

Annex B - Guidance and Specification – Regulation 28 Reports

This section details improvements that are being made to the submission process of Drinking Water Safety Plan information.

1. Items in **green** will become requirements from October 2019 and should be introduced by the October 2019 submission, or when a company wishes to apply for a monitoring variation (MV) under regulation 9(4) of the Water Supply (Water Quality) Regulations 2016 (as amended) and the Water Supply (Water Quality) Regulations 2018 (Wales), whichever comes first.
2. Items in **yellow** will become requirements from October 2019 and should be introduced by the October 2019 submission.
3. Items in **blue** are requirements or changes to take effect from the October submission in 2018.
4. Changes include:
 - a) Provision of unique HazardID reference numbers in column AA (HazardID) of Risk Assessment reports, which was previously optional, will become mandatory. Universal use of unique references that identify a single specific row of DWSP risk information data will facilitate better version control of the data, no matter how many times a row of data is updated and resubmitted, while also enabling companies and DWI to identify a particular row of data in correspondence and for monitoring variation (MV) applications.
 - b) The introduction of two new DWI categories.

Category I is to be applied to future risks that have been identified, but which do not require mitigation at present.

Category X can be applied to indicate that a line of previously submitted risk data is no longer relevant.
 - c) The introduction of a new parameter suite code, PSC999, to be applied in column T (ParameterSuiteCode) of Risk Assessment reports in instances when a parameter is not monitored at that asset point. Previous guidance suggested adding information to column W (Comments), but the introduction of PSC999 removes the need for that, and information should no longer be entered in the Comments column when PSC999 has been applied. This will make the comments box available for the new conditional requirements associated with the DWI category. We no longer require the company to provide details of where the hazard is monitored.
 - d) Hazards that are associated with wholesomeness (parameters listed in tables A and B of Schedule 1) must feature in the consumer or distribution stage regulation 28 report, and at all upstream stages to the point they are potentially introduced to the supply system.

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- e) Micro-organisms, parasites or other substances sampled to comply with regulation 4(2)(a) and (b) of the Regulations must feature in the regulation 28 report for the stage they are sampled, and at all upstream stages to the point they are potentially introduced to the supply system.
- f) Hazards that are associated with compliance (Schedule 2 of the Regulations), must feature in the regulation 28 report for the stage they are sampled for compliance purposes (consumer or supply point) and at each stage from the point they are potentially introduced to the supply system.
- g) Hazards described in d), e) and f) must not be reported as part of the hazard groups in table A1 below in regulation 28 reports, unless they are being reported as part of a group, as well as individually.

Hazard groups may be used for companies' own purposes and within regulation 28 reports for all other scenarios that are not defined in d), e) and f) above, and where the risk is determined by a group analysis (i.e. where the analytical method used, detects more than one compound – GCMS for organics and PCR for viruses)

- h) Companies should provide risk assessment reports for each pesticide that is monitored for compliance purposes. These pesticides should feature at each stage (Catchment to consumer) and should not be part of 'total pesticides – B010' or 'Pesticides - H0220'. Risk assessment reports for other pesticides that are risk assessed in catchments or at abstraction points but are not monitored for compliance, should only have a risk assessment report submitted at the catchment or abstraction point stage.

Table A1

| | | | |
|----------------------------|---------------------------|-------------------------------|--------------------------------|
| H001 Chemical | H017 Lubricants | H033 Microbiological | H049 Halogenated Acetonitriles |
| H002 Industrial chemical | H018 Pharmaceuticals | H034 Parasites | H050 Haloforms |
| H003 Fuels | H019 Antibiotics | H035 Bacteria | H051 Haloform precursors |
| H004 Diesel Range Organics | H020 Anti inflammatories | H036 Viruses | H052 Chlorophenols |
| H005 Fuel oil | H021 Hormones | H037 Enteroviruses | H053 Halofurans |
| H006 Solvents | H022 Pesticides | H038 Radiological | H054 Bromohydrins |
| H007 Chlorinated solvents | H023 Insecticides | H039 Aesthetics | H055 Nutrients |
| H008 Surfactants | H024 Herbicides | H040 Particulates | H056 Aldehydes |
| H009 Detergents | H025 Fungicides | H041 Air | H057 Discolouration |
| H010 Waxes | H026 Endocrine disruptors | H042 Biofilm | H058 Bromomethanes |
| H011 Dyes | H027 Biological | H043 Disinfection by products | H059 Dichloramines |
| H012 Wood preservatives | H028 Macrobiological | H044 Physico-chemical | H060 Trichloramines |
| H013 Paints | H029 Vertebrates | H045 Organic | H061 Taste and Odour |
| H014 Fire/flame retardants | H030 Invertebrates | H046 Inorganic | H062 Contamination |
| H015 Metals | H031 Animalcules | H047 Chlorine | H063 No Supply |
| H016 Heavy metals | H032 Animals | H048 Chloramines | H064 Hydrocarbons |

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| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|-----------------------|--|---|--------------|------------|---|
| g. | Stage | Select one from controlled list of - Catchment, Abstraction, Treatment, Treatment, Bulk Supply, Distribution, Storage, Consumer. One Excel file can contain hazards for more than one type of 'stage' | Mandatory | Text | 20 | Catchment |
| h. | HazardRef | Select one from controlled list (For multiple hazards in an asset submit one record for each hazard) | Mandatory | Alphanumeric | 5 | C002 [as on published list] |
| i. | HazardousEvent | If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Optional | Free Text | 300 | Valve failure |
| j. | PreLikelihood | Likelihood score [0 – 999999] | Optional | Integer | 6 | 10 |
| k. | PreConsequence | Consequence score [0 – 999999] | Optional | Integer | 9 | 2 |
| l. | Risk | Risk Score [0 – 999999999] | Mandatory | Integer | 9 | 20 |
| m. | ControlMeasureName | Name of Controls | Mandatory unless Control Measure Details (n.) or Control Group (o.) supplied | Free Text | 600 | Catchment management |
| n. | ControlMeasureDetails | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Mandatory unless Control Measure Name (m.) or Control Group (o.) supplied | Free Text | 800 | Works shutdown until Raw water quality improves |
| o. | ControlMeasureGroup | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Mandatory unless Control Measure Name (m.) or Control Measure Details (n.) supplied | Free Text | 80 | Treatment |
| p. | PostLikelihood | Likelihood score [0 – 999999] | Optional | Integer | 6 | 8 |
| q. | PostConsequence | Consequence score [0 – 999999] | Optional | Integer | 9 | 2 |
| r. | ResidualRisk | Company Risk Score [0 – 999999999] | Mandatory | Integer | 9 | 16 |
| s. | ParametersMonitored | List parameters monitored add DWI Parameter names (IL 6/2003, Annex C - add codes separated by semicolons (;)) | Mandatory unless Parameter Monitoring Suite Code (s.) supplied | Alphanumeric | 1000 | A006;P002;B006A |

| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|---------------------------------|--|---|--------------|------------|--|
| t. | ParameterSuiteCode | Where a routine set of parameters are regularly monitored, the Company may designate a Parameter Suite Code. The format for this code should be PSC001, PSC002, etc (see Field Example). The relationship between the Parameter Suite Code and the parameters contained within it should be submitted on an annual basis. Add codes separated by semicolons (;). See Table C below for specification. | Mandatory unless individual Parameters Monitored (r.) supplied | Alphanumeric | 120 | PSC001;PSC021;PSC321 |
| u. | MonitoringRecords | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Optional | Free Text | 800 | Operational monitoring programme |
| v. | OngoingValidationProcedures | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Optional | Free Text | 800 | Enhanced filter sampling and reporting programme |
| w. | Comments | Additional Information For Category D – detail information which indicates mitigation is or will become insufficient AND/OR the information which indicates there has been or is likely to be a failure of a standard/s For Category E - Provide details of the investigation being undertaken For Category I include details of when the risk will become critical. | Optional only if not Category E, D, or I | Free Text | 800 | Risk is seasonal |
| x. | DWICategory | Select one category from controlled list (see Table D below) | Mandatory | Text | 1 | G |
| y. | AdditionalControlMeasureDetails | For Category B Provide details of the additional or enhanced control measures delivered For Category C Provide details of the additional or enhanced control measures being delivered For Category D Detail any additional control measures or enhancements identified for delivery | Optional only if not Category B C or D, or if a legal instrument reference has been provided in column z. | Free Text | 800 | Installation of UV planned for 2016 |
| z. | LegalInstrumentReference | Reference allocated by DWI Improvement Programme database | Optional | Text | 100 | ANG1234;ANG5678;ANG9101 |

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| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|------------|---|-----------|---------|------------|---------------------------------------|
| aa. | HazardID | <p>Unique identifier for this hazard entry within this RAR template</p> <p>Unique to the row of a hazard reference and a site reference combination, for the whole of its life. It can be used only once. If a second line for the same hazard at the same site is required, a new hazard ID must be used.</p> <p>Concept is similar to a person's national insurance number.</p> | Mandatory | Text | 50 | HID11111111 |

Catchments Table Template

Table A – Details of Assets defined as a catchment. Filename must follow format XXX-Catchment-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|----------------------|--|-----------|-----------|------------|---------------------------------------|
| a. | Year | Year of return | Mandatory | Integer | 4 | 2014 |
| b. | AssetRef | Where Asset is defined as a catchment and prefixed with a 'C' (as in column c. of Risk Assessment Report specification) | Mandatory | Text | 10 | C123 |
| c. | CatchmentName | Company name of Catchment | Mandatory | Free Text | 80 | Holby South Catchment Area |
| d. | CatchmentDescription | <p>Description of Catchment area</p> <p>If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database</p> | Optional | Free Text | 800 | |

Assets Table Template

Table B – Details of the links between Asset and Supply System. Filename must follow format XXX-Asset-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|-----------------|---|-----------|---------|------------|---------------------------------------|
| a. | Year | Year of Return | Mandatory | Integer | 4 | 2014 |
| b. | AssetRef | As in column c. of Risk Assessment Report specification | Mandatory | Text | 10 | Z013 |
| c. | SupplySystemRef | As in column e. of Risk Assessment Report specification | Mandatory | Text | 12 | Y1234 |

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| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|------------------|---|-----------|-----------|------------|---------------------------------------|
| d. | SupplySystemName | Company Name of supply system | Mandatory | Text | 80 | Holby South |
| e. | Comment | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Optional | Free Text | 800 | |

Parameter Suite Code Table Template

Table C – Filename must follow the format XXX-PSC-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015

| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|--------------------|---|-----------|--------------|------------|---------------------------------------|
| a. | Date | Valid from date (DD-MMM-YYYY) | Mandatory | Date | 11 | 31-JAN-2014 |
| b. | ParameterSuiteCode | Parameter Suite Code as in column t. of Risk Assessment Report Specification | Mandatory | Alphanumeric | 30 | PSC1 |
| c. | ParameterCode | Parameter code (IL 6/2003, Annex C) included in Parameter Suite in column b. above | Mandatory | Free Text | 6 | A006 |

Table D – DWI Categories and descriptions, select one category letter and place in column x of the Risk Assessment Report template.

| Category | Description |
|----------|--|
| A | Target risk mitigation achieved, verified and maintained. |
| B | Additional or enhanced control measures which will reduce risk are being validated |
| C | Additional or enhanced control measures which will reduce risk are being delivered |
| D | Additional or enhanced control measures are required to materially reduce risk |
| E | Risk under investigation |
| F | Partial mitigation |
| G | No mitigation in place : control point downstream |
| H | No mitigation in place and none required |
| I | Future risk not requiring mitigation at present |
| X | Line is no longer relevant |

Catchment Supply Table Template

Table E – specification for Catchment Supply table. Filename must follow format XXX-CatchSup-MM-YY.xls/csv where XXX is the three letter Company code, MM is the month number and YY is the year e.g. 01-15 for January 2015 Table should display a record for every Abstraction Point within a Catchment

| Col | Field name | Field description | Status | Content | Field size | Field example (For Illustration Only) |
|-----|----------------|---|-----------|-----------|------------|---------------------------------------|
| a. | Year | Year of Return | Mandatory | Integer | 4 | 2014 |
| b. | AssetRef | Where Asset is defined as a catchment and prefixed with a C (as in column c. of Risk Assessment Report specification) | Mandatory | Text | 10 | C123 |
| c. | AbstractionRef | Where Asset is defined as an abstraction point and prefixed with a A (as in column c. of Risk Assessment Report specification) | Mandatory | Text | 10 | A1234 |
| d. | Comment | [Description example – Free Text] If table is submitted in comma separated variable (.csv) format Insert in double quotation marks. This will ensure correct loading of fields in DWI's database | Optional | Free Text | 800 | |

| Col | Instructions and examples |
|-----|---|
| a | <p>Date</p> <p>(i) The date the risk assessment was completed or reviewed (even if no other change is made to the record). This date should be relevant to the line of the spreadsheet it is entered against.</p> |
| b | <p>Company</p> <p>(i) Current company (Ofwat) three letter codes.</p> |
| c | <p>AssetRef</p> <p>(i) Only codes with the following prefixes C, A, T, S, R, Z</p> <p>(ii) The asset reference used must match companies' annual 'Details' tables submission. See Table A for instructions on Catchment codes.</p> |
| d | <p>AssetName</p> <p>(i) Include the names of catchments, raw water monitoring points, treatment works, supply points, service reservoirs, zones and bulk supplies.</p> <p>(ii) The names used for assets must be identical to those supplied in companies' annual 'Details' tables submission.</p> <p>(iii) A company in receipt of a bulk supply may provide an Excel file covering the supply (SiteRef from table 5 of Annex B to IL 09/2012) and an Excel file covering the downstream zone (using the zone reference) <u>or</u> a single spreadsheet covering the zone but utilising both the 'bulk supply' and 'distribution' stages accordingly.</p> <p>(iv) In table 5 of Annex B to IL 09/2012, the DonorDWIRef must be the donor company's nearest upstream asset. Annex B to IL 09/2012 will be updated to reflect this.</p> <p>(v) Optional to fill in; the column must still appear.</p> |
| e | <p>SupplySystemRef</p> <p>(i) Determined by the company but given a set prefix Y.</p> <p>(ii) Optional to fill in; the column must still appear.</p> |

| Col | Instructions and examples |
|-----|---|
| f | <p>SupplySystemName</p> <ul style="list-style-type: none"> (i) Determined by the company. (ii) Optional to fill in; the column must still appear. |
| g | <p>Stage</p> <ul style="list-style-type: none"> (i) A stage must be selected from the list in the specification for each line of the spreadsheet. (ii) It is not a requirement to use all stages. For example, the stage 'distribution' might be used for all types of storage within distribution. In this case, the company would not use the stage 'storage'. (iii) It is expected that at a minimum; catchment, treatment, distribution and consumer will be used. (iv) The 'bulk supply' stage must be used for a bulk supply asset (SiteRef from table 5 of Annex B to IL 09/2012). (v) One Excel file can contain hazards for more than one type of 'stage'. |

| Col | Instructions and examples |
|-----|--|
| h | <p>HazardRef</p> <ul style="list-style-type: none"> (i) A list controlled by the Inspectorate - Annex C of IL 02/2014. (ii) Any item from this list can be used as a hazard. (iii) Only items from this list can be used within this cell. (iv) One hazard per line. (v) Additions to this list can be made using an application process administered by the Inspectorate. Any enquiries regarding current entries in this list, or requests for additional entries, should be sent to the Inspectorate's Data Unit 'Monthly Data' Mailbox dwimonthlydata@defra.gsi.gov.uk (vi) Definition of "Hazard": Physical, biological, chemical or radiological agents that can cause harm to public health (WHO/IWA 2009) (vii) Hazards that are associated with wholesomeness (parameters listed in tables A and B of Schedule 1) must feature in the consumer stage regulation 28, and at all upstream stages to the point they are potentially introduced to the supply system (viii) Micro-organisms, parasites or other substances sampled to comply with regulation 4(2)(a) and (b) of the Regulations must feature in the regulation 28 report for the stage they are sampled, and at all upstream stages to the point they are potentially introduced to the supply system. (ix) Hazards that are associated with compliance (Schedule 2 of the Regulations), must feature in the regulation 28 report for the stage they are sampled for compliance purposes (consumer or supply point) and at each stage from the point they are potentially introduced to the supply system. (x) Hazards described in d), e) and f) must not be reported as part of the hazard groups in table A1 above in regulation 28 reports, unless they are being reported as part of a group, as well as individually. <p>Hazard groups may be used for companies' own purposes and within regulation 28 reports for all other scenarios that are not defined in d), e) and f) above, and where the risk is determined by a group analysis (i.e. where the analytical method used, detects more than one compound – GCMS for organics and PCR for viruses).</p> <ul style="list-style-type: none"> (xi) Companies should provide risk assessment reports for pesticides, when they are monitored for compliance purposes. These pesticides should feature at each stage (Catchment to consumer) and should not be part of 'total pesticides – B010' or 'Pesticides - H0220'. (xii) Risk assessment reports for other pesticides that are risk assessed in catchments or at abstraction points but are not monitored for compliance, should only have a risk assessment report submitted at the catchment or abstraction point stage. |

| Col | Instructions and examples |
|-----|---|
| h | <p>HazardRef</p> <p>(xiii) Companies may report all assessed hazards</p> <p>(xiv) Hazards should be carried forward through the supply system from the stage they are introduced, regardless of the level of residual risk, apart from pesticides defined in (xii) above</p> |
| i | <p>HazardousEvent</p> <p>(i) This should be a description of the relevant hazardous event.</p> <p>(ii) A hazardous event is defined by WHO as “An event that introduces hazards to, or fails to remove them from, the water supply”.</p> <p>(iii) If the same hazard appears twice in a file, the hazardous events must be different</p> |
| j | <p>PreLikelihood</p> <p>(i) The likelihood from the previous stage before the impact of control measures within the current stage are taken into account.</p> <p>(ii) Entered if available.</p> |
| k | <p>PreConsequence</p> <p>(i) The consequence related to the hazard.</p> <p>(ii) Entered if available.</p> |
| l | <p>Risk</p> <p>(i) The risk before the impact of control measures within the current stage are taken into account.</p> <p>(ii) If this is not an integer, it should be converted to one. For example if using red, amber, green this could be 1,2,3 – explanation to be entered into the comments field or the company’s methodology.</p> <p>(iii) Definition “risk” : The likelihood of a hazard causing harm in exposed populations in a specified time frame, including the magnitude of that harm (WHO 2006)</p> |

| Col | Instructions and examples |
|-------------|--|
| m | <p>ControlMeasureName</p> <ul style="list-style-type: none"> (i) Mandatory if column n or o not populated. (ii) For simple, self-descriptive control measure names. (iii) Multiple names should be listed for a single instance of a hazard. |
| n | <p>ControlMeasureDetails</p> <ul style="list-style-type: none"> (i) Mandatory if column m or o not populated. (ii) For prose descriptions of control measures. (iii) For any other details relating to the control measures. |
| o | <p>ControlMeasureGroup</p> <ul style="list-style-type: none"> (i) Mandatory if column m or n not populated. (ii) For entering the name of a group of control measures. |
| m n o | <p>Control – general comments</p> <ul style="list-style-type: none"> (i) More than one column can be populated (ii) Definition “control” :Any action and activity that can be used to prevent or eliminate a water safety hazard or reduce it to an acceptable level (WHO/IWA 2009) |
| p | <p>PostLikelihood</p> <ul style="list-style-type: none"> (i) The likelihood from the previous stage after the impact of control measures within the current stage are taken into account. (ii) Entered if available. |

| Col | Instructions and examples |
|--------|---|
| q | <p>PostConsequence</p> <ul style="list-style-type: none"> (i) The consequence related to the hazard. (ii) Entered if available. (iii) It would be unusual for this entry to be different to that of column k. |
| r | <p>ResidualRisk</p> <ul style="list-style-type: none"> (i) The subsequent risk after the impact of control measures within the current stage are taken into account. (ii) If this is not an integer, it should be converted to one. For example if using red, amber, green this could be 1,2,3 – explanation to be entered into the comments field or detailed in the methodology. |
| s | <p>ParametersMonitored</p> <ul style="list-style-type: none"> (i) For a list of single parameters. (ii) <i>Moved to t</i> |
| t | <p>ParameterSuiteCode</p> <ul style="list-style-type: none"> (i) A code which specifies a suite of parameters provided by the company in a separate table (see specification and associated table). (ii) There is a requirement to populate at least one of columns s or t describing the monitoring in place for the hazard. It is recognised, for some hazards, that the monitoring is something other than measurement of a parameter or suite of parameters (appended to IL 06/2003 and 09/2012) for example the hazard of ‘no supply’ may be monitored by contacts to the company. In such instances, a code PSC000 has been created which should be entered in Column ‘t’ for hazards where there is no monitoring of any parameters or parameter suites at any of the upstream or downstream assets. (iii) For instances when the parameter is not monitored at that asset point, use parameter suite code PSC999. |
| s t | <p>Monitoring – general comments</p> <ul style="list-style-type: none"> (i) Both columns can be used to describe a full set of parameters monitored (i.e. a parameter suite code can be used in conjunction with a list of individual parameters) |

| Col | Instructions and examples |
|-----|--|
| u | <p>MonitoringRecords</p> <ul style="list-style-type: none"> (i) A description of monitoring records kept. (ii) To include parameters and other monitoring if not detailed in columns s or t. |
| v | <p>OngoingValidationProcedures</p> <ul style="list-style-type: none"> (i) A description of how the control measure(s) are continuously validated. (ii) Processes by which the reliability and relevance of a control measure is continuously evaluated. (iii) Ongoing validation is different to commissioning. (iv) Reference to short term and long term programmes may be appropriate. (v) WHO definition: "Obtaining evidence that the elements of the Water Safety Plan can effectively meet the water quality targets. Process by which the reliability and relevance of a particular approach, method, process, or assessment is established for a defined purpose. Testing of a system and its individual components to prove that it is capable of meeting the specified targets (i.e. microbial reduction targets). Should take place when a new system is developed or new processes are added". <p><u>Examples</u></p> <p>Monitoring of maintenance schedules</p> <p>Assessment against performance measures</p> |
| w | <p>Comments</p> <ul style="list-style-type: none"> (i) For any other commentary. (ii) Mandatory for Categories E, D and I. |
| x | <p>DWICategory</p> <ul style="list-style-type: none"> (i) Appropriate letter to be selected by companies from a list defined by the Inspectorate (see table below). |

| Col | Instructions and examples | | |
|----------|--|---|--|
| Category | Description | Guidance | |
| A | Target risk mitigation achieved, verified and maintained | <ol style="list-style-type: none"> 1. The identified risk mitigation has been verified and is subject to continuous validation 2. The company do not require any additional control measures to reduce the residual risk at the time of the assessment 3. The company conclude that the mitigation measures and residual risk can be maintained until the next review is completed | |
| B | Additional or enhanced control measures which will reduce risk are being validated | <ol style="list-style-type: none"> 1. New or enhanced control measures have been delivered, but are in a testing/commissioning phase 2. Validation data is being gathered 3. When related to a Legal Instrument, the category should remain B until revoked | |
| C | Additional or enhanced control measures which will reduce risk are being delivered | <ol style="list-style-type: none"> 1. New or enhanced control measures that have been designed to reduce the residual risk are being delivered 2. Physical works have commenced | |
| D | Additional or enhanced control measures are required to materially reduce risk | <ol style="list-style-type: none"> 1. The company has information which indicates the control measures are insufficient or will become insufficient within a time frame (includes breaching an internal trigger level) 2. Additional or enhanced control measures are being determined, designed or awaiting funding | |
| E | Risk under investigation | <ol style="list-style-type: none"> 1. Risk is being investigated to determine if additional or enhanced control measures may be required | |
| F | Partial mitigation | <ol style="list-style-type: none"> 1. Partial mitigation occurs at this stage and further mitigation occurs at assets downstream or 2. Mitigation is partial as not fully in the company's control | |
| G | No mitigation in place : control point downstream | <ol style="list-style-type: none"> 1. There is no mitigation at this asset and there is mitigation at a downstream asset | |
| H | No mitigation in place and none required | <ol style="list-style-type: none"> 1. There is no mitigation at this asset and there is no mitigation at an upstream or downstream asset | |
| I | Future risk not requiring mitigation at present | <ol style="list-style-type: none"> 1. The company has information which indicates that there is likely to be a failure of the standards within the Regulations within a time frame. 2. Immediate mitigation is not required 3. The company has future plans to carry out work to mitigate the risk | |
| X | Line no longer relevant | <ol style="list-style-type: none"> 1. Line no longer relevant, either asset or risk no longer present or line previously submitted in error (please add comment). The line need not be submitted again or annually once it has been closed by a Cat X submission. | |

(ii) The category selected must be relevant to the stage selected (i.e. if there is a risk introduced within the water treatment works stage which is not controlled until distribution, the category G should be selected).

(iii) Definition "mitigation" : All actions taken to reduce or eliminate long term risk to environment health or social structures from hazards and their effect (WHO 2009)

| Col | Instructions and examples |
|-----|---|
| | <p>(iv) Simplified flow chart of risk identification and mitigation</p> <pre> graph LR A[Investigate Risk Category E] --> B[Risk Assessed] B --> C{Mitigation required?} C -- No --> D[Risk Mitigated Category A, F, G, or H] C -- Yes --> E{Mitigation required Now?} E -- No --> F[Mitigation not needed at present] E -- Yes --> G[Planning Mitigation Category D] G --> H[Delivering mitigation Category C] H --> I[Validating or testing Category B] I --> D </pre> |
| y | <p>AdditionalControlMeasureDetails</p> <ul style="list-style-type: none"> (i) Populated when the implementation of any additional or enhanced control measure/s will change the risk score. (ii) Control measures refers to any type of measure (activity or process). (iii) Satisfies regulation 28(3)(b)(ii) and replaces 'actions plans' submitted previously. (iv) Mandatory for DWI category B, C and D unless a legal instrument reference is provided in column z. |

| Col | Instructions and examples |
|-----|--|
| z | <p data-bbox="181 217 521 245">LegalInstrumentReference</p> <ul data-bbox="232 280 2123 517" style="list-style-type: none"><li data-bbox="232 280 1061 309">(i) Mandatory where a DWI legal instruments exists for the hazard(s).<li data-bbox="232 344 2078 411">(ii) A legal instrument reference may be used more than once (against more than one HazardID) and should be when the legal instrument is associated with more than one hazard or hazardous event.<li data-bbox="232 446 2123 517">(iii) The list should contain no spaces. Multiple references should be separated with a semi colon e.g. xxx3951;xxx7288;xxx2204, where 'xxx' is the three-letter company acronym. |

| Col | Instructions and examples |
|-----|---|
| aa | <p data-bbox="183 215 302 247">HazardID</p> <p data-bbox="183 263 2038 327">The purpose of the unique identifiers is to be meaningful to both the company that submits the data and DWI by identifying a single specific row of DWSP risk information data within the company's dataset.</p> <p data-bbox="183 351 593 383">The ID reference numbers should:</p> <ul data-bbox="235 414 2128 1356" style="list-style-type: none"> <li data-bbox="235 414 2128 510">• Be the data equivalent of a human national insurance number, unique to a single row of hazard information data within a company's DWSP dataset, and never be applied to more than one row of data within that dataset. The reason for this is to facilitate version control of every individual row of data, no matter how many times that row of data is updated and resubmitted. <li data-bbox="235 542 2128 606">• Be retained by the same specific, unique row of risk information data in perpetuity, as long as the site reference number or the hazard code (e.g. C002, A023, etc) do not change. <li data-bbox="235 638 1792 670">• Not be re-used in the event that an existing row of risk information data is given an 'X' category to signify that it is no longer 'live'. <li data-bbox="235 702 1198 734">• Not appear more than once in a complete drinking water safety plan for a site. <li data-bbox="235 766 1691 798">• Not be applied to different combinations of site references and hazard codes (e.g. C002, A023, etc) in successive years. <li data-bbox="235 829 1646 861">• Not be shared between the standard site reference number and the supply point reference number for the same site. <li data-bbox="235 893 2128 1013">• Not be duplicated in cases where there are multiple site references being used to report data from the same main site e.g. multiple sample taps at the same reservoir/WTW, each with its own site reference for reporting purposes. Even if the three sample taps are reporting the same hazard e.g. H033, the possession of three distinct site references qualifies them as three separate, distinct reporting entities, and the rows of data they submit should not share the same hazard ID reference numbers. <li data-bbox="235 1045 2128 1141">• Not be retained by a row of data if a generic hazard code, such as H033 (Microbiological) is subsequently refined to be C002 (E coli (faecal coliforms Confirmed)). If the hazard code changes, a new row of risk information data should be submitted that incorporates the new hazard code, with a new unique ID reference number. <li data-bbox="235 1173 2128 1268">• Not be inherited by new incarnations of a site or zone if the site reference changes. If the site reference changes, then the site has taken on a new identity for reporting purposes. As such, the DWSP relating to the new site reference should feature new hazard ID reference numbers. Site reference numbers have been found to change after restructuring / refurbishment at an asset like a works or reservoir, or after alterations to zonal boundaries have occurred. <li data-bbox="235 1300 1982 1356">• Not be applied retrospectively to old data. Our focus is very much on introducing changes and improvements moving forwards, not on triggering resubmissions of existing data. <p data-bbox="183 1388 1355 1420">Currently, our database is able to operate if the same HazardID is used by more than one company</p> |

3.0 General Requirements

Terminology

- i. The Inspectorate and all water suppliers will use definitions from the WHO lexicon <http://apps.who.int/thelexicon/entry.php> for Water Safety Planning terms. The Lexicon is no longer published by WHO – definitions included within the specification.

Risk Assessment Report

- xiii. Submissions comprise one Excel file per asset reference.
- xiv. There should be one Excel file for each bulk supply as defined in the Bulk Supply table within the annual 'Details' tables. Ensure bulk supply assets feature in Table B which defines the supply system.
- xv. Each Excel file should only contain one Spreadsheet
- xvi. If using a .csv format, avoid using speech marks within text (e.g. to signify inches)
- xvii. Each spreadsheet will have 27 columns – A to AA which meet the specification outlined above. The column headings must appear and exactly match the specification
- xviii. Where an asset features in more than one supply system, these can be listed in the optional columns **e** (SupplySystemRef) and column **f** (SupplySystemName) as described in Annex B, the specification.
- xix. Companies may report all assessed hazards
- xx. Hazards should be carried forward through the supply system from the stage they are introduced, regardless of the level of residual risk apart from pesticides described in section 2.

Tables A, B and E

- i. Table A must be populated by all companies with catchment risk assessments
- ii. Table B must be populated by all companies
- iii. Table E must be populated by all companies with abstraction point risk assessments
- iv. The 'return year' for submissions made during 2018 is **2018**
- v. These tables will be incorporated into the annual 'Details' tables as appended to IL 06/2003 and 09/2012 to be submitted annually, once only on or before 28 February each year

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Table C

- i. This table should only be submitted if parameter suite codes other than PSC000 are used. PSC000 should not be included in this table
- ii. This table can be submitted at any time. Ensure the review date reflects the date from which the parameter suites code is valid from.

Submission of RAR spreadsheets

- i. A full consolidated submission will take place once a year on 21 October accurate to the end of the previous July regardless of when the first submission was made

General good practice

- i. Excel files should not contain 'blank lines' which increase the file size unnecessarily
- ii. Excel files should not contain hidden formulas or any other functions such as drop downs
- iii. Character limits should not be exceeded as the file will not be loaded
- iv. The maximum file size the DWI can accept via email is 15MB
- v. Do not leave a trailing semicolon in columns **s** or **t**

Monthly Submissions

- i. Updates must be provided when a line is reviewed and the residual risk score **or DWI category has changed**. It is expected that the date in column **a** will have changed to reflect the review date.
- ii. **Each line will be checked for a HazardID. If one exists, the database will be checked for any existing instances that have been previously been loaded. If the HazardID already exists in the database, the new line will only load if it has a newer date**
- iii. Where there is no HazardID, lines submitted that have the same **Date, AssetRef, Stage, HazardRef** and **HazardousEvent** entries as previously submitted lines will not be loaded – To be removed when all companies are using HazardID
- iv. Submissions should be made each month containing only those lines changed as per (i)

General Requirements

- i. Each company will continue to be required to submit any update to the risk assessment and management methodology adopted.
- ii. Each company will be required to submit their risk review procedure when updated.

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- iii. Board level Director sign-off will remain a requirement. Each company must determine the appropriate stage for Director sign off for a supply system depending on their particular governance arrangements. The existing front sheet from IL 7/2008 will continue to be accepted by the DWI on paper with wet signatures or electronically (either scanned or with electronic signatures). **This should be submitted on or before the 21 October each year.**
- iv. **Board level Director sign-off is a requirement for all risk assessment reports submitted in order to comply with the steps in a regulation 28 Notice**
- v. **If a revised regulation 28 report is requested by the DWI (e.g. as part of an event assessment), the submission should be made as soon as reasonably practicable, or by the deadline given, even if there no change to the report (the data should change to reflect the review).**

4.0 Submission Process

- 1 Submissions are to be made electronically to DWI_risk_assessments@defra.gsi.gov.uk
- 2 Risk Assessment Report plus tables A, B, C, E should be sent electronically in emails not exceeding 15MB
- 3 Submissions will be loaded into the DWI database
- 4 Errors in filenames will result in the file not being loaded. A record of this failure will be kept and will be included in an email summarising all loading failures once per day covering the loads for that day.
- 5 If the filename is correct, the load routine will continue to check the contents of the files. If there is an error in the header line, the file will not load. If the header line is correct, but there is an error in any of the subsequent lines, the file will not load. However, the load routine will continue to check each subsequent line, keeping a record of all errors. These errors again will be included in an email that will be sent to companies once per day, covering the loads for that day.
- 6 Risks are considered unique based on either their HazardID or the combination of assessment date, hazard ref, site, stage and hazardous event. If more than one record is provided where these are all the same only the first will load and the remaining ones will be skipped as duplicates.
- 7 Upon receipt of an error email, the company should endeavour to rectify the errors and resubmit the file as soon as possible.