

Water Industry Approved Plumbers
Scheme

WIAPS

Audit Procedures and Guidance

Version 1 February 2015

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1. Introduction

The success of any quality membership scheme lies not in how many members it enjoys, but on the quality of that membership, and the manner in which the Scheme is administered. It is vital that audits are carried out to ensure: that high levels of compliance and workmanship are consistently maintained by scheme members; and to maintain the creditability of the scheme.

2. Audit Requirements

Regulation's Compliance

It is envisaged that individual members of the Scheme will undergo one physical audit of work completed in the first year of their membership. The Scheme must inform the incumbent water company of any new members in their area of supply, each month.

After the first year of membership, individuals will be audited at least once every five years. Water companies will be responsible for planning audits based on their assessment of risk. The Scheme must provide member companies with a list of members registered in their area, so that audits can be planned.

Further checks will be carried out by water companies, on the number of certificates issued by individual members (for compliance with Regulation 6).

Scheme Compliance

Each subscribing water company should make monthly returns to the Scheme of the number and details of Contractors Certificates received in the preceding month, and this information should be recorded by the Scheme.

The Scheme is expected to review the numbers of certificates being issued by each member, based on water company feedback. Anomalies in the numbers of certificates issued (i.e. very few for a particular member) should be highlighted by the Scheme as suspected failures to comply with Regulation 6 and then referred to the appropriate water company, who should contact the member to investigate.

The Scheme will carry out checks on the appropriate level of insurance required, on each WIAPS business at least once every three years.

3. Audit Drivers

There are a number of reasons why an audit of a Scheme member may be carried out. These include:

- **Routine Audit** - to ensure compliance with the Scheme, conditions of membership and suitability to remain on the Scheme.
- **Complaint Audit** - to investigate a specific complaint against a Scheme member, however received.
- **Event Audit** – an investigation in connection with an event or incident.

In general the methods of investigation will remain the same although the driver for the audit should be made clear on the audit documentation, to enable accurate visibility of the performance of any individual member to be maintained.

4. The Method

Audits are a vital element in ensuring the credibility of the Scheme as a whole, and as such should be conducted professionally and thoroughly.

Developing the audit program

Audit inspections should be, chosen by the water company carrying out the audit. Ideally they should be on completed works for which a Contractors Certificate has been received, and be large enough to provide a clear indication of the members' on-going competence and compliance.

Water companies will be responsible for planning audits based on their assessment of risk and the minimum number of audits required by the Scheme.

Initial Contact

The Scheme conditions allow for inspections to be carried out without the member being present. It is expected that in most cases the member would be invited to attend the audit, however, in the case of an event audit, a request for a member to be present may not be possible in the timescales.

If the premises where the installation to be inspected are occupied by a third party then access needs to be obtained. This can be done either by the company or the member by agreement, and an explanation of the reason for the inspection given to the customer concerned. In exceptional cases, where the inspection is in connection with an event or incident for instance and access is refused for any reason, access may be gained by the exercising of a company's powers of entry.

A member should not refuse to co-operate with an audit request, and any refusal should be seen as a warning sign to the incumbent company that this particular installation, and perhaps one or two others as a further sample, may be worthy of scrutiny. Any refusal to cooperate should be referred back to the Scheme Manager, who would then consider what action should be taken, in line with the Scheme disciplinary procedure.

The Inspection

The inspection should cover all aspects of the Regulations as is reasonably practicable, including workmanship. The inspection is likely to be of completed work, so it may not be possible to inspect all aspects of the installation. Notes should be made at each stage of the inspection and, if non-compliance of the Water Regulations is found member to be informed. The aim should be to seek resolutions to any concerns at the time of inspection, together with an agreed timescale for rectification.

At all times the audits must be professional and have due regard to the reasonable needs of the member. At no time should the credibility of the member be jeopardised without just cause. To this end any discussions over concerns raised during the inspection process should be handled discretely and in a manner, which would not cause concern to any owner or user of the system who may be present. The discussions regarding concerns over the installation should be held in as confidential a manner as possible, although in some cases the owner/occupier will undoubtedly be present.

At all times the spirit should be one of education and guidance of the member. If actions become warranted or necessary then they are best discussed with the member solely, where practicable, and then advised to the owner/user by the auditor in a manner, which does not cause undue alarm. Due regard should be given to the seriousness of the concern, the views of the member, and the impact of the concern on the safety and suitability of the installation. Members should be given an opportunity to raise any objection to audit findings and any proposed remediation.

The Report

Each water company will have its own audit and non-compliance procedure and relevant documentation, which will record an audit, and all contraventions should be recorded

Section 5, and the appendices, give a model Approved Contractor Audit and Contraventions Report Sheet layout, which may assist water companies in developing their documentation.

The Follow-up

In the event that remedial works are required on the inspected systems it is expected that re-inspection will be carried out as part of the incumbent company's routine Regulations Enforcement Policy. It will be assumed by the Scheme that any contraventions reported as being rectifiable have been corrected in due course.

Received audit sheets will be retained by the scheme. An electronic record will be kept of when an audit was carried out and the outcome of the audit. The scheme will monitor the overall number of audits carried out.

In the event that one or more audits reveal serious concerns over the suitability of a member to remain on the Scheme, either the Auditor shall identify this, in the event that an audit is failed or by the Scheme in the event of a series of audits are failed by different auditors. Consideration shall then be given to the means by which these concerns are actioned. Please see Section 7, Appeals/Grievance Procedures

5. The Documentation

Water Companies may have their own inspection and non-compliance documentation. However the information recorded should be the same for all companies.

The Scheme documentation will consist of two audit inspection sheets.

Sheet 1, **WIAPS APPROVED CONTRACTOR AUDIT**, is seen as a cover sheet providing the base data regarding the audit including details of the member, where the audit is being carried out, and what type of installation is being audited.

Sheet 2, **Contraventions Report Sheet (CRT)**, is the document on which any and all contraventions found during the inspection are recorded, and as many sheets as necessary can be used during one inspection. (It is hoped that for most inspections one will be more than sufficient!)

The Schemes' audit files will require the following information, some of this information may be held electronically.

WIAPS APPROVED CONTRACTOR AUDIT

- Member's name- the personal name of the scheme member being audited. This would be the same as the name on any relevant Contractors Certificate.
- Membership Number- the WIAPS Scheme number allocated to that individual
- Members Employer – the name of the members' employer.
- Members Address – the address to which correspondence can be sent for this member. In most cases this will be the same as the members address recorded by the Scheme. Post Code – members address postcode.
- Tel No. – the contact number for the member during normal working hours.
- Address of Premises audited.
- Date of Audit - the date on which the audit was physically undertaken.
- Member in attendance Y/N – delete the not applicable.

Administration

- Was notification required? Yes or No- was the works inspected work which is contained within the table of Regulation 5? Taking account of Approved Contractor privileges under Reg 5 (2).
- Was notification/certification given? Yes or No- was prior notification of works or subsequent certification provided.
- Comment – any relevant information or comment in support of the Administration section.

Installation

- Date of installation -the date on which the member commenced the installation, or the start and end date of an extended installation.
- Type of premise -brief description of premise and use of premise. i.e. Commercial Bakery, Heavy Industry, etc.
- Are there contraventions of the Water Supply (Water Fittings) Regulations 1999?Y/N delete not applicable. This acts as a safety net to ensure Contraventions list is attached if expected.
- No. of attached sheets -the number of contraventions sheets that were completed as a result of this Audit inspection.
- Comment of general standard of installation- workmanship quality and any other comments in relation to the installation inspected.
- Details of the materials and fittings installed by the member – are they Regulation 4 compliant?
- Auditor, signed, date- the auditors printed name, signature, and date of completion of the report.
- Auditee, signed, date- the members printed name, signature, and date of completion of the report.
- Auditee comments – the member may make such comment, as they feel necessary concerning the audit. They may continue on a separate sheet should they so wish.

Contraventions Report Sheet (CRI)

This document should be considered to constitute a formal contravention notice, (or should be supported by a formal contravention notice), and be actioned in accordance with the incumbent water companys' declared Policy and Practice.

- Audit No. – the number of the WIAPS Approved Contractor audit sheet under which the contraventions relate.
- Auditor- the Auditors printed name
- Signed – the Auditors signature
- Page * of * - the page number of this contravention series and the total number of sheets in the series for this inspection
- Location- the identifiable location of this contravention. This should be detailed enough to make it clearly identifiable to a third party who wished to view it.
- Regulation/Requirement – the specific Regulation or Requirement, which has been breached. (One will suffice even if the contravention could cover a number of breaches.
- Contravention- details of the contravention itself.

6. Investigation/inspections of another Approved Contractors' Scheme members' work

It may become necessary to audit the work of members of another Approved Contractors' scheme. This is only likely to arise as the result of an incident or a complaint from a concerned party.

In these cases the investigation is part of routine Regulations Enforcement responsibilities of the incumbent water company, although it is recommended that the general principles of this document be followed. WIAPS would have no objection to its documentation being used for such purposes, although the reports must indicate that this is not a WIAPS audit.

The auditors will confine themselves to a pure Regulations audit and will not become involved in any investigations relating to that members compliance with their own Schemes' terms and conditions.

Referral Guidance

In these cases the incumbent water company would need to issue formal contravention notices against the work and action them in accordance with their declared Policy and Practice documents if contraventions are found. Whilst WIAPS provides for any corrective action being done at the cost of the member, WIAPS have no such authority under any other Scheme. The matter must be treated as a formal contravention.

7 Appeals/Grievance Procedures

Whilst every effort will be made to maintain reasonable working relationships between the Scheme and its members there will inevitably be occasions when a member will feel aggrieved at a decision or an action.

Disagreement's arising from audits is likely to be the most common basis for confrontation. This is likely to arise as a result of the auditor not being satisfied that the installation reasonably meets the requirements of the regulations and is requiring the member to carry out works at his/her own expense to correct the contravention.

In the first instance the auditor must be clear that:

- a contravention clearly exists; and that
- the defence offered by the member is inadequate.

If the discussion between the member and the auditor has failed to resolve the issue then the WIAPS disciplinary and grievance procedure should be used.

8. Ground worker Audits

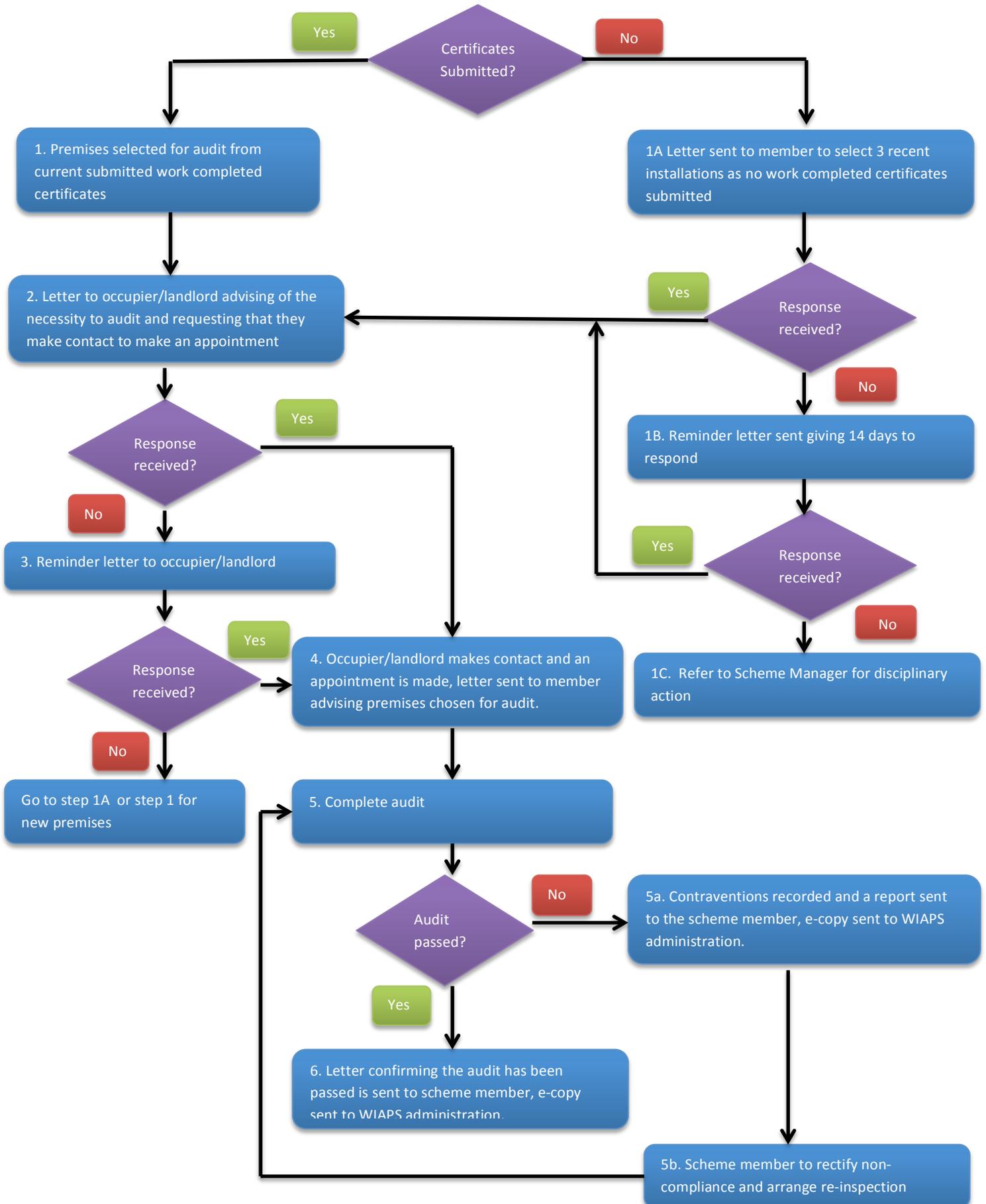
The audit of Ground workers is subject to water company specific procedures, often part of new connections processes.

9 Review

This document has been reviewed and endorsed by the WIAPS Coordinating Group. This document will be reviewed at least every three years.

APPENDICES

WIAPS AUDIT PROCEDURE FLOWCHART.



WIAPS APPROVED CONTRACTOR AUDIT

Members NameMembership No.....

Members Company.....

Address.....

.....Post Code.....

Tel No.....

Address of Premises Audited

..... Post code.....

Date of Audit..... Member in attendance Yes/No

ADMINISTRATION

Was notification required? Yes/No

Was Notification given? Yes/No

Comment.....

INSTALLATION

Date of Installation

Type of premise: Domestic/Industrial/Commercial

Are there contraventions of the Water Supply (Water Fittings) Regulations 1999 Yes /No

Please list all contraventions fully on the contravention report sheet (CRS)

Comment on general workmanship of Installation

Auditor Signed..... Date.....

Auditee.....Signed Date.....

CONTRAVENTIONS REPORT SHEET (CRS)

Audit No Auditor..... Signed..... Page.....of.....

Location.....

Regulation/Requirement.....

Contravention

Number of identical contraventions.....

Location.....

Regulation/Requirement.....

Contravention

Number of identical contraventions.....