

PUBLIC

# Settlement Risk Report

July 2019



Settlement Operations

V1.0

July 2019

# SETTLEMENT RISK REPORT

---

## CONTENTS

|  |                              |
|--|------------------------------|
| SUMMARY OF TOP SETTLEMENT RISKS .....                          | 3                            |
| REFERENCE INFORMATION DESCRIPTION OF PARMS SERIALS (HH) .....  | 4                            |
| REFERENCE INFORMATION DESCRIPTION OF PARMS SERIALS (NHH) ..... | 5                            |
| LINK TO TRADING OPERATION’S REPORT.....                        | 6                            |
| PERFORMANCE DATA RELATING TO TOP SETTLEMENT RISKS .....        | 7                            |
| 13 MONTH BUSINESS UNIT SETTLEMENT RISK RATING TREND.....       | 12                           |
| PARMS SERIAL GRAPHS (HH SUPPLIER) .....                        | 13                           |
| PARMS SERIAL GRAPHS (NHH SUPPLIER).....                        | ERROR! BOOKMARK NOT DEFINED. |
| PARMS SERIAL GRAPHS (HH METER TECHNICAL DETAILS).....          | ERROR! BOOKMARK NOT DEFINED. |
| PARMS SERIAL GRAPHS (NHH METER TECHNICAL DETAILS) .....        | 20                           |
| RECOMMENDATIONS.....   | 36                           |

## 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).<br>DC sends D0012 (Confirmation of Inclusion of the Metering Point in the Reading Schedules) (Read Cycle).<br>D0019 (Metering System EAC/AA data) sent to Supplier.<br><br>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.<br><br>Proving Test. (If requested)<br><br>Commissioning.<br><br>D0001 (Request Metering System Investigation).<br><br>DC Validation.<br><br>D0004 Notification of failure to obtain a reading.   | 12       |

## LINK TO THE NEW RISK REGISTER

For Performance Assurance risk and report mapping and other relevant information, please refer to;

<https://www.elexon.co.uk/reference/performance-assurance/performance-assurance-processes/>

## 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 MSM TD EFD (before SF) | Number of D0268s received, following a material change to the metering system, between +17WD and +39WD from MSM TD EFD (before R1) | Number of D0268s received, following a material change to the metering system, between +40WD and +84WD from MSM TD EFD (before R2) | Number of D0268s received, following a material change to the metering system, between +85WD and +154WD from MSM TD EFD (before R3) | Number of D0268s received, following a material change to the metering system, between +155WD and +292WD from MSM TD EFD (before RF) | Number of D0268s received, following a material change to the metering system, from +293WD from MSM TD 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 MSM TDs   |  |   |  |   |   |
| 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, between +293WD 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 & 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)   |   |

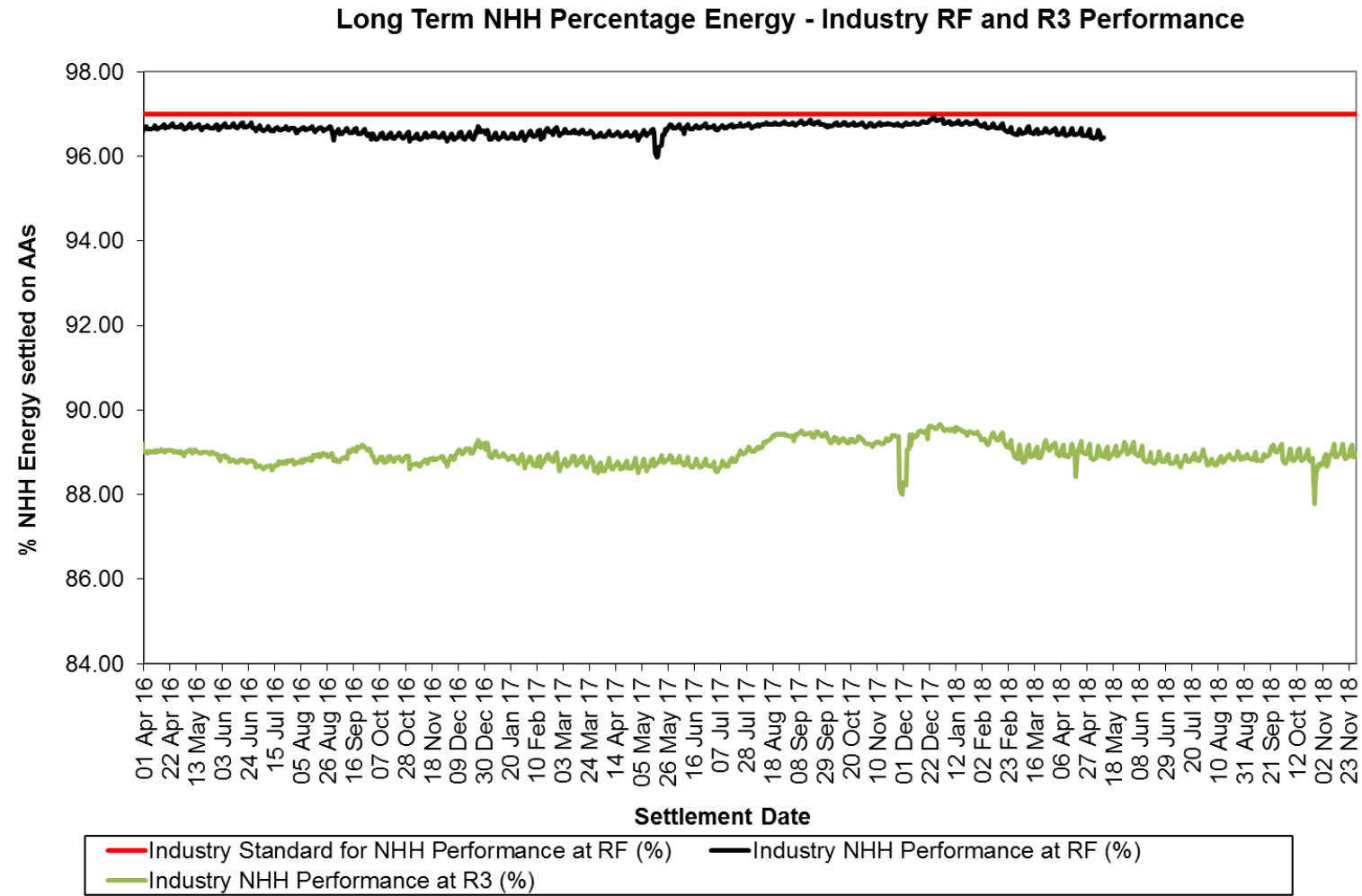
## LINK TO TRADING OPERATION'S REPORT

---

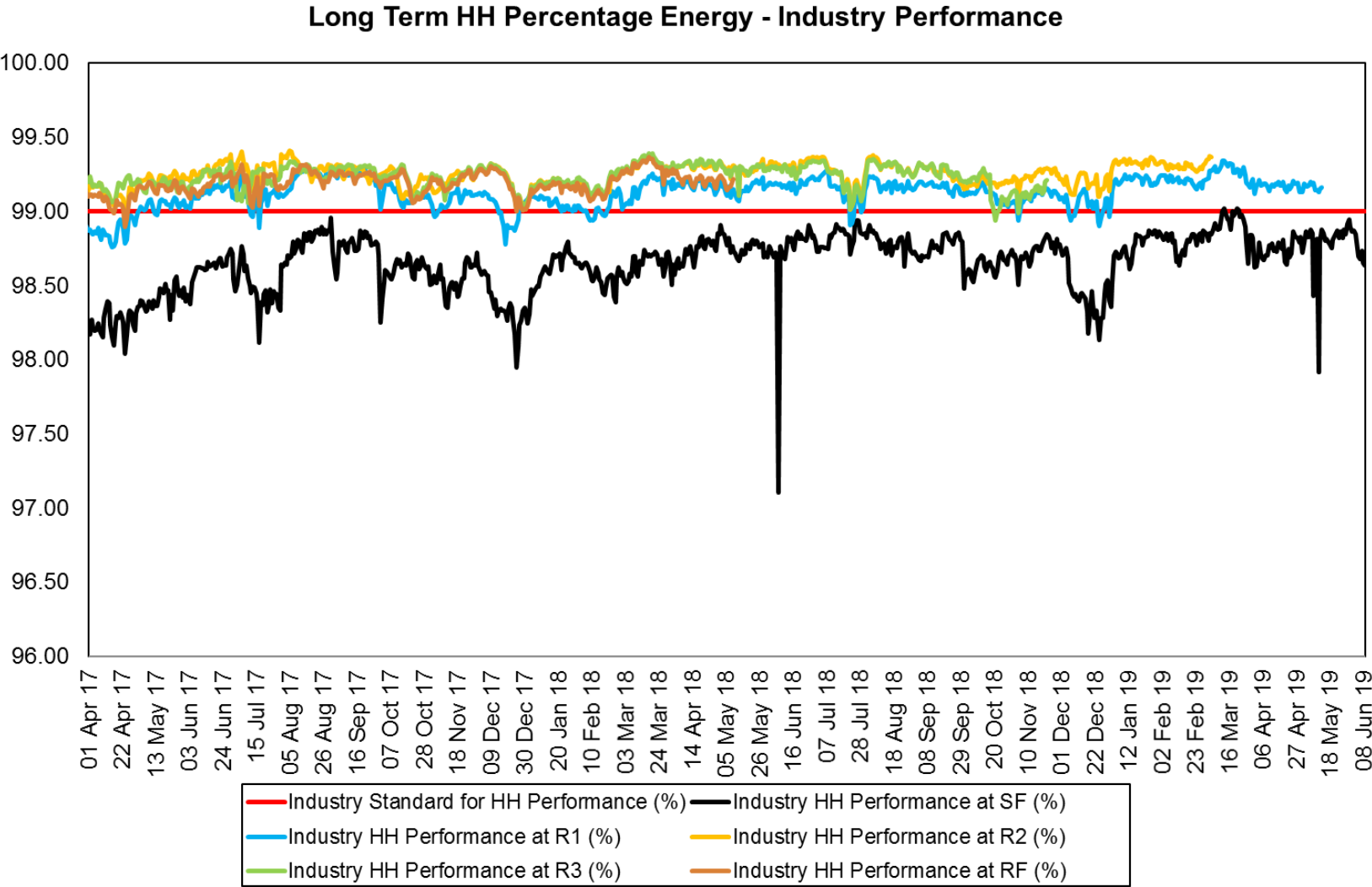
For GSP Group Maps and other relevant information, please refer to the latest Trading Operations Report;

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

PERFORMANCE DATA RELATING TO TOP SETTLEMENT RISKS

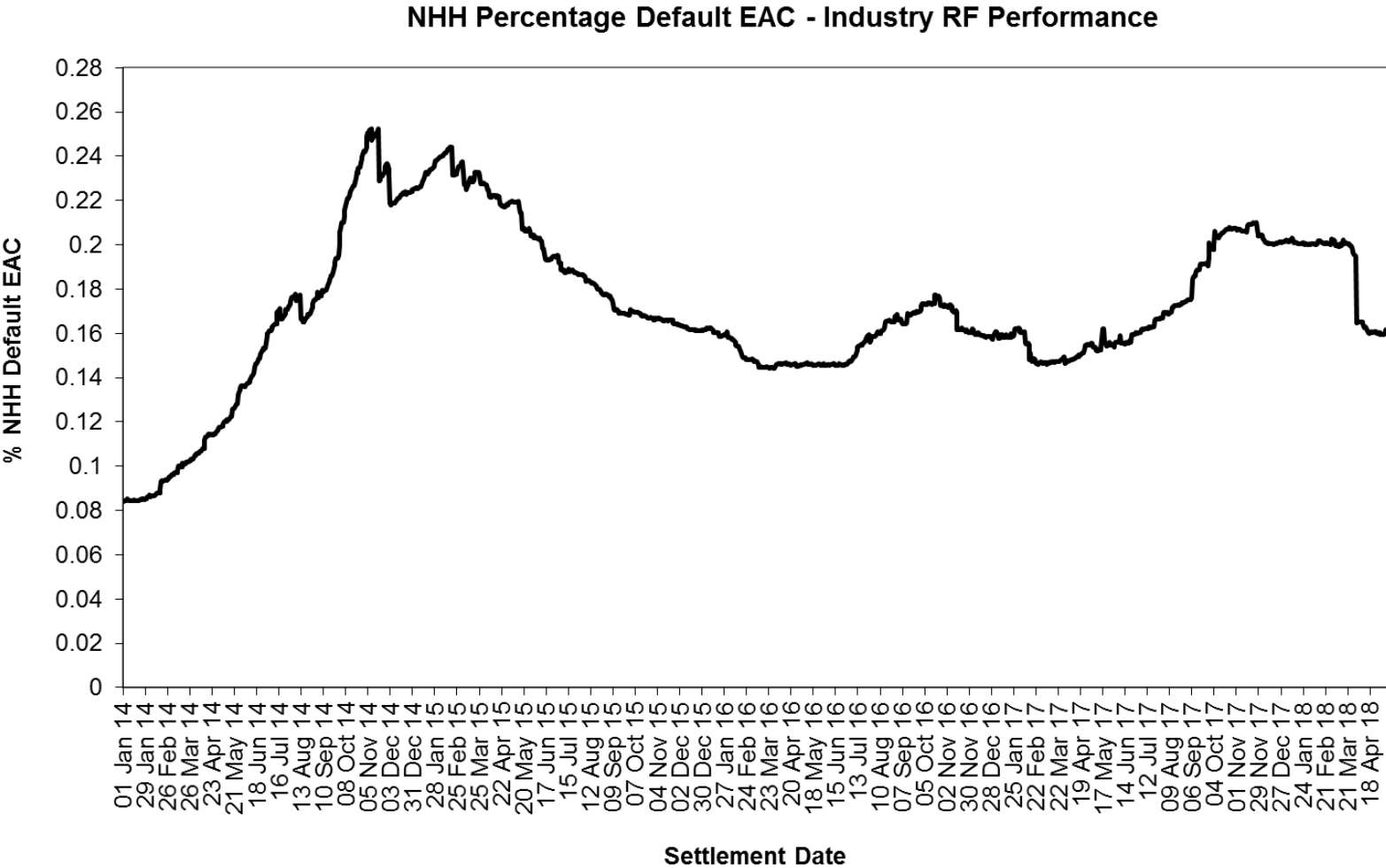


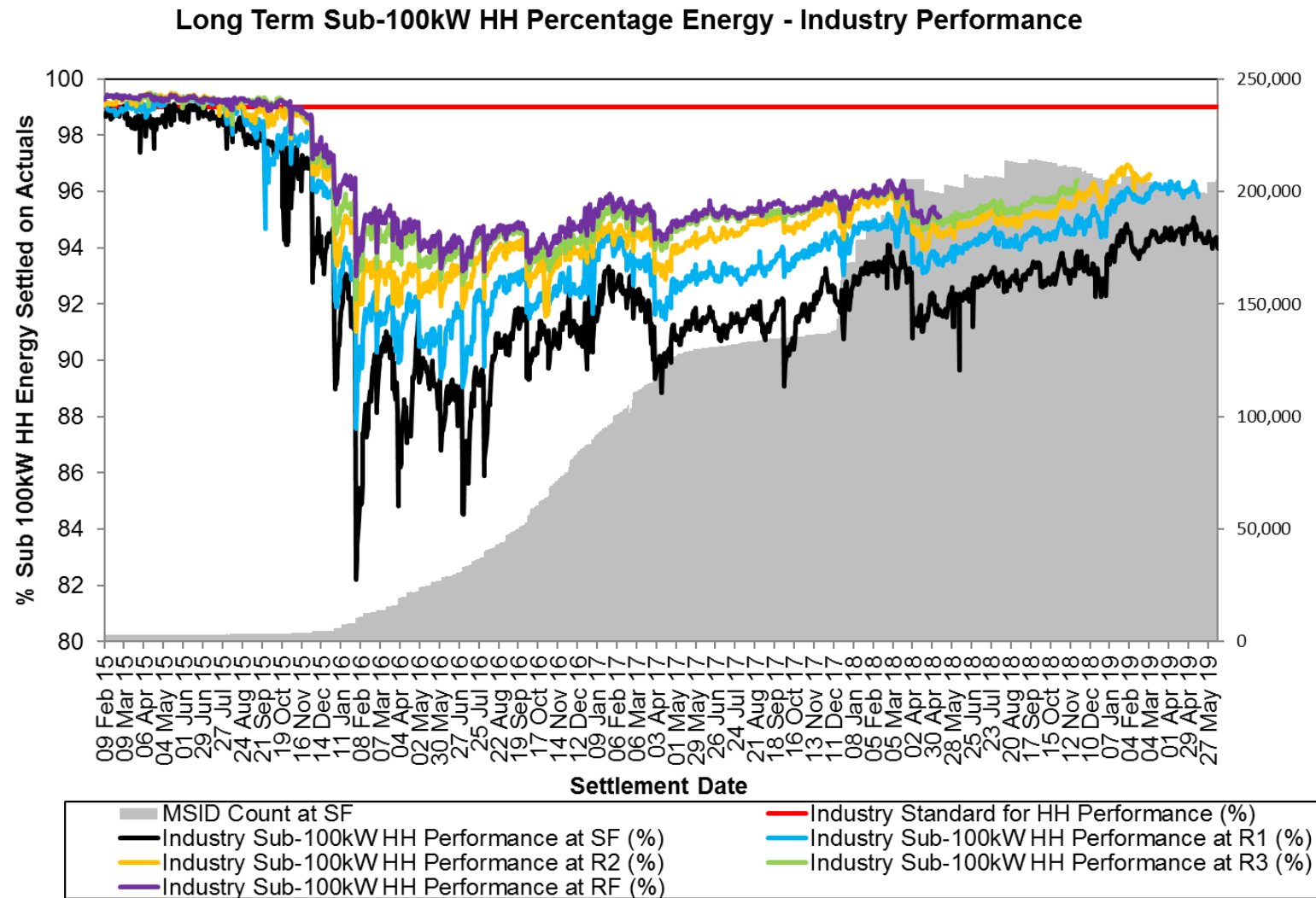
PERFORMANCE DATA RELATING TO TOP SETTLEMENT RISKS

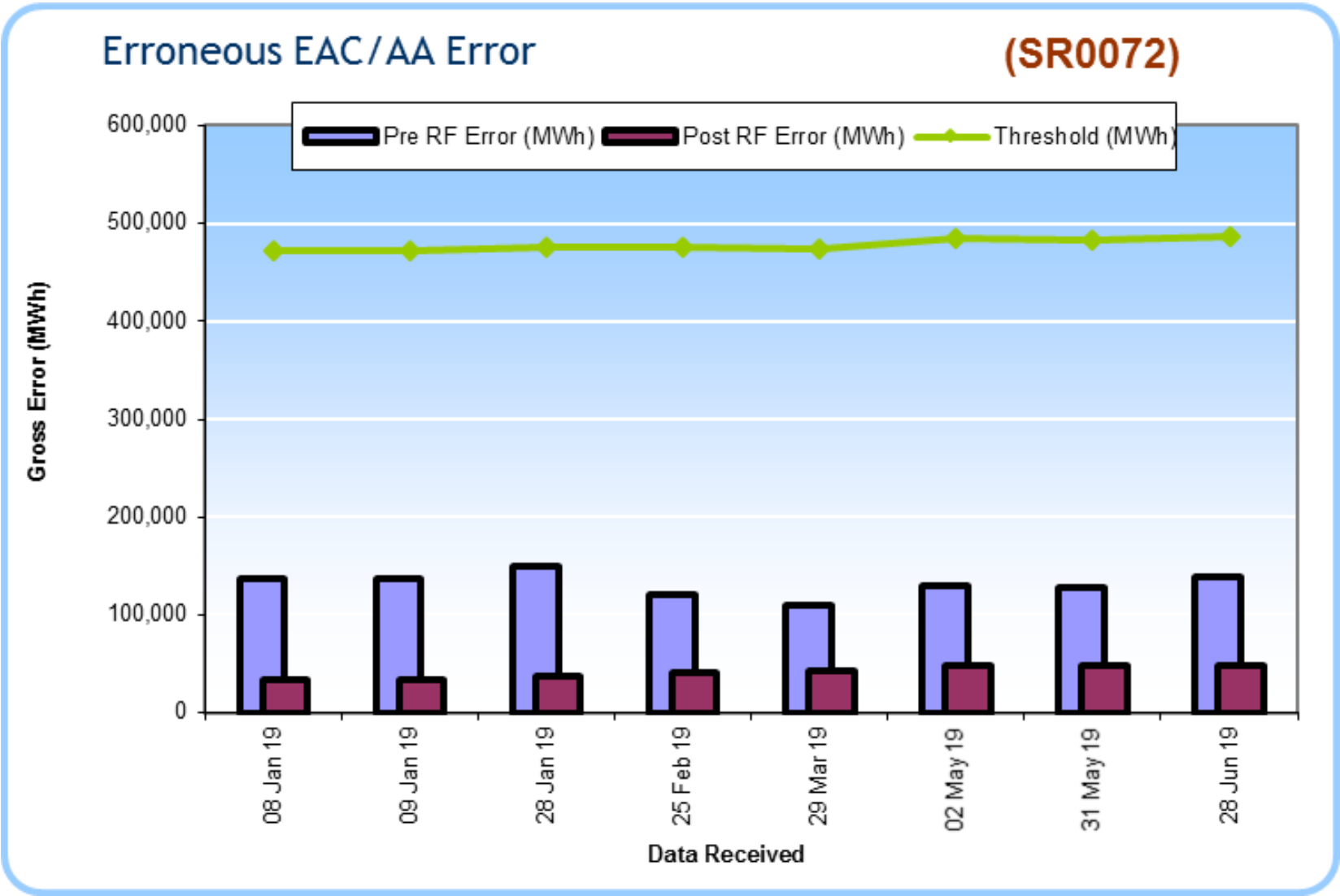




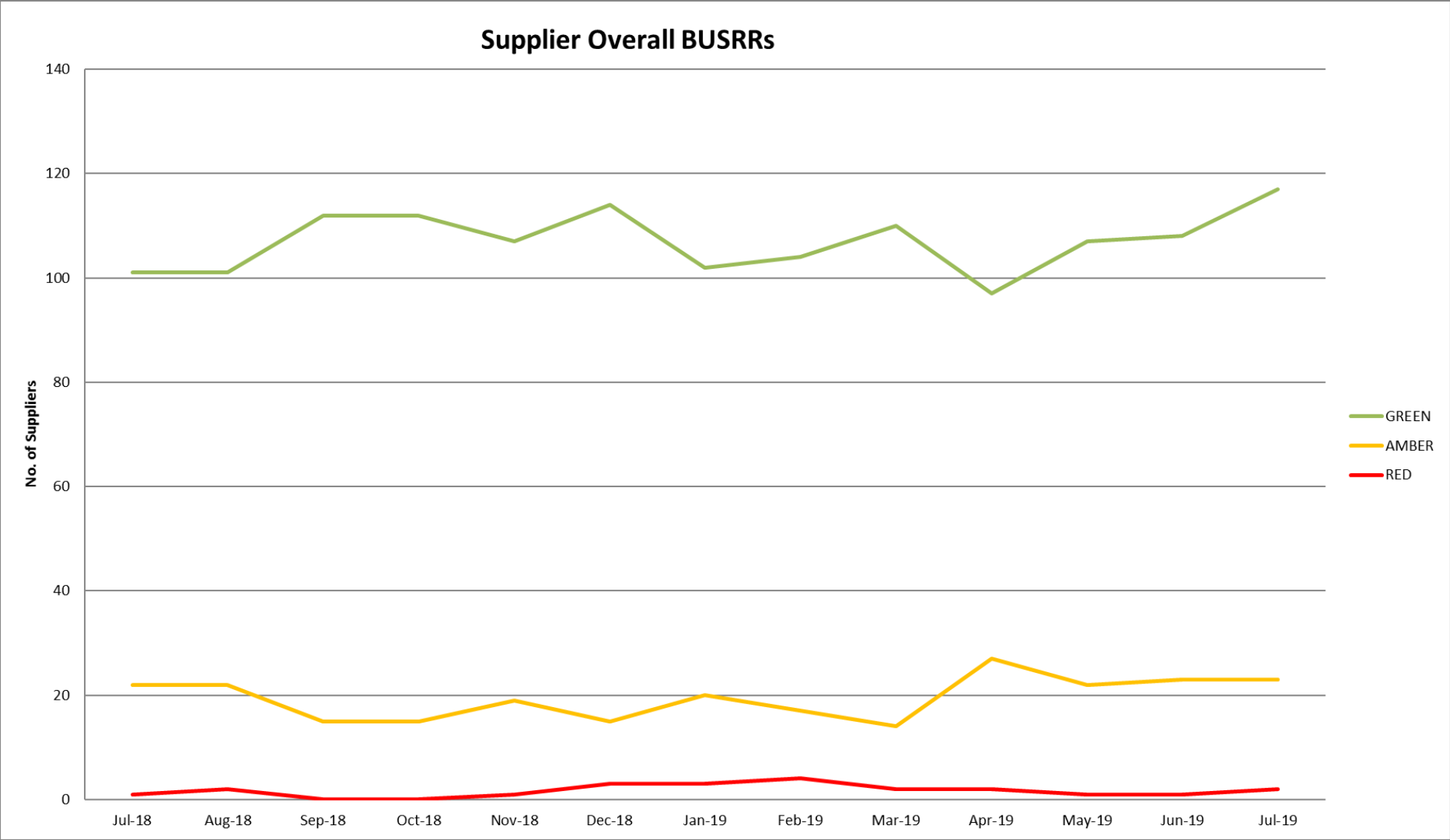
PERFORMANCE DATA RELATING TO TOP SETTLEMENT RISKS



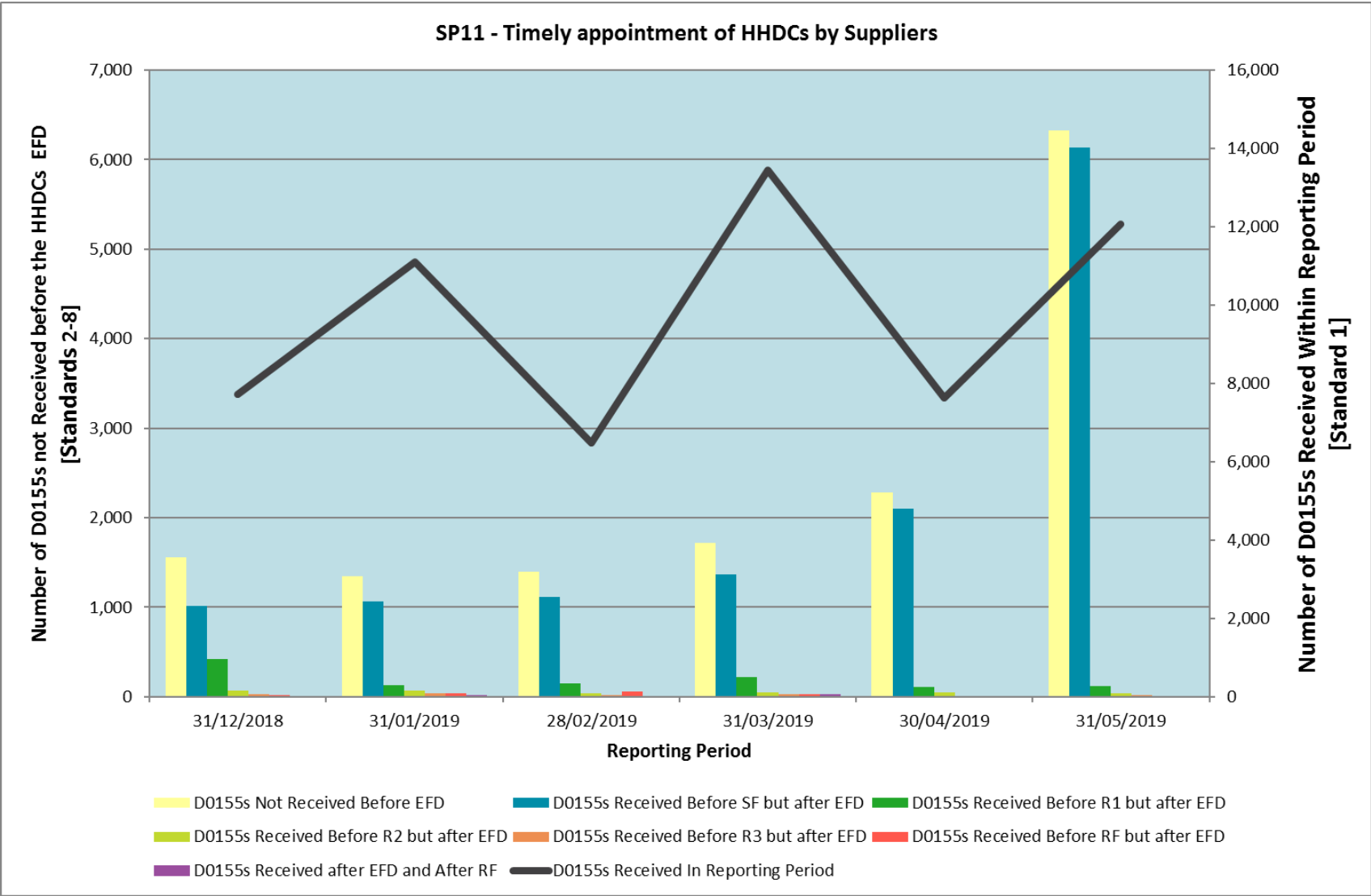


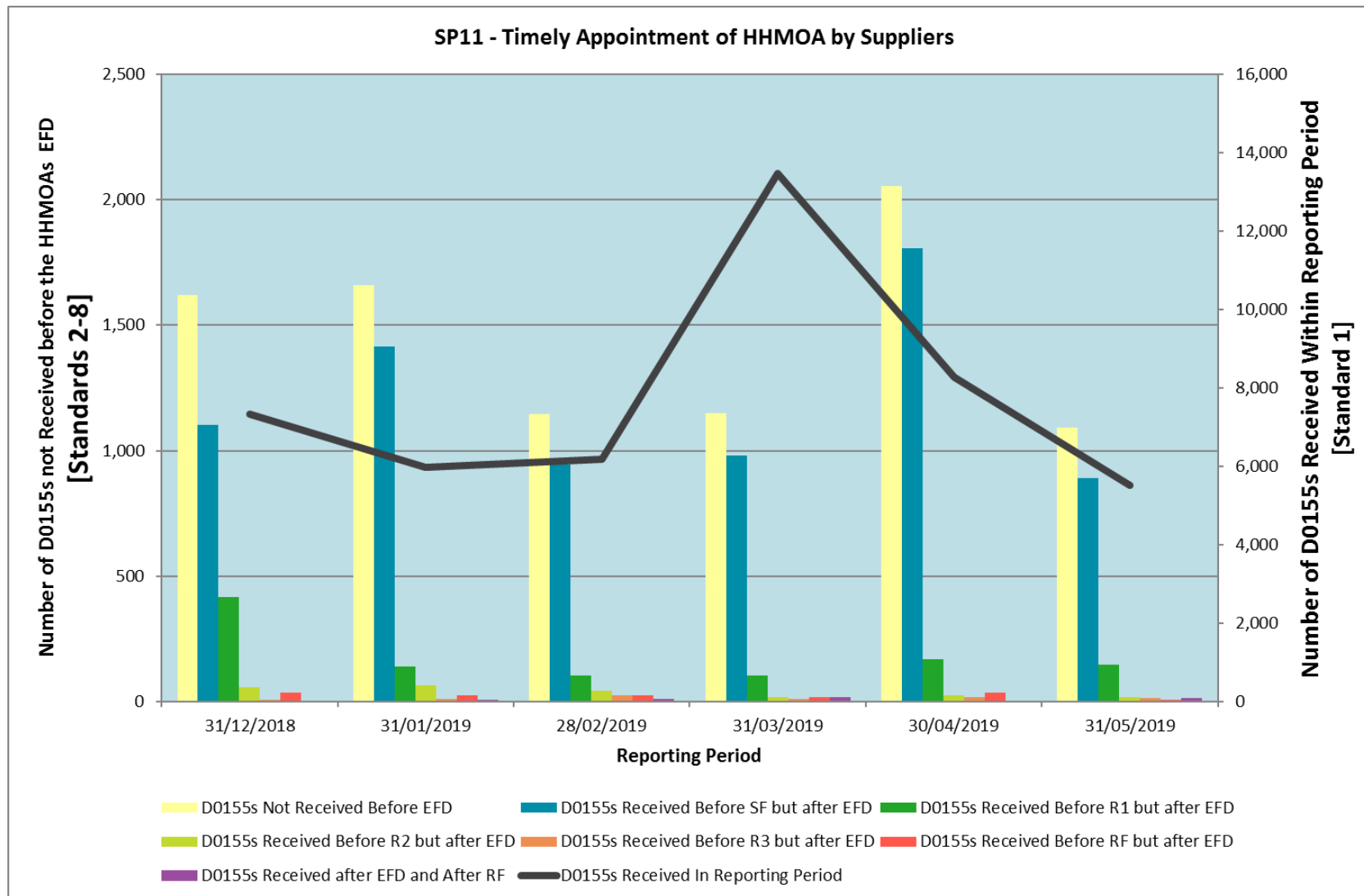


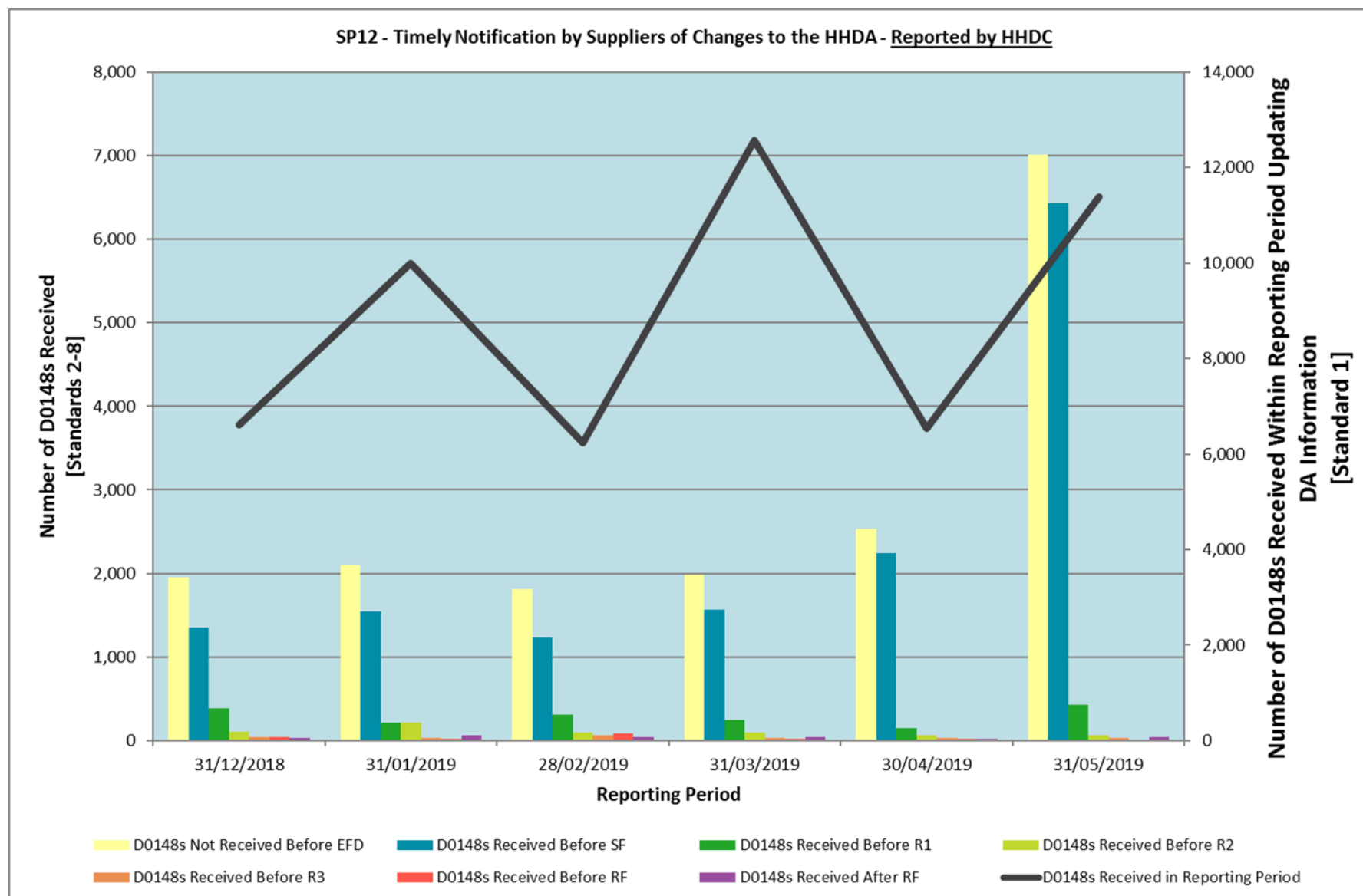
13 MONTH BUSINESS UNIT SETTLEMENT RISK RATING TREND

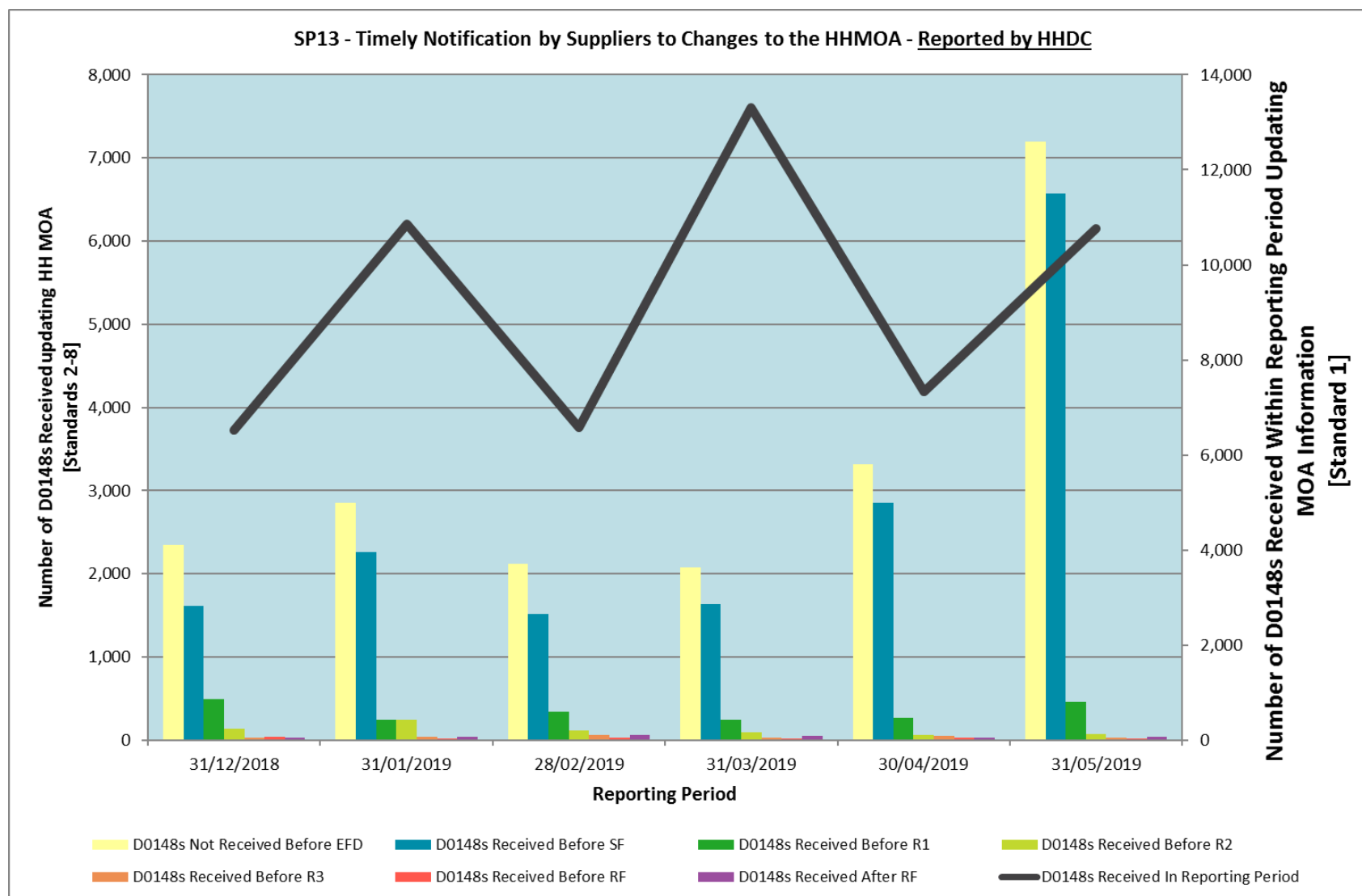


PARMS SERIAL GRAPHS (HH SUPPLIER)

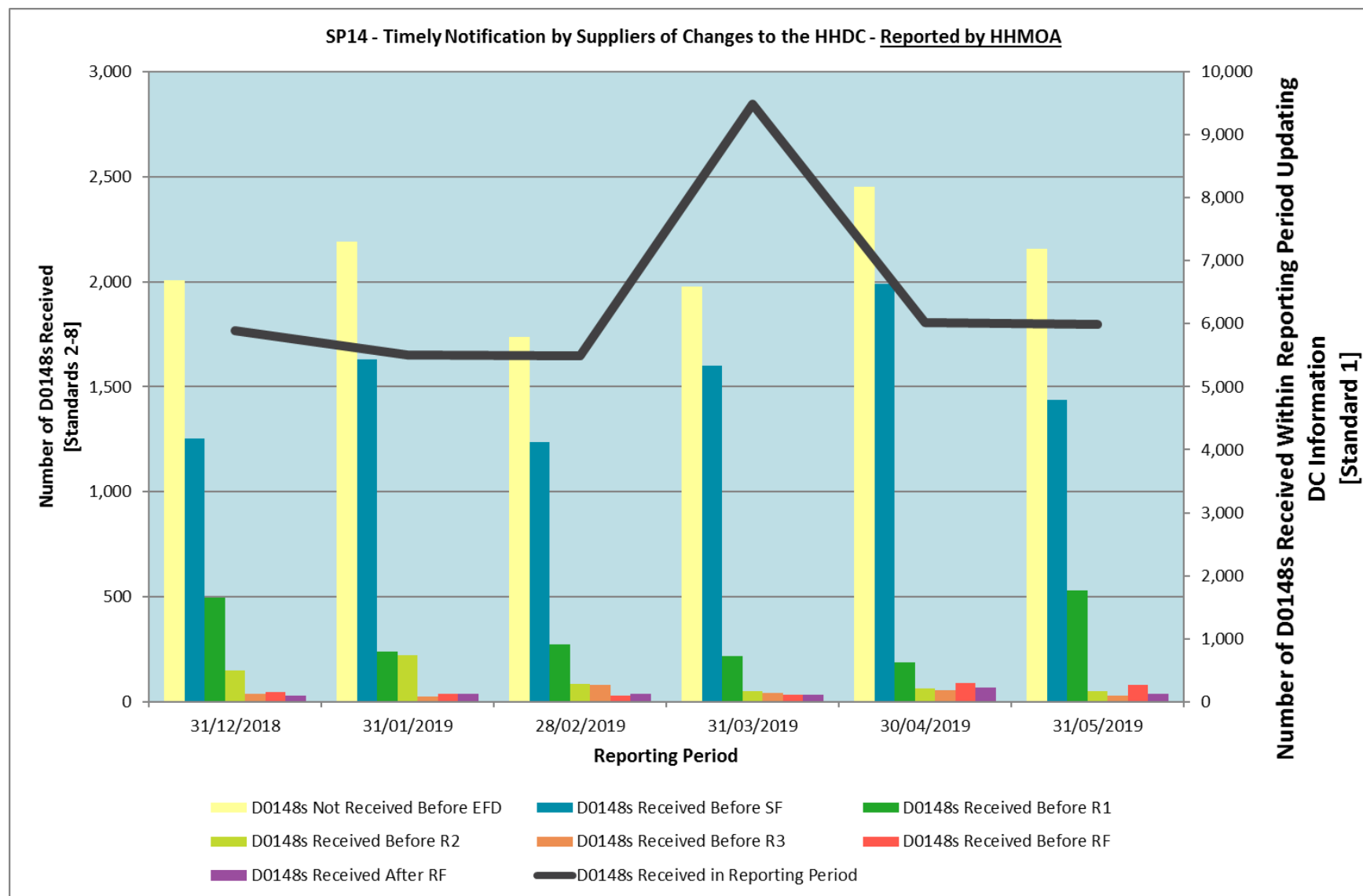


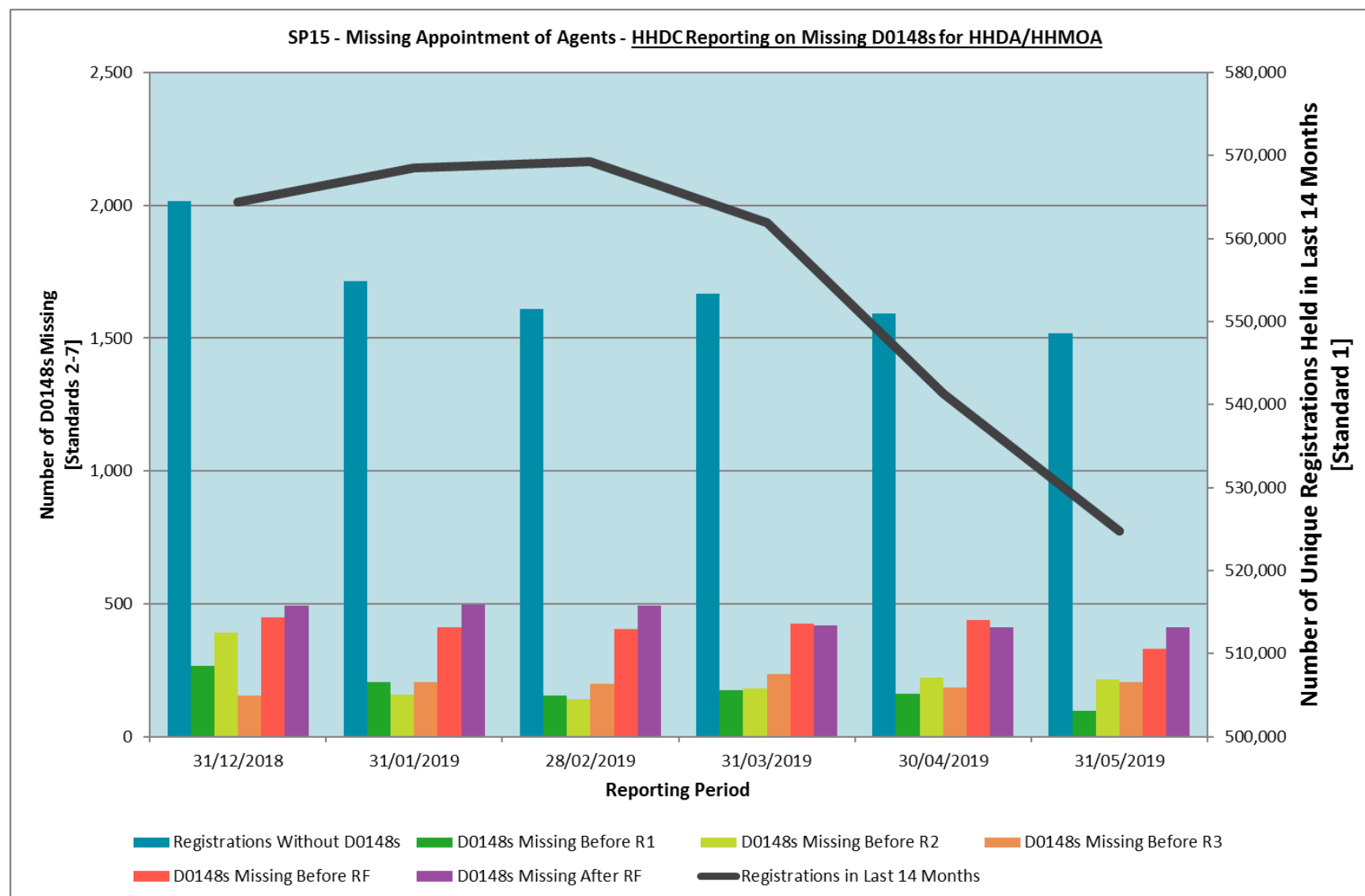


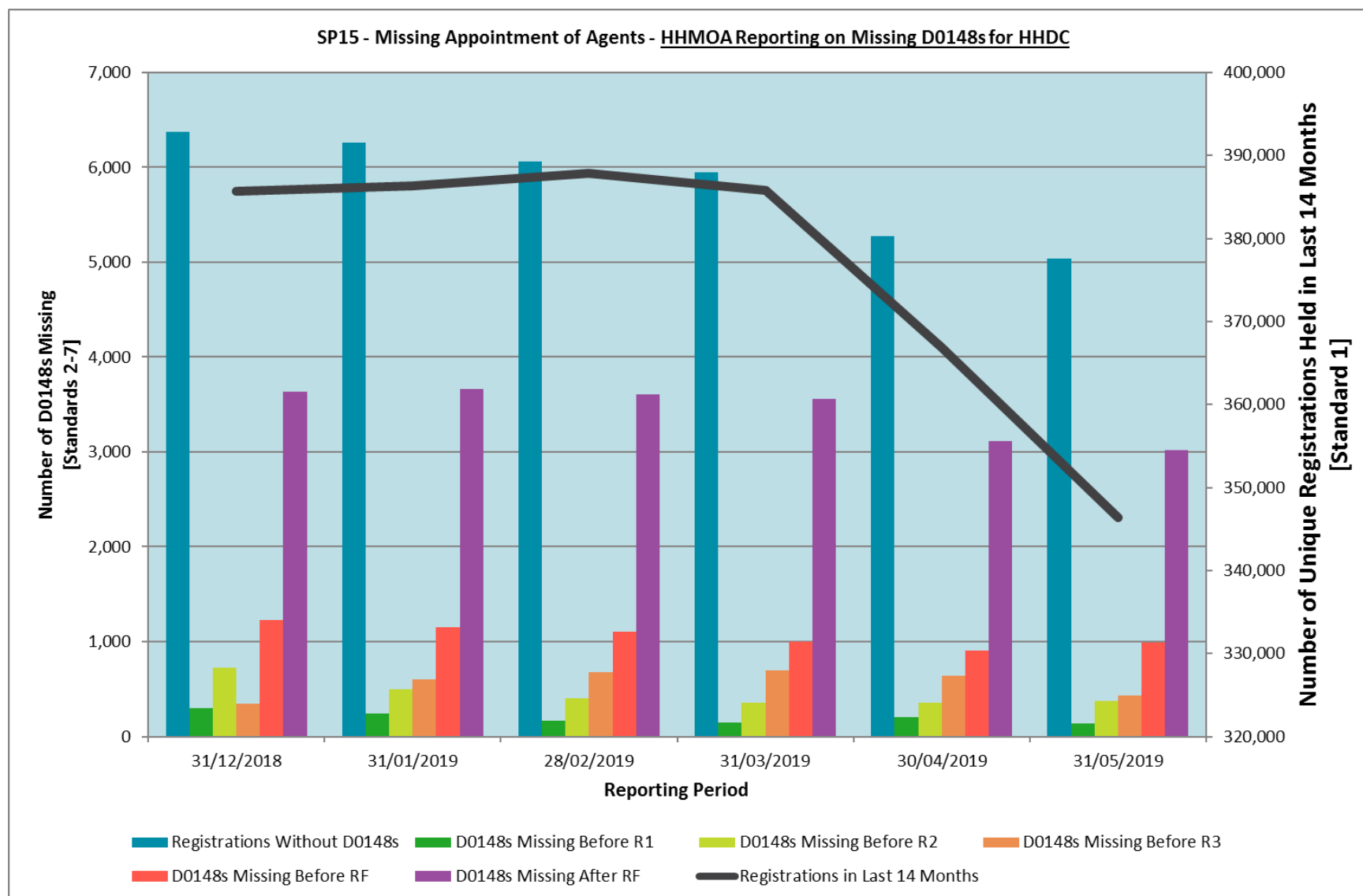




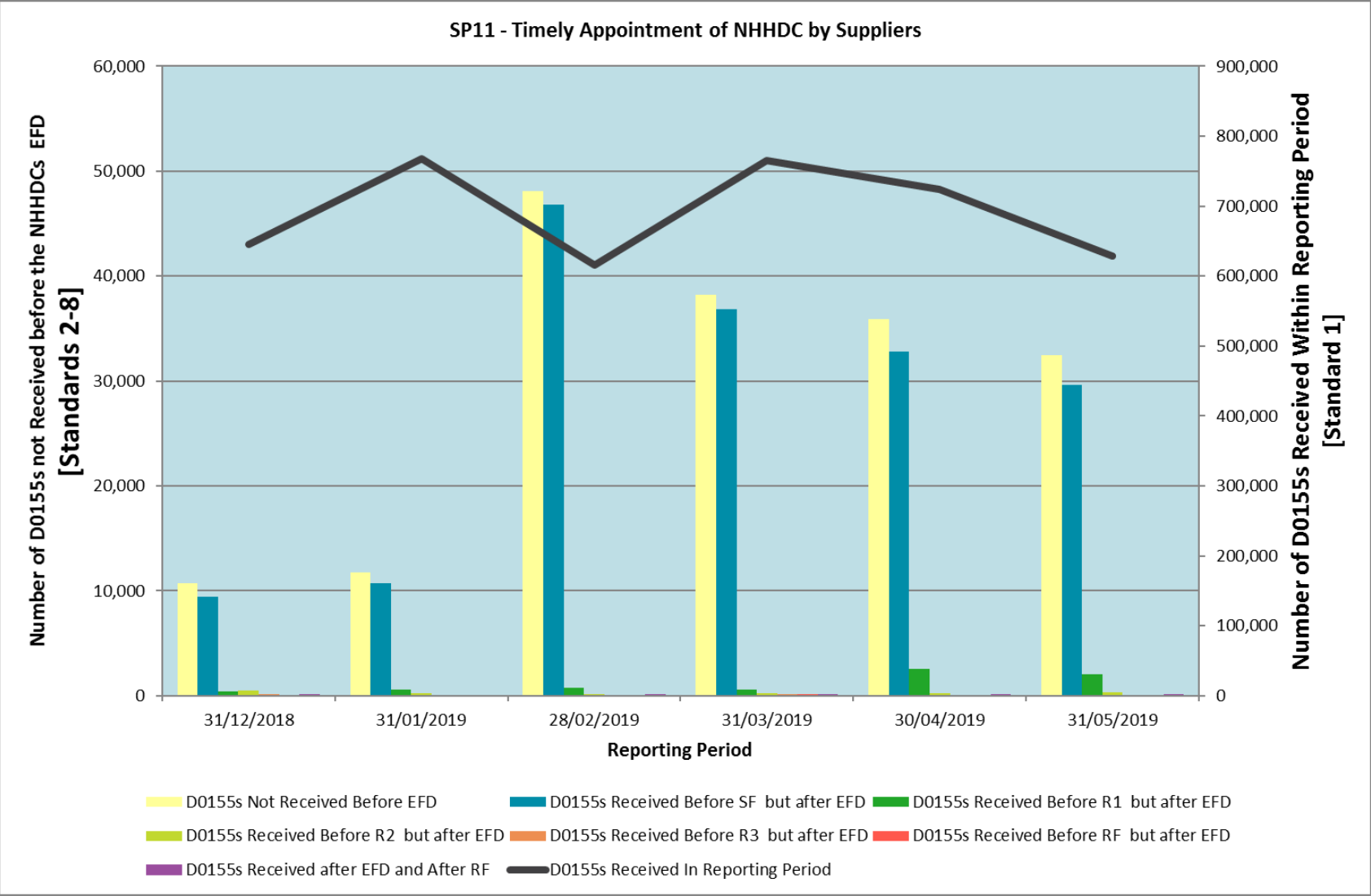


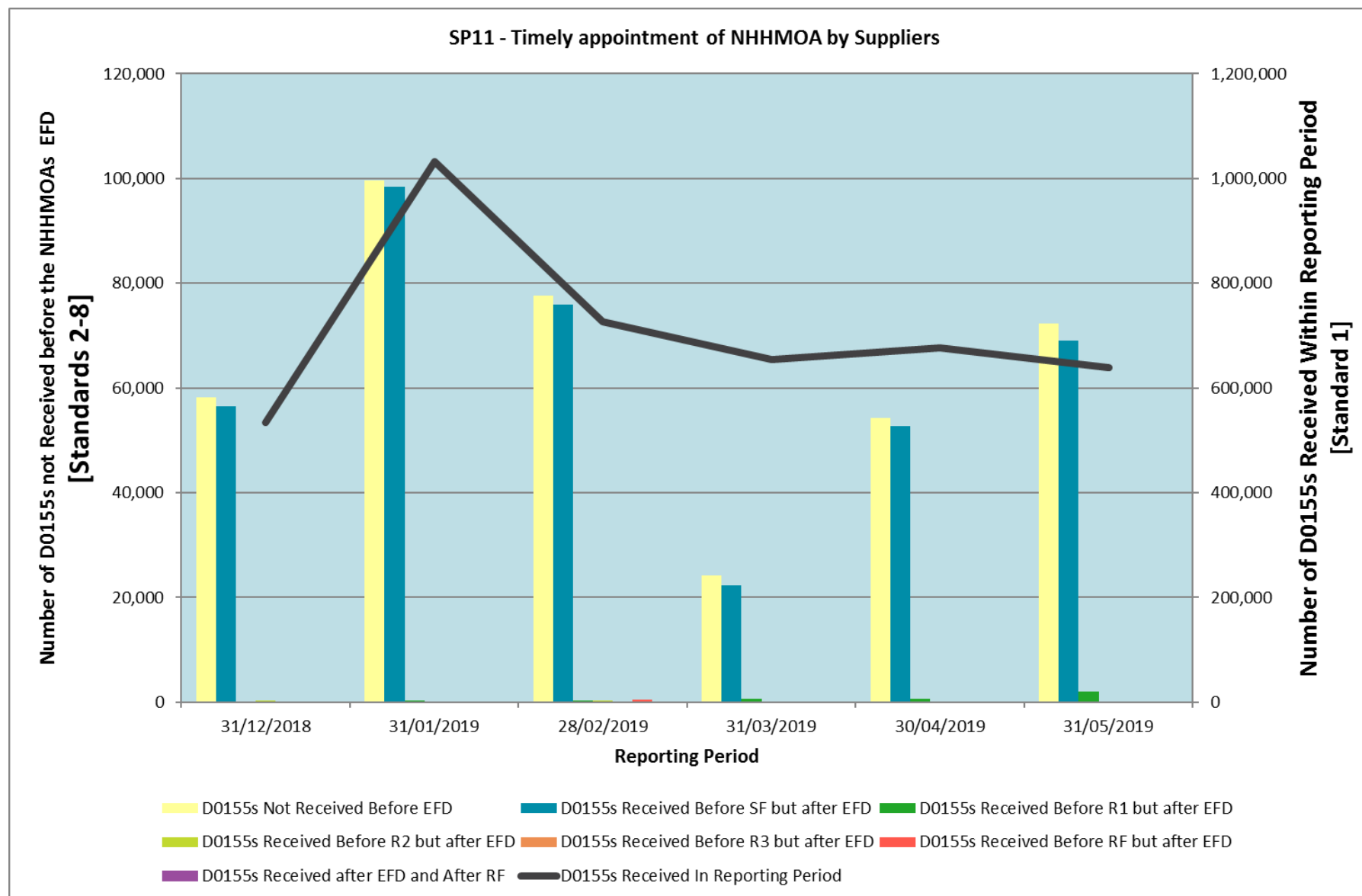




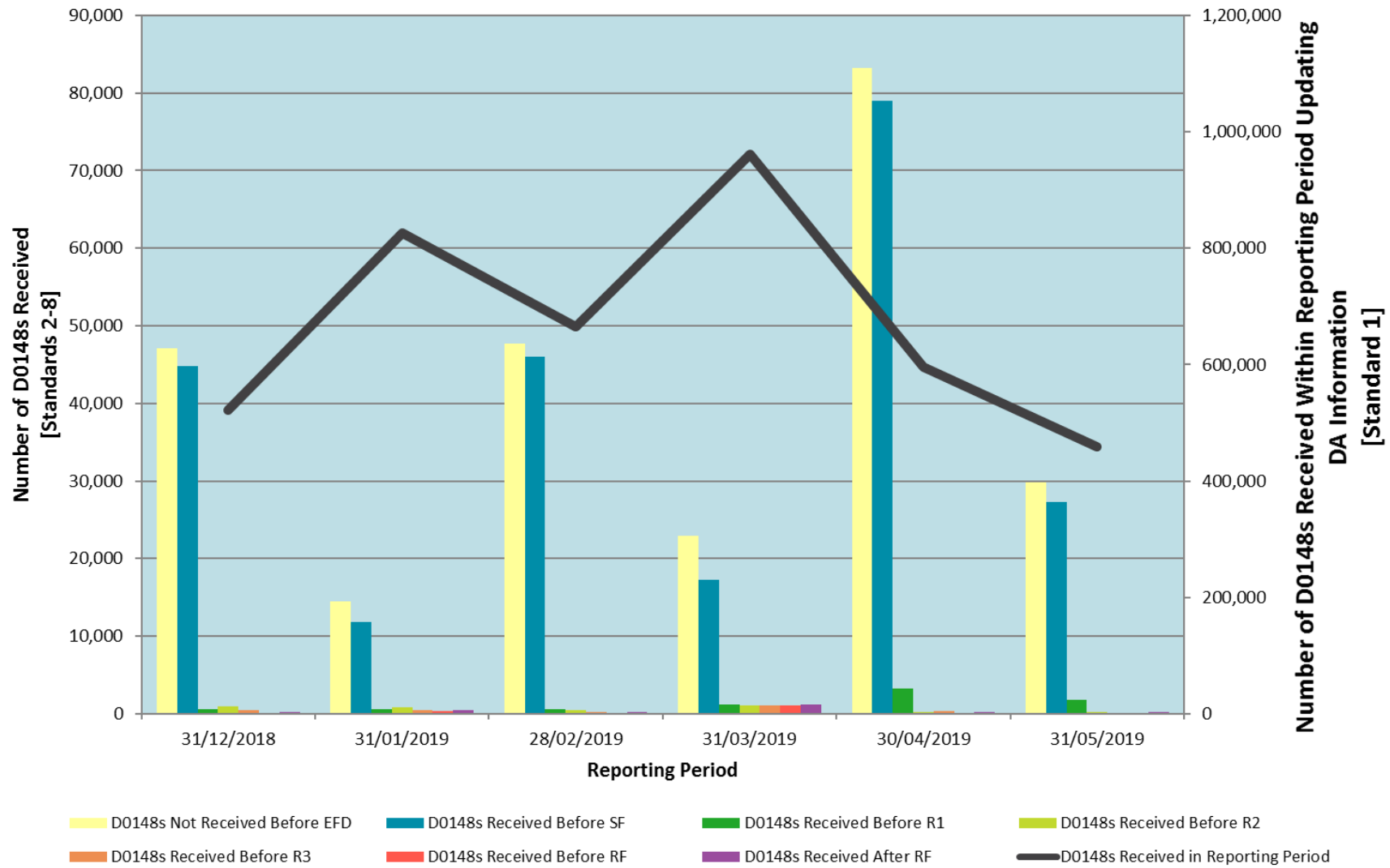


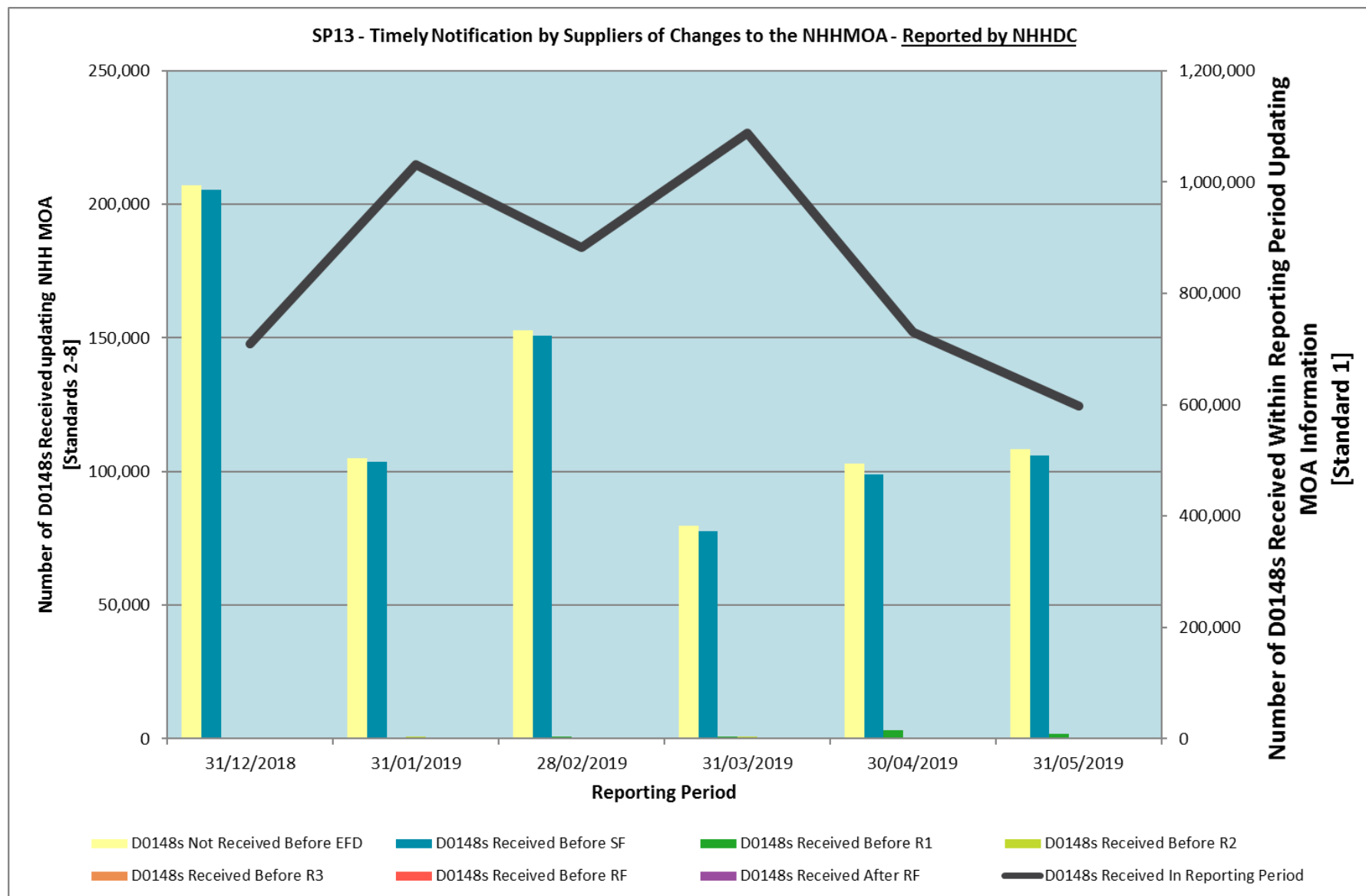
PARMS SERIAL GRAPHS (NHH SUPPLIER)



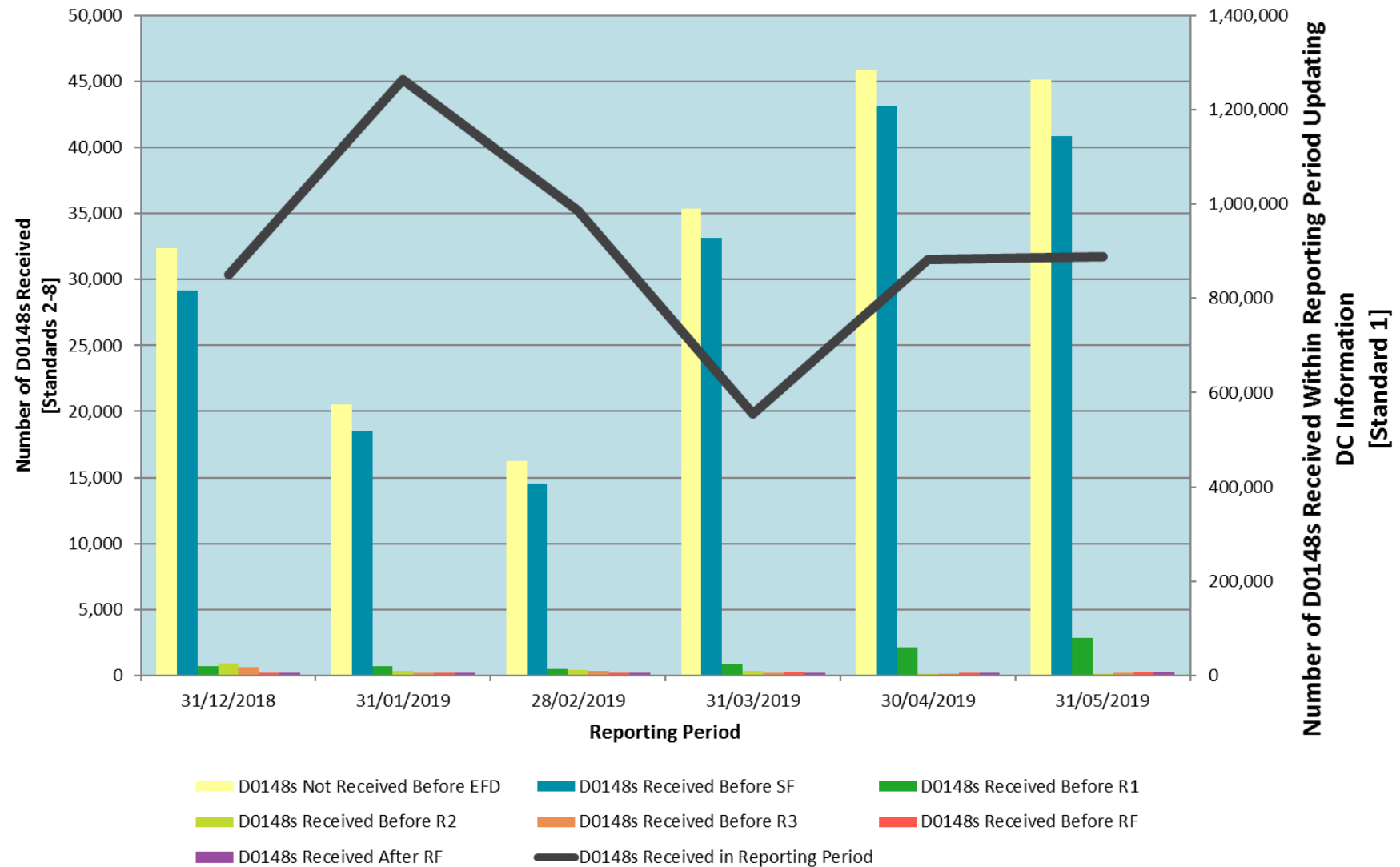


SP12 - Timely Notification by Suppliers of Changes of the NHHDA - Reported by NHHDC



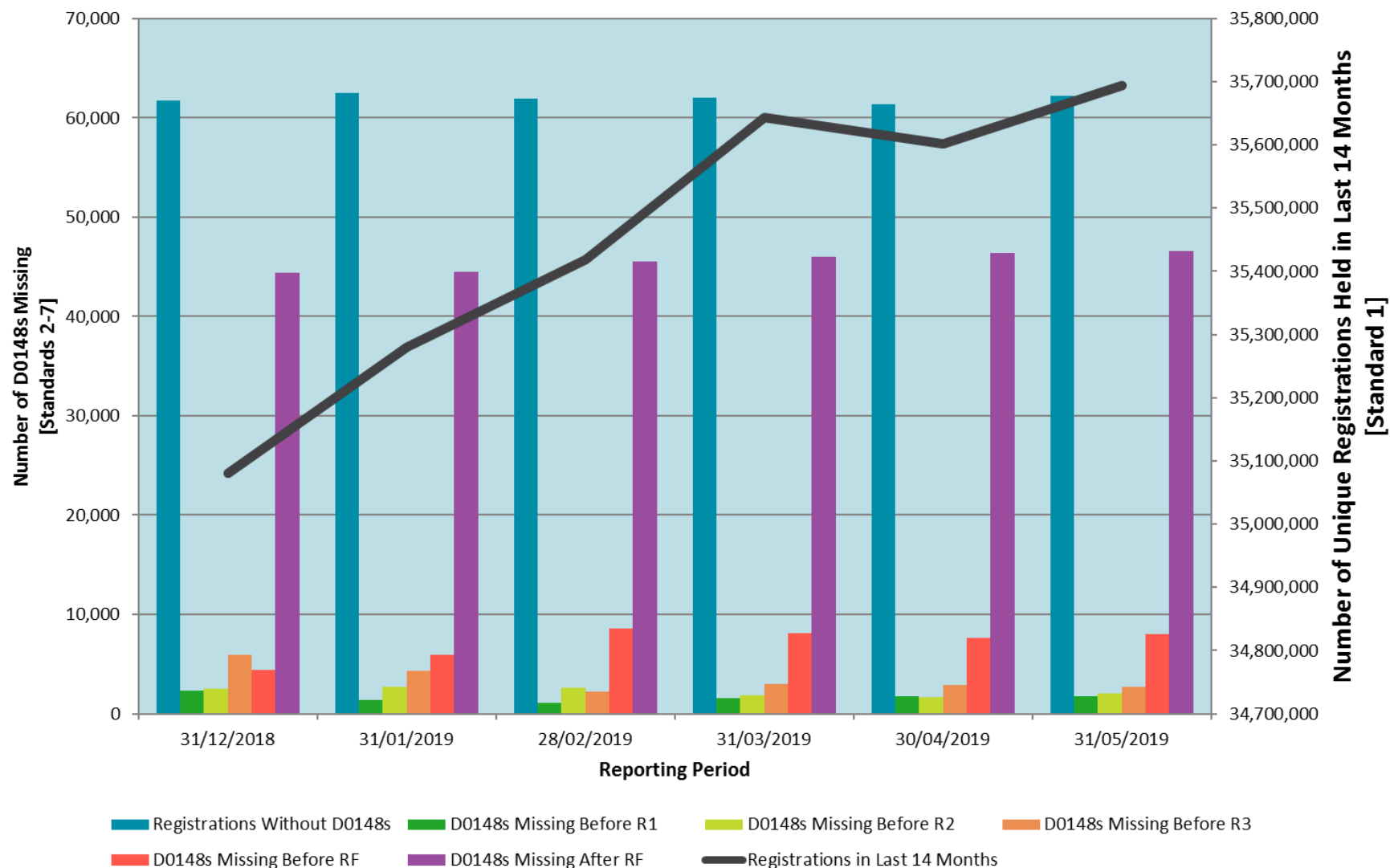


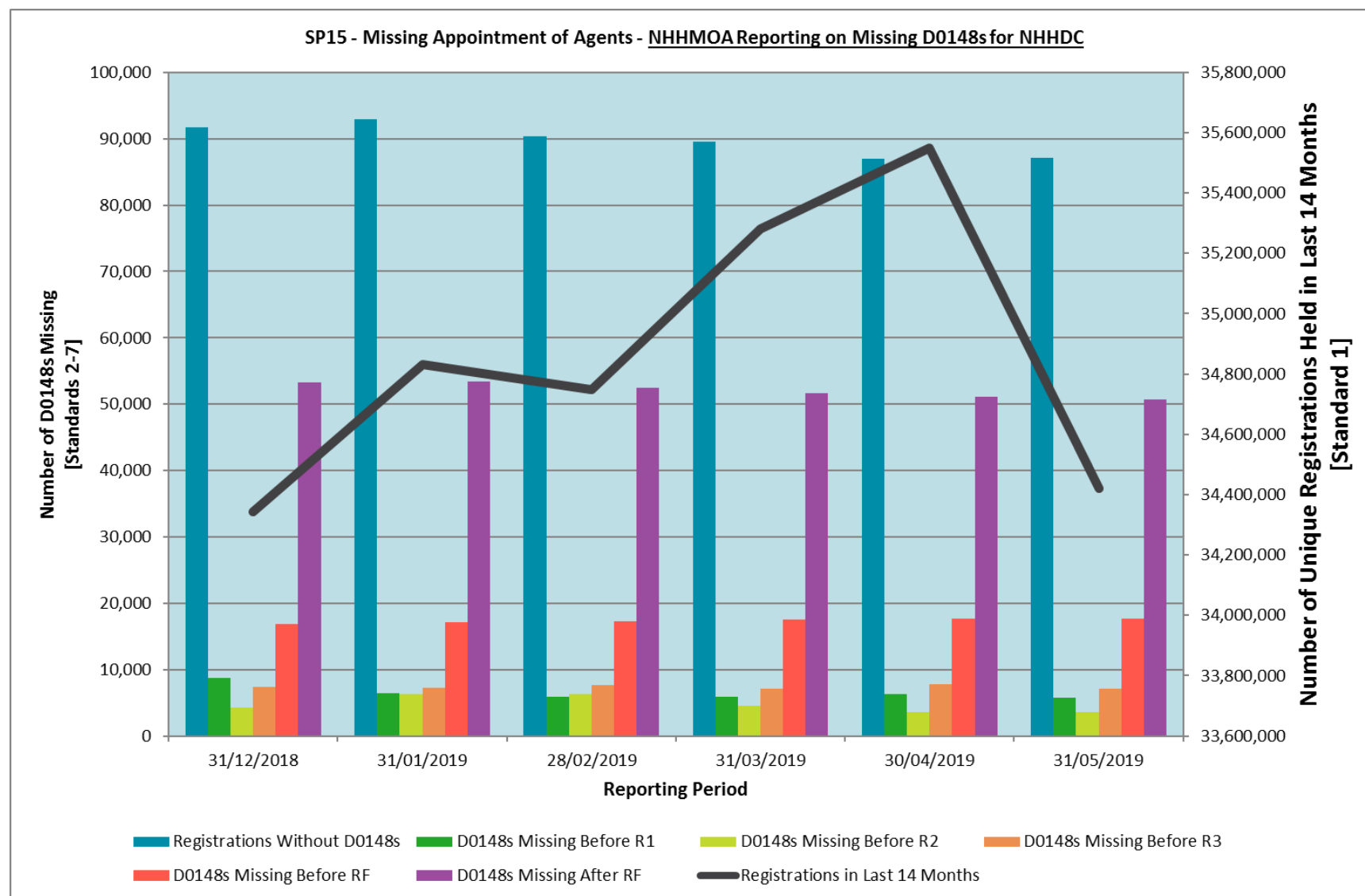
SP14 - Timely Notification by Suppliers of Changes to the NHHDC - Reported by NHHMOA





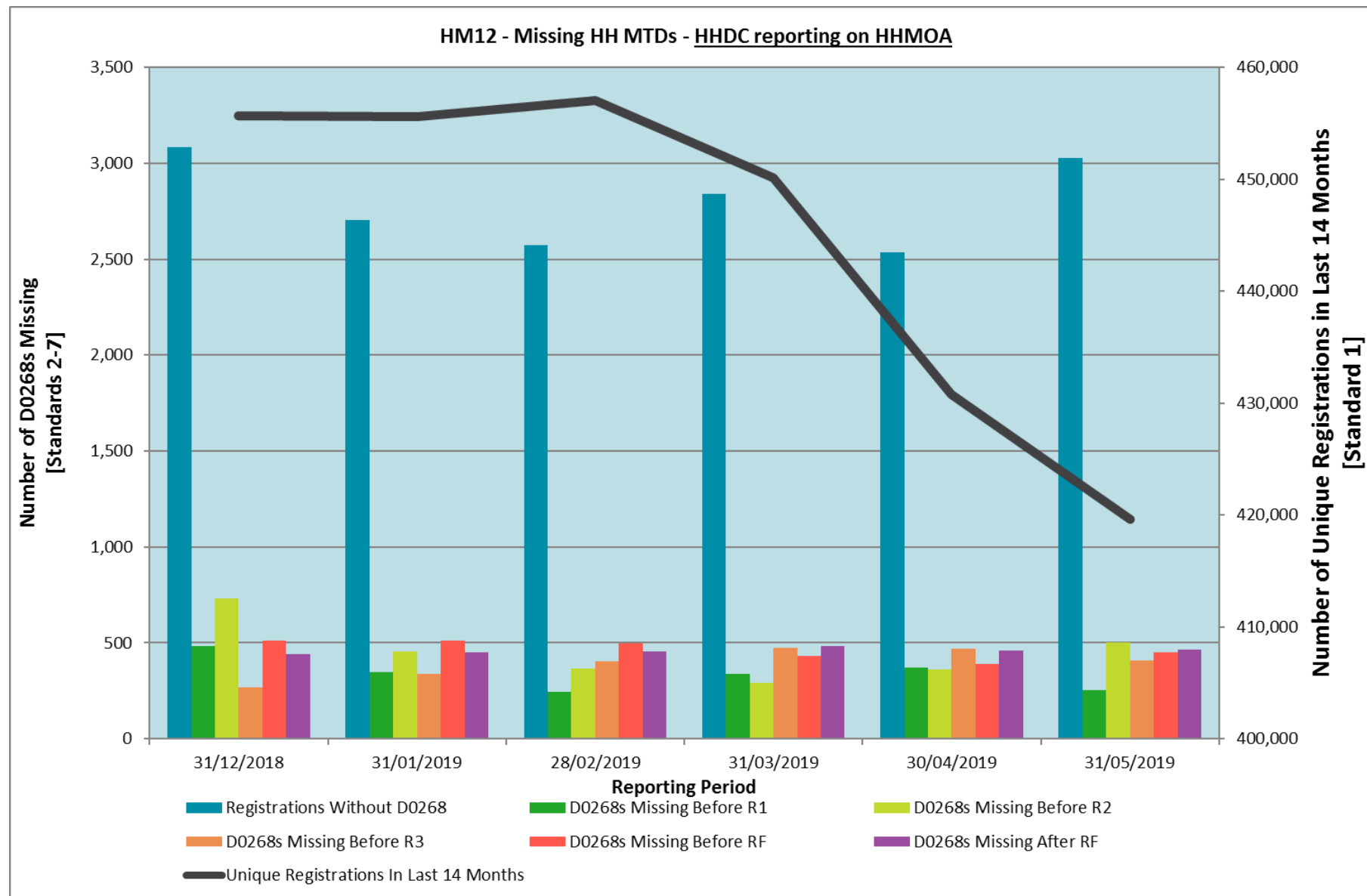
SP15 - Missing Appointment of Agents - NHHDC Reporting on Missing D0148s for NHHDA/NHHMOA

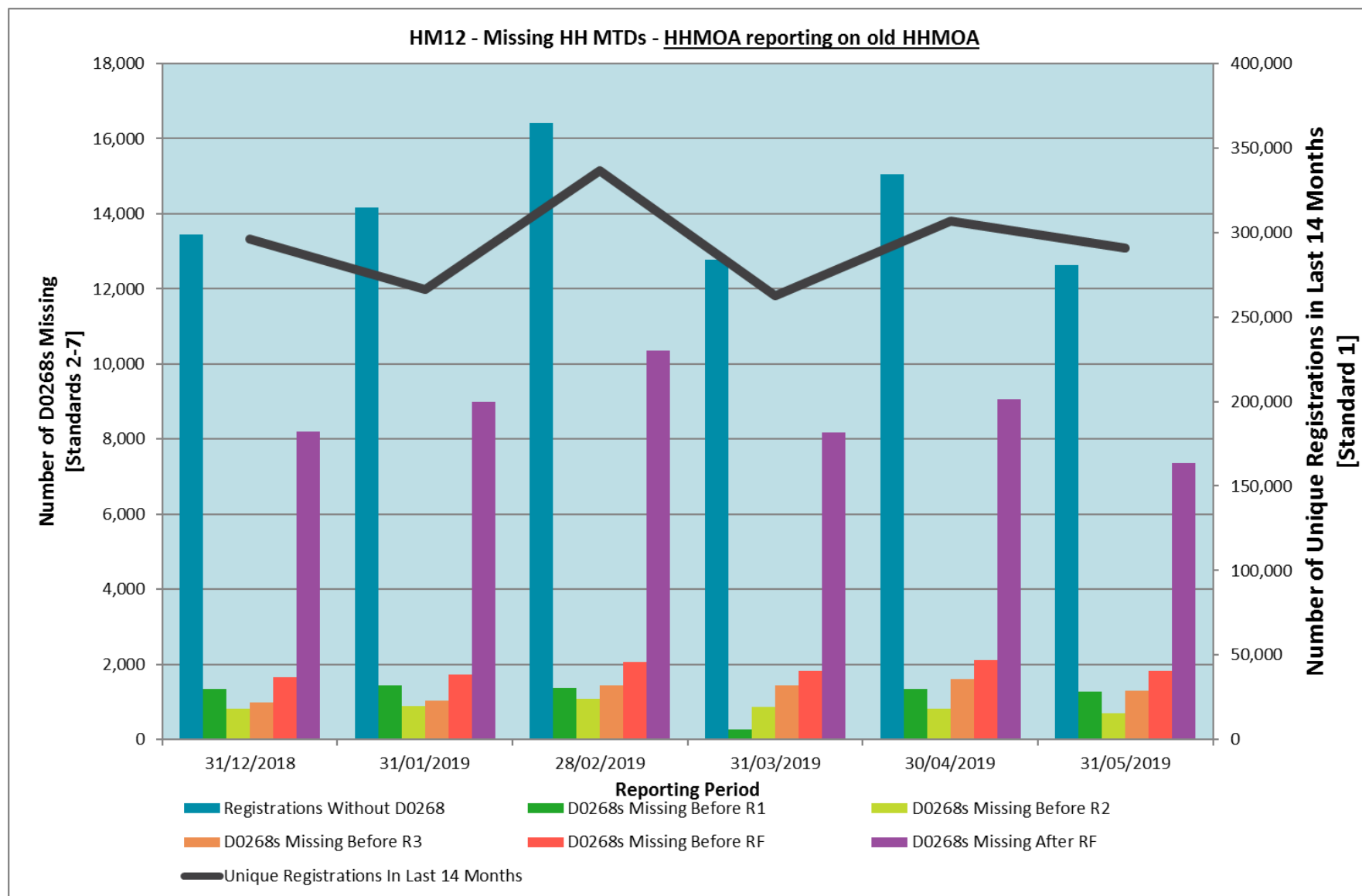




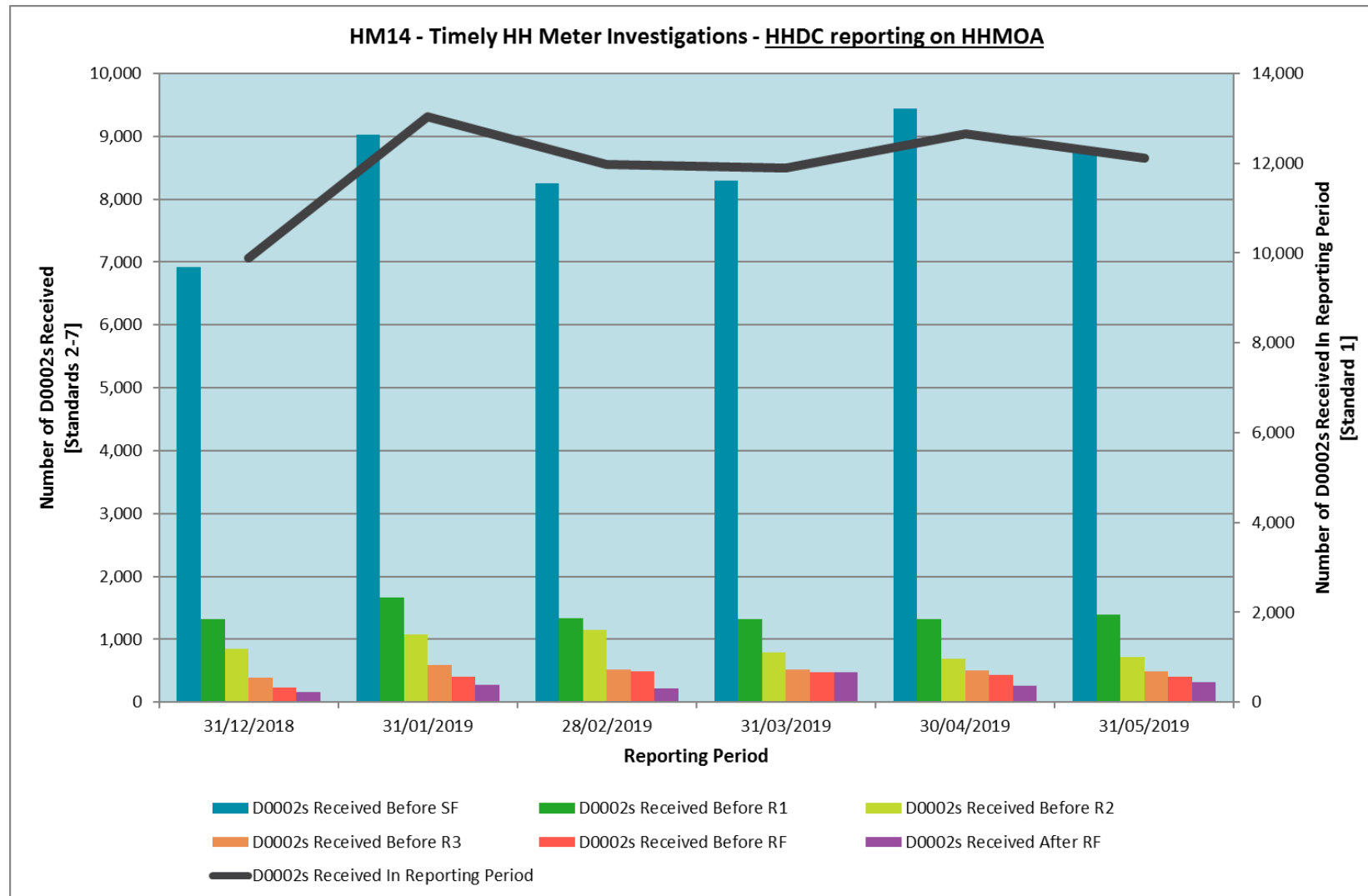
PARMS SERIAL GRAPHS (HH METER TECHNICAL DETAILS)







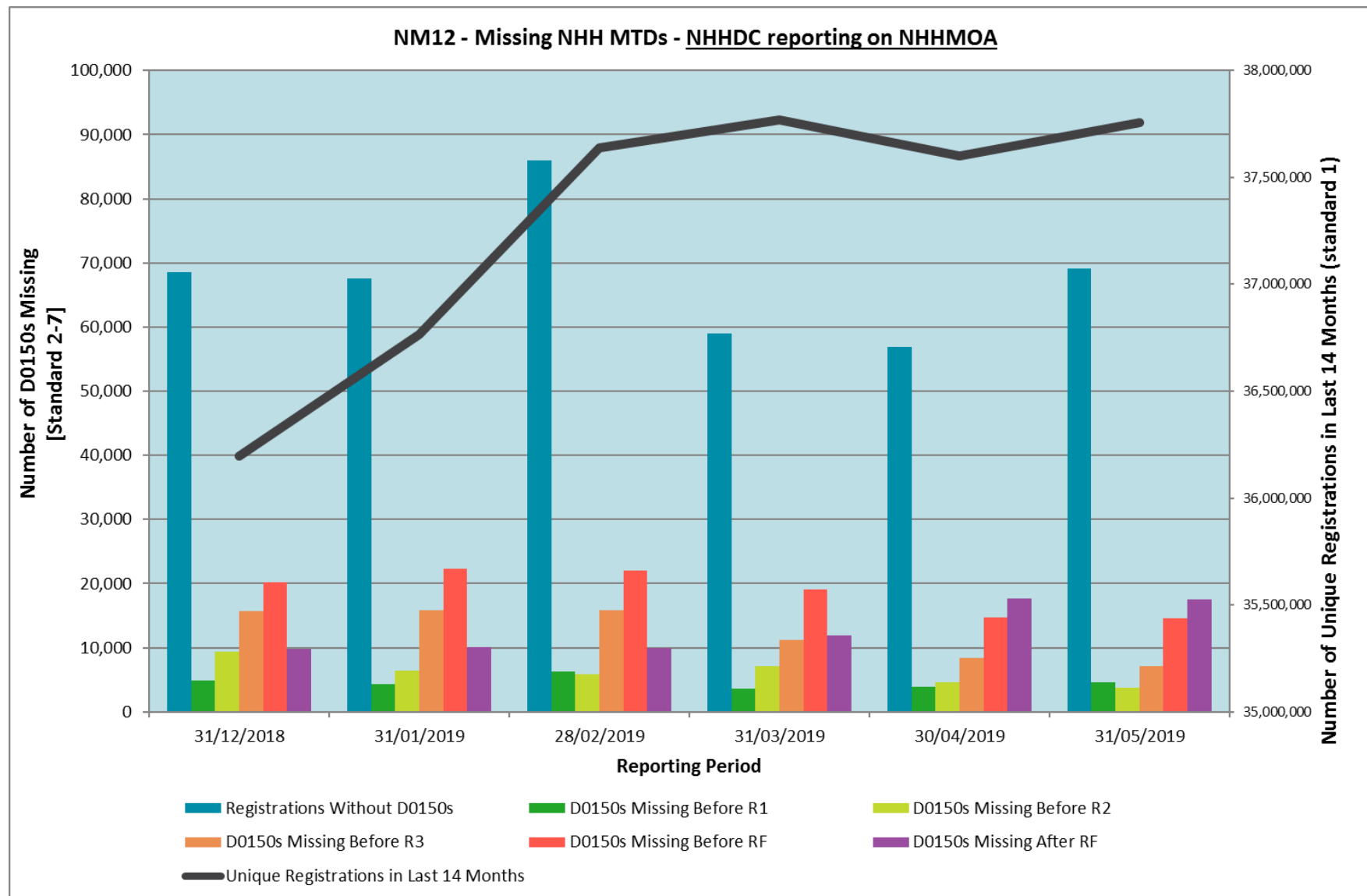


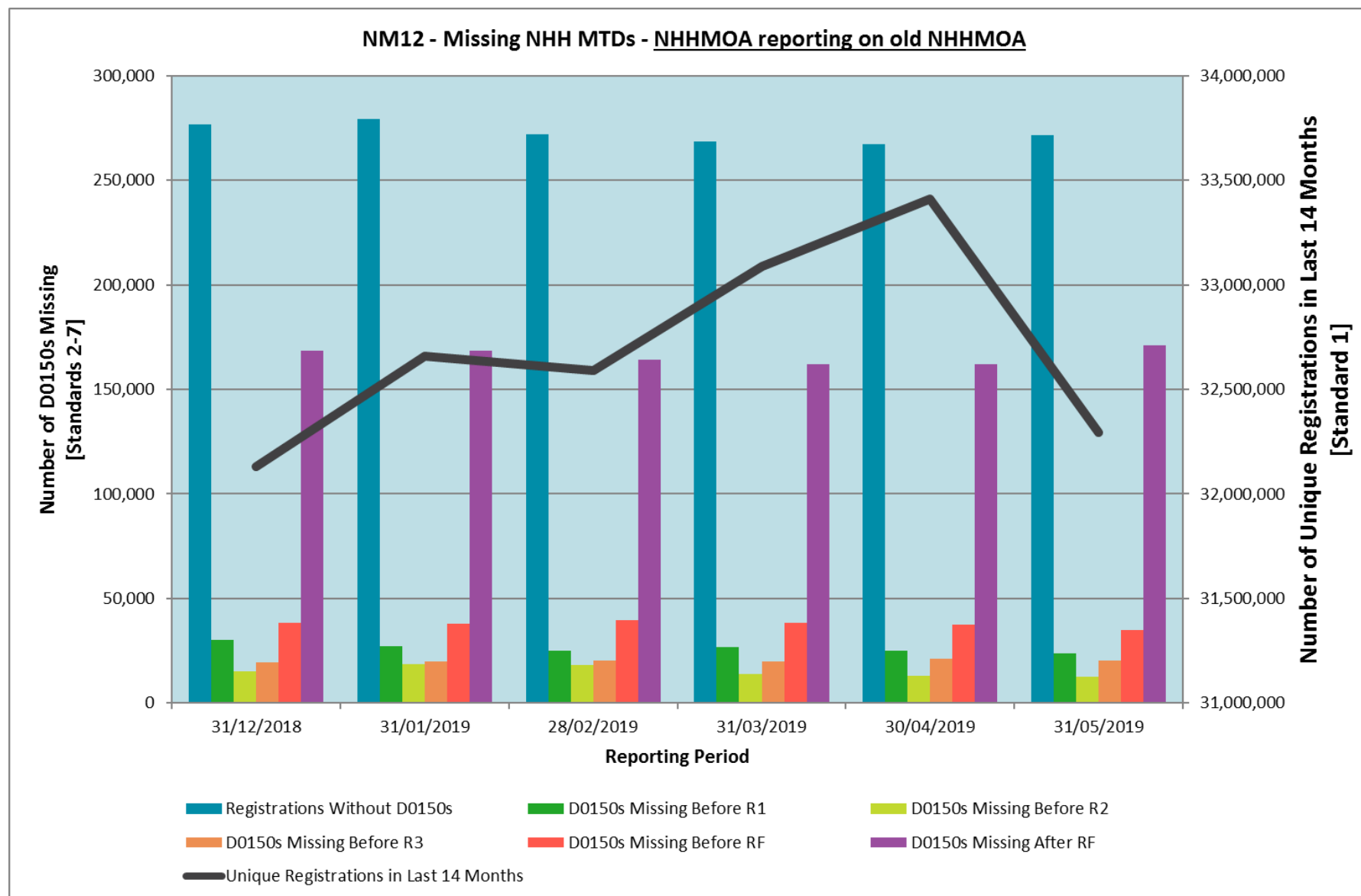


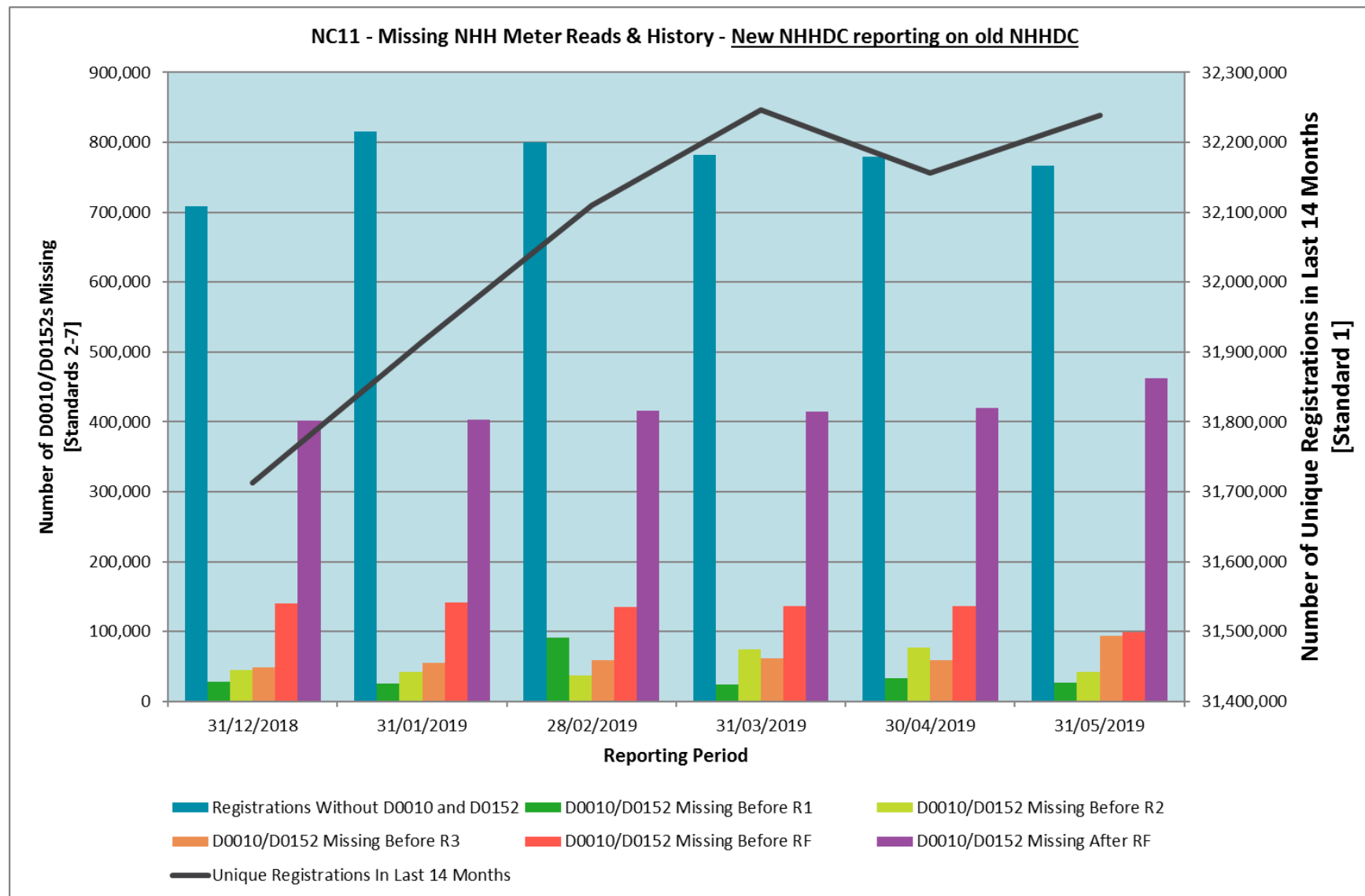
PARMS SERIAL GRAPHS (NHH METER TECHNICAL DETAILS)











## RECOMMENDATIONS

---

### 1. Recommendations

1.1 The PAB is invited to:

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