

Competition-in- Connections

CODE OF PRACTICE Reporting Requirements

October 2015 – March 2016

Introduction

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

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

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

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

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

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

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

Change Control

Version number	Date	Brief description of change
0.1	18 Jan 2016	Initial draft version for consultation
0.2	4 May 2016	Revised draft following consultation responses and changes arising from Ofgem approval of CiC CoP modifications 0001 and 0002

4.3 The Connection Application

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

Customers are reminded that they have a choice when visiting our website to apply for a connection at www.westernpower.co.uk/Connections/New-Connections/Apply.aspx:

“Please remember that you do have a choice of companies to choose from to carry out connections work. [Click here](#) to see our Competition in Connections section.”

The Competition in Connections section can be found directly at www.westernpower.co.uk/Connections/Competition-in-Connections.aspx and includes information such as ‘What is an ICP?’, ‘What is an IDNO?’ From this page, there is a link to a document listing ICP’s active in the WPD area and a link to the Lloyds Register website.

Call handlers in our contact centres have guidance information to provide customers with relevant information regarding competitive connection options and direct them to further information.

WPD has published a Competition in Connections (CiC) leaflet that is sent out with offer letters and is also available on the Competition in Connections page of our website. This highlights the CiC process and directs customers to WPD’s website to find the latest list of active ICPs in WPD 4 areas. The leaflet is available by post or electronically.

In addition, our application forms, available to be posted on request or to download from the website, contain the following paragraph on the front page:

“Did you know?

You can get a competitive quote from an Independent Connections Provider (ICP) for your electricity connection. We can provide you with a complete connection service but you may also ask an ICP or Independent Network Operator (IDNO) to undertake some of the works (known as the ‘contestable works’).

Find out more – www.westernpower.co.uk/Connections/Competition-in-Connections”

See Appendix A - CiC Leaflet

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

From the home page on the WPD website, at www.westernpower.co.uk, you can get to information regarding Competition in Connection within 2 clicks.

The “Connections” option contains a link to “Getting Connected”, available directly at www.westernpower.co.uk/Connections/Getting-Connected.aspx. This takes you to a Standard New Connection flowchart which shows the role of an ICP/IDNO in the connections process. There are further links to more detailed information.

www.westernpower.co.uk/Connections/Competition-in-Connections.aspx includes a link to the Lloyds Register website to find a list of ICPs and the Ofgem website to find a list of IDNOs. There is an additional link to a list of ICPs that have requested inclusion as currently active in WPD’s area. At present, there are 42 ICPs who have requested inclusion on this list.

The Competition in Connections leaflet is available on our website at: www.westernpower.co.uk/Connections/Competition-in-Connections

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

WPD's Estimating and Charging system was updated to enable all connection offers provided to customers in relevant market segments to be provided on a convertible basis via the Dual Offer process, such that the customer may appoint an ICP to carry out some or all of the contestable works, or accept the offer on the basis that WPD carries out both the non-contestable and contestable works. ICPs can continue to request an offer for non-contestable works only. This is reported to Ofgem as part of the Connections Reporting Pack CR7 table.

See Appendix B – Dual Offer

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

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

WPD's Dual Offer letters include these elements.

See Appendix B – Dual Offer

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

The non-contestable physical works costs will be identical regardless of which option the customer chooses. However, assessment and design fees will differ depending on whether WPD or the ICP are designing the contestable works (and subject to the ICP undertaking self-design approval and/or self-determination of the point of connection processes). The overall charges for the non-contestable works will differ where inspections of work are required, dependent upon the level of inspections required for any given ICP/IDNO. Our extension of contestability allows companies to reach self-inspection level in which case no inspection charges will be required. At the point of quotation, the appointed ICP may be unknown; in which case the inspection charges applied will be based on an ICP subject to WPD inspection level 1.

4.5 Determining whether ICP can undertake assessment of POC

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

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

On the “Further Information for ICP’s and IDNO’s” page of our website, at:

www.westernpower.co.uk/docs/connections/competition-in-connections/Further-information-for-ICPs-andIDNOs.aspx

there is a link to the “CiC Code of Practice Procedure”; WPD published a summary presentation of the arrangements under which it will operate. This includes restrictions on which schemes can and cannot be designed by an ICP, further detail of which can also be found in ST:SD1F which is published on the Technical Information micro website.

See Appendix C – SD1F_1

4.6 DNO Input Services where the ICP determines the POC

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

- i) self-select a Point of Connection in combination with the Standard Design Matrix (see section 4.9 below); or*
- ii) carry out assessment and design of the Point of Connection using the DNO's standards and process utilizing the technical competency of the ICP's design team (see sections 4.10, 4.12 and 4.15 below).*

To enable self-determination of a point of connection, ICP’s have access to data, equivalent to that available internally to WPD, where applicable to the scope of the self-determination procedures. The majority of this is available on a 24/7 basis as set out below, with some information provided directly by the local team on request and in a timely manner.

1. Network information is available via the WPD Planning Data Portal on a 24/7 basis (<http://www.westernpower.co.uk/planningdata>)

See guide to mapping information available at

www.westernpower.co.uk/Connections/Competition-in-connections/Network-plans-and-information.aspx and click link.

2. Substation and plant details can be accessed by IDNOs & ICPs via the CIRT system on a 24/7 basis.
3. Some information is available from local team; HV feeder demand data (via Data Logger), earthing arrangements and IDNO Agreed Supply Capacities;
4. Information at higher voltages is available from WPD Primary System Design; Primary Substation protection data, automatic voltage control settings, earthing arrangements close to Primary Substations. Where information is readily available from WPD systems, it is available within 5 working days. If on-site monitoring is required it may take up to 6 weeks.

See Appendix D – CIRT Substation Demand Userguide

4.6.2 Such information will include:

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

The relevant information required is available via the resources set out below:

1. Network information is available via the WPD Planning Data Portal (<http://www.westernpower.co.uk/planningdata>)

See www.westernpower.co.uk/Connections/Competition-in-connections/Network-plans-and-information.aspx and click link to view the guide to mapping information.

2. Substation and plant details can be accessed by IDNOs & ICPs via the CIRT system.

3. Some information is available from local team; HV feeder demand data (via Data Logger), earthing arrangements and IDNO Agreed Supply Capacities;

4. Information at higher voltages is available from WPD Primary System Design; Primary Substation protection data, automatic voltage control settings, earthing arrangements close to Primary Substations.

5. Design standards and documents. G81 is available on WPD's website as www.westernpower.co.uk/connections/competition-inconnections/technical,-policy-engineering-documents.aspx

WPD has developed a microsite WPD Technical Information at www.westernpowertechinfo.co.uk to provide online access to technical specifications and policy documents. Users register for access and to receive regular notifications of updates to the documents available on the website.

4.8 Point of Connection Accreditation

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

WPD, together with other DNOs, is a member of NERSAP and the NERS Provider Forum. These are regular meetings with the inclusion of DNO's, ICP's, IDNO's and Lloyds Register which helps to collectively identify gaps in the accreditation processes or the need for further refinement.

As an example, the NERSAP Panel requested that Lloyds Register provide clarification on what the Self Determination of PoC scopes cover. In addition, the NERS Guidance Document has been amended, and a further amendment requested by NERSAP to include the description of what each scope covers. Lloyds Register is now to amend accordingly.

4.9 POC assessment Using Standard Design Matrix

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

WPD has published a summary presentation of the arrangements under which it will operate. This is available to view under the “CiC Code of Practice Procedure” link available on the Further Information for ICPs and IDNOs page of our website;

www.westernpower.co.uk/docs/connections/competition-in-connections/Further-information-for-ICPs-andIDNOs.aspx This includes its ‘Design Matrix’ under Standard Technique SD5B.

Standard Technique SD5B can be found on WPD’s Technical Information micro website www.westernpowertechinfo.co.uk under Design Standards – Low Voltage.

See Appendix E – SD5B

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

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

Standard Technique SD5B can be found on WPD’s Technical Information micro website under Design Standards – Low Voltage.

SD5B includes:

- (1) the process to be applied by both WPD staff and ICP staff when using the Standard Design Matrix, illustrated with a Connection Process Flow Diagram
- (2) an explanation of the maximum demand and load requirements within the Standard Design Matrix

The CIRT online system provides substation & customer details. Other capacity data is available from local teams.

Geographical network data is available from the WPD Planning Data Portal (<http://www.westernpower.co.uk/planningdata>)

See Appendix E – SD5B

4.11 Information Exchanges

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

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

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

ICPs and IDNOs are able exchange information via the online CIRT system.

ICPs must notify WPD at the following stages:

- **Point of Connection Notice** – when the ICP commences investigating a Point of Connection; within 5 days, WPD will provide the ICP with any relevant information relating to network constraints, upstream reinforcement, interactivity, regulatory payments such as potential refunds or apportionments which would preclude the ICP/IDNO from POC design, as it is not compliant with the Code of Practice.

Local WPD team will provide the ICP with requested data on agreed supply capacities for existing embedded networks, earthing arrangements for substations, protection arrangements for substations, earthing arrangements for the LV network and feeder load data for HV networks. Primary System Design will provide the relevant data about earthing arrangements close to Primary substations, protection data for Primary substations and HV feeders, and data required for the calculation of the Rise of Earth Potential at Distribution Sites.

If a scheme does not progress to the Issue stage after 20 working days, WPD will close the enquiry.

- **Point of Connection Issue** – when the ICP issues a quotation to a Customer; WPD will log the details for future reference for further associated connection applications. Where a quote becomes interactive with a subsequent WPD or ICP quote, WPD will notify that a requote would no longer be compliant with the Code of Practice.

Offers are valid for 90 days from the date of the Offer letter, after which it will automatically expire.

- **Point of Connection Acceptance** – when the Customer accepts the quotation issued by the ICP, the ICP notifies us through CIRT and WPD considers the accepted capacity as being committed on the network.

4.12 Self Determination Information

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

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

The populated common table, as shown below, identifies the Market Segments for which ICP's can self-determine their own Point of Connection (POC). This table is available to view on our website at www.westernpower.co.uk/Connections/Competition-in-Connections/Extension-of-Contestability-Trials.aspx. In addition, it is published within our Standard Technique SD1F which is available on the Technical Information micro website.

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

See Appendix C – SD1F_1

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

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

The populated common table, as shown below, identifies the criteria by which an ICP can determine their own Point of Connection (POC) utilising a Standard Design Matrix. This table is available to view on our website at www.westernpower.co.uk/Connections/Competition-in-Connections/Extension-of-Contestability-Trials.aspx In addition, it is published within our Standard Technique SD1F which is available on the Technical Information micro website.

Criteria	Measurement	Comment
Connection capacity	200kVA maximum	Reduced to 150kVA maximum for 6.6kV networks
Distance to substation	200m	Increased to 250m for capacity less than 150kVA
Service cable length	30m	
Transformer Capacity	315kVA and above	Restriction on total load on single LV fuse way
Asset types excluded	None	

See Appendix C – SD1F_1

Table 1: Information on Self Determination of Points of Connection Regulatory Year 2015/16 WPD East Midlands

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued Oct 15 – March 16	Number of SLC15 Quotes Issued Oct 15 – March 16	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Y	Matrix available	1210	348	1	3
HV demand	Y		725	677	0	4
HVEHV demand	N		17	33	N/A	N/A
EHV132 demand	N		1	8	N/A	N/A
DG LV	N		23	0	N/A	N/A
DG HVEHV	N		172	33	N/A	N/A
UMS LA	Y		20	n/a	0	0
UMS Other	Y		642	n/a	0	0
UMS PFI	Y		0	n/a	0	0

Of the 8 requests for self-determined POC's, only 2 were valid: 3 requests were declined due to not meeting the requirements, for example where upstream network reinforcement is required, 1 was cancelled by the customer as no longer required; 2 were replaced with a WPD determined POC following discussion with the ICP.

To assist with the roll out of a trial for multiple bus shelter applications, to accommodate a change over from unmetered to metered supplies, a separate process resulted in 116 self-determined POC's using a trial Standard Design Matrix.

Table 1: Information on Self Determination of Points of Connection Regulatory Year 2015/16 WPD West Midlands

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued 2015/16	Number of SLC15 Quotes Issued 2015/16	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Y	Matrix available	1074	333	0	0
HV demand	Y		784	492	0	0
HVEHV demand	N		2	8	N/A	N/A
EHV132 demand	N		0	0	N/A	N/A
DG LV	N		24	0	N/A	N/A
DG HVEHV	N		170	18	N/A	N/A
UMS LA	Y		14	n/a	0	0
UMS Other	Y		675	n/a	0	0
UMS PFI	Y		0	n/a	0	0

To assist with the roll out of a trial for multiple bus shelter applications, to accommodate a change over from unmetered to metered supplies, a separate process resulted in 86 self-determined POC's using a trial Standard Design Matrix.

Table 1: Information on Self Determination of Points of Connection Regulatory Year 2015/16 WPD South Wales

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued 2015/16	Number of SLC15 Quotes Issued 2015/16	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Y	Matrix available	368	44	0	0
HV demand	Y		345	77	0	0
HVEHV demand	N		0	0	N/A	N/A
EHV132 demand	N		3	0	N/A	N/A
DG LV	N		33	0	N/A	N/A
DG HVEHV	N		232	16	N/A	N/A
UMS LA	Y		6	n/a	0	0
UMS Other	Y		358	n/a	0	0
UMS PFI	Y		0	n/a	0	0

To assist with the roll out of a trial for multiple bus shelter applications, to accommodate a change over from unmetered to metered supplies, a separate process resulted in 189 self-determined POC's using a trial Standard Design Matrix.

Table 1: Information on Self Determination of Points of Connection Regulatory Year 2015/16 WPD South West

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued 2015/16	Number of SLC15 Quotes Issued 2015/16	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Y	Matrix available	672	67	0	0
HV demand	Y		747	207	0	0
HVEHV demand	N		2	3	N/A	N/A
EHV132 demand	N		1	2	N/A	N/A
DG LV	N		5	0	N/A	N/A
DG HVEHV	N		104	12	N/A	N/A
UMS LA	Y		33	n/a	0	0
UMS Other	Y		566	n/a	0	0
UMS PFI	Y		0	n/a	0	0

To assist with the roll out of a trial for multiple bus shelter applications, to accommodate a change over from unmetered to metered supplies, a separate process resulted in 117 self-determined POC's using a trial Standard Design Matrix.

4.13 Connection Design

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

ICPs are provided with technical information to assist them with the site design and procurement and installation of materials. The relevant documentation is available on WPD's website and is referenced in the Connection Offer:

ICPs are required to work to the National Framework documents, Electricity Association Engineering Recommendation G81 and the associated WPD Framework Appendices.

G81 National Framework documents and WPD's Design Framework Appendix are available on WPD's website at www.westernpower.co.uk/connections/competition-in-connections/technical-policy-engineering-documents.aspx

WPD has developed a microsite WPD Technical Information to provide online access to technical specifications and policy documents. Users register for access and to receive regular notifications of updates to the documents available on the website.

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

It is WPD policy not to require a link box at the interface between WPD's distribution system and the IDNO network, under normal circumstances. There is also no requirement for a physical joint. In instances where cable terminates directly to WPD assets (e.g. substations/feeder pillars), the DNO/IDNO boundary will be an agreed specified location, usually 1m from the boundary of WPD's asset to allow the IDNO room to carry out works on their network without impeding into WPD's working areas.

On the rare occasion that WPD does require a link box, WPD will procure and install one at no cost to the IDNO.

If the IDNO contests the procurement and installation of the link box in accordance with Competition in Connection rules the IDNO may invoice WPD for its reasonable costs.

Where an IDNO requires a link box or feeder pillar, the IDNO will procure and install one at their own expense.

See Appendix F – NC6A_6

4.16 Design Approval

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

The proposed tables would be set out as follows:

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

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

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

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

*If applicable

The populated common tables, as shown below, identify the Market Segments for which ICP's can self-approve their own designs and the criteria by which they can move between audit levels. These tables are available to view on our website at www.westernpower.co.uk/Connections/Competition-in-Connections/Extension-of-Contestability-Trials.aspx In addition, they are published within our Standard Technique SD1F which is available on the Technical Information micro website.

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

UMS PFI	Y	
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Level	Criteria
1	100% Audit, 20 audits to move to level 2
2	50% Audit, 20 audits to move to level 3
3	25% Audit
Self-audit level 1	5% Audit, 20 Audits to move to self-audit level 2
Self-audit level 2	2% audits

See Appendix C – SD1F_1

4.16.4 Where an ICP, having met the criteria set out by the DNO, undertakes design approval of the Connection Works the ICP shall not require design approval from the DNO. However, the ICP may still ask the DNO to approve or validate the design.

An ICP who meets the criteria for design self-approval can still ask WPD to approve the design.

If the ICP is requesting to Self-approve their own design, they must be signed up to the Framework Network Access and Adoption Agreements and they must submit their enquiry via the CIRT route.

WPD's ICP Operating Manual, available on the Technical Information micro website, provides an explanation of "CROWN Process and enquiry route for CIRT enabled enquiries" (p47) and Design Approval where the ICP is not self-approving their design (page 40).

WPD's Standard Technique ST:NC 2F/3 and ST:SD1F on Design approval are available on the Technical Information micro website.

See Appendix G – NC2M_2, Appendix H – NC2F_3 and Appendix C – SD1F_1

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

Where the ICP undertakes self-approval of its designs, they shall submit their design to WPD for inspection. The inspection itself would not be required to be completed prior to works commencing and therefore the ICP will not be unduly delayed in proceeding with the works. Inspections are also carried out on the physical works to construct the network.

As audits are completed, ICP's will move through the differing levels of inspection which decrease the percentage of inspections required. Once they have attained level 3 in all areas, in which 25% of schemes will be inspected, ICP's can apply to move to a self-inspection level which is consistent with WPD's own inspection level.

Where failures occur, they shall be recorded on the appropriate form. Failures are pre-allocated a severity Category:

Category 1: is a severe or dangerous defect where there is a serious non-compliance with WPD's policies and procedures or the Framework Network Access and Adoption Agreement. Such defect will result in immediate suspension of that specific activity of work by the ICP on that site.

Category 2: is a serious defect where there is a serious non-compliance with WPD's policies and procedures or the Framework Network Access and Adoption Agreement. Such defect may not be recoverable at the time of inspection, may result in failure to adopt the asset until rectified. Further inspections will normally be required. In this instance WPD may determine the action required to rectify the defect.

Category 3: is a minor defect resulting from a minor non-compliance with WPD's policies and procedures or the Framework Network Access and Adoption Agreement. Such defect will normally be recoverable at the time of inspection and will not require further inspections.

The process for managing failures is included within the ICP Operating Manual, Standard Technique NC2N. This operating manual adheres to the inspection and monitoring regime, as detailed in Standard Technique NC2M. Both of these documents are available to ICP's on the Technical Information website.

See Appendix G – NC2M_2 and Appendix I – NC2N

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

As per the processes outlined within Standard Techniques NC2M and NC2N, failures are recorded within WPD's Crown system within the Inspection and Monitoring regime tables. The inspectors report will be submitted to the ICP, with photographs where appropriate, within 2 working days following the issue of an automated email from the Crown system. The site inspection forms and any supporting evidence, such as photos, are electronically stored for future referral, as and when required. This evidence will support the escalation processes detailed in the Standard Techniques.

See Appendix G – NC2M_2 and Appendix I – NC2N

Table 2: Information on Self Approval of Designs 2015/16 WPD East Midlands

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved	Number of Self Approved Designs
			October 2015-March 2016	October 2015-March 2016
LV demand	Y		37	3
HV demand	Y		46	0
HVEHV demand	N		1	N/A
EHV132 demand	N		0	N/A
DG LV	N		0	N/A
DG HVEHV	N		51	N/A
UMS LA	Y		N/A	0
UMS Other	Y		N/A	0
UMS PFI	Y		N/A	0

Table 2: Information on Self Approval of Designs 2015/16 WPD West Midlands

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved 2015/16	Number of Self Approved Designs October 2015-March 2016
LV demand	Y		24	0
HV demand	Y		38	0
HVEHV demand	N		0	N/A
EHV132 demand	N		1	N/A
DG LV	N		0	N/A
DG HVEHV	N		16	N/A
UMS LA	Y		N/A	0
UMS Other	Y		N/A	0
UMS PFI	Y		N/A	0

Table 2: Information on Self Approval of Designs 2015/16 WPD South Wales

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved 2015/16	Number of Self Approved Designs October 2015-March 2016
LV demand	Y		0	0
HV demand	Y		5	0
HVEHV demand	N		0	N/A
EHV132 demand	N		0	N/A
DG LV	N		0	N/A
DG HVEHV	N		15	N/A
UMS LA	Y		N/A	0
UMS Other	Y		N/A	0
UMS PFI	Y		N/A	0

Table 2: Information on Self Approval of Designs 2015/16 WPD South West

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved 2015/16	Number of Self Approved Designs October 2015-March 2016
LV demand	Y		7	0
HV demand	Y		16	0
HVEHV demand	N		1	N/A
EHV132 demand	N		1	N/A
DG LV	N		0	N/A
DG HVEHV	N		19	N/A
UMS LA	Y		N/A	0
UMS Other	Y		N/A	0
UMS PFI	Y		N/A	0

4.19 Final Connection

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

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

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

Within the Connection Offer letter, customers are advised that the MPAN (supply numbers) will be provided following acceptance. WPD do not have an MPAN creation team, they are generated, as required, by the local teams in discussion with the customer. This process is the same for both WPD and ICP delivered connections.

5.1 Accreditations

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

As identified in question 4.8, WPD is a member of NERSAP and the NERS Provider Forum to ensure scope changes are implemented to cover the relevant activity consistent with the Relevant Objectives in section 2.3.

5.2. Authorisations

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

WPD do not authorise Lighting Authority Personnel.

STANDARD TECHNIQUE:OS6C “Co-ordination of Electrical Safety of Work on Street Furniture in the Vicinity of the WPD Distribution System” section 1.2 states:

1.2 In order to allow lighting authority personnel to operate WPD owned cut-outs, WPD require that the lighting authority ensures that their personnel are competent and equipped to do so in safety. It is therefore expected that lighting authorities shall train, certificate, audit and maintain a register of their personnel, who are required to operate WPD owned cut-outs, in accordance with G39/2.

WPD accept that this training can be provided by WPD, 3rd party training provider or other DNO without prejudice.

See Appendix J – OS6C/2

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

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

Accredited ICPs are able to nominate which Option they will be complying with when working on the WPD network from the following table:

	Option 1	Option 2	Option 3
	ICP Work to their own DSRs procedures and Policy. ICP Authorise their own Staff.	ICP works to WPD DSRs procedures and Policy. WPD Authorise ICP Staff.	WPD transfers control of a specific part of the distribution system to ICP control Only available with Option 1

The arrangements apply to high voltage (underground works only) and live low voltage mains and service connections for metered and unmetered connections (overhead and underground).

Any operatives who are required by the ICP to carry out physical work on WPD's distribution system must:

- hold a current NERS passport or an approved alternative with the relevant scopes and accreditation;
- be suitably competent and authorised by the ICP for the various stages of the intended works or activity under the ICP's DSRs and;
- have received basic health and safety training (i.e. avoidance of danger and risk assessment) and emergency first aid training including resuscitation.

In order to participate in this process the ICP shall either:

- be Fully Accredited, with an Framework Network Access and Adoption Agreement in place and the ICP operatives must have appropriate Lloyd's scopes and accreditations or;
- where the ICP holds only Partial Accreditation the ICP shall also be following the appropriate NERS process leading to Full Accreditation.

Table 3: Information on Authorisations

Activities	Option 1- ICP (Yes/No)	Option 2 – DNO (Yes/No)	Option 3 – Transfer of control (Yes/No)	Comments
LV Works	Yes	Yes	No	Live Jointing New Connections (LJNC) process
LV Operations	No	No	No	WPD shall: <ul style="list-style-type: none"> • Provide cable identification service • Install generation & back-feeds • Switch parallels
HV Works	Yes	Yes	Yes	As per HV operations
HV Operations	Yes	Yes	Yes	WPD shall: <ul style="list-style-type: none"> • Install generation and back-feeds • Switch parallels
EHV Works	No	No	No	
EHV Operations	No	No	No	
Unmetered Works	Yes	Yes	No	Live Jointing New Connections (LJNC) process
Unmetered Operations	No	No	No	Cable identification service available from WPD

This information is available via a link to what operational activities an ICP is permitted to undertake on the WPD network on our website at www.westernpower.co.uk/Connections/Competition-in-Connections.aspx

6.1 Auditing

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

WPD can confirm that we would not, without reasonable cause, carry out audits to validate an ICP's ability to undertake specified activities where they have been accredited under NERS and subject to the audit provisions of NERS. As per Standard Technique NC2L, WPD will check to ensure the ICP holds appropriate accreditation under NERS, ask the ICP to nominate the DSR Code of Practice option they will be complying with when working on the WPD network and to provide a detailed Safety Management System (SMS) to WPD's Safety Team.

See Appendix K – NC2L_6

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

WPD does not provide its own ICP Accreditation.

STANDARD TECHNIQUE: NC2L/6 "Relating to Independent Connection Provider (ICP) High and Low Voltage Connections under ICP or WPD DSRs" section 2.1 requires NERS or Partial NERS Accreditation is held by the ICP and has no option for WPD Accreditation.

2.1 Prior to WPD allowing an ICP to carry out any physical works WPD must ensure that the ICP:

- *holds appropriate accreditation under the NERS;*
- *has Partial Accreditation in WPD's distribution area or nationally applicable Full Accreditation.*

See Appendix K – NC2L_6

6.2. Inspection

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

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

Inspections, including those for network design, self-determined points of connection, design approval and physical on site works, are undertaken using the same inspection and monitoring regime for both ICP's and WPD's own connections business. The results are

recorded in WPD's Crown database.

Inspections, where required, take place around the ICP's programme of works and, as such, the ICP will not be unduly restricted or delayed in undertaking their work. As the same regime is used for both ICP's and WPD's own connections business, the inspection of ICP's is no more onerous than the quality assurance regime used for WPD's own connections activities.

As described in 4.16.6, non-conformances are escalated in line with Standard Technique NC2M and NC2N, both of which are available on the WPD Technical Information website.

See Appendix G – NC2M_2 and Appendix I – NC2N

Table 4: Information on Inspections

	Number of Inspections Made	% of inspections made	Number of Connections made (exit points)	Comments
DNO	4321	87%	5153	Number of exit points relate only to the 2160 enquiries on which inspections were carried out
ICPs	664	13%	1494	Number of exit points relate only to the 334 enquiries on which inspections were carried out

7.2 Land Rights

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

WPD has published a guide for landowners and a guidance for ICPs to explain the process relating to Land Rights relating to assets adopted from ICPs at www.westernpower.co.uk/connections/competition-inconnections/Legal-Permissions-and-consents.aspx



Adobe Acrobat
Document

This includes a typical process for completing WPD land owner legal permissions (where the ICP has agreed routes and terms with the landowners and is producing the legal plan).

Whether a customer seeks a direct quote from WPD or appoints an ICP, the main types of consents for connection needed are:-

- Landowner permissions
- Planning Permission or Development Consent
- Consents from other statutory bodies (e.g. environmental consents)

WPD will need land rights agreements in place prior to adopting the installed equipment and to cover future access and maintenance on the land. The WPD agreement would normally be one a WPD standard wayleaves or easements and would take effect once WPD adopts the works.

ICPs also need their own agreement with the landowner to carry out the works. The ICP agreement would be the contract between the ICP and the landowner for the installation stage and WPD are not normally party to that agreement.

WPD's Technical Information website has a section on Legal Permissions and Consents which contains the relevant WPD Policies and Standard Techniques.

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

WPD has adopted a process agreed with IDNOs to enable IDNOs to negotiate dual land use agreements , on behalf of the DNO.

The preferred method of securing land rights is by transferring the freehold from the developer or landowner but a long leasehold or sub-lease may sometimes be more appropriate. Where the IDNO is the majority asset holder they will be responsible for the accommodation and hold site duties under the ESQC Regulations. Under this scenario, for LV and 11kV sites, the IDNO will normally want to secure the rights for the substation under a bilateral lease/transfer agreement between themselves and the landowner. WPD's assets on the site and cables will be included in this agreement. WPD agreed a process with IDNO's to allow IDNO's to liaise directly with the land owner over the land transfer and to have

control over the legal process for 11kV and low voltage connections only. Connections at 33kV and above will be the subject of a tri party agreement under guidance from the WPD Consents and Wayleaves team. The IDNO will acquire rights from the landowner by securing either a lease or transfer in respect of the substation and cabling, with WPD relying on the Contracts (Rights of Third Parties Act) 1999 to enforce the rights set out in the direct agreement between the IDNO and the landowner. The process to be adopted by the parties is based on one agreed with a major IDNO.

See Appendix F – NC6A_6

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

Information on Legal Permissions and Consents is published on WPD's website at www.westernpower.co.uk/connections/competition-inconnections/Legal-Permissions-and-consents.aspx

This includes sample document templates for common WPD Deeds, Wayleaves and Lease agreements. Other specimen example documents can be provided on request.

WPD's Technical Information microsite section on Legal Permissions and Consents contains the relevant WPD Policies and Standard Techniques.

7.4 Adoption

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

The provision of records of the installed assets has been published on the WPD website under G81. The requirements are also set out in WPD's Standard Technique DO6A/2 which, alongside G81, is available on the WPD Technical Information website.

ICPs are required to be signatories to a Framework Network Access and Adoption Agreement (FNA&AA). Before adopting the assets WPD must be satisfied that the commissioning tests have been carried out satisfactorily and the ICP has provided a Notice of Completion.

Where the ICP is undertaking self-inspection they are required to submit an Audit Pack (see ICP Operating Manual page 15) which will include:

- Test results
- Schematic drawings

The ICPs are required to provide plans and recordings indicating the adopted assets which

will be retained by the WPD Mapping Centre.

WPD will then issue a Completion Certificate acknowledging adoption of the assets, or a WPD Rejection Notice may be emailed to the ICP's nominated contact for any of the reasons specified in the ICP Operating Manual (page 16).

For WPD connections work, commissioning certificates and test results will be held locally. Schematic drawings and cable records will be retained by the WPD Mapping Centre.

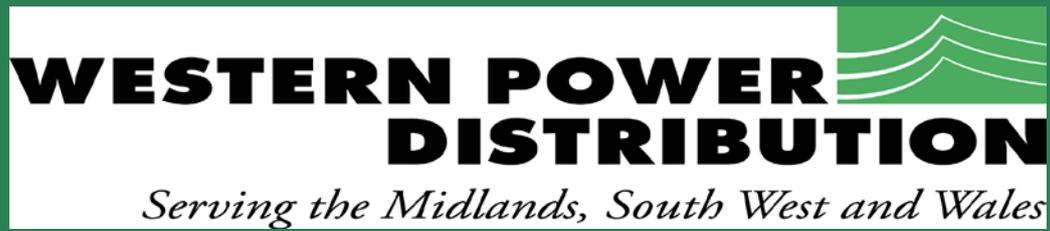
See Appendix L – DO6A/2

10. Dispute Resolution

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

A CIC Connections complaints procedure has been published on the WPD website at www.westernpower.co.uk/Competition-in-Connections/ICP-Complaints-Procedure.aspx

This is specifically for use by any party who considers that WPD is not meeting its obligations under the CIC COP. It follows a similar internal escalation procedure to normal complaints. An online complaint request form is also provided.



CODE OF PRACTICE

If you have any queries about this update:

Call us: free on 0845 724 0240

Email: connectionpolmids@westernpower.co.uk

Write to us: Richard Allcock, Connection Policy, Western Power Distribution, Pegasus Business Park, Herald Way, Castle Donington, DE74 2TU

Western Power Distribution (East Midlands) plc, No 2366923
Western Power Distribution (West Midlands) plc, No 3600574
Western Power Distribution (South West) plc, No 2366894
Western Power Distribution (South Wales) plc, No 2366985
Registered in England and Wales
Registered Office: Avonbank, Feeder Road, Bristol, BS2 0TB

www.westernpower.co.uk