



guardians of drinking water quality  
**DRINKING WATER INSPECTORATE**

**THE DRINKING WATER**  
**INSPECTORATE**

**GUIDANCE ON THE**  
**NOTIFICATION OF EVENTS**

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# **DWI GUIDANCE ON THE NOTIFICATION OF EVENTS**

## **1 Introduction**

- 1.1 Water undertakers and water supply licensees are required to notify the Inspectorate of any event which, by its nature has, or is likely to adversely affect the quality or sufficiency of the water supplied by it, or, has or is likely to give rise to a significant risk to the health of the persons to whom the water is supplied.
- 1.2 This requirement is set out in paragraph 9(1) of the Water Industry (suppliers' Information) Direction 2009 ('the Direction'), which came into effect on 8th April 2009. Similar requirements were set out in earlier Directions.
- 1.3 Over the years the Inspectorate has provided water companies with guidance on event notification by way of Information Letters, the most recent being on 19<sup>th</sup> January 2009 (Information Letter 02/2009). This guidance updates and replaces the earlier guidance.

## **2 The Water Industry (Suppliers' Information) Direction 2009**

- 2.1 Paragraph 9 of the Direction provides generic guidance on the notification of events to the Inspectorate and the associated provision of information. It does not specify the type of events that should be notified.
- 2.2 The requirements of the Direction are enforceable under section 18 of the Water Industry Act 1991 ('the Act').
- 2.3 Paragraph 9 of the Direction is given in Annex 1 for reference.

## **3 Definitions**

- 3.1 In order to assist water undertakers and water supply licensees in their decision making processes, the Inspectorate has developed the following definitions:

**Event** – any occurrence, which by its nature is required to be notified under the Direction.

It is not possible to provide an exhaustive list of situations that might be regarded as events. A list of examples, based on experience, can be found in Annex 2.

The decision on whether or not to notify the Inspectorate has to rest with the water undertaker or water supply licensee, taking into account the particular set of local circumstances at the time. Notification is always prudent if a

situation has generated consumer concern, especially in respect of drinking water quality and health, but we expect companies to take a pragmatic view. For example, in terms of event notification, there is no need to notify routine consumer contacts about water quality or compliance failures unless their character, singularly or collectively, would be considered unusual and thus amount to an event (see Annex 2 for examples).

**Events will be classified into one of 5 categories depending on their potential to impact negatively on public confidence in the water supply. Those with a greater potential will potentially require a wider, or greater or different type of resource input to assess i.e. the Inspectorate may decide it appropriate to involve health professionals, press office, utilise GIS mapping capability within the organisation or simply escalate the resources available to investigate at an early stage. Additionally the information required from the company may vary significantly in terms of format, detail and timescales. The event response framework provides an opportunity to maintain the current baseline standard for reporting whilst tailoring the reporting to DWI appropriately. It is recognised that occasionally the more serious events are those which take the longest time to investigate and conclude – this framework provides the Inspectorate with suggested intermediate milestones for those events.**

1. **Not significant** – least potential negative impact on public confidence in the water supply
2. **Minor** – some potential for negative impact on public confidence in the water supply, but not requiring significant level of investigation
3. **Significant** – potential for negative impact on public confidence in the water supply requiring a detailed investigation and assessment of the event by a warranted Inspector.
4. **Serious** – significant potential for negative impact on public confidence in the water supply requiring a detailed investigation and assessment of the event by a warranted Inspector, possibly with additional internal and external support (to be determined on initial assessment of the circumstances of the event).
5. **Major** - significant potential for negative impact on public confidence in the water supply requiring a detailed investigation and assessment of the event by a warranted Inspector with additional internal and external support at all seniority levels (to be determined on initial assessment of the circumstances of the event).

3.2 The term ‘significant’ is used frequently in the Direction and in the above definitions of an event. It is not possible to give a precise definition of its meaning in this context, as it will depend on each particular set of circumstances. Generally ‘significant’ should be taken to mean higher than normal levels of contacts from consumers expressing concern. However it should be borne in mind that a serious

problem with a water supply may come to light through a report by just a single consumer. The terms ‘unexpected’ and ‘unusual’ are also used and should be likewise interpreted sensibly.

- 3.3 Paragraph 9(1)(a) makes specific reference to ‘significant risk to the health of persons to whom the water is supplied’. Companies therefore need to take account of more than just physical health, for example, a situation that is protracted causing anxiety to those affected directly or indirectly through publicity.
- 3.4 It is always better to notify the Inspectorate of a perceived problem with drinking water quality, rather than the Inspectorate being made aware via a third party. This also applies to local or national media interest in drinking water issues that could result in consumer concern. No further action is required if the situation does not develop, other than to inform the Inspectorate of the outcome. Companies should be aware that anyone, not just themselves, can notify the Inspectorate of a situation involving actual or perceived risk to water quality. The Inspectorate does not treat such notifications differently from those made by companies.

## 4 The Notification Process

- 4.1 The notification and reporting requirements are set out in paragraphs 9(2) to (4) of the Direction (see Annex 1).
- 4.2 The company should contact the Inspectorate as soon as it is aware of a notifiable problem or of a developing situation, which might become notifiable. This should be done by telephone to the relevant Company Inspector specified within the cascade system. (IL 1/2009). In the case of positive *Cryptosporidium* results which satisfy criteria for notification, email may be used. For others, a follow up email should be sent in order to satisfy the requirements of the Direction. These should be sent to the Events Team e-mail box specified in 4.5.
- 4.3 A pragmatic approach needs to be taken for situations that arise out of normal office hours. Notification of minor events can probably wait until the next working day, unless they escalate in the meantime. All significant events should be notified by telephone using the cascade system and all notifications should be followed up by e-mail as specified in 4.5, in the case of out of hours notifications on the next working day. In the case of notifications of positive *Cryptosporidium* results in treated water samples, the proforma in Annex 3 should be used as the basis of the notification which in this case may be by email only.
- 4.4 A list of the minimum information that should be supplied with the initial notification is given in Annex 4. This can be given over the telephone, with a follow up email. However it is recognised that some of this information may not be readily available at the time of the initial contact. Every effort should be made to include as much information as possible in the interim report, which has to be submitted to the Inspectorate within three working days of the initial notification (See Annex 5). Updates should be provided during the intervening period if the situation escalates.
- 4.5 The interim report should always be sent to the Events Team preferably electronically and should use the following e-mail address: [dwi.events@defra.gsi.gov.uk](mailto:dwi.events@defra.gsi.gov.uk) (DWI Events). This is to ensure that the company can be advised of the event classification within the required time period. (Company day-to-day contacts will be notified when this e-mail becomes active to permit current work to pass through and therefore companies should mail the notified Inspector until then).

## 5 Actions taken by the Inspectorate

- 5.1 On receipt of the initial notification, the Inspectorate circulates outline details of the event to policy colleagues in Defra, the Welsh Assembly Government, and to key external stakeholders (e.g. the Food Standards Agency, the Environment Agency

and Department of Health), *as appropriate*. Ministers will be advised if the event is of sufficiently high profile or has occurred in their constituencies.

- 5.2 Within 5 working days of receipt of the interim report on the event, the Inspectorate will advise the company, either by email or in writing:
- The event response they intend to take in relation to this event together with timescales and format of any further information requirements; or
  - Whether the company has not provided sufficient information to classify the event and further information is required, which may include a final report within 20 working days of the date of the notification in writing, or such longer period as may in any case be requested by the Inspector as part of an ongoing investigation commensurate with the categorised level of the notified event.

A list of the minimum information that should be supplied in the final report is given in Annex 6.

- 5.3 The Inspectorate accepts that there will be occasions when the company's investigations cannot be completed within the requested reporting period, either because of the complexity of the event or because additional information is required from third party studies (eg epidemiological reports). In these situations, the Inspectorate may be prepared to grant an agreed extension to the reporting period on request from the water company. In order to meet the requirements of the Direction the request and the agreed extension have to be in writing, although correspondence may be submitted electronically. A condition of granting an extension may be the provision of interim reports at specified intervals advising the Inspectorate of progress with the Company's investigation.
- 5.4 It is for the Inspectorate to decide the appropriate response for each event notification. Thus it is in the water company's interests to ensure that **all** information relevant to assessing the event is submitted in a timely and accurate manner.
- 5.5 All events will be fully assessed by the Inspectorate and a concluding letter will be sent to the company, and any relevant stakeholders. For less significant events, the assessment will take the form of a standard letter confirming the classification and closing the file. However there will be occasions when they require a more detailed letter, either because of the unusual nature of the event or because of the way in which it was handled by the company. This Assessment Letter will be sent to the Board Level contact of the company. The assessment letter will set out the findings and conclusions of the assessment, with any recommendations requiring a formal response from the Company within 20 working days to the Inspector who carried out the assessment.

- 5.6 If the event is perceived to be serious or unusual, the Inspectorate may need to consider a visit to the site. This requirement will depend on the circumstances of the incident and will be decided on a case by case basis. Generally the company will be notified in advance of the visit, but exceptional circumstances may mean that minimal notice (24hrs) will be given.
- 5.7 A flow diagram of the process is given in Annex 7.

#### Enforcement Action

- 5.8 The Inspectorate may consider initiating enforcement action under section 18 of the Act if a wholesomeness standard was contravened during the event, especially if the problem is likely to recur. Likewise enforcement may be considered for any other breach of an enforceable regulatory duty during the event.

#### The supply of water unfit for human consumption

- 5.9 The supply of water unfit for human consumption is an offence under section 70 of the Water Industry Act (1991). This section has been amended under Section 20 of Schedule 8 of the Water Act 2003, which came into force 1 October 2004. The amendment empowers the Inspectorate to investigate and take proceedings against ‘anyone involved in the supply of water’. Thus water companies and their contractors, and holders of combined licenses granted under the 2003 Act and their contractors will all be potentially liable in the event of water unfit for human consumption being supplied.
- 5.10 Section 57 of Water Act 2003 also amended section 86 of the Act to allow the Chief Inspector of Drinking Water to institute proceedings in relation to the quality and sufficiency of water supplied using a water undertaker’s supply system. This means that any person(s) whose actions result in a backflow or backsiphonage incident that affects the quality of water in the distribution system could be liable.
- 5.11 Prosecution may be considered if there is sufficient evidence to demonstrate that:
- illness or some other health effect was experienced, normally by at least two consumers, which was associated with the quality of the water supplied; or
  - the quality of the water supplied was such that normally at least two consumers rejected it for drinking, cooking or food preparation on aesthetic grounds; or
  - the concentration of a substance in, or value of a property of, the water supplied during the incident was at a level at which illness or other health effect may be expected in the long term even though none was manifest in the community at the time; and

the Inspectorate considers that:

- the water undertaker or water supply licensee does not have a defence that it took all reasonable steps and exercised all due diligence for securing that the water was fit for human consumption on leaving its pipes; or
- the water undertaker or water supply licensee does not have a defence that it took all reasonable steps and exercised all due diligence for securing that the water was not used for human consumption during the incident; and
- such a prosecution is regarded as being in the public interest.

It should be noted that a prosecution may be considered in circumstances where only a single property has been affected.

#### 5.12 Offences under Regulation 33 of the Water Supply (Water Quality) Regulations 2000/1 (Amendment) Regulations 2007 or notices served as specified in Regulation 33

Evidence gathered during the assessment may indicate that a breach(es) of the amended Regulations which came into force on the 22<sup>nd</sup> December 2007 has occurred. Potential offences will be subject to an appropriate information gathering and assessment process.

#### Dissemination of information

- 5.13 Very occasionally the assessment of a serious or unusual event may generate a number of action points or lessons to be learnt that are relevant to the industry as a whole. In such cases the Inspectorate will disseminate the relevant information by way of a separate report or Information Letter to all companies and relevant stakeholders.

## **6 Reporting in the Inspectorate's Annual Report**

- 6.1 The Inspectorate will report on the total number of event notifications in the Chief Inspector's Annual Report, along with how the events have been classified in terms of a required response. They will be listed with a summary of their nature and cause, along with details of the action taken by the company and the main findings from the Inspectorate's investigation.

- 6.2 The Chief Inspector's Statement may also refer to a significant events or a frequently occurring type of event of relevance to the industry as a whole.

## ANNEX 1

### PARAGRAPH 9 OF THE WATER INDUSTRY (SUPPLIERS' INFORMATION) DIRECTION 2009

#### Provision of information—events, incidents, emergencies etc.

9.—(1) A water supplier must notify the drinking water quality regulator of—

- (a) the occurrence of any event which, because of its effect or likely effect on the quality or sufficiency of water supplied by the supplier, gives rise, or is likely to give rise, to a significant risk to the health of persons to whom the water is supplied (including any event notified by the supplier to a local authority, Health Protection Agency or local health board under regulation 35 of the Regulations);
- (b) any other matter relating to the supply of water that—
  - (i) in the opinion of the supplier, is of national significance; or
  - (ii) has attracted or, in the opinion of the supplier, is likely to attract significant local or national publicity; or
  - (iii) has caused or, in the opinion of the supplier, is likely to cause significant concern to persons to whom water is supplied; and
- (c) any reports of disease that might be associated with water supplied by the supplier.

(2) The notification must be—

- (a) given as soon as possible after the event or matter has come to the supplier's attention, by telephone or other appropriate means; and
- (b) confirmed in writing (including fax or electronic mail) no later than 3 working days after compliance with sub-paragraph (a).

(3) The notification must include—

- (a) particulars of the event or matter;
- (b) an assessment of its effect or likely effect on the quality or sufficiency of water supplied by the supplier;

- (c) an estimate of the population affected and whether particularly sensitive water users such as hospitals, schools, or food manufacturers are affected;
  - (d) any information available about the cause or likely cause of the event or matter;
  - (e) particulars of the action taken or proposed to be taken to inform and protect customers and to rectify the situation, and an estimate of when supplies are likely to be back to normal;
  - (f) a list of any persons (other than customers of the supplier) notified of the event or matter, and a copy of any notice issued to customers and to the press about the event or matter; and
  - (g) the number of customers of the supplier who complained about the quality of their water supply and—
    - (i) if there are 50 or fewer such complainants, a list of their names, addresses and telephone numbers; or
    - (ii) if there are more than 50 complainants, a list of the names, addresses and telephone numbers of at least the first 50 of them to report the problem to the supplier;
- (4) Within 20 working days of the date of the notification, or such longer period as the drinking water quality regulator allows, the supplier must submit all relevant information about the event or matter including—
- (a) any information necessary to supplement the information given in accordance with paragraph 9(1);
  - (b) if samples were taken in connection with the event or matter—
    - (i) particulars of the time at which the samples were taken,
    - (ii) the places from which the samples were taken, and
    - (iii) the results of the analysis of the samples;

- (c) a copy of any report or advice provided to the supplier by its medical, scientific or technical advisers, a local authority or the health protection agency;
- (d) an assessment of the effectiveness of the action taken in respect of the event or matter, and of the adequacy of arrangements for liaison with the local authority, the health protection agency, the Environment Agency, the emergency services and the public, as the case required;
- (e) a statement of any lessons learned and of any proposals, if any, for further action that the water supplier considers necessary or desirable in the light of the event or matter;
- (f) a map or plot showing the location of all complaints received and all samples taken in connection with the event; and
- (g) any other information about the event or matter that the supplier considers relevant.

## ANNEX 2

### EXAMPLES OF EVENTS TO BE NOTIFIED

The following occurrences should be notified as events, along with any other occurrence that the company considers may be an event:

- a) Any event or sequence of events leading to a significant and unexpected or unusual deterioration in the quality of a raw water source, which impacts, or may impact the microbiological and/or chemical quality of the associated treated water (eg affect longer term treatment performance);
- b) Any event or sequence of events leading to a significant and unexpected or unusual deterioration in the quality of the water entering supply (e.g. the detection of indicators of faecal contamination such as *E. coli* in the water supplied from a water treatment works);
- c) Any event or sequence of events leading to a significant and unexpected or unusual deterioration in the quality of the water at any point within the distribution system (e.g. the detection of indicators of faecal contamination such as *E. coli* in the water supplied from a service reservoir);
- d) Any event or sequence of events leading to a significant deterioration in the aesthetic quality of the water supplied and resulting in consumer concerns (e.g. unusual taste/odour; discolouration);
- e) Any event or sequence of events leading to a significant and unexpected breach of Part III of the Water Supply (Water Quality) Regulations 2000 (England) and 2001(Wales) (Amendment) Regulations 2007, (wholesomeness);
- f) Any potential risk to health, whether affecting a single property or more than one property (e.g. the detection of indicators of faecal contamination such as *E.coli* or *Enterococci* in the water supplied or the risk of such a presence), which results in the issuing of advice to boil water as a precautionary measure (except when issued prior to carrying out planned work);
- g) Any significant consumer concern, whether affecting a single property or more than one property (e.g. hydrocarbon/solvent permeation or any other situation where there could be a potential risk to health), which results in the issuing of advice not to use the water (except when issued as a precautionary measure prior to carrying out planned work);
- h) Any malfunction of disinfection equipment or those upstream treatment stages necessary to prepare the water for disinfection, which has not resulted in automatic shut down of the water treatment works on high or low residual chlorine alarms or, regardless of the length of time of the failure, has

compromised the Ct value (or other measure of disinfection efficacy criteria) as defined by the Company's disinfection policy and operational procedures for that works;

- i) Any malfunction of the treatment process, which has not resulted in automatic shut down of the treatment works and, regardless of the length of time of the failure, has compromised the efficacy of other parts of the treatment train creating uncertainty about the quality of treated water that has entered supply, as defined by the Company's treatment policy and operational procedures for that works:
- j) Any treated water sample containing *Cryptosporidium* oocysts or Giardia cysts, whether or not an outbreak in the community has been confirmed or is suspected. A proforma contained in Annex 3 outlines information the company is required to confirm for any positive *Cryptosporidium* results. If the answer to any of the questions in Section 1 is positive ('Yes') then the proforma should be completed (including Section 2) and used as the template for an event notification to the Inspectorate;
- k) Any significant increase in the number of confirmed cases of cryptosporidiosis (or any other disease that may be transmitted through drinking water) in the community, reported to the Company by the local or health authority (or by any other source) as potentially related to drinking water supplies;
- l) Any notification made to the local and health authority under the provision of regulation 35;
- m) Any burst mains causing significant deterioration in water quality to a significant proportion of the population supplied;
- n) Any significant loss of supplies and/or potential depressurisation of part of the distribution system (eg burst mains; unexpected emptying of a service reservoir; or depressurisation associated with the operation of booster pumps);
- o) Any suspected or actual occurrence of backflow/backsiphonage;
- p) Any significant publicity or media interest relating to drinking water quality issues, either locally or nationally, which could give rise to consumer concerns;
- q) Any significant contact relating to drinking water quality made by a local consumer representative (e.g. local councillor, Member of Parliament, NGO or resident's association), which may result in media interest and thus consumer concern.

### Annex 3

#### Proforma for the notification of positive *Cryptosporidium* results from treated water samples.

##### Section 1): Information regarding the operation of the site prior to the detection of oocysts in the treated water (to be completed each positive result)

a) Company		
b) Name of site		
c) Date sampled		
d) Result (no. of oocysts detected)		
e) Volume sampled		

f) Does the company consider that the oocysts detected in the treated water were associated with a change in the raw water quality?	Yes	No
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g) Is the company aware of any treatment deficiencies that compromise its ability to comply with Regulation 26A of the Water Supply (Water Quality) Regulations 2000/2001 (Amendment) Regulations 2007?	Yes	No
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h) Were there any problems with the operation of any part of the treatment at the time of the detection?	Yes	No
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i) Has this occurrence prompted a notification to other authorities under Regulation 35 based on triggers agreed with them?	Yes	No
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j) If the answer to any of the questions in section 1 is 'Yes' please provide further information here and complete Section 2:		
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**Section 2) Site information (to be completed if the answer to any of the questions in Section 1 is 'Yes')**

k) Source type (surface/ground/mixed)		
l) Volume output (ave Mld)		
m) Population supplied		
n) What is the risk classification for the site?		
o) Has there ever been an increase in cases of cryptosporidiosis in the area supplied by the works either associated with the works, or that the company were notified of for which a cause was not determined?	Yes	No
p) Is there an improvement programme in place for <i>cryptosporidium</i> at this site, yet to be completed?	Yes	No
q) What microbiological parameters are in the raw water monitoring programme for this site?		
r)What treatment is in place at the works (highlighting which process steps the company have designated as primary disinfection)?		
s) Any other information		

## ANNEX 4

### **INFORMATION THAT SHOULD BE INCLUDED IN THE INITIAL NOTIFICATION (EXCEPT *CRYPTOSPORIDIUM* POSITIVE RESULTS – SEE ANNEX 3)**

**It is recognised that the person making the initial notification may not have all the information below to hand. It is also recognised that some of the information, as listed, may not be applicable to every event. Any omissions that are relevant must be included in the 3 day interim report.**

- Name of Company
- Name of event (and company reference, if applicable)
- Name of person making the notification
- Date/time of notification
- Date, time, location of event
- Nature of the event
- Area affected:
  - Site reference codes and names of all water treatment works, service reservoirs and water supply zones (including estimated population or number of properties affected, including whether any hospitals, schools or food manufacturers are likely to be affected)
- Likely cause(s) of the event
- Action taken to inform/protect consumers, including sensitive water users
- Action being taken to rectify the situation and estimated duration
- Effect or likely effect on the quality and sufficiency of the water supplied
- Any breach, or likely breach, of a chemical or microbiological standard
- Is there, or could there be, a risk to public health
- Any medical, scientific, toxicological or technical advice sought or received; from whom; and actions taken in respect of that advice
- Nature and extent of sampling
- Have LAs/HAs been informed? (Name, address (including email address if available) and telephone number of contact)

- Have other organisations been informed? (e.g. CCWater, adjacent water companies) If so, the name, address (including email address if available) and telephone number of the contact.
- Any other relevant information (eg media interest)

## ANNEX 5

### **INFORMATION THAT SHOULD BE INCLUDED IN THE INTERIM REPORT TO BE SUBMITTED WITHIN THREE WORKING DAYS OF THE NOTIFICATION (AS APPLICABLE TO THE EVENT)**

All the information provided in the initial notification, plus:

- Updates of information not immediately available at the time of notification. This should include any changes to the area affected. The interim report must include the site reference codes and names of all water treatment works, service reservoirs and water supply zones affected, including the estimated population or number of properties affected. If the company propose that the event affected a population less than the relevant DMA or WSZ size, they should submit detailed supporting evidence as to how they calculated this figure e.g. a GIS plot of the streets downstream of a valve, the operation of which caused discolouration with property numbers clearly labelled.
- Duration of the event and when supplies were returned to normal.
  - For events relating to sample failures this refers to the time a failed sample was first reported to the Water Quality team in the company, to the time the clear sample(s) which signalled the closure of the event by the company were reported.
  - For events relating to acceptability of the water (taste and/or odour, discolouration, aeration) this is the time of the first contact received by the company to the time of the last.
  - For events related to issue of warning this relates to the time the first warning was issued to the time the last notice was lifted.
- Chronology of events with date and time relevant information was received or actions taken.
- Details of the actions taken to protect consumers.
- Provision of alternative supplies, together with details of compliance of that supply with the Water Supply (Water Quality) Regulations 2000/2001 (Amendment) Regulations 2007 e.g. demonstration of compliance of bottled water supplied.
- Details of investigations that have taken place or are taking place into the cause of the event, including whether it was as a result of planned work. If so provide details of method statements, risk assessments, consumer advice, etc. relating to the work.
- Details of any media interest, with copies of any press releases issued.
- If consumers complained about the quality or sufficiency of their supplies during the event, the names and addresses of the first 50 contacts with time of the contact and details of its nature.
- Sometimes an event continues over several days. If contacts about the quality or sufficiency of the water continue to be received by the company for longer than 24 hours from the start of the event, the names, addresses and nature of the first 50 contacts received on each and every subsequent day should also be provided.

- Details of any recorded messaging used to inform consumers of the event, plus any subsequent updates, together with the number of ‘hits’.
- Details of all samples taken in connection with the event, including all on-site tests, with their location, time of sampling, and results, if available.
- Details of any event related sampling and analysis arrangements by any other agency, such as a local authority or the Health Protection Agency, if known at this stage
- Contact names, email addresses and telephone numbers for the LA and HA contacts. Where not available the name and postal address should be provided.

## ANNEX 6

### **INFORMATION THAT SHOULD BE INCLUDED IN THE FINAL REPORT (TIMESCALES AS ADVISED IN WRITING WITH EVENT RESPONSE CATEGORY AS APPLICABLE TO THE EVENT)**

All the information specified in Annex 4 and Annex 5, plus:

- A chronological log of events from the point when the company was first aware of the problem developing to the point when the company considered the event closed.
- Details of any further samples taken in connection with the event, including on site tests, with their location and time of sampling, and results. Plus an update of any outstanding results from the interim report.
- Details of any samples taken by a third party (e.g. local authority, HPA)
- If the event relates to a problem in the distribution system:
  - A plot / map of all complaints received in connection with the event and incorporating the locations of all samples taken in connection with the event (see Note 1).
  - Schematic diagrams of all assets (e.g. water treatment works, pumping stations, service reservoirs, key valves in distribution) involved during the event, demonstrating the inter-relationship between sites and the normal flow directions;
  - The same diagrams showing the flow directions that may have occurred during the event;
  - Copies of risk assessments, method statements, and planning records associated with the event;
  - Copies of instructions to contractors and details of the level of supervision carried out. In the case of Partnership Agreements, an outline of what is in the agreement in terms of maintaining water quality and safeguarding public health; copies of instructions issued by the Company's Partner to their contractor and details of the level of supervision carried out by the Company's Partner.
- If the event relates to a water treatment works or service reservoir:
  - A plot/ map of all complaints received in connection with the event and incorporating the locations of all samples taken in connection with the event (see Note 1).
  - A list of the service reservoirs and zones fed by the WTW at the time of the event;
  - Locations of the first 50 consumer contacts received and the locations of all samples taken in connection with the event.
  - an up to date process and instrumentation diagram;
  - relevant sections of the Operating Procedures;
  - copies of all relevant SCADA records for 48 hours prior to the event and during the event, including alarms;
  - a copy of the relevant pages of the Control Room Log;
  - copies of the relevant calibration and maintenance logs;
  - copies of the Operators' training records;
  - any other associated relevant paperwork, including details of any similar previous occurrences during the six months prior to the event.

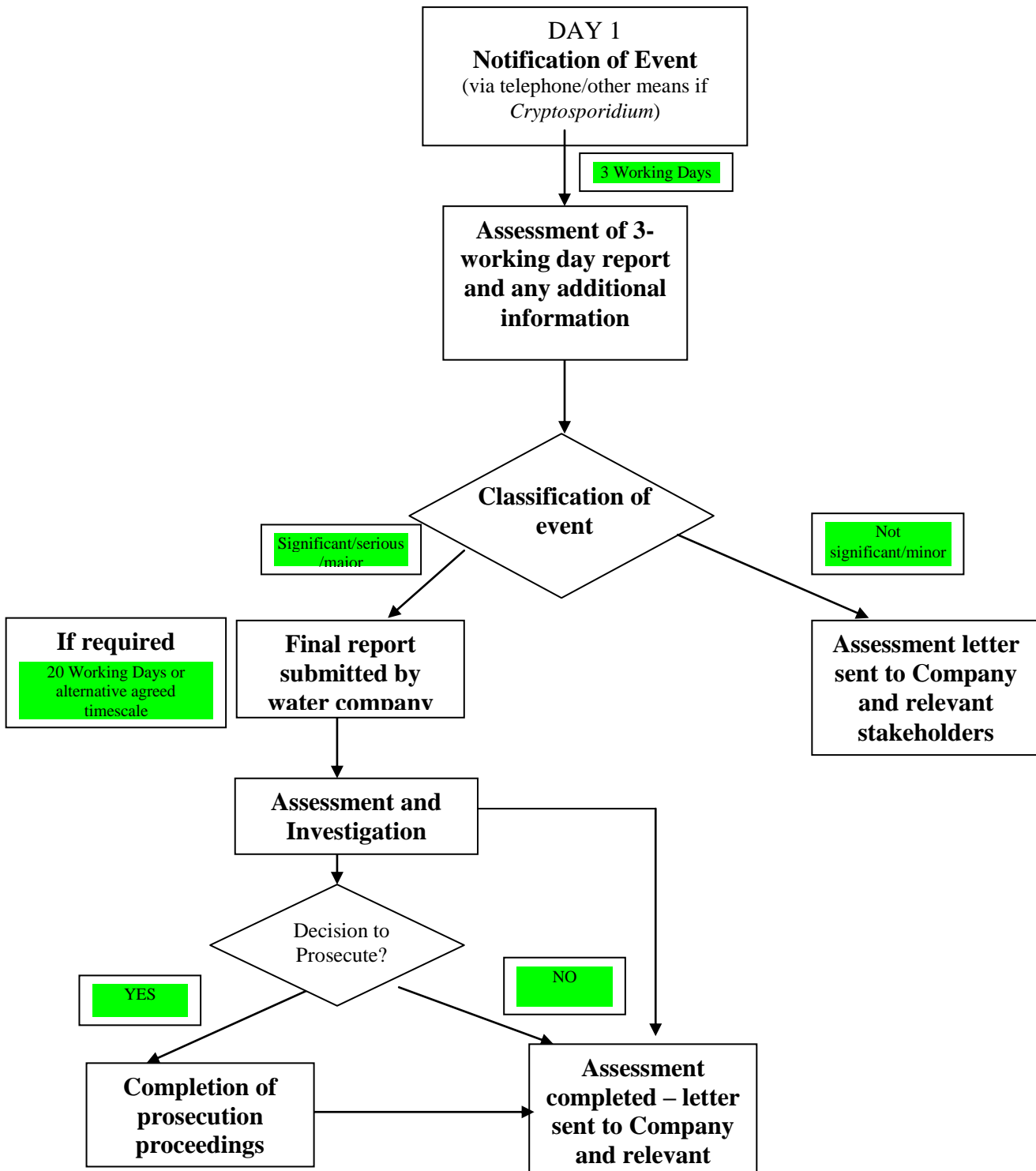
- Details of communications with other organisations, including copies of any meeting notes and emails outlining actions/decisions by the parties involved.
- Details of any outbreak control meetings attended by the company, including minutes of meetings and other information provided by the company e.g. sampling arrangements.
- Copies of any additional advice provided to consumers, either by way of scripts or in writing.
- Copies of any media reports associated with the event.
- Details of any lessons learnt from the event and actions taken or being taken to prevent a recurrence of the event. These should include any improvements in arrangements with local and health authorities, HPA etc.
- Any other information relating to the event that the company considers relevant e.g. copies of any letters about the event sent by the company to its consumers or to other stakeholders; copies of any photographs taken to highlight important aspects of the event.

**If the Company has any doubts about the level of detail required , it should discuss the matter with its Company Inspector**

Note 1:

- To aid understanding of the event it is extremely helpful if a map can be added to the report clearly illustrating the area affected. This can be added as a picture in jpg format as an appendix. The map should show the distribution of consumer contacts and locations of samples taken in association with the event where this information is available, as this is also very helpful to the assessment process.
- An electronic GIS polygon file should be provided at the same time as the 20 day report defining the area affected by the event, the boundary extent of the event should be accurate to a scale of 1:2500 or better (see Annex A of IL 6/2003). Any polygon or point file(s) provided must reference the British National Grid system. Note: DWI makes use of ESRI's ArcView 9.2 software, thus Shape (.shp) files are the preferred format for submission.
- Where the event involved a works and/or service reservoir the report must be clear about whether the event affected (or may have affected) the quality of water leaving the site. Where water did or may have left the site the other assets and zones supplied by the works at the time of the incident must be clearly stated in the report.

**ANNEX 7 – Event notification and assessment process**



## Document control

<b>Date</b>	<b>Version no.</b>	<b>Sections changed</b>	<b>Reason</b>
10 <sup>th</sup> August 2009	3	Sections 1-4; Annex 1	Reference to the Information Direction updated to reflect the new version in 2009