National Electricity Registration Scheme (NERS) –
Frequently Asked Questions
and How to Prepare for Your NERS Assessment mike

What is the National Electricity Registration Scheme?

The National Electricity Registration Scheme (NERS) has been developed to allow contractors who fulfil scheme requirements to become registered as accredited Utility Connection Providers (UCPs). NERS accreditation, and subsequent registration, allows UCPs to tender for and to carry out contestable connection work, relevant to their level of accreditation, for adoption by the Distribution Network Operator (DNO) in whose geographical area the work is being done.

Any UCP contracting to carry out contestable work (as defined by OFGEM) can be accredited, and registered, under this scheme. All the main Distribution Network Operators (DNOs) in the UK recognise this scheme and, provided that contractors hold the appropriate scope of accreditation, will allow that contractor to tender for, and if successful, undertake contestable connection work. Once the work has been completed, the host DNO will adopt the connection for the remainder of its lifetime, subject to the work being done satisfactorily and the UCP meeting the adoption requirements.

What is contestable connection work?

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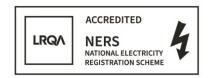
Who is LRQA EMEA?

LRQA EMEA is a world-wide accreditation and inspection body that has been appointed as Scheme Operator of NERS. The controlling body of NERS is the NERSAP, the NERS Advisory Panel, which is made up of representatives from DNO's, UCP's, OFGEM and LR. NERSAP meets regularly and agrees the requirements of the scheme. Minutes of these meetings can be found on the NERS website at www.Lrqa.com

Who needs accreditation?

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

What categories of accreditation are available?

There are 4 main categories:

Project Management –   for UCPs who do not have any construction site staff but wish to negotiate contracts with clients for connection work and be a party to the adoption agreement with the host DNO. The Project Manager would then sub-contract the construction aspects of the connection work to an appropriately accredited UCP. Project Management scope is also available to UCP's holding a construction scope but who wish to sub contract work out activities in other construction scopes that they don't have construction accreditation for to other appropriately accredited UCPs

Design –   for contractors wishing to undertake the design element of the connection. All designs have to be submitted to the host DNO for approval, and generally DNO's will only accept designs from NERS accredited companies.

Construction –   for UCPs wishing to perform the construction aspect of the connection.

2nd Tier Civil –   for civil contractors who do not wish to tender directly for contestable work and who perform a 'civils' supporting role for registered UCP's who are responsible for supervising the 2nd tier contractor. This is a category of registration with clearly defined bounds of responsibility and work scope and consequently the costs of registration are significantly reduced relative to that of standard NERS registration.

What scopes of work are available?

For construction UCP's then there are a number of scopes available:
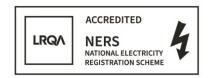   Civil – excavation and backfilling to tile/tape level
      Jointing (live and dead?) including jointing onto DNO networks
      Overhead Line construction
      Substation construction

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

A full list of scopes and their description is available in section 3 of NERS Scheme Requirements

How long does the accreditation take?

The assessment process is in two parts:

Partial - the Assessor will verify that the UCP under assessment has the appropriate Management Systems, Method Statements and Competencies in place and that their health and safety provision is appropriate for the work being done. The achievement of partial, in terms of time frame, is dependent upon how responsive the UCP is in dealing with any issues arising from an assessment and the extent to which working practices and competencies actually align to documented systems. Should the UCP be well prepared Partial may typically be achieved within a six week time from initial application.
.
Full - the Assessor will verify that the UCP has work control, contract change control, HR, Procurement and storage systems in place to ensure that a consistency of working process and competency is maintained and that applies both at site works and in the office based supporting services.

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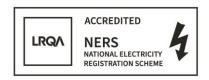
What is the difference between Partial and Full Accreditation?

Partial accreditation was established as a means for contractors, who did not possess a track record in the electricity distribution industry, to enter the UCP market. If a contractor possesses the competencies and method statements together with safe systems of work, relevant to the scheme requirements, which indicate that they could safely and competently perform the services for which they are seeking accreditation, then they could be awarded Partial accreditation. This would enable them to bid for contestable work, within the electricity distribution industry. Once successful then they would be required to advise LRQA who would perform a site assessment on their first contract to enable them to gain full accreditation in the particular scope of work demonstrated. Without the partial accreditation and subsequent registration phase it would be difficult for contractors with no track record to enter the contestable market.

Full accreditation can only be achieved once the UCP has been awarded work and is undertaking the full scope of works for which accreditation was sought. The Assessor will visit one or more of the sites where work is being undertaken to assess the competency and methods of work applied, to ensure consistency with the competency and method statements reviewed under the partial assessment process.

UCP work may be subject to site supervision by the DNO who will be adopting the installed network. The extent of the supervision will be determined by the accredited status of the UCP, so if the UCP has partial accreditation they may be exposed to a more stringent supervisory regime than if they have full.

What is the cost of accreditation?

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

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

How do you apply for accreditation?

If you visit the LRQA EMEA website at http://www.lrqa.com/ you will find an application form which can be downloaded and emailed to the Utilities Team at utilities@lrqa.com. Any other queries should be directed to 0800 014 9152.

Are there any guidance notes available?

Guidance on the detailed scheme requirements is available is available on the NERS website which can be accessed from http://www.lrqa.com/.

What happens after I have agreed the quotation?

Once you have accepted the quote and returned the signed Request for Services Form, an assessor will be nominated for your company. The assessor will contact you and agree the dates for the assessment. Please note, that no payment is required at this stage unless, after a financial check, your credit limit is below the quoted amount
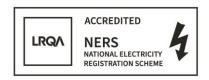
Does LRQA EMEA provide any consultation services to assist in compiling the NERS procedures?

No, as LRQA is the Accreditation Body they are unable to offer any consultation. They can, however, carry out a gap analysis, or desk top review, prior to the main assessment in order to advise on any scheme requirements that are not covered by your systems and procedures

What will the LRQA Assessor be looking at during the assessment?

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

What is a Safety Management System?

The systems, processes and procedures, forming the UCP 's safe system of work, that ensure all aspects of the Health and Safety at Work Act 1974 and all appropriate and relevant regulations relating to the work covered under the Scheme are complied with.

What is a Certificate of Competence?

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

Each certificate should state exactly what the individual is competent to do (e.g. LV jointing; 11kv Jointing). It should be relevant to the UCP's accredited scopes and should cater for acceptance by signature from the person receiving it. Full details on the certificate of competence, including an example certificate can be found in Appendix A4 .2 of NERS Requirements Document

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

The passport is a document, initially, issued to an individual by a UCP. The document authenticates the individual's identity and, within it, the UCP is required to record and document that individual's:-
- induction(s).
- general training and competencies,
- competency review(s)
- audit(s) and employment histories

Passports are required as the means by which the UCP can demonstrate that their field force are competent to perform the role that they may be required to undertake at anytime on site. The passports are required to be updated and reviewed annually by the UCP's nominated Assessing Officer and represent the output of the Safety Management System. The operatives required to hold passports are:
- Cable Laying Operatives,
- Craftspersons (Electrical Fitters, Linespersons, Cable Jointers etc) – Additionally craftspersons are required to have been subject to Competency procedures and be issued with an assessment of competence certificate signed by the UCP Assessing and Authorising officer
- Civil Operatives

Passports are not required for:

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

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

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

Appointments should be made by a Senior Member of Management who has direct responsibility for the operations conducted by the UCP within the scopes of the scheme. That person may not necessarily have any technical expertise or qualification relative to the scopes operated but should have, with access to technical guidance, full understanding of the scheme requirements. See 4.2.12 of NERS Requirements Document

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

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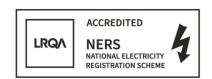
What work should I record to support the ongoing competency and passport process?

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

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

The EUSR is a register of assessed skills held on a web site accessible database. Up to date EUSR registration is viewed as an alternative to the passports, however appropriate EUSR categories are not currently available for use for NERS competency registrations.

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

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

What happens if the LRQA Assessor finds things wrong during the assessment?

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

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

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

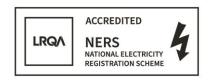**What happens after I have gained accreditation?**

Your company's name and scope of accreditation will be registered onto the NERS website. This means that any prospective clients can use the website to find suitable UCPs to carry out new electricity infrastructure works. You will also receive a NERS Certificate listing your scope of approval. Subject to complying with the rules for its use, once you have gained full accreditation, you will be entitled to use the NERS logo on your letterheads etc.

How long does accreditation last for?

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

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

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

Can I use subcontractors to carry out the works?

Yes – however using subcontractors has restrictions and is dependant on whether you and the sub contractor hold the appropriate accreditation relevant to the particular scope of work you want them to do. Alternatively sub contractors can work under the direct control of you- effectively under your duty of care- in a labour only capacity, <u>as long as you are an appropriately accredited UCP for the work being done.</u> For full details and restrictions on the use of subcontractors see section 5 of the Scheme Requirements document

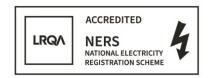**What happens if I fail to comply with scheme terms of registration once accredited?**

If, during a surveillance visit, the Assessor notes a deficiency, it will be discussed with you. If it is a major deficiency, i.e. a significant breach of the scheme rules e.g. working outside your scope, then, dependant on the nature of the issue you may be face immediate suspension*or be given an appropriate timescale (a month) to take appropriate corrective action(s). If you fail to take action within this timescale then your accreditation will be suspended* and you will not be able to carry out any more work relevant to and under NERS accreditation until you have successfully closed out the deficiency.
* Note if you are suspended your website listing will be immediately changed to show the situation
If it is a minor deficiency then you will have until the next surveillance visit to take corrective action and this will be verified by your assessor at that time. If you have not taken any action to close out a minor deficiency, then it will be re-classified as a Major Deficiency.

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

If you do not agree with any of the findings that your assessor has highlighted to you then you can appeal against the decision. The full appeals process is shown in the Scheme Requirements Document.
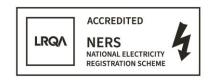
How do I prepare for NERS assessment?

Firstly it is important that you familiarise yourself with the NERS Requirements document accessible through the NERS section of the LRQA website - www.LRQA.com

You may find that the following tabled breakdown is of assistance whilst either producing new systems and procedures or seeing whether existing systems/procedures meet the scheme requirements. This breakdown includes the relevant references in the NERS Requirements Document. Some UCPs have also found it of assistance to use the services of a consultant technical advisor to help them develop NERS compliant systems and procedures.

"HOW TO PREPARE FOR YOUR NERS ASSESSMENT!"

These notes in this tabled breakdown are for the guidance of Utility Connection Providers (UCPs) unfamiliar with the NERS assessment process. Whilst they provide summary of what is involved in the process they do not replace the scheme requirements document. They may not cover every aspect that NERS requires but should provide you with general guidance and your assessor will be able to answer any more specific points you have

The accreditation requires that you have systems and procedures that satisfy scheme requirements – where scheme requirements indicate those procedures **shall** be **documented.**
The **NERS Requirements** Document gives details about the scheme and what is required to attain accreditation.

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

The assessment coverage at full evaluation stage is shaded in grey below

When preparing for a NERS assessment please remember that whilst a lot of activities done by companies when installing new electrical infrastructure may be satisfactorily organised and usually meet industry standards NERS requires added safeguards which ensure such activities always meet industry good practice. This is done through specific scheme requirements which need to be in place.
Hence how activities are planned, carried out and in some cases recorded needs to be supported by relevant procedures and work must be done in accordance with those procedures.
– **so** *how you say it is how you should do it!*

UCP RESPONSIBILITIES

The evaluation will seek to see if the UCP being assessed understands their responsibilities for working in ways which comply with the requirements of the scheme. Guidance on this requirement is in **NERS Requirements 2.-2.2**.

SCOPE SPECIFIC REQUIREMENTS-

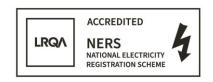**Evaluation here is dependant on the actual scopes the UCP has applied for**

DESIGN SCOPE SPECIFIC REQUIREMENTS - AT PARTIAL STAGE

(Refer to 3.1 and 4.2.1 of NERS Requirements)

The UCP being assessed:-
-   should be able to demonstrate an appropriate design organisation is established with designer role profiles that satisfy scope competency requirements.
-   shall have a **documented design procedure** which utilises appropriate design tools and that specifies design practices from receiving information from client to handover of construction pack to the constructor.
  1.   is compliant with legislation, industry and adopting utility specifications
  2.   includes, within it, control of design documents, data and other information **(Refer to section 9 of NERS Requirements).**

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

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

PROJECT MANAGEMENT SCOPE REQUIREMENTS - PARTIAL STAGE
(Refer to 3.2; 4.2.2. & Appendix 3 of NERS Requirements)

UCPs being assessed against this scop should be able to demonstrate an appropriate project management organisation is in place that has the required technical competence(ies) to manage work relationship and quality and that establishes interfaces and reporting lines between (as applicable) clients, developers, designers, constructors and adopting utility companies.
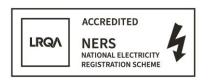
They shall have a **documented procedure** in place specifying the project management role, including the detailing and assigning of responsibilities throughout the project life cycle. The procedure should also contain provision:-

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

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

CONSTRUCTION SCOPE REQUIREMENTS-PARTIAL STAGE
(Refer to 3.3 and 4.2.3 NERS Requirements)

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

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

Procedures should be in place:-
- for managing work that assigns responsibilities throughout the construction life cycle and which cover all aspects of the construction work to be undertaken.
- covering project completion and handover to adopting utility.
- that ensure all projects are evaluated by competent personnel to ensure that all adopting utility specifications, requirements etc are met.
- that ensure technical audits are carried out as detailed section **8.1 of NERS Requirements**

Documented Method statements relevant to the work/scope of work to be undertaken should be produced Ref **6.2 of NERS Requirements**.

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

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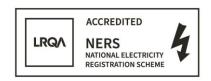

GENERAL& ROLE COMPETENCY REQUIREMENTS -PARTIAL STAGE (Refer to 4.1 General Competency Requirements + all the relevant sections of 4.2 – and Appendix 4 of NERS Requirements)

The UCP being assessed **shall** be able to demonstrate a **documented Safety Management System**. This documented system should be relevant to scopes sought and the scheme requirements, in relation to those scopes –**Ref NERS Requirements (see Definitions)** and should include.
- a **documented competency assessment procedure** that ensures the minimum competency requirements are satisfied before work is done. The procedure **shall** demonstrate the technical competency to define/assess role competencies with, if necessary technical advisor support and go on to include and define
1. who appoints persons to carry out and give authority to those assessments? –**see FAQ'S and 4.2.12 of NERS Requirements**
2. actual appointments (*assessing/authorisng officers: qualified supervisor*) and acceptance of roles
- should be able to demonstrate it has defined the competencies for all roles identified in scheme requirements.
- should be able to demonstrate that it has in place a system of recording and reviewing competencies **(Refer to 4.1; 4.2 and Appendix 4 of NERS Requirements**
- **procedures** should be in place that ensures that a general (with audit trail) competence/training record of individuals is issued to individuals so as to be available on site. **Guidance on this can be found in section 13 of NERS Requirements - *Passport and Ongoing competency Records*. The system should include, and take account of, all elements described in that section and in section 4 of NERS Requirements Document**

AT FULL STAGE THE assessor will check the following

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

---

SUB CONTRACTED WORK-PARTIAL STAGE

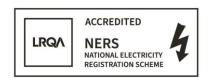### (Refer to Section 5 and the relevant sections of Appendix 4 of NERS Requirements)

The UCP being assessed should be able to demonstrate an understanding of sub-contracting proposals and requirements in relation to the scheme.

A **documented procedure shall** be in place that caters for the use and control of ground workers to ensure that any work they do adheres to appropriate specifications/codes of practice. This procedure should contain specification details re excavations, laying ducts, and any allowable infrastructure and backfill and should indicate how this information will be transmitted to the developer and site manager. **Ref Section 5.3 NERS Requirements**

AT FULL STAGE THE assessor will check the following

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

WORK ISSUE AND CONTROL- PARTIAL STAGE

(Refer to Sections 6 and 7 NERS Requirements)

The UCP being assessed should be able to demonstrate:-

Processes/ procedures, for managing work from inception through to adoption such that :-

- they recognise and know how to access and comply with adopting utility and industry specific requirements (also relevant to National Operations **Ref 3.5 NERS Requirements**)
- they are relevant and appropriate to the scopes sought
- they include provision for adequate and appropriate site supervision arrangements
- they cater for the issue of **documented** work instructions
- they cater for scheduling work to ensure that sufficient competent personnel are deployed

The UCP **shall** have **documented procedures** that define how the technical elements of tendering, planning and construction work are controlled and how variations are managed.

They should also have **procedures** in place:-

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

AT FULL STAGE THE assessor will check the following

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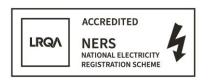

- Work undertaken has been managed in accordance with established work control & management procedures
- Notice and communication arrangements meet the requirements of the adopting utility.
- Work instructions clearly describe full extent of the work to be carried out including layout and necessary,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

---

AUDIT-PARTIAL STAGE

(Refer to Section 8 and Appendix A.4.4 of NERS Requirements)

The UCP being assessed **shall** have a **documented procedure** in place that defines the level of audits in relation to work activities and individual competencies and authorities. It should

- specify frequency, content and close-out arrangements for both technical and general Health, Safety, Environmental and who should carry them out in relation to individual auditor qualification, experience and competence
- ensures that audits are planned to cover the full range of work activities performed by each individual (direct or sub contract)
- checks that work is constructed in compliance with appropriate industry/adopting utility agreed standards

Notes:

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

UCP's should look to establish a risk management process which evaluates on going risk to their accreditation status. Subcontracted aspects of their accredited scopes of work should be incorporated into this process **Ref 2.2. NERS Requirements**

AT FULL STAGE THE assessor will check the following
- Technical audits undertaken by a competent person and in accordance with procedure
- Technical and HSQE audits done reviewed and close-out actions adequate
- Identification of risks affecting compliance reviewed and up to date.

CONTRACT DOCUMENT AND RECORD CONTROL-PARTIAL STAGE
(Refer to Section 9 of NERS Requirements)
The UCP being assessed should be able to demonstrate that a **procedure** is in place for:-   - controlling all documents, data and information   - ensuring records are identified, maintained and disposed of   -
AT FULL STAGE THE assessor will check the following
- Records and documents in use are controlled   - Adequate records of the work being done are kept

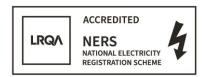| **TECHNICAL STANDARDS-PARTIAL STAGE** |
|---|
| **(Refer to Section 10 of NERS Requirements)** |
| The UCP being assessed should be able to demonstrate access to appropriate technical standards and guidance documents + other relevant documents e.g. NJUG publications etc. – Also relevant to National Operations. **Also see Work Issue and Control Section** |
| **AT FULL STAGE THE assessor will check the following;** |
| - That appropriate technical standards are available to those responsible for specifying and directing the work and where needed standards have been accessed and used |

QUALITY AND SAFETY SYSTEMS
(Refer to Section 11 of NERS Requirements)

The UCP being assessed UCP should have:_
 - Quality management system in place that is relevant to the scopes and related activities sought
 - Health, Safety &Environmental provision in place, regularly reviewed with HSE guidance available
 - Scheme specific environmental factors adequately covered in working practices.
 - Procedures in place and/or established for
    o compliance with CDM regulations, including operating on sites managed by others.
    o providing safety briefings to personnel

o investigating and reporting accidents and incidents
o compliance with COSHH regulations.
o the identification, provision, control and use of PPE

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

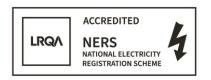| **HUMAN RESOURCE SYSTEMS PARTIAL STAGE**
(Refer to Section 12 of NERS Requirements) |
|---|
| The UCP being assessed should have
 - In place Human Resources procedures relevant to scheme requirements
 - Job descriptions prepared for all scheme specific roles |

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

TRAINING PARTIAL STAGE

(Refer to Section 12 and Appendix 4 of NERS Requirements)

The UCP being assessed should have
- A training **policy** in place for 'competitive' activities
- Provision to record training records – **which take account of requirement as Ref 13 of NERS Requirements**
- Induction arrangements should be in place for new starters and any personnel starting 'competitive' work for the first time

AT FULL STAGE THE assessor will check the following;

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

---

NOTE: OPERATING NATIONALLY

To be in a position to carry out work in all DNO geographical areas the UCP **shall** be able to demonstrate
- An adequate Mobilisation Procedure
- Access to Technical specifications –G81and adopting DNO Technical Specification appendices
- Safety and Quality Assurance r
- An adoption Process

SURVEILLANCE VISITS

Note:
Once full accreditation in a particular scope is achieved - it's retention at that level over the accreditation period is dependant on the accrediting body conducting surveillance visits on the scope(s) concerned. These visits are a scheme requirement and you will be required to agree to and meet the surveillance schedule. The number of surveillance visits over the 3 year accredited period is subject to a minimum of 6 for construction and project management scopes – 4 for UCP's who only hold design scopes –however that number can increase dependant on the number of scopes attained at full and the number of staff undertaking connection work in those scopes.
UCP's attaining partial and not progressing those scopes to full within 12 months of attaining partial must agree to an annual review of their procedures to retain partial accreditation

Reference Appendix 1 (A.1.3) and of NERS Requirements