

Annual Re-Registration Instructions for LCA Members



July 2017

Annual re-registration of your LCA membership is due with effect from 1st July 2017 for the period 2017/2018. All 2017/2018 re-registration documents and invoice will be emailed to you on 3rd July 2017.

Requirements for 2017/2018 annual re-registration are:

YOU SHOULD:

- 1. Complete the Re-registration form 2017/2018** giving all details requested.
- 2. 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: Re-Registration.
- 3. Complete the Areas of Interest Form** making sure that all categories of service you offer are ticked and giving all details requested.
- 4. Send in your most recent (within last 12 months) completed annual Internal Audit.**
- 5. Send in your latest Statement of Compliance.** Your Statement of Compliance must be dated within the last 12 months to show that you have reviewed the document. If there are no changes, you should still ensure that the date of review is inserted. If there are any changes to your SoC, including those agreed at your most recent Company Audit, these should be highlighted.
- 6. Please note that we cannot re-register companies with outstanding Company Audit action points or outstanding invoices.**

All paperwork for re-registration MUST be submitted from 3rd July 2017 onwards and accepted as satisfactory by the LCA before 31st August 2017. Please send in your paperwork in July 2017 to assist the LCA to re-register all LCA members before 31st August 2017. Failure to do this will incur a £400 administration fee.

Latest documentation is also available in the Downloads area of www.legionellacontrol.org.uk

APPLICATION FORMS

- » [Re-registration Form 2017-2018 \(ref: 305.17 06-17\)](#)

PREPARATION GUIDE

- » [Preparation for a Statement of Compliance \(ref: 202.17 06-17\)](#)
- » [Areas of Interest Form \(ref: 203.17 06-17\)](#)
- » [Requirements for an Internal Audit \(ref: 205.17 06-17\)](#)

LCA members' websites will be checked to ensure LCA members are registered for all services offered. All marketing claims on LCA members' websites regarding membership of LCA will be checked for inaccuracies. Please see the following document on What You Can and Cannot Say about your LCA registration:

IMPORTANT INFORMATION FOR LCA MEMBERS

- » [What You Can and Cannot Say \(ref: 901.17 06-17\)](#)

Any questions, please do not hesitate to contact us.

Re-Registration Form 2017-18



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

First Contact Details:

Contact Name: _____
 Contact Address: _____

 Tel. N°: _____
 Mobile N°: _____
 Email: _____

Secondary Contact Details:

Contact Name: _____
 Contact Address: _____

 Tel. N°: _____
 Mobile N°: _____
 Email: _____

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

Company Website: _____

Company Invoice Address: _____

FEES FOR RE-REGISTRATION

Annual Re-Registration fee 2017-2018

This fee is charged, together with category fees, annually at re-registration. Renewable July 1st.

£1060

Categories	x	@ £75 each
Sub Total		
Plus VAT @ 20%		
TOTAL		

All re-registration paperwork & payment must be submitted from 3rd July 2017 onwards and accepted as satisfactory by the LCA before 31st August 2017. Please send in your paperwork in July 2017 to assist the LCA to re-register all LCA members before 31st August 2017. Failure to send in paperwork within a reasonable timescale will incur a £400 administration fee. Please note that we cannot re-register companies with outstanding Company Audit action points or outstanding invoices.

STATEMENT OF UNDERTAKING

I understand that Re-registration will be subject to:

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

Signed on behalf of (Company): _____

Signature: _____

Print Name: _____

Position held: _____

Date: _____

Completed forms should be emailed to reregistration@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: Please see invoice for bank account details
 Cheque: Made payable to Legionella Control Association Limited. TOTAL ENCLOSED: £

The legal duty to comply with relevant health and safety legislation (including avoidance or control of risk to exposure to Legionella bacteria) rests solely with the statutory dutyholder, being either the employer or the person in control of the premises or systems where any relevant risk is present, and this cannot be delegated. Specific functions (e.g. carrying out risk assessment) can be delegated and the Legionella Control Association (LCA) Code of Conduct is designed to help service providers, who also have duties under health and safety legislation, to establish appropriate management systems for the prevention or control of risk from Legionella bacteria. The LCA assesses the management systems of LCA members upon initial registration, reviews annually upon re-registration, and re-assesses by annual 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 (which is only valid if the Company named is listed on the LCA website www.legionellacontrol.org.uk/directory.php) confirms only that a service provider has satisfied LCA requirements at registration, re-registration and its most recent company audit. It does not confirm the service provider's actual or continuing 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, which is the duty of the service provider and the statutory dutyholder. 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 JULY 2017

305.17 06-17

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 External / LCA reg.

7.3 Interpretation of Analysis

In-house External / 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.**

The legal duty to comply with relevant health and safety legislation (including avoidance or control of risk to exposure to Legionella bacteria) rests solely with the statutory dutyholder, being either the employer or the person in control of the premises or systems where any relevant risk is present, and this cannot be delegated. Specific functions (e.g. carrying out risk assessment) can be delegated and the Legionella Control Association (LCA) Code of Conduct is designed to help service providers, who also have duties under health and safety legislation, to establish appropriate management systems for the prevention or control of risk from Legionella bacteria. The LCA assesses the management systems of LCA members upon initial registration, reviews annually upon re-registration, and re-assesses by annual 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 (which is only valid if the Company named is listed on the LCA website www.legionellacontrol.org.uk/directory.php) confirms only that a service provider has satisfied LCA requirements at registration, re-registration and its most recent company audit. It does not confirm the service provider's actual or continuing 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, which is the duty of the service provider and the statutory dutyholder. 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.

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.

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	The Service Provider will:
1.1 Explain in detail the client's obligations under the legionella legislation.	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.
1.2 Identify those services covered by the contract and those which should be provided by the client to meet all current obligations.	Reference to a written procedure or formal contract is required. Explain how you identify the services.
1.3 Formalise a written agreement detailing the respective responsibilities for each requirement.	Reference your written agreement which details respective responsibilities.
1.4 State in the written agreement that the service provider has LCA registration for the service categories being provided.	State how you do this.
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 (LCA/MAT) as a guide.	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. Send procedure and one completed training record.
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.	Describe and give the reference to a written procedure which ensures that competence of all personnel is regularly assessed and appraised. Send procedure and one completed competence record.
2.3 Assist the client to assess training needs of staff and then where requested advise as to how these can be met.	State how you do this.
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.	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.
3.2 Have a system for verifying that corrective and preventive actions are implemented.	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.
3.3 Ensure the programme of control measures satisfies as a minimum the LCA Standards for Service Delivery.	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.
4. Communication	The Service Provider will:
4.1 Have management procedures to respond appropriately should the system operating conditions deviate from control criteria.	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.
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.	Summarise the written procedure and reference a chain of responsibility, e.g., a list of telephone numbers of contacts and their appointed deputies.
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.	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.

Service Provider Commitments of the Code	Explanation
<p>5. Record Keeping</p> <p>5.1 Indicate which records should be kept by both parties and where they will be kept.</p> <p>5.2 Establish with the client who will be responsible for the maintenance of these records.</p>	<p>The Service Provider will:</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>6. Reviews</p> <p>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.</p>	<p>The Service Provider will:</p> <p>Describe the contract review programme and reference the written procedures for arranging and conducting this with the client.</p>
<p>7. Internal Auditing</p> <p>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.</p> <p>7.2 Establish a corrective action programme so that any non-compliance identified is corrected in a timely manner.</p>	<p>The Service Provider will:</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. Send a completed audit.</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>8. Sub-contractors</p> <p>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</p> <p>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</p> <p>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.</p>	<p>The Service Provider will:</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>9. Distribution of the Code</p> <p>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.</p>	<p>The Service Provider will:</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>1. Allocation of Responsibilities Have a clear understanding of your own responsibilities and where required, advise the client of his responsibilities.</p> <p>2. Training Meet the training requirements for your own staff and where applicable provide training to the client using your 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 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.

The legal duty to comply with relevant health and safety legislation (including avoidance or control of risk to exposure to Legionella bacteria) rests solely with the statutory dutyholder, being either the employer or the person in control of the premises or systems where any relevant risk is present, and this cannot be delegated. Specific functions (e.g. carrying out risk assessment) can be delegated and the Legionella Control Association (LCA) Code of Conduct is designed to help service providers, who also have duties under health and safety legislation, to establish appropriate management systems for the prevention or control of risk from Legionella bacteria. The LCA assesses the management systems of LCA members upon initial registration, reviews annually upon re-registration, and re-assesses by annual 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 (which is only valid if the Company named is listed on the LCA website www.legionellacontrol.org.uk/directory.php) confirms only that a service provider has satisfied LCA requirements at registration, re-registration and its most recent company audit. It does not confirm the service provider's actual or continuing 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, which is the duty of the service provider and the statutory dutyholder. 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.