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**Quality Management**

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- **Document Reviewer:** Praveen Chand – Accreditation and Policy Coordinator

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Foreword

Our local economy is driven to a large extent by the development industry. This is apparent in the value of infrastructure constructed by the development industry to serve population growth in our region.

Each year, on average, Unitywater receives water supply and sewerage infrastructure valued at approximately $50M from the development industry as contributed assets. This infrastructure must be prudent (needed) and efficient (cost effective) if it is to serve future populations at the least lifecycle cost. This is imperative if Unitywater is to meet the expectations of its customers to provide low cost, high quality, water and sewerage services.

Hence, Unitywater has implemented an Accreditation and Certification System to allow entities and individuals to be accredited and registered as being competent to assess connections applications and certify that engineering designs and constructed assets are compliant with the relevant connections approval requirements and prescribed standards such as the South-East Queensland Water and Sewerage Design and Construction Code.

Through implementation of the Accreditation and Certification System, it is Unitywater’s objective to realise benefits for Unitywater’s customers and all stakeholders in the development industry by:

a. Decreasing the time involved in the applications and approval process;

b. Not excluding competent smaller companies and/or individuals; and

c. Receiving contributed assets that satisfy the economic regulator’s prudency and efficiency test and consequently provide least lifecycle cost services to Unitywater’s customers.

It is intended that the processes described in this manual will be continually improved to benefit all stakeholders, particularly Unitywater’s customers. Unitywater invites the development industry and other interested stakeholders to proactively contribute to the continual improvement of this manual.

Ashley Lorenz
Manager Infrastructure Planning and Development
Intended Audience

This document is written for entities and private individuals who may apply to be accredited by Unitywater to provide certification services in Unitywater’s service area relating to connections applications as being compliant with relevant legislation and prescribed standards.

Unitywater’s Accreditation and Certification System is designed to work within the Queensland Government’s existing legislative framework for approval of connections to water supply and sewerage networks in South-East Queensland. This framework is known commonly as the “Utility Model”.

To understand the processes set-out in this document it is expected that the reader will be familiar with the Utility Model provisions of the Queensland Government’s South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 and Unitywater’s Connections Policy and/or will have some practical experience with land development and processes for connection to water supply and sewerage networks in South East Queensland since the Utility Model commenced in 2014.

Should the reader not have the knowledge and background mentioned above, it will be possible to gain the requisite knowledge by undertaking training provided by Unitywater.
## Definitions

<table>
<thead>
<tr>
<th>Term</th>
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<tr>
<td>Accreditation</td>
<td>Accreditation is a formal recognition of competence by Unitywater to perform specific tasks.</td>
</tr>
<tr>
<td>Accreditation Coordinator</td>
<td>Unitywater employee who will manage all aspects of accreditation and associated performance management.</td>
</tr>
<tr>
<td>Accreditation Deed</td>
<td>A deed entered into between Unitywater and the Accredited Entity which states the relevant obligations of the parties.</td>
</tr>
<tr>
<td>Accredited Entity</td>
<td>A company, partnership or sole trader, in each case accredited by Unitywater, which is responsible for its nominated Registered Certifiers, including providing support to Registered Certifiers, in the form of providing a quality system, professional indemnity insurance and other resources (e.g. legal advice) to enable the Register Certifier to effectively undertake their role and responsibilities.</td>
</tr>
<tr>
<td>Applicant</td>
<td>The developer applying to connect to Unitywater’s networks in accordance with the provisions of the <em>South-East Queensland Water (Distribution and Retail Restructuring Act 2009)</em>.</td>
</tr>
<tr>
<td>Audit</td>
<td>A systematic examination of the procedures and systems utilised by an Accredited Entity or Registered Certifier to process connection applications and the outcomes achieved by the Accredited Entity or Registered Certifier in relation to compliance with relevant legislation, standards and specifications and Accreditation Deed/Registration Deed Poll.</td>
</tr>
<tr>
<td>Auditor</td>
<td>Unitywater employee conducting any particular audit of certifications submitted to Unitywater by a Registered Certifier.</td>
</tr>
<tr>
<td>Certification</td>
<td>A signed, written statement in the form required by Unitywater made by a Registered Certifier that documentation and/or infrastructure complies with prescribed standards or has been designed or prepared in accordance with relevant legislation and/or prescribed standards.</td>
</tr>
<tr>
<td>Connections Policy</td>
<td>The Connection Policy is a statutory document required under the <em>South-East Queensland Water (Distribution and Retail Restructuring Act 2009)</em> that outlines Unitywater’s requirements for connection, disconnection and alterations to Unitywater’s water supply and sewerage networks.</td>
</tr>
<tr>
<td>Contributed Assets</td>
<td>Sometimes called “Donated Assets” Water supply and sewerage assets that are constructed and connected to Unitywater’s networks in compliance with conditions of development or connections approvals and transferred to Unitywater.</td>
</tr>
<tr>
<td>DR Act</td>
<td>Means the <em>South-East Queensland Water (Distribution and Retail Restructuring) Act 2009</em>.</td>
</tr>
<tr>
<td>Fire Service</td>
<td>A service comprising water pipes, fire hydrants, fire hose reels, fittings, and including water storage or pumping facilities, which is</td>
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<td>Term</td>
<td>Definition</td>
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<td>installed solely for firefighting and extinguishing purposes in and around a building or property. Under certain conditions part of a fire sprinkler system may be included. Services (such as other water services) that can be used for other purposes are excluded from the definition of fire services.</td>
<td></td>
</tr>
<tr>
<td>Major Non-conformance</td>
<td>In Unitywater’s reasonable opinion, the absence of, or a significant failure to implement and/or maintain conformance to the requirements of legislation and/or prescribed standards (such as the SEQ Code) such that the non-conformance will result in a high level of risk to Unitywater and/or its customers as determined in accordance with consequence table and risk matrix set-out in Appendix C.</td>
</tr>
<tr>
<td>Minor Non-conformance</td>
<td>In Unitywater’s reasonable opinion, a non-conformance that is not a major non-conformance. A minor non-conformance might be a management system weakness or minor issue that could lead to a major non-conformance if not addressed.</td>
</tr>
<tr>
<td>Network Works</td>
<td>Water supply and/or sewerage infrastructure that is, or will be, constructed by the developer and connected to Unitywater’s networks in accordance with the conditions of a connections approval to provide water supply and sewerage services.</td>
</tr>
<tr>
<td>Network Master Plan</td>
<td>A plan for individual water supply and sewerage schemes, that describes the development of the water supply or sewerage network in the scheme area to serve growth from the present to ultimate projected development as permitted by the relevant Council’s Planning Scheme.</td>
</tr>
<tr>
<td>Non-Conformance</td>
<td>An inconsistency with or contradiction to the provisions of the SEQ Code, DR Act, Unitywater Connections Policy, connections approval and/or the Accreditation and Certification Manual, including the absence of conformance, or a significant failure to implement and/or maintain conformance.</td>
</tr>
<tr>
<td>Non-Trunk Infrastructure</td>
<td>Water supply and sewerage infrastructure that satisfies the definition of non-trunk infrastructure in the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009. Practically, this will often be:</td>
</tr>
<tr>
<td></td>
<td>a. Water supply reticulation mains that serve a local area and supply water to individual properties;</td>
</tr>
<tr>
<td></td>
<td>b. Sewerage reticulation main that collect sewage from individual properties in a local area, but excludes sewerage pumping stations including 'lift' stations. Non-trunk infrastructure is commonly referred to as ‘reticulation mains’.</td>
</tr>
<tr>
<td>Observation</td>
<td>Minor deviation from policies, procedures, standards and/or specification that will not have any noticeable adverse impact on the standard of service or result in monetary loss to Unitywater.</td>
</tr>
<tr>
<td>Owner</td>
<td>As defined in the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009. Practically, this will often be:</td>
</tr>
<tr>
<td></td>
<td>a. Water supply reticulation mains that serve a local area and supply water to individual properties;</td>
</tr>
<tr>
<td></td>
<td>b. Sewerage reticulation main that collect sewage from individual properties in a local area, but excludes sewerage pumping stations including 'lift' stations. Non-trunk infrastructure is commonly referred to as ‘reticulation mains’.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
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<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Retail Restructuring) Act 2009.</strong></td>
<td></td>
</tr>
<tr>
<td>Planning Assumptions</td>
<td>Unitywater’s demand forecast in units of equivalent persons (EP) for each lot within Unitywater’s geographic area.</td>
</tr>
<tr>
<td>Prudency and Efficiency Test</td>
<td>A test to be applied to all investment decisions based on the methodology specified in Appendix F.</td>
</tr>
<tr>
<td>Registration Deed Poll</td>
<td>A deed poll executed by a Registered Certifier in favour of Unitywater, in the form required by Unitywater.</td>
</tr>
<tr>
<td>Registered Certifier</td>
<td>Individuals:</td>
</tr>
<tr>
<td></td>
<td>a. Who have been accepted by Unitywater as having suitable technical qualifications and experience to undertake one or more of the following roles:</td>
</tr>
<tr>
<td></td>
<td>(i) Major Connections Certifier;</td>
</tr>
<tr>
<td></td>
<td>(ii) Minor Connections Certifier; or</td>
</tr>
<tr>
<td></td>
<td>(iii) Construction Certifier.</td>
</tr>
<tr>
<td></td>
<td>b. Who have been trained by Unitywater in certification processes;</td>
</tr>
<tr>
<td></td>
<td>c. Who have been included on the list of Registered Certifiers on Unitywater’s website, and have not been removed from that list at the relevant time; and</td>
</tr>
<tr>
<td></td>
<td>d. Who have executed a current Registration Deed Poll in favour of Unitywater.</td>
</tr>
<tr>
<td>Schedule of Works</td>
<td>The document that indicates where Unitywater is planning to provide major trunk infrastructure in the future to meet the growth projections contained in Unitywater’s participating Councils’ Planning Schemes; and details the location, estimated cost and estimated timing of delivery of the trunk infrastructure.</td>
</tr>
<tr>
<td></td>
<td>The Schedule of Works is set-out in Appendix B of Part A of Unitywater’s Netserv Plan.</td>
</tr>
<tr>
<td>SEQ Code</td>
<td>South-East Queensland Water and Sewerage Design and Construction Code, in force at the relevant time. This code came into effect on 1 July 2013.</td>
</tr>
<tr>
<td>Standard Water Supply Connection</td>
<td>A water supply connection that complies with Unitywater’s requirements for a standard connection in its Connections Policy. This will often be a single 20mm or 25mm property services connection to a single lot for a dwelling house or dual occupancy located in a Water Connection Area or Restricted Water Connection Area.</td>
</tr>
<tr>
<td>Standard Sewerage Connection</td>
<td>A sewerage connection that complies with Unitywater’s requirements for a standard connection in its Connections Policy. This will often be a single 100mm sewerage property service connection to a single residential lot for a dwelling house or dual</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>occupancy located in a Sewerage Connection Area or Restricted Sewerage Connection Area.</td>
<td></td>
</tr>
<tr>
<td>Term of Accreditation</td>
<td>The term of accreditation stated in the Accreditation Deed or Registration Deed Poll, subject to any early termination of the relevant Accreditation.</td>
</tr>
<tr>
<td>Trunk Infrastructure</td>
<td>Water supply and sewerage infrastructure that satisfies the definition of trunk infrastructure in the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009. Practically, this will often be:</td>
</tr>
<tr>
<td></td>
<td>a. Water supply infrastructure that distributes water from the SEQ water grid to reticulation water supply mains. Includes mains 300mm diameter and greater, pumping stations, reservoirs, pressure reducing valves, district meters, disinfection dosing facilities and reservoirs;</td>
</tr>
<tr>
<td></td>
<td>b. Sewerage infrastructure that collects sewage from sewerage reticulation mains and transports sewage to the sewage treatment plant. Includes mains 225mm diameter and greater, pumping stations, rising mains, barometric loops, vent poles, emergency storage structures and chemical dosing equipment.</td>
</tr>
<tr>
<td>Water Connection Approval Agreement</td>
<td>A written agreement between Unitywater and the developer made at the time of the issuance of a Provisional Certificate of Completion. This agreement specifies the obligations of the developer for completion of uncompleted works including provision of a bond to secure completion of the uncompleted works.</td>
</tr>
</tbody>
</table>
Overview

This manual describes how Unitywater will support the development industry and economic growth in the Unitywater Service area by engaging private industry in the process prescribed in South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 and Unitywater’s Connections Policy for:

a. Approval of new connections to Unitywater’s water supply and sewerage networks;

b. Design and construction of the assets required by the conditions of connections approvals and donation of these assets to Unitywater to provide water supply and sewerage services.

Objectives

The objective of the Unitywater Accreditation and Certification System is to achieve a win-win for Unitywater’s customers and the development industry by creating, implementing and continually improving a system that will:

a. Give the development industry greater control over the time and cost of completing new connections in a timely and efficient way; and

b. Continue to deliver high quality prudent and efficient water supply and sewerage assets to safely and reliably serve Unitywater’s future customers at least lifecycle cost.

Purpose of the Manual

The purpose of the Manual is to document the administration of Unitywater’s Accreditation and Certification System for the planning, design, assessment, approval, construction and handover activities related to the establishment of connections to Unitywater’s water supply and sewerage network infrastructure.

This Manual is a ‘controlled document’ under Unitywater’s Integrated Management System (IMS). This means that any changes, including updates to this Manual may only be approved by Unitywater’s Chief Executive Officer or Executive Manager, Sustainable Infrastructure Solutions.

Unitywater will also consult with the development industry, including registered Accredited Entities and Registered Certifiers when this Manual undergoes any changes or updates.

Further, the Accreditation Deed applies to directions, orders or variations issued with respect to the provisions of this Manual and as such these two documents are inter-related.

Accreditation and Certification Model

Figure 1 below illustrates Unitywater’s Accreditation and Certification System which is comprised of four principal processes:

a. Accreditation – periodically Unitywater will advertise for suitably qualified entities and individual people to apply to be accredited to provide certification services. The applications will be assessed against certain criteria such as experience and qualifications. Registered Certifiers will be required to undertake training. To be appointed, the entities and individuals will need to execute either an Accreditation Deed (for Accredited Entities) or a Registration Deed Poll (for Registered Certifiers) to the
satisfaction of Unitywater. The Accreditation Deed will set out the terms of accreditation (e.g. period of accreditation and limits of authority) and the respective obligations of Unitywater and the Accredited Entity. The Registration Deed Poll will establish the legal liability of the Registered Certifier to Unitywater;

b. **Certification** – is the process under which Accredited Entities and Registered Entities will take responsibility for:
   
   i. Assessing developers’ connections applications and preparing certification packages including draft decision notices and draft infrastructure charges notices for Unitywater’s approval;
   
   ii. Inspecting works and certifying that the as-constructed condition of the assets is in accordance with prescribed standards (e.g. the connection approval, SEQ Code);
   
   iii. Preparing requests for Provisional Certificates of Completion and Certificates of Completion for Unitywater’s approval; and
   
   iv. Monitoring compliance with conditions of Infrastructure Agreements and Water Connection Approval Agreements and informing Unitywater of any non-compliance.

c. **Audit** – while accreditation and certification are processes that progress in sequential steps, auditing of certified work is a continual improvement process that will be conducted by Unitywater, at its discretion. Auditing may occur at any time in the process of approving new connections, constructing the assets necessary to enable the approved connections and handing over (donating) assets to Unitywater. Not all certifications will be audited by Unitywater.

d. **Performance Management** – like the auditing process, performance management will be a continual improvement process conducted by Unitywater, at its discretion, to assist Accredited Entities, by direct engagement with Registered Certifiers, to encourage Registered Certifiers to become more proficient. The outcomes of each audit conducted by Unitywater will inform Unitywater’s assessment of the performance of Accredited Entities and Registered Certifiers. A continuing satisfactory standard of performance is critical to Accredited Entities and Registered Certifiers maintaining their accreditation status.
Individual people (e.g. sole traders) and companies (e.g. consulting engineering firms, civil construction companies, project management companies and town planning firms) are eligible to apply to be appointed as an Accredited Entity.

Registered Certifiers may also apply to be appointed as an Accredited Entity.

Registered Certifiers may be appointed in one or more of three categories:

a. Major Connection Certifier;
b. Minor Connections Certifier;
c. Construction Certifier.

The responsibilities of each of these roles are set-out in Table 1.

Unitywater will establish and maintain a list of Accredited Entities and Registered Certifiers on its internet site.

It is intended that Connection Applications may be made directly to Unitywater only until 1 July 2019.

To establish water supply and sewerage connections (other than standard water supply connections and standard sewerage connections) under the Accreditation and Certification
System, the Developer must engage an Accredited Entity. The Accredited Entity will then nominate a Major or Minor Connections Certifier as appropriate to provide certification services. If network works are required, then the Accredited Entity will also nominate a Construction Certifier to inspect the construction works in accordance with a schedule agreed at the pre-start meeting and ultimately certify that the as-constructed condition of the works are compliant with prescribed standards.

The Accredited Entity will always be responsible for their nominated Registered Certifiers, and will be vicariously liable to Unitywater for the acts and omissions of the nominated Registered Certifiers, as if they were acts and omissions of the Accredited Entity.

Accredited Entities and Registered Certifiers may be engaged to act on existing connection approvals e.g. an existing staged connection approval.

The developer’s consultant will prepare connection applications and other applications (e.g. request for Provisional Certificate of Completion) to progress the development and submit each application to the Accredited Entity for assessment. The Major/Minor Connections Certifier nominated by the Accredited Entity will assess the developer's applications and prepare and issue certification packages to Unitywater with certifications that the certification packages are in accordance with legislation and prescribed standards. Certification packages will consist of the developer's application, prescribed fees, owner’s consent, completed checklists, draft decision notices and draft infrastructure charges notices.

Major Connections Certifiers will prepare and certify requests for provisional certificates of completion. Similarly, Major and Minor Connections Certifiers will prepare and certify requests for Certificates of Completion. Unitywater will audit, at its discretion, certified requests for provisional certificates of completion and certificates of completion and prepare, sign and issue provisional certificates of completion and certificates of completion.

It is a requirement of the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 that Unitywater must receive and approve all connections applications. Accordingly, Unitywater must assess all connection applications and sign all decision notices and infrastructure charges notices. Unitywater’s Connection Policy states that Unitywater will issue Decision Notices within 20 business days. To meet one of the intended objectives of reduced timeframes under the Unitywater Accreditation and Certification System, Unitywater intends to issue Decision notices, infrastructure charges notices, provisional certificates of completion or certificates of completion to the Developer within 10 business days of Unitywater receiving a certification package unless an extension of time for a further one-off period of 10 business days is agreed to by the Accredited Entity, or an audit reveals a major non-conformance.

Unitywater may audit certification packages or network works at any time.

In instances where non-conformances are identified by Unitywater’s audit or assessment of the certification package, the Accredited Entity and the Registered Certifier will be notified of the non-conformances and required to take remedial action (e.g. reassess the application, amend the draft decision notice and submit a new certification package) to enable the development to proceed. The development will be subject to delay until effective remedial action is taken by the Accredited Entity and the Registered Certifier (no specified time period) and a second audit or assessment is undertaken by Unitywater and the decision notice, infrastructure charges notice, provisional certificate of completion or certificate of completion is signed and issued to the Developer. Subject to the major non-conformance(s) being resolved by the relevant Registered Certifier, Unitywater will have 10 business days to conduct the second audit or assessment and issue signed documentation.
Unitywater will rely on the certifications provided to it in carrying out its assessment of connection applications and applications for provisional certificates of completion or certificates of completion. Under the Accreditation Deed and Registration Deed Poll, the Accredited Entity and Registered Certifier(s) will be accountable for their certifications for seven years after issue of the certification despite Unitywater signing the relevant decision notices, infrastructure charges notices, provisional certificates of completion or certificates of completion.

**Scope of Accreditation and Certification**

Accreditation and Certification will apply to all aspects of non-trunk infrastructure (including property connections) for water supply and sewerage connections applications including assessment of connections applications and design, construction and handover of donated assets to Unitywater except for the following:

a. Preparation and issuance of Service Advice Notices under the DR Act;
b. Assessment of standard connections applications for water supply or sewerage;
c. Assessment of connections involving the design and construction of trunk infrastructure;
d. Assessment of connections outside of the Future Connections Area;
e. Preparation, approval and supervision of network intervention plans;
f. Building over and adjacent to Unitywater’s assets;
g. Transitional applications for material change of use and reconfiguration of lot;
h. Extensions of currency period.

Certification will be limited to the extent that the Registered Certifier will certify that draft decision notices and draft infrastructure charges notices comply with legislation and prescribed standards. Registered Certifiers will not be authorised to sign or issue any decision notices or infrastructure charges notices.

**Key Principles**

To achieve the win-win objective of the Accreditation and Certification System mentioned previously, the following key principles will be applied in implementing the Accreditation and Certification System:

a. Accredited Entities and Registered Certifiers appointed by Unitywater, will in addition to any obligations under their Accreditation Deed or Registration Deed Poll respectively, must always act in the interests of Unitywater and Unitywater’s customers to achieve least lifecycle cost outcomes that are compliant with legislation, SEQ Code and Unitywater’s Network Master Plans.

b. Having regard to the certifications provided by Registered Certifiers, Unitywater will assess, sign and issue all decision notices and infrastructure charges notices in accordance with the relevant requirements of the *South-East Queensland Water (Distribution and Retail Restructuring) Act 2009*.

c. The *Prudency and Efficiency Test* will be applied by Accredited Entities and Registered Certifiers in all decision making and must be demonstrated in relevant supporting documentation (e.g. water supply servicing plan for a multistage development), calculations (e.g. lifecycle cost comparison) and completed checklists. The purpose of this test is to ensure that least lifecycle cost outcomes are achieved, and acquisition of new assets is justified.
d. Unitywater will rely on the certifications provided to it in carrying out its assessment of connection applications and applications for provisional certificates of completion or certificates of completion. In addition to any obligations under the Accreditation Deed and Registration Deed Poll, the Accredited Entity and Registered Certifier(s) will be accountable to Unitywater for their certifications for seven years after the relevant certification despite Unitywater signing the relevant decision notices, infrastructure charges notices, provisional certificates of completion or certificates of completion. The accountability will apply for compliance with legislation, the Connections Policy and achieving least lifecycle cost outcomes. (Accredited Entities will be required by the Accreditation Deed to establish and maintain professional indemnity insurance for the seven year period.)

Roles and Responsibilities

Under the Unitywater Accreditation and Certification System responsibility is assigned as set-out in Table 1.

Table 1 - Roles and Responsibilities

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| Unitywater | The Northern Distribution Retail Authority established under the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 and given powers under this Act to accept and decide Connections Applications. | a. Receive and assess connection applications through certification packages from Accredited Entities and Registered Certifiers.  
b. Sign and issue decision notices, infrastructure charges notices, provisional certificates of completion and certificates of completion.  
c. Provide training to relevant entities and individuals to enable them to be accredited.  
d. Audit certifications and give clear feedback on the findings of each Audit to the relevant Accredited Entity and/or Registered Certifier.  
e. Where necessary, manage the performance of the Accredited Entities and Registered Certifiers with the objective of increasing the proficiency of each individual Registered Certifier. |
| Developer  | A company or individual who is:  
a. Seeking a connection approval under the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009; or  
b. Acting on a connection approval given under the South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 or transitional. | a. Prepare, or engage suitably qualified consultants to prepare, connections applications or applications for provisional certificate of completion and certificates of completion and satisfy all conditions of approvals including construction and handover of infrastructure;  
b. Pay assessment fees and/or infrastructure charges;  
c. Engage an Accredited Entity to provide certification services;  
d. Carry out the responsibilities listed below for a Developer’s Consultant and/or Developer’s Construction Contractor if the Developer has not engaged third parties for those roles for the connection approval; and |
<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>approval given under the Sustainable Planning Act 2009.</td>
<td>e. Ensure appointed Consultants and Registered Certifiers, to the extent they are third parties, comply with their responsibilities.</td>
</tr>
<tr>
<td>Developer’s Consultants</td>
<td>A company or individual that should have suitable professional qualifications and experience to act for the Developer (e.g. Registered Professional Engineer Queensland).</td>
<td>a. Prepare connections applications including supporting documentation and engineering designs;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Respond to information requests from Accredited Entities and their Registered Certifiers;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Prepare as-constructed information; and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>d. Supervise works and overall progress of water supply and sewerage aspects of development projects.</td>
</tr>
<tr>
<td>Developer’s Construction Contractor</td>
<td>A company or individual that should have suitable professional qualifications and experience to construct the approved works for the Developer.</td>
<td>a. Construct approved networks;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Respond to information requests from Registered Certifiers; and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Day-to-day supervision of works.</td>
</tr>
<tr>
<td>Accredited Entity</td>
<td>A company or individual (e.g. sole trader) with the capacity to provide the necessary systems, resources and insurances to be accepted by Unitywater as an Accredited Entity.</td>
<td>a. Must always act in accordance with the terms and conditions of the Accreditation Deed and this Manual;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Must nominate Major or Minor Connections Certifiers and/or Construction Certifiers to provide appropriate certification services. The Accredited Entity will be vicariously liable for their nominated Registered Certifiers, and therefore must support the Registered Certifiers, including without limitation by maintaining:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>i. A quality system accredited to a recognised standard (e.g. ISO 9001) to assure the quality of certifications;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ii. Professional indemnity insurance cover for certifications issued by the Registered Certifiers while engaged by the Accredited Entity; and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>iii. Resources to assist the Registered Certifier to assess and make decisions about connections applications and/or the standard of construction; e.g. access to legal advice.</td>
</tr>
<tr>
<td>Major Connections Certifier</td>
<td>An individual person who is engaged by an Accredited Entity and who is a Registered Professional Engineer Queensland (RPEQ). The Major Connections Certifier will undertake certification processes for</td>
<td>a. Must always act in accordance with the terms and conditions of the Registration Deed Poll and this Manual;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Assess developer’s connections applications;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Prepare and submit certification packages in accordance with prescribed processes for the course of the development project;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>d. Ensure prescribed processes are followed for water supply and sewerage aspects of development projects.</td>
</tr>
<tr>
<td>Role</td>
<td>Description</td>
<td>Responsibility</td>
</tr>
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<td>-----------------------------</td>
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<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td></td>
<td>development projects that involve construction of non-trunk network works i.e. water supply and/or sewerage infrastructure.</td>
<td>supply and sewerage aspects of the development project; and e. Monitor compliance with connection approvals, Infrastructure Agreements and Water Connection Approval Agreements and notify Unitywater of any non-compliance.</td>
</tr>
<tr>
<td>Minor Connections Certifier</td>
<td>An individual person who is engaged by an Accredited Entity. The Minor Connections Certifier is not required to be a Registered Professional Engineer Queensland. The Minor Connections Certifier will undertake the certification process for development projects that only involve property service infrastructure and do not involve construction of network works.</td>
<td>a. Always act in accordance with the terms and conditions of the Registration Deed Poll and this Manual; b. Assess developer's connections applications; c. Prepare and submit certification packages in accordance with prescribed processes for the course of the development project; d. Ensure the prescribed processes are followed for water supply and sewerage aspects of the development project; and e. Monitor compliance with connection approvals and if applicable with Infrastructure Agreements and notify Unitywater of any non-compliance.</td>
</tr>
<tr>
<td>Construction Certifier</td>
<td>An individual person who is engaged by an Accredited Entity and who: a. Has a minimum of three years of experience in construction of water supply and sewerage reticulation infrastructure; b. Is a Licensed Plumber and Drainer or holds a Certificate IV in Civil Construction Supervision or higher tertiary engineering qualification.</td>
<td>a. Inspect the construction of network works in accordance with the schedule agreed at each pre-start meeting; b. Provide certification of the extent of completed works for provisional certificates of completion, certificates of completion and connection of works to sewerage network; c. Provide certification that the condition and configuration of constructed works complies with the conditions of the connections approval and prescribed standards; and d. Provide certifications of the CCTV and associated reports for constructed works to proceed to off maintenance</td>
</tr>
</tbody>
</table>

**Business Models**

Unitywater’s Accreditation and Certification System is designed to accommodate a broad range of certification business models, subject always to the Accreditation Deed and Registered Deed Poll, including any provisions around ‘conflicts of interest’. Such arrangements may include:

a. Accredited Entities employing Registered Certifiers;

b. Registered Certifiers working as sub-contractors or contractors to one or more Accredited Entity;
c. Registered Certifiers of any category being appointed as an Accredited Entity (must meet the requirement of an Accredited Entity) and operating as a sole trader within the limits of each Accreditation Deed;

d. Individuals being appointed as a Registered Certifier in more than one category; e.g. Major Connections Certifier and Construction Certifier;

e. Accredited Entities acting for the developer as a design consultant and project manager;

f. Registered Certifiers working for the developer’s design consultant;

Unitywater, at its discretion, may audit more frequently any Accredited Entity or Registered Certifier it considers to potentially be a conflict risk due to (amongst others) multiple roles under its Accreditation and certification System.

Developers, developers’ consultants, construction contractors, Accredited Entities and Registered Certifiers may have any form of contractual relationship that does not compromise their obligations under the Accreditation Deed and Registration Deed Poll. In particular, the Accreditation Deed and Registration Deed Poll will include overarching obligations for:

a. The Accredited Entity to establish and maintain Professional Indemnity and Public Liability insurances in the forms specified in the Accreditation Deed;

b. The Accredited Entity to always act first and foremost in the interests of Unitywater and Unitywater’s customers when providing certification services under the provisions of the Accreditation Deed and ensuring the Registered Certifier does the same; and

c. The Registered Certifier to always act first and foremost in the interest of Unitywater and Unitywater’s customers when providing certification services under the provisions of the Registration Deed Poll and this Manual.

Conflict of interest

A conflict of interest is a situation in which an individual has competing interests or loyalties. A conflict of interest can exist in many different situations where an Accredited Entity or Registered Certifier could be influenced, or where it could be perceived that they are influenced, by a personal interest in carrying out their duty. Conflict of interest may be:

1. **Actual** – where a direct conflict exists between current official duties and existing private interests e.g. the Major Connections Certifier is the developer and is the consulting engineer (RPEQ) as well as the Registered Certifier assessing the connection application;

2. **Perceived** – where it appears or could be perceived that private interests are improperly influencing the performance of official duties whether or not that is actually the case e.g. the Major Connections Certifier is the only RPEQ in the company and he signs off on the design plans (as required by the SEQ Code) and also assesses the design plans and prepares the draft Decision Notice as a Registered Certifier or a Construction Certifier being employed by the Construction Company constructing the approved works; and

3. **Potential** – where private interests are not but could come into direct conflict with official duties e.g. the Major Connections Certifier and the Consulting Engineer (RPEQ engineer signing off on the design plans as required by the SEQ Code) are both employed by the same Accredited Entity.
Unitywater is committed to ensuring that:

a. All potential conflicts of interest are identified and recorded;
b. Conflicts of interest are avoided where possible; and
c. Any conflicts which cannot be avoided, are appropriately managed in a transparent manner

Unitywater’s Conflicts of Interest Policy (BP8042) sets out our expectations about the way in which conflicts of interest will be addressed and managed at Unitywater.

It is the responsibility of Accredited Entities and Registered Certifiers to declare any Actual or Perceived conflicts of interest each time they are engaged to undertake certifications on a connection application and submit the declaration with the certification package. The Accredited Entity and Registered Certifier must complete the Conflict of Interest Disclosure Form – See Appendix D4

When Unitywater is undertaking an audit of the certification package, determination will be made on potential conflict of interest. If there is a potential conflict of interest, and:

a. A Conflict of Interest Disclosure form is included in the package, then record and file accordingly;
b. A Conflict of Interest Disclosure form is not included in the package, then record as a major non-conformance in the audit report against the Registered Certifier.

The Accredited Entity must ensure that a Registered Certifier can act in the interests of Unitywater and its customers when providing certification services, and that the Accredited Entity does not cause a Registered Certifier to have a conflict with these interests.

**Implementation**

It is intended that from 1 July 2019 all connection applications will be approved and implemented under the Accreditation and Certification System described in Unitywater Accreditation and Certification Manual, and Connection Applications will no longer be able to be made directly to Unitywater. Unitywater will consult with the industry and community prior to this stage.

In the period 1 July 2017 to 30 June 2019 Unitywater will operate its current business as usual in conjunction with the Accreditation and Certification System. This is to provide time for appointment of a sufficient complement of Accredited Entities and Registered Certifiers to adequately serve the development industry and for the Registered Certifiers to gain the necessary level of proficiency.

The initial term of accreditation for all Accredited Entities and Registered Certifiers will be two years.

After the initial accreditation period, Unitywater will review the performance of Registered Certifiers and Accredited Entities and renew accreditation and registration where it considers it appropriate to do so. The performance review will also inform Unitywater’s auditing schedule for Accredited Entities and Registered Certifier’s whose accreditation and registration is renewed.

**Fees**

Accredited Entities and Registered Certifiers will set or negotiate their own fees for certification services provided to the development industry. Fees charged by Accredited Entities and
Registered Certifiers to developers for certification services will not be controlled in any way by Unitywater.

Unitywater will charge Accredited Entities a fee for submission of each certification package. The fees will be published on Unitywater's internet site (www.unitywater.com).

**Performance Management**

Unitywater will assist newly appointed Accredited Entities and Registered Certifiers to attain a satisfactory level of proficiency to enable them to maintain their accreditation. This assistance may take the form of:

a. **Training** for accreditation applicants to provide them with an understanding of legislation, connections approval process, obligations under the Accreditation Deed and Registration Deed Poll, roles and responsibilities, objectives, standards, the decision-making process and required standard of performance;

b. **On-going Training** for Accredited Entities and Registered Certifiers to assist them to improve their proficiency and to understand and implement changes to legislation, policy, business processes and/or design and construction standards.

c. **Auditing** of certifications and feedback to the relevant Accredited Entity and Registered Certifier. A copy of each audit report will be made available to the relevant Registered Certifier and Accredited Entity upon request. In the instance of a ‘fail assessment’ the audit report will state what action must be taken to improve performance;

d. **Counselling** for Registered Certifiers and Accredited Entities who have issued certifications that are not compliant with legislation, the Connections Policy, the connections approval and/or principle design aspects of the SEQ Code or that result in outcomes that do not satisfy the prudency and efficiency test.

Unitywater expects the Accredited Entities and Registered Certifiers to always act in accordance with the requirements of the applicable Accreditation Deed or Registration Deed Poll, and to undertake relevant professional development and provide adequate resources to attain and maintain a satisfactory level of performance.

The Accreditation Deed and Registration Deed Poll will enable Unitywater to place the Accredited Entity and/or the Registered Certifier on probation, or suspend accreditation or revoke accreditation, including where it is evident that Accredited Entities and/or Registered Certifiers are not improving their proficiency and are continually issuing certifications which are not complying with legislation, the Connections Policy, the connections approval and/or principle design aspects of the SEQ Code or that result in outcomes which are not prudent and efficient.

Should Unitywater suspend or revoke an accreditation, Unitywater will seek to minimise the impact and delay on affected developers and their development project. Unitywater may facilitate the transition to another Accredited Entity and/or Registered Certifier or provide services to assess and approve connections applications and accept donated assets.

**Conclusion**

This manual describes Unitywater’s Accreditation and Certification System which is designed to engage the resources, expertise and innovation of private industry in the process of connecting new development to Unitywater’s networks within the Utility Model Framework.
The desired win-win objective is to provide least lifecycle cost water supply and sewerage services to Unitywater’s customers and to give the development industry more control over the time and cost of the connections process.

This objective will only be achieved by all parties acting in accordance with the principles set-out above and with all parties contributing to the continual improvement of the Unitywater Accreditation and Certification System.
Part A – Accreditation

1. Introduction

This part of the Accreditation and Certification Manual has the purpose of detailing the categories of accreditation, how to apply for accreditation, the process of appointing successful applicants and the process to continually improve the proficiency of Accredited Entities and Registered Certifiers to achieve the objectives of the Accreditation and Certification System (see Overview - Objectives).

1.1. Limitations

Unitywater’s Accreditation and Certification system will apply to all aspects of non-trunk infrastructure (including property connections) for water supply and sewerage including assessment of connections applications, requests to amend conditions of connection approvals, and design, construction and handover of donated assets to Unitywater.

This system does not include:

a. Preparation and issuance of Service Advice Notices;
b. Assessment of standard connections applications for water supply or sewerage;
c. Assessment of connections involving the design and construction of trunk infrastructure;
d. Assessment of connections outside of the Future Connections Area;
e. Preparation, approval and supervision of network intervention plans;
f. Building over and adjacent to Unitywater’s assets;
g. Transitional applications for material change of use and reconfiguration of lot; and
h. Extensions of currency period.
2. Overview of Accreditation Process

Figure 2 illustrates the business process for appointing entities and suitably qualified persons as Accredited Entities and Registered Certifiers.

Figure 2 – Accreditation Process

The accreditation process involves:

a. The applicant preparing and submitting an accreditation application to Unitywater;

b. Unitywater acknowledging receipt of the application;

c. Unitywater assessing the application and if necessary requesting clarification or additional information;

d. Unitywater deciding the application and either approving or refusing the application;

e. Unitywater may consult with the applicant regarding the reasons for refusing the application but this will not fetter Unitywater’s ability to refuse any applications at its discretion;

f. Training of approved Applicants;

g. Execution of the Accreditation Deed or Registration Deed Poll;

h. Appointment of Accredited Entities and Registered Certifiers; and

i. Publication of the contact details of Accredited Entities and Registered Certifiers (i.e. Unitywater’s Accreditation Register) on Unitywater’s internet site.

This process will be conducted once every year by Unitywater to initially establish and thereafter maintain a pool of Accredited Entities and Registered Certifiers to provide certification services to the development industry.
3. Categories of Accreditation

Unitywater will appoint suitable entities (including sole traders) as Accredited Entities. Unitywater will appoint appropriately qualified persons as Registered Certifiers in the following categories:

a. Major Connections Certifier;
b. Minor Connections Certifiers; and
c. Construction Certifiers.

The roles and responsibilities of Accredited Entities and Registered Certifiers are described in Section 6 Roles and Responsibilities.

3.1. Accredited Entities

Individual people (e.g. sole traders) and companies (e.g. consulting engineering firms, civil construction companies, project management companies, town planning consultancies or surveying firms) are eligible to apply to be appointed as an Accredited Entity.

Registered Certifiers (see below) may also apply to be appointed as an Accredited Entity subject to the Registered Certifier satisfactorily meeting the relevant criteria of an Accredited Entity.

3.1.1. Registered Certifiers

Individual people with suitable qualifications and experience may apply to be Registered Certifiers in one or more of the roles. Compulsory qualifications are detailed in Table 2.

<table>
<thead>
<tr>
<th>Table 2 - Registered Certifiers Roles and Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Role</strong></td>
</tr>
<tr>
<td>Major Connections Certifier</td>
</tr>
<tr>
<td>Minor Connections Certifier</td>
</tr>
<tr>
<td>Construction Certifier</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
4. Dealings

When Accredited Entities and Registered Certifiers are appointed their contact details will be published in a register (Unitywater’s Accreditation Register) on Unitywater’s website.

To obtain connections approvals and provisional certificates of completion and certificates of completion through the certification process described in Part B of this manual, Developers must engage an Accredited Entity.

The Accredited Entity will nominate a Major or Minor Connections Certifier to provide certification services through each stage in the certification process described in Part B of this manual, from submission of certification packages to issuance of the certificate of completion by Unitywater.

If construction of network works (e.g. water mains and sewerage mains) is required by the connections approval, the Accredited Entity will engage a Construction Certifier to inspect and certify the as-constructed condition of the works.

Unitywater will continue to accept and assess connection applications directly from applicants (without certification) until 30 June 2019. However, it is Unitywater’s preferred position that connections applications are assessed in accordance with Part B (Certification) of this manual to achieve the objective of giving the development industry greater control over the time and cost of completing new connections in a timely and efficient way.

5. Existing Approvals

Accredited Entities and Registered Certifiers may be engaged by water connection approval holders (developers) to act on current connection approvals, including for applications to change conditions of current connection approvals.

6. Roles and Responsibilities

6.1. Unitywater

Unitywater is responsible for management of all aspects of accreditation, and for receiving, assessing and deciding connection applications.

Unitywater will manage accreditation by establishing, maintaining and continually improving the accreditation management system comprised of this manual, supporting business systems and the following business processes/activities:

a. Acceptance and assessment of applications for accreditation from representatives of entities and/or suitably qualified people;

b. Decisions about accreditation applications;

c. Responding to request by an unsuccessful applicant for Unitywater to review its decision to refuse an accreditation application;

d. Training of approved applicants;

e. Execution of Accreditation Deeds and acceptance of Registration Deed Polls;
f. Appointment of applicants who are approved for accreditation, and who have successfully completed the requisite training as Accredited Entities and/or Registered Certifiers and who signs the Accreditation Deed/Registration Deed Poll.

g. Establishment and maintenance of a register of Accredited Entities and Registered Certifiers ([Unitywater’s Accreditation Register]) on Unitywater’s website to facilitate ready contact by Developers and Landowners with Accredited Entities and Registered Certifiers;

h. Support systems to improve the proficiency of Accredited Entities and Registered Certifiers.

6.2. Developers

Developers have no direct role in the accreditation process.

Unitywater will not accept a Developer as an Accredited Entity for their own development projects because of the conflict of interest that would be created.

6.3. Accredited Entities

An Accredited Entity will be appointed by the developer or the developer’s consultant to pursue a connection application through the certification framework.

The Accredited Entity will appoint a Registered Certifier to undertake the responsibilities described below. The Accredited Entity will remain responsible for the Registered Certifier and provide support to the Registered Certifier as per Section 6.7 General Primary Obligation of Accredited Entities and Registered Certifiers.

6.4. Major Connections Certifier

Major Connections Certifiers are Registered Certifiers that are responsible for:

a. Assessing developers’ connections applications;

b. Preparing certification packages, including draft decision notices and draft infrastructure charges notices (if applicable) in accordance with legislation, the Connections Policy and processes described in Part B of this Manual;

c. Ensuring prescribed certification processes, including submission of certification packages to Unitywater, are followed for the water supply and sewerage aspects of the development project;

d. Monitoring compliance with Infrastructure Agreements and Water Connection Approval Agreements and notify Unitywater of any non-compliance; and

e. Always acting in accordance with the terms and conditions of their Registration Deed Poll.

6.5. Minor Connections Certifier

Minor Connections Certifiers are Registered Certifiers that are responsible for:

a. Assessing developer connections applications;

b. Preparing certification packages, including draft decision notices and draft infrastructure charges notices (if applicable) in accordance with legislation, the Connections Policy and processes described in Part B of this manual;
c. Ensuring prescribed certification processes, including submission of certification packages to Unitywater, are followed for the water supply and sewerage aspects of the development project;

d. Monitoring compliance with Infrastructure Agreements; and

e. Always acting in accordance with the terms and conditions of the Registration Deed Poll.

Minor Connections Certifiers cannot certify connections applications for development projects that involve construction of network works.

6.6. Construction Certifier

Construction Certifiers are Registered Certifiers that are responsible for:

a. Inspecting network works in accordance with the schedule agreed at each pre-start meeting;

b. Providing certification of the extent of completed works for provisional certificates of completion, certificates of completion, connection to sewerage network and off maintenance;

c. Providing certification that the condition and configuration of constructed works complies with the conditions of the connections approval and prescribed standards as requested by the Major Connections Certifier or Unitywater; and

d. Always acting in accordance with the terms and conditions of the Registration Deed Poll.

A Construction Certifier must not be the construction supervisor for the contractor on the construction site.

6.7. General Primary Obligation of Accredited Entities and Registered Certifiers

Under the terms of their Accreditation Deeds and Registration Deed Polls, Accredited Entities and Registered Certifiers have the following general primary obligations:

6.7.1. Accredited Entities

Accredited Entities will be responsible for their Registered Certifiers, and provide support to Registered Certifiers in their roles by maintaining:

a. Access to and use of a quality system that is accredited to a recognised standard (e.g. International Standards Organisation standard 9001) to assure the quality of certifications;

b. Professional indemnity insurance to cover certifications issued to Unitywater by the Registered Certifier while the Registered Certifier is employed by or otherwise engaged by the Accredited Entity for a period of up to seven years after any particular certification is issued; and

c. Resources to assist the Registered Certifier to assess and make decisions about connections applications and/or the standard of construction; e.g. access to legal advice.
6.7.2. Registered Certifiers (Major Connections Certifiers, Minor Connections Certifiers and Construction Certifiers)

Registered Certifiers must always act first and foremost in the interests of Unitywater and comply with relevant law. Registered Certifiers must monitor the developer's compliance with the applicable standards, connection approval and any water infrastructure agreement and notify Unitywater of any non-conformance.

A Registered Certifier must not take direction on certification decisions from developers or allow themselves to be placed in a position where they may have a conflict of interest between their obligations to Unitywater and their obligations to any other person.

All Registered Certifiers will have the responsibility to ensure that all contributed assets including property service connections:

a. Are compliant with the relevant Connections Approvals (Decision Notices), water infrastructure agreement and prescribed standards (e.g. the SEQ Code); and
b. Satisfy the prudence and efficiency test; and
c. Provide the required standard of service at least lifecycle cost to Unitywater’s customers; and
d. Are consistent with Unitywater’s Network Master Plans or other servicing plan approved by Unitywater.

7. Competencies

Accredited Entities and Registered Certifiers must attain competencies specific to their role as summarised in Table 3 below to effectively and efficiently discharge their responsibilities.

Unitywater will provide all necessary training to the Accredited Entities and Registered Certifiers.

<table>
<thead>
<tr>
<th>Role</th>
<th>Requisite Competencies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Accredited Entities</strong></td>
<td>Knowledge and demonstrated understanding of;</td>
</tr>
<tr>
<td></td>
<td>a. Obligations of Accredited Entities and Registered Certifiers;</td>
</tr>
<tr>
<td></td>
<td>b. Relevant legislation, the Connections Policy and Schedule of Works;</td>
</tr>
<tr>
<td></td>
<td>c. End-to-end certification process.</td>
</tr>
<tr>
<td><strong>Major Connections Certifiers</strong></td>
<td>Knowledge and demonstrated understanding of;</td>
</tr>
<tr>
<td></td>
<td>a. Obligations of Accredited Entities and Registered Certifiers;</td>
</tr>
<tr>
<td></td>
<td>b. Relevant legislation, the Connections Policy and Schedule of Works;</td>
</tr>
<tr>
<td></td>
<td>c. End-to-end certification process;</td>
</tr>
<tr>
<td></td>
<td>d. Assessing connections applications and drafting decision notices;</td>
</tr>
<tr>
<td></td>
<td>e. Assessing engineering drawings and drafting decision notices;</td>
</tr>
<tr>
<td></td>
<td>f. Calculating infrastructure charges;</td>
</tr>
<tr>
<td></td>
<td>g. Preparing draft infrastructure charges notices;</td>
</tr>
<tr>
<td></td>
<td>h. Preparing documentation to support requests for provisional certificates of completion and certificates of completion;</td>
</tr>
<tr>
<td></td>
<td>i. Inspection of works including on and off maintenance inspections;</td>
</tr>
<tr>
<td></td>
<td>j. Preparing asset handover packages;</td>
</tr>
<tr>
<td></td>
<td>k. Process for construction of connections to Unitywater's network infrastructure; and</td>
</tr>
<tr>
<td></td>
<td>l. Preparing documentation to support off-maintenance requests.</td>
</tr>
</tbody>
</table>
### Role Requisite Competencies

<table>
<thead>
<tr>
<th>Role</th>
<th>Requisite Competencies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Minor Connections Certifiers</strong></td>
<td>Knowledge and demonstrated understanding of;</td>
</tr>
<tr>
<td></td>
<td>a. Obligations of Accredited Entities and Registered Certifiers;</td>
</tr>
<tr>
<td></td>
<td>b. Relevant legislation, the Connections Policy and Schedule of Works;</td>
</tr>
<tr>
<td></td>
<td>c. End-to-end certification process;</td>
</tr>
<tr>
<td></td>
<td>d. Assessing connections applications and drafting decision notices;</td>
</tr>
<tr>
<td></td>
<td>e. Preparing documentation to support requests for certificates of completion; and</td>
</tr>
<tr>
<td></td>
<td>f. Process for construction of property connections to Unitywater’s network infrastructure.</td>
</tr>
<tr>
<td><strong>Construction Certifiers</strong></td>
<td>Knowledge and demonstrated understanding of;</td>
</tr>
<tr>
<td></td>
<td>a. Obligations of Accredited Entities and Registered Certifiers;</td>
</tr>
<tr>
<td></td>
<td>b. End-to-end certification process;</td>
</tr>
<tr>
<td></td>
<td>c. Preparing documentation to support requests for provisional certificates of completion and certificates of completion;</td>
</tr>
<tr>
<td></td>
<td>d. Inspection of works including on and off maintenance inspections;</td>
</tr>
<tr>
<td></td>
<td>e. Preparing asset handover packages;</td>
</tr>
<tr>
<td></td>
<td>f. Process for construction of connections to Unitywater’s network infrastructure; and</td>
</tr>
<tr>
<td></td>
<td>g. Preparing documentation to support off-maintenance requests.</td>
</tr>
</tbody>
</table>

### 8. Application for Accreditation

It is intended that Unitywater will invite applications for accreditation once a year. This is to ensure processes such as assessment of applications, training and execution of Accreditation Deeds and Registered Deed Polls are conducted efficiently.

Sole traders and representatives of companies, and suitably qualified individuals may apply to be appointed as Accredited Entities and Registered Certifiers respectively by:

a. Downloading the **Accreditation Application Form (Appendix A)** from Unitywater’s internet site ([www.unitywater.com](http://www.unitywater.com)). It must be noted that this form will only be available on the Unitywater webpage in July and August of each year when Unitywater invites applicants to apply for Accreditation;

b. Completing and signing this form;

c. Attaching all supporting information (e.g. professional indemnity insurance policy currency certificate);

d. Publishing the completed form and supporting documentation, in portable document file format, as a single document; and

e. Submitting the single document to Unitywater by email at [accreditation.coordinator@unitywater.com](mailto:accreditation.coordinator@unitywater.com).

### 8.1. Privacy

All information provided by applicants will be utilised for assessing applications for accreditation and for no other purpose. The privacy of the information contained in accreditation applications will be protected in accordance with the requirements of the **Information Privacy Act 2009 (Qld)** and where applicable or required by Unitywater, the **Privacy Act 1988** (Cwlth).
8.2. Eligibility Criterion

Applicants must demonstrate that they have the capabilities and resources to adequately undertake the roles and responsibilities described in section 6 Roles and Responsibilities. Hence, applicants must substantiate all claims made in the accreditation application with supporting documentation (e.g. professional indemnity insurance policy currency certificate) that can be readily verified by Unitywater. Note that the requirements for supporting documentation are stated in the Accreditation Application form.

8.2.1. Accredited Entities

To be appointed as an Accredited Entity, each applicant entity must demonstrate that it has:

a. The financial capacity to:
   i. Establish and maintain professional indemnity, public liability and workers compensation insurance policies;
   ii. Support Registered Certifiers as mentioned in section 6.7 General Primary Obligation of Accredited Entities and Registered Certifiers.

b. A Quality Management System that is certified by a third party to AS/NZS ISO 9001.

Information listed in Table 4 must be submitted with applications for accreditation as an Accredited Entity.

Table 4 - Eligibility Criterion to be appointed as an Accredited Entity

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
<th>Minimum Requirement</th>
</tr>
</thead>
</table>
| Authorised Representative | Contact details of an authorised representative including:  
  1. Name;  
  2. Position title;  
  3. Telephone number; and  
  4. Email address.  | Accurate contact details of an authorised representative who can be readily contacted during business hours. |
| Company or business details | The applicant must provide details to identify their company or business to enable searches on the company or business. | The applicant must provide the following details to Unitywater:  
  1. Address of registered office;  
  2. Australian Business Number;  
  3. Australian Company Number (if applicable). |
| Financial Capacity:       | The applicant must demonstrate that they have the financial capacity to support Registered Certifiers. In particular, financial capacity to maintain insurances. | Copy of an annual report and/or other financial statement showing for the previous and current financial year:  
  1. Statement (profit and loss) of financial performance;  
  2. Position (balance sheet); and  
  3. Cash flows. |
| Insurances:               | The applicant must demonstrate that they have suitable:  
  1. Public liability;  
  2. Professional indemnity; and  
  3. Workers compensation Insurance. | Provide policy details and currency certificates for the following insurances:  
  1. Public liability (minimum $20M);  
  2. Professional indemnity (minimum $5M); and  
  3. Workers compensation. |
Quality Assurance Systems:
The applicant must demonstrate that they have quality assurance systems to support Registered Certifiers in the discharge of their responsibilities.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality Assurance Systems:</td>
<td>The applicant must demonstrate that they have quality assurance systems to support Registered Certifiers in the discharge of their responsibilities.</td>
<td>Provide third party certification of the Accredited Entity's quality assurance systems that is compliant to AS/NZS ISO 9001 and also preferably to AS4801 (safety) that can be utilised by Registered Certifiers;</td>
</tr>
</tbody>
</table>

8.2.1.1. Insurances

The Accredited Entity must have relevant insurances to be eligible for Accreditation. The application for accreditation must be accompanied with copies of the details and currency certificates for the relevant insurances as follows:

- **Public Liability Insurance** (minimum $20M); when a third party suffers injury or harm as a result of faulty materials, workmanship and/or design that has been certified as compliant with prescribed standard and fit for purpose;
- **Professional Indemnity Insurance** (minimum $5M including $5M per claim) that Unitywater can call on if certification causes financial loss to Unitywater or to cover the cost of rectification works;
- **Workers Compensation Insurance** as required by the *Workers' Compensation and Rehabilitation and Other Legislation Amendment Act 2003*.

When the application for accreditation has been assessed and approved by Unitywater, the Accredited Entity must amend their policies as follows:

- **Endorsement for Liability Certificates (Public Liability Insurance):**
  This policy must note the Northern SEQ Distributor-Retailer Authority, trading as Unitywater, as an interested party under this insurance for the purposes of the Unitywater Accreditation and Certification System; and
- **Endorsement for Professional Indemnity Certificates (Professional Indemnity Insurance):**
  This policy must state that the policy “covers the activities of an Accredited Entity and associated Registered Certifiers under Unitywater’s Accreditation and Certification System”.
  In the event that Insurance Brokers are unwilling to include the above clause to the Professional Indemnity Insurance, the Applicant must request and submit a letter from their Insurance Brokers to confirm in writing that the Applicant’s Professional Indemnity Insurance covers the activities of the Unitywater Accreditation and Certification system under their policy.

The approved Accredited Entity must submit the updated insurance policies to Unitywater prior to Unitywater issuing the Accreditation Deed to the approved Accredited Entity, subject to the approved Accredited Entity satisfying all other criteria. Unitywater will not issue Accreditation Deeds to the approved Accredited Entities without proof that insurance policies as detailed above have been satisfactorily updated.

Following appointment as an Accredited Entity, the Accredited Entity must provide Unitywater with a copy of the policy details and currency certificates annually. Failure to provide this information will result in Unitywater taking appropriate actions in accordance with the Accreditation Deed.
8.2.2. Major Connections Certifier

Major Connections Certifiers may provide certifications for any type of non-trunk infrastructure connection, including the larger more complex multistage developments that involve construction, commissioning and handover of network works. Hence, Major Connection Certifiers must have the requisite engineering knowledge to assess and certify connections approvals, engineering designs and asset handover packages. Consequently, individuals seeking to be appointed as Major Connections Certifiers must be a Registered Professional Engineers Queensland (RPEQ) and have prior relevant professional experience to enable them to successfully undertake their role. Accordingly, information listed in Table 5 must be submitted with applications for accreditation as a Major Connections Certifier.

Table 5 - Eligibility Criterion to be appointed as a Major Connections Certifier

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Details</td>
<td>Contact details:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Telephone;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Email; and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Postal Address.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Accurate contact details.</strong></td>
<td></td>
</tr>
<tr>
<td>Qualification</td>
<td>The applicant must demonstrate that they:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Have adequate theoretical knowledge to certify that engineering</td>
<td>Registered Professional Engineer Queensland (RPEQ)</td>
</tr>
<tr>
<td></td>
<td>designs are safe, prudent and efficient and comply with prescribed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>standards.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Comply with the requirements of the Professional Engineers Act 2002</td>
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<tr>
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<td>QLD.</td>
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</tr>
<tr>
<td>Safety</td>
<td>The applicant must demonstrate understanding of responsibilities for</td>
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</tr>
<tr>
<td></td>
<td>safety of self and others in the workplace.</td>
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<tr>
<td></td>
<td>Provide certificates from recognised training providers that the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>following training has been successfully completed:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. CPCCOHS1001A – Work Safely in the Construction Industry;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Confined Space Awareness; and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Working Safely at Heights Awareness.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>If the Applicant intends to be accredited as a Construction Certifier</td>
<td></td>
</tr>
<tr>
<td></td>
<td>as well, the Applicant must complete the full training comprising of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Theory and Practical aspects of both the Confined Space and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working at Heights.</td>
<td></td>
</tr>
<tr>
<td>Experience</td>
<td>The applicant must demonstrate that they have experience and</td>
<td>Curriculum Vitae (CV) of relevant recent experience</td>
</tr>
<tr>
<td></td>
<td>knowledge that would enable them to successfully discharge the</td>
<td>totalling at least three years. The CV should be brief</td>
</tr>
<tr>
<td></td>
<td>responsibilities of a Major Connections Certifier.</td>
<td>and consist of:</td>
</tr>
<tr>
<td></td>
<td><strong>Curriculum Vitae (CV)</strong> of relevant recent experience totalling at</td>
<td>1. A list of projects;</td>
</tr>
<tr>
<td></td>
<td>least three years.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The CV should be brief and consist of:</td>
<td>2. Name of developer of each project;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. A list of projects;</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Telephone number of at least two (2) developers;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Criteria Details Minimum Requirement

4. Concise (one or two sentences) description of the applicant’s role in each project. The role must demonstrate relevant experience such as project management, applying for connection approvals, design of water and sewerage network works, supervision of works and commissioning and handover of assets;

5. Estimate of value of water supply and sewerage infrastructure for each project; and

6. Name and contact details of Local Government or Distributor-Retailer issuing approvals and accepting handover of assets.

#### Referees

<table>
<thead>
<tr>
<th>Details</th>
<th>The applicant must provide contact details of referees who can verify the experience of the applicant and who can attest to the ability of the applicant to successfully undertake the responsibilities of a Major Connections Certifier.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minimum Requirement</td>
<td>Contact details of a minimum of two referees. Suitable referees include: 1. Unitywater’s Manager – Infrastructure Planning and Development or Development Services Manager; or 2. Unitywater’s Development Services Senior Staff members e.g. Team Leaders or Principal Development Engineer/Officers; or 3. Development Services Managers of Councils in Unitywater’s service area or other utilities where the applicant has worked on property development projects.</td>
</tr>
</tbody>
</table>

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**8.2.3. Minor Connections Certifier**

Minor Connections Certifiers will provide certifications for development projects that do not involve construction of network works. Such development projects will only involve the construction of water supply and/or sewerage property connections. The property connections may be other than a standard connection and in these instances the size of the water supply and sewerage connections will be proposed by the developer’s hydraulic consultant and the configuration of the connections will be as detailed in the SEQ Code. Hence, a Minor Connections Certifier must have relevant prior experience in the development industry, but need not have engineering qualifications.

Information listed in **Table 6** must be submitted with applications for accreditation as an Accredited Entity.

**Table 6 - Eligibility Criterion to be appointed as a Minor Connections Certifier**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Details</td>
<td>Contact details: 1. Telephone; 2. Email; and 3. Postal Address.</td>
<td>Accurate contact details.</td>
</tr>
<tr>
<td>Safety:</td>
<td>The applicant must demonstrate understanding of responsibilities for safety of self and others in the workplace.</td>
<td>Provide copy of certificate (white card) held for CPCCOHS1001A Work Safely in the Construction Industry.</td>
</tr>
</tbody>
</table>
### Experience

The applicant must demonstrate that they have experience and knowledge that would enable them to successfully discharge the responsibilities of a Minor Connections Certifier.

Curriculum Vitae (CV) of relevant experience over past three years. The CV should be concise and consist of:
1. A list of at least six development projects;
2. Name of developer of each project;
3. Brief (one or two sentences) description of applicant's role in the water and sewerage aspects of each project. To demonstrate relevant experience previous roles must include making applications to obtain approval for water supply and sewerage connections;
4. Telephone number of each developer; and
5. Name and contact details of Local Government or Distributor-Retailer issuing approvals and accepting handover of assets for each project.

### Referees

The applicant must provide contact details of referees who can verify the experience of the applicant and who can attest to the ability of the applicant to successfully undertake the responsibilities of a Minor Connections Certifier.

Contact details for a minimum of two referees. Suitable referees include:
1. Unitywater’s Manager – Infrastructure Planning and Development or Development Services Manager; or
2. Unitywater’s Development Services Senior Staff members e.g. Team Leaders or Principal Development Engineer/Officers; or
3. Development Services Managers of Councils in Unitywater’s service area or other utilities where the applicant has worked on property development projects.

### 8.2.4. Construction Certifier

Construction Certifiers will inspect network works and provide certification of the extent and standard of completed works. Hence, Construction Certifiers must have sound and practical knowledge of civil construction standards and practice, in particular, the SEQ Code.

Information listed in Table 7 must be submitted with applications for accreditation as a Construction Certifier.

**Table 7 - Eligibility Criterion to be appointed as a Construction Certifier**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
<th>Minimum Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Details</td>
<td>Contact details:</td>
<td>Accurate contact details.</td>
</tr>
<tr>
<td></td>
<td>1. Telephone;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Email;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Postal Address.</td>
<td></td>
</tr>
<tr>
<td>Safety:</td>
<td>The applicant must demonstrate understanding</td>
<td>Provide certificates from recognised training providers</td>
</tr>
<tr>
<td></td>
<td>of responsibilities for safety of self and</td>
<td>that the following training has been successfully</td>
</tr>
<tr>
<td></td>
<td>others in the workplace.</td>
<td>completed:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. CPCCOHS1001A Work Safely in the Construction Industry;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Confined Space Entry; and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Working Safely at Heights.</td>
</tr>
<tr>
<td>Criteria</td>
<td>Details</td>
<td>Minimum Requirement</td>
</tr>
<tr>
<td>-----------</td>
<td>-------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Qualifications</td>
<td>The applicant must demonstrate that they have sufficient theoretical knowledge of civil construction and practice to competently inspect and certify the as-constructed condition of water and sewerage assets.</td>
<td>Licensed Plumber and Drainer or Certificate IV in Civil Construction Supervision or higher tertiary engineering qualification.</td>
</tr>
<tr>
<td>Experience</td>
<td>The applicant must demonstrate that they have experience and knowledge that would enable them to successfully discharge the responsibilities of a Constructions Certifier.</td>
<td>Curriculum Vitae (CV) of relevant experience over past three years. The CV should be concise and consist of: 1. A list of at least six development projects; 2. Name of developer of each project; 3. Brief (one or two sentences) description of applicant’s role in the water and sewerage aspects of each project. The role must involve supervision of construction, or inspection of works, or undertaking construction activity in a leading hand or foreman role to demonstrate relevant experience;</td>
</tr>
<tr>
<td>Referees</td>
<td>The applicant must provide contact details of referees who can verify the experience of the applicant and who can attest to the ability of the applicant to successfully undertake the responsibilities of a Construction Certifier.</td>
<td>Contact details for a minimum of two referees. Suitable referees include: 1. Unitywater’s Manager – Infrastructure Planning and Development or Development Services Manager; or 2. Unitywater’s Development Services Senior Staff members e.g. Team Leaders or Principal Development Engineer/Officers; or 3. Development Services Managers of Councils in Unitywater’s service area or other utilities where the applicant has worked on property development projects.</td>
</tr>
</tbody>
</table>

### 8.3. New Entrants

Unitywater understands that there may be some applicants for accreditation as registered certifiers who are new to the industry and/or who have not previously been involved in development activities within Unitywater’s service area. Unitywater may, at its discretion, allow new entrants to the development industry to act as Registered Certifiers on a trial basis. For this trial the applicant would be required to sign a Registration Deed Poll that would be limited to two nominated projects and for a term not exceeding 12 months.

Unitywater may approve applications from new entrant’s subject to these applicants meeting the minimum requirements listed in Tables 4, 5, 6 or 7 as relevant except for the experience criterion of the applicant and:
a. Providing contacts for two referees that can verify the applicant has the ability and capacity to undertake the responsibilities of the relevant category of accreditation with suitable training; and

b. Satisfactorily completing all necessary certifications for:
   i. Two stages of a multi-stage development project or two individual developments of not less than 10 new lots each to qualify as a Major Connections Certifier and/or Constructions Certifier; or
   ii. Two property connections (other than standard water supply and sewerage connections) to qualify as a Minor Connections Certifier.

The applicant (New Entrant) must achieve a pass assessment on 67% of all audits of certifications before Unitywater will issue the Accreditation Deed or the Registration Deed Poll to be appointed as either an Accredited Entity or Registered Certifier.

8.4. Withdrawal of Application for Accreditation

The Applicant may withdraw their accreditation application by preparing and sending a request to Unitywater by email to the Accreditation Coordinator accreditation.coordinator@unitywater.com. The Applicant must state whether an Accreditation Deed or Registration Deed Poll has been signed by the Applicant.

When a request to withdraw an accreditation application is received, the Accreditation Coordinator will register the request in Unitywater’s records management system and update the Accreditation Application Tracking Tool by recording the date on which the request was received.

If an Accreditation Deed or Registration Deed Poll has not been executed, the Accreditation Coordinator will issue a notification to the Applicant, within 5 business days of receiving the request, that the application has been withdrawn. The Accreditation Coordinator will register a copy of the notification in the records management system and update the Accreditation Application Tracking Tool by recording the date on which the notification was issued and the status of the application as “withdrawn”.

If an Accreditation Deed or Registration Deed Poll has been executed, accreditation may only be withdrawn in accordance with the terms of the Accreditation Deed or Registration Deed Poll. If an Accredited Entity or Registered Certifier ends their accreditation under the respective Accreditation Deed or Registration Deed Poll, the Accreditation Coordinator will register the termination of the accreditation in Unitywater’s records management system and update the Accreditation Application Tracking Tool by recording the date on which the accreditation ended. The Accreditation Coordinator will remove the names of the withdrawn Accredited Entity or Registered Certifier from the Accreditation Register on the Unitywater website.

9. Contractual Relationships

Developers, developers’ consultants, construction contractors, Accredited Entities and Registered Certifiers may have any form of contractual relationship that does not compromise the obligations of the Accredited Entity and Registered Certifier under the Accreditation Deed or Registration Deed Poll. For example, Accredited Entities must always satisfy their obligation to establish and maintain professional indemnity and public liability insurances in the forms specified in the Accreditation Deed and the Registered Certifier must always act first and foremost in the interest of Unitywater and its customers when providing certification services under the provisions of the Registration Deed Poll.
10. Assessment of Accreditation Application

Unitywater’s assessment of accreditation applications will not involve Unitywater personnel interviewing the applicant.

10.1. Receipt and Acknowledgement of Application

The Accreditation Coordinator will register application documentation in Unitywater’s records management system and enter application details into the Accreditation Application Tracking Tool.

Following registration of the application the Accreditation Coordinator will, within 2 business days of receipt of the application, issue an email notice to the Applicant acknowledging that the application has been received and stating when Unitywater will issue a decision about the application.

10.2. Assessment of Applications

Unitywater’s Accreditation Coordinator will assess the information provided in the application against the eligibility criterion stated in Tables 4, 5, 6 or 7 as relevant to the application.

Unitywater’s Accreditation Coordinator may verify all claims made in each application including contacting and interviewing all referees and authenticating all certificates by checking with the issuing entity.

10.2.1. Request for Information

If the application is incomplete and or clarification is required, the Accreditation Coordinator will issue a request for information. Requests for further information will be issued within 10 business days of receipt of the application. The Applicant will have 90 business days to respond to the request for information.

If no response to Unitywater’s request for information is received within 90 business days of Unitywater issuing the request for information, the accreditation application will lapse.

If a response is received within 90 days, the Accreditation Coordinator will complete assessment of the application and issue a decision notice to the Applicant within 20 business days of receipt of the response to Unitywater’s information request.

10.2.2. Decision

Unitywater will assess the application, decide the application and issue a decision about the application within 20 business days of receipt of the application or further information will be requested as detailed in section 10.2.1 Request for Information

The Accreditation Coordinator will only approve an accreditation application for appointment as:

a. An Accredited Entity, when the Accreditation Coordinator is satisfied that the applicant entity:

   i. Is a legitimate company or individual (e.g. sole trader) with the capacity to fulfil the responsibilities of an Accredited Entity;

   ii. Has sufficient financial capacity and stability to support Registered Certifiers by maintaining insurances specified in Table 4; and
iii. Has the resources and capability to maintain or to establish and maintain quality systems as specified in Table 4 that can be used by Registered Certifiers to support them to carry out their responsibilities.

b. A Registered Certifier, when the Accreditation Coordinator is satisfied that the applicant:

i. Holds the compulsory qualification stated in Table 2 relevant to the category of accreditation; and

ii. Holds requisite safety qualifications; and

iii. Has the required minimum experience; or

iv. Commits to a trial accreditation as set-out in section 8.3 New Entrants.

If an application is not approved, the decision notice will contain reasons for not approving the application.

Successful applicants will be offered training. See Section 12 Training.

11. Appeal

If Unitywater does not approve an accreditation application, the Applicant may, within 20 business days of Unitywater issuing its decision, appeal (dispute) the decision by completing the dispute notice attached to the decision notice and submitting the completed dispute notice to Unitywater by email to accreditation.coordinator@unitywater.com.

In the instance that Unitywater has issued a refusal decision notice and Unitywater does not receive a dispute notice within 20 business days of issuing the decision notice the applicant must submit a new accreditation application.

If Unitywater receives a dispute notice within 20 business days of Unitywater issuing a decision notice, the Accreditation Coordinator will register the dispute notice in Unitywater’s records management system, and update the Accreditation Application Tracking Tool accordingly to ensure that the dispute notice is reviewed and responded to within 20 business days.

The Accreditation Coordinator and other senior Unitywater staff member will convene to review the dispute notice.

If the original decision to refuse the accreditation application is upheld, the Accreditation Coordinator will:

a. Issue correspondence to the Applicant, within 20 business days of receiving the dispute notice, stating that the original decision is maintained and that there is no further avenue of appeal; and

b. Register the correspondence in Unitywater’s records management system and Update the status of the application to “completed’ in the Accreditation Application Tracking Tool.

In the event that the original decision to refuse the application is not upheld, the Accreditation Coordinator will:

a. Issue an approval decision notice within 20 business days of receiving the dispute notice. The decision notice will indicate that Applicant must undertake training appropriate for the category of accreditation and direct the Applicant to apply for training; and
b. Register the decision notice in the Unitywater’s records management system and update the status of the application to “training” in the Accreditation Application Tracking Tool.

12. Training

To ensure that entities and individuals have the competencies specified in Table 3 to successfully undertake their relevant roles and responsibilities, as Accredited Entities and Registered Certifiers, Unitywater will provide training as set-out in Table 8.

### Table 8 - Training Matrix

<table>
<thead>
<tr>
<th>Training Module</th>
<th>Accredited Entity</th>
<th>Major Connections Certifier</th>
<th>Minor Connections Certifier</th>
<th>Construction Certifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Obligations of Accredited Entities and Registered Certifiers</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Overview of Relevant Legislation, Connections Policy and Schedule of Works</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Connections Approval Process</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Assessing Connections Applications and Preparation of Draft Decision Notice</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Calculation of Infrastructure Charges and Preparation of Draft Infrastructure Charges Notice</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation and Submission of Connection Approval Packages</td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Assessing Connections Applications (Network Works) and Preparation of Draft Decision Notice</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessing Water Supply Reticulation Design Drawings</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessing Sewerage Reticulation Design Drawings</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pre-Start Meeting Process</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Construction Inspection and Certification of Works</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Draft Provisional Certificates of Completion Package</td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Draft Certificates of Completion Package</td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>
Training Matrix

<table>
<thead>
<tr>
<th>Training Module</th>
<th>Accredited Entity</th>
<th>Major Connections Certifier</th>
<th>Minor Connections Certifier</th>
<th>Construction Certifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Maintenance Acceptance Process</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Asset Handover Packages</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Construction of Connections to Unitywater's Networks</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Off-Maintenance Request</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

Notes:
✓ = training module must be successfully completed prior to appointment Unitywater issuing the Registration Deed Poll for signature and subsequent appointment of the Registered Certifier.

Approved Applicants must successfully complete the designated training modules, including assessments where required, before they can be appointed by Unitywater as Accredited Entities and/or Registered Certifiers in the relevant category.

12.1. Purpose of Training

Training and competency assessments will be conducted as described in Part C Training of this Manual. The purpose of training will be to provide essential information particular to preparing and issuing certifications to Unitywater, including:

a. Compliance with relevant legislation, the Connections Policy and the Schedule of Works;

b. Obligations of Accredited Entities and Certifiers under the Accreditation Deed or Registration Deed Poll;

c. The certification process; and

d. Expected outcomes of the certification process such as:
   i. Draft Decision Notices are drafted with lawful, reasonable and relevant conditions;
   ii. Assets donated to Unitywater comply with the relevant connections approval and are prudent and efficient;
   iii. The standard of assets donated to Unitywater comply with the SEQ Code or a business case is provided which justifies an alternate solution; and
   iv. The standard of documentation submitted to Unitywater complies with the relevant requirements of Part B of this manual and/or the SEQ Code.

Unitywater will not train Registered Certifiers in the specialist technical competencies of their role; e.g. project management, engineering design or inspection and assessment of the standard of civil construction. It is expected that each applicant must have the requisite specialist technical knowledge and experience to undertake the role for which they apply to be accredited and demonstrate these capabilities in their accreditation application.
12.2. Administration of Training

Once the Accreditation Coordinator has approved an accreditation application, the successful applicant will be required to apply for training in a block that they can commit to completing within 90 business days.

The Accreditation Coordinator will schedule training to ensure the required training can be completed within 90 business days.

Unitywater will conduct all training in Caboolture, Queensland. No on-line training will be offered.

Approved Applicants will undertake the scheduled training in accordance with the assigned training schedule or as otherwise approved by the Accreditation Coordinator.

If the approved Applicant does not successfully complete all training and pass all assessments within the 90 business days or as otherwise approved by the Accreditation Coordinator, the accreditation application will lapse. In this event the Accreditation Coordinator will update the status of the application to “lapsed” in the Accreditation Application Tracking Tool.

Unitywater will issue certificates of competencies for all relevant training modules successfully completed by the approved applicant.

When the approved applicant successfully completes all assigned training modules, the Accreditation Coordinator will issue an Accreditation Deed or Registration Deed Poll to the successful applicant for signature and update the Accreditation Application Tracking Tool by changing the status of the application to “deed execution and appointment”.

13. Appointment

13.1. Accreditation Deed

To be appointed as an Accredited Entity, the successful applicant must enter into an Accreditation Deed with Unitywater see Appendix B.

To be appointed as a Registered Certifier, the successful applicant must sign the Registration Deed Poll and give it to Unitywater see Appendix B.

Some of the primary obligations of Accredited Entities and Registered Certifiers under their respective deeds are summarised in section 6.7 General Primary Obligation of Accredited Entities and Registered Certifiers. Applicants are responsible for reading and understanding the complete terms of the relevant deeds.

Unitywater will not enter into negotiation of special or different terms and conditions of the Accreditation Deed nor the Registration Deed Poll with individual entities or persons. This is to ensure that no commercial advantage is given to any particular Accredited Entity or Registered Certifier.

Unitywater’s Accreditation Deed and Registration Deed Poll are designed to accommodate a broad range of commercial relationships between Accredited Entities, Registered Certifiers and the developer’s consultants and contractor (see Section 9 Contractual Relationships).

13.2. Accreditation Deed Execution

Once an approved applicant for an Accredited Entity successfully completes training and satisfies all other requirements, Unitywater will prepare and issue the Accreditation Deed to the
approved applicant electronically. The approved applicant will sign and email the signed Accreditation Deed to Unitywater.

Within 10 business days of receiving the copies of the Accreditation Deed signed by an approved Applicant, the Accreditation Coordinator will arrange for both copies of the Accreditation Deed to be signed and executed by Unitywater’s delegate. One original will be returned to the Accredited Entity.

13.3. Registration Deed Poll Execution

Once an approved applicant successfully completes all relevant training and satisfies all other requirements, Unitywater will prepare and issue the Registration Deed Poll to the approved applicant electronically. The approved applicant is to sign and email the signed Accreditation Deed to Unitywater.

The Registration Deed Poll is not required to be signed by Unitywater. The applicant will receive confirmation of appointment through the process described in section 13.4 Appointment.

13.4. Appointment

When Unitywater executes the Accreditation Deed or receives an executed Registration Deed Poll, Unitywater will appoint the Approved Applicant, as an Accredited Entity and/or Registered Certifier, by:

a. Preparing and signing a letter of appointment;

b. For Accredited Entities only, returning one signed hardcopy or emailing the Accreditation Deed;

c. Issuing a letter of appointment to the approved applicant;

d. Updating the status of the application to “appointed in the Accreditation Application Tracking Tool; and

e. Publishing the Accredited Entity’s or Registered Certifier’s details in the Accreditation Register on Unitywater’s website.

13.5. Term of Appointment

The initial term of appointment will be for two years.

14. Renewal of Accreditation

Subject to Accredited Entities demonstrating that they have the financial capacity and resources to provide support to Registered Certifiers as described in Section 8.2.1 Accredited Entities, Unitywater will consider offering Accredited Entities a new Accreditation Deed prior to the expiry of their current Accreditation Deed.

Unitywater will only consider offering a new Registration Deed Poll to Registered Certifiers achieving a satisfactory level of performance as detailed in Table 9.
Table 9 - Criteria for Renewal of Registration Deed Poll for Registered Certifiers

<table>
<thead>
<tr>
<th>Category</th>
<th>Satisfactory Level of Performance</th>
</tr>
</thead>
</table>
| Major Connection Certifier | a. Maintained Registered Professional Engineer Queensland (RPEQ) status;  
b. Managed the end to end certification process for at least six stages of development or six individual developments over the two-year period of the Registration Deed Poll; and  
c. Achieved a pass assessment for 67% of all audits of certifications (see section 15 Performance Management). |
| Minor Connections Certifier| a. Submitted at least six certifications over the two-year period of the Registration Deed Poll to Unitywater; and  
b. Achieved a pass assessment for 67% of all audits of certifications (see section 15 Performance Management). |
| Construction Certifier     | a. Submitted certifications for at least six stages of development or six individual developments over the two year period of the Registration Deed Poll; and  
b. Achieved a pass assessment for 67% of all audits of certifications (see section 15 Performance Management).  
c. Conducted inspections in accordance with pre-starting meeting records in all instances. |

In instances where Registered Certifiers have not achieved the above standard of performance, Unitywater may consider offering a non-standard Registration Deed Poll thus providing opportunity for the Registered Certifiers to improve their proficiency and demonstrate that they are capable of continuing as a Registered Certifiers.

For such a trial the Registered Certifier would be required to sign a Registration Deed Poll including any provisions that Unitywater requires, and that would be limited to a time not exceeding 12 months and completion of two nominated projects as follows:

a. For Major Connections Certifiers, two stages of a multi-stage development project or two individual developments of not less than 10 new lots; or

b. For Minor Connections Certifiers, two developments involving other than standard water supply and sewerage connections.

To be considered for a new standard Registration Deed Poll, the applicant must achieve a pass for all audits of certifications. Unitywater will audit all certifications during the trial period.
15. Performance Management

The performance of Registered Certifiers will be managed in accordance with the process shown in Figure 3.

Figure 3 – Performance Management Process

Unitywater may assist Accredited Entities and Registered Certifiers to attain a satisfactory level of proficiency to enable them to maintain their accreditation. This assistance may take the form of:

a. Training to enable Accredited Entities and Registered Certifiers to successfully undertake their respective roles in accordance with the Accreditation Deed or Registration Deed Poll;

b. Auditing certified submissions and providing feedback to the relevant Accredited Entity and Registered Certifier. A copy of each audit report will be made available to the relevant Registered Certifier and Accredited Entity upon request. In the instance of a ‘fail’ assessment the audit report will state what action that must be taken to improve and/or take any necessary remedial action;

c. Coaching Registered Certifiers and Accredited Entities who have issued certifications that are not compliant with legislation, the Connections Policy, the Accreditation Deed, Registration Deed Poll, the connections approval and/or principle design aspects of the SEQ Code or that result in outcomes that do not satisfy the prudency and efficiency test or that have adverse impacts on public health and safety or the environment.

Given this commitment, Unitywater expects that Accredited Entities and Registered Certifiers to act in accordance with the requirements of the Accreditation Deed and the Registration Deed Poll, undertake relevant professional development and provide adequate resources to attain and maintain a satisfactory level of proficiency.
15.1. Auditing

Unitywater will audit certifications to determine if they comply with legislation and prescribed standards and determine if they achieve the overall objective of providing infrastructure that will deliver safe and reliable water supply and sewerage services to Unitywater’s customers at least lifecycle cost. The audit of certifications will be managed in accordance with the process shown in Figure 4.

![Figure 4 – Audit Process](image)

In the initial two-year term of accreditation, Unitywater intends to audit certifications as often as possible to assist the Registered Certifiers to improve their competency, as well as establish a satisfactory level of proficiency. Subject to Registered Certifiers satisfying the proficiency standards stated in Table 9, Criteria for Renewal of Registration Deed Poll for Registered Certifiers Unitywater may audit certifications less frequently. Any audit of a certification that results in a fail assessment is likely to trigger more frequent auditing of certifications submitted by the particular Registered Certifier.

Unitywater may audit certifications at any time including after the off-maintenance certificate has been issued to the developer.

15.1.1. Process

The role of the Registered Certifier (see section 6 Roles and Responsibilities) includes assessment of developer’s connections applications (including certification of network works) and preparation of draft decision notices and documentation to justify Unitywater issuing provisional certificates of completion and certificates of completion.

In accordance with the requirements of the SEQ Water (Distribution and Retail Restructuring) Act 2009, Unitywater must receive and assess all connections applications and sign and issue all decision notices and infrastructure charges notices (statutory notices). In addition, Unitywater will prepare, sign and issue all provisional certificates of completion and certificates of completion.
Registered Certifiers will prepare certification packages that will include the developer’s connections application, or developer’s requests for provisional certificates of completion or certificates of completion and certifications that documentation (e.g. a draft decision notice or request for provisional certificate of completion) and/or constructed network works comply with relevant legislation, administrative processes and prescribed standards. See Part B of this manual.

Upon receipt of certification packages from the Registered Certifier, Unitywater will:

a. Register the certification packages in Unitywater’s records management system, update the Connections Applications Tracking Tool with relevant status (e.g. for a request for Certification of Completion the status of the application will be set to “certificate of completion”); and

b. Record the certification package in the Audit Scheduling and Tracking Tool and assign an auditor.

The auditor will determine if the certification package is to be:

a. Audited (within 10 business days of receipt of the certification package); or

b. Audited at a later time; or

c. Not audited at all.

The decision to audit a certification package and the timing of the audit will be determined in accordance with the decision tree set-out in section 15.1.2 Decision Tree.

Unitywater’s auditors will schedule all audits in Unitywater’s Audit Scheduling and Tracking Tool. The reason(s) for conducting an audit or not conducting an audit of any particular certification package and the timing of an audit will be recorded in this tool. It is essential to record the previously mentioned reasons in the interests of transparency of decision making and probity of audits.

Unitywater’s Development Services Manager will regularly review audit records and take any necessary action to ensure that certification packages are being audited from any particular Registered Certifier with sufficient frequency to drive improvement in proficiency and to effectively manage risk (see section 15.1.2 Decision Tree).

Under the Accreditation and Certification System, Unitywater will sign and issue all statutory notices and certificates within 10 business days of receiving a certification package except in instances where the finding of the audit or Unitywater’s assessment is that there are non-conformance/s with legislation or prescribed standards or where public health, environmental health, public safety and or private property would be adversely impacted if the statutory notice or certificate was signed and issued by Unitywater and acted upon by the developer.

In instances where non-conformances are identified by an audit, the Registered Certifier will be notified of the non-conformance and required to take remedial action (e.g. reassess the application, amend the draft decision notice and submit a new certification package) to enable the connection application to proceed. The development will then be subject to delay until effective remedial action is taken by the Registered Certifier (no specified time period) and a second audit is undertaken by Unitywater. Subject to the non-conformance(s) being resolved by the Major Connections Certifier, Unitywater will have 10 business days to conduct the second audit and issue signed documentation.
15.1.2. Decision Tree

Certifications will be audited based upon an assessment of the level of risk to Unitywater’s customers, public health and safety, environmental health and Unitywater’s reputation.

The level of risk will be assessed by Unitywater in accordance with Unitywater’s Risk Assessment procedure using the consequence table and risk matrix set-out in Appendix C.

When it is assessed that there is a high or extreme level of risk, the certification package will ordinarily be audited by Unitywater within 10 business days of the certification package being received by Unitywater.

Certifications involving the following are by default assessed as having a high or extreme level of risk and will be audited within 10 business days:

a. Works, external to a development site, in road, park, reserve or open space controlled by a local government (Council) or the Queensland Government;

b. A staged connection application (first connection application, not for subsequent approval of network works);

c. Statements of Alternative Solutions;

d. Non-standard conditions of approval;

e. Requests for Certificate of Completion.

If the risk is assessed as not greater than moderate, Unitywater will assess the consequence of potential non-compliance with legislation, administrative process or prescribed standards. If the consequence is assessed as:

a. Insignificant or low; the certification may not be audited;

b. Moderate or high; the certification will be audited. The audit may be conducted at any time but preferably at the earliest possible time before connection of the development to Unitywater’s networks;

c. Extreme: the certification will be audited by Unitywater within 10 business days of the certification package being received by Unitywater.

15.1.3. Assessment – Pass or Fail

Unitywater’s Auditor will audit each certification package to assess:

a. Conformance with legislation and Unitywater’s Connections Policy;

b. Conformance with prescribed administrative process; and

c. Achievement of the following required outcomes:

i. Delivery of prudent and efficient assets which comply with the SEQ Code delivering least lifecycle cost services to the customer;

ii. Protection of public and environmental health; and

iii. No increase in the cost of services to Unitywater’s customers.

The ‘non-conformance lists’ set-out in Appendix E will be utilised to audit the various types of certification packages (see Part B of this manual). These lists should be used by Registered Certifiers in conjunction with the relevant checklists set-out in Appendix D to prepare certification packages.
Non-conformances have been weighted depending on their importance. A Major non-conformance is weighted as a 10 and will result in a fail. Minor non-conformances have been weighted depending on their importance from 1 to 5. If the sum of all the minor non-conformances is 10 or greater the audit will result in a fail. If the audit scores less than 10 this will result in a ‘pass’.

In instances where the assessment is a ‘pass’, Unitywater’s Auditor may require the Registered Certifier to take appropriate remedial action to correct the identified minor non-conformances before Unitywater will sign the decision notice, infrastructure charges notice, provisional certificate of completion or certificate of completion as applicable.

15.1.4. Audit Reports

Unitywater will prepare an audit report for each audit.

A copy of each audit report will be available to the relevant Registered Certifier and Accredited Entity upon request.

Audit reports will be used for the purpose of performance management.

If the Registered Certifier disagrees with the audit report, the Registered Certifier may dispute the audit report by completing a Performance Assessment Dispute Notice refer to Appendix E9 and submitting it to Unitywater by email to development.certification@unitywater.com. If the Registered Certifier does not issue a dispute notice to Unitywater within two (2) business days, the Registered Certifier must accept the findings of the audit report and act on the direction given in the audit report.

In the instance that the audit report states that work must halt, the Registered Certifier must take appropriate and immediate action to comply with this direction.

The findings of each audit report will be recorded by the Unitywater’s auditor in Unitywater’s Audit Scheduling and Tracking Tool and Performance Management Tool. In the instance of audit reports with a ‘fail’ assessment, Unitywater’s auditor will notify Unitywater’s Accreditation Coordinator. Following the two-business day period in which the Registered Certifier may dispute the audit finding and in the event that no dispute notice is received by Unitywater, the Accreditation Coordinator will prepare a Performance Improvement Notice and send it to the relevant Registered Certifier. The Registered Certifier will be required to act on the Performance Improvement Notice and report to Unitywater on progress in accordance with the direction given in the Performance Improvement Notice.

15.1.5. Directions in an Audit Report:

In the instances when an Audit Report gives direction to an Accredited Entity and/or Registered Certifier, the direction will be verified, by signature, prior to it being issued by:

1. A Registered Professional Engineer (RPEQ) when direction on design of infrastructure or design parameters is given; and/or
2. Unitywater Development Services Team Leader when the issue is compliance with business process, legislation, policy and/or prescribed standards; and/or
3. The Development Services Manager when direction on change to constructed infrastructure is required.

The Registered Certifier must immediately bring to the attention of the Development Services Manager and the Accreditation Coordinator of any direction not verified by a person not nominated above.
15.2. Monitor Performance

Unitywater’s Accreditation Coordinator will regularly (e.g. weekly) access and utilise the Performance Management Tool to review and assess the performance of individual Accredited Entities and Registered Certifiers.

This will involve checking:

a. Compliance with performance improvement notices; and

b. For each individual Registered Certifier, the number of failed audit assessments as a percentage of the total number of Certification Packages submitted by the Registered Certifier.

If Registered Certifiers are not complying with or making satisfactory progress with actions identified in the Performance Improvement Notices and/or achieving a satisfactory standard of proficiency as detailed in Table 9, Unitywater’s Accreditation Coordinator must escalate performance management as set-out in section 15.3 Escalate Management of Performance.

15.3. Escalate Management of Performance

In the event that a Registered Certifier is not satisfactorily complying with a performance improvement notice or is not achieving the minimum standard of performance set-out in Table 9, the Accreditation Coordinator will prepare a list of required improvement actions and hold a performance review meeting with the Registered Certifier (and a representative of the relevant Accredited Entity, if appropriate) to agree on required improvement actions.

If the Accredited Entity and Registered Certifier agree to the required improvement actions:

a. The Accreditation Coordinator will document and register the agreed improvement actions in Unitywater’s records management system and update the Performance Management Tool and the Audit Scheduling and Tracking Tool as necessary;

b. The Registered Certifier will act on the agreed actions and report on progress with implementation of the agreed actions. Progress reports will be registered by Unitywater in Unitywater’s records management system and the Performance Management Tool as necessary to maintain an accurate record of performance.

If the Accredited Entity and/or the Registered Certifier does not agree with the required improvement actions:

a. Unitywater’s Accreditation Coordinator will consult with Unitywater’s Legal Services Branch about performance management measures that may be imposed on the Registered Certifier including revocation, suspension or probation under the performance management provisions of the Accreditation Deed or the Registration Deed Poll;

b. The Accreditation Coordinator will then prepare and issue to the Accredited Entity and/or Registered Certifier (including registration in Unitywater’s records management system) a performance management notice (correspondence) which will state Unitywater’s position and actions that must be undertaken by the Accredited Entity and/or Registered Certifier. The performance management notice may include notice of Unitywater’s intention to revoke or suspend the accreditation of the Accredited Entity and/or Registered Certifier or place the Accredited Entity and/or Registered Certifier on probation and request the Accredited Entity and/or Registered Certifier to show cause
why such Unitywater should not take such action. The Accreditation Coordinator will update the Performance Management Tool accordingly.

c. The Accredited Entity and/or Registered Certifier must respond within specified timeframes. The timeframe for response will not be less than five business days. If no response is received within the specified time, the Accreditation Coordinator may without further notice or consultation take action under the Accreditation Deed or the Registration Deed Poll to revoke or suspend the accreditation of the Accredited Entity and/or Registered Certifier or place the Accredited Entity and/or Registered Certifier on probation.

15.4. Dispute of Performance Management Notice

Following review of the performance management notice, the Accredited Entity and/or Registered Certifier may dispute the notice by preparing and issuing a notice of dispute to Unitywater within five business days of receiving the performance management notice. The dispute notice must include reasons why the Accredited Entity and/or Registered Certifier disagrees and detail actions that the Accredited Entity and/or Registered Certifier is prepared to take to address the performance management issues identified by Unitywater.

Upon receipt of the notice of dispute, the Accreditation Coordinator will register the notice in Unitywater’s records management system and update the Performance Management Tool.

The dispute notice will be reviewed by Unitywater’s Accreditation Coordinator in consultation with Legal Services and the Manager Infrastructure Planning and Development and consideration will be given to resolving the dispute as suggested in the notice by the Accredited Entity and/or Registered Certifier.

15.4.1. Dispute Resolved

If an acceptable way forward is suggested in the dispute notice:

a. The Accreditation Coordinator will prepare and issue (including registration in Unitywater’s records management system) a revised Performance Improvement Notice;

b. The Accredited Entity and/or Registered Certifier will be required to act on the revised Performance Improvement Notice and report on progress with implementation. Unitywater’s Accreditation Coordinator will register progress reports in Unitywater’s records management system and update the Performance Management Tool and Audit Scheduling and Tracking Tool as necessary to check on and maintain an accurate record of performance.

15.4.2. Dispute not Resolved

In the event that Unitywater cannot agree with the Accredited Entity’s and/or Registered Certifier’s proposals for resolution of the dispute or justification why Unitywater should not take action to revoke or suspend the accreditation of the Accredited Entity and/or Registered Certifier or place the Accredited Entity and/or Registered Certifier on probation, direction on the subsequent suspension, probation and or revocation of accreditation may only be given by the Accreditation Coordinator as determined in consultation with Legal Services and the Manager Infrastructure Planning and Development and:

a. Unitywater’s Legal Services will take action in accordance with the terms of the relevant Accreditation Deed or Registration Deed Poll.

b. Unitywater’s Accreditation Coordinator will update the Accreditation Register and the Performance Management Tool appropriately.
16. Fees

Accredited Entities and Registered Certifiers will set or negotiate their own fees for certification services provided to the development industry. Fees charged by Accredited Entities and Registered Certifiers to developers for certification services will not be controlled in any way by Unitywater.

Unitywater will charge Accredited Entities a fee for submission of each certification package and each amended version of any particular certification package and to issue provisional certificates of completion and certificates of completion. The amount of the fees will be published on Unitywater's website.

Unitywater will not assess connection applications provided in certification packages, issue decision notices, infrastructure charges notices, provisional certificates of completion or certificates of completion until all fees due to Unitywater are paid.
Part B – CERTIFICATION (Non – Trunk)

1. Introduction

Management of connection applications is limited to Other or Staged Connection Applications with associated non-trunk infrastructure works, and is subject to the other limitations stated in Part A, section 1.1 Limitations of this document.

1.1. Tools, Business Systems and Access

All forms, checklists and templates used in certification process must be downloaded from the Unitywater webpage (Submit a Certification Package) to ensure they are the most updated version. Accredited Entities may provide a link on their webpage to the Unitywater webpage.

The applicant (i.e. the developer) must only engage Accredited Entities and Registered Certifiers from Unitywater’s list of Accredited Entities displayed on Unitywater’s webpage.

2. Services Advice Notice

In accordance with section 99BRAC of the DR Act, applicants may request advice on a proposed connection for a development before they make a connection application.

Unitywater’s services advice notice (SAN) is similar to a pre-lodgement advice received from a local government before lodging a development application.

A services advice notice request is not an application for connection and Unitywater’s response cannot be construed as granting approval to connect. Further information about services advice notices is available in section 2 of Unitywater’s Connections Administration Manual.

Services advice notices will continue to be managed directly by Unitywater and do not form part of the functions carried out by Accredited Entities and Registered Certifiers for Unitywater. The developer or the developer’s consultant may apply directly to Unitywater for a services advice notice.

Registered Certifiers may also request services advice notices to:

1. Get direction on the assessment of complex/high risk connections applications;
2. Seek early agreement on statements of alternative solutions being proposed; or
3. Seek clarification or deviation from standards e.g. the SEQ Code

3. Connection Applications

To comply with section 99BRBX of the DR Act, an applicant must make a connection application to Unitywater to:

a. Connect into Unitywater’s network/s;

b. Disconnect from Unitywater network/s; or

c. Alter an existing Unitywater network or property service connection.

A connection or a connection application refers to connections, disconnections and alteration throughout this document.
3.1. Making a Connection Application

A complete Connection Application must consist of the following:

a. Completed [Connection Application Submission (online form)] – See Appendix D1

b. Owners consent – see section 99BRAF of the DR Act; and

c. Prescribed Fees – see Unitywater’s website for current fees (www.unitywater.com).

3.1.1. Owners Consent

Section 99BRAF of the DR Act, requires all connection applications to be accompanied by the written consent of all land owners related to the connection. If the applicant is not the owner of the land related to the connection, the written consent of all owners of the related land must be provided with the application for connection, including the holders of all affected easements.

3.2. Certification of the Connection Application and Lodgement to Unitywater

The Accredited Entity will manage all aspects of the connection application made under Unitywater’s Accreditation and Certification system and will be the only entity Unitywater will deal with in relation to the connection application. [Figure 5](#) illustrates the connection application and approval process.

3.2.1. Scope of Application Assessment

The scope of the assessment and certification of applications will be undertaken by the following Registered Certifiers, who must only carry out the certification of connections applications within the scope of their Registration Deed Poll.
3.2.2. Registered Certifiers (Minor Connections Certifier)

A Minor Connections Certifier will only be permitted to assess and certify connection applications for property service connections that do not require subsequent network works to be constructed.

These range from smaller unit developments, duplexes, smaller subdivisions etc. Generally, these developments only require water meter connections or house connection branches (sewerage connection points) to be cut in by Unitywater’s private works team.

3.2.3. Registered Certifier (Major Connections Certifier)

A Major Connections Certifier will be permitted to assess and certify ALL non-trunk connections applications including those requiring subsequent network works to be constructed.

3.3. Application Assessment and Certification

The Registered Certifier (within the scope of his/her accreditation detailed above) will commence the assessment of the connection application, prepared by the developer or the developer’s consultants using the checklists within the online form (Appendix D1).

The Unitywater checklist will provide direction for this assessment.

The Registered Certifier must request the developer or representative to submit missing information/items or further information to complete the assessment of the connection application.

The Registered Certifier will assess the connection application as detailed below:

3.3.1. Application Assessment

The Registered Certifier will use the appropriate Assessment Checklist/s within the online form to assess the connection application. The Assessment Checklists are as follows:

a. Connection Application Assessment Submission (online form) – Refer to Appendix D1;

b. Network Works Only Submission (online form) – Refer to Appendix D2; and

The following items, where applicable, will be included in the assessment of connections applications by a Registered Certifier:

3.3.2. Application Assessment Checklist

The intent of the Assessment Checklists is to provide guidance to Registered Certifiers to ensure compliance with:

a. The conditions of any other relevant connection approvals; and

b. All relevant standards when assessing a connection application e.g. SEQ Code;

c. The checklists are not necessarily a complete list of all requirements and the certifier should satisfy themselves of any other legal requirements or obligations.

3.3.3. Plan of the proposed development

The connection application must be accompanied by a plan or plans of development showing what is proposed to be developed. The plan of development must be of sufficient scale and
detail so that assessment of the proposed development can be accurately carried out. Some examples of proposed plans are:

a. Subdivision layout plan;

b. Group-titled subdivision plan; or

c. Development plan.

3.3.4. Design Plans

The design of water supply and or sewerage infrastructure must be in accordance with the SEQ Code unless alternate solutions are provided and listed in the Statement of Alternative Solutions in accordance with section 3.3.16 Statement of Alternative Solutions.

3.3.5. Network Demand Assessment

The connection application must be accompanied by a calculation of the demand generated by the proposed development on Unitywater network/s. The network demand calculation of the proposed development must be in accordance with the SEQ Code – Design Criteria, Appendix A3 – Unitywater (www.seqcode.com.au).

The Registered Certifier will assess the proposed network demand against the existing and planned capacity available in the relevant network having regard to the type, scale, location, timing or intensity of future development for the connection. The process for network demand assessment will be as follows:

a. The Registered Certifier will refer to Unitywater's GIS planning assumptions layer for existing and forecast demand;

b. The Registered Certifier will calculate the proposed demand for the development using the SEQ Code – Design Criteria, Appendix A3 – Unitywater;

c. If proposed demand is less than or equal to forecast demand (20 years into the future) then the Registered Certifier will continue assessing the connections application;

d. If proposed demand is greater than forecast demand (20 years into the future) by up to 10% then the Registered Certifier will continue the assessment unless the development site is located in critical areas (see section 3.3.7 Network Analysis);

e. In the instance of the development site being in a critical area or if the proposed demand is greater than the forecast (20 years into the future) by more than 10%, and the application does not include a SAN or approved network analysis the Registered Certifier will halt the assessment and direct the developer's consultant to either:

i. Apply to Unitywater for a SAN; in accordance with Unitywater’s Connections Administration Manual or;

ii. Revise the connections application as necessary to be consistent with Unitywater’s demand forecast.

f. If the application includes a SAN and/or approved network analysis that supports the higher demand the Registered Certifier will continue the assessment.

3.3.6. Network Analysis

A network analysis is an analysis of the impact of the proposed development on Unitywater’s infrastructure and must be undertaken by an appropriately qualified and experienced consulting
engineer for the Developer and approved by Unitywater prior to the Developer submitting a connections application to an Accredited Entity.

Networks analysis is required where either of these occur:

a. The proposed development is inside an Emerging Community Zone as defined by the relevant local government’s Planning Scheme;

b. The proposed development exceeds Unitywater’s planning assumptions by:
   i. more than 10% within any part of the Connections Area;
   ii. any amount in the following critical areas:

<table>
<thead>
<tr>
<th>Network</th>
<th>Critical Areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water Supply</td>
<td>Dayboro, Kenilworth, Bribie Island, Samford Village and Woodford High Level Zone.</td>
</tr>
<tr>
<td>Sewerage</td>
<td>Samford, Dayboro, Woodford, Nambour, Eumundi, Yandina, Palmwoods, Cooroy, Pomona, Kenilworth, Maleny and Landsborough.</td>
</tr>
</tbody>
</table>

c. Unitywater has issued a services advice notice for the proposed development, and the services advice notice states that a network analysis is required.

The Major Connections Certifier must have regard to and prepare certification packages which are consistent with the approved network analysis.

3.3.7. Servicing Plan

The connection application must be accompanied by a servicing plan for water supply and or sewerage for the proposed development including:

a. A staging plan to identify the sequence of development;

b. A description of water supply and sewerage infrastructure to serve the development

c. Proposed connection points to existing Unitywater infrastructure either on, or external to, the property being developed.

Servicing Plan must be consistent with the approved Network Analysis.

The Registered Certifier will assess the proposed Servicing Plan against Unitywater’s Connections Policy, Networks Master Plan, as-constructed information available on Unitywater’s GIS and the SEQ Code.

3.3.8. Under Utilisation of Unitywater Networks

If a connections application is for a development that will impose less than 90% of the forecast demand on Unitywater’s networks the Registered Certifier will halt assessment of the connections application and seek direction from Unitywater by sending an enquiry to development.certification@unitywater.com.
3.3.9. Information Provided by Unitywater

When assessing a connection application, the Registered Certifier will use the Unitywater GIS to view current network master planning and existing infrastructure details to ensure the most up to date information is being used by the applicant and Registered Certifier.

In assessing connections applications and preparing certification packages Accredited Entities and Registered Certifiers may rely upon the following documentation provided by Unitywater:

a. Connections Policy;
b. SEQ Code;
c. Connections Approvals;
d. Infrastructure Charges Notices;
e. Standard Conditions of Approval;
f. Infrastructure Charges Calculator;
g. Network Master Plans;
h. Demand Forecasts;
i. As-constructed information available from Unitywater’s Geographic Information System subject to location and level of ‘connection points’ to Unitywater’s networks being verified as per the disclaimer attached to all Unitywater as-constructed information.

3.3.10. Consent to Enter and Construct

There may be instances where proposed works will need to be constructed on property/ies not owned by the applicant.

Any works that are proposed on property/ies not owned by the applicant will require the applicant to gain the necessary permissions from the owners to construct the works through those properties.

The Registered Certifier must not assess the connection application without the submission of all necessary written consents or documents for works proposed on property/ies not owned by the applicant.

For proposed works on:

a. Private Property: The applicant must obtain written consent for the construction of the works from each property owner on which the infrastructure is to be constructed. Should an easement be required because of the proposed works as per the SEQ Code, proof of the registration of easements in favour of Unitywater must be carried out as per land dedication and easement requirements detailed in section 3.3.11 Easements.

b. Unitywater property: Construction of any water supply and or sewerage infrastructure on Unitywater owned land or encroachment on a Unitywater easement will require the applicant to obtain Unitywater’s written consent.

c. Local or State Government Controlled Property: If the proposed works are to be constructed on State government property such as parks or public space, the applicant must submit a written consent with the connection application in accordance with the relevant authority’s requirement, from the relevant State agency, consenting to the construction of the works on the subject property.
3.3.11. Easements
Where an easement is required by the SEQ Code or relevant land owner, the certification package prepared by the Registered Certifier must include the standard condition requiring easements to be registered by the applicant in accordance with the SEQ Code before construction can commence.

Easement terms must be Unitywater’s most current registered dealing held by the Department of Natural Resources and Mines and must not be altered or amended.

The easement must be provided to Unitywater free of cost.

3.3.12. SEQ Code/Connections Policy
The Registered Certifier must assess the connection application to ensure compliance to the Unitywater Connections Policy, South East Queensland Water Supply and Sewerage Design and Construction Code (SEQ Code) and this Manual.

3.3.13. Previous Approvals and Other Applications in Progress
The Registered Certifier must review the connection application to assess consistency with:

a. Any previous water connection approvals for the subject land (including deemed water approvals issued by the relevant local government, and connection approvals granted by Unitywater);

b. Any connection approvals for the adjoining properties to identify where a conflict may occur and to ensure cohesive development occurs with neighbouring property in relation to Unitywater infrastructure; and

c. Applications in progress on the subject property/ies and surrounding property/ies.

The Accredited Entity and/or Registered Certifiers can access this information if available through Unitywater’s GIS via our website.

3.3.14. Infrastructure Charges Calculations
The Registered Certifier must review the connection application and calculate the applicable infrastructure charges based on Unitywater’s Board Resolution. The Registered Certifier must prepare a draft infrastructure charges notice with supporting information, and include it in the certification package.

The Accredited Entity and/or Registered Certifiers will download the appropriate infrastructure charges calculator through an internet portal provided by Unitywater.

3.3.15. Draft Decision Notice Template with Standard Conditions
The Registered Certifier will be required to assess the connection application and prepare a draft decision notice for Unitywater to audit and issue. Connection approvals are generally granted subject to conditions. To ensure consistency of conditions drafted by Registered Certifiers, Unitywater will publish on its website a draft Decision Notice template that includes standard conditions for use by Registered Certifiers. Prior to submission of a certification package, Registered Certifiers should check and use the most recent version of the template available on the website. The Certifier should only apply conditions that are reasonable and relevant to the application and strike through any conditions that are not required.
3.3.16. Specific Conditions

There will be instances where the suite of standard conditions may not be sufficient or appropriate to address the specific circumstances of the development (e.g., connecting the development to a specific sewer manhole). In these instances, the Registered Certifier may need to draft specific conditions for inclusion in the draft decision notice.

3.3.17. Statement of Alternative Solutions

Any deviation from the Unitywater Connections Policy, SEQ Code or the Accreditation and Certification Manual will need to be documented and alternative solutions will need to be devised.

A ‘Statement of Alternative Solutions’ for any deviation from standards will need to be detailed. The ‘Statement of Alternative Solutions’ must be sufficiently detailed to demonstrate why the relevant standard cannot be reasonably achieved to successfully pass the Prudency and Efficiency test (see Appendix F).

Registered Certifiers may submit a Service Advice Notice application to Unitywater to obtain approval of, or an opinion on, proposed alternate solutions.

3.3.18. Certified Design Plans

If a connection application includes design plans for network works, the Major Connections Certifier will, following the assessment (see Section 3.3 Application Assessment and Certification), certify each assessed design plan with the following statement:

<table>
<thead>
<tr>
<th>I, [Name of Major Connections Certifier] or [Name of Accredited Entity] on [Date of certification], certify that:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. This plan has been assessed in accordance with the SEQ Code;</td>
</tr>
<tr>
<td>2. The construction of the works must only be undertaken in accordance with this plan; and</td>
</tr>
<tr>
<td>3. No Variations or Amendments are permitted either before or during construction without the approval of Unitywater.</td>
</tr>
</tbody>
</table>

Signed [Major Connections Certifier]

3.3.19. Certification by Registered Certifier

The Registered Certifier will certify the completed relevant Assessment Checklist and prepare the certification package for submission to Unitywater (see section 3.3.1 Application Assessment).

The Assessment Checklists include the certification statements required by Unitywater and the Registered Certifier will sign and date it to authenticate the assessment undertaken.

Unitywater will not accept any amendments to the certification statements in the Assessment Checklists.
3.3.20. Certification Package

The certification package is required to include the following:

a. Completed and signed Connection Application form;
b. The draft Decision Notice for the connection application;
c. The certified relevant Assessment Checklist;
d. The plan/s of the proposed development;
e. The certified design plans for network works if applicable;
f. The infrastructure charges calculation completed on Unitywater’s calculator if applicable;
g. The draft Infrastructure Charges Notice if applicable;
h. The network demand assessment if applicable;
i. The Unitywater reviewed and approved Network Analysis, if relevant;
j. Servicing plan, if relevant; and
k. Any other documents the Registered Certifier considers necessary.

3.3.21. Payment of Certification Submission Fees

The Registered Certifier must ensure that the prescribed certification submission fee is paid to Unitywater as per Unitywater’s Fees and Charges schedule. The fees and charges are updated each financial year and as such, the Registered Certifier must access the Unitywater website to calculate the fees applicable for the connection application current at the time of payment.

3.3.22. Lodgement

Following the assessment and certification of the connection application, the Accredited Entity will submit the certification package to development.certification@unitywater.com.

The Decision Notice at this stage is in draft only and cannot be acted upon by the applicant/developer.

3.4. Unitywater Assessment and Audit

The certification package will then undergo the following:

3.4.1. Confirmation of Certification Submission Fees and Owner’s Consent

Development Services will check and confirm that:

a. The correct fee has been paid; and
b. The connection application is accompanied by the written consent of all land owners related to the connection, as required under section 99BRAF of the DR Act. If the developer is not the owner of the land related to the connection, the written consent of all owners of the related land must be provided for the application for connection.

This task will be completed within three (3) business days from the date of the lodgement of the certification package.

Unitywater will undertake the following actions resulting from the confirmation of the fees and owner’s consent:
a. If the correct fee has been paid and the connection application is accompanied by all necessary owners’ consents, then ‘determine’ if the certification package will undergo an audit and if so allocate it to a relevant staff member to carry out the audit; and

b. If incorrect fees have been paid, then notify the Registered Certifier to pay the outstanding fees. The submission will be put on hold until the correct fees have been paid; and

Note: If there is an instance where the Accredited Entity has paid more fees than required, the Connection Approval will proceed to audit while the outstanding monies are being refunded to the applicant by Unitywater.

c. If the application is not accompanied by all necessary owners’ consents, it will be noted as a major non-conformance against the Registered Certifier and the application will be returned to the certifier.

3.4.2. Assessment of Certification Package

Unitywater will assess all certification packages including the connection application against the applicable assessment criteria. Unitywater will rely on the certifications provided by the Registered Certifier in the certification package in carrying out its assessment of the connection application.

3.4.3. Audit

The certification package will be audited by Unitywater in accordance with the audit process described in Part A of this Manual, Section 15.1 Auditing.

3.5. Issue Decision Notice

Unitywater’s assessment or audit of the draft Decision Notice may result in changes to the Decision Notice before it is issued.

Unitywater will issue the Decision Notice to the applicant unless an audit results in a fail assessment. See Part A of this Manual, section 15.1 Auditing.

A copy of the Decision Notice will be forwarded to the Accredited Entity.

3.6. Issue Infrastructure Charges Notice

Unitywater will sign and issue the Infrastructure Charges Notice (ICN) to the applicant in accordance with the DR Act if applicable.

3.7. Request, Assessment and Approval of Amended Decision Notice

The holder of a water approval (connection approval) can request condition/s of a Decision Notice to be amended, in the way stated in the Connection Policy in accordance with section 99BRAK of DR Act.

3.7.1. Request to Amend Condition

The applicant or their representative will identify the condition/s of the connection approval that will need to be amended and carry out the necessary document amendments (this may include amendment of the design of proposed works).

The applicant or their representative will complete an Variation and Amendment Submission (online form) Refer to Appendix D8
The applicant or their representative will then submit the completed *Variation and Amendment Submission (online form)* with the associated amended documents to an Accredited Entity to review and draft an *Amended Decision Notice*.

### 3.7.2. Assessment, Approval and Lodgement of the Amended Decision Notice

The Accredited Entity will manage the assessment, approval and lodgement of the request for an Amended Decision Notice as set out in Sections 3.2 Certification of the Connection Application and Lodgement to Unitywater.

## 4. Construction

Figure 6 shows the process for construction and delivery of assets.

*Figure 6 – Construction and Delivery of Assets*

![Figure 6 – Construction and Delivery of Assets](image)

### 4.1. Engagement and Roles of Accredited Entities and Registered Certifiers

For the construction of water and sewerage work to be provided to Unitywater under this Manual:

a. The Applicant (Developer) will engage Accredited Entities from the [Register of Accredited Entities/Registered Certifiers](#) to provide the insurance, systems and resources to support the Major Connections Certifier and the Construction Certifier in carrying out certification of the construction work under this Manual.

b. The Accredited Entity will nominate a Major Connections Certifier for the construction activities who may, but need not, be the same as the previously engaged Major Connections Certifier for the relevant connection approval to monitor compliance with connection approvals, water infrastructure agreements and water connection approval agreements.

c. The Accredited Entity or Major Connections Certifier will engage a Construction Certifier from the Register of Accredited Entities/Registered Certifiers to carry out inspections of the works during the construction phase of the development, and to provide associated certifications.
4.2. Pre-Construction Activities

Prior to the commencement of the construction works, the developer or representative must:

   a. Obtain a connection approval for the relevant works;
   
   b. Pay the portable long service leave levy in accordance with the *Building and Construction Industry (Portable Long Service Leave) Act 1991*; and
   
   c. Make a request to the Major Connections Certifier for a pre-start meeting (see section 4.3 Pre-start Meeting, and attend the pre-start meeting.

4.3. Pre-Start Meeting

Prestart meetings must be held before the commencement of the construction activities. This is an opportunity for the relevant stakeholders to form a common understanding of the works required, identify any site constraints, establish an inspection schedule and identify any early connections required. This meeting should also be used to identify if any changes may be necessary to the approved design plans.

The prestart meeting must be attended by:

   a. The Registered Certifier – Major Connections Certifier;
   
   b. The Registered Certifier – Construction Certifier;
   
   c. Developer’s Consulting Engineers; and
   
   d. The water supply or sewerage contractor responsible for carrying out the construction work.

Attendance by Unitywater’s Construction Auditor or Private Works representative is optional.

The Major Connections Certifier is responsible for arranging and managing the pre-start meeting with the relevant persons.

4.3.1. Request for Pre-Start Meeting

The applicant’s consulting engineer/contractor will complete a *Pre-Start Meeting Notification* (online form) Refer to Appendix D5 and submit the form to the Major Connections Certifier – This form must be submitted 7 days before the intended pre-start date.

4.3.2. Pre-Start Meeting

The Major Connections Certifier will manage the pre-start meeting and will:

   a. Arrange for the meeting to be held on the site on which the approved works will be constructed so that the attendees can identify and consider the site constraints as part of the pre-start meeting;
   
   b. Complete a *Pre-start Meeting Record* (online form) – Refer to Appendix D6
   
   c. Prepare and finalise the *Construction Audit Schedule* – Refer to Appendix D7 and Construction Inspection Record section of the *Prestart Meeting Record* which details key milestones and minimum audit inspections to be carried out by the Unitywater Construction Auditor and other inspections to be carried out by the Construction Certifier;
   
   d. Identify any actions to be taken before commencement of the construction; and
e. Ensure Registered Certifiers sign the relevant sections of the *Prestart Meeting Record*.

### 4.3.3. Prepare Pre-Start Meeting Package

The Major Connections Certifier must prepare the Pre-Start Meeting Package before booking the meeting.

The Pre-Start Meeting Package will, as minimum include, but not be limited to the following:

a. Pre-start meeting request form;

b. Meeting agenda;

c. The Asset Information Package to describe and identify assets that will be donated to Unitywater following acceptance on maintenance of the constructed works (Appendix G);

d. Connection approval including certified design plans; and

e. Draft schedule for milestone and ad-hoc audits of the works by the Construction Certifier.

The Major Connections Certifier must not book the pre-start without the receipt of proof of payment of the Portable Long Service Leave levy, where it is applicable.

### 4.3.4. Post Pre-Start Meeting

The Major Connections Certifier must submit the completed *Prestart Meeting Record* to development.certification@unitywater.com within two (2) business days of the date of the prestart meeting.

The Major Connections Certifier will arrange for the ‘actions’ identified in the Prestart Meeting Record to be addressed by the relevant person either before or after the construction commences, as required.

Following the lodgement of the Prestart Meeting Record, Unitywater’s Construction Auditor will review the Pre-start Meeting Record to note ‘actions’ identified in the prestart meeting and schedule necessary auditing aligned with the Construction Audit Schedule of the construction. Any errors or omissions that are identified will be communicated to the Major Connections Certifier within applicable timeframes for action.

The construction activities may commence after the prestart meeting.

### 4.4. Construction

The construction of the approved works may only commence after the completion of the pre-start meeting.

The Construction Certifier will carry out inspections to ensure the construction activities are carried out in accordance with the approved plans and all standards and requirements as specified in the SEQ Code and other relevant legislation (*e.g.* Work Health and Safety Act 2011), and is required to provide certification of compliance with those approvals and standards under this Manual.

#### 4.4.1. Construction Inspection

The Construction Certifier will *inspect* construction activities at the milestones nominated in the Prestart Meeting Record and at other times that the Construction Certifier considers necessary.
during the construction of the works to certify that the constructed works comply with the connections approval.

The Construction Certifier will record all inspections undertaken in the Construction Inspection Report during construction – Refer to Appendix D9.

The Construction Certifier is also encouraged to use other tools for inspections such as taking photographs at milestone inspections or electronic tools such as iAuditor.

At the completion of the construction, the Construction Certifier will certify the accuracy of the Construction Inspection Report. This document will form part of the Asset Handover submission.

Unitywater may request copies of Construction Inspection Reports at any time during construction. The Construction Certifier must make these available within 1 business day of the request.

4.4.2. Construction Audit

During the construction period, the Unitywater Construction Auditor may carry out audits of the construction works as per the Construction Audit Schedule. - Refer to Appendix D7.

The audit process will be in accordance with Part A of this Manual section 15.1 Auditing.

4.4.3. Variation

Any variations to the connection approval that become necessary during the construction phase of the development will be managed by the Major Connections Certifier.

During construction, variations to the connection approval (approved design plans and/or specifications) may be requested by the developer’s consulting engineer or contractor to resolve conflicts such as alignment of approved water supply and sewerage infrastructure with other infrastructure e.g. stormwater pipes or in view of latent conditions (e.g. unexpected ground conditions such as isolated pockets of high plasticity soil). The developer’s consulting engineer or contractor will modify the configuration of the approved design to deliver infrastructure which is compliant with the SEQ Code for the latent conditions (e.g. change the type of bedding for water and sewer mains to suit different sub-soil conditions).

The developer’s consulting engineer or contractor will submit the variation proposal to the Major Connections Certifier. Variation and Amendment Submission (online form) - Refer to Appendix D8.

The Major Connections Certifier will assess the proposed variation as set-out on the completed Variation and Amendment Form and determine if the proposed variation is compliant with the SEQ Code and permissible under the conditions of the connections approval. If this is the case, then the Major Connections Certifier will approve the variation and submit the approval to Unitywater under certification.

If the variation requires modifications to the conditions of the Connection Approval, including amendment to approved design plans, the Major Connections Certifier will request the developer or developer’s representative to prepare an application to amend the connection approval in accordance with the Connections Policy and submit the completed application for approval in accordance with section 3.7 Request, Assessment and Approval of Amended Decision Notice.
4.5. Provisional Certificate of Completion

Developers may apply for a Provisional Certificate of Completion from Unitywater to obtain early release of the plan of survey from the relevant council.

The Developer or Developer’s representative will make the request to the Major Connections Certifier to prepare the package for submission. The Major Connections Certifier will lodge the request to Unitywater to issue a Provisional Certificate of Completion for the development.

4.5.1. Request Certification of Works Complete

The applicant (developer) or representative will make a request to the Construction Certifier for certification that:

a. At least 50% of water works and at least 50% of sewerage works have been completed; and

b. The uncompleted works can be completed within 3 months.

4.5.2. Review Records and Inspect

The Construction Certifier:

a. Will review the Construction Inspection Report to ensure a minimum of 50% of the works have been completed and that the uncompleted works can be completed within 3 months based upon the construction schedule provided by the developer’s contractor; and or

b. May carry out additional inspections for confirmation.

If the works are not 50% complete and/or the uncompleted works cannot be completed within 3 months, the Construction Certifier will notify the applicant (developer) or representative accordingly. The applicant (developer) or representative is then responsible for ensuring that its contractor completes the necessary works. Upon completion of the necessary works, the applicant (developer) or representative will request the Construction Certifier to carry out any necessary further inspections to support certification that 50% of water works and at least 50% of sewerage works have been completed and uncompleted works can be completed within 3 months.

4.5.3. Certify Works

The Construction Certifier will complete the necessary inspections and following confirmation that works are 50% completed and that the uncompleted works can be completed within 3 months of the date of certification, will certify accordingly. Work Completed Certification. Refer to Appendix D12. The Construction Certifier must provide a copy of the certification to the applicant (developer) or representative to enable the applicant to proceed with a request for a Provisional Certificate of Completion.

4.5.4. Request a Provisional Certificate of Completion

A request for the issue of the Provisional Certificate of Completion must be made by the applicant (developer) or representative to the Major Connections Certifier.

The following items must be included in the request for the issue of the Provisional Certificate of Completion:
a. Completed **Provisional Certificate of Completion** (online form); – Refer to Appendix D10

b. A copy of the certification from the Construction Certifier that the works are 50% completed and that the uncompleted works can be completed within 3 months, – **Works Completed Certification** Refer to Appendix D12

c. Payment of the fee for the issue of the Provisional Certificate of Completion. The Provisional Certificate of Completion Form must be accompanied by the applicable fee. The fee to be paid can be found at **fees and charges** or by phoning 1300 0 UNITY (1300 086 489).

d. Two (2) copies of **Water Approval Condition Agreement** for the issue of the Provisional Certificate of Completion signed by the applicant. The **Water Approval Condition Agreement** must be obtained from Unitywater, requests to be made via development.services@unitywater.com.

e. Evidence to demonstrate payment of ALL Unitywater Infrastructure Charges applicable to the development as detailed in any applicable Infrastructure Charges Notice;

f. Evidence to demonstrate payment of the connection cost of the new infrastructure to Unitywater networks. This will require the applicant or representative to request a quote from Unitywater, and pay the amount to Unitywater;

g. A copy of the signed survey plan;

h. A receipt or acknowledgment from Unitywater for the provision of the maintenance bond specified in the Connections Administration Manual.

i. A receipt or acknowledgment from Unitywater for the provision of an uncompleted works bond to the value of 125% of the value of any incomplete works. The uncompleted works bond must have a minimum value of $10,000.00;

j. An itemised schedule indicating timing and responsibility for:
   
   i. Testing of all works under construction;
   
   ii. As-constructed preparation cost (on the basis of reasonable cost for Unitywater to collect this information);
   
   iii. Reconnection of any existing dwellings to new works; and
   
   iv. Reconnection of any existing services; and
   
   v. Completion of the uncompleted works. The uncompleted works and maintenance bonds can be in the form of electronic funds transfer, bank cheque or an unconditional bank guarantee (refer to **Unitywater’s Connection Administration Manual**) Assess, Prepare and Submit Draft Provisional Certificate of Completion Certification Package

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**4.5.5. Assess Request for Provisional Certificate of Completion**

The Major Connections Certifier will assess the Request for a Provisional Certificate of Completion.

The Major Connections Certifier must complete the **Provisional Certificate of Completion Checklist** – Refer to Appendix D11 when assessing the request for a **Provisional Certificate of Completion** (online form) – Refer to Appendix D10.
The intent of the Provisional Certificate of Completion Checklist is to:

a. Provide guidance to Major Connection Certifiers to check that the works completed conform to the connections approval.

b. Ensure all items are sufficiently addressed and items are not excluded or missed.

The Major Connections Certifier may need to request additional information from the applicant (developer) or representative to enable the assessment of the Request for a Provisional Certificate of Completion to be completed.

Following satisfactory assessment of the Request for a Provisional Certificate of Completion, the Major Connections Certifier will certify the Provisional Certificate of Completion Checklist.

4.5.6. Prepare Draft Provisional Certificate of Completion Certification Package

The Major Connections Certifier will prepare the draft Provisional Certificate of Completion certification package for submission to Unitywater.

The draft Provisional Certificate of Completion certification package must include the following items:

a. A completed and certified Provisional Certificate of Completion Checklist; and

b. Items a – j listed in section 4.5.4 Request a Provisional Certificate of Completion that will form the request for the issue of the Provisional Certificate of Completion.

4.5.7. Lodgement of request

When the preparation of the draft Provisional Certificate of Completion Certification Package is complete, the Major Connections Certifier will:

a. Lodge the draft Provisional Certificate of Completion certification package via email to: development.certification@unitywater.com; and

b. Post 2 original copies of the Water Approval Condition Agreement signed by the applicant, to Unitywater for execution.

4.5.8. Unitywater Audit

The submission of the draft Provisional Certificate of Completion certification package will be audited by Unitywater in accordance with the audit process described in Part A of this Manual, section 15.1 Auditing.

This process will be repeated until Unitywater is satisfied and issues the Provisional Certificate of Completion.

4.5.9. Issue of the Provisional Certificate of Completion

When Unitywater is satisfied with the Provisional Certificate of Completion certification package, Unitywater will:

a. Issue and email the Provisional Certificate of Completion within five (5) business days to:

   i. The applicant (developer) or representative;
   ii. Major Connections Certifier; and
   iii. Construction Certifier.
b. Execute and post one (1) copy of the executed Water Approval Condition Agreement to the applicant (developer) or representative; and

c. Email a copy of the executed Water Approval Condition Agreement to:
   i. Major Connections Certifier; and
   ii. Construction Certifier.

4.5.10. Compliance with Water Approval Condition Agreement

The Major Connections Certifier and the Construction Certifier must monitor the applicant’s (developer’s) compliance with the Water Approval Condition Agreement and the continuous monitoring and inspections of the works under construction.

4.5.11. Non – Compliance with Water Approval Condition Agreement

The Major Connections Certifier must take appropriate actions to resolve any non-compliance with the Water Approval Condition Agreement without involving Unitywater. However, if any non-compliance cannot be resolved by the parties involved, the Major Connections Certifier must notify Unitywater to request that Unitywater take action in relation to the identified non-compliance with the Water Approval Condition Agreement.

4.5.12. Unitywater Actions for Non – Compliance with the Water Approval Condition Agreement

Where appropriate, Unitywater will undertake an investigation and take appropriate actions under the Water Approval Condition Agreement. The following are actions that may be taken by Unitywater:

a. call upon the uncompleted works bonds for non-compliance to the Water Approval Condition Agreement; or

b. issue a direction to the developer or representative under the Water Approval Condition Agreement;

The developer must act on the direction issued by Unitywater to ensure compliance with the Water Approval Condition Agreement is maintained.

5. Certificate of Completion

The Certificate of Completion is issued by Unitywater when the applicant (developer) has satisfactorily complied with all conditions of the connection approval. Applicants will also require a Certificate of Completion from Unitywater to be able to register the plan of survey. The issue of a Certificate of Completion results in Unitywater accepting ownership of the stated works on-maintenance.

The Certificate of Completion is split into two (2):

a. Certificate of Completion with network works (see section 5.1 to 5.4, and 5.6); and

b. Certificate of Completion without network works (see section 5.5).

5.1. Certificate of Completion with Network Works

The following activities relate to the request and issue of the Certificate of Completion involving network works.
5.1.1. Preparation of Request for Certificate of Completion

The applicant (developer) or representative will make a request to the Construction Certifier for certification that ALL works have been completed so that a request for the Certificate of Completion can be made.

The Construction Certifier:

a. Will review the Construction Inspection Report to ensure all works have been satisfactorily completed; and

b. May carry out additional inspections if necessary.

5.1.2. Complete Works

If the works are not complete, the Construction Certifier will notify the applicant (developer) or representative accordingly to take steps to ensure the contractor completes the works to enable the certification to be completed.

Following completion of the identified works, the Construction Certifier will complete the necessary inspection to confirm that works are satisfactorily completed and if satisfied, will certify accordingly. Works Completed Certification Refer to Appendix D12. The Construction Certifier must provide the certification to the applicant (developer) or representative to enable the applicant to proceed with the request for a Certificate of Completion.

If the Construction Certifier is still not satisfied with the completed works, the Construction Certifier will issue another notification to the applicant (developer) or representative accordingly to take steps to ensure the contractor completes the works to enable the certification to be completed.

This process will repeat until the works are completed to the satisfaction of the Construction Certifier.

5.2. Request for Certificate of Completion with Network Works

The applicant (developer) or representative may make a request to the Major Connections Certifier to assess and provide a Certificate of Completion Certification Package for submission to Unitywater. The request must include:

a. A completed Certificate of Completion Form — Certificate of Completion (online form); Refer to Appendix D14

b. All relevant items as listed in the Certificate of Completion Form;

c. A copy of the Works Completed Certification from the Construction Certifier that the works are satisfactorily complete; and

d. A receipt from Unitywater for payment of the fee for the issue of the Certificate of Completion. The fee to be paid can be found at www.unitywater.com or by phoning 1300 0 UNITY (1300 086 489).

5.2.1. Assess Request for the Certificate of Completion

The Major Connections Certifier will assess the request for the Certificate of Completion submitted by the applicant (developer) or representative.
5.2.2. Prepare Draft Certificate of Completion Certification Package

The Major Connections Certifier will prepare the Certificate of Completion Certification Package for submission to Unitywater.

The Certificate of Completion Certification Package must include the following items:

a. A completed and certified Certificate of Completion and On Maintenance Checklist – Part A; and
b. Items listed at Section 5.2 Request for Certificate of completion with Network Works that will form the request for issue of the Certificate of Completion.

5.2.3. Lodgement of the draft Certificate of Completion Certification Package

When the preparation for the Certificate of Completion Certification Package is complete, the Major Connections Certifier will lodge the Certificate of Completion Certification Package and all other supporting documents via email to: development.certification@unitywater.com.

5.3. Unitywater Audit of the Request for Certificate of Completion with Network Works

Unitywater will carry out an audit of the Certificate of Completion Certification Package in accordance with the audit process described in Part A of this Manual, Section 15.1 Auditing.

This process will be repeated until Unitywater is satisfied with the asset handover documentation in the Certificate of Completion Certification Package to proceed to acceptance on maintenance of the works.

5.4. Acceptance of Works On Maintenance (involving Network Works)

The applicant (developer) or representative can then prepare the on maintenance package to enable the constructed works to be accepted on maintenance.

5.4.1. Schedule On Maintenance Inspection

The major Connections Certifier will schedule the on maintenance inspection meeting and must invite Unitywater’s Construction Auditor. The on-maintenance inspection must be attended by the following:
a. Major Connections Certifier;
b. Construction Certifier;
c. Contractor (or representative – supervisor);
d. Developers Consulting Engineer (Superintendent); and
e. Sub-contractor (if relevant).

Unitywater’s Construction Auditor’s attendance at the on maintenance inspection is optional following notification of the scheduled meeting by the Major Connections Certifier. The Major Connections Certifier must give Unitywater 7 days’ notice of the on maintenance inspection. The notification should include a copy of the As Constructed drawings, - On Maintenance or Early Connection of Works Inspection Notification (online form) Refer to Appendix D13

5.4.2. As-Constructed Drawings

The as-constructed drawings for all water supply and sewerage infrastructure that will be provided to Unitywater as contributed assets must be prepared in accordance with the SEQ Code Appendix B – Checklist of Project Deliverables

Survey information must be certified for accuracy by a Registered Surveyor either by individual certification on each drawing or by a covering letter detailing the documents covered by the certification. Certification must include the name and registration number of the certifying surveyor. The details of the certifying surveyor must also be included in the ADAC XML file according to the ADAC schema.

The as-constructed drawings may be submitted in electronic format via:

a. Email; or

The drawings are an essential component of the acceptance of the works for on maintenance and accuracy is paramount.

5.4.3. Conduct On-Maintenance Meeting

The major Connections Certifier will conduct the on maintenance inspection and during the inspection:

a. Assess each item on the On Maintenance Field Inspection Checklist; and
b. Identify and record any rectification works on the On Maintenance Field Inspection Checklist.

The Major Connections Certifier will notify the applicant (developer) or representative of any required rectification works.

The Major Connections Certifier will re-inspect the works to ensure identified rectification works have been satisfactorily carried out. The process is repeated until the Major Connections Certifier is satisfied that the works can be certified for acceptance on maintenance.
5.4.4. Preparation for On Maintenance Acceptance

The applicant (developer) or representative will collate all relevant documents in the preparation for on maintenance and provide those documents to the Major Connections Certifier. The on maintenance request must include the following:

5.4.5. Test Results

All constructed water supply and sewerage infrastructure must undergo testing in accordance with the SEQ Code. The tests must be carried out by persons or companies accredited by the National Association of Testing Authorities Australia (NATA).

The test results must be presented in accordance with the SEQ Code requirements.

5.4.5.1. Certification of Existing Services

Where subdivision occurs, and an existing building is to be retained, the registered surveyor must submit certification that the water supply and/or sewerage services connection points required to service the building exist or, where provided as part of the works, are contained wholly within the new lot containing the existing building.

5.4.5.2. On Maintenance Bond

A receipt or acknowledgment from Unitywater for the provision of a maintenance bond of five percent (5%) of the value of the works or $6,000 for sewerage component of the works and $4,000 for the water component of the works (whichever is the greater). The maintenance bond can be in the form of EFT, bank cheque or an unconditional bank guarantee (refer to Unitywater’s bank guarantee pro forma).

Unitywater will hold the maintenance bond as surety and will return it after the satisfactory off-maintenance acceptance of the works.

5.4.5.3. Closed Circuit Television (CCTV) Report

Closed circuit television (CCTV) inspection and reporting must be carried out on all constructed sewer lines. The applicant (developer) or representative will forward the CCTV (DVD) and the associated report to the Construction Certifier to carry out the necessary review and certification.

The on-maintenance application must be accompanied by a certification from the Construction Certifier that he or she has reviewed the CCTV (DVD) and the associated report is accurate. Any faults or defects must be brought to the attention of the Major Connections Certifier to make a request to the developer’s consulting engineer/contractor to rectify. This may require additional CCTV of the sewer line concerned and subsequent review and acceptance by the Construction Certifier.

5.4.5.4. Easements

A copy of the completed and signed relevant Survey Plan and Easement Documents, to be lodged for registration with the “Department of Natural Resources” (DNRM) Titles Registry.

5.4.5.5. Certified Construction Inspection Report

A copy of the Construction Inspection Report completed and certified by the Construction Certifier. See section 4.4.1 Construction Inspection.
5.4.6. Review On Maintenance Submission

The Major Connections Certifier will review the documents submitted by the applicant (developer) or representative before scheduling the on-maintenance inspection. The Major Connections Certifier may request additional information from the applicant (developer) or representative to satisfactorily complete the on-maintenance submission before proceeding to on maintenance inspection.

This process will be repeated until the Major Connections Certifier is satisfied that the on-maintenance request may proceed to the inspection of the works.

5.4.7. On Maintenance Certification

Following the satisfactory on maintenance inspection, the Major Connections Certifier will complete the Certificate of Completion and On-Maintenance Checklist – Part B – Refer to Appendix D16

The intent of the Certificate of Completion and On Maintenance Checklist – Part B is to ensure conditions relating to connection approval conditions that are related to networks works are satisfactorily addressed and items are not excluded or missed.

The Major Connections Certifier will certify the Certificate of Completion and On Maintenance Checklist – Part B and compile the on-maintenance acceptance certification package. The on-maintenance acceptance certification package will include:

a. Certified Certificate of Completion and On Maintenance Checklist – Part B; and

b. All relevant items listed at Section 5.4 Acceptance of Works on Maintenance (involving Network Works).

5.4.8. Lodgement

The Major Connections Certifier will lodge the on-maintenance acceptance certification package as detailed in section 5.4.5 On Maintenance Certification.

The Major Connections Certifier will lodge the on-maintenance acceptance certification package via email to: development.certification@unitywater.com.

5.4.9. Audit

Unitywater will carry out an audit of the on-maintenance certification package. Audit of the on-maintenance certification package will be in accordance with Part A of this Manual, section 15.1 Auditing.

This process will be repeated until Unitywater is satisfied with the on-maintenance acceptance certification.

5.4.10. Issue Certificate of Completion

When the audit of on maintenance acceptance certification package results in a ‘pass’, Unitywater will:

a. Issue the Certificate of Completion to the applicant; and

b. Email copies of the Certificate of Completion to the Major Connections Certifier for record.
5.5. Certificate of Completion without Network Works

Applicants with connection approvals that do not involve any network works may apply for a Certificate of Completion as detailed below.

5.5.1. Request Certificate of Completion

The applicant (developer) or representative will make the request for the issue of the Certificate of Completion to a Registered Certifier (either Minor Connections Certifier OR Major Connections Certifier). The request will include but not limited to:

a. Completed Certificate of Completion Form (online form) Refer to Appendix D14;
b. All relevant items as listed in the Certificate of Completion Form; and
c. The applicable fees and charges stated on Unitywater’s website or by phoning 1300 0 UNITY (1300 086 489).

5.5.2. Assess the Request for the Certificate of Completion

The Registered Certifier will assess the request for the Certificate of Completion submitted by the applicant (developer) or representative.

The Registered Certifier must complete the Certificate of Completion and On Maintenance Checklist – Part A when assessing the request for the Certificate of Completion.

The intent of the Certificate of Completion and On Maintenance Checklist – Part A is to provide guidance to Registered Certifiers to ensure that all conditions have been satisfied.

The Registered Certifier may need to request additional information from the applicant (developer) or representative to enable the assessment of the Request for Certificate of Completion to be completed.

Following satisfactory assessment of the request for Certificate of Completion, the Registered Certifier will certify the Certificate of Completion and On Maintenance Checklist – Part A.

5.5.3. Prepare Certificate of Completion Certification Package

The Registered Certifier will prepare the Certificate of Completion Certification Package for submission to Unitywater.

The Certificate of Completion Certification Package must include the following items:

a. A completed and certified Certificate of Completion and On Maintenance Checklist – Part A; and
b. Items listed at section 5.5.1 (Request for Certificate of Completion);

5.5.4. Lodgement of the Certificate of Completion Certification Package

When the preparation for the Certificate of Completion Certification Package is complete, the Registered Certifier will lodge the Certificate of Completion Certification Package and all other supporting documents via email to: development.certification@unitywater.com.

5.5.5. Unitywater Audit of the Request for Certificate of Completion

Unitywater will carry out an audit of the Certificate of Completion Certification Package in accordance with Part A of this Manual, section 15.1 Auditing.

This process will be repeated until Unitywater is satisfied Certificate of Completion Certification Package.
5.5.6. Issue Certificate of Completion

When the audit of on maintenance acceptance certification package results in a ‘pass’, Unitywater will:

a. Issue the Certificate of Completion to the applicant; and

b. Email copy of the Certificate of Completion to the Registered Certifier for record.

5.6. Preparation for Connection to Unitywater’s Networks

When the Certificate of Completion has been issued to the Major Connections Certifier and the Construction Certifier, the Construction Certifier will undertake the following to complete connections to Unitywater’s networks;

5.6.1. Sewerage

The Construction Certifier will inspect the sewer constructed by the developer to confirm that it is clean and clear and that connection can be satisfactorily made. If the sewer is not clean and clear the Construction Certifier will instruct the Contractor to clean the sewer and/or remove any blockages.

5.6.2. Water Supply

The developer or representative will follow Unitywater’s Procedure for Managing Water Quality During Mains Commissioning (This procedure, Pr9032 - Procedure for Managing Water Quality During Mains Commissioning, can be downloaded from Unitywater’s website, www.unitywater.com. The developer or representative is responsible for engaging a NATA accredited laboratory to undertake testing specified in the above-mentioned procedure and to provide results of the testing to the Major Connections Certifier.

Following receipt of the water quality testing results from the developer or representative the Major Connections Certifier must assess the results against the water quality acceptance criteria and the decision criteria for a ‘pass’ or ‘fail’ assessment as set-out in Pr9032 - Procedure for Managing Water Quality During Mains Commissioning.

If the assessment is a pass the Major Connections Certifier must proceed in accordance with section 5.7 Connection of Works to Unitywater Networks to enable the connection to be completed as quickly as possible.

If the assessment is a fail the Major Connection Certifier will notify the developer or representative to repeat chlorination and testing as set-out in procedure Pr9032 - Procedure for Managing Water Quality During Mains Commissioning until a pass assessment is achieved.

5.7. Connection of Works to Unitywater Networks

Following issuance of the Certificate of Completion and completion of preparation activities, the connection of the works to Unitywater’s networks will be as follows:

5.7.1. Sewerage

Once the Construction Certifier has confirmed that the connection can proceed the developer’s contractor will agree a date for connection with the Construction Certifier.

The Construction Certifier will notify Unitywater’s Construction Auditor by email (development.certification@unitywater.com) of the scheduled date for connection.
The Construction Certifier must inspect the connection prior to the connection being backfilled and the site of the connection following completion of backfill and reinstatement works. The Construction Certifier will provide certification of the completed connection by completing the **Works Completed Certification** - Refer to Appendix D12, and submitting the certification to Unitywater by email (development.certification@unitywater.com) within five business days of the connection being completed.

Unitywater’s Construction Auditor may elect to audit the connection before it is backfilled.

### 5.7.2. Water Supply

The Major Connections Certifier will request Unitywater’s Construction Services by email (privateworks@unitywater.com) to connect the constructed works to Unitywater’s water supply network. This request must include a copy of the test results and the Major Connections confirmation that the test results is a ‘pass’.

Following receipt of the notification to connect, Unitywater’s Construction Services will connect the works to Unitywater networks.

When the connection of the constructed works to Unitywater’s networks has been completed, Unitywater’s Construction Services will issue notifications to the following:

- Major Connections Certifier;
- Developer; and
- Unitywater Development Services

### 6. Off Maintenance Acceptance

The off maintenance inspection and acceptance of the constructed works will be undertaken at the end of the maintenance period so that the maintenance security bond can be released to the applicant (developer) or representative.

The off maintenance acceptance of the works will be undertaken by the Major Connections Certifier responsible for the development and will include certification/inputs from the Construction Certifier.

#### 6.1. Defects Liability Period

The defects liability period, commonly known as the 'Maintenance Period', is twelve months. Unitywater, however, may decide that a longer period is necessary under some circumstances to ensure the integrity of the network is maintained at all times. If Unitywater decides to increase the length of the defects liability period, it will be imposed as a condition on the Connection Approval.

#### 6.2. Maintenance and Operation During Defects Liability Period

Unitywater will operate the infrastructure during the defects liability period. However, it is the developer’s responsibility to repair any defects in workmanship or materials that occur or become apparent during the defects liability period, unless the defects in workmanship or materials are demonstrated to be a direct result of negligent or incorrect operation by Unitywater staff.
Should defects in the workmanship or materials used for the infrastructure be identified during the defects liability period, Unitywater will assess the risk and depending on the level of the risk, Unitywater may:

a. Advise the applicant (developer) or representative to rectify the failure within a specified time; or
b. Carry out the repairs (in an emergency situation or for live works that must be carried out by Unitywater) and invoice the applicant (developer) or representative for the repair works; and
c. Extend the maintenance period beyond the standard or conditioned duration.

6.3. Preparation for Off Maintenance Acceptance

The applicant (developer) or representative will commence preparation for off maintenance acceptance after the defects liability period (generally 12 months after acceptance on maintenance).

This will include the developer or representative (consulting engineer/contractor):

a. Engaging a CCTV contractor to carry out a CCTV inspection and subsequently prepare a CCTV report;
b. Requesting the contractor to carry out necessary remedial actions to ensure the constructed works are ready to be inspected and accepted off maintenance.

When the above has been satisfactorily completed, the developer or representative (consulting engineer/contractor) will submit the CCTV report and any associated documents to the Construction Certifier.

6.3.1. Construction Certifier Certification

Following receipt of the CCTV report and any associated documents, the Construction Certifier will carry out a review the CCTV report and associated documents.

The Construction Certifier will provide certification that the CCTV report and associated documents are approved to proceed to off maintenance request by completing the Works Completed Certification - Refer to Appendix D12 and providing the document to the developer or representative (consulting engineer/contractor).

If the Construction Certifier deems the CCTV report is not acceptable to be certified, the Construction Certifier will advise the developer or representative (consulting engineer/contractor) to carry out the necessary remedial works and resubmit the CCTV report for re-assessment.

6.4. Request Acceptance Off Maintenance

On receipt of the Works Completed Certification from the Construction Certifier, the developer or representative (consulting engineer/contractor) may complete a Request for Off Maintenance Certificate and submit the request with the following documents to the Major Connections Certifier - Off Maintenance Submission (online form): Refer to Appendix D17

a. The CCTV and associated report;
b. The Works Completed Certification from the Construction Certifier; and
c. Any associated documentation.
Note:

1. Request for Off Maintenance Certificate incorporates the request for the release of the Maintenance Bonds held by Unitywater; and

2. Release of Maintenance Bonds is an existing Unitywater process and will remain ‘as is’, hence not included in the Accreditation and Certification process.

6.5. Assess Request for Off Maintenance

The Major Connections Certifier will assess the request for off maintenance acceptance package.

6.5.1. Request Additional Information

The Major Connections Certifier may request additional information from the applicant (developer) or representative to enable the assessment for the request for off maintenance acceptance to be completed - this process continues until the Major Connections Certifier is satisfied that the off-maintenance acceptance request can proceed.

6.6. Schedule Off Maintenance Inspection

The Major Connections Certifier will schedule the off maintenance inspection meeting, and must invite the Unitywater Construction Auditor. The off maintenance inspection must be attended by the following:

a. Major Connections Certifier;
b. Construction Certifier;
c. Contractor (or representative – supervisor);
d. Developer’s Consulting Engineer (Superintendent); and
e. Sub – contractor (if relevant).

Unitywater Construction Auditor’s attendance at the off maintenance inspection is optional following notification of the scheduled meeting by the Major Connections Certifier.

6.7. Conduct Off-Maintenance Inspection

The Major Connections Certifier will conduct the off maintenance inspection meeting and complete the Off Maintenance Inspection Notification (online form) accordingly, and Participate in Off-Maintenance Inspection – Refer to Appendix D18.

The Major Connections Certifier, Construction Certifier, Contractor (or representative – supervisor), Developer’s Consulting Engineer (Superintendent) and Sub – Contractor (if relevant) must be active participants in the off-maintenance inspection meeting.

6.7.1. Observe Off Maintenance Inspection

Unitywater’s Construction Auditor will only be an observer if he/she attends the off-maintenance inspection meeting.

6.7.1.1. Failed Off Maintenance Inspection

For a failed off maintenance inspection the Major Connections Certifier will prepare and issue a Remedial Action Notice to the developer’s representative on site (consulting engineer or contractor) identifying the necessary works to enable the works to be accepted off maintenance.
The applicant (developer) is responsible for ensuring that its contractors carry out necessary works stated in the remedial action notice to enable the works to be accepted off maintenance and advise the Major Connections Certifier when the works are ready for further inspections if necessary.

This process continues until the Major Connections Certifier is satisfied the off maintenance acceptance request may proceed.

### 6.7.1.2. Passed Off Maintenance Inspection

For a *passed* off maintenance inspection the Major Connections Certifier will certify the constructed works are appropriate to be accepted off maintenance and request Unitywater to issue the **Off Maintenance Certificate** by including the following in the certification package:

- Certified off maintenance Field Inspection Checklist; and
- Certified CCTV report and associated documents.

### 6.8. Unitywater Audit

Unitywater will carry out an audit of the *off maintenance certification package* in accordance with Part A of this Manual, section 15.1 Auditing.

This process will be repeated until Unitywater is satisfied with the *off maintenance certification package* and proceeds to issuance of the off maintenance certificate.

### 6.9. Issue Off Maintenance Certificate

When the audit of off maintenance acceptance certification package results in a ‘pass’, Unitywater will:

- Issue the **Off Maintenance Certificate** to the applicant (developer) or representative;
- Release the maintenance bonds; and
- Email a copy of the **Off Maintenance Certificate** to the Major Connections Certifier for their records.
Part C – Training

1. Introduction
It is important that Accredited Entities and Registered Certifiers involved with Unitywater’s Accreditation and Certification System are competent and fully understand the system to be successful in their appointed role/s.

2. Purpose of Training
The purpose of training will be to establish essential knowledge and competencies under Unitywater’s Accreditation and Certification System, in particular the following:

a. The accreditation and certification processes under the Unitywater’s Accreditation and Certification System;
b. The business systems and tools;
c. Compliance with relevant legislation, the Connections Policy and the Schedule of Works;
d. Obligations of Accredited Entities and Registered Certifiers under their respective Accreditation Deed and Registration Deed Polls; and
e. Expected outcomes of the certification process such as:
   i. Connections approvals being issued with lawful, reasonable and relevant conditions;
   ii. Assets donated to Unitywater comply with the relevant connections approval and are prudent and efficient;
   iii. The standard of assets donated to Unitywater comply with the SEQ Code or a business case is provided which justifies an alternate solution; and
   iv. The standard of documentation submitted to Unitywater complies with the relevant requirements of Part B Certification of this manual and/or the SEQ Code.

Unitywater will not train Registered Certifiers in the specialist technical competencies of their role; e.g. project management, engineering design or inspection and assessment of the standard of civil construction. It is expected that each applicant must have the requisite specialist technical knowledge and experience to undertake the role for which they apply to be accredited and demonstrate these capabilities in their accreditation application.

3. Administration of Training
The Accreditation Coordinator will schedule training so approved accredited applicants are able to complete the required training with 90 business days.

Approved Applicants will undertake the scheduled training in accordance with the assigned training schedule or as otherwise approved by the Accreditation Coordinator.

All training will require attendance in person and will be undertaken in Caboolture, Queensland. On-line training will not be offered.
Approved Applicants must successfully complete the designated training modules, including assessments in some modules, before they can be appointed by Unitywater as Accredited Entities and/or Registered Certifiers in the relevant category.

Any applicant who does not obtain a pass where the modules include an assessment will be offered to undertake a supplementary assessment. If the applicant fails to pass the supplementary assessment, the Accreditation Coordinator may approve the applicant repeating the course and assessment at the applicant’s expense or send a notification to the applicant that their application has lapsed.

Unitywater will issue certificates of competencies for all relevant training modules successfully completed by the approved applicant.

The Accreditation Coordinator will keep a record of all training completed by the approved applicant in the Accreditation Application Tracking Tool.

4. Curriculum

The details of each of the training modules that must be completed by the Accredited Entities and Registered Certifiers are shown in Table 11 below.

The training modules that Accredited Entities and Registered Certifiers must complete are detailed in Table 8 in Part A Accreditation of this Manual.

<table>
<thead>
<tr>
<th>Training Module</th>
<th>Outcomes</th>
<th>Duration (Hrs)</th>
<th>Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Obligations of Accredited Entities and Registered Certifiers</td>
<td>The Accredited Entities and Registered Certifiers will understand the following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sound working knowledge of the content and implications of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Obligations under the Accreditation Deed; and</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Roles and responsibilities of Accredited Entities and Registered Certifiers.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3</td>
<td>Yes</td>
</tr>
<tr>
<td>Overview of Relevant Legislation, Connections Policy and Schedule of Works</td>
<td>Working knowledge of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Limitations under the DR Act;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Statutory requirements under which the connections application and assessment works</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4</td>
<td>Yes</td>
</tr>
<tr>
<td>Connections Approval Process</td>
<td>Demonstrated and sound working knowledge of the:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Management of connection application and assessment under Unitywater’s Accreditation and Certification System; and</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Roles and responsibilities of each</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4</td>
<td>Yes</td>
</tr>
<tr>
<td>Training Module</td>
<td>Outcomes</td>
<td>Duration (Hrs)</td>
<td>Assessment</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------</td>
<td>------------</td>
</tr>
<tr>
<td>Assessing Connections Applications and Preparation of Certification Packages</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. The end to end process of assessing and preparing draft decision notices; 2. The tools/resources (e.g. checklist) to be used in the process; and 3. How to impose standard and non-standard conditions.</td>
<td>5</td>
<td>✓</td>
</tr>
<tr>
<td>Calculation of Infrastructure Charges and Preparation of Draft Infrastructure Charges Notice</td>
<td>Demonstrated and sound working knowledge of the content and implications of the: 1. End to end process of calculating and preparing draft infrastructure charges notices; 2. Tools/resources to be used in the process; and 3. Various charging regimes being used in the relevant local government areas.</td>
<td>4</td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Certification Packages</td>
<td>Demonstrated and sound working knowledge of the content and implications of the: 1. Preparation and submission of connection approval packages; and 2. Tools/resources to be used in the process.</td>
<td>3</td>
<td>✓</td>
</tr>
<tr>
<td>Assessing Water Supply Reticulation Design Drawings</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. The process of assessing and preparing draft decision notices; 2. The tools/resources (e.g. checklist) to be used in the process; and 3. How to impose standard conditions; and 4. Drafting and imposition of non-standard conditions.</td>
<td>5</td>
<td>✓</td>
</tr>
<tr>
<td>Training Module</td>
<td>Outcomes</td>
<td>Duration (Hrs)</td>
<td>Assessment</td>
</tr>
<tr>
<td>-----------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------</td>
<td>------------</td>
</tr>
<tr>
<td>Assessing Sewerage Reticulation Design Drawings</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. The process of assessing and preparing draft decision notices; 2. The tools/resources (e.g. checklist) to be used in the process; and 3. How to impose standard conditions; and 4. Drafting and imposition of non-standard conditions.</td>
<td>5</td>
<td>Yes</td>
</tr>
<tr>
<td>Pre-Start Meeting Process</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Preparing and conducting a pre-start meeting; 2. Finalising ‘Actions’ emanating from the pre-start meeting; and 3. Post pre-start meeting actions.</td>
<td>3</td>
<td>Yes</td>
</tr>
<tr>
<td>Construction Inspection and Certification of Works</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Conducting and recording inspections during construction; 2. Managing Variations during construction; and 3. Inspecting and recording testing being undertaken.</td>
<td>5</td>
<td>Yes</td>
</tr>
<tr>
<td>Preparation and Submission of Draft Provisional Certificates of Completion Package</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Preparing the Draft Provisional Certificate of Completion Package; 2. The tools/resources (e.g. checklist) to be used in the process; and 3. Submitting the Draft Provisional Certificate of Completion Package</td>
<td>4</td>
<td>Yes</td>
</tr>
<tr>
<td>Preparation and Submission of Draft Certificates of</td>
<td>Demonstrated and sound working knowledge of the content and implications of:</td>
<td>4</td>
<td>Yes</td>
</tr>
<tr>
<td>Training Module</td>
<td>Outcomes</td>
<td>Duration (Hrs)</td>
<td>Assessment</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------</td>
<td>------------</td>
</tr>
<tr>
<td>Completion Package</td>
<td>1. Preparing the Draft Certificate of Completion Package; 2. The tools/resources (e.g. checklist) to be used in the process; and 3. Submitting the Draft Certificate of Completion Package</td>
<td></td>
<td></td>
</tr>
<tr>
<td>On Maintenance Acceptance Process</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Preparing and conducting the on-maintenance meeting; 2. Finalising Remedial Actions’ resulting from the on-maintenance meeting; and 3. Accepting the works on maintenance.</td>
<td>3</td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Asset Handover Packages</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Preparing and uploading as-constructed drawings; and 2. Preparation and submission of Asset Handover Packages;</td>
<td>3</td>
<td>✓</td>
</tr>
<tr>
<td>Construction of Connections To Unitywater's Networks</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Requesting a quotation for the connections of the works to Unitywater networks; and 2. Connection of the works process.</td>
<td>2</td>
<td>✓</td>
</tr>
<tr>
<td>Preparation and Submission of Off Maintenance Request</td>
<td>Demonstrated and sound working knowledge of the content and implications of: 1. Preparing and conducting the off maintenance meeting; 2. Finalising Remedial Actions’ emanating from the off maintenance meeting; and 3. Accepting the works off maintenance.</td>
<td>2</td>
<td>✓</td>
</tr>
</tbody>
</table>
4.1. Resource Materials

All approved applicants attending the training courses will be provided with hard copies of all training materials to use as reference when undertaking the certification activities under the Unitywater Accreditation and Certification System.

5. Training Providers

Unitywater staff will prepare and provide all training to approved applicants.
Appendix A – Accreditation Application Forms

Accreditation Application - Accredited Entity Consulting Engineering Services
Accreditation Application – Accredited Entity – Contractor Construction Services
Accreditation Application – Registered Certifier – Major Connections Certifier
Accreditation Application – Registered Certifier – Minor Connections Certifier
Accreditation Application – Registered Certifier – Construction Certifier
Appendix B – Accreditation Deed and Registration Deed Poll

Accreditation Deed
Registration Deed Poll
# Appendix C - Consequence Table and Risk Matrix

## Audit Risk Assessment

<table>
<thead>
<tr>
<th>Risk Type</th>
<th>Insignificant</th>
<th>Low</th>
<th>Moderate</th>
<th>High</th>
<th>Extreme</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Public Safety</strong></td>
<td>• Low key enquiry by a member of the public about potential hazard.</td>
<td>• Minor illness/injuries requiring medical treatment</td>
<td>• Immediate admission to hospital and/or emergency evacuation</td>
<td>• Multiple moderate injuries requiring hospitalisation</td>
<td>• Death</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Injuries requiring first aid treatment</td>
<td>• Short term (reversible) impact on health/body function</td>
<td>• Life threatening injury</td>
<td>• Permanent total disability</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Multiple medical treatment injuries/illnesses</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Potable Water Quality</strong></td>
<td>• Reduction in disinfection residual</td>
<td>• Sporadic water quality results with zero disinfection residual and nil e coli detected.</td>
<td>• Regular water quality results with zero disinfection residual and nil e coli detected.</td>
<td>• Frequent water quality results with zero disinfection residual and E coli detected.</td>
<td>• Regulator issues Notice to Boil</td>
</tr>
<tr>
<td><strong>Property Damage</strong></td>
<td>• Minor damage to turf or fences.</td>
<td>• Erosion of soil (&gt;2m³)</td>
<td>• Minor structural damage to buildings</td>
<td>• Major structural damage to buildings</td>
<td>• Structural damage to buildings so severe that the building cannot be repaired.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Contamination of private land with sewage (&lt;500L).</td>
<td>• Contamination of land with sewage (&gt;500L).</td>
<td>• Without notice vehicular access to commercial and industrial private property prevented for &gt;1 hour.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Without notice vehicular access restricted to private residential property for &lt;1 hour.</td>
<td>• Overflow of sewage internal to buildings.</td>
<td>• Constant offensive odours.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Without notice vehicular access restricted to private residential property for &lt;0.25 hour.</td>
<td>• Generation of H₂S resulting in corrosion of and premature failure of infrastructure.</td>
<td>• Telecommunications fibre optic cable cut.</td>
</tr>
</tbody>
</table>
## Consequence Table

<table>
<thead>
<tr>
<th>Risk Type</th>
<th>Insignificant</th>
<th>Low</th>
<th>Moderate</th>
<th>High</th>
<th>Extreme</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Without notice vehicular access to residential private property prevented for &gt;1hr.</td>
<td>• Financial impact &gt;$250,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Without notice vehicular access to commercial and industrial private property prevented for 0.25 to 1hour.</td>
<td></td>
</tr>
<tr>
<td>Financial</td>
<td>• Financial impact of &lt;$10,000</td>
<td>• Financial impact of between $10,000 to &lt;$50,000</td>
<td>• Financial impact of between $50,000 to &lt;$100,000.</td>
<td>• Financial impact of between $100,000 to &lt;$250,000</td>
<td></td>
</tr>
<tr>
<td>Reputation</td>
<td>• Public concern restricted to complaints</td>
<td>• Infrequent negative local media</td>
<td>• Sustained negative local media</td>
<td>• High level negative attention from multiple media outlets</td>
<td>• Significant adverse national/international media</td>
</tr>
<tr>
<td>Environment</td>
<td>• Negligible environmental impact.</td>
<td>• Minor localised environmental impact.</td>
<td>• Material environmental harm</td>
<td>• Serious environmental Impact Detrimental impact on area of high conservation value or special significance. Return to pre-existing condition within 3 months Release of untreated sewage/sludge 5ML – 10ML</td>
<td>• Long-term environmental harm</td>
</tr>
<tr>
<td></td>
<td>• Returned to pre-existing condition within 24 hours</td>
<td>• Returned to pre-existing condition within 1 week</td>
<td>• Significant release of untreated sewerage 1ML – 5ML</td>
<td></td>
<td>• Unable to return to pre-existing condition</td>
</tr>
<tr>
<td></td>
<td>• Very small release of untreated sewage. Less than 100kL</td>
<td>• Small release of untreated sewerage 101-1000kL</td>
<td></td>
<td></td>
<td>• Release of untreated sewage/sludge &gt;10ML</td>
</tr>
<tr>
<td>Risk Type</td>
<td>Insignificant</td>
<td>Low</td>
<td>Moderate</td>
<td>High</td>
<td>Extreme</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Service Continuity</td>
<td>• Short-term localised disruption to services affecting up to 50 properties.</td>
<td>• Disruption to service affecting 50 – 100 properties.</td>
<td>• Disruption services affecting 100 to 500 properties.</td>
<td>• Disruption to services affecting &gt;500 to 1,000 properties and, likely &gt;5 hours to fix.</td>
<td>• Disruption to services affecting greater than 1,000 properties and likely &gt;5 hours to fix.</td>
</tr>
<tr>
<td>Compliance</td>
<td>• Potential specific control weakness – no breach established</td>
<td>• Regulator issuing warning improvement notice for non-compliance.</td>
<td>• Regulator issuing corrective action/directive/show cause action</td>
<td>• The public bringing legal action (not a class action)</td>
<td>• The public bringing class action</td>
</tr>
<tr>
<td></td>
<td>• Regulator/external auditor ‘observation’ or request for further explanation.</td>
<td></td>
<td>• Actual/potential breach of compliance obligations less than $500k fine/penalty exposure</td>
<td>• Regulator intervention, stop work immediately/cease activity</td>
<td>• Actual/potential breach of compliance obligations &gt;$2M</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Actual/potential breach of compliance obligations $500k - $1M fine/penalty exposure</td>
<td>• Conviction recorded against company or officer</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Actual/potential breach of compliance obligations $1M - $2M</td>
<td>• Potential jail term</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Loss of key operating licence</td>
</tr>
</tbody>
</table>
## RISK MATRIX

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Probability of occurrence</th>
<th>Description</th>
<th>Expected Frequency (Safety and Environmental Risks)</th>
<th>Consequence</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Almost Certain &gt;90% probability</td>
<td>• It is expected to occur, almost inevitable</td>
<td>&gt;10 times per year</td>
<td>Insignificant (I) 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Moderate 5</td>
</tr>
<tr>
<td>4</td>
<td>Likely 61% – 90% probability</td>
<td>• Expected to occur in most circumstances – not surprised if it happens</td>
<td>More than once in 5 years</td>
<td>Insignificant (I) 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Low 4</td>
</tr>
<tr>
<td>3</td>
<td>Possible 41% – 60% probability</td>
<td>• Might occur in some circumstances - not surprised if it happens.</td>
<td>Once in 5 years</td>
<td>Insignificant (I) 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Low 3</td>
</tr>
<tr>
<td>2</td>
<td>Unlikely 10% – 40% probability</td>
<td>• Could occur, surprised if it happens</td>
<td>Once in 10 years</td>
<td>Insignificant (I) 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Low 2</td>
</tr>
<tr>
<td>1</td>
<td>Rare &lt; 10% probability</td>
<td>• Highly unexpected, considered a unique event</td>
<td>Once in greater than 10 years</td>
<td>Insignificant (I) 1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Low 1</td>
</tr>
</tbody>
</table>
Appendix D – Forms and Checklists associated with Certification

Appendix D1 – Connection Application Submission (online form)
Appendix D2 – Network Works Only Submission (online form)
Appendix D3 – Infrastructure Charges Notice Form
Appendix D4 – Conflict of Interest Disclosure Form
Appendix D5 – Pre-Start Meeting Notification (online form)
Appendix D6 – Pre-start Meeting Record (online form)
Appendix D7 – Construction Audit Schedule
Appendix D8 – Variation and Amendment Submission (online form)
Appendix D9 – Construction Inspection Report
Appendix D10 – Provisional Certificate of Completion (online form)
Appendix D11 – Provisional Certificate of Completion Checklist
Appendix D12 – Works Completed Certification
Appendix D13 – On Maintenance or Early Connection of Works Inspection Notification (online form)
Appendix D14 – Certificate of Completion (online form)
Appendix D15 – Certificate of Completion and On-Maintenance Checklist
Appendix D16 – On Maintenance Field Inspection Checklist
Appendix D17 – Off Maintenance Submission (online form)
Appendix D18 – Off Maintenance Inspection Notification (online form)
Appendix E – List of Non-Conformances

Appendix E1 – A&C Non-Conformance List – Connection Approval
Appendix E2 – A&C Non-Conformance List – Pre-Start Notification & Record
Appendix E3 – A&C Non-Conformance List – Network Works Submission Only
Appendix E4 – A&C Non-Conformance List – Early Works Template
Appendix E5 – A&C Non-Conformance List – Provisional Certificate of Completion
Appendix E6 – A&C Non-Conformance List - Certificate of Completion – No Network Works
Appendix E7 – A&C Non-Conformance List - Certificate of Completion – With Network Works with No Provisional Certificate of Completion
Appendix E8 – A&C Non-Conformance List - Certificate of Completion – With Network Works with Provisional Certificate of Completion
Appendix E8 – A&C Non-Conformance List – Off Maintenance Notification & Record
Appendix E9 – Performance Assessment Dispute Notice
Appendix F - Application of the Prudency and Efficiency Test

Background

As a monopoly water and sewerage service provider Unitywater has a responsibility to provide least lifecycle cost services to Unitywater’s retail customers.

Effective control (minimisation) of investment in and acquisition of new assets is critical to Unitywater achieving the objective of its corporate plan to reduce the cost to serve (i.e. reduce the value of the average water supply and sewerage bill).

To ensure that these corporate objectives are achieved Unitywater applies the Prudency and Efficiency Test to all investment decisions.

The Prudency and Efficiency Test is defined as:

A test to be applied to all investment decisions. The test is satisfied if all non-asset and asset options have been assessed to determine if investment is prudent (needed) to provide the desired standard of service. And if prudent the most efficient design has been adopted and the most efficient form of procurement has been utilised.

In summary, prudency means confirming the need to design, construct and commission an extension to the existing water supply network to provide water supply and sewerage services to the future residents and /or business owners of a new development in accordance with the standard of service prescribed in the SEQ Code. This involves assessing the growth and quantum of increase in demand and reasonableness of not providing any new assets. If investment is found to be prudent (i.e. it is reasonable to provide new assets and the demand for additional capacity in the network is confirmed) then analysis is required to identify the most efficient solution (i.e. the least lifecycle cost solution which carries an acceptable level of risk). To identify such a solution all viable options, including non-asset options (e.g. increase the capacity of the water supply network to serve additional population through a demand management program) must be identified and compared through a multi-criteria assessment including a net present value calculation of the lifecycle cost of each option.

Methodology

In the context of Unitywater’s Accreditation and Certification System it is a compulsory requirement that all assets donated to Unitywater must satisfy the Prudency and Efficiency Test.

Prudency (need for) and the efficiency of design of donated assets must be demonstrated before Unitywater will issue a certificate of completion for any new connections and accept donated assets.

Efficiency of delivery of assets does not have to be demonstrated for non-trunk infrastructure as these types of assets are donated to Unitywater at no cost and the cost of delivery is not a consideration for Unitywater.

It should be noted that efficiency of delivery is material if the developer is seeking to donate trunk assets to Unitywater and offset the value (including procurement costs) of such assets against infrastructure charges.

To demonstrate that the prudency and efficiency test has been satisfied the Registered Certifier must first confirm that any new infrastructure is prudent and if prudent, confirm that the design is
efficient. If either prudence or efficiency is not demonstrated, then the approach to serving the proposed development with water supply and/or sewerage services must be reviewed by the developer (or developer's consultants) and a new or amended connections application prepared by the developer for the consideration of the Registered Certifier.

**Prudency**

The need to provide new water supply and/or sewerage infrastructure to serve a proposed development or a subsequent stage of development will be assessed by reference to:

a. A servicing plan approved by Unitywater; or  
b. A Service Advice Notice issued by Unitywater; or  
c. Unitywater’s Spatial Information System to determine if the proposed development is within the Connections Area or Future Connections Area and if suitable infrastructure is available:  
   i. Within the boundaries of the proposed development to serve each new connection; and  
   ii. To connect the proposed development to Unitywater’s existing water supply and sewerage networks.

It will be accepted that any new non-trunk infrastructure is prudent if:

a. The infrastructure is to be provided in accordance with a servicing plan approved by Unitywater or a Service Advice Notice issued by Unitywater; or  
b. The proposed development is within Unitywater’s Connections Area or Future Connections Area and will create demand consistent with Unitywater’s Demand Forecast (i.e. demand is in the range of 0.9 to 1.1 x Unitywater’s demand forecast), albeit at an earlier or later time than predicted by Unitywater’s demand forecast; and  
c. There is no suitable existing non-trunk infrastructure within the development site to provide water and/or sewerage services; and  
d. There is existing infrastructure available to connect proposed new non-trunk infrastructure to Unitywater’s existing networks or efficient non-trunk infrastructure is proposed to provide such a connection.

If the development will impose lower demand on Unitywater’s networks than forecast by Unitywater (i.e. less than 0.9 x Unitywater’s demand forecast) the Registered Certifier must consult with Unitywater. In such instances Unitywater may want to discuss the proposed development with the relevant Council to assess options to better utilise existing trunk infrastructure and/or modify Unitywater’s Schedule of Works to avoid construction of assets with surplus capacity.

In instances where the proposed development will generate higher demands than forecast by Unitywater (i.e. greater than 1.1 x Unitywater’s demand forecast) the developer must seek a Service Advice Notice from Unitywater. See section 2 of Part B Certification of the Manual.

Similarly, if there is no existing non-trunk infrastructure available or new trunk infrastructure is required to connect proposed new non-trunk infrastructure within the development site to Unitywater’s existing networks the developer must seek a Service Advice Notice from Unitywater.
Efficiency

Planning of a new development should take an integrated planning approach to optimise the balance the layout of the development and the amenity of future residents and businesses with the efficiency of infrastructure networks.

If the design of non-trunk infrastructure is in accordance with the SEQ Code and/or a servicing plan approved by Unitywater it will be accepted that the infrastructure is efficient.

Efficient delivery of non-trunk infrastructure (i.e. contributed assets) is the responsibility of the developer. The form of procurement and delivery is at the sole discretion of the developer.

In instances where the developer proposes an alternate design to the SEQ Code, the developer must demonstrate that the alternate design is more efficient than the standard SEQ Code design. This means that connections application must be supported by a business case including a comparison of the net present value of the lifecycle costs of the SEQ Code configuration to the proposed alternate solution. If the Registered Certifier is satisfied that the business case is sufficiently robust to justify the alternate design as the more efficient design, the Registered Certifier may prepare a draft decision notice recommending approval of the alternate design. Otherwise the Registered Certifier must approve a design which conforms to the requirements of the SEQ Code.
Appendix G – Asset Information

Appendix G1 – As Constructed Design Template
Appendix G2 – Title block completion example – for drawings
Appendix G3 – SEQ Code Appendix B – Checklist of project deliverables