

## CP1406

### About this document:

This is an Assessment Consultation document, which provides details of the background, solution, potential impacts and costs associated with CP1406 'Electronic version of the Self Assessment Document'. This document is for information only, to be used in line with the Consultation Response form, to which this document is attached.

## 1. Why Change?

### Background

The current Self Assessment Document (SAD) found in BSCP537 Appendix 1 is a large Word based document. New entrants or Qualified Persons, going through Qualification or re-Qualification respectively, must complete this.

### What is the issue?

Having a large continuous document makes it difficult for the Applicant to both complete and submit the SAD in separate sections. Currently, the Applicant separates the Word document into different sections whilst trying to maintain the formatting. In addition, it has to attach supporting evidence separately.

ELEXON raised CP1406 'Electronic version of the Self Assessment Document' on 31 January 2014 to address this issue.

## 2. Solution

In addition to the current SAD submission process of submitting a Word document, this CP proposes to have an alternative electronic version of the SAD available to complete via an online portal.

KPMG, as the current Auditor and Qualification Service Provider (QSP)<sup>1</sup>, will host the electronic SAD using its 'ELEXON Navigator' tool, which will be hosted on KPMG's servers. This is an online tool which features an online version of the SAD.

This CP will require amendments to BSCP537<sup>2</sup> to include the additional alternative option to complete and submit the SAD either electronically or via the word document.

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<sup>1</sup> <http://www.elexon.co.uk/wp-content/uploads/2013/11/Qualification-Approach-Document-for-year-ending-30-September-2014.pdf>

<sup>2</sup> 'Qualification Process for SVA Parties, SVA Party Agents and CVA Meter Operators'



# Assessment Consultation

Having the option for the SAD to be completed electronically through the current word version would be helpful for the Applicants, ELEXON and the QSP.

The electronic SAD will provide ELEXON with one central location where all SADs for different Applicants can be stored electronically. This will provide ELEXON easier and faster access to all submitted SADs and subsequently provide better version control during the review cycle, as the tool will provide better tracking options of when the SAD sections are submitted. In turn, this will also improve the efficiency of the Qualification process by giving the QSP an earlier opportunity to review submitted SAD sections. The one central location will also make it easier to locate and search for information within the SADs, and allow for key items of data to be indexed e.g. company name, system used, name of third party consultant used etc.

Changing the format of the SAD from a word document to an electronic form will be more user friendly for Applicants as it will allow them to submit separate SAD sections and to attach supporting evidence more easily. This will also reduce the amount of time spent on the application as each section will be on a separate webpage containing the relevant questions. The electronic version of the SAD will also enable ELEXON to manage queries from Parties during the Qualification process itself, including the ability for ELEXON to log on and support those currently in the process. As is the current process, Applicants will still be made aware multiple times at the beginning of the Qualification process that they will need to send the SAD and other data directly to KPMG as the QSP, rather than to ELEXON.

It should be noted that the Navigator is currently ready to use but has not yet been switched on until the amendments to BSCP537 have been made.

## Question 1

**Do you agree with the proposed change?**

### 3. Impacts and Costs

#### Potential central impacts and costs

CP1406 will require a minor update to BSCP537 with no system impacts as the tool is already in place.

ELEXON estimated costs and potential impacts		
Document Changes	System Changes/Impacts	Total Costs
BSCP537	No system changes or impacts identified.	1 man day equating to £240

#### Potential participant impacts and costs

We do not anticipate any participant impacts associated with CP1406.



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## Question 2

Is your organisation impacted? If yes, please answer the following:

## Question 2a

How is your organisation impacted?

## Question 2b

What are the associated costs on your organisation to implement this change?

## 4. Implementation Approach

CP1406 is targeted for implementation on 26 June 2014 as part of the June 2014 BSC Systems Release.

## Question 3

Do you agree with the implementation approach? If not, why?

## Question 4

Do you have any other comments?

### Attachments:

Attachment A – CP1406 - Form

Attachment B – BSCP537 Redlining v0.1

### For more information, please contact:

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