

Redlined BSCP535 for CP1413 ‘Amendments to BSCP535 ‘Technical Assurance’ following a review’

This CP proposes changes to BSCP535 section 1, 3 and 4.

We have redlined these changes against Version 9.0.

Amend Section 1.1 as follows:

1. Introduction

1.1. Purpose and Scope of the Procedure

This BSC Procedure defines the process for providing assurance that Performance Assurance Parties (PAPs) are meeting their obligations as stated within the BSC or Code Subsidiary Documents as appropriate. It describes the key interfaces and timetable responsibilities for the role of the Performance Assurance Board (PAB) and/or Delegated Authority and other interested parties in the Technical Assurance of PAPs (TAP). The PAB may delegate such functions as it sees fit in accordance with the PAB Terms of Reference.

The TAP function will be distinct from but complementary to other Performance Assurance Techniques (PAT), in particular the BSC Audit and Qualification process and requirements.

No changes to Section 1.2 -1.3

Amend Section 1.4 as follows:

1.4. Scope of Work

1.4.1. Technical Assurance Checks

There are three distinct areas of work that are applicable to all Performance Assurance Parties:

- Scope of work for TAP.
 - This includes details of the check to be undertaken and will utilise information from PAPs, other PAF techniques, the BSC Auditor, BSSCo and the PAA when deciding where to apply the checks.
- Targeted Checks of PAPs.

- The PAB may decide to apply a targeted check because of performance related issues, Settlement error, information provided by ~~it's~~sits sub-committees or the Panel.
- Post-Qualification checks of newly qualified PAPs.
 - These checks take place after a PAP has been qualified or re-qualified and there is a requirement to prove capability.

The key steps in the scope of work of the TAP function are:

- The PAB will produce a scope of work for the TAP function, in respect of each Performance Assurance Operating Period in accordance with the ROP.
- The scope of work will be published (through the ROP) on the BSC Website within 10 Working Days of PAB approval.
- The Delegated Authority will report to the PAB on a regular basis on the progress of work being undertaken as part of the scope for TAP.
- The findings of the check will feed into the Annual Performance Assurance Report.

The key milestones in the performance of a check are:

- The PAB or its Delegated Authority will select PAPs who will form the subject of the TAP check in question. The PAB or its Delegated Authority will then notify the PAP of the check and make any requests for documentation at least 10 Working Days prior to the scheduled date (2 Working Days for an urgent targeted check).
- The PAB or its Delegated Authority shall conduct the check and record the results in accordance with the Check Results form (BSCP535/06). The PAB shall then provide the PAP in question with a copy of the results.
- The PAP in question shall then agree the results within 2 Working Days
- In the case of an agreed non-compliance, the PAP ~~must~~may be asked to provide rectification details in accordance with BSCP538 – Error and Failure Resolution.
- In the case of a disputed non-compliance, the PAP must provide details of the dispute to the Delegated Authority within 10 Working Days of notification of the non-compliance.
- The Delegated Authority will then re-determine the validity of the non-compliance. If the PAP still disputes the non-compliance then the Delegated Authority's decision can be appealed to the PAB.
- The Delegated Authority will report to the PAB as and when required on the results of any ~~targeted~~ checks (including targeted checks) performed.

No changes to Sections 1.5-1.6

Amend Section 1.7 as follows:

1.7. Associated BSC Procedures

This BSC Procedure interfaces with:

BSCP27	Technical Assurance of Half Hourly Metering Systems for Settlement Purposes
<u>BSCP501</u>	<u>Supplier Meter Registration Service</u>
BSCP502	Half Hourly Data Collection of Metering Systems in SMRS
BSCP503	Half Hourly Data Aggregation of Metering Systems in SMRS
BSCP504	Non Half Hourly Data Collection of Metering Systems in SMRS
BSCP505	Non Half Hourly Data Aggregation of Metering Systems in SMRS
BSCP508	Supplier Volume Allocation Agent
BSCP509	Changes to Market Domain Data
<u>BSCP513</u>	<u>Bulk Change of NHH Supplier Agent</u>
BSCP514	SVA Meter Operations for Metering Systems Registered in SMRS
BSCP515	Licensed Distribution
BSCP516	Allocation of Profile Classes & SSCs for NHH Metering Systems Registered in SMRS
BSCP520	Unmetered Supplies Registered in SMRS
BSCP533	PARMS Data Provision , Reporting and Publication of Peer Comparison Data
BSCP537	Qualification Process for SVA Parties, SVA Party Agents and CVA MOAs
BSCP538	Error and Failure Resolution

No changes to Sections 1.8 - 2

Amend Section 3 as follows:

3 Interface and Timetable Information

3.1. Determination of scope of work for Technical Assurance

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.1.1	At PAB meeting.	Determine scope and notify BSCCo.	PAB	BSCCo	ROP	
3.1.2	Within 10 WD of PAB notification <u>approval.</u>	Publication of scope.	BSCCo		Scope	

3.2. Technical Assurance Check

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2.1	At least 10 WD prior to a check or 2 WD for an urgent targeted check.	Inform PAP of planned check and request acceptance and that relevant information is available.	Delegated Authority	PAP	Date, time and PAP to be technically assured together with specific details of the check including Settlement Risk Identification Number.	Telephone/ Email BSCP535/01 BSCP535/02
<u>3.2.2</u>	<u>Within 5 WD of 3.2.1</u>	<u>Notify Delegated Authority of acknowledgement of planned check.</u>	<u>PAP</u>	<u>Delegated Authority</u>	<u>Acknowledgement of impending check</u>	<u>BSCP535/02</u>
3.2.32	At least 5 WD prior to the check or immediately upon receipt of notification in 3.2.1 for an urgent targeted check.	Notify Delegated Authority of acceptance of planned check and s <u>Supply the required information.</u>	PAP	Delegated Authority	Acceptance of impending check and s <u>Submission of required information.</u>	Telephone/ Email <u>BSCP535/02</u>

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2. 43	Date of check.	Perform check.	Delegated Authority	PAP	Information, data, documents and access to systems as required.	Interviews, reviews, sampling and witnessing as required.
3.2. 54	Within 10 WD of completion ¹ of check.	Notify PAP of results of check.	Delegated Authority	PAP	Results of check.	Email BSCP535/06
3.2. 65	At or within 2 WD of sending check results notification.	Delegated Authority checks for receipt of agreement of check results. (a) PAP confirms acceptance of check results. (b) No response is received. Send reminder. Proceed to section 3.2. 65	PAP PAB	PAB PAP	 Results of check.	Email BSCP535/06 Email BSCP535/06
3.2. 76	On completion of check <u>(or series of checks)</u> .	(a) If check has revealed a non-compliance then proceed to section 3.2. 97 . (b) If check shows PAP to be compliant. Check closed. Notify Associated Suppliers.	PAB PAB Delegated Authority	PAP PAP Associated Suppliers	Results of check. Results of check.	Email BSCP535/06 Email BSCP535/06
<u>3.2.8</u>	<u>Following 3.2.7 and at the next available PAB meeting.</u>	<u>Notify the PAB of the results of the check (series of checks) and if the PAP(s) is non-compliant, seek approval to apply the EFR technique, as appropriate.</u>	<u>Delegated Authority</u>	<u>PAB</u>	<u>Results of check</u>	<u>BSCP535/06</u>

¹ The check shall be deemed complete when all aspects of the check on and/or off site have been finalised and the Delegated Authority is in a position to deliver the results of the check.

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.2.97	After 3.2.76a if check shows PAP to be non-compliant	Follow the Error and Failure Resolution process in BSCP538 to rectify the non-compliances, <u>if appropriate</u> . If check performed on a Supplier Agent issue results to Associated Suppliers.	PAP BSCCo Delegated Authority	 Associated Suppliers	 Results of check	Email BSCP535/06

3.3 Not Used

3.4 Appeals

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.4.1	After 3.2.56 if PAP disagrees with a non-compliance.	Send reason for appealing non-compliance(s).	PAP	Delegated Authority	Reasons why the non-compliance has been appealed by the PAP.	Email
3.4.2	Within 5 WD of receiving the appeal in 3.4.1	(a) Decide that the appeal is valid, and remove the non-compliance. Notify the PAP of the decision and that the non-compliance is now closed. Proceed to Ref. 3.2.56. (b) Decide that the appeal is not valid and inform the PAP that the non-compliance will be upheld.	Delegated Authority Delegated Authority	PAP PAP	Details of why the non-compliance has been removed. Details of why non-compliance is still valid.	Email Email
3.4.3	Within 5 WD of receiving the notification in section 3.4.2	If PAP still disagrees with the non-compliance, inform the Delegated Authority again of an appeal.	PAP	Delegated Authority	Reasons why the non-compliance has been re-appealed by the PAP.	Email

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
3.4.4	At next available PAB meeting	Delegated Authority reports the appeal details to the PAB for decision.	Delegated Authority	PAB	Details of non-compliance and why the non-compliance has been re-appealed by the PAP.	<u>PAB</u> Paper
3.4.5	At PAB meeting	<p>PAB considers the grounds of the appeal and decides whether to uphold or remove the non-compliance</p> <p>(a) PAB decides that the appeal is valid and informs the Delegated Authority to remove the non-compliance. Proceed to Ref. 3.4.6.</p> <p>(b) PAB decides that the appeal is not valid and informs the Delegated Authority to continue with the non-compliance procedure. Proceed to Ref. 3.4.7.</p>	<p>PAB</p> <p>PAB</p> <p>PAB</p>	<p></p> <p>Delegated Authority PAP</p> <p>Delegated Authority</p>	<p>Report from the Delegated Authority.</p> <p>The PAB's decision and reasons why the appeal has been accepted.</p> <p>The PAB's decision and reasons why the appeal has not been accepted.</p>	<p>PAB Meeting</p> <p>Written Communication <u>Minutes of meeting</u></p> <p>Minutes of meeting</p>
3.4.6	Upon notification from the PAB	Delegated Authority informs the PAP that their appeal has been accepted and that the non-compliance issue is now closed. Proceed to 3.2. 56 .	Delegated Authority	PAP	The PAB's decision on the appeal.	Email
3.4.7	Upon notification from the PAB	Delegated Authority informs PAP that their appeal has not been accepted. Proceed to 3.2. 56 to accept check results and rectify non-compliances. as necessary under BSCP538	Delegated Authority	PAP	<p>The PAB's decision on the appeal.</p> <p>BSCP538—Error and failure Resolution</p>	<p><u>Written communication to PAP (eEmail, letter)</u></p> <p><u>If necessary, BSCP538 Error and Failure Resolution</u></p>

No changes to Section 4.1-4.7

Amend Section 4.8 as follows:

4.8 Technical Assurance Forms

All information communicated through the forms in these appendices must contain the detail stipulated for each form; *however the communication method is flexible and must be agreed between PAP and PAB / ~~BSCC~~ Delegated Authority.*

Form BSCP535/01 – ~~Site Selection~~ Notification of ~~for a~~ Technical Assurance of Performance Assurance Parties Check

The Delegated Authority will provide the following details to the PAP in accordance with section 3.2.1:

- PAP subject to check
- Role subject to check
- Check Reference (determined by ~~BSCC~~ the Delegated Authority)
- Proposed Date of Check
- Anticipated Duration of Check
- ~~Proposed Time of Check~~
- ~~PAP subject to check~~
- ~~Role subject to check~~
- Reason for check, including link to ROP, scope of work and relevant Settlement Risk Identification Number(s)
- Request for Required documentation from the PAP
 - Details of the required documentation from the PAP
- Request for an overview of the PAP's organisation structure
- Date by which the PAP must accept the proposed TA check using the data items required in form BSCP535/02 ~~must be returned to Delegated Authority by PAP~~
- Date by which the PAP must provide the required documentation and organisation structure to the Delegated Authority
- Contact details for the PAP to return all requested documents, acceptance and a point of contact for any communication with the Delegated Authority ~~of form BSCP535/02~~

Form BSCP535/02 – ~~Confirmation of Attendance~~ Acceptance of TA check

The PAP will provide the following details to the Delegated Authority in accordance with section 3.2.2:

- Check Reference (determined by ~~BSCC~~ the Delegated Authority)
- Proposed Date of Check
- Anticipated Duration of Check
- ~~Proposed Time of Check~~
- Confirmation of how ~~/~~ and when all required documentation and the PAP's

organisation structure will be provided

• ~~PAP organisation structure~~

- Details of main contact at PAP for duration of the check
- Any other relevant information

Form BSCP535/03 – Not used

Form BSCP535/04 – Not used

Form BSCP535/05 – Not used

Form BSCP535/06 – Check Results

The Delegated Authority will provide the following details as appropriate in accordance with sections 3.2.~~54~~ and 3.2.~~67~~ and the PAP shall return ~~confirmation of~~with the agreement of results in accordance with section 3.2.~~65~~:

- Check Reference (determined by ~~BSCC~~the Delegated Authority)
- Date of Check ~~(and date of completion of check if different)~~
- Details of check including Settlement Risk Information Number(s)
- Details of any non-compliances
- Details of any observations
- Details of any compliances
- Details of contact at Delegated Authority issuing the results
- Details of contact at PAP agreeing the results ~~(when agreed)~~
- Date of agreement of results (when agreed)
- Any other relevant information