

Preparation of 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 tick-sheet 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:

- i) **be concise** – approximately 3 or 4 pages, written in the present tense, in plain English and in an unambiguous manner.
- ii) **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. *N.b.* Where you are a sole trader or employ only a very small number of people then it may not be necessary to have separate written procedures provided a) that your statement contains enough detail to represent your operating procedure b) you clearly indicate in your scope section the size of your company and that your statement represents your operating procedure for compliance.
- iii) **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.
- iv) **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.
- v) **explain how you comply** –the statement of compliance should make specific reference to documented procedures. State the title and reference of the documents, 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.
- vi) **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 tick-sheet (and which will thus appear on your certificate and on the website).

Subsequent amendments to the statement should be incorporated into the text, 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 additional categories you require on your certificate. Assessors will refer to this information when processing paperwork and carrying out site visits.

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

Page 4 is intended for the use of service providers who supply ‘one-off’ goods or services.

<i>Text from Code of Conduct</i>	Explanation
1. Allocation of responsibilities	The service provider will:
<ul style="list-style-type: none"> explain in detail the client's obligations under the legionellosis legislation. 	<i>Reference the legislation and your formalised procedure for explaining this to the client. It is not sufficient to simply to say that you advise customers to adhere to relevant legislation. Write a short description of the procedure.</i>
<ul style="list-style-type: none"> identify those services covered by the contract and those which should be provided by the client to meet all current obligations. 	<i>Reference to a written management procedure or formal contract is required. Explain how you identify the services.</i>
<ul style="list-style-type: none"> formalise a written agreement detailing the respective responsibilities for each requirement. 	<i>Reference your written agreement which details respective responsibilities</i>
2. Training and competence of personnel	The service provider will:
<ul style="list-style-type: none"> arrange formal training programmes for service provider personnel associated with the control of legionella bacteria (<i>See current CCA training matrix as a guide</i>) 	<i>A description of and reference to a written management 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.</i>
<ul style="list-style-type: none"> 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. 	<i>Describe and give the reference to a written management procedure which ensures that competence of all personnel is regularly assessed and appraised.</i>
<ul style="list-style-type: none"> assist the client to assess training needs of staff and then where requested advise as to how these can be met 	<i>Detail the mechanism you have for ensuring that this is done.</i>
3. Control measures	The service provider will:
<ul style="list-style-type: none"> have a management system to assess the requirements and ensure an appropriate programme of control measures is designed, implemented, monitored and maintained. 	<i>Summarise and give the reference to a written management procedure; your procedure should indicate how control measures such as product selection, chemicals used, risk assessment, service delivery and sub-contractors are set and managed.</i>
<ul style="list-style-type: none"> have a system for verifying that corrective and preventive actions are implemented 	<i>Reference needs to be made to the procedures that you use to ensure that the required actions to maintain control are implemented and remain effective.</i>
4. Communication and management	The service provider will:
<ul style="list-style-type: none"> have management procedures to respond appropriately should the system operating conditions deviate from control criteria 	<i>Explain and give the reference to your management procedure and the mechanism which details how you respond to system deviations, especially positive legionella results.</i>
<ul style="list-style-type: none"> agree with the client how the service provider would communicate with the client's nominated personnel in the event of any necessary actions. 	<i>Summarise the procedure and reference a chain of responsibility, e.g., a list of telephone numbers of contacts and their appointed deputies.</i>
<ul style="list-style-type: none"> bring to the client's attention any significant matters affecting the control of legionellosis of which he has become aware, beyond the responsibilities of the contract. 	<i>You need to indicate how you formally bring "matters of evident concern" which fall outside your contractual responsibility to the client's attention.</i>

5. Record keeping The service provider will:	
<ul style="list-style-type: none"> indicate which records should be kept by both parties and where they will be kept. 	<i>Describe and give the reference to your procedure and documentation used.</i>
<ul style="list-style-type: none"> establish with the client who will be responsible for the maintenance of these records. 	<i>Reference your procedure and documentation used.</i>
6. Reviews The service provider will:	
<ul style="list-style-type: none"> 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 legionellosis. 	<i>Describe the contract review programme and reference the procedures for arranging and conducting this with the client.</i>
7. Internal auditing The service provider will:	
<ul style="list-style-type: none"> 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 	<i>Reference the management procedure and documentation used. The self-audit needs to confirm that you have systems in place to comply with all the relevant LCA commitments. 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. A short description is required.</i>
<ul style="list-style-type: none"> establish a corrective action programme so that any non-compliance identified is corrected in a timely manner 	<i>Describe and reference a procedure that details what you will do to correct the non-conformance and prevent its recurrence.</i>
8. Sub-contractors The service provider will:	
<ul style="list-style-type: none"> have a management procedure to ensure that any sub-contractor holds an independent registration under the Code of Conduct 	<i>Describe and reference a 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</i>
<ul style="list-style-type: none"> and/or maintain additional controls and audits to ensure that all activities carried out by this third party are compliant with the Code of Conduct and any relevant legislation 	
9. Distribution of the Code The service provider will:	
<ul style="list-style-type: none"> have a management system to ensure all clients to whom services are provided, associated with the control of legionella bacteria, are supplied with a copy of the Code of Conduct and certificate of Registration 	<i>Detail what mechanism you have for ensuring that all your clients are issued with current copies.</i>

Application of the Code of Conduct for “one-off” service providers

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>1) Allocation of Responsibilities Have a clear understanding of your own responsibilities and where required, advise the client of his <u>responsibilities</u>.</p> <p>2) Training Meet the training requirements for your own staff and where applicable provide training to client associated with the product</p> <p>3) Control Measures The product or service needs to be appropriate for the purpose for which it is intended</p> <p>4) Communication and management These requirements apply in an appropriate form to the one-off supply of product or service</p> <p>5) Record Keeping You need to maintain appropriate records of product or service supplied.</p> <p>6) Reviews This is not required for one-off transactions.</p> <p>7) Internal Auditing Your internal audit will need to check that you satisfy the requirements of the Code as detailed here for one-off transactions.</p> <p>8) Distribution of the Code 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