
Meeting name	Performance Assurance Board
Date of meeting	28 May 2009
Paper title	Endorsement of CP1278 v2.0, CP1287 and CP1293
Purpose of paper	For Decision
Synopsis	This paper provides details of three Change Proposals (CPs) which have undergone industry consultation. We are seeking the Performance Assurance Board's (PAB) endorsement of the changes proposed to BSCP536 and BSCP537 Appendix 1, and the inclusion of the CPs in the November 2009 Release.

1 Introduction

- 1.1 Change Proposals (CPs) that impact BSCP536 'Supplier Charges' and BSCP537 Appendix 1 'Self Assessment Document (SAD)' need the Performance Assurance Board's (PAB's) endorsement, before they can be implemented as part of a Balancing Settlement Code (BSC) Release.
- 1.2 We have issued the following three CPs to the Industry for consultation:
- CP1278 v2.0 – Streamlining the SVA Standing Data Change Process;
 - CP1287 - Correction of inconsistencies in BSCP536 'Supplier Charges'
 - CP1293 – Housekeeping changes to BSCP537 Appendix 1 – Self Assessment Document (SAD).
- 1.3 We are now seeking the PAB's endorsement of the changes.

2 Summary of Change Proposals for Endorsement

- 2.1 CP1278 v2.0 – Streamlining the SVA Standing Data Change Process
- 2.1.1 We raised [CP1278](#) in January 2009, which recommends changes to BSCP507, so that the processes and forms currently used to notify changes to Standing Data are only used upon a new Supplier's entry into the market. CP1278 would redesign Form BSCP507/01A to show exactly which information is required upon initial participant entry, and to allow all the information to be entered into a single form.
- 2.1.2 As a result of the proposed changes to BDCP507, BSCP537 Appendix 1 also requires amendment, to reflect that Suppliers would no longer need to demonstrate (during the Qualification process) that they have controls in place to submit BSCP507 forms beyond their initial entry into the market.
- 2.1.3 Following industry consultation, we updated CP1278, to [version 2](#) this revised solution retains the flexibility for Suppliers to submit Standing Data updates to the SVAA on an ad-hoc basis if they wish to.
- 2.1.4 Full details on CP1278 v2.0 are provided in Appendix 1, with the redlined changes to BSCP537 Appendix 1 provided as attachment A.

- 2.1.5 We received 7 consultation responses to CP1278 v2.0; of these 6 agree and 1 was neutral. We didn't receive any further comments on CP1278 v2.0 or proposed redlined text.
- 2.1.6 Our recommendation, based upon the responses to the consultation, and that CP1278 will improve efficiency and reduce unnecessary effort, is that the PAB:
- **ENDORSE** the changes to BSCP537 Appendix 1 and the inclusion of CP1278 v2.0 in the November 2009 Systems Release
 - **NOTE** that CP1287 will also be presented to the ISG and SVG for approval; and
 - **NOTE** that ELEXON will work with the SVA Agent to identify a longer term solution for handling standing data updates.
- 2.2 CP1287 - Correction of inconsistencies in BSCP536 'Supplier Charges'
- 2.2.1 ELEXON raised [CP1287](#) on 03 April 2009. CP1287 recommends changes to BSCP536 'Supplier Charges' to:
- update the BSCP536/03 form to correctly use 'Total GSP Group Take' and include 'Sum of Supplier Cap Take';
 - correct other minor inconsistencies in the rest of BSCP536; and
 - remove section 4.11 (which includes details of the P99 run off period which are no longer needed).
- 2.2.2 Full details of the proposed changes can be found in Appendix 2 and the proposed redline changes are provided in attachment B.
- 2.2.3 When CP1287 was issued for consultation we received 6 responses; of these 5 agreed and 1 was neutral.
- 2.2.4 We recommend, based upon the responses to the consultation and that CP1287 improves the transparency and clarity of BSCP536, is that the PAB:
- **ENDORSE** the changes to BSCP536 and the inclusion of CP1287 in the November 2009 Release; and
 - **NOTE** that we will present CP1287 to the SVG for approval.
- 2.3 CP1293 – Housekeeping changes to BSCP537 Appendix 1 – Self Assessment Document (SAD)
- 2.3.1 We presented the details of [CP1293](#) to PAB last month ([PAB99/09](#)) on 30 April 2009, ISG on 28 April 2009 and SVG on 5 May 2009 and asked them to agree that CP1293 is a Housekeeping Change. All three of the committees agreed.
- 2.3.2 CP1293 would amend BSCP537 Appendix 1 'Self Assessment Document' to reflect changes that the SVG approved ([SVG97/01](#)) as part of [CP1272](#) 'Use of Appointment and Termination Flows in Unmetered Supplies (UMS)'.
- 2.3.3 CP1272 removed the requirement in BSCP520 ('Unmetered Supplies Registered in SMRS') for Suppliers to send D0155¹, D0148² and D0151³ flows to Unmetered Supplies Operator's (UMSOs). These changes were not reflected in BSCP537 Appendix 1 (as part of CP1272).

¹ Notification of new Meter Operator or Data Collector Appointment and Terms

² Notification of Change to Other Parties

- 2.3.4 CP1293 would change the guidance text in Section 17 (UMSO) of BSCP537 Appendix 1. UMSOs (who are in the Qualification process) are currently asked to explain how they will ensure that they can receive and process the D0148, D0151 and D0155 data flows from Suppliers (sections 17.1.3; 17.1.4; 17.1.5 and 17.1.7). Because these flows are no longer sent, there is no need to reference them within these sections. The proposed redline changes are shown in attachment C.
- 2.3.5 Since your last meeting we have emailed all BSC Change Administrators (BCA) and Party Agent Change Administrators (PACAs) to advise them that we have raised CP1293, that you have agreed that it is a Housekeeping CP and that they will not receive an impact assessment request. We haven't received any queries.
- 2.3.6 ELEXON's recommendation, because CP1293 will ensure consistency between BSCPs and provide clarity to UMSOs going through Qualification, is that the PAB:
- **ENDORSE** the changes to BSCP537 Appendix 1 and the inclusion of CP1293 in the November 2009 Release; and
 - **NOTE** that CP1293 will be presented to the ISG and SVG for approval.

3 Summary of Recommendations

- 3.1 The PAB is invited to:
- a) **ENDORSE** the changes to BSCP536 proposed by CP1287 and its inclusion in the November 2009 Release;
 - b) **NOTE** that CP1287 will be presented for approval by the Supplier Volume Allocation Group (SVG).
 - c) **ENDORSE** the changes to BSCP537 Appendix 1 proposed by CP1278 v2.0 and CP1293 and their inclusion in the November 2009 Release;
 - d) **NOTE** that CP1278 v2.0 and CP1293 will be presented for approval by the Imbalance Settlement Group (ISG) and Supplier Volume Allocation Group (SVG).

David Barber

ELEXON Change Delivery

List of appendices

Appendix 1 – Detailed Analysis of CP1278 v2.0

Appendix 2 – Detailed Analysis of CP1287

List of attachments

Attachment A – CP1278 v2.0 BSCP537 Appendix 1 redlined

Attachment B - CP1287 – BSCP536 redlined

Attachment C – CP1293 – BSCP537 Appendix 1 redlined

³ Termination of Appointment or Contract by Supplier

Appendix 1 – Detailed Analysis of CP1278 - Streamlining the SVA Standing Data Change Process

1 Introduction

- 1.1 ELEXON raised CP1278 v1.0 'Streamlining the SVA Standing Data Change Process on 9 January 2009.
- 1.2 CP1278 seeks to modify the processes by which SVA Standing Data changes are made to improve efficiency and reduce unnecessary effort. ELEXON has noted that, in practice, elements of the current process are not widely used, and that achieving full compliance with the procedures requires great effort with limited practical benefits.
- 1.3 BSCP507 'Supplier Volume Allocation Standing Data Changes' contains a process where Suppliers are required to update the SVA Agent (the SVAA) each time any changes occur to a Supplier's agent appointments in a GSP Group. Submitting this information is a manually intensive process involving a number of different paper-based forms. The large amount of paperwork involved can often lead to error. In practice, the majority of necessary updates to standing data are identified by the SVAA as part of its validation procedures, where incoming Settlement data is checked automatically against its own records. Using a process introduced by CP1093⁴ in 2005, the SVAA updates a Supplier's set of standing data based on the Settlement information received from Data Aggregators so that Volume Allocation can proceed. Each month the SVAA provides a report to Suppliers detailing all the changes that have been applied, with Suppliers either confirming their approval of the changes or arranging to correct any incorrect agent associations.

2 CP1278 v1.0 Solution

- 2.1 CP1278 v1.0 proposed two changes to the process. Firstly, the current collection of standing data forms (P0031, P0031 and P0032) would be consolidated into a single BSCP507/01A form containing all the information required for a Supplier to establish a set of standing data within SVAA.
- 2.2 Secondly, the obligation in BSCP507 for Suppliers to submit standing data updates within one Working Day of a change of Supplier Agent appointment would be removed. Suppliers would only be required to provide the BSCP507/01A form upon initial market entry, while subsequent changes to standing data would be progressed using the automated process managed by the SVAA.
- 2.3 The removal of this obligation would also result in a change to the Self Assessment Document, BSCP537 Appendix 1, as Suppliers would no longer have to demonstrate as part of the Qualification process that they have controls in place to submit BSCP507 forms beyond their initial entry into the market.

3 CP1278 v1.0 Participant Impact Assessment

- 3.1 We issued CP1278 v1.0 for participant impact assessment on 9 January 2009 as part of CPC00651. 12 responses were received, of which 7 respondents agreed with the change and 5 were neutral.

⁴ CP1093: Failure of Suppliers to Submit Valid Standing Data Relationships

3.2 No comments were received on the proposed changes to the Code Subsidiary Documents.

4 BSC Agent Impact Assessment

4.1 The SVA Agent noted in their impact assessment that applying changes to the SVAA database as a result of the automated process takes up to 10 man days of effort per month, as there are still manual reports that need to be issued and processed regularly. It is likely that this effort will increase over time as the proportion of standing data changes handled through this process grows as a result of CP1278, however no specific costs have been identified as a result of this.

4.2 Other than this slight change in activity, no specific system or process changes are required and no associated BSC Agents costs will be incurred by CP1278.

4.3 The SVA Agent explained that having prior notice of changes allows better workload planning and would always be beneficial. We agreed that there were possible ways of improving the whole standing data process, potentially using making use of an on-line interface. However, this would be a long term measure, and a solution to the current issues is required in the short term. We will look at the costs and potential benefits of taking such a solution forward.

5 CP1278 v2.0 Solution

5.1 In considering the SVA Agent impact assessment, and noting the generally positive response from industry impact assessment, we suggested a variation to the solution. The obligation for Suppliers to submit BSCP507 forms will be removed as originally proposed, but a mechanism would be retained so that where necessary, Suppliers can still provide updates to the SVAA so as to give prior notice of more substantial standing data changes. The same method would also be used to update information relating to Data Collectors, which is not covered by the automated process.

5.2 This variation required some minor revisions to the drafting of BSCP507 as follows:

- Step 3.3.1 required Suppliers to send the new BSCP507/01A form:
 - a) Upon initial market entry, no later than 5WD after the SSD for a Supplier appointment; and
 - b) Subsequent to initial market entry, as required by the Supplier.
- The Key Milestones in section 1.3 was modified slightly to reflect the flexibility available to Suppliers.

The changes to BSCP537 Appendix 1 remained as originally drafted.

6 CP1278 v2.0 Participant Impact Assessment

6.1 We took the opportunity to discuss the details of this variation with the Suppliers that responded to the impact assessment of CP1278, and received a favourable response. However to provide full transparency to industry, on 3 April 2009 we issued a second version of CP1278, along with the revised redlining, for impact assessment via CPC00660. This revised redlining to BSCP507 is available [here](#), while the BSCP537 Appendix 1 changes are included as attachment A to this paper.

6.2 We received 7 responses to the second impact assessment, of which 6 supported CP1278 v2.0 and one was neutral. No comments were received on the proposed redlined text.

7 Impact on ELEXON

7.1 The estimated cost for ELEXON to implement CP1278 v2.0 is £1,100.

8 Recommendation

8.1 ELEXON's recommendation, based upon the responses to the consultation, and that CP1278 will improve efficiency and reduce unnecessary effort is to:

- **ENDORSE** the changes to BSCP537 and the inclusion of CP1278 v2.0 in the November 2009 Systems Release; and
- **NOTE** that CP1278 v2.0 will also be presented to the ISG and SVG for approval.

CP1278 Lead Analyst: Stephen Francis (0207 380 4038)

Table 1: Industry Impact Assessment Summary for CP1278 v2.0 - Streamlining the SVA Standing Data Change Process

Organisation	Capacity in which Organisation operates in	Agree?	Days Required to Implement
NPower Limited	Supplier, Supplier Agents	Yes	-
EDF Energy	Supplier, NHH Agent and HH MOP	Yes	10
ScottishPower	Supplier, LDSO, HHDA, NHHDA, HHDC, NHHDC, HHMOA, NHHMOA	Yes	0
Scottish and Southern Energy	Supplier/Generator/ Trader / Party Agent / Distributor	Yes	0
E.ON	Supplier – NORW, EELC, EENG, EMEB, PGEN	Yes	0
British Energy Direct Limited	Supplier	Yes	-
E.ON UK Energy Services Ltd	NHH DC/ DA MOA	Neutral	0

Table 2: Impact Assessment Responses⁵

Organisation	Agree?	Comments	Impacted?
NPower Limited	Yes	Minor Changes to processes	Yes
EDF Energy	Yes	Minor process updates	Yes
ScottishPower	Yes	Documentation Changes Only	No

Table 3: Comments on the redline text

We did not receive any comments on the redline text.

⁵ Please note that we have only included responses in this table where the respondent provided additional information.

Appendix 2 – Detailed Analysis of CP1287 - Correction of inconsistencies in BSCP536 ‘Supplier Charges’

1 Why Change?

1.1 Background

1.1.1 ELEXON raised CP1287 on 03 April 2009.

1.2 The Problem

1.2.1 There are a number of inconsistencies in Section 3 of BSCP536 ‘Supplier Charges’ where an incorrect form is referenced. This means Suppliers do not have the right information to accurately validate the ‘cap’ on their charges.

1.2.2 Issues on Supplier Charge BSCP536/03 Form “Supplier Trading Report”:

- **Issue 1 - Field referenced ‘Total GSP Group Take’.** The value displayed under this title is taken from the incorrect table in PARMS and instead shows the GSP Group Deemed Take. The value displayed should be the ‘Total GSP Group Take’, in accordance with Annex S-1 of the BSC.

NOTE: Actual Supplier Charges calculations use the correct value (i.e. the GSP Group Take from the correct table). Therefore the ‘Total GSP Group Take’ field must display the total GSP Group Take, and extract that value from the correct table.

- **Issue 2 – Sum of ‘Supplier Cap Take’.** Currently the form does not contain the ‘Total Supplier Cap Take’. This field and value should be inserted into the BSCP536/03 Form. This will aid Suppliers in validating their reports (as currently it is not possible via the BSCP536/03 form) to confirm their ‘GSP Group Cap’ using the inconsistent set of ‘Supplier Cap Take’ against the total sum of ‘GSP Group Take’.

1.2.3 Other Issues:

- There are some minor inconsistencies in BSCP536 which will be corrected.
- Section 4.11 of the BSCP dealt with the P99 run off period. The run off has been completed and this section should be removed from the BSCP.

2 Solution

2.1 Update BSCP536 to:

- update the Total GSP Group Take value field in the BSCP536/03 Form to display the correct value for the Total GSP Group Take, rather than the GSP Group Deemed Take;
- insert a new field titled “Total Supplier Cap Take” to display this value in BSCP536/03 Form;
- change the PARMS Functional Design Specification Volume 5, Section 9.3.2.1 to reflect the amended design;
- remove section 4.11; and
- correct inconsistencies and minor errors in BSCP536.

2.2 These redlined changes can be found in attachment B.

3 Intended Benefits

- 3.1 This change improves transparency and clarity. The information presented on the BSCP536/03 form should allow Suppliers to calculate their Supplier Charges for themselves. This is currently not the case.

4 Industry Views

- 4.1 We issued CP1287 for impact assessment in April 2009 (via CPC00660). We received 6 responses; of these 5 agreed, none disagreed and 1 was neutral. None of the respondents provided comments on the redline text.

5 Impacts and Costs

Market Participant	Cost/Impact	Implementation time needed
BSC Agent (PARMS)	Estimated cost (to implement changes to the system and documents): £1,998 Nature of Documentation Change: Change to the PARMS Functional Design Specification Volume 5, Section 9.3.2.1 to reflect the amended design. Nature of System Change: Document Change Record.	November Release suitable
Market Participant	One Market Participant highlighted that the implementation of CP1287 will require some minor changes to internal documents.	Zero WDs requested (November 2009 achievable)
ELEXON (Implementation)	Approximately 6 Working Days, which equates to £660.	November Release suitable

6 Implementation Approach

- 6.1 We recommend CP1282 is implemented in the next available Release - November 2009. All respondents agree that they can implement this change by November 2009.

7 Recommendation

- 7.1 We recommend, based on the fact that CP1287 solution improves the transparency and clarity of BSCP536 and unanimous industry support, is that the PAB:

- **ENDORSE** the changes to BSCP536 and the inclusion of CP1287 in the November 2009 Release; and
- **NOTE** that CP1287 will also be presented to the SVG on 02 June 2009 for decision.

CP1287 Lead Analyst: Bu-Ke Qian (0207 380 4146)

Table 1: Industry Impact Assessment Summary for CP1287 – Correction of inconsistencies in BSCP536 v9.2 ‘Supplier Charges’

IA History CPC number	CPC00660	Impacts	BSCP536	
Organisation	Capacity in which Organisation operates in		Agree?	Days to Implement
Western Power Distribution	LDSO		Yes	-
EDF Energy	Supplier, NHH Agent and HH MOP		Yes	-
ScottishPower	Supplier, LDSO, HHDA, NHHDA, HHDC, NHHDC, HHMOA, NHHMOA		Yes	0
Scottish and Southern Energy	Supplier/Generator/ Trader / Party Agent / Distributor		Yes	0
E.ON	Supplier – NORW, EELC, EENG, EMEB, PGEN		Yes	0
British Energy Direct Limited	Supplier		Yes	-
NPower Limited	Supplier, Supplier Agents		Yes	-
E.ON UK Energy Services Ltd	NHH DC/ DA MOA		Neutral	0

Table 2: Impact Assessment Responses⁶

Organisation	Agree?	Comments	Impacted?	ELEXON Response
ScottishPower	Yes	Documentation Changes Only	No	Noted.

Table 3: Comments on the redline text

We didn't receive any comments on the redline text.

⁶ Please note that we have only included responses in this table where the respondent provided additional information.

CP1278 v1.0 proposed redline changes to BSCP537 Appendix 1 'Self Assessment Document' v5.0, Section 18:

<p>18.1.2 What controls do you have in place to ensure that the requirements of the BSCPs are met when a Change of Supplier (CoS), Change of LDSO, and or Change of Agent (CoA) event takes place?</p>	<p>The response to this question may cross refer to the response given in 18.1.1. The response should address the following:</p> <ol style="list-style-type: none"> 1. Sending of appointment and termination notifications on a D0155, D0153 and D0151 data flow and processing of rejection (D0261) and acceptance (D0011) data flows. 2. The sending of an Instruction to Obtain Change of Supplier Reading on a D0072 dataflow on a CoS or CoA event. 3. The sending of Customer Own Readings for CoS on D0071 data flows. 4. The receipt and processing of Change of Supplier Readings received on D0086 data flows. 5. The sending of Request for Metering System Related Details on D0170 data flows. 6. The sending and processing of Metering Technical Details and Metering Reading History on CoA by the old and new agents. 7. The mechanisms in place to monitor the timescales in which the above data flows into and out of your Supplier service and is processed. 8. Sending of PARMS data and Standing Data Changes to the PAA. 9. Sending of Standing Data Changes to SVAA. 		
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There are no changes to any other sections.



CP1287 Attachment - BSCP536 v9.2 Redline Text v0.1

Section 1-2 – no changes

3.1 Application of Supplier SCs

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.1.1	Monthly, 26WDs after the last day of the calendar month <u>and following receipt of the Funding Share as per 4.5.3</u>	Calculate SCs and determine the manner in which they should be re-distributed. Produce reports and payment authorisation forms	PAA	PAA	Performance data as specified in BSCP533. Forms BSCP536/01, /02,/03,/04 and BSCP536/05, <u>06</u>	Internal

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.1.2	With output data report as per BSCP533, 3.2.1	Send notification of extenuating circumstances (e.g. claiming Force Majeure against SCs)	Supplier	PAA	Details of extenuating circumstances	E-mail/Paper
3.1.3	PAB Paper Day	Send report to PAB (incorporating information from 3.1.2)	PAA	PAB	Performance data as specified in BSCP533. Forms BSCP536/04 and BSCP536/05 and cover paper.	Paper
3.1.4	Next PAB meeting	Authorise reports and payment.	PAB	PAA	Form BSCP536/ 05-06 and cover paper.	Paper
3.1.5	2WD after 3.1.4	Distribute reports & payment authorisation	PAA	Suppliers/ Trading Parties/ BSC Finance	Forms BSCP536/01/ 02-03 (to Suppliers), <u>Form BSCP 536/02 (to Suppliers where applicable)</u> , Form <u>BSCP536/03-04</u> (to Trading Parties), and Form BSCP536/ 05-06 to BSC Finance (electronic copy & paper)	Electronic/ Paper
3.1.6	Next BSCCo Bill run	Issue BSCCo Bill, ref. 4.7 for payment rules	BSC Finance	Suppliers/ Trading Parties	Net figure for amount owed/owing	Paper

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.1.7	In line with BSC Co Finance procedures	Make payment	Supplier	BSC Finance	BSCCo Bill	Electronic
3.1.8	In line with BSC Co Finance procedures	Receive funds.	BSC Finance	Suppliers/ Trading Parties	Payment due information	Electronic

3.2 Raising a Query on SC reports

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2.1	Within 10WDs of receipt of report	Raise Queries on SC Reports	Suppliers/ Trading Parties	PAA	Query Form BSCP536/ 06 07	Electronic
3.2.2	Within 1WD of 3.2.1	Log, check completeness of information and acknowledge Query	PAA	Supplier/ Trading Parties	Query Form BSCP536/ 06 07	Electronic
3.2.3	Within 1 WD of <u>3.2.25 WDs of</u> <u>3.2.2</u>	Assess Query and request additional information where required. If no additional information required, go to 3.2.5	PAA	Supplier/ Trading Parties/ SVAA, as appropriate	Query Form BSCP536/06 Information Request form BSCP536/07 Request for <u>Information Form F536/08</u> (if required)	Electronic
3.2.4	Within 4 WDs of 3.2.3	Receive Information Request and respond.	Supplier/ Trading Parties/ SVAA	PAA	Information Request form BSCP536/07 Request for <u>Information Form F536/08</u> <u>(Supplier's response on this form)</u>	Electronic

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2.5	Within 5 WDs of 3.2.4	Receive additional information, if required, analyse Query and notify Supplier of response. If Query resolved, go to 3.2.6. If Query not resolved, go to 3.2.7	PAA	Supplier	Query Form BSCP536/ 0607 Request for Information Form F536/08 Information Request form BSCP536/07 and response (if required)	Electronic
3.2.6	Within 5 WDs of 3.2.5	For those Queries that have been resolved and action is necessary, either (a) adjust SCs in next month or (b) send revised report to PAB for authorisation (refer to 3.1.1 or 3.1.3).	PAA	(a) BSC Finance (b) PAB	Decision on Query. Query Decision Form BSCP536/ 0910 , if appropriate	Paper
3.2.7	Within 5WDs of 3.2.5	For those Queries that have not been resolved, request escalation of Query.	Supplier	PAA	Request for escalation and supporting evidence	Paper
3.2.8	PAB Paper Day	Escalate Query and notify Supplier of action taken.	PAA	PAB	Query Escalation Form BSCP536/ 0809 , plus evidence from Supplier and PAA	Paper (to PAB) Telephone/_E-mail (to Supplier)
3.2.9	Next PAB Meeting	PAB makes decision on escalated Queries and notifies PAA.	PAB	PAA	Query Escalation Form BSCP536/ 08-09 & Query Decision Form BSCP536/ 0910	Paper

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2.10	Within 1 WD of 3.2.9	PAA notifies Supplier and proceeds to 3.2.6	PAA	Supplier	Query Decision Form BSCP536/0910	Paper

Section 4.1-4.10 – no changes

Section 4.2-4.12 – no changes

4.11 not in use

~~1.14.11 – Run-off of Pre-P99 Supplier Charge rules~~

~~4.11.1 – Supplier Charges are related to obligations set out in the Code. Prior to P99 implementation the Code contains a number of Serials to which Supplier Charges were applied. Similarly, Supplier Charges under P99 will be incurred based on the relative Settlement Date or Calendar date for which Supplier Charges are applied. The table below details when charges for the pre P99 Serials and post P99 Serials will commence and cease. All Serials either have a Settlement Date (S) or Calendar Date (C) obligation. Settlement Date obligation means that the Serial applies to performance for a particular Settlement Date, in the case of pre P99 Serials this will be for performance associated with Settlement Dates occurring on or before 30 April 2004. For post P99 Serials this will apply to Settlement Dates on or after 1 May 2004. A Calendar Day obligation means the Serial is measured for any calendar day for which the rules were effective in the Code.~~

Serial	Pre or post P99 Serial	Obligation point (C or S)	Date at which Serial commences	Date on which Serial ends
Supplier Serial 1	Pre	S	n/a	R3 and RF run for 30 April 2004
Supplier Serial 2	Pre	S	n/a	SF run for 30 April 2004
Supplier Serial 3	Pre	S	n/a	SF run for 30 April 2004
Supplier Serial 4	Pre	S	n/a	R1 run for 30 April 2004
Supplier Serial 5	Pre	S	n/a	R1 run for 30 April 2004
Supplier Serial 6	Pre	S	n/a	SF run for 30 April 2004
Supplier Serial 7	Pre	S	n/a	RF run for 30 April 2004
Supplier Serial 9	Pre	C	n/a	30 April 2004
Supplier Serial 10	Pre	C	n/a	When all pre-P99 data submissions received
Supplier Serial 11	Pre	C	n/a	When all pre-P99 data submissions are received

SP01	Post	€	1 May 2004	n/a
SP02	Post	€	1 May 2004	n/a
SP03	Post	£	For the appropriate settlement run for 1 May 2004	n/a
SP04	Post	€	1 May 2004	n/a

~~4.11.2 Supplier Charges for Pre and Post P99 obligations will run for 'reporting periods' after 1 May 2004. Supplier Charges will be processed by the Pre P99 PARMS and post P99 PARMS systems and the sum of charges accrued by each Supplier per GSP Group will be totalled before application of the Supplier GSP Group Cap.~~

Section 4.12.1 – 4.12.2 no changes

4.12.3 Supplier Trading Report – one to be provided for each GSP Group within which the Supplier is trading.

PARMS – Supplier Trading Report

BSCP536/03

Party Id [party id], Reporting Period [period] in [SC Period]

GSP Group	[GSP Group ID], [GSP Group Name]
Total GSP Group Take	MWh
Total NHH Energy in GSP Group	MWh
GSP Group Monthly Liability Cap	£
<u>Total Supplier Cap take</u>	<u>£</u>

Supplier	[Supplier ID], [Supplier Name]
Supplier Cap Take	MWh
Supplier NHH Energy in GSP Group	MWh
Supplier Group Monthly Liability Cap	£

Performance Analysis

Serial	Performance	Under	Serial Charge
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Id	Target	Achieved	Performance
SP01			
SP02			

Serial	Metering System	Performance	Under	Serial Charge
Id		Target	Achieved	Performance
SP04				
SP04				

Serial	Settlement	Performance	Under	Serial Charge	
Id	Date	Type	Target	Achieved	Performance
SP08a			97 %	%	
SP08b			99 %	%	

Uncapped Supplier Charge	£
Supplier Own Uncapped Monthly Receipts	£
Supplier Net Liability	£
Late Submission Interest	£
Adjustment Interest	£
Supplier Charge Adjusted for Cap Breach and Interest	£

GSP Group Total £

Party Total £

This report details performance against Supplier Serials SP01, SP02, SP04, SP08, and Pre-P99 Serials 1, 2, 3, 4, 5, 6, 7, 9, 10 & 11. Omission of any Serial indicates that performance data was not received and related SCs (including Serial 10 charges) will appear in subsequent monthly reports.

Any query on this Report must be raised in writing with the Performance Assurance Administrator at ELEXON no later than 10 WDs from the date of receipt.

Section 4.12.4 – 4.12.11 no changes

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Housekeeping CP1293 – redline changes to BSCP537 Appendix 1: Self Assessment Document (SAD) v 6.0

Section 17 - UMSO

Objectives of this section

The objective of this section is to consider the controls that have been built into the systems and processes supporting your Unmetered Supplies Operator (UMSO) service to ensure the operational requirements of the BSC and BSCPs are met. Whilst Sections 1 to 7 of the SAD are generic to all Qualified Persons, this section focuses on the specific controls required to operate effectively as an UMSO.

Guidance for completing this section

The UMSO is responsible for establishing new Unmetered Supplies and establishing appropriate Connection Agreements with UMS customers in line with the requirements set out in BSCP520. In addition it is responsible for providing summary inventories to the Meter Administrator (Half Hourly) and issuing Unmetered Supplier Certificates (Non Half Hourly).

Business Processes and Mitigating Controls: This set of questions looks at the controls over the provision of data to other participants, the subsequent processing of information received and the transmission of this updated data to relevant participants.

Exception Management: The section looks at the specific controls you have in place to report on, monitor and resolve exceptions during the processing of your data.

A number of questions in the SAD relate to 'data quality'. This section of the SAD is concerned with the on-going quality of your data when your UMSO service is live and in operation. The quality of the data used to initially populate your service is considered in Section 7 of the SAD. A number of the questions in the service specific sections of the SAD relate to how you will ensure the accuracy of incoming and outgoing data and in the event that poor quality data does enter your UMSO service, how you identify and resolve this to minimise the impact upon other Parties and Party Agents.

Both system and manual controls should be considered when answering the SAD questions as your service will rely on both system and manual processes to effectively fulfil its obligations. Responses should consider the procedures in place for dealing with electronic flows received via the DTN and also manual data flows received via any other means (e.g. email, fax letter). It is recognised that not all UMSOs use the DTN to send and receive information from other participants. Where a question references a specific data flow this should be interpreted to mean the information that would normally be sent/received using that data flow even if the DTN is not used as the method of receipt/delivery. A full response should be provided and the Applicant should indicate for each data flow referenced whether the DTN or an alternative method of communication would be used.

17.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>17.1.1 What controls do you have in place to ensure that the establishment of new UMS connections is done in accordance with the requirements of BSCP520?</p>	<p>The UMISO is required to carry out a number of activities when establishing or updating UMS inventories. The response should include the following key events:</p> <ol style="list-style-type: none"> 1. Receiving/processing applications for new UMS from customers 2. Establishing UMS Connection Agreements with customers 3. Distinguishing between HH and NHH UMS and applying distinct processes <p>The response should address the following areas:</p> <ol style="list-style-type: none"> a) Controls in place to ensure that applications for new Unmetered Supplies meet the UMS criteria specified in BSCP520. b) Procedures for establishing appropriate UMS Connection Agreements with all customers ensuring that the key clauses defined in BSCP520 (section 1.1) are adhered to as a minimum. <p>Monitoring controls to ensure that all new connections are set up completely and accurately and have a formal connection agreement in place.</p>		
<p>17.1.2 How do you ensure that once a UMS connection has been</p>	<p>The response should include the following key events:</p>		

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<p>established new inventories or changes to inventories are processed completely and accurately in accordance with the requirements of BSCP520?</p>	<ol style="list-style-type: none"> 1. Receiving and processing new/revised UMS inventories from customers and Change of Measurement Class applications from Suppliers. 2. Calculation of EACs for Non Half Hourly UMS 3. Generation of UMS Certificates and data flows (D0052) 4. Generation of summary inventories for Half Hourly UMS <p>The response should address the following areas:</p> <ol style="list-style-type: none"> a) Controls and procedures in place to ensure the correct application of initial/revised EAC calculations for each Settlement register is recorded for each MSID for NHH traded UMS (BSCP520 Appendix 4.4). b) Procedures for generating the required outputs for NHH traded UMS (UMS Certificate and D0052) c) Procedures for monitoring the required outputs for HH traded UMS (Summary Inventory) d) Monitoring of compliance against conditions of UMS Certificates) e) Controls in place to ensure that applications for revised UMS inventories continue to meet the UMS criteria specified in BSCP520. f) Existence of a trigger upon receipt of updated inventories/Change of Measurement Class/Change of Supplier notifications to re-start the procedures for 		

Question	Guidance	Response	Evidence
	<p>establishing a new UMS inventory to ensure that the criteria for UMS detailed in BSCP520 continue to be met.</p>		
<p>17.1.3 How do you ensure that information and data flows relating to Half Hourly Unmetered Supplies are sent or received and processed completely, accurately and in a timely manner, in line with the requirements of the BSC?</p>	<p>The response should include the following key events:</p> <ol style="list-style-type: none"> 1. The sending of request to SMRA for a new MSID record via P0171 data flow 2. Sending of UMS Certificates to customer and Supplier on a P0170 flow 3. Provision of Equivalent Meter Technical Details via P0068 data flow 4. Receipt and processing of appointment details on D0155 and D0148 data flows. 5. Provision of UMS summary inventories to the appointed Meter Administrator via P0064 data flow 6. Receiving requests for Equivalent Meter Technical Details and location of PECU arrays (if applicable) via a P0176 data flow <p>The response should address the following</p> <ol style="list-style-type: none"> 1. All flows are identified, reviewed and authorised prior to processing. 2. The validation of data flows for formats and lengths 3. The validation of data for its internal consistency, for 		

Question	Guidance	Response	Evidence
	<p>completeness and accuracy (e.g. the MSID is valid).</p> <ol style="list-style-type: none"> a. Where the generating/sending of flows requires the use of MDD the response should reference how it is ensured that this data is valid. b. Where an agreed method other than the standard DTC flow is to be used the response should address: <ul style="list-style-type: none"> ▪ How you manage the approval / agreement of receipt / sending of data in another agreed format, ▪ What records are retained of the agreement of the method as well as the actual data received / sent; and • How you ensure that timescales surrounding this data are adhered to. 4. Controls in place to ensure that all data required or expected is received and that all data to be sent is sent in a timely manner. This may be through controls within the update routines or through manual controls. 5. Existence of agreed procedures with the appointed Meter Administrator for the checking and agreement of inventories. 		

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<p>17.1.4 How do you ensure that information and data flows relating to Non Half Hourly Unmetered Supplies are sent or received and processed completely, accurately and in a timely manner, in line with the requirements of the BSC?</p>	<p>The response should address the following key events:</p> <ol style="list-style-type: none"> 1. The sending of a request to SMRA for a new MSID record for UMS via P0171 data flow 2. Accurate calculation of EACs according to calculation type (BSCP520 Appendix 4.4). 3. Sending of UMS Certificates to customer and Supplier via a P0170 data flow 4. Receipt and processing of appointment details, from the Supplier on D0155 and D0148 data flows 5. Sending of split EAC/Profile Class and SSC details via a D0052 data flow to the Supplier and NHHDC following a new connection/change of inventory detail. 6. The creation and sending of an annual spreadsheet of all UMS EACs to Suppliers on a P0218 data flow as specified in BSCP520. The response should include: <ol style="list-style-type: none"> i. A description of the process by which Supplier UMS registrations are collated; ii. Processes in place for applying the appropriate Average Fraction of Yearly Consumption (AFYC). iii. Submission of the data to Supplier/BSCCo iv. How you ensure that all requests received via a D0310 from the Supplier (or NHHDC) to 		

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	<p style="text-align: center;">resend correct EACs to the NHHDC are actioned.</p> <p>The response should address the following</p> <ul style="list-style-type: none"> a) All flows are identified, reviewed and authorised prior to processing. b) The validation of data for formats and lengths, e.g. the MSID is valid. c) The validation of data for its internal consistency, for completeness and accuracy. <ul style="list-style-type: none"> i) Where the generating/sending of flows requires the use of MDD the response should reference how it is ensured that this data is valid. ii) Where an agreed method other than the standard DTC flow is to be used the response should address: <ul style="list-style-type: none"> ▪ How you manage the approval / agreement of receipt / sending of data in another agreed format, ▪ What records are retained of the agreement of the method as well as the actual data received / sent; and ▪ How you ensure that timescales 		

Question	Guidance	Response	Evidence
	<p style="text-align: center;">surrounding this data are adhered to.</p> <p>d) Controls in place to ensure that all data required or expected is received and that all data to be sent is sent in a timely manner. This may be through controls within the update routines or through manual controls.</p>		
<p>17.1.5 What controls do you have in place to ensure that the requirements of BSCP520 are met when a Change of Supplier (CoS) and/or Change of Agent (CoA) event takes place?</p>	<p>The response should cover how you identify when a CoA/CoS activity has taken place and should address the following:</p> <p><u>For Half Hourly UMS CoS</u></p> <ol style="list-style-type: none"> 1. Receipt and processing of appointment details, D0148 and D0155 flows 2. Sending of latitude and longitude information and inventory details via P0068 data flow. 3. Existence of procedures for agreeing with the Supplier that the existing UMS Certificate continues to meet the requirements of BSCP520 4. Existence of agreed procedures with the appointed Meter Administrator for the checking and agreement of UMS inventories. <p><u>For NHH CoS</u></p> <ol style="list-style-type: none"> 5. Receipt and processing of appointment details, on a D0148 and D0155 data flows 		

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	<p>6. Receipt and processing of Termination of Appointment details, from outgoing Supplier on a D0151 data flow</p> <p>7. Existence of procedures for agreeing with the Supplier that the existing UMS Certificate continues to meet the requirements of BSCP520</p> <p><u>Change of MA</u></p> <p>8. Receipt and processing of appointment details, flows and D0148</p> <p><u>Change of NHHDC</u></p> <p>Receipt and processing of appointment details, D0148 and D0155</p>		
<p>17.1.6 What controls do you have in place to ensure that the requirements of BSCP520 are met when a change of energisation status takes place?</p>	<p>The response should address the following:</p> <ol style="list-style-type: none"> 1. Receipt and processing of energisation status change requests via D0134 data flows 2. Sending of confirmation of energisation status change D0139 data flows to MA/Supplier (HH traded UMS) 3. Sending of confirmation of energisation Status change D0139 data flows to NHHDC/Supplier (NHH traded UMS) <p>The response should also provide details of:</p> <ol style="list-style-type: none"> a) How you ensure that a D0139 is sent for each D0134 data flow received 		

Question	Guidance	Response	Evidence
	b) How you receive/process change of energisation requests which are not submitted via a data flow but through other agreed methods.		
17.1.7 What controls do you have in place to ensure that the requirements of BSCP520 are met when a disconnection is required following de-energisation of an MSID?	<p>The response should address the following:</p> <ol style="list-style-type: none"> 1. The receipt and processing of disconnection request via D0132 data flow 2. Procedures in place to identify and perform any physical site work required 3. The sending of disconnection request/confirmation via P0175 and D0125 data flows 4. The receipt and processing of termination of appointment date (if NHH) from Supplier via D0151 data flow. <p>The response should also provide details of:</p> <ol style="list-style-type: none"> c) How you ensure that a D0125 / P0175 is sent for each D0132 data flow received d) How you receive/process disconnection requests which are not submitted via a data flow but through other agreed methods. 		
17.1.8. How have you ensured that you have appropriate audit trails in place?	<p>The UMISO should retain data to allow the Supplier to fulfil all its obligations under the BSC. The response to this question should address how such data is stored, including the</p>		

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	<p>following key items:</p> <ol style="list-style-type: none"> 1. Copies of Connection Agreements and evidence that Connection Agreements are in place and have been sent to the customer. 2. Evidence of data sent and received. This data may be in either data flow format or otherwise (e.g. fax/email) and the agreed method should be formalised and recorded. 3. EAC values and evidence of calculations (for NHH UMS) including evidence to support changes made to inventories and subsequent re-calculations of EACs. 4. Summary inventories and history of changes to inventories (for HH UMS) 5. Copies of UMS Certificates and evidence to confirm that these, and D0052 data flows, have been sent 6. Evidence to support changes to UMS Connections and communications of the changes to relevant parties. 		

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<p>17.1.9 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and BSCP520 section 1.2.1(j)?</p>	<p>Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for:</p> <ol style="list-style-type: none"> 1. 28 months after the Settlement Day to which it relates on-line; 2. Until the date 40 months after the Settlement Day to which it relates in an archive; and 3. At the request of the Panel, for more than 40 months if needed for an Extra Settlement Determination. <p>The response should address the following:</p> <ol style="list-style-type: none"> a) Controls to ensure that any archived data can be retrieved within 10 Business Days. b) Systems and procedures to ensure that all data that is retained is in a form in which the data can be used in carrying out a Settlement Run or Volume Allocation Run. 		

No further changes will be made to BSCP537 in relation to CP1293.