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## Overview

This Standard is about advising and educating people to comply with the legislation, and instigating enforcement procedures for non-compliance.

It involves explaining the implications of failing to comply, establishing a plan for compliance with follow-up actions, drafting and having served contravention notices, responding to customer questions and requests and recording relevant details, including evidence of contraventions.

This Standard is for water fitting regulations and byelaws inspectors.

## Performance criteria

### *You must be able to:* **Secure compliance by discussion, advice and education**

1. explain the purpose of the legislation and check that relevant people understand it
2. make clear and accurate statements to relevant people about the implications of failure to comply with the legislation
3. provide accurate information about the coverage of legislation and actions which can be taken to ensure compliance
4. explain that enforcement decisions are based on sufficient, relevant and accurate information, obtained within organisational policies and procedures
5. negotiate and agree a compliance plan and follow-up activities with relevant people
6. make sure the people you are negotiating with understand what needs to be done to achieve compliance
7. record accurate information about the detail and outcome of discussions and agreement reached with relevant people
8. follow-up compliance plans at the stated time and take relevant action following the outcome of re-inspections

### **Instigate and contribute to enforcement procedures**

9. assess the risks which can be caused by contravention(s) and record the evidence in accordance with approved procedures and practices
10. issue contravention notifications without delay and in accordance with approved procedures and practices
11. explain the validity of decisions to customers, by using appropriate evidence, which clearly differentiates between fact and opinion
12. report the detail of enforcement activities to relevant people in an appropriate format
13. suggest changes to systems and procedures that will improve them
14. highlight emerging trends in non-compliance issues to relevant people

## Knowledge and understanding

*You need to know and understand:* **Secure compliance by discussion, advice and education**

1. relevant regulations and byelaws appropriate to England, Northern Ireland, Scotland and Wales covering the design, installation and maintenance of plumbing systems, water fittings and water-using appliances
2. relevant regulatory, organisational, operational and emergency processes and procedures relating to health, safety and the environment
3. what constitutes contravention of legislation for different plumbing systems
4. the importance of making sure that people understand the purpose of legislation
5. the implications of non-compliance including straightforward, major, cost, risk, practical and logistical implications
6. how to communicate with customers, contractors, plumbers, individuals and groups
7. the importance of confirming, as far as practical, a relevant person's understanding of the implications and of not complying with them
8. how to carry out negotiations in a manner that maximises goodwill, co-operation and understanding of organisational policies and procedures
9. different types of risk posed by different contraventions and the actions and penalties which can be applied
10. what needs to be covered in the compliance plan including the rectifications for short term and permanent compliance
11. how to determine acceptable timescales for follow-up activities
12. information sources for the types of follow-up activities you may need to carry out including further investigations, re-inspection, providing documentation or information, receiving documentation or information
13. recording requirements and the potential for its use as evidence where legal action is undertaken
14. communication and negotiation techniques
15. actions to take following re-inspections
16. how to identify sources of information, their types and how to access them

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### **Instigate and contribute to enforcement procedures**

17. different types of risk posed by different contraventions and sanctions and the penalties which can be imposed
18. what is involved in issuing compliance notifications and instigating enforcement procedures and when it is appropriate to do so
19. the importance and methods of recording the evidence, and its use in legal proceedings
20. organisational requirements for completion of contravention notifications
21. who requires notice information
22. enforcement procedures
23. organisational and regulatory complaint procedures and any documentation required

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Use discussion, advice and education and secure compliance with water fittings regulations and byelaws



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