

# ***Sewerage Sector Guidance***

## ***Appendix B Procedures***

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

**Stage 1b: Pre-Design Strategic Discussion/Assessment**

**Stage 2: Design of new sewerage system**

**Stage 3: Adoption agreement**

**Stage 4: Construct gravity sewerage system**

**Stage 5: Maintenance Period**

**Stage 6: Final Inspection and Vesting – gravity system incl. pumping station and/or components**

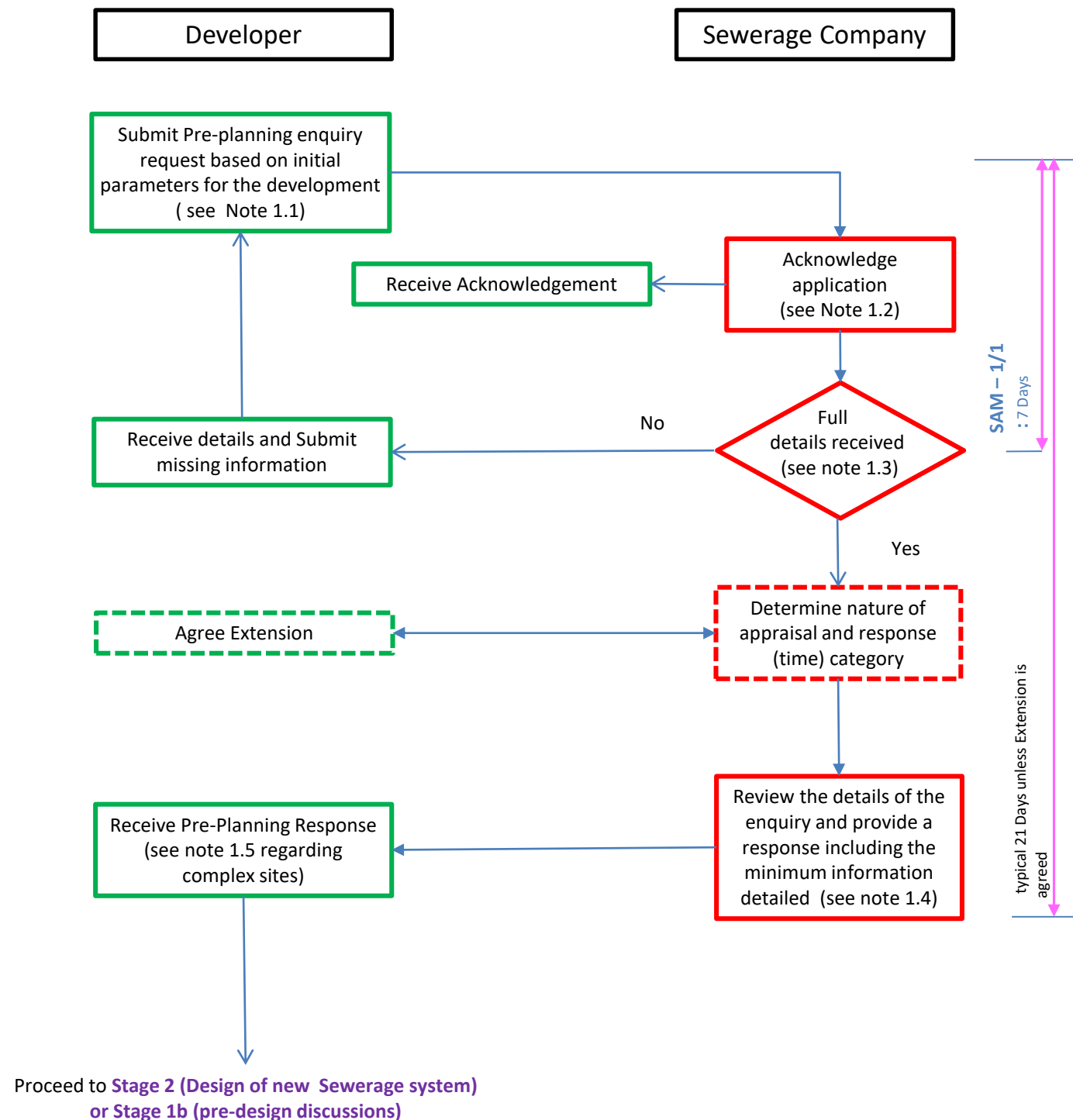
**Stage 7: Variation of new sewerage system**

**Important note: with effect from 1 April 2020, the Sewerage Companies will comply with the metrics but the first quarterly report against the metrics in Appendix F1 will be in respect of data gathered with effect from 1 October 2020**

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

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This stage is designed to confirm the allowable rates of discharge to the point(s) on the existing network where a connection to public sewers is required. It also allows the developer to determine reasonable cost of the works "at the outset" for the sewerage system(s). It will also inform if the sites will need a Strategic Assessment



## Comments & Service Standard

### Note 1.1: Pre-planning Enquiry request should:

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

### Note 1.2: Pre-planning enquiry receipt

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

### Note 1.3: Pre-Planning Enquiry check:

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

### Note 1.4 Pre-planning Response should:

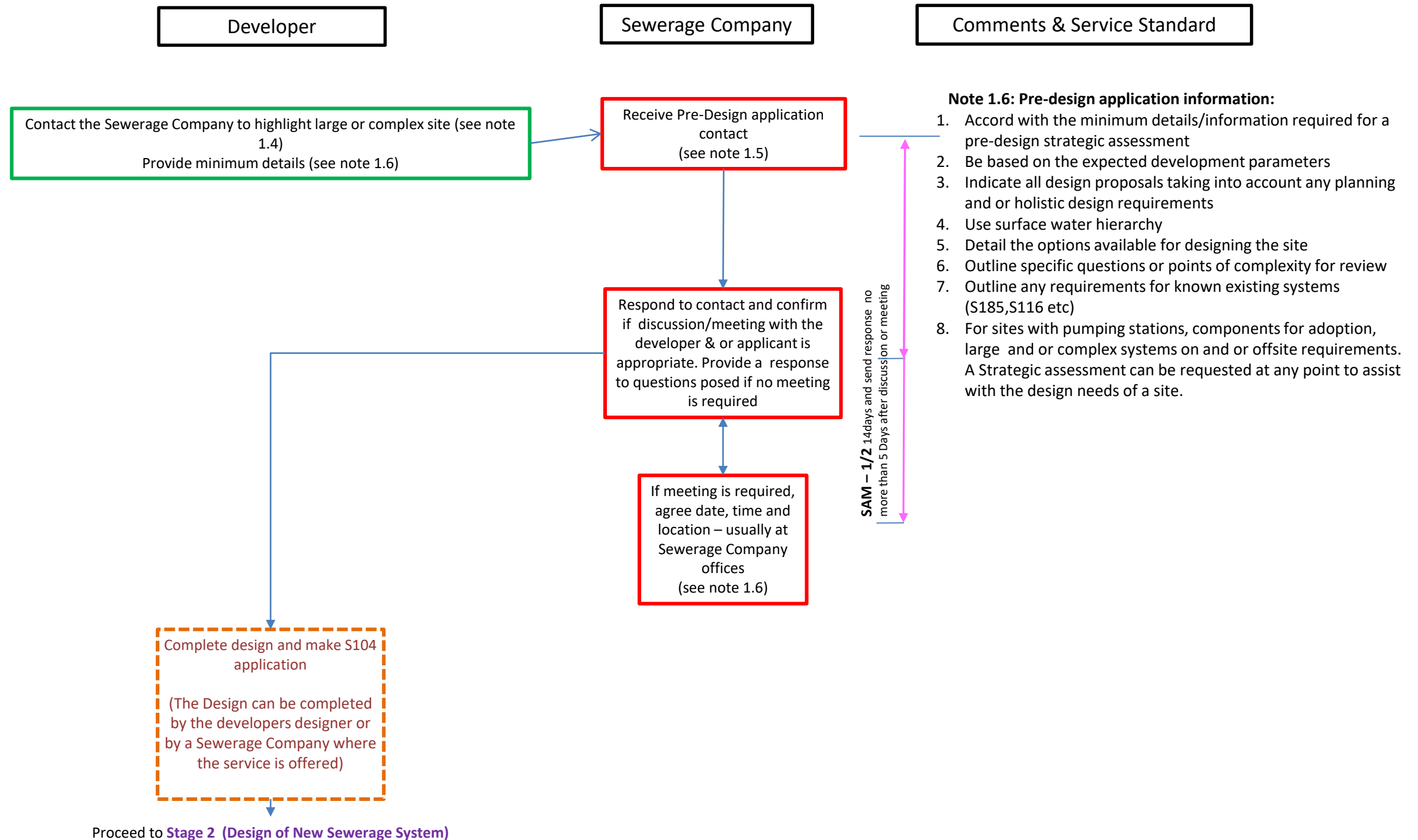
1. Be based on the expected development parameters
2. Indicate the nearest point on the existing public sewer network of an equivalent location (if the customer has not indicated a preferred point of connection)
3. Recommend an alternative or technically preferred point(s) of connection (if one is evident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

### Note 1.5: Pre Planning Response – complex sites:

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

## Stage 1b: Pre-Design Strategic Discussion/assessment

This stage is designed to capture the early engagement for the design of a site to enable the proposals for maintaining a sewerage system for its lifetime to be considered by the Sewerage Company. The earlier the discussions the better and can be requested at any point before the S104 application is requested by the developer or recommended as part of the pre-planning enquiry. It also allows the developer to confirm the **future** owner and maintainer of the sewerage system “at the outset” to use as part of their planning application.



# Stage 2 new : Design of new sewerage system

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Developer

Sewerage Company

Comments & Service Standard

This stage is designed to confirm with the developer that the system conforms to the Codes of Adoption to enable a S104 Agreement to be entered into. It will confirm the technical acceptance of the design. It also allows the developer to determine reasonable cost of the works "at the outset" for the sewerage system(s).

Define the Lead Designer role in accordance with the CDM 2015 regulations and design the system for the site. (The Design can be completed by the developers designer or by a Sewerage Company where the service is offered)

Make S104 application to Sewerage Company utilising Pre-Design details (see Sector Guidance for information required) See Note 2.1 Provide full suite of detailed drawings, parameters for the development, any preferred connection location.

Receive Acknowledgement

Receive S104 application (see note 2.2)

Initial assessment of Information provided (see Note 2.3)

Submit missing information (see Note 2.1)

Insufficient

Sufficient

Re submit designs with clear reference to each point detailed on Sewerage Company response. (See note 2.4c)

Not in accordance with DCG/LP/TS

Technical Assessment of the details see SAM 2/2) Or Resubmission of details see SAM 2/3 (See Note 2.4a)

In accordance with DCG/LP/TS

Address all strategic & technical review points and amend design

Provide response clearly detailing strategic and/or technical review points (see note 2.4b)

Provide Technical Acceptance / Conditional Acceptance may also be offered (See note 2.5)

Receive Acceptance. Provide requisite drawings and request Agreement (see Note 2.6)

Proceed to Stage 3 (Adoption Agreement)

### Note 2.1: New /Resubmitted S104 Application

1. The submission will be based on the expected development parameters as the Pre-Planning response and any planning conditions
2. The submission will be in accordance with DCG, LP and TS for the design and specifications of a system.
3. Accord with the minimum details/information required

### Note 2.2: Application receipt

1. Automatic response for online application sent (where applicable)

### Note 2.3: Initial Assessment of application details

1. Check to ensure all details are provided
2. If a full set of data for the assessment has not been received the full details will be requested
3. Once a full set of details have been received then it will be passed for a technical assessment
4. Confirm any extension required (if applicable)
5. Confirm a reference number
6. A response will be provided before the end of the 7 days

### Note 2.4a: Technical / Re-submission Assessment

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

### Note 2.4b: Details not to standards

If a design is not to specification a point by point list will detail any strategic and or technical shortfall. It may be appropriate to comment only on strategic matters in the first instance before detailed technical aspects can be reviewed. Conditional assessments will continue until full acceptance given (additional charges may apply)

### Note 2.4c: Re-submission of details

A complete response addressing each point raised must be provided so a design can be progressed to technical/conditional acceptance.

### Note 2.5: Technical or Conditional Acceptance

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

### Note 2.6: Receipt of Acceptance

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

SAM -2/1 : 7 Days

SAM - 2/2 : Technical Assessment 28 Days (includes 7 days from receipt) unless Extension is agreed.

SAM - 2/3 : Resubmissions 14 days

v1.0 25 October 2019

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

# Stage 3: Adoption agreement

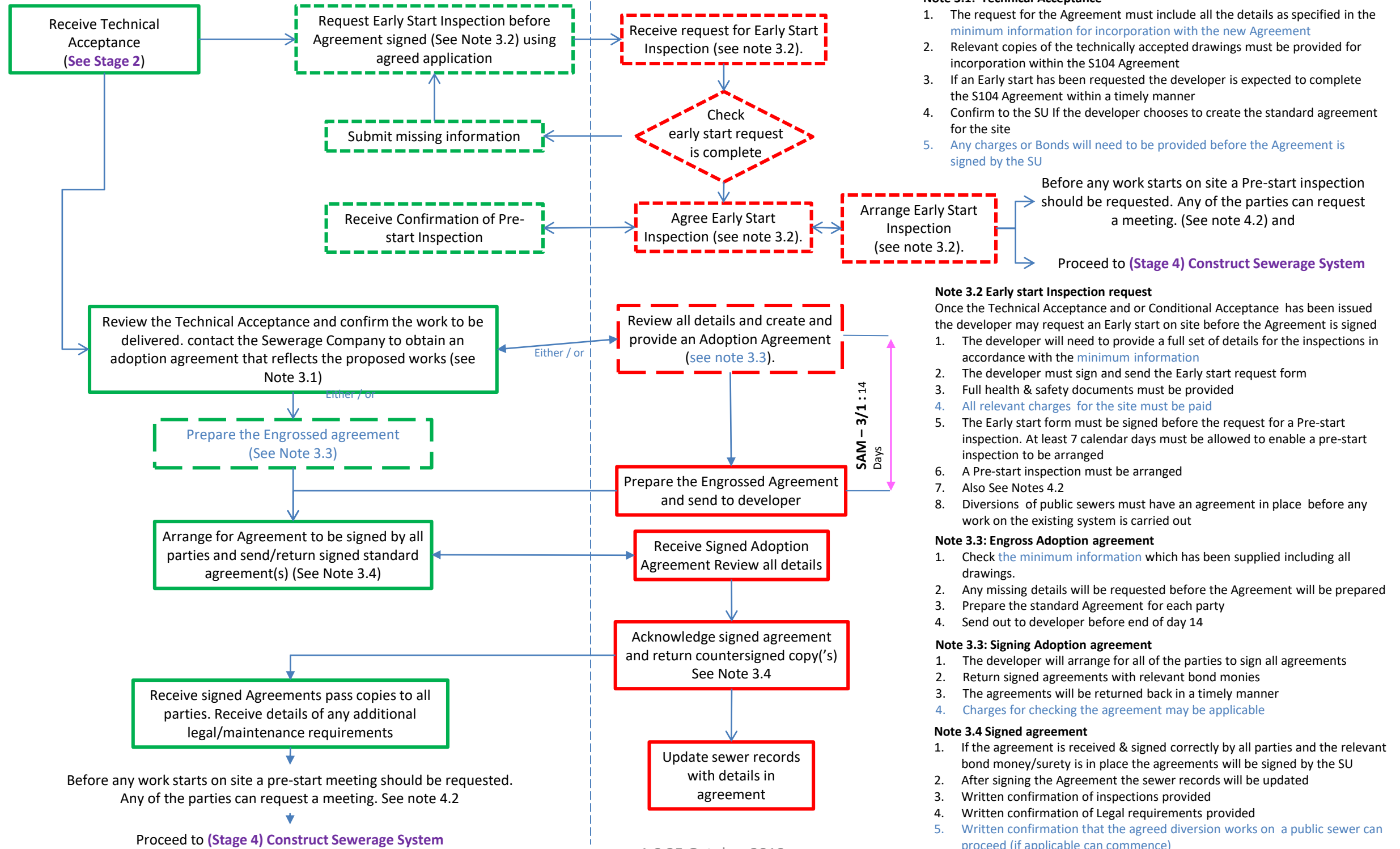
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Developer

Sewerage Company

Comments & Service Standard

This stage is designed to confirm the items needed to enter into the S104 Agreement. The agreement will be a standard Agreement. On some occasions the developer may need to start on site before the S104 Agreement is formally signed this process allows for the Early start on site to be requested.



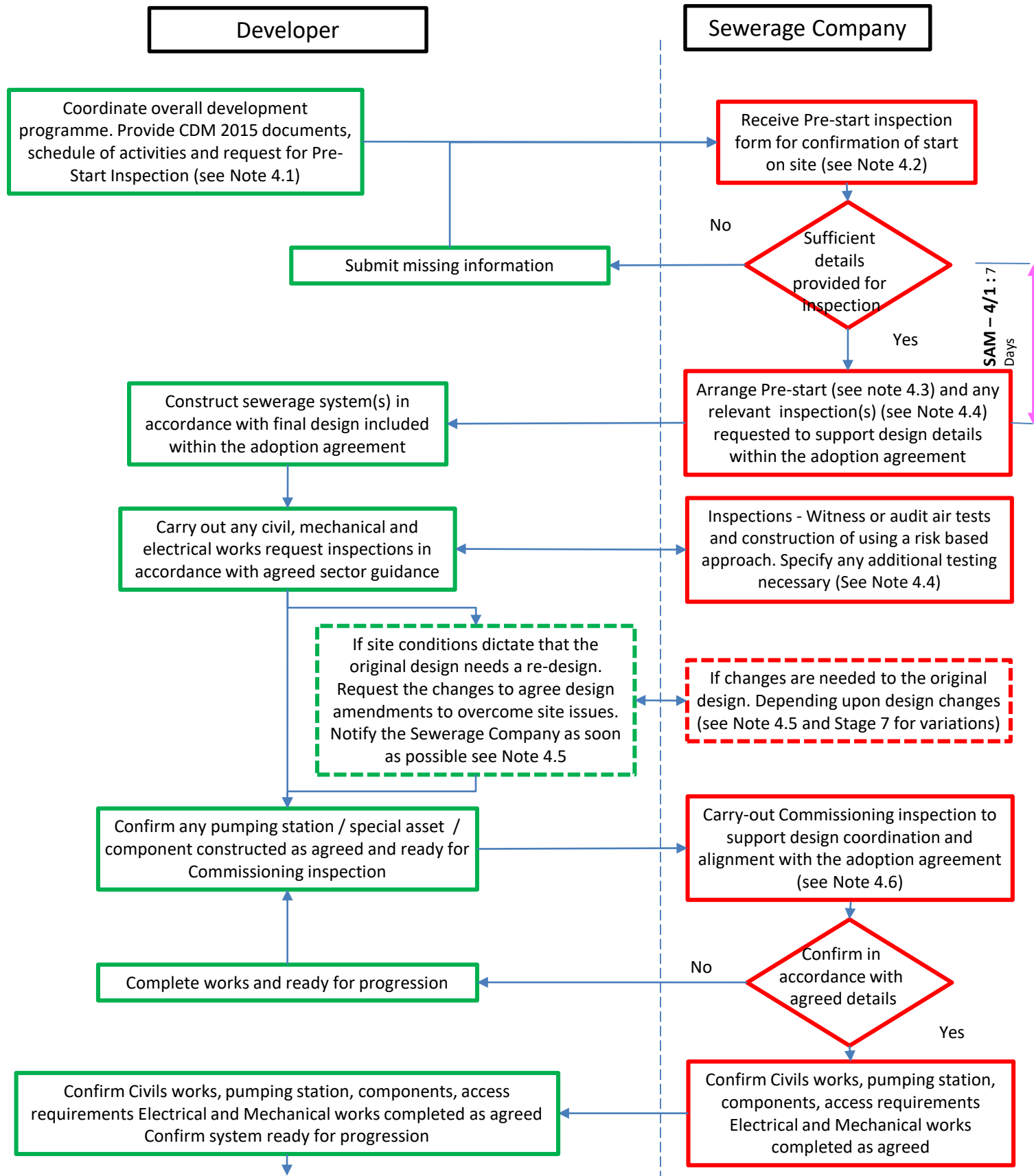
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Service Level Process Measure : All levels of service will begin on the first working day following receipt.



# Stage 4: Construct sewerage system

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- ### Comments & Service Standard
- Note 4.1: Pre-start inspection request**
- To assist all parties to coordinate activities, developer to provide sewerage companies with a schedule of activity and request for Pre-Start Inspection
  - Provide copy of F10 Notice and / or ensure that the document is available on site in accordance with CDM Requirements .
  - Any charges relating to the request for inspection must be paid before inspection requested
  - Allow at least 7 days to enable a pre-start inspection to be assessed
- Note 4.2: Pre-start inspection check**
- The early –start check and /or the Pre-start check will be completed to ensure provision of minimum information required as detailed in sector guidance
  - The developer will either receive details to arrange a Pre-start Inspection or will be asked to provide any items missing from the minimum information needed to arrange the inspection.
- Note 4.3: Pre-start Inspection**  
Pre-start inspection will comprise as a minimum an overview of:
- How the developer will be providing any provision for CDM 2015 Regulations requirements, traffic management requirements and H&S welfare requirements
  - Future contact arrangements and authorised parties for giving instructions, requesting inspections, making variations, making Novation’s and exchanging information regarding progress of the works.
  - Technically or conditionally accepted drawings and current status of Agreement.
  - Adherence to DCG , Local Practices and any Technical Standards
  - Process for dealing with variations / drawing revision / design co-ordination.
  - Connection incl. line and level & location and date of connection and method statement to also be provided.
  - Any agreed diversion work (must have agreement in place)
  - Method/provision for recording inspection notes on site
  - Overview process for confirming the completion of works and placing full or part site onto Maintenance
  - Details for submitting as-laid drawings prior to carrying out the Pre-maintenance inspection
  - Overview of Land Rights and Third Party Consents
  - Health & Safety details for Maintenance and Final inspections
- Note 4.4: Inspections**
- Developer to ensure that the Sewerage Company is contacted to arrange the necessary inspections as part of their progression plan.
  - It is the developers responsibility to arrange the inspections at each relevant point in the construction process.
  - The Undertaker may also arrange random coordination and compliance visits during the construction period
  - Inspections can be recorded on site with the mechanism of how they are recorded agreed with the inspector and the contractor/developer
  - At least 7 calendar days must be allowed to enable an inspection to be arranged.
  - Developer is responsible for all traffic management and CDM requirements for all site inspections, where provision is not available inspections will be aborted at the cost of the developer
- Note 4.5: Variation to technically or conditionally accepted drawings**
- The developer will need to provide full details for any variations to the agreed design drawings in accordance with sector guidance
  - Progress in accordance with Stage 7 Variations
- Note 4.6: Commissioning inspection**
- Provide a set of detailed drawings and request the inspection
  - At least 7 calendar days must be allowed to enable an inspection to be arranged

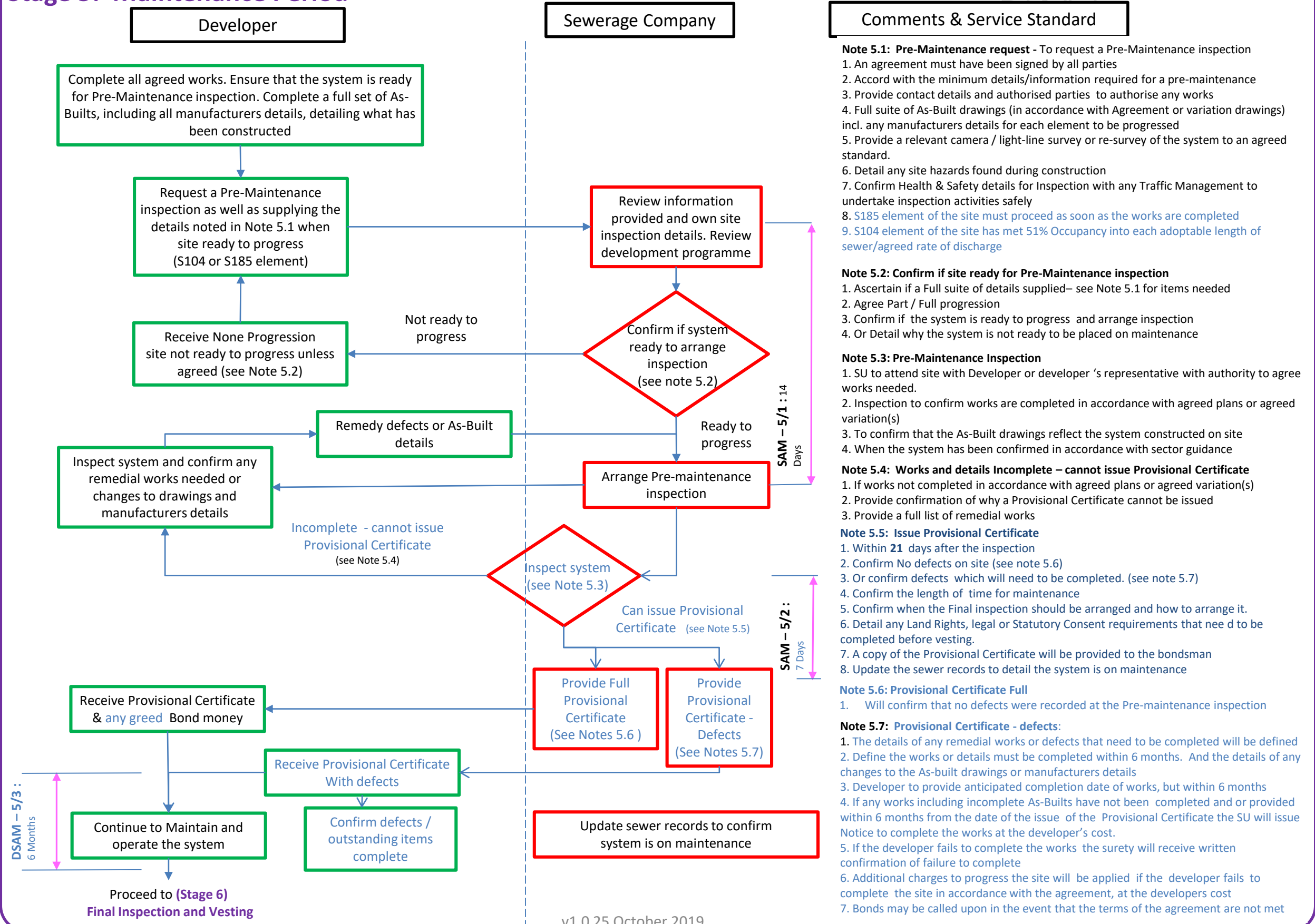
SAM – 4/1 : 7 Days

v1.0 25 October 2019

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

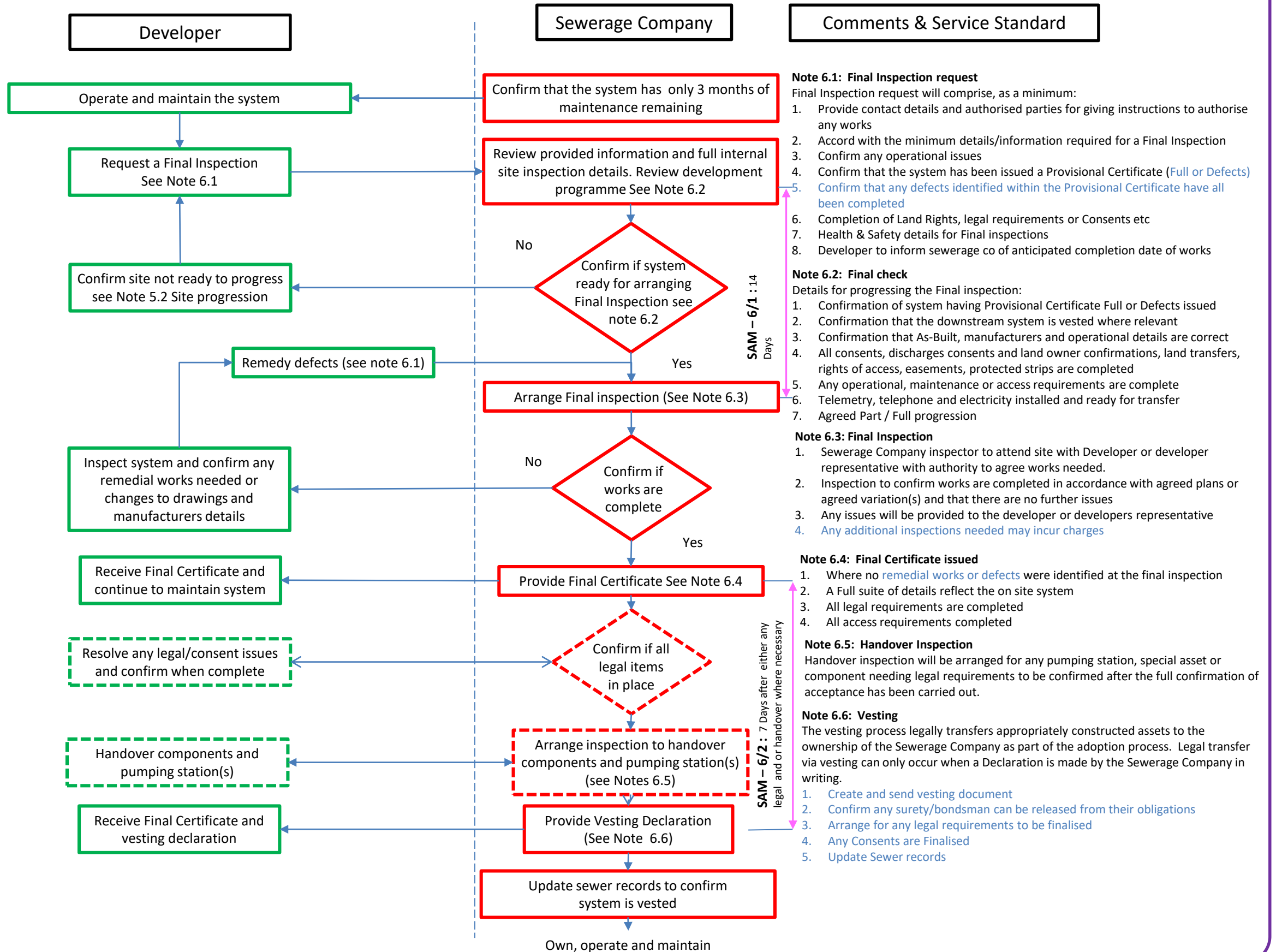
# Stage 5: Maintenance Period

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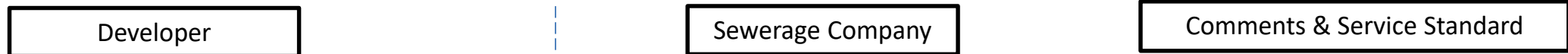
# Stage 6: Final Inspection and Vesting - system incl. pumping station and/or components *DRAFT*





# Stage 7: Variation of new sewerage system

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This stage is designed to confirm any variations requested to the design of a system once Technical Acceptance or Conditional Acceptance has been granted. Any variations which do not impact on the network hydraulics can be agreed on site by the inspector, and recorded on the 'As Constructed' plans. All other variations will be dealt with by a formal re-submission.

Request a S104 variation application to Sewerage Company utilising variation details (see Sector Guidance for information required) See Note 7.1  
Provide full suite of detailed drawings showing the existing details and the propose changes to the system or the Agreement

Receive S104 Variation application

Receive Acknowledgement

Acknowledge application (see Note 7.2)

Receive Confirmation of variation type

Confirm variation type (see Note 7.3)

Submit missing information

Complete a Variation Assessment of the details supplied (See Note 7.4)

Amend design or details needed

Variation agreed?

Receive Variation Acceptance.

Provide Variation acceptance. (See note 7.5 for confirmation details)

**Note 7.1: Variation Submission**

1. The submission will be to the sector guidance for the design and specifications of a system.
2. Accord with the details for a Minor or Major Variation

**Note 7.2: Variation Application receipt**

1. It will be acknowledged that we have received your request
2. The submission will then be checked to ensure that the details in the sector guidance for the design and specifications of a system has been provided

**Note 7.3: Variation Confirmation**

- To confirm type of Variation :-  
Where the request is received, confirmation of the type of variation will also be completed by the Sewerage Company
1. Confirm if the Variation is a minor variation where the As-Built drawings can be changed or
  2. Confirm if the variation is a major variation where a full assessment of the proposed changes to the design will be required.

**Note 7.4: Variation Assessment**

- The Variation Assessment will be used to check:-
1. The design is in accordance with a full variation assessment will be required.
  2. The sector guidance
  3. Request confirmation of any legal requirements
  4. Request manufacturers details
  5. Request risk assessments/ method statements
  6. Request health & Safety details
  7. Request confirmation of all parties to the Agreements

**Note 7.5: Variation Acceptance**

- Variation Acceptance will be granted where
1. full details have been provided and meets sector guidance
  2. Variation Agreement will be completed
  3. Sewer record will be updated to reflect any design changes
  4. Variation will be incorporated into the originally signed agreement

Expected response time of 7 Days

Expected response time of 14 Days

Expected response times of 7 Days