Competition in Connections Code of Practice Report 2015-16

(November 2015 – March 2016)

SP Manweb
and
SP Distribution

September 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.

It is deemed that completion of this document shows that SPEN 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.*

In order to also meet Ofgem obligations on reporting included in Standard Licence Condition 45, Data Assurance requirements, SPEN have undertaken processes and data assurance activities and completed a risk assessment of the submission, setting out our data assurance activities to manage the risk of inaccurate or incomplete reporting.

The information included in this report is for the regulatory year 2015-16 (1 April 2015 to 31 March 2016), however this year the information is for the period 1 November 2015 to 31 March 2016 due to the implementation date of the obligation.

The implementation of the Code of Practice has reinforced our continued high level of involvement within the Competition in Connections (CiC) arena. Significant work has been completed to ensure that our communications, processes and procedures fully support CiC.

Our website has a defined section for CIC with a full range of information to support our customers and Independent connection providers (ICPs), including the provision of alternative providers. Customer correspondence has been enhanced/developed to educate the customer and make them aware of the choices, for example; applications, leaflets, offer letters.

Our internal systems and processes have been updated to enable fully convertible quotations and to provide a comprehensive breakdown of charges.

The following pages cover the responses required within sections 4, 5, 6 and 7 as per the Code of Practice. A separate Appendices document has been created to provide supporting evidence of the web pages, UMV and the convertible quotation.

Due to the overlap within the questions there is some repetition within the responses and we have cross-referenced some responses and referred to the appendices to prevent further duplication.

During this reporting period ICP take-up of the Code of Practice has been slow however we have run workshops to make the ICPs aware of the options available to them and are encouraged in their interest in participation.

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.

SPEN provide the Customer with a range of information which explains the Competitive market and provides details of the ICPs that are both available and active in their area. These are detailed below followed by the supporting evidence:

When a connection request is received SPEN provide the customer with an application pack which includes the application form and the website links to the following leaflets:

- Getting Connected which explains our connection process http://www.spenergynetworks.co.uk/userfiles/file/Getting_Connected_AW_Web_May16.pdf
- Connecting you with a Choice which details in simple terms the option of either SPEN and/or an ICP completing the work and what work can be carried out by an ICP, see a) below.

Once a completed application is received SPEN issue a confirmation of receipt and enclose the leaflets detailed above.

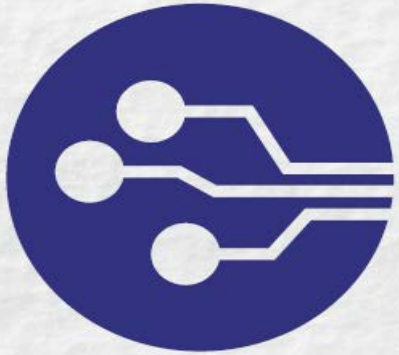
When SPEN issue a Convertible Quotation (offer letter), which again references the options available for the customer; we also enclose another leaflet "Your Connection Offer explained", see b) below. This also provides the customer with further information to help them understand their quote in terms of who can complete the work.

Alternative Providers - SPEN provide the links to two sources of information in relation to ICPs; one being active ICPs in the SPM and SPD areas, the other the Lloyds Register where the customer can see the activities an ICP is accredited to complete, see c) below.

Supporting Evidence

a) Connecting you with a Choice leaflet - this leaflet, screenshot shown below, is also available on our website within the Useful Documents section
http://www.spenergynetworks.co.uk/pages/useful_documents.asp or via the direct link
http://www.spenergynetworks.co.uk/userfiles/file/Connecting%20you%20with%20a%20choice_web.pdf

Connecting you with a choice



SP ENERGY NETWORKS

Introducing Competition in Connections

This SP Energy Networks (SPEN) leaflet aims to guide you towards the right choices when making a new connection to our electricity network. Further information can be found on our website shown at the foot of this page.

Choose SPEN or an ICP

Although SPEN offers you a comprehensive and bespoke end-to-end utility solution for all your connection needs, you may choose to appoint an Independent Connection Provider (ICP), to carry out some or all of the connection work instead. This is often referred to as the 'Contestable' work.

We now offer:

- A "Dual Offer" quote to relevant customers which provides them the quote for both SPEN completing "all works" and the Point of Connection(POC) costs
- ICPs are able, when accredited to self-determine, to
  - identify and design their own POC
  - approve their own design
  - complete their own inspection and monitoring

www.spenergynetworks.co.uk

Contestable Work

This is work that can be undertaken by an ICP as well as SPEN. Examples include:

Design of your new connection/network to our existing network
Construction of new electricity networks
Installation of new electrical equipment and services
Commissioning of the new networks
Acquisition of legal consents for new networks (Verified by our own legal department)
Live jointing of cables and services for new networks
Completion of final connection joint onto our existing network
Trial to identify and design of the Point of Connection (POC) to our existing network to extend the scope of contestable works for ICPs – subject to suitable Lloyds accreditation

SPEN provides competitive quotations to undertake all contestable works. Please contact either:

Scotland:

SPNCNorth@scottishpower.com

England/Wales:

SPNCSouth@scottishpower.com

ICP Accreditations

For your safety, ICPs must possess the appropriate accreditations to carry out contestable works.

Lloyds Register is responsible for assessing and accrediting the ICPs under the National Electricity Registration Scheme. You'll find a list of accredited ICPs and further information at: www.lloydsregister.co.uk/schemes/NERS/

Non-Contestable Work

This is work normally completed by SP Energy Networks, but some can now be completed by accredited ICPs, and includes:

Assessing the impact of your new connection to our existing network
Identifying and designing the Point of Connection (POC) to our existing network
Specifying the equipment and materials that have to be used
Approving the new ICP connection/network design
Inspecting and monitoring the ICPs construction work on the new network
Witnessing the ICP testing of the new electrical equipment installed by ICPs

A complete list of contestable and non-contestable work can be found on our statement of methodology and charging which is available at: www.scottishpower.com/pages/connections_use_of_system_and_metering_services.asp

Our Connection Charges

SPEN charges for all the non- contestable and contestable work you request us to carry out. Please note, payment is required before we provide your connection.

If you choose to appoint an ICP to do the contestable work, you're responsible for paying them.

Adopting the New Network

Once an ICP has met our inspection, testing and connection requirements, we'll adopt the new connection so it becomes part of our electricity

distribution network. From then on, we're responsible for its future operation, maintenance, repair and replacement, subject to the guarantee requirements in the Construction and Adoption Agreement.

New electricity networks may also be adopted by Independent Distribution Network Operators, or IDNOs. If so, it's the IDNO who's responsible for the future operation, maintenance and repair of the new electricity network assets installed by the ICP – up to the point where they connect to our existing network.

Agreement Types

If you choose to appoint an ICP to do the contestable work, we'll ask them to enter into one of two agreements with us, depending on the work they undertake:

1. **Construction and Adoption Agreement**
   This agreement applies when contestable work is done by an ICP and states the terms and conditions under which we'll adopt the new connection. **This is an agreement between you, your appointed ICP and us.**

2. **Connection Agreement**
   This agreement is either between you and us, or with SPEN and the Independent Network Operator (IDNO). It sets out the obligations of both parties and the terms for connecting to our electricity network.

Site-specific connection agreements may apply depending on the type of connection you request:
- Bi-Lateral Connection Agreements (IDNO sites)
- HV-Only Connection Agreements
- LV/HV Generation Connection Agreements.

The Standard Process

If you appoint an ICP to carry out the contestable work, here's how we'd work together:

ICP	SPEN
Submit Point of Connection (POC) quotation application on behalf of the customer, with site/boundary plans to our Register of Adopted Asset Requests (RAdAR) system in line with our CON-04-005 process document.	
	We design and calculate the non-contestable works and charges associated with providing a POC to our network then issue a quotation.
The accredited ICP signs and returns the offer acceptance, together with payment of the non-contestable charges.	
	Accredited ICP submits the design of your new network for us to approve.
Agreements signed and returned. Legal consents obtained. Weekly whereabouts submitted throughout construction phase.	
	Our asset inspectors monitor and audit the construction of the new electricity network (Non-conformances must be rectified prior to connecting to our network).
Accredited ICP requests connection (or confirms completion of connection) to the existing network once all conditions have been met and satisfy in accordance with the agreements.	
	Project closed. Adoption warranty period begins in accordance with the agreements.

The Self-determined Process Options

If you appoint an ICP to carry out the non-contestable work under the self-determined process, they have the option to:

ICP
When accredited, submit Point of Connection (POC) self-determined application, where they have designed the works associated with providing a POC on behalf of the customer to our Register of Adopted Asset Requests (RAdAR) system in line with our CON-04-009 process document.
If an ICP requires us to complete any works we will provide an offer, of which they sign and return the acceptance, together with payment of the non-contestable charges.
Accredited ICP submits their self-approved design for the new network.
Agreements signed and returned. Legal consents obtained. Weekly whereabouts submitted throughout construction phase.
Once approved, their asset inspectors monitor and audit the construction of the new electricity network (Non-conformances must be rectified prior to connecting to our network).
Accredited ICP requests connection (or confirms completion of connection) to the existing network once all conditions have been met and satisfy in accordance with the agreements.
Project closed. Adoption warranty period begins in accordance with the agreements.

Your Competition in Connections Teams

Central and Southern Scotland

cicadminnorth@scottishpower.com

0845 270 0785

Cheshire, Merseyside, North Wales and North Shropshire

cicadminsouth@scottishpower.com

0845 270 0783

Our standards of service, application forms and additional information is:
www.spenergynetworks.co.uk/pages/competition_in_connections.asp

b) Your Connection Offer leaflet - screenshot shown below, is also available on our website http://www.spenergynetworks.co.uk/pages/useful_documents.asp or via the direct link http://www.spenergynetworks.co.uk/userfiles/file/Your%20Connection%20Offer%20explained%20V3.pdf

Your Connection Offer explained

SP ENERGY NETWORKS

Connection Offer – Dual Offer

You have a choice when selecting who provides some elements of your connection process. This leaflet aims to provide you with further information about our Dual Offer to help you understand your quotation and to make a decision based upon competitive choice.

Certain construction works, known as contestable works can be undertaken by us (SP Energy Networks) as well as an Independent Connections Provider (ICP) appointed by you. Other works, known as non-contestable works,can only be completed by us.

A detailed list of examples of contestable and non-contestable works can be found in the leaflet "Connecting you with a Choice" **www.spenergynetworks.co.uk/connecting_you_with_a_choice** or, on our website: **www.spenergynetworks.co.uk/what_work_can_be_done**

Choose Full Works or Point of Connection (POC)

Your quotation offer has 2 options and you can choose one of these:

Option 1: Full Works

SP Energy Networks will complete all of the work to meet your connection requirements. This means that we will complete both the contestable work and the non-contestable work.

"Your Full Works Offer" section of the quote provides further information.

Option 2: Point of Connection

SP Energy Networks will complete the Point of Connection (POC) work to meet your connection requirements. This means that we will complete the non-contestable work only. It is your responsibility to appoint an accredited independent Connection Provider (ICP) to work alongside us to complete the contestable work.

Please see "Your POC Offer" section of your quote for further information.

Your Dual Offer will provide a summary and detailed breakdown of the costs, both for the Full Works and POC options. A Schedule will also provide any additional information you need to know. If you have any queries regarding the offer then please contact the designer detailed in your offer letter.

Next Steps

Your offer is valid for 3 months from the date of the offer.

Please ensure that you:

1. Read the full details of both the Full Works and the POC.
2. Read the General Terms and Conditions for Connection **www.spenergynetworks.co.uk/terms**
3. If you intend to accept the POC and appoint an ICP/IDNO please visit for further information **www.spenergynetworks.co.uk/CIC** and for details of accredited ICPs **www.lloydsregister.co.uk/schemes/NERS**
4. If you wish to proceed, complete the Letter of Acceptance ensuring that you select only one of the options.

Please note **we must receive your signed Letter of Acceptance together with the payment** so we can progress your project as quickly as possible.

IMPORTANT
Please be advised that if you choose the POC option and for any reason you do not wish to proceed with that option and revert back to Full Works, we will reimburse your payment and raise a new Connection Offer.

Further information can be found at:
www.spenergynetworks.co.uk

c) Alternative Providers – Please see the screenshot below which shows the detail held on the website page http://www.spenergynetworks.co.uk/pages/competition_in_connections.asp, see Appendix 1 i)

Alternative Connection Providers

There are a number of Alternative Connection Providers active in the SP Distribution (SPD) and SP Manweb (SPM) areas.
Click here to view list

Please note that this is not exhaustive and is based on providers known to be operating in the SPM/SPD licenced areas. It also does not form any recommendation or endorsement from SPEN.

A full list of all accredited Connections Providers can be found on the Lloyd's Register NeRS website: Click Here
If you are a Connections Provider and would like your company to be listed, please email gettingconnectedupdate@spenergynetworks.co.uk

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.

SPEN regularly review the content of the website and arrange updates in a timely manner for any forthcoming changes
There have been a significant number of changes to the website to maintain the level of information we provide and screenshots of these are shown in Appendix 1. Within the Appendices document we provide a list on the contents page of the website page screenshots that we are providing. The order being consistent with their appearance on the website, see Appendix 1 i).

Supporting Evidence
Website - http://www.spenergynetworks.co.uk/pages/competition_in_connections.asp , a screenshot of the website can be seen in Appendix 1 i).

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.

SPEN issues Convertible Quotations as a matter of course which provides the customer with the option of either SPEN completing full works or an ICP being appointed to carry out contestable works, see example of a Convertible Quotation Letter in Appendix 2.

Please see extracts below which show the specific references to the options available, both on the first page of the offer, extract a), and within the letter of acceptance, extract b):

Enclosed with the quotation is the leaflet "Your Connection Offer Explained", as detailed in 4.3.2 and evidenced in 4.3.2 b), which advises of the options in a customer friendly format and includes details on Option1: Full Works; Option 2:PoC; Next Steps

Supporting evidence

a) Extract – Convertible Quotation Letter

Dear xxxxxxxxxxx,

Re: xxxxxxxx,xxxxxxxxx,xxxxx xx0 0xx

Thank you for your enquiry, which we received on 19.02.2016 regarding New Supply works at the above address. We have pleasure in submitting this Offer Letter for your consideration.

You now have two options. To proceed, you can only choose one. You may:

1. Accept SP Energy Networks to complete all the work to meet your connection requirements:
This means that SP Energy Networks will complete the contestable and non-contestable work. This will be known in this offer letter as **The Full Works**.

Full Works Connection Charge:
The cost for this work will be £00,000.00 (exclusive of VAT)
VAT will be charged at £0.00
So your total cost is £00,000.00 (inclusive of VAT)

OR

2. Accept SP Energy Networks to complete the Point of Connection (POC) work to meet your connection requirements:
This means that SP Energy Networks will complete the non-contestable work only. It is your responsibility to appoint an accredited independent connection provider (ICP) to work alongside SP Energy Networks to complete the contestable work. This will be known in this offer letter as **The POC**.

POC Connection Charge:
The cost for this work will be £00,000.00 (exclusive of VAT)
VAT will be charged at £0.00
So your total cost is £00,000.00 (inclusive of VAT)

For further information please refer to the guidance leaflet **Your Connection Offer Explained**. If you are happy to proceed please refer to the **Next Steps** section of this Offer Letter.

b) Extract – Letter of Acceptance

YOUR LETTER OF ACCEPTANCE - PLEASE COMPLETE & RETURN TO US

SP Power Systems Ltd
General Administration
2nd Floor Avondale House
Phoenix Crescent
Strathclyde Business Park
Bellshill
ML4 3NJ

Mr. Bxxxxxxxx
xxxxxxxxxx xxxxxxxxx
xxxxxxxxxx
xxxxxxxx
xx0 0xx

Your Ref : 000000
Our Ref :
25.03.2016

Dear Sirs,

Offer of New Supply to xxxxxxxxxxx xxxxxx, xxxxxxxxx, xxxxxxxxxxxxx xx0 0xx
Ref: xxxxxx

Please place a cross [X] next to the offer You are accepting in the space provided:		CROSS
Full Works	I/We confirm acceptance of the Full Offer for the Non-Contestable Works and Contestable Works and associated terms and conditions. **The cost for this work will be £00,000.00 (exclusive of VAT)** **VAT will be charged at £0.00** **The total to pay today is £00,000.00 (inclusive of VAT)**	
POC	I/We confirm acceptance of the Point of Connection Offer (POC) for the Non-Contestable Works and associated terms and conditions **The cost for this work will be £00,000.00 (exclusive of VAT)** **VAT will be charged at £0.00** **The total to pay today is £00,000.00 (inclusive of VAT)**	

A legally binding contract will only be concluded upon receipt of this letter of acceptance and payment as set out in the table above. We advise that you read all sections of this offer carefully before signing.

4.3.5. As part of producing a Convertible Quotation the DNO will determine:
- the Point of Connection to its Distribution System;
- whether any reinforcements 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.

SPEN comply with the above by providing a comprehensive breakdown of information to the customer in the Convertible Quotation Letter.
SPEN convertible quotations provide:

- The grid point for the POC to our Distribution systems – covered in summary of proposed works
- Reinforcements - summary of full works and PoC offer within the breakdown of costs
- Diversions – summary of full works and PoC offer within the breakdown of costs
- Charges – within the breakdown of the full works costs and in the POC costs
- Works and costs – work detailed within the full works and PoC offer, plus the key responsibilities
- Customer Options - as per response to 4.3.4 and the leaflet detailed in 4.3.2 b)

See screenshots of “Full Works Offer” and “POC Offer” in the supporting evidence below. A full example of a Convertible Quotation letter is in Appendix 2.

Supporting evidence

a) Extract – Full Works Offer

Summary of the proposed works

We shall install and connect a Low Voltage (LV) supply with an export capacity of 18kVA operating over a single phases into the [redacted] site at grid reference E000000,N000000. Our Works will include extending the HV network a maximum of 696m 11kV OHL and 93m of LV cable , Excavation and reinstatement of the LV cable on site to be carried out by the customer

The following tables provide further detail of the charges associated with the Full Works offer.

A summary of the Full Works costs

This table splits out the cost by the type of work being proposed. The connection charge is the cost associated with the work required to provide you with your connection assets. The diversion charge is the cost associated with the work required to divert any existing assets to enable your connection. The reinforcement charge is the cost associated with the work required to reinforce the electrical system to enable your connection.

Charge description	Connection	Diversion	Reinforcement
Electrical Substation Works	00,000.00	0.00	0.00
Low Voltage Underground Service Works	0,000.00	0.00	0.00
High Voltage Overhead Line Works	00,000.00	0.00	0.00

A detailed breakdown of the Full Works costs

This table provides a detailed breakdown of the costs associated with the work being proposed. This table reflects the charges that are set out within our Common Connection Charging Methodology. This table also splits out the contestable and non-contestable elements of the work and any contribution made by SP Distribution plc.

Description Of Works	Proposed Quantity	Measure	Customer Contribution	SPD Contribution	Contestable	Non Contestable	Comment
F8 OTHER L.V. SERVICES							
Low Voltage FUSE	4.00	Item	00.00	0.00	Y		
SUPPLY ONLY 60MM DUCT	90.00	m	000.00	0.00	Y		
PICK UP, DELIVER & RETURN CABLE DRUM	1.00	Item		0.00	Y		
95MM² 1-CORE INTERNAL MAINS CABLE	90.00	m	000.00	0.00	Y		
Sub Total			0,000.00	0.00			
F8 OVERHEAD LINE							
High Voltage ANGLE SECTION POLE	2.00	Item	0,000.00	0.00	Y		
High Voltage/Low Voltage POLE STAY	6.00	Item	0,000.00	0.00	Y		
OVERHEAD LINE SURVEY	1.00	km	000.00	0.00	Y		
1-PHASE POLE TRANSFORMER CONNECTION KIT	1.00	Item	0,000.00	0.00	Y		
High Voltage 1-PHASE OVERHEAD LINE (L10)	662.00	m	00,000.00	0.00	Y		
EARTH CABLE GUARDS	1.00	Item	000.00	0.00	Y		
High Voltage 1-PHASE SMART FUSE & HOLDER	1.00	Item	0,000.00	0.00	Y		
High Voltage SECTION POLE	1.00	Item	0,000.00	0.00	Y		
High Voltage TERMINAL POLE	1.00	Item	0,000.00	0.00	Y		
Low Voltage 200A 1-PHASE FUSE UNIT WITH WIRING	1.00	Item	000.00	0.00	Y		
High Voltage/Low Voltage POLE STAY	2.00	Item	000.00	0.00		Y	
ENGINEERING & MANAGEMENT (TOTAL LABOUR)	1.00	Item	0,000.00	0.00		Y	
PROJECT MANAGEMENT (TOTAL LABOUR)	1.00	Item	0,000.00	0.00		Y	
TECHNICAL STAFF (TOTAL LABOUR)	1.00	Item	000.00	0.00		Y	
ESTABLISH High Voltage T-OFF CONNECTION FROM POLE	1.00	Item	0,000.00	0.00		Y	
MAKE 1-PHASE T-OFF FINAL CONNECTION	1.00	Item	000.00	0.00		Y	
Sub Total			00,000.00	0.00			
F7 SUBSTATIONS							
EASEMENT / SERVITUDE FEES	2.00	unit	0,000.00	0.00	Y		
60KVA Split Phase POLE MOUNTED TRANSFORMER	1.00	Item	0,000.00	0.00	Y		
METERING PANEL	1.00	unit	000.00	0.00	Y		
3-PHASE POLE TRANSFORMER CONNECTION KIT	1.00	Item	0,000.00	0.00	Y		
PROJECT MANAGEMENT (TOTAL LABOUR)	1.00	Item	000.00	0.00	Y		
HIRE CRANE OR GRAB LORRY	1.00	Days	000.00	0.00	Y		
LABEL ENGRAVING	1.00	Item	000.00	0.00		Y	
ASSESSMENT AND DESIGN FEE	30.00	unit	0,000.00	0.00		Y	
ENGINEERING & MANAGEMENT (TOTAL LABOUR)	1.00	Item	0,000.00	0.00		Y	
Sub Total			00,000.00	0.00			
TOTAL CONNECTION CHARGE			00,000.00				

b) Extract – POC Offer

The Works
POC - POINT OF CONNECTION

OHL Connection of customers network

Work involves the connection of an 11KV single phase OHL at grid reference E000000 N000000 onto the new T off pole and stays.

Load

This connection extend the HV network to a point where it will then be transformed down to an LV voltage to provide supply for a total connected 18kW generation non export with a oad of 18kVA single phase 230 Volts, 50-Hertz alternating current.

POC grid reference
POC area grid ref: E000000, N000000

A summary of the POC costs
This table splits out the cost by the type of work being proposed. The connection charge is the cost associated with the work required to provide you with your connection assets. The diversion charge is the cost associated with the work required to divert any existing assets to enable your connection. The reinforcement charge is the cost associated with the work required to reinforce the electrical system to enable your connection.

Charge description	Connection	Diversion	Reinforcement
Electrical Substation Works	0,000.00	0.00	0.00
High Voltage Overhead Line Works	0,000.00	0.00	0.00

A detailed breakdown of the POC costs
This table provides a detailed breakdown of the costs associated with the work being proposed. This table reflects the charges that are set out within our Common Connection Charging Methodology. This table also splits out the contestable and non-contestable elements of the work and any contribution made by SP Distribution plc.

Description Of Works	Proposed Quantity	Measure	Customer Contribution	SPD Contribution	Contestable	Non Contestable	Comment
F3 OTHER L.V. SERVICES							
Sub Total			**0.00**	**0.00**			
F6 OVERHEAD LINE							
High Voltage/Low Voltage POLE STAY	2.00	item	000.00	0.00		Y	
CHARGE FOR POINT OF CONNECTION INFO	1.00	unit	000.00	0.00		Y	
ENGINEERING & MANAGEMENT (TOTAL LABOUR)	1.00	item	0,000.00	0.00		Y	
WITNESS TESTING	1.00	unit	000.00	0.00		Y	
INSPECTION AND MONITORING LEVEL 1	1.00	unit	000.00	0.00		Y	
PROJECT MANAGEMENT (TOTAL LABOUR)	1.00	item	0,000.00	0.00		Y	
TECHNICAL STAFF (TOTAL LABOUR)	1.00	item	000.00	0.00		Y	
ESTABLISH High Voltage T-OFF CONNECTION FROM POLE	1.00	item	0,000.00	0.00		Y	
MAKE 1-PHASE T-OFF FINAL CONNECTION	1.00	item	000.00	0.00		Y	
Sub Total			**0,000.00**	**0.00**			

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 Convertible Quotation ensures that the costs are the same irrespective of whether the ICP or SPEN undertake the contestable works. The only difference may be the design approval or audit/inspection costs; however this would be dependent on whether the ICP completes those activities themselves. The Convertible Quotation Letter (Appendix 2) shows the customer the breakdown of costs that are applied and the comparative costs. These are also shown in supporting evidence in 4.3.4.

4.5. Determining whether ICP can undertake assessment of POC

4.5.2. 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.

SPEN have published the information on the website to advise of the Relevant Market Segments that are currently available for self-determination to be undertaken, and have detailed both the restrictions and the reasons for exclusion. We have also referenced those categories not currently available where we would be happy to develop a process with an ICP.

Extract from website

Relevant Market Segment	Self-Determination Available (Yes/No)	Comments
LV demand	Yes*	Subject to restrictions
HV demand	Yes*	Subject to restrictions
HV/EHV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
EHV/132kV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
DG LV	Yes*	Subject to restrictions
DG HV/EHV	No	Impacted by a high level of interactivity
UMS LA	Yes	
UMS Other	Yes	
UMS PFI	Yes	

*** Subject to the following restrictions:**
- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

Supporting evidence
This information is published on our website
http://www.spenergynetworks.co.uk/pages/self_determination_of_point_of_connection.asp
A screenshot of the web page can be seen in Appendix 1 iv).

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).

SPEN have made a range of information, equivalent to those used by SPEN Design Engineers, available to the ICPs for use in assessing a Point of Connection. These are detailed below followed by our supporting evidence:

Process Documents - SPEN have created a document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers which details the information and process to support the ICP in completing the self-determination, please see evidence a). The document also provides some insight of factors that should be considered and their impact on the network.

Standard Design Matrix – The matrices have has been created in line with the standardised format agreed with the ENA and other DNOs and can be found along with guidance in the process document detailed above (section 12.4 and Appendix 1b); it is also readily available on the website, see evidence b). Please also refer to the response 4.9.1 below

Utility Map View (UMV) – SPEN allows free unlimited access to this web portal, providing access to our data asset records, enabling ICPs to view underground and overhead line assets and interrogate the data to establish type, size, location and ratings of the relevant equipment/assets. There is a User Guide within the system.
To gain access to this portal an ICP would need to submit an access request form which once processed would result in the ICP being provided access to the site and issued with access details and supporting information, see evidence c).

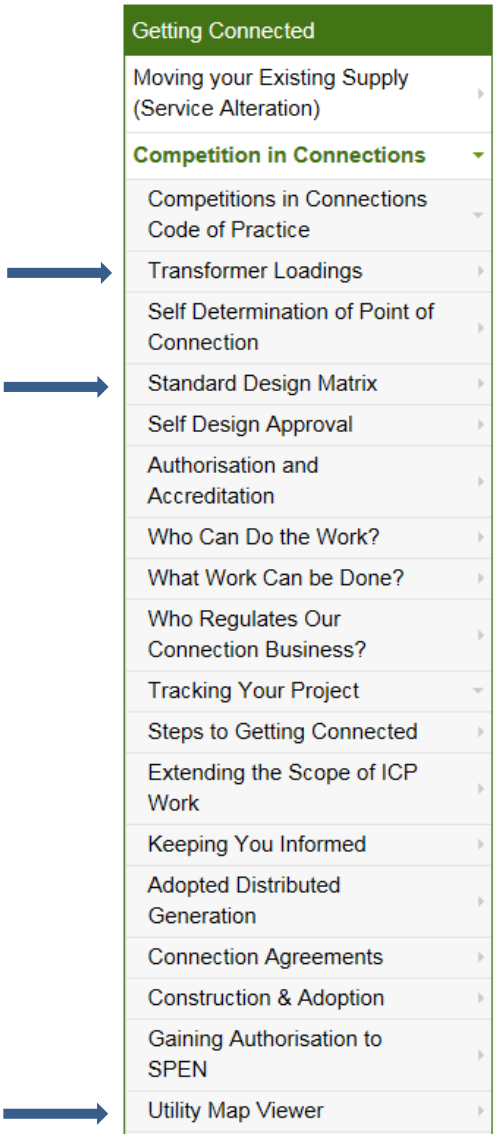
Transformer Loadings – SPEN allows unlimited access to the Transformer Loadings database which provides supporting information to determine the Point of Connection, i.e. the capacity/load details of the substations which enable the ICP to determine whether there is available capacity on the network. Links are provided to the information database plus instructions on how to use. See supporting evidence d) Guidance on the rules to be applied are provided within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers which can be found as detailed in a).

Supporting evidence
a) Process Documents – ESDD-02-021 is available within the "Document Library" of the Competition in Connections section of the website http://www.spenergynetworks.co.uk/pages/documents.asp or via the direct link http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf

b) Standard Design Matrix - available within the process document ESDD-02-021 on the website, see evidence a). This document details the process and also includes our Standard Design Matrix. The Standard Design Matrix is also available on the website, see screenshot in Appendix 1 v)
http://www.spenergynetworks.co.uk/pages/standard_design_matrix.asp, see 4.9.1 below.

c) UMV – Access is available through the external links provided once access is completed
https://gismap.scottishpower.com/ContestableUMV
Screenshots of the system are shown in Appendix 3 i) to iv)
To gain access to UMV the ICP would need to refer to
http://www.spenergynetworks.co.uk/pages/utility_map_viewer.asp

d) Transformer Loadings – For access to transformer loadings the ICP would access via the website http://www.spenergynetworks.co.uk/pages/transformer_loadings.asp. A screenshot is available within Appendix 1 iii). Screenshots of the database are available within Appendix 3 v) to vi).



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.***

SPEN provide a variety of information to support the ICP in establishing the Point of Connection:

- UMV access (utility map viewer) is provided free via the web portal and enables ICPs to view underground and overhead line assets and interrogate the data to establish type, size, location and ratings of the relevant equipment/assets. See supporting evidence a)
- Standard Design Matrices have been created in line with the standardised format agreed with the ENA

and other DNOs which can be found along with guidance in the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers, detailed below, section 12.4 and Appendix 1b, and is also readily available on the website, see evidence b). Please also refer to the response 4.9.1 below

- Transformer Loadings – SPEN allows unlimited access to the Transformer Loadings database which provides supporting information to determine the Point of Connection, i.e. the capacity/load details of the substations which enable the ICP to determine whether there is available capacity on the network. Links are provided to the information database plus instructions on how to use. Please see evidence c). Guidance on the rules to be applied are provided within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers which can be found as detailed in d).
- Design standards are available on the website, as per the screenshot below; please see evidence d). If there is a requirement for information additional to the design standard documents then the ICPs are able to approach our design team with their enquiry, or they are more than welcome to attend one of the "district days" to have a face to face discussion over any issues or concerns. These days are published within the Events Calendar, detailed on the Connections Stakeholder Information page of the website, see evidence e)

ESDD-02-012	Issue 5	Framework for design and planning for low voltage housing developments underground network installations and associated, new, HV/LV distribution substations	2013-12-22
EPS-02-005	Issue 2	Installation & Record Framework for Greenfield Low Voltage Housing Estate Underground Networks and Associated, New, HV/LV Distribution Substations	2014-09-12
EPS-02-006	Issue 2	Installation and Record Framework for Industrial and Commercial Underground Connected Loads Up To and Including 11kV	2014-09-12
EPS-03-027	Issue 1	Materials Specification Framework for Greenfield Low Voltage Housing Estate Underground Network Installations and Associated, new, HV/LV Distribution Substations	2005-08-02
EPS-03-031	Issue 2	Materials Specification Framework for Industrial and Commercial Underground Connected Loads Up To and Including 11kV	2014-09-12

Also provided is the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers which details the information and process to support the ICP in completing the self-determination. Please see evidence d) in relation to these documents.

Supporting evidence

a) UMV – Access is available through the external links provided once access is completed
https://gismap.scottishpower.com/ContestableUMV
Screenshots of the system are shown in Appendix 3 i) to iv)
To gain access to UMV the ICP would need to refer to
http://www.spenergynetworks.co.uk/pages/utility_map_viewer.asp

b) Standard Design Matrix - available within the process document ESDD-02-021 on the website, see evidence a). This document details the process and also includes our Standard Design Matrix. The Standard Design Matrix is also available on the website, see screenshot in Appendix 1 v)
http://www.spenergynetworks.co.uk/pages/standard_design_matrix.asp, see 4.9.1 below.

c) Transformer Loadings – For access to transformer loadings the ICP would access via the website http://www.spenergynetworks.co.uk/pages/transformer_loadings.asp. A screenshot is available within Appendix 1 iii). Screenshots of the database are available within Appendix 3 v) to vi).

d) Process Documents – Standard Design Documents and ESDD-02-021 are available within the "Document Library" of the Competition in Connections section of the website
http://www.spenergynetworks.co.uk/pages/documents.asp or via the direct links

ESDD-02-021 http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf
ESDD-02-012 http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-012%20Issue%204%20-%20Greenfield%20Housing.pdf
EPS-02-005 http://www.spenergynetworks.co.uk/userfiles/file/EPS-02-005%20Issue%201%20-%20Installation%20&%20Record%20Framework%20for%20Gre.pdf
EPS-02-006 http://www.spenergynetworks.co.uk/userfiles/file/EPS-02-006%20Issue%201%20-%20Installation&Record%20Framework%20for%20Ind&C.pdf
EPS-03-027 http://www.spenergynetworks.co.uk/userfiles/file/EPS-03-027%20Issue%201%20-%20Materials%20Specification%20Framework%20for%20G.pdf
EPS-03-031 http://www.spenergynetworks.co.uk/userfiles/file/EPS-03-031%20Issue%201%20-%20Materials%20Spec%20Framework%20for%20Ind&Comm%20U.pdf

e) Events Calendar - available under this heading within the Connections Stakeholder Information page
http://www.spenergynetworks.co.uk/pages/stakeholder_information.asp

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.

The National Electricity Registration Scheme Advisory Panel (NERSAP) forum, chaired by a SPEN representative, is actively involved in the reviewing of any activities, which are identified, to establish the appropriate changes or additions to the available scopes. The NERSAP hold these forums at least three times a year to discuss any scope omissions that have been identified as a result of discussion between an ICP and DNO and any changes or additions to pre-existing scopes.
In conjunction with the DNOs, IDNOs and ICPs the NERSAP have recently developed an accreditation "Accreditation for POC Design" which is in addition to the current Design Scope

SPEN are always open to consultation with an ICP who wishes to carry out any works that are not currently covered under the present Lloyds Accreditation regime.

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.

The Standard Design Matrix, screenshot shown below, has been created in line with the standardised format agreed with the ENA and other DNOs. The matrices have been made available for various types of small load. They are readily available on the website, see supporting evidence and can be found along with some guidance either on the website or within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers, as detailed in 4.6.1, section 12.4 and Appendix 1b. Please refer to the supporting evidence.

Standard Design Matrices – screenshot from website page

Criteria	Measurement	Comment
connection capacity	<=500W (unmetered supplies)	4mm Service cable should only be used where service cut-out is within 5mtrs of the LV mains cable with the exception of road crossing where up to 15mtrs can be considered. Alternatively <=25m (25mm) Cable to be considered
distance to substation	<=500m	
service cable length	<=5m (4mm) or <=25m (25mm)	
transformer capacity	N/A	
asset types excluded	Cable of imperial size less than 0.1 square inch copper. Cable of metric size <95mm² Concentric cables look for cables marked as 2 core with imperial sizes, TCLC (SPM TRCC), (triple concentric lead covered), marked as ex dc (direct current) cables. Three core LV cables – 2 phase and neutral. Cables indicated as operating (Bunched) – check the various layers available on UMV for PILC LV cables marked as 3 Some cables we are unable to joint live: Belgium cables and Consac. Interconnectors with no existing connected customers.	

Criteria	Measurement	Comment
connection capacity	<=6kW (non domestic only)	A Full Network modelling analysis is required if: - The Distance from the Substation exceeds 250mtrs - Embedded generation enquiries above 16 Amps per phase (Generation subject to the requirements of ENA G83/multiple connections or ENA G59)
distance to substation	<=250m	
service cable length	<=25m	
transformer capacity	N/A	
asset types excluded	Cable of imperial size less than 0.1 square inch copper. Cable of metric size <95mm² Concentric cables look for cables marked as 2 core with imperial sizes, TCLC (SPM TRCC), (triple concentric lead covered), marked as ex dc (direct current) cables. Three core LV cables – 2 phase and neutral. Cables indicated as operating (Bunched) – check the various layers available on UMV for PILC LV cables marked as 3 Some cables we are unable to joint live: Belgium cables and Consac. Interconnectors with no existing connected customers.	

Criteria	Measurement	Comment
connection capacity	Up to 4 Domestic (<=2kW ADMD each)	Existing 5kVA pole mounted transformers will not provide sufficient capacity to cater for additional connections A Full Network modelling analysis is required if: - The Distance from the Substation exceeds 250mtrs - Embedded generation enquiries above 16 Amps per phase (Generation subject to the requirements of ENA G83/multiple connections or ENA G59)
distance to substation	<=250m	
service cable length	<=25m	
transformer capacity	N/A for ground mounted substation. System checks required for PTE (Pole Mounted Transformers)	
asset types excluded	Cable of imperial size less than 0.1 square inch copper. Cable of metric size <95mm² Concentric cables look for cables marked as 2 core with imperial sizes, TCLC (SPM TRCC), (triple concentric lead covered), marked as ex dc (direct current) cables. Three core LV cables – 2 phase and neutral. Cables indicated as operating (Bunched) – check the various layers available on UMV for PILC LV cables marked as 3 Some cables we are unable to joint live: Belgium cables and Consac. Interconnectors with no existing connected customers.	

Criteria	Measurement	Comment
connection capacity	Single Connection <=69kW	Existing 5kVA pole mounted transformers will not provide sufficient capacity to cater for additional connections A Full Network modelling analysis is required if: The maximum length of any Service Cable Exceeds 10mtrs. Note no services to exceed 25mtr - there are 50 or more customers already on the LV feeder - the assessed loading is 50% or greater than the existing capacity of the circuit - the proposed new load includes starting currents in excess of 15 Amps - Embedded generation enquiries above 16 Amps per phase (Generation subject to the requirements of ENA G83/multiple connections or ENA G59)
distance to substation	<=200m	
service cable length	<=10mtrs (No Study required), >10 <=25m (Study required)	
transformer capacity	system checks required for PTE (Pole Mounted Transformers) and ground mounted substations	
asset types excluded	Cable of imperial size less than 0.1 square inch copper. Cable of metric size <95mm² Concentric cables look for cables marked as 2 core with imperial sizes, TCLC (SPM TRCC), (triple concentric lead covered), marked as ex dc (direct current) cables. Three core LV cables – 2 phase and neutral. Cables indicated as operating (Bunched) – check the various layers available on UMV for PILC LV cables marked as 3 Some cables we are unable to joint live: Belgium cables and Consac. Interconnectors with no existing connected customers.	

Supporting evidence

The Standard Design Matrix, shown below, is available:

- on the website http://www.spenergynetworks.co.uk/pages/standard_design_matrix.asp, see screenshot in Appendix 1v)
- within the process document ESDD-02-021 http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf

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.***

In order to support the ICP in their use of the Standard Design Matrix SPEN provide a variety of information in various formats:

- Process document ESDD-02-021 Guidance for Self-Determination of Point of Connection and Self-Design Approval for Independent Connection Providers details the matrices within section 12.4 and provides guidance on the application, displaying them in Appendix 1b of that document. Link provided in supporting evidence a)
- SPEN have published Standard Design matrices for various types of small loads, these are shown in our response to 4.9.1, are readily available on the website and within the process document ESDD-02-21, detailed above, evidence b)
- The capacity data is detailed within the ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers document, Section 12.6.1 and listed within the design matrix, refer to evidence c)
- UMV provides the full geographical data which is consistent with the access that SPEN designers have, please see 4.6, refer to evidence d).

Supporting evidence

a) Process Document - ESDD-02-021 is available within the "Document Library" of the Competition in Connections section of the website http://www.spenergynetworks.co.uk/pages/documents.asp or via the direct link http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf

b) Standard Design Matrix - the process document ESDD-02-21, see a), or on the website http://www.spenergynetworks.co.uk/pages/standard_design_matrix.asp . See screenshot in Appendix 1v)

c) Capacity Data – see a) and b)

d) Geographical network - please see 4.6 and screenshots in Appendix 3 i) to iv)

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.

SPEN continue to use RAdAR as the interface for the exchanges with ICPs, ensuring that there is a consistent approach being applied. Within RAdAR there is the functionality for the ICP to provide SPEN with both the Point of Connection notice of intention and notification of issue of ICP quote to the customer, via the "information only" element of the submission.

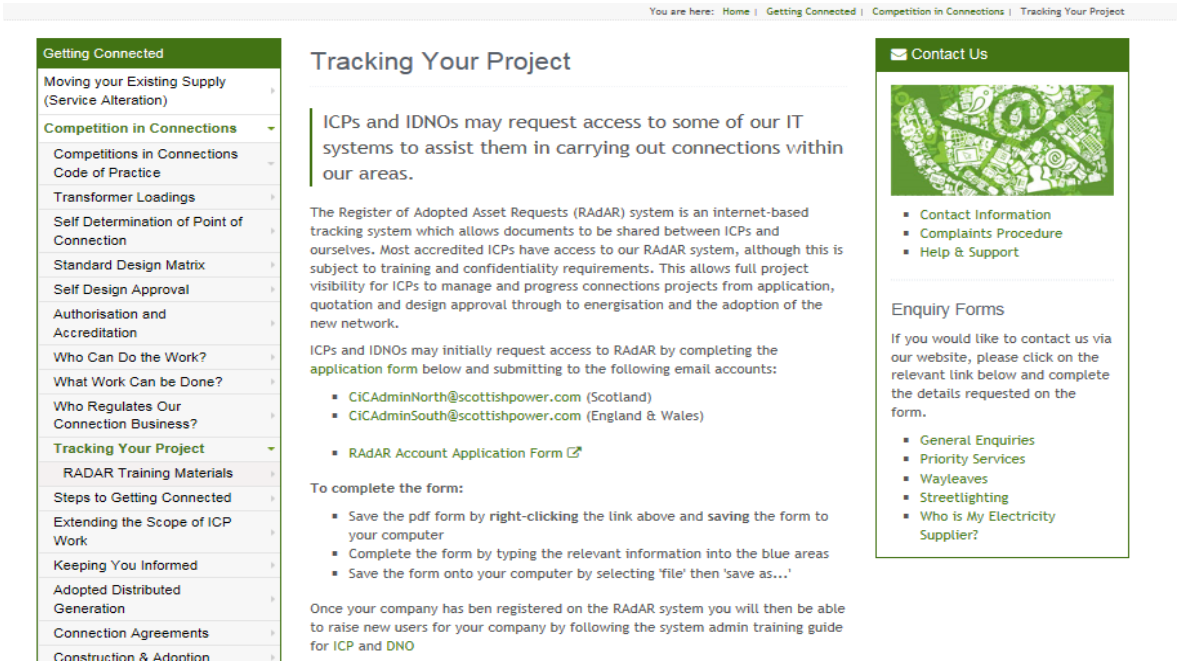
The ICP would complete the form notifying of their intent to self-determine the POC and would select the type of notification as "information only". Once the ICP has completed their quote and issued to their customer they

would create a further “information only” log to notify SPEN that the quote had been issued. When the customer accepts their quotation the ICP would again upload this information but this time would mark as a “final submission”.
Via the same process, if an ICP requires information during the process they can submit an “information only” request to which SPEN will respond.

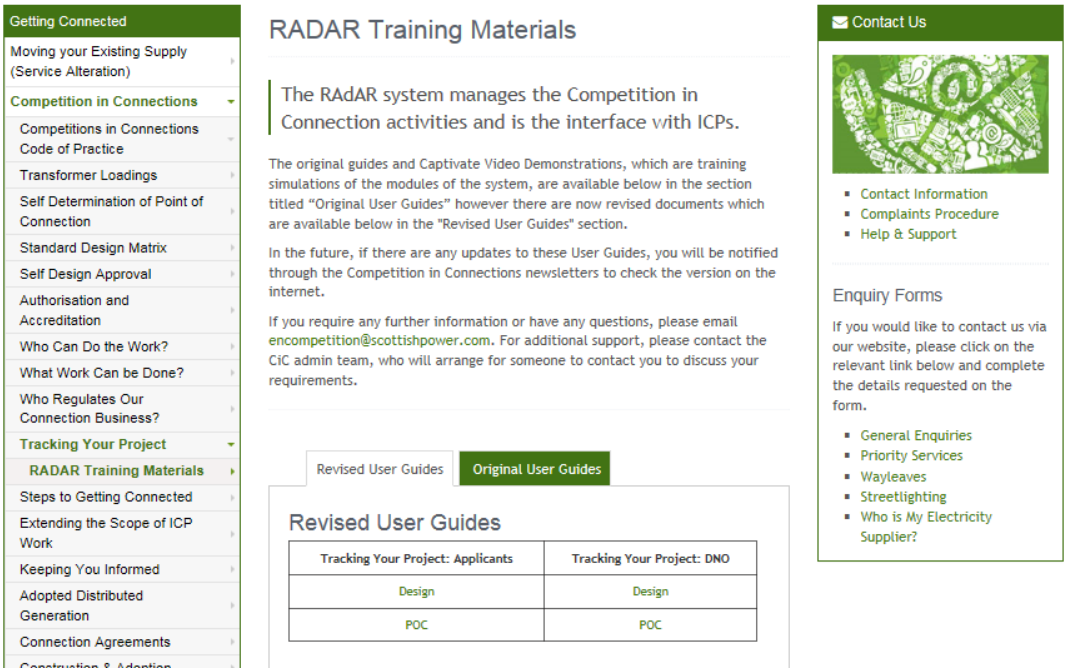
There is guidance provided within training materials which are available on the website within the section “Tracking your Project”, evidence a); accessed by selecting RAdAR Training Materials, link and screen shot detailed in evidence b). There is revised POC User Guide for Applicants, link and screenshot evidence c) which details the completion of the application form on page 4.

Supporting evidence

a) Tracking Your Project
http://www.spenergynetworks.co.uk/pages/trackign_your_project.asp



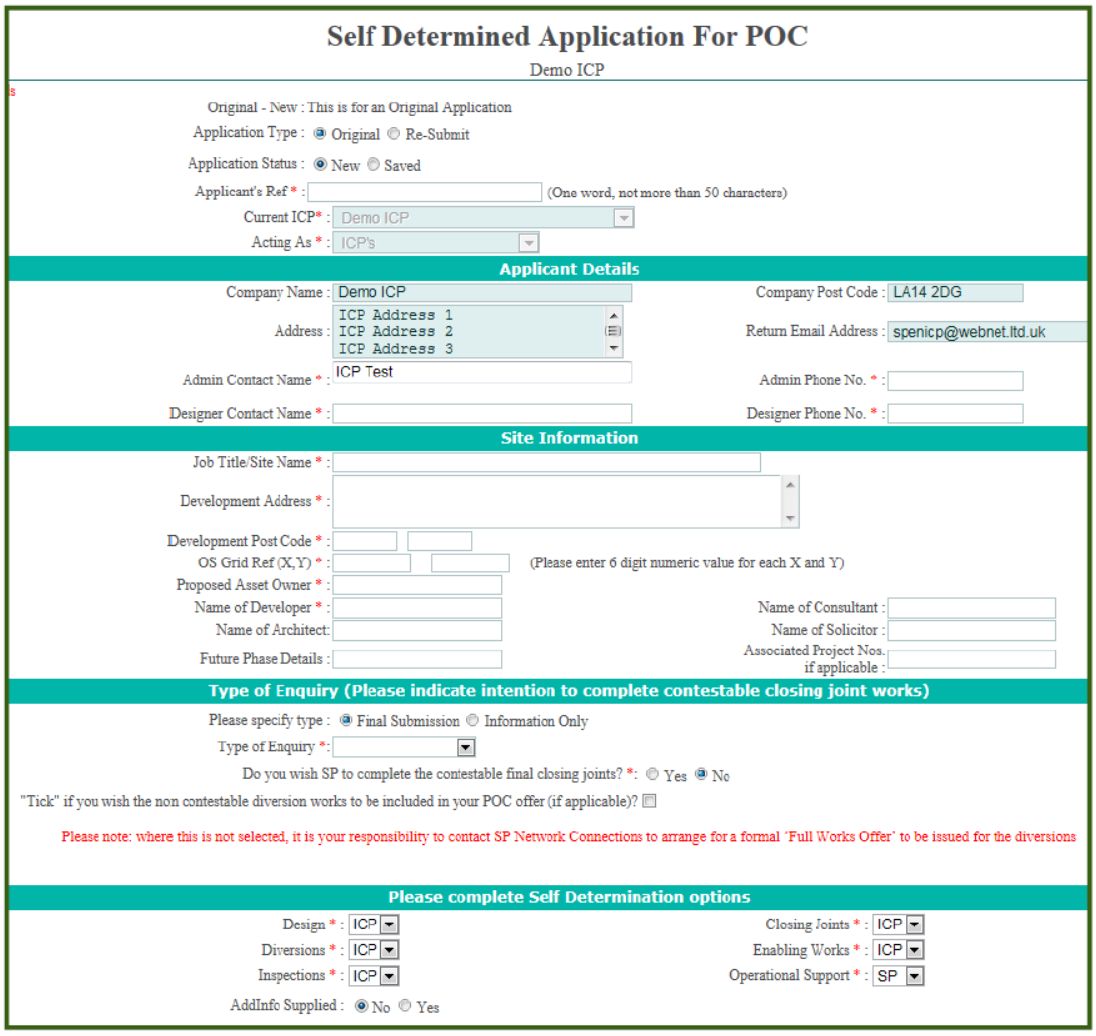
b) RAdAR Training Materials
http://www.spenergynetworks.co.uk/pages/radar_training_materials.asp



c) Extract – Training document

The direct link to the training document

http://www.spenergynetworks.co.uk/userfiles/file/POC_Applicant.v2.3.pdf



Self Determined Application For POC

Demo ICP

Original - New : This is for an Original Application

Application Type : (•) Original ( ) Re-Submit

Application Status : (•) New ( ) Saved

Applicant's Ref * : (One word, not more than 50 characters)

Current ICP* : Demo ICP

Acting As * : ICP's

Applicant Details

Company Name : Demo ICP

Company Post Code : LA14 2DG

Address : ICP Address 1 / ICP Address 2 / ICP Address 3

Return Email Address : spenicp@webnet.ltd.uk

Admin Contact Name * : ICP Test

Admin Phone No. * :

Designer Contact Name * :

Designer Phone No. * :

Site Information

Job Title/Site Name * :

Development Address * :

Development Post Code * :

OS Grid Ref (X,Y) * : (Please enter 6 digit numeric value for each X and Y)

Proposed Asset Owner * :

Name of Developer * :

Name of Consultant :

Name of Architect:

Name of Solicitor :

Future Phase Details :

Associated Project Nos. if applicable :

Type of Enquiry (Please indicate intention to complete contestable closing joint works)

Please specify type : (•) Final Submission ( ) Information Only

Type of Enquiry *:

Do you wish SP to complete the contestable final closing joints? *: ( ) Yes (•) No

"Tick" if you wish the non contestable diversion works to be included in your POC offer (if applicable)? ☐

Please note: where this is not selected, it is your responsibility to contact SP Network Connections to arrange for a formal 'Full Works Offer' to be issued for the diversions

Please complete Self Determination options

Design * : ICP

Closing Joints * : ICP

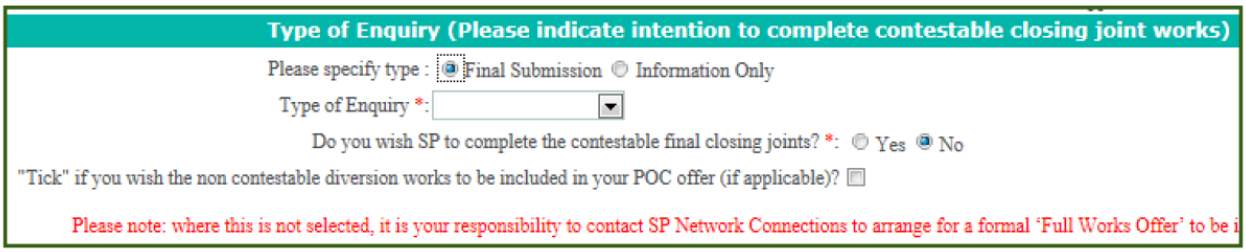
Diversions * : ICP

Enabling Works * : ICP

Inspections * : ICP

Operational Support * : SP

AddInfo Supplied : (•) No ( ) Yes



Type of Enquiry (Please indicate intention to complete contestable closing joint works)

Please specify type : (•) Final Submission ( ) Information Only

Type of Enquiry *:

Do you wish SP to complete the contestable final closing joints? *: ( ) Yes (•) No

"Tick" if you wish the non contestable diversion works to be included in your POC offer (if applicable)? ☐

Please note: where this is not selected, it is your responsibility to contact SP Network Connections to arrange for a formal 'Full Works Offer' to be i

Type of Enquiry

Select "information" when notifying:

- of intention to self-determine
- when ICP requires information
- that Quotation Offer has been issued to customer

Select "Final Submission" when notifying:

- That Quotation Offer has been accepted

4.12. Self-Determination Information

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

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

SPEN has the above table published on the website with the information detailed below. It is also contained within the process document ESDD-02-021 Guidance for Self-Determination of Point of Connection and Self-Design Approval for Independent Connection Providers.

Relevant Market Segment	Self-Determination Available (Yes/No)	Comments
LV demand	Yes*	Subject to restrictions
HV demand	Yes*	Subject to restrictions
HV/EHV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
EHV/132kV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
DG LV	Yes*	Subject to restrictions
DG HV/EHV	No	Impacted by a high level of interactivity
UMS LA	Yes	
UMS Other	Yes	
UMS PFI	Yes	

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

For an ICP to complete self-determination of POC they must be compliant with the qualifying criteria, detailed in the template below, which is also available on the website and within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers

Level	Criteria
1	Complete a briefing with SPEN and enter into a probationary period - complete 5 projects in parallel (normal costs apply) and if no issues move to level 2
2	ICP fully able to self-determine POC

Supporting evidence

Self-determination Table – website link below, plus screenshot in Appendix 1 iv)
http://www.spenergynetworks.co.uk/pages/self_determination_of_point_of_connection.asp, plus within process document ESDD-02-021
http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf

Self-determination qualifying criteria – website link below
http://www.spenergynetworks.co.uk/pages/self_determination_of_point_of_connection.asp and within process document ESDD-02-021
http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf

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		

SPEN publishes the criteria of when an ICP can determine their own POC utilising the Standard Design Matrix both on the website and within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers, the details and supporting evidence have been provided within 4.9.1.

Table 1: Information on Self Determination of Points of Connection - SPM

This information relates to the period 1 November 2015 to 31 March 2016 to cover the 2015/2016 reporting period of the Code of Practice.

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued	Number of SLC15 Quotes Issued	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Yes *	Subject to restrictions	406	325	0	0
HV demand	Yes *	Subject to restrictions	406	282	0	0
HVEHV demand	No	Currently due to technical nature, complexity of designs and significant impact on network	4	22	0	0
EHV132 demand	No	Currently due to technical nature, complexity of designs and significant impact on network	1	0	0	0
DG LV	Yes *	Subject to restrictions	22	0	0	0
DG HVEHV	No	Impacted by a high level of Interactivity	128	6	0	0
UMS LA	Yes		5	0	133	0
UMS Other	Yes		290	0	0	0
UMS PFI	Yes		0	0	18	0

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

Table 1: Information on Self Determination of Points of Connection - SPD

This information relates to the period 1 November 2015 to 31 March 2016 to cover the 2015/2016 reporting period of the Code of Practice

Market Segment	Self Determination Available (Yes/No)	Comment	Number of DNO Quotes Issued	Number of SLC15 Quotes Issued	Number of Self Determined by Standard Design Matrix	Number of Self Determined by Technical Competence
LV demand	Yes *	Subject to restrictions	384	259	89	0
HV demand	Yes *	Subject to restrictions	265	270	0	0
HVEHV demand	No	Currently due to technical nature, complexity of designs and significant impact on network	1	23	0	0
EHV132 demand	No	Currently due to technical nature, complexity of designs and significant impact on network	1	0	0	0
DG LV	Yes *	Subject to restrictions	28	4	0	0
DG HVEHV	No	Impacted by a high level of Interactivity	117	22	0	0
UMS LA	Yes		16	0	70	0
UMS Other	Yes		94	0	3	0
UMS PFI	Yes		0	0	0	0

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

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.

SPEN have a suite of documents available on the SPEN website, within the Document Library that provides the essential documents detailing the standards and processes in place. The ICPs are aware of this information as they are advised of their availability during training and authorisation, plus they are notified at workshops and during their interactions with SPEN designers. These documents are reviewed and updated when there are any changes or alternatively the review periods defined on the documents, for example 5 years.

Supporting evidence

All design standards are readily available on the website
http://www.spenergynetworks.co.uk/pages/documents.asp

Extract – section of Document Library showing the G81 documents

ESDD-02-012	Issue 5	Framework for design and planning for low voltage housing developments underground network installations and associated, new, HV/LV distribution substations	2013-12-22
EPS-02-005	Issue 2	Installation & Record Framework for Greenfield Low Voltage Housing Estate Underground Networks and Associated, New, HV/LV Distribution Substations	2014-09-12
EPS-02-006	Issue 2	Installation and Record Framework for Industrial and Commercial Underground Connected Loads Up To and Including 11kV	2014-09-12
EPS-03-027	Issue 1	Materials Specification Framework for Greenfield Low Voltage Housing Estate Underground Network Installations and Associated, new, HV/LV Distribution Substations	2005-08-02
EPS-03-031	Issue 2	Materials Specification Framework for Industrial and Commercial Underground Connected Loads Up To and Including 11kV	2014-09-12

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

SPEN has removed the universal requirement for link boxes. In certain circumstances SPEN may wish to have a link box installed where operationally they consider it necessary. Where this occurs SPEN will pay the cost of the installation of the link box. The link box will be installed by the IDNO's chosen ICP, to SPEN specification (CAB-06-001 Approved Equipment Register – Cables & Cable Accessories, Section 11), which is available at http://www.spenergynetworks.co.uk/pages/documents.asp, and owned by SPEN.

In contrast to the above, there will be circumstances where an IDNO may require a link box to be installed. This will be at the IDNO's expense and to ENA specification TS-09-23, which is available on the ENA website www.energynetworks.org. SPEN will take ownership of the network 5mtrs from the link box towards the POC.

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.	*ICP fully able to self-approve contestable designs**

***If applicable**

ICPs are able to complete self–design approval in most circumstances and Table One details the applicable market segments, plus any restrictions or exemptions. In order for an ICP to move between different levels of design they would need to meet the qualifying criteria which are detailed in Table Two. SPEN provides this information on the website.

Table One – extract from website

Relevant Market Segment	Self-approval of designs available (Yes/No)	Comments
LV demand	Yes*	Subject to restrictions
HV demand	Yes*	Subject to restrictions
HV/EHV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
EHV/132kV demand	No	Currently due to technical nature and significant impact on network, however happy to develop process with an ICP
DG LV	Yes*	Subject to restrictions
DG HV/EHV	No	Impacted by a high level of interactivity
UMS LA	Yes	
UMS Other	Yes	
UMS PFI	Yes	

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

Table Two – extract from website

Level	Criteria
1	Complete a briefing with SPEN and enter into a probationary period - complete 5 projects in parallel (normal costs apply) and if no issues move to level 2
2	ICP fully able to self-approve contestable designs

In terms of the volumes completed during this regulatory year please see "Table 2: Information on Self-Approval of Designs" – SPM/SPD on pages 30/31

Supporting evidence

Website - http://www.spenergynetworks.co.uk/pages/self_design_approval.asp , screen shot of the page can be seen in Appendix 1 vi).

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.

When an ICP has the appropriate National Electrical Registration Scheme (NERS) accreditation they would notify SPEN of their interest in completing self-design approval and would then need to complete a review of the "workshop presentation" as detailed in 11.2 of ESDD-02-021 Guidance for Self Determination of Point of Connection and Self Design Approval for Independent Connection Providers. The ICP would then enter a probationary period where SPEN will continue to progress Design Approvals in parallel with the ICP. Once the ICP has completed their probationary period they will not require DNO approval of their design, however ICPs can elect to enter into another probationary period during which time SPEN will assist the ICP.
The ICP can still ask SPEN for approval under SLC15 even though they are competent to complete their own design approval. This information is detailed within the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers, Section 11.3.

Supporting evidence
Process document - ESDD-02-021 http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf
Section 11.2 - 11.3

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.

SPEN have detailed within Section 11.4 of the process document ESDD-02-021 Guidance for Self-Determination of a Point of Connection and Self-Design Approval for Independent Connection Providers, available on the website, that if the ICP complies with the qualify criteria then we would not audit those designs as a matter of course, however SPEN have stated that after the probationary period we may sample audit some self-determined PoC and Design Approvals.

Any and all issues identified will be raised with the ICPs in the first instance; SPEN reserve the right to return ICPs to the probationary level if common failures persist or issues are not addressed adequately. Sample audits are completed in the same manner as those within our normal Inspection and Monitoring Regime.
SPEN operate two Inspection and Monitoring schemes:
Scheme 1 – SPEN inspection

- Levels 1 -3 – planned inspections, costs applicable

Scheme 2 – self-inspect

- Level 4 – minimal inspections, minimal costs
- Level 5 – no inspections, no costs

These are explained in more detail within the process document ASSET-04-020 Inspection and Monitoring of Networks Constructed by Independent Connection Providers, section 6.2, which is available on the website, within the document library

Supporting evidence

Website – document library http://www.spenergynetworks.co.uk/pages/documents.asp

Process documents

ESDD-02-021http://www.spenergynetworks.co.uk/userfiles/file/ESDD-02-021.pdf section 11.4

ASSET-04-020 http://www.spenergynetworks.co.uk/userfiles/file/ASSET-04-020%20Issue%205.pdf section 6.2

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.

SPEN will advise NERS if such an event occurs, however to date there has been no such issue.

Table 2: Information on Self Approval of Designs – SPM

This information relates to the period 1 November 2015 to 31 March 2016 to cover the 2015/2016 reporting period of the Code of Practice.
For this time period there have been no designs self-approved

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved	Number of Self Approved Designs
LV demand	Yes*	Subject to restrictions	46	0
HV demand	Yes*	Subject to restrictions	31	0
HVEHV demand	No	Currently due to technical nature, complexity of designs and significant impact on network	1	0
EHV132 demand	No	Currently due to technical nature, complexity of designs and significant impact on network	0	0
DG LV	Yes*	Subject to restrictions	0	0
DG HVEHV	No	Currently due to technical nature, complexity of designs and significant impact on network	12	0
UMS LA	Yes		173	0
UMS Other	Yes		0	0
UMS PFI	Yes		0	0

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

Table 2: Information on Self Approval of Designs - SPD

This information relates to the period 1 November 2015 to 31 March 2016 to cover the 2015/2016 reporting period of the Code of Practice.
For this time period there have been no designs self approved in the metered market segments, however for unmetered this activity is being completed by an ICP completing work for a local council.

Market Segment	Self Approval Available (Yes/No)	Comment	Number of SLC15 Designs Approved	Number of Self Approved Designs
LV demand	Yes*	Subject to restrictions	299	0
HV demand	Yes*	Subject to restrictions	52	0
HVEHV demand	No	Currently due to technical nature, complexity of designs and significant impact on network	2	0
EHV132 demand	No	Currently due to technical nature, complexity of designs and significant impact on network	0	0
DG LV	Yes*	Subject to restrictions	4	0
DG HVEHV	No	Currently due to technical nature, complexity of designs and significant impact on network	7	0
UMS LA	Yes		26	70
UMS Other	Yes		0	2
UMS PFI	Yes		0	0

*** Subject to the following restrictions:**

- Where Contestable design requires incorporation of a constraint and monitoring scheme
- Diversion of Existing Assets (affecting existing Substation assets)

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.

SPEN have a process for the provision and registering of MPANs which is available on the website. A simple flowchart illustrates the steps that an ICP would follow to request an MPAN, see extract below. Alongside this are guidance documents which the ICP should read prior to completing the MPAN request form, plus an example of a completed form.

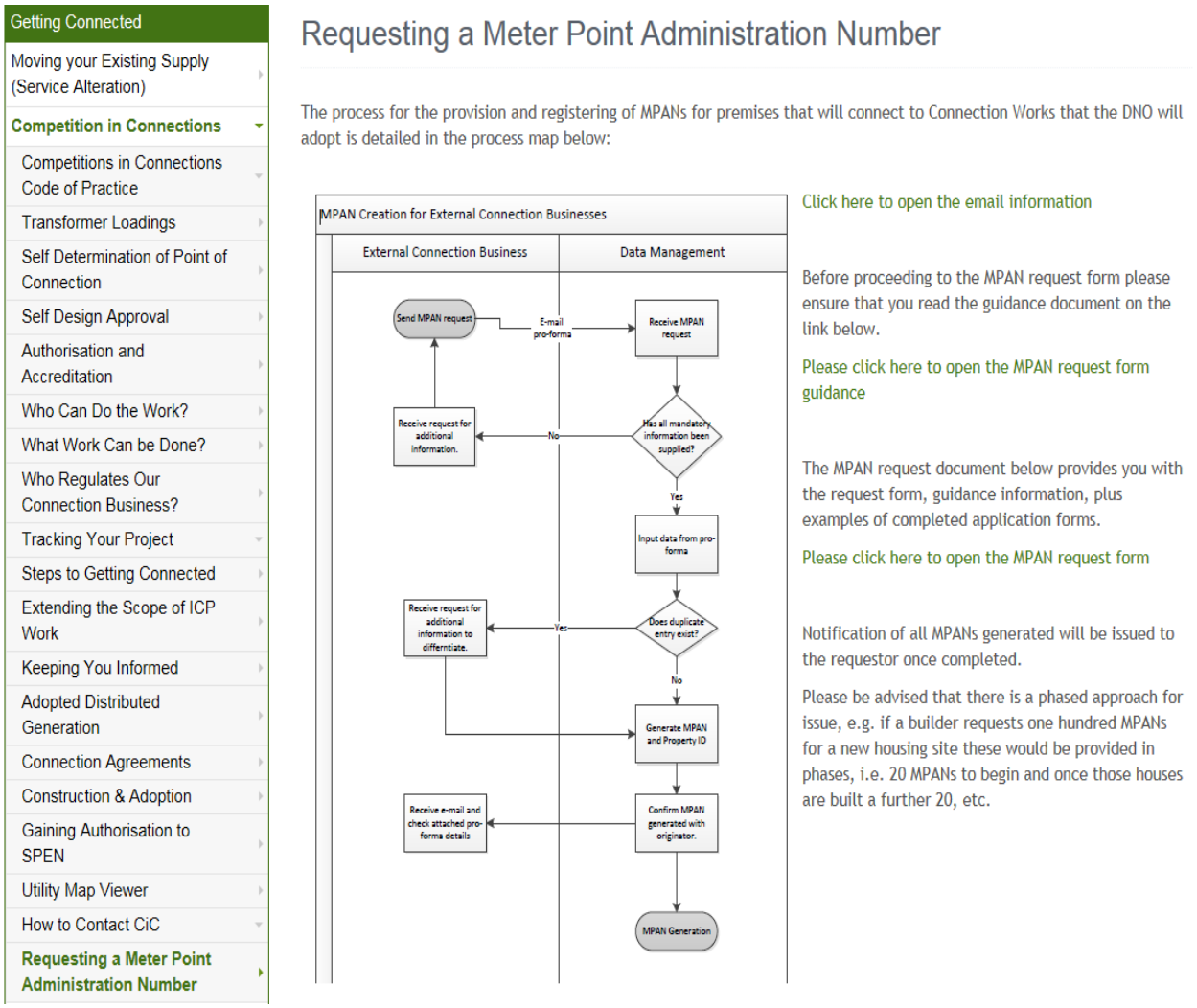
The process is the same for SPEN engineers when they manually request an MPAN. As stated on the website: notification of all MPANs generated will be issued to the requestor once completed. SPEN utilises a corporate system to record connection works and for specific smaller projects, based on certain built in parameters such as heating type, the MPANs are auto – populated via a system interface.

The MPAN creation team information is provided via a link on the webpage, see extract below.

Supporting evidence

Website - http://www.spenergynetworks.co.uk/pages/mpan_request.asp

Extract - Requesting a Meter Point Administration Number web page



Extract – email information web page

The completed MPAN Request pro-forma should be issued to the e-mail address:

SPD	DMMPANReq-1@scottishpower.com
SPM	EXTERNALMPANSOUTH@sppowersystems.com

There is a 2-day turnaround on receipt of these requests

- Emails received will be in the form of a message with a completed MPAN Request pro-forma attachment. Turn around times are based on normal office hours of 08:30 to 16:45. For requests received after 14:45 the turnaround time will carry over to the morning of the following working day.
- All requests must be supplied with a capacity. If the capacity is not supplied the requestor will be contacted via telephone or email for this information. The capacity value serves as a double check on the submitted supply type.

**All MPANs with a capacity greater than 100kVA require the completed pro-forma plus the additional 3rd HH form, signed by the site engineer, to be issued to the email address's above.

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.

Items not available are documented in NERS minutes and SPEN work with scheme administrator to implement. The NERSAP forum, chaired by a SPEN representative, is actively involved in the reviewing of any activities, which are identified, to establish the appropriate changes or additions to the available scopes.
SPEN has committed to working with the scheme administrator to implement any scope change and this commitment is detailed on the competition in connections website.
SPEN are always open to consultation with an ICP who wishes to carry out any works that are not currently covered under the present Lloyds accreditation regime.

Supporting evidence
Website - http://www.spenergynetworks.co.uk/pages/authorisation_and_accreditation.asp, screenshot available in Appendix 1 vii)

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

SPEN will accept training and/or authorisations relating to G39 which have already been accepted by other DNOs subject to the requirements of EREC G39 being met by all concerned parties. EREC G39 recognises requirements for competent persons and associated training may vary across DNO's (section 11). Where an individual is unable to demonstrate appropriate training and/or authorisation issued/accepted by another DNO with regards to working with cut-outs, SPEN will continue with its standard authorisation process for this specific activity. There is no intention to duplicate authorisations and SPEN will continue to work with the various stakeholders over the coming months to ensure all relevant requirements are being met.

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***

SPEN accept that ICP control their own Safety Management System (SMS) and to enable more flexibility and control within the ICP SPEN allows all ICPs to work under their own safety rules. The details of which can be found within document CON-04-002 Process for LV and HV connections activities under SPEN and ICP's Distribution Safety Rules (DSRs) which is available on the website

SPEN has committed to the 3 options that are available, a summary of which is detailed below, the full information being available on the website:

- Option 1 – ICP authorisation of ICP Employees and Contractors – ICPs operate under their own SMS, including ICP Safety Rules which shall be equivalent standard to SPENs; ICP determines relevant competence requirements for work to be undertaken and issue of appropriate authorisations.
- Option 2 – DNO authorisation of ICP Employees – ICPs operate under SPEN's SMS; SPEN determine competence requirements and issue authorisations; take account of authorisation by other DNOs.
- Option 3 – Transfer of Control – SPEN to transfer control of a specified part of its Distribution System for ICP activity; ICP has full control of specific party of SPEN's system and carry out work in accordance with own SMS.

The availability of the options varies according to the Relevant Market Segment for the connection works and the guidelines for application are detailed in "Table 3: Information on Authorisations", see below.

SPEN has also illustrated the process, for those with or without previous experience, with simple flow charts within the ICP presentation pack "Inspection and Monitoring and Operational Work", available on the website.

SPEN also provide full access to our Safety Documents via the website, which includes a variety of information under the headings:

- Safety Rules and PSSIs
- Live Working Manual
- Managements Safety Procedures
- Contractor Safety Booklets

Supporting evidence

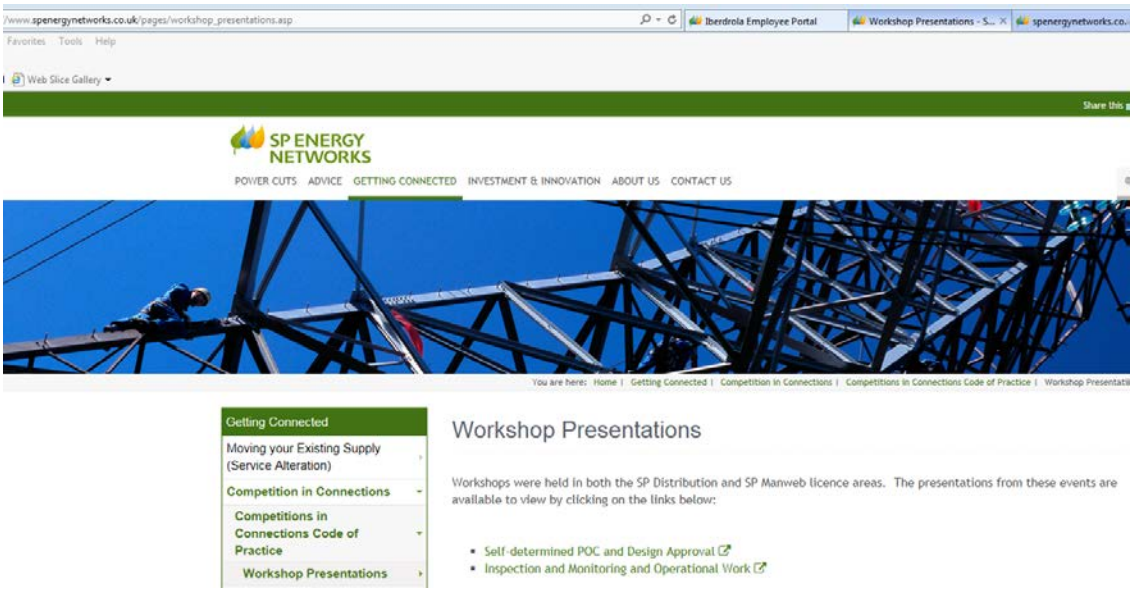
Website - http://www.spenergynetworks.co.uk/pages/authorisation_and_accreditation.asp , a screenshot of the web page can be seen in Appendix 1 vii).

Process Document CON-04-002 - http://www.spenergynetworks.co.uk/userfiles/file/CON-04-002%20Issue%202.pdf

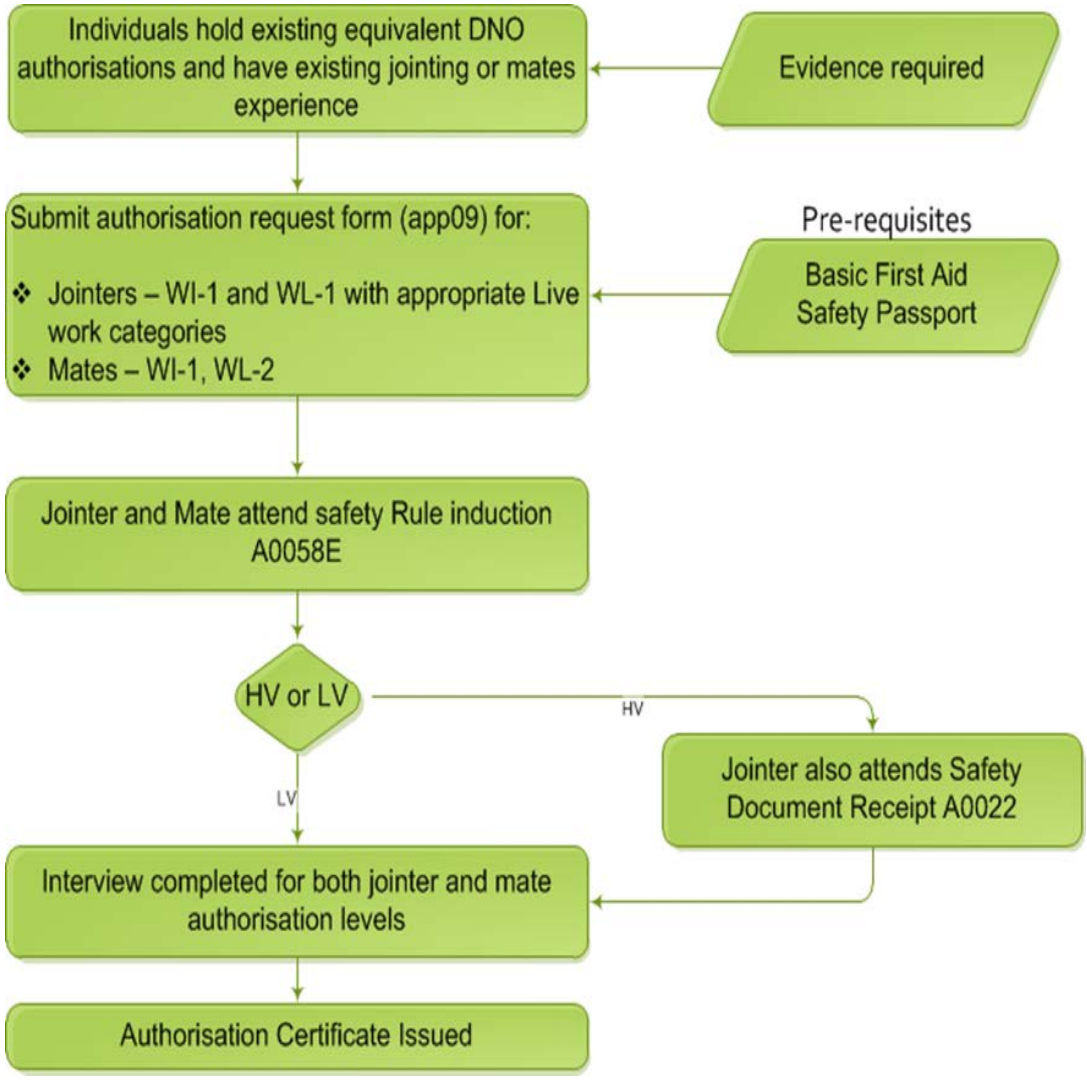
Presentation pack – Inspection and Monitoring and Operational Work
http://www.spenergynetworks.co.uk/userfiles/file/Operational_Inspection_and_Monitoring_Jan_16.pdf

Safety Documents - http://www.spenergynetworks.co.uk/pages/safety_documents.asp

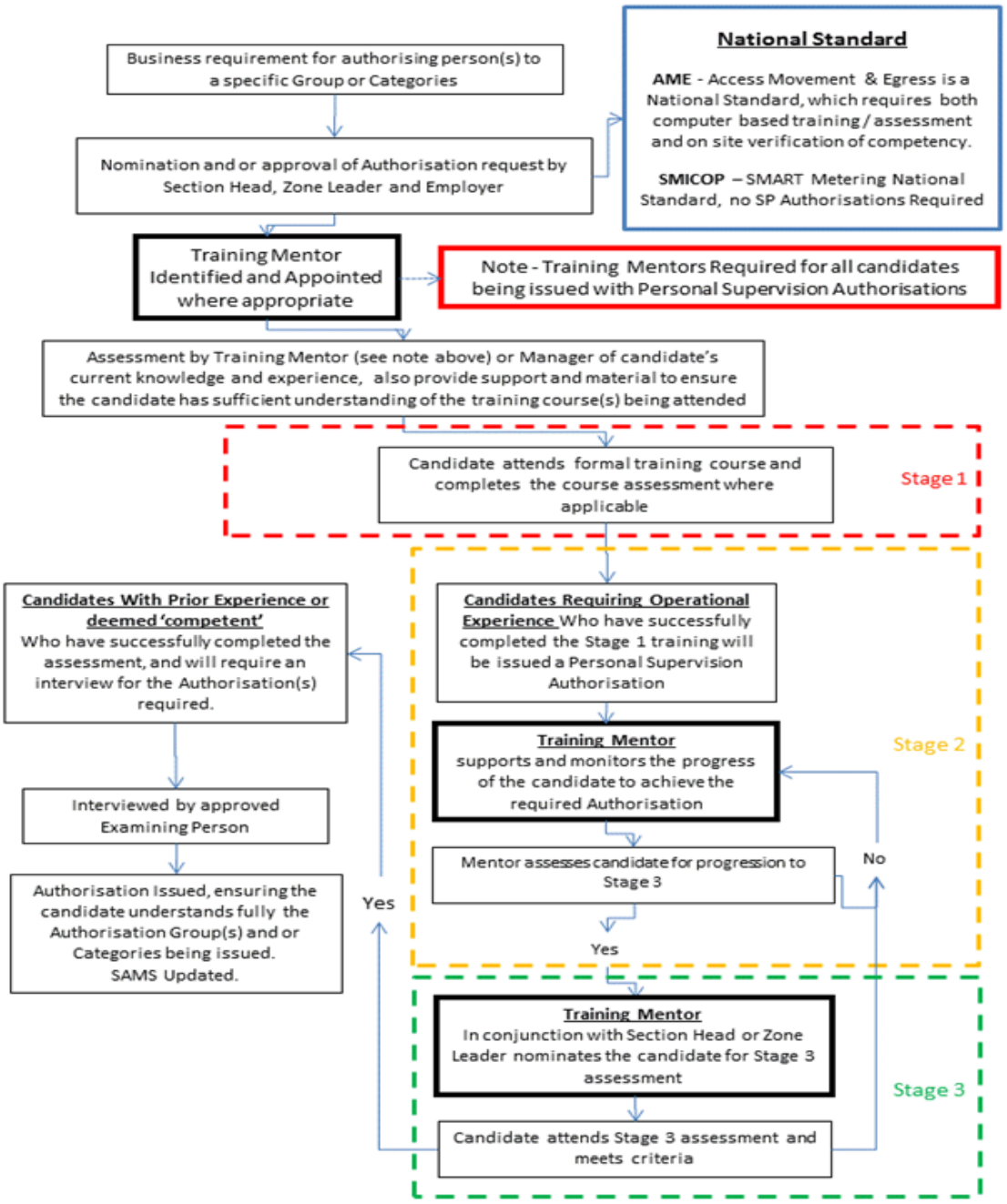
Screenshot of Workshop Presentation web page



Extract from Inspection and Monitoring and Operation Work Pack - SPEN authorisation with previous experience



Extract from Inspection and Monitoring and Operation Work Pack - SPEN authorisation with no previous experience.



Screenshot of Safety Documents web page

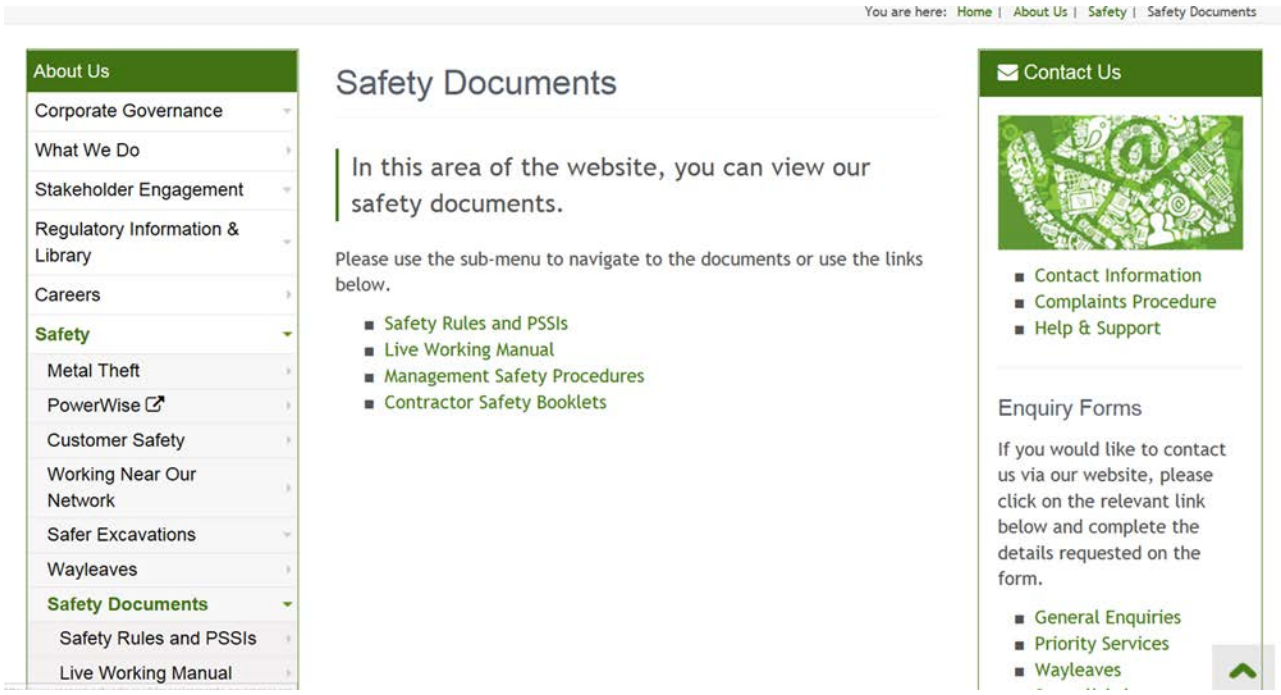


Table 3: Information on Authorisations

Activities	Option 1- ICP (Yes/No)	Option 2 – DNO (Yes/No)	Option 3 – Transfer of control (Yes/No)	Comments
LV Works	YES	YES	N/A	
LV Operations	YES	YES	N/A	
HV Works	YES	YES	YES*	*Underground works only
HV Operations	YES	YES	YES*	*Underground works only
EHV Works	NO	NO	NO	
EHV Operations	NO	NO	NO	
Unmetered Works	YES	YES	N/A	
Unmetered Operations	YES	YES	N/A	

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.

SPEN are familiar with and rely on the standard NERS Auditing process to assess the competency and abilities of ICPs.

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.

SPEN are always open to consultation with an ICP who wishes to carry out any works that are not currently covered under the present Lloyds accreditation regime. SPEN would undertake an Extension of Contestable works trial and liaise with Lloyds and other DNOs to develop a NERS scope for future works. The works will be audited within the scope of Level 1 of our Inspection and Monitoring regime, detailed within 10.3.1 of ASSET-04-020 Inspection and Monitoring of Networks Constructed by Independent Connection Providers. This is consistent with our own safety management policy where new staff and contractors are supervised when they initially undertake these activities.

Supporting evidence

Process document ASSET-04-020 – section 10.3.1

http://www.spenergynetworks.co.uk/userfiles/file/CON-04-002%20Issue%202.pdf

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.

SPENs policy for inspecting networks constructed by ICPs is set out in the document ASSET-04-020 Inspection and Monitoring of Networks Constructed by Independent Connection Providers, which is available on the SP Energy Networks website. “Table 4: Information on Inspections”, below, details the statistics of the number of inspections made.

The ICP is able to self-inspect his own construction work and provide photographic evidence of the work. If the ICP elects to self-inspect, there are no associated inspection and monitoring charges. The different inspection levels are set out in the policy document ASSET-04-020 Inspection and Monitoring of Networks Constructed by

Independent Connection Providers, section 10.3, and detailed in the extract in the evidence below.
SPEN staff and contractors complete a rigorous training and assessment plan as part of their initial placement. Their work is reviewed on a regular basis as part of the standard protocols when Team Leaders and Project Engineers attend site.

Supporting evidence

Process document ASSET-04-020 – section 10.3

http://www.spenergynetworks.co.uk/userfiles/file/CON-04-002%20Issue%202.pdf

Extract from ASSET-04-020 Inspection and Monitoring of Networks Constructed by Independent Connection Providers

10.3 Inspection Schemes, Levels and Performance

SPEN operate two schemes:

Scheme 1 - SPEN inspection

- Levels 1-3 – planned inspections, costs applicable

Scheme 2 - Self-Inspect

- Level 4 – minimal inspections, minimal cost
- Level 5 – no inspections, no cost

The inspection scheme and level determine the associated Non Contestable charges.

10.3.1 Scheme 1 - SPEN Inspection

A random sampling approach based on activity risk is adopted within SPEN. All work selected from the daily whereabouts will be inspected in the following order:

1. Level 1 / New Entrants / any future EOCW activities
2. Level 2
3. Level 3

Level 1 -

An ICP can be moved to Level 2, when they have completed 40 working days' work meeting satisfactory performance as detailed below.

Timescales start after the first daily whereabouts and site visit undertaken.

Level 2 -

An ICP can be moved to Level 3, when they have completed a further 40 working days' work meeting satisfactory performance as detailed below.

Level 3 -

This level could be attained after 80 working days of satisfactory performance as detailed below.

When the ICP has completed a further 40 working days' work meeting satisfactory performance as detailed below an ICP has the option to move onto the self-assessment scheme.

As a guide, the categories below should be viewed as a scoring mechanism as a measure to move between levels:

Scheme 1 - Satisfactory performance:

- Less than 5 Items of Concern
- Less than 20% of all audits with an IOC identified
- Zero safety critical failures

Scheme 1 - Unsatisfactory performance:

- If an ICP fails to meet the criteria set above.

10.3.2 Scheme 2 - Self Inspect

After a satisfactory performance in Scheme 1, an ICP has the option to move onto the 'Self Inspect' scheme where an ICP can construct a network with minimum or no inspection and monitoring from SPEN.

Level 4 – An ICP can be moved to Level 3, when they have completed a further 40 working days' work meeting satisfactory performance as detailed below
All ICPs at level 3 at 30/10/2015 will have the option to move onto Scheme 2 Level 4
Level 5 – This is the stage with no planned inspection and monitoring and no associated charges. This stage could be attained after 120 days of satisfactory performance at Scheme 2 Level 4.

Scheme 2 - Satisfactory performance:

- Completion of a 6 month period with all works recorded and accounted for as per scheme guidelines, Section 10.7.(section of ASSET-04-020)

Scheme 2 - Unsatisfactory performance:

- If an ICP fails to meet the criteria set above.

Where an ICP fails to meet the criteria at Scheme 2, Level 4, they will move over to Scheme 1 Level 3 and charged accordingly.

SPEN reserve the right to inspect all works on all sites, irrespective of scheme or inspection level. This will not affect the associated Inspection and Monitoring charges identified within the Connection Charging Statement.

A decision to move inspection levels to either more or less frequent inspections is ultimately at the discretion of SPEN, after discussion at local level with the ICP. However, as a guide:

- The inspection level for all ICPs will be reviewed periodically
- Any change in the level will be confirmed to the ICP in writing
- Persistent failures or Safety Critical failures will result in an immediate review of the ICP inspection level.

Any ICP that is inactive for over a one year period shall automatically have their inspection level lowered to the next level.

ICP's who work across both SPEN licenced areas have separate reviews to their levels, e.g. they can be level 2 in SPD and level 1 in SPM.

Table 4: Information on Inspections - SPM

	Number of Inspections Made	% of inspections made	Number of Connections made (exit points)	Comments
DNO	124	11%	1760	
ICPs	362	22%	304	

SPEN inspections of our direct labour are more focused on operational safety. We completed a total of 534 inspections over the reporting period of which 64 were connections and asset replacement.
The recording of these inspections currently does not identify which are connections or asset replacement and an assumption has been made that 50% of the inspections are connections, giving a total of 32.
The total number of Contractor Inspections completed was 589, of which 92 were on connection activities. Total number of DNO inspections was 124 (32+92) out of a total of 1123 (534+589) resulting in an 11% volume.

The % of inspections for ICPs is based upon the volume of inspections completed compared to the volume of whereabouts received. For SPM we received 1640 whereabouts notices through RAdAR and inspected 362, resulting in a 22% volume.
Number of connections made is taken from the RRP and represents the number of exit points adopted from ICPs.

Table 4: Information on Inspections - SPD

	Number of Inspections Made	% of inspections made	Number of Connections made (exit points)	Comments
DNO	604	15%	1356	
ICPs	431	37%	526	

SPEN inspections of our direct labour are more focused on operational safety. We completed a total of 1555 inspections over the reporting period of which 445 were connections and asset replacement.
The recording of these inspections currently does not identify which are connections or asset replacement and an assumption has been made that 50% of the inspections are connections, giving a total of 222.
The total number of Contractor Inspections completed was 2386, of which 382 were on connection activities. Total number of DNO inspections was 604 (222+382) out of a total of 3941 (1555+2386) resulting in a 15% volume.

The % of inspections for ICPs is based upon the volume of inspections completed compared to the volume of whereabouts received. For SPD we received 1158 whereabouts notices through RAdAR and inspected 362, resulting in a 22% volume.
Number of connections made is taken from the RRP and represents the number of exit points adopted from ICPs.

7.2 Land Rights

7.2.1. 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.

SP Distribution plc ("SPD") and SP Manweb plc ("SPM") have published this criteria in a document titled 'Land Rights For Connection Customers'. The document can be found on SP Energy Networks' website at
http://www.spenergynetworks.co.uk/pages/regulation_guidance_leaflets.asp
under the heading 'Our Approach to securing Land Rights'.

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.

SPM have agreed an incorporated process each with GTC and Energetics.

- GTC have used the process to document 9 connections to date.
- Energetics have used the process once to date.
- SPM and ESP's external solicitors are currently engaging with one another to document SPM's incorporated process for use by ESP.
- No other IDNO has entered into discussions with SPM to use the incorporated process.

SPD cannot use the incorporated process due to differences in Scots Law and English Law. All IDNOs currently use SPD's Streamlined Process in Scotland.

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.

SP have published copies of their standard land rights documents on SP Energy Networks' website, see supporting evidence below. The documents published cover a full range of connection scenarios, including installation of cables and/or overhead lines only, installation of a standalone substation building, installation of substation apparatus within a larger building and apparatus installed to connect a windfarm.

Supporting evidence

Website –

Main web page - http://www.spenergynetworks.co.uk/pages/regulation_guidance_leaflets.asp

Our Approach to securing Land Rights

To get you **connected to our network**, we often need to secure appropriate land rights in order to locate our equipment or cables on your land or a third parties land.

The term land rights is used as a collective term to cover the acquisition of property rights, such as freehold and leasehold interests, a lease or purchase or servitudes, easements or wayleaves, that SP Energy Networks will require to be in place before we can make a connection for you to our network. In order to ensure the works are undertaken in a lawful manner we may also require 'statutory planning' consents such as a section 37 consent to install an overhead line or a planning consent to construct a substation. Other environmental consents, licences or permits may also be required for work in or around certain sensitive ecological habitats or species, water bodies or cultural heritage sites, some of which may have significant statutory protection.

The key principle underpinning SPENS approach to securing land rights is a presumption that a secure right will be sought in the first instance. Such an approach ensures that SPEN can maintain an efficient, co-ordinated and economical system of electricity distribution as required to meet our statutory licence conditions. However, on occasion we recognise that we may require to depart from this presumption in order to secure the most 'appropriate' rights in the circumstance. In certain circumstances we may accept a wayleave as an alternative, but this will be determined on a case by case basis.

We would ask you to take the following key factors into consideration when planning your project:

- We require the consent of the land owner prior to beginning any works
- The timescales associated with obtaining third party agreement may affect your project's delivery
- We do not seek such consents until you have accepted our quotation
- The price on our quotation is given subject to all consents being agreed
- Where consents are refused a new design and quotation will be required
- We cannot undertake any works on third party land until all consents have been agreed

The Document below sets out SPENs approach to obtaining land rights for connections customers. The purpose of this guide is to explain in what situations land rights may be required as part of your connection, what types of land rights may be required, how long these may take to obtain and who is responsible at the various stages throughout the process. (This guide is applicable to connections where we are providing 'full works'. This is where we will complete all of the works in relation to your connection).

To further assist, we have provided the associated lease and servitude templates which may be required as part of your connection. See the links to these below:

- Land Rights for Connection Customers
- Windfarm Lease
- Substation Lease (Whole Substation Building)
- Substation Lease (Internal Parts Only)
- Standard Servitude (Overhead and Underground)
- Windfarm Servitude

Land Rights document -

http://www.spenergynetworks.co.uk/userfiles/file/SPEN_Land_Rights_for_Customer_Connections.pdf

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.

If an ICP undertakes some or all the contestable works, for a connection SPEN will be adopting, they are required to work in accordance with the terms and conditions of our Construction and Adoption Agreement.
Guidance on Construction and Adoption Agreements is contained on the website.
The web page includes bilateral and tri-partite agreements and the applicable terms and conditions. The agreements have recently been revised to ensure their compliance to the CoP.
The information is the same as we would require for our own works.

Supporting evidence
Website - http://www.spenergynetworks.co.uk/pages/construction_adoption_agreements.asp, please see screenshot of web page in Appendix 1 ix)

10.0 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.

SPEN has processes in place which are well defined, operational and easy to follow. The initial escalation process, which is available on the website, is a 2 step process whether project specific or process related. If not resolved satisfactorily then a complaint can be raised following the Complaints Procedure, detailed on the website, which is monitored and escalated using an internal 4 step process, moving to step 5 only if we have been unable to resolve.

Supporting evidence
See following page

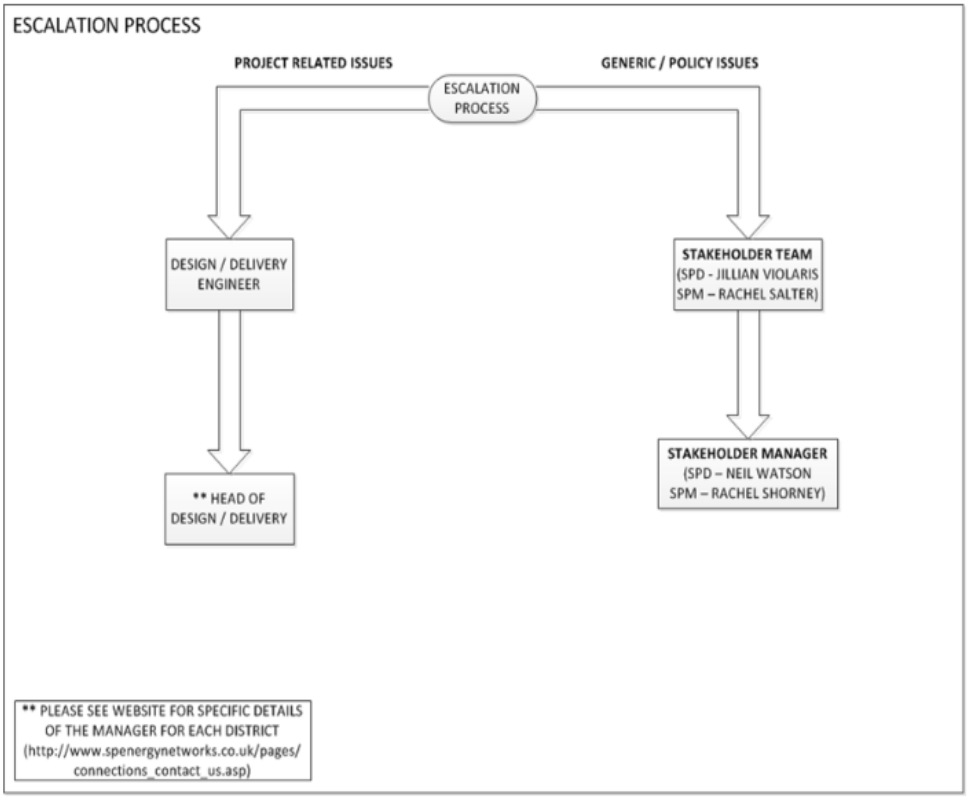
Escalation Process -

Website link - http://www.spenergynetworks.co.uk/pages/escalation_process.asp

Screenshot of web page

Escalation Process

We are committed to providing you with excellent customer service, first time every time. However, if you have any concerns or issues then please follow the process outlined below.



Please note, if you have followed the process above and are not happy with the resolution and wish to make a complaint, then you should follow our complaints procedure as outlined here.

Complaints Procedure -

Website link - http://www.spenergynetworks.co.uk/pages/complaints.asp

Screenshot of web page

How our Complaints Procedure Works

Step 1 - Review by Customer Contact Team

However you contact us, we will aim to resolve your query within ten working days.

Step 2 - Review by your Local Manager

If you are not happy with the response to your initial query and contact us again, we will acknowledge receipt of your complaint and arrange for a manager responsible for the electricity network in your area to review your complaint. We will contact you within ten working days, or sooner if possible, and will do our best to resolve the problem at that stage.

Step 3 - Referral to a Senior Manager

If you are not happy with the way that the local manager has dealt with your complaint, you can ask for it to be looked at by a senior manager responsible for your region. We will contact you within 5 working days, investigate your complaint and work with you to resolve the problem.

Step 4 - Final Review by Customer Service Director

If you are still not fully satisfied by the actions taken after discussing your complaint with a senior manager responsible for your region, you can request for your complaint to be formally reviewed by our Customer Service Director. We will send you a letter setting out our final position within ten working days.

Step 5 - Energy Ombudsman

Rest assured that we will do all we can to solve your problem by working with you. Where appropriate, we will provide an apology and an explanation of what went wrong, as well as take remedial action where this is needed. Compensation could also be paid, if deemed necessary.

However if you are still unhappy with our actions and have already followed steps one through to four, or we have been unable to resolve your complaint within eight weeks, you have the right to contact the Energy Ombudsman. This is a free and independent dispute resolution service. The Ombudsman will ask you for a full account of your dealings with us and they will also contact us to gain a factual understanding of the case from our perspective.

The Ombudsman will make a final decision once they have obtained all of this information and inform you of the outcome.

Contact details for the Energy Ombudsman are as follows:

Ombudsman Services: Energy
PO Box 966
Warrington WA4 9DF

Telephone: 0330 440 1624 or 01925 530263
Fax: 0330 440 1625 or 01925 530264