

Competition in Connections Code of Practice Reporting Requirements

Scottish Hydro Electric Power
Distribution plc (SHEPD)
and
Southern Electric Power Distribution
plc (SEPD)

30th September 2017

This document is the SLC52 Competition in Connections Code of Practice Reporting Requirements submission for 2017 on behalf of Scottish Hydro Electric Power Distribution plc (SHEPD) and Southern Electric Power Distribution plc (SEPD). Any difference in the two licence areas will be clearly outlined in the applicable section of the report.

Introduction

A requirement of the Competition in Connections Code of Practice is that DNOs report annually to demonstrate its compliance with the Code of Practice as required by Standard Licence Condition 52.

This template has been developed in conjunction with stakeholders to help facilitate common reporting. It is deemed that completion of this template shows that the DNO has fulfilled the specific requirements identified in the Code of Practice in the following paragraphs:

9.1. Each DNO shall publish an annual report by the end of September each year to demonstrate their compliance with this code of practice. This report shall include reporting on the volume of inspections by the DNO on connections completed by all parties (including the DNO's own business or affiliates and competitors).

9.2. The report will include such detail on processes and procedures and available metrics to demonstrate the DNO is providing the equivalent level of service to independents as to them undertaking connection activities themselves for each of the Input Services.

DNOs must also meet Ofgem obligations on reporting included in Standard Licence Condition 45, Data Assurance requirements. This condition requires the DNO to undertake processes and data assurance activities. These are to reduce the risk (and subsequent impact and consequences) of any inaccurate or incomplete reporting or misreporting of information to Ofgem. The DNO must undertake a risk assessment of each submission and set out its data assurance activities to manage the risk, which may include independent review. The DNO must have in place and maintain appropriate systems, processes, and procedures to enable it to perform its obligations.

To ensure consistency of reporting, quantitative information included in this report will generally relate to the previous regulatory year (1 April to 31 March inclusive). In the first year of reporting (September 2016), the information will only include part year information due to the implementation date of the obligation. Information on processes should be as contemporary as possible to the date of publication.

The format of the template includes the specific obligations that DNOs must report on as a direct extract from the Code of Practice, shown in a blue box. Note that the subsequent paragraph references contained in this document relate to those in the Code of Practice and are therefore not sequential. DNOs should complete the black part of the template to demonstrate compliance. This could include narrative, examples, reference to other documents, web links etc.

Change Control

Version number	Date	Brief description of change
1.0	11/07/2016	Reporting Requirements template approved by Ofgem
2.0	18/01/2017	Changes made to text to bring in line with changes made within the main Competition in Connections Code of Practice document.

4.3 The Connection Application

4.3.2 On receiving a Connection request, the DNO will provide the Customer with a detailed explanation of the competitive Connections market and ICPs that may be available in their Distribution Services Area.

The Connections process starts when a request for a Connection is made to SHEPD/SEPD either via a postal, email, online or telephone application. All applications, by any source, are initially registered on SHEPD/SEPD's project management system PROMIS.

As part of the registration process, confirmation is issued to the customer once registration is complete. The confirmation issued by our registration team includes a hyperlink to our dedicated 'Connections – You Have a Choice' webpage (www.ssen.co.uk/ConnectionsYouHaveaChoice/), where our "You Have a Choice" factsheet can be found and downloaded. This confirmation is typically issued within 2 working days of receiving an application. Please look at the supporting evidence to see an example of this confirmation email which is applicable to both SHEPD and SEPD.

By following the hyperlink to the 'Connections – You Have a Choice' webpage, in addition to outlining the choices available, it also directs the customer to both SHEPD/SEPD's own Alternative Providers register and the Lloyd's Register website, where NERS Accredited Independent Connection Providers (ICPs) can be found. Our webpage also contains the "You Have a Choice" factsheet, outlining the choices available, and directs the customer to the Lloyd's Register website in the same way our dedicated 'Connections – You Have a Choice' page does.

This ensures that, on receiving a Connection request, SHEPD/SEPD has provided the Customer with a detailed explanation of the competitive Connections market alongside contact details for Alternative Providers that may be available in our Distribution Services Area. The "You Have a Choice" factsheet is always also provided to the Customer as part of the Quotation pack when issuing the final quote. Please refer to screenshot No. 7 in the enclosed supporting document.

Supporting Evidence

- Example of confirmation issued to customers: confirmation-email-with-choice (Example of Confirmation email_redacted.pdf)
- "You Have a Choice" factsheet: network-connections-your-choices-factsheet (Dec 2016)
- Screenshots No. 1 to 10 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show where/how we promote/explain competition in connection and choices of Alternative Providers on our website

4.3.3 In addition, each DNO will ensure that its website contains consistent and clear information for Connection Customers that enables them to access the competitive Connections' market.

In addition to the information detailed in 4.3.2, we also provide clear and consistent information, which is well signposted on our website for connection customers to access the competitive connections market, including:

- A well signposted link to our 'Connections – You Have a Choice' page, which is provided as a link from our 'Connections home' page.

Refer to screenshot No. 3 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Connections home' page (www.ssen.co.uk/Connections/).

- Additional details and signposting from our “For Developers” page.

Refer to screenshot No. 5 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Connections home’ – ‘For Developers’ page (www.ssen.co.uk/Connections/Developers/).

- A dedicated “You Have a Choice” page explaining a customers options on our website which includes a downloadable .pdf version of the “You Have a Choice” factsheet.

Refer to screenshot No. 7 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Connections – You Have a Choice’ page (www.ssen.co.uk/ConnectionsYouHaveaChoice/).

- A dedicated “Alternative Provider Search” page with our Alternative Provider Register where ICPs, IDNOs and other parties involved in the Connections marketplace may register their contact details together with the areas they work in and assets they work on. This is supplemented by a direct link to the Lloyds Register for all Accredited Alternative Providers (ICPs & IDNOs).

Refer to screenshot No. 10 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Connections – You Have a Choice’ – ‘Alternative Provider Search’ page (www.ssen.co.uk/AlternativeProviderSearch/).

- New Novation (SEPD) and Assignment (SHEPD) guides which provides Connections customers with clear guidance on changing their contracted party. These guides outline the process for transferring a party’s rights and obligations under a contract to a third party. These are available as downloadable pdf documents. We also mentioned the new guides in our ICP IDNO Newsletter Sep 2016 which is available as a downloadable pdf document.

Refer to screenshot No.61 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs – Website information – screenshots_Rev 1 (www.ssen.co.uk/GenerationConnectionsHome/).

- A dedicated Unmetered Connections Guide advising both Alternative Providers and Unmetered customers of a range of information regarding unmetered connections.

Refer to screenshot No.63 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs – Website information – screenshots_Rev 1 (www.ssen.co.uk/UnmeteredSupplies/).

Supporting Evidence

- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slides 18-26]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf[Slides 18-27]
- SHEPD Flexible Connections and ICP IDNO Workshops (090117).pdf [Slides 46-53]
- SEPD Flexible Connections and ICP IDNO Workshops (010217).pdf [Slides 44-51]
- newsletter 2-icps-idnos_Nov 15.pdf [POC Self Identification & Self Design Approval]
- ICP IDNO Newsletter Sep 2016.pdf
- ICP IDNO Newsletter March 2017.pdf
- UnmeteredConnectionsGuide2017-v1.pdf
- SHEPD-guide-to-Assignment.pdf

- SEPD-guide-to-Novation.pdf
- Screenshots No. 1 to 16 and No.61 to 63 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show our website’s information available to Connections Customers via above links

4.3.4 Where the Customer makes a request to the DNO for a Connection in a Relevant Market Segment, the DNO shall provide the Customer with a Convertible Quotation. The Customer can either accept the Convertible Quotation or provide the Point of Connection to an ICP in order to obtain a competitive quote for the Contestable Works. The Customer can then choose whether it wants the DNO or an ICP to carry out all or some of the Contestable Work.

When a customer applies for a Connection in any of the Metered Relevant Market Segments, in addition to providing information on Choice, SHEPD/SEPD automatically provides the Customer with a fully Convertible Quotation. This includes all the relevant charges which are broken down into Contestable and Non-Contestable charges to allow the Customer to accept the Quotation for SHEPD/SEPD to complete all the works involved in the Connection (i.e. ‘All Works’ offer), or just appoint SHEPD/SEPD to deliver those elements of the project that only we are able to perform (i.e. ‘Non-Contestable only’ offer) allowing the Customer to appoint an ICP to complete the remainder.

As the quotation is fully transferable there are neither additional costs nor a requirement to make an additional application. Any queue management is based on the single application.

To ensure the best experience, when the Customer has accepted the Non-Contestable only offer, SHEPD/SEPD follow this up with a phone call and email confirming the selection, and advising on the next stage of the process also ensuring the customer has all the information they need to appoint an alternative provider.

Where a customer applies for a Connection in any of the Unmetered Relevant Market Segments, as all tasks are already fully Contestable, there remains only the single option to accept the All Works quotation for SHEPD/SEPD to complete all works however the Unmetered Quotation continues to include an explanation on the choice of an alternative provider to carry out the work.

Supporting Evidence

As supporting evidence, an example quotation with breakdown of charges and choice is enclosed for metered relevant market segments.

- Example of Quote Letter (Large Demand_Example of Quote Letter_Redacted. pdf)

4.3.5 As part of producing a Convertible Quotation the DNO will determine:

- the Point of Connection to its Distribution System;*
- whether any reinforcement of the existing Distribution System is required;*
- whether part of the Distribution System needs to be diverted;*
- the Convertible Quotation the DNO issues shall contain details of:*
 - *the charges for the Non-Contestable Works;*
 - *the charges for Contestable Works;*
 - *the work and costs of providing the new Connection; and*
 - *the options the Customer has for accepting the quotation or progressing with an ICP.*

As part of our Convertible Quotations SHEPD/SEPD includes:

- the Point of Connection to our Distribution System;
- whether any reinforcement of the existing Distribution System is required;
- whether part of the Distribution System needs to be diverted;

The Convertible Quotataion that SHEPD/SEPD issues also contains a detailed breakdown of:

- the charges for the Non-Contestable Works;
- the charges for Contestable Works;
- the work and costs of providing the new Connection; and
- a facility for the Customer to accept an 'All Works' offer or 'Non-Contestable only' offer to progress with an Alternative Provider. The Quotation also always includes the "You have a Choice" link and factsheet as set out above.

Supporting Evidence

Please refer to enclosed example in 4.3.4 of quotation provided as supporting evidence of this.

- Example of Quote Letter (Large Demand_Example of Quote Letter_Redacted.pdf)

4.3.6 The charges for the Non-Contestable Works in a Convertible Quotation shall be comparable irrespective of whether an ICP or the DNO undertakes the Contestable Works.

The charges for the Non-Contestable Works in SHEPD's/SEPD's Convertible Quotations are fully comparable across the Acceptance options. Should a Customer accept the 'All Works' option or the 'Non-Contestable only' option, the Non-Contestable costs are fully aligned and so remain the same..

Supporting Evidence

Please refer to enclosed example in 4.3.4 of quotation provided as supporting evidence of this.

- Example of Quote Letter (Large Demand_Example of Quote Letter_Redacted.pdf)

4.5 Determining whether ICP can undertake assessment of POC

4.5.2 The DNO will publish circumstances, and the reasons why, where an Accredited ICP cannot undertake the assessment of the Point of Connection. The ICP will be unable to determine the Point of Connection because the DNO:

- *has not made sufficient information available; and/or*
- *has stated that only it can undertake the assessment.*

SHEPD/SEPD has published the circumstances and reasons why an Accredited ICP/IDNO cannot undertake the assessment of the Point of Connection. The circumstances where an ICP cannot undertake the assessment of the Point of Connection are governed by the voltage of the proposed connection, size of local assets and type of connection to be made.

This information has been published in our secure website and that includes a 'POC Self Identification Matrix' (TG-PS-930_Summary_POC_Matrix V14) and a 'POC Self Identification and Self Design Approval Guidance' note.

Refer to screenshot No. 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'POC Guidance Matrix' page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

Supporting Evidence

- 'POC Self Identification Matrix' (TG-PS-930_Summary_POC_Matrix V14.xlsx)
- 'POC Self Identification and Self Design Approval Guidance' note
- Screenshots No. 12 and 24 to 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for the circumstances where an Accredited ICP/IDNO cannot undertake the assessment of the Point of Connection via above link

4.6 DNO Input Services where the ICP determines the POC

4.6.1 The DNO will make available access to such information as the ICP is reasonably likely to require in order to assess the Point of Connection. This information will be available on an equivalent basis as it is to the DNO, normally on a 24/7 basis. The information will enable ICPs to either:

i) self-select a Point of Connection in combination with the Standard Design Matrix (see section 4.9 below); or

ii) carry out assessment and design of the Point of Connection using the DNO's standards and process utilizing the technical competency of the ICP's design team (see section 4.10 below).

SHEPD/SEPD has a dedicated secure ICP/IDNO Web-Portal via SSEN's website, normally available on a 24/7 basis, where information is available to enable ICPs to identify a Point of Connection via the Standard Design Matrix or the DNO's standards and process utilising technical competency.

Refer to screenshots No. 12 and 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Secure Documents' (www.ssen.co.uk/CompetitionInConnections/).

Refer to screenshot No. 25 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Account Login’ page

(www.ssen.co.uk/Forms/SignIn/?ReturnUrl=CompetitionInConnectionsSecureDocuments).

Refer to screenshot No. 26 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Terms and Conditions’ page (www.ssen.co.uk/competitioninconnectionssecuredocuments/).

Refer to screenshot No. 27 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Alternative Provider Network Information’ page

(www.ssen.co.uk/Sse_Components/Views/Layouts/PageBuilder/CompetitionInConnections/MultiRowGridNoBase.aspx?pageid=6158).

Refer to screenshot No. 28 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘POC Guidance Matrix’ page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

Supporting Evidence

- ‘POC Self Identification Matrix’ (TG-PS-930_Summary_POC_Matrix V14.xlsx)
- ‘POC Self Identification and Self Design Approval Guidance’ note
- Screenshots No. 12 and 24 to 28 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for the assessment of the Point of Connection via above links

4.6.2 Such information will include:

- - *geographical network records showing the location, size and type of assets;*
- - *load information for the Distribution System, including guidance on the rules to be applied when allocating demand diversity of new and existing Customers to circuits;*
- - *relevant design standards and documents (e.g. the Energy Network Association's engineering recommendation G81);*
- - *asset sizes and ratings;*
- - *network operational diagrams.*

SHEPD/SEPD has made available to Alternative Providers the below information on an equivalent basis to that available to their own Connections Business:

- Geographical network records showing the location, size and type of assets

Refer to screenshot No. 41 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network GIS’ page (www.ssen.co.uk/CompetitionInConnections/GIS/).

Refer to screenshot No. 42 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network GIS’ – England page (south.sse-mapping.net/sgis/cic_south_01/HTML/main_page.html).

Refer to screenshot No. 43 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network GIS’ – Scotland page (north.sse-mapping.net/ngis/cic_north_01/HTML/main_page.html).

- Load information for the Distribution System, including guidance on the rules to be applied when allocating demand diversity of new and existing Customers to circuits

Refer to screenshot No. 47 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingandLoading/).

Refer to screenshot No. 48 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘South’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SEPD/).

Refer to screenshot No. 49 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘North’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SHEPD/).

- Relevant design standards and documents (e.g. the Energy Network Association's engineering recommendation G81)

Refer to screenshot No. 29 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Design and Specification Documents’ page (www.ssen.co.uk/CompetitionInConnections/DesignAndSpecificationDocuments/).

Refer to screenshot No. 30 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘All G81 Documents’ page (www.ssen.co.uk/CompetitionInConnections/G81Documents/).

- Asset sizes and ratings

Refer to screenshot No. 47 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingandLoading/).

Refer to screenshot No. 48 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘South’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SEPD/).

Refer to screenshot No. 49 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘North’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SHEPD/).

- Network operational diagrams

Refer to screenshot No. 44 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘HV Network

Schematics' page (www.ssen.co.uk/CompetitionInConnections/HVNetworkSchematics/).

Refer to screenshot No. 45 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'HV Network Schematics' – 'South' page

(www.ssen.co.uk/CompetitionInConnections/SEPDHVNetworkSchematics/).

Refer to screenshot No. 46 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'HV Network Schematics' – 'North' page

(www.ssen.co.uk/CompetitionInConnections/SHEPDHVNetworkSchematics/).

Supporting Evidence

- Screenshots No. 12 and 24 to 50 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for specifications, network information and GIS via above links

4.8 Point of Connection Accreditation

4.8.2 Each DNO will, at least annually, assess the areas where accreditation is not available and ensure that the NERS Accreditation Body is aware of these omissions from the overall NERS scheme. Once these have been identified the DNOs will work with NERS to put in place the appropriate scope changes or additions to increase areas of accreditation where practicable.

SHEPD/SEPD is an active member of NERSAP, the NERS Panel which has actively reviewed and assessed the Code of Practice (CoP) for additions to or omission from the NERS scheme.

Any omissions or additions have been addressed. However this remains a standing task for NERSAP as can be seen detailed in the attached minutes.

SHEPD/SEPD also engage actively in the process of NERS scope review as part of the COP Panel, with an annual review of scope a standing item on the panel agenda.

Supporting Evidence

- NERSAP Minutes 15 11 16 Final.pdf
- NERSAP_Minutes_14_03_17_Final.pdf
- 25-05-16_-_CiC_Code_of_Practice_-_Minutes_2.pdf
- 26-07-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- 26-10-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- 20-12-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- CiC_Code_of_Practice_Panel_-_21.03.17_-_Minutes.pdf
- MCCGSeminar16_SSEN Presentation_Final.pdf [Slides 9-11]

4.9 POC assessment Using Standard Design Matrix

4.9.1 Some Point of Connection designs can be determined using a Standard Design Matrix. To facilitate this, the DNO shall publish an up-to-date Standard Design Matrix for use by the ICP. Figure 3 below sets out the key process steps in using the Standard Design Matrix.

Some Point of Connection designs may be determined using a Standard Design Matrix. To facilitate this, SHEPD/SEPD has a published and up-to-date Standard Design Matrix in their secure website, which can be accessed via SSEN's dedicated secure ICP/IDNO Web-Portal.

Refer to screenshot No. 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'POC Guidance Matrix' page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

This Matrix may be used, in conjunction with Figure 3 of the Code of Practice (CoP), to identify a Point of Connection.

Supporting Evidence

- 'POC Self Identification Matrix' (TG-PS-930_Summary_POC_Matrix V14.xlsx)
- 'POC Self Identification and Self Design Approval Guidance' note
- Screenshots No. 12 and 24 to 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for the determination and design of the Point of Connection via above link

4.9.2 To allow the ICP to use the Standard Design Matrix the DNO will provide the following;

- *the process to be applied when using the Standard Design Matrix;*
- *a Standard Design Matrix that will assist in assessing the capacity that can be connected to an existing network;*
- *capacity data to be used within the Standard Design Matrix; and*
- *geographical network data to allow the ICP to check where the Point of Connection is to be located on the DNO's Distribution System.*

The Standard Design Matrix includes details of the process to be applied to identify a Point of Connection including the process in assessing load and capacity data. The matrix is held in SSEN's secure website, which can be accessed via SSEN's dedicated secure ICP/IDNO Web-Portal.

Refer to screenshot No. 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'POC Guidance Matrix' page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

This Matrix may be used, in conjunction with the capacity data and geographical network data; also available to Alternative Providers via SSEN's dedicated secure ICP/IDNO Web-Portal.

Refer to screenshot No. 41 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'Network GIS' page (www.ssen.co.uk/CompetitionInConnections/GIS/).

Refer to screenshot No. 42 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'Network GIS' – England page (south.sse-mapping.net/sgis/cic_south_01/HTML/main_page.html).

Refer to screenshot No. 43 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network GIS’ – Scotland page (north.sse-mapping.net/ngis/cic_north_01/HTML/main_page.html).

Refer to screenshot No. 47 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingandLoading/).

Refer to screenshot No. 48 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘South’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SEPD/).

Refer to screenshot No. 49 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘Network Rating and Loading’ – ‘North’ page (www.ssen.co.uk/CompetitionInConnections/NetworkRatingAndLoading/SHEPD/).

Supporting Evidence

- ‘POC Self Identification Matrix’ (TG-PS-930_Summary_POC_Matrix V14.xlsx)
- ‘POC Self Identification and Self Design Approval Guidance’ note
- Screenshots No. 12, 24 to 28, 41 to 43 and 47 to 49 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for the determination and design of the Point of Connection via above link

4.11 Information Exchanges

4.11.1 The ICP and DNO shall each use their reasonable endeavours to exchange information required to determine the Point of Connection. The information from the ICP will be provided at the following stages:

- *Point of Connection Notice – when the ICP commences investigating a Point of Connection;*
- *Point of Connection Issue – when the ICP issues a quotation to a Customer; and*
- *Point of Connection Acceptance – when the Customer accepts the quotation issued by the ICP.*

4.11.4 The DNO will ensure that all relevant information is made available to the ICP either on-line or on request.

In order to facilitate the exchange of information required to determine the Point of Connection, SHEPD/SEPD continues to use the online process. This allows ICPs & IDNOs to provide information to SHEPD/SEPD during the following key stages:

- Point of Connection Notice – when the Alternative Provider commences investigating a Point of Connection;
- Point of Connection Issue – when the Alternative Provider issues a quotation to a Customer; and
- Point of Connection Acceptance – when the Customer accepts the quotation issued by the Alternative Provider.

Using this process SHEPD/SEPD has been able to provide the ICP with all relevant information required, either online or as a consequence of requesting this via the key stages above, including:

- If EHV reinforcement is required
- Any relevant rebate or cost apportioned second comer costs under ECCR
- Contracted but not connected load that may be required to be included in an ICPs assessment and design
- Other known network constraints that may impinge on the connection
- Any planned but not yet completed reinforcement together with its timescale
- Any interactivity with the connection, as it occurs

This approach was rolled out at a number of dedicated workshops during 2015,2016 and 2017 and supplemented with specific ICP/IDNO Newsletters, which are available to be downloaded from the website (www.ssen.co.uk/Connections/EngagementPublications/).

Supporting Evidence

- newsletter 2-icps-idnos_Nov 15.pdf [POC Self Identification & Self Design Approval]
- ICP IDNO Newsletter Sep 2016.pdf
- ICP IDNO Newsletter March 2017.pdf
- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slides 14- 15]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf [Slides 14-15]
- SHEPD Flexible Connections and ICP IDNO Workshops (090117).pdf [Slide 31]
- SEPD Flexible Connections and ICP IDNO Workshops (010217).pdf [Slide 32]

4.12 Self Determination Information

4.12.1 Each DNO will publish when an ICP can self determine their own POC utilising the common template below.

Market Segment	Self Determination Available (Yes/No)	Comment
LV demand		
HV demand		
HVEHV demand		
EHV132 demand		
DG LV		
DG HVEHV		
UMS LA		
UMS Other		
UMS PFI		

SHEPD/SEPD has published the circumstances where an ICP/IDNO can self determine their own POC utilising the common template.

See enclosed 'POC Self Identification and Self Design Approval Guidance' note.

Table 1 below is an extract of the guidance note published on SSEN's secure website.

Table 1 – When an ICP can self determine their own POC

Market Segment	Self determination available (Yes/No)	Comment
LV demand	Yes	
HV demand	Yes	
HVEHV demand	No	
EHV132 demand	No	
DG LV	No	
DG HVEHV	No	
UMS LA	Yes	
UMS Other	Yes	
UMS PFI	Yes	

Refer to screenshot No. 28 in enclosed supporting document "SEPD & SHEPD_Custome rs_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'POC Guidance Matrix' page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

4.12.2 Each DNO will publish the criteria by which an ICP can determine their own POC utilising a Standard Design Matrix utilising the common template below.

Criteria	Measurement	Comment
Connection capacity		
Distance to substation		
Service cable length		
Transformer capacity		
Asset types excluded		

SHEPD/SEPD has published the criteria by which an ICP/IDNO can determine their own POC utilising the common template.

See enclosed 'POC Self Identification and Self Design Approval Guidance' note.

Table 2 below is an extract of the guidance note published on SSEN's secure website.

Table 2 – Criteria by which an ICP can determine their own POC

Criteria	Measurement	Comment
connection capacity	Up to 1MVA	Dependant on POC voltage
distance to substation	N/A	Design assessment using suitable analysis tools required for any extension greater than 10m.
service cable length	Service length <20m	Longer lengths require design assessment using suitable analysis tools.
transformer capacity	Transformer capacity >50kVA	Existing Transformer Load assessment required where connection is greater then 23kVA (ADMD).
asset types excluded	Connections involving EHV assets. Distributed Generation connections.	

Refer to screenshot No. 28 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'POC Guidance Matrix' page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

Table 1: Information on Self Determination of Points of Connection – SHEPD

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued	Number of SLC15 Quotes Issued	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Yes		840	87	0	0
HV demand	Yes		1883	107	0	0
HVEHV demand	No		95	19	0	0
EHV132 demand	No		6	2	0	0
DG LV	No		218	1	0	0
DG HVEHV	No		383	28	0	0
UMS LA	Yes		196	0	0	0
UMS Other	Yes		826	8	0	0
UMS PFI	Yes	Note: Currently, there are no Unmetered Private Finance Initiatives in the North of Scotland.	0	0	0	0

Table 1: Information on Self Determination of Points of Connection – SEPD

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued	Number of SLC15 Quotes Issued	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Yes		3047	342	0	0
HV demand	Yes		2466	1370	0*	0
HVEHV demand	No		47	156	0	0
EHV132 demand	No		10	24	0	0
DG LV	No		792	1	0	0
DG HVEHV	No		591	252	0	0
UMS LA	Yes		284	31	0	0
UMS Other	Yes		1875	30	0	0
UMS PFI	Yes		65	4	0	0

Comment:

*One Point of Connection (POC) was identified by an ICP but this POC was non-compliant, therefore, SEPD subsequently identified the POC and charged the ICP on this basis.

4.13 Connection Design

4.13.2 In designing the Connection the ICP shall take account of any reasonable requirements of the DNO, and all of the DNO's design standards in place at the time. All relevant design standards and specifications, such as G81, will be made available.

SHEPD/SEPD sets out details of any reasonable requirements on the SSEN website including their design standards and G81 documents.

The following are links to the design specifications available:

- relevant design standards and documents (e.g. the Energy Network Association's Engineering Recommendation G81)

www.ssen.co.uk/CompetitionInConnections/DesignAndSpecificationDocuments/

www.ssen.co.uk/CompetitionInConnections/G81Documents/

www.ssen.co.uk/CompetitionInConnections/UnmeteredConnections/

www.ssen.co.uk/CompetitionInConnections/LowVoltageCablesAndTerminations/

www.ssen.co.uk/CompetitionInConnections/SecondaryDistributionSubstations/

www.ssen.co.uk/CompetitionInConnections/6kVand11kV/

www.ssen.co.uk/CompetitionInConnection/22kVand33kV/

www.ssen.co.uk/CompetitionInConnections/OperationalDocuments/

www.ssen.co.uk/CompetitionInConnections/DistributedGeneration/

Supporting Evidence

- Screenshots No. 12, 24 to 27, and 29 to 37 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for G81 design and specification documents available on our secure website via above links

4.13.3 Where the Connection Works are to be adopted by an IDNO, the DNO shall not require unduly onerous boundary requirements between the IDNO's network and the DNO's Distribution System. Where the DNO requires additional assets to be provided at the boundary (other than those it would require if it was connecting the Connection Works to its own Distribution System) the DNO shall set out the reasons.

SHEPD/SEPD does not require any additional boundary equipment between it's and an IDNO's network at LV. SHEPD/SEPD retains the requirement for boundary equipment at higher voltages in compliance with the Distribution Code.

4.16 Design Approval

4.16.3 DNOs shall complete and publish the following standard tables on their website.

The proposed tables would be set out as follows:

Table One – The market segments where the ICP is able to self-approve its designs

Market Segment	Self Approval Available (Yes/No)	Comment
LV demand		
HV demand		
HVEHV demand		
EHV132 demand		
DG LV		
DG HVEHV		
UMS LA		
UMS Other		
UMS PFI		

Table Two - Qualifying criteria that will apply to allow an ICP to move between the different levels of design approval

Level	Criteria
1	
2	
3	
etc	<i>ICP fully able to self-approve contestable designs*</i>

*If applicable

SHEPD/SEPD has published the standard design approval tables utilising the common template.

See enclosed 'POC Self Identification and Self Design Approval Guidance' note.

Tables 3 and 4 below are an extract of the guidance note published on SSEN's secure website.

Table 3 – The market segments where the ICP is able to self-approve its designs

Relevant Market Segment	Self-approval of designs available (Yes/No)	Comment
LV demand	Yes	
HV demand	Yes	
HV/EHV demand	No	
EHV/132kV demand	No	
DG LV	No	
DG HV/EHV	No	
UMS LA	Yes	
UMS Other	Yes	
UMS PFI	Yes	

Table 4 – Qualifying criteria that will apply to allow an ICP to move between the different levels of design approval

Level	Criteria
1	If ICP has suitable NERs accreditation, the ICP then is fully able to self-approve contestable designs
2	N/A
3	N/A
etc	<i>ICP fully able to self-approve contestable designs*</i>

*If applicable

Refer to screenshot No. 28 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Secure Documents’ – ‘POC Guidance Matrix’ page (www.ssen.co.uk/CompetitionInConnections/POCGuidanceMatrix/).

4.16.4 Where an ICP, having met the criteria set out by the DNO, undertakes design approval of the Connection Works the ICP shall not require design approval from the DNO.

However, the ICP may still ask the DNO to approve or validate the design.

As detailed in 4.16.3 above, SHEPD/SEPD only requires that an ICP is suitably Accredited for them to undertake their own design approval for all LV and HV Demand projects and unmetered projects.

However, where an ICP specifically requests that SHEPD/SEPD approves their design, they may request this on a job by job basis. Where this is requested, this is carried out within the required timescale as set out in our licence.

This approach was rolled out at a number of dedicated workshops during 2015 and 2016 and supplemented with a specific ICP/IDNO Newsletter.

As noted in Table 2 below, the facility for all ICPs to undertake their own design approval for all LV demand and HV demand projects has existed since November 2015. Although many ICPs initially continued to request that we carry this task out, we are now seeing a growing number of ICPs submitting their designs for review only and self-approving their design.

Supporting Evidence

- newsletter 2-icps-idnos_Nov 15.pdf [POC Self Identification & Self Design Approval]

4.16.6 Where the design approval for Contestable Works is to be undertaken by an Accredited ICP, the ICP shall nevertheless submit the approved design to the DNO for inspection. As construction shall not need to wait to commence, such inspection shall not unduly delay the ICP in carrying out its works. Such inspection shall not exceed the level of inspection the DNO employs in its own connection services. To assist the inspection, the DNO may request the ICP to provide additional information. Where the inspection identifies non-conformance with the DNO's design standards or there was an issue with the POC, the DNO shall notify the ICP of such non-compliances and any required corrective actions. The DNO shall be entitled to re-inspect the design following completion of the corrective actions by the ICP.

Where the design approval for the Contestable Works is to be undertaken by an Accredited ICP/IDNO, SHEPD/SEPD has a clear signposted process for ICPs/IDNOs to submit their design for information. This approach is recognised and documented. The documentation is provided for all interested parties at SSEN's secure ICP/IDNO Web-Portal.

Refer to screenshots No. 12 and 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Secure Documents' (www.ssen.co.uk/CompetitionInConnections/).

Where, during the review of the design submitted for information, any non-conformance with design standards or issues with POCs are identified SHEPD/SEPD has in place a process to inform the ICP/IDNO by email of any non-conformity together with the corrective actions required. The ICP does not need to wait for the feedback on our inspection of their design and therefore is no more onerous than required of our own business.

This approach was rolled out at a number of dedicated workshops during 2015, 2016 and 2017 and supplemented with specific ICP/IDNO Newsletters, which are available to be downloaded from the website (www.ssen.co.uk/Connections/EngagementPublications/).

Supporting Evidence

- newsletter 2-icps-idnos_Nov 15.pdf [POC Self Identification & Self Design Approval]
- ICP IDNO Newsletter Sep 2016.pdf
- ICP IDNO Newsletter March 2017.pdf
- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slide 15]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf [Slide 15]
- Screenshots No. 12 and 24 to 50 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for specifications, network information and GIS via above link

4.16.8 If the DNO has any concerns as to the competency of the Accredited ICP this must be highlighted to the NERS Accreditation Body and the ICP.

SHEPD/SEPD continues to engage with ICP's to resolve issues at source should, any concerns arise around competency. Should this not resolve matters, SHEPD/SEPD will escalate to a senior manager within SHEPD/SEPD who will engage with the ICP concerned at a more senior level to address issues.

Ultimately SHEPD/SEPD will inform NERS service providers of any concerns with specific Alternative Providers. SHEPD/SEPD would only take this step when all other avenues have been exhausted.

Additionally SHEPD/SEPD also works closely with the NERS service provider on an ongoing basis identifying and reinforcing best performance by individual ICPs.

Table 2: Information on Self Approval of Designs – SHEPD

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved	Number of Self Approved Designs
LV demand	Yes		22	0
HV demand	Yes		7	1
HVEHV demand	No		3	0
EHV132 demand	No		0	0
DG LV	No		0	0
DG HVEHV	No		25	0
UMS LA	Yes	No Design Approval required for Unmetered tasks but it is available.	0	0
UMS Other	Yes	No Design Approval required for Unmetered tasks but it is available.	0	0
UMS PFI	Yes	No Design Approval required for Unmetered tasks but it is available. Note: Currently, there are no Unmetered Private Finance Initiatives in the North of Scotland.	0	0

Table 2: Information on Self Approval of Designs – SEPD

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved	Number of Self Approved Designs
LV demand	Yes		17	65
HV demand	Yes		11	66
HVEHV demand	No		1	0
EHV132 demand	No		1	0
DG LV	No		0	0
DG HVEHV	No		7	0
UMS LA	Yes	No Design Approval required for Unmetered tasks but it is available.	0	0
UMS Other	Yes	No Design Approval required for Unmetered tasks but it is available.	0	0
UMS PFI	Yes	No Design Approval required for Unmetered tasks but it is available.	0	0

4.18 Final Connection

4.18.1 The DNO shall set out the processes for facilitating the provision and registering of MPANs for premises that will connect to Connection Works that the DNO will adopt.

4.18.2 The DNO will provide this service in the same manner that it would provide to either a customer directly or its own business.

4.18.3 The ICP will be provided with any data or contact details of the DNO's MPAN creation team.

SHEPD/SEPD has set out the process of registering MPANs associated with all new connections.

This process is common across all market participants, be they Alternative Providers or SHEPD/SEPD own Connections business.

Specific MPAN process guides have been created to cover different market segments, which are published on SSEN's website. These can be found on its dedicated MPAN page.

Contact details for the MPAN team are also located on the dedicated MPAN web page and in the MPAN guide.

Refer to screenshot No. 52 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'MPAN' page (www.ssen.co.uk/MPAN/).

Supporting Evidence

- Independent Connection Provider MPAN process.pdf
- Screenshot No. 52 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" for MPAN process via above link

5.1 Accreditations

5.1.3 In all cases where NERS accreditation is not available DNOs will work with the scheme administrator to implement a scope change to cover the relevant activity consistent with the Relevant Objectives in section 2.3.

SHEPD/SEPD is an active member of NERSAP, the NERS Panel which has actively reviewed and assessed the Code of Practice (CoP) for additions to or omission from the NERS scheme. They are committed to continuing this role; working closely with NERS service provider should the scope change of any relevant activities be identified.

SHEPD/SEPD also engage actively in the process of NERS scope review as part of the COP Panel, with an annual review of scope a standing item on the panel agenda.

Supporting Evidence

- NERSAP Minutes 15 11 16 Final.pdf
- NERSAP_Minutes_14_03_17_Final.pdf
- 25-05-16_-_CiC_Code_of_Practice_-_Minutes_2.pdf

- 26-07-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- 26-10-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- 20-12-16_-_CiC_Code_of_Practice_-_Minutes.pdf
- CiC_Code_of_Practice_Panel_-_21.03.17_-_Minutes.pdf

5.2. Authorisations

5.2.2. Training and / or authorisations relating to G39 authorisations accepted by a given DNO shall be accepted by other DNOs

SHEPD/SEPD recognises and accepts training and/or authorisation given by any other DNO regarding G39 and other competencies e.g. removing cut-out fuses etc.

This approach is recognised and documented. The documentation is provided for all interested parties at SSEN's secure ICP/IDNO Web-Portal.

Refer to screenshots No. 12 and 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Secure Documents' (www.ssen.co.uk/CompetitionInConnections/).

Refer to screenshot No. 36 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'Operational Documents' page (www.ssen.co.uk/CompetitionInConnections/OperationalDocuments/).

This approach was rolled out at a number of dedicated workshops during 2015 and 2016 and supplemented with a specific ICP/IDNO Newsletter.

Supporting Evidence

- newsletter 3-icps-idnos_Apr 16.pdf [Inspection & Monitoring_Authorisation process]
- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slides 37-44]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf [Slides 41-48]
- Screenshots No. 12, 24 to 27, 29, 30, and 36 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for operational documents via above links

5.2.3. The following options for authorisation of ICP employees will be available, subject to agreement between the ICP and the DNO in consideration of the type of work being undertaken and in accordance with the specific DNO requirements for each option and published on its website:

- *Option 1 - ICP authorisation of ICP Employees and Contractors*
- *Option 2 - DNO authorisation of ICP Employees*
- *Option 3 - Transfer of Control*

SHEPD/SEPD facilities all three authorisation Options dependent on the ICP/IDNO's preference. SHEPD/SEPD offer the facility for an ICP to be authorised under SHEPD/SEPD's Distribution Safety Rules (DSRs), and will also recognise an ICP's own DSRs.

This approach is recognised and documented. The documentation is provided for all interested parties at SSEN's secure ICP/IDNO Web-Portal.

Refer to screenshots No. 12 and 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Secure Documents' (www.ssen.co.uk/CompetitionInConnections/).

Refer to screenshot No. 36 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Secure Documents' – 'Operational Documents' page (www.ssen.co.uk/CompetitionInConnections/OperationalDocuments/).

This approach was rolled out at a number of dedicated workshops during 2015 and 2016 and supplemented with a specific ICP/IDNO Newsletter.

SHEPD/SEPD has carried out a number of LV and HV projects with ICPs under both Options 1 and Options 2 and have reviewed and now recognise 22 other Distribution Safety Rules (DSRs) in addition to SHEPD/SEPD's own DSRs in readiness to facilitate both Options 1 and Option 3 when as requested by the ICP/IDNO.

Supporting Evidence

- newsletter 3-icps-idnos_Apr 16.pdf [Inspection & Monitoring_Authorisation process]
- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slides 37-44]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf [Slides 41-48]
- Screenshots No. 12, 24 to 27, 29, 30, and 36 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our secure website (containing secure documents and network information available to Alternative Providers) for operational documents via above links

Table 3: Information on Authorisations – SHEPD and SEPD Licenced Areas

Activities	Option 1- ICP (Yes/No)	Option 2 – DNO (Yes/No)	Option 3 – Transfer of control (Yes/No)	Comments
LV Works	Yes	Yes	Yes	
LV Operations	Yes	Yes	Yes	
HV Works	Yes	Yes	Yes	
HV Operations	Yes	Yes	Yes	
EHV Works	Yes	Yes	Yes	
EHV Operations	Yes	Yes	Yes	
Unmetered Works	Yes	Yes	Yes	
Unmetered Operations	Yes	Yes	Yes	

6.1 Auditing

6.1.2. Auditing is undertaken to assess and validate the ability of ICPs to undertake specified NERS activities. ICPs Accredited under NERS will be subject to the audit provisions of NERS. DNOs are not required to, and will not, without reasonable cause, undertake additional audits of NERS accredited ICPs.

SHEPD/SEPD has not carried out any audits on NERS Accredited ICPs/IDNOs working in our Distribution Service Area. All audits are now solely carried out by Lloyds as part of the NERS process.

6.1.3. Where a DNO elects to provide its own ICP Accreditation (either where there is no accreditation available under NERS for particular activities or as an alternative to NERS in agreement with the ICP) the DNO shall undertake its own surveillance and assessment. In these cases the arrangements should be consistent with the arrangements used by the DNO for its own Connection Works and for its sub-contracted works and shall be not more onerous than that used by NERS.

SHEPD/SEPD has not chosen to provide its own ICP Accreditation during the period. SHEPD/SEPD believes that all areas are available for accreditation under NERS. SHEPD/SEPD believes it wouldn't be appropriate or efficient to establish an alternative to NERS accreditation.

6.2. Inspection

6.2.1. DNOs shall be entitled to inspect ICP works. However, DNOs should be mindful of their obligations in respect of competition in Connections, and should therefore consider appointing independent inspectors to undertake this activity. In any case, such inspection should not unduly restrict or delay the Accredited ICP from undertaking work and must be no more onerous than the quality assurance regime used for the DNO's own Connections' activities.

6.2.3. If the DNO identifies a non-conformance, the DNO shall specify what the non-conformance is and set out the corrective actions that need to be undertaken. On completion of the corrective actions, the ICP shall advise the DNO and the DNO shall be entitled to revisit the site and carry out a further inspection.

SHEPD/SEPD has established a dedicated site inspections team under a separate internal business unit to carry out all inspections on contestable works, be they carried out by an Alternative Provider or SHEPD/SEPD's own Connections business. The process of selecting jobs and carrying out inspections is the same for both SHEPD/SEPD's own Connections business and an ICP.

In this way inspection results, records and resolutions are managed in a consistent and transparent manner.

This approach was rolled out at a number of dedicated workshops during 2015 and 2016 and supplemented with a specific ICP/IDNO Newsletter.

It should be noted that as inspections relate to projects not exit points there is no direct correlation between number of inspections and number of exit points. Projects may include many or few exit

points. An IDNO project for example commonly involves a single exit point.

Supporting Evidence

- newsletter 3-icps-idnos_Apr 16.pdf [Inspection & Monitoring_Authorisation process]
- SHEPD - ICP & IDNO Presentation 14.06.16.pdf [Slides 28-36]
- SEPD - ICP & IDNO Presentation 15.06.16.pdf [Slides 28-39]

Table 4: Information on Inspections – SHEPD

	Number of Inspections Made	% of inspections made*	Number of Connections made (exit points)**	Comments
DNO	554	82%	6695	
ICPs	124	18%	482	

Comment:

* The % of inspections made are calculated as follows:

- Number of Inspections made (DNO) ÷ Total number of inspections made (DNO + ICPs) x 100
- Number of Inspections made (ICPs) ÷ Total number of inspections made (DNO + ICPs) x 100

** The figures for 'Number of Connections made (exit points)' are composed of the following:

- Number of metered MPANs that have been connected/energised
- Number of Point of Connections (POCs) that have been connected/energised (if MPANs unknown)
- Number of unmetered tasks (i.e. new connections, transfers and disconnections) that have impacted the exit points

Table 4: Information on Inspections – SEPD

	Number of Inspections Made	% of inspections made*	Number of Connections made (exit points)**	Comments
DNO	657	83%	18703	
ICPs	139	17%	11754	

Comment:

* The % of inspections made are calculated as follows:

- Number of Inspections made (DNO) ÷ Total number of inspections made (DNO + ICPs) x 100
- Number of Inspections made (ICPs) ÷ Total number of inspections made (DNO + ICPs) x 100

** The figures for ‘**Number of Connections made (exit points)**’ are composed of the following:

- Number of metered MPANs that have been connected/energised
- Number of Point of Connections (POCs) that have been connected/energised (if MPANs unknown)
- Number of unmetered tasks (i.e. new connections, transfers and disconnections) that have impacted the exit points

7.2 Land Rights

7.2.1 The DNO will publish criteria which trigger the need for Land Rights relating to assets they will adopt or require access to, which shall be no more onerous than those it would seek for its own Connections activities.

SHEPD/SEPD publishes full details of the criteria which trigger any land rights required where Alternative Providers are involved in the acquiring of rights for the installation of distribution assets.

The land rights required are set out in the document “Land rights requirements relating to assets to be installed or adopted by SEPD or SHEPD”, which is published on SSEN’s website.

Two dedicated “Wayleaves” guides have been created and revised, one for Scotland and the other for England, which are published on SSEN’s website.

Refer to screenshot No. 18 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ page (www.ssen.co.uk/LandRights/).

Refer to screenshot No. 19 in enclosed supporting document “SEPD and SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ – Central southern England – ‘SEPD’ page (www.ssen.co.uk/LandRights/Library/SEPD/).

Refer to screenshot No. 20 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ – Northern Scotland – ‘SHEPD’ page (www.ssen.co.uk/LandRights/Library/SHEPD/).

This approach was rolled out at a number of dedicated workshops during 2015 and 2016 and supplemented with a specific ICP/IDNO Newsletter and is no more onerous than it would be for our own connections activities.

Supporting Evidence

- newsletter 1-icps-idnos_Sep 15.pdf [Improved Online Functionality & Information provision]
- ICP IDNO Newsletter Sep 2016.pdf
- ICP IDNO Newsletter March 2017.pdf
- Land rights requirements document (Land rights requirements.pdf)

- Wayleaves guide 1 (wayleaves_scotland_v3_2017.pdf)
- Wayleaves guide 2 (wayleaves_southern_v3_2016.pdf)
- Screenshots No. 12 and 17 to 20 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information – Screenshots.pdf” which show how to access our ‘Land Rights Requirements and Documentation’ page via above links

7.2.2 Subject to and in accordance with the terms of the agreed and applicable incorporated process, the IDNO will be able to negotiate on behalf of the DNO where IDNO and DNO dual use land right agreements are required so that they can secure the rights required for the connection and extension of the network.

SEPD have in place an incorporated process which allows an IDNO to negotiate on behalf of SEPD for dual use land right agreements as required.

As a result of the structure of the conveyancing system in Scotland, the Incorporated process is not applicable for SHEPD. IDNO’s are able to utilise the lease / sub-lease templates published on the website.

Supporting Evidence

- Land rights requirements document (Land rights requirements.pdf)

7.2.3 DNOs shall provide model standard Land Rights documentation for use by ICPs. The ICP may prepare the legal documentation for the Land Rights for the signature or authorisation of the DNO.

SHEPD/SEPD has provided a full suite of model standard Land Right documentation for use by ICPs/IDNOs. Using these, an Alternative Provider may prepare the legal documentation for the Land Rights to be signed by SHEPD/SEPD. The following documents are published on SSEN’s website.

Refer to screenshot No. 18 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ page (www.ssen.co.uk/LandRights/).

Refer to screenshot No. 19 in enclosed supporting document “SEPD and SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ – ‘SEPD Land Rights Documents’ page (www.ssen.co.uk/LandRights/Library/SEPD/).

Refer to screenshot No. 20 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Competition in Connections – For ICPs and IDNOs’ – ‘Land Rights Requirements and Documentation’ – ‘SHEPD Land Rights Documents’ page (www.ssen.co.uk/LandRights/Library/SHEPD/).

Supporting Evidence

- Screenshots No. 12 and 17 to 20 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show how to access our ‘Land Rights Requirements and Documentation’ page via above links

7.4 Adoption

7.4.2 The ICP will provide the DNO all as-laid drawings and test certificates as specified by the DNO. This information should be no more onerous than the information provided by the DNO's own Connections' activities.

SHEPD/SEPD's as-laid drawings, commissioning and test certificates, and final records processes and procedures, are common across our own Connections activities and those carried out by Alternative Providers.

The common process documents are available to both SHEPD/SEPD's own Connections business and Alternative Providers as part of the G81 documentation provided, and updates as part of the information and data via SSEN's ICP/IDNO Web-Portal.

Refer to screenshot No. 21 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Network Adoption Process' (www.ssen.co.uk/CompetitionInConnections/).

Refer to screenshot No. 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf": SSEN website – 'Competition in Connections – For ICPs and IDNOs' page – Accessing 'Secure Documents' (www.ssen.co.uk/CompetitionInConnections/).

Supporting Evidence

- Network adoption process (Adoption Agreement process flowchart.pdf)
- Screenshots No. 21 and 24 in enclosed supporting document "SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf" which show how to access our 'Network Adoption Process' and 'Secure Documents' page via above links

10. Dispute Resolution

10.1. The DNO's complaints process will be used where any party considers that a DNO is not meeting their obligations under this code of practice. The complaints process will include appropriate levels of escalation within the DNO organisation. Each DNO shall publish their complaints resolution process on their website.

SHEPD/SEPD are committed to offering our customers the very best in customer service, and we are keen to hear how they feel about us especially if things have gone wrong. SEPD and SHEPD have a common complaints handling process which is applicable to any type of complaint.

We train all of our staff to offer the best possible customer service and do their utmost to help the customer. If they need to involve their manager, they will do so to ensure the matter is resolved as quickly and easily as possible. As part of resolving the complaint, we will offer an explanation and an apology. We will also take remedial action and may award compensation in appropriate circumstances.

Additionally, recognising the importance of complaints as part of the broad measure of customer satisfaction, we have a dedicated team to handle both complaints and compliments. Working under one Performance Manager, two Team Managers are responsible for the efforts of nine advisors who all actively engage with customers to resolve complaints at source. The team is split between SEPD

and SHEPD with all ultimately reporting to our Head of Customer Service.

In addition to training provided to all of our staff SHEPD/SEPD also provide consistent clear, well sign-posted and robust information on our website regarding complaints including:

- a dedicated complaints page

Refer to screenshot No. 55 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Customer support home’ – ‘Complaints’ page (www.ssen.co.uk/Complaints/).

- a clear concise guide to our complaints process

Refer to screenshot No. 57 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Complaints’ – ‘The Complaints Process’ page for Distribution (www.ssen.co.uk/TheComplaintsProcess/).

- a dedicated compliments page for when things go right

Refer to screenshot No. 59 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Customer support home’ – ‘Compliments’ page (www.ssen.co.uk/ifthingsgoright/).

- clear signposting from our Contact Us page

Refer to screenshot No. 60 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf”: SSEN website – ‘Customer support home’ – ‘Contact us’ page (www.ssen.co.uk/ContactUs/).

Supporting Evidence

- Complaints Handling Process (Complaints Handling Process V 2.2.pdf)
- Screenshots No. 53 to 60 in enclosed supporting document “SEPD & SHEPD_Customers_ICPs & IDNOs - Website information - Screenshots.pdf” which show how to access our ‘Customer support home’ page via above links