



Competition in Connections Code of Practice
0003 – CiC Code of Practice Reporting Requirements
Appendix One – Reporting Requirements Template

Competition in Connections Code of Practice Reporting Requirements

[DNO name]

[Date]

Introduction

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

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

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

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

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

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

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

Change Control

| Version number | Date | Brief description of change |
|----------------|------|-----------------------------|
| 0.1 | | |
| | | |
| | | |
| | | |
| | | |

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.

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.

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.

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

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

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.

4.5 Determining whether ICP can undertake assessment of POC

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

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

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).*

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.*

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.

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.

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.*

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.

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 | | |

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 | | |

Table 1: Information on Self Determination of Points of Connection

| 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 | | | | | | |
| HV demand | | | | | | |
| HVEHV demand | | | | | | |
| EHV132 demand | | | | | | |
| DG LV | | | | | | |
| DG HVEHV | | | | | | |
| UMS LA | | | | | | |
| UMS Other | | | | | | |
| UMS PFI | | | | | | |

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.

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.

4.16 Design Approval

4.16.3 DNOs shall complete and publish the following standard tables on their website. The proposed tables would be set out as follows:

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

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

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

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

*If applicable

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.

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.

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.

Table 2: Information on Self Approval of Designs

| Market Segment | Self Approval Available (Yes/No) | Comment | Number of SLC15 Designs Approved | Number of Self Approved Designs |
|----------------|----------------------------------|---------|----------------------------------|---------------------------------|
| LV demand | | | | |
| HV demand | | | | |
| HVEHV demand | | | | |
| EHV132 demand | | | | |
| DG LV | | | | |
| DG HVEHV | | | | |
| UMS LA | | | | |
| UMS Other | | | | |
| UMS PFI | | | | |

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.

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.

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

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*

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 | | | | |
| LV Operations | | | | |
| HV Works | | | | |
| HV Operations | | | | |
| EHV Works | | | | |
| EHV Operations | | | | |
| Unmetered Works | | | | |
| Unmetered Operations | | | | |

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.

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.

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.

Table 4: Information on Inspections

| | Number of Inspections Made | % of inspections made | Number of Connections made (exit points) | Comments |
|------|----------------------------|-----------------------|------------------------------------------|----------|
| DNO | | | | |
| ICPs | | | | |

7.2 Land Rights

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

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.

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.

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.

10. Dispute Resolution

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