BSC Procedure 605 relating to an Assurance Information Request

1. Reference is made to the Balancing and Settlement Code (the Code) and in particular, to the definition of "BSC Procedure" in Section X, Annex X-1 thereof.

2. This is BSC Procedure 605, Version 1.00.3 relating to Assurance Information Requests of Performance Assurance Parties.

3. This BSC Procedure is effective from 3 November 2022.

4. This BSC Procedure has been approved by the ~~Panel~~ BSCCo.

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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 Assurance Information Request (AIR). The PAB may delegate such functions as it sees fit in accordance with the PAB Terms of Reference.

The AIR function will be distinct from but complementary to other Performance Assurance Techniques (PAT), in particular the other detective techniques within the Performance Assurance Framework (PAF).

1.2. Risk Based Performance Assurance Framework

PATs will be applied to a PAP based on the net significance of the applicable Settlement Risk and an assessment of the PAP's contribution to the Settlement Risk.

Settlement Risks and their net significance are captured on the Risk Evaluation Register (RER). All the Settlement Risks identified are rated in terms of severity of impact and probability (including a weighting for the strength of controls).

The Settlement Risks are assigned PATs to mitigate those risks and these PATs are recorded in the Risk Operating Plan (ROP) against each Settlement Risk.

The RER and the ROP are produced for a Performance Assurance Operating Period (PAOP) in accordance with the Annual Performance Assurance Timetable and the agreed Risk Evaluation Methodology (REM), which details the processes used to identify and evaluate the Settlement Risks and assess their materiality.

At the end of a Performance Assurance Operating Period, the PAB will prepare an Annual Performance Assurance Report for the ~~Panel~~ SAF for consultation, detailing the assurance that has been provided during the course of the period, the extent to which Settlement Risks have been mitigated, and BSCCo costs of providing that assurance.

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1.3 Main Users of the Procedure

This BSC Procedure should be used by the:

- Performance Assurance Parties
- Delegated Authority
- BSCCo
- Performance Assurance Board (PAB)

1.4. Scope of Work

Assurance Information Request (AIR)

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

- General scope of work for AIR.
    - This includes details of the Information Request to be undertaken and will utilise information from (but not limited to) PAPs, other PAF techniques, the BSC Auditor, the Technical Assurance Agent (TAA), BSCCo and the Performance Assurance Administrator (PAA) when deciding where to apply the requests.
- Targeted requests of PAPs.
    - The PAB may decide to apply a targeted Information Request to a single or sub set group of PAPs, because of performance related issues, Settlement error, information provided by its sub-committees or the ~~Panel~~ BSCCo or to gain an understanding of a particular Settlement Risk.

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

- The PAB will approve an AIR, 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 AIR.
- The findings from an AIR may be used to understand a Settlement Risk in more detail, feed into the assessment of the PAP's contribution to Settlement Risk or for a Risk Management Determination for deploying any of the other techniques as well as the Annual Performance Assurance Report.

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The key milestones in the application of an AIR are:

- The PAB or its Delegated Authority will select PAPs who will form the subject of the Information Request. The PAB or its Delegated Authority will then notify the PAP of the request and outline the requirements for the information that is to be returned on the date specified as part of the Information Request.

- The PAB or its Delegated Authority shall review the submitted information in line with the requirements of the Information Request.

- The Delegated Authority will report to the PAB as and when required on the results of any request (including targeted requests).

1.5. Responsibilities

The PAB, as part of determining the annual scope of work for AIR, may delegate the performance of each Information Request and each of the functions associated with a request to a Delegated Authority.

PAPs are responsible for providing any information that is requested by the PAB or its Delegated Authority in order to perform an AIR.

1.6. Balancing and Settlement Code Provision

This BSC Procedure has been produced in accordance with the provisions of the BSC and in particular Section Z. In the event of an inconsistency between the provisions of this BSC Procedure and the BSC, the provisions of the BSC shall prevail.

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1.7. Associated BSC Procedures

This BSC Procedure interfaces with:

BSCP27	Technical Assurance of Half Hourly Metering Systems for Settlement Purposes
BSCP501	Supplier Meter Registration Service
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
BSCP513	Bulk Change of NHH Supplier Agent
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
BSCP535	Technical Assurance
BSCP537	Qualification Process for SVA Parties, SVA Party Agents and CVA MOAs
BSCP538	Error and Failure Resolution

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1.8. Acronyms

The terms used in this BSC Procedure are defined as follows:

AIR	Assurance Information Request
BSCCo	Balancing and Settlement Code Company
DA	Data Aggregator
DC	Data Collector
EFR	Error Failure Resolution
HHDA	Half Hourly Data Aggregator
HHDC	Half Hourly Data Collector
LDSO	Licensed Distribution System Operator
MA	Meter Administrator
MSID	Metering System Identifier
NHHDA	Non Half Hourly Data Aggregator
NHHDC	Non Half Hourly Data Collector
PAA	Performance Assurance Administrator
PAB	Performance Assurance Board
PAF	Performance Assurance Framework
PAP	Performance Assurance Party
REM	Risk Evaluation Methodology
RER	Risk Evaluation Register
ROP	Risk Operating Plan
SAD	Self Assessment Document
SMRA	Supplier Meter Registration Agent
SVA MOA	Supplier Volume Allocation Meter Operator Agent
TA	Technical Assurance
TAP	Technical Assurance of PAPs
WD	Working Day

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1.9. Definitions

Full definitions of the acronyms in Section 1.8 are, where appropriate, included in the Balancing and Settlement Code Section X.

Working Day - Throughout this procedure, unless otherwise stated, timetables reflect the number of Working Days (WD) following defined events by which an activity should be completed.

Delegated Authority - a function carried out by a body approved by PAB, in accordance with Section Z, 1.51.

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2 Interface and Timetable Information

2.1. Determination of scope of work for Assurance Information Request

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
2.1.1	At PAB meeting.	Determine scope and notify BSCCo.	PAB	BSCCo	ROP	
2.1.2	Within 10 WD of PAB approval.	Publication of scope.	BSCCo		Scope	

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2.2. Assurance Information Request

REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
2.2.1		Provide PAP with the Assurance Information Request.	Delegated Authority	PAP	Date that PAP is required to respond by, along with specific details of the information that is requested.	Email or other agreed method. BSCP605/01
2.2.2	On the date specified in the Assurance Information Request (this will be no less than 10WD from the date of the request).	Supply the requested information.	PAP	Delegated Authority	Submission of requested information.	Email or other agreed method. BSCP605/02
2.2.3	At or within 5 WD of the date specified in the Assurance Information Request.	Delegated Authority checks that all of the requested information has been received.				
		(a) Information submission complete. Confirm receipt of required information.	Delegated Authority	PAP	Confirmation of receipt of required information.	Email or other agreed method. BSCP605/03
		(b) Information submission is incomplete. Send a request for the missing information.	Delegated Authority	PAP	Date that PAP is required to respond by, along with specific details of the information that is required.	Email or other agreed method. BSCP605/04
		(c) No information has been received. Send reminder.	Delegated Authority	PAP	Date that PAP is required to respond by, along with specific details of the information that is required.	Email or other agreed method. BSCP605/04
2.2.4	Following 2.2.3 (b) and (c), on the date specified in the follow up to the Assurance Information Request.	Supply the requested information.	PAP	Delegated Authority	Submission of requested information.	Email or other agreed method. BSCP605/03

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REF	WHEN	ACTION	FROM	TO	INFORMATION REQUIRED	METHOD
2.2.5	At or within 5 WD of the date specified in the follow up Assurance Information Request.	Delegated Authority checks that all of the requested information has been received.				
		(a) Information submission complete. Confirm receipt of required information.	Delegated Authority	PAP	Confirmation of receipt of required information.	Email or other agreed method. BSCP605/03
		(b) No information has been received. Notify the PAB at the next available meeting.	Delegated Authority	PAB	Results of the Assurance Information Request	
2.2.6	Following 2.2.3 (a) or 2.2.5 (a) at the next available PAB meeting.	Notify the PAB of the results of the Assurance Information Request.	Delegated Authority	PAB	Results of the Assurance Information Request	

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3 Appendices

3.1 Assurance Information Request 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 / Delegated Authority*.

Form BSCP605/01 – Assurance Information Request

The Delegated Authority will provide the following details to the PAP in accordance with section 2.2.1:

- PAP subject to the Assurance Information Request
- Role subject to the Assurance Information Request
- Assurance Information Request Reference (determined by the Delegated Authority)
- Reason for the Assurance Information Request, including link to ROP, scope of work and relevant Settlement Risk Identification Number(s)
- Details of the required information from the PAP
- Date by which the PAP must acknowledge the Assurance Information Request using the date items required in form BSCP535/02
- Date by which the PAP must provide the Assurance Information Request submission
- Contact details for the PAP to all requested information, acceptance and a point of contact for any communication with the Delegated Authority.

Form BSCP5605/02 – Assurance Information Request Submission

The PAP will provide the following details to the Delegated Authority in accordance with section 2.2.2 and 2.2.5:

- PAP subject to the Assurance Information Request
- Role subject to the Assurance Information Request
- Assurance Information Request Reference (determined by the Delegated Authority)
- All required information as requested in the Assurance Information Request
- Any other relevant information

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Form BSCP5605/03 – Confirmation of receipt of Assurance Information Request Submission

The Delegated Authority will provide the following details to the PAP in accordance with section 2.2.4 (a) and 2.2.6 (a):

- PAP subject to the Assurance Information Request
- Role subject to the Assurance Information Request
- Assurance Information Request Reference (determined by the Delegated Authority)
- Confirmation of receipt
- Any other relevant information

Form BSCP5605/04 – Assurance Information Request follow up

The Delegated Authority will provide the following details to the PAP in accordance with section 2.2.4 (b) and 2.2.4 (c):

- PAP subject to the Assurance Information Request
- Role subject to the Assurance Information Request
- Assurance Information Request Reference (determined by the Delegated Authority)
- Details of the required information from the PAP
- Date by which the PAP must provide the Assurance Information Request submission

AMENDMENT RECORD – BSCP605

Version	Date	Description of Changes	Changes Included	Mods/ BSCCo~~Panel~~/ Committees Refs
1.0	03/11/2022	November 2022 Release	CP1567	Panel 330/06

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