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| PERFORMANCE ASSURANCE TECHNIQUES (PATS) USED DURING P272/P322 MIGRATION |
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| **Non compliance** | **PAT** | **Specification** |  **Key dates** |
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| **Supplier fails to submit Supplier Migration Plan (SMP) on time** | Error and Failure Resolution (EFR) | EFR switched on as per BSCP538 automatically on 1 September 2015.Supplier will have 20 Working Days to provide the SMP or a plan to set out the difficulties submitting the SMP and a plan to address these.EFR will be switched off, if ELEXON receives the SMP by internal PAB paper day (15 September 2015).If ELEXON does not receive the plan by the internal paper day, EFR remains switched on. ELEXON will notify the PAB of all Suppliers that failed to submit the plan and the level of communication with the Party so far regarding the SMPs.If the Supplier does not submit the SMP by September PAB, it will be automatically escalated to PAB and will be asked to attend the PAB in October to go over its plan.The PAB would then have the opportunity to get assurance from the Party that the plan is credible and would confirm the plan in the October meeting.  |  **31/08/2015** – deadline to provide SMPs **01/09/2015** – earliest date for PAT to be turned on **24/09/2015** – earliest date for ELEXON to recommend escalation **29/10/2015** – earliest date for Performance Assurance Party (PAP) to attend PAB  |
| **The Supplier Migration Plan is not approved by PAB** |  Education EFR | If the PAB does not approve the SMP in its September meeting, ELEXON will notify the Supplier within 2 WDs of PAB’s decision and its rationale. The Supplier will then have 5 WDs to produce a new SMP and ELEXON will review it ahead of October PAB meeting to ensure PAB’s concerns are addressed. If ELEXON does not receive the plan after the 5 WD window, the Supplier will automatically enter EFR. Standard EFR timescales will apply. However, if ELEXON receives the plan by the PAB internal paper day (20 October 2015), EFR will be switched off and ELEXON will present the plan at the October PAB meeting.If the PAB does not approve the plan, the Supplier will enter into EFR for not having an approved plan in place by the start of migration period. The Supplier will then be escalated to PAB and will be asked to attend the November PAB meeting to explain why the plan was not ready in time. | **06/10/2015** – deadline to provide a new SMP**07/10/2015** – earliest date for PAT to be turned on**29/10/2015** –earliest date for ELEXON to recommend escalation**26/11/2015** – earliest date for PAP to attend PAB |
| **Supplier not complying with the SMP** (without informing the PAB that the plan has changed) |  EFR | If the non-compliance is above the proposed variance threshold (5% of the intended monthly migration or 20 MSIDs, whichever is the higher), the Supplier is required to submit a new SMP to the PAB at the same time as its monthly update setting out the reason for the change and the impact on its migration numbers.If an updated SMP is not provided, its OSM will contact the PAP to find out why and note that a full update to explain why the migration is not on track against the SMP by the 7th working day of the month (this explanation will be passed on to the PAB). It will also note that a new SMP will be required no later than the 1st working day of the next month. If the Supplier has to provide a new plan, it will follow the typical does not provide either the update or the new SMP, EFR will be turned on and the Supplier asked to provide details of why it is non-compliant with P322 requirements and how it intends to become compliant and by when. This will follow the EFR timescales, as outlined in BSCP538 and the Supplier will have 20 WDs to provide it. If the Supplier provides and SMP, the PAB will then see the new plan at its meeting the following month. If the PAB rejects the new plan, ELEXON will turn EFR on and request that either a new SMP is submitted which addresses the PAB’s feedback within 10 working days or that an EFR plan is submitted within 20 working days (in accordance with BSCP538) setting out why this is not possible and the actions the Supplier is taking to become compliant with the P322 requirements. Once the Supplier is in EFR the PAB can determine that the escalation process should be initiated when required.  |  **1st WD of the month** – Date information provided / non-compliance identified **2nd WD of the month** – PAP informed and requested to:* Provide an update to ELEXON by 7th working day with a full explanation which will be passed on to the PAB; and
* Provide an updated SMP by the 1st working day of the following month

 **2nd WD of the month + 20 WDs** – Deadline for Supplier to provide new SMPIf either is not provided, EFR will be turned on (at either 8th working day or 2nd working day of the following month).**Month + 1** – earliest the PAB can see the new SMP for approval**Month +** **3** – earliest the PAP can be escalated to PAB (if plan not approved)  |
| **Supplier not providing a monthly update** | EFR | If the Supplier does not provide a monthly update by the day it is due, its OSM will contact to find out why the update is not submitted. ELEXON will assume that there was no activity in the month if the Supplier does not provide a monthly update. ELEXON will then compare the zeros to the independent report and validate the assumption. If some CoMC activity happened in the month, ELEXON will apply EFR based on the variance threshold (5% of the intended monthly migration or 20 MSIDs, whichever is higher).If this shows that the SMP is off track, the process above would be followed to obtain an explanation and new SMP.  | **If required, see process for Supplier not complying with SMP.**  |
| **Supplier monthly update does not align with ELEXON’s independent report of numbers of Profile Class 5-8 Metering Systems registered in the Non Half Hourly market**  | EFR | ELEXON will compare the independent monthly report to the monthly update provided by the Supplier as soon as Supplier sends it in. The independent reporting will be ready before the monthly update deadline. It will take ELEXON up to 5 WDs to compare all monthly updates against the data held by ELEXON. If the numbers do not align, ELEXON will, at the first instance, contact the Supplier and ask them to investigate the reason for the difference in reporting.If the mismatch has continued and the Supplier has given no satisfactory explanation, on the 3rd month, ELEXON will again request an explanation and give the Supplier 5 WDs to provide it.If Supplier fails to provide an explanation and the variance is above the investigation threshold, ELEXON will automatically switch EFR on and ask the Supplier to attend the next PAB meeting. Provide the PAB with this information and determine whether any other PATs should be deployed. | **1st WD of the month** – Deadline for Supplier to provide monthly update**6th WD of the month** – ELEXON finishes comparison and contacts the Suppliers whose monthly updates failed**11th WD of the month** – Deadline for Supplier to provide explanation for the variance id it is the third month of a mismatch.**12th WD of the month –** earliest date for PAT to be switched on**Month + 1** – earliest PAP can attend PAB |
| **Further monitoring and action** | Technical Assurance of Performance Assurance Parties (TAPAP)  | At any time throughout the migration, the PAB may choose to use the TAPAP technique. TAPAP would be used to provide assurance that Suppliers are adhering to the Code requirements. This may involve site visits to Suppliers. | **Not determined yet** |