schedule of any necessary Defect Correction work. Carry out Defect Carry out Defect Corrections Carry out Defect Corrections (which Corrections (which do not affect (which do not affect supplies) affect supplies) and invoice Developer supplies) / SLP Notify Water Company should accidental damage occur to Adopted Self-Laid Main Arrange repair of any failures, defects, or damage to vested apparatus

Stage 7: Make Service Connections (part 1 of 3) Accredited Activity Unaccredited Activity Water Company (SLP or plumber) (NAV or Regional) Progress provision of If requested, supply suitable meters Maintain a stock of suitable water unaccredited works, control in accordance with Water Company meters. Requests meters as premises, and coordinate overall terms and charges (see note 7.0) necessary from potential suppliers development programme Choose resources for internal plumbing and private supply pipe installation Install internal plumbing using a Monitor development activity and WRAS accredited installer, and if Internal Accredited programme Coordination plumbing (see note the Water Company requires notify Compliance Visits based on the Water Company on completion appropriate risk factors (see note 7.2) (see note 7.1) that takes into account WRAS plumbing approval schemes, WIRS accreditation status, type approval, Install internal plumbing in and recent events. accordance with a type-approval obtained from the Water Company Visits may be made on a sample of and if the Water Company requires sites, and unannounced either at this it notify the Water Company stage or when the internal plumbing (See note 7.1) Unaccredited is complete and ready for occupation. Install internal plumbing Customer notified if follow up work is SLP requests a coordination and necessary either at this stage, or as compliance visit if the Water part of final walk-over Company requires these where an unaccredited plumber has been used. Private Accredited Install private service pipe using a supply pipe (see note suitably accredited installer 7.3) (for example WRAS) Unaccredited Install private service pipe SLP submits service pipe installers certification if the Water Company requires this

Comments & Service Standard

Note 7.0: Water companies may specify a particular type and manufacturer of meter that the Water Company requires to be installed and may offer a procurement link to suit. Water companies may offer to supply meters that meet its specification and/or provide details of the meter type and the Water company standard asset supplier/ manufacturer for SLP's to procure direct. See Water Company charging arrangements for more details.

Note 7.1: The national minimum "internal" plumbing suitable for making service connections is a stop tap that will facilitate (1) flushing, (2) residual chlorine testing, (3) meter proving, and (4) isolation (5) periodic flushing to maintain water quality. All plumbing must comply with WQ(WF)1999.

The minimum level internal plumbing can be fitted by any competent person. If the installer is able to evidence competency through a suitable WRAS or WIRS accreditation scheme, the Water Company may take this into account when deciding whether to undertake subsequent due diligence checks on the site.

Note 7.2: WQ due diligence checks – See Water Regulations Act 1999 for more detail on this aspect of the process.

Where internal plumbing does not have signed-off type approval, or has not been installed by an approved plumber, the Water Company may require an internal plumbing inspection to confirm that internal plumbing meets the Water Regs.

Refer to latest WRAS Water Fittings Enforcement Report for more detail.

Not all plumbing inspections are necessarily timed to coincide with service connection.

Note 7.3: Private supply pipes can be laid by any party providing they meet the requirements of the Water Company when doing so. Private supply pipes should be: (1) laid to the correct depth, (2) ducted through walls, (3) appropriately insulated internally (4) have an end plug at the meter end to prevent contamination prior to connection (5) be the appropriate material (6) and have the minimum internal plumbing. See Water Company local requirements for more detail.

Stage 7: Make service connections (part 2 of 3) Accredited Activity Unaccredited Activity Water Company (SLP) (NAV or Regional) Progress provision of any unaccredited works, control premises, and coordinate overall development programme SLP Notifies intention to connect a private Notification received service pipe to a vested main (see notes 5.9 & 7.4). Water companies may require SLPs to use a plot reference if their Local Practice Call-off service connections as dictates (see note 7.4) Process payment for admin fees required by the development Either make payment, or commit to making or: (1) set fee against remaining programme payment later for the Administration Fees asset payment; (2) set fee associated with self-lay service connections against SLP funds taken on (see note 7.5) account; (3) invoice after SLPM completion of service connection Coordinate other utilities and ensure NJUG separation is achieved between water assets Validate notification & provide SLP Before making connections, the SLP satisfies and any other utility with consent to progress itself that minimum internal plumbing is connections. If not provided already present and that the private supply pipe is allocate plot references appropriately installed (see note 7.6). If Provide access for works necessary, obtain a road opening permit. Monitor development activity and Provide occupier billing details if programme Coordination & Compliance Visits based on not provided earlier appropriate risk factors that take into **SLP updates Weekly Whereabouts** account WIRS accreditation status, Schedule, and makes service connections and recent Network Events (see note 7.8) (see note 7.7) Visits may be made on a sample of SLP fits meter and sends sites, and unannounced connection notification to **S7/2** (see note 7.8) Water Company with SLP notified if follow up work is address, customer, and necessary either at this stage, or as 1 SLPM part of final walk-over meter details. (see note 7.9) Water Company verifies data received and arranges any follow-Ensure final cover levels are on meter validation (see 7.10) achieved / maintained throughout any remaining landscaping or carriageway SLP submits a "screw-in" meter request to SLPM S7/3 works. Maintain NJUG Water Company for SLP service Water Company technician separations connections, with property address and visits site to install 'screw in' customer details (see note 7.8) meter and records meter details See next page

Comments & Service Standard

Note 7.4: Stage 7 procedures apply to both service connections from new mains, and service connections to old mains providing an appropriate MWAA is in place for the site.

If a Water Company has a local practice that issues plot references to Customers during the mains connection journey, customers may be required to provide it at this stage.

Note 7.5: In accordance with their individual published Charging Arrangements, water companies charge an Administration Fee to cover the cost of creating a new account for each property. See each water companies published Charging Arrangements for further detail of the fees, timing, and payment methods.

Some companies may require Developer / SLP details for any interim bill to cover pre-occupancy period. NOTE: Connections made pre-occupation may be deemed NHH for water revenue purposes.

- **Note 7.6**: Earlier parts of this process establish that minimum plumbing and an appropriate private supply pipe is installed. SLPs should satisfy themselves that those standards are still met before proceeding with connection work (in accordance with WIRS commissioning procedure)
- **Note 7.7**: Manage network to maintain water quality. If necessary carryout work to turn-over network, or agree suitable turn-over / periodic flushing regime with Developer / SLP
- **Note 7.8**: SLPs should include the tapping of service connections in their weekly whereabouts reports (see note 4.1). Customers choose whether to install the meter themselves, or request a "screw-in" meter fitting service from the Water Company (see Water Company charging arrangements for any meter fitting services offered to SLPs).

Responsibility for the operation and maintenance of communications pipes transfer to the Water Company's ownership at the time of connection.

- **Note 7.9**: Meter information to be provided in accordance with the "minimum information" specified in the sector guidance, and Water Company's Design and Construction Specification.
- **Note 7.10**: Some metering equipment includes a telemetry link that forwards consumption data over a data network in near realtime. Some meters of this type require a separate visit to establish a data transfer signal (see permitted local practices in the Sector Guidance).

