

PUBLIC

# Settlement Risk Report

December 2018



Settlement Operations

V1.0

December 2018

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## SUMMARY OF TOP SETTLEMENT RISKS

SRIN	Risk Description	Noted Controls	Net Sig.
SR0072	The risk that NHHDCs process incorrect Meter readings, resulting in erroneous data being entered into Settlement.	Meter Reading Validation. The NHHDC informs the Supplier of incorrect Meter register mappings. Investigate inconsistencies process. Site visit checks by the NHHDC. EAC/AA validation.	16
SR0074	The risk that NHHDCs do not collect and / or enter valid Meter readings resulting in old/default data entering Settlement.	D0004 (Notification of Failure to Obtain Reading). □ DC sends D0012 (Confirmation of Inclusion of the Metering Point in the Reading Schedules) (Read Cycle). D0019 (Metering System EAC/AA data) sent to Supplier. □ D0001 (Request Metering System Investigati	15
SR0024	The risk that NHHMOAs do not provide Meter Technical Details to the correct NHHDCs resulting in Meter readings not being collected.	Underpin – DC can request data from the Supplier. D0170 requests and responses	12
SR0025	The risk that HHMOAs do not provide Meter Technical Details to the correct HHDCs resulting in Meter readings not being collected.	D0170 requests and responses (Cos & CoDC processes only)	12
SR0081	The risk that HHDCs do not process valid HH readings resulting in estimated data being entered into Settlement.	D0012 (Confirmation of Inclusion of the Metering Point in the Reading Schedules) (Read Cycle) is sent by the DC to Supplier. D0036 (Validated Half Hourly Advances for Inclusion in Aggregated Supplier Matrix) is sent to the Supplier. D0022 (Estimated Half	12
SR3019	The risk that Half Hourly Meter Operator Agents (HHMOAs) do not provide correct Meter Technical Details (MTDs), including when HHMOAs make changes to MTDs, to the Half Hourly Data Collector, resulting in Meter readings not being collected or misinterpreted.	COP4 requirements.□ □ Proving Test. (If requested) □ □ Commissioning.□ □ D0001 (Request Metering System Investigation).□ □ DC Validation.□ □ D0004 Notification of failure to obtain a reading.	12

## REFERENCE INFORMATION DESCRIPTION OF PARMS SERIALS (HH)

Serial	Measurement On	Data Provider	Description	HH Serials							
				Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8
HM11	HHMOA	HHDC	Timely Sending of HH MTDs to HHDCs	Number of D0268s received within the reporting period	Number of D0268s received, following a material change to the metering system, between +1WD and +16WD from MSMTD EFD (before SF)	Number of D0268s received, following a material change to the metering system, between +17WD and +39WD from MSMTD EFD (before R1)	Number of D0268s received, following a material change to the metering system, between +40WD and +84WD from MSMTD EFD (before R2)	Number of D0268s received, following a material change to the metering system, between +85WD and +154WD from MSMTD EFD (before R3)	Number of D0268s received, following a material change to the metering system, between +155WD and +292WD from MSMTD EFD (before RF)	Number of D0268s received, following a material change to the metering system, from +293WD from MSMTD EFD (after RF)	
HM12	HHMOA	New HHMOA, current HHDC, new HHDC	Missing HH MTDs	Number of unique registrations held at any point in the previous 14 months to snapshot day	Number of registrations for which no D0268 is held	Number of D0268s missing between +17WD and +39WD from EFD (before R1)	Number of D0268s missing between +40WD and +84WD from EFD (before R2)	Number of D0268s missing between +85WD and +154WD from EFD (before R3)	Number of D0268s missing between +155WD and +292WD from EFD (before RF)	Number of D0268s missing from +293WD from EFD (after RF)	
HM13	HHMOA	HHDC	Quality of HH MTDs	Total number of D0268s received within the reporting period	Total number of D0268s that are resubmissions with the same EFD and with a key data field change	Number of Metering Systems affected by re-sent MSMTDs					
HM14	HHMOA	HHDC	Timely HH Meter Investigation Requests	Number of D0002s received in Reporting Period	Number of D0002s received between +1WD and +16WD from the Date Fault Suspected/Detected (J1012) (before SF)	Number of D0002s received between +17WD and +39WD from the Date Fault Suspected/Detected (J1012) (before R1)	Number of D0002s received between +39WD and +84WD from the Date Fault Suspected/Detected (J1012) (before R2)	Number of D0002s received between +85WD and +154WD from the Date Fault Suspected/Detected (J1012) (before R3)	Number of D0002s received between +155WD and +292WD from the Date Fault Suspected/Detected (J1012) (before RF)	Number of D0002s received after +293WD from the Date Fault Suspected/Detected (J1012) (after RF)	
SP07	Supplier	SVAA & SMRA	SVAA and SMRA MSID Count	Percentage Difference Between MSID Counts from SVAA and SMRA							
SP08b	Supplier	SVAA	Energy and MSIDs on Actuals	% Energy Settled on Actuals							
SP11	Supplier	HHDC & HHMOA	Timely Appointment of Agents	Number of D0155s received within the reporting period	Number of D0155s not received before EFD within period	Number of D0155s received between +1WD and +16WD from EFD (before SF)	Number of D0155s received between +17WD and +39WD from EFD (before R1)	Number of D0155s received between +40WD and +84WD from EFD (before R2)	Number of D0155s received between +85WD and +154WD from EFD (before R3)	Number of D0155s received between +155WD and +292WD from EFD (before RF)	Number of D0155s received from +293WD from EFD (after RF)
SP12	Supplier	HHDC	Timely Notification of Changes of the Data Aggregator via D0148	Number of D0148s received within the reporting period where DA information is updated	Number of D0148s not received before the EFD of the DA	Number of D0148s received between +1WD and +16WD from EFD (before SF) of the DA	Number of D0148s received between +17WD and +39WD from EFD (before R1) of the DA	Number of D0148s received between +40WD and +84WD from EFD (before R2) of the DA	Number of D0148s received between +85WD and +154WD from EFD (before R3) of the DA	Number of D0148s received between +155WD and +292WD from EFD (before RF) of the DA	Number of D0148s received from +293WD from EFD (after RF) of the DA
SP13	Supplier	HHDC	Timely Notification of Changes of the Meter Operator Agent via D0148	Number of D0148s received within the reporting period where MOA information is updated	Number of D0148s not received before the EFD of the MOA	Number of D0148s received between +1WD and +16WD from EFD (before SF) of the MOA	Number of D0148s received between +17WD and +39WD from EFD (before R1) of the MOA	Number of D0148s received between +40WD and +84WD from EFD (before R2) of the MOA	Number of D0148s received between +85WD and +154WD from EFD (before R3) of the MOA	Number of D0148s received between +155WD and +292WD from EFD (before RF) of the MOA	Number of D0148s received from +293WD from EFD (after RF) of the MOA
SP14	Supplier	HHMOA	Timely Notification of Changes of the Data Collector via D0148	Number of D0148s received within the reporting period where DC information is updated	Number of D0148s not received before the EFD of the DC	Number of D0148s received, where DC information is updated, between +1WD and +16WD from EFD (before SF) of the DC	Number of D0148s received, where DC information is updated, between +17WD and +39WD from EFD (before R1) of the DC	Number of D0148s received, where DC information is updated, between +40WD and +84WD from EFD (before R2) of the DC	Number of D0148s received, where DC information is updated, between +85WD and +154WD from EFD (before R3) of the DC	Number of D0148s received, where DC information is updated, between +155WD and +292WD from EFD (before RF) of the DC	Number of D0148s received, where DC information is updated, from +293WD from EFD (after RF) of the DC
SP15	Supplier	HHDC & HHMOA	Missing Appointment of Agents	Number of unique registrations held in the previous 14 months to snapshot day	Number of registrations for which no D0148 is held	Number of D0148s missing between +17WD and +39WD from EFD (before R1)	Number of D0148s missing between +40WD and +84WD from EFD (before R2)	Number of D0148s missing between +85WD and +154WD from EFD (before R3)	Number of D0148s missing between +155WD and +292WD from EFD (before RF)	Number of D0148s missing from +293WD from EFD (after RF)	

## REFERENCE INFORMATION DESCRIPTION OF PARMS SERIALS (NHH)

NHH Serials											
Serial	Measurement On	Data Provider	Description	Standard 1	Standard 2	Standard 3	Standard 4	Standard 5	Standard 6	Standard 7	Standard 8
NC11	Old NHHDC	New NHHDC	Missing NHH Meter Reads & History from Old NHHDC to New NHHDC	Number of unique registrations held at any point in the previous 14 months to snapshot day	Number of registrations for which no D0010 and D0152 is held	Number of D0010 and D0152s missing between +17WD and +39WD from EFD (before R1)	Number of D0010 and D0152s missing between +40WD and +84WD from EFD (before R2)	Number of D0010 and D0152s missing between +85WD and +154WD from EFD (before R3)	Number of D0010 and D0152s missing between +155WD and +292WD from EFD (before RF)	Number of D0010 and D0152s missing from +293WD from EFD (after RF)	
NM11	NHHMOA	NHHDC	Timely Sending of NHH MTDs to NHHDCs	Number of D0150s received, following a material change to the Meter System, within the reporting period	Number of D0150s received, following a material change to the metering system, between +1WD and +16WD from MSM TD EFD (before SF)	Number of D0150s received, following a material change to the metering system, between +17WD and +39WD from MSM TD EFD (before R1)	Number of D0150s received, following a material change to the metering system, between +40WD and +84WD from MSM TD EFD (before R2)	Number of D0150s received, following a material change to the metering system, between +85WD and +154WD from MSM TD EFD (before R3)	Number of D0150s received, following a material change to the metering system, between +155WD and +292WD from MSM TD EFD (before RF)	Number of D0150s received, following a material change to the metering system, from +292WD from MSM TD EFD (after RF)	
NM12	NHHMOA	New NHHMOA, current NHHDC, new NHHDC	Missing NHH MTDs	Number of unique registrations held at any point in the previous 14 months to snapshot day	Number of registrations for which no D0150 is held	Number of D0150s missing between +17WD and +39WD from EFD (before R1)	Number of D0150s missing between +40WD and +84WD from EFD (before R2)	Number of D0150s missing between +85WD and +154WD from EFD (before R3)	Number of D0150s missing between +155WD and +292WD from EFD (before RF)	Number of D0150s missing from +293WD from EFD (after RF)	
SP04	Supplier	Supplier	Installation of HH Metering	Number of NHH MSIDs Requiring HH Metering							
SP07	Supplier	SVAA & SMRA	SVAA and SMRA MSID Count	Percentage Difference Between MSID Counts from SVAA and SMRA							
SP08a	Supplier	SVAA	Energy and MSIDs on Actuals	% Energy Settled on Actuals							
SP11	Supplier	NHHDC & NHHMOA	Timely Appointment of Agents	Number of D0155s received within the reporting period	Number of D0155s not received before EFD within period	Number of D0155s received between +1WD and +16WD from EFD (before SF)	Number of D0155s received between +17WD and +39WD from EFD (before R1)	Number of D0155s received between +40WD and +84WD from EFD (before R2)	Number of D0155s received between +85WD and +154WD from EFD (before R3)	Number of D0155s received between +155WD and +292WD from EFD (before RF)	Number of D0155s received from +293WD from EFD (after RF)
SP12	Supplier	NHHDC	Timely Notification of Changes of the Data Aggregator via D0148	Number of D0148s received within the reporting period where DA information is updated	Number of D0148s not received before the EFD of the DA	Number of D0148s received between +1WD and +16WD from EFD (before SF) of the DA	Number of D0148s received between +17WD and +39WD from EFD (before R1) of the DA	Number of D0148s received between +40WD and +84WD from EFD (before R2) of the DA	Number of D0148s received between +85WD and +154WD from EFD (before R3) of the DA	Number of D0148s received between +155WD and +292WD from EFD (before RF) of the DA	Number of D0148s received from +293WD from EFD (after RF) of the DA
SP13	Supplier	NHHDC	Timely Notification of Changes of the Meter Operator Agent via D0148	Number of D0148s received within the reporting period where MOA information is updated	Number of D0148s not received before the EFD of the MOA	Number of D0148s received between +1WD and +16WD from EFD (before SF) of the MOA	Number of D0148s received between +17WD and +39WD from EFD (before R1) of the MOA	Number of D0148s received between +40WD and +84WD from EFD (before R2) of the MOA	Number of D0148s received between +85WD and +154WD from EFD (before R3) of the MOA	Number of D0148s received between +155WD and +292WD from EFD (before RF) of the MOA	Number of D0148s received from +293WD from EFD (after RF) of the MOA
SP14	Supplier	NHHMOA	Timely Notification of Changes of the Data Collector via D0148	Number of D0148s received within the reporting period where DC information is updated	Number of D0148s not received before the EFD of the DC	Number of D0148s received, where DC information is updated, between +1WD and +16WD from EFD (before SF) of the DC	Number of D0148s received, where DC information is updated, between +17WD and +39WD from EFD (before R1) of the DC	Number of D0148s received, where DC information is updated, between +40WD and +84WD from EFD (before R2) of the DC	Number of D0148s received, where DC information is updated, between +85WD and +154WD from EFD (before R3) of the DC	Number of D0148s received, where DC information is updated, between +155WD and +292WD from EFD (before RF) of the DC	Number of D0148s received, where DC information is updated, from +293WD from EFD (after RF) of the DC
SP15	Supplier	NDDC & NHHMOA	Missing Appointment of Agents	Number of unique registrations held in the previous 14 months to snapshot day	Number of registrations for which no D0148 is held	Number of D0148s missing between +17WD and +39WD from EFD (before R1)	Number of D0148s missing between +40WD and +84WD from EFD (before R2)	Number of D0148s missing between +85WD and +154WD from EFD (before R3)	Number of D0148s missing between +155WD and +292WD from EFD (before RF)	Number of D0148s missing from +293WD from EFD (after RF)	

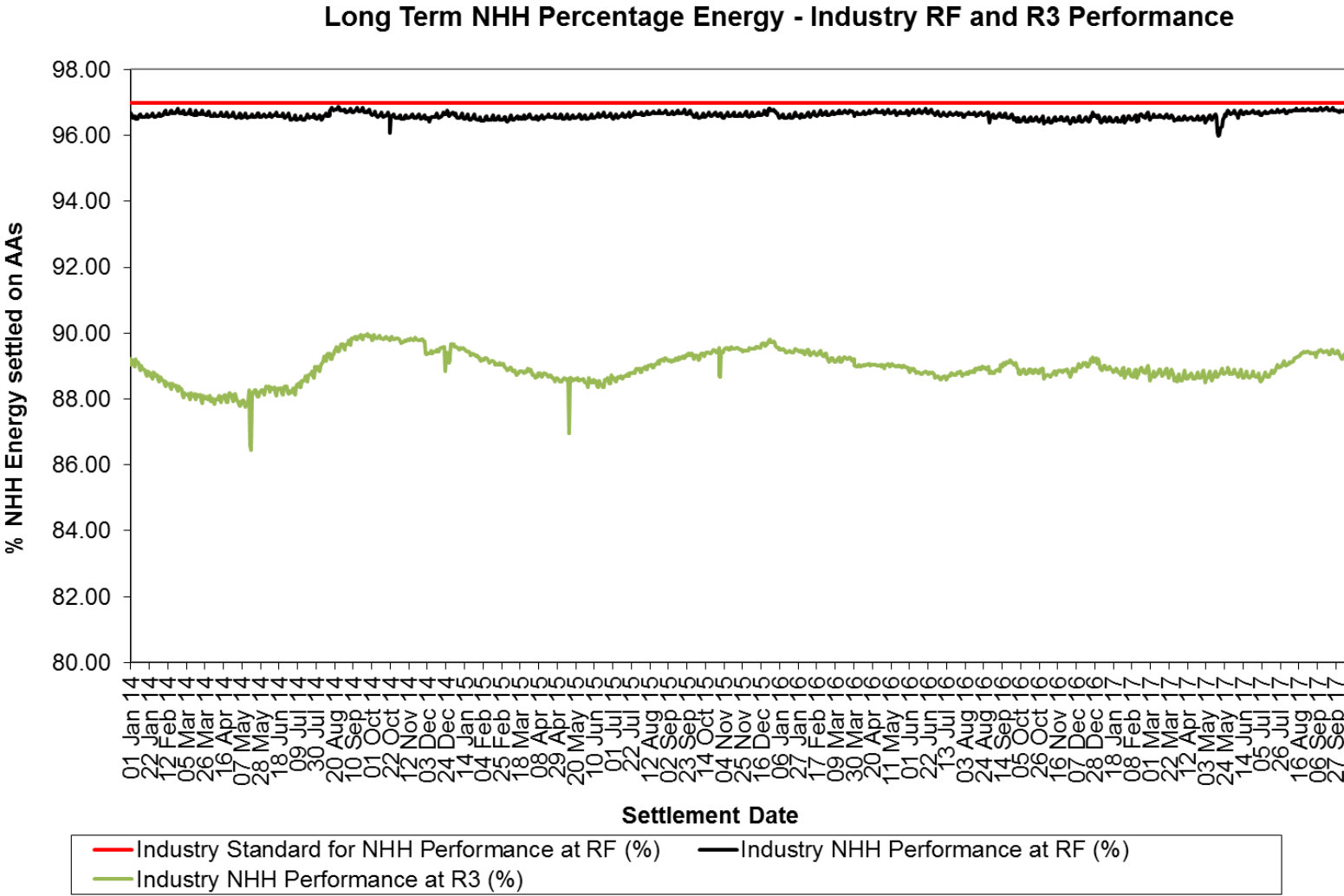
## LINK TO TRADING OPERATION'S REPORT

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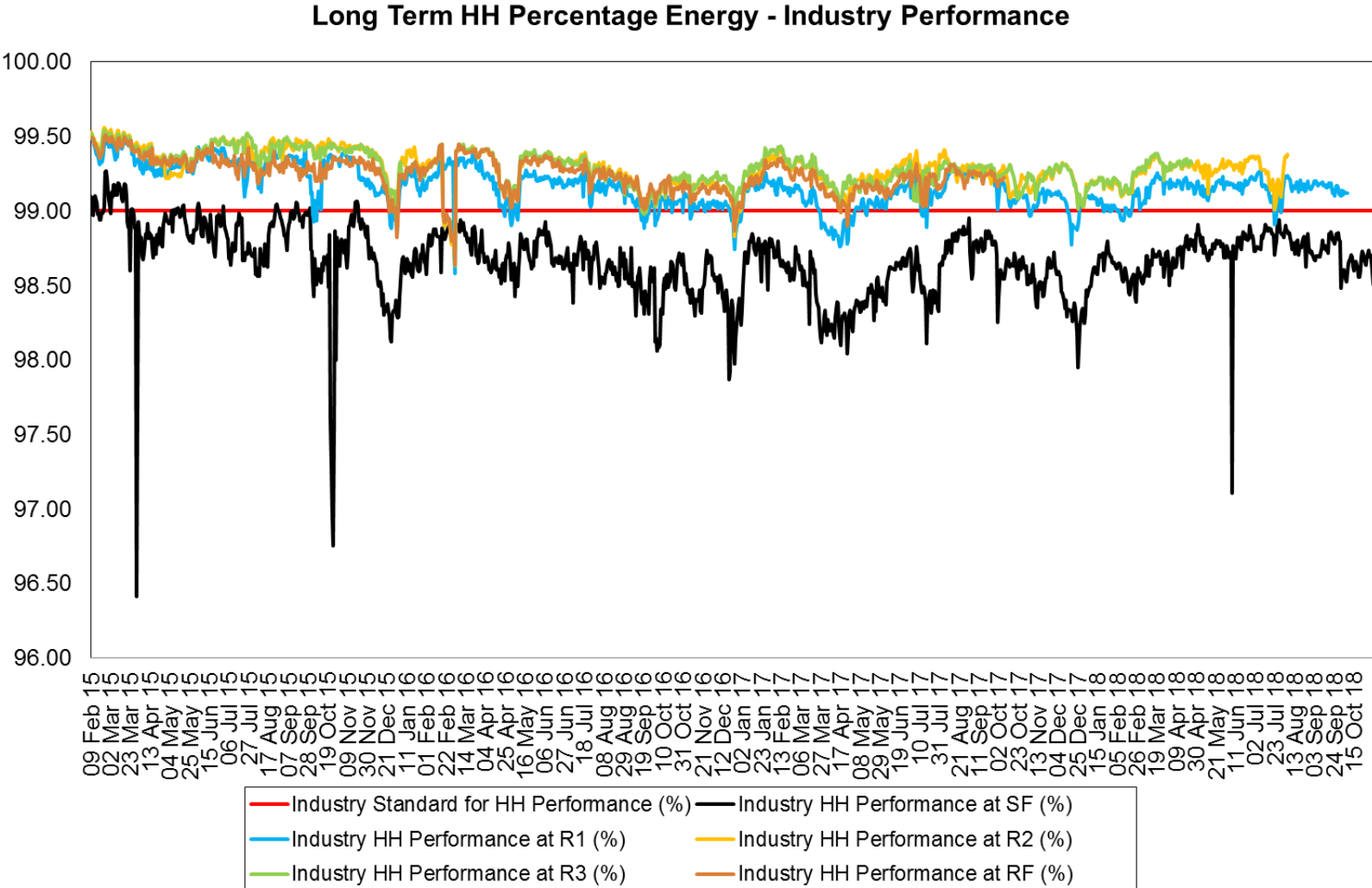
For GSP Group Maps and other relevant information please refer to the latest Trading Operations Report;

<https://www.elexon.co.uk/about/industry-insights/bsc-trading-operations-reports/>

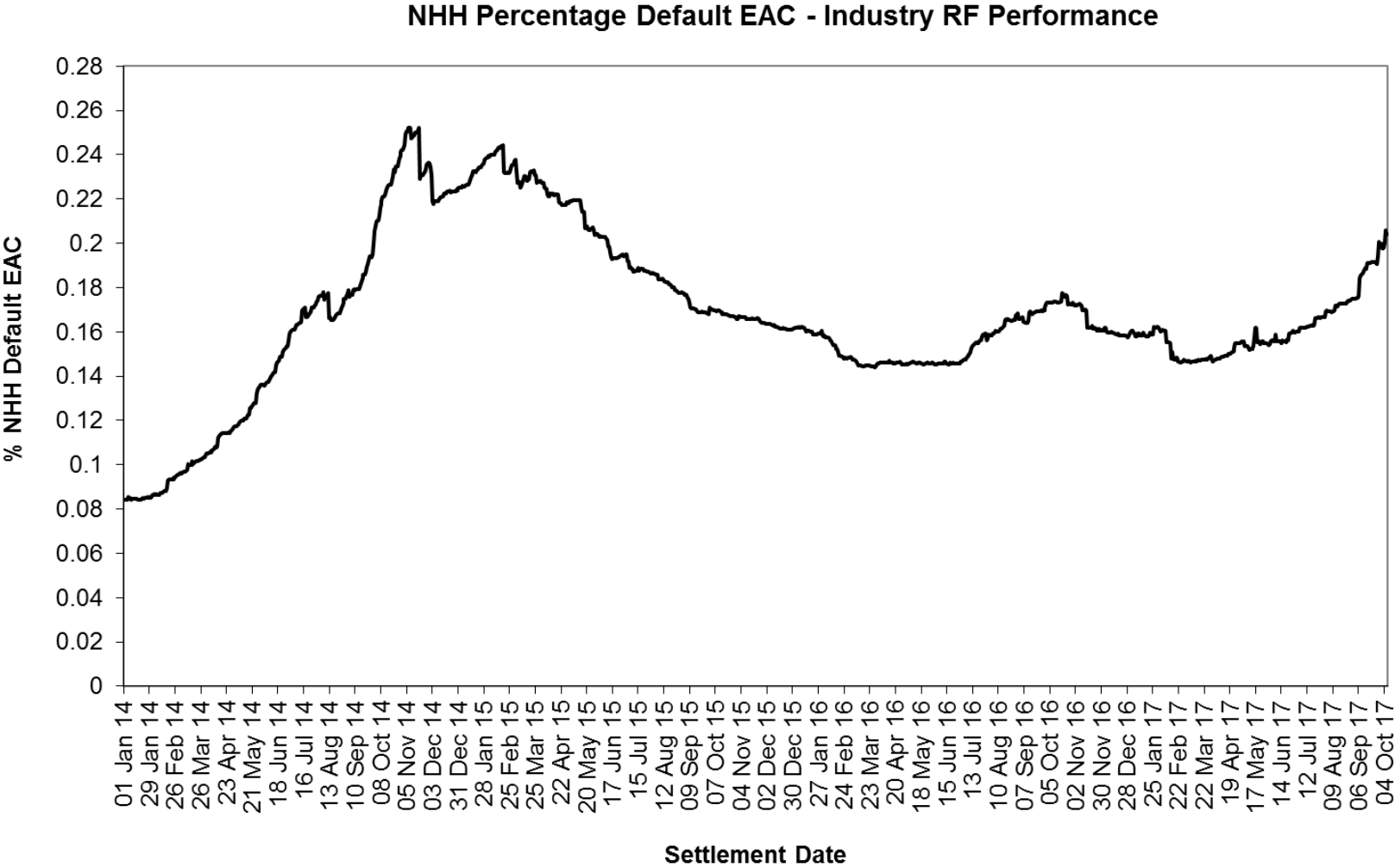
PERFORMANCE DATA RELATING TO TOP SETTLEMENT RISKS

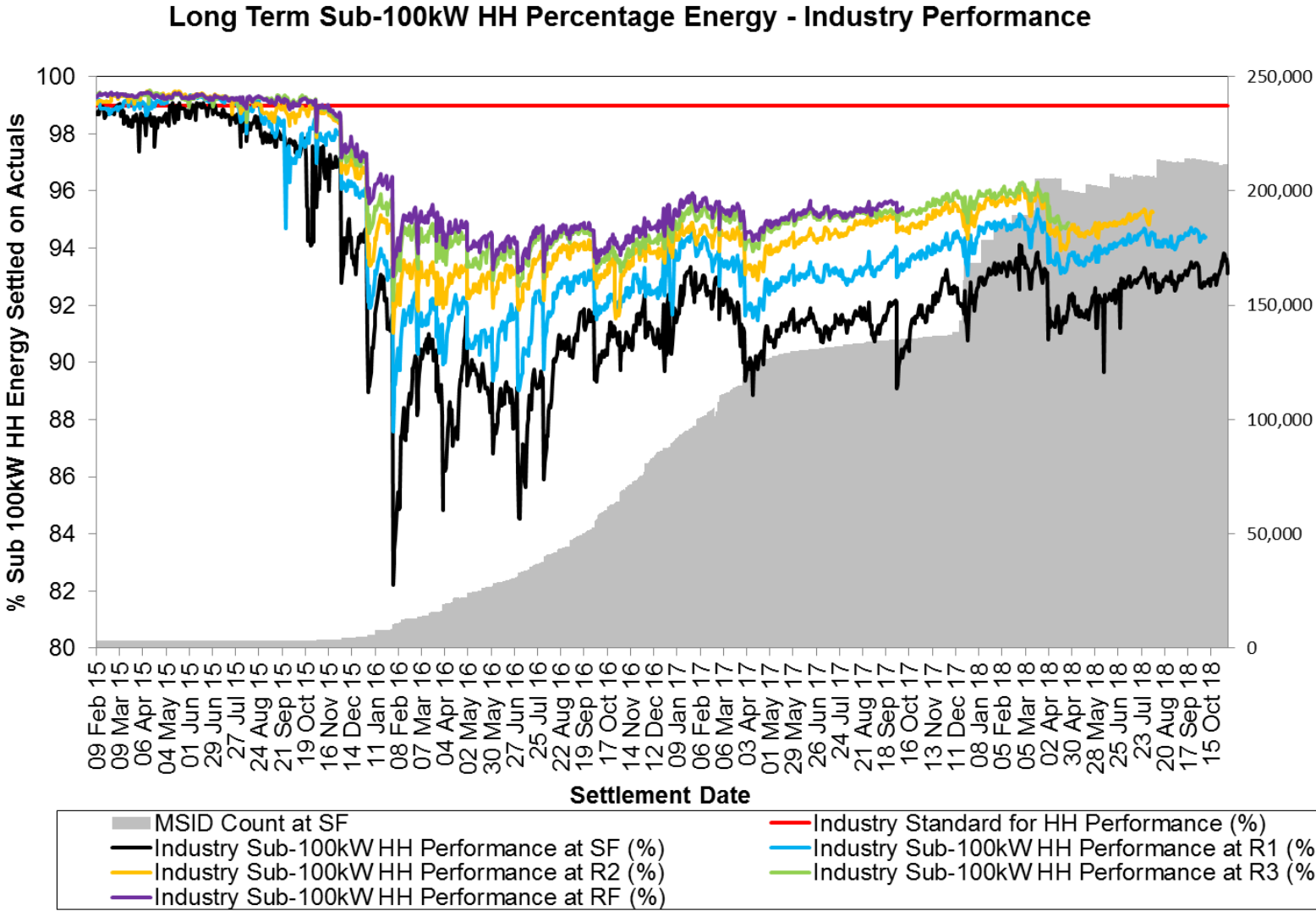


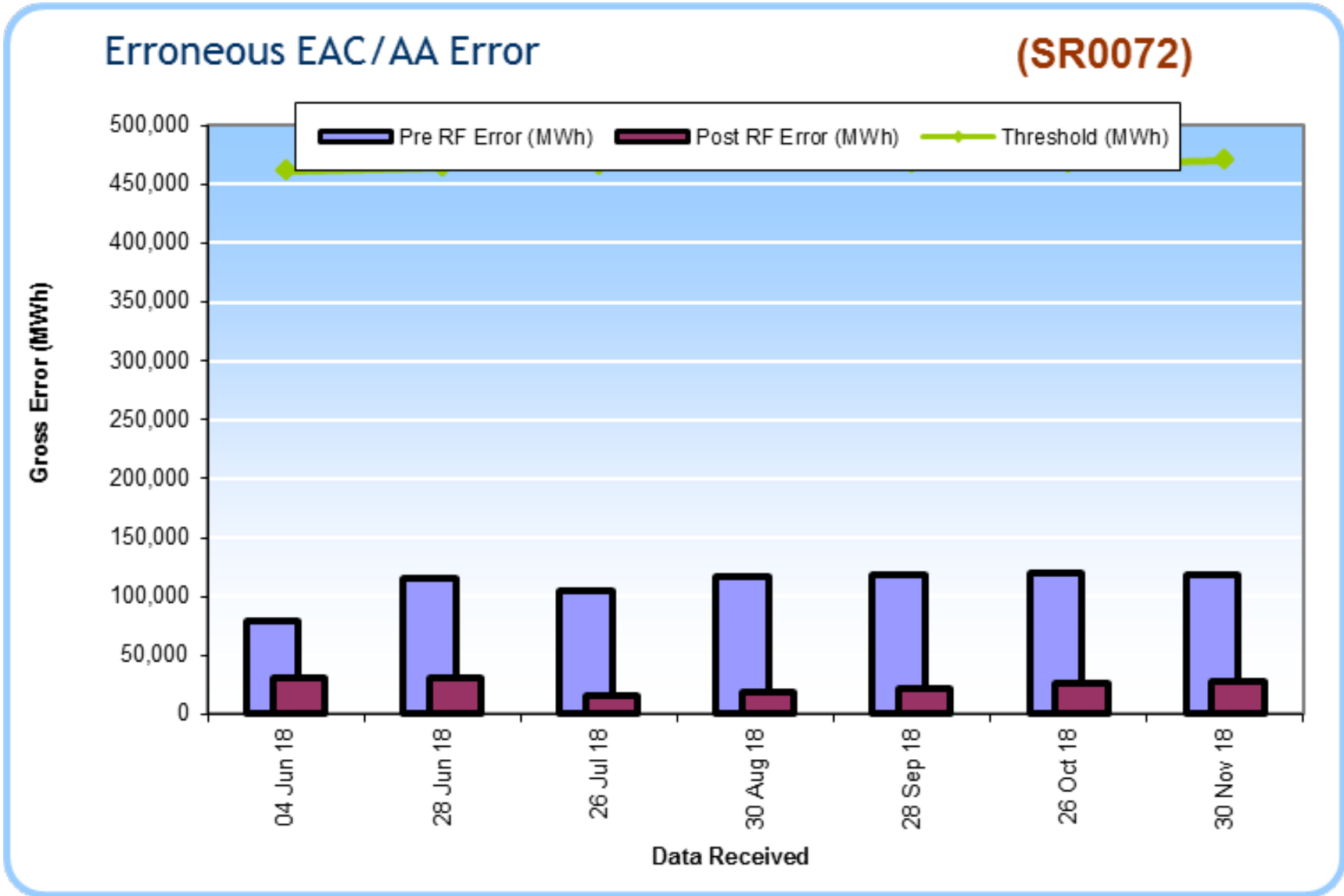
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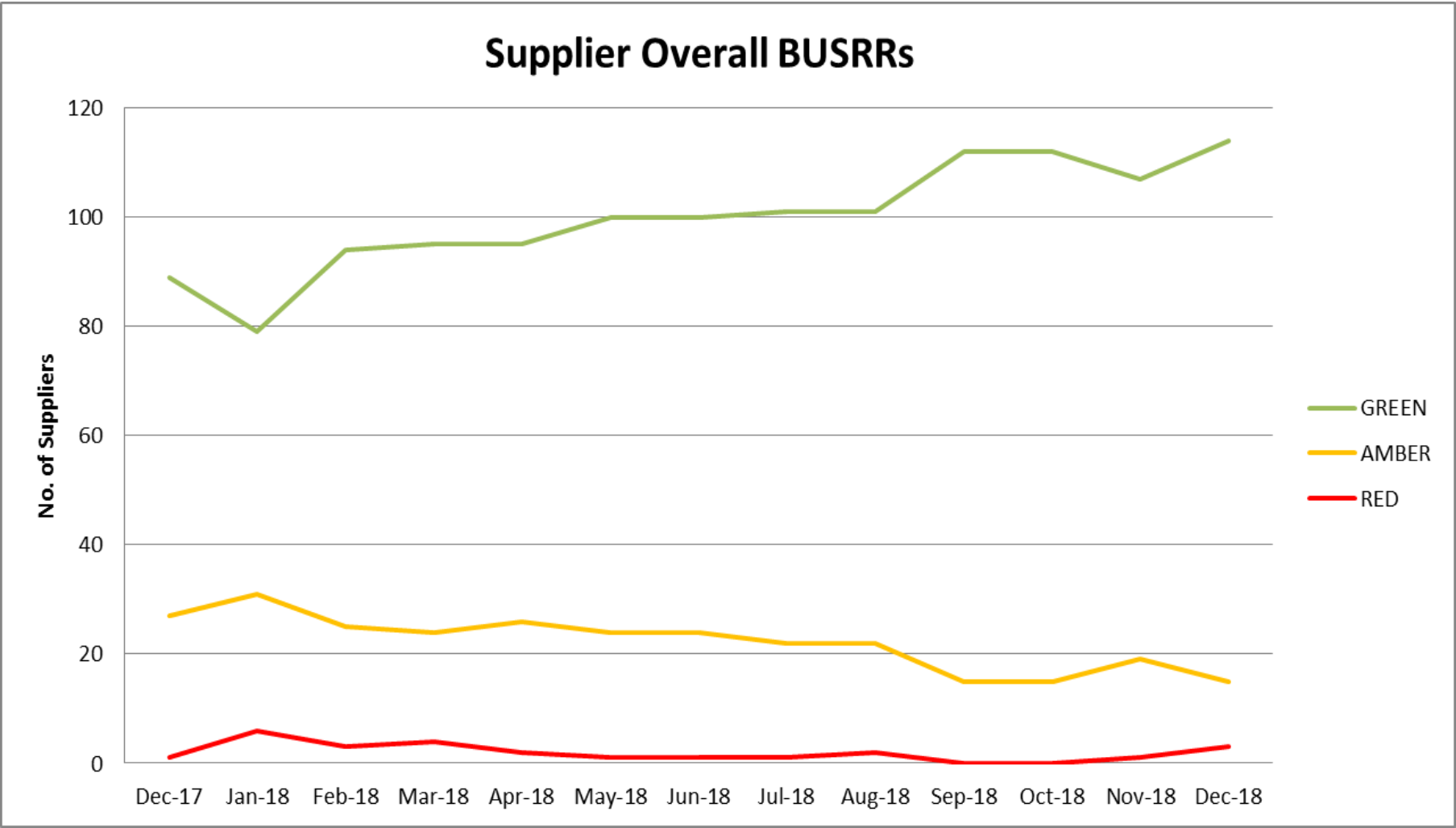
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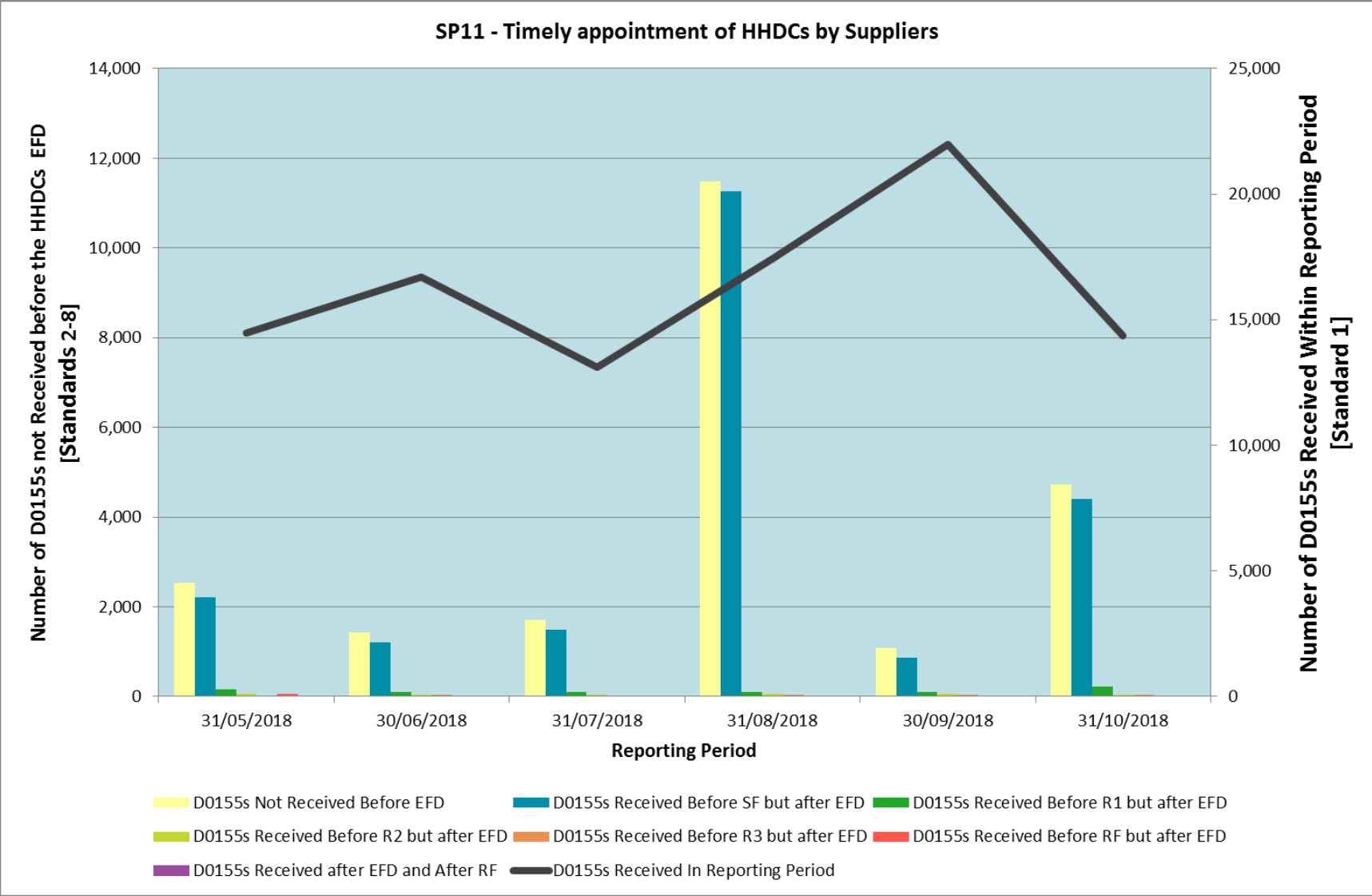




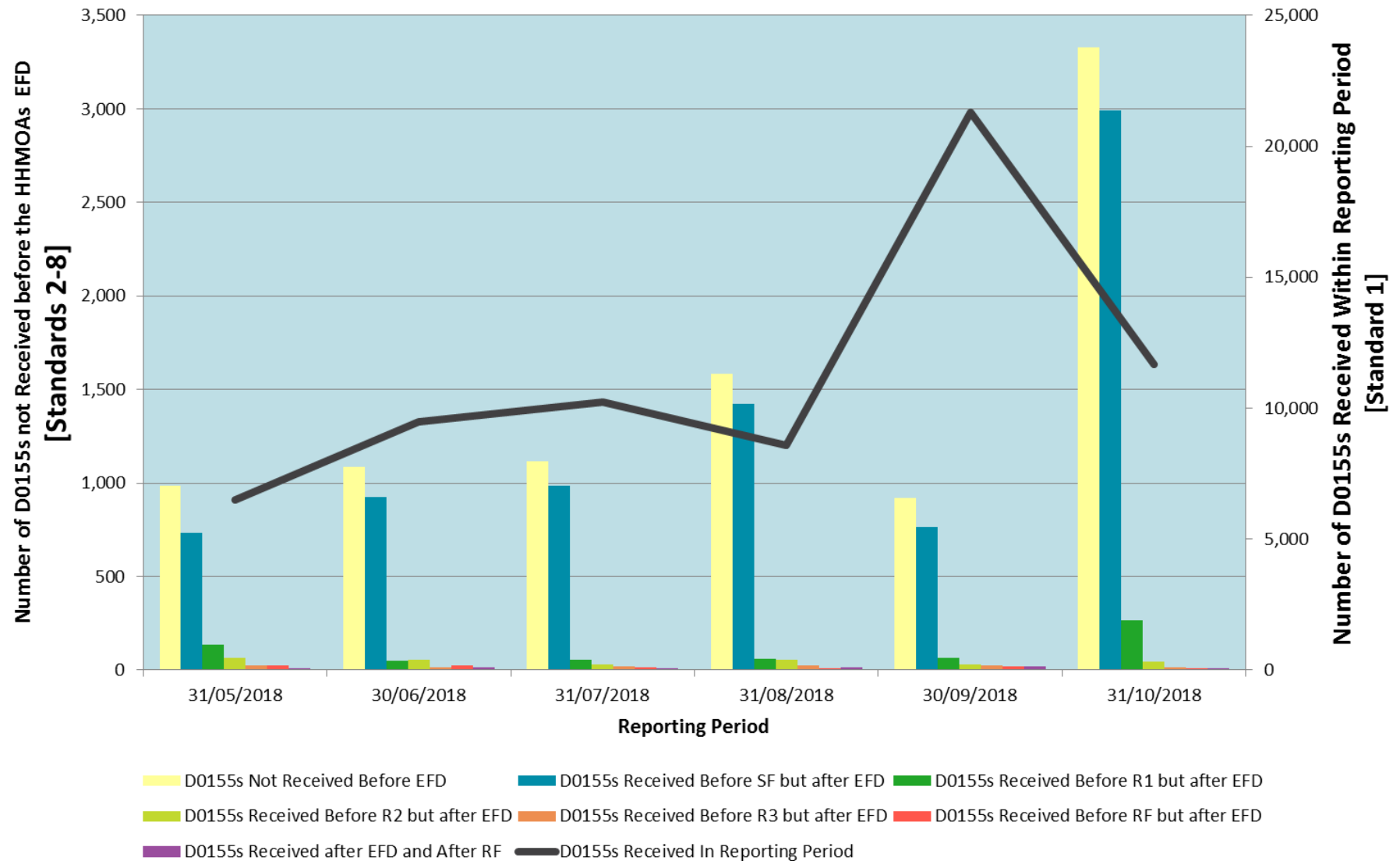
13 MONTH BUSINESS UNIT SETTLEMENT RISK RATING TREND

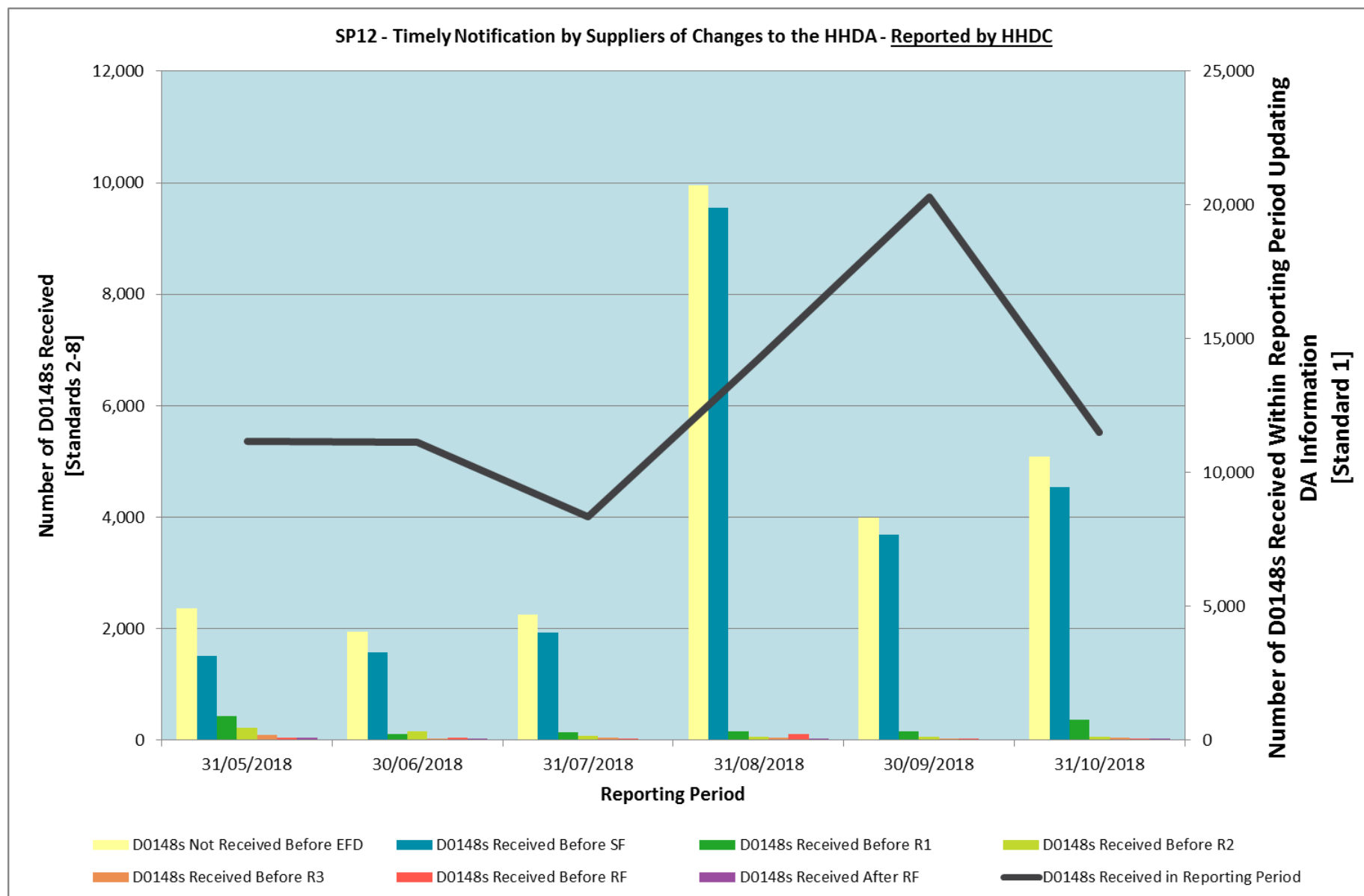


PARMS SERIAL GRAPHS (HH SUPPLIER)

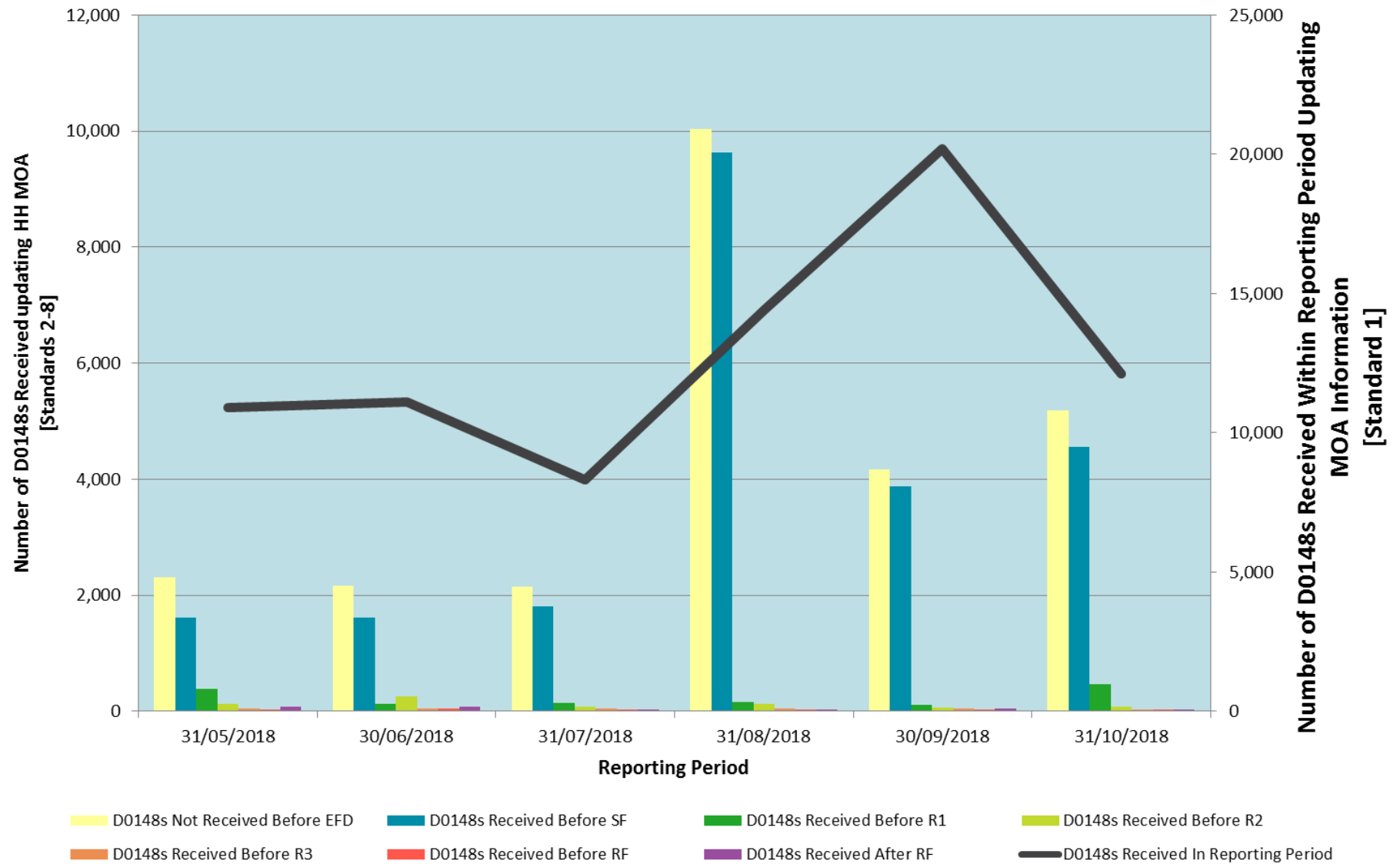


### SP11 - Timely Appointment of HHMOA by Suppliers

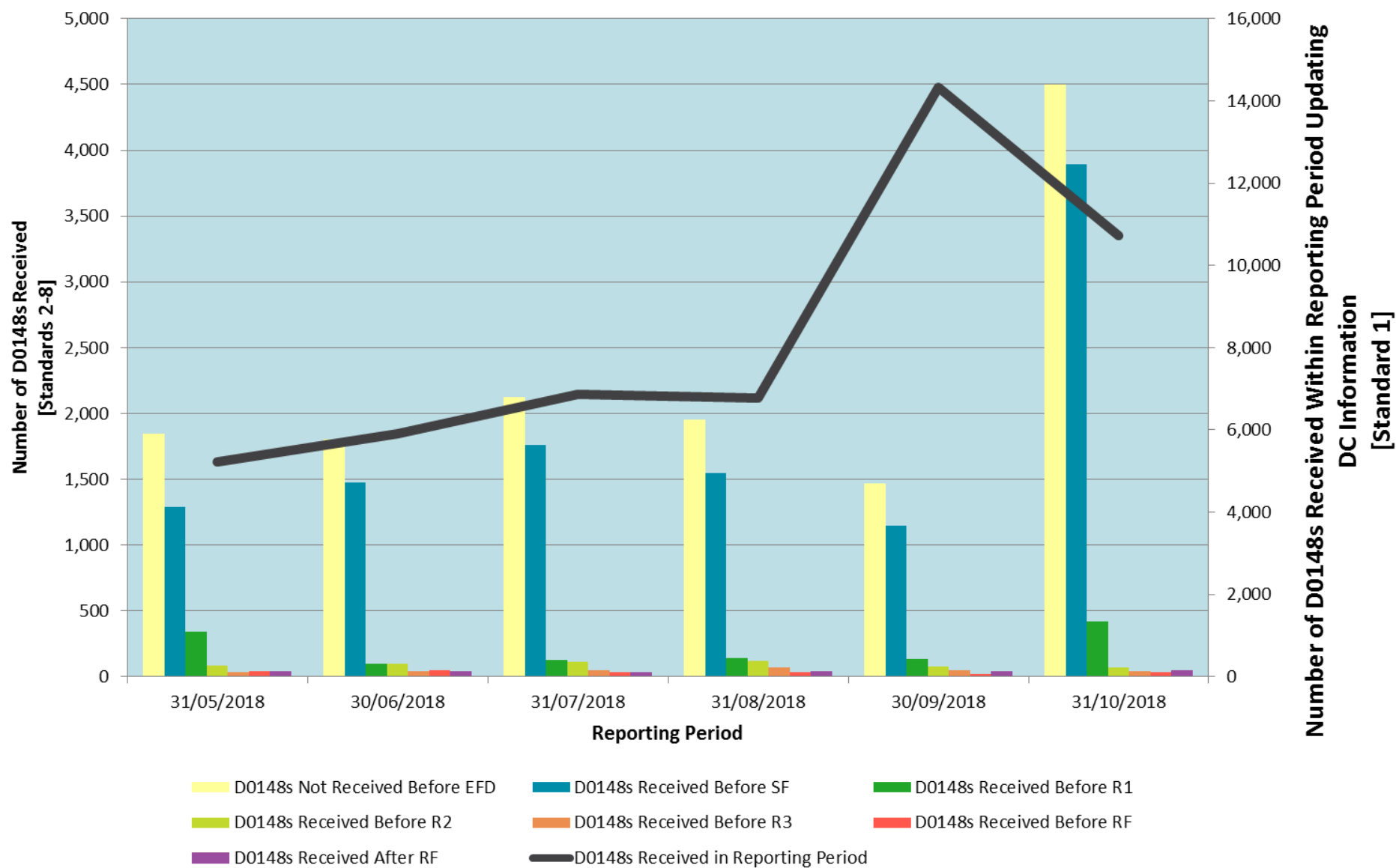




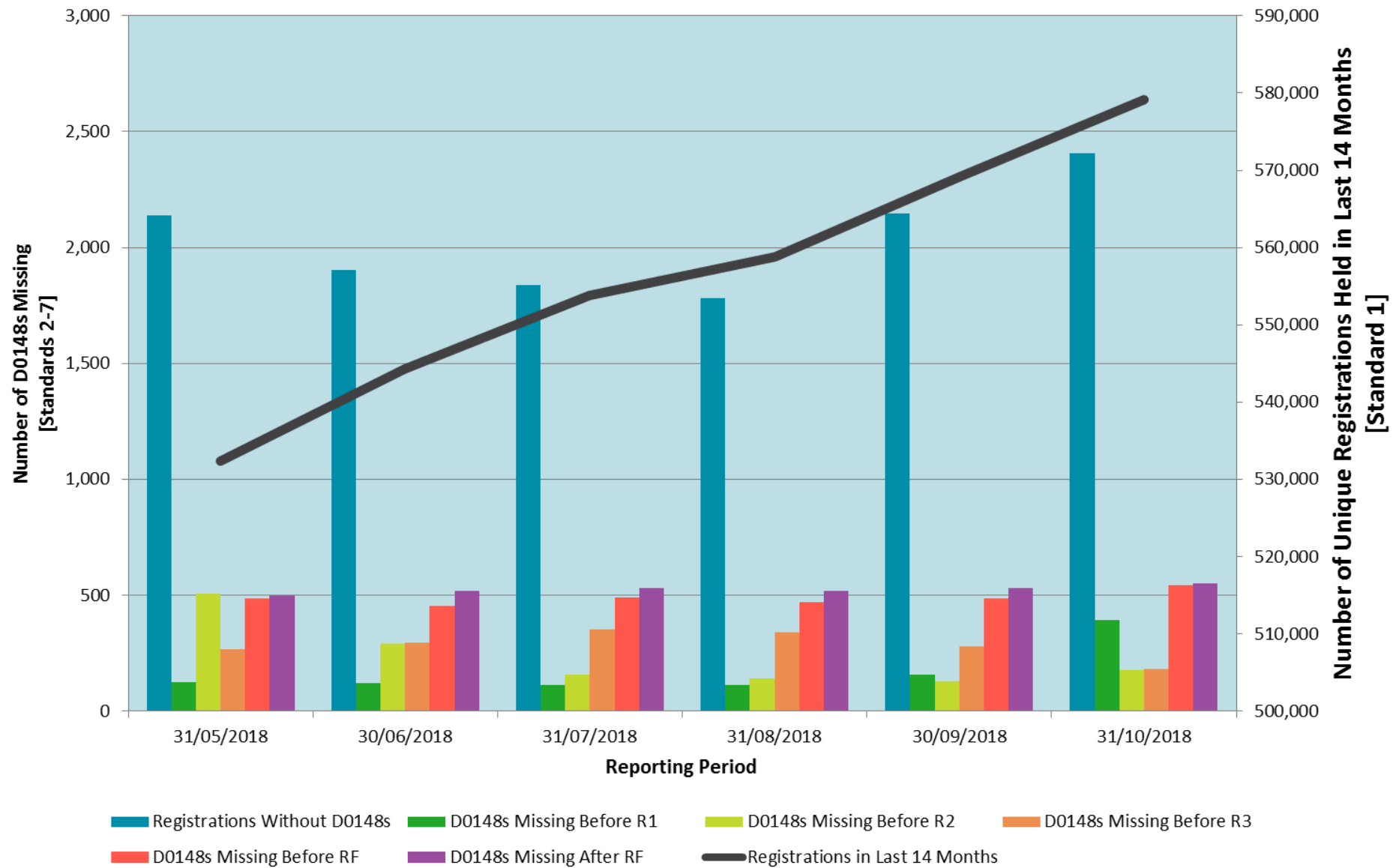
SP13 - Timely Notification by Suppliers to Changes to the HHMOA - Reported by HHDC



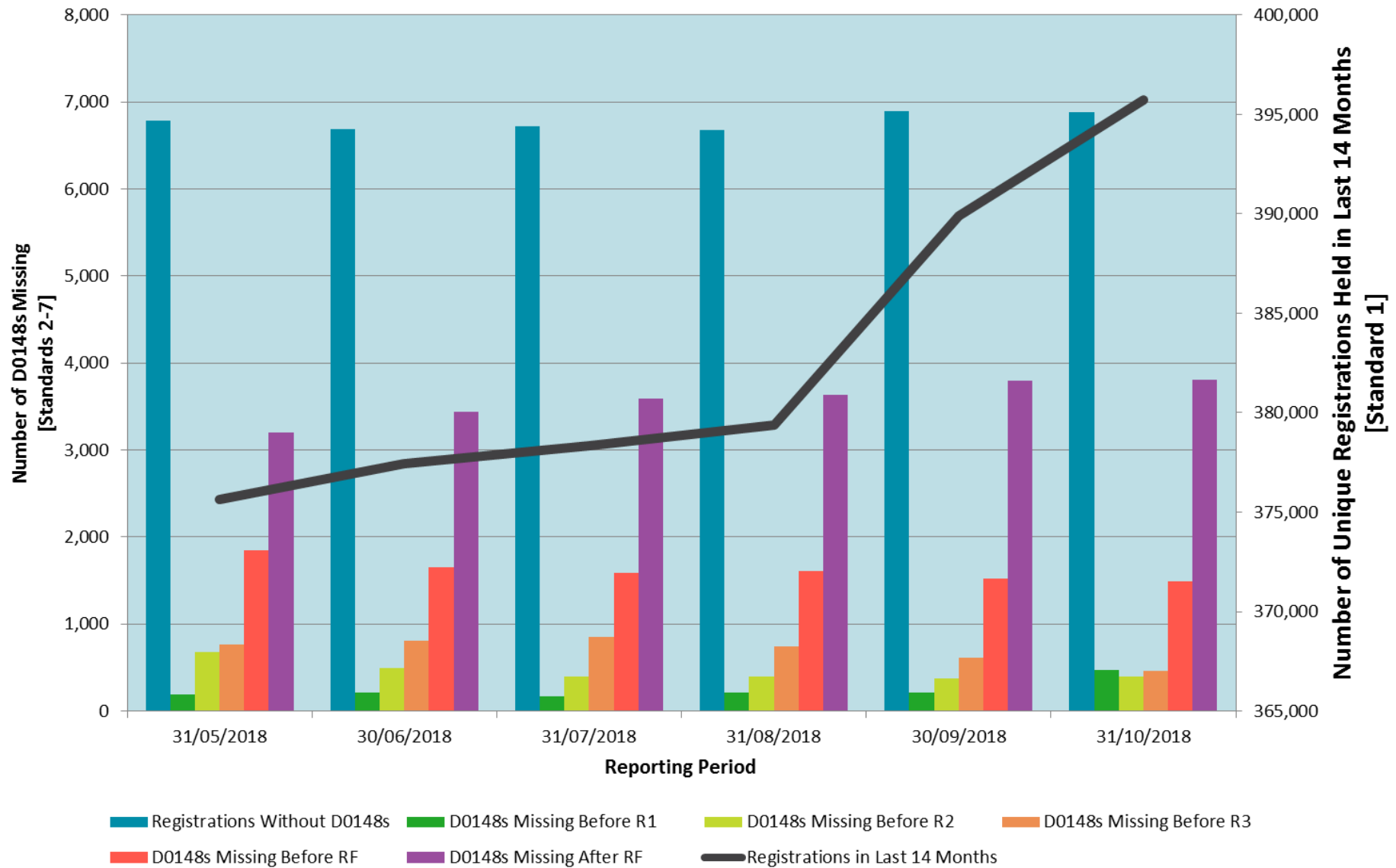
SP14 - Timely Notification by Suppliers of Changes to the HHDC - Reported by HHMOA



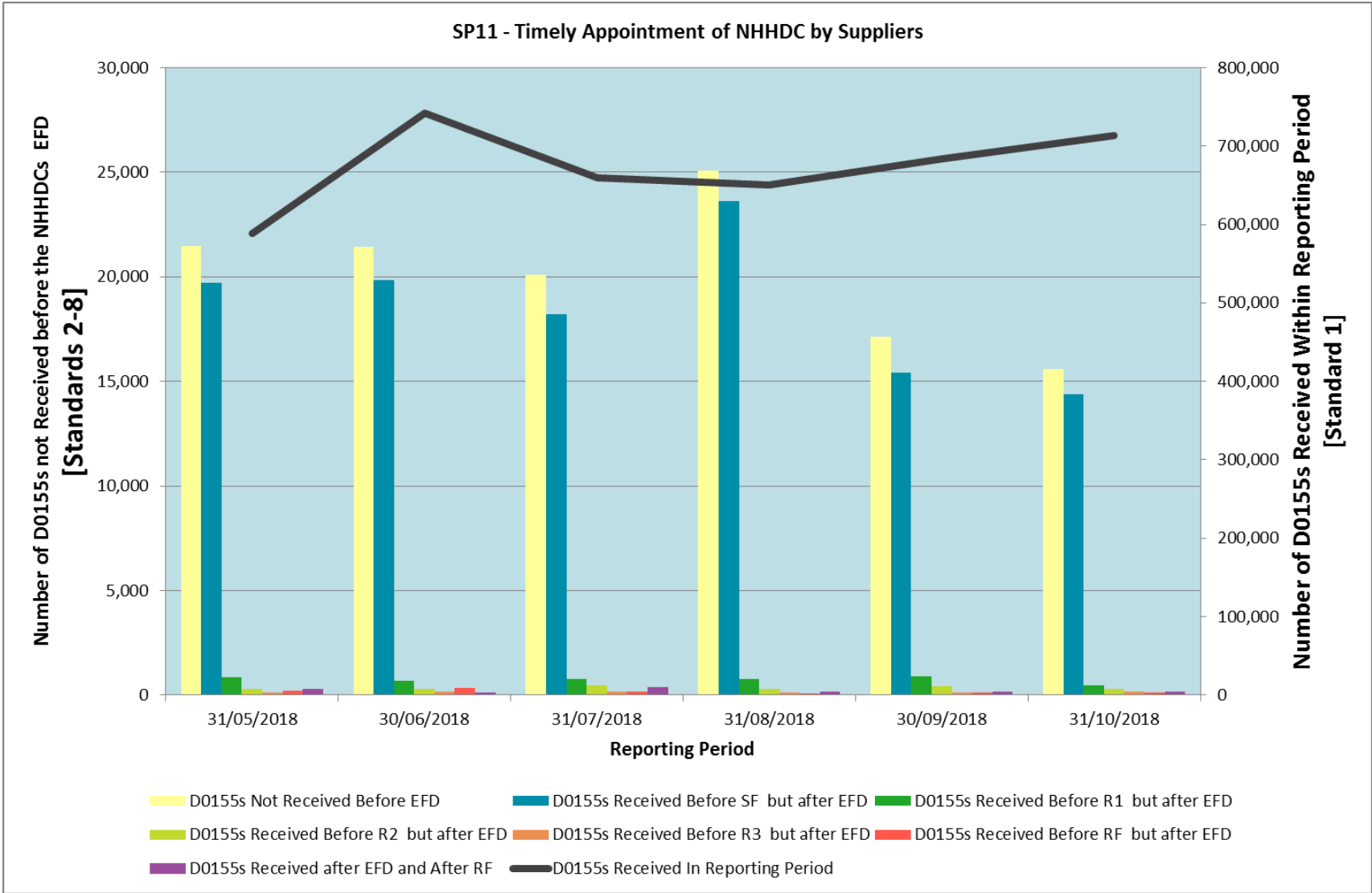
SP15 - Missing Appointment of Agents - HHDC Reporting on Missing D0148s for HHDA/HHMOA

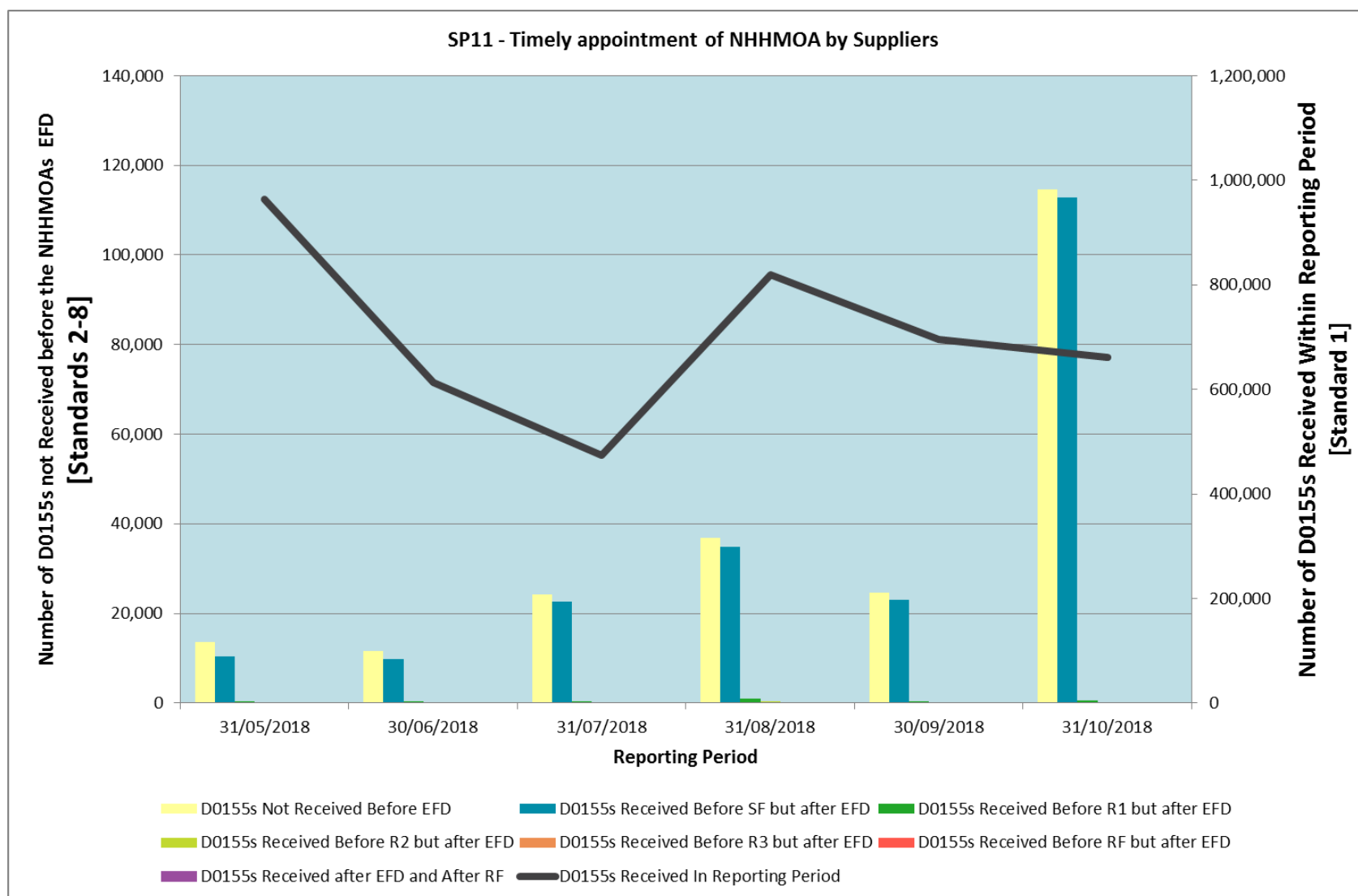


SP15 - Missing Appointment of Agents - HHMOA Reporting on Missing D0148s for HHDC

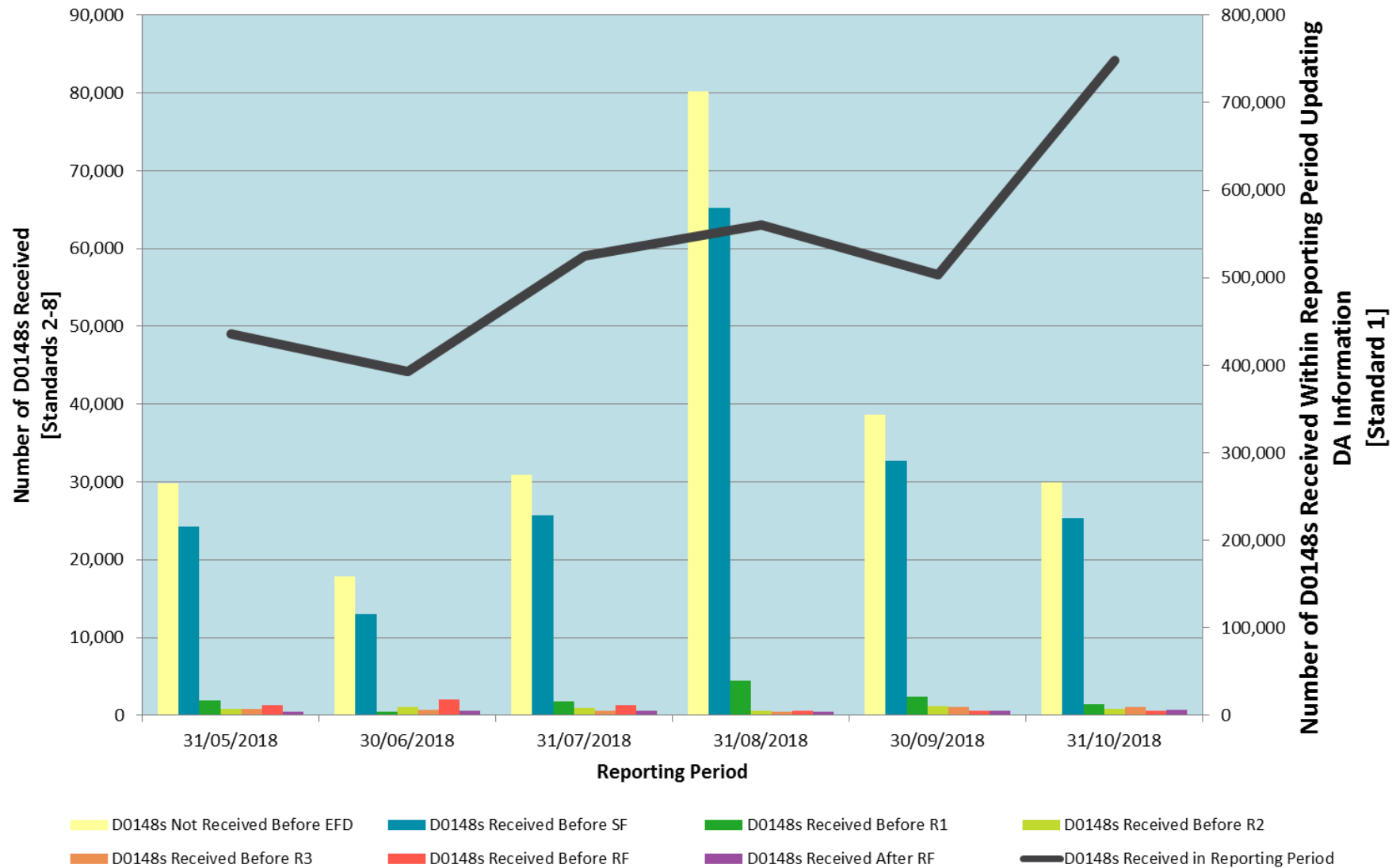


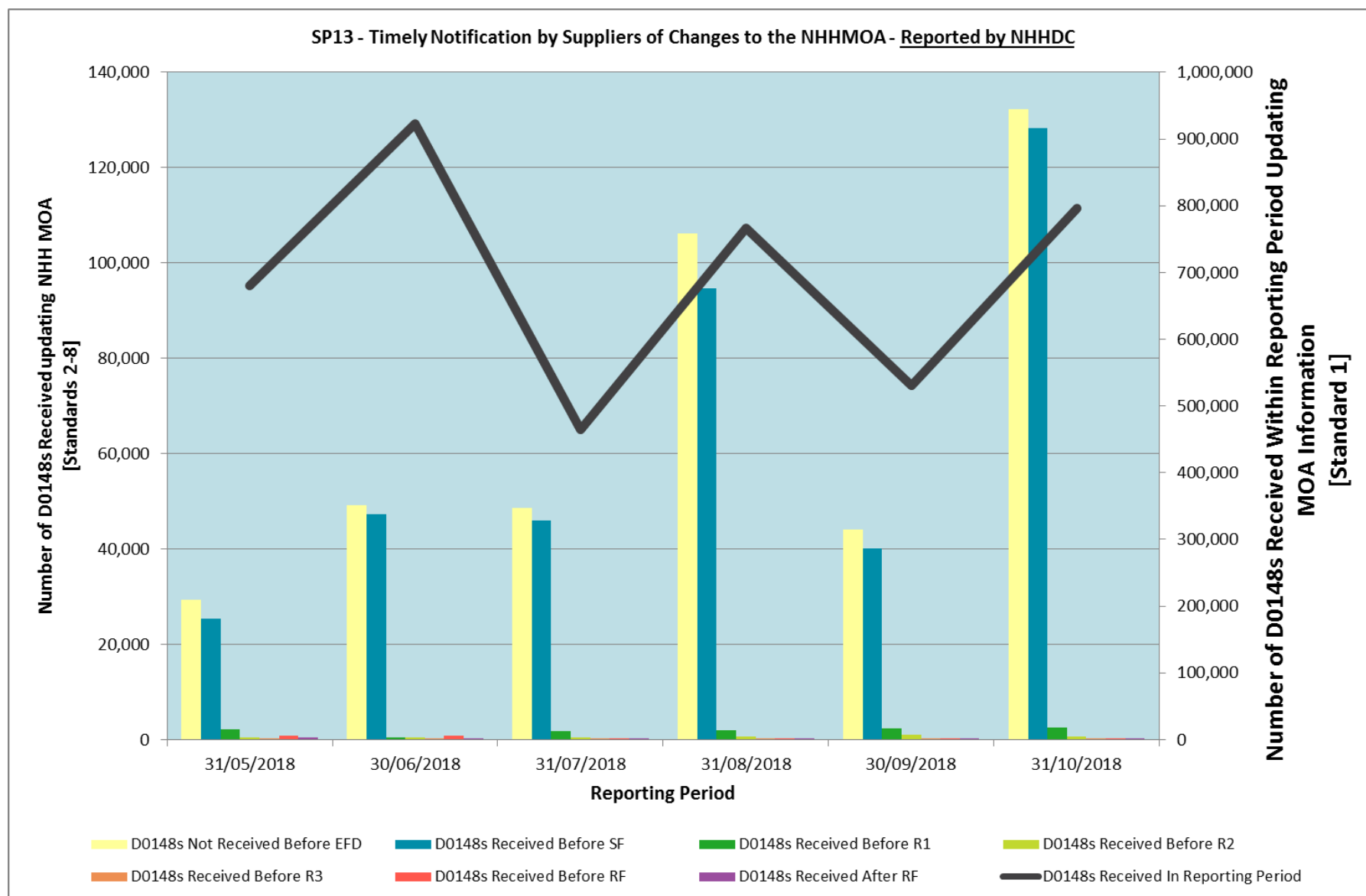
PARMS SERIAL GRAPHS (NHH SUPPLIER)

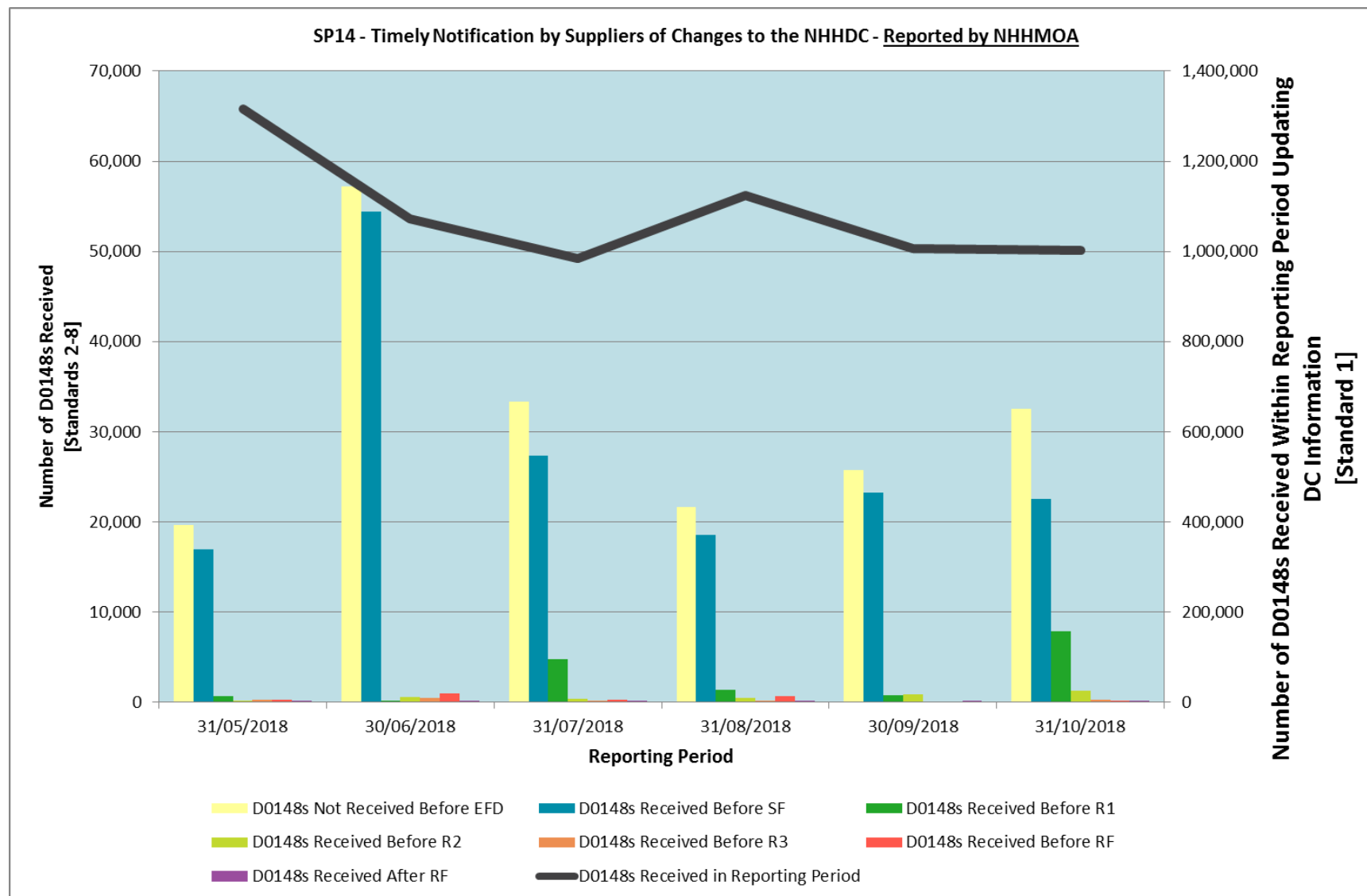




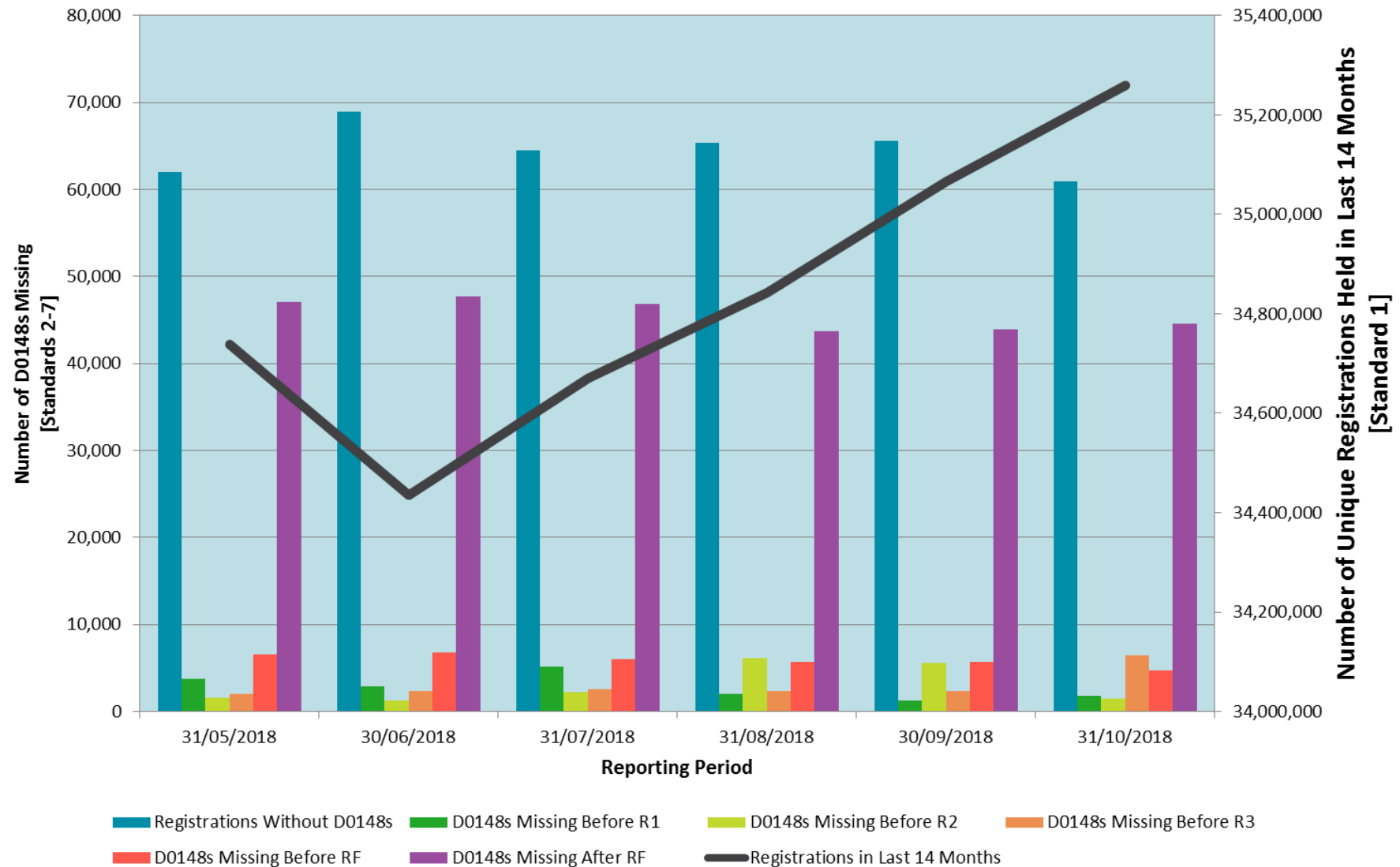
SP12 - Timely Notification by Suppliers of Changes of the NHHDA - Reported by NHHDC



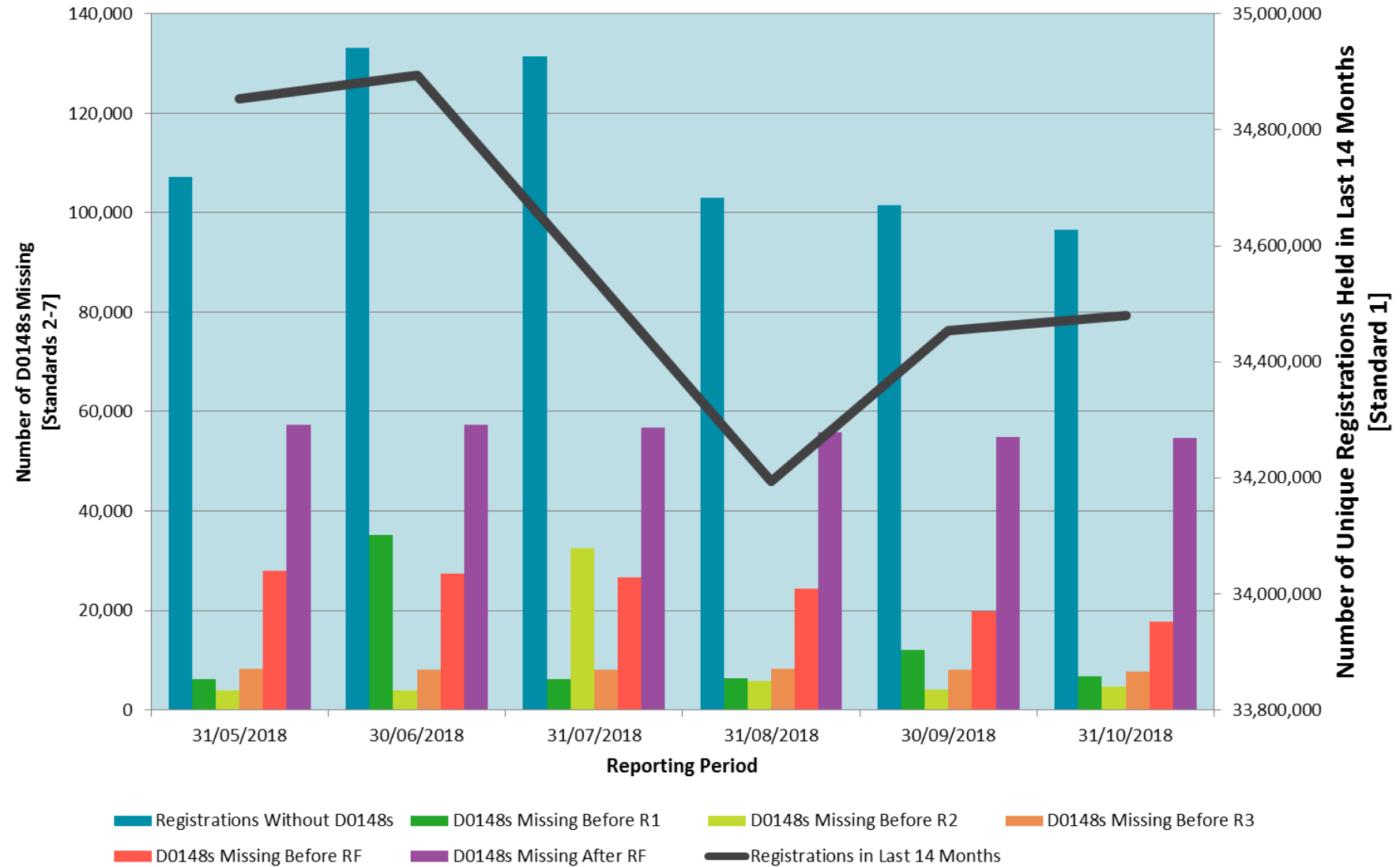




SP15 - Missing Appointment of Agents - NHHDC Reporting on Missing D0148s for NHHDA/NHHMOA

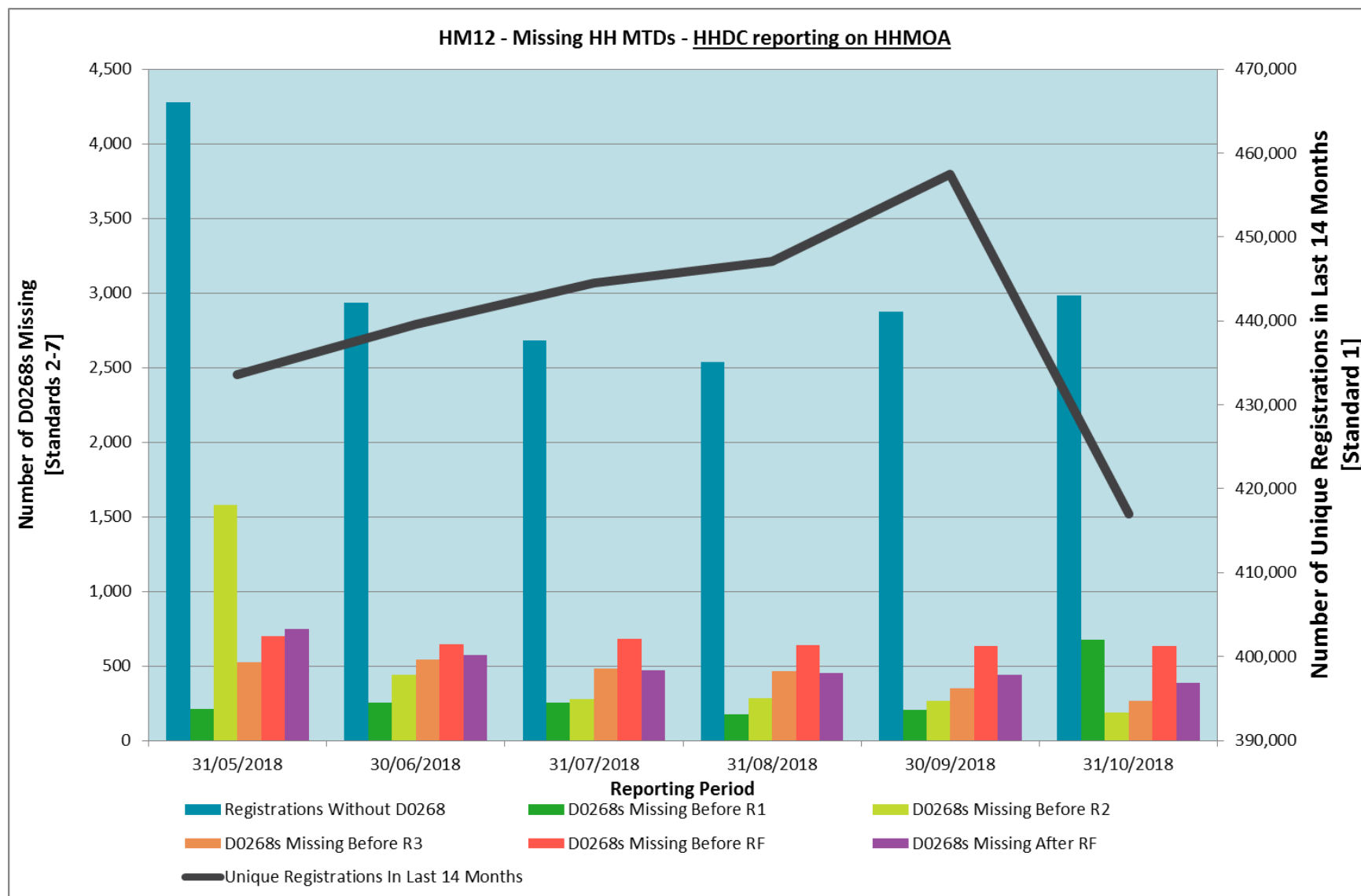


SP15 - Missing Appointment of Agents - NHHMOA Reporting on Missing D0148s for NHHDC

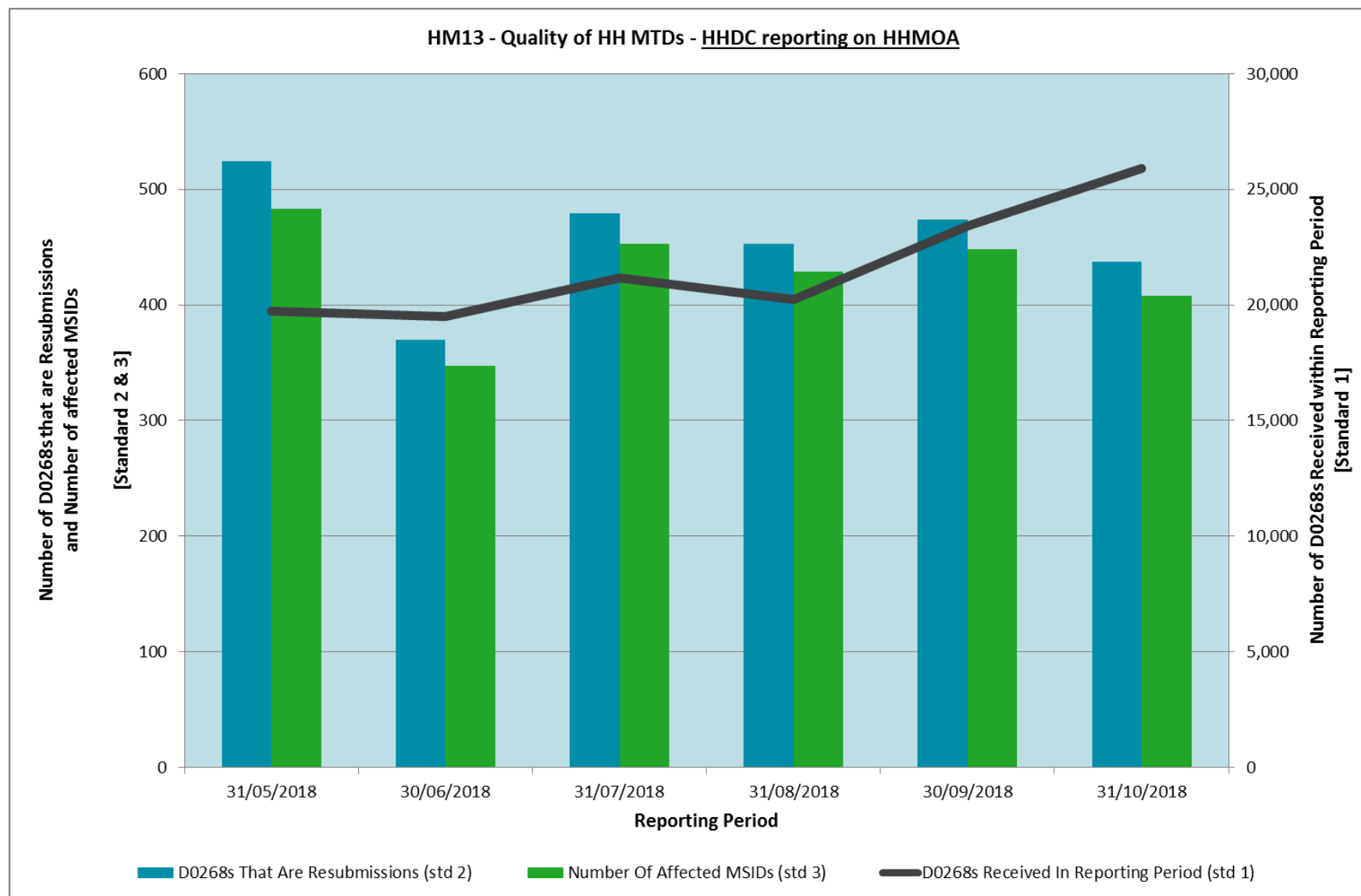


PARMS SERIAL GRAPHS (HH METER TECHNICAL DETAILS)

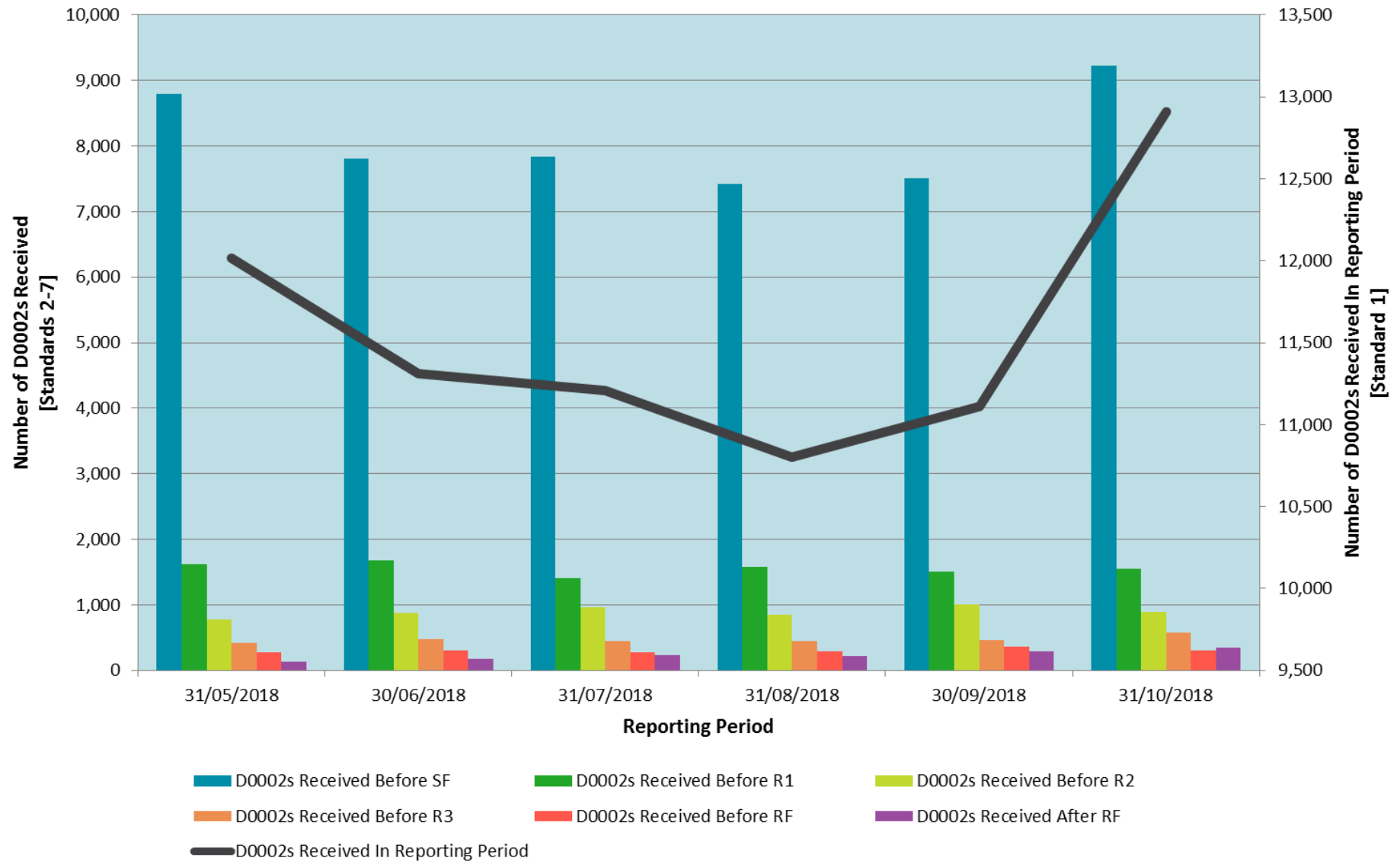








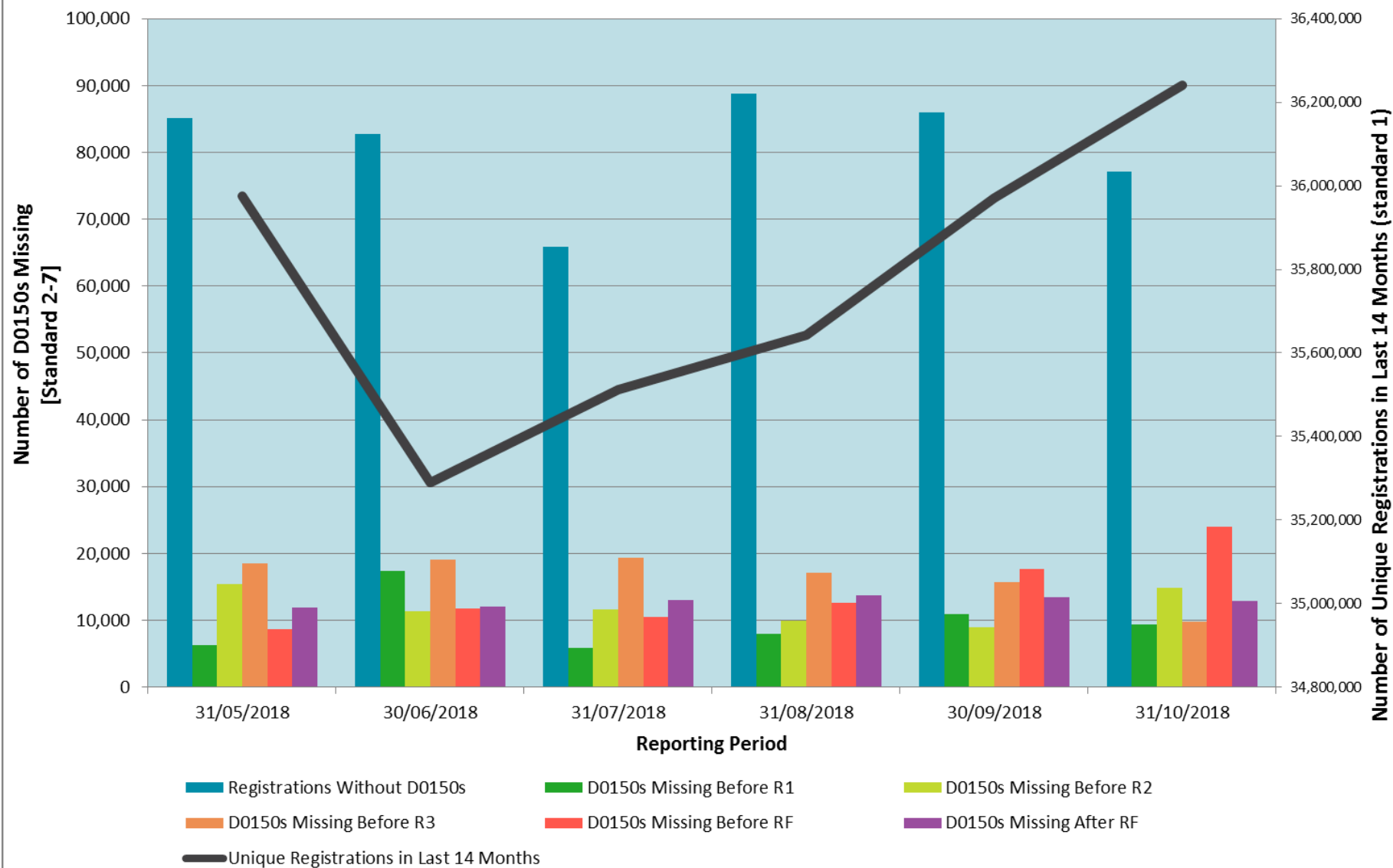
### HM14 - Timely HH Meter Investigations - HHDC reporting on HHMOA

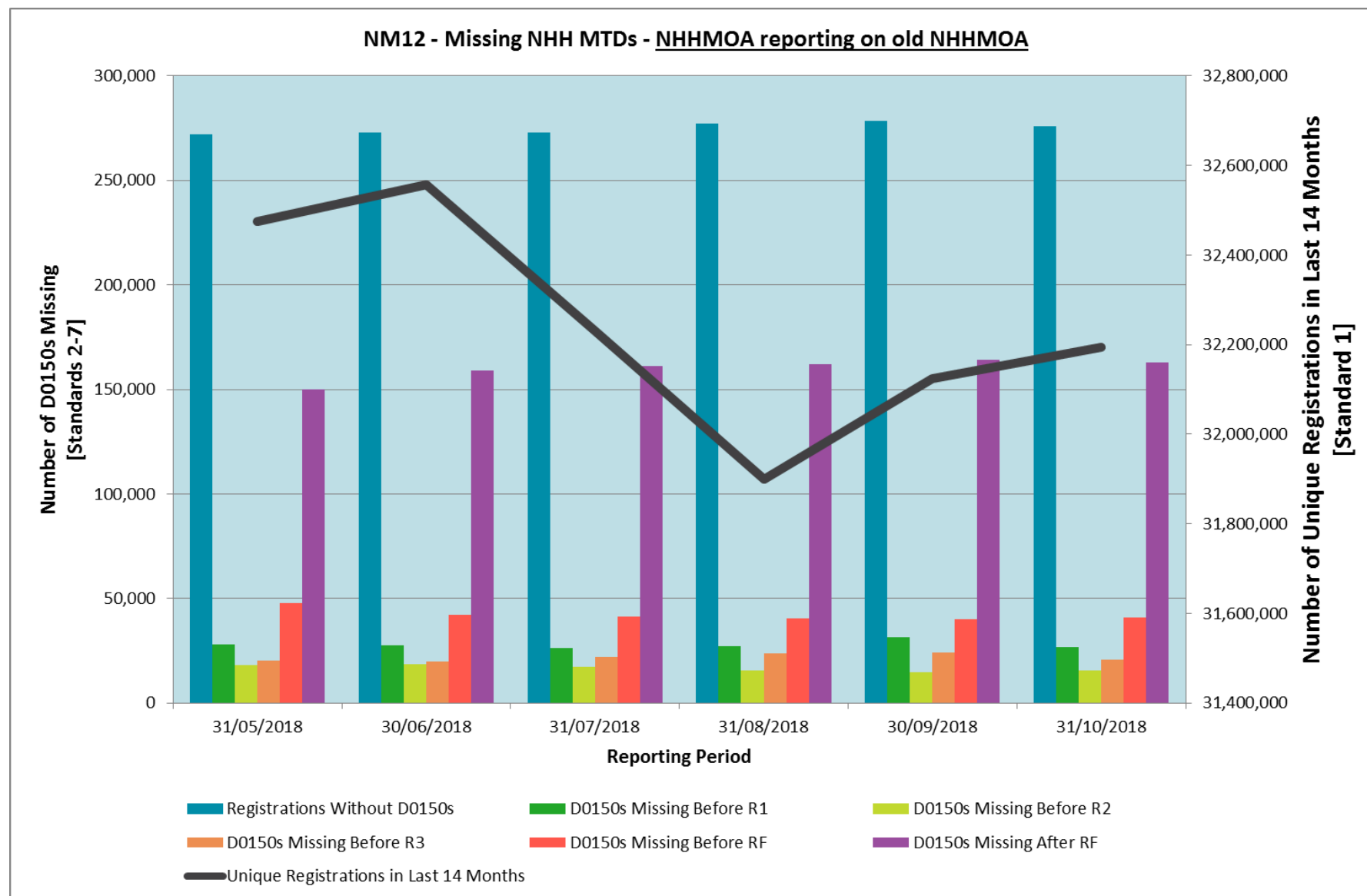


PARMS SERIAL GRAPHS (NHH METER TECHNICAL DETAILS)



NM12 - Missing NHH MTDs - NHHDC reporting on NHHMOA





NC11 - Missing NHH Meter Reads & History - New NHHDC reporting on old NHHDC



## RECOMMENDATIONS

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### 1. Recommendations

1.1 The PAB is invited to:

- a) **AGREE** the contents of the Non-Confidential Settlement Risk Report.