

LEGIONELLA CONTROL ASSOCIATION – STATEMENT OF COMPLIANCE

INTRODUCTION

The Company was founded in 1966 and main offerings include the design, development, manufacture, installation, refurbishment and servicing of pipe-work systems, mechanical installations, cooling towers (exclusively the Watermiser cooling tower), cooling systems and the supply of associated parts.

The Company has a documented Integrated Management System (IMS) which is certified to BS EN ISO 9001:2015 and BS EN ISO 14001:2015.

The Company is a member of the LCA and complies with the LCA Code of Conduct by following documented procedures which are structured to comply with legislation, primarily The Control of Substances Hazardous to Health (COSHH) Regulations 2002, Approved Code of Practice L8 and Guidance HSG 274 Parts 1-3.

SERVICE PROVIDER COMMITMENTS OF THE CODE

1. Allocation of Responsibilities

1.1 The Company holds LCA registration for the following service categories:

- Cleaning and Disinfection Services
- Design, Supply, Installation, Refurbishment of Water Plant, Equipment and Systems

1.2 The Company clearly states the services covered by our LCA Membership (which are listed above) in any offer and contract agreement with the client. In addition, the Company makes clear the respective responsibilities in the control of legionella to ensure that, where relevant, the customer understands their duties under:

- The Health & Safety at Work Act 1974.
- The Control of Substances Hazardous to Health Regulations 2002.
- The Management of Health & Safety at Work Regulations 1999.
- Sewerage (Scotland) Act 1968 /Water Industry Act 1991
- The HSE Approved Code of Practice (ACoP) L8 “Legionnaires’ Disease – The control of legionella bacteria in water systems” & associated technical guidance as detailed in HSG 274 Part 1 to 3.
- The Notification of Cooling Tower & Evaporative Condensers Regulations 1992.
- The plumbing notification requirements in accordance with the Water Supply (Water Fittings) Regulations 1999 and associated Scottish Water Byelaws.
- The Work at Height Regulations 2005.

The Company will confirm in writing, at quotation or contract formation stage, the responsibilities of the customer and the Company, Dustacco Engineering Ltd (as the Service Provider) under the relevant part of ACoP L8 and associated guidance for the services provided.

Our Company quotations are created and issued in accordance with IMS document ref. PM009W “Sales Enquiry and Quotation”. Issued quotations state both our and our prospective client’s obligations under the LCA’s Code of Conduct and the prospective client’s statutory obligations relative to the control of legionella and operation of cooling towers – **Refer to Section 9.1.**

2. Training and Competence

2.1 The IMS document ref. PM005 “Training and Competency” (PM005) details our approach to identification and provision of training and review of its effectiveness via ongoing competency assessment. This includes training relevant to awareness and control of Legionella.

2.2 The training status of each staff member is reviewed at least annually via an electronic matrix. As part of this process, on-going staff competency assessments are conducted through several means, which may include:

- Site inspections (carried out in compliance with IMS document ref: PM008 QHSE Inspections).
- Specific competency assessments in relation to cleaning & dis-infection of cooling towers (carried out as per IMS document ref: W028 Legionella Control; Dis-infection – Work instructions and in-field competency assessment).
- Annual process audits – **refer to Section 7.**

All above assessments are formally recorded and brought to the attention of relevant managers and staff.

2.3 Training and competence records are recorded and retained on file (electronic and hard file) as per 2.1.

2.4 Significant industry developments, safety alerts and/or good practice is shared with relevant staff members by way of Safety Briefing or Toolbox Talk and these are formally recorded.

3. Control Measures

3.1 All the Legionella control services which the Company offers (as listed in 1.1) are registered with the LCA and are stated within the written agreement with the client (as per 1.2).

3.2 Our Integrated Management System (IMS) organises and controls the methodology for gathering relevant information, assessing requirements and ensuring that control measures are monitored and maintained throughout to ensure that our delivery standards and the requirements of the LCA’s Code of Conduct are upheld as a minimum.

Our IMS document ref: PM009W “Sales Enquiry & Quotation” details the procedures and control documents which underpin the initial process and include the following:

- Initial customer enquiry to contract records which may include request for information (RFI's), technical queries (TQ's) and other communication relating to determining customer requirements and meeting them.
- Project Checklist W032
- Tower casing specification sheets.
- Cooling tower completion checks.
- Post contract review record.
- Tower Inspection reports (W025 "Cooling Tower Site Report" and W026 "Cooling Tower Report Summary") completed during, and following, site visits to service and maintain existing cooling towers.

3.3 Any inspection reports (W025 and W026) completed following site works will document any identified issue with a cooling tower which may affect its operational effectiveness and subsequently put the health and safety of people in the surrounding area at risk. Any identified issue will be prioritised on the following basis:

	Immediate attention required.
	Attention required during next service visit
	No attention required.

The completed report will be sent to the identified client's responsible person and a record of receipt will be sought.

It is the responsibility of the relevant Project Lead to ensure that the tower inspections are completed satisfactorily and that the resultant recommendations are brought to the attention of, and understood, by the client's responsible person.

Internally, ongoing compliance to the LCA code of conduct along with the service delivery requirements for 'Cleaning and Disinfections' and 'Plant & Equipment' services will be ensured via a programme of ongoing monitoring which includes, but is not limited to the following:

Aspect	Scope	Completed by	Frequency	Relevant IMS documents
Internal audit	Full process audit refer to IMS document ref: SOP002 & F043 for mandatory elements.	Compliance Administrator Managing Director	Annual	SOP004, F043
Compliance to management standards ISO9001& 14001	Full process audit.	TUV Certification body UKAS accredited	Annual	All
External audit – LCA	Full process audit	LCA	Annual	All
QHSE site inspection	All site activities, adherence to RAMS and critical QHSE aspects	H&S Lead or Supervisor	Ad-hoc based-on site activities Recommended 1 per month	PM008, F003
Competency assessment	Specific to workshop or site activities directly affecting legionella control	H&S Lead or Company personnel (peer to peer)	Ad-hoc based-on site activities. Dependant on volume of site work activities, however all personnel involved in the disinfection & cleaning of cooling towers in the field to be reviewed at least once a year.	W028 W046

3.4 Our IMS contains within it Process Maps, Standard Operating Procedures etc. including inspection and audit schedules. Design, implementation, monitoring and maintenance of services offered under LCA Membership is controlled under these same policies and procedures.

Testing, calibration and maintenance of plant and equipment is undertaken according to statutory requirements, detailed in SOP02 Provision and use of work equipment. Control of critical business activities, equipment and plant are detailed in SOP008 Preventive Action.

4 Communication

4.1 That prior to commencement of work, the Company agrees with the client on the identity and contact details for the following:

- The (client's) responsible person for legionella control is identified, this is the person who is named in the legionella logbook and risk assessment (Project Information form W002)
- The Duty Holder
- Contact for routine communication
- Contact for emergency contact

4.2 Where we becomes aware of a client's process control measures falling short of statutory and best practice requirements and increasing the likelihood of legionella risk, we will at the earliest opportunity contact the client and advise them of the concern. The procedure for communicating concerns is detailed in Appendix 1 of document ref: PM009W "Sales Enquiry and Quotation".

4.3 Where we becomes aware of a client's process control measures falling short of statutory and best practice requirements and increasing the likelihood of legionella risk, and the matter lies out-with our direct work-scope, we will follow the process described in 4.2.

4.4 In accordance with our obligations under the Recommended LCA Code of Conduct for Service Providers we will communicate any potential legionella risk which we become aware of even if it is out-with our contracted work-scope. In the case of serious risk to health, the principles of the LCA's recommended escalation procedure will be followed, as per below:

4.4.1 **Stage 1** – the concern will be raised in writing to the named responsible person and we will seek a written commitment for remedial actions to be taken.

4.4.2 **Stage 2** – if we do not have confidence that appropriate remedial actions have been taken, or plans are in place, we will repeat stage 1, additionally advising that unless appropriate actions are taken and communicated to us then we will require to inform the Duty Holder.

4.4.3 **Stage 3** – if after informing the Duty Holder we still have concerns that the issue has not been addressed, we have a duty to report the issue to the Regulator.

5 Record Keeping

5.1 Our standard quotation template W006 outlines the scope of work and details the responsibilities for specific record keeping as well as who has the responsibility for maintaining such records going forward. The Company will retain internal records in accordance with IMS document ref: SOP007 “Control of Records”.

5.2 Under our existing scope of service provision, such records may include:

- Records of site cooling tower surveys undertaken by us.
- Certificates of cleaning or disinfection works.
- O&M Manuals.
- Drawings and calculations.

5.3 The Company will retain internal records in accordance with IMS document ref: SOP007 “Control of Records”.

6 Reviews

6.1 The Company do not offer ongoing Legionella control services but understand that, if this were to be offered, then such provision would be subject to annual two-way review between client and service user in order to assess the effectiveness of the services.

6.2 As a general rule, we do not habitually offer training to clients’ staff directly outwith basic operator/user training. However, further to 6.1, should we offer such services then we will assist the client to assess and identify training needs of their staff and assist in signposting them to appropriate sources of training.

7 Internal Auditing

7.1 An internal audit will be completed at least annually to ensure that our activities comply with the requirements of the LCA Code of Conduct and Service Delivery Standards. Audit records are recorded and retained.

7.2 The procedure for carrying out internal audits is detailed in IMS document ref: SOP004 “Internal Auditing”. All audits carried out will include a systematic review of compliance to both the **general** requirements of the LCA Code of Conduct and individual work activities which may have an impact on the level of legionella control of an installed, serviced or maintained system.

7.3 Our Senior Management is notified of any identified deviation/non-conformance (NCR) from the requirements of this Statement of Compliance or other control document. Non-

conformances (including systemic deviations) are be logged on the NCR register (AIM Tracker), with corrective and preventive actions agreed and documented. Any identified actions are managed to completion via regular review of the register.

7.4 We maintains a document control system – Document control Process Map PM006, Document Register and IMS filing folder system.

8 Sub-Contractors

8.1 Where sub-contracted work meets the following criteria:

- It involves Legionella specific activities as outlined in the LCA Code of Conduct, these being water treatment service visits, cleaning & disinfection or cooling tower refurbishment.

and

- The work is not **directly** supervised by competent Company personnel

then the work will either be issued to a sub-contractor who is an LCA member with current registration in the appropriate service category **OR** additional control procedures will be implemented which ensures that the works carried out comply with the LCA's code of conduct.

In the event that additional controls are required these will be identified on a job specific basis and form part of the initial and technical review. Any such controls require to be clearly documented as part of a formal safe system of work with the aligned risk assessment objectively determining that the controls associated with sub-contracting the works out are both suitable and sufficient.

8.2 Irrespective of whether a sub-contractor is a registered LCA member or not, the Company will ensure that any sub-contractors carrying out “specified activities” on their behalf will be subject to initial assessment in accordance with IMS document ref: PM003 “Selection & Approval of Sub-contractors”, in addition to on-going assessment commensurate with the volume, complexity and risk profile (in respect of legionella risk) of the works sub-contracted. This includes an annual validation of staff competence.

8.3 Non-LCA registered subcontractors (where the subcontracted work is within the scope of LCA registration) who are unable to provide evidence of staff competence will be subject to capability assessment. We currently refrain from subcontracting out such services to non-LCA registered subcontractors.

Any contractors who carry out general “non-specified” works on behalf of the Company will be subject to routine assessment in accordance with IMS document ref: PM003 “Selection & Approval of Sub- contractors”.

8.4 Evidence relating to selection and assessment of subcontractors (experience, capability and competence) is reviewed as part of the Internal Audit.

9 Distribution of the Code

9.1 The Company's Certificate of Registration, the LCA's Code of Conduct and our aligned Statement of Compliance are freely available to download via the Watermiser product website.