# TA Change Compliance

**Abstract** : This document describes the requirements that each Entry Process Participant must meet to demonstrate that they are compliant with the SVA Trading Arrangements; either as part of initial Entry Processes or following a major change to the Trading Arrangements such as a Modification Proposal.

**Document Reference** Comply
**Issue** 2.0
**Date of Issue** 1st May 2004
**Reason for Issue** For Use
**Author** Entry Process Co-ordinator

# 0 DOCUMENT CONTROL

## i Authorities

| Name | Role | Signed and Dated |
|---|---|---|
| ***Author(s)*** | | |
| Entry Process Co-ordinator | EPC Analyst | |
| ***Reviewer(s)*** | | |
| Graham Archbold | EPC Analyst | |
| Christine Pearson | EPC Manager | |
| ***Approver(s)*** | | |
| Ijeoma Obi | Customer Services Manager | |

## ii Distribution List

| Name | Organisation |
|---|---|
| Entry Process Managers | Participating Organisations |
| EPC Witnesses | Entry Process Co-ordinator (EPC) |

# iii Contents

## iv Change History

The TA Change Compliance script was introduced to assess Participant readiness for the P62 changes and will be extended and maintained for subsequent significant market changes.

| Issue | Date | Author | Description |
|---|---|---|---|
| 0.1 | 20.06.2003 | Patrick Jones | First Draft of document introduces for P62 compliance |
| 0.2 | 30.06.2003 | Graham Archbold | Updated following review by ELEXON |
| 0.3 | 1.07.2003 | Graham Archbold | Updated following further review by ELEXON |
| 0.4 | 9.07.2003 | Christine Pearson | Updated following further review by ELEXON |
| 1.0 | 24.07.2003 | Christine Pearson | Issued for use as part of Modification P62 |
| 2.0 | 01.05.2004 | Christine Pearson | Updated as part of P99 |

## v Changes Forecast

As a result of major changes and Modifications to the Trading Arrangements e.g. BETTA.

## vi Intellectual Property Rights and Copyright

# 1 INTRODUCTION

## 1.1 Purpose

This TA Change Compliance script has been introduced to assess Participants' ability to satisfy the SVA Trading Arrangements on their initial entry to the market and following a major change to those arrangements, for example after the introduction of a Modification Proposal. This script will therefore be subsequently revised after any major change has been introduced to the SVA Trading Arrangements. Such revisions will reflect the testing needs of that particular change, and any historical changes as necessary, in order to assure Compliance and to protect the integrity of settlement.

On this occasion the script has been updated as part of Modification Proposal P99 - Changes to Accreditation and the PARMS Serials and Standards, resulting from the Performance Assurance Framework (PAF) Review.

The TA Change Compliance script is to be used by all Participants, whether existing Market Participants or new Market Entrants.

## 1.2 Major Changes to the Trading Arrangements

The major changes that have resulted in existing Participants being required to comply with this script to date are summarised below:

- Modification Proposal P62 'Changes to Facilitate Competitive Supply on the Networks of New Licensed Distributors'. P62 is effective from 1st August 2003 and allows existing Distributors, now known as Licensed Distribution System Operators (LDSOs) to expand their businesses to operate in other GSP groups and allows new LDSOs to enter the SVA Trading Arrangements.

## 1.3 Summary

This document is the script from which Participants will develop their own physical test script and requirements. The structure of this document is as follows:

- Section 2, TA Change Compliance Introduction;
- Section 3, Standard Entry Process Checks;
- Section 4, Advance Evidence Requirements, detailing the questions a Participant must provide responses for, prior to the on-site Compliance Inspection visit;
- Section 5, On Site Compliance Inspection Tests, detailing the on-site inspection requirements;
- Section 6, "What-if" Scenarios, detailing the questions a Participant will need to consider;
- Appendices - including Abbreviations and Terms Used and Related Documents.

## 1.4 Scope

This document describes the Entry Process TA Change Compliance requirements. It only covers the actions of the Participants involved in the running of this script, within the scope of the ELEXON requirements for Entry Process testing.

The document identifies the pre-requisite business processes, local working instructions, specific business events and enhanced data flows, but does not define the results at data item level.

## 1.5 Responsibilities

It is the responsibility of the ELEXON Entry Process Co-ordinator:

- To define the detail of the TA Change Compliance script;
- To co-ordinate the requirements of the TA Change Compliance script and to analyse the information and evidence provided by the Participant to ensure that all requirements are satisfied.

It is the responsibility of the Participant:

- To understand the requirements of the TA Change Compliance script prior to execution;
- To make all the necessary changes to their business processes, working instructions and systems to support the SVA Trading Arrangements including all major changes to date;
- To have successfully carried out testing of the changes;
- To have documentary evidence of the test results;
- To present/operate their systems and business processes to demonstrate Compliance with the requirements of the TA Change Compliance script;
- To ensure that the appropriate business users are available during the on-site inspection visit to provide the assurance required by the detailed sections of this document.

# 2. TA CHANGE COMPLIANCE INTRODUCTION

## 2.1 Compliance Introduction

To achieve TA Change Compliance, a Participant is required to demonstrate that their systems and processes are sufficiently robust not to adversely affect settlement and that they comply fully with the SVA Trading Arrangements, including the major change that has triggered this additional Entry Process testing.

For clarity, the term Compliance Inspection will be used throughout the rest of this document to describe the on-site visit where the requirements of this document are to be satisfied.

To confirm Compliance new Market Entrants and existing Market Participants will be the subject of a Compliance Inspection visit. This will take the form of an on-site visit by an Entry Process witness. Once all of the Compliance requirements have been satisfied, the results will be included in the Participant's Outcome report to the PAB. The Compliance Inspection sequence of events is detailed within section 2.2. Testing required for both new and existing Participants to achieve P62 Compliance is defined within section 2.3.

Many of the evidence points required by this script are addressed in full Entry Process testing and the provision of evidence from those tests will significantly contribute to answering the requirements for Participants who are seeking Compliance as part of full Entry Process testing.

For Participants not undertaking full Entry Processes, each requirement will need to be addressed separately. In either case, explanations of how TA Change Compliance is achieved should be provided in addition to the evidence unless the evidence is self-explanatory.

Please note that additional support and guidance regarding both the Entry Process requirements in general and the specific requirements of this document, are available from the Entry Process Co-ordinator and ELEXON.

## 2.2 The Compliance Inspection Sequence of Events

The sequence of events for the Compliance Inspection is as follows:

- Compliance Inspection Application;
- Preparation;
- Pre Test Inspection Visit (if required);
- On Site Compliance Inspection visit to witness the standard Entry Process checks, review the advance evidence responses, witness the on site inspection requirements demonstrated and discuss the various 'What if' scenarios;
- Post Visit Activities and Formal Approval.

### 2.2.1 Compliance Inspection Application

The Compliance Inspection will take place once the Entry Process Participant has completed the development of their systems, processes and local working instructions for the SVA Trading Arrangements change against which they are being tested.

For new Market Entrants, the Compliance Inspection will be scheduled and agreed as part of the entrant's overall Entry Process.

For existing Market Participants seeking to gain Compliance, the process will start with the completion of an Entry Process application form as per BSCP511 or BSCP512. This form will be completed by the Supplier, Supplier Agent or SMRA and will include the date when the Participant (and their Agents) is ready to demonstrate Compliance.

### 2.2.2 Preparation

The Participant must ensure that their systems and business processes support the Trading Arrangements and specifically the changes necessitating the execution of this TA Change Compliance script.

The TA Change Compliance script preparation should commence well before the witness is expected on-site, including the preparation of the advance evidence requirements detailed in section 4 and the consideration of the 'what-if' scenarios detailed in section 6.

The Participant must provide answers to the advance evidence questions to the EPC at least two weeks before the on site Compliance Inspection visit. The answers can be discussed either during the Entry Process pre-test inspection visit if the Participant wishes or during the on site Compliance Inspection visit.

### 2.2.3 Pre Test Inspection Visit

For new entrants the EPC will conduct a pre-test inspection visit, usually two weeks before the start of Entry Process testing to check that all preparations have been completed and to confirm the on site test start date for full Entry Processes and Compliance.

For existing Market Participants the pre-test visit to confirm that the Participant has understood the test requirements and to confirm the on site test start date is optional. If a visit is required, it will take place approximately two weeks prior to the date of the on site Compliance Inspection visit, If not, readiness for the Compliance visit will be agreed by telephone or email.

The purpose of this visit is to maximise the use of resources for both the EPC and the Participant, by identifying whether adequate preparations have been made for the on site Compliance Inspection visit to go ahead as planned.

This visit covers both the Participants and Entry Process Co-ordinators view of 'readiness' and focuses on, for example, User Acceptance Testing, Entry Process preparation, witnessing facilities and the test execution itself. A standard Entry Process pre-test checklist will be completed to confirm whether all the required preparations have either already been completed or that they are on schedule to be finished before the on site Compliance Inspection visit. If there are any significant items that are unlikely to be completed before the date of the on site Compliance Inspection visit, then the visit will be rescheduled.

If the Participant has provided the EPC with documented responses to the advance evidence requirements, as detailed in section 4, prior to this pre-test inspection visit, then the responses can also be reviewed during this visit.

### 2.2.4 On Site Compliance Inspection

The on site Compliance Inspection visit requires an EPC witness to be on-site at the Participant's premises. The visit will typically take place over a 3-5 day period but this will depend on the level of preparations carried out and the roles the Participant is undertaking.

For a new entrant, this inspection will take place alongside the latter stages of functional testing.

The EPC witness will require access to Participant's operational users and systems support staff throughout. The on site Compliance Inspection will usually consist of the following stages:

#### 2.2.4.1 Provide business and systems overview to EPC witness

Participants are requested to provide an overview of their systems prior to the start of the inspection to allow the witness to familiarise themselves with the Participant's systems, business processes and business and operational staff. A demonstration of the systems and access to the Participant's business processes and local working instructions is also required.

Participants are expected to identify clearly which requirements will be addressed by demonstration and which by the provision of procedures and other documentary evidence. The overview should include version numbers for each of the software

elements and the EPC witness should be advised of any elements that will not be part of the final operational system (either because they are specifically for testing or are test versions of the proposed live system). The overview should include details of how and at which stages input flows are validated.

Participants will also be required to provide an overview of their operational processes. In addition, Participants operating with multiple MPIDs will be required to provide details of how operational separation is maintained.

Participants are required to provide a documented record of any changes made to their systems and processes to accommodate the major changes that triggered this Entry Process. New Entrants are required to provide the release notes of the version of the software that they are using for Entry Process testing and to provide the appropriate change documentation for any additional changes proposed during the testing period.

#### 2.2.4.2 Complete all standard Entry Process checks

The EPC witness will perform an evaluation of the detailed processes to ensure that all the necessary issues have been considered and handled as described in section 3 of this document.

The Participant's overall solution will be recorded to identify the solution components, level of validations employed, level of automation, level of detail in the processes and working instructions and the experience of operational staff etc.

Levels of automation are not mandated, but the solution does have to be viable for the individual volume intentions of the Participant.

Standard Entry Process checks will also be carried out, including the loading and use of Market Domain Data, Daily Profile Coefficients and Estimated Annual Consumption and Reading History, as appropriate to the Participant.

#### 2.2.4.3 Review the advance evidence requirements with the EPC witness

The EPC witness will review the documented responses to the advance evidence requirements questions posed in section 4 of this document, unless these were reviewed in full at the pre test inspection visit.

#### 2.2.4.4 Demonstrate onsite Compliance Inspection requirements to EPC witness

During this stage the Participant will be required to provide evidence that their systems and processes function adequately for a number of scenarios as described in section 5 of this document.

This stage will also require each Participant to demonstrate that they can successfully, and without disruption, process flows that may now contain additional information. Such flows may not always have changed in structure, but may be used in a different manner.

#### 2.2.4.5 Provide Responses to "What if" scenarios

The EPC witness will pose a number of 'What If' scenarios as described in section 6 of this document. The scenarios have been designed to ensure that the relevant issues have been considered and will be adequately handled by the Participant, should they occur.

The scenarios should be considered by the Participant prior to the on site Compliance Inspection visit to ensure that they can be appropriately handled. Responses to these scenarios may be submitted as advance evidence, if desired, but there will always be an interactive discussion during the visit as well.

#### 2.2.4.6 Provide arithmetic accuracy test results (agents only) for checking by EPC witness

As part of the process of gaining compliance, Data Collectors and Data Aggregators are required to demonstrate that their systems produce the correct arithmetic results by running Scenario 1 (NHH) and Scenario 2 (HH) as appropriate (see BSCP 511 and BSCP 512). These arithmetic tests are not defined fully in this TA Change Compliance script. Separate scripts and expected results are provided by the EPC. Existing Market Participants should have completed the running of these tests before the arrival of the witness on-site and the evidence will be checked by the witness as part of the on site Compliance Inspection visit. New Entrants will run these arithmetic tests at the start of their entry process and then again as a regression test at the end of the business process tests if any systems changes have been required.

#### 2.2.4.7 Provide clarifications as requested by the EPC witness

The Participant will be required to provide any clarifications as requested by the EPC witness during the on site Compliance Inspection visit.

#### 2.2.4.8 Receive notice of outstanding issues passed to EPC for resolution

The EPC witness will provide the Participant with notice of any outstanding issues resulting from the on site Compliance Inspection visit. The EPC witness will pass these issues on to the central EPC team for resolution in the same way as is done in full Entry Process testing.

#### 2.2.4.9 EPC witness leaves site

Once the on site Compliance Inspection visit has been completed, the EPC witness will leave the Participants' site.

### 2.2.5 Post Visit Activities and Formal Approval

Any concerns, issues or requests for further information will be logged by the EPC and raised with the Participant as clarifications. These will be administered by the central EPC team and will be stored on the EPC Problem Database. Many of these clarifications will be resolved during the on site Compliance Inspection visit, but those requiring more Participant action may take place in the days or weeks after the visit has been completed.

Once all clarifications have been resolved to the satisfaction of the EPC, the Compliance of the Participant will be documented in the Participant Outcome Report by the EPC. This report will be signed by the Participant who may add any further clarifications for submission to PAB for approval.

## 2.3 Tests Required by Participant to Achieve P62 Compliance

The definitive details of the Entry Process testing required for each Participant are contained in BSCP511 and 512. However, a summary of the requirements for existing Market Participants and for new Market Entrants is provided below.

### 2.3.1 Existing Market Participant Compliance testing

Existing Suppliers and HH/NHH Party Agents (Data Collectors, Data Aggregators and Meter Operators) are required to complete this TA Change Compliance script. If a Participant carries out multiple roles, then it may be possible for these to be covered in a single Compliance Inspection.

In addition, HH/NHH Data Collectors and Data Aggregators must complete arithmetic accuracy tests for which a separate Entry Process test environment is not necessarily required. These tests can be conducted either before or during the visit. NHH Data Collectors and Data Aggregators will need to complete Scenario 1 testing, whilst HH Data Collectors and Data Aggregators will need to complete Scenario 2 testing.

SMRSs wishing to achieve P62 compliance are required to complete the Entry Process Scenarios 1, 2, 3 and 4 in addition to this TA Change Compliance script. However, many of the tests

within the TA Change Compliance script are incorporated from the Entry Process scripts. Consequently, any Entry Process scripts completed will be excluded from the TA Change Compliance script testing requirements. The EPC will advise in these cases

### 2.3.2 New Market Entrant Compliance testing

New Market Entrants are required to complete all relevant Entry Process scripts, as advised by the EPC and defined in BSCP511 and 512, including this TA Change Compliance script. This is required as part of the overall testing requirement to enter the market. However, many of the tests within the TA Change Compliance script are developed from the Entry Process scripts. Consequently, any Entry Process scripts completed will be excluded from the TA Change Compliance script testing requirements. The EPC will advise in these cases

# 3. STANDARD ENTRY PROCESS CHECKS

ELEXON Entry Processes are specified in BSCP511 and BSCP512 for both new Market Entrants and for existing Market Participants who are required to re-test following a major change(s) to the SVA Trading Arrangements. These ability tests include test scenarios that require each Participant to run a number of scripted tests.

To support these ability tests and the Compliance testing as defined in this document, key areas are assessed and documented to ensure that the Participant's solution is understood and that testing is both appropriate and accurate, including:

- Overall assessment of the Participant's solution for meeting the requirements of the SVA Trading Arrangements, including the level of automation and validation;
- Overall assessment of the Participant's business processes and local working instructions;
- Level and experience of operational staff;
- Versions of software and systems employed during testing (versions of software and processes used during testing should be the same throughout Entry Processes and be those intended for live operation).

Additionally, during Entry Processes, a number of key common business functions will be witnessed independently of the scripted tests. These common functions will be checked and documented once to reduce duplication during the execution of the detailed test scripts.

The common functions witnessed are (some are not applicable to all market roles):

- Loading and use of Market Domain Data (MDD) – to ascertain whether the Participant has a detailed process for the regular receipt and handling of MDD.
- Loading and use of Daily Profile Coefficients (DPCs) – (for NHHDC and Suppliers only)
- Loading and use of Estimated Annual Consumption (EAC) and Reading History – to ascertain the key business triggers invoking the Participant's process.

The outcome of all of the above items will be recorded on standard checklists documenting issues like applicability, level of training, robustness, capacity, flexibility, validations, level of automation and manageability.

# 4. ADVANCE EVIDENCE REQUIREMENTS

## 4.1 Definition

Participants are required to assemble responses to the following advance evidence questions prior to the on site Compliance Inspection visit. Such pre-preparation should minimise the time the EPC witness needs to spend on-site for the Compliance Inspection. It will also allow the Participant time to complete the requirements around other commitments.

The responses would typically comprise examples of:

- Local working instructions;
- Diagrams of systems and configurations;
- Details of systems changes since previous testing;
- Details of training plans;
- Evidence from testing undertaken.

All responses should be provided in paper format except where this is impractical. Where items in this section also address those Compliance Inspection elements described in section 5, then this should be clearly marked on the responses identifying the specific element(s) addressed.

Participants should also consider the 'What-if" scenarios, described in section 6, prior to the on site Compliance Inspection visit, to ensure they have assembled the required information to discuss with the EPC witness.

The following tables list the advance evidence requirements:

## 4.2 Systems and Change Management Evidence

| **Advance Evidence** | **Compliance Justification** |
|---|---|
| A1 Overview of operational processes; | Provide an outline of the approach to testing and how the BSC requirements have been incorporated in to the systems and the testing undertaken to prove the changes. |
| A2 Overview of systems and communications; | |
| A3 Overview of business separation especially where Participants are operating multiple MPIDs; | |
| A4 Summary of changes made to conform with the current BSC framework; | |
| A5 Summary of approach and actual testing undertaken to prove changes; | |
| A6 Current (if applicable) and desired market volumes. | |

## 4.3 Staff Training and Business Processes Evidence

| **Advance Evidence** | **Compliance Justification** |
|---|---|
| B1 Summary of staff training undertaken and planned in relation to changes since any previous SVA Entry Process; | Participants may have processes in place utilising assumptions that are no longer correct. |

| Advance Evidence | Compliance Justification |
|---|---|
| B2 Business processes and local working instructions for new connection of a metering system; | Any assumptions will need to be reviewed to ensure that they still hold true the current market. Assurance is required to ensure that systems and processes changes have been adequately implemented and that staff have sufficient information to operate effectively. |
| B3 Business processes and local working instructions for change of supplier and all agents; | |
| B4 Business processes and local working instructions for emergency de-energisation of a metering system; | |
| B5 Business processes and local working instructions for update and use of LLFCs; | |
| B6 Business processes and local working instructions for standing data changes; | |
| B7 Business processes and local working instructions for changes to SSC/TPR/MTC (NHH only); | |
| B8 Business processes and local working instructions for maintenance and use of Market Domain Data. | |
| B9 Business processes and local working instructions for the provision of PARMS data. | |

## 4.4 Supplier Specific Questions

| Advance Evidence | Compliance Justification |
|---|---|
| C1 How is the GSP Group of a meter identified (without using the first two characters of the MPAN) and at what stage is this required? Is it required for quotations? | This is a key change brought on by Modification P62 and the mechanisms must be examined in detail. |
| C2 How are the correct agents and contract terms identified for each LDSO/GSP Group? | Agent/LDSO/GSP group selection is now more complicated and appropriate selection will help avoid rejected appointments and reduce exceptions in settlement. |
| C3 Describe the process for dealing with a D0261 Rejection of Agent Appointment. What processes are in place to ensure that an agent is appointed in a timely manner for every metering system? | Rejection of appointment flows may become more common as agents have geographical limitations and valid hubs more complex. |
| C4 How is the appropriate settlement configuration for a metering system identified for each LDSO/GSP Group? | Certain elements of the settlement configuration are by GSP Group and others by LDSO making the assignment of the configuration more complicated than before. The identification of the appropriate settlement configuration will reduce exceptions in settlement. |
| C5 Can systems or processes cope with P62 compliant MDD e.g. LLFCs, multiple LDSOs in a GSP Group? | MDD usage is checked as part of Participant's initial Entry Process and again following a major change to ensure that processes and |

| Advance Evidence | Compliance Justification |
|---|---|
| | systems for loading and using MDD can handle any changes as a result of the major change. |
| C6 What is the process for receiving and processing:<br>• D0041 Supplier Purchase Matrix Data files from the NHHDA<br>• and the D0040/D0298 from the HHDA?<br>and have any changes been made at this time? | The D0041 caters for multiple LDSOs per GSP Group and supplier systems must be able to handle such flows. |
| C7 What is the process for handling reports from SVAA? How are the D0030 Non Half Hourly DUoS and D0082 Supplier Purchase Matrix Reports handled? | These flows may contain multiple LDSOs per GSP Group and support for this should be demonstrated. |
| C8 What processes have been put in place to manage the notification of settlement details to agents? | Supplier agents need to know the GSP Group in which a meter is located and the relevant metering system details. Suppliers should have a process for identifying these details and passing them to their agents both in the first instance and on request. |
| C9 What is your process for handling D0095 Exception Reports? | Exception handling is a key supplier responsibility to ensure the accuracy of data in settlement. |
| C10 What process is used to handle E01 (No EAC or AA details) and E10 exception details (GSP Group incorrect) on D0095 Non Half Hourly Data Aggregation Exception Reports? | E01 occurs frequently and must be addressed promptly. E10 occurs rarely at present although the instances of it arising will increase as a result of P62. |
| C11 What is your process for handling D0235 Exception Reports? Has this changed in light of any recent changes to the BSC? | Exception handling is a key supplier responsibility to ensure accuracy of data in settlement. |
| C12 What is your process for the management of UMS certificates? | UMS certificates are issued by LDSOs and cannot be assumed to belong to just one GSP Group. |
| C13 What changes have been made to assist in the determination of appropriate MTCs? | Administration and selection of MTCs is more complicated and may need to consider the needs of the LDSO and the location of the meter. |
| C14 What is your process for managing prepayment metering systems to ensure that the correct meter types are requested and the correct readings used for settlement? | The MPAN prefix can no longer be used to determine prepayment technology. An LDSO (and consequently the MPAN prefix) may support all three main types of prepayment meters. |
| C15 How is the use of BM units controlled?<br>C15A What controls are in place to prevent attempts to make BM Units span GSP Groups? | BM Units always relate to one GSP Group, but they can now contain energy associated with multiple LDSOs. |

| Advance Evidence | Compliance Justification |
|---|---|
| C15B What processes have been put in place to identify and handle energy for multiple LDSOs in the same BM Unit? | |
| C16 Are new BM units required to manage metering in addition to the default BM unit and if so, have these been set-up? | |

## 4.5 SVA Supplier Agent Specific Questions (MO, DC, DA)

| Advance Evidence | Compliance Justification |
|---|---|
| D1 How do you identify and validate the GSP Group of a meter (not using the first two characters of the MPAN)? | All agents are required to use reasonable endeavours to ensure that the GSP group for an MPAN is the correct one.and must not be derived from the MPAN. Conflicting GSP group information may be provided on D0155, D0052 and D0152 flows and the process for identifying this and resolving it is required. |
| D2 How do you identify whether you are the correct agent for a supplier and that the contract terms are acceptable and appropriate to the metering system/GSP/LDSO? | Hubs are more complex since the introduction of new LDSOs and contractual arrangements may vary by geographical location or other factors. |
| D3 How do you notify a supplier when you are not the correct agent? Do you have any checks to ensure that the supplier cancels your appointment? | Currently an area which is not well addressed generally. |
| D4 Can systems or processes cope with P62 compliant MDD e.g. LLFCs, multiple LDSOs in a GSP Group? | MDD usage is checked as part of a Participant's initial Entry Process and again following a major change to ensure that processes and systems for loading and using MDD can handle the changes as a result of P62. |
| D5 Can systems and processes support maintenance of LLFCs taking into consideration that there may be multiple LDSOs within a single GSP Group? (DAs only) | Data structures have changed and the management of LLFs needs to be reviewed. |
| D6 Can systems and processes support multiple LDSOs issuing UMS Certificates for the same GSP Group? | UMS Certificates are issued by LDSOs and cannot be assumed to belong to just one GSP Group. Management of UMS Certificates needs to be demonstrated. |
| D7 Is GSP Group stored at the appropriate level within the systems to support appropriate processing? | GSP Group can no longer be assumed. |
| D8 What is your process for checking that you are allowed | |

| Advance Evidence | Compliance Justification |
|---|---|
| to work with the other notified parties? | |

## 4.6 SMRS/LDSO Specific Questions

| Advance Evidence | Compliance Justification |
|---|---|
| E1 What is your process for assisting in the determination of appropriate MTCs? | Administration and selection of MTCs is more complicated and must be agreed with the supplier. |
| E2 How do you manage UMS Certificates? | UMS Certificates are issued by LDSOs and cannot be assumed to belong to just one GSP Group. |
| E3 What facilities are provided to assist suppliers with the determination of GSP Group? | This is a key change brought on by P62 and the mechanisms must be examined in detail. |
| E4 What processes are in place for identifying and resolving D0023 exceptions from a Data Aggregator? | Prompt attention to exceptions will improve the quality of data to settlement. |
| E5 What is the validation of LDSO notified changes to metering systems? | SMRS services can now be provided by completely separate organisations to the LDSO, so communications will need to be enhanced and formalised. |
| E6 What are the processes for notifying LDSOs of errors in notified changes? | |
| E7 What validation of supplier notified changes to metering systems is carried out? | The scope for inappropriate supplier notified changes has increased significantly with an increased risk to settlement. |
| E8 What are the processes for notifying suppliers of errors in notified changes? | |
| E9 What are the processes for notifying DAs of the LLFCs for each GSP Group? | Administration and selection of LLFCs is more complicated. |

# 5. ON SITE COMPLIANCE INSPECTION TESTS

## 5.1 Background

For the onsite Compliance Inspection tests, evidence must be provided or demonstrated directly to the EPC witness so that it can be checked in the context of a working environment. The tests are structured by market event to provide context. Each test in the table below may constitute a number of steps or flows.

Many of the inspection elements listed in the tables below are specifically tested as part of the Entry Process ability tests and therefore a cross reference has been made to the relevant Entry Process script in the final column of each table.

When a Participant is undertaking full Entry Processes and executing ability tests the evidence from those tests will address many of the on site Compliance Inspection tests requirements.

Where a Participant is not undertaking full Entry Processes, evidence will need to be provided specifically for each item.

The evidence presented by the Participant may comprise local working instructions, business processes, details of in-house testing undertaken, demonstration to the witness and results from specific tests undertaken to demonstrate compliance.

Note, references to 'a new LDSO Network' means an LDSO which is not a former PES i.e. MPAN prefix is greater than 23 while 'a former PES LDSO in another GSP Group' has a prefix of 10 to 23 but does not equal the historical GSP Group for that prefix.

Any further clarifications required can be obtained from the Entry Process Co-ordinator.

## 5.2 NHH Supplier

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHH-SUPP.1 | The supplier is required to identify the GSP Group of MPANs for a new connection:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 |
| NHH-SUPP.2 | The supplier is required to select appropriate agents and contract terms for the GSP Group, LDSO and supply type for new connections:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 |
| NHH-SUPP.3 | Receive and resolve a D0261 rejected appointment with rejection code 'Z' from an agent on a new connection. | 3D07 with additional steps |
| NHH-SUPP.4 | Determine appropriate settlement configuration for new connections:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 |
| NHH-SUPP.5 | Identify the GSP for an MPAN:<br>• in a new LDSO and<br>• for a former PES LDSO in another GSP Group area on change of supplier. | 3D60 |
| NHH-SUPP.6 | Select appropriate agents and contract terms for GSP Group, LDSO and supply type on change of supplier for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D60 |
| NHH-SUPP.7 | Receive and resolve a D0261 rejected appointment due to incorrect GSP Group from an agent on a change of supplier. | 3D60 with additional steps |

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHH-SUPP.8 | Determine appropriate settlement configuration on change of supplier for MPANs:<br>• in both a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D60 |
| NHH-SUPP.9 | Identify the first use of an NHHDC in a GSP Group and notify SVAA & PAA.<br>This test requires meters for the NHHDC as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above.<br>(Standing Data Changes must be by GSP group not by LDSO). | 3D68 |
| NHH-SUPP.10 | Identify end of use of an NHHDC in a GSP Group and notify SVAA & PAA for MPANs for 2 different LDSOs in the same GSP group. | 3D68 |
| NHH-SUPP.11 | Identify the first use of an NHHDA in a GSP Group and notify SVAA.<br>This test requires meters for the NHHDA as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above.<br>(Standing Data Changes must be by GSP group not by LDSO). | 3D68 |
| NHH-SUPP.12 | Identify end of use of an NHHDA in a GSP Group and notify SVAA for MPANs for 2 different LDSOs in the same GSP group. | 3D68 |
| NHH-SUPP.13 | Identify entry to a GSP Group as a supplier and notify SVAA. This test requires meters for the Supplier as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above. | 3D68 |
| NHH-SUPP.14 | Identify exit from a GSP Group as a supplier and notify SVAA for MPANs for 2 different LDSOs in the same GSP group. | 3D68 |
| NHH-SUPP.15 | Receive a D0095 E10 exception – identify cause and resolve. | 3D82 |
| NHH-SUPP.16 | Identify, instruct agents and change the SSC and associated TPR and MTC of an existing metering system for MPANs in a new LDSO Network and for a former PES LDSO in another GSP Group. | 3D90 |
| NHH-SUPP.17 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from P62 showing loading P62 specific MDD, operation of systems containing P62 specific MDD and use of P62 specific data within those systems. | PD52 |
| NHH-SUPP.18 | Interface Test with LDSO (both directions). | I/F test |
| NHH-SUPP.19 | The D0041 supports multiple distribution businesses in the same GSP Group. Does the supplier use the D0041 for internal reconciliation purposes and if so can they cope with multiple DB entries for each GSP Group. | Receipt of D0041 |
| NHH-SUPP.20 | The D0082 supports multiple distribution businesses in the same GSP Group. Does the supplier use the D0082 for internal reconciliation purposes and if so can they cope with multiple DB entries for each GSP Group. | Receipt of D0082 |
| NHH-SUPP.21 | The D0030 supports multiple distribution businesses in the same GSP Group. Does the supplier use the D0030 for internal reconciliation purposes and if so can they cope with multiple DB entries for each GSP Group. | Receipt of the D0030 with multiple GSP Groups and LDSOs |
| NHH-SUPP.22 | Can a supplier reconcile the data in the D0296 data flow against its other sources? | D0296 |

## 5.3 NHH Data Collector

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHHDC.1 | Receive appointment for new connection, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 |
| NHHDC.2 | Receive appointment for new connection and reject due to inappropriate GSP Group. | 3D07 with additional steps |
| NHHDC.3 | Receive appointment for existing metering system on change of supplier and all agents, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D60 |
| NHHDC.4 | Receive appointment for an existing metering system on change of supplier and all agents and reject due to inappropriate GSP Group. | 3D60 with additional steps |
| NHHDC.5 | Receive appointment for and existing metering system on change of NHHDC, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D59 |
| NHHDC.6 | Receive appointment for an existing metering system on change of NHHDC and reject due to inappropriate GSP Group. | 3D59 with additional steps |
| NHHDC.7 | Accept appointment to an existing metering system, identify insufficient DPC data and obtain missing data for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D68 |
| NHHDC.8 | Resolve D0095 E10 exception notified by supplier<br>e.g. change GSP Group on file and resubmit D0019. | 3D82 |
| NHHDC.9 | Handle emergency de-energisation by LDSO notification and final reading for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D61 |
| NHHDC.10 | Receive notice of and validate changed SSC and associated TPR and MTC for an existing MPAN and apply, managing final and initial readings. This test should be undertaken for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D90 |
| NHHDC.11 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO. | 3D60 with additional steps |
| NHHDC.12 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |
| NHHDC.13 | Demonstrate numerical accuracy in processing of meter readings and production of EAC/AAs. | 1D01 |

## 5.4 NHH Data Aggregator

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHHDA.1 | Receive D0209 appointments for new connections, validate GSP Group and settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 with additional steps |
| NHHDA.2 | Receive D0153 appointments for new connections and accept for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D07 |
| NHHDA.3 | Detect a D0095 E10 exception and route to appropriate supplier. | 3D82 |
| NHHDA.4 | Receive revised D0019 resolving D0095 E10 exception restating the GSP Group. | 3D82 |
| NHHDA.5 | Demonstrate support for multiple LDSOs within a GSP Group. | 1D01 |
| NHHDA.6 | Demonstrate support for multiple LDSOs within a GSP Group causing repeating LLFC Ids. | 1D01 |
| NHHDA.7 | Demonstrate support for former Scottish LDSO prefixes within an England and Wales GSP Group. | none |
| NHHDA.8 | Demonstrate support for the production of D0041s for multiple settlement agencies assuming a mix of meters and agents in Scotland and E&W i.e. the same agents in both settlement areas (until BETTA Go Live). | none |
| NHHDA.9 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO. | none |
| NHHDA.10 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading of multiple LDSOs per GSP group within MDD, operation of systems containing this specific MDD and the use of this data within those systems. | PD52 |
| NHHDA.11 | Demonstrate the provision of summary information of D0095 exceptions raised in the reporting month to PAA (PARMS SH03) | none |

## 5.5 NHH Meter Operator

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHHMO.1 | Receive appointments for a new connection, check GSP Group, validate settlement configuration and accept appointment for MPANs in a new LDSO Network and for a former PES LDSO in another GSP Group. | 3D07 |
| NHHMO.2 | Receive appointment for new connection and reject due to inappropriate GSP Group. | 3D07 with additional steps |
| NHHMO.3 | Receive appointments for existing metering systems on change of supplier and all agents, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D60 |
| NHHMO.4 | Receive appointment for an existing metering system on change of supplier and all agents and reject due to inappropriate GSP Group. | 3D60 with additional steps |
| NHHMO.5 | Receive appointments for existing metering systems on change of NHHMO, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 3D59 |

| Test Id | Inspection Element | Reference |
|---|---|---|
| NHHMO.6 | Receive appointment for an existing metering system on change of NHHMO and reject due to inappropriate GSP Group. | 3D59 with additional steps |
| NHHMO.7 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO. | none |
| NHHMO.8 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |

## 5.6 HH Supplier

| Test Id | Inspection Element | Reference |
|---|---|---|
| HH-SUPP.1 | The supplier is required to identify the GSP Group of MPANs for a new connection:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 4D05 |
| HH-SUPP.2 | Select appropriate agents and contract terms for GSP Group and supply type for a new connection for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group. | 4D05 |
| HH-SUPP.3 | Receive and resolve a D0261 rejected appointment with rejection code 'Z' from an agent on a new connection | 4D05 with additional steps |
| HH-SUPP.4 | Determine appropriate settlement configuration for a new connection for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D05 |
| HH-SUPP.5 | Identify the GSP of an MPAN on change of supplier for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 |
| HH-SUPP.6 | Select appropriate agents and contract terms for GSP Group and supply type on change of supplier for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 |
| HH-SUPP.7 | Receive and resolve a D0261 rejected appointment from an agent on a change of supplier | 4D02 with additional steps |
| HH-SUPP.8 | Determine appropriate settlement configuration on change of supplier for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 with additional steps or 4D05 |
| HH-SUPP.9 | Identify the first use of an HHDC in a GSP Group and notify SVAA & PAA. This test requires meters for the HHDC as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above.<br>(Standing Data Changes) | 4D68 |
| HH-SUPP.10 | Identify end of use of an HHDC in a GSP Group and notify SVAA & PAA for MPANs for 2 different LDSOs in the same GSP group. | 4D68 |
| HH-SUPP.11 | Identify the first use of an HHDA in a GSP Group and notify SVAA This test requires meters for the HHDA as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above. | 4D68 |
| HH-SUPP.12 | Identify end of use of an HHDA in a GSP Group and notify SVAA for MPANs for 2 different LDSOs in the same GSP group. | 4D68 |

| Test Id | Inspection Element | Reference |
|---|---|---|
| HH-SUPP.13 | Identify entry to a GSP Group as a supplier and notify SVAA. This test requires meters for the HHDC as follows:<br>a) at least 2 MPANs for a new LDSO in two different GSP Groups and<br>b) at least 1 MPAN for a former PES LDSO trading out of their original area in one of the GSP groups in (a) above. | 4D68 |
| HH-SUPP.14 | Identify exit from a GSP Group as a supplier and notify SVAA for MPANs for 2 different LDSOs in the same GSP group. | 4D68 |
| HH-SUPP.15 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |
| HH-SUPP.16 | Interface Test with LDSO (both directions) | I/F test |

## 5.7 HH Data Collector

| Test Id | Inspection Element | Reference |
|---|---|---|
| HHDC.1 | Receive appointment for new connection, check GSP Group, confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D05 |
| HHDC.2 | Receive appointment for new connection and reject due to inappropriate GSP Group | 4D05 with additional steps |
| HHDC.3 | Receive appointment for and existing metering system on change of supplier and all agents, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 |
| HHDC.4 | Receive appointment for an existing metering system on change of supplier and all agents and reject due to inappropriate GSP Group | 4D02 with additional steps |
| HHDC.5 | Receive appointment for an existing metering system on change of HHDC, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D03 |
| HHDC.6 | Receive appointment for an existing metering system on change of HHDC and reject due to inappropriate GSP Group | 4D03 with additional steps |
| HHDC.7 | Accept appointment to an existing metering system, identify insufficient PPC data for estimation purposes and obtain missing data for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 with additional steps |
| HHDC.8 | Manage emergency de-energisation by LDSO notification and final reading for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | none |
| HHDC.9 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO | none |
| HHDC.10 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |
| HHDC.11 | Demonstrate numerical accuracy in processing of meter readings and production of validated HH advances | 2D01 |

| Test Id | Inspection Element | Reference |
|---|---|---|
| HHDC.12 | Demonstrate the data collation and report production mechanism for the monthly D0008 Overdue MAR report | none |

## 5.8 HH Data Aggregator

| Test Id | Inspection Element | Reference |
|---|---|---|
| HHDA.1 | Receive D0209 appointment for new connection, validate GSP Group and settlement configuration and accept appointment:<br>• for a new LDSO, and<br>• for a former PES LDSO in another GSP Group | 4D05 with additional steps |
| HHDA.2 | Receive D0153 appointment for new connection in a new LDSO and accept for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 |
| HHDA.3 | Demonstrate support for multiple LDSOs within a GSP Group | 2D01 |
| HHDA.4 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO | none |
| HHDA.5 | Demonstrate loading and use of LLF and LLFCs for multiple LDSOs for a given GSP Group | 4D14 |
| HHDA.6 | Demonstrate approach to metering systems from multiple LDSOs in the same BM Unit | 4D05 with additional steps |
| HHDA.7 | Demonstrate controls to prevent MPANs within a BM Unit spanning GSP Groups | 4D05 with additional steps |
| HHDA.8 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |
| HHDA.9 | Demonstrate support for the production of D0040/D0298 for multiple settlement agencies for a mix of meters and agents in Scotland and E&W i.e. the same agents in both settlement areas (until BETTA Go Live) | none |

## 5.9 HH Meter Operator

| Test Id | Inspection Element | Reference |
|---|---|---|
| HHMO.1 | Receive appointment for a new connection, check GSP Group, validate settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D05 |
| HHMO.2 | Receive appointment for new connection and reject due to inappropriate GSP Group | 4D05 with additional steps |
| HHMO.3 | Receive appointment for an existing metering system on change of supplier and all agents, identify GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D02 |
| HHMO.4 | Receive appointment for an existing metering system on change of supplier and all agents and reject due to inappropriate GSP Group | 4D02 with additional steps |
| HHMO.5 | Receive appointment for an existing metering system on change of HHMO, check GSP Group and confirm settlement configuration and accept appointment for MPANs:<br>• in a new LDSO Network and<br>• for a former PES LDSO in another GSP Group | 4D13 |
| HHMO.6 | Receive appointment for an existing metering system on change of HHMO and reject due to inappropriate GSP Group | 4D13 with additional steps |
| HHMO.7 | Detect and resolve appointment to unapproved combination of Supplier/Agent/LDSO | None |

| Test Id | Inspection Element | Reference |
|---|---|---|
| HHMO.8 | Maintenance and use of Market Domain Data with specific reference to the changes resulting from the introduction of new LDSOs showing loading MDD, operation of systems containing multiple LDSOs per GSP group within MDD and the use of this specific data within those systems. | PD52 |

## 5.10 SMRS/LDSO

Both new and existing SMRSs/LDSOs are required to run ability tests as defined in BSCPs 511 and 512.

The test interfaces between the LDSO and SMRS are defined on the SMRA Entry Process application form. A copy of each applicable interface flow between the LDSO and SMRS systems should be provided and checked as part of the on site Compliance Inspection visit.

| Ref | Description | From | To |
|---|---|---|---|
| L1 | Skeleton Metering Point Details | LDSO | SMRS |
| L2 | Confirmation of Skeleton Registration Details | SMRS | LDSO |
| L3 | Rejection of Metering Point Skeleton Details | SMRS | LDSO |
| L4 | Changes to Metering Point Details | LDSO | SMRS |
| L5 | Confirmation of Registration Details Changes | SMRS | LDSO |
| L6 | Rejection of Metering Point Detail Changes | SMRS | LDSO |
| L7 | Notification of Disconnection of Metering Point | LDSO | SMRS |
| L8 | Confirmation of Metering Point Disconnection | SMRS | LDSO |
| L9 | Rejection of Metering Point Disconnection | SMRS | LDSO |
| L10 | Notification of Supplier Provided Registration Details | SMRS | LDSO |
| L11 | Notification of Current Registration Details For Old Supplier | SMRS | LDSO |
| L12 | Notification of Cancellation of Current Registration Details For Old Supplier | SMRS | LDSO |
| L13 | Notification of Future Registration Details For Old Supplier | SMRS | LDSO |
| L14 | Notification of Cancellation of Future Registration Details For Old Supplier | SMRS | LDSO |
| L15 | Notification of Future Registration Details For New Supplier | SMRS | LDSO |
| L16 | Notification of Cancellation of Future Registration Details For New Supplier | SMRS | LDSO |
| L17 | Refresh of Metering Points for LDSO | SMRS | LDSO |
| L18 | File Summary | SMRS | LDSO |
| L19 | Notification of Change of Settlement Liability for Metering System (CoS) | SMRS | LDSO |
| | **Other Interfaces (as per BSCP511 form):** | | |
| | | | |

# 6. "WHAT IF" SCENARIOS

The final element of the Compliance Inspection is the 'What If' scenarios where Participants are required to detail how they will address specified problems or issues and provide any necessary supporting evidence. These scenarios are described in the tables below.

Not all of the situations described will be pertinent to every Participant. For example, a supplier might require all of its agents to be P62 compliant and therefore the question relating to agents only wishing to work in one GSP Group with one Distribution Business will not be pertinent. This should be recorded as 'not applicable due to business practice'.

Participants will also be required to demonstrate that they can successfully cope with the extra data that they are likely to receive in certain flows. Whilst the data item content has not changed, they may now receive multiple records per GSP Group.

## 6.1 "What if" Scenarios

| Test Id | Scenario | Context | Who |
|---|---|---|---|
| W.1 | Avoidance of invalid hubs | A supplier wishes to use different agents in a GSP Group that they already operate in or wishes to operate in a new GSP Group. How do they ascertain whether the proposed agents are P62 compliant and the supplier hubs approved? | Supplier |
| W.2 | Avoidance of invalid hubs: negative compliance | A supplier's agent does not want to work with new distribution businesses only with the incumbent distribution business. How does a supplier manage this? | Supplier |
| W.3 | HH Supplier: production of D0297 | When determining the appropriate BM unit for an MPAN – how will the supplier control different LDSO metering systems in the same BM unit? Cannot assume the first two digits of the MPAN indicate the GSP Group. | HH Supplier |
| W.4 | HH Supplier: receipt of D0295 | How does the supplier deal with a rejection of a BM unit allocation? | HH Supplier |
| W.5 | Supplier receipt of D0242 | How will the supplier be able to handle the D0242 for each LDSO and GSP Group combination? | Supplier |
| W.6 | 'English' prefixed MPAN in Scottish BSP Group (Bulk Supply Point Group) | An existing LDSO or a new LDSO establishes meters in Scotland. On CoS, systems and controls must be in place to prevent the meter getting through to English settlement until BETTA Go live. If necessary raise the appropriate Exception (DA). | Supplier, NHHDC, NHHDA, MO, HHDC, HHDA |
| W.7 | 'Scottish' prefixed MPAN in E&W | A Scottish LDSO establishes meters in E&W. The supplier/agent must be able to accept these meters for GSP Groups that they are qualified in.<br>The supplier/agent must not accept meters for GSP Groups that they are not qualified in. If necessary raise the appropriate Exception (DA). | Supplier, NHHDC, NHHDA, MO, HHDC, HHDA |
| W.8 | Post BETTA transfer of 'Scottish' MPANs to GB BSC Settlement systems | What process is in place for transferring MPANs in Scottish BSP Groups from IARA to SVAA post BETTA Go live? How will reconciliation runs be managed for days where the initial settlement was carried out by IARA? | Supplier, NHHDA, HHDA. |

# APPENDICES

## APPENDIX A. Abbreviations and Terms Used

| | |
|---|---|
| Action ID: | A code that uniquely identifies a script action in the format: 'agent.n', where 'agent' is an abbreviation or acronym for the Agent involved, 'n' is a sequence number within agent. The same agent acronym is used in the corresponding swim lane heading and the sequence numbers are then displayed in the appropriate action boxes. A prefix of 'O-' for Old and 'N-' for New is used for actions and swim lane headings involving two instances of an agent. Sequence numbers for actions in the Volume Allocation process are prefixed with 'S'. Sequence numbers for actions in the Reconciliation Volume Allocation process are prefixed with 'R'. Volume Allocation and Reconciliation Volume Allocation actions will also be prefixed by 'D' or 'E' where they are to be carried out in respect of Day 'D' or Day 'E'. |
| AA | Annualised Advance |
| BM | Balancing Mechanism |
| BSC | Balancing and Settlement Code |
| BSCP | Balancing and Settlement Code Procedure |
| BSP | Bulk Supply Point – the equivalent of a GSP Group in Scotland |
| Compliance | The status achieved by a Participant when all requirements of this TA Change Compliance script have been satisfied |
| CoS | Change of Supplier |
| DA | Data Aggregator |
| DC | Data Collector |
| DPC | Daily Profile Coefficient |
| DTC | Data Transfer Catalogue |
| 'Dnnnn:' | Refers to the DTC data flow number and name that are detailed in Sections 4-6 of this script. |
| EAC | Estimated Annual Consumption |
| EP | Entry Process |
| EPC | Entry Process Co-ordinator |
| E&W | England and Wales |
| GSP | Grid Supply Point |
| HH | Half Hourly |
| LDSO | Licensed Distribution System Operator |
| LLFC | Line Loss Factor Class |
| LWI | Local Working Instruction |
| Market Entrant | An organisation seeking approval to the Trading Arrangements for the first time |

| | |
|---|---|
| Market Participant | An organisation that is currently approved for operation in the Trading Arrangements |
| MDD | Market Domain Data |
| MOP | Meter Operator |
| MPAN | Metering Point Administration Number |
| MPID | Market Participant ID |
| MTC | Meter Timeswitch Code |
| NHH | Non Half Hourly |
| PAA | Performance Assurance Administrator |
| PAB | Performance Assurance Board |
| Participant | The organisation (Supplier, LDSO, Supplier Agent or SMRS) undertaking Entry Processes |
| PES | Public Electricity Supplier |
| SMRA | Supplier Meter Registration Agent |
| SMRS | Supplier Meter Registration Service |
| Solution | The combination of IT and manual systems, business processes and local working instructions that are used together by the Participant to satisfy the requirements of the Trading Arrangements |
| SSC | Standard Settlement Configuration |
| SVA | Supplier Volume Allocation |
| SVAA | Supplier Volume Allocation Agent |
| TA | Trading Arrangements |
| TPR | Time Pattern Regime |
| Trading Arrangements | The Wholesale electricity trading arrangements introduced in England and Wales in 2001, designed to provide greater competition, while maintaining a secure and reliable electricity system. They are based on bilateral trading between generators, suppliers, traders and customers and are defined in the Balancing and Settlement Code |
| TSC | Time Switch Class |
| UMS | Unmetered Supply |
| 1D01, 2D02 | Entry Process scripts to prove Arithmetic Accuracy |
| 3Dnn, 4Dnn | Entry Process scripts to prove Participant Business Processes, where nn is a two digit number |

## APPENDIX B. Related Documents

| | |
|---|---|
| Reference 1 | BSCP501: BSC Procedure – Supplier Meter Registration Service |
| Reference 2 | BSCP504: BSC Procedure - Non Half Hour Data Collection for SVA Metering Systems Registered in SMRS |
| Reference 3 | BSCP505: BSC Procedure - Non Half Hour Data Aggregation for SVA Metering Systems Registered in SMRS |
| Reference 4 | BSCP507: BSC Procedure – Supplier Volume Allocation Standing Data Changes |
| Reference 5 | BSCP508: BSC Procedure - Supplier Volume Allocation Agent |
| Reference 6 | BSCP511: BSC Procedure – Supplier Meter Registration Service |
| Reference 7 | BSCP512: BSC Procedure – Supplier |
| Reference 8 | BSCP514: BSC Procedure – SVA Meter Operations for Metering Systems Registered in SMRS |
| Reference 9 | BSCP515: BSC Procedure – Licensed Distribution |
| Reference 10 | Party Service Line PSL110 for SVA Meter Operation |
| Reference 11 | Party Service Line PSL120 for Non Half Hour Data Collector |
| Reference 12 | Party Service Line PSL140 for Non Half Hour Data Aggregation |
| Reference 13 | Party Service Line PSL160 for Supplier Meter Registration Service |
| Reference 14 | SVAA Service Line SSL300 for the SVA Agent - Supplier Volume Allocation |
| Reference 15 | SVAA Service Line SSL310 for the SVA Agent - Daily Profile Production |
| Reference 16 | SVAA Service Line SSL360 for the SVA Agent - Market Domain Data Management |
| Reference 17 | Data Transfer Catalogue |
| Reference 18 | SVA Data Catalogue |
| Reference 19 | NHH Entry Process Execution Specification (3D00v1.0.DOC), NHH Entry Process Data Set Up Specification (3DDSv1.0.DOC) and NHH Entry Process Set Up Data (3DSSv1.0.XLS) |