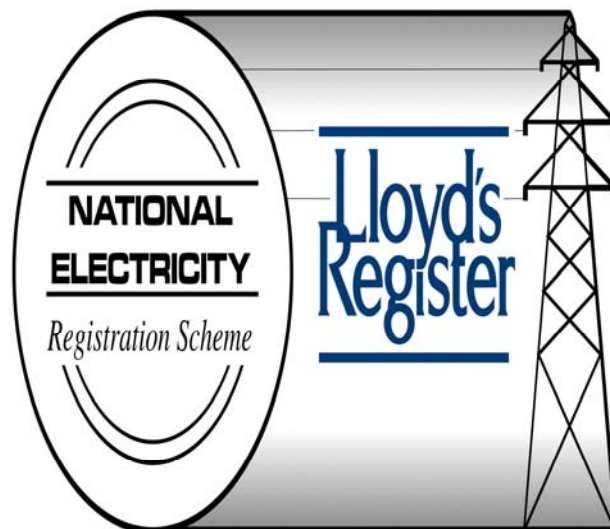


National Electricity Registration Scheme (NERS) Requirements Document

Rev 0.6 February 2008



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1. Introduction and Purpose

The purpose of this document is to provide details for Utility Connection Providers (UCPs) of the requirements they need to meet for accreditation under the National Electricity Registration Scheme (NERS).

The document details the assessment criteria against which UCPs will be measured in respect of key safety, quality, environmental, competency and technical issues covering the various scoped of registration established by the Scheme Advisory Panel. The registration scopes are detailed in Section 3.

The aim of the NERS scheme is to facilitate competition in the provision of new infrastructure connections in the electricity utility sector. The Registration scheme assessment process seeks appropriate evidence that UCPs wishing to perform the activities for which they seek accreditation understand and comply with all the necessary technical and legislative requirements to satisfy the electricity distribution industry criteria for adoption of the installed assets. UCP compliance is demonstrated by means of a thorough assessment of UCPs' systems and procedures prior to work commencing and a technical audit of work in progress.

An essential feature of the accreditation process is to provide assurance that the practices and procedures against which accreditation is awarded are consistently applied and maintained. Hence work being carried out and supporting procedures are regularly checked throughout the accreditation period.

In addition to specifying the technical requirements this document outlines (in Appendix 1) the process for accrediting UCPs under the scheme and details what needs to be done to maintain accreditation.

In NERS there is a 2nd tier scheme specifically for civils contractors who are supervised by NERS accredited UCPs awarded the contestable work. This scheme has limited bounds of responsibility and scopes of work which are detailed in Appendix 2.

1.1 Definitions – Explanation of Terminology

Accreditation – see Appendix 1 for details of the accreditation process and the arrangements covering the granting of 'Partial' and 'Full' accreditation.

Accreditation Body – an organisation which undertakes the assessment of the competence of UCPs in accordance with the Scheme and has been approved for doing so by the Scheme Advisory Panel

Accreditation Certificate – a certificate awarded to the UCP by the Accreditation Body for a scope(s) of work assessed under the Scheme.

Accreditation Period – 'Partial' accreditation validity is for a term of 1 year and 'Full' accreditation validity is for a term of 3 years.

Accredited Utility Connection Provider – any organisation which has been assessed as competent in accordance with the scheme and has been issued with a valid and current Accreditation Certificate.

Adopting Utility – the Company who will be adopting the constructed asset. For the purposes of the scheme a DNO or IDNO.

Assessing Officer – A person appointed by the UCP to assess the competency of individuals nominated for appointment as competent persons and for recommending them for authorisation by the Authorising Officer

Assessment – objective and detailed evaluation of the UCP to determine their capability in accordance with the Scheme criteria.

Authorising Officer – The person appointed by the UCP as responsible for formally assigning authorisations and competencies, based upon the recommendations of the Assessing Officer.

Competent Person – a person certified, by the Assessing Officer and Authorising Officer as having the necessary technical knowledge, skill and experience to undertake assigned work and avoid danger within the scope of work.

Competency – is a combination of qualifications, training, knowledge, experience, aptitude and fitness for the job.

Deficiency – the identified absence of or a failure to implement or maintain one or more of the specified criteria. These may be characterised as major, minor or observations as defined within Section 1.3.

Qualified Supervisor – a competent person with specific responsibility on a day to day basis for the safety and quality of work carried out on site under the scheme.

Safety Management System – a management system which ensures that all aspects of the Health and Safety at Work Act 1974, the Electricity at Work Regulations 1989 and all other appropriate regulations relating to the work covered under the Scheme are complied with.

A guidance note on the requirements of a Safety Management System is available at www.lloydsregister.co.uk/ners.html

Second Tier Registration Scheme – a scope for civils contractors who are supervised by NERS accredited UCPs and limit their work to cable laying, excavation and backfill. This scheme has limited bounds of responsibility and scopes of work which are detailed in Appendix 2

Scheme – The general requirements of NERS as defined in this document

Scheme Advisory Panel – Governing Body for the scheme. Known as NERSAP (or NERS Advisory Panel).

Utility Connection Provider (UCP) – a company meeting the requirements for accreditation and who has been assessed as competent in accordance with the scheme requirements.

1.2 Mandatory/Non Mandatory Terms

In this document the following terms have the stated meanings.

Shall: Indicates a mandatory requirement

Should: Indicates a strong preference and is used to denote best practice or where a new requirement is being introduced.

May: Indicates an option which is not mandatory

1.3 Definitions of Major and Minor Deficiencies

Major Deficiencies occur where there is:-

- objective evidence which demonstrates that an element from the scheme requirements has not been documented or implemented or maintained.
- significant safety implications
- multiple minor deficiencies in a specific category
- significant numbers of minor deficiencies
- action not taken to close previously identified minor deficiencies
- failures in meeting requirements for keeping the adopting utility informed about works programme
- incomplete documentation for the certification/completion file and late delivery of these files
- contestable works performed which are outside the UCP's registered scope
- non compliant use of persons on contestable work

Minor Deficiencies occur where there is:-

- objective evidence that there is a weak element within the management system, procedure, registration or control for the effective implementation and maintenance of the scheme requirements.
- isolated cases of non conformance to procedures
- isolated instances of failure to comply with Health & Safety procedures
- isolated instances of failure to comply with good safety/working practice
- limited shortfalls in established documented management and H&S systems
- failure in observing customer care protocols

Observations are made where:-

- the accreditation body identifies potential improvements for the UCP
- an indicator of a potential weakness is identified which the accreditation body may wish to examine at their next assessment visit

1.4 Abbreviations

- CDM - Construction, Design and Management Regulations
- DNO - Distribution Network Operator. The licenced company responsible for the electrical distribution network in a franchised area designated under the Electricity Act.
- EUS - Energy and Utility Skills
- HSE - Health and Safety Executive
- IDNO - Independent Distribution Network Operator. The licenced company responsible for an electrical distribution network embedded within one the franchise areas designated under the Electricity Act.
- LR - Lloyd's Register EMEA
- NERS - National Electricity Registration Scheme
- NERSAP - National Electricity Registration Scheme Advisory Panel
- NVQ - National Vocational Qualification
- OFGEM - Office of Gas & Electricity Markets
- PPE - Personal Protective Equipment
- UCP - Utility Connections Provider (formerly known as ICP)

2. Responsibilities

Accreditation is a demonstration that the systems, procedures and competencies have been established by a UCP to ensure consistent delivery of the accredited scopes of work to the NERS scheme requirements in accordance with industry good practice and the adopting utility requirements.

An essential feature of the approval process is the assurance that procedures and practices against which approval has been awarded is consistently applied and maintained by the UCP. This is verified through an ongoing surveillance audit programme which checks, over the period of accreditation, work carried out and supporting procedures.

2.1 Utility Connection Provider Responsibilities

UCPs shall:

2. maintain an effective management structure to consistently deliver accredited scopes of work to the scheme requirements.
3. clearly define the scope of the services they provide.
4. be pro-active in monitoring the quality of their work without reliance on the Accreditation Body or the Adopting Utility.
5. arrange with the Accreditation Body for visits to be done in accordance with the agreed surveillance programme.
6. ensure deficiencies identified by the accreditation body are closed out within agreed time scales.
7. notify the Accreditation Body of the following:
 - changes to key personnel
 - changes to ownership
 - HSE notices issued on them
 - award of the first contract for a scope of work for which partial accreditation is currently held

2.2 Risk Management

UCPs should 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.

2.3 Accreditation Body Responsibilities

In operating the scheme the Accreditation Body shall:-

1. conduct evaluations against the scheme requirements in a technically competent and objective manner
2. adopt a pragmatic but consistent approach to the maintenance of scheme standards
3. plan audits visits which, over time, cover the scope of accreditation
4. endeavour to respect UCP business constraints
5. maintain minimum assessor competency requirements as defined by the Scheme Advisory Panel
6. ensure any information determined in respect of the UCPs commercial business interests is treated in confidence and not passed to any third party except to meet the direct requirements of the operation of the scheme
7. to raise the awareness of adopting utility companies of imminent changes in status of accredited UCPs

3. Scopes

Accreditation can be gained in any of the scopes detailed in this section.

UCPs shall ensure that in performing work for which accreditation has been granted they strictly adhered to the competency requirements detailed in Section 4.

Note: UCPs who hold accreditation in any of the construction categories do not also require to hold project management but where such UCPs also operate as a project manager they shall adhere to the requirements specified for the project management scope.

3.1 Design

The design of electrical networks in the following categories:

- LV cable networks to domestic properties
- LV cable networks to industrial/commercial properties
- HV overhead networks at all voltages up to 132kV
- HV cable networks at all voltages up to 132kV
- substation layouts at all voltages up to 132kV

UCPs undertaking design shall demonstrate fully implemented procedures and systems which incorporate the requirements of all relevant Health & Safety Legislation, Electricity Association Technical Standards, IET Regulations (BS7671) and Adopting Utility Policies, Procedures and Codes of Practice.

3.2 Project Management

This accreditation scope applies to UCPs who do not themselves carry out construction activities but who manage this work by subcontracting such activities to Accredited UCPs.

For the project management scope category UCPs are required to have processes, procedures and technical competencies in place to effectively manage the subcontract relationship and the quality of the work performed. Also to ensure effective channels of communication, change controls and interfaces are maintained within the contractual chain involving, as applicable; clients, developers, designers, constructors and adopting utility companies. The processes and procedures shall define responsibilities for the listed aspects throughout the project life cycle.

3.3 Construction

Performance of the following activities relating to Electrical Service Connections:

- Cable Laying at all voltages up to 132kV
- Cable Jointing at all voltages up to 132kV
- Overhead lines - wood pole at all voltages up to 132kV
- Overhead lines – steel tower at all voltages up to 132kV
- Substation Installation (Distribution up to 11kV)
- Substation Installation (Primary /grid up to 132kV)
- Un-metered connections
- Associated civil engineering works including excavation and backfilling up to tile tape level

Notes:

Within the above categories scopes will be awarded in defined voltage ratings (e.g. 11kV or 33kV or 132kV) each representing a separate accreditation category.

Similarly work which does not fit comfortably into one of the above scopes will be allocated to an appropriate scope at the discretion of the accreditation body.

3.3.1 Un-metered Connections

This scope is applicable to connection work on services to underground cable, un-metered, single phase 230 volt points of supply with loads of 25 amps or less. Specifically:-

- The transfer, permanent or temporary disconnection, reconnection, or extension, of a service to such a point of supply.
- The installation of a new service to such a point of supply, excluding the joint onto an existing main.
- Associated civil engineering works including excavation, cable laying and backfilling.

Live jointing associated with this process is restricted to the underground service cables to such points of supply more than 1 metre from the main cable as measured along the service cable. Any other live work shall be carried out by the host utility.

Typically the types of loads supplied by un-metered connections described above are;

- Street Lighting
- Illuminated Signs
- Bollards
- Traffic Signal Controllers
- Advertising Hoardings
- Bus Shelters
- Telephone Kiosks
- Cable Television
- CCTV

3.4 Control and Management

This scope is for UCPs which already hold a construction scope but wish to subcontract work to other UCPs in other construction scopes.

UCPs shall have the competence to supervise subcontracted work within the appropriate construction scope carried out by another suitably NERS accredited UCP.

3.5 National Operations

This scope is available to UCPs who are able to demonstrate that they can operate effectively, efficiently and safely in all Distribution Network Operator's (DNO's) areas. UCPs shall be able to demonstrate that they are able to:

- Effectively mobilise their workforce and/or sub-contractors.
- Ensure that all the adopting DNO's requirements and technical specifications are met.
- Assure the safety and quality of their workforce and sub-contractors.
- Ensure that all relevant information is handed over to the adopting DNO on completion of the works.

4. Role Competency Requirements

4.1 General Competency Requirements

UCPs shall ensure that personnel responsible for design, project management, construction, testing and commissioning and auditing activities carried out under this scheme are competent to do so and meet both the general and role competency specific requirements.

UCPs shall, where the post holder's activities can materially affect work activities carried out under this scheme or there are role specific requirements in this scheme;-

1. have a documented process for determining competency and document minimum competency requirements comprising training, experience, and qualification for operational and management positions.
2. assess, by a suitably competent person, and document the competency of persons performing roles for which competencies have been set.
3. review, by a suitably competent person, ongoing competencies at least annually. These competency reviews shall be documented and recorded.
4. ensure that the minimum documented competencies are satisfied and that staff are trained and qualified for the work they carry out.
5. establish and maintain sufficient current, valid, credible and authentic evidence to demonstrate that individuals are competent to do work within the accredited scope(s).
6. ensure that role holders perform competently.
7. have a training programme in place which is adequate to close any competency gaps.
8. maintain a robust process to ensure that the renewal of time limited qualifications is completed before the expiry of validity. (It is a requirement that all operatives with such time limited qualifications e.g. CITB, CPCS, NRSWA, etc. shall have evidence of in date qualifications on site at the time of any audit).

Best practice is demonstrated when role specific competency requirements are built up from job descriptions which are broken down into job related tasks against which personnel can be assessed.

Role specific competencies are best summarised in a matrix detailing the minimum requirements for each grade and showing the actual level of competence for each role holder. Such a matrix should be supported with evidence confirming qualifications, training, experience, aptitude and fitness.

4.2 Role Specific Competency Requirements

4.2.1 Design

Persons engaged on the design of electrical networks shall be able to provide evidence of technical competence as well as knowledge and understanding of the design phase. This may be achieved through a combination of education training and practical experience relating to the design activity undertaken. Those involved in approving designs should be an Incorporated Engineer, or higher, through the IET (or equivalent professional institution).

Design engineers shall be required to demonstrate competence in the category of design accreditation they hold.

In regard to the competency assessment of design engineers the UCP shall establish and maintain a competency matrix which shall define the minimum competencies for each grade of technical staff and the actual competencies of the named staff within each grade. The competency assessment procedure shall be documented and maintained.

4.2.2 Project Management

Those involved in delivering works as project managers shall have the technical competency to manage the subcontract relationship and interface with the adopting utility company to ensure that the works constructed are to specification for adoption in line with the adopting utility and industry standards.

Project management UCPs shall appoint a suitably qualified Technical Advisor to oversee the process. They shall demonstrate a level of technical competence that spans all of the construction activities.

The Technical Advisor may be an employee of the UCP or employed on a consultancy basis. If employed on a contract basis then their responsibilities shall be clearly defined within the contract of employment.

The Technical Advisor shall be responsible for overseeing the role competency process. Records shall be kept of all competency assessments together with the supporting evidence obtained during the competency interview and these should be reviewed and updated at least annually.

For this scope UCPs shall appoint Qualified Supervisors to oversee the scopes of work for which project management registration is required. Qualified Supervisor should be appropriately experienced in the scope of work being undertaken or alternatively have more than 5 years performing that role in another related sector.

Until such time as Qualified Supervisors have been assessed as competent to perform the role unsupervised by the Technical Advisor, and the decision documented, their technical audit function shall be overseen by the Technical Advisor, or someone assessed as being competent by the Technical Advisor.

4.2.3 Construction

UCPs shall appoint Authorising Officer(s) and Assessing Officer(s). In addition, for each contracting office, the UCP shall nominate at least one Qualified Supervisor as appropriate to the range, scale and geographical spread of the work undertaken from that Contracting Office.

A person nominated as Qualified Supervisor for the purpose of complying with the Scheme shall be a Competent Person.

In the case of the authorisation of any individual under a UCP's Safety Management System the Assessing Officer and Authorising Officer shall not be the same person.

UCPs shall only employ Competent Persons to carry out work whose experience and qualifications shall conform to those detailed below.

Evidence of current and ongoing competence of all operatives shall be demonstrated by the adoption of a NERS passport scheme as described in Section 13.

4.2.4 Requirements of the Authorising Officer

Authorising Officers shall be responsible for ensuring that the UCP carries out work in accordance with the relevant standards, specification and regulations, including the issue of appropriate certification for all work carried out. Authorising Officers shall have the necessary authority to ensure this responsibility is met.

Authorising Officers shall have an understanding of and, for the purposes of the Scheme, assume overall responsibility for the Health and Safety and all other criteria relating to the work being undertaken

The Authorising Officer shall be a full time employee of the UCP in a senior management position.

Qualifications of the Authorising Officer

Qualifications of the Authorising Officer are at the discretion of the UCP.

4.2.5 Requirements of an Assessing Officer

An Assessing Officer shall:

- Satisfy the minimum training and experience criteria as detailed below.
- Be conversant with relevant Health and Safety legislation and regulations, the current issue of the technical reference documents, appropriate British Standards, Adopting Utility Codes of Practice, UCP safety procedures and, where appropriate, Adopting Utility Distribution Safety Rules.
- Ensure persons being nominated for authorisation as competent persons meet the minimum requirements for qualifications and experience as specified below.
- Be responsible for the assessment of competence of the UCP's personnel and the maintenance of records
- Be a mentor for any staff seeking to become trained and experienced in work falling within the scope of the scheme.
- Be responsible for management of the NERS Passport Scheme.

The Assessing Officer can be an employee of the UCP or a consultant employed for this specific role.

Qualifications of an Assessing Officer

Assessing Officers shall have a good understanding of the Model Distribution Safety Rules, the Electricity Safety, Quality & Continuity Regulations, the Electricity at Work Regulations and the Health and Safety at Work Regulations. They shall have a minimum of five years experience as an Authorised Person responsible for controlling/supervising the type of work carried out by the craftsmen they are to assess. The experience and other evidence of the suitability of the proposed persons for positions as Assessing Officers shall be documented and provided to the accreditation body. Approval by the accreditation body shall be deemed unless the UCP is informed otherwise by the accreditation body's assessor..

Where a scope of registration is not directly related to electrical activities, such as civil engineering works, then Assessing Officers shall be able to demonstrate competence within his discipline equivalent to that defined above.

4.2.6 Requirements relating to a Qualified Supervisor

Qualified Supervisors shall have direct responsibility, on a day to day basis, for the safety, quality and technical standard of work performed by all competent staff under his supervision.

Qualified Supervisors shall:

- Satisfy the minimum training and experience criteria as detailed below,
- Demonstrate appropriate knowledge and experience of the inspection, testing, certification and reporting procedures for the work undertaken.

Qualifications relating to a Qualified Supervisor

Qualified Supervisors should have held a DNO Authorisation/Competency Certificate for a minimum of five years for the type of work they are to supervise.

Qualified Supervisors shall have appropriate knowledge, qualifications and experience to satisfy the Authorising Officer that they are suitable to supervise the scope of work they are appointed to oversee.

Where the scope of work is of a specialist nature, e.g. 66kV/132kV jointing, then trained engineer status may be accepted as an alternative to the above requirement. In this instance the experience of the proposed qualifying supervisors shall be documented and made available to the accreditation body as evidence of the suitability of the proposed person.

Where a scope of registration is not directly related to electrical activities, such as civil engineering works, then the qualified supervisor shall be able to demonstrate competence within their discipline equivalent to that defined above e.g. through holding a NRSWA Supervisors qualification etc.

4.2.7 Requirements relating to Craftspersons

All new or returning craftsmen (including Jointers, Linesmen and Fitters) will be required to undertake courses and tests that will lead to an NVQ level 2 qualifications (or equivalent) where these exist. However, craftsmen who are currently appropriately trained and/or hold valid adopting utility Authorisations and have evidence of relevant employment during the immediate past three years shall be assigned grandfather rights. These rights will allow them to continue to perform the work for which they are currently competent subject to ongoing competency assessment, by the Assessing Officer.

All new or returning Craftsmen shall be required to have completed such a course (where these exist) and in the case of Jointers and Linesmen, will have demonstrated competence in those tasks for which they have been authorised by the UCP.

The course and associated tests for competence to perform craft skills shall be provided by an industry recognised training facility.

A craftsperson's understanding of the written and spoken word should be considered in regard to the safety of the individual and others when the individual is carrying out work or operations under this scheme and in general.

4.2.8 Requirements for Civil Works Operatives

Operatives, working for a UCP who is registered for civils work, performing the role of Team Leader shall be considered competent, based upon an appropriate NRSWA qualification and documented competencies in cable location, utility drawing interpretation, risk assessment and manual handling

An operative's understanding of the written and spoken word should be considered in regard to the safety of the individual and others when the individual is carrying out work or operations under this scheme and in general.

4.2.9 Requirements relating to Control and Management

Qualified supervisors shall be appointed for the scopes of work for which control and management registration is required. The qualified supervisor should be appropriately experienced in the scope of work or alternatively have more than 5 years experience performing an equivalent role in another related sector. In the latter circumstance, the Assessing Officer shall oversee the supervisor's technical audit function until such times as the Assessing Officer considers the supervisor competent to perform the role unsupervised.

4.2.10 Requirements relating to Administration

Although formal qualifications are not generally required for administrative posts, measures of performance should be in place which ensure that the quality of the administration service is satisfactory and complies with the requirements specified for the work being done.

5. Sub Contracted Work

5.1 Sub-contracting arrangements

Where a UCP sub-contracts work for which they are accredited, the work to be sub-contracted shall either be:

- undertaken by a UCP who has a current Accreditation for the sub contracted scope of work
- undertaken by a UCP who has Partial Accreditation for the scope of work to be subcontracted and that work is used as the basis to achieve Full Accreditation.
- on the basis of 'labour only,' - subject to compliance with section 5.2
- be undertaken by a specialist subcontractor in the performance of the following activities:
 - directional drilling
 - reinstatement
 - Specialist commissioning activities as defined below.

Specialist commissioning is defined as the specialist installation and/or commissioning activities for either:-

- transformers, switchgear, protection equipment, cable pressure testing and earthing arrangements associated with primary voltages of 33kV and above
- complex secondary substations installed by the equipment manufacturer, their agents or other specialists
- work as agreed with the adopting utility.

5.2 'Labour Only' Sub-contractors

Where 'labour only' subcontractors are used the UCP shall clearly define responsibilities in respect of the labour only relationship which shall comply with the following:

1. subcontract personnel shall be fully integrated into the UCP's Health, Safety, Quality and Environmental and competency systems which include being fully inducted and working strictly in accordance with the UCPs safety systems and method statements.
2. document the PPE requirements of the labour only contractor (which shall be consistent with their own PPE standards) and ensure the requirements are implemented and that the PPE is maintained in good condition. UCPs shall maintain authenticated records of the 'labour only' contractor's competencies and authorisations to support all competency claims, as documented in the 'labour only' subcontract staff NERS passports issued by the UCP.
3. document the approved tools and equipment requirements and ensure that the requirements are implemented.
4. ensure that calibrated equipment falls within UCP's calibration regime or is verified by the UCP to be managed within an effective calibration management system. In the event that calibrated tools and equipment are sourced from a hire company then the order shall be placed with a hire company on the UCP's approved supplier list.
5. all materials shall be purchased by the UCP.
6. the Accredited UCP shall demonstrate effective management control process and structure to control on/off site activities.

5.3 Ground Workers

Ground workers are contractors, who work directly on-site for developers and who may have a basic level of competence to excavate trenches, lay ducts and backfill.

The Accredited UCP may agree with a developer to install new infrastructure in trenches or ducts excavated and re-instated/installed by ground workers. This is recognized custom and practice and is acceptable provided the following procedure is implemented by the Accredited UCP:

Where ground workers are used:-

1. the UCP shall develop a procedure which details the specification for excavations, laying ducts, any allowable infrastructure and backfill.
2. the procedure shall be cross referenced in the contract with the developer.
3. the specification shall be presented to the Site Manager at the pre-start site meeting and this is to be documented.
4. the UCP shall implement an audit regime to ensure that the ground workers adhere to the specification and appropriate codes of practice.
5. the UCP is responsible for ensuring that work is done to the relevant standards.

5.4 2nd Tier National Electricity Registration Scheme accredited contractors

2nd Tier accredited contractors may be employed by a UCP to carry out excavations, backfilling and cable laying on contestable works. The operation and requirements of the 2nd Tier National Electricity Registration Scheme are described in Appendix 2 to this document.

6. Work Issue and Control

6.1 Work Control and Management

6.1.1 Work Control and Management

UCPs shall have procedures and systems for managing work from inception through to adoption by the adopting utility.

These procedures shall:

1. recognise adopting utility and industry specific requirements
2. provide effective interfaces with other UCPs, adopting utilities and developers
3. ensure technical compliance from support sections within the UCP
4. establish and maintain information, in a suitable medium (e.g. paper or electronic format) that describes the core elements of the management system and their interactions

6.1.2 Adopting Utility Requirements

UCPs shall establish procedures which ensure compliance with technical specifications and requirements for notices and communication specific to the adopting utility areas in which they operate.

UCPs should also know how to access the sector specific requirements of those adopting utility companies who operate in areas where the UCP is not currently active.

6.1.3 Tendering, Planning and Construction

Documented processes should be established to control the technical elements of Tendering, Planning, and Construction elements of work carried out under this scheme. These shall include processes for contract variation pre and post contract letting (including delegations of authority) and, where appropriate, feedback into the design process.

6.1.4 Work Instructions

UCPs shall have a process in place for the issue of documented work instructions.

Written work instructions shall:-

1. clearly describe the full extent of work to be carried out including layout and, as necessary, specification.
2. detail the limits of the work to be carried out.
3. include the name of the recipient and the issuer and should include a facility for sign off on completion by the recipient.
4. provide sufficient detail for work completed to be matched to a work instruction.
5. once signed off, be retained by the UCP for an appropriate time.

Work packs produced for issue to operatives shall include appropriate documentation which shall when relevant include;

- work instructions
- method Statements & Risk Assessments (including site specific)
- appropriate drawings including utility drawings
- assembly drawings / specifications
- wayleave and easement routes
- proposed route plans and access arrangements

6.1.5 Work Scheduling

A process shall be available for work scheduling which shall ensure that adequate numbers of experienced / trained staff are allocated to effectively schedule work.

In work scheduling;-

- the methodology shall be defined (i.e. tee cards, white boards, software etc).
- all associated/inter-related activities should be co-ordinated by the work scheduling activity e.g. order of materials, provision of work packs, transport etc.
- UCPs shall ensure that suitably trained and experienced resources are available to meet the work schedule programme and the effectiveness of the work scheduling process should be regularly reviewed.

6.1.6 Issue of Work

The issue of work shall be a formal arrangement which shall include procedures for the handover of work from any design/planning functions to the construction function.

In issuing work:

1. method statements and risk assessments shall be briefed and made available to all appropriate staff.
2. handover meetings should be formal and documented.
3. adequate arrangements shall be in place for the handover and continuity of projects in the event of planned or unplanned absences.

6.1.7 Site Supervision

Site supervision and the supervision of operatives and sub contractors shall be at a level to ensure compliance with safety and technical requirements.

Site supervision arrangements shall ensure that:

1. qualified Supervisors, as defined in Section 4, shall be appointed to site supervision responsibilities for all accredited scopes of work.

2. effective communications exist between supervisors and operatives.
3. progress of work is recorded.
4. relevant on site verbal instructions and agreements are recorded (site diaries, day books etc.).

6.1.8 Variations

UCPs shall have procedures which detail how variations to the work are to be managed. These shall detail levels of empowerment and specify, in a format appropriate for operatives, which types of variation need to be referred back to the designer.

6.1.9 Adoption of assets

UCPs shall have procedures for the formal handover of assets for adoption by the adopting utility. These procedures shall recognise staged completion and provide all the information required by the adopting utility including as-laid drawings, test certificates, CDM files and records of connected properties.

6.2 Methods of working

6.2.1 Method Statements

For the scopes of work undertaken UCPs shall prepare method statements detailing how the work is to be undertaken to the standards set by the adopting utility. Except where adopting utility Codes of Practice are used these shall provide a full description of how the work is to be undertaken, the standards to which the installation will comply, the material specification and how these criteria will be measured on site.

UCPs shall:

1. identify those activities that require documented method statements providing guidance/instruction to operatives and ensure that adequate method statements are available for all relevant activities
2. ensure, where adopting utilities require a variation to standard methodology not covered by a method statement, that the specific procedures are documented and that confirmation of acceptance is received from the adopting utility in advance of work commencing.
3. support, where appropriate, each method statement with a risk assessment identifying the risks associated with the work and the risk mitigating measures to be employed.
4. document responsibilities for the preparation and regular review of method statements and risk assessments.
5. review, at least annually, method statements for continued validity against current H&S legislation and technical requirements.

UCPs carrying out construction activities shall have method statements covering the activities they undertake.

Design

UCPs with design accreditation shall have a method statement/procedure specifying their design practices from receiving information from the client to handover of construction pack to the constructor.

Project Management or Control and Management

UCPs with project management or control and management scopes shall ensure that the method statements of the contractors they employ deliver work to the scheme requirements. This may be achieved either by benchmarking against internal documentation or by documented, formal review of the contractors method statements by the Technical Advisor.

UCPs with project management or control and management scopes shall also have a method statement/procedure specifying the project management role and which assigns responsibilities throughout the project life cycle.

6.2.2 Compliance with specification

Work undertaken shall be to the standards and specification required by the adopting utility and in accordance with the working methods described in any method statements and work instructions.

6.2.3 Assessment of risk

UCPs shall have adequate procedures for assessing risk covering all key operations. These shall identify associated risks, preventative measures, management system procedures and methods of communication.

UCPs shall complete generic and/or project specific and site specific risk assessments as appropriate and these should be communicated to all relevant staff in advance of the work commencing.

UCPs:-

1. should retain for an appropriate time all risk assessments including those prepared by operatives on site immediately prior to carrying out works.
2. shall have available risk assessments for ensuring compliance with legal and other requirements e.g. COSHH, environmental issues, manual handling, confined spaces, PPE, etc.

6.2.4 Equipment

UCPs shall hold or have ready access to sufficient equipment to enable the timely and satisfactory completion of works under this scheme.

UCPs shall:

1. ensure that such equipment as necessary meets documented specifications and standards and is used in accordance with industry requirements.
2. establish procedures to satisfactorily manage the storage, issue, inspection, maintenance and re-calibration of equipment.

3. ensure that hired equipment is appropriate for the application including having valid calibration.

Equipment is any non consumable object used in the process of carrying out work under this scheme and includes, but is not limited to:

- test and measuring equipment
- lifting equipment
- access equipment
- portable electric tools, leads, transformers, generators etc.
- mobile Plant
- light plant and tools. Winches and cable drums
- dynamometer

6.3 Procurement

6.3.1 Procurement

UCPs shall establish and maintain procedures to ensure that all materials, goods and services are procured and delivered to the correct specifications/requirements of the adopting utility.

The procedures shall ensure that:

1. only appropriately trained and competent staff undertake the technical aspects of the procurement function.
2. the material specifications and requirements of those adopting utility companies where the UCP is active are understood.
3. material schedules produced include sufficient technical specification details to enable accurate purchase orders to be raised.
4. purchase orders clearly identify the materials or services required and, when appropriate, refer to the relevant technical specification.

6.3.2 Approved Suppliers

Materials, goods and services shall only be procured from suppliers / subcontractors which the UCP has approved.

UCPs shall:

1. maintain a list of all approved suppliers / sub-contractors and make the list available to all relevant staff.
2. have controls to prevent procurement outside of the approved supplier system or the provision of substitute materials.
3. have a procedure detailing the process for introducing new suppliers / sub-contractors onto the approved list.
4. have a procedure which determines the assessment / audit process to verify the ongoing suitability of existing suppliers/subcontractors. The level of assessment / audit should be

determined by the criticality of the supplier / sub-contractor as determined by a risk framework process.

5. highlight, where appropriate, for inclusion within the management process risk register where the procurement function identifies that materials, goods and service can only be procured from a single source.

6.3.3 Goods Receipt and Storage

Goods receipt processes shall ensure received goods comply with purchase requisition technical specifications and that any non conforming product is quarantined and not accepted into stock.

UCPs shall:

1. ensure that suitable storage is available at depots and / or onsite.
2. make instructions available to all staff responsible for storage of equipment or materials with special storage requirements.
3. ensure that materials are stored in accordance with industry specific best practice and any adopting utility requirements
4. maintain records, as appropriate, of stored equipment.

7. Audit

7.1 Technical Audit

UCPs shall have an audit policy and a rationale regarding the levels of audit for particular work activities.

The audit policy shall:

1. check that the works are constructed in compliance with the appropriate industry agreed standards.
2. ensure that audits are carried out using competent staff.
3. plan audits to ensure, as far as is reasonably possible, that over a documented period the full range of activities performed by each operative (direct labour and sub contract labour) are audited.
4. ensure that identified deficiencies are closed-out within reasonable time periods.
5. make available internal audit reports, on request, to the accreditation body and adopting utility

UCPs with project management accreditation shall have a technical audit regime independent to that used by their contractors.

7.2 Health, Safety, Quality and Environmental Audit

As part of an overall risk based audit programme UCPs shall carry out site based Health, Safety, Quality and Environmental Audits.

UCPs:

1. should ensure that the frequency of these audits is determined using a risk based approach and is sufficient to provide reasonable assurance that required levels of performance are achieved.
2. shall record, the results of such audits, analyse for trends, and use for management review of performance.
3. shall address all deficiencies identified through the audit process or other investigations.
4. shall carry out such audits in addition to any inspections carried out as part of routine site supervision.

7.3 Managing Risk

UCPs should regularly undertake audit checks of activities which form a scheme requirement for which the UCP is either reliant on others or for which the UCP delegates to others to perform.

Examples of situations where such risks can arise are;-

- reliance on scheme accreditation as an indicator of contractors competence
- checking that sub-contractors work to scheme requirements
- ensuring that notices are issued to the adopting utility

8. Contract Document and Record Control

8.1 Documentation and Document Control Procedures

UCPs shall establish and maintain procedures for controlling all documents, data and information required by the scheme accreditation so that:

1. these documents, data and information can be located and accessed by authorised personnel
2. these documents, data and information are periodically reviewed, revised as necessary, and approved for adequacy by authorised personnel
3. current versions of relevant documents, data and information are available at all locations where operations are performed
4. obsolete documents, data and information are promptly removed from all points of issue and points of use
5. archival documents, data and information retained for legal, knowledge preservation purposes etc. are suitably identified
6. these documents, data and information are secure and, if in electronic format, are adequately backed up and recoverable.

8.2 Records

UCPs shall establish and maintain procedures for the identification, maintenance and disposal of records. These records should be legible, identifiable and traceable to the activities involved. The records should be readily retrievable and protected from loss or damage.

Records per project / contract should include but not be limited to:

- designs
- contracts, drawings.
- technical, construction and maintenance manuals.
- inspection, commissioning, and calibration records
- as Laid records
- audit results and any resulting corrective actions
- standards and specifications (industry, BSI, ISO etc).
- health, safety, environment and quality.
- training and competency records
- customer complaints

9. Technical Standards

9.1 Technical Reference Library

UCPs shall have access to appropriate technical standards and guidance documents.

The list below is a guide:

Adopting utility Documents

- Host DNO Distribution Safety Rules
- Installation specifications for the work to be performed which conform to the requirements host DNO requirements
- Relevant DNO G81 documents

Electricity Association Technical Specifications (EATS)

- EATS 09-07 PVC and XLPE insulated concentric service cables with stranded copper or solid aluminium phase conductors and copper concentric conductors
- EATS 12-24 Plastic ducts for buried electric cable

National Joint Utilities Group (NJUG) publications

- NJUG 2 Provision of mains and services on residential estates
- NJUG 5 Model guidelines for the planning and installation of utilities supplies to new building developments
- NJUG 7 Recommended positioning of Utility Mains and Plant for new works
- NJUG 10 Guidelines for the planning, installation and maintenance of utility services in proximity to trees.

Health & Safety Executive (HSE) publications

- HS (G) 47 Avoiding danger from underground services
- GS 6 Avoidance of danger from overhead electric power lines

LEGISLATION –

All requirements of all relevant legislation shall be met. The following is a list of some of the relevant legislation –

- The Electricity Act 1989 (as amended by the Utilities Act 2000)
- The Distribution Code
- The Electricity Safety, Quality and Continuity Regulations
- The Electricity at Work Regulations
- The New Roads and Street Works Act and all related Codes of Practice and Specifications
- Town & Country Planning Act
- Construction (Design Management) Regulations
- The Management of Health & Safety at Work Regulations
- The Health & Safety at Work Act
- Provision and Use of Work Equipment Regulations
- Control of Substances Hazardous to Health Regulations
- Manual Handling Operations Regulations
- Noise at Work Regulations
- Confined spaces regulations

Lifting Operations and Lifting Equipment Regulations
Construction Health, Safety & Welfare Regulations
Workplace Health, Safety and Welfare Regulations
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Riddor)
Personal Protective Equipment at Work Regulations
Chapter 8 of the Traffic signs manual

10. Quality and Safety Systems

10.1 Quality Management System

UCPs shall demonstrate that they have an appropriate Quality Management System which covers the requirements of their accreditation.

Through their Quality Management Systems the UCP shall demonstrate that they have a good understanding of the requirements for constructing new utility infrastructure in accordance with the scheme.

The accreditation body will take credence of any accredited quality management systems where these systems fully cover the scheme activities.

10.2 Customer Complaints

UCPs shall maintain a schedule of customer complaints and make this available to the accreditation body along with all investigations and details of action taken following such complaints.

10.3 Health, Safety, Quality and Environmental Systems

UCPs shall demonstrate appropriate Health, Safety and Environmental provision that provide clear direction for the organisation to follow.

UCPs:-

1. shall establish a management structure to deliver these provisions which clearly allocates key safety responsibilities between managers, staff and contractors.
2. shall ensure that the organisation's Health, Safety, Quality and Environmental policies are communicated to all employees and sub-contractors.
3. should ensure that health, safety and environmental performance is measured against targets and that Health, Safety, Quality and Environmental policies are regularly reviewed and in the light of measured performance updated as required.
4. shall, where improvement needs are identified, ensure that timely and effective corrective action is taken and that staff are briefed on any lessons learnt.

10.3.1 CDM Regulations

Adequate procedures shall be in place to ensure compliance with the CDM Regulations both when the UCP has significant duty holder responsibilities under the Regulations or where the UCP is operating on a site controlled by others.

The procedures shall ensure that:-

5. staff given responsibilities under the Regulations shall be suitably trained and experienced.
6. when simply working as a contractor on a site to which the Regulations apply the UCPs operatives and sub contractors co-operate with those holding significant duties under the Regulations.

10.3.2 COSHH Regulations

UCPs shall establish adequate procedures to ensure compliance with COSHH Regulations.

The procedures shall ensure that:-

1. responsibilities for COSHH compliance and for the preparation of COSHH assessments are clear.
2. a register of substances used by the UCP and covered by the COSHH Regulations is available
3. those responsible for preparing COSHH assessments are adequately trained.
4. operatives using substances covered by the COSHH regulations have assessments or datasheets available and that they are adequately trained in order to avoid danger.
5. UCPs shall, as required, hold valid certification for the carriage and disposal of hazardous substances.

10.3.3 PPE and Other Safety Equipment

UCPs shall establish procedures for the identification, provision, control and use of PPE.

The procedures shall ensure that:-

1. records are maintained for the issue of PPE and its condition is monitored.
2. high Visibility clothing is provided by the UCP to operatives and used by operatives to meet the requirements of NRSWA and other recognised standards or good working practices.
3. emergency equipment such as fire extinguishers and first aid kits for vehicles and such other emergency equipment as demanded by the work being carried out is provided by the UCP and maintained and stored in serviceable condition and is within its calibration date.

10.3.4 Safety Briefings

UCPs shall establish a procedure for providing routine and ad hoc H,S&E briefings to operatives. Records of briefings, including subject matter and attendees, should be maintained.

10.3.5 Accident and Incident Investigation and Reporting

UCPs shall have a documented procedure in place for the investigation and reporting of accidents and incidents.

This procedure should, with respect to work carried out under this scheme or on existing electrical systems or proposed additions to electrical systems;-

1. allocate responsibility for accident investigation and reporting;
2. establish the make up of formal panels of enquiry into serious accidents or incidents;
3. require that root causes are sought and disseminated;
4. require that the client, adopting utility and accreditation body are informed of serious accidents or incidents.

11. Human Resources Systems

11.1 Human Resource Procedures

UCPs shall have HR procedures detailing recruitment, selection, interview and appointment criteria.

These procedures shall detail the competency requirements for the members of an interview panel and in regard to successful candidates;

1. require that qualifications and references from previous employers are verified.
2. require that results of any psychometric or trade tests (if appropriate) be recorded
3. require that results of medical assessments (where appropriate) be held

11.2 Job Descriptions

Job descriptions shall be available for all personnel where the post holders activities can materially affect work activities carried out under this scheme. As required for the accreditation scope this includes Designers, Project Managers, Technical Advisors, 1st line Managers (Supervisors), Team Leaders and Assistants etc. for all activities carried out under this scheme.

Job descriptions should detail:-

1. responsibilities with respect to Health, Safety, Environment and Quality.
2. minimum training/experience/qualification criteria for each post responsible for providing elements of the new assets.

Where advisors are appointed on a contract basis to support activities their role and the activities they perform should be documented and details of the terms and duration of their contract shall be provided to the Accreditation Body.

11.3 Appointment to Defined Roles under the Scheme

The holders of the defined roles of Qualified Supervisor, Assessing Officer and Authorising Officer within the context of this scheme shall have been appointed in writing and shall, in the cases of Assessing Officers and Authorising Officers have accepted in writing (except where the senior executive of the UCP is the Authorising Officer).

Within the context of this scheme the appointment of individuals to these roles should avoid introducing conflict of interest issues and should avoid undermining safety management. For the avoidance of doubt; in the case of the authorisation of an individual under the UCPs safety management system, the Assessing Officer and Authorising Officer shall not be the same person.

12. Training

12.1 Training Policy

UCPs should have comprehensive training records for individuals at all levels and a training policy to train, refresh and update staff as required

The training policy:

1. should only procure formal technical and operational training from industry recognised training providers. Other training may be procured from bona fide training providers or from in house resources
2. shall ensure that where training is provided to a person by the provision of personal supervision that such personal supervision is provided only by a person with suitable knowledge and experience.
3. should indicate circumstances where personal supervision is an appropriate form of training and, if so, detail its provision in terms of duration, number of occasions of provision, and the like. The receipt of personal supervision should be recorded in training records.
4. shall identify and comply with any specific training requirement of adopting utility companies where the UCP is active.
5. should ensure that employees have sufficient knowledge and training to be aware of and know how to deal with unexpected dangers arising from their activities or from the environment within which their activities take place.

12.2 Induction Training

UCPs shall establish and maintain procedures to ensure that its employees and, where appropriate, its contractors and suppliers, especially when the activity is new to them, are aware of:

1. the standards and requirements to maintain scheme compliance
2. the importance of compliance with all work instructions, safety rules, design and construction manuals and drawings, and other relevant policies and procedures
3. their roles and responsibilities in achieving compliance with the organisation's policies and procedures
4. the potential consequences of departing from work instructions, method statements, safety rules, design and construction manuals and drawings, and other relevant policies and procedures.

13. EUS and NERS Passport Ongoing Competency Records

The competence of Crafts persons and Operatives shall be documented by UCPs and shall detail aspects of qualifications, knowledge, training and experience with, as appropriate, validity dates.

The documented process may take one of two forms:

- Passport document held by the UCP's staff at all times (except for when being updated)
- Engineering Utility Skills Register (EUSR) web site based register of competencies
- (The EUSR is not currently available for use for NERS competency registrations.)

Whichever system is used it shall be updated annually.

- **Passport.** The Assessing Officer shall update the individual Passports
- **EUSR Register.** The Assessing Officer shall pass updated information to the Register operator who would update the Register within 5 working days.
- (The EUSR is not currently available for use for NERS competency registrations.)

Should the UCP opt for the passport process as a means of documenting competence then it has the option to develop its own passport format to hold information on the subject areas detailed below or to source passports of a suitable format from Lloyd's Register, at cost.

Induction Records:

- Attendance at Company Induction Training;
- Attendance at site inductions

Generic Training Records:

- Risk Assessment
- COSHH Training,
- Manual Handling
- PPE
- 1/500 Drawing Appreciation training
- First Aid;

Operative Competency:

- NRSWA training (Supervisor/Operative);
- Jointing(all categories);
- HIAB operative training;
- Winch operative training;
- Excavator operative training

Craftsman Competency:

- Jointsman
- Linesman
- Fitter

Other Records:

- Annual review records
- Site audit records
- Employment record

The NERS passport shall be completed for individual Crafts persons and Operatives for the categories of competence relevant to the individual's assigned duties and responsibilities

The UCP's Assessing Officer shall be responsible for keeping the passport up to date and shall signify reaffirmation of a specific competency by endorsing and dating the particular page/ series of pages that related to the competency under review. The Assessing Officer shall demonstrate an auditable trail of the review of the currency of competency in terms of data supporting all competency updates.

The passport shall be issued by the UCP employing the Operative / Craftsperson and whilst it shall be the responsibility of the employer to maintain the passport it will, except to allow updating and maintenance, be held by the Operative / Craftsperson and be available for inspection at site.

The UCP shall be responsible for the issue of NERS passports to 'labour only' subcontractors, the only exemption shall be temporary unskilled labour employed on a site for 5 days or less.

Should the Craftsperson / Operative gain employment with a different Service Provider then he would take the passport with him and the responsibility for updating the passport would transfer to the new employer.

When the passport is renewed the current employer shall be required to sign off the old passport, as would be required if a change of employment were to take place. The old passport shall be returned to the Operative / Craftsperson in order that an ongoing record of employment competency is held.

For identification purposes the NERS passport should include a photograph of the Operative / Craftsperson and shall include a unique number such as company staff number.

14. Insurance

UCPs shall hold at least £5 million of public liability insurance covering all work under this scheme.

Insurance cover to meet contractual requirements and guarantee liabilities will vary depending upon extent of work and adopting utility involved.

Appendices

Appendix 1. Accreditation management arrangements

Compliance with the requirements specified in this document will enable UCPs to gain and maintain scheme accreditation. This section provides guidance on how scheme accreditation operates and the actions that will be taken in the event of non-compliance with the scheme requirements. The actual contractual terms and conditions will be those issued by the Accreditation Body when a formal quotation is sent to the UCP.

A1.1 Accreditation Process Overview

Once a UCP has been assessed as satisfactorily performing the activities for which approval is sought a certificate of accreditation will be awarded which details the scope of approved activities. At this stage the name of the UCP, along with the scope of works for which they are approved, will be added to the list on the accreditation body website. Once they achieve Full accreditation, the UCP will be able to display the quality mark associated with the scheme.

A1.2 Approval Process

The approval process has 2 key stages. These are gaining;

- a) Partial accreditation
- and b) Full accreditation.

To assist UCPs preparing for assessment, especially those who are new to scheme accreditation in any utility sector, a desktop review or gap analysis is usually undertaken.

Having gained Full accreditation the work and systems of the UCP are monitored by means of regular surveillance visits.

A1.2.1 Partial Accreditation

For Partial Accreditation the systems, procedures and documentation of the UCP are assessed for completeness and compliance with the requirements of the scheme. Where such procedures and documentation are already in place, their implementation will be assessed. Subject to the outcome of this assessment Partial Accreditation may be awarded entitling the UCP to tender and obtain work which can then be used to demonstrate site activities during an assessment for Full Accreditation.

Where a UCP has yet to recruit staff at the Partial accreditation stage they shall demonstrate that their recruitment strategy will ensure that competent personnel are in place before any work is commenced.

For the assessment UCPs should ensure that the Accreditation Body's representatives have access to those parties responsible for direct delivery of the work within the company and those who support the activity together with related systems, documentation and equipment.

The extent of assessment will be determined by the Accreditation Body having regard to the range, scale and geographical spread of work for which accreditation is sought.

Partial accreditation remains valid for 1 year by which time it should be upgraded to full accreditation by means of an on-site assessment. Where this is not possible the UCP will be subject to a surveillance visit to establish that the required systems, procedures and competencies remain in place. If these requirements are not demonstrated the Partial accreditation will lapse.

UCPs with Partial accreditation shall inform the accreditation body as soon as any work which requires accreditation is obtained so that an assessment for Full Accreditation can be arranged.

When a UCP demonstrates that they meet the requirements for Partial accreditation the Accreditation Body will issue a Certificate of Partial Accreditation; such certificates will remain the property of the Accreditation Body and shall be returned to them on their request.

Major deficiencies identified at the Full evaluation stage can lead to the accreditation body cancelling the Partial accreditation of the UCP.

A1.2.2 Full Accreditation

The Full Accreditation of the UCP is dependent on satisfactory technical assessments of activities for which accreditation is sought.

To achieve Full Accreditation for any particular element of the requested scope then those elements shall be carried out by the UCP (or managed by the UCP if appropriate to the UCP's scope) and witnessed and assessed by the accreditation body. In order to progress from Partial Accreditation to Full Accreditation, UCPs shall make each activity available for assessment at the first possible opportunity.

Where work covering the full range of the scope requested is not witnessed the Accreditation Body will restrict any accreditation to the scope of work reviewed.

Award of Full Accreditation requires that systems and processes assessed for Partial Accreditation, but previously untried, are fully implemented and are operating effectively. UCPs shall also demonstrate a full understanding of the specific adopting utility requirements, specification details and contact arrangements.

The UCP shall be fully prepared for the assessment by the Accreditation Body's representative, and shall ensure the availability of appropriate personnel, documentation and site activities. Facilities and access to sites shall be arranged by the UCP in order that the Accreditation Body can witness all appropriate work activities.

Subject to satisfactory performance throughout the accreditation process Full Accreditation will remain valid for 3 years after which time a reassessment will be carried out.

Following completion of the assessment, and on acceptance of the ongoing surveillance program, the Accreditation Body will issue an Accreditation Certificate which will be valid for the term of the accreditation. The certificate will remain the property of the Accreditation Body and shall be returned to them on their request.

A1.3 Monitoring Of Accredited Utility Connection Providers

Having gained accreditation the work and adherence to process of UCPs will be monitored through routine surveillance visits. The accreditation body will also respond to any reports of non-compliance.

Surveillance visits and any extra visits needed to investigate substantiated reports of non-compliance will be chargeable to the UCP.

A1.3.1 Surveillance Visits

The Accreditation Body shall verify through surveillance visits and periodic reassessment that the UCP has established, implemented and maintained procedures, systems and competencies which provide for a consistent quality of the delivered product/service and which conform both in terms of quality and safety to industry good practice. The Accreditation Body will apply a robust, consistent and transparent assessment regime which will focus on criteria to ensure that;-

1. individual competence is achieved and maintained to levels defined in Section 4.
2. systems are established and maintained to ensure that client requirements are accurately translated into Work Instructions.
3. appropriate equipment is safely operated by trained and competent operatives.
4. site based activities are performed competently, safely and in full compliance with company documented systems and processes.
5. interfaces with all stakeholders (especially developers and adopting utility companies) are managed in accordance with the scheme requirements.
6. procedures are in place to ensure that assets installed are accurately recorded and, following completion of the work, as laid drawings are issued to the adopting utility in a timely manner or in the case of an ongoing site, the completed as laid drawings are retained and made available on site until completion when they are issued to the adopting utility within agreed time frame.
7. installation specifications are compliant with the requirement of adopting utilities.

A1.3.2 Surveillance Visit Programme

Each approved activity scope shall be subject to surveillance audit at least once during the three year accreditation period with the first surveillance visit held within 6 months of accreditation being awarded.

Periodicity of surveillance will be based on:

- Scopes of accreditation
- UCP's previous experience in this field
- Assessed performance
- Complaints
- Results of internal and external audits

The Accreditation Body may, at its discretion and subject to reasonable notice, vary the interval between surveillance visits, based upon the results of UCP/Host Utility/Accreditation Body audits.

Findings of Surveillance visits shall be documented and any deficiencies recorded shall be highlighted to the UCP. Appropriate timescale for the close out of deficiencies should be agreed

A1.3.3 Surveillance Visit Arrangements

Arrangements for routine surveillance visits will be agreed between the accreditation body and the UCP in accordance with the surveillance schedule specified at the time of accreditation. Should the volume of the UCP's work, or scope of the UCP's accreditation, change during the accreditation period then the surveillance visit programme shall be revised accordingly.

Where concerns about the compliance of a UCP are made to the accreditation body by adopting utilities or others additional investigation surveillance visits will be immediately arranged. If the non-compliance issue investigated is confirmed the UCP will be required to cover the cost of the investigation.

UCPs shall arrange with the Accreditation Body for surveillance visits (covering site and office activities) to be undertaken on their work in accordance with the agreed schedule.

In order that work activities can be assessed UCPs shall make reasonable provision for contestable work to be available for surveillance. Where it is necessary to change pre-arranged visits UCPs should give a minimum of 5 working days notice to the accreditation body.

UCPs shall ensure that site work made available is sufficient for an assessment of the full scope of their accreditation and the work being carried out is related to the actual construction of the asset (e.g. excavation only site works will not be sufficient as excavation is only an element of the tasks in constructing new infrastructure assets).

Where a surveillance visit is cancelled within the notice period an abortive visit charge based on the charge for a surveillance visit will be made. Where the planned activities are not being carried out at the time of the visit the Accreditation Body will make a charge for a further visit to assess the activities.

A1.3.4 Surveillance Visit Payments

UCPs will be charged for surveillance visits carried out in accordance with the agreed programme or any which are subsequently arranged to close-out major deficiencies or the suspension/removal of accreditation.

UCPs shall pay all such charges promptly. Where surveillance visit payments become overdue the accreditation body is unable to commit to doing further visits. When this arises the accreditation will initially be suspended and if the payment has not been made by the end of the period of suspension the accreditation will be cancelled

A1.3.5 Continuity of Work

In the event that the UCPs workload is intermittent then the frequency of the accreditation body surveillance audits may be scaled down however, as a minimum to retain their accreditation, UCPs shall present each scope of its accredited activities for surveillance audit within the accreditation period.

If, when a surveillance visit is due, the UCP does not have any work suitable for the accreditation body to witness then the UCP shall be required to advise the accreditation body when such work is available for review.

Should a scope of work not be witnessed within the minimum surveillance audit period then the accreditation status will be changed to Partial and the UCP will be subject to annual reviews to ensure that their procedures for doing the work are kept up to date.

A1.4 Investigations and Removal of Accreditation

Accreditation shall be subject to cancellation or amendment by the accreditation body if a UCP:

- is found to have made false claims within the application for accreditation which are considered to impact on the integrity of the UCP.
- does not rectify, to the satisfaction of the accreditation body, the required remedial action within the agreed time scales to rectify a major or series of minor deficiencies.
- implementation of corrective action is subsequently found to have been inadequate to prevent a reoccurrence at any location of recently identified deficiencies.
- is found to continually fail to maintain safe systems of working and has working practices which result in the workforce or members of the public being exposed to danger or serious risk of injury through the use of faulty workmanship/working practice and faulty materials or materials not conforming to recognised standards.
- becomes bankrupt or insolvent.
- claims to have been approved for work not included at the time in the scope of their approval.
- commits a breach of any of the obligations imposed by the adopting utility.

- undertakes work below the standard required and demonstrates a lack of commitment to achieve the required standard or is unable to continue to comply with the criteria set out in the scheme requirements.
- makes use of the Scheme and /or the Quality mark or logo in a manner which, in the opinion of the accreditation body, is likely to bring the accreditation body or scheme into disrepute.
- carries out work with Partial accreditation without arranging for the Accreditation Body to undertake a full assessment
- fails to make arrangements for surveillance visits in accordance with the agreed programme (unless section A1.3.4 applies)
- fails to incorporate into their procedures and working practices any changes made to the scheme by the Scheme Advisory Panel within an agreed time period.
- notifies the accreditation body that they no longer wish to be accredited for scopes of work.

The accreditation body shall notify the UCP in writing of the intention to cancel certification, fully detailing such reasons for its action. Normally, unless the nature of the non-conformance merits immediate action or is a reoccurrence of a recently closed deficiency, this will be in 2 stages. Firstly the UCP will be notified that their accreditation is being suspended and given a limited time to address the non-conformances giving rise to the suspension. If the non-conformances are not satisfactorily addressed during the allotted time period and steps are not taken to prevent a reoccurrence the accreditation will be cancelled.

Once accreditation has been cancelled then re-accreditation will be subject to a full re-assessment of the UCP.

A1.5 Appeals, Complaints and Disputes concerning Accreditation

If the UCP wishes to object to action taken, including withdrawal of accreditation, by the accreditation body they shall, within twenty-one days of the issue of the notification to them, give notice in writing to the accreditation body of their objections setting out clearly the grounds for an appeal.

Any such appeal will be assessed by a panel within the accreditation body, independent of those members of the Accreditation Body associated with the original withdrawal action.

The results of the review will be communicated to the UCP in writing, detailing clearly the basis for the decision.

If the decision is not to the satisfaction of the UCP then they can appeal to the Scheme Advisory Panel which will be furnished with the basis for the original accreditation withdrawal and the findings of the appeals review. The Scheme Advisory Panel shall be the final arbiter of all such appeals.

The UCP and accreditation body shall bear their own costs associated with any appeal, regardless of the outcome.

Re-instatement of accreditation will be effected under the conditions prescribed by the accreditation body's review or that of the Scheme Advisory Panel, should the finding be that the accreditation withdrawal was not warranted.

Alternatively, if the appeals process finds the accreditation withdrawal to be the correct course of action then re-instatement of the UCP would entail a full re-evaluation.

A1.6 Re-certification

At the end of the 3 year full accreditation period a reassessment covering all required scopes of accreditation should be undertaken.

The scale of this reassessment will take account of the performance of the UCP during the period of accreditation. If the UCP has performed satisfactorily over the accreditation period their accreditation is likely to be reviewed with minimum examination. However if the work carried out by the UCP is limited, or if a number of audit reports identify major deficiencies or a growing trend of minor deficiencies, an appropriately more in depth level of re-assessment will be required.

Having being satisfactorily reassessed and a surveillance programme agreed the UCP will be accredited for a further 3 years.

A1.7 Adopting Utility Requirements

It should be noted that adopting utility companies have the right to insist on defective work being corrected and the right to refuse to adopt infrastructure if it is not fit for purpose even though the work may have been carried out by an accredited UCP.

A1.8 Notifications to Adopting Utility Companies

The accreditation body will notify those adopting utility companies in whose areas a UCP is known to be active when action is taken to amend, suspend or terminate accreditation. Other information on accreditation status will be shown on the scheme specific website maintained by the accreditation body.

Appendix 2. 2nd Tier National Electricity Registration Scheme

A2.1 Background

The 2nd tier scheme is specifically for civils contractors who are supervised by the NERS accredited UCP awarded the contestable work. It has limited, but clearly defined, bounds of responsibility and scopes of work which are detailed in this Appendix.

UCPs holding 2nd Tier accreditation shall not be able to compete for contestable work in their own right and can only operate as a sub-contractor to a NERS accredited UCP.

A2.2 Scope of work of 2nd Tier contractors

The 2nd Tier registration scheme is restricted to those UCPs who only undertake the following activities:

- Excavation
- Cable Laying
- Backfill.

2nd Tier UCPs can only carry out the above detailed activities under the supervision of a NERS accredited UCP who shall be accredited for the activities being supervised or shall be accredited for control and management of those activities.

A2.3 Assessment process

Assessment for accreditation under the 2nd tier scheme only covers those areas relevant to the work being undertaken and takes into consideration the supervisory responsibilities of the NERS accredited UCP.

A2.4 Assessment Criteria

A2.4.1 Human Resources:

UCPs shall have:-

- developed and maintained an appropriately documented recruitment procedure to ensure all new staff are competent to undertake their duties.
- an induction process which should ensure that all staff undergo training in electrical safety awareness, manual handling, COSHH, drawing appreciation, risk assessment and company procedures. (This training should feed into the Safety Management System).
- a training database showing qualifications, competencies etc. and their expiry dates.

- training files holding copies of qualifications, cards etc.

A2.4.2 Work Control

UCPs shall;-

- have a work programming system.
- issue their staff with appropriate work instructions unless a work instruction has been issued by the accredited UCP that clearly outlines the location and extent of work to be undertaken.
- establish a competent and effective supervisory regime

A2.4.3 Health and Safety

UCPs shall;

- have a H&S policy, endorsed by the CEO, which all staff are aware of.
- document the H&S responsibilities of all staff and ensure that all staff are familiar with these.
- issue generic risk assessments and method statements to all gangs.
- complete site specific risk assessments.
- make available appropriate COSHH and manual handling assessment.
- have an audit system that covers both H&S and quality issues.

A2.4.4 Procurement and Storage

This scope of accreditation does not allow UCPs to procure cable or ducting. These shall be supplied by the NERS accredited UCP. However UCPs may purchase and provide storage for sand and other backfill material.

A2.4.5 Tools and Equipment

UCPs shall have a system in place to ensure that all tools, equipment, lifting tackle etc is tested / calibrated as required.

A2.4.6 Safety Management System

UCPs shall be required to operate a safety management system (SMS) covering the civil activities undertaken. This should include:

- Appointment of Authorising and Assessing Officers, and Qualified Supervisors.
- An assessment process that verifies that staff are appropriately trained and competent for the duties being undertaken.

The output from the SMS will be a Passport issued to the Operative and signed by the Assessing and Authorising Officers. To ensure consistency (and to reduce the cost of development) the LR Passport will be used and the provision of these will be included in the overall assessment costs.

The operative will need to have his ongoing competency reaffirmed on an annual basis by the Assessing Officer and his Passport updated.

A2.5 On site assessment

The assessing body will visit a site to assess the UCPs competence in carrying out the works.

Lloyd's Register EMEA

T +44 (0)24 7651 8630

F +44 (0)24 7630 5869

E ukam@lr.org

Hiramford, Middlemarch Office
Village, Siskin Drive
Coventry CV3 4FJ, UK

www.lr.org

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