

Adoption Procedures – Coordination Draft (2nd con)

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These Procedures have been created as part of the collaborative Codes Programme with significant input from Customers and Water Companies.

The aim is to improve the level of national consistency, facilitate accurate delivery of services between all parties and to enable effective competition.

This is the proposal for the proposed procedures, which have taken into account the feedback from the 1st Consultation the previous consultations and workshop feedback details. This process is mainly focussing on the key areas detailed by customers.

The customers detailed that they would support better standardisation of information needed and this has now been expanded to provide the additional Minimum information sections for each step in the process. The LOS measures have been changed and altered to show the views from the 1st Consultations taking into account the views from all parties feedback.

From the 1st Consultation – the element of S106 has been removed from the S104 process

The elements for including a diversion within the Agreement have been included within the process

Details for the conditional or agreement acceptance have been incorporated

The process for progressing a site by Water Companies has been included

The SLA's have been re-assessed taking into account what is needed

An SLA has been applied to completing remedial works for developers before the Water Company will complete any relevant works at the cost of the developer. In addition to confirming to the bondsman that the developer has failed their obligations as part of the S104 and then calling in the bond money.

SLA's have been defined as calendar days from day after receipt

These procedures continue to remain under-development and welcome further comment from interested parties. If you have any comments about these procedures please contact us: dstrang@water.org.uk

Adoption Procedures and Levels of Service

Stage 1a: Pre-Planning Enquiry (planning liaison)

Stage 1b: Pre-Design Strategic Discussion/Assessment

Stage 2: Design of new sewerage system

Stage 3: Adoption agreement

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Stage 4: Construct gravity sewerage system

Stage 5: Maintenance Period

Stage 6: Final Inspection and Vesting – gravity system incl. pumping station and/or components

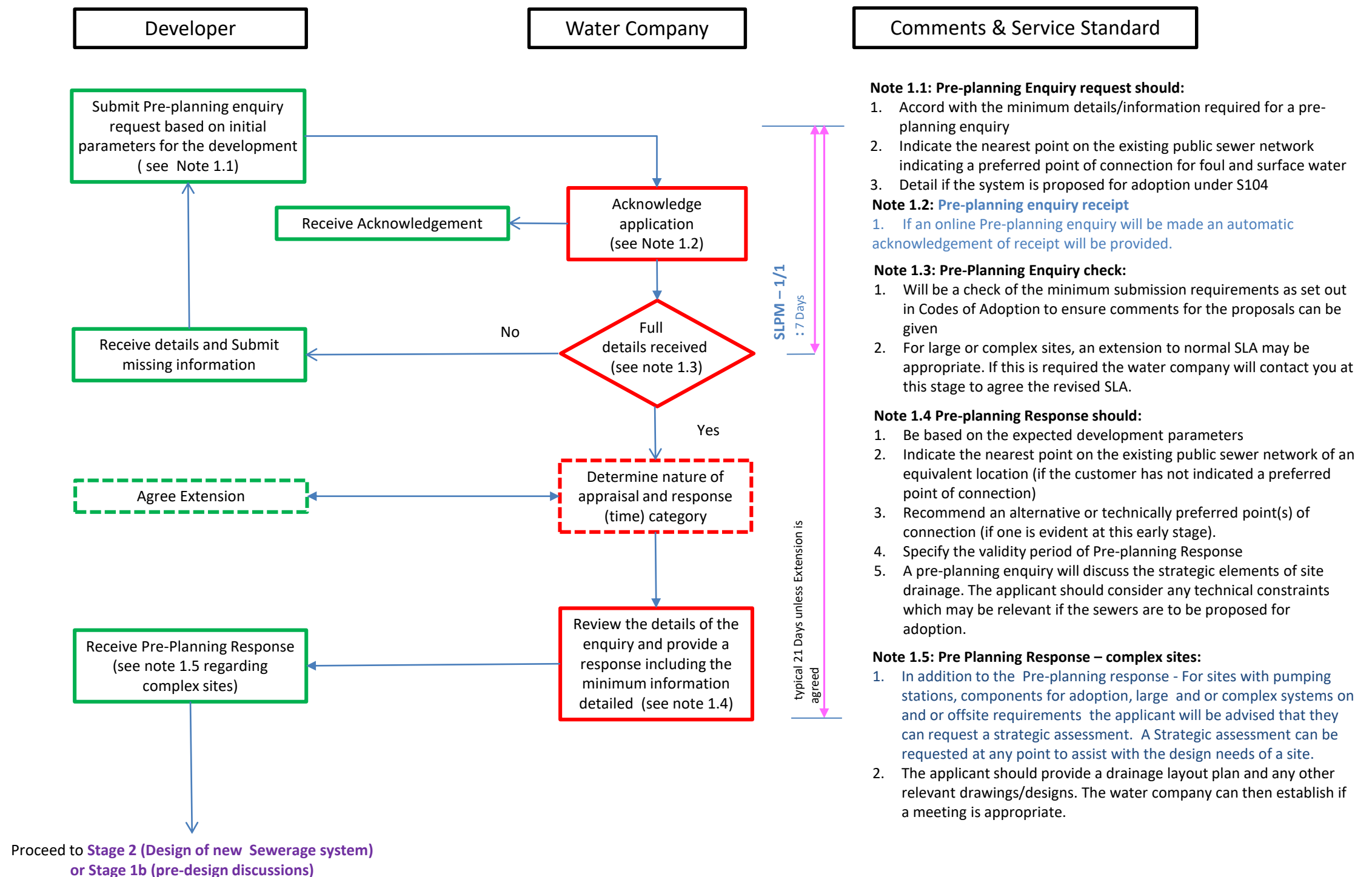
Stage 7: Variation of new sewerage system

Stage 1a: Pre-Planning Enquiry (planning liaison)

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This stage is designed to confirm the allowable rates of discharge to the point(s) on the existing network where a connection to public sewers is required. It also allows the developer to determine reasonable cost of the works "at the outset" for the sewerage system(s). It will also inform if the sites will need a Strategic Assessment



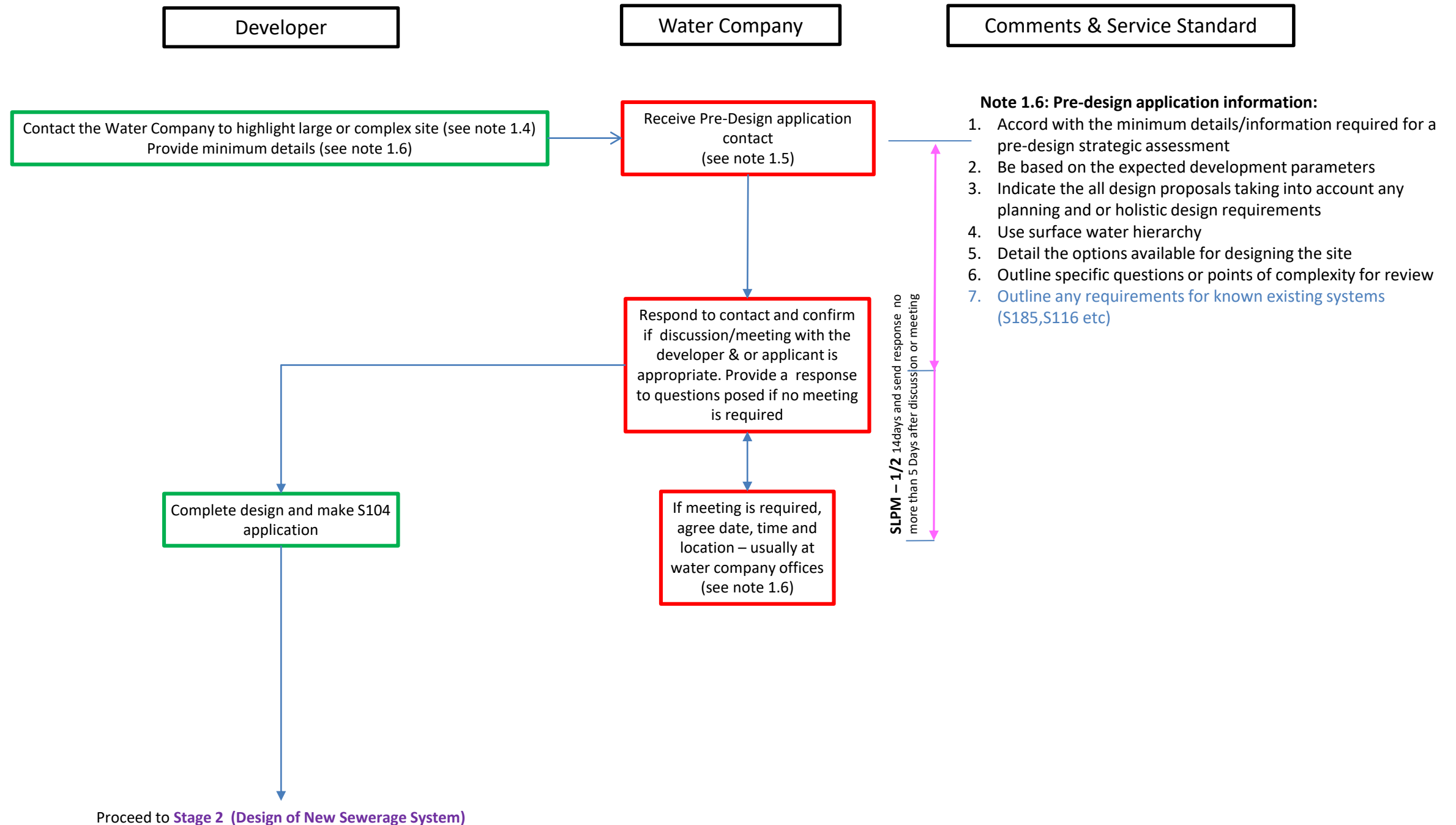
Service Level Process Measure : All levels of service will begin on the first working day following receipt.

Stage 1b: Pre-Design Strategic Discussion/assessment (relevant for some larger or complex sites)

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This stage is designed to capture the early engagement for the design of a site to enable the proposals for maintaining a sewerage system for its lifetime to be considered by the Water Company. **The earlier the discussions the better. These can be requested at any point before the S104 application is requested by the developer or recommended as part of the pre-planning enquiry.** It also allows the developer to confirm the future owner and maintainer of the sewerage system “at the outset” to use as part of their planning application.



Service Level Process Measure : All levels of service will begin on the first working day following receipt.

Stage 2 new : Design of new sewerage system

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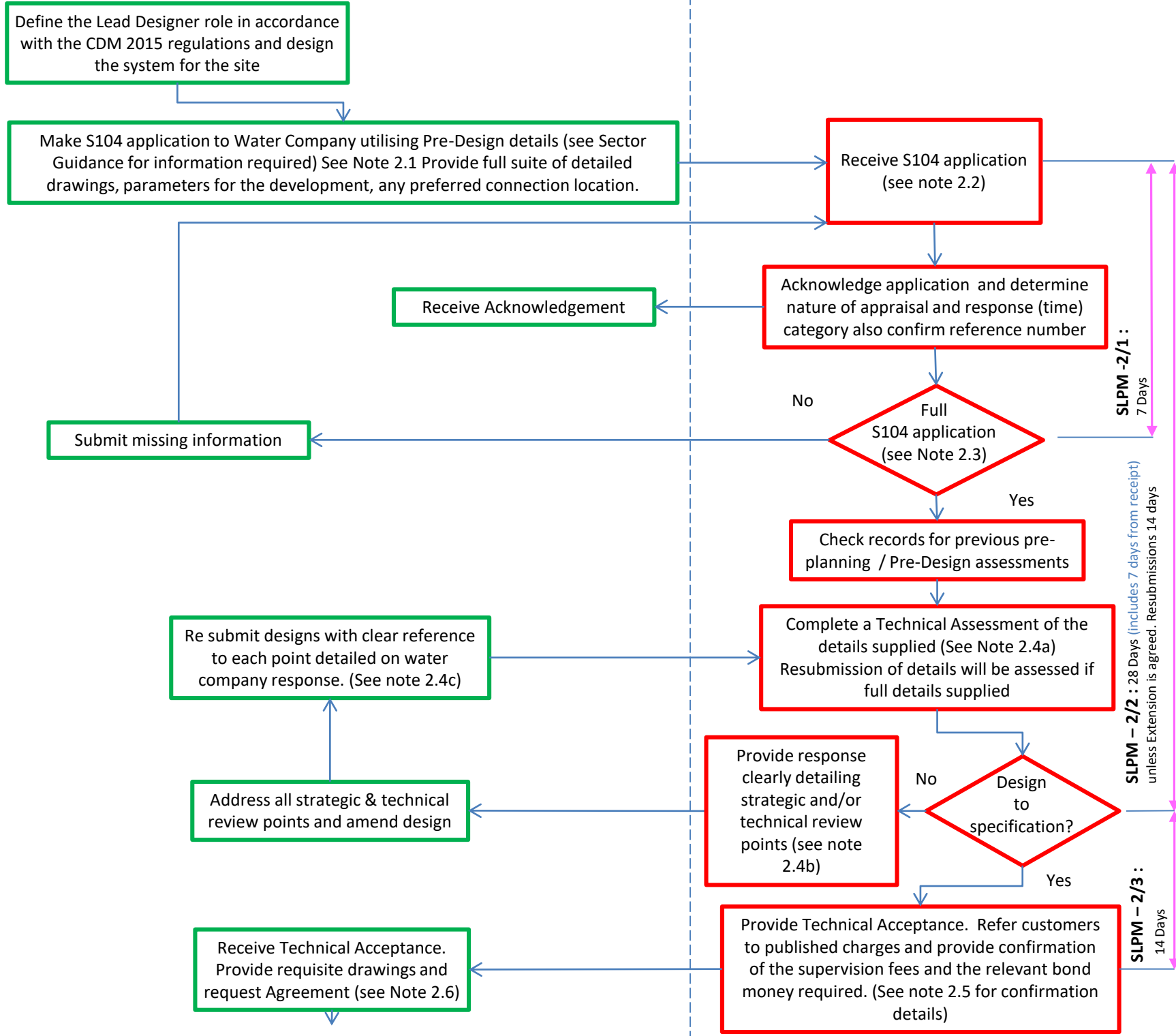


Developer

Water Company

Comments & Service Standard

This stage is designed to confirm with the developer that the system conforms to the Codes of Adoption to enable a S104 Agreement to be entered into. It will confirm the technical acceptance of the design. It also allows the developer to determine reasonable cost of the works “at the outset” for the sewerage system(s).



Note 2.1: New S104 Submission

1. The submission will be based on the expected development parameters as the Pre-Planning response and any planning conditions
2. The submission will be to the sector guidance for the design and specifications of a system.
3. Accord with the minimum details/information required for a S104 Application (where applicable)

Note 2.2: Application receipt

1. If an online is made an automatic acknowledgement of receipt will be provided.
2. The submission will then be checked to ensure that the details in the sector guidance for the design and specifications of a system has been provided

Note 2.3: Full set of data for Application

1. If a full set of data for the assessment has not been received the full details will be requested
2. Once a full set of details have been received then it will be passed for a technical assessment

Note 2.4a: Technical Assessment

The technical Assessment will be used to check:-

1. The design is in accordance with the sector guidance
2. Request an extension dependant upon the site complexity
3. Request confirmation of any legal requirements
4. Request manufacturers details
5. Request health & Safety details
6. Request the agreed information for entering into the S104 Agreement

Note 2.4b: If any diversion can be incorporated within the S104 Agreement

If a design is not to specification, water company to provide point by point information on strategic and or technical shortfall. It may be appropriate for the water company to comment only on strategic matters in the first instance before detailed technical aspects can be reviewed. *Conditional assessments will continue until full acceptance given (additional charges may apply)*

Note 2.4c: An applicant must provide a complete response addressing each point raised by the water company so a design can be progressed to technical acceptance.

Note 2.5: Technical Acceptance / Conditional or Full

1. Will be granted where full details have been provided and meets sector guidance relevant to the system incorporated.
2. Will specify the details needed for the Agreement
3. Will specify the validity period of the technical Acceptance
4. Will specify the associated charges and bond requirements

Note 2.6:

1. After Technical Acceptance has been granted an Agreement can be completed for the relevant system
2. Early inspections can be requested for the technically accepted or Conditionally accepted system see Note 3.2
3. The details should then be provided by the developer as detailed as part of the sector guidance
4. S106 Applications should be applied for relevant to the technically acceptable system

SLPM - 2/1 : 7 Days

SLPM - 2/2 : 28 Days (includes 7 days from receipt) unless Extension is agreed. Resubmissions 14 days

SLPM - 2/3 : 14 Days

Proceed to **Stage 3 (Adoption Agreement)**

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Service Level Process Measure : All levels of service will begin on the first working day following receipt.

Stage 3: Adoption agreement

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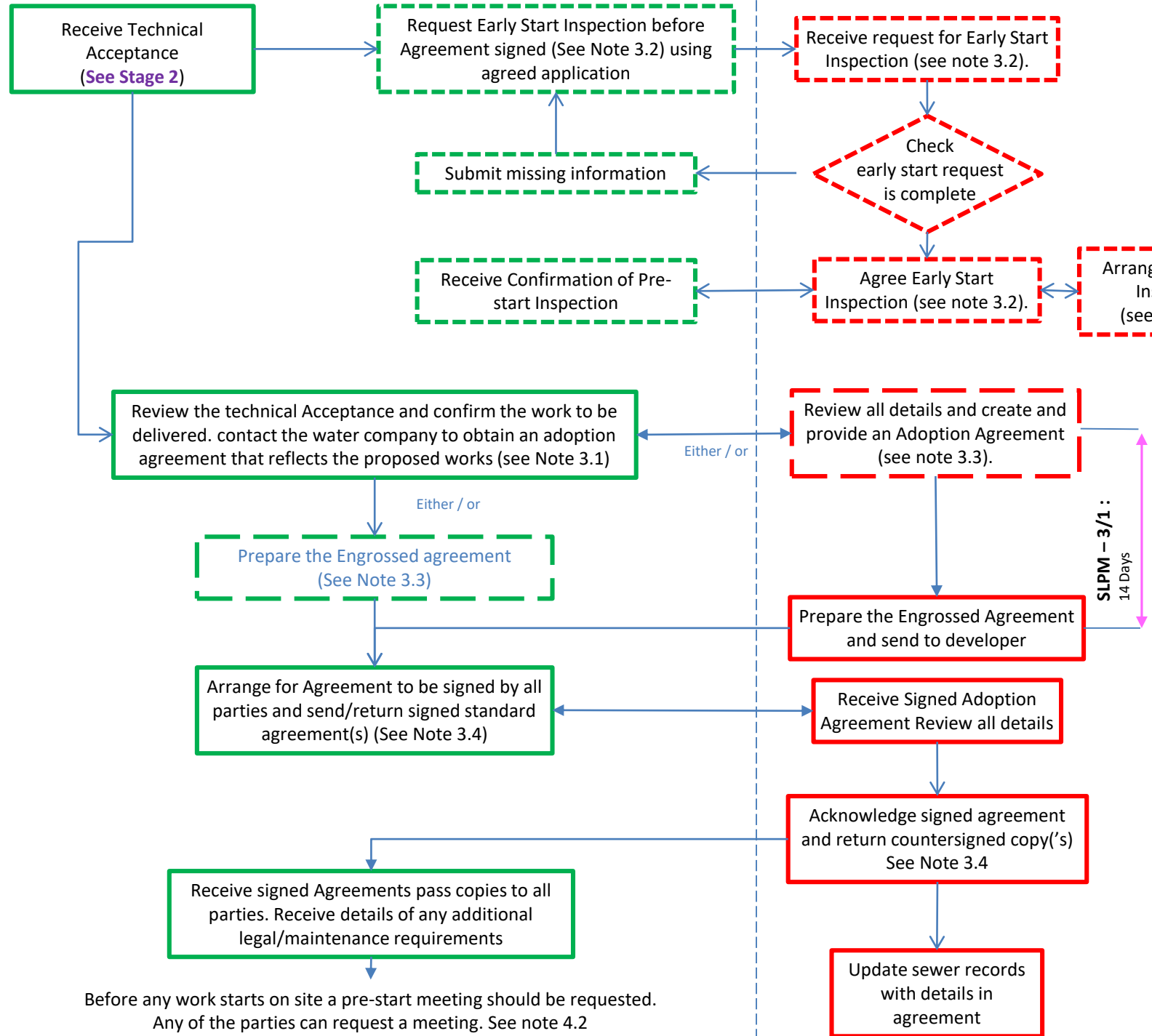


Developer

Water Company

Comments & Service Standard

This stage is designed to confirm the items needed to enter into the S104 Agreement. The agreement will be a standard Agreement. On some occasions the developer may need to start on site before the S104 Agreement is formally signed this process allows for the Early start on site to be requested.



- Note 3.1:**
1. The request for the Agreement must include all the details as specified in the sector guidance
 2. Relevant copies of the technically accepted drawings must be provided for incorporation within the S104 Agreement
 3. If an Early start has been requested the developer is expected to complete the S104 Agreement within a timely manner
 4. See sector guidance for full details required

Before any work starts on site a Pre-start inspection should be requested. Any of the parties can request a meeting. (See note 4.2) and

Proceed to **(Stage 4) Construct Sewerage System**

- Note 3.2 Early start Inspection request**
- Once the Technical Acceptance and/or Conditional Acceptance has been issued the developer may request an Early start on site before the Agreement is signed
1. The developer will need to provide full details for the inspections in accordance with sector guidance
 2. The developer must sign and send the Early start request form
 3. Full health & safety documents must be provided
 4. The charges for the site must be paid
 5. The Early start form must be signed before the request for a Pre-start inspection. At least 7 calendar days must be allowed to enable a pre-start inspection to be arranged
 6. A Pre-start inspection must be arranged
 7. Also See Notes 4.2
 8. Diversions of public sewers must have an agreement in place before any work on the existing system is carried out

- Note 3.3: Engross Adoption agreement**
1. A full suite of drawings will be required
 2. The standard Agreement will be prepared
 3. An agreement for each party will be prepared

- Note 3.3: Signing Adoption agreement**
1. The developer will arrange for all of the parties to sign all agreements
 2. Return signed agreements with relevant bond monies
 3. The agreements will be returned back in a timely manner

- Note 3.4 Signed agreement**
1. If the agreement is signed correctly by all parties and the relevant bond money/surety is in place the agreements will be signed by the Water Company.
 2. The sewer records will be updated
 3. Written confirmation of inspections provided
 4. Written confirmation of Legal requirements provided
 5. Written confirmation that the agreed diversion works on a public sewer can proceed (if applicable can commence)

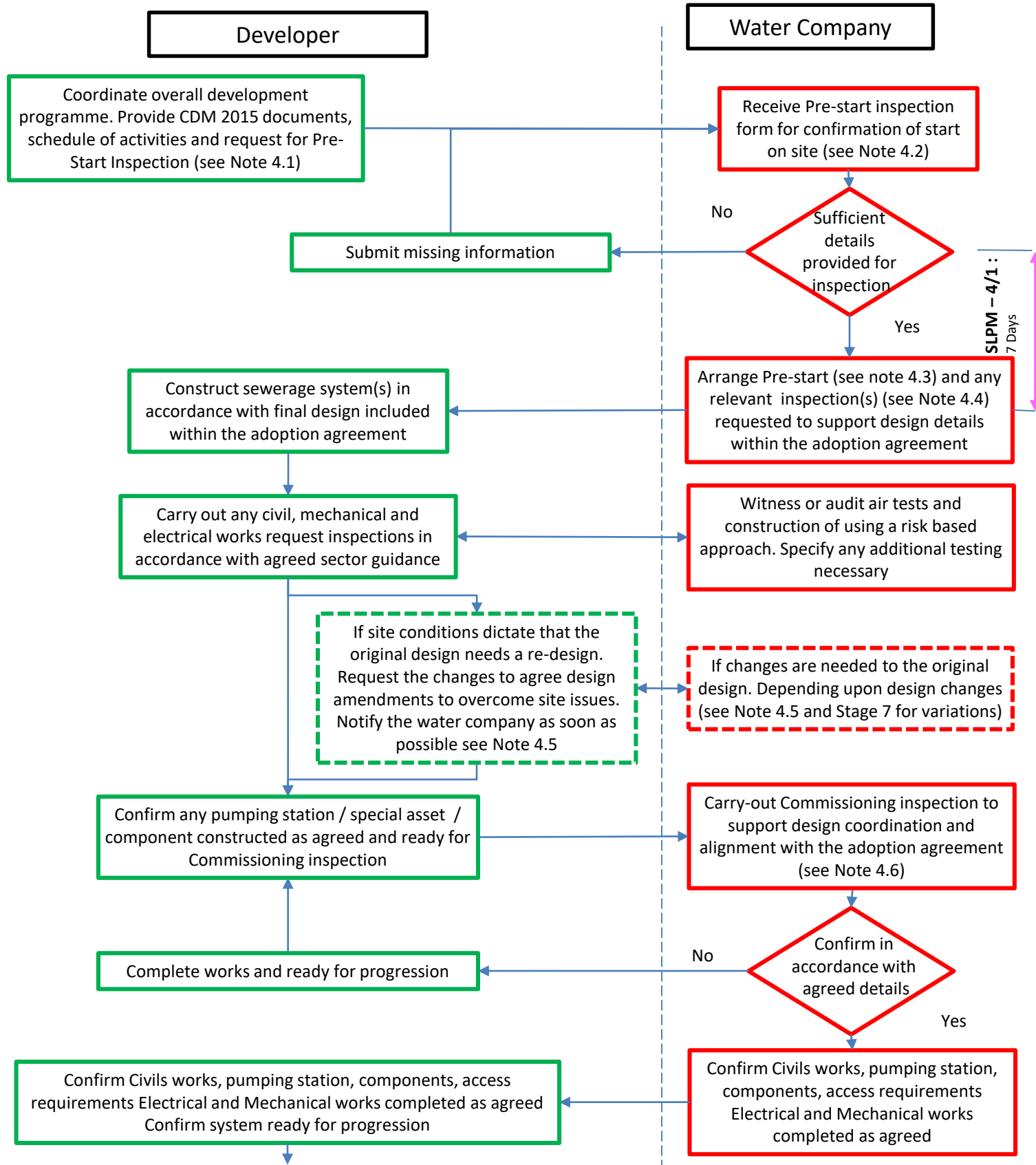
SLPM - 3/1 : 14 Days

Before any work starts on site a pre-start meeting should be requested. Any of the parties can request a meeting. See note 4.2

Proceed to **(Stage 4) Construct Sewerage System**

Stage 4: Construct sewerage system

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Comments & Service Standard

- Note 4.1: Pre-start inspection**
- To assist all parties to coordinate activities, developer to provide water companies with a schedule of activity and request for Pre-Start Inspection
 - Provide copy of F10 Notice in accordance with CDM Requirements.
 - At least 7 calendar days must be allowed to enable a pre-start inspection to be arranged
- Note 4.2: Pre-start inspection check**
- The early –start check and /or the Pre-start check will be completed to ensure provision of minimum information required as detailed in sector guidance
 - Confirmation will be detailed If insufficient information has been provided
- Note 4.3: Pre-start Inspection**
Pre-start meeting will comprise as a minimum:
- Overview of arrangements for **CDM 2015 Regulations** and H&S welfare requirements
 - Future contact arrangements and authorised parties for giving instructions, requesting inspections, making variations, making Novation's and exchanging information regarding progress of the works.
 - Overview of technically **or conditionally** accepted drawings and current status of Agreement.
 - Overview for adherence to national and local design requirements
 - Overview of process for dealing with variations / drawing revision / design co-ordination
 - Overview for connection incl. line and level & location and date of connection and method statement to also be provided.
 - Overview for any agreed diversion work (must have agreement in place)
 - Overview process for confirming the completion of works and placing full or part site onto Maintenance
 - Details for submitting as-laid drawings prior to carrying out the Pre-maintenance inspection
 - Overview of Land Rights and Third Party Consents
 - Health & Safety details for Maintenance and Final inspections
- Note 4.4: Inspections**
- Developer to ensure that the Water Company is contacted to arrange the necessary inspections as part of their progression plan.
 - It is the developers responsibility to arrange the inspections at each relevant point in the construction process.
 - The Undertaker may also arrange random coordination and compliance visits during the construction period
 - For the list of inspection types please refer to the Sector Guidance
 - Inspections can be recorded on site at the request of the contractor/developer
- Note 4.5: Variation to technically or conditionally accepted drawings**
- The developer will need to provide full details for any variations to the agreed design drawings in accordance with sector guidance
 - Progress in accordance with Stage 7 Variations
- Note 4.6: Commissioning inspection**
- Provide a set of detailed drawings and request the inspection

Proceed to (Stage 5) Maintenance

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Service Level Process Measure : All levels of service will begin on the first working day following receipt.

Stage 5: Maintenance Period

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Developer

Water Company

Comments & Service Standard

Complete all agreed works. Ensure that the system is ready for inspection. Complete a full set of As-Builts, including all manufacturers details, detailing what has been constructed

Request a Pre-Maintenance inspection as well as supplying the details noted in Note 5.1 when site ready to progress (S104 or S185 element)

Receive None Progression site not ready to progress unless agreed (see Note 5.2)

Remedy defects or As-Built details

Inspect system and confirm any remedial works needed or changes to drawings and manufacturers details

Receive Provisional Certificate & any agreed Bond money

Continue to Maintain and operate the system

Review information provided and own site inspection details. Review development programme

Confirm if system ready for placing on Maintenance (see note 5.2)

Arrange Pre-maintenance inspection (see Note 5.3)

Confirm works or details complete

Provide Provisional Certificate (See Notes 5.6 & 5.7)

Update sewer records to confirm system is on maintenance

- Note 5.1: Pre-Maintenance request**
To request a Pre-Maintenance:
1. An agreement must have been signed by all parties
 2. Accord with the minimum details/information required for a pre-maintenance progression
 3. Provide contact details and authorised parties for giving instructions to authorise any works
 4. Full suite of As-Built drawings (either in accordance with Agreement or variation drawings) and any manufacturers details
 5. Provide a CCTV of the system
 6. Detail any site hazards found during construction
 7. Confirm Health & Safety details for Inspection
- Note 5.2: Confirm site ready for Pre-Maintenance inspection**
Details for progressing the Pre-Maintenance inspection:
1. Full suite of details supplied– see Note 5.1 for items needed
 2. S104 element of the site has met 51% Occupancy/agreed rate of discharge
 3. S185 element of the site must proceed as soon as the works are completed
 4. Agreed Part / Full progression
 5. If system ready to progress arrange inspection
- Note 5.3: Pre-Maintenance Inspection**
1. Water Company inspector to attend site with Developer or developer representative with authority to agree works needed.
 2. Inspection to confirm works are completed in accordance with agreed plans or agreed variation(s)
 3. To confirm that the As-Built drawings reflect the system constructed on site
 4. When the system has been confirmed in accordance with sector guidance
- Note 5.4: Works and details Complete**
Confirmation of works and details complete:
1. When all works have been completed in accordance with agreed plans or agreed variation(s)
 2. When the system has been confirmed in accordance with sector guidance
 3. The developer will be issued with a Provisional Certificate Full
- Note 5.5: Works or details Incomplete Provisional Certificate - defects:**
1. After the inspection you will be advised that the system cannot currently be placed onto maintenance or both the Developers and the surety will receive a Provisional Certificate with Defects
 2. The details of any remedial works or defects that need to be completed will be defined
 3. The details of any changes to the As-built drawings or manufacturers details
 4. Developer to provide anticipated completion date of works
 5. If any works including incomplete As-Builts have not been completed and or provided within 6 months from the date of the issue of the remedial list the WaSC will issue Notice to complete the works at the developers cost.
 6. If the developer fails to complete the works the surety will receive written confirmation of failure to complete
 7. Additional charges to progress the site will be applied if the developer fails to complete the site in accordance with the agreement
 8. Bonds will also be called upon in the event that the developer does not meet the terms of the agreement
- Note 5.6: Provisional Certificate Full will confirm**
1. That all works have been completed
 2. That a Full suite of details of the system has been provided
- Note 5.7: After Provisional Certificate Full or Defects will confirm**
1. The length of time for Maintenance
 2. When the Final inspection should be arranged and how to arrange it
 3. Will detail any Land Rights, legal or Statutory Consent requirements that need to be completed before vesting

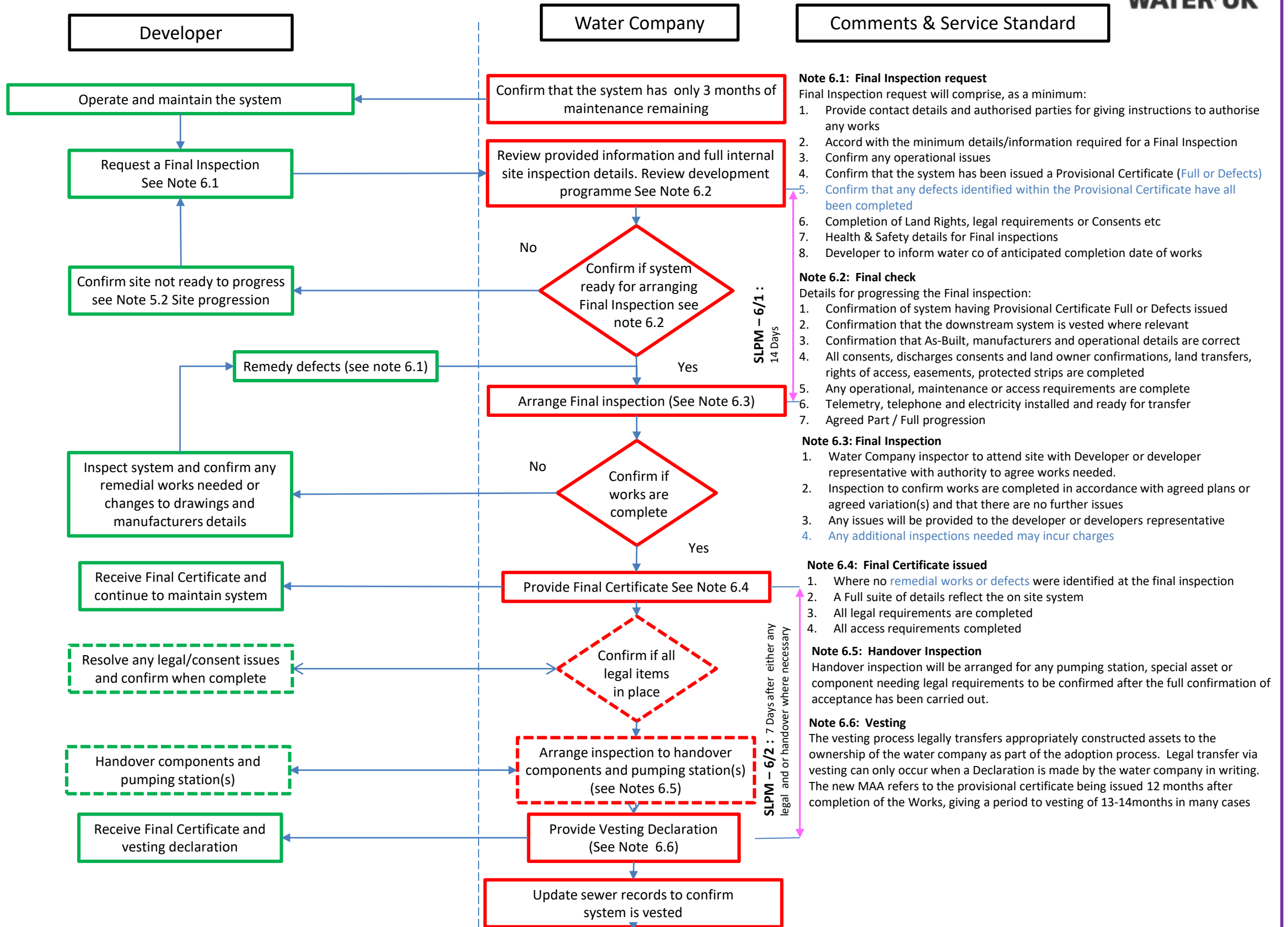
DSLPM – 5/3 :
6 Months

SLPM – 5/1 :
14 Days

SLPM – 5/2 :
7 Days

Proceed to (Stage 6) Final Inspection and Vesting

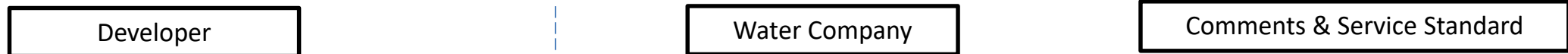
Stage 6: Final Inspection and Vesting - system incl. pumping station and/or components *DRAFT*



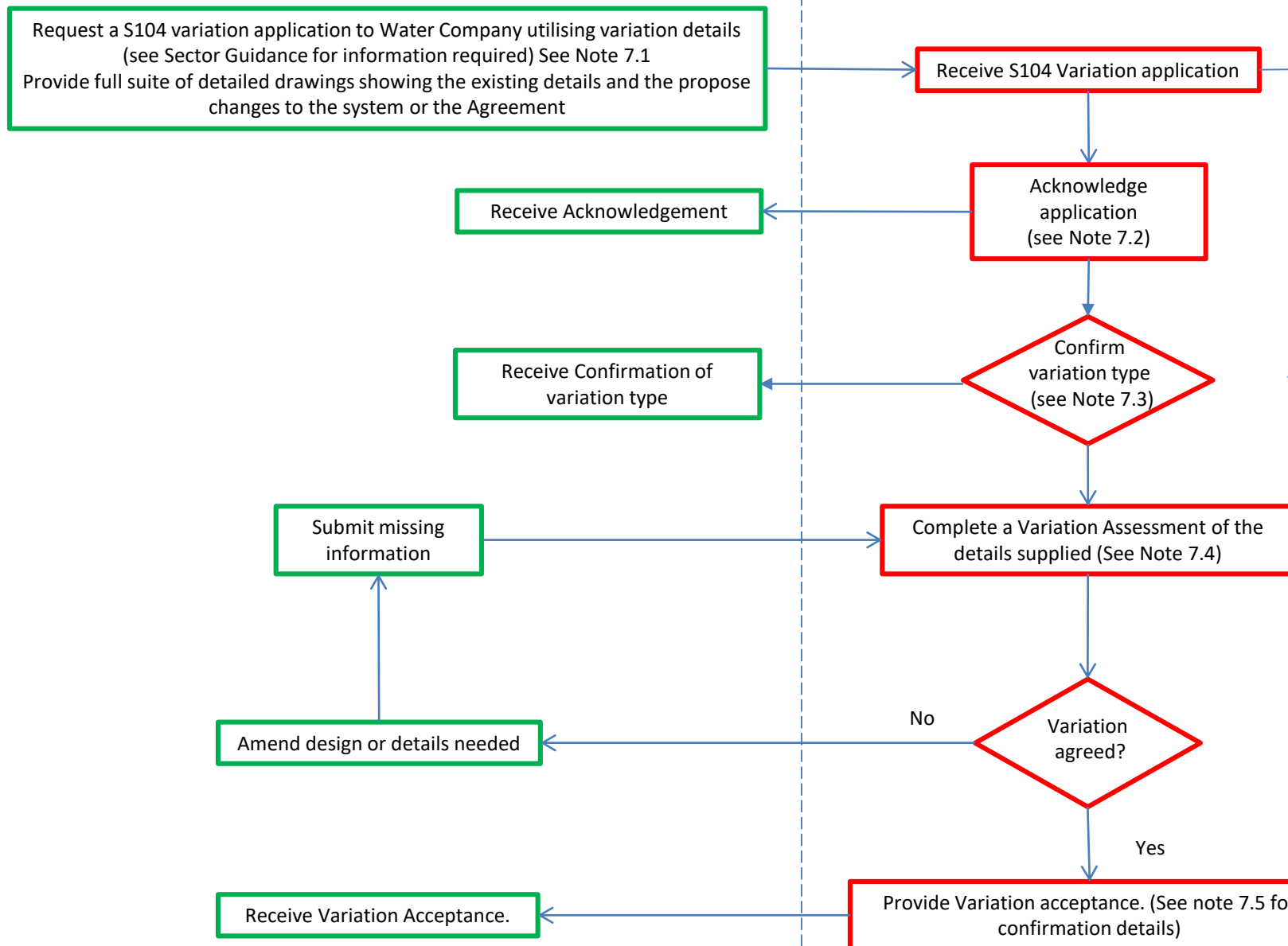
Own, operate and maintain
2nd Consultation process v1

Stage 7: Variation of new sewerage system

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This stage is designed to confirm any variations requested to the design of a system once Technical Acceptance or Conditional Acceptance has been granted. Any variations which do not impact on the network hydraulics can be agreed on site by the inspector, and recorded on the 'As Constructed' plans. All other variations will be dealt with by a formal re-submission.



Note 7.1: Variation Submission

1. The submission will be to the sector guidance for the design and specifications of a system.
2. Accord with the details for a Minor or Major Variation

Note 7.2: Variation Application receipt

1. It will be acknowledged that we have received your request
2. The submission will then be checked to ensure that the details in the sector guidance for the design and specifications of a system has been provided

Note 7.3: Variation Confirmation

To confirm type of Variation :-
Where the request is received, confirmation of the type of variation will also be completed by the Water Company

1. Confirm if the Variation is a minor variation where the As-Built drawings can be changed or
2. Confirm if the variation is a major variation where a full assessment of the proposed changes to the design will be required.

Note 7.4: Variation Assessment

The Variation Assessment will be used to check:-

1. The design is in accordance with a full variation assessment will be required.
2. The sector guidance
3. Request confirmation of any legal requirements
4. Request manufacturers details
5. Request risk assessments/ method statements
6. Request health & Safety details
7. Request confirmation of all parties to the Agreements

Note 7.5: Variation Acceptance

Variation Acceptance will be granted where

1. full details have been provided and meets sector guidance
2. Variation Agreement will be completed
3. Sewer record will be updated to reflect any design changes
4. Variation will be incorporated into the originally signed agreement

Expected response time of 7 Days

Expected response time of 14 Days

Expected response times of 7 Days

Service Level Process Measure : All levels of service will begin on the first working day following receipt.