

## **National Electricity Registration Scheme (NERS) – Frequently Asked Questions – (FAQ's) & How to Prepare for Your NERS Assessment**

### **Frequently Asked Questions – (FAQ's)**

#### **What is the National Electricity Registration Scheme?**

The National Electricity Registration Scheme (NERS) has been developed to allow contractors to carry out contestable connection work. Any contractor wishing to carry out this work must be accredited under this scheme. All the Distribution Network Operators (DNO's) on mainland UK recognise this scheme and, provided that contractors hold the appropriate scope of accreditation, will allow that contractor to tender for, and if successful, undertake contestable connection work. Once the work has been completed the host DNO will adopt the connection for the remainder of its lifetime.

#### **What is contestable connection work?**

Following the privatisation of the electricity industry in the early 1990's, the industry regulator, OFGEM, stated that all new connection work would become contestable. Up until this point a customer requiring a new supply had to apply to the host electricity company (now known as DNO's). Now customers can contract this work to any of the accredited contractors who are known as Utility Connection Providers (UCP's). The connection can be a single 230V supply to a house, multiple connections to a housing or commercial development through to a 132kV connection to a large industrial complex or windfarm.

#### **Who is Lloyds Register EMEA?**

Lloyds Register EMEA is a world-wide accreditation and inspection body that has been appointed as Scheme Operator of NERS. The controlling body of NERS is the NERSAP, the NERS Advisory Panel, which is made up of representatives from DNO's, UCP's, Ofgem and LR. NERSAP meets regularly and agrees the requirements of the scheme. Minutes of these meetings can be found on the NERS website at [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk)

#### **Who needs accreditation?**

All contractors/UCPs who wish to undertake any part of the contestable connections process including Project Management, Design and Construction.

## What categories of accreditation are available?

There are 5 main categories:

- Project Management – for UCPs who do not have any construction site staff but wish to negotiate contracts with clients for connection work and be a party to the adoption agreement with the host DNO. The Project Manager would then sub-contract the construction aspects of the connection work to an appropriately accredited UCP.
- Control and Management – for UCPs who are registered under NERS for certain scopes of work and who wish to tender for contracts which incorporate scopes of work, for which they do not have the necessary registrations to perform themselves and which they intend to subcontract to appropriately registered UCPs. Under such circumstances the principal UCP is required to demonstrate that he had the competency to supervise the subcontracted work, accreditation under NERS for Control and Management is evidence of such competence.
- Design – for contractors wishing to undertake the design element of the connection. All designs have to be submitted to the host DNO for approval, and generally DNO's will only accept designs from NERS accredited companies.
- Construction – for those UCPs who wish to perform the construction aspect of the connection.
- 2<sup>nd</sup> Tier Civils – for civils contractors who do not wish to tender directly for contestable work and who perform a 'civils' supporting role for registered UCP's who are responsible for supervising the 2nd tier contractor. This is a category of registration with clearly defined bounds of responsibility and work scope and consequently the costs of registration are significantly reduced relative to that of standard NERS registration.

## What scopes of work are available?

For construction UCP's then there are a number of scopes available:

- Civils – excavation and backfilling to tile/tape level
- Jointing
- Overhead Line construction
- Substation construction

UCP's can request any of the above scopes to the voltage required from LV to 132kV. The UCP must, however, be able to demonstrate competence of personnel up to the requested voltage level.

### **What is the cost of accreditation?**

This will vary widely dependant on the category and scope of accreditation requested and the size of the company. In general terms it can be as low as £5k for those UCP's requesting just Design or Project Management up to £15k plus for those construction UCP's requesting all scopes up to 132kV.

Quotation are based on the assumption that, when the assessment is done, the UCP will have all the necessary processes and procedures in place. If the Assessor finds that this is not the case and has to make additional visits then the UCP will be invoiced for the additional costs. Therefore it is important that UCPs are ready when they arrange the assessment.

### **How long does the accreditation take?**

This will vary widely dependant on the category and scope(s) requested, the time the Assessor will spend with a UCP could be anything between 2 and 15 days plus. If everything is in place then a report will be produced within 2 weeks of the visit. If there are deficiencies which need to be addressed then this will prolong the assessment process. In general for a medium size company the whole process from application to approval can take up to 3 months.

### **How do you apply for accreditation?**

If you visit the Lloyds Register EMEA website at [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk) you will find an application form which can be downloaded and emailed to the Utilities Team at [utilities@lr.org](mailto:utilities@lr.org). Any other queries should be directed to 02476 518626.

### **Are there any guidance notes available?**

Yes there are guidance notes available for the Scheme, the Safety Management System and Control and Management of National Operations. These can be found on the NERS website which can be accessed from [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk).

### **What happens after I have agreed the quotation?**

Once you have accepted the quote and returned the signed Request for Services Form, an assessor will be nominated for your company. The assessor will contact you and agree the dates for the assessment. Please note, that no payment is required at this stage unless, after a financial check, your credit limit is below the quoted amount

### **Does Lloyds Register EMEA provide any consultation services to assist in compiling the NERS procedures?**

No, as LR is the Accreditation Body they are unable to offer any consultation. They can, however, carry out a gap analysis, either as a desk top review or by an office visit prior to the main assessment in order to carry out gap analysis of your procedures to check if you have any omissions etc. The Scheme Co-ordinator Team Leader will be able to provide you with a quote for this service.

## What will the LR Assessor be looking at during the assessment?

The Assessor will send you an agenda prior to the visit. This will be in the form of a tabled breakdown "How to prepare for NERS Assessment" - see Appendix 1 of this document

## What is the Safety Management System (SMS) ?

The Safety Management System (SMS) is a specified requirement of NERS. It is, essentially, a procedure, produced by the UCP, that should be relevant to the scopes the UCP operates seeks to operate. It should document;-

1. how the UCP operates a "safe system of work" (in relation the requirements of the SMS), and
2. how the UCP assesses the competence of persons who are to undertake contestable connection work on their behalf. How they are chosen, who carries out that assessment, who gives it authority, and how that competency, once assessed, is monitored etc.

The SMS has been introduced to ensure that all operatives undertaking the work are competent to carry out their duties. The competency process shall be clear and precise and include the issue of a certificate of competence. In the case of non skilled and civil operatives, the UCP has the option to only document competencies in the form of the passport.

The UCP must appoint Authorising and Assessing Officers to undertake these competency assessments.

A guidance note for the SMS is available on the LR website which can be accessed from [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk)

## What is a Certificate of Competence?

It is an additional requirement to the passport

It is a formal UCP recognisable dated certificate with a 3 year certification period that should state that an individual has been assessed as competent to perform specific work activities. That assessment and statement shall be confirmed by the signature of the UCP Assessing and Authorising Officers. This certificate shall be issued to persons whose work includes undertaking, assisting in or supervising specific tasks associated with the installation of electrical plant/equipment

Each certificate should state exactly what the individual is competent to do (*e.g. LV jointing; 11kv Jointing*). It should be relevant to the UCP's accredited scopes and should cater for acceptance by signature from the person receiving it.

Full details on the certificate of competence, including an example certificate can be found in Section 3.7 and appendix 1, respectively, of SMS Guidance

## What is the passport and what is the purpose of the passport system?

The passport is a document, initially, issued to an individual by a UCP. The document shall authenticate the individual's identity and, within it, the UCP is required to record and document that individual's:-

- induction(s).
- general training and competencies,
- competency review(s)
- audit(s) and employment histories

Passports are required as the means by which the UCP can demonstrate that their field force are competent to perform the role that they may be required to undertake at anytime on site. The passports are required to be updated and reviewed annually by the UCP's nominated Assessing Officer and represent the output of the Safety Management System. The operatives required to hold passports are :

- Cable Laying Operatives,
- Craftspersons (Electrical Fitters, Linespersons, Cable Jointers etc) – Additionally craftspersons are required to have been subject to SMS Competency procedures and be issued with an assessment of competence certificate signed by the UCP Assessing and Authorising officer
- Civils Operatives

Passports are not required for:

- Lorry Drivers, Grab Drivers etc, unless they are required to work in the area of Electrical Equipment. (e.g. erecting poles in live lines)
- Project Managers, designers or Electrical Engineers etc.-

For full details about the passport, what it should contain and who should sanction entries - refer to Section 13 of NERS Requirements Document

## Who makes the appointments referred to in the scheme documents i.e. Assessing and Authorising Officer(s), Qualified Supervisors(s)?

Appointments should be made by a Senior Member of Management who has direct responsibility for the operations conducted by the UCP within the scopes of the scheme. That person may not necessarily have any technical expertise or qualification relative to the scopes operated but should have, with access to technical guidance, full understanding of the scheme requirements.

## What if I employ an operative who already holds a NERS passport issued by another accredited UCP?

Dependant on the scope coverage and physical condition of the already held passport and whether it meets the criteria as set out in the NERS Requirements document Section13 it is not necessary to issue another passport. However it is necessary for the UCP Assessing Officer to update, renew, refresh and review information within the passport, throughout that person's employment with the UCP

## What work should I record to support the ongoing competency and passport process?

It is only necessary to record, periodically, the work performed by Electrical Craftsperson's (Fitters, Linesmen, Jointers etc), in order to keep their various electrical competencies valid. This requirement does not apply to Cable Laying Staff, Civil Trade Building Staff or Project Managers and Electrical Engineers. It also does not apply to non-electrical competencies that are covered by other bodies eg CITB Plant Operator competencies.

## What is the Energy Utility Skills Register (EUSR) and its function in relation to the Passport?

The EUSR is a register of assessed skills held on a web site accessible database. Up to date registration is viewed as an alternative to the NERS Passport –however it is currently **not available** for use for NERS competency registrations.

## Are Qualified Supervisors as defined in the NERS Requirements document, required to supervise all activities performed within the scopes of registration?

Qualified Supervisors are only required to have responsibility for those Electrical Craftsperson's (Fitters, Linesmen, Jointers etc) and Cable Layers etc, and are not required for the supervision of Electrical Engineers and Project Managers.

## What happens if the LR Assessor finds things wrong during the assessment?

Assessors will work with you in that they will tell you, as the assessment progresses, where they think the requirements of NERS are not being met. They will discuss the issues with you and agree the actions that need to be taken to address the deficiency. There are 2 types of deficiency:

**Major** – this is when you do not have a procedure in place that is a requirement of NERS. You will not be able to gain accreditation until you have addressed this type of deficiency.

**Minor** – this is when you have a procedure in place but it doesn't quite meet the NERS requirements or you are not adhering to it. Provided that you only have limited number of minor deficiencies you will still be able to gain accreditation. Close out of these deficiencies will be confirmed by your Assessor at surveillance visits.

## What happens after I have gained accreditation?

Your company's name and scope of registration will be entered onto the NERS website. This means that any prospective clients can use the website to find suitable UCPs to carry out connections works. You will also receive a NERS Certificate listing your scope of approval and you will be entitled to use the NERS logo on your letterheads etc.

### **How long does accreditation last for?**

Accreditation lasts for 3 years subject to successful surveillance audits by your LR Assessor. The number of surveillance visits you will receive is dependent on the number of staff undertaking connection work and your scope(s) of works. Most UCP's have 4/5 surveillance visits a year, although a small company just undertaking a limited scope, such as design, may only have one.

### **The work I undertake in some of my higher voltage scopes is infrequent and as such, may not be readily available to be seen when a surveillance visit is due. Will this affect my ongoing accreditation?**

The accreditation body recognises that the opportunity to do higher voltage work does not occur regularly. So for the higher voltage scopes (typically 132Kv) you should discuss the situation with your assessor and notify them whenever this type of work is being planned. Your assessor can then review your ongoing preparedness to undertake such work and if you maintain the required systems and procedures and have a good record of undertaking compliant work in other scopes they may maintain your level of accreditation. However failure to regularly demonstrate a scope may result in full accreditation being reduced to partial.

### **What happens if I fail to comply with scheme terms of registration once accredited?**

If, during a surveillance visit, the Assessor notes a deficiency he will discuss this with you. If it is a major deficiency, i.e. breaking the scheme rules such as using a non-accredited subcontractor or working outside your scope, then you will have 1 month to take appropriate corrective actions. If you fail to take action then your accreditation will be suspended and you will not be able to carry out any more contestable connection work until you have successfully closed out the deficiency. If it is a minor deficiency then you will have until the next surveillance visit to take corrective action and this will be verified by your assessor at that time. If, at the next surveillance visit, you have not taken the required action then you will be issued with a Major Deficiency.

### **Can I use subcontractors to carry out the works?**

Yes provided that the subcontractor is accredited under NERS for the scope of work you want them to undertake. If you do not already have accreditation for this scope of work for your own staff, you will need to apply for Control and Management of that scope. This means that you must have competence to supervise the work undertaken by the subcontractor.

### **What recourse to appeal do I have if I do not accept a judgement of the scheme operator?**

If you do not agree with any of the findings that your assessor has highlighted to you then you can appeal against the decision. The full appeals process is shown in the scheme guidance document.

## How do I prepare for NERS assessment?

Firstly it is important that you familiarise yourself with the NERS Requirements and the SMS Guidance Documents

You may find that the following tabled breakdown is of assistance whilst either producing new systems and procedures or seeing whether existing systems/procedures meet the scheme requirements. This breakdown includes the relevant references in the NERS Requirements Document and the SMS Guidance that can be accessed on the LR website [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk). Some UCPs have also found it of assistance to use the services of a consultant technical advisor to help them develop NERS compliant systems and procedures.

Whilst the tabled breakdown may not cover every aspect that NERS requires it should point you in the right direction.

## "HOW TO PREPARE FOR YOUR NERS ASSESSMENT!".

These notes are for the guidance of Utility Connections Providers (UCPs) who are unfamiliar with the NERS assessment process. Whilst they provide a summary of what is involved in the assessment process they do not replace the scheme requirements document.

The accreditation and scopes requested require UCP's to have certain specific procedures. The **NERS Requirements** and **Safety Management System Guidance** Documents give details about the scheme and what is required to attain accreditation.

If the UCP being assessed has and can show evidence of the required systems and procedures, and they are found to be satisfactory at the initial (Partial Stage) visit, then Partial Accreditation in the scopes requested may be granted. Successful demonstration of these systems and procedures in operation, coupled with a successful demonstration of the physical and technical aspects of the particular scope(s) requested, should then lead to Full Accreditation in the scope(s) demonstrated.

***[The assessment coverage at the Full evaluation stage is shaded in grey below]***

When preparing for a NERS assessment please remember that whilst a lot of activities done by companies when installing new electrical infrastructure may be satisfactorily organised and usually meet industry standards NERS requires added safeguards which ensure such activities always meet industry good practice. This is done through specific scheme requirements which need to be in place.

Hence how activities are planned, carried out and in some cases recorded needs to be supported by relevant procedures and work must be done in accordance with those procedures.

***– so how you say it is how you should do it!***

### 2. UCP RESPONSIBILITIES

The evaluation will seek to see if the UCP being assessed understands their responsibilities for working in ways which comply with the requirements of the scheme. Guidance on this requirement is in **NERS Requirements 2.1**.

### 3. SCOPE SPECIFIC REQUIREMENTS-

Evaluation here is dependant on which scopes the UCP has applied for

#### DESIGN SCOPE SPECIFIC REQUIREMENTS - AT PARTIAL STAGE

(Refer to 3.1 and 4.2.1 of NERS Requirements )

The UCP being assessed should be able to demonstrate that an appropriate design organisation is established with designer role profiles that satisfy scope competency requirements. They should have a **documented design procedure** which utilises appropriate design tools and:-

- That specifies design practices from receiving information from the client to handover of construction pack to the constructor.
- That is compliant with legislation, industry and adopting utility specifications
- Includes within it the control of design documents, data and other information (**also see section 8 of NERS Requirements**).

A **Competency assessment procedure** should be in place that includes a Competency matrix defining the minimum competencies for each grade of technical staff and the actual competencies of the named staff within each grade.

#### **AT FULL STAGE- the assessor will check that the following is in place and is being adhered to;**

- Required design organisation is in place
- Design work undertaken to procedure and specifies work to the requirements of the adopting utility
- All necessary approvals, planning and consents are obtained
- Output of design process is a plan and has the relevant accompanying documentation that fully specifies the work to be constructed
- Design work is being carried out relevant to actual designer competence and a current Competency matrix is available
- Designs are reviewed as required by design procedure
- Designs are documented and records kept (which include both inputs and outputs of the design process).

**PROJECT MANAGEMENT SCOPE REQUIREMENTS - PARTIAL STAGE**

**(Refer to 3.2 and 4.2.2. NERS Requirements )**

UCP's being assessed against this scope, or the control and management of it, should be able to demonstrate that an appropriate project management organisation is in place that ;-

- details roles and responsibilities,
- establishes interfaces and reporting lines and
- has role profiles that satisfy scope competency requirements.

They shall have a **procedure** in place that specifies the project management role, including the assigning of responsibilities throughout the project life cycle. The procedure should contain provision:-

1. That covers all aspects of the construction work undertaken and ensures that all projects are evaluated by competent personnel ensuring that all adopting utility specifications, requirements etc are met.
2. For the appointment of a Technical Advisor to oversee the projects and role competencies.
3. For completion and handover to the adopting utility and for carrying out technical audit.
4. For the appointment of Qualified supervisors to oversee the work, including a process on assessing the competence of those supervisors and on keeping records of those assessments
5. That ensures that method statements of the contractors they employ deliver work to the scheme requirements.
6. That ensures appropriate project planning controls are in place ensuring that CDM requirements are met, risk assessments and method statements produced, and resource requirements are met.
7. For referencing intended contractors to be used i.e. contractor with the required level of scheme of accreditation.

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Required project management organisation is in place
- Procedure for project managing work being followed & responsibilities assigned throughout project life cycle.
- Adopting utility requirements have been identified and being acted upon
- Project(s) evaluated and planned in accordance with procedures
- Appropriate site management arrangements are in place
- Work is relevant to and takes account of Project Managers competence
- Appointed contractor vetted and their working methods approved
- There is a clear line between project manager and contractor responsibilities and audit checks done on any aspect of project manager responsibility is delegated to constructor

**CONSTRUCTION SCOPE REQUIREMENTS-PARTIAL STAGE**

**(Refer to 3.3 and 4.2.3 NERS Requirements)**

UCP being assessed should be able to demonstrate it has the appropriate construction organisation is in place that details roles and responsibilities, and that interfaces, reporting lines etc.

Role profiles should satisfy scope competency requirements as relevantly detailed in **4.2 of NERS Requirements** and the **General Competency requirements in 4.1**

**Procedures** should be in place:-

- For managing work that assigns responsibilities throughout the construction life cycle and which cover all aspects of the construction work to be undertaken.
- Covering project completion and handover to adopting utility.
- That ensure all projects are evaluated by competent personnel to ensure that all adopting utility specifications, requirements etc are met.
- That ensure technical audits are carried out as detailed section **7.1 of NERS Guidance**

**Method statements** (as detailed in **6.2.1 of the NERS Requirements**) should be produced. Also reference **2.2 of SMS Guidance**

**THE EVALUATION WILL ALSO INCLUDE QUESTIONS RELATING TO THE PARTICULAR CONSTRUCTION SCOPES APPLIED FOR**

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Appropriate construction organisation is in place for work being done
- Staff are able to demonstrate that they hold required qualifications relevant certificates and competency records (Passports) for work being done
- Work instruction, relevant method statement and risk assessments available on site
- Adopting utility requirements have been identified and being acted upon
- Work is being done in accordance with instructions and to adopting utility requirements, as detailed in section 6

**4. GENERAL& ROLE COMPETENCY REQUIREMENTS and SMS (Safety Management System)-PARTIAL STAGE (Refer to 4.1 General Competency Requirements + the relevant sections of 4.2 NERS Requirements)**

Relevant to the scopes sought by the UCP being assessed

- should be able to demonstrate that it has defined the competencies for all the roles identified in the scheme requirements
- should have a competency assessment procedure in place that ensures the minimum competency requirement are satisfied before work is done. It should demonstrate the technical competency to define and assess role competencies with, if necessary technical advisor support.
- should be able to demonstrate that it has in place a system of recording competencies with that record being readily available on site – Guidance on this issue can be found in **section 13 of NERS Requirements Guidance - Passport and Ongoing competency Records**. The system should include, and take account of, all elements described in that section and in all the relevant sections of **SMS Guidance**.
- should have *indications* of assessing/authorising officer and qualified supervisor appointments subject to scheme scopes sought

The UCP being assessed should be able to demonstrate a written **Safety Management System** that is relevant to **NERS Requirements**. Account should also be taken when preparing this to **SMS Guidance** and to **sections 4** through to **4.2.10 of the NERS Requirements**

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Competency assessment of **all** staff done with reference to Competency records and SMS requirements
- Training programme and interim arrangements in place to cover any role where competency deficiencies identified
- A Process in place that ensures the refreshing of time limited qualifications
- Annual competency appraisals/reviews arrangements are in place
- Where required a technical advisor with the required level of competency is in place and is actively supporting the delivery process
- Personnel engaged in the following activities (as relevant ) satisfy scope specific competency requirements
  - o design
  - o project management
  - o construction
- assessing/authorising officer and qualified supervisor roles and current and valid

**5. SUB CONTRACTED WORK-PARTIAL STAGE**

**(Refer to Section 5 of NERS Requirements + Section4 of SMS Guidance)**

The UCP being assessed should be able to demonstrate an understanding of sub-contracting requirements and that proposals for sub-contracting work are in accordance with the scheme requirements

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Any 'labour only' subcontractors (on all scopes of work) have been assessed in accordance with the UCP competence regime.
- Any work done by ground workers is to specification

**6. WORK ISSUE AND CONTROL- PARTIAL STAGE**  
**(Refer to Section 6 NERS Requirements)**

The UCP being assessed should be able to demonstrate:-

1. **Processes/ procedures**, for managing work from inception through to adoption that :--
  - are relevant to the scopes sought
  - include the provision for adequate site supervision arrangements and
  - are appropriate for the range and location of work being undertaken.
2. That they know how to access adopting utility requirements and have up to date information available, with wider coverage being relevant for National Operations. Also **Ref 3.5 of NERS Requirements Guidance**

The UCP being assessed should have procedures in place:-

- for the issue of documented work instructions & for scheduling work
- for defining how variations are managed.
- that covers the formal handover of assets to adopting utility
- for assessing risk which covers all relevant operations
- that shows that they have identified equipment requirements including determining how these will be provided and how they will, if necessary be examined and calibrated including keeping them calibrated and inspected with results/records
- that ensures all materials goods and services are procured from approved suppliers to specification of adopting utility and that adequate arrangements made for receiving, handling and storing goods. - **also relevant to National Operations**

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

The items checked at Full stage will be relevant to the scopes undertaken

- Work undertaken has been managed in accordance with established work control & management procedures
- Notice and communication arrangements meet the requirements of the adopting utility.
- Work instructions clearly describe full extent of the work to be carried out including layout and necessary, specification.
- UCP has adequate resources for the work being done and schedules the work in accordance with a defined process
- Site supervision arrangements are adequate
- Operatives are clear about what constitutes a variation and any variations have been managed in accordance with stated procedure
- Method statements fully detailing the work being done and it is being done to specification and as directed by those method statements
- Work completion and adoption of assets is being done in accordance with procedure and to adopting utility requirements
- Generic and /or project specific and site specific risk assessments have been completed and communicated to all staff
- Sufficient equipment is available for the work being done and is maintained and kept in calibration
- Materials goods and services have been procured in accordance with procedures
- Goods receipt processes ensure receive goods comply with purchase requisition and specification

### 7. AUDIT-PARTIAL STAGE

**(Refer to Section 7 of NERS Requirements + Section 5 of SMS Guidance)**

The UCP being assessed should have **procedures** in place that:-

- specifies frequency, content and close-out arrangements for technical audits and
- requires audits to be done by a competent person
- ensures that all work activities are covered by health, safety, quality and environmental audits and specifies the competencies of persons carrying out such audits

Note: UCP's should look to establish a risk management process which evaluates on going risk to their accreditation status. Subcontracted aspects of their accredited scopes of work should be incorporated into this process

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Technical audits undertaken by a competent person and in accordance with procedure
- Technical and HSQE audits done reviewed and close-out actions adequate
- Identification of risks affecting compliance reviewed and up to date.

### 8. CONTRACT DOCUMENT AND RECORD CONTROL-PARTIAL STAGE

**(Refer to Section 8 of NERS Requirements + Section 2.1 of SMS Guidance)**

The UCP being assessed should be able to demonstrate that a **procedure** is in place for:-

- controlling all documents, data and information
- ensuring records are identified, maintained and disposed of
- 

**AT FULL STAGE - the assessor will check that the following is in place and is being adhered to;**

- Records and documents in use are controlled
- Adequate records of the work being done are kept

### 9. TECHNICAL STANDARDS-PARTIAL STAGE

**(Refer to Section 9 of NERS Requirements)**

The UCP being assessed should be able to demonstrate access to appropriate technical standards and guidance documents + other relevant documents e.g. NJUG publications etc. – Also relevant to National Operations. *Also see 6 of this guidance*

**AT FULL STAGE THE assessor will check the following;**

- That appropriate technical standards are available to those responsible for specifying and directing the work and where needed standards have been accessed and used

### 10. QUALITY AND SAFETY SYSTEMS

**(Refer to Section 10 of NERS Requirements)**

The UCP being assessed UCP should have: \_

- Quality management system in place that is relevant to the scopes and related activities sought
- Health, Safety & Environmental provision in place, regularly reviewed with HSE guidance available
- Scheme specific environmental factors adequately covered in working practices.
- Procedures in place and/or established for
  - o compliance with CDM regulations, including operating on sites managed by others.
  - o providing safety briefings to personnel
  - o investigating and reporting accidents and incidents
  - o compliance with COSHH regulations.
  - o the identification, provision, control and use of PPE

**AT FULL STAGE the assessor will check the following;**

- Customer complaints have been investigated and followed through
- Working methods accord with any quality management and HSQE systems
- Work done has complied with CDM requirements
- Safety briefings have been held with proof record available
- Any accidents and incidents have been investigated and reported
- COSHH regulations are complied with
- PPE and other safety equipment has been provided and is being used

**11. HUMAN RESOURCE SYSTEMS PARTIAL STAGE  
(Refer to Section 11 of NERS Requirements)**

The UCP being assessed should have

- In place Human Resources procedures relevant to scheme requirements
- Job descriptions prepared for all scheme specific roles

**AT FULL STAGE THE assessor will check the following;**

- Recruitment has been done in accordance with procedure with records kept of the interview/selection process for new starters
- Job descriptions available and issued to role holders for relevant scheme specific roles
- Any scheme specific role requirements adequately managed through HR procedures.

**12. TRAINING PARTIAL STAGE**

**(Refer to Section 12 of NERS Requirements + Section 3 of SMS Guidance)**

The UCP being assessed should have

- A training policy in place for 'competitive' activities
- Provision to record training records – **which take account of requirement as ref in 13 of NERS Requirements**

Induction arrangements in place for new starters and any personnel starting 'competitive' work for the first time

**AT FULL STAGE THE assessor will check the following;**

- Training records held for all staff encountered in the appraisal including record of competency available on site i.e. Passport
- Proof of Inductions held for new starters and any personnel starting 'competitive' work for the first time

**CONTROL AND MANAGEMENT OF NATIONAL OPERATIONS**

**A Specific Guidance document is available to help prepare and maintain this part of scope.** It can be accessed from [www.lloydsregister.co.uk](http://www.lloydsregister.co.uk)

The UCP being assessed UCP should be able to demonstrate

- An adequate Mobilisation Procedure
- Access to Technical specifications –G81and adopting DNO Technical Specification appendices – Also see 6 of this guidance
- Safety and Quality Assurance relevant to National operations
- An adoption Process