

# **Draft Sector Guidance in relation to the adoption of sewerage assets by water and sewerage companies in England**

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# 1. Introduction

## 1.1. The Draft Sector Guidance (“SG”)

This document comprises the draft Sector Guidance that companies holding an instrument of appointment as sewerage supply undertakers under Sections 6 or 7 of the Water Industry Act 1991 (“SUs”) recommend Ofwat enables under its Code for Adoption which came into effect on 13 November 2017 (the Code). It also contains a draft Model Adoption Agreement (MAA).

## 1.2. Purpose and Scope

1.2.1 SUs are obliged by the Code to comply with the Sector Guidance once it has been approved by Ofwat pursuant to the Code. Any failure to do so may result in investigation and sanction by Ofwat under its regulatory powers.

1.2.2 Under the Code, this guidance applies to infrastructure in respect of which an agreement is entered into pursuant to S104 WIA. It applies to companies the areas of operation for which are wholly or mainly in England.

1.2.3 The guidance requires SUs to publish information at specific intervals, deliver work in accordance with standard set of procedures, report on their performance, and provide redress where things go wrong.

1.2.4 This SG does not affect SUs’ obligations to set charges in accordance with Ofwat’s Charging Rules for New Connection Services (English Undertakers), August 2017.

## 1.3. Responsibilities

This guidance (including the MAA), following its approval is binding on all SUs. Deviation is permitted only where a company and its Customer agree to do so. In such cases, the requirements of paragraph 5 of the Code must be complied with.

## 1.4. Terminology

For clarity and consistency this SG uses defined terms in key areas and these are listed in Appendix A.

# 2. Connections Options

Almost all sewerage infrastructure is laid and connected by Customers and it is for the Customer to decide whether or not it wishes to have that infrastructure adopted by the SU under S104 WIA.

In some cases, for example, in the case of particularly complex infrastructure, Customers may prefer to have the work carried out by the SU. Further details on these options are outlined on Ofwat's website:

<https://www.ofwat.gov.uk/regulated-companies/markets/connections-market/>.

Customers may also approach retailers where they wish to commission the SU to carry out the infrastructure works. Details of retailers are also available on Ofwat's website:

<https://www.ofwat.gov.uk/regulated-companies/markets/business-retail-market/>

As at the date of this document, Water UK understands that most retailers are not offering this service.

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## 3. Procedures

### 3.1. Introduction

Appendix B sets out the standard procedures and associated levels of service that SUs will comply with in relation to the adoption of sewerage assets under S104 WIA.

### 3.2. Methodology

The procedures are presented in a swim-lane style, with columns showing the respective responsibilities of the Customer and SU.

### 3.3. Deviation

Deviation from these procedures is permitted where:

- it is not possible to avoid it, for example because the development is phased, or facts on the ground have changed, or it would be unsafe not to. In such instances, the standard procedure shall be re-started at a defined point as agreed between the Customer and SU;
- the Customer or SU has identified a more suitable process for delivering a particular scheme, and both parties have agreed in writing to deviate. This includes cases of innovation as described below;
- the SU has established a local practice to reflect particular circumstances in its area (see further section 3.6)
- an area of innovation is being tested, for example on a pilot basis (see below).

### 3.4. Application of Levels of Service (“LOS”)

3.4.1 LOS measures are shown on the procedures for clarity and are to be treated as measurement stages that apply to all work progressing through the activities shown alongside the pink arrows.

3.4.2 Where mains are built and connected in stages, each stage will be measured and reported on as each stage progresses. Further detail on LOS is included in section 9.

### 3.5. Innovation

The DCG is not exhaustive and new processes and products are able to be presented to the SU for approval. It is expected that initially, trials will be conducted by way of an agreed deviation from the DCG before an application is made for the new way of working/product to be more generally adopted via the SG governance process.

## 3.6. Local Practices

3.6.1 Local Practices are only permitted in the following areas:

- Requirements for easements for surface water discharges to watercourse, bodies of water, sewers within 3<sup>rd</sup> party land and sewers which may form part of another feature.
- Pumping station requirements beyond those in the Design and Construction Guidance.

3.6.2 These are considered to be local practices pursuant to paragraph 3.1.3 (i) of the Code.

3.6.3 An SU wishing to implement a local practice in one of the permitted areas must first publish its proposals and give customers an opportunity to comment before implementation. Such proposals must be justified under the principles of the Code.

3.6.4 If an SU requires a local practice, it will follow the procedure set out below:

- It will consult with Customers both directly and through its website setting out the details of the proposed local practice and why it is considered necessary (eg, atypical local conditions, topic not adequately covered in the Design and Construction Guidance;
- Such consultation will be carried out so that except in cases of urgency, the consultation period is no less than three months in advance of the date in which it proposes to bring into effect the local practice;
- When implementing the local practice following consultation, it will publish a summary of the outcome of the consultation, the reasons for its ultimate decision and the way in which the proposed practice meets the principles of the Code;
- As far in advance as possible of the “go live” date for the particular practice, supply details of the practice to Water UK who will maintain details of the same on its website.

NOTE: Where there are local practices, the SU making use of the practice shall publish any impact that the practice has on the procedures in a local version of the procedures documentation appearing in this guidance.

3.6.5 Local practices may not be relied on for the purposes of excusing non-performance under any LOS measure set out in this Sector Guidance and/or reported on nationally as part of D-MeX.

## 4. Design and Construction Standards

### 4.1. Design and Construction Guidance

All SUs will adopt sewers complying with the requirements of the Design and Construction Guidance which is set out in Appendix C.

The DCG also contains details of Local Practices, as referred to in section 3.6.

A design submission may include sewerage components that are not currently covered by the DCG and therefore greater input into the design is required from the SU (pursuant to paragraph 4.1 (f) of

the Code) to enable adoption. This may include components that require a specific engineering design or configuration such as:

- Wastewater treatment works
- Access to sewers at a greater depth than 6m
- Design of special manholes or other structures
- Design and location of flow control devices
- Design, configuration and access to multi leg and proprietary tank systems
- Design of large diameter flexible pipes
- Inverted syphons
- Innovative systems or products

SU's will publish on their website any technical standard details or designs that they refer to which are not currently included in the DCG.

## 5. Minimum information

Appendix D sets out a range of minimum information and checklists that all SUs have agreed to use.

## 6. Model agreement

The model adoption agreement that must be used by SUs is set out in Appendix E. This may only be amended where this is agreed with the Customer.

## 7. Levels of service and reporting

7.1 SUs shall measure their levels of service in accordance with the requirements in appendix F1 and in line with the Water UK Levels of Service documentation which can be found at <https://developerservices.water.org.uk/public/metrics>

7.2 All periods are quoted in calendar days and periods start on the first working day after receipt of notification.

7.3 Data shall be uploaded monthly to the central Water UK LOS system and to enable it to be reported on in accordance with the interval specified in appendix F. For clarity, the levels of service metrics are also annotated on the procedures flow charts in appendix B.

7.4 In addition, SUs shall publish the information specified in appendix F2 at the intervals shown.

7.5 The information required by appendix F2 shall be published on water companies' websites and made available in other appropriate formats as necessary to meet the requirements of the Code.

## 8. Redress

8.1 Where the SU fails to comply with a Relevant Metric, without prejudice to any liability on part of the SU under an Adoption Agreement, the consequences shall be as follows.

8.2 Without any requirement on the part of the Customer to notify the SU of the failure, the following procedure shall apply:-

- Within one working day of the failure, the SU shall email the Customer with such information as shall reasonably be available to it regarding the nature and cause of the failure with relevant supporting evidence, and an indication of the proposed remedial action;
- That email shall also contain a new date for the performance of the service in question;
- The Customer may either confirm acceptance of this information or request escalation to the Compliance Manager;
- Where the Customer requests such escalation, the Compliance Manager shall within five working days of receipt of such notification, report in writing on the causes of the failure and on how the failure can be corrected, if this has not already occurred and whether there any lessons for either party arising out of the failure which might prevent a recurrence of similar failures.

8.3 Where in any case referred to in this clause, the Customer considers that it has suffered direct financial loss as a result of the failure, it may make a complaint to the SU in question and the SUs shall all ensure that their complaints processes are able to handle complaints of this nature and able to make ex gratia payments where Customers are able to demonstrate such financial loss.

8.4 The above provisions represent a minimum level of redress and where individual companies consider it appropriate, they may adopt other forms of redress in addition to those set out.8.5

Repeated failure may raise questions about the compliance of the company with its competition law obligations and may result in legal/regulatory consequences.

## 8 Governance

Appendix G contains terms of reference for the Code Panel, as required by paragraph 3.8 of the Code.



## Appendix A - Glossary of Terms

Adoption	The process by which SUs take over responsibility for sewerage infrastructure
Adoption Agreement	An agreement in the form of the Model Adoption Agreement under which the SU is to adopt certain works
Charging Arrangements	an SU document adopted in accordance with Ofwat's Charging Rules for New Connection Services (English Undertakers), August 2017
Code	the Code for Adoption Agreements adopted by Ofwat and which came into effect on 13 November 2017, as amended from time to time;
Compliance Manager	an appointed individual or individuals within the SU's developer services team with managerial authority to require the company or its contractors to take steps to resolve service failures
Customer	shall have the meaning given in the Code
Damage	Physical harm caused after commissioning that impairs the value, usefulness, or normal function of installed sewers
DCG	The Design and Construction Guidance published pursuant to the Code from time to time
Defect	A fault caused by poor workmanship or flaw in the installed materials
Developer	Shall have the meaning given in the Code
Diversion	Re-routed pipeline.
Domestic Purposes	In relation to sewerage means (a) the removal, from buildings on the premises and from land occupied with and appurtenant to the buildings, of the contents of lavatories; (b) the removal, from such buildings and from such land, of water which has been used for cooking or washing; and (c) the removal, from such buildings and such land, of surface water This term is defined fully in S117 WIA
Easement	A legal right of way over another person's property to install and maintain pipework.
Highway	That part of the street including the carriageway, verge and footpath (as defined by the Highways Act 1980).
Household Premises	(Defined by Ofwat ) as premises in which, or in any part of which, a person has his home.
Network Enhancements	work, funded by the SU from Infrastructure Charges, to provide or modify such other water infrastructure as is necessary beyond the site Point of Connection in consequence of providing an adequate supply to a development.
New Development	Are premises on which there are buildings, or on which there will be buildings when proposals made by any person for the erection of any buildings are carried out, and which require connection with, and/or modification of, existing water distribution systems.

Ofwat	The Water Services Regulation Authority which is the economic regulator of the Water and Sewerage Companies in England and Wales.
Phasing	Discrete parts of a New Development which the Developer chooses to separately progress.
Point of Connection	The exact location (manhole or pipeline detail) where the proposed adoptable sewerage network connects and discharges to the SU's existing public sewerage system
Relevant Metric	a performance standard included in Appendix F relating to activity to be carried out by a SU and which is marked with "Yes"
Requisitioning	The process, as detailed in S98 WIA, by which an owner or occupier or local authority, who owns buildings or proposes to construct buildings on their land can apply to the SU to provide a public sewer to be used for the drainage for domestic purposes of premises in its area
Site-Specific Works	Works necessary to supply a Development, as defined in Charging Rules for new connection services (English undertakers) published by Ofwat, July 2018.
Standard Procedures or SP	the procedures set out in Appendix B
Street (as defined by the New Roads and Street Works Act 1991)	The whole or any part of any of the following, irrespective of whether it is a thoroughfare: (a) any highway, road, lane, footway, alley or passage; (b) any square or court; or (c) any land laid out as a way whether it is for the time being formed as a way or not.
Vesting Date	The date which confirms the date of transfer of ownership to the SU
Vesting Certificate	A document, confirming the transfer of ownership of sewerage assets to the SU
SU	a company holding an instrument of appointment under Section 6 or 7 of the Water Industry Act 1991 (ie, whether a regional company or a New Appointment and Variation);

## Appendix B-Standard Procedures

Are available separately on the Codes Programme Web Page at:

<https://www.water.org.uk/developer-services/codes-adoption>

## Appendix C-Design and Construction Guidance

Is available separately on the Codes Programme Web Page at:

<https://www.water.org.uk/developer-services/codes-adoption>

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## Appendix D-Minimum Information requirements and checklists

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

SUs accept that in some circumstances pre-planning applications are made in connection with prospective developments without the intention of seeking the adoption of new sewers. SUs are keen to ensure that such informal discussions continue and the minimum information requirements in the SG will not be applied in circumstances where they are clearly not relevant to the Developer's request. Where however a proposal raises strategic issues for the SU, it may require a broader set of information in order properly to consider the proposal for the particular site.

Table 1.1 – Pre-planning information list – Have you provided?:-	
<input checked="" type="checkbox"/>	Include evidence of existing drainage connections and flow rates (if available)
<input checked="" type="checkbox"/>	Drainage Strategy or Statement and layout plan (showing discharge point) (minimum)
<input checked="" type="checkbox"/>	Current Planning Status
<input checked="" type="checkbox"/>	Number of residential units or commercial area proposed
<input checked="" type="checkbox"/>	Predicted Run-off rates and attenuation quick estimates (minimum)
<input checked="" type="checkbox"/>	Ground investigation report to show infiltration could be utilised on the site – or use of BGS data where permeability results not available
<input checked="" type="checkbox"/>	Flood Risk Assessment or statement for site and associated risk
<input checked="" type="checkbox"/>	Confirm if system is proposed for adoption as part of S104

Information provided by Customer	Information provided by Water company	Comments / standard required
Submit Pre-Planning Enquiry, including the confirmation of development parameters As a minimum: <ol style="list-style-type: none"> <li>1. Receipt of application form</li> <li>2. Confirm target start date</li> <li>3. Confirm if the components / special assets are proposed for adoption under S104</li> <li>4. location map with clear defined site boundary*</li> </ol>		*preferably scaled ordnance survey plan

5. Details of proposed development 6. Number of units and anticipated rates of discharge 7. Preferred drainage outfall route(s) and point(s) of access etc 8. High or low points of site, watershed(s) 9. Topographical survey 10. Associated charges 11. Masterplan information 12. Evidence of existing drainage connections and estimated rates of discharge 13. Payment in accordance with charges		
	Acknowledge receipt of incoming application form. Provide a SU reference and nominated contact to support future communication	
	Pre-planning check 1. Will be a check of the minimum submission requirements 2. Agree an extension if required	
	Pre-planning enquiry response 1. Be based on the expected development parameters 2. Indicate the nearest connection point(s) or any alternatives if available 3. Specify the validity period 4. Advise if a strategic assessment is required/available*	

The SU acknowledges the duties and responsibilities of the Lead Local Flood Authority and the Local Planning Authority to determine planning applications and approve measures for the disposal of surface water. This strand of work should be carried out in consultation with the SU where disposal involves any discharge to the public sewer system.

The right of connection under S106 WIA 1991 is acknowledged. The approach adopted in this document is compatible with the principle of a “size for size” connection which SUs have implemented as part of their new connection charging arrangements.

\*Strategic assessment may be required for a large or complex site before a Stage 2 application can be considered. Large or complex sites can be defined as;

- Multiple phases
- Multiple landowners/developers
- Multiple points of connection
- Pumped discharges

## Stage 1a: Pre-Design Strategic Discussion/Assessment

This allows the developer to provide assurances as part of their planning obligations that the maintenance regime proposed will be satisfactory over the lifetime of the asset.

The following information will enable SUs to assess the asset over its intended lifetime. It also enables the SU to assist in dealing with control of flows at ground level, rather than by providing extensive underground infrastructure.

Responses to this section will enable the SU to understand what the development site is capable of, the restrictions that can affect site drainage, where existing and proposed flows will arise and be managed and whether the ground is able to accept the flows. Dealing with all these elements at an early stage allows them to be managed through to completion.

The intention of the Pre-Design strategic assessment is to deal with the intricate site-specific details for anything that is proposed for adoption needing cyclical operational and maintenance requirements before a formal S104 application is requested. Provision of this information at an early stage will permit the SU to determine whether the details proposed will meet the requirements for adoption and allow the SU to provide early advice without the Developer having to apply for a S104.

<input checked="" type="checkbox"/>	Flood Risk Assessment or statement for site and associated risk
<input checked="" type="checkbox"/>	Drainage Strategy or Statement and layout plan (showing discharge point including rates) (minimum)
<input checked="" type="checkbox"/>	Layout drawings (proposed and existing if brownfield site)
<input checked="" type="checkbox"/>	Run-off rates and attenuation quick estimates (minimum)
<input checked="" type="checkbox"/>	Exceedance routes on and offsite – post development conditions
<input checked="" type="checkbox"/>	Ground investigation report to show infiltration could be utilised on the site or BGS data where permeability results not available
<input checked="" type="checkbox"/>	Confirmation of principles of ownership, accessibility, operational requirements of components

Information provided by Customer	Information provided by Water company	Comments / standard required
<p>Submit request for Pre-design strategic assessment including the development parameters.</p> <p>As a minimum:</p> <ol style="list-style-type: none"> <li>1. Receipt of application form</li> <li>2. Details for the proposed components / special assets e.g. flow controls, storage facilities or pumping stations</li> <li>3. Any planning requirements (if available)</li> <li>4. location map with clear defined site boundary*</li> <li>5. Details of proposed development</li> <li>6. Number of units and anticipated rates of discharge</li> <li>7. Preferred drainage outfall route(s) and point(s) of access etc</li> <li>8. High or low points of site, watershed(s)</li> <li>9. Topographical survey</li> </ol>		<p>Information received at this stage will be relevant to the basic information provided</p>
	<p>Pre-design assessment</p> <ol style="list-style-type: none"> <li>1. Contact with the developer will be made to ascertain if a discussion or a meeting is relevant</li> <li>2. Agree a date and time for a meeting (if required)</li> </ol>	
	<p>Pre-Design response</p> <ol style="list-style-type: none"> <li>1. Be based on the expected development parameters</li> <li>2. Provide an indication of design, adoption, legal requirements to support the future S104 Application</li> </ol>	<p>Information received at this stage can only be relevant to the basic information provided</p>

## Stage 2: Design of a new Sewerage system

Table 2.1 - S104 Initial assessment information list – Have you provided?:-	
<input checked="" type="checkbox"/>	Programme of works and start date if timescale is key
<input checked="" type="checkbox"/>	Planning and Design details
<input checked="" type="checkbox"/>	Ownership details
<input checked="" type="checkbox"/>	Site Location plan
<input checked="" type="checkbox"/>	Engineering Layout Plan
<input checked="" type="checkbox"/>	Longitudinal Sections
<input checked="" type="checkbox"/>	Hydraulic Calculations
<input checked="" type="checkbox"/>	Manhole & Inspection Chamber Schedule
<input checked="" type="checkbox"/>	Flow Control systems (where applicable)
<input checked="" type="checkbox"/>	Pumping station details (where applicable) Civils works Mechanical & Electrical - conditional
<input checked="" type="checkbox"/>	Storage Component details (where applicable) Civils works
<input checked="" type="checkbox"/>	Sewerage Treatment details (where applicable) Civils works - conditional Other works - conditional

Information provided by Customer	Information provided by Water company	Comments / standard required
<p>S104 Application Before the application is submitted a Pre-design strategic assessment can be requested.</p> <p>Any details discussed/detailed at the stages 1a &amp; 1b should be accommodated within the design. And as many items as listed in Table 2.1 Site Specific information should be provided where relevant. As a minimum the S104 application should contain:</p> <ol style="list-style-type: none"> <li>1. Fully Completed S104 Application form</li> <li>2. Programme for start date</li> </ol>		<p>Information received at this stage should be specific for the scheme. Coloured plans to be submitted for agreement. Refer to technical</p>



<ol style="list-style-type: none"> <li>3. Planning and design details</li> <li>4. Ownership details (incl. third party owners)</li> <li>5. Site location plan</li> <li>6. Site/Engineering layout plan</li> <li>7. Longitudinal Sections</li> <li>8. Access schedule(s)</li> <li>9. Pumping station details</li> <li>10. Special Asset or Component drawings</li> <li>11. Any Manufacturers details relevant to the application</li> <li>12. Landscaping details</li> <li>13. Receipt of charges in accordance with charges document</li> </ol> <p>Within each documents/detail supplied above should contain the information listed in Table 2.1 - S104 Application details and information.</p> <p>If a diversion is needed to be incorporated within the S104 Agreement the full set of details as listed above will also be needed to reflect the same set of relevant data.</p>		standards - Appendix VII.
<p>SuDS Asset Data Requirements</p> <p>As part of the adoption process sufficient information is required to ensure the adequacy of drainage design to ensure compliance with the Design &amp; Construction Guidance and to facilitate updates to the public sewer records, ensure existing hydraulic sewer models can be updated to include post development drainage design flows and that future maintenance requirements are incorporated into a company's asset management systems. To support these activities, asset data will be required under the following topic areas:</p> <ul style="list-style-type: none"> <li>• Details of SuDS types and their design characteristics (type, size, materials, geotechnical/hydrogeology characteristics &amp; construction details)</li> <li>• Ownership details (comprising details of landownership, body responsible for amenity maintenance needs and who will responsible for flood risk management aspects)</li> <li>• Asset locations, connectivity, long sections and SuDS boundary</li> </ul>		

<p>extents (preferably in CAD/GIS formats)</p> <ul style="list-style-type: none"> <li>• Hydraulic design parameters and assumptions, together with a suitable hydraulic model</li> <li>• Water quality design criteria and assumptions (where appropriate)</li> <li>• Amenity / Environmental criteria and assumptions (where SuDS deliver multi-functional benefits)</li> <li>• Operational and management plan</li> </ul>		
	<p>Acknowledge receipt of initial S104 application form. Provide a SU reference to support future communication</p>	
	<p>S104 Application check acceptance</p> <ol style="list-style-type: none"> <li>1. Will be a check to see that the minimum submission requirements have been provided see Table 2.1 S104 Initial assessment (if a diversion is also included – the same assessment details will be offered)</li> <li>2. Make contact with the developer to offer a strategic assessment meeting to discuss the site details, if required</li> <li>3. Agree an extension (if required at this stage)</li> </ol>	
	<p>S104 Application check sufficient details supplied:</p> <ol style="list-style-type: none"> <li>1. Confirm that a full set of details have been supplied to be assessed</li> <li>2. Detail the nominated contact to support future communication about the assessment</li> </ol>	
	<p>S104 Application check further details required:</p> <ol style="list-style-type: none"> <li>1. Confirm that a full set of details has not been supplied</li> <li>2. Clearly detail strategic and/or technical details that need to be supplied or addressed.</li> <li>3. Offer a strategic assessment meeting where relevant</li> <li>4. Detail the nominated contact to support communication about the initial assessment</li> </ol>	

<p>S104 Application Re-submission</p> <p>As a minimum the re-submission of the details should contain any data not previously supplied as part of the initial application:</p> <ol style="list-style-type: none"> <li>1. Consider any recommendations made from the initial submission.</li> <li>2. Re-submitted fully Completed S104 Application form</li> <li>3. Programme for start date</li> <li>4. Planning details</li> <li>5. Ownership details</li> <li>6. Site location plan</li> <li>7. Site/Engineering layout plan</li> <li>8. Longitudinal Sections</li> <li>9. Access schedule(s)</li> <li>10. Pumping station details</li> <li>11. Special Asset or Component drawings</li> <li>12. Any Manufacturers details relevant to the application</li> </ol> <p>The documents supplied should contain the information listed in Table 2.1 and 2.2 S104 Application details and information (relevant to missing information). Ensure any changed drawing are crosschecked for accuracy before submitting</p>		<p>Any information that has previously been supplied will not be re-requested to progress the initial technical assessment, unless significant changes to the design are required before a re-submission is made.</p> <p>Requests to discuss the proposals may be requested to assist with the application.</p>
	<p>S104 Technical Assessment will check to ensure that</p> <ol style="list-style-type: none"> <li>1. The details are in accordance with the sector guidance</li> <li>2. if required, agree an extension</li> <li>3. any local practice details are adhered to</li> <li>4. all manufacturers details are provided</li> <li>5. any legal requirements incl. land ownerships, rights, consents etc have been supplied or confirmed</li> <li>6. the information for entering into the agreement have been provided</li> <li>7. a Technical acceptance is provided once all details are confirmed acceptable for the full system</li> <li>8. Where the assessment defines that the proposals are not acceptable a technical review will be provided</li> </ol> <p>For each re-submission for a technical assessment, the same check details as listed above will be completed, up until</p>	

	<p>the technical Acceptance or conditional Acceptance can be provided.</p> <p>Over excessive re-checks may incur additional charges. Refer to SU's policy for repeated submissions.</p>	
<p>S104 assessment re-submission</p> <p>The details provided from the S104 technical review should be reviewed and accommodated to encompass the details needed to progress the S104 towards Technical Acceptance.</p> <p>As a minimum the re-submission of the details should contain any data not previously supplied</p> <p>Resubmit a full set of details, as close to receiving the technical review, responding to all items that were detailed/raised.</p>		
	<p>Conditional Acceptance – (less preferred option)</p> <p>The Conditional acceptance confirms only the element of the system which meets the technical specifications – predominantly the gravity only system (connection to the public sewers will not be granted until technical acceptance has been issued – having not fully satisfied the system needed to serve the site)</p> <p>Will confirm the items that will still need to be progressed</p> <p>Will confirm the length of time available to formally progress towards technical acceptance</p> <p>Will confirm the additional charges applicable</p> <p>Will allow the Early start of the system conditionally accepted</p> <p>Diversions of existing public sewers will not be accepted for conditional acceptance and an agreement must be in place before any works are commenced</p>	
	<p>S104 Technical Acceptance</p> <p>The technical acceptance confirms that the proposed system can be incorporated within a S104 Agreement for Adoption and will confirm:-</p> <ol style="list-style-type: none"> <li>1. The design meets the sector guidance</li> <li>2. The technically acceptable drawing numbers</li> <li>3. A quotation for the associated administration and assessment and inspection charges in relation to the charges document will be confirmed.</li> </ol>	

	<p>4. The associated bonds The technical acceptance will request the details to be incorporated within the standard S104 Agreement, these being:-</p> <ol style="list-style-type: none"><li>1. Set of technically acceptable drawings coloured correctly</li><li>2. The request for full details of the parties to the agreement</li><li>3. the applicable charges</li><li>4. the relevant bond type</li><li>5. the timeframe for construction</li><li>6. Any Maintenance regimes and responsibilities</li><li>7. Any phasing details</li></ol> <p>For the S104 Agreement this will be a standard Agreement.</p>	
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**Table 2.2 S104 - Application details and information** Key comments to be incorporated

within details supplied

Must Supply with application in RED and must supply before Technical Acceptance all details should be provided before the Agreement will be entered into.

<input checked="" type="checkbox"/>	Programme of works and start date	Construction start date Programme of works	Not necessary but relevant if timescales are key
<input checked="" type="checkbox"/>	Planning / design details	Confirmation of permission to discharge surface water Confirmation for discharge of Highway drainage Agreed Flow rate(s) for any system Flood Risk Assessment or statement for site and associated risk, including any Ground investigation report and results OR SI to show infiltration could be utilised on the site Drainage Strategy or Statement and layout plan (showing discharge point including rates) Run-off rates and attenuation quick estimates Confirmation of principles of ownership, accessibility, operational requirements of components	
<input checked="" type="checkbox"/>	Ownership details	Developer details Landowner details Principal designer details Contractor details Surety details Adjoining landowner details	
<input checked="" type="checkbox"/>	Site Location plan	Plan showing the boundary of the site Benchmark details	Minimum 1:2500 scale OS Map reference
<input checked="" type="checkbox"/>	Site Layout Plan	Full set of Design & Layout Details for Development Key plan for multiple sheets Minimum 1:500 scale North Point Site contours Show coal mining details (if applicable) Show Source Protection zones (if applicable) Show flood areas Show flood exceedance paths on and offsite details Coloured and indexed in accordance with sector guidance to show lengths of adoptable system Green boundary of land owned by developer New Pipe lengths coloured showing the direction of flow, pipe material, gradient, shape and size Pipe lengths should have a self-cleansing regime Existing pipes shown black detailing direction of flow, pipe material, gradient, shape and size Cover and invert levels of all manholes and inspection chambers including existing manholes where connections are proposed Protected strips where systems are not located within a public highway	Kerb lines and service strips/margins at least 1m away from centreline of sewer and 0.5m away from outside edge of manhole.  A manhole is required when serving more than 6 properties.  Manholes at every change in direction, gradient or pipe size.  Maximum distance between manholes of 90m  A 3m wide vehicular access road to within 5m of a maintainable asset/component  Soakaways a minimum of 5m away from any structure or boundary  A turning area for a 4,000 gallon tanker (if required)  Manhole details could be provided within a table

<input checked="" type="checkbox"/>	Longitudinal Sections	Scaled at 1:100 vertical & 1:500 horizontal Show existing ground level Proposed cover and invert levels and any backdrops Show the pipe material, strength, diameter and bedding	Show gravity sewers connected soffit to soffit, where there is a change in pipe size Offline surface water should be laid invert to invert Eliminate unnecessary crossovers of pipes Show filled ground that has been / will be backfilled Show any foundation details in relation to sewers
<input checked="" type="checkbox"/>	Manhole & Inspection Chamber Schedule	Show manhole Type, shaft and chamber size and depths, overall depth as well as cover and invert level(s) of all incoming and outgoing pipes Show manhole cover type, shape, size and depth Number of incoming pipes General arrangement drawings for bespoke manholes	
<input checked="" type="checkbox"/>	Hydraulic Calculations	Full set of Hydraulic Calculations for sewerage systems	Matches details on drawings and calculations
<input checked="" type="checkbox"/>	Flow Control systems	Full set of manufacturers details including head flow characteristics	Matches details on drawings and calculations See local Practice requirements for full design and construction requirements
<input checked="" type="checkbox"/>	Pumping station details	Full set of manufacturers details or request conditional assessment* but must provide cover level, invert level, head of rising main, flow rate)	Details correlate on all drawings and calculations See local Practice requirements for full design and construction requirements
<input checked="" type="checkbox"/>	Component details	Full set of relevant manufacturers details or request conditional assessment Ground condition details to support system proposed Evidence of third-party agreement for land entry and installation of components Maintenance regimes and responsibilities Mitigation and Landscaping details Detailed management, Construction and landscaping plan	Matches details on all correlating drawings and details See local Practice requirements for full design and construction requirements
<input checked="" type="checkbox"/>	Sewerage Treatment Plant	Full set of relevant Manufacturers details Any consent details for discharges Maintenance regimes and responsibilities	Details correlate with all drawings and details See local Practice requirements for full design and construction requirements

Technical Acceptance – Written confirmation that the full system proposed for adoption has met the requirements for the system to form part of a S104 Agreement for the whole of the specified site.

Conditional Assessments – Where certain elements of the system may take longer period to gain Technical Acceptance; eg, pumping stations and storage components; Conditional Acceptance can be provided to allow the agreed element of the system to be constructed on site. In such a case certain fundamental details will need to be agreed before such acceptance can be given (additional charges will apply) with the outstanding items being assessed over a longer timescale until full Technical Acceptance is given.

Note that Technical Acceptance for the remaining elements of the site the must be granted within 6 months of the Conditional Acceptance being issued, otherwise the Conditional Acceptance no longer stands.

### Stage 3: Adoption agreement

Table 3.1 S104 - Agreement details and information – relevant for any system. Standard Agreements can be generated by the developer instead of asking the SU to produce them, taking into consideration the same requirements.	
<input checked="" type="checkbox"/>	Full details of all parties to the Agreement – copies of land ownership
<input checked="" type="checkbox"/>	Maintenance regimes and responsibilities
<input checked="" type="checkbox"/>	Full set of Design details for Development that were technically accepted
<input checked="" type="checkbox"/>	Full Set of correctly coloured layout details for Development that were technically accepted (Land Registry acceptable)
<input checked="" type="checkbox"/>	Any charges
<input checked="" type="checkbox"/>	Technical Acceptance of sewerage system
<input checked="" type="checkbox"/>	Details of bond type – Cash or Surety
<input checked="" type="checkbox"/>	Timeframe for construction and any phasing details

Information provided by Customer	Information provided by Water company	Comments / standard required
Receive a technical Acceptance for the design of the prospectively adoptable system advising of the details needed for the Agreement		
Provide the details to be incorporated within the standard S104 Agreement as detailed in Table 3.1 Agreement details and information For the S104 Agreement this will be a standard Agreement with no alterations allowed to be made.		The developer may choose to create the standard S104 Agreements but must confirm to the SU that this is their intention
	<p>Agreement details check</p> <p>A check of the details to be incorporated within the standard S104 Agreement will be made:-</p> <ol style="list-style-type: none"> <li>1. Sufficient number of drawings provided</li> <li>2. The drawings have been coloured and detailed correctly</li> <li>3. Full details of the parties to the agreement supplied</li> <li>4. the applicable charges provided</li> <li>5. the relevant bond amounts provided</li> <li>6. the timeframe for construction</li> </ol>	<p>Details of all parties to the Agreement are needed.</p> <p>Once Technical Acceptance of a system has been given, an agreement will need to be entered into to formally bind the adoption requirements.</p>



	<p>7. Any Maintenance regimes and responsibilities</p> <p>8. Any phasing details</p> <p>For the S104 Agreement this will be a standard Agreement.</p> <p>If all of the items above are supplied the Agreement can be created and sent out for signing by all parties, if incorrect or insufficient details are supplied full details will be requested.</p>	<p>Standard Agreements could be prepared by the Developer, instead of waiting for the SU to receive full details, – with all copies signed by all parties and passed to the SU for the Agreement to be signed and completed.</p>
<p>S104 assessment re-submission</p> <p>As a minimum the re-submission of the details should contain any information or details not previously supplied.</p> <p>Resubmit the details, as close to receiving the request with a full set of details responding to all items that were detailed/raised.</p>		
	<p>Agreement</p> <p>When all of the information that has been requested for the agreement has been supplied</p> <ol style="list-style-type: none"> <li>1. create a standard S104 Agreement for each party</li> <li>2. incorporate the details received</li> <li>3. attach the plans to the agreement</li> <li>4. send all copies to the developer to arrange for each agreement to be signed by all parties</li> </ol>	<p>This would not be needed if the developer produced a copy of the standard agreement for all the parties to sign</p>
<p>Signing Agreements</p> <ol style="list-style-type: none"> <li>1. Confirm that the details contained within the Agreement are correct</li> <li>2. Arrange for Agreements to be signed by all parties incorporated within the Agreement.</li> <li>3. At the point the agreement(s) is (are) signed by all parties return all agreements to the water company</li> <li>4. Provide any cash bond payment with the signed agreements</li> <li>5. Provide any administration, assessment and inspection charges</li> </ol>		
	<p>Signing Agreements</p> <p>When the Agreements are received back from the developer</p> <ol style="list-style-type: none"> <li>1. Check that the Agreements have been signed correctly by all parties</li> </ol>	

	<ol style="list-style-type: none"> <li>2. Check to ensure that the plans are correctly showing the system to be considered for adoption as technically accepted and in accordance with appendix VII for coloured sewers</li> <li>3. Check to make sure no changes have been received or made</li> <li>4. Ensure that the bond has been received / surety is incorporated within the agreement</li> <li>5. Ensure that the charges have been paid</li> </ol> <p>If any details in points 1-5 have not been correctly supplied/completed a full set of details should be requested in writing advising of the s104 Agreement changes needed.</p> <p>If the agreements have been correctly signed, (and or generated correctly) then the water company will arrange for all the Agreements to be signed.</p> <p>Upon signing the Agreements the water Company will</p> <ol style="list-style-type: none"> <li>1. Send out the agreements to the developer, or their solicitor, retaining one original copy</li> <li>2. Arrange for the sewer records to be updated to confirm that there is an agreement in place for the prospectively adoptable system</li> <li>3. Confirm any legal requirements needed to be formalised before vesting</li> <li>4. Confirm any outstanding elements</li> <li>5. Confirm that inspections can commence</li> </ol>	
<p>S104 Agreement changes Any changes needed to the engrossed agreements will incur additional charges</p>		

### Stage 3: Early Start agreement

Information provided by Customer	Information provided by Water company	Comments / standard required
<p>Ensure that the Technical Acceptance has been granted</p> <p>Ensure all charges have been paid in accordance with charges document</p>		
<p>As a minimum the Early start application should contain:</p> <ol style="list-style-type: none"> <li>1. A signed fully completed Early start application, which will form part of an agreement</li> <li>2. Programme for start date</li> <li>3. Copy of the completed F10 Notice</li> <li>4. Set of detailed drawings for site inspections</li> <li>5. Confirm start on site date</li> <li>6. Provide a schedule of activity</li> </ol>		
	<p>Early start Assessment will check to ensure that</p> <ol style="list-style-type: none"> <li>1. The Technical acceptance (or conditional acceptance) has been provided</li> <li>2. The relevant charges have been paid</li> <li>3. The drawings have been supplied</li> <li>4. Where the assessment defines that the early start is not acceptable a written response will be provided</li> <li>5. If the full set of information is provided the early start agreement will be signed and a copy returned to the customer, and arrange a Pre-start inspection</li> </ol>	

## Stage 4: Construct sewerage system

Table 4.1 Construct sewerage system – request Pre-start inspection	
<input checked="" type="checkbox"/>	S104 Agreement in place or technical acceptance received and Early start Agreement in place
<input checked="" type="checkbox"/>	Full set of Design Details for Development
<input checked="" type="checkbox"/>	Full Set of Layout details for Development
<input checked="" type="checkbox"/>	Technical Acceptance or Conditional Acceptance of sewerage system
<input checked="" type="checkbox"/>	Full set of details for contact
<input checked="" type="checkbox"/>	CDM Health and Safety details including copy of F10 Notice
<input checked="" type="checkbox"/>	Administration, Assessment and Inspection charges paid
<input checked="" type="checkbox"/>	Programme of works provided

Information provided by Customer	Information provided by Water company	Comments / standard required
<p>Ensure that the S104 Agreement is signed by all parties or the Technical Acceptance has been granted and the Early start Agreement has been signed</p> <p>Ensure all charges have been paid in accordance with charges document</p>		
<p>Request a Pre-start inspection before any works on the prospectively adoptable system commences tying it in with your programme of works.</p> <ol style="list-style-type: none"> <li>1. Complete a Pre-start application form</li> <li>2. Confirm contact details</li> <li>3. Provide a copy of the F10 Notice</li> <li>4. Confirm start on site date</li> <li>5. Provide a schedule of activity</li> </ol>		
	<p>Pre-start inspection check</p> <ol style="list-style-type: none"> <li>1. Check through the information provided within the pre-start inspection request</li> <li>2. Check to make sure all charges have been paid</li> <li>3. Confirm if an inspection can be arranged</li> </ol>	
	Cannot arrange an inspection	

	<ol style="list-style-type: none"> <li>1. Confirm that the inspection cannot be carried out</li> <li>2. Define the details as to why this cannot be completed</li> <li>3. Call the applicant or email if unable to gain contact to confirm that we are unable to arrange the inspection</li> </ol>	
<p>Cannot arrange the Pre-start inspection</p> <ol style="list-style-type: none"> <li>1. Receive the details confirming why the inspection cannot be carried out</li> <li>2. Look into the site details and complete the items needed to enable the Pre-start inspection</li> </ol>		
	<p>Can arrange an inspection</p> <ol style="list-style-type: none"> <li>1. Contact the applicant via the details supplied</li> <li>2. Arrange an inspection</li> <li>3. Confirm the date, time and which inspector/team member will be attending</li> <li>4. Receive confirmation of whom will be attending the inspection on behalf of the developer</li> </ol>	
	<p>Pre-start Inspection</p> <p>The inspection will be used to give an overview of the requirements for the future inspections, this will include:</p> <ol style="list-style-type: none"> <li>1. Developer H&amp;S status for Pre-start, general inspections and commissioning inspections</li> <li>2. Future inspections</li> <li>3. Overview of technically accepted drawings</li> <li>4. Overview of process for making minor or major variations, drawing revisions and design co-ordination</li> <li>5. Overview of connection details and requirements</li> <li>6. Overview of completion of works and or requesting a Pre-maintenance inspection</li> <li>7. Overview of information required on As-Builts</li> <li>8. Overview of expectations at Pre-maintenance inspection</li> <li>9. Overview of H&amp;S for maintenance, final and handover inspections</li> </ol>	

	10. Complete any on-site inspection confirmation to confirm attendance and inspection completed on site	
<p>Can arrange the inspection</p> <ol style="list-style-type: none"> <li>1. Receive contact to arrange the inspection date and time</li> <li>2. Confirm the personnel details of who will be at the Pre-start inspection for the site.</li> <li>3. See the details that will be reviewed at the meeting</li> <li>4. After the Pre-start meeting it is important to ensure that the inspections of the system are arranged during its construction</li> </ol>		
<p>Request inspections during the construction of the works, including any commissioning inspections for pumping stations and sewerage treatment works by providing:-</p> <ol style="list-style-type: none"> <li>1. Contact name and number</li> <li>2. Company details</li> <li>3. Confirmation of person meeting on site</li> <li>4. Details of the inspection required</li> <li>5. Preferred date and time</li> </ol>		
	<p>Arrange an inspection</p> <ol style="list-style-type: none"> <li>1. Contact the applicant via the details supplied</li> <li>2. Arrange an inspection</li> <li>3. Confirm the date, time and which inspector/team member will be attending</li> </ol> <p>Receive confirmation of whom will be attending the inspection on behalf of the customer</p>	
	<p>Attend inspection</p> <ol style="list-style-type: none"> <li>1. Test the system to requirements</li> <li>2. Check standard requirements</li> <li>3. Confirm any variations which do not impact on the network hydraulics or capacities 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 (see Stage 7 Variations).</li> </ol>	

## Stage 5: Maintenance Period

Table 5.1 Sewerage system constructed – Request Maintenance inspection	
<input checked="" type="checkbox"/>	S104 Agreement in place to consider the system
<input checked="" type="checkbox"/>	Confirmation of inspections during construction
<input checked="" type="checkbox"/>	Confirmation that the works are completed
<input checked="" type="checkbox"/>	Confirmation that any variations have been confirmed and agreed – Minor or Major
<input checked="" type="checkbox"/>	Full set of manufacturers details
<input checked="" type="checkbox"/>	Any CDM Health and Safety details supplied
<input checked="" type="checkbox"/>	CCTV of constructed system
<input checked="" type="checkbox"/>	Confirmation of any access requirements

Information provided by Customer	Information provided by Water company	Comments / standard required
<p>Ensure that the works are in accordance with the drawings contained within the S104 Agreement or any minor or major variations and that the details in table 5.1 are completed/provided</p> <p>Ensure that the site has the sufficient properties connected to the system or the agreed discharge rate(s) to allow the Pre-Maintenance to be requested</p>		
<p>Request a full or part Pre-Maintenance inspection when all of the works ready to be progressed</p> <ol style="list-style-type: none"> <li>1. Complete a Pre-maintenance application form</li> <li>2. Confirm contact details</li> </ol>		

<ol style="list-style-type: none"> <li>3. Provide a full set of correctly coloured As-Built drawings and details in accordance with agreed details</li> <li>4. Provide any specific manufacturers details to support the constructed system</li> <li>5. Confirm number of properties occupied</li> </ol>		
	<p>Pre-Maintenance inspection check</p> <ol style="list-style-type: none"> <li>1. Check to make sure the number of units/properties or agreed discharge rates have been achieved</li> <li>2. Check through the information provided within the pre-maintenance inspection request to ensure a full suite of as-built drawings have been supplied</li> <li>3. Check through the CCTV details</li> <li>4. Review the technically accepted drawings in relation to the As-Built provided</li> <li>5. Check to make sure all charges have been paid</li> <li>6. Confirm if an inspection can be arranged</li> </ol>	
	<p>Cannot arrange an inspection - A</p> <ol style="list-style-type: none"> <li>1. Confirm that the Pre-Maintenance inspection cannot be carried out</li> <li>2. Define the details as to why this cannot be completed</li> <li>3. Call the applicant or email if unable to gain contact to confirm that we are unable to arrange the Pre-maintenance inspection</li> </ol>	
<p>Cannot arrange the Pre-Maintenance inspection</p> <ol style="list-style-type: none"> <li>1. Receive the details confirming why the inspection cannot be carried out</li> <li>2. Look into the site details and complete the items needed to enable the Pre-Maintenance inspection</li> <li>3. Re-request the Maintenance inspection</li> </ol>		
	<p>Can arrange a Pre-Maintenance inspection</p> <ol style="list-style-type: none"> <li>1. Contact the applicant via the details supplied</li> <li>2. Arrange an inspection</li> </ol>	



	<ol style="list-style-type: none"> <li>3. Confirm the date, time and which inspector/team member(s) will be attending</li> <li>4. Receive confirmation of whom will be attending the inspection on behalf of the developer</li> </ol>	
	<p>Pre-Maintenance Inspection</p> <p>The inspection will be used to give an overview of the requirements for the future inspections, this will include:</p> <ol style="list-style-type: none"> <li>1. Developer H&amp;S status for Pre-start, general inspections and commissioning inspections</li> <li>2. Future inspections</li> <li>3. Overview of technically accepted drawings</li> <li>4. Overview of process for making minor or major variations, drawing revisions and design co-ordination</li> <li>5. Overview of connection details and requirements</li> <li>6. Overview of completion of works and or requesting a Pre-maintenance inspection</li> <li>7. Overview of information required on As-Builts</li> <li>8. Overview of expectations at Pre-maintenance inspection</li> <li>9. Overview of H&amp;S for maintenance, final and handover inspections</li> </ol>	
<p>Can arrange the Pre-Maintenance inspection - B</p> <ol style="list-style-type: none"> <li>1. Receive contact to arrange the inspection date and time</li> <li>2. Confirm the personnel details of who will be at the Pre-maintenance inspection for the site.</li> <li>3. See the details that will be reviewed at the meeting</li> <li>4. Before Pre-Maintenance inspection. Arrange for the system proposed to be progressed is ready for inspection including cleaning</li> </ol>		
	<p>Pre-Maintenance Inspection</p> <p>The Pre-maintenance inspection is carried out to confirm what was agreed was constructed and that the system is ready to be placed onto maintenance.</p> <p>The inspection will:</p>	<p>Any variations which do not impact on the network hydraulics or capacity can be agreed on site by the inspector during the construction,</p>

	<ol style="list-style-type: none"> <li>1. Confirm any remedial works that are needed to ensure that the system is suitable for placing on maintenance</li> <li>2. Confirm any changes to the As-built drawings to reflect what has been constructed on site</li> <li>3. Define any access requirements</li> <li>4. Define if any Variations need addressing</li> </ol> <p>For sites where any items listed above are not quite complete/outstanding the customer will receive a full list of details of the items that need to be completed</p> <p>For sites where all works are complete and the drawings reflect what was constructed the Provisional certificate will be relevant for issue</p>	<p>and recorded on the 'As Constructed' plans. All other variations will need to be dealt with by a formal re-submission before constructing.</p>
<p>Pre-maintenance remedial works /changes to details</p> <p>The customer will need to review the details discussed at the pre-maintenance inspection and arrange for the items to be finished to standard.</p> <ol style="list-style-type: none"> <li>1. Complete all remedial works on site</li> <li>2. Provide a set of revised As-Built drawings</li> <li>3. Confirm any access requirements</li> <li>4. Send any revised drawings for re-assessment</li> <li>5. If no changes to the drawings were required request a re- inspection with the water company once the remedial works have been completed</li> </ol> <p>To request an inspection you will need to provide,;</p> <ol style="list-style-type: none"> <li>1. Contact name and number</li> <li>2. Company details</li> <li>3. Confirmation of person meeting on site</li> <li>4. Details of the inspection required</li> <li>5. Preferred date and time</li> </ol>		<p>Further inspections may incur additional charges – see charging documents. Repeat A+B for additional inspections</p>
	<p>Issue Provisional Certificate</p> <p>After the confirmation that the remedial works have been completed and the As-Built drawings reflect what has been constructed on site the Provisional Certificate will be issued. At this point all items that will need to be finalised before vesting will also be requested</p> <ol style="list-style-type: none"> <li>1. Issue Provisional Certificate</li> </ol>	

	<ol style="list-style-type: none"> <li>2. Confirm if this is a full or phased/part provisional certificate</li> <li>3. Advise of any legal items</li> <li>4. Advise of any discharge details</li> <li>5. Confirm the date when a Final Inspection should be requested</li> <li>6. Advise of any local practice requirements</li> <li>7. Release/reduce any bond obligations as agreed</li> </ol>	
<p>Customer will receive the Provisional Certificate to confirm that the system is on a maintenance period.</p> <p>The customer will continue to operate and maintain the system.</p> <p>The customer will ensure that the system is ready for a final inspection and that everything is in place to progress.</p> <p>All legal requirements detailed will be progressed to completion.</p> <p>Where a local practice requires a Handover inspection this will be organised in the same manner as a final inspection</p>		

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## Stage 6: Final Inspection and Handover

Information provided by Customer	Information provided by Water company	Comments / standard required
Ensure that the system is ready for the Final Inspection and has been working and not causing any major operational issues		
Request a Final Inspection 1. Complete a Final Inspection form 2. Confirm contact details 3. Provide details of any operational issues 4. Confirm any access requirements have been provided 5. Health and Safety file for site		
	Final Inspection check 1. Check through the information provided within the Final Inspection request to ensure everything has been supplied 2. Check to ascertain if there have been any operational issues 3. Check to make sure all charges have been paid 4. Check any local practice requirements have been supplied/completed 5. Confirm if an inspection can be arranged 6. Advise if a Handover inspection will also be required	
	Cannot arrange an inspection 1. Confirm that the Final Inspection cannot be carried out 2. Define the details as to why this cannot be completed 3. Call the applicant or email if unable to gain contact to confirm that we are unable to arrange the Final Inspection	
Cannot arrange the Final Inspection 1. Receive the details confirming why the inspection cannot be carried out 2. Look into the site details and complete the items needed to enable the Final Inspection 3. Re-request the Final Inspection		
	Can arrange a Final Inspection	

	<ol style="list-style-type: none"> <li>1. Contact the applicant via the details supplied</li> <li>2. Arrange an inspection</li> <li>3. Confirm the date, time and which inspector/team member(s) will be attending</li> <li>4. Receive confirmation of whom will be attending the inspection on behalf of the developer</li> </ol>	
	<p>Final Inspection</p> <p>The inspection will be used to give acceptance for vesting the site, the inspection will include:</p> <ol style="list-style-type: none"> <li>1. Checking to make sure the system is working correctly</li> <li>2. No evidence of operational issues.</li> <li>3. Any on-site access requirements are provided</li> </ol>	
<p>Can arrange the Final Inspection</p> <ol style="list-style-type: none"> <li>1. Receive contact to arrange the inspection date and time</li> <li>2. Confirm the personnel details of who will be at the Final Inspection for the site.</li> <li>3. See the details that will be reviewed at the meeting</li> <li>4. Before Final Inspection. Arrange for the system proposed to be progressed is ready for inspection</li> </ol>		
	<p>Final Inspection</p> <p>The Pre-maintenance inspection is carried out to confirm what was agreed was constructed and that the system is ready to be placed onto maintenance.</p> <p>The inspection will:</p> <ol style="list-style-type: none"> <li>1. Confirm any remedial works that are needed to ensure that the system is suitable for placing on maintenance</li> <li>2. Confirm any changes to the As-built drawings to reflect what has been constructed on site</li> <li>3. Define any access requirements</li> </ol> <p>For sites where any items listed above are not quite complete/outstanding the customer will receive a full list of details of the items that need to be completed</p> <p>For sites where all works are complete and the drawings reflect what was constructed the Provisional certificate will be relevant for issue</p>	

<p>Final remedial works /changes to details The customer will need to review the details discussed at the Final Inspection and arrange for the items to be finished to standard.</p> <ol style="list-style-type: none"> <li>1. Complete all remedial works on site</li> <li>2. Provide a set of revised As-Built drawings if changes are required</li> <li>3. Confirm any access requirements have been completed</li> <li>4. Send any revised drawings for re-assessment</li> <li>5. If no changes to the drawings were required request a re- inspection with the water company once the remedial works have been completed</li> </ol> <p>To request an inspection you will need to provide,;</p> <ol style="list-style-type: none"> <li>1. Contact name and number</li> <li>2. Company details</li> <li>3. Confirmation of person meeting on site</li> <li>4. Details of the inspection required</li> <li>5. Preferred date and time</li> </ol>		
	<p>Issue Final Certificate After the confirmation that the remedial works have been completed and the As-Built drawings reflect what has been constructed on site the Final Certificate will be issued.</p>	
<p>Receive Final certificate The Final Certificate will be received to confirm all works on site have been completed and the system is ready for vesting. Continue to operate and maintain until you receive the declaration of vesting</p>		
	<p>Declaration of vesting At this point all items that will need to be finalised/completed before vesting will be completed, these being</p> <ol style="list-style-type: none"> <li>1. any legal items</li> <li>2. any discharge /consent details</li> <li>3. Advise of any local practice requirements that need to be finalised</li> <li>4. Arrange for the full release any bond obligations as agreed</li> </ol> <p>Ideally the majority of these should be completed close to the issuing of the</p>	

	Provisional certificate as feasibly possible (where relevant)	
<p>Customer will receive the Vesting Declaration to confirm that the system is now vested in the water company for them to operate and maintain</p> <p>Any remaining bond money will be release from the agreement.</p> <p>The customer will ensure that the system is ready for a final inspection and that everything is in place to progress.</p> <p>All legal requirements detailed will be progressed to completion.</p> <p>Where a local practice requires a Handover inspection this will be organised in the same manner as a final inspection</p>		

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## Appendix E-Model Adoption Agreement

Is available separately on the Codes Programme Web Page at:

<https://www.water.org.uk/developer-services/codes-adoption>

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## Appendix F-Levels of Service

### F1 Levels of Service

#### Levels of Service Measures

Level of Service Measure	Proposed SLA & criteria	Notes	Escalation
Pre-planning application (Stage 1a) – <b>SU – SLPM – 1/1 – Acknowledgement of receipt &amp; application completeness</b>	Within 7 days of receipt. To review application submission to ensure all relevant details are included or request any specific items that are needed. Full response within 21 days of receipt	To ensure Developer is made aware as early as possible that application is received and any bespoke or special designs require further details or application is incomplete to allow full consideration	Yes
Pre-Design Application (Stage 1b) – <b>SU – SLPM – Review Application</b>	14 days to review application and respond	Response to be sent no later than 7 days after meeting or design discussions	
Section 104 application (Stage 2) <b>SU – SLPM – 2/1 – Acknowledgement of receipt &amp; application completeness</b>	Within 7 days of receipt. To review application submission to ensure all relevant details are included or request any specific items that are needed	To ensure Developer is made aware that application is received and any bespoke or special designs require further details or application is incomplete to allow full consideration	
Full Design review and response (Stage 2 ) – <b>SU – SLPM – 2/2 – Review Design Step 1</b>	Full design review of application and respond with formal design response (may be acceptable as per below stage 3 or may be refused) or advice regarding any required design alterations. 28 days from application receipt (this includes the 7 days to acknowledge and review the application for completeness)	The SLA may stop/start if the above triage step has requested more information.	Yes
Design Acceptance (Stage 2) – <b>SU – SLPM –</b>	Issue formal technical acceptance of proposed	Will be included as part of the above	Yes

<b>2/3 – Review Design Step 2</b>	adoptable network design, including calculations and summary of required inspection fees and Bonding levels – a further 14 days from receipt of additional information or design alterations	response at Step 1 if no additional info or alterations are requested	
Execute Adoption Agreement (Stage 3) – SU – <b>SLPM – 3/1 – Update draft Agreement</b>	Issue draft Agreement to Developer for signing. 14 days after receipt of inspection fees, coloured plans and all required legal & land matter details	Developer advised at early stage of any legal/land requirements	
Developer notifies of construction start date and requests inspections (Stage 4) – SU – <b>SLPM – 4/1 Inspections &amp; construction period</b>	Plan start up meeting and inspection regime. 1 <sup>st</sup> inspection undertaken within 14 days of request	Developer to give as much notice as possible	
Construction complete (Stage 5) - SU – <b>SLPM – 5/1 request for pre maintenance inspections</b>	Undertaken within 14 days from receipt of request	Developer to provide as built for inspection purposes	
Issue pre maintenance certificate (Stage 5) - SU – <b>SLPM – 5/2 – Construction is substantially complete</b>	7 days from confirmation that all construction works are satisfactory (or remedial works complete) and receipt of as built and CCTV survey	Standard maintenance period to be 12 months	N/A
Issue Vesting Certificate (Stage 6) – SU – <b>SLPM – 6/2– Vest Sewers</b>	7 days from confirmation that all construction works are satisfactory (or remedial works complete) and all legal & land matters are complete		Yes

## F2 Reporting Requirements

<b>Process/Document Name</b>	<b>Description</b>	<b>Location of Publication</b>	<b>Frequency of Publication</b>
Levels of Service	A set of metrics produced to measure SU service levels.	Water UK/central website	Minimum quarterly
Local Practices	Where there is a deviation from the national standards, the SU will publish their local practice/s and an annual report setting out any agreed deviations from the Sectoral Guidance or the Model Adoption Agreements, for the preceding twelve-month period (from 1 April – 31 March). The annual report must, as a minimum, include details of the number of deviation agreements entered into under paragraphs 5.1.2 and 5.2.2 of this Code; the nature and categories of deviations agreed; and any other detail as may be specified by Ofwat from time to time.	SU website	Minimum annually
Procedures	Process flowcharts (Stages 1 – 7) for sewer adoption	SU website	Minimum annually
Minimum Information Form	The minimum information requirements of each party at each stage of each procedure, and which may include template forms if necessary.	SU website	Minimum annually
Technical standard details or designs	Document that lists local technical standards not dealt with in the DCG	SU website	Minimum annually

## Appendix G-Code Governance Panel

The terms of reference for the Codes Governance Panel are available separately on the Codes Programme Web Page at:

<https://www.water.org.uk/developer-services/codes-adoption>

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