

# Registration Procedure and Application Instructions



This document includes guidance on the registration of a company under the Legionella Control Association Code of Conduct.

To avoid disappointment and wasted time, please make sure that you have all the procedures in place together with evidence that they are being applied, **BEFORE** you apply for registration

Please note the procedure that must be followed and what you can expect from the LCA:

## YOU SHOULD:

1. **Complete the New Registration Form** (LCA/NRF) giving all details requested.
2. **Complete the Areas of Interest Form** (LCA/AOI) making sure that all categories of service you offer are ticked.
3. **Make your payment** – the following methods are accepted:  
**Credit/Debit Card:** Please call us to make your payment. (Amex/Diners Club not accepted).  
**Cheque:** Made payable to the 'Legionella Control Association Limited' with the correct amount.  
**BACS** with email remittance advice: Account Name: Legionella Control Association;  
Sort Code: 40-44-02; Account No: 51381083; Ref: Registration.
4. **Write your Statement of Compliance** following the 'Preparation for a Statement of Compliance' guide (LCA/SOC) enclosed in this pack and making sure that the Scope of your activities agrees with the categories you have marked on the Areas of Interest Form.
5. **Familiarise yourself with the Standards for Service Delivery** (LCA/SSD) included in this pack and shown on the LCA website and ensure that the services you offer that relate to your application meet, or are better than, these standards.
6. **Enclose a completed copy of a recent internal audit** no more than 2 pages indicating that you have this procedure in place and that it is being applied. Refer to 'LCA Requirements for an Internal Audit' (LCA/IAC)
7. **Enclose a copy of your training procedure** and an example of an employee's training record.
8. **Enclose a copy of your procedure to check competence** and an example of a record (NB: this is not the same as point 7)

Please send all of the above by email to [registration@legionellacontrol.org.uk](mailto:registration@legionellacontrol.org.uk) or by post to the Legionella Control Association Limited, 6 Sir Robert Peel Mill, Hoye Walk, Fazeley, Tamworth, Staffs B78 3QD.

Please note that failure to supply any of the above will delay administration of your application.

## PROVIDED YOU HAVE SUPPLIED ALL OF THE DOCUMENTS REQUESTED THE LCA WILL:

1. Send your submission out to two LCA Assessors for scrutiny.
2. The Assessors will issue an assessment report, which will advise either:
  - that you need to do more work on your submission to make it closer to the criteria set. (In this case no certificate will be issued and the company will not be named on the website) or
  - that your submission meets LCA criteria and that a company audit can now take place.
3. You will be contacted within one month by an Assessor who will make an appointment to carry out this company audit at your offices
  - the audit will verify your procedures and if necessary make constructive suggestions as to how your management practices can be improved and recorded, to protect your company; any changes should be completed within three months
4. If, following this audit, the Assessor confirms that the LCA criteria are being met then a Full Certificate will be issued and your company will be entered onto the LCA website.  
If, following this audit, the Assessor concludes that the LCA criteria are not being met then you will be required to amend your submission along the lines of the Assessor's company audit report.
5. There are now two possible stages of progress:
  - If your procedures are judged to be of a sufficient standard, a Provisional Certificate may be issued and your company entered onto the LCA website; any changes required by the Assessor should be completed within 3 months following which, if the Assessor is then satisfied, a Full Certificate will be issued.
  - If your procedures are judged to be below the standard required for the issue of a Provisional Certificate, then no certificate will be issued and your company will not be entered onto the LCA website at this stage; any changes required by the Assessor should still be completed within 3 months.
6. Once the Assessor is satisfied that outstanding issues have been resolved, then a Full Certificate will be issued.

# Areas of Interest



**Legionella  
Control  
Association**  
KEEPING WATER SYSTEMS SAFE

Company Name: \_\_\_\_\_

LCA Reg. No: \_\_\_\_\_

Please tick all categories which your organisation offers,  
and also the appropriate sub-categories relevant to your organisation.

**(PLEASE SEE OVERLEAF FOR NOTES ON COMPLETING THIS FORM\*)**

## 1. Legionella Risk Assessment Services

1.1 Hot & Cold Water Services

In-house     Sub-contracted / LCA reg.

1.2 Evaporative Cooling Systems

In-house     Sub-contracted / LCA reg.

1.3 Process & Other Systems

In-house     Sub-contracted / LCA reg.

## 2. Water Treatment Services

2.1 Chemicals

In-house     Sub-contracted / LCA reg.

2.2 Dosing and/or Control Systems

In-house     Sub-contracted / LCA reg.

2.3 On-site analytical and monitoring services

In-house     Sub-contracted / LCA reg.

## 3. Hot & Cold Water Monitoring and Inspection Services

In-house     Sub-contracted / LCA reg.

## 4. Cleaning & Disinfection Services

In-house     Sub-contracted / LCA reg.

## 5. Independent Consultancy Services

In-house     Sub-contracted / LCA reg.

## 6. Training Services

In-house     Sub-contracted / LCA reg.

## 7. Legionella Analytical Services

7.1 Sampling

In-house     Sub-contracted / LCA reg.

7.2 Laboratory Analysis

UKAS accredited for legionella

In-house     Sub-contracted / LCA reg.

7.3 Interpretation of Analysis

In-house     Sub-contracted / LCA reg.

## 8. Plant & Equipment Services

8.1 Installation

In-house     Sub-contracted / LCA reg.

8.2 Refurbishment

In-house     Sub-contracted / LCA reg.

8.3 Servicing

In-house     Sub-contracted / LCA reg.

8.4 Design & Supply

In-house     Sub-contracted / LCA reg.

## 9. Facilities Management Services

In-house     Sub-contracted / LCA reg.

All categories selected will be shown on your Certificate of Registration and the website.  
Categories will be charged at the rate on the Registration Form.

**Do you have any Accredited Quality Assurance system relevant to water treatment?**

**QA details:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

**Print Name** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Mobile No:** \_\_\_\_\_

## \*Notes on completing this form

All services that you offer must be listed on your Areas of Interest Form.

All categories selected will be shown on your Certificate of Registration and the website.

The green boxes indicate the major categories that your organisation offers; you will be charged for each of these main categories that you tick.

The white boxes indicate sub-categories within your main area of expertise and are only shown on the website to give more information on the services you offer. You will not be charged for these, but it is important that you complete these boxes appropriately. (Your registration will be delayed if any information is not completed correctly and needs further clarification.)

Sub-contracted / LCA reg.

If the services are undertaken by a sub-contractor please tick the white box.

If this sub-contractor is LCA registered please tick the blue box.

Please make sure that you sign and date this form, keep a copy of this sheet for your records and return the original to us with the re-registration form. **You are required to complete a form each year even if the details have not changed.**

*Compliance with relevant health and safety regulations (including avoidance of, or reduction of risk to, exposure to Legionella bacteria) is the sole responsibility of the statutory dutyholder, being the person in control of the premises or systems where any relevant risk is present. The Legionella Control Association (LCA) Code of Conduct is designed to help service providers establish appropriate management systems to control the risk from Legionella bacteria. The LCA assesses the systems of LCA members upon initial registration, reviews annually upon re-registration, and re-assesses by periodic Company Audits. The LCA cannot and does not carry out other regular supervision of its members' commitments to the Code of Conduct nor their compliance with other LCA guidelines. A valid LCA certificate of registration only confirms that a service provider has satisfied LCA requirements for registration and re-registration. It does not confirm the service provider's actual compliance with their commitments to the LCA Code of Conduct and/or other LCA guidelines. The LCA does not approve specific products or services as being effective in controlling Legionella or verify the competence of service providers' staff and sub-contractors. The LCA accepts no liability for any omission or any act carried out in reliance on the LCA Code of Conduct or other LCA guidelines, or any loss or damage resulting from non-compliance with such documents.*

# New Registration Form 2015-16



**Legionella Control Association**  
KEEPING WATER SYSTEMS SAFE

Company  VAT Reg. No:

Number of employees directly concerned with legionella control:

- Sole trader     
  Up to 5 employees     
  Up to 10 employees  
 Up to 50 employees     
  More than 50 employees

Contact Name:  Mobile No:

Contact Address:

Tel. No:  Fax No:

Email:

Website:

Invoice Address (if different from above):

Regions of operation:  
(tick all that apply)

- East Midlands  
 Eastern Region  
 Eire  
 London  
 North East  
 North West  
 Northern Ireland  
 Scotland  
 South East  
 South West  
 Wales  
 West Midlands  
 Yorkshire & Humberside

## FEES

<b>Annual Registration fee 2015-2016</b>	<b>£496</b>
<b>Non-returnable administration fee for new applicants – one-off fee</b>	<b>£600</b>
<b>Sub Total</b>	<b>£1096</b>
<b>Categories</b> x    @ <b>£75 each</b>	
<b>Plus vat @ 20%</b>	
<b>TOTAL</b>	

## STATEMENT OF UNDERTAKING

I understand that registration will be subject to:

- a commitment to produce evidence of documented management procedures to ensure compliance with the LCA's Code of Conduct.
- maintaining the LCA Service Standards criteria for each service offered, relevant to our LCA registration.
- informing the LCA of any impending legal action, relating to legionella control, involving the company named above.
- acknowledging and agreeing to the LCA Bylaws and LCA Complaints and Disciplinary Procedure.

Signed on behalf of (Company):

Signature:

Print Name:

Position held:  Date:

**Completed forms should be emailed to [registration@legionellacontrol.org.uk](mailto:registration@legionellacontrol.org.uk). Please indicate method of payment below:**

- Credit/Debit Card: Please call us to make your payment. (Amex/Diners Club not accepted).  
 BACS: A/C name: Legionella Control Association Limited. Sort Code: 40-44-02. A/C No: 51381083. Ref: Registration  
 Cheque: Made payable to Legionella Control Association Limited. TOTAL ENCLOSED: £ .....

Compliance with relevant health and safety regulations (including avoidance of, or reduction of risk to, exposure to Legionella bacteria) is the sole responsibility of the statutory dutyholder, being the person in control of the premises or systems where any relevant risk is present. The Legionella Control Association (LCA) Code of Conduct is designed to help service providers establish appropriate management systems to control the risk from Legionella bacteria. The LCA assesses the systems of LCA members upon initial registration, reviews annually upon re-registration, and re-assesses by periodic company audits. The LCA cannot and does not carry out other regular supervision of its members' commitments to the Code of Conduct nor their compliance with other LCA guidelines. A valid LCA certificate of registration only confirms that a service provider has satisfied LCA requirements for registration and re-registration. It does not confirm the service provider's actual compliance with their commitments to the LCA Code of Conduct and/or other LCA guidelines. The LCA does not approve specific products or services as being effective in controlling Legionella or verify the competence of service providers' staff and sub-contractors. The LCA accepts no liability for any omission or any act carried out in reliance on the LCA Code of Conduct or other LCA guidelines, or any loss or damage resulting from non-compliance with such documents.

VALID FROM APRIL 1st 2015

[www.legionellacontrol.org.uk](http://www.legionellacontrol.org.uk)

LCA/NRF APR2015

# Preparation for a Statement of Compliance

The fundamental requirement of your Statement of Compliance is that the detail provided confirms to the Management Committee that your operation fulfils the Service Provider Commitments of the Code that are applicable to your business. The statement shall comprise a single concise document that demonstrates to the satisfaction of the LCA, customers, and statutory bodies that you comply and that there is substance to your claims of compliance. The Areas of Interest Form indicating the services you offer forms part of the statement of compliance and must be signed, dated and attached to the Statement of Compliance.

## The Statement of Compliance should:

- **Be concise** – approximately 3 or 4 pages, written in the present tense, in plain English and in an unambiguous manner.
- **Show a management system** – this describes how you conduct, monitor and control your business. It consists of a set of written procedures that contain the instructions to carry out an action.
- **Be auditable** – it is a condition of registration that you have in place a management system referring to detailed written procedures ensuring compliance with all elements of the Code. The statement is a single document that ties these separate procedures together. It should be possible to use it to trace the procedures referenced and establish through documentary evidence that you comply with the Code.
- **Address all the service provider commitments** – there should be a *short description* of how compliance is achieved for each of the bullet points within the service provider commitments.
- **Explain how you comply** – the statement of compliance should make specific reference to documented procedures. It should state the title and reference of the documents and their relevance and *describe* how they enable you to comply. It is not sufficient simply to restate the service provider commitments as a “*wish list*”. If a commitment is not applicable to your operation then the reason for its exclusion should be clearly stated.
- **Be relevant to the scope of your services** – the statement should indicate how compliance is achieved for all of the legionella control services which you declare on your Areas of Interest Form (and which will thus appear on your certificate and on the website).

**Subsequent amendments to the Statement of Compliance should be incorporated into the text and highlighted and NOT presented as an appendix.**

**The following pages contain advice on the composition of a Statement of Compliance. They have been put together to assist companies to produce a statement that will be close to the requirements for registration. You are advised to read these pages before starting your Statement of Compliance.**

**Your first paragraph must describe the scope of the business activities of your company. You will use this description to decide how many categories you require on your certificate. The scope described must match the services declared on your Areas of Interest Form. Assessors will refer to this information when processing paperwork and carrying out company audits.**

**The left-hand column repeats the text in the Code of Conduct. The right-hand column explains what is required in each instance.**

## Service Provider Commitments of the Code

## Explanation

1. Allocation of Responsibilities	<b>The Service Provider will:</b>
<p><b>1.1</b> Explain in detail the client's obligations under the legionella legislation.</p>	<p>Reference the legislation and your written procedure for explaining this to the client. It is not sufficient simply to say that you advise customers to adhere to relevant legislation. Write a short description of the procedure.</p>
<p><b>1.2</b> Identify those services covered by the contract and those which should be provided by the client to meet all current obligations.</p>	<p>Reference to a written procedure or formal contract is required. Explain how you identify the services.</p>
<p><b>1.3</b> Formalise a written agreement detailing the respective responsibilities for each requirement.</p>	<p>Reference your written agreement which details respective responsibilities.</p>
<p><b>1.4</b> State in the written agreement that the service provider has LCA registration for the service categories being provided.</p>	<p>State how you do this.</p>
2. Training and Competence of Personnel	<b>The Service Provider will:</b>
<p><b>2.1</b> Arrange formal training programmes for service provider personnel associated with the control of legionella bacteria - see current LCA Knowledge Matrix (LCA/MAT) as a guide.</p>	<p>A description of and reference to a written procedure is required with details of the training given in relation to the control of legionella. It should cover the topics detailed on the training matrix relevant to your activities. <b>Send procedure and one completed training record.</b></p>
<p><b>2.2</b> Have a system for assessing the competence of service provider staff, establishing their training needs and ensuring they are kept up to date with current best practice procedures.</p>	<p>Describe and give the reference to a written procedure which ensures that competence of all personnel is regularly assessed and appraised. <b>Send procedure and one completed competence record.</b></p>
<p><b>2.3</b> Assist the client to assess training needs of staff and then where requested advise as to how these can be met.</p>	<p>State how you do this.</p>
3. Control Measures	<b>The Service Provider will:</b>
<p><b>3.1</b> Have a management system to assess the requirements and ensure an appropriate programme of control measures is designed, implemented, monitored and maintained.</p>	<p>Summarise and give the reference to a written procedure. Your procedure should indicate how control measures such as product selection, chemicals used, risk assessment, service delivery and sub-contractor selection are set and managed.</p>
<p><b>3.2</b> Have a system for verifying that corrective and preventive actions are implemented.</p>	<p>Reference needs to be made to the written procedures that you use to ensure that the required actions to maintain control are implemented and remain effective.</p>
<p><b>3.3</b> Ensure the programme of control measures satisfies as a minimum the LCA Standards for Service Delivery.</p>	<p>Assess the steps you take in applying your programme of control measures and compare these steps against each of the <i>LCA Standards for Service Delivery</i> for which you are registered.</p>
4. Communication	<b>The Service Provider will:</b>
<p><b>4.1</b> Have management procedures to respond appropriately should the system operating conditions deviate from control criteria.</p>	<p>Explain and give the reference to your written procedure and the mechanism which details how you respond on your customer site to system deviations, especially positive legionella results.</p>
<p><b>4.2</b> Agree with the client how the service provider would communicate with the client's nominated personnel in the event of any necessary actions.</p>	<p>Summarise the written procedure and reference a chain of responsibility, e.g., a list of telephone numbers of contacts and their appointed deputies.</p>
<p><b>4.3</b> Bring to the client's attention any significant matters affecting the control of legionella of which he has become aware, beyond the responsibilities of the contract.</p>	<p>You need to indicate how you formally bring "<i>matters of evident concern</i>" which fall outside your contractual responsibility to the client's attention.</p>

Service Provider Commitments of the Code	Explanation
<p><b>5. Record Keeping</b></p> <p><b>5.1</b> Indicate which records should be kept by both parties and where they will be kept.</p> <p><b>5.2</b> Establish with the client who will be responsible for the maintenance of these records.</p>	<p><b>The Service Provider will:</b></p> <p>Describe and give the reference to your written procedure and documentation used.</p> <p>Reference your written procedure and documentation used.</p>
<p><b>6. Reviews</b></p> <p><b>6.1</b> Establish a programme that will allow both parties to review formally, at least annually, all aspects of the agreement covering system management and the control of legionella.</p>	<p><b>The Service Provider will:</b></p> <p>Describe the contract review programme and reference the written procedures for arranging and conducting this with the client.</p>
<p><b>7. Internal Auditing</b></p> <p><b>7.1</b> Have a management system to ensure that service provider compliance with each of these commitments is self-audited at least once a year and that a formal record is kept.</p> <p><b>7.2</b> Establish a corrective action programme so that any non-compliance identified is corrected in a timely manner.</p>	<p><b>The Service Provider will:</b></p> <p>Reference the written procedure and documentation used. The self-audit needs to confirm that you have systems in place to comply with each of the nine commitments relevant to the services you provide. Your records should give evidence that the procedures are being followed. You will also need to audit any sub-contractors who are not members of the LCA. This is your procedure to ensure that you are complying internally with the Code. A short description is required. <b>Send a completed audit.</b></p> <p>Describe and reference a written procedure that details what you will do to correct the non-conformance and prevent its recurrence.</p>
<p><b>8. Sub-contractors</b></p> <p><b>8.1</b> Have a management procedure to ensure that any sub-contractor holds an independent registration under the Code of Conduct (see Definitions for the LCA definition of a sub-contractor); or</p> <p><b>8.2</b> Where a sub-contractor is not LCA registered, implement additional controls and audits to ensure that all activities carried out are compliant with the Code of Conduct and any relevant legislation; and</p> <p><b>8.3</b> Regardless of whether the sub-contractor is LCA registered or not, implement procedures and checks as necessary to ensure that the competency of the sub-contract service provider is assessed in relation to the scope of service the sub-contractor is providing.</p>	<p><b>The Service Provider will:</b></p> <p>Describe and reference a written procedure that details all controls relating to your relationship with any sub-contractor, how this is recorded and the actions taken to correct any non-compliance.</p>
<p><b>9. Distribution of the Code</b></p> <p><b>9.1</b> Have a management system to ensure all clients to whom services are provided, associated with the control of legionella bacteria, receive a copy of the Code of Conduct and Certificate of Registration or are informed that the current documents are available on their website.</p>	<p><b>The Service Provider will:</b></p> <p>Detail what mechanism you have for ensuring that all your clients are issued with current copies.</p>

## Code of Conduct for 'one-off' service providers – a guide to application

The existing Code of Conduct is most easily applied to those situations where there is the regular or on-going provision of products and services associated with the control of legionella, however, many organisations also provide products and services on a one-off basis or which may be unrelated to the control of legionella. The table below is an attempt to show how the Code might be applied to these situations.

Scope of supply of product or services to client	Requirement to comply with the Code of Conduct Service Provider Commitments
Provision of regular or on-going supply of services associated with the control of legionella	Full
Provision of one-off product or service associated with the control of legionella	<p>Extent of compliance to be appropriate to the scope of works/agreement:</p> <p><b>1. Allocation of Responsibilities</b> Have a clear understanding of your own responsibilities and where required, advise the client of his responsibilities.</p> <p><b>2. Training</b> Meet the training requirements for your own staff and where applicable provide training to the client using your product.</p> <p><b>3. Control Measures</b> The product or service needs to be appropriate for the purpose for which it is intended.</p> <p><b>4. Communication</b> These requirements apply in an appropriate form to the one-off supply of product or service.</p> <p><b>5. Record Keeping</b> You need to maintain appropriate records of product or service supplied.</p> <p><b>6. Reviews</b> This is not required for one-off transactions.</p> <p><b>7. Internal Auditing</b> Your internal audit will need to check that you satisfy the requirements of the Code as detailed here for one-off transactions.</p> <p><b>8. Distribution of the Code</b> You are not required to supply the Code or registration certificate except on request.</p>
Provision of products and services not associated with the control of legionella	No requirement to comply with the requirements of the Code.

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# LCA Requirements for an Internal Audit Clarification & Guidelines



**Assessors are finding a wide variation in the content of internal audits completed by service providers in assessing how they match up to the nine Service Provider Commitments to which they have committed themselves through their Statement of Compliance.**

**This document is to guide you in what the LCA Assessor is looking for when he assesses your compliance with the internal audit section (Commitment No.7) of the Code of Conduct. You may find it useful to work to this format.**

The first point, which has been emphasised many times in previous LCA guidance notes and on Training Days and Open Days, is that the internal audit is an audit of your management system and procedures to assess how you measure up to the nine Service Provider Commitments of the Code of Conduct. It is NOT an internal audit of the standard of service that you provide to your customers, though, in assessing how you measure up to the Code, you will, on assessing some of the commitments, refer to some of your customer records.

There are certain key points that the LCA Assessor will be looking for when conducting his assessment of your compliance with the internal audit section of the Code. These are summarised below.

**Your internal audit should ask the following questions about each of the first eight Service Provider Commitments:**

- Is there a procedure in place to cover this section?
- What is the procedure called or numbered?
- Is it referenced correctly in the Statement of Compliance?
- Does the procedure correctly describe the actions that are taken?
- Is the procedure still relevant or does it need updating due to change in work practices?
- What evidence is there to show that procedures are being followed?

**For the ninth Service Provider Commitment (Distribution of the Code), your internal audit should ask:**

- Is there a mechanism in place to cover this section?
- Is it detailed in the Statement of Compliance?
- Does it ensure that all clients have access to current copies of the Code and your Certificate?

**There are other key factors that the Assessor will be expecting. These relate to the way in which you conduct your internal audit:**

- Internal audits should be conducted at least annually.
- The internal audit document should be dated and contain the name and position of the person conducting the audit.
- A clear reference should be given to each of the documents audited and the evidence gathered so that the audit can be traced back.
- Where the audit reveals a non-conformance, the audit document should:
  - indicate what action will be taken to correct the non-conformance,
  - who will be responsible for completing this action,
  - the date by which completion is planned, and
  - who will then verify that the action has been completed.
- The date by which the next internal audit is to be conducted should also be indicated on the document.
- The document should be signed by the internal auditor and by the person who verifies the audit.

## **An important final note:**

If you are an existing member of the LCA re-registering, then the LCA Secretariat requires you to submit an example of your last completed internal audit, in the format you currently use. You should be working towards ensuring that your internal audit follows the standard outlined in this clarification note before your next internal audit takes place or before your next company audit (whichever comes first).

If you are not yet a full member of the LCA and you are submitting your documents in application for registration for the first time, then the Assessor in checking your documents will be expecting to see an internal audit procedure written to the standard described in this clarification note, and evidence that you have carried out a dry-run on your internal audit procedure.

**The HSE places great emphasis on competence (Approved Code of Practice, L8, paragraphs 48 to 52). The LCA Code of Conduct also emphasises the need for employers to ensure that their staff and contractors are competent to carry out each task assigned to them (Service Provider Commitment 2. Training and Competence of Personnel). This guidance note provides information to help the Service Provider to understand competence and what to do to develop and assess it.**

## 1. Service Provider's Duty

As an employer you have a duty to ensure that any person who carries out a task as part of their employment is competent. An employee in training must be supervised by a competent person until they can carry out their work effectively and safely. This duty extends to those who employ sub-contractors.

You must also be able to show that your organisation has done enough to reassure itself that any sub-contractors it has engaged are competent. This might involve assessing the sub-contractors' own competence assessment records, or in some cases, conducting your own assessment.

## 2. What is Competence?

Competence is defined as having the ability, knowledge, understanding and skill to complete a task successfully, effectively and safely. A competent person requires not only the ability to carry out and complete tasks effectively and to work safely alone and / or with others, but also the knowledge of their limitations, and for many tasks, the ability to communicate well, both verbally and in writing. Additional qualities that might be required for some tasks include the ability to work successfully, effectively and safely in unusual situations, and the ability to manage time efficiently and to meet deadlines without compromising safety.

## 3. What is the difference between Competence and Training?

Many companies consider that all they have to do is provide training to their staff in a classroom environment. This alone does not make someone competent.

The best approach to developing a person's competence is to:

- i) provide them with the theoretical knowledge and understanding by classroom training provided either in-house or by the appointment of an external training provider and by training on-the-job
- ii) provide details/copies of all relevant operating procedures and record keeping systems to be used and ensure they are understood
- iii) show them what to do and how to do it
- iv) let them practise the tasks under supervision
- v) provide constructive coaching and answer questions
- vi) check progress throughout by observation, discussion, questioning, etc.

In order to assess ability to carry out a task successfully, effectively and in a safe manner, and to assess ability to communicate well, practical 'on-the-job' assessment is essential.

## 4. Training and Competence Procedures

The LCA expects companies to have a procedure whereby each member of the team has comprehensive and appropriate training, which is recorded and regularly updated.

In addition to this, the LCA also expects companies to have a procedure for assessing an individual's competence whereby line managers (if suitably competent), or external assessors check the efficacy of the individual's work on site and maintain records to demonstrate that this has been done.

## 5. Guidance on how to conduct a Competence Assessment

The first step in assessing a person's competence is to define the elements required for the task being assessed.

The questions that need to be asked are:

- i) What knowledge and understanding is required to complete the task?
- ii) What operating procedures, forms, instructions, etc., are required?
- iii) What practical skills and abilities are required?
- iv) What are the criteria indicating the successful completion of each element of the task?

Once the elements have been defined, the next step is to conduct the competence assessment. Each element will have its own success criteria and the work done by the person being assessed will need to be measured against each success criterion. Having done this, it is vital to keep records to demonstrate that the assessment has been carried out and then to maintain and update these records to demonstrate that competence is being reviewed on a regular basis.

## 6. What records should be kept?

The records of competence assessments that should be kept might vary from task to task, but the following is an indication to give guidance:

- i) Who was assessed and their position in the company?
- ii) Where were they assessed?
- iii) Date of assessment.
- iv) What task was being assessed?
- v) The successful (or otherwise) completion of each step of the process against all identified knowledge, understanding and skill elements.
- vi) An assessment conclusion, e.g., in the form of an assessment mark or level.
- vii) Identification of any further training and /or skill development needs.
- viii) The assessor's name and position and their signature.
- ix) The signature of the person being assessed.
- x) An indication of when the assessment is to be reviewed.
- xi) The outcome of the assessment.

## 7. How frequently should Competence Assessments be conducted?

Each individual should have a detailed initial competence assessment for each task they are required to complete.

A competent supervisor / line manager should then verify regularly, e.g., annually, that the original assessment remains valid and identify whenever there are changes to operating procedures, published guides, personnel, or the tasks that the person is being asked to complete, etc. If and when changes have occurred, then a reassessment of competence will be required.

## 8. Are there any other ways in which individuals can demonstrate competence?

If you are a small company or perhaps a sub-contractor wishing to demonstrate your competence to your principal, you might consider approaching your customers. It is good practice to develop a habit of asking for references. You should hold a portfolio of evidence that gives credence to your competence. In addition you can reference your CV, provide details of qualifications, training courses and seminars attended, examples of previous work output, etc.

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# LCA Guidance

## Suggested Knowledge & Skills Matrix for Legionella Control Service Delivery

This matrix covers only legionella control skills suggested by the LCA, there are clearly many other skills required such as company induction, product and health and safety knowledge that will also be required. The LCA will use this matrix during an audit as a guide to the topics staff should have an understanding of and have been assessed in. The LCA does not assess the competency of service provider staff, they assess the service providers' mechanism for ensuring staff are suitably competent. Topics may be added to or be removed from the list below as thought appropriate by the service provider in line with individual responsibilities of members of staff.

Less tangible skills such as 'asks for assistance when required', 'generally shows common sense', 'willing to learn more', 'prepared to take responsibility', 'works well in a team', etc., are often equally important and should be considered. This document replaces the LCA Training Matrix.

### KEY

#### WATER SYSTEM COMPLEXITY

##### **L - Low, Simple water systems**

(Commonly found simple hot and cold water systems, closed systems, fire systems, etc.)

##### **M - Medium, More complex water systems**

(Commonly found recirculating systems often incorporating treatment programmes, simple cooling systems)

##### **H - High, Very complex or bespoke systems**

(Including complex cooling systems, process washing waters, unusual make up waters, etc.)

#### TRAINING / SKILLS / KNOWLEDGE LEVEL


Not applicable

- 1 Operative should be sufficiently informed, with a basic understanding and practical experience.
- 2 Operative should be sufficiently informed, with good understanding and practical experience.
- 3 Operative should be well trained / informed, and has assessed extensive practical experience.
- 4 Operative should have extensive training / knowledge / experience and is able to assess and train others.

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		RISK ASSESSMENT	WATER TREATMENT	H&C WATER MONITORING & INSPECTION	CLEANING & DISINFECTION	INDEPENDENT CONSULTANCY	TRAINING	LEGIONELLA ANALYTICAL	PLANT & EQUIPMENT	FACILITIES MANAGEMENT
LEGIONELLA AWARENESS MICROBIOLOGY AND ORIGINS OF LEGIONELLA	L	2	2	2	1	3	4	2	1	1
	M	3	3		2	4	4	3	2	2
	H	4	4		3	4	4	4	3	3
LEGIONELLA LEGISLATION AND REGULATION	L	2	2	2	1	3	4	1	1	1
	M	3	3		1	4	4	1	2	2
	H	4	4		1	4	4	1	3	2
MICROBIOLOGICAL SAMPLING OF WATER	L	2	2	2		3	4	2	1	1
	M	2	2			4	4	2	2	1
	H	3	3			4	4	2	2	1
MICROBIOLOGICAL ANALYSIS METHODS	L	1	1			2	4	1		
	M	1	1			3	4	1		
	H	1	1			3	4	1		
MICROBIOLOGICAL SAMPLING STRATEGY, INTERPRETATION & REPORTING	L	2	2	3		3	4	2	1	1
	M	3	3			3	4	3	2	1
	H	3	3			4	4	3	3	2
DESIGNING A WATER TREATMENT PROGRAMME	L	2	2			3	4			
	M	3	3			3	4			
	H	3	4			4	4			
MANAGING A WATER TREATMENT PROGRAMME AND CONTRACT	L	2	2			3	4			1
	M	3	3			4	4			1
	H	3	4			4	4			1

<b>CLEANING &amp; DISINFECTION TECHNIQUES</b>	<b>L</b>	2			2	2	4			1
	<b>M</b>	3			3	3	4			1
	<b>H</b>	3			4	3	4			1
<b>CLEANING &amp; DISINFECTION SAFETY</b>	<b>L</b>	1			1	2	4			1
	<b>M</b>	1			2	2	4			1
	<b>H</b>	1			3	2	4			1
<b>RISK ASSESSMENT THEORY</b>	<b>L</b>	2	2	1		2	4		1	1
	<b>M</b>	3	3	2		3	4		1	1
	<b>H</b>	4	3	2		4	4		1	1
<b>RISK ASSESSMENT SURVEYS</b>	<b>L</b>	2	2	1		2	4			1
	<b>M</b>	3	2	2		3	4			1
	<b>H</b>	4	2	2		3	4			1
<b>RISK ASSESSMENT REPORTING</b>	<b>L</b>	2				2	4			1
	<b>M</b>	3				3	4			1
	<b>H</b>	4				4	4		1	
<b>WATER TREATMENT THEORY</b>	<b>L</b>	2	2			2	4		1	
	<b>M</b>	3	3			3	4		1	1
	<b>H</b>	3	4			4	4		1	1
<b>ON-SITE WATER TESTING &amp; MONITORING</b>	<b>L</b>	1	2			2	4			1
	<b>M</b>	2	3			3	4			1
	<b>H</b>	2	3			4	4			1
<b>WATER REGULATIONS &amp; EQUIPMENT DESIGN AND INSTALLATION STANDARDS (LEGIONELLA MATTERS)</b>	<b>L</b>	2	1	1	1	2	4		2	1
	<b>M</b>	3	2	1	1	3	4		3	1
	<b>H</b>	3	2	1	1	3	4		4	1

			RISK ASSESSMENT	WATER TREATMENT	H&C WATER MONITORING & INSPECTION	CLEANING & DISINFECTION	INDEPENDENT CONSULTANCY	TRAINING	LEGIONELLA ANALYTICAL	PLANT & EQUIPMENT	FACILITIES MANAGEMENT
<b>SETTING UP, INTERPRETATION &amp; REPORTING A TECHNICAL SERVICE VISIT</b>	L	2	2				2	4			1
	M	3	3				3	4			1
	H	3	3				3	4			1
<b>COMPLETE A WORK REPORT</b>	L		2	2	2	2		4		2	1
	M		2	2	2	2		4		2	1
	H		2	2	2	2		4		2	1
<b>RECORD KEEPING REQUIREMENTS</b>	L	2	2	2	2	2	2	4	2	2	1
	M	3	3			2	3	4	2	2	1
	H	4	3			2	4	4	2	2	1
<b>CONDUCTING A REVIEW WITH THE CLIENT</b>											
		3	3	3	3	3	3	4	3	3	1
<b>COMPLIANCE WITH LCA SERVICE PROVIDER COMMITMENTS</b>		1	1		1	1	1	4	1	1	1
<b>COMMISSIONING &amp; ADJUSTING WATER TREATMENT EQUIPMENT</b>	L	1	2	2			2	4		2	1
	M	1	3				3	4		4	1
	H	1	3				3	4		3	1

# A Buyer's Guide to Using the Code of Conduct for Service Providers



The Health and Safety Executive's document "Legionnaires' disease, The control of legionella bacteria in water systems, Approved Code of Practice and guidance on regulations" (L8 (Fourth edition)) makes specific reference to the Code of Conduct for Service Providers and comments that whilst it has no legal status it may give guidance to Buyers about the standard of service they will receive from service providers who agree to abide by the Code. This document is intended to explain to you, the Buyer, how the Code can help you to select a competent service provider.

There are a number of points that a Buyer needs to understand about the Code:

- It is voluntary. There is no statutory requirement for service providers to register, but the Legionella Control Association (LCA - formerly the Code of Conduct Association) believes that most responsible service providers will want to do so.
- It aims to be inclusive, but minimum entry standards must be met by registrants.
- It is progressive. (Membership requirements placed on registrants increase annually.)
- It is an indication of commitment to good practice in the control of legionella.

The Code of Conduct is designed to ensure that service providers establish and maintain appropriate management systems to enable them to deliver a consistent quality of service provision for the control of legionella. The LCA cannot guarantee that every individual in the service provider's organisation will at all times follow their company procedures.

In the same way that ISO9001 is universally applicable and does not accredit specific products, the Code of Conduct does not prescribe or approve particular products, services or legionella control techniques. A company's registration does not mean that the LCA has approved their specific products or services as being effective in controlling legionella.

All registrants are required to supply current copies of both the Code and their Registration Certificate to their clients, or make these documents available on their website, and develop documented management procedures to ensure compliance. During the annual re-registration process the service provider has to provide the LCA with their Statement of Compliance and other requested documents.

The Statement of Compliance is a concise document which is intended to explain to any interested party how the service provider complies with the Service Provider Commitments of the Code, making reference where appropriate to other documented procedures. This Statement of Compliance is reviewed by the LCA to assess whether it gives confidence that the requirements of the Code are being met. Where the Statement of Compliance is inadequate the service provider is required to revisit both the statement and the procedures supporting it. Only when a satisfactory standard has been reached is a registration confirmed.

A team of LCA Assessors carry out audits at the offices of the registered members, on a 2 year rolling programme. All members, including new members, of the LCA will have undergone formal auditing. However, as the Buyer you should not assume that this is your guarantee of their compliance with the Code. You should satisfy yourself of both their compliance and competence using the Code as a tool to help you.

The LCA would recommend that you ask the prospective service provider to supply:

- A copy of the Code and their Certificate of Registration.
- A copy of their Statement of Compliance to enable you to decide for yourself whether it gives you confidence that they meet the Service Provider Commitments.
- Corroborating evidence as to how they comply with the conditions and commitments of the Code.
- Whatever additional evidence you feel is appropriate to satisfy you of their competence and that the specific products and services they are recommending will be effective in controlling legionella.
- Training records and relevant competence assessments for all staff who will be involved in the service delivery.

The LCA would also recommend that you verify the service provider's registration status by visiting [www.legionellacontrol.org.uk](http://www.legionellacontrol.org.uk) or by contacting the LCA Secretariat by email at [admin@legionellacontrol.org.uk](mailto:admin@legionellacontrol.org.uk).



## LCA Standards for Service Delivery

To aid the Buyer further in the procurement of legionella services, the LCA has produced standards of delivery for all nine of the service categories under which a member can be registered. The categories for which the member is registered are shown on their Certificate of Registration. The standards detail the procedures a service provider should have in place to deliver effectively the services they provide. These standards include:

- Greater definition of the service provided.
- Information regarding the knowledge, training and experience required by service provider staff involved in the service delivery.
- Details of the procedures the service provider should have in place to plan, execute, audit and otherwise manage the specific service delivery.
- The Buyer's specific responsibilities regarding these service elements.

## Service Users, System Owners and Operators: Commitments and Responsibilities

Legislative requirements for the control of legionella put the responsibility for compliance clearly with the owner/operator of water systems. They must take all reasonable care to ensure the competence of the service provider to carry out the work on their behalf.

The Code of Conduct is intended to give guidance on the standard of service management that a client should expect from registered service providers.

Service providers should send personnel to site who have the appropriate level of competence to perform a required task. Only those people who have met those requirements should be permitted to carry out the specified task unsupervised.

**NOTE: The service provider should maintain training records and competence assessments for all staff involved in the delivery of legionella control services, and these should be made available to the service user on request.**

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# LCA Company Audit Requirements

## Re Standards for Service Delivery: A Guide for Service Providers



The Standards set out the minimum requirements for the delivery of the nine services related to the control of legionella bacteria in water systems relevant to LCA registration.

Each standard contains the following sections:

### 1. Scope of Service Delivery

This section of the standard is informative and is not subject to assessment by the LCA Assessor during the service provider's company audit. It contains a definition of the service provided and sets out the extent and limits of each service in such a way as to be flexible enough to accommodate legitimate variation and exacting enough to ensure the service is sound.

### 2. Capability of Service Provider's Staff

This section of the standard is informative and is not subject to assessment by the LCA Assessor during the service provider's company audit. The capability of the service provider's staff is covered by the Assessor when assessing compliance with training and competence under Section 2 of Service Provider Commitments in the Code of Conduct. This section of the Standards for Service Delivery covers the qualifications, training, knowledge and experience, etc., that staff will require to carry out their specific services on site.

### 3. Service Delivery

This section of the standard relates to the delivery of the specific legionella control service and details the systems and procedures the LCA would expect the service provider to have in place to cover and manage the following: definition of scope, gathering information (survey), design of programme (where applicable), implementation/initiation of service provided, execution of service provided, verification that the service provided is fit for purpose, etc. The details/requirements of each standard are different so please study the standards applicable to your registration Areas of Interest Form.

You will need to show the assessor how you comply with the requirements detailed in the relevant service delivery standard. During the company audit the Assessor will refer to a Checklist (one for each specific service standard) which lists questions about the 'auditable' elements of this section. He will effectively ask these questions of you, and will expect you to have assembled answers prior to his arrival. You will need to use your initiative to anticipate the questions that will be asked by asking yourself 'what parts of Section 3 are auditable?'

Each question is written in such a way that the answer will be 'yes', 'no', or 'not applicable' ('N/A').

A separate notes page contains:

- a) details of non conformances uncovered by the Assessor,
- b) the actions required,
- c) the dates by which this action should be completed ,
- d) a 'sign off' column to indicate actions completed satisfactorily.

**Note: You should have checked the auditable requirements/points of section 3 against your existing service specific systems/procedures and identified any nonconformities/gaps by asking the following question about each of the auditable requirements in section 3: *Is the requirement already covered by a procedure? If not, incorporate it.***

### 4. Service Users: Commitments and Responsibilities

This section of the standard is informative and is not subject to company audit.

It details the service users' commitments and responsibilities regarding the delivery of the services by the service provider.

### 5. Further Information

This section of the standard is informative and is not subject to company audit. This is essentially a bibliography of guidance associated with the provision or acquisition of the specific service.

## The Control of Legionella A Recommended Code of Conduct for Service Providers

Legislative requirements for the control of legionella put the responsibility for compliance clearly with the owner/operator of water systems. Under the Health and Safety at Work etc Act 1974 and the Control of Substances Hazardous to Health Regulations as regards risks from legionella, all owners and operators of such systems have a responsibility to ensure that the risk is controlled and kept to an acceptable level. The HSE Approved Code of Practice and guidance on regulations (L8) stresses that whilst the tasks required to be undertaken to control the risk may be contracted to an external specialist, the owner/operator must take all reasonable care to ensure the competence of the service provider to carry out the work on his behalf.

This Code of Conduct is intended to give guidance alone, on the standard of service management that a client should expect from those service providers who agree to abide by the Code. The responsibility for the prevention and control of legionella lies with the client and the service provider.

The guidelines outlined in this document have been designed to help owner/operators select a service provider by highlighting nine critical areas and detailing the commitment that the owner/operator should expect from prospective service providers when making the competence assessment.

The Code of Conduct requires that service providers establish an appropriate management system for the provision of services associated with the control of legionella. A valid certificate is an indication of the registrant's commitment to comply with the Service Provider Commitments of the Code and should not be taken as proof of compliance. The Legionella Control Association does not approve specific products or services as being effective in controlling legionella or assess the competence of individual service provider employees.

To find out more about using the Code of Conduct to help select a suitable service provider refer to the **Buyers Guide** on the LCA website [www.legionellacontrol.org.uk/download.php](http://www.legionellacontrol.org.uk/download.php)

## Conditions of Compliance

- 1 There should be a clearly defined written agreement between the service provider<sup>1</sup> and the client<sup>2</sup> setting out the individual responsibilities of both parties to ensure compliance with current legislation.
- 2 Service providers should demonstrate and document a satisfactory level of competence of their staff<sup>3</sup> in order to achieve the objectives of the Code of Conduct.
- 3 The recommendations made by the service provider should be equal to, or better than, the relevant Codes of Practice and guidance documents pertaining to the system in question.
- 4 Lines of communication and reporting between client and service provider should be defined as well as the management plan in the event of remedial or corrective action being required, including matters of evident concern outside contracted obligations.
- 5 Adequate and up to date monitoring and treatment records should be kept. These should be readily available.
- 6 The performance of the control measures should be reviewed jointly by the service provider and the client at least annually and the necessary remedial action plan agreed.
- 7 Service providers should establish a formal internal auditing procedure for compliance with the Service Provider Commitments of the Code of Conduct.
- 8 Service providers sub-contracting<sup>4</sup> any legionella specific activities<sup>5</sup> listed in their scope of services should establish that the sub-contractor is either registered for that activity under the LCA or should maintain additional controls and audits to ensure compliance with the LCA Code of Conduct, and regardless of whether the sub-contractor is LCA registered or not, implement procedures and checks to ensure compliance.
- 9 Copies of a current certificate should be made available to all relevant clients.

**In the event that the client believes that a service provider has not complied with the Code of Conduct, he may write, with full details, to: Legionella Control Association, 6 Sir Robert Peel Mill, Hoye Walk, Fazeley, Tamworth, Staffs, B78 3QD**

## Definitions

### 1. Service Provider

Companies or individuals or their sub-contractors who are involved with providing advice, consultancy, operating, maintenance and management services or the supply of equipment or chemicals to the client.

### 2. Client

The owner or occupier of the premises, or his appointed representative, or other person nominated to be the "responsible person" as defined in the HSE document "Legionnaires' disease - The control of legionella bacteria in water systems, Approved Code of Practice and guidance on regulations (L8 4th Edition)," (para 51).

### 3. Staff

Any person directly or indirectly employed in meeting the requirements of this document.

### 4. Sub-contractor

For the purposes of LCA registration, a sub-contractor is a company or an individual who carries out unsupervised work, specifically associated with the control of legionella, on behalf of a service provider. In the case of companies or self-employed individuals the test as to whether the company or individual carrying out the work should be declared as a sub-contractor or not is whether the methodology employed is their own or set by the 'principal' service provider. For example, a self-employed risk assessor using the 'principal' service provider's methodology, trained by the 'principal' service provider and whose work is reviewed by the 'principal' service provider, is not a sub-contractor, whereas one who has been independently trained and who uses methodology not devised by the 'principal' service provider is a sub-contractor. Note: Section 8 of the LCA Conditions of Compliance requires that the principal LCA member implements additional controls and audits on a sub-contractor whether or not that sub-contractor is registered under the LCA.

**5. Legionella Specific Activities:** All categories the LCA member is registered for relating to the control of legionella.

## Service Provider Commitments

### 1. ALLOCATION OF RESPONSIBILITIES

#### The Service Provider will:

- 1.1 explain in detail the client's obligations under the legionella legislation
- 1.2 identify those services covered by the contract and those which should be provided by the client to meet all current obligations
- 1.3 formalise a written agreement detailing the respective responsibilities for each requirement
- 1.4 state in the written agreement that the service provider has LCA registration for the service categories being provided.

### 2. TRAINING AND COMPETENCE OF PERSONNEL

#### The Service Provider will:

- 2.1 arrange formal training programmes for service provider personnel associated with the control of legionella bacteria (See current LCA Knowledge Matrix as a guide)
- 2.2 have a system for assessing the competence of service provider staff, establishing their training needs and ensuring they are kept up to date with current best practice procedures
- 2.3 assist the client to assess training needs of staff and then where requested advise as to how these can be met.

### 3. CONTROL MEASURES

#### The Service Provider will:

- 3.1 have a management system to assess the requirements and ensure an appropriate programme of control measures is designed, implemented, monitored and maintained
- 3.2 have a system for verifying that corrective and preventive actions are implemented
- 3.3 ensure the programme of control measures satisfies as a minimum the LCA Standards for Service Delivery.

### 4. COMMUNICATION

#### The Service Provider will:

- 4.1 have management procedures to respond appropriately should the system operating conditions deviate from control criteria
- 4.2 agree with the client how the service provider would communicate with the client's nominated personnel in the event of any necessary actions
- 4.3 bring to the client's attention any significant matters affecting the control of legionella of which he has become aware, beyond the responsibilities of the contract.

### 5. RECORD KEEPING

#### The Service Provider will:

- 5.1 indicate which records should be kept by both parties and where they will be kept
- 5.2 establish with the client who will be responsible for the maintenance of these records.

### 6. REVIEWS

#### The Service Provider will:

- 6.1 establish a programme that will allow both parties to review formally, at least annually, all aspects of the agreement covering system management and the control of legionella.

### 7. INTERNAL AUDITING

#### The Service Provider will:

- 7.1 have a management system to ensure that service provider compliance with each of these commitments is self-audited at least once a year and that a formal record is kept
- 7.2 establish a corrective action programme so that any non-compliance identified is corrected in a timely manner.

### 8. SUB-CONTRACTORS

#### The Service Provider will:

- 8.1 have a management procedure to ensure that any sub-contractor holds an independent registration under the Code of Conduct (see Definitions for the LCA definition of a sub-contractor); or
- 8.2 where a sub-contractor is not LCA registered, implement additional controls and audits to ensure that all activities carried out are compliant with the Code of Conduct and any relevant legislation; and
- 8.3 regardless of whether the sub-contractor is LCA registered or not, implement procedures and checks as necessary to ensure that the competency of the sub-contract service provider is assessed in relation to the scope of service the sub-contractor is providing.

### 9. DISTRIBUTION OF THE CODE

#### The Service Provider will:

- 9.1 have a management system to ensure all clients to whom services are provided, associated with the control of legionella bacteria, receive a copy of the Code of Conduct and Certificate of Registration or are informed that the current documents are available on their website.

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Endorsed by the British Association for Chemical Specialities and The Water Management Society



# TOOLBOX TALK

## Formal Written Procedures



### FAQs

#### ***I have been asked to produce a formal written procedure for my Legionella Control Association Statement of Compliance. What is this?***

A Statement of Compliance explains how your management system meets the requirements and standards of service required by the Legionella Control Association (LCA). The management system is the way you carry out your business.

#### ***So the way I carry out my business is a single system?***

Yes – but it will consist of many procedures. There will be one for each task you carry out or service that you get involved in.

#### ***A procedure is therefore the way I do things, rather like a method statement?***

You could consider a method statement as a way of describing a task. While a procedure may do this, it will also include management and control of tasks. For example, you will have a procedure to ensure that method statements are issued when required and are produced at the right time and be of the required quality.

A set of procedures will support your management system.

#### ***I've seen the expressions 'written management procedures' and 'formalised procedures'. What are these, and how do they relate to 'written procedures'?***

The procedure describes how and when you do things, how you ensure these things are not forgotten, and how you record the results of the actions taken. A **written** management procedure is a **written** document describing how the procedure is managed. There will be a need to be able to look up these procedures and so a simple filing system will be required, in order to enable easy access. By naming or numbering and referencing the **written** procedures, they become formalised procedures.

A simple numbering system for all your many procedures will save you a lot of time when you need to explain or describe them, e.g., when you are training a new starter, and will help the new employee understand his role more quickly. It will also help when your Statement of Compliance is being assessed and especially when the LCA Assessors carry out a site audit.

#### ***We use computer-based systems. Can these procedures be incorporated into our systems?***

Of course, the Assessors will accept any formal procedure recording system, but it must be accessible to those who need to know.

***Where can I get more information?*** Read the Guidance Note on Preparation for a Statement of Compliance (LCA/SOC).

**The following is an example of an acceptable layout for one section of a Statement of Compliance and is offered as guidance only, hopefully this will assist any company struggling to produce an acceptable format:**

#### **1. Allocation of Responsibilities**

*JONES & CO draw up comprehensive service agreements with our clients for whom we are contracted to provide services associated with the control of legionella which:*

- *Formally advise our clients of their responsibilities as defined in the Approved Code of Practice (which gives practical advice on the requirements of the Health and Safety at Work etc Act 1974 and COSHH regulations concerning the risk from exposure to legionella bacteria).*
- *Define the water systems for which JONES & CO contracts to provide certain services associated with compliance with the ACoP*
- *Define the scope of the services which JONES & CO contracts to provide, associated with compliance*
- *Defines the additional duties and tasks that JONES & CO does not contract to undertake and for which the client must make his own arrangements for compliance.*

*Wherever possible the client is encouraged to sign and return the service agreement as his acceptance of it. Where he declines to do so a "Notice in Lieu of a Service Agreement" is sent to him. The procedure for this is detailed in SP036 Field Service – Service Agreements, "Notice in Lieu" and Agreement Quotations.*

# LCA Standards for Service Delivery



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### PURPOSE OF THE STANDARDS

The standards set out the minimum requirements for the delivery of the services listed below related to the control of legionella bacteria in water systems. The standards together with this guide should be read in conjunction with the LCA Buyer's Guide (*LCA/BYG*). All these standards can be downloaded from the LCA website [www.legionellacontrol.org.uk](http://www.legionellacontrol.org.uk).

It is not the role of the LCA or these standards to prescribe particular techniques or technologies for the control of legionella bacteria in a risk system, however, whatever method is employed, the overall programme should be capable of delivering the desired outcomes. These outcomes may be dependent on the nature of the water, the system being treated, the service user's expectations and performance specification, if any.

### LCA STANDARDS

- Legionella Risk Assessment Services
- Water Treatment Services
- Hot and Cold Water Monitoring and Inspection Services
- Cleaning and Disinfection Services
- Independent Consultancy Services
- Training Services
- Legionella Analytical Services
- Plant and Equipment Services
- Facilities Management Services

Each standard contains the following sections:

#### A) SCOPE OF SERVICE DELIVERY

This section contains a definition of the service provided and sets out the extent and limits of each service in such a way as to be flexible enough to accommodate legitimate variation and exacting enough to ensure the service is sound.

#### B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

The service providers should confirm and be able to prove to others that all members of their staff are competent to carry out the required tasks.

In cases where the service delivery may involve a number of skill areas, e.g., surveyor, technician, chemist, etc., these are identified in each standard. The level of knowledge and skill required to carry out different aspects of the services may vary and the service provider should identify the knowledge and skills required for the relevant task, provide appropriate training and assess the competence of the operatives to carry out assigned tasks.

Guidance regarding the knowledge and skills required to carry out specific tasks is outlined in the LCA Knowledge and Skills Matrix (*LCA/MAT*).

In addition, the service provider staff attending site should have general health and safety awareness and capability appropriate to the tasks being undertaken. They should have the ability to carry out their work in a safe, efficient and effective manner and have knowledge of: carrying out pre-work safety checks/work-task risk assessments; PPE, its role and uses; portable appliance inspection; confined space entry; lone working ability and awareness; safe use of ladders and steps; procedures for permit to work; and health and safety requirements for asbestos, and other health and safety matters, where relevant.

The service provider company, as required by the LCA, should maintain training records and separate competence assessment records for individuals for each task they perform in delivering the services. These should be made available to the service user on request.

Information on understanding competence, and how to develop and assess it, is described in the LCA Competence Guide (*LCA/COM*).

### **C) SERVICE DELIVERY**

To enable the service provider company to deliver the specific legionella control service in an appropriate and safe manner, the LCA expects the company to have in place procedures to cover and manage the following (where applicable):

- Defining the scope of service
- System survey (information acquisition)
- Programme design
- Programme initiation, execution and management

### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

This section details the service user commitments and responsibilities regarding the delivery of the specific services by the service provider. There are certain issues that the service user should address that apply to all services offered. The service user should:

- provide a copy of any existing legionella risk assessment, details of control targets, e.g., temperatures, biocide levels, the written scheme including escalation procedures, written control schemes/procedures, etc.
- provide notification and any necessary instruction on known risks and safety requirements in the areas the service provider will be working, e.g., access to the asbestos register, site induction, etc.
- provide safe access and egress
- provide contacts for communication and escalation

# LCA STANDARD FOR THE DELIVERY OF LEGIONELLA RISK ASSESSMENT SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing risk identification, assessment and review services related to the risk of exposure to legionella bacteria from work activities associated with all water systems together with risk control and/or reduction and required control measures.

The legionella risk assessment carried out by the service provider will cover those systems that the service provider is contracted to assess. It should state clearly the limitations of the assessment, i.e., the systems that are knowingly not included. Where systems have knowingly been excluded from the risk assessment, there should be a statement that a complete legionella risk assessment should include the assessment of all systems where water is stored or used in premises controlled in connection with trade, business or other undertaking. (See L8 para 25.)

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

The competence of the assessor is of paramount importance and should be matched to the system being assessed.

Assessors should be able to demonstrate that they have specialist knowledge of legionella bacteria and of the water system(s) to be assessed and that they are competent to carry out any necessary surveys and sampling.

In addition, assessors should have undertaken the necessary practical training and gained experience with a competent assessor to be able to assess the systems described below.

**1. Hot and cold water systems:** These include but are not limited to: water supply arrangements, hot and cold water services, etc. When carrying out assessments of complex systems and/or in premises with elevated susceptibility the assessor should have an appropriate level of competence.

**2. Evaporative cooling systems:** These include but are not limited to systems containing: cooling towers, evaporative condensers, dry/wet cooling systems, plume abatement cooling towers, humidifiers, softeners, etc. Assessors should have additional knowledge, experience and/or training in designing and managing an appropriate water treatment programme as well as in the assessment of water treatment/control programmes, water testing and monitoring, water chemistry and treatment theory, pack inspection techniques and condition appraisal, cleaning techniques available, and, where they are applicable, the impact of these techniques on plant, equipment and the environment and special precautions that may be required.

**3. Other systems:** These include but are not limited to: swimming pools, spa and hydrotherapy pools, vehicle wash systems, misting systems, leisure and ornamental water features, engineering and machining systems, paint prep systems, fume scrubbers, fire and deluge systems, hose pipe and sprinkler systems, water bowsers, pressure washers, dentistry equipment, emergency showers, rain water harvesters/grey water, etc. Risk assessments of these systems may require the assessor to use a first principles approach. Assessors should therefore have a level of competence appropriate to the type of system being assessed including: water chemistry, treatment and testing, applicable inspection and condition appraisal techniques, cleaning methodologies, etc. Since there is such a wide variety of other systems, it can be highly beneficial to the assessor to have the availability of someone (usually an employee of the service user) with intimate working knowledge of the system being assessed.

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the Service Provider to deliver legionella risk assessment services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of scope:

Detailed clarification of the scope of the services to be supplied is required and should include:

- the premises and/or buildings to be encompassed by the assessment
- the identification of the systems to be assessed and any that are knowingly excluded
- the requirements regarding schematic diagrams and asset registers and their format/standard

(See BSRIA Guide 'Legionnaires' Disease - Risk Assessment' (BG 57/2015) Section 2.4, WMSoc 'Guide to Risk Assessment for Water Services' Section 2.5, BS8580:2010 'Water quality - Risk assessments for Legionella control - Code of practice' Annex H and HSE 'Legionnaires' disease: The control of legionella bacteria in water systems' (L8) Para. 40.)

**(NB:** If schematic diagrams and asset registers already exist they may be accurately referenced and verified during the assessment. If they do not exist for identified risk systems, details of how they will be produced should be agreed with the service user. L8 paras 38-40 indicate that schematic diagrams and asset registers are produced to help the person who carries out the risk assessment. If they are absent or not up to date this will be detailed in the corrective actions as a requirement.)

- specific site safety and/or other requirements, e.g., induction training, etc.
- the necessary access to the site to be surveyed and the presence of a competent escort who is familiar with the site and the system(s) to be assessed and who will be responsible for the assessor's health and safety.
- the components of, or input into, the written scheme to be produced or supplied by the assessor in addition to the risk evaluation, control measures and corrective actions
- presentation of the final assessment, e.g., electronic format, hard copy, number of copies, etc.
- the name of the person who will receive the risk assessment
- a defined agreement between both parties defining the scope of the risk assessment, referencing the agreed level of detail in, and format of, for example, schematic diagrams, asset registers, photographs, etc., where applicable

## **2. Initiation**

The service provider should provide details of the preparatory work required including:

- pre-work risk assessment
- equipment check lists
- verification by the service provider of the assessor's competence to carry out the specific system assessments and associated tasks

## **3. The assessment**

The service provider should ensure that (subject to scope):

- all required systems are identified and inspected
- the systems identified as presenting a risk all proceed to full assessment during which previous risk assessments are reviewed
- schematic diagrams and asset registers of these systems are available or are produced (see NB below)
- the condition of system water and accessible equipment is determined, and the contribution to risk made by the design, construction and operation of the system and equipment is evaluated (condition surveys)

The service provider should also ensure that the written scheme is reviewed including:

- the effectiveness of the control scheme
- the maintenance history of the systems
- history of past problems
- monitoring and inspection records for the systems and significant deviations from acceptable operating conditions
- the ability of management to maintain control of the risk of legionella
- the competence of site staff and contractors to control the risk of legionella

**(NB:** For further information refer to L8 & HSG274 and BS8580.)

In the absence of an up-to-date schematic diagram the risk assessor may judge that there is sufficient information to complete and issue a risk assessment, and full reasons for this decision should be given in the assessment. The risk assessor may produce diagrams during the site survey in order to assist in understanding the system and explaining the findings of the assessment. These may not meet the requirements of L8 para 40 and the written scheme where full system schematic diagrams are needed.

## **4. Reporting**

The service provider should ensure that the content and output of the assessment, subject to the agreed scope, will contain the following:

- executive summary, if required (optional)
- scope of assessment, including clear identification of buildings' systems and their use
- identification of key personnel, both staff and contractors, and their competence (Ref. BS8580)
- identification of the risk systems
- schematic diagrams or reference to them (see NB in Section 3 above)

- results of condition surveys including operating parameters, temperatures, system inspections and asset registers
- review of written scheme
- analysis and evaluation of risk for each system including an explanation of how the risk rating is derived
- recommended and prioritised corrective actions to eliminate or reduce the risk
- the site and system specific control measures (monitoring, inspection and treatment, etc.) including identification of sentinel outlets and/or other sample and inspection points
  - short term control measures to be applied until completion of corrective actions
  - long term control measures to be applied following completion of corrective actions
- precautions to be taken when testing, maintaining or operating low risk systems, such as fire systems, heating and chilled water systems, etc.
- next review date
- a recommendation to establish under what circumstances a review of the assessment will be required
- limitations of the assessment
- guidance re emergency procedures
- matters or areas of evident concern beyond the scope of the assessment
- sources of reference and guidance utilised, e.g., bibliography
- clear identification of the assessor, their experience and qualification
- evidence that the assessment has been reviewed prior to issue and signed by the reviewer prior to issue

The risk assessment does not involve the preparation of the written scheme of control, but it does provide information that is critical to its preparation in the form of recommended corrective actions and control measures.

## 5. Risk Assessment Reviews

L8 paras 32 & 47 indicate that risk assessments should be reviewed regularly and when the assessment is no longer valid. It is the dutyholder's responsibility to identify the requirement to carry out a review of the risk assessment as detailed in D.v) below. The service provider should have procedures in place to determine, if requested/contracted, whether the existing assessment is still valid, suitable and sufficient and to decide if a review of the existing risk assessment in accordance with BS8580 section 9 is required.

## D) SERVICE USER: DUTIES AND RESPONSIBILITIES

There are several key responsibilities that the dutyholder must address. These are listed below.

- There must be a legionella risk assessment that includes all systems where water is stored or used in any premises controlled by the dutyholder (COSHH Regs). This risk assessment must be reviewed when required. (See L8 paras 32 & 47.)
- When issuing any invitation to potential service providers to quote/tender for legionella risk assessment services it is extremely important that the scope of the work is clearly defined by the dutyholder or their representative. The requirement or request to "carry out a legionella risk assessment in compliance with L8" does not detail sufficiently the services required, as there are a number of areas open to interpretation and judgment.
- Schematic diagrams and asset registers must be available in order to inform and help the risk assessor. (See L8 paras 38 & 40.)
- The findings of the risk assessment including the required corrective actions and the control measures must be implemented.
- A written control scheme must be produced and maintained.
- Regular reviews of the progress of legionella control activities must be carried out.
- Procedures must be in place to determine if the existing risk assessment remains valid, suitable and sufficient. If it is not, then a risk assessment review is required.

**(NB:** It is likely that the risk assessor or other service providers can play a valuable role in these processes.)

## FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION

## A. SCOPE OF SERVICE DELIVERY

This service standard is for those involved in the development and application of a water treatment programme for the control of legionella bacteria in all types of water system, whether by chemical or non-chemical means. This includes the provision of water treatment products, on-site analytical and monitoring services, and the associated corrective action, maintenance, reporting and record keeping.

An appropriate water treatment programme should be capable of controlling not only legionella bacteria and other microbial activity, but also corrosion, scale formation and fouling, and it should include appropriate measures, such as regular monitoring, inspection, physical cleaning and disinfection to maintain system cleanliness.

## B. KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

The service provider must ensure that all personnel involved in all aspects of the design, execution, verification and management of the programme are competent to carry out their work with reference to their capability, training, knowledge and experience. Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C. SERVICE DELIVERY

To enable the Service Provider to deliver water treatment services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Information Gathering/System Survey

The service provider should have a defined process for gathering the required information to design an appropriate treatment programme, e.g., a survey procedure and structured survey form.

The survey/information gathering should include, as appropriate:

- review of the current legionella risk assessment and management processes (if any) to determine if they are fit for purpose (i.e., suitable and sufficient)
- definition and agreement with the service user of the exact scope of service supply
- agreement of the outcomes between the service provider and service user essentially in line with the HSE's technical guidance HSG274
- a survey process that reviews additional aspects of the system that may or may not be covered within the current assessment, and may include, e.g.:
  - mechanical and operational aspects of the system, e.g., manufacturer, volume of system, recirculation rates, make-up source, half-life, critical heat exchangers, system metallurgy, water usage, etc.
  - chemical and microbiological properties of both the make-up source and system water
  - environmental restrictions with respect to chemical treatments, blowdown, etc.
  - a review of historical maintenance records
  - a review of historical system data in relation to risk management, e.g., current treatment, logbooks, legionella test certificates, cleaning and disinfection records, and also system operation, e.g., failures due to corrosion, scale deposition, process contamination, etc.
  - water system operational details
  - location and suitability of dosing and control equipment
  - review of the fitness for purpose of any existing treatment equipment
  - safe handling of chemicals, delivery, storage and application methods

### 2. Water Treatment Programme design

The service provider should have a procedure to ensure the correct products are selected, e.g., use of product selection guides. Such guides should identify control parameters and highlight any product limitations which may affect the performance of the programme.

Water treatment programme design should include (where appropriate):

- design and selection of pre-treatment and dosing and control equipment
- selection of products or control techniques
- design of the monitoring and testing programme
  - chemical test selection
  - identification of suitable sampling points
  - microbial monitoring regime
  - definition of control limits
  - test methods
  - testing frequency and service schedule
  - interpretation of results
  - corrective action
  - reporting
- cleaning and disinfection regime

### **3. Water Treatment Programme Initiation, Execution and Management**

The service provider should have appropriate processes and procedures to ensure that the water treatment programme is initiated, executed and managed to achieve the agreed desired outcomes.

#### **i) Programme initiation**

The initiation process should ensure that the programme is correctly set up, the role and expectations of both parties is understood and, where appropriate, the service user's staff are given the necessary instruction in the aspects of the programme which they are to implement. It should include (as appropriate):

- explanation of the programme
- details of the schedule of service
- agreement, allocation and documentation of responsibilities between the service provider and the service user regarding testing, monitoring, inspection, etc.
- agreement over lines of communication and reporting
- initial instruction for the service user and/or staff
- identification of training needs
- agreement on the desired outcomes for the programme such that meaningful assessment may be made at regular review meetings
- record keeping, responsibilities and locations of records
- documentation of the agreed outcomes of the programme initiation process

#### **ii) Programme execution**

The service provider should have processes and procedures to ensure that the water treatment programme is executed consistently and effectively. These should include:

- the control of service visits and the monitoring regime
- staff training and competence
- reporting and communication (including standard service reports and specific non-compliance reports if necessary)
- programme reviews with service user (technical and L8/LCA compliance)
- responsibility for, and maintenance of records

#### **iii) Programme verification and quality control**

The service provider should have processes and appropriate procedures to verify that the planned water treatment programme is being executed and managed to the required standard and that one is delivering what one has contracted to do. These should include:

- a management process for checking that required service and monitoring has been done
- quality control sampling to ensure the correct:
  - tests are being carried out
  - control limits are employed
  - interpretation of the results

- corrective actions are advised and that
- joint reviews are taking place

#### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

When designing a water treatment programme the service provider requires access to certain operational data to ensure that the correct programme can be supplied and the required level of service and product usage can be assessed.

It is not sufficient to request the provision of water treatment services “in accordance with L8”. Further information should be supplied in order for the service provider to meet your expectations.

The dutyholder should provide system operational details, e.g., flow rates, volumes of system/s, water usage, temperatures, as detailed in Section C1 above.

#### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**



# LCA STANDARD FOR THE DELIVERY OF HOT AND COLD WATER MONITORING AND INSPECTION SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing services in the control of legionella bacteria growth within hot and cold water systems and the associated control measures that need to be put in place, including temperature, water quality monitoring, sampling, inspection and condition assessment, etc.

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

The service provider could have a number of staff involved in the delivery of these services, e.g.

- designing the monitoring and inspection programme
- carrying out the monitoring and inspection tasks
- reporting and communicating the findings and recommendations

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the service provider to deliver hot and cold water monitoring services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of scope:

This should include:

- the premises and/or buildings to be included
- the identification of the systems and components to be monitored and inspected
- frequency of monitoring and inspection
- agreement, allocation and documentation of responsibilities between the service provider and the service user regarding testing, monitoring, inspection, etc.
- agreement over lines of communication and reporting
- record format and location
- access arrangements and times

### 2. Surveys

Before conducting a survey a preliminary work-task site-specific risk assessment should be completed. During the survey, all required information should be obtained including:

- copies of system schematic diagrams to identify location of components
- existing risk assessment and written scheme (or access to same)
- relevant site-specific requirements
- induction procedures
- access permits and permits to work
- reporting emergencies
- security

### 3. Implementation

The service provider should produce the following:

- work instructions/method statements for all activities carried out by the service provider
- details of the equipment to be calibrated or tested regularly in line with current practice and calibration and testing records to be kept for audit

### 4. Execution

Subject to scope, this should include:

- a comprehensive set of records to be submitted to the service user, including:
  - results of all inspections, checks and measurements
  - actions to be undertaken and by whom and when

- remedy of non-conformance and by whom and when
- action to prevent re-occurrence and by whom and when
- a regular, at least annual, full review of the programme with input from the service user and the service provider, including
  - input from any relevant 3rd party service provider
  - changes in roles of responsibility – service user or service provider
  - changes in operating conditions
  - changes in service provider
  - results of monitoring and inspections
  - areas of concern and outstanding actions

#### **5. Programme verification and quality control**

To confirm that the planned service programme is being executed and managed to the required standard and is being delivered as defined by the contract, the following should be carried out by the service provider.

- Checks to ensure that the required service and monitoring has been done
- Quality control to ensure the correct:
  - tests and inspections are being carried out
  - control limits are employed
  - interpretation of the results
  - corrective actions are advised and that
  - joint reviews are taking place

#### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

Please refer to the Guide to LCA Standards for Service Delivery at the beginning of this document.

#### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**

# LCA STANDARD FOR THE DELIVERY OF CLEANING AND DISINFECTION SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing services in the cleaning and disinfection of any water system associated with the control of legionella bacteria including but not limited to systems containing cooling towers, evaporative condensers, dry/wet cooling systems, plume abatement cooling towers, spa pools and whirlpool baths, hot and cold down services and mains water services, humidifiers, softeners, fire and deluge systems, vehicle wash systems, misting systems, water features, engineering and machining systems, paint preparation systems, fume scrubbers, hose pipe and sprinkler systems, emergency showers and industrial processes.

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

There are two main roles in the delivery of these services:

- Carrying out the cleaning and disinfection tasks (i.e., the role of the Technician)
- Surveying and planning the work, including selection of appropriate cleaning and disinfection technique and fill pack cleanliness assessment and appropriate method of cleaning (i.e., the role of the Surveyor).

The knowledge, experience and training required for each role is similar, however the Surveyor requires additional abilities. Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the Service Provider to deliver cleaning and disinfection services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of scope

Detailed clarification is required of the scope of the services to be supplied. Specifically:

- the premises and/or buildings involved
- the identification of the systems to be cleaned and disinfected
- service users' and/or others' responsibilities, e.g., access, removal of pack, tenting, etc.
- responsibility and cost liability for the removal and lawful disposal of wastes, e.g., disinfectant and cleaning agents, scale, sludge, fill pack, drift eliminators, etc.
- the time available to carry out the task
- an order from the service user defining the above

### 2. Survey

Before conducting a survey a preliminary work-task site-specific risk assessment should be completed. During the survey, all required information should be obtained including:

- a current system condition appraisal
- waste disposal options
- restrictions imposed by equipment manufacturers, e.g., chlorine tolerance, etc.
- location and isolation points for dosing, control or sensitive equipment where applicable
- copies of system schematic diagrams to identify: dead legs, redundant pipe-work or equipment, outlets, etc.
- relevant site-specific requirements
  - induction procedures
  - access permits and permits to work
  - reporting emergencies
  - security

**(NB:** In the case of open evaporative cooling systems, specific reference to system assessment, cleaning and disinfection methods and service user's responsibilities as detailed in the section of HSG274 Part 1 on inspection, cleaning and disinfection procedures are recommended.)

### **3. Design and selection**

The following are required:

- The selection of an appropriate cleaning and disinfection method or technique
- A job-specific method statement based on the survey information and risk assessment including specification of:
  - PPE
  - waste disposal routes
  - isolation of any equipment
  - other special precautions
  - site requirements, etc.

### **4. Initiation**

The following are required:

- Assessment of the technicians' competence/capability to carry out the task
- Details of all that will be issued to the technicians carrying out the tasks including:
  - job-specific method statement/work instruction
  - required PPE
  - equipment
  - chemicals
  - work-task risk assessment
  - pre-work safety assessment/check
  - emergency procedures
  - associated check records

### **5. Implementation**

This should include:

- a pre-work safety check in addition to the original work-task risk assessment, noting any variations
- PPE and equipment checks
- records required (observations, measurements, deviations, completion, etc.)
- job-specific method statement/work instruction for the service user's information
- records of all required actions, monitoring, etc.

## **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

- In the case of evaporative cooling, or similar systems, it is the responsibility of the dutyholder/responsible person to maintain the entire system in a clean condition and to facilitate inspection to determine if the system is clean or not.
- It is also the responsibility of the dutyholder/responsible person to make systems available for cleaning and disinfection if required (i.e., to arrange for them to be taken out of use for the required time, with users informed, and appropriate safeguards put in place) with adequate notice to enable the service provider to plan and execute the service.
- Dutyholders/responsible persons should also adhere to the agreement regarding definition of scope.

## **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**

# LCA STANDARD FOR THE DELIVERY OF INDEPENDENT CONSULTANCY SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing a range of unbiased technical expertise related to the control of legionella bacteria in water systems, e.g., auditing; problem solving; production of: written schemes, schematic diagrams, asset registers, etc.; carrying out competence assessments; construction of record systems; project management; etc.

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

Consultants should have comprehensive skill, knowledge, experience and/or training appropriate to the project undertaken, and be able to demonstrate and prove competence to carry out required tasks.

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the Service Provider to deliver independent consultancy services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of service requirements

An agreement is required between both parties defining the scope of the service, its objectives and outcomes. This could include (subject to scope):

- the project objectives
- the premises and/or buildings to be included
- the identification of the water systems to be included
- the requirements regarding reporting, e.g., format/standard of schematic drawings and asset registers, the components of any management scheme to be produced, etc. (See BSRIA Guide 'Legionnaires' Disease - Risk Assessment' (BG 57/2015) Section 2.4, WMSoc 'Guide to Risk Assessment for Water Services' Section 2.5, BS8580:2010 'Water quality - Risk assessments for Legionella control - Code of practice' Annex H and HSE 'Legionnaires' disease: The control of legionella bacteria in water systems' (L8) Para. 40.)
- specific site safety and/or other requirements, e.g., induction training, etc.
- means of presentation of the final report, e.g., electronic format, hard copy, number of copies, etc.

### 2. Initiation

This should include details of the preparatory work required including:

- pre-work site-specific risk assessment
- equipment check lists
- verification by the service provider of the consultant's competence to carry out the specific project
- preparation of the project plan including resource requirements, e.g., laboratory services, additional personnel, etc.

### 3. Project execution (subject to scope)

This should include:

- working to quality assurance systems such as the LCA Code of Conduct to ensure that the required aspects of legionella control service management are incorporated
- provision of legionella risk assessments as detailed in the relevant LCA Standard for Service Delivery
- provision of strategic level legionella management reviews
- undertaking of water quality assessments to an appropriate rationale through a combination of site visual inspections, on-site testing, and laboratory analysis of samples
- provision of documentation to demonstrate compliance

### 4. Reporting (subject to scope)

The consultant should:

- offer balanced advice that can help informed decisions to be made about working environments and the service providers engaged and to consolidate or enhance performance in controlling risks

- demonstrate independence from the provision of other services, e.g., water treatment, cleaning and disinfection, remedial or maintenance services, as well as from the endorsement of the products and services of other organisations  
(NB: 'Independent' Consultancy may be provided as part of, or alongside, the provision of other legionella control services. It is for the service user to decide the requirement for totally independent consultancy services.)
- provide prioritised recommendations which clearly relate back to codes of practice and guidance documents pertinent to the system and project in question and which state clearly the benefits of undertaking the action

#### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

- When issuing any invitation to potential service providers regarding independent consultancy services to quote/ tender for any project concerned with legionella risk control services it is extremely important that the scope of the work, its objectives and outcomes, are clearly defined by the dutyholder or their representative, and documented and agreed with the consultants in respect of defining the scope of the service, referencing the agreed level of detail in, and format of, for example, schematic diagrams, asset registers, photographs, reports, etc., where applicable.
- The consultant should be provided with access to all previous information relevant to the project.
- As 'independent' consultancy may be provided as part of, or alongside, the provision of other legionella control services, it is for the service user to decide the requirement for totally independent consultancy services.

#### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**

## LCA STANDARD FOR THE DELIVERY OF TRAINING SERVICES

### A) SCOPE OF SERVICE DELIVERY

This service standard is for those offering training to service users as part of service delivery, and training offered to companies and or individuals as a stand-alone service as either:

- existing standard courses or
- courses designed and developed with the service user for a specific training need

This standard does not cover in-house training of service providers for their own staff.

### B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

Staff engaged to deliver training should:

- have extensive demonstrable knowledge and understanding of the subject being delivered and of the industry including relevant experience in the field
- continually update knowledge
- present information in a variety of formats
  - audio-visual presentations
  - practical demonstrations
  - open discussions, workshops, tutorials, etc.
  - ‘toolbox talks’
  - written information
- be highly motivated and able to engage an audience
- be a good communicator
- be able to demonstrate and prove competence to carry out required training

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

### C) SERVICE DELIVERY

To enable the service provider to deliver training services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

#### 1. Training requirements

The service provider should assist the service user to identify training needs and provide appropriate training by means of standard courses with set content or with bespoke courses.

#### 2. Standard courses

The LCA would expect the delivered training to:

- be held in an appropriate venue
- consist of appropriate delivery methods, e.g.
  - presentation
  - practical elements (where applicable)
  - student participation
- indicate clearly whether the course was delivering theoretical or practical knowledge or a combination
  - for training to include a measure of knowledge, understanding and practical skill the students should be observed and assessed carrying out tasks which present a variety of scenarios and the participants should demonstrate that they are
    - able to follow instructions
    - able to work by themselves
    - able to work safely in respect of their own safety and the safety of others
    - able to account for their actions in a clear unambiguous written record
- be carried out in group sizes appropriate to the subject and method to ensure proper candidate participation
- include a suitable marked assessment (if required) at the end of the end of the programme

- be certificated with indication of:
  - level achieved in assessment (if applicable)
  - details of subjects covered
  - date of course
  - name of issuing body and any other relevant information
- be reviewed, assessed and updated regularly

### **3. Courses designed and developed for a specific training need**

For courses designed and developed for a specific training need, everything in a) above is applicable. In addition, the training (service) provider should ensure detailed clarification and agreement with the service user of:

- the scope of the training to be supplied
- the method of delivery
- its objectives
- desired outcomes required
- current knowledge and experience of training recipients
- methods of assessment if required

### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

The duties and responsibilities of the service user are:

- to assess the training needs and requirements of their own staff (possibly in conjunction with relevant service provider/s)
- to complete regular reviews of own staff training records (possibly in conjunction with relevant service provider/s)
- to complete regular competence assessments for specific tasks and identify further training requirements and format, e.g., theory, practical, etc.
- to determine if the content of any training offered meets the requirements of the intended recipient.

**(NB:** Training courses will deliver knowledge and measure understanding but cannot confirm the level of competence. Competence should be assessed by observation, questioning, etc., 'on the job' at appropriate intervals.)

### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**



# LCA STANDARD FOR THE DELIVERY OF LEGIONELLA ANALYTICAL SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing sampling and laboratory analysis services associated with the control of legionella bacteria including sample taking, transport, and reporting of results from water systems, etc. This does not include the provision of routine on-site analytical and monitoring services or on-site legionella evaluation, associated with the control of water treatment programmes as described in the other LCA Standards for Service Delivery.

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

There are four main roles in the delivery of service:

- carrying out the sampling and transport to a laboratory (i.e., the role of the Technician)
- carrying out the laboratory analysis of samples related to the detection and control of legionella bacteria (i.e., the role of the Analyst)
- interpretation and reporting of results to the service user, including detailing the significance of the result and any required corrective actions (i.e., the role of the Reporter)
- production of sampling programmes (i.e., the role of the Advisor)

This standard concerns the service provider technicians, reporters and advisors. This standard does not cover the analysis, which should be carried out by UKAS accredited laboratory procedures.

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the service provider to deliver legionella analytical services in an appropriate manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of scope

Sampling may be provided as part of, or alongside, the provision of other legionella control services or as a stand alone service. The scope of the sampling programme (see 2 below) should be agreed with the service user and recorded.

### 2. Sampling programme design

The sampling programme should be designed to include:

- location of sample points
- frequency of sampling
- sampling methodology
- analysis required
- reporting format and communication routes

### 3. Transport

Once taken, the samples should be delivered to the laboratory in appropriate condition and as soon as is practical from the point of sampling and in accordance with the relevant standard.

### 4. Traceability

At all points of the sampling and transport process it is critical that identity of the sample and traceability is maintained.

### 5. Analysis

- Legionella analysis should be carried out under UKAS accreditation (or the overseas or international equivalents).
- Rapid legionella analysis techniques, if offered, should be in addition to, and not in place of, the conventional culture technique.

## **6. Result reporting**

- For cultured legionella samples, three reports can be obtained:
  - Presumptive results: These are samples that have growth which looks like legionella but has not been confirmed. Such results can change or revert to 'not-detected'.
  - Interim results: These are samples whose presumptive results have been confirmed as legionella but the sample has not finished its incubation. These results can increase in number.
  - Final results: These are provided once the incubation has been completed. These results do not change.
- Service providers will either incorporate certificates of analysis in their reports or include an identifying reference and make them available to service users on request.
- Reported results should clearly explain
  - the significance of the result
  - further actions required, if appropriate
  - the analysis methodology used.

## **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

Please refer to the Guide to LCA Standards for Service Delivery at the beginning of this document.

## **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**

# LCA STANDARD FOR THE DELIVERY OF PLANT AND EQUIPMENT SERVICES

## A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing services in the design, manufacture, supply, installation, refurbishment, commissioning, etc., of any plant and/or equipment associated with the control of legionella bacteria in water systems and does not apply to equipment purchased from a retail or trade outlet. There are specific requirements on designers, manufacturers, importers, suppliers and installers detailed in ACOP L8 paras 75-86.

## B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

There could be a number of roles involved in the delivery of this service, e.g.,

- obtaining information (survey)
- design of equipment/process to be installed
- installation, commissioning and servicing

All staff involved should have knowledge, understanding, skills and experience appropriate to the projects undertaken.

The service provider should satisfy themselves that all personnel involved are competent to carry out the specific tasks required.

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

## C) SERVICE DELIVERY

To enable the service provider to deliver plant and equipment services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

### 1. Definition of supply requirements

Detailed clarification is required of the scope of the services to be supplied and their objectives and outcomes. This could include (subject to scope):

- the project objectives
- the premises and/or buildings to be included
- the identification of the systems to be included
- the scope of supply
- the components of any management scheme to be produced
- an agreement between both parties defining the scope of the supply and referencing the agreed level of detail in, and format of, for example, drawings, asset registers, O&M manuals, etc.

### 2. Survey

This should include the following tasks:

- obtaining information required to design and/or select the appropriate system components
- reviewing the current risk assessment, if applicable, to determine if it is fit for purpose (i.e., suitable and sufficient) and of a quality to ensure safety of personnel
- carrying out a survey process that reviews additional aspects of the system that may or may not be covered within the current assessment and is relevant to the proposed system including but not limited to:
  - mechanical and operational properties
  - water chemical properties of both the make-up source and system water
  - environmental restrictions with respect to blowdown, aerosols and waste produced, etc.

### 3. Design

The service provider should ensure that:

- systems are designed to comply with relevant codes and guidance and state clearly what these are
- systems are so designed and constructed that they will be safe and without risks to health when used at work
- the design considers all mechanical, operational, chemical and management aspects of any existing or proposed control programmes which are relevant to the proposals

#### **4. Delivery**

The service provider should provide adequate information for the user about the risks and measures necessary to ensure that the plant and equipment, and (as appropriate) the water systems in which they are installed, will be safe and without risks to health when used at work.

(This is detailed in L8 paras 75-86.)

#### **D) SERVICE USER: DUTIES AND RESPONSIBILITIES**

There is a requirement to ensure that any equipment as described above is designed, installed and commissioned, correctly. The information detailed in L8 paras 75-86 is required for inclusion in any written scheme and the dutyholder therefore has a responsibility to ensure that it is supplied.

#### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**

## LCA STANDARD FOR THE DELIVERY OF FACILITIES MANAGEMENT SERVICES

### A) SCOPE OF SERVICE DELIVERY

This service standard is for those providing facilities management services related to the risk of exposure to legionella bacteria from work activities associated with water systems, risk control and/or reduction, and required precautionary measures. This encompasses the following services: risk assessment, water treatment, hot and cold water system monitoring and inspection, cleaning and disinfection, independent consultancy, training, analysis, plant and equipment supply and maintenance, etc., whether provided by the Facility Management Company's (FMC) own staff or sub-contracted.

### B) KNOWLEDGE AND SKILL OF SERVICE PROVIDER STAFF (INCLUDING SUB-CONTRACTORS)

#### 1. Own staff

##### a) Technicians

If the work-tasks in any of the above areas are being carried out by the FMC's own staff then refer to this section in the relevant LCA standard regarding the knowledge and skill that is applicable.

##### b) Contract managers, controllers and supervisors

The training, knowledge and experience required to manage, control and/or supervise the provision of the above services will depend on the services involved and should be based on the detail contained in this section in the relevant LCA standard. Specific training and knowledge may be required regarding the control in water systems such as swimming pools, spa pools, hydrotherapy pools, vehicle wash systems, misting systems, leisure and ornamental water features, engineering and machining systems, paint prep systems, fume scrubbers, fire and deluge systems, hose pipe and sprinkler systems, water bowsers, pressure washers, emergency showers, etc.

#### 2. Sub-contractors

The training, knowledge, etc., required to design, implement, execute, manage, and control the provision of the above services will depend on the services involved and should be based on the detail contained in the relevant LCA Standard for Service Delivery.

Please refer to Section C below and the Guide to the LCA Standards for Service Delivery at the beginning of this document.

### C) SERVICE DELIVERY

To enable the service provider to deliver facilities management services in an appropriate and safe manner the LCA expects the company to have in place procedures to cover and manage the following:

#### 1. Scope of service

The service provider should provide detailed clarification of the scope of the services to be supplied by the FMC to the service user. In addition to the details contained in the relevant LCA Standard for Service Delivery this scope should include specifically:

- the premises and/or buildings to be included
- the identification of the water systems incorporated
- identification of responsibilities
- clear lines of communication between the FMC, the service user and all sub-contractors, which must include defined escalation routes in the event of non-compliances being ignored by any party
- a signed agreement between all parties defining the scope of the service

**(NB:** This detailed clarification of the scope of services should also be in place between the FMC and sub-contractors as detailed in the relevant LCA Standard for Service Delivery.)

#### 2. In-house services

If the FMC's own staff carry out any services associated with the control of legionella, the FMC is the primary service provider and should operate as described in the relevant LCA Standard for Service Delivery.

#### 3. Sub-contracted services

If any legionella control services are sub-contracted by the FMC, procedures should be in place to cover the following actions:

- Detail the scope of service required from the sub-contract service provider  
(See Section C1 above and relevant LCA Standard for Service Delivery.)

- Assess the competence of the sub-contract service provider

(See LCA Code of Conduct, Buyer's Guide and Standards for Service Delivery and L8 paras 29, 36 & 52.)

#### **4. Delivery of legionella services (subject to scope)**

The following actions should be taken:

- Obtain from the service user information regarding:
  - existing site hazards that may affect the FMC or sub-contract service provider company
  - the existing current legionella risk assessment
  - the existing written scheme
  - up-to-date schematic diagrams
  - existing records regarding legionella control which should then be assessed for validity and/or relevance (risk assessment review)
- Define with the service user and sub-contractors the methods for:
  - recording data, e.g., paper/electronic record system
  - reporting L8 non-compliances and emergency situations

#### **D) SERVICE USER (FMC's Service Users): DUTIES AND RESPONSIBILITIES**

- The service users, system owners and operators responsibilities are detailed in L8 regarding the prevention or control of exposure to legionella bacteria. Whilst specific tasks relating to legionella risk control can be contracted to FMCs and their sub-contractors the overall responsibilities for legislative compliance remain with service users, system owners, dutyholders/responsible persons and operators. The FMC and its sub-contractors are responsible for carrying out those tasks allocated to them to ensure compliance with L8.
- Responsibilities regarding specific legionella control services are detailed in the relevant LCA Standards for Service Delivery.
- Should the appointed responsible person be a member of the FMC staff they should be empowered by the dutyholder both managerially and financially to carry out their duties. (See L8 paras 48-51.)

#### **FOR AND ON BEHALF OF THE LEGIONELLA CONTROL ASSOCIATION**