



Requirements Document

National Electricity Registration Scheme (NERS)



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Appendix 2	2nd Tier National Electricity Registration Scheme
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Document History

Changes from Version 0.6 – October 2009

1. Appendix 1 - enhanced requirements and clarifications regarding surveillance visit arrangements
2. Appendix 1 - enhanced clarifications regarding continuity of work and surveillance visits
3. Appendix 1 – enhanced requirements related to Investigations and Removal of Accreditations
4. Addition of Appendix 3 – Guidance on Project Management Function
5. Competency assessment and documentation, throughout the document clarified and expanded
6. Control and Management scope requirements (3.4) further clarified
7. Qualified supervisor role, qualification, experience and appointment further clarified
8. Assessing officer role further clarified with regard to management of passport
9. Passport and passport section (13) further clarified
10. Additions to Definitions to cater for clarifications that occur throughout document
11. Minor changes to text in body of document

Changes from Version 1.0 – March 2010

Changes made to previous document covering

1. Documentation required to support procedures and processes specified in definitions and, where documentation needed, in the requirements
2. (Section 3.2) Project Management enhanced to detail quality and supervisory arrangements required for Project Managers
3. Method statements become a standalone section (Section 6)
4. Work control and management (excluding method statements) now becomes Section 7 (with subsequent sections renumbered)
5. Human Resources and Training now combined in new Section 12.
6. Duplication in risk management requirements between former Section 2 and 7 removed. Elements are now all in Section 2.
7. Accreditation management arrangements (in Appendix 1) updated to provide further information on how surveillance visits and re-accreditations are managed.

Changes from Version 2.0 – June 2010

Changes made to previous document covering

1. Implementation of changes required for the implementation of the recommendations of the Connections Working Group

Changes from Version 3.0 – February 2011

1. Integration of the Safety Management System (SMS) Guidance into this document –
2. Project Management and Control and Management scopes further defined with regard to scope categories and use of sub-contractors.
3. Design procedures and competence further clarified
4. Surveillance visit schedules clarified
5. 2nd tier contractors scheme further clarified
6. Appendix 4 added giving Guidance on Competency Assessment.
7. National Operations (formerly section 3.5 of Requirements) amalgamated within document

Changes from Version 4.0 – June 2012

1. Unmetered 3.3.1 and 2nd tier scheme – backfill to tile / tape level clarified
2. Control and Management removed as a scope along with all reference to it (as a scope) – control and management criteria will be as Project Management. Existing UCP's Control and Management scopes will be transferred to Project Management scopes – recertification, when relevant, will be used to evaluate and re-clarify
3. Additional wording in section 3.2.and Appendix 3 to indicate that Project Management scopes are also available to UCP's holding a construction scope but who wish to subcontract and hence project manage work in other construction scopes that they don't hold accreditation for to appropriately accredited UCP's
4. 4.2.2. and 4.2.5 Additional guidance relevant to Technical Advisor – where such is working with a UCP with a construction scope
5. Unmetered 3.3.1 – removal of 1m rule – replaced with decision making process
6. Craftsperson's description of tasks further clarified as relevant throughout document
7. 4.2.8.Requirements of craftsperson's – reviewed and given further clarification
8. Further clarifications given re the requirement of certificate of competence for craftspersons in "Definitions";

Changes from Version 5.0 – June 2013

1. New scopes added for self-determination of POC
2. New scope added for Network Connection – unmetered OHL
3. UCP replaced by Provider

Changes from Version 6.0 – June 2014

1. Definitions 1.1 inclusion of definitions for LV, HV and EHV
2. Abbreviations 1.4 added ENA & ENATS
3. Design 3.1 LV cable networks to domestic properties and LV cable networks to industrial /commercial properties combined into a single scope of LV cable networks
4. Design 3.1 improved description of Self Determination of Point of Connection Scopes
5. Construction 3.3 Substation Installation for Distribution is amended to include HV as up to 20kV
6. 3.3.1 Addition of Telecoms cabinets
7. 4.2.1 Addition of reference to National Skills Academy for Power

8. Changes to the definition of Operational Scopes
9. Sub-contractors 5.1 Confirmation of the passport requirements for specialist sub-contractors
10. Investigations A1.4.1 clarification of wording to more clearly define the process and to give Providers an equitable approach
11. Notification to Adopting Utility Companies A1.8 clarification of wording
12. Inclusion of the NERS Investigation Process flow diagram, section A1.10
13. Addition of Appendix 5 Scope Guidance Document

Changes from Version 7.0 – November 2018

1. DNO and IDNO changed to NO throughout
2. HEEU Added to abbreviations
3. Maximum 3-year certification period added to competency definition
4. Competency recording system definition added
5. Confirmation of Competency Certificate definition added
6. LV Definition amended to be less than or equal to 1kV
7. Passport (NERS Passport) definition updated
8. Technical Advisor definition updated.
9. Un-metered connections scope changed to Highway Electrical Equipment
10. (Un-metered Connection) Highway Electrical Equipment (HEE) updated
11. Craftsperson's competence good practice clarification added.
12. 4.2.6 Requirements for Technical Advisor Added
13. 4.2.7 to 4.2.12 clause numbers updated
14. 4.2.13 Technical Advisor added and revised
15. 4.1.14 clause number updated
16. 5.1 deletions
17. 5.2 clarification of civils operative requirements (In Grey) LRQA Suggestion not discussed previously
18. 10.1 NJUG References Updated to Streetworks UK
19. 12.2 Roles added
20. Competency Recording and Monitoring system and Competency Certificate added
21. A2.4.6 LRQA Passport requirement reduced from will to may
22. A4.1 (subject to section 5 of requirements) statement deleted
23. A4.2 Clarification regarding Certificates of Competence added
24. Appendix 5 Un-metered connections scope changed to Highway Electrical Equipment
25. Appendix 5 Network Connections - Operational Activity Note updated

Changes from Version 8.0 – July 2021

1. Removal of references to Lloyd's Register following the change of name to LRQA

1. Introduction and purpose

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

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

The aim of NERS 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 Providers 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. Provider compliance is demonstrated by means of a thorough assessment of Provider's procedures and processes 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 Providers under the scheme and details what needs to be done to maintain accreditation.

In NERS there is a 2nd tier National Electricity Registration Scheme specifically for civil contractors who are supervised by NERS accredited Providers awarded the contestable work. This scheme has limited bounds of responsibility and scopes of work which are detailed in Appendix 2 of this document.

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 Providers in accordance with the Scheme and has been approved for doing so by the Scheme Advisory Panel.

Accreditation Certificate – a certificate awarded to a Provider 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 NERS 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 which will be adopting the constructed asset. For the purposes of the scheme a **NO.**

Assessing Officer – A person appointed by the Provider 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 Provider to determine their capability in accordance with the Scheme criteria.

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

Certificate of Competence - is a formal Provider recognisable document, dated with a **maximum** 3 year certification period confirmed by the signature of the Provider Assessing and Authorising officers, which states that an individual has been assessed as competent to perform specified work activities, within the accredited scopes of the Provider. This certificate of competence shall be issued to persons whose work includes that undertaken by a craftsperson and/or a craftsperson's mate and is in addition to the requirement of a NERS Passport and any certificates / authorisations required by an adopting utility.

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

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

Competency Recording and Monitoring System – A system that records and monitors the competency of staff to a minimum of that required by the NERS Passport

Confirmation of Competency Certificate – a certificate that is generated by a compliant Competency Recording and Monitoring System and fulfils the requirements of both the NERS Passport and Certificate of Competency

Craftsperson – a person who has been trained to undertake specific tasks associated with the installation and/or construction of electrical plant or equipment. For scheme purposes these include cable jointers, overhead electrical linespersons, electrical fitters and mates to those skills.

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.

DSR – Distribution Safety Rules

Energy and Utility Skills Register (EUSR) – is a proposed web accessible database register of competencies. (Note – Whilst, it is proposed, this may offer an alternative to the NERS Passport, it is currently not available for use for NERS competency registrations – Providers should be aware of this register.

Extra High Voltage (EHV) – Voltages greater than 20kV up to and including 132kV

High Voltage (HV) – Voltages greater than 1kV up to and including 20kV

Low Voltage (LV) – Voltages **less than or equal to 1kV**

NERS Provider (Provider) – a company meeting the requirements for accreditation and which has been assessed as competent in accordance with the scheme requirements.

Passport (NERS Passport) – is a document that is issued by a Provider to an individual, before any work commences, to authenticate the identification of that individual and give a general record of that individuals training, competence, inductions, reviews, audits and work histories, **or through the issuing of a Confirmation of Competency Certificate generated from a compliant Competency Recording and Monitoring System.**

Procedure – a specified way of carrying out a process or activity. Where specified procedures shall be documented, they shall be version controlled with the approver/authoriser of each document

identifiable. The media used for documented procedures shall enable the information to be readily accessible by those working on associated activities

Process – a set of interrelated activities for transforming inputs into outputs

Qualified Supervisor – a competent person appointed by the Provider who has specific and direct responsibility, for the safety, quality and technical standard of work performed by all staff under their supervision.

Safety Management System – the systems, processes and procedures, forming the Provider ‘s safe system of work, that ensure all aspects of the Health and Safety at Work Act 1974 and all appropriate legislation and regulations relating to the work covered under the Scheme are complied with.

Second Tier Registration Scheme – a scope for civil contractors who are supervised by NERS accredited Providers and limits 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 (NERS Advisory Panel).

Technical Advisor – A person appointed by the **NERS Project Management Provider** who has the appropriate level of qualification and operational experience (subject to the relevant scopes of work undertaken/to be undertaken) to advise the Provider on the fundamentals of the industry, the scheme **and overseeing of NERS accredited Construction Providers**. The Technical Advisor may be an employee of the provider or employed on a consultancy basis. **Construction Providers are not required to appoint a Technical Advisor as the Authorising and Assessing Officers can fulfil this role**

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.
- work being carried out which does not comply with adopting utility specifications or where work proceeds that requires adopting utility approval and that approval has not been given.
- controls are insufficient to mitigate possible risk to the electricity network and/or impact on users of existing network
- 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 Provider'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 systems procedures and processes, 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/ procedures
- failure in observing customer care protocols

Observations are made where: -

- the accreditation body identifies potential improvements for the Provider to mitigate against compliance or delivery risks;
- 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
NO	-	Network Operator. The licensed company responsible for the electrical distribution network in a franchised area designated under the Electricity Act or the licensed company responsible for an electrical distribution network embedded within one of the franchise areas designated under the Electricity Act.
ENA	-	Energy Networks Association
ENATS	-	Energy Networks Association Technical Specification
EUSR	-	Energy and Utility Skills Register
HEEU	-	Highway Electrical Equipment (un-metered)
HSE	-	Health and Safety Executive
HSWA	-	Health and Safety at Work Act
LR	-	LRQA EMEA
NERS	-	National Electricity Registration Scheme
NERSAP	-	National Electricity Registration Scheme Advisory Panel
NRSWA	-	New Roads and Street Works Act
NVQ	-	National Vocational Qualification
OFGEM	-	Office of Gas & Electricity Markets
PPE	-	Personal Protective Equipment
Provider-		NERS Provider (formerly known as UCP)

2. Responsibilities

Accreditation is a demonstration that the procedures, processes and competencies have been established by a Provider 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 Provider. This is verified through an ongoing surveillance audit programme which checks, over the period of accreditation, work carried out and supporting procedures.

2.1 Provider Responsibilities

Providers shall:

1. maintain an effective management structure to consistently deliver accredited scopes of work to the scheme requirements;
2. clearly define the scope of the services they provide;

3. be pro-active in monitoring the quality of their work without reliance on the Accreditation Body or the Adopting Utility;
4. arrange with the Accreditation Body for visits to be done in accordance with the agreed surveillance programme;
5. immediately cease work and implement improvements when a major deficiency is raised
6. ensure deficiencies identified by the accreditation body are closed out within agreed time scales;
7. ensure that identified workmanship issues are rectified before work proceeds;
8. 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.
- a. rectify any defects notified by the accreditation body, or the adopting utility, that are the Provider's responsibility
- b. provide information required by any relevant regulatory bodies

2.2 Risk Management

Providers should establish a risk management process which evaluates ongoing risk to their accreditation status. Subcontracted aspects of their accredited scopes of work should be incorporated into this process.

Examples of where risks to accreditation can arise are:

- reliance on scheme accreditation as the sole indicator of contractors ongoing competence (as the checks done on providers are limited in number and may only periodically sample the work elements being sub-contracted)
- inadequate checking of sub-contracted activities or not ensuring that scheme requirements delegated to others are being adequately performed.

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 Providers business constraints;
5. take action to investigate/suspend Providers who do not promptly respond and take the required action when a major deficiency being raised
6. maintain minimum assessor competency requirements as defined by the Scheme Advisory Panel;

7. ensure any information determined in respect of the Providers 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;
8. to raise the awareness of adopting utility companies of imminent changes in status of accredited Providers

3. Scopes

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

Providers shall only do work within the specified parameters of their accreditation scope(s). This means that they shall observe any capacity, size or geographical limitations along with any other constraints that apply to their accreditation.

Where scope limitations preclude a Provider from providing a 'complete solution' to their (developer) client they must not have any involvement in controlling the work that falls outside the accreditation they hold. Instead a suitably accredited Provider, or the host utility, shall separately undertake all work elements that are outside the authorised scope of the 'original' Provider and the adopting utility shall be notified of the arrangements that have been put into place.

Where construction activities are being project managed the 'project management' Provider shall ensure that the work being done is within the scope of the 'construction' Provider.

All work specification design not done by the adopting utility shall be done by a Provider holding design accreditation. However where the new infrastructure adoption agreement issued by the adopting utility company is with a 'construction' or 'project management' Provider who does not hold design accreditation that Provider may act as the primary interface between the (developer) client, the adopting utility and the design Provider.

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

Providers wishing to operate in specific and/or all **NO** geographical areas shall demonstrate through their systems and procedures their ability to mobilise effectively, efficiently and safely in accordance with relevant legislation, scheme requirements, relevant **NO** standards and specifications including G81 documents. The Provider shall also be able to demonstrate an understanding of relevant **NO** notice and control arrangements, communication channels to be used in emergency situations, operational safety requirements and the different approaches taken by relevant **NOs** in terms of the use of Provider/**NO** DSR's

Providers that hold accreditation in any of the construction categories are not, also, required to hold project management accreditation, in those scopes, but where Providers also/do operate as a project manager, in them, they shall adhere to the requirements specified for the project management scope.

Project Management of design scopes are not available. This is because the criteria set for such a scope would require the Provider to meet the overall requirements of a full design scope thus the Provider would be capable of undertaking that scope in their own right. Accredited Providers not holding Design scope may therefore use Providers who do providing the design work is relevant to that Provider's design accreditation.

3.1 Design

The design of electrical networks in the following categories is available:

- LV cable networks
- HV overhead networks at all voltages up to and including 132kV
- HV cable networks at all voltages up to and including 132kV
- Substation layouts at all voltages up to and including 132kV
- Self-determination of Point of Connection (POC) at LV
- Self-determination of Point of Connection (POC) at HV
- Self-determination of Point of Connection (POC) at EHV

Note: NOs may operate pilots limited to specific voltages

Providers undertaking design scope(s) shall have an established design organisation and documented procedures which, relevantly, incorporate and cater for;

1. the scopes of design undertaken/to be undertaken
2. the requirements of all relevant Health & Safety Legislation,
3. Electricity Association Technical Standards,
4. IET Regulations (BS7671)
5. Adopting Utility Policies, Procedures, Specifications and Codes of Practice.
6. design risk assessments
7. acquiring necessary approvals, planning consents
8. controlling design documents, associated data and information

Note: Design software applications used should be agreed with relevant NO's

3.2 Project Management

These accreditation scopes apply both to Providers who either do not themselves carry out construction activities but who manage this work by subcontracting such activities to appropriately accredited Providers or to Providers holding a construction scope who wish to subcontract out activities, in other construction scopes that they don't have the accreditation for, to other appropriately accredited Providers.

Under NERS, Project Management is not a blanket scope that covers all areas of construction activities but is categorised in accordance with the construction activities available. Therefore for each project management scope category, Providers are required to have documented procedures, processes 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.

Providers shall ensure that their quality control and supervisory arrangements are sufficient to ensure that the work is constructed to the required quality standards and that all adopting utility

requirements are satisfied. The adequacy of these arrangements should be checked through a risk based evaluation.

Note: *In case of civil and cable laying activities Providers holding Project Management of those scopes could also subcontract work in those areas to 2nd tier accredited Providers.*

3.3 Construction

Performance of the following activities relating to Electrical Service Connections:

- Network Connection – Connection Activity
- Network Connection – Operational Activity
- Cable Laying at all voltages up to and including 132kV
- Cable Jointing at all voltages up to and including 132kV
- Overhead lines - wood pole at all voltages up to and including 132kV
- Overhead lines – steel tower at all voltages up to and including 132kV
- Substation Installation (Distribution up to and including 20kV)
- Substation Installation (Primary /grid up to and including 132kV)
- Highway Electrical Equipment (Unmetered)
- Associated civil engineering works including excavation and backfilling up to tile tape level

Scopes, within the above categories, will be awarded in defined voltage ratings (e.g. 11kV, 33kV 66kV or 132kV) each representing a separate accreditation category.

Note: Network Connection is the classification of works associated with the connection of new networks to the adopting utility's existing network and is broken down into Connections and Operations Activities. Each activity has a number of scopes against which accreditation is required. Prior to applying for these scopes the Provider should discuss with the relevant adopting utility companies and determine their implementation plan phasing, their respective interface arrangements and any pre-requisite requirement for operational scopes.

- LV Network Connection – connection activity
 - cable Jointing of LV mains and single / 3 phase services to existing mains. (Live LV jointing is included in this scope - the Provider shall have in place adequate live working decision making and approved live working procedures) – also see notes cable jointing for LV pole, link box and LV board/pillar terminations
- HV Network Connection – connection activity
 - cable jointing of HV cable mains
 - HV Pole and Switchgear Terminations

Notes: *For Providers not holding Live LV Jointing – this scope is included in the relevant Network Connection scopes. However, Providers already holding Live LV jointing do not automatically hold any Network Connection scopes. Network Connection scopes are a separate entity from Live LV Jointing and as such require additional evaluation and accreditation.*

Some NO's may require Providers to hold Live LV Jointing as a prerequisite before entering into relevant Network Connection pilot agreements. Providers should check relevant NO's position on this point.

- Network Connections - Operations LV and HV

The Switching of Apparatus under central or field control to facilitate a new connection, and or any associated diversion and reinforcements to an existing NOs System.

The definitions are taken from the ENA Model Distribution Safety Rules (2016) and are as follows:

- Apparatus Any item of electrical machinery or equipment in which Conductors are used, or supported, or of which they form part.
- Switching The operation of circuit breakers, isolators, disconnectors, fuses or other methods of making or breaking an electrical circuit and/or the application and removal of Circuit Main Earths.
- System An electrical system in which Conductors and Apparatus are electrically connected to a common source of supply

Note: the operational scopes are still under development. Some NOs have put restrictions on the implementation of these scopes.

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

3.3.1 Highway Electrical Equipment (un-metered) (HEEU)

Typically the types of single phase loads supplied by HEEU connections are but not limited to;

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

- Electric vehicle charging points (less than 25 amps)

There are four scopes associated with HEEU connections

1. HEEU transfers underground single phase

This scope is applicable to connection work on services to underground cable, 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 three phase main.
- Associated civil engineering works including excavation, cable laying and backfilling to tile / tape level.

Live jointing associated with this process is restricted to the underground service cables and the Provider shall have in place an adequate decision making process to ensure safe operations where the above work may, or may be suspected to be, in the vicinity of a main. Any other live work involving main cable shall be carried out by the adopting utility.

This scope also includes the connection to a dedicated single phase meter pillar.

2. HEEU transfers overhead single phase – overhead line connection of single phase services to existing overhead lines. 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 3 phase overhead line. (live LV connections are included in the scope; however, the Provider shall have in place adequate live working decision making and approved live working procedures).
3. HEEU new underground single phase – cable jointing of single services to existing 3 phase mains (live LV jointing is included in the scope, however, the Provider shall have in place adequate live working decision making and approved live working procedures) - As with HEEU transfers underground single phase this scope includes associated excavation work, cable lay and backfill to tile/tape level
4. HEEU new overhead single phase – overhead line connection of single phase services to existing 3 phase overhead lines (live LV connections are included in the scope; however, the Provider shall have in place adequate live working decision making and approved live working procedures).

Note: items 2,3 and 4 are subject to NO pilots / agreements

4. Role Competency Requirements

4.1 General Competency Requirements

Providers 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.

Providers 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. for those Providers with the Network Connection construction scopes, the process shall reflect the diverse range of skills associated with different cable types, including those that can only be worked on dead due to safety / technical reasons, safety rule authorisations and notice and control requirements
3. assess, by a suitably competent and appointed person, and document the competency of persons performing roles for which competencies have been set.
4. review, by a suitably competent person, ongoing competencies at least annually. These competency reviews shall be documented and recorded.
5. ensure that the minimum documented competencies are satisfied, and that staff are trained and qualified for the work they carry out.
6. establish and maintain sufficient current, valid, credible and authentic evidence to demonstrate that individuals are competent to do work within the accredited scope(s).
7. ensure that role holders perform competently.
8. have a training programme in place which is adequate to close any competency gaps.
9. 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. The production of a competency matrix is recommended in particular for those Providers with Network Connection construction scopes to facilitate skills development.

Note: Also see *Appendix 4 for Guidance on Competency Assessment process*

4.2 Role Specific Competency Requirements

4.2.1 Design

Persons engaged on the design of electrical networks or self-determination of POC 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. In determining a designer's competence, the National Skills Academy for Power guidance document – 'Governance of Network Design Competence' is seen as good practice.

All designs / POC shall be reviewed and approved by a person assigned to that duty, with that review and approval recorded. Those involved in such duty should;

- be Incorporated Engineer status (or higher/equivalent) through the IET, or other equivalent recognised professional institution, with that status being relevant to electrical engineering/electrical distribution.
- or, alternatively be able to provide evidence of having held senior status (within the last 5 years, prior to Provider appointment), in a design role working within the electricity distribution industry and be able to provide evidence of working towards Incorporated status-as above.

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

The Provider shall have and maintain a competency assessment procedure that indicates how the competency of design engineers is assessed. This procedure shall include a competency matrix that defines the minimum competencies for each grade of technical staff and the actual competencies of named staff within each grade. Design work shall only be carried out by designers assessed as competent for the particular work being done as identified on the competency matrix

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 Providers shall appoint a suitably qualified Technical Advisor to oversee the process. They shall demonstrate a level of technical competence relevant to the construction activities to be project managed.

The Technical Advisor may be an employee of the Provider 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 Providers 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.

Notes: *Guidance on the Project Manager Function can be found in Appendix 3*

Under NERS: Providers already holding a construction scope but who wish to project manage activities in other scope(s) that they don't hold construction accreditation for, to appropriately accredited Providers- Provided all relevant criteria is fulfilled-

- *the Technical Advisor can be appointed as indicated in paragraph 2 above;*
- *can/may be the Assessing Officer -see 4.2.5 for Assessing Officer criteria .*
- *or a person assessed as competent by the assessing officer and appointed to the role of Technical Advisor*

4.2.3 Construction

Providers shall appoint Authorising Officer(s) and Assessing Officer(s) to assess and give authority to the competence of individuals who may be engaged in tasks as described above.

Providers shall further nominate and appoint, for each contracting office, at least one Qualified Supervisor as appropriate to the range, scale and geographical spread of the work undertaken from that Contracting Office.(see 4.2.12).

A person nominated and appointed as Qualified Supervisor shall be a Competent Person with the appointment reflecting the area of supervision in relation to that individual's experience, training and qualification.

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

Providers shall only employ Competent Persons to carry out work whose experience and qualifications shall conform to those detailed within this section.

In determining a Craftsperson's competence, the Power Skills Academy (PSS) may be deemed seen as good practice.

4.2.4 Requirements of the Authorising Officer

An Authorising Officer shall:-

1. be a full time employee of the Provider in a senior management role with the necessary authority to ensure responsibilities under the scheme are met
2. be formally appointed with the appointment indicating duties and responsibilities with regard to this process (see 4.2.12)
3. assume overall responsibility for Health and Safety and all other criteria relating to the work being undertaken
4. have an appreciation of relevant distribution networks, of safe working practices and NO Safety Distribution Safety Rules and shall have an understanding of the scheme and its associated Safety Management System.
5. be responsible for ensuring that the Provider carries out work in accordance with the relevant standards, specification and regulations, including the issue of appropriate certification for all work carried out

A process must be in place to enable the Authorising Officer to keep up to date with current safety legislation, safety rules and relevant electrical operations, including accident investigations.

Names and designations of authorising officers including any changes shall be notified to LRQA in writing and relevant information on the successor, as described above submitted, for review.

Qualifications of the Authorising Officer

Qualifications of the Authorising Officer are at the discretion of the Provider. However any evidence of the Authorising Officers academic qualifications, background and experience should be available.

4.2.5 Requirements for Assessing Officer

An Assessing Officer shall:

1. be formally appointed with appointment indicating their duties and responsibilities with regard to this process and shall indicate the level of assessment they are to undertake. (see 4.2.12)
2. satisfy the minimum training and experience criteria as detailed below.
3. be conversant with relevant Health and Safety legislation and regulations, current issue of technical reference documents, appropriate British Standards, Adopting Utility Codes of Practice, Provider safety procedures and, Adopting Utility Distribution Safety Rules.
4. ensure persons being nominated for authorisation as competent persons meet the minimum requirements for qualifications and experience as specified below
5. be responsible for the assessment of competence of persons working on behalf of the Provider and for the maintenance of such records
6. be a mentor for any staff seeking to become trained and experienced in work falling within the scope of the scheme.
7. be responsible for the management of the NERS Passport scheme- (see Section 13)
8. be responsible for ensuring all competencies remain current and that individual competencies are reviewed on an annual basis with that review recorded in line with and as described in Section 13 (NERS Passport Ongoing Competency Records)
9. establish a system for ensuring that all NO specifications, safety rules etc. which are relevant to the scope of registration, that they are appointed to assess in and held by the Provider are current
10. ensure that they are familiar with the variations, relevant to the scope areas they are appointed to assess in, that may exist between NOs in terms of safety systems, procedures and specifications- see Notes
11. arrange, as relevant to 10 above, for the briefing of relevant staff on such variations-see notes- that may relate to work that they may be performing on/in host NO regions and ensure that such briefings are documented - also see notes
12. Where the assessing officer acts as Technical Advisor for Project Management scopes the Provider may operate/seek to operate then the criteria regarding competence as detailed in 3.2 and 4.2.2 shall be required to be met

A process shall be in place for keeping the Assessing Officer up to date with current operational and safety issues covering relevant electrical disciplines

Where the Provider uses more than one assessing officer any one of those officer(s) can be nominated and appointed to manage the passport scheme. However, direct input to the passport (e.g. sign off entry/annual update of training records and passport review) shall be relevant to the

scope(s) of work undertaken, the competence area and designation of the individual passport holder, and the levels of competence the Assessing Officer is appointed to assess).

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

Notes: If the variations are such that additional competencies are required to carry out the work, or certain aspects of it, then the Assessing Officer shall arrange for these to be assessed. Additional competencies shall be documented by the Assessing Officer, following satisfactory test and assessment, and be added to the relevant person's competency record (passport) and if necessary, by the reissue of a certificate of competence.

Qualifications of an Assessing Officer

Assessing Officers must be suitably qualified with appropriate knowledge and experience of the operational aspects, safe working practices, Provider safety procedures, legislations, and technical reference documents that are relevant to the scopes of work they are to assess in. They shall have a minimum of 3 years' experience in a role that gave responsibility for controlling and/or supervising the type of work carried out by those individuals they are to assess.

Where Assessing Officers are to assess the competence of persons to perform operations associated with the installation of electrical plant or equipment, then in addition to the above, they shall have knowledge of the electricity distribution networks, the Model Distribution Safety Rules, relevant adopting utility codes of practice, relevant areas of the Electricity, Safety, Quality & Continuity and the Electricity at Work Regulations.

To assess candidates for work / operations in the Network Connection construction scopes the Assessing Officer shall be able to demonstrate sufficient knowledge and understanding of the Distribution Safety Rules (DSR) and Operational Procedures of the adopting utility and / or Provider depending on the interface arrangements that each **NO** has in place.

The qualifications, 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. The accreditation body shall indicate, via their assessor, approval at assessment or, to cater for additions or changes via letter /email interchange.

Changes of Assessing Officer shall be notified to LRQA in writing and relevant information on the successor, as described above submitted, for review.

4.2.6 Requirements for Technical Advisor

A Technical Advisor shall:

1. be formally appointed with appointment indicating their duties and responsibilities with regard to this process and shall indicate the level of technical management and any associated assessments they are to undertake. (see 4.2.13). Who has the appropriate level of qualification and operational experience (subject to the relevant scopes of work undertaken/to be undertaken) to advise the NERS Project Management Provider on the fundamentals of the industry and the scheme. The Technical Advisor may be an employee of the provider or employed on a consultancy basis.
2. satisfy the minimum training and experience criteria as detailed below.

3. be conversant with relevant Health and Safety legislation and regulations, current issue of technical reference documents, appropriate British Standards, Adopting Utility Codes of Practice, Provider safety procedures and, Adopting Utility Distribution Safety Rules.
4. be responsible for the assessment of competence of persons working for the Project Management Provider and for the maintenance of such records
5. be mentor for any staff seeking to become trained and experienced in work falling within the scope of the scheme.
6. ensure that they are familiar with the variations, relevant to the scope areas they are appointed to oversee, that may exist between NOs in terms of safety systems, procedures and specifications- see Notes
7. arrange, as relevant to 6 above, for the briefing of relevant staff on such variations-see notes that may relate to work that they may be performing on/in host NO regions and ensure that such briefings are documented.

A process shall be in place for keeping the Technical Advisor up to date with current operational and safety issues covering relevant electrical disciplines

The Technical Advisor can be an employee of the Provider or a consultant employed for this specific role.

Qualifications of a Technical Advisor

Technical Advisors must be suitably qualified with appropriate knowledge and experience of the operational aspects, safe working practices, Provider safety procedures, legislations, and technical reference documents that are relevant to the scopes of work they are to manage and assess in. They shall have a minimum of 3 years' experience in a role that gave responsibility for controlling and/or supervising the type of work carried out by those individuals / NERS accredited Construction Providers they are to manage and assess.

Where Technical Advisors are to assess the competence of persons who perform project management and supervision associated with the overseeing of NERS Construction Providers, then in addition to the above, they shall have knowledge of the electricity distribution networks, the Model Distribution Safety Rules, relevant adopting utility codes of practice, relevant areas of the Electricity, Safety, Quality & Continuity and the Electricity at Work Regulations.

To assess candidates for overseeing NERS Construction Providers work / operations in the Network Connection construction scopes the Technical Advisor shall be able to demonstrate sufficient knowledge and understanding of the Distribution Safety Rules (DSR) and Operational Procedures of the adopting utility and / or Provider depending on the interface arrangements that each NO has in place.

The qualifications, experience and other evidence of the suitability of the proposed persons for positions as Technical Advisors shall be documented and provided to the accreditation body. The accreditation body shall indicate, via their assessor, approval at assessment or, to cater for additions or changes via letter /email interchange.

Changes of Technical Advisors shall be notified to LRQA in writing and relevant information on the successor, as described above submitted, for review.

4.2.7 Requirements relating to a Qualified Supervisor

Qualified Supervisors shall have direct responsibility, for the safety, quality and technical standard of work performed by all staff under their 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 shall have the appropriate knowledge, qualifications and experience to satisfy the Authorising Officer that they are competent and suitable to supervise the scope(s) of work they are appointed to oversee (Typical evidence of this competence may be demonstrated by Qualified Supervisors holding a NO Authorisation/Competency Certificate for a minimum of five years for the type(s) of work they supervise). The appointment shall reflect what areas of work the individual is to supervise.

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.

4.2.8 Requirements of Operational Staff

Staff carrying out work and / or operations in the Network Connection construction scopes shall be required to gain authorisation under the Provider's procedures and, additionally, shall be required to gain authorisation as Competent, Authorised or Senior Authorised Person, as appropriate, against the adopting utility DSR. Where the Provider's authorisation is accepted by the adopting utility, the adopting utility may wish to document their acceptance of the Person's authorisation.

4.2.9 Requirements relating to Craftsperson's

All new or returning to the industry craftspersons (cable jointers: fitters; linespersons) will be required to complete or undertake courses and tests relevant to the role and scope activities they are to undertake –ideally with such leading to an NVQ level 2 Qualification or equivalent .

However, craftspersons that are currently appropriately trained and/or hold valid adopting utility authorisations and have evidence of relevant employment during the immediate past three years do not have to fulfil the above criteria.

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

In all cases- before a craftsperson and or craftsperson's mate is allowed to perform work their competence to carry out tasks associated with that work shall be assessed by the Assessing Officer and given authority by the authorising officer. That competence shall then be confirmed by the

recorded issue of a certificate of competence appropriately signed by the assessing and authorising officer (See Section 13 and Appendix 4 –A.4.3).

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

4.2.10 Requirement for Civil works Operatives

Operatives, working for a Provider who is registered for civil works, performing the role of Team Leader shall be considered competent, based upon an appropriate current Street Works Qualification Registration and documented competencies in 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 general work or operations under this scheme.

4.2.11 Requirements relating to Project Management

Qualified supervisors shall be appointed for the scopes of work for which project 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 Technical Advisor or Assessing Officer shall oversee the supervisor's technical audit function until such times as the Technical Advisor or Assessing Officer considers the supervisor competent to perform the role unsupervised.

4.2.12 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.

An administration system shall be in place to record and control issued certificates of competence and passports. Paper records should be protected against risk of possible destruction. Records should include, training data, copy training certificates, assessment and authority details together with review dates. Access to the records should be limited to defined staff.

4.2.13 Appointment to Defined Roles under the scheme

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

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 giving authority to the competence of an individual the Assessing Officer and Authorising Officer shall not be the same person.

4.2.14 Table Guide to Minimum Training Requirements

The table below offers a guide to minimum training requirements for the different competency levels. The subject area content should be tailored to be relevant to the individual designation. Such training shall include assessments to determine that an acceptable level of understanding has been achieved.

Qualified Supervisor	Qualified Supervisor (Civil operations only)	Craftsperson	Team Leader (Civil Operative)	Operative (Civil)	Subject
					Model and Distribution Safety Rules
					Safe System of work
					Health & Safety at Work Act
					ESQC Regulations
					Electricity at Work Regulations
					Basic Electrical Awareness
					Full Electrical Awareness
					Risk Assessment
					Emergency Aid including Resuscitation
					NRSWA (Relevant to gaining entry onto the Street Works Qualification Register)

5. Sub contracted Work

Providers are accountable for the overall project and shall ensure that all personnel, subcontractors and consultants are managed and comply with all requirements.

5.1 Sub-contracting arrangements

Where a Provider sub-contracts work that is within a scope of their accreditation, the sub-contracted work shall either be:

- undertaken by a Provider who has a current Accreditation for that sub contracted scope of work – see note
- undertaken by a Provider who has Partial Accreditation for that scope of work to be – subcontracted and that work is used as the basis to achieve Full Accreditation. -see note
- 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
 - 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

Providers shall have documented procedures specifying the control and use of subcontract staff in respect of their accreditation. In the case of specialist subcontractors, it is not necessary to issue them with NERS passports.

In all situations where work is subcontracted the Providers shall fully assess the risks on their own accreditation of using subcontractors and ensure that identified risks are documented and suitable control measures instigated.

Notes: Where work is subcontracted, the subcontractor shall only use persons who hold a current reviewed NERS passport. If this sub contracted work involves subcontractor individuals undertaking craftsperson and/or craftsperson mate tasks and activities then, in addition to the passport requirement, those individuals shall also possess a certificate of competence issued and signed by the subcontractors (carrying out the work) Assessing and Authorising Officers. The Provider subcontracting out the work should then satisfy themselves of the competence of such persons through their own procedures and carry out their own assessments.

5.2 'Labour Only' sub-contractors

Where 'labour only' subcontractors are used the Provider 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 Provider's Health, Safety, Quality and Environmental and competency systems which include being fully inducted and working strictly in accordance with the Provider's 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. Providers 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 Provider
3. take responsibility for the issue of NERS passports to labour only subcontractors.- (also see 4)
4. to prevent duplication of issue of NERS Passports. Provider should confirm whether individual 'labour only' subcontractors already hold a passport that satisfies scheme requirements. Where they do, the Provider now employing them need not issue another passport but shall update and review the information within the passport in accordance with scheme requirements and shall, as with new passport issue, maintain records of competencies and authorities to authenticate passport content
5. document the approved tools and equipment requirements and ensure that the requirements are implemented
6. ensure that calibrated equipment falls within Provider's calibration regime or is verified by the Provider to be managed within an effective calibration management process. 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 Provider's approved supplier list.
7. all materials shall be purchased by the Provider
8. the Accredited Provider shall demonstrate effective management control process and structure to control on/off site activities

Note 1: Where a 'labour only' subcontractor is to undertake **civils work**, craftsperson and/or craftsperson mate tasks and activities then the persons involved shall be subject to the competency assessment and authority procedure of the Provider subcontracting out the work with satisfactory completion resulting in the issue of a certificate of competence under that assessment and authority procedure

Note 2: A Certificate of Competence is not required for Civils Operatives.

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 Provider 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 Provider:

Where ground workers are used: -

1. the Provider shall have a documented 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 shall be documented
4. the Provider shall implement an audit regime to ensure that the ground workers adhere to the specification and appropriate codes of practice
5. the Provider shall be 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 Provider 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. Methods of working

6.1 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 Method Statements / Work Procedures

For the scopes of work undertaken Provider shall have documented method statements / work procedures 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.

Providers with Network Connection– Operational Activity scopes shall have documented operational procedures, or arrangements for working to the adopting utility’s procedures, in place.

Providers 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.

Design

Providers with design accreditation shall establish a documented method statement/procedure that identifies the design process from receipt of enquiry/information from the client to handover of installation information (construction pack) to the constructor. This shall also provide for appropriate design support through the construction stage and shall be maintained and recorded. The output from such a process shall be a plan with accompanying documentation that fully specifies the work to be constructed.

Project Management

Providers with project 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 contractor's method statements by the Technical Advisor.

Providers with project management scopes shall also have a method statement/procedure specifying the project management role and which assigns responsibilities throughout the project life cycle from inception to adoption.

6.3 Assessment of risk

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

Providers 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.

Providers:-

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.

7. Work Issue and Control

7.1 Work Control and Management

7.1.1 Work Control and Management

Providers shall have procedures and processes 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 Providers, adopting utility, and developers
3. ensure technical compliance from support sections within the Provider
4. establish and maintain information, in a suitable medium (e.g. paper or electronic format) that describes the core elements of the processes and their interactions

7.1.2 Adopting Utility Requirements

Providers 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. For those Providers with Network Connection construction scopes, the adopting utility's interface arrangements may also require reporting from site to the adopting utility's control when staff arrives and when work is completed.

Providers shall, where the adopting utility requires an adoption agreement or contract to be set-up before the work commences, ensure that such documentation is in place and completed by all the required signatories before any work is commenced.

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

7.1.3 Tendering, Planning and Construction

Documented procedures and 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.

7.1.4 Work Instructions

Providers 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 issuer and, where possible, the recipient with and should include 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 Provider for an appropriate time (possibly governed by contract agreement)

Work packs produced for issue to operatives shall include appropriate documentation such as:-

- 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

7.1.5 Work Scheduling

A process shall be in place 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.
- Providers 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 reviewed

Where required by the adopting utility, Providers shall notify the Accreditation Body of work they are scheduling.

7.1.6 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

7.1.7 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.)

7.1.8 Variations

Providers shall have documented 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 to the designer.

7.1.9 Adoption of assets

Providers 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, Construction (Design and Management) Regulations (CDM) files and records of connected properties.

7.1.10 Equipment

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

Providers shall:

1. ensure that such equipment as necessary meets documented specifications and standards and is used in accordance with industry requirements
2. ensure that they hold, or have access to, equipment appropriate for use should ground conditions differ from that anticipated at the design stage
3. establish procedures to satisfactorily manage the storage, issue, inspection, maintenance and re-calibration of equipment
4. 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 may include, 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 (including insulated tools).

7.2 Approved Suppliers and Procurement

7.2.1 Suppliers

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

Providers 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.

7.2.2 Specifications

Providers 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 Provider 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.

7.2.3 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.

Providers 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.

8. Audit

Providers should regularly undertake audit checks of activities which form a scheme requirement. These include activities performed either directly by the Provider or which the Provider has delegated to others.

8.1 Technical Audit

Providers shall have a documented audit procedure and a risk-based rationale regarding the levels of audit for particular work activities.

The audit procedure 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 and subcontract labour) are audited to ensure that the individual level of competence continues to be commensurate to that originally assessed
4. ensure that identified deficiencies are closed-out within reasonable time periods
5. make available internal technical audit reports, on request, to the accreditation body and adopting utility
6. ensure the frequency of these audits is defined and a programme produced to ensure that all individuals are audited within a maximum review period of 1 year. The review period should be shorter for newly authorised staff and/or those found to have an area of weakness (i.e. knowledge / skill) as identified from routine monitoring (supervision), site safety audits, or operational incident
7. ensure the range of remedial actions relevant to 6 above are matched to the severity of any non-conformances identified. i.e. retraining, increased frequency of site audits or both
8. include direct and subcontract staff and detailed inspections of work instructions, method statements, generic/site specific and daily risk assessments, safety documents, safety clearances, electrical safety tools and test equipment
9. ensure a process is in place, which monitors the overall effectiveness of the audit procedure.

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

8.2 Health, Safety, Quality and Environmental Audit

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

Providers:

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.

9. Contract Document and Record Control

9.1 Documentation and Document Control Procedures

Providers 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.

9.2 Records

Providers 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.

10. Legislation, Standards and Guidance

10.1 Reference Library

Providers shall have access to appropriate legislation, technical standards, and appropriate guidance documents.

The list below is a guide:

- Adopting utility Documents
 - **NO Distribution Safety Rules.**
Installation specifications for the work to be performed which conform to the **NO requirements.**
 - **Relevant NO G81 documents.**
- Energy Networks Association Technical Specifications (ENATS) .
 - ENATS 09-07 PVC and XLPE insulated concentric service cables with stranded copper or solid aluminium phase conductors and copper concentric conductors.
 - ENATS 12-24 Plastic ducts for buried electric cable.
- The Distribution Code.
- The New Roads and Street Works Act and all related Codes of Practice and Specifications.
 - Chapter 8 of the Traffic signs manual.
- Town & Country Planning Act.
- **Steetworks UK publications (Volumes).**
 - Volume **1 Steetworks UK** Guidelines on the position and colour coding of underground utilities apparatus.
 - Volume **2 Steetworks UK** Guidelines for the positioning of underground utilities apparatus for new development sites.
 - Volume **3 Steetworks UK** Guidelines for the management of 3rd party cable ducting.
 - Volume **4 Steetworks UK** Guidelines for the planning, installation and maintenance of utility services in proximity to trees.
 - Volume **5 Steetworks UK** Guidelines on environmental good practice (as available).
 - Volume **6 Street Works UK Guidelines on Co-ordination, Co-operation & Communication.**

Volume 7 (To Be Removed).

- 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 Electricity Safety, Quality and Continuity Regulations.
 - The Electricity at Work Regulations.
 - Construction (Design Management) Regulations.
 - The Management of Health & Safety at Work Regulations.
 - 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.
 - Workplace Health, Safety and Welfare Regulations.
 - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Riddor).
 - Personal Protective Equipment at Work Regulations.

Providers should ensure that reference libraries, for paper copies and electronic/on-line referencing, are kept up to date and that all information is current.

11. Quality and Safety Systems

11.1 Quality Management System

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

Through their Quality Management Systems, the Provider 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.

11.2 Customer Complaints

Providers 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.

11.3 Health, Safety, Quality and Environmental Systems

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

Providers: -

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.

11.3.1 CDM Regulations

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

The procedures shall ensure that: -

1. Staff given responsibilities under the Regulations shall be suitably trained and experienced
2. When simply working as a contractor on a site to which the Regulations apply the Provider operatives and sub-contractors co-operate with those holding significant duties under the Regulations

11.3.2 COSHH Regulations

Providers 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 Provider 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. Providers shall, as required, hold valid certification for the carriage and disposal of hazardous substances

11.3.3 PPE and Other Safety Equipment

Providers shall establish procedures for the identification, provision, control and use of PPE and other safety equipment

The procedures shall ensure that: -

1. records are maintained for the issue of PPE and other safety equipment and its condition, storage and use is monitored
2. high visibility clothing is provided by the Provider 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 Provider and maintained and stored in serviceable condition and is within its calibration date
4. the suitability of electrical safety PPE is clearly identified assessed and approved
5. where Provider with Network Connection construction scopes are working under the adopting utility's DSRs then the adopting utility may specify minimum technical standards. The Provider may choose to standardise on the highest standards across the areas in which they operate.

11.3.4 Safety Briefings

Providers 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.

11.3.5 Accident and Incident Investigation and Reporting

Providers 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.

Providers shall co-operate fully with any investigations undertaken by the adopting utility and or industry regulators

Providers with Network Connection construction scopes shall demonstrate that they have procedures for investigating and reporting accidents, incidents and system emergencies which are consistent with the requirements of adopting utility's interface arrangements.

12. Human Resources Procedures and Training

12.1 Human Resource Procedures

Providers 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
4. require that copies of issued certificates be retained until their expiry

12.2 Job Descriptions

Job descriptions shall be available for all personnel where the post holder's activities can materially affect work activities carried out under this scheme. As required for the accreditation scope this includes Authorising Officers, Assessing Officers, Qualified Supervisors, Designers, Project Managers, Technical Advisors, 1st line Managers (Supervisors), Operatives, Craftpersons, 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.

12.3 Training Policy

Providers 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 Provider 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.

12.4 Induction Training

Providers shall have 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. Passport and Ongoing Competency Records

This section covers the documenting of individual training and competency records that are additional to the certificated assessment (certificate of competence) and authority that is required for persons who carry out craftsperson and/or craftsperson mate tasks and activities as defined section 1.1.

The training and competence records of craftspersons and other operatives, shall be recorded in a document by Provider with detail of aspects of qualifications, knowledge, training, experience with, as appropriate, validity dates. This document shall be completed for individual craftspersons and other operatives for the categories of competence that are relevant to the individual's assigned duties and responsibilities

This document, commonly known as the NERS Passport, shall be issued by the Provider employing the person and shall be reviewed and relevantly updated, annually by the Provider and will be held by Provider's staff at all times (except for when being updated).

All persons, issued with a passport, shall be made aware of its purpose and of the need to present it on site, when required.

Persons required to hold passports are;

- Civil and Cable laying operatives
- Craftspersons

Passports are not required for:

- Lorry or grab drivers unless they are required to work on the construction of electrical plant or in the area of electrical equipment – e.g. backfilling to tile / tape level
- Project Managers or Designers

The Provider has the option to develop their own passport format or Competency Recording and Monitoring system with associated Confirmation of Competency Certificate to hold information on the subject areas detailed below or to source, at cost, passports of a suitable format from LRQA.

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);
- Any Plant operator training individually detailed (i.e. HIAB; Winch; Dumper; Excavator)

Craftsman Competency:

- Joiner
- Linesman
- Fitter

Other Records:

- Annual review records
- Site audit records
- Employment record

For identification purposes the NERS passport should include a photograph of the person.

The Provider's Assessing Officer shall be responsible for managing the passport scheme including keeping the passport annually reviewed and up to date and shall signify reaffirmation of a specific competency by endorsing and dating the particular page/series of pages that relate 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

Where the Provider uses more than one Assessing Officer, any of those officers can be nominated and appointed to manage the passport scheme. However direct Assessing Officer input to the passport (i.e. sign off entry/annual update of training records and review of passport) shall be relevant to the scope(s) of work undertaken, the competence area and designation of the individual passport holder and the levels of competence the Assessing Officer is appointed to assess.

The Provider 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 or other operative gain employment with a different Service Provider then the individual would retain the passport and the responsibility for updating the passport would transfer to the new employer, or if a Competency Recording and Monitoring system with confirming Confirmation of Competency Certificate is used then a competency summary will be issued to facilitate transfer and which may be used to support the issuing of a Passport and/or the population of a Competency Recording and Monitoring System. As such, ideally, to facilitate transfer, NERS passports should be 'company anonymous' (apart from identifying the Assessing Officer relevant to the Provider they do assessments for)

Because craftsperson's and operatives may already hold a NERS passport (issued by a former employer who was an accredited Provider) then, when inducting new employees/'labour only' sub-contractors, Providers shall check if they already have a passport that satisfies them and the scheme requirements. If an individual already holds such a passport then the Provider need not issue a new one but shall, through their Assessing Officer, review and update information within them relevant to their new employment.

Replacement passports should only be issued where the old one has been lost or has no space for the information it must contain.

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.

14. Insurance

Provider 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 Provider 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 Provider.

A1.1 Accreditation Process Overview

Once a Provider 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 Provider, 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 Provider 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 Providers 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 processes of the Provider are monitored by means of regular surveillance visits.

A1.2.1 Partial Accreditation

For Partial Accreditation the procedures, processes and documentation of the Provider 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 Provider to tender and obtain work which can then be used to demonstrate site activities during an assessment for Full Accreditation.

Where a Provider 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 Providers 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 processes, 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.

Following an assessment Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period the Accreditation Body will issue a report concluding the evaluation and summarising the findings. At this stage the need for any further evaluation time to review deficiency close-out will be identified.

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 scopes held at Partial are not upgraded to full within 1 year the Providers will be subject to a surveillance visit to establish that the required procedures, processes and

competencies remain in place. If these requirements are not demonstrated the Partial accreditation will lapse.

Providers 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. Where the Accreditation Body identifies that a Provider with Partial Accreditation has been carrying out work without notifying the Accreditation Body their accreditation will be terminated.

When a Provider 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 terminating the Partial accreditation of the Provider.

A1.2.2 Full Accreditation

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

To achieve Full Accreditation for any particular element of the requested scope then those elements shall be carried out by the Provider (or managed by the Provider if appropriate to the Provider's scope) and witnessed and assessed by the accreditation body. In order to progress from Partial Accreditation to Full Accreditation, Providers 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 procedures and processes assessed for Partial Accreditation, but previously untried, are fully implemented and are operating effectively.

Providers shall also demonstrate a full understanding of the specific adopting utility requirements, specification details and contact arrangements.

The Providers 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 Provider 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 an assessment Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period the Accreditation Body will issue a report concluding the evaluation and summarising the findings. At this stage the need for any further evaluation time to review deficiency close-out will be identified.

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.

A1.2.3 Accreditation evaluation payments

Providers will receive a quotation in the form of a Request for Services (RFS) for scopes applied for. This RFS must be agreed, and signed, by the Provider, prior to the assessment process commencing. Providers will be charged at each evaluation stage subject to the signed and agreed RFS, and its terms and conditions.

Following completion of the appropriate evaluation stage, Providers will be invoiced accordingly and shall be required to pay such charges promptly in accordance with the requirements as outlined in the Terms and Conditions in the RFS.

Where any payments become overdue, the Accreditation Body will be unable to commit to further services. When this arises, the accreditation will initially be suspended for 1 month and if the payment has not been made by the end of the period of suspension the accreditation will be cancelled

Note: Dependent on status the Provider may, in some cases, be required to pre-pay all or a portion of the agreed RFS before the evaluation commences. If this is the case the Provider will be notified.

A1.3 Monitoring of Accredited Utility Connection Providers

Having gained accreditation, the work and adherence to process of Providers 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 Provider.

A1.3.1 Surveillance Visits

The Accreditation Body shall verify through surveillance visits and periodic reassessment that the Provider has established, implemented and maintained procedures processes 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: -

Individual competence is achieved and maintained to levels defined in Section 4.

1. Processes are established and maintained to ensure that client requirements are accurately translated into Work Instructions.
2. Appropriate equipment is safely operated by trained and competent operatives.
3. Site based activities are performed competently, safely and in full compliance with company documented procedures and processes.
4. Interfaces with all stakeholders (especially developers and adopting utility companies) are managed in accordance with the scheme requirements.
5. 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.
6. Installation specifications are compliant with the requirement of adopting utility.
7. Where required, the assessing officers/technical advisors are active in assessing competences and monitoring technical standards.

For those Providers with Network Connection construction scopes, the Accreditation Body shall endeavor to carry out unannounced surveillance visits as part of the surveillance programme, where this is practical taking into consideration the type of work being undertaken, the project duration, the notice requirements of the adopting utility's interface arrangements and the liaison arrangements in place between the Accreditation Body and the adopting utility.

A1.3.2 Surveillance Visit Programme

Each approved activity scope and the Provider's management system shall be subject to surveillance audit at least once during the three-year accreditation period with the first surveillance visit held within a 6 months (maximum) of accreditation being awarded.

The surveillance programme is subject to a minimum of 6 visits throughout the accreditation period for construction activities, project management and/or control and management of constructions activities. In the case of Providers who only hold design scopes that minimum is 4 visits. The number of visits will increase above the minimum dependent on the number and type of scopes held.

Periodicity of surveillance will be based on:

- Scopes of accreditation
- Levels of activity and number of operational bases
- Provider'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 Provider/Adopting Utility/Accreditation Body audits.

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

For those Providers with Network Connection construction scopes- if any major deficiencies are identified whilst the work is being undertaken then the Accreditation Body will report the matter, immediately, to the adopting utility and Provider. The Provider's Network Connections scope accreditation may be suspended depending on the circumstances and may be subject to investigation.

If the Provider's staff are not in the location notified to the adopting utility the Accreditation Body may, in the absence of a reasonable explanation, suspend the Provider's accreditation. The Accreditation Body may also charge for an aborted visit if the surveillance visit has to be re-scheduled.

A1.3.3 Surveillance Visit Arrangements

Arrangements for routine surveillance visits will be agreed between the accreditation body and the Provider in accordance with the surveillance schedule specified at the time of accreditation. This arrangement will take account of the number of scopes of accreditation and subject to A.1.3.5 the scopes of work they are in. Should the volume of the Provider's work, or scope of the Provider accreditation, change during the accreditation period then the surveillance visit programme shall be revised accordingly.

Where concerns about the compliance of a Provider 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 Provider will be required to cover the cost of the investigation.

The accreditation body will routinely advise Provider of the surveillance visit schedule (covering site and office activities). Providers shall arrange with the Accreditation Body for surveillance visits to be undertaken no later than a month after the month specified in the schedule.

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

Providers 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.

At least annually whilst undertaking surveillance visits the Accreditation Body expects to meet with the appointed assessing officer (relevant to the scope of work under surveillance) to ensure that they are taking active responsibility for the duties which are assigned to their roles.

During the accreditation period the Accreditation Body expects to see all the accredited scopes being demonstrated. Where scopes of work may be infrequently carried out by the Provider, the Accreditation Body may, taking into account the general compliance of the Provider relax the frequency they expect to view such work. This arrangement will take account of the types of work the Provider normally focuses on and their surveillance programme and will only be allowed when the Provider agrees to notify the Accreditation Body every time work on the 'infrequently' performed scope(s) is being done.

Categories of work carried out infrequently may include the overhead line and higher voltage scopes (e.g. 132kV cable laying and jointing).

A1.3.4 Non-Compliance with Surveillance Visit Schedule

Other than for scopes of work which are done infrequently (see Section A1.3.3) in the event that the Provider's programme of work does not incorporate any work meeting the requirements for a surveillance visit for a period which extends beyond one month of the surveillance visit due date then the accreditation status of the Provider shall be downgraded to Partial. Under these circumstances the surveillance visit programme shall be suspended and annual (on the anniversary of the last surveillance visit) visits arranged to ensure that competency and procedures/processes, against which the initial accreditation was awarded, are maintained.

As required for all holders of partial accreditation Providers who have had their accreditation status downgraded must notify the Accreditation Body of their intention to start any work relating to their accreditation so that a surveillance visit can be arranged. Subject to the surveillance visit confirming that work is being done in accordance with the scheme requirements, and that the required procedures and processes are in place, then full accreditation shall be reinstated and a programme of surveillance visits re-established.

If a Provider considers that their ongoing workload is less than that used to determine the surveillance visit programme they should notify the Accreditation Body and ask for the programme to be re-assessed. However, as a minimum, to retain full accreditation Provider shall maintain their surveillance programme presenting each scope (unless infrequently carried out- see a.1.3.3) of their fully accredited activities and relevant management system for surveillance audit over the accreditation period.

A1.3.5 Surveillance Visit Payments

Providers 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.

Providers shall pay all such charges promptly. Where any payments to the Accreditation Body become overdue the Accreditation Body is unable to commit to doing further visits. When this arises, the accreditation will initially be suspended for 1 month and if the payment has not been made by the end of the period of suspension the accreditation will be cancelled.

A1.4 Investigations and Removal of Accreditation

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

- Is found to have made false claims within the application for accreditation which are considered to impact on the integrity of the Provider.
- Fails to complete within the agreed timescales and to the satisfaction of the accreditation body required remedial action(s) identified during routine surveillance or any other investigation.
- 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.

A1.4.1 Investigations

Where the accreditation body is notified that unsatisfactory work or non-compliance with the scheme requirements has occurred and the matter is disputed by the Provider, the accreditation body shall carry out an investigation.

Under certain circumstances an interested party or Provider may wish to escalate an issue to the accreditation body for further investigation. This could be as a result of: -

- an impasse arising between the interested party and Provider
- the issue being deemed serious enough, in its own right, to warrant an independent investigation

When an investigation is being carried out, the Provider and/or interested party shall provide facilities for the accreditation body to do inspections including checking any test equipment and providing access to the work to be inspected. The Provider and/or interested party shall also provide all relevant documentation relating to the work and shall ensure that the qualified supervisor responsible for the work is available.

Where the investigation is to be carried out following a complaint made by the adopting network operator or other party, the Provider shall allow the complainant to be represented during the investigation.

Where the investigation is to be carried out following a complaint made by the Provider, the interested party shall allow the complainant to be represented during the investigation.

Where, as a result of inspections, the work is shown to not to comply with the scheme requirements the Provider shall, at its own expense, take the required remedial action to remedy the work with the timescale specified by the accreditation body. The process and timescales for investigations is shown at the end of this section.

A1.4.2 Removal of Accreditation

The accreditation body shall notify the Provider 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 Provider 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 Provider.

A1.5 Appeals, Complaints and Disputes concerning Accreditation

If the Provider 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 Provider in writing, detailing clearly the basis for the decision.

If the decision is not to the satisfaction of the Provider, 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 Provider 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 Provider 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 shall be undertaken.

The scale of this reassessment will take account of the performance of the Provider during the period of accreditation. If the Provider 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 Provider 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.

The extent of the renewal assessment will take account of recently witnessed work with any scopes not seen during the previous 36-month period required to be seen during the re-assessment process. Where this

cannot be arranged the level of accreditation, subject to satisfactory verification of procedures and processes, will reduce to 'Partial'. However, where one of the scopes being re-assessed covers work that may be infrequently carried out (see Section A.1.3.3) then, provided the Provider has agreed this with the accreditation body and has notified all instances of the work being done, the accreditation body will take account of surveillance visits over the 3 year certification period. In such the accreditation body may re-certify at the 'Full' level without witnessing work being done.

The Accreditation Body shall give each Provider 3 months' notice of the expiry of their accreditation. If the Provider does not put in place adequate accreditation renewal arrangements or allow adequate time for the required renewal assessment to take place, the accreditation will be terminated.

The reaccreditation assessment will take account of scopes viewed over the preceding 12 months and also consider whether any infrequently performed scopes have been satisfactorily demonstrated during the accreditation period. Where scopes are not witnessed during the re-accreditation, or there is not adequate evidence to support the award of 'Full' accreditation, these scopes may only be awarded 'Partial' status.

Following an assessment Providers will be given a month to provide whatever evidence is needed to close-out any identified deficiencies. After this period of time the Accreditation Body will issue a report concluding the accreditation. At this stage the need for any further evaluation time to review deficiency close-out will be identified.

Having been satisfactorily reassessed and a surveillance programme agreed the Provider 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 Provider.

A1.8 Notifications to Adopting Utility Companies

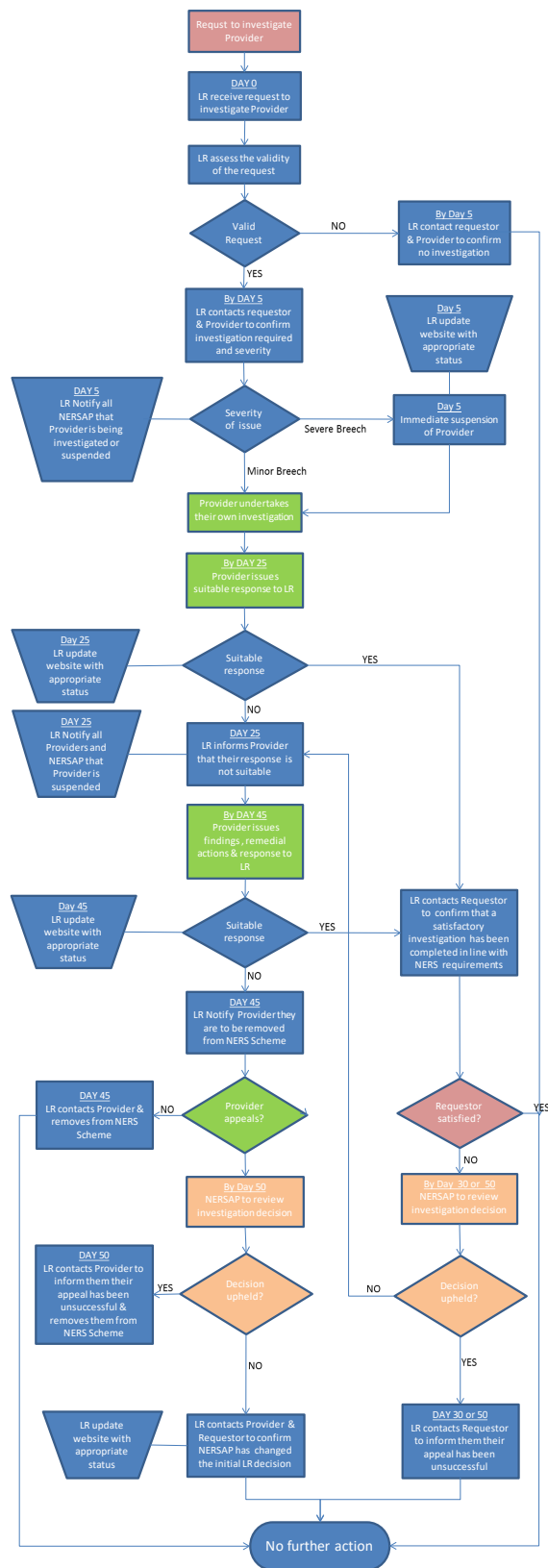
The accreditation body will notify all adopting utility companies when action is taken to amend, suspend or terminate the accreditation of a Provider. Other information on accreditation status will be shown on the scheme specific website maintained by the accreditation body.

A1.9 Use of NERS Scheme Registration Mark

On gaining accreditation Providers will be issued with the NERS Scheme Registration Mark (which incorporates the LRQA Approval Mark). Guidance on the use of this Mark will be provided when it is issued and the Mark shall only be used in the as issued configuration and can be displayed by accredited Provider on their stationery, publicity material, company buildings, flags, vehicles, and so on. It can be reproduced in any single colour.

Correct use of a NERS Mark is a contractual obligation and a NERS accreditation certificate can be withdrawn if a Provider misuses a NERS Scheme Mark and continues to do this after attention has been drawn to the misuse. Also, if NERS accreditation is withdrawn from a Provider they must stop using the NERS Scheme Mark and, where necessary, withdraw any material carrying the Mark.

A1.10 NERS Investigation Process



Key:

■ = action from a Requestor

■ = action undertaken by LR

■ = action undertaken by a NERS Provider

■ = action undertaken by NERSAP

Severe Breach = breach of the scheme which is likely to have risked death or injury to a person or damage to plant that would make it unsafe to energise

Minor Breach = other breaches of the scheme as defined in section A1.4 Investigations & Removal of Accreditation in the scheme Requirements Document

Appendix 2 2nd Tier National Electricity Registration Scheme

A2.1 Background

The 2nd tier scheme is restricted in relation to the scopes that are available and is for civil contractors who wish to hold an accreditation but with limited responsibilities. These limited but clearly defined bounds of responsibility in relation to the restricted scopes of work are detailed in this Appendix.

Providers 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 Provider.

A2.2 Scope of work of 2nd Tier contractors

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

- Excavation
- Cable Laying - (All voltages are available)
- Backfill to tile tape / level.

2nd Tier Providers can only carry out the above detailed activities on contestable works under the supervision of a NERS accredited Providers who shall be accredited for the activities being supervised or shall be accredited for project 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 Provider.

A2.4 Assessment Criteria

A2.4.1 Human Resources:

Providers 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

Providers shall; -

- Have a work programming procedure.
- Issue their staff with appropriate work instructions unless a work instruction has been issued by the accredited Provider 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

Providers shall;

- Have a H&S policy, endorsed by the senior responsible person within their company, 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 procedure that covers both H&S and quality issues.

A2.4.4 Procurement and Storage

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

A2.4.5 Tools and Equipment

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

A2.4.6 Safety Management System

Providers shall be required to operate a safety management system 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.

An output from the safety management system will be a Passport issued to the Operative (see section 13 Passport and Ongoing competence Records for details on Passport requirements and content etc.).

To ensure consistency (and to reduce the cost of development) the LRQA Passport **may** be used and the provision of these, up to a maximum of 10 copies, will be included in the overall assessment

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 Provider competence in carrying out the works.

Appendix 3 Guidance on Project Management Function

A3.1 Requirement to Hold Project Management Scope

The project management scope is for Providers who do not themselves carry out construction activities but who manage this work by subcontracting such activities to Providers with the required construction accreditation. The scopes are also available, and can apply, to Providers holding construction scope(s) but who wish to subcontract out activities, in other construction scopes that they don't have the accreditation for, to other appropriately accredited Providers.

Many different types of project management company exist; ranging from those who simply introduce constructors to the client (developer or whoever) to those who have a detailed involvement in controlling construction activities. Nevertheless, there are minimum requirements expected of Providers with project management accreditation which need to be established and maintained throughout the accreditation period. Whilst these are detailed throughout the main body of the scheme requirements this summary provides an overview of the project management scope requirements to aid companies in preparing for accreditation assessments and ongoing surveillance visits.

Notes

1. *There is not normally a requirement for Providers who simply introduce contractors to the client and where the construction Provider does the entire liaison with the host utility and the on-site liaison with the client to be accredited as project managers.*
2. *Where a Provider holding construction accreditation operates as a project manager (employing a Provider with the required construction accreditation rather than doing the work under their direct supervision) they must demonstrate compliance with the project management scope requirements.*

A3.2 Requirements of the Project Management Scope

Although they employ an accredited Provider to undertake construction work, project management Providers need to get involved in many technical aspects of new infrastructure delivery. Hence they need to be able to demonstrate utility sector specific technical understanding and competence alongside their project management capability.

A3.3 Scheme Project Management Responsibilities

For the project management scope Providers are responsible for: -

- ensuring that the constructed assets are to the standards required by the host utility
- providing clear instructions, which fully detail the technical requirements, to their contractor
- appointing construction Providers who are competent in doing the work using criteria which do not simply rely on their accreditation
- giving technical direction and guidance to their contractor
- ensuring that work done by their client/developer meets the requirements of the host utility
- meeting the notice and communication requirements of the host utility
- providing, to the specified timescale, all the information required by the host utility on adoption of mains, services and meter installations
- managing variations and ensuring that they are involved in agreeing all changes
- ensuring that there is good communication between all parties

A3.4 Requirements of an Accredited Project Manager

To be awarded project management accreditation Provider needs to demonstrate that they have; -

- procedures and processes in place which competently manage work from receipt of design through to handover/adoption and which assigns responsibilities throughout the project life cycle
- a thorough understanding of host utility requirements
- arrangements in place to access the required technical standards
- a clearly defined interface between themselves and their contractor such that it is obvious who is responsible for each element of the scheme requirements.
- a technical advisor who has been given a clear and workable remit to ensure technical compliance
- staff appointed (or, at the partial stage, plans to appoint staff) who have been assessed as having the required technical understanding to oversee work issue, delivery and on-site audits
- a training and development plan for their staff
- arrangements to cover any competency gaps amongst their staff until such time as training has been delivered and competency re-assessed
- agreed working methods with their contractors covering all aspects of the work being done
- arrangements which meet all CDM requirements
- documentation covering all stages of the project
- adequate interface arrangements with other stakeholders including the developer/client and the host utility
- audits and checks being routinely done covering the work of the project manager and of their Provider's contractor
- follow through and close-out arrangements for identified deficiencies
- identification of compliance risks, covering the aspects of work they do themselves or which their contractor does on their behalf, and have taken appropriate action to mitigate these risks
- regular reviews meetings with their contractor

Appendix 4 Guidance on Competency Assessment Process

A4.1 Assessment

Where individuals, direct labour or subcontract staff may: -

- be put to work or placed in an environment which has/may have electrical hazards
- perform work on existing or potential electricity distribution assets, within the scope of that Provider's accreditation
- perform operations that can materially affect work activities carried out under this scheme
- or where there are role specific requirements within the scheme.

Providers shall have in place a documented procedure for assessing the competence of individuals who are to carry out such work and for giving authority to those individuals to carry it out.

The assessment and authority procedure/ process shall be two separate and independent functions, undertaken, on individuals, by separate named and appointed assessing and authorising officers - who themselves fulfil scheme requirements as described in sections 4.2.4;4.2.5 and 4.2.12.

The procedure shall: --

1. Identify the form of assessment to be undertaken (i.e. theoretical (oral or written tests) with any questions being commensurate with authority/role sought and/or practical skills tests
2. Cater for the formal appointment of assessing and authorising officers including acceptance of role
3. Reference relevant Legislation, Safety Rules, Codes of Practice, as the basic safe operating practices, against which such assessments shall be carried out and authorities awarded
4. Be clear in ensuring that it is only relevant to work done on behalf of the company clarifying further that where activities are/may be carried out on client owned systems and networks- then a separate 3rd party (client) defined process may need to be followed
5. Be formal, robust, free from commercial pressures
6. Adequately document the training, knowledge, experience, selection, assessment, authorisation, reauthorisation and appointment of staff
7. Following successful assessment cater for the issue or review of passport (see section 13 of Scheme Requirements) and, additionally, where work is associated with craftsperson activities as defined in section 1.1 of Scheme Requirements - a certificate of competence signed by the assessing and authorising officer. (also see 4.2.4: 4.2.5: 4.2.12) and A.4.2)

The Assessing Officer shall keep records of tests including, in the case of oral tests, oral responses given.

An assessment file should be compiled for each candidate providing background supporting evidence towards the competence required (i.e. previous authorities held, employment history, training details, experience and skills tests undertaken). The Assessing Officer may accept documented assessments of practical skills tests provided they are/were undertaken by a recognised training institution/facility.

The Assessing Officer shall be satisfied that the candidate has demonstrated an adequate level of skill and knowledge before making a formal documented recommendation for an assessment of competence to be given authority. A process may be put in place for candidates who fail to attain the required standard, in the form of development plans, additional training or working under close supervision.

For giving authority to an individual's assessment of competence the Authorising Officer shall be provided the candidate's assessment file, which shall include recommendation for the areas of work to be given authority.

The Authorisation Officer must be satisfied that the candidate has the necessary skills and ability to work safely on, or near, the existing or proposed electrical networks and that the extent and limitation of the authority being given is unequivocal.

An auditable trail of the assessment process shall be maintained which when successful shall result in an entry in the craftsperson's/operative's passport to provide for ready site-based evidence.

A4.2 Certificates of Competence

Certificates of competence shall be required for craftsperson* individuals (as defined below and in section 1.1 of Scheme Requirements) –and are an additional requirement to passports for these roles, **unless a Compliant Competency System with a Conformation of Competency Certificate is in place in which case the requirement for a Certificate of Competency and NERS Passport may be combined.** There is no requirement for the issue of certificates of competence for civil and cable laying activities –however passports are also required for these roles. (see Section 13 Scheme Requirements for Passport details).

The certificate shall be issued following an assessment of competence conducted by the Provider's Assessing Officer. That assessment, if satisfactory, shall be given authority by the Provider's Authorising Officer. The certificate shall be duly signed and dated by the Provider's Assessing and Authorising Officers.

*Notes: *Craftsperson -a person trained to undertake specific tasks associated with the installation and or construction of electrical plant or equipment. For scheme purposes these include cable jointers, overhead electrical linespersons, electrical fitters and mates to those skills.*

The scope of competence assessed, and authority must be: -

- Clearly defined, on the certificate,
- Be within the Provider's accredited scopes
- Have a defined maximum validation period, on the certificate (maximum permissible period is 3 years),
- Annually reviewed to ensure that the duties and activities performed within the review period are commensurate with the assigned assessment of competence and authority.

The certificate shall include a declaration requiring signature that the holder understands and accepts the responsibilities associated with the duties detailed on it and is aware that a separate authority may be required where/before work is to be carried out on a 3rd party owned network.

Company Logo

CERTIFICATE OF COMPETENCE

Certificate No	Certificate validation period (maximum 3 years from date of issue)
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<p>We hereby certify that :- Name</p>	<p>STATEMENT</p> <p>Employed as</p>
<p>Has been assessed as competent in having sufficient practical and/or technical knowledge and/or experience to enable the avoidance of danger personally and/or to others and has also been assessed as being competent to carry out the following craftsperson tasks on electrical plant or equipment.</p>	

ISSUE

Name,
Designation and
Signature

(Assessing Officer)

Date

Name,
Designation and
Signature

(Authorising Officer)

Date

Date of issue

Expiry date if different from validation period

RECEIPT

I am aware that a separate written authority will, or may, be required where and before work is carried out on a 3rd party owned site, system or network (this includes Distribution Network Operator and/or Independent Distribution Network Operator owned sites, systems and networks)

I also understand that the authority indicated on the certificate, and any other authority associated with it, is only valid whilst I am employed on actual contract(s) operated by the company.

As the holder of this authority I understand and accept my responsibilities associated with the duties detailed above.

Signature of person assessed
as competent

Date

This certificate is issued with relevance to accreditations gained under the National Electricity Registration Scheme (NERS)

A4.3 Selection and Training

A procedure shall be in place for selecting and training individuals who the Provider feel may be able to undertake tasks associated with the installation/construction of electrical plant or equipment. The process shall: -

- Indicate responsibilities on how selection is identified
- Identify the minimum levels of knowledge, training and experience required for selection
- Ensure the scope and level of training is dependent on the level of competence to be given authority and the procedure shall lay out the minimum requirement
- Ensure candidates have their competency assessed in a structured way against a set of agreed criteria and trade skills. A trade test may be part of this process, carried by a recognised training establishment or authority
- Ensure training resources are identified with evidence of training (i.e. training certificates), available for inspection
- Ensure that where training under personal supervision is undertaken the minimum requirements in terms of duration, level of responsibility and limit of work activities are clearly defined. The person providing the personal supervision shall have the necessary experience and be given authority in writing to undertake these duties
- Ensure selection, training and assessment process is documented and records maintained for all individuals even if they are unsuccessful

A4.4 Competency and Authority Review and Refresher Training

A procedure shall be in place to review competencies and shall: -

- Detail the provision of refresher training both for trade skills and knowledge of relevant systems and procedures
- Indicate responsibilities for identifying refresher training and initiating training when any changes in type of work, take place
- Ensure that before an existing assessment of competence is considered for annual renewal and thus allowed ongoing authority, a check is made that during the review period, work has been undertaken across the competence scope(s) originally given
- Include process and action where review finds that certain elements of work, across the competence scopes, have not been undertaken within the review period. (i.e. further assessment of competence, withdrawal of authority, re-training, additional test/assessment performed –all in order to keep current or re-instate the element of competence and its authority. *)

* Typical example-, a joiner may not have performed a particular joint type for which he had originally been assessed as competent, within the review period. Under such circumstances it may be decided that it is necessary for the joiner to perform such a joint under supervision to retain or regain that element of competence).

Appendix 5 Scope Guidance Documents

NERS SCOPES GUIDANCE

Terminology, Abbreviations and Web-Site Notes
<p>Partial Accreditation Partial Accreditation is the first stage of accreditation. It demonstrates that a Provider has the required systems, processes and procedures in place to meet the NERS requirements. Providers with partial accreditation can tender and obtain work for the scopes they hold.</p> <p>Full Accreditation Full Accreditation is granted to Providers who have successfully demonstrated that they have adequately met the schemes requirements with respect to the construction of adoptable assets. In the case of Design Scopes the Provider has successfully demonstrated that their processes meet both the scheme and adopting company's requirements.</p> <p>Project Management If a Provider's has Project Management for a construction scope PM will appear after the voltage in the scope description i.e. Jointing (HV-PM).</p> <p>Any restrictions, anomalies or additions associated with particular scopes are added to individual Provider Notes. To access LRQA web-site Notes click on Show contact Details in the Provider box concerned. All scopes are singular and voltage specific. EHV (Extra High Voltage) = Voltages greater than 20kV up to and including 132kV HV (High Voltage) = Voltages greater than 1kV up to and including 20kV LRQA = LRQA LV (Low Voltage) = Voltages less than 1kV NERS = National Electricity Registration Scheme OHL = Overhead Line PM = Project Management POC = Point of Connection</p> <p>Web-site Colour Coding: Green – Scope is at Full Accreditation. Granted when the first site works have been witnessed successfully. Blue – Scope is at Partial Accreditation. This allows NERS Provider to apply for POC and quote customer (excludes Providers who only have Civils and cable Laying Scopes) Yellow – Scope's Accreditation is due to expire Red – Provider's Accreditations have been suspended and / or expired</p>
General Principles
<ol style="list-style-type: none"> 1. The primary NERS Provider entering into an Agreement to Adopt with an asset owner should have either a Project Management or Construction Scopes that is relevant to the works 2. The primary NERS Provider does not need to hold Design Accreditation. They are allowed to sub-contract the design to, or use a design supplied by, a NERS Provider with the design scopes relevant to the works. 3. The primary NERS Provider can sub-contract any scope of work, where they have either a Project Management or Construction category, to another NERS Provider with the relevant scope. 4. The primary NERS Provider can use staff from a non-registered company under the labour only rules and can allow developers to undertake their own groundworks provided they comply with the rules covering this work. 5. The overall responsibility to ensure the developer's work meets that specification of the adopting network operator remains with the Provider. 6. Project Management is for those companies who do not carry out construction and sub-contract it to an appropriately accredited NERS Providers. It is also applicable to NERS Providers who hold at least one construction scope and wish to sub-contract out work covered by other scopes that they do not have. In this situation they must utilise an appropriately accredited NERS Providers. 7. Project Management scopes are not awarded for Design. 8. NERS Providers can work on a national basis. The requirements for working across areas are assessed against and included within the main scopes. 9. The geographical areas on the web-site are meant to be only an indication of where the NERS Provider wanted to work and are not meant to be restrictive.

10. Providers who are only accredited ONLY for Civils and Cable Laying Scopes cannot sign an Agreement to Adopt with an asset owner. These companies are known as Second Tier Providers.

Construction Scopes	Indication of how they appear on website and brief description of what scope covers
Excavation and Backfilling up to tile tape level	<p>Civil Works Relevant to all cable laying scopes held.</p>
Cable Laying	<p>Cable Laying (voltage as relevant up to and including 132kV)</p>
Cable Jointing	<p>Jointing (voltage as relevant up to and including 132kV) Live jointing only allows jointing onto the main installed by the NERS Provider. Live LV jointing covers un-metered on a hierarchal basis.</p>
<p>Highway Electrical Equipment (Unmetered) HEEU</p>	<p>HEEU Connections</p> <p>Applicable to connection work on underground and overhead, single phase, 230v services with loadings of 500 W or less. Specifically –</p> <ul style="list-style-type: none"> - The permanent or temporary transfer, disconnection or extension of a service to a point of supply. - Installation of a new service to such a point of supply, excluding joint onto an existing main. - Associated civil works <p>Scope includes the connection to a dedicated single phase feeder pillar feeding multiple connections with individual loadings of 25 Amps or less, up to a maximum cumulative load of 5000 W.</p> <p><i>Note: Providers holding this scope <u>do not</u> automatically hold Networks Connections HEE(U) Connections which is a separate entity requiring separate additional evaluation and accreditation (see below)</i></p>
<p>Network Connection - Connection Activity</p>	<p>Network Connections – Jointing (LV Mains and Services, LV Terminations) <u>Low Voltage</u> To include: Jointing- LV Mains & Services and Jointing – LV Terminations LV Pole, link box, LV board and LV Pillar terminations will appear, as relevant, in the Provider’s notes.</p> <p><i>Note: Providers holding Live LV jointing <u>do not</u> automatically hold Networks Connections scopes which are separate entities from Live LV Jointing, and which requires a separate, additional evaluation and accreditation.</i></p> <p><i>Jointing LV Live is a pre-requisite for a NERS Provider wishing to obtain this scope. The LV Terminations scope includes live and dead jointing.</i></p> <p>Network Connections – Jointing (HV Mains, HV Terminations) <u>High Voltage</u> This scope covers: - Jointing HV mains and Jointing HV Terminations (HV pole & HV switchgear terminations). The relevant activity will appear in the Provider’s notes)</p>
<p>Network Connections – HEE(U) Connections</p>	<p>Network Connections – Jointing (HEEU Connections) Cable jointing (live or dead) of single phase un-metered services to existing mains.</p>
	<p>Network Connections - Operations LV and HV</p>

	<p>The Switching of Apparatus under central or field control to facilitate a new connection, and or any associated diversion and reinforcements to an existing NO's System.</p> <p>The definitions are taken from the ENA Model Distribution Safety Rules (2016) and are as follows:</p> <p>Apparatus Any item of electrical machinery or equipment in which Conductors are used, or supported, or of which they form part.</p> <p>Switching The operation of circuit breakers, isolators, disconnectors, fuses or other methods of making or breaking an electrical circuit and/or the application and removal of Circuit Main Earths.</p> <p>System An electrical system in which Conductors and Apparatus are electrically connected to a common source of supply</p> <p><i>Note: the operational scopes are still under development with some NO's having put restrictions on the implementation of these scopes and their application must include the meeting of those requirements and obligations stated in the "Competition in Connections Code of Practice" and in particular, but not limited to, section 5 "Accreditation and Authorisation of ICPs/NOs, specifically where consultation and communication is concerned.</i></p>
Substation Installation	<p>Substation Installation (voltage as relevant up to and including 132kV)</p> <p>Scope includes responsibility for all elements of substation installation. Any restrictions however will appear in relevant Provider notes. Includes overseeing specialist civil contractors who are not NERS accredited</p>
Overhead Lines Wood Pole	<p>Over Head Line Wooden Pole (voltage as relevant up to and including 132kV)</p> <p>For cable terminations on wooden poles or other similar situations the following applies:</p> <ul style="list-style-type: none"> - Any works to erect a new or replace an existing pole (including free standing single or H Pole) will require the OHL Construction or Project Management scope at the appropriate voltage. - Any works to erect new or replace OHL equipment (including steelwork, transformers, switchgear, conductors, insulators, stays and all other associated apparatus) will require the OHL Construction or Project Management scope at the appropriate voltage. - Although underground Cable termination is considered integral to the Jointing Scope at the appropriate voltage, the erection of the termination and associated steelwork, insulators, surge arrestors, jumpers etc. will require the OHL Construction or Project Management scope at the appropriate voltage.
Overhead Lines Steel Tower	<p>Over Head Line Steel Tower (voltage as relevant up to and including 132kV)</p>
Design Scopes	Indication of how they appear on website and brief description of what scope covers
Self Determination of Point of Connection	<p>Self Determination of Point of Connection (POC) (voltage as relevant up to and including 132kV)</p> <p><i>Note: NOs may operate pilot trials for this work which is limited to specific voltages or defined capacities.</i></p>
LV Cable Networks to Domestic and Industrial/Commercial Properties	<p>Electrical Design of Distribution Networks covering (LV Cable Networks to Domestic and Industrial/Commercial Properties)</p> <p>This also covers the domestic properties on a hierarchal basis.</p>

Overhead Networks	Electrical Design of Distribution Networks covering (HV O/Head Networks voltage as relevant up to 132kV) <i>Indication can also specify Electrical Design of Distribution Networks covering (O/Head Wooden Pole –voltage as relevant up to and including 132kV) (O/Head Steel Tower voltage as relevant up to 132kV)</i>
HV Cable Networks	Electrical Design of Distribution Networks covering (HV Cable Networks with voltage as relevant up to and including 132kV)
Substation Layouts	Electrical Design of Distribution Networks covering (S/Station with voltage as relevant up to and including 132kV)



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