

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0001	Supplier Hub Management for Meter Reading Acquisition	The risk that Suppliers do not notify change of MOA to other associated agents resulting in the HHDCs rejecting updated Meter Technical Details and Meter readings being misinterpreted or not collected.		9	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	PM	Mandatory	SP13, SP15 - The Serials measure the performance of the Suppliers. The HHDC (SP13 and SP15) and HHMOA (SP15) submit these Serials	01/07/2011	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	PM	Mandatory	SP13, SP15 - The Serials measure the performance of the Suppliers. The HHDC (SP13 and SP15) and HHMOA (SP15) submit these Serials	01/07/2011	-	Y		Approved

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HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0002	Supplier Hub Management for Meter Reading Acquisition		The risk that Suppliers do not appoint NHHDCs resulting in default data being entered into Settlement.		6	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		PM	Mandatory	SP11 - The Serial measures the performance of the Suppliers, the NHHDC and NHHMOA submit SP11.	01/07/2011	-	Y		Approved		

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	PC	Standard	SP11 - The Serial measures the performance of the Suppliers, the NHHDC and NHHMOA submit SP11.	01/07/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	SP11 - The Serial measures the performance of the Suppliers, the NHHDC and NHHMOA submit SP11.	01/07/2011	-	Y		Approved
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SR0003	Supplier Hub Management for Meter Reading Acquisition	The risk that Suppliers do not appoint HHDCs resulting in default data being entered into Settlement.		4	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
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NHH Data Collector		PM	Mandatory	SP13, SP15 - The Serials measure the performance of the Suppliers, the NHHDC (SP13 and SP15) and NHHMOA (SP15) submits these Serials.	01/07/2011	-	Y		Approved		

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NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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SR0005	Supplier Hub Management for Meter Reading Acquisition	The risk that Suppliers do not appoint HHMOAs resulting in the inability to maintain Metering Systems and associated technical details and may result in default data being entered into Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
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Performance Assurance Technique Deployment								
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NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	PC	Standard	SP11 - The Serial measures the performance of the Suppliers, the NHHDC and NHHMOA submit SP11.	01/07/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	SP11 - The Serial measures the performance of the Suppliers, the NHHDC and NHHMOA submit SP11.	01/07/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0007	Supplier Hub Management for Meter Reading Acquisition		The risk that Suppliers do not successfully de-appoint NHHDCs resulting in more than one NHHDC collecting consumption data for the same Metering System.		1	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
NHH Data Collector		CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.		01/04/2010	-	Y		Approved	
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0008	Supplier Hub Management for Meter Reading Acquisition		The risk that Suppliers do not successfully de-appoint HHDCs resulting in more than one HHDC collecting consumption data for the same Metering System.		1	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		



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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0009	Supplier Hub Management for Derivation of Energy Volumes		The risk that no Meter Administrators are appointed resulting in HHDCs having to send estimated data to HHDA's.		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0010	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that NHH Party Agents do not send specified information to Suppliers resulting in Suppliers not managing the Supplier Hub effectively.		9	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved



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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to		App	Proposed ETD
SR0011	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that HH Party Agents do not send specified information to Suppliers resulting in Suppliers not managing the Supplier Hub effectively.		6	01/04/2010	01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0012	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that deappointment of HHDAs is not successful resulting in over counting of energy in Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0013	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that NHHDA's are not appointed to consuming Metering Systems resulting in no data being entered into Settlement or energy being attributed to the wrong Suppliers.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0014	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that HHDAs are not appointed to consuming Metering Systems resulting in no data being entered into Settlement or energy being attributed to the wrong Suppliers.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0015	Supplier Hub Management for Allocation of HH Energy Volumes to Trading Parties	The risk that deappointments of NHHDA's are not successful resulting in over counting of energy in Settlement.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved



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Supplier Meter Registration Agent	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description	Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0016	Management of Registration Data for Derivation of Energy Volumes	The risk that registration transfers between CMRS and SMRS fail resulting in energy being lost or double counted in Settlement.	3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved		Sector	Half Hourly		
Performance Assurance Technique Deployment							

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Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0017	Management of Registration Data for Allocation of HH Energy Volumes to Trading Parties	The risk that registrations for consuming NHH Metering Systems are not completed in SMRS resulting in no data being entered into Settlement for the energised Metering Systems.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0018	Management of Registration Data for Allocation of HH Energy Volumes to Trading Parties	The risk that registrations for consuming HH Metering Systems are not completed in SMRS resulting in no data being entered into Settlement for the energised Metering Systems.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0019	Management of Registration Data for Allocation of HH Energy Volumes to Trading Parties	The risk that SMRAs fail to notify NHHDCs of change of NHHDC resulting in old/default data being used in Settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0020	Management of Registration Data for Allocation of HH Energy Volumes to Trading Parties	The risk that SMRAs fail to notify HHDA's of change of HHDC resulting in old/default data being used in Settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved

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Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0021	Management of Registration Data for Allocation of HH Energy Volumes to Trading Parties		The risk that Additional BMUs are registered at CRA and SVAA and subject to contract notifications, but are not set up correctly at HHDA before Gate Closure resulting in HH data for Metering System's associated with those Additional BMU being allocated to the Base BMU and the potential for erroneous imbalance charges and/or non-delivery charges.		2	29/07/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		29/07/2010	-	Y		Approved	
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		29/07/2010	-	Y		Approved	
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		29/07/2010	-	Y		Approved	

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0022	Management of Metering System Data for Meter Reading Acquisition	The risk that HHMOAs do not provide correct Meter Technical Details to the HHDCs resulting in Meter readings being misinterpreted or not collected.		20	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Data Collector	PM	Mandatory	HM13 measures the performance of the MOA for quality of MTDs. The HHDC submits this Serial.	01/04/2012	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.  TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.	01/04/2012	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved

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HH Meter Operator	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	01/04/2012	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Meter Operator	PM	Mandatory	HM13 measures the performance of the MOA for quality of MTDs. The HHDC submits this Serial.	01/04/2012	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved

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HH Meter Operator	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	01/04/2012	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Supplier	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	01/04/2012	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Supplier	PC	Standard	HM13 measures the performance of the MOA for quality of MTDs. The HHDC submits this Serial.	01/04/2012	-	Y		Approved
HH Supplier	PM	Mandatory	HM13 measures the performance of the MOA for quality of MTDs. The HHDC submits this Serial.	01/04/2012	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0023	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs change the energisation status of Metering Systems and do not notify the Suppliers/NHHMOAs resulting in energy being overstated/understated in Settlement.		7	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	MEM	Standard	Identified as a contributing class of PAP (MEM applied as a secondary benefit of application in relation to SR0026)	01/04/2010	-	Y		Approved

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NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	MEM	Standard	Included because this class of PAP provides data for monitoring purposes (MEM applied as a secondary benefit of application in relation to SR0026)	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	MEM	Standard	The NHH Supplier is responsible for activities of agents therefore performance is subject to review and is also involved in the monitoring process (MEM applied as a secondary benefit of application in relation to SR0026)	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0024	Management of Metering System Data for Meter Reading Acquisition		The risk that NHHMOAs do not provide Meter Technical Details to the correct NHHDCs resulting in Meter readings not being collected.		12	23/08/2012		01/01/4000		Y	
Workflow Status			Approved			Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD		Workflow Status	
NHH Meter Operator		BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	23/08/2012	-	Y			Approved	
NHH Supplier		BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	23/08/2012	-	Y			Approved	

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0025	Management of Metering System Data for Meter Reading Acquisition	The risk that HHMOAs do not provide Meter Technical Details to the correct HHDCs resulting in Meter readings not being collected.		12	29/07/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved

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HH Data Collector	PM	Mandatory	HM11 measures timeliness and HM12 covers where MTDs are not sent at all. The Serials measure the performance of the Supplier and the MOA, the HHDC (HM11 and HM12) and HHMOA (HM12) submit these Serials. As HM11 relates to Meter changes where there is no associated Change of Agent, it can only be included as a secondary measure.	01/07/2011	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.  TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.	29/07/2010	-	Y		Approved

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HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Meter Operator	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	29/07/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
HH Meter Operator	PM	Mandatory	HM11 measures timeliness and HM12 covers where MTDs are not sent at all. The Serials measure the performance of the Supplier and the MOA, the HHDC (HM11 and HM12) and HHMOA (HM12) submit these Serials. As HM11 relates to Meter changes where there is no associated Change of Agent, it can only be included as a secondary measure.	01/07/2011	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved

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HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	29/07/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Supplier	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	29/07/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
HH Supplier	PC	Standard	HM11 measures timeliness and HM12 covers where MTDs are not sent at all. The Serials measure the performance of the Supplier and the MOA, the HHDC (HM11 and HM12) and HHMOA (HM12) submit these Serials. As HM11 relates to Meter changes where there is no associated Change of Agent, it can only be included as a secondary measure.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	HM11 measures timeliness and HM12 covers where MTDs are not sent at all. The Serials measure the performance of the Supplier and the MOA, the HHDC (HM11 and HM12) and HHMOA (HM12) submit these Serials. As HM11 relates to Meter changes where there is no associated Change of Agent, it can only be included as a secondary measure.	01/07/2011	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.  The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved



# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0026	Management of Metering System Data for Meter Reading Acquisition	The risk that NHHMOAs change energisation status of Metering Systems and do not notify the Suppliers/NHHDCs resulting in energy being overstated/ understated in Settlement.		10	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	MEM	Standard	Included because this class of PAP provides data for monitoring purposes.	01/04/2010	-	Y		Approved

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NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	MEM	Standard	The NHH Supplier is responsible for the activities of its agents therefore performance is subject to review and is also involved in monitoring process.	01/04/2010	-	Y		Approved
NHH Supplier	PC	Standard	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs).	01/04/2010	-	Y		Approved
NHH Supplier	PM	Mandatory	SP07 counts difference in MSIDs between SVAA and SMRA (SMRA counts both e and de MSIDs) but only indicative.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	PM	Mandatory	SP07 counts difference in MSIDs between SVAA and SMRA (SMRA counts both e and de MSIDs) but only indicative.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0028	Management of Metering System Data for Meter Reading Acquisition		The risk that HHMOAs make changes to the Metering System and do not inform the HHDCs resulting in Meter readings being misinterpreted or not collected.		12	01/04/2010		01/01/4000		Y	
Workflow Status			Approved			Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Data Collector		PM	Mandatory	HM11 measures timeliness in sending MTDs following a change to or of the Metering System. The Serial measures the performance of the Supplier and the MOA, the HHDC submits this Serial.		01/07/2011	-	Y		Approved	

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HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Meter Operator	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	PM	Mandatory	HM11 measures timeliness in sending MTDs following a change to or of the Metering System. The Serial measures the performance of the Supplier and the MOA, the HHDC submits this Serial.	01/07/2011	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved



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HH Meter Operator	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	01/04/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	PC	Standard	HM11 measures timeliness in sending MTDs following a change to or of the Metering System. The Serial measures the performance of the Supplier and the MOA, the HHDC submits this Serial.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	HM11 measures timeliness in sending MTDs following a change to or of the Metering System. The Serial measures the performance of the Supplier and the MOA, the HHDC submits this Serial.	01/07/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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# Risk Operating Plan



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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0029	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs make changes to Metering Systems and do not inform the NHHMOAs resulting in Meter readings being misinterpreted or not collected.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Meter Operator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0031	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs change energisation status of Metering Systems and do not notify Suppliers/HHMOAs resulting in energy being overstated or understated in Settlement.		5	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0032	Management of Metering System Data for Meter Reading Acquisition	The risk that HHDCs do not process Complex Site Supplementary Information correctly resulting in erroneous data entering Settlement.		8	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Non-Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Meter Operator	BSCA	Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

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HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Non-Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0033	Management of Metering System Data for Meter Reading Acquisition	The risk that old NHHMOAs do not send Meter Technical Details to new NHHMOAs resulting in new NHHMOAs not having the Meter Technical Details for the Metering Systems to send on or use as required.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	PM	Mandatory	NM12 - The Serial measures the performance of the NHHMOA. The NHHDC and NHHMOA submit this Serial.	01/07/2011	-	Y		Approved

# Risk Operating Plan



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NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved



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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	PC	Standard	NM12 - The Serial measures the performance of the NHHMOA. The NHHDC and NHHMOA submit this Serial.	01/07/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	NM12 - The Serial measures the performance of the NHHMOA. The NHHDC and NHHMOA submit this Serial.	01/07/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0034	Management of Metering System Data for Meter Reading Acquisition	The risk that old HHMOAs do not send Meter Technical Details to the new HHMOAs resulting in new HHMOAs not having the Meter Technical Details for the Metering Systems to send on or use as required.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	PM	Mandatory	HM12 - The Serial measures the performance of the HHMOA, the HHMOA and HHDC submits these Serials.	01/07/2011	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	PC	Standard	HM12 - The Serial measures the performance of the HHMOA, the HHMOA and HHDC submits these Serials.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	HM12 - The Serial measures the performance of the HHMOA, the HHMOA and HHDC submits these Serials.	01/07/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0035	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs do not send Site Technical Details to NHHMOAs resulting in Meter reading being misinterpreted or not collected.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

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NHH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0036	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs do not send Site Technical Details to HHMOAs resulting in Meter reading being misinterpreted or not collected.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on Half Hourly Meter Technical Details (MTDs) Accuracy: A targeted Technical Assurance check will be performed on HHMOAs and HHDCs as directed by the PAB with respect to this Settlement Risk. The scope of the check will encompass related Settlement Risks SR0022, SR0025, SR0034, SR0036, and SR0028.</p>	01/04/2010	-	Y		Approved

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.  LDSO owned Metering Equipment is subject to these audits as the equipment forms part of the Metering System.	01/04/2012	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0037	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs connect and energise supplies before HHMOAs have installed, commissioned and energised Metering Systems, resulting in energy not being accounted for in Settlement.		9	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved

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**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0038	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs fail to notify SMRAs of NHH disconnections resulting in consumption data for disconnected MSIDs being entered into Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status				Approved		Sector		Half Hourly
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	PC	Standard	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	PM	Mandatory	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0039	Management of Metering System Data for Meter Reading Acquisition		The risk that LDSOs fail to notify SMRAs of HH disconnections resulting in consumption data for disconnected MSIDs being entered into Settlement.		6	01/04/2010		01/01/4000		Y	
Workflow Status			Approved			Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Supplier		EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		

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HH Supplier	PC	Standard	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	PM	Mandatory	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	01/07/2011	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0041	Management of Metering System Data for Meter Reading Acquisition		The risk that HHMOAs change energisation status of Metering Systems and do not notify the Suppliers/HHDCs resulting in energy being overstated/ understated in Settlement.		5	02/11/2009		01/01/4000		Y	
Workflow Status			Approved			Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved		
HH Data Collector		TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	02/11/2009	-	Y		Approved		

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HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
HH Supplier	PC	Standard	SP07 counts the difference in MSIDs between the SVAA and SMRA (SMRA counts both energised and de-energised MSIDs). Included because this Serial is monitored against a risk with a higher net significance.	02/11/2009	-	Y		Approved
HH Supplier	PM	Mandatory	SP07 counts difference in MSIDs between SVAA and SMRA (SMRA counts both e and de MSIDs) but only indicative.	02/11/2009	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	PM	Mandatory	SP07 counts difference in MSIDs between SVAA and SMRA (SMRA counts both e and de MSIDs) but only indicative.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved

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Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0042	Management of Metering System Data for Meter Reading Acquisition	The risk that LDSOs connect and energise supplies before NHHMOAs have installed, commissioned and energised Metering System, resulting in energy not being accounted for in Settlement.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0043	Management of Metering System Data for Meter Reading Acquisition	The risk that NHHMOAs do not re-date Change of Measurement Class register readings and map them onto the appropriate Meter registers such that NHHMOAs cannot process the readings and forward them to NHHDCs, resulting in EACs for the Metering System being incorrect in Settlement.		1	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0044	Management of Metering System Data for Derivation of Energy Volumes		The risk that HHMOAs do not send accurate Complex Site Supplementary Information to HHDCs resulting in incorrect data being entered into Settlement.		8	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Published On:** 27 September 2012

HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved



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*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0045	Management of Metering System Data for Derivation of Energy Volumes		The risk that Suppliers incorrectly classify sites as Long Term Vacant resulting in incorrect energy being entered into Settlement.		9	29/07/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved		

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0046	Management of Metering System Data for Derivation of Energy Volumes		The risk that NHHDCs do not receive correct Metering System Settlement Details resulting in the use of old, default or erroneous EACs and/or energy being allocated to the wrong Settlement Periods.		7	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0047	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that on change of NHHDC, new NHHDCs do not receive required amount of historic NHH Metered Data/final Meter Reading resulting in new NHHDCs being unable to validate and process subsequent readings and hence the use of default or old data in Settlement.		10	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2012	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Data Collector	PM	Mandatory	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved



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NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2012	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Supplier	PC	Standard	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved
NHH Supplier	PM	Mandatory	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0047	Management of Metering System Data for Derivation of Energy Volumes	The risk that on change of NHHDC, new NHHDCs do not receive required amount of historic NHH Metered Data/final Meter Reading resulting in new NHHDCs being unable to validate and process subsequent readings and hence the use of default or old data in Settlement.		10	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2012	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Data Collector	PM	Mandatory	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved

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NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2012	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Supplier	PC	Standard	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved
NHH Supplier	PM	Mandatory	NC11. The Serial measures the performance of the Supplier and the NHHDC. The NHHDC submits this Serial.	01/04/2012	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0048	Management of Metering System Data for Derivation of Energy Volumes		The risk that New Line Loss Factors (for new Line Loss Factor Classes or a new period) are not processed by HHDAs resulting in a default value being used for Settlement.		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0049	Management of Metering System Data for Derivation of Energy Volumes		The risk that LDSOs do not provide valid LLFs for HH Metering Systems resulting in inaccurate data being entered into Settlement.		2	01/04/2011	01/01/4000	Y	
Workflow Status		Approved			Sector		Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
HH Supplier		EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
HH Supplier		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0050	Management of Metering System Data for Derivation of Energy Volumes		The risk that LDSOs do not provide valid LLFs for NHH Metering Systems resulting in inaccurate data being entered into Settlement.		2	01/04/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly			
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2011	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0051	Management of Metering System Data for Derivation of Energy Volumes		The risk that HHDCs do not provide valid Standing Data to the HHDAs resulting in old/default data being entered into Settlement.		6	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0052	Management of Metering System Data for Derivation of Energy Volumes		The risk that LDSOs fail to provide new/updated Line Loss Factors (for one or more Line Loss Factor classes) for NHH Metering Systems within the required timescales resulting in data being calculated using old/default LLFs.		4	01/04/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly			
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved

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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

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NHH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2011	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0053	Management of Metering System Data for Derivation of Energy Volumes		The risk that LDSOs fail to provide new/updated Line Loss Factors (for one or more Line Loss Factor classes) for HH Metering Systems within the required timescales resulting in data being calculated using old/default LLFs.		4	01/04/2011	01/01/4000	Y	
Workflow Status		Approved			Sector		Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
HH Supplier		EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
HH Supplier		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved

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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0054	Management of Metering System Data for Derivation of Energy Volumes		The risk that NHHDCs do not provide valid Standing Data to NHHDCAs resulting in old/default data being entered into Settlement.		6	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0055	Management of Metering System Data for Derivation of Energy Volumes		The risk that UMSOs do not send the HH UMS certificate to Meter Administrators resulting in inaccurate energy volume allocation'		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Supplier		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Supplier		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Unmetered Supplies Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0056	Management of Metering System Data for Derivation of Energy Volumes		The risk that NHHDA's fail to receive or process change of Standing Data instructions from SMRAs resulting in Metering Systems being settled on default EACs and/or settled as part of the wrong Settlement Class.		3	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0057	Management of Metering System Data for Derivation of Energy Volumes		The risk that HHDAs fail to receive or process change of Standing Data instructions from SMRAs resulting in Metering Systems using default data or incorrect energy volumes being entered into Settlement.		3	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0058	Management of Metering System Data for Derivation of Energy Volumes		The risk that on change of HHDC for UMS, new HHDCs do not receive UMS equivalent Meter Output File from Meter Administrators resulting in estimated data being entered into Settlement		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0059	Management of Metering System Data for Derivation of Energy Volumes	The risk that on change of Meter Administrator, new Meter Administrators do not receive supporting information from UMSO and/or old MA resulting in estimated data being entered into Settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0060	Management of Metering System Data for Derivation of Energy Volumes		The risk that NHHDCs do not correctly update the SVA Standing Data (D0052) resulting in the use of old, default or erroneous EACs and/or energy being allocated to the wrong Settlement Periods.		3	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0061	Management of Metering System Data for Derivation of Energy Volumes		The risk that NHHDCs do not load Daily Profile Co-efficients resulting in EACs and AAs not being produced and old data being used in Settlements.		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0062	Management of Metering System Data for Derivation of Energy Volumes		The risk that on change of HHDC, new HHDCs do not receive 14 months of historic HH Metered Data/final Meter Reading resulting in less accurate estimation methods being available for use in Settlement.		5	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0063	Management of Metering System Data for Derivation of Energy Volumes		The risk that UMSOs do not update SMRS on disconnection resulting in NHHDA's not being de-appointed and an overstatement of consumption.		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0065	Management of Metering System Data for Allocation of Energy Volumes to HH Periods		The risk that Suppliers do not submit correct/valid NHH Standing Data to SMRS resulting in incorrect/default/no data entering Settlement.		7	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
NHH Supplier		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Supplier		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0066	Management of Metering System Data for Allocation of Energy Volumes to HH Periods		The risk that Suppliers do not submit correct/valid HH Standing Data to SMRS resulting in incorrect/default/no data entering Settlement and/or energy being allocated to the wrong Settlement period.		5	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Supplier		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Supplier		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	

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**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Published On:** 27 September 2012

HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0067	Management of Metering System Data for Allocation of Energy Volumes to HH Periods		The risk that Suppliers fail to assign the correct Profile Class to Metering Systems when required resulting in energy being allocated to the wrong HH period.		4	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/04/2010	-	Y		Approved		

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NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0068	Management of Metering System Data for Allocation of Energy Volumes to HH Periods		The risk that Measurement Class 'E' sites that meet the criteria for mandatory HH metering are not registered as Measurement Class C within required timescales resulting in data being collected outside required timescales.		2	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2010	-	Y		Approved	



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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0069	Management of Metering System Data for Allocation of HH Energy Volumes to Trading Parties		The risk that Market Domain Data (MDD) is invalid resulting in systems problems for PAPs and data not entering Settlement, as well as potential problems with conflicting data being used in Settlement. e.g. Registrations, incorrect data being used in Settlement.		9	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Meter Administrator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

Unmetered Supplies Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0070	Management of Metering System Data for Allocation of HH Energy Volumes to Trading Parties	The risk that Performance Assurance Parties are using incorrect versions of Market Domain Data (MDD) resulting in incorrect data entering Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Meter Administrator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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Unmetered Supplies Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
Unmetered Supplies Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0071	Management of Metering System Data for Allocation of HH Energy Volumes to Trading Parties		The risk that the Primary and Secondary Suppliers fail to coordinate the energisation/de-energisation of their MSIDs resulting in incorrect energisation dates for one or more MSIDs and hence error in the volume of energy entering settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status			Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0072	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that NHHDCs process incorrect Meter readings, resulting in erroneous data being entered into Settlement.		16	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	MEM	Standard	Included because this class of PAP provides data for monitoring purposes.	01/04/2010	-	Y		Approved

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NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	MEM	Standard	Identified as a contributing class of PAP.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Check on Processes and Controls Relating to Erroneous Estimates of Annual Consumption and Annualised Advances: Targeted Technical Assurance checks may be performed based upon the observed Supplier Energy Allocation Error within each GSP Group as recommended to the PAB by the TDC in order to assess whether a GSP Group should exit from the disputes process for Trading Disputes DA147 and DA303.  TA Compliance Check: A general review of compliance with the BSC will be performed	01/04/2010	-	Y		Approved

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			<p>for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Disputes Exit Check: The TDC uses this check as one of the indicators noted in the exit guidance used to assess GSP Groups for withdrawal from Disputes runs for Trading Disputes.</p> <p>This would be an on site check. The Trading Disputes Committee (TDC), subject to approval by the PAB in accordance with BSCP535, may ask ELEXON to undertake a TA check to assess the management of large Estimated Annual Consumption (EAC) and Annualised Advance (AA) values.</p> <p>The check evaluates whether the majority of Non Half Hourly Data Collectors in a GSP Group are meeting their obligations on erroneously large EAC/AAs and Gross Volume Correction.</p>					
NHH Supplier	BSCA	Standard	<p>This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.</p>	01/04/2010	-	Y		Approved

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NHH Supplier	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	MEM	Standard	The NHH Supplier is responsible for the activities of its agents therefore performance is subject to review and is also involved in monitoring process.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	<p>TA Check on Processes and Controls Relating to Erroneous Estimates of Annual Consumption and Annualised Advances: Targeted Technical Assurance checks may be performed based upon the observed Supplier Energy Allocation Error within each GSP Group as recommended to the PAB by the TDC in order to assess whether a GSP Group should exit from the disputes process for Trading Disputes DA147 and DA303.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Disputes Exit Check: The TDC uses this check as one of the indicators noted in the exit guidance used to assess GSP Groups for withdrawal from Disputes runs for Trading Disputes.</p> <p>This would be an on site check. The Trading Disputes Committee (TDC), subject to approval by the PAB in accordance with BSCP535, may ask ELEXON to undertake a TA check to assess the management of large Estimated Annual Consumption (EAC) and Annualised Advance (AA) values.</p> <p>The check evaluates whether the majority of Non Half Hourly Data Collectors in a GSP Group are meeting their obligations on erroneously large EAC/AAs and Gross Volume Correction.</p>	01/04/2010	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0073	Management of Energy Consumption Data for Meter Reading Acquisition		The risk that stolen energy notified by Revenue Protection units is not used in calculations by Suppliers and NHHDCs resulting in inaccurate data being entered into Settlement.		15	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly			
Performance Assurance Technique Deployment									
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved	
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved	



# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

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**Published On:** 27 September 2012

NHH Data Collector	TAPAP	Non-Standard	TA Check on Processing of Revenue Protection Reads: A targeted Technical Assurance check will be performed on a sample of NHHDCs as directed by the PAB.  TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Check on Processing of Revenue Protection Reads: A targeted Technical Assurance check will be performed on a sample of NHH Suppliers as directed by the PAB.	01/04/2010	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0074	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that NHHDCs do not collect and / or enter valid Meter readings resulting in old/default data entering Settlement.		15	29/07/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved

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NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
NHH Supplier	BUSRR	Mandatory	Business Settlement Risk Rating (BUSRR), which indicates if a Business Unit is Red, Amber or Green with respect to a given Settlement Risk.	29/07/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
NHH Supplier	PC	Standard	SP08a measures the percentage of NHH energy and MSIDs settling on AAs. SP09 measures the percentage of MSIDs settling on default EACs. Both Serials measure the performance of NHH Suppliers.	29/07/2010	-	Y		Approved
NHH Supplier	PM	Mandatory	SP08a measures the percentage of NHH energy and MSIDs settling on AAs. SP09 measures the percentage of MSIDs settling on default EACs. Both Serials measure the performance of NHH Suppliers.	29/07/2010	-	Y		Approved

# Risk Operating Plan



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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
NHH Supplier	SC	Mandatory	SP08a measures the percentage of NHH energy and MSIDs settling on AAs.	29/07/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved

# Risk Operating Plan



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**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0075	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that NHHMOAs do not send the initial/final Meter readings to NHHDCs when required resulting in estimated/erroneous/no data being entered into Settlement.		9	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

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**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0076	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that LDSOs do not send NHHMOAs initial / final Meter readings resulting in estimated/erroneous/no data entering into Settlement.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0077	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that NHHDCs incorrectly withdraw Meter reads/ EAC/AAs resulting in inaccurate data being entered Settlement.		8	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0078	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that HHDCs process incorrect Meter readings, resulting in erroneous data being entered into Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.  The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved



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HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0079	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that the LDSOs do not send the HHMOAs initial / final Meter readings resulting in less accurate estimation methods being available for use in Settlement.		1	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0080	Management of Energy Consumption Data for Meter Reading Acquisition		The risk that Suppliers do not send Meter readings that they have obtained to NHHDCs resulting in old data being entered into Settlement.		9	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly			
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved

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NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0081	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that HHDCs do not process valid HH readings resulting in estimated data being entered into Settlement.		4	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	PC	Standard	SP08b measures the percentage of HH energy and MSIDs settled on AAs. The Serial measures HH Supplier performance. Included against this risk because monitoring of the Serial is applied to a higher net significance risk.	01/04/2010	-	Y		Approved
HH Supplier	PM	Mandatory	SP08b measures the percentage of HH energy and MSIDs settled on AAs. The Serial measures HH Supplier performance.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	SC	Mandatory	SP08b measures the percentage of HH energy and MSIDs settled on AAs.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0082	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that HHMOAs do not send the initial/final Meter Register Reading to HHDCs when required resulting in less accurate estimation methods being available for use in Settlement.		3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0083	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that HHDCs are unable to collect final Meter readings prior to a material change to a Metering System resulting in estimated data being entered into Settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved



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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0089	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that HHDCs do not send consumption data to the correct HHDCs resulting in default data being entered into Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0090	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that NHHDCs do not calculate and send EACs/AAs to the correct NHHDCs resulting in old/default data being entered into Settlement.		10	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Published On:** 27 September 2012

NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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NHH Supplier	PC	Standard	SP08a measures the percentage of NHH energy and MSIDs settling on AAs. SP09 measures the percentage of MSIDs settling on default EACs. Both Serials measure the performance of NHH Suppliers.	01/04/2010	-	Y		Approved
NHH Supplier	PM	Mandatory	SP08a measures the percentage of NHH energy and MSIDs settling on AAs. SP09 measures the percentage of MSIDs settling on default EACs. Both Serials measure the performance of NHH Suppliers.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	SC	Mandatory	SP08a measures the percentage of NHH energy and MSIDs settling on AAs.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0091	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that HHDCs do not correct HH consumption when additional information becomes available resulting in corrected data (estimated and actual) not being resubmitted into Settlement.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0092	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that NHHDCs do not send the initial Class Average EAC to NHHDCs for a new Metering System resulting in the Metering System being settled on default data.		6	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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NHH Supplier	PC	Standard	SP09 measures the percentage of MSIDs settling on default EACs. The Serial measures the performance NHH Suppliers. Included against this risk because monitoring of the Serial is applied to a higher net significance risk.	01/04/2010	-	Y		Approved
NHH Supplier	PM	Mandatory	SP09 measures the percentage of MSIDs settling on default EACs. The Serial measures the performance NHH Suppliers.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0094	Management of Energy Consumption Data for Derivation of Energy Volumes	The risk that HHDCs do not process HH Advances from the Meter Administrators resulting in estimated data being used in Settlement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0095	Management of Energy Consumption Data for Allocation of HH Energy Volumes to Trading Parties	The risk that agreed change of Supplier reads are not entered into Settlement following change of Supplier for a Non Half Hourly Metering System resulting in energy being misallocated between Suppliers.		10	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0096	Management of Energy Consumption Data for Allocation of HH Energy Volumes to Trading Parties	The risk that HHDAs do not produce and send aggregated HH data files to SVAA in accordance with the Settlement Calendar resulting in the SVAA carrying out Volume Allocation Runs (VAR) using default data.		5	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved



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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0097	Management of Energy Consumption Data for Allocation of HH Energy Volumes to Trading Parties	The risk that NHHDA's do not produce and send the SPM to SVAA in accordance with the Settlement calendar resulting in the SVAA carrying out Volume Allocation Runs (VAR) using default data.		5	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0098	Settlement Calculation for Meter Reading Acquisition		The risk that NHHDCs do not deem Meter readings correctly or at all, at the RF boundary where an AA spans 14 months resulting in energy being under- or over-accounted for.		9	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

# Risk Operating Plan



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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved



# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0099	Settlement Calculation for Meter Reading Acquisition		The risk that NHHDCs deem readings incorrectly resulting in incorrect data being entered into Settlement.		6	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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Scope Effective From: 27 September 2012 to 01 January 4000

Created On: 28 September 2012

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0101	Settlement Calculation for Derivation of Energy Volumes		The risk that the Meter Administrators do not use approved switching regimes or charge codes resulting in the HH energy values being inaccurately derived and entered into Settlement.		5	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Supplier		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Supplier		EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Meter Administrator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Meter Administrator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Meter Administrator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Meter Administrator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved

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Meter Administrator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
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**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0102	Settlement Calculation for Derivation of Energy Volumes		The risk that NHHDCs do not calculate EAC/AAs correctly when applying Gross Volume Correction resulting in incorrect data being entered into Settlement.		8	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2010	-	Y		Approved	
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Data Aggregator		MEM	Standard	Included because this class of PAP provides data for monitoring purposes (MEM applied as a secondary benefit of application in relation to SR0072)		01/04/2010	-	Y		Approved	

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NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	MEM	Standard	Identified as a contributing class of PAP (MEM applied as a secondary benefit of application in relation to SR0072)	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Check on Processes and Controls Relating to Erroneous Estimates of Annual Consumption and Annualised Advances: Targeted Technical Assurance checks may be performed based upon the observed Supplier Energy Allocation Error within each GSP Group as recommended to the PAB by the TDC with respect to SR0072. The scope of the check will encompass this, related, Settlement Risk.	01/04/2010	-	Y		Approved



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			<p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Disputes Exit Check: The TDC uses this check as one of the indicators noted in the exit guidance used to assess GSP Groups for withdrawal from Disputes runs for Trading Disputes.</p> <p>This would be an on site check. The Trading Disputes Committee (TDC), subject to approval by the PAB in accordance with BSCP535, may ask ELEXON to undertake a TA check to assess the management of large Estimated Annual Consumption (EAC) and Annualised Advance (AA) values.</p> <p>The check evaluates whether the majority of Non Half Hourly Data Collectors in a GSP Group are meeting their obligations on erroneously large EAC/AAs and Gross Volume Correction.</p>					
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	MEM	Standard	The NHH Supplier is responsible for the activities of its agents therefore performance is subject to review and is also involved in monitoring process (MEM applied as a secondary benefit of application in relation to SR0072)	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	<p>TA Check on Processes and Controls Relating to Erroneous Estimates of Annual Consumption and Annualised Advances: Targeted Technical Assurance checks may be performed based upon the observed Supplier Energy Allocation Error within each GSP Group as recommended to the PAB by the TDC with respect to SR0072. The scope of the check will encompass this, related, Settlement Risk.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Disputes Exit Check: The TDC uses this check as one of the indicators noted in the exit guidance used to assess GSP Groups for withdrawal from Disputes runs for Trading Disputes.</p> <p>This would be an on site check. The Trading Disputes Committee (TDC), subject to approval by the PAB in accordance with BSCP535, may ask ELEXON to undertake a TA check to assess the management of large Estimated Annual Consumption (EAC) and Annualised Advance (AA) values.</p> <p>The check evaluates whether the majority of Non Half Hourly Data Collectors in a GSP Group are meeting their obligations on erroneously large EAC/AAs and Gross Volume Correction.</p>	01/04/2010	-	Y		Approved
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# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0104	Settlement Calculation for Derivation of Energy Volumes		The risk that HHDCs do not estimate data correctly or at all resulting in incorrect data being entered into Settlement.		4	01/04/2010		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0105	Settlement Calculation for Derivation of Energy Volumes		The risk that NHHDCs calculate EACs/AAs incorrectly or not at all when required to do so resulting in incorrect data being entered into Settlement.		4	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Aggregator		MEM	Standard	Included because this class of PAP provides data for monitoring purposes (MEM applied as a secondary benefit of application in relation to SR0072)	01/04/2010	-	Y		Approved		
NHH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		



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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	MEM	Standard	Identified as a contributing class of PAP (MEM applied as a secondary benefit of application in relation to SR0072)	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	MEM	Standard	The NHH Supplier is responsible for the activities of its agents therefore performance is subject to review and is also involved in monitoring process (MEM applied as a secondary benefit of application in relation to SR0072)	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0107	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties	The risk that HHDAs incorrectly apply the rules for determining the HH advances to send to the SVAA resulting in incorrect data being entered into Settlement.		8	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0108	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties	The risk that NHHDA's incorrectly apply the rules for selecting which consumption data to include in the Supplier Purchase Matrix resulting in incorrect data being entered into Settlement.		4	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0109	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties	The risk that HHDCs do not correctly apply the Allocation Schedule provided by the Primary Supplier resulting in the misallocation of energy between the Suppliers in the Shared SVA Metering Arrangement.		2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description	Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0110	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties		The risk that Suppliers use ex post changes to the Allocation Schedule to reallocate energy between themselves for Shared SVA Metering after Gate Closure resulting in a loss of Residual Cashflow Reallocation Cashflow (RCRC) income to other Parties.	2	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								

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Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0111	Management of Physical Assets for Meter Reading Acquisition		The risk that NHH Metering Systems are tampered with resulting in under-accounting of energy in Settlement.		12	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly			
Performance Assurance Technique Deployment									
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status	
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved	
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved	

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NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved



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NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0112	Management of Physical Assets for Meter Reading Acquisition		The risk that HHDCs use data from faulty Metering Systems resulting in incorrect data being entered into Settlement.		12	01/04/2012		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved		
HH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved		
HH Data Aggregator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved		

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Published On:** 27 September 2012

HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved



# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD	
SR0113	Management of Physical Assets for Meter Reading Acquisition	The risk that the LDSO-owned Settlement Metering Equipment is not maintained, resulting in incorrect data entering Settlement.		8	01/04/2010	01/01/4000	Y		
Workflow Status				Approved		Sector			Half Hourly
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Registrants are responsible for the correct installation and maintenance of Metering Systems. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Metering Systems is not effective. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

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**Created On:** 28 September 2012

**Published On:** 27 September 2012

Licensed Distribution System Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites. LDSO owned Metering Equipment is subject to these audits as the equipment forms part of the Metering System.	01/04/2012	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0114	Management of Physical Assets for Meter Reading Acquisition		The risk that HH Metering Systems are tampered with resulting in energy being understated (or overstated) in Settlement.		7	02/11/2009		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		02/11/2009	-	Y		Approved	
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		02/11/2009	-	Y		Approved	
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		02/11/2009	-	Y		Approved	

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved

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HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved



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HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	02/11/2009	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
Licensed Distribution System Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.  The specific sample for 2012/13 will be looking at newly registered sites. LDSO owned Metering Equipment is subject to these audits as the equipment forms part of the Metering System.	01/04/2012	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0115	Management of Physical Assets for Meter Reading Acquisition		The risk that NHHDCs use data from faulty Metering Systems resulting in incorrect data being entered into Settlement.		5	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
NHH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved		

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

# Risk Operating Plan



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NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

# Risk Operating Plan



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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0116	Management of Physical Assets for Meter Reading Acquisition	The risk that Import/Export Metering Systems are incorrectly installed/configured resulting in inaccurate data entering Settlement.		12	01/04/2012	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	01/04/2012	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved

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HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.  The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved



# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

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**Published On:** 27 September 2012

HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.  LDSO owned Metering Equipment is subject to these audits as the equipment forms part of the Metering System.	01/04/2012	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description	Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0117	Management of Physical Assets for Meter Reading Acquisition	The risk that LDSOs logically disconnect NHH Metering Systems in error resulting in energy not being accounted for in Settlement.	3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved		Sector	Half Hourly		
Performance Assurance Technique Deployment							

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Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description	Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0118	Management of Physical Assets for Meter Reading Acquisition	The risk that LDSOs logically disconnect HH Metering Systems in error resulting in energy not being accounted for in Settlement.	3	01/04/2010	01/01/4000	Y	
Workflow Status		Approved		Sector	Half Hourly		
Performance Assurance Technique Deployment							

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Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0119	Management of Physical Assets for Allocation of Energy Volumes to HH Periods	The risk that a NHH metered site that meets the criteria for mandatory HH metering does not have a HH meter installed within required timescales resulting in energy potentially being allocated to the wrong Settlement Period or collected outside required timescales.		8	01/04/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2011	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2011	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2011	-	Y		Approved

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NHH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.  TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP04) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.	01/04/2011	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2011	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2011	-	Y		Approved
NHH Supplier	PC	Standard	SP04 measures the number of sites that have qualified for mandatory HH Metering but where it has not been installed.	01/04/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	SP04 measures the number of sites that have qualified for mandatory HH Metering but where it has not been installed.	01/04/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2011	-	Y		Approved



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NHH Supplier	SC	Mandatory	SP04 measures the number of sites that have qualified for mandatory HH Metering but where it has not been installed.	01/04/2011	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	<p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p> <p>TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP04) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.</p>	01/04/2011	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0120	Management of Physical Assets for Allocation of Energy Volumes to HH Periods	The risk that clock drifts in HH Metering Systems resulting in energy being recorded in the wrong half hour period.		9	01/04/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved

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HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0172	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties	The risk that the HHDA, HHDC or SMRS incorrectly applies the instruction processing rules for HHDA updates, resulting in incorrect data being entered into Settlement.		8	29/07/2010	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved



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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved

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Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0173	Settlement Calculation for Allocation of HH Energy Volumes to Trading Parties	The risk that the NHHDA, NHHDC or SMRS incorrectly applies the instruction processing rules for NHHDA updates, resulting in incorrect data being entered into Settlement.		4	02/11/2009	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved

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NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved

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**Published On:** 27 September 2012

NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
Supplier Meter Registration Agent	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved

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Supplier Meter Registration Agent	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD	
SR0174	Management of Metering System Data for Meter Reading Acquisition	The risk that NHHMOAs do not provide correct Meter Technical Details to the LDSO resulting in the LDSO not receiving data of sufficient accuracy to enable the calculation of LLFs correctly.		8	29/07/2010	01/01/4000	Y		
Workflow Status				Approved		Sector			Half Hourly
Performance Assurance Technique Deployment									
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status	
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved	
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved	
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved	



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NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	29/07/2010	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	29/07/2010	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	29/07/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	29/07/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	29/07/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0175	Management of Metering System Data for Derivation of Energy Volumes		The risk that HHMOAs do not provide correct Meter Technical Details to the LDSOs resulting in the LDSOs not receiving data of sufficient accuracy to enable the calculation of LLFs correctly.		8	01/04/2012		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
HH Meter Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		01/04/2012	-	Y		Approved	
HH Meter Operator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2012	-	Y		Approved	
HH Meter Operator		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.		01/04/2012	-	Y		Approved	

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HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2012	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	01/04/2012	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2012	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2012	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2012	-	Y		Approved

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Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2012	-	Y		Approved
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# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 to 01 January 4000

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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR0176	Management of Energy Consumption Data for Meter Reading Acquisition	The risk that NHHDCs do not send consumption data to the LDSOs resulting in the LDSOs not receiving data of sufficient accuracy to enable the calculation of LLFs correctly.		4	01/04/2010	01/01/4000	Y	
Workflow Status				Approved		Sector	Half Hourly	
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	01/04/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved



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NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	01/04/2010	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR0177	Management of Energy Consumption Data for Meter Reading Acquisition		The risk that HHDCs do not send consumption data to the LDSOs resulting in the LDSOs not receiving data of sufficient accuracy to enable the calculation of LLFs correctly.		4	01/04/2010		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		
HH Data Collector		TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/04/2010	-	Y		Approved		

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HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved
HH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/04/2010	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2681	Management of Physical Assets for Meter Reading Acquisition	The Risk that HHMOAs do not resolve faults in a timely manner, resulting in estimated data entering Settlement.		4	02/11/2009	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Data Collector	PM	Mandatory	HM14 - The Serial measures the performance of the Supplier and the HHMOA. The HHDC submits HM14. SP08b can be used as a secondary measure.	01/07/2011	-	Y		Approved

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HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.	02/11/2009	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Meter Operator	PM	Mandatory	HM14 - The Serial measures the performance of the Supplier and the HHMOA. The HHDC submits HM14. SP08b can be used as a secondary measure.	01/07/2011	-	Y		Approved

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HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
HH Meter Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.	02/11/2009	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
HH Supplier	PC	Standard	HM14 - The Serial measures the performance of the Supplier and the HHMOA. The HHDC submits HM14. SP08b can be used as a secondary measure.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	HM14 - The Serial measures the performance of the Supplier and the HHMOA. The HHDC submits HM14. SP08b can be used as a secondary measure.	01/07/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
HH Supplier	SC	Mandatory	SP08b measures the percentage of HH energy and MSIDs settled on AAs.	02/11/2009	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB.	02/11/2009	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved

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Licensed Distribution System Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
Licensed Distribution System Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
Licensed Distribution System Operator	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems. as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. LDSO owned Metering Equipment is subject to these audits as the equipment forms part of the Metering System.	02/11/2009	-	Y		Approved



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Published On: 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR2682	Management of Physical Assets for Meter Reading Acquisition		The Risk that NHHMOAs do not resolve faults in a timely manner, resulting in estimated data entering Settlement.		4	02/11/2009		01/01/4000		Y	
Workflow Status		Approved				Sector		Half Hourly			
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved		
NHH Data Collector		CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	02/11/2009	-	Y		Approved		
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved		

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NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
NHH Meter Operator	BSCA	Non-Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Meter Operator	CoA	Non-Standard	Only directly applicable to NHH Suppliers however deployment of the technique may impact the relevant class of PAP.	02/11/2009	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved

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NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	02/11/2009	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
NHH Supplier	SC	Mandatory	SP08a measures the percentage of NHH energy and MSIDs settling on AAs.	02/11/2009	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	02/11/2009	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR2710	Management of Metering System Data for Allocation of Energy Volumes to HH Periods		The risk that Suppliers do not acquire and submit required profiling data to the Profiling Administrator resulting in the use of less representative profiling data		5	01/12/2009		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status		
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/12/2009	-	Y		Approved		
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/12/2009	-	Y		Approved		
HH Data Collector		TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/12/2009	-	Y		Approved		

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HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/12/2009	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/12/2009	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/12/2009	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/12/2009	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/12/2009	-	Y		Approved

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NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/12/2009	-	Y		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/12/2009	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/12/2009	-	Y		Approved
NHH Meter Operator	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	01/12/2009	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	01/12/2009	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/12/2009	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from		ETD that the risk is valid to		App	Proposed ETD
SR2745	Management of Energy Consumption Data for Derivation of Energy Volumes		The risk that NHHDCs change Settlement data after the last scheduled Settlement Run (RF or DF) resulting in data not entering Settlement and erroneous forward looking estimates.		6	02/11/2009		01/01/4000		Y	
Workflow Status		Approved			Sector		Half Hourly				
Performance Assurance Technique Deployment											
Impacted Roles		Technique	Type	Rationale		EFD	ETD	App	Proposed ETD	Workflow Status	
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.		02/11/2009	-	Y		Approved	
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.		01/04/2010	-	Y		Approved	
NHH Data Aggregator		TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.		02/11/2009	-	Y		Approved	

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NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	02/11/2009	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	02/11/2009	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	02/11/2009	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	02/11/2009	-	Y		Approved

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NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	01/04/2010	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2834	Supplier Hub Management for Meter Reading Acquisition		The Risk that Suppliers do not notify change of DC to other associated agents resulting in the HHMOAs not sending MTDs to the right DCs and meter readings being misinterpreted or not collected		9	29/07/2010	01/01/4000	Y	
Workflow Status		Approved			Sector		Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved
HH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved
HH Data Collector		PM	Mandatory	SP14, SP15 - The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
HH Data Collector		Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved

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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2010	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2010	-	Y		Approved
HH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved
HH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved

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HH Meter Operator	PM	Mandatory	SP14, SP15 - The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
HH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved
HH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2010	-	Y		Approved
HH Meter Operator	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents. TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2010	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved

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HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved
HH Supplier	PC	Standard	SP14, SP15 - The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
HH Supplier	PM	Mandatory	SP14, SP15 - The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved

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HH Supplier	TAPAP	Non-Standard	<p>TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 &amp; SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.</p> <p>TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p>	26/08/2010	-	Y		Approved
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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2835	Supplier Hub Management for Meter Reading Acquisition		The Risk that Suppliers do not notify change of DC to other associated agents resulting in the NHHMOAs not sending MTDs to the right DCs and meter readings being misinterpreted or not collected		6	29/07/2010	01/01/4000	Y	
Workflow Status			Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved
NHH Data Collector		CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2010	-	Y		Approved
NHH Data Collector		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved

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NHH Data Collector	PM	Mandatory	SP14, SP15. The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2010	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Check on Management of Supplier Agent Appointments and Associated Notifications: A targeted Technical Assurance check will be performed on the worst performing Suppliers as directed by the PAB with respect to SR0024. The scope of the check will encompass this, related, Settlement Risk. TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2010	-	Y		Approved

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NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved
NHH Meter Operator	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2010	-	Y		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved
NHH Meter Operator	PM	Mandatory	SP14, SP15. The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2010	-	Y		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 **to** 01 January 4000

**Published On:** 27 September 2012

NHH Meter Operator	TAPAP	Non-Standard	TA Check on Management of Supplier Agent Appointments and Associated Notifications: A targeted Technical Assurance check will be performed on the worst performing Suppliers as directed by the PAB with respect to SR0024. The scope of the check will encompass this, related, Settlement Risk. TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2010	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	26/08/2010	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2010	-	Y		Approved

# Risk Operating Plan



*Delivering Risk-based Assurance On Behalf of Customers*

**Created On:** 28 September 2012

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**Published On:** 27 September 2012

NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2010	-	Y		Approved
NHH Supplier	PC	Standard	SP14, SP15. The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
NHH Supplier	PM	Mandatory	SP14, SP15. The Serial measure the performance of the Supplier. The DC (SP15) and MOA (SP14 and SP15) submits this Serial.	01/07/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2010	-	Y		Approved

# Risk Operating Plan



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**Scope Effective From:** 27 September 2012 **to** 01 January 4000

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NHH Supplier	TAPAP	Non-Standard	<p>TA Check on Management of Supplier Agent Appointments and Associated Notifications: A targeted Technical Assurance check will be performed on the worst performing Suppliers as directed by the PAB with respect to SR0024. The scope of the check will encompass this, related, Settlement Risk.</p> <p>TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 &amp; SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.</p> <p>TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.</p>	26/08/2010	-	Y		Approved
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# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Created On:** 28 September 2012

**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2839	Supplier Hub Management for Meter Reading Acquisition	The Risk that Suppliers do not notify change of HHDA to other associated agents resulting in the HHDCs not sending consumption data to the correct HHDA's resulting in default data being entered into Settlement.		6	26/08/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Aggregator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
HH Data Aggregator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved
HH Data Aggregator	PM	Standard	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
HH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved

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HH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2011	-	Y		Approved
HH Data Aggregator	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved



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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2011	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved
HH Supplier	PC	Mandatory	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved

# Risk Operating Plan



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HH Supplier	PM	Standard	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2840	Supplier Hub Management for Meter Reading Acquisition		The Risk that Suppliers do not notify change of NHHDA to other associated agents resulting in the NHHDCs not sending consumption data to the correct NHHDAs and resulting in default data being entered into Settlement.		3	26/08/2011	01/01/4000	Y	
Workflow Status			Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Aggregator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
NHH Data Aggregator		CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2011	-	Y		Approved
NHH Data Aggregator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved

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NHH Data Aggregator	PM	Standard	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
NHH Data Aggregator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved
NHH Data Aggregator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2011	-	Y		Approved
NHH Data Aggregator	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
NHH Data Collector	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2011	-	Y		Approved

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NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved
NHH Data Collector	PM	Standard	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved
NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2011	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved

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NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk	26/08/2011	-	Y		Approved
NHH Supplier	CoA	Non-Standard	NHH Suppliers must inform the PAB if they intend perform a CoA for more than 20k Metering Systems per GSP Group per day and make an application in accordance with BSCP513. Deployment of the technique will mitigate against the Settlement Risk.	26/08/2011	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	26/08/2011	-	Y		Approved
NHH Supplier	PC	Mandatory	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
NHH Supplier	PM	Standard	SP12 - The serial measures the performance of the Suppliers, the HHDC and submit this Serial.	26/08/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	26/08/2011	-	Y		Approved
NHH Supplier	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	26/08/2011	-	Y		Approved

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NHH Supplier	TAPAP	Non-Standard	TA Check on PARMS Drill-down Data: A sample of PARMS data submissions relevant to this Settlement Risk (Serials SP05 & SP06) will be reviewed as directed by the PAB to ensure that performance data is being calculated in accordance with the BSC.  TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	26/08/2011	-	Y		Approved
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# Risk Operating Plan



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**Published On:** 27 September 2012

## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2865	Management of Metering System Data for Meter Reading Acquisition	The risk that HHDCs do not process Meter Technical Details correctly or at all resulting meter reading being misinterpreted or not collected		6	20/12/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
HH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	20/12/2011	-	Y		Approved
HH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	20/12/2011	-	Y		Approved
HH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	20/12/2011	-	Y		Approved



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HH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	20/12/2011	-	Y		Approved
HH Data Collector	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	20/12/2011	-	Y		Approved
HH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	20/12/2011	-	Y		Approved
HH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	20/12/2011	-	Y		Approved
HH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	20/12/2011	-	Y		Approved

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HH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	20/12/2011	-	Y		Approved
HH Supplier	TAM	Standard	The Technical Assurance Agent will perform audits on a representative Sample of Half Hourly Metering Systems, as directed by the PAB. Provision is also made for subsequent re-visits to non-compliant Metering Systems and Targeted audits where non-compliance is suspected at the direction of the PAB. The specific sample for 2012/13 will be looking at newly registered sites.	20/12/2011	-	Y		Approved
HH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	20/12/2011	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category	Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2866	Management of Metering System Data for Meter Reading Acquisition	The risk that NHHDCs do not process Meter Technical Details correctly or at all resulting meter reading being misinterpreted or not collected.		2	20/12/2011	01/01/4000	Y	
Workflow Status		Approved			Sector	Half Hourly		
Performance Assurance Technique Deployment								
Impacted Roles	Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
NHH Data Collector	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	20/12/2011	-	Y		Approved
NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	20/12/2011	-	Y		Approved
NHH Data Collector	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	20/12/2011	-	Y		Approved

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NHH Data Collector	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	20/12/2011	-	Y		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	20/12/2011	-	Y		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	20/12/2011	-	Y		Approved
NHH Supplier	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	20/12/2011	-	Y		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	20/12/2011	-	Y		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	20/12/2011	-	Y		Approved

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## Approved Risks (no changes proposed to deployment of Performance Assurance Techniques)

SRIN	Risk Category		Risk Description		Net Sig	EFD that risk is valid from	ETD that the risk is valid to	App	Proposed ETD
SR2868	Management of Physical Assets for Meter Reading Acquisition		The risk that non Half Hourly Import/Export Metering Systems are incorrectly installed/configured resulting in inaccurate data entering Settlement.		12	23/08/2012	01/01/4000	Y	
Workflow Status			Approved			Sector		Half Hourly	
Performance Assurance Technique Deployment									
Impacted Roles		Technique	Type	Rationale	EFD	ETD	App	Proposed ETD	Workflow Status
Licensed Distribution System Operator		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	23/08/2012	-	N		Approved
Licensed Distribution System Operator		EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	23/08/2012	-	N		Approved
NHH Data Collector		BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	23/08/2012	-	N		Approved

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NHH Data Collector	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	23/08/2012	-	N		Approved
NHH Data Collector	TAPAP	Non-Standard	TA Compliance Check: A general review of compliance with the BSC will be performed for Supplier Agents with respect to this risk. Performance will be assessed in the context of BSC Audit Issue Documents.	23/08/2012	-	N		Approved
NHH Meter Operator	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	23/08/2012	-	N		Approved
NHH Meter Operator	EFR	Non-Standard	Error and Failure Resolution activities may be deployed where non-compliances are identified in areas that are relevant to this Settlement Risk, depending on the extent of the non-compliance. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	23/08/2012	-	N		Approved
NHH Meter Operator	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	23/08/2012	-	N		Approved
NHH Meter Operator	R-Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document. The PAB may enforce a re-Qualification under the provisions of Section J3.5.4 of the BSC.	23/08/2012	-	N		Approved

# Risk Operating Plan



Delivering Risk-based Assurance On Behalf of Customers

**Created On:** 28 September 2012

**Scope Effective From:** 27 September 2012 to 01 January 4000

**Published On:** 27 September 2012

NHH Meter Operator	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	23/08/2012	-	N		Approved
NHH Supplier	BSCA	Standard	This class of PAP may not directly contribute to or be directly impacted by this Settlement Risk. The BSC Auditor may request information and review evidence in respect of processes or controls that relate to this Settlement Risk.	23/08/2012	-	N		Approved
NHH Supplier	EFR	Non-Standard	Suppliers are responsible for the activities of their Supplier Agents. Consequently, Error and Failure Resolution activities may be deployed at Suppliers where non-compliances are identified in areas that are relevant to this Settlement Risk. There is a higher chance of EFR being deployed at a Supplier where management of its Supplier Agents is not effective or where the Supplier holds the majority of a non-compliant Supplier Agent's portfolio. Significant non-compliance in one or more areas may result in escalation to the PAB or ultimately the BSC Panel.	23/08/2012	-	N		Approved
NHH Supplier	Qual	Non-Standard	This technique is initiated by the applicant and risks relate to questions set out in the Self Assessment Document.	23/08/2012	-	N		Approved
NHH Supplier	TAPAP	Non-Standard	TA Post Qualification Check: For newly Qualified Person a post-Qualification check may be completed as directed by the PAB. The scope of the check will be dependent on the class of PAP and will take account of performance history.	23/08/2012	-	N		Approved