



# Legionella Control Association

A Code of Conduct for Service Providers

## Certificate of Registration

This is to certify that the following company has submitted a registration under the Conditions of Compliance as laid out in the LCA's Code of Conduct for Service Providers

Name of Company: **SPX Cooling Technologies Ltd**

Registration Number: **2014/2313**      Certificate valid until: **31st August 2019**

Registration under the following services categories:

**(4) Cleaning and Disinfection Services**

**(8) Plant and Equipment Services**

8.1 Installation

8.2 Refurbishment

8.3 Servicing

8.4 Design and Supply

**This Certificate is only valid if the Company named is listed on the LCA website [www.legionellacontrol.org.uk/directory.php](http://www.legionellacontrol.org.uk/directory.php)**



Signed:

Chairman, Executive Committee

Certificate Secretary



**Legionella Control Association Limited. [www.legionellacontrol.org.uk](http://www.legionellacontrol.org.uk)**

Registered in England and Wales No. 8502723

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](http://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.

## Client Obligations Under ACOP L8 & HSG274 Part 1

We draw your attention to the requirements of the HSE Approved Code of Practice (ACOP) L8, and guidance note HSG274 Part 1. These carry special status under the [Health and Safety at Work etc. Act 1974](#).

### Requirement - Cooling Systems

1. Appoint a responsible person
2. Detail lines of communication
3. Undertake a Legionella Risk Assessment and review regularly
4. Create a written scheme of control
5. Implement a control scheme that should, as a minimum, include the below:

### Recommended Testing and Maintenance Programme

Period	Cooling Water	Makeup Water
<b>Weekly</b>	<ul style="list-style-type: none"> <li>• Oxidising biocide (ppm)</li> <li>• Conductivity (<math>\mu</math>S)</li> <li>• pH</li> <li>• Microbiological activity*</li> <li>• Check control equipment</li> </ul>	Good practice dictates, rather than HSG274 Part 1 Hardness ( $\text{CaCO}_3$ ppm) (If a water softener is used)
<b>Monthly</b>	<ul style="list-style-type: none"> <li>• Concentration factor hardness (<math>\text{CaCO}_3</math> ppm)</li> <li>• Total alkalinity (<math>\text{CaCO}_3</math> ppm)</li> <li>• Total iron (Fe ppm)</li> <li>• Chloride (Cl ppm)</li> <li>• Inhibitor (ppm)</li> <li>• Calcium balance (if applicable)</li> <li>• Observation of pond, pack and water conditions</li> </ul>	<ul style="list-style-type: none"> <li>• Hardness (<math>\text{CaCO}_3</math> ppm)</li> <li>• Conductivity (<math>\mu</math>S)</li> <li>• Chloride (Cl ppm)</li> </ul>
<b>Quarterly</b> (In addition to those above)	<ul style="list-style-type: none"> <li>• Temperature (<math>^{\circ}\text{C}</math>)</li> <li>• Legionella (cfu/l)</li> <li>• Inspect and then...</li> <li>• Clean and disinfect as required for a system in a dirty environment</li> </ul>	<ul style="list-style-type: none"> <li>• Total alkalinity (<math>\text{CaCO}_3</math> ppm)</li> <li>• pH</li> <li>• Microbiological activity*</li> <li>• Total iron (Fe ppm)</li> </ul>

## Client Obligations Under ACOP L8 & HSG274 Part 1 (continued)

### Notes:

- \*Dipslide (incubate 48 hrs @ 30°C) or total viable count (cfu/ml)
- ppm is equivalent to mg/l of water
- \*\*Note the inspection required quarterly/six monthly or annually should include:
  1. General system condition
  2. Heat exchanger
  3. Cooling tower distribution system
  4. Drift eliminators
  5. Cooling tower pack
  6. Fill pack supports and internal structures
  7. Fill baskets and tie rods
  8. Cooling tower base tank (or pond) and other sumps

We also draw your attention to the [Control of Substances Hazardous to Health \(COSHH\) Regulations](#) and the [Management of Health and Safety at Work Regulations](#), as these also apply to Legionella management.

In addition, you have a requirement to register any cooling system or evaporative condenser with the local authorities under the [Notification of Cooling Towers and Evaporative Condensers Regulations](#).

Please note that while we maintain all records of the works and testing SPX Cooling Technologies UK Ltd. undertake, you are responsible for maintaining your records of the works, copies of job reports and testing certificates SPX Cooling Technologies UK Ltd. issues.

The Client Obligations under ACOP L8 & HSG274 Part 1 together with the SPX Statement of Compliance and a copy of our LCA Registration Certificate can be found at this link: [spxcooling.com/library/detail/lca-certificate](https://spxcooling.com/library/detail/lca-certificate)

We confirm that SPX Cooling Technologies UK Ltd. has the LCA membership for the service category provided.

# SPX Cooling Technologies UK Ltd.

## Statement of Compliance

### SPX Cooling Technologies UK Ltd. is a supplier of:

1. Cooling tower and evaporative condenser cleaning and disinfection services
2. Cooling water systems

A service support is provided for the above cleaning & disinfection works; this is typically provided on a one-off basis but may be contractual.

All works are carried out by the employees of SPX Cooling Technologies UK Ltd.; quotation works may be undertaken by Sales Agents who work to SPX Cooling Technologies procedures and, as such, are not considered sub-contractors under the LCA guidance.

### 1.0 Allocation of Responsibilities Procedure 01 Applies

Details of the client's obligations under the legislation are communicated by directing the customer to [this link](#). The document can be downloaded by the customer and contains the Client Obligations under ACOP L8 & HSG274 Part 1 together with the SPX Statement of Compliance, SPX LCA Registration Certificate and Code of Conduct.

The relevant legislation is:

- [The Health & Safety at Work etc. Act 1974](#)
- [Control of Substances Hazardous to Health Regulations](#)
- [HSE Approved Code of Practice & Guidance L8 "Legionnaires' disease: The control of legionella bacteria in water systems" and guidance note HSG274 Part 1](#)
- [Management of Health and Safety at Work Regulations](#)
- [The Notification of Cooling Towers and Evaporative Condenser Regulations](#)

The client requests a quotation for works, following a discussion, e-mail exchange and/or site visit. SPX Cooling Technologies UK Ltd. issues a quotation detailing the works to be undertaken and the limit of their responsibilities.

The allocation and limit of responsibilities for each job is defined by quotation, and/or service specification/method statement from SPX Cooling Technologies UK Ltd. to their clients.

The receipt of an order from the client with the quotation comprises a one-off contract.

It is confirmed in Obligations ACOP L8 & HSG274 Part 1 that SPX Cooling Technologies UK Ltd. has LCA membership for the services provided.

### 2.0 Training and Competence of Personnel Procedure 02 Applies

SPX Cooling Technologies UK Ltd. lists minimum training requirements for each member of staff employed. This training is typically undertaken via field-based training and attendance at classroom training sessions as appropriate. New employees undertake training appropriate to their roles. Training is scheduled from initial employment, and an introduction is undertaken on day one of employment, which also reviews previous training and competence.



## SPX Cooling Technologies UK Ltd.

### Statement of Compliance (continued)

Employees are subjected to an audit of competence every 2 years conducted by the SPX EMEA Parts & Service Manager and/or Service Operations Supervisor, using the Staff Competency Form which assesses set skill areas and highlights any areas for further training if required.

All SPX Cooling Technologies UK Ltd. staff are kept up to date with best practice procedures via team meetings, talks and specific training sessions, and toolbox talks as deemed appropriate. Further information is available from sources such as [Waterline, the online journal of the Water Management Society \(WMS\)](#).

Due to the nature of SPX Cooling Technologies UK Ltd. work, we do not undertake to assist the client in assessing the training needs of their staff.

#### 3.0 Control Measures Procedure 03 Applies

SPX Cooling Technologies UK Ltd. cleans and disinfects the client's pre-defined equipment to HSG274 Part 1 specification. A site-specific method statement is issued. This defines the control procedure.

Should the client require disinfection to an alternative methodology than HSG274 Part 1, SPX Cooling Technologies UK Ltd. follows the client's requested procedure only if SPX is of the opinion that the client's chosen methodology is equal to or better than that outlined in HSG274 Part 1. The client's methodology becomes the control procedure.

Where SPX believes the client's chosen methodology does not meet the minimum requirements as outlined in HSG274 Part 1, SPX will not undertake the work and will advise the client of this via the completed job sheets.

All contract cleaning works are scheduled by the Service Operations Supervisor, using an Excel file Service Work Schedule.

In the event of capital items or remedial works items being supplied, these are not subject to on-going control measures other than designed and supplied to a site specific specification.

Any non-conformances (identified during the works) are flagged for communication to the client by the EMEA Parts & Service Manager and/or Service Operations Supervisor. Communication can be via telephone and/or e-mail.

Non-conformances are also communicated internally within SPX and follow SPX internal Quality process through our in-house Quality Management System.

The control programme (cleaning & disinfection only) is confirmed as conforming to the LCA service standards via the SPX Cooling Technologies UK Ltd. internal audit - Procedure 07.

#### 4.0 Communication and Management Procedure 04 Applies

SPX Cooling Technologies UK Ltd communicates with our clients typically by e-mail quotation, completed job worksheets, and telephone. The agreed line of communication is established at initial quotation stage and detailed in the job file once an order is received. This details the lines of communication with contact details as required, including telephone numbers and e-mail addresses.

## SPX Cooling Technologies UK Ltd.

### Statement of Compliance (continued)

If there is a fault or failure on a piece of equipment/disinfection process, this is brought to the client's attention by statements on our job sheets.

SPX Cooling Technologies UK Ltd. also telephones and/or e-mails the clients to ensure they are made aware of the issue.

If there is a matter of concern regarding legionella control outside the scope of our works of which we are aware, we bring this to the attention of the client as above by the use of job sheets, letter and e-mail.

#### 4.4 Formal Escalation Procedure

In the event that serious non-compliances are found at a customer site that may have the potential to cause harm to site personnel or the general public, these are to be highlighted to the customer. A 5-stage escalation procedure will be used to ensure serious issues are highlighted and addressed within a suitable timeframe.

**Stage 1** – Any concerns/issues are to be highlighted in the job completion report and signed by client's designated responsible person.

**Stage 2** – Informal follow-up by SPX by e-mail or phone within 6 to 8 weeks of the issue being highlighted.

**Stage 3** – Concerns escalated to client contract immediate supervisor.

**Stage 4** – Informal follow-up by SPX by e-mail or phone within 6 to 8 weeks of the issue being highlighted.

**Stage 5** – If no response or action is taken by the client, concerns are raised to appropriate governing body.

#### 5.0 Record Keeping Procedure 05 Applies

SPX Cooling Technologies UK Ltd. maintains the following records at their offices:

- Enquiries received.
- Quotations issued.
- Orders received.
- Signed job sheets of completed works.
- All correspondence with clients.

Both paper and digital records are stored. A job file is used.

The clients are responsible for maintaining their own records as defined in the document - Obligations ACOP L8 & HSG274 Part 1. Customers are directed to this document in each quotation issued via a hyperlink to the SPX Cooling Technologies website.

# SPX Cooling Technologies UK Ltd.

## Statement of Compliance (continued)

### 6.0 Reviews Procedure 06 Applies

These are undertaken annually with contract customers. Review doc ref 3/3frmA Service Questionnaire is used as an outline agenda and to record the review meeting. The review meeting is undertaken by the EMEA Parts & Service Manager and/or Service Operations Supervisor.

The client is contacted in advance to arrange a time for the meeting and provided with an opportunity to contribute to the meeting agenda.

The date and time of the meetings together with attendees is recorded on doc ref 3/3frmA Service Questionnaire.

Any actions resulting from the meeting also are recorded and communicated internally via meetings, e-mail or EtQ system for follow-up and resolution.

### 7.0 Internal Auditing Procedure 07 Applies

Annually the SPX Cooling Technologies UK Ltd. Plant Manager audits the procedures in the Statement of Compliance such that we comply with the various sections of the Code of Conduct.

Internal audit form LCA is used.

The Audit takes place over a half day with no advance notice given to the process owners. Two to three contracts are reviewed and the process followed through from enquiry to completion on contracts awarded. Review of initial site survey, quote prep and content, issue of appropriate documentation, proper sign off and handover together with an adequate paper trail form the basis of the audit.

Contracts are selected at random and results/observations and any non-conformances recorded on Internal Audit Form LCA.

Remedial actions required are reported on the audit form with an action required by date. The required actions will be communicated to the interested parties via e-mail.

Closed actions are signed off using the Internal Audit Form LCA.

### 8.0 Sub-Contractors

SPX Cooling Technologies UK Ltd. does not use sub-contractors.

### 9.0 Distribution of the Code: Allocation of Responsibilities Procedure 01

SPX Cooling Technologies UK Ltd. posts our Statement of Compliance, LCA Registration Certificate and Code of Conduct on our website. The client is made aware of this in the document Obligations ACOP L8 & Part 1 and via a hyperlink contained in e-mail signatures.

## 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, Hoyer 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

