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

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

Important note: with effect from 1 April 2020, the Sewerage Companies will comply with the metrics but the first quarterly report against the metrics in Appendix F1 will be in respect of data gathered with effect from 1 October 2020
Stage 1a: Pre-Planning Enquiry (planning liaison)

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.

**Note 1.1:** Pre-planning Enquiry request should:
1. Accord with the minimum details/information required for a pre-planning enquiry.
2. Indicate the nearest point on the existing public sewer network indicating a preferred point of connection for foul and surface water.
3. Detail if the system is proposed for adoption under S104.

**Note 1.2:** Pre-planning enquiry receipt:
1. If an online Pre-planning enquiry will be made and automatic acknowledgement of receipt will be provided.

**Note 1.3:** Pre-Planning Enquiry check:
1. Will be a check of the minimum submission requirements as set out in Codes of Adoption to ensure comments for the proposals can be given.
2. For large or complex sites, an extension to normal SLA may be appropriate. If this is required the Sewerage Company will contact you at this stage to agree the revised SLA.
3. For sites due to be served by a NAV (for which there is a Letter of Intent), revised SLA may be appropriate to reflect the stage of planning. If this is required the NAV will contact you to agree the revised SLA.

**Note 1.4** Pre-planning Response should:
1. Be based on the expected development parameters.
2. Indicate the nearest point on the existing public sewer network of an equivalent location (if the customer has not indicated a preferred point of connection).
3. Recommend an alternative or technically preferred point(s) of connection (if one is evident at this early stage). 
4. Specify the validity period of Pre-planning Response.
5. A pre-planning enquiry will discuss the strategic elements of site drainage. The applicant should consider any technical constraints which may be relevant if the sewers are to be proposed for adoption.

**Note 1.5:** Pre Planning Response – complex sites:
1. In addition to the Pre-planning response - For sites with pumping stations, components for adoption, large and or complex systems on and or offsite requirements the applicant will be advised that they can request a strategic assessment. A Strategic assessment can be requested at any point to assist with the design needs of a site.
2. The applicant should provide a drainage layout plan and any other relevant drawings/designs. The Sewerage Company can then establish if a meeting is appropriate.
Stage 1b: Pre-Design Strategic Discussion/assessment

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 Sewerage Company. The earlier the discussions the better and 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.

**Developer**

- Contact the Sewerage Company to highlight large or complex site (see note 1.4)
- Provide minimum details (see note 1.6)

**Sewerage Company**

- Receive Pre-Design application contact (see note 1.5)
- Respond to contact and confirm if discussion/meeting with the developer & or applicant is appropriate. Provide a response to questions posed if no meeting is required
- If meeting is required, agree date, time and location – usually at Sewerage Company offices (see note 1.6)

**Comments & Service Standard**

Note 1.6: Pre-design application information:
1. Accord with the minimum details/information required for a pre-design strategic assessment
2. Be based on the expected development parameters
3. Indicate all design proposals taking into account any planning and or holistic design requirements
4. Use surface water hierarchy
5. Detail the options available for designing the site
6. Outline specific questions or points of complexity for review
7. Outline any requirements for known existing systems (S185,S116 etc)
8. For sites with pumping stations, components for adoption, large and or complex systems on and or offsite requirements. A Strategic assessment can be requested at any point to assist with the design needs of a site.

Complete design and make S104 application

(The Design can be completed by the developers designer or by a Sewerage Company where the service is offered)

Proceed to Stage 2 (Design of New Sewerage System)

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

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 /Resubmitted S104 Application
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 in accordance with DCG, LP and TS for the design and specifications of a system.
3. Accord with the minimum details/information required

Note 2.2: Application receipt
1. Automatic response for online application sent (where applicable)
2. If a full set of data for the assessment has not been received the full details will be requested
3. Once a full set of details have been received then it will be passed for a technical assessment
4. Confirm any extension required (if applicable)
5. Confirm a reference number
6. A response will be provided before the end of the 7 days

Note 2.4a: Technical / Re-submission Assessment
The Technical/Re-submission assessment will be used to check:-
1. Any previous pre-planning or strategic assessments
2. Confirm if the design is in accordance with the DCG, local practices and any technical standards.
3. Request any minimum information
4. Request an extension dependant upon the site complexity
5. Request confirmation of any legal requirements
6. Request manufacturers, legal and health & Safety requirements.
7. Request information for entering into the S104 Agreement
8. If any diversion can be incorporated within the S104 Agreement

Note 2.4b: Details not to standards
If a design is not to specification a point by point list will detail any strategic and or technical shortfall. It may be appropriate 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: Re-submission of details
A complete response addressing each point raised must be provided so a design can be progressed to technical/conditional acceptance.

Note 2.5: Technical or Conditional Acceptance
1. Will be granted where full details have been provided and meets DCG, LP & TS relevant to the system incorporated for the Conditional or Technical Acceptance.
2. At Technical Acceptance will specify details for the Agreement
3. Will specify validity period of the Conditional/Technical Acceptance
4. Will specify the associated charges and bond requirements & refer customers to charges document

Note 2.6: Receipt of Acceptance
1. An Agreement can be completed for Technically accepted system
2. Early inspections can be requested for Technically or Conditionally accepted system see Note 3.2 (additional charges may apply)
3. The details to be provided by the developer in accordance with minimum information
4. S106 Applications should be applied for relevant to the technically acceptable system
Stage 3: Adoption agreement

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: Technical Acceptance**
1. The request for the Agreement must include all the details as specified in the minimum information for incorporation with the new Agreement
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. Confirm to the SU if the developer chooses to create the standard agreement for the site
5. Any charges or Bonds will need to be provided before the Agreement is signed by the SU

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

**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 a full set of details for the inspections in accordance with the minimum information
2. The developer must sign and send the Early start request form
3. Full health & safety documents must be provided
4. All relevant 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. Check the minimum information which has been supplied including all drawings.
2. Any missing details will be requested before the Agreement will be prepared
3. Prepare the standard Agreement for each party
4. Send out to developer before end of day 14

**Note 3.4 Signed 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
4. Charges for checking the agreement may be applicable

**Note 3.5 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
4. Charges for checking the agreement may be applicable
5. Written confirmation that the agreed diversion works on a public sewer can proceed (if applicable can commence)

Service Level Process Measure: All levels of service will begin on the first working day following receipt.
Stage 4: Construct sewerage system

**Developer**

- Coordinate overall development programme. Provide CDM 2015 documents, schedule of activities and request for Pre-Start Inspection (see Note 4.1)
- Submit missing information
- Construct sewerage system(s) in accordance with final design included within the adoption agreement
- Carry out any civil, mechanical and electrical works request inspections in accordance with agreed sector guidance
- If site conditions dictate that the original design needs a re-design. Request the changes to agree design amendments to overcome site issues. Notify the Sewerage Company as soon as possible see Note 4.5
- Complete works and ready for progression
- Confirm any pumping station / special asset / component constructed as agreed and ready for Commissioning inspection
- Proceed to (Stage 5) Maintenance

**Sewerage Company**

- Receive Pre-start inspection form for confirmation of start on site (see Note 4.2)
- Inspections - Witness or audit air tests and construction of using a risk based approach. Specify any additional testing necessary (See Note 4.4)
- Arrange Pre-start (see Note 4.3) and any relevant inspection(s) (see Note 4.4) requested to support design details within the adoption agreement
- If changes are needed to the original design. Depending upon design changes (see Note 4.5 and Stage 7 for variations)
- Carry-out Commissioning inspection to support design coordination and alignment with the adoption agreement (see Note 4.6)
- Confirm Civils works, pumping station, components, access requirements Electrical and Mechanical works completed as agreed
- Confirm system ready for progression

**Comments & Service Standard**

Note 4.1: Pre-start inspection request
1. To assist all parties to coordinate activities, developer to provide sewerage companies with a schedule of activity and request for Pre-Start Inspection
2. Provide copy of F10 Notice and / or ensure that the document is available on site in accordance with CDM Requirements
3. Any charges relating to the request for inspection must be paid before inspection requested
4. Allow at least 7 days to enable a pre-start inspection to be assessed

Note 4.2: Pre-start inspection check
1. 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
2. The developer will either receive details to arrange a Pre-start inspection or will be asked to provide any items missing from the minimum information needed to arrange the inspection.

Note 4.3: Pre-start Inspection
Pre-start inspection will comprise as a minimum an overview of:
1. How the developer will be providing any provision for CDM 2015 Regulations requirements, traffic management requirements and H&S welfare requirements
2. Future contact arrangements and authorised parties for giving instructions, requesting inspections, making variations, making Novation’s and exchanging information regarding progress of the works.
3. Technically or conditionally accepted drawings and current status of Agreement.
4. Adherence to DCG , Local Practices and any Technical Standards
5. Process for dealing with variations / drawing revision / design co-ordination.
6. Connection incl. line and level & location and date of connection and method statement to also be provided.
7. Any agreed diversion work (must have agreement in place)
8. Method/provision for recording inspection notes on site
9. Overview process for confirming the completion of works and placing full or part site onto Maintenance
10. Details for submitting as-laid drawings prior to carrying out the Pre-maintenance inspection
11. Overview of Land Rights and Third Party Consents
12. Health & Safety details for Maintenance and Final inspections

Note 4.4: Inspections
1. Developer to ensure that the Sewerage Company is contacted to arrange the necessary inspections as part of their progression plan.
2. It is the developers responsibility to arrange the inspections at each relevant point in the construction process.
3. The Undertaker may also arrange random coordination and compliance visits during the construction period
4. Inspections can be recorded on site with the mechanism of how they are recorded agreed with the inspector and the contractor/developer
5. At least 7 calendar days must be allowed to enable an inspection to be arranged
6. Developer is responsible for all traffic management and CDM requirements for all site inspections, where provision is not available inspections will be aborted at the cost of the developer

Note 4.5: Variation to technically or conditionally accepted drawings
1. The developer will need to provide full details for any variations to the agreed design drawings in accordance with sector guidance
2. Progress in accordance with Stage 7 Variations

Note 4.6: Commissioning inspection
1. Provide a set of detailed drawings and request the inspection
2. At least 7 calendar days must be allowed to enable an inspection to be arranged

Service Level Process Measure : All levels of service will begin on the first working day following receipt.
Stage 5: Maintenance Period

Developer

Sewerage Company

Complete all agreed works. Ensure that the system is ready for Pre-Maintenance inspection. Complete a full set of As-Built, 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 ($104 or S185 element)

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

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

Remedy defects or As-Built details

Inspect system (see Note 5.3)

Can issue Provisional Certificate (see Note 5.5)

Provide Full Provisional Certificate (See Notes 5.6)

Provide Provisional Certificate - Defects (See Notes 5.7)

Update sewer records to confirm system is on maintenance

Ready to progress

Arrange Pre-maintenance inspection

Note 5.1: Pre-Maintenance request - To request a Pre-Maintenance inspection
1. An agreement must have been signed by all parties
2. Accord with the minimum details/information required for a pre-maintenance
3. Provide contact details and authorised parties to authorise any works
4. Full suite of As-Built drawings (in accordance with Agreement or variation drawings) incl. any manufacturers details for each element to be progressed
5. Provide a relevant camera / light-line survey or re-survey of the system to an agreed standard.
6. Detail any site hazards found during construction
7. Confirm Health & Safety details for Inspection with any Traffic Management to undertake inspection activities safely
8. S185 element of the site must proceed as soon as the works are completed
9. S104 element of the site has met 51% Occupancy into each adoptable length of sewer/agreed rate of discharge

Note 5.2: Confirm if site ready for Pre-Maintenance inspection
1. Ascertain if a Full suite of details supplied– see Note 5.1 for items needed
2. Agree Part / Full progression
3. Confirm if the system is ready to progress and arrange inspection
4. Or Detail why the system is not ready to be placed on maintenance

Note 5.3: Pre-Maintenance Inspection
1. SU to attend site with Developer or developer’s 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 Incomplete – cannot issue Provisional Certificate
1. If works not completed in accordance with agreed plans or agreed variation(s)
2. Provide confirmation of why a Provisional Certificate cannot be issued
3. Provide a full list of remedial works

Note 5.5: Issue Provisional Certificate
1. Within 21 days after the inspection
2. Confirm No defects on site (see note 5.6)
3. Or confirm defects which will need to be completed. (see note 5.7)
4. Confirm the length of time for maintenance
5. Confirm when the Final inspection should be arranged and how to arrange it
6. Detail any Land Rights, legal or Statutory Consent requirements that need to be completed before vesting
7. A copy of the Provisional Certificate will be provided to the bondsman
8. Update the sewer records to detail the system is on maintenance

Note 5.6: Provisional Certificate Full
1. Will confirm that no defects were recorded at the Pre-maintenance inspection

Note 5.7: Provisional Certificate - defects:
1. The details of any remedial works or defects that need to be completed will be defined
2. Define the works or details must be completed within 6 months. And the details of any changes to the As-built drawings or manufacturers details
3. Developer to provide anticipated completion date of works, but within 6 months
4. If any works including incomplete As-Builds have not been completed and provided within 6 months from the date of the issue of the Provisional Certificate the SU will issue Notice to complete the works at the developer’s cost
5. If the developer fails to complete the works the surety will receive written confirmation of failure to complete
6. Additional charges to progress the site will be applied if the developer fails to complete the site in accordance with the agreement, at the developers cost
7. Bonds may be called upon in the event that the terms of the agreement are not met

Comments & Service Standard

- Not ready to progress
- SAM 5/1:14
- 7 SAM = 5/2
- SAM = 5/3
- 8 weeks
- DSAM = 5/6
- 6 weeks
- v1.0 25 October 2019

Service Level Process Measure: All levels of service will begin on the first working day following receipt.
Stage 6: Final Inspection and Vesting - system incl. pumping station and/or components

**Developer**

- Operate and maintain the system
- Request a Final Inspection See Note 6.1
- Inspect system and confirm any remedial works needed or changes to drawings and manufacturers details
- Remedy defects (see note 6.1)
- Confirm site not ready to progress see Note 5.2 Site progression
- Resolve any legal/consent issues and confirm when complete
- Handover components and pumping station(s) (see Notes 6.5)
- Receive Final Certificate and vesting declaration

**Sewerage Company**

- Confirm that the system has only 3 months of maintenance remaining
- Review provided information and full internal site inspection details. Review development programme See Note 6.2
- Confirm if system ready for arranging Final Inspection see note 6.2
- Remedy defects (see note 6.1)
- Arrange Final inspection (See Note 6.3)
- Confirm if works are complete
- Provide Final Certificate See Note 6.4
- Confirm if all legal items in place
- Provide Vesting Declaration (See Note 6.6)
- Update sewer records to confirm system is vested
- Own, operate and maintain

**Comments & Service Standard**

**Note 6.1: Final Inspection request**
Final Inspection request will comprise, as a minimum:
1. Provide contact details and authorised parties for giving instructions to authorise any works
2. Accord with the minimum details/information required for a Final Inspection
3. Confirm any operational issues
4. Confirm that the system has been issued a Provisional Certificate (Full or Defects)
5. Confirm that any defects identified within the Provisional Certificate have all been completed
6. Completion of Land Rights, legal requirements or Consents etc
7. Health & Safety details for Final inspections
8. Developer to inform sewerage co of anticipated completion date of works

**Note 6.2: Final check**
Details for progressing the Final inspection:
1. Confirmation of system having Provisional Certificate Full or Defects issued
2. Confirmation that the downstream system is vested where relevant
3. Confirmation that As-Built, manufacturers and operational details are correct
4. All consents, discharges consents and land owner confirmations, land transfers, rights of access, easements, protected strips are completed
5. Any operational, maintenance or access requirements are complete
6. Telemetry, telephone and electricity installed and ready for transfer
7. Agreed Part / Full progression

**Note 6.3: Final Inspection**
1. Sewerage 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) and that there are no further issues
3. Any issues will be provided to the developer or developers representative
4. Any additional inspections needed may incur charges

**Note 6.4: Final Certificate issued**
1. Where no remedial works or defects were identified at the final inspection
2. A full suite of details reflect the on site system
3. All legal requirements are completed
4. All access requirements completed

**Note 6.5: Handover Inspection**
Handover inspection will be arranged for any pumping station, special asset or component needing legal requirements to be confirmed after the full confirmation of acceptance has been carried out.

**Note 6.6: Vesting**
The vesting process legally transfers appropriately constructed assets to the ownership of the Sewerage Company as part of the adoption process. Legal transfer via vesting can only occur when a Declaration is made by the Sewerage Company in writing.
1. Create and send vesting document
2. Confirm any surety/bondsman can be released from their obligations
3. Arrange for any legal requirements to be finalised
4. Any Consents are Finalised
5. Update Sewer records
Stage 7: Variation of new sewerage system

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 Sewerage 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

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