

# PROPOSED AMENDMENTS TO BSCP535 - TECHNICAL ASSURANCE

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**MEETING NAME** Performance Assurance Board (PAB)

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**Date of meeting** 24 April 2014

**Paper number** 159/08

**Owner/author** Elizabeth Montgomerie

**Purpose of paper** For Decision

**Classification** Public

**Summary** Following a review of BSCP535 - Technical Assurance, we are seeking the PABs agreement to progress a number of proposed amendments through the BSC Change process.

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## 1. Background

- 1.1 The [Technical Assurance of Performance Assurance Parties](#) (TAPAP) is a [Performance Assurance Technique](#) (PAT) within the [Performance Assurance Framework](#) (PAF).
- 1.2 The TAPAP process is set out in BSC Procedure (BSCP) 535 - Technical Assurance. It is a detective technique that provides assurance that Performance Assurance Parties (PAPs) are meeting their obligations as stated within the Balancing and Settlement Code (BSC) and supporting Code Subsidiary Documents. The TAPAP process has been designed to uncover non-compliance with the obligations. It is also used to review industry processes and recommend steps to resolve any failed or broken processes.
- 1.3 The scope of work for the TAPAP technique is agreed annually by the PAB through the [Risk Operating Plan](#) (ROP). The scope focuses on areas of risk to the Settlement processes, in accordance with the [Risk Evaluation Register](#) (RER).

## 2. Proposal

- 2.1 BSCP535 has not been reviewed since it was last amended in 2009. Therefore, we have performed a review of BSCP and have identified a number of proposed changes to it. We would like the PAB to consider and agree before the changes are progressed further as a Change Proposal (CP) through the [BSC change management process](#).
- 2.2 The proposed changes fall under the following categories:
  - 2.2.1 Housekeeping – correction of typographical errors
  - 2.2.2 Clarity – adding additional clarity to the BSCP
  - 2.2.3 Process reflection - changes to accurately reflect how the process is operated
  - 2.2.4 Process improvement – proposed new process steps
- 2.3 Full details of the proposed changes are set out in Table 1. We have also produced a redlined version of BSCP535 showing the proposed changes, which can be found in Attachment A.

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2.5 Table 1: Details of proposed changes to BSCP535: Technical Assurance.

2.5.1 Please note that any section numbering or process step numbering changes have not been detailed in Table 1. If the PAB agrees that the proposed changes are taken forward all reference numbering will be checked, validated and updated as part of preparing the CP required to take the changes forward.

2.5.2 Please note that where this paper references forms in the BSCP, that the forms are not a physical interface (as they may be with other BSCPs e.g. online forms). Instead all the information that is set out in these forms must be communicated between the PAP and the Delegated Authority, however the method is flexible. This is to account for the variety of different types of TAPAP checks that take place, requiring different form structures.

Proposed Change #	BSCP535 Section Reference	Description	Category
1	Section 1, 1.1	Inclusion of a reference to the PAB terms of reference.	Process reflection
2	Section 1, 1.4.1	Typo correction (BSSCo to BSCCo).	Housekeeping
3	Section 1, 1.4.1	Typo correction (it's to its).	Housekeeping
4	Section 1, 1.4.1	Acknowledgement that the scope of work will be published through the ROP.	Clarity
5	Section 1, 1.4.1	Inclusion of the milestone for PAPs to agree check results within 2 working days – as per the process steps.	Process reflection
6	Section 1, 1.4.1	Acknowledgement that the PAP may <i>or</i> may not (not must) be asked to provide rectification details in accordance with BSCP538 – Error and Failure Resolution (EFR) if a non-compliance is identified.	Process reflection
7	Section 1, 1.4.1	Reflecting that the Delegated Authority will report to the PAB on all check types and not just targeted checks.	Clarity
8	Section 1, 1.7	Inclusion of BSCP501 – Supplier Meter Registration Service and BSCP513 – Bulk Change of NHH Supplier Agent into the Associated BSC Procedures table.	Process reflection
9	Section 3, 3.1	Acknowledgement that the PAB approve (rather than notify the BSCCo) the scope of work for the TAPAP technique through the ROP.	Clarity
10	Section 3, 3.2.1	Removed 'Telephone' communication method for <i>formal</i>	Process reflection

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		notification of a TAPAP check (whilst it's very likely that a PAP would initially become aware of a check via a telephone call, the formal notification would be in accordance with the BSCP forms).	
11	Section 3, 3.2.2	Introduction of a <b>new step</b> to obligate the PAP to formally accept the proposed TAPAP check within 2 working days of formal notification.	Process improvement
12	Section 3, 3.2.3	Amendment of this step to reflect the introduction of the new step at 3.2.2 (Proposed change #11). Additionally, removal of the telephone communication method to supply the required information, prior to the TAPAP checks.	Process reflection
13	Section 3, 3.2.4	Inclusion of the word 'sampling' as a method of performing the TAPAP checks.	Process reflection
14	Section 3, 3.2.7	Acknowledgement that the TAPAP technique may be a sole check or a series of checks	Process reflection
15	Section 3, 3.2.8	Introduction of a new step to obligate the Delegated Authority to report back to the PAB on the findings of the TAPAP check/s and seek approval to apply the EFR technique if appropriate.	Process reflection
16	Section 3, 3.2.9	Inclusion of the words 'if appropriate', to clarify that the EFR technique may <i>or</i> may not be appropriate for resolving identified non-compliance (for example it may not be appropriate to apply the EFR technique where the fix is simple and 'costs' less than administering the EFR technique).	Clarity
17	Section 3, 3.4.4	Inclusion of the word 'PAB' into the method section; to clarify that the PAB must be informed of Appeal details through a PAB Paper.	Clarity
18	Section 3, 3.4.5	Removal of PAP from the 'To' section (the PAP would receive the decision of an Appeal through the Delegated Authority; though in practice this may all be performed with all parties in the same room.	Housekeeping
19	Section 3, 3.4.5	Alteration of the 'Method' of communication of formal records of Appeal decisions. 'Updated from Written	Housekeeping

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		Communication' to 'Minutes of meeting' to reflect that the decision is recorded in the meeting minutes (however, the communication is likely to include formal written communication and this would be managed between the OSM and the PAP).	
20	Section 3, 3.4.7	Removal of reference to BSCP538 – EFR, to clarify that the EFR technique may <i>or</i> may not be appropriate for resolving the identified non-compliance that had been appealed.	Clarity
21	Section 3, 3.4.7	Amendment to the 'Method' section to reflect that the outcome would be communicated to the PAP through written communication and use the EFR technique, if appropriate.	Clarity
22	Section 4, 4.8,	Acknowledgment that the structure of the forms will be agreed between the PAP, PAB and the Delegated Authority (and not the BSCCo, as the TAPAP checks 'could' be contracted out).	Clarity
23	Section 4, 4.8 BSCP535/01	Change to the title of the form; from 'Site Selection of a TAPAP check' to 'Notification of a TAPAP check'.	Clarity
24	Section 4, 4.8 BSCP535/01	<ul style="list-style-type: none"> <li>• Removal of 'Proposed Time of Check' (in practice this happens once a date has been agreed and an agenda is prepared in collaboration with the PAP).</li> <li>• Inclusion of 'Delegated Authority' in reference to determination of the 'Check Reference'.</li> <li>• Clarity in the details that should be included for requesting documentation from the PAP.</li> <li>• Some housekeeping changes; to improve the flow of the text.</li> <li>• Clarity around when the PAP must accept the proposed TAPAP check.</li> <li>• Inclusion of a date by which the PAP must provide the required documentation by.</li> <li>• Clarity around the contact details for the Delegated Authority.</li> </ul>	Process reflection  Clarity Clarity  Housekeeping  Clarity Process improvement  Clarity
25	Section 4, 4.8 BSCP535/02	Change to the title of the form; from 'Confirmation of Attendance' to Acceptance of TA check'.	Clarity

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26	Section 4, 4.8 BSCP535/02	<ul style="list-style-type: none"> <li>• Inclusion of 'Delegated Authority' in reference to determination of the 'Check Reference'.</li> <li>• Removal of 'Proposed Time of Check' (in practice this happens once a date has been agreed and an agenda is prepared in collaboration with the PAP).</li> <li>• Some housekeeping changes; to improve the flow of the text.</li> </ul>	<p>Clarity</p> <p>Process reflection</p> <p>Clarity</p>
27	Section 4, 4.8 BSCP535/06	<ul style="list-style-type: none"> <li>• Some housekeeping changes; to improve the flow of the text.</li> <li>• Inclusion of 'Delegated Authority' in reference to determination of the 'Check Reference'.</li> </ul>	<p>Clarity</p> <p>Clarity</p>

### 3. Next Steps

3.1 If the PAB agrees to the changes, set out in Table 1, being taken forward. A CP will be prepared and progressed through the Change Management process. Once the CP has been taken through the change management process, the CP will be brought back to the PAB for endorsement before the CP is taken to the Supplier Volume Allocation Group (SVG) for a final decision.

### 4. Recommendations

4.1 We invite you to:

- a) **COMMENT** on the proposed changes to BSCP535 – Technical Assurance;
- b) **AGREE** the proposed changes to BSCP535 – Technical Assurance; and
- c) **AGREE** that a CP should be raised to take forward the proposed changes.

### Attachments

Attachment A – Draft version of amendments to BSCP535.

#### For more information, please contact:

Elizabeth Montgomerie, Technical Auditor

Elizabeth.montgomerie@elexon.co.uk

020 7380 4224