

Irish Retail Electricity Market Market Assurance Processes

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IGG	Industry Participants	19/09/2012
Authorised:		
Karen Kavanagh	CER	19/09/2012

III Bibliography

Document Name	Reference
Irish Retail Electricity Market Design	http://www.rmdservice.com/portfolio_services/market_design_services.htm
Assurance Strategy for the Irish Retail Electricity Market	http://www.rmdservice.com/portfolio_services/market_assurance.htm

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1. Introduction

1.1 Purpose

The Assurance Strategy sets out when an assurance process applies and what conditions actuate the specific types of assurance processes. This document describes in detail the Market Assurance processes that underpin the Assurance Strategy for the Irish Retail Electricity Market (the Market).

It is intended that this document should provide the reader with sufficient information to understand:

- The types of assurance processes;
- Which assurance process applies to their circumstances;
- The stages contained within the types of assurance processes;
- The various assurance assessment techniques;
- What is expected of organisations wishing to pass assurance in order to participate in sectors of the Irish Retail Electricity Market;
- How long the process is likely to take; and
- Who to contact for advice and guidance.

The reader is advised to read the associated Market Assurance Strategy (see Bibliography) prior to this document. In the event of an inconsistency between the provisions of this document and the Market Assurance Strategy, the provisions of the Market Assurance Strategy shall prevail.

1.2 Background

To assure compliance with the Market design and on-going compliance as the Market design changes, the CER requires an independent assurance service procured through the Retail Market Design Service (RMDS).

All existing Market participants in the Irish Retail Electricity Market have undergone the Market Entry assurance processes, either as part of Market opening or at a later date. New Participants are also required to undertake such assurance, prior to entering the Market or a new Market segment, to meet the requirements of the Assurance Strategy.

The role of assurance is to give confidence to the CER and all Market Participants that potential risks that may cause Market disruption are mitigated. The organisation providing the assurance service is referred to as the Assurance Body throughout this document.

1.3 Scope

Market Entry

The Market Entry Assurance process applies to:

- Organisations wishing to participate in the Irish Retail Electricity Market for the first time. Such an organisation is referred to as a New Entrant in this document and may wish to become a Supplier (Small or Large) or Self-Supplier. Different levels of assurance apply to each type of New Entrant.
- Suppliers who have already undergone assurance and been approved to operate for certain Market segments and who plan to enter a new segment or segments (QH, NQH (Domestic / Non Domestic), Prepayment and Unmetered) or wish to become eligible as a Supplier of Last Resort (SoLR). The scope of the assurance in this case is proportionate and limited to the new Market segment(s) involved.

The applicability of market segments is summarised in the following table:

Market Role	Market Segments						
	Non Interval (NQH) – non Domestic	Non Interval (NQH) Domestic	Interval (QH)	Prepayment	Un-metered	Supplier of Last Resort	Self Supply
Large Supplier	✓	✓	✓	✓	✓	✓	x
Small Supplier	✓	✓	✓	✓	✓	x	x
Self Supplier	x	x	x	x	x	x	✓

Market Design Release

A Market Design Release includes all changes to the operation of the Market resulting from the implementation of one or more Market Change Requests. The Market Design Release assurance process applies to all Participants in the Market during the implementation phase of a change to the Market design.

This same process will also apply, where so determined by the CER, to the introduction of Working Practices, workarounds or any changes made centrally that materially impact Market Participants' inter-operation processes.

Changes to ESB Networks' central systems that are outside of the above definitions will be assessed on the recommendation of the RMDS and the CER. The assurance approach to be employed will be specific to the changes and the assurance required under the Assurance Strategy.

Re-Qualification

The Re-Qualification assurance process applies to:

- Existing Market Participants who plan to introduce a Material Change¹ to their systems and/or processes.
- Existing Suppliers who wish to operate outside any thresholds specified in their original approval, but within their existing Market segments.
- Existing Suppliers whose conditions of approval mandate further assurance e.g. mandated requalification from Small to Large Supplier where the Small Supplier metering point threshold has been attained.
- Existing Suppliers who have been approved to operate but have not connected to the live central systems and, in the period since approval, one or more Market Design Releases have been completed.

¹ A Material Change represents a change to a Supplier's business and/ or operational processes, and / or technical infrastructure (e.g. automation) that alters the Supplier's internal systems and methods of market interaction from that initially assured.

2. Types of Assurance

2.1 How to use this document

An appreciation of all aspects of Market Assurance can be gained by reading this document cover to cover. However to facilitate the reader who wishes to understand what is required for a particular situation, the document is structured around a series of diagrams comprising each type of assurance requirement which show:

- The assurance stages and the order in which they occur; and
- The inputs to and outputs from each stage.

The various triggers that initiate Market Assurance are listed below, together with a hyperlink to the applicable diagram. The diagrams then contain hyperlinks for the various documents that are referenced there, either elsewhere in this document or to an external source where a more detailed explanation will be found.

2.2 Assurance Triggers

New Entrant to the Market

- [New Large Supplier](#);
- [New Small Supplier](#);
- [New Self-Supplier](#);

Existing Supplier Entering New Market Segment

- [Existing Large Supplier wishing to enter a new market segment; or Any Supplier wishing to be eligible as a Supplier of Last Resort](#);
- [Existing Small Supplier wishing to enter a new market segment \(except SoLR\)](#);

Market Design Release

- [Participation in a Market Design Release](#);

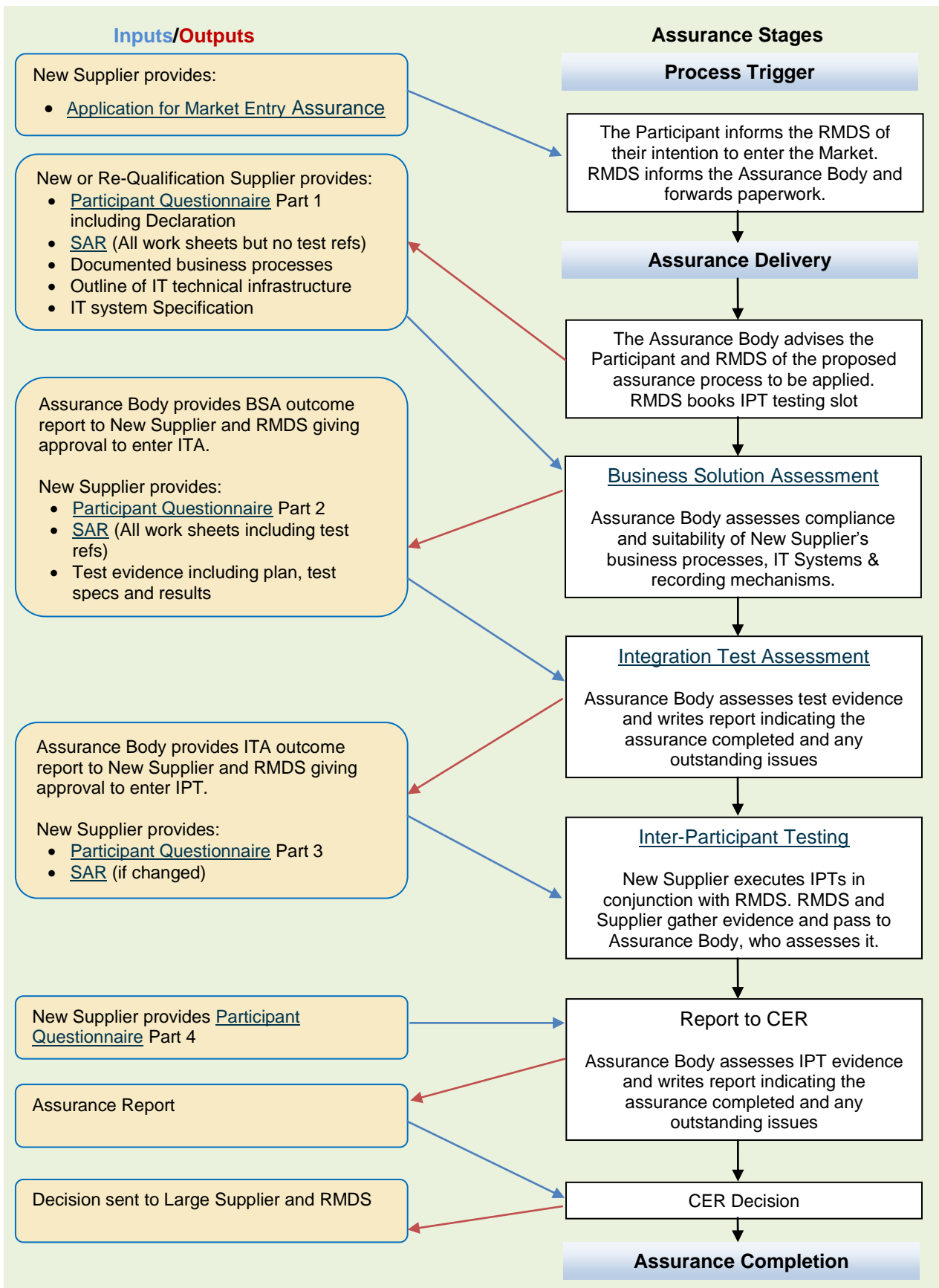
Market Participant Material Change

- [Large or Small Supplier, ESB Networks or EirGrid introducing a material change to their Market-facing processes](#);

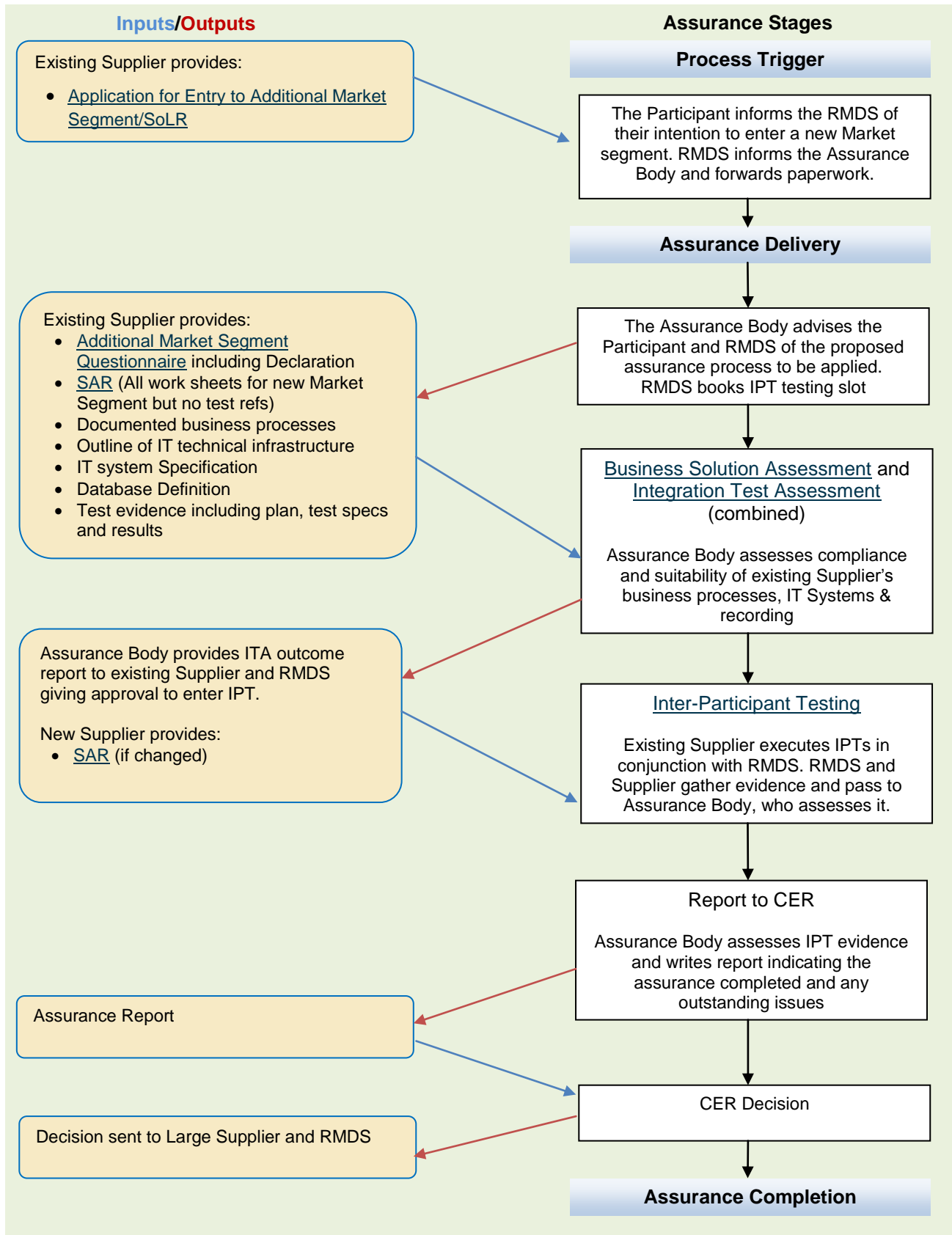
Re - Qualification

- [Small Supplier to Large Supplier](#);

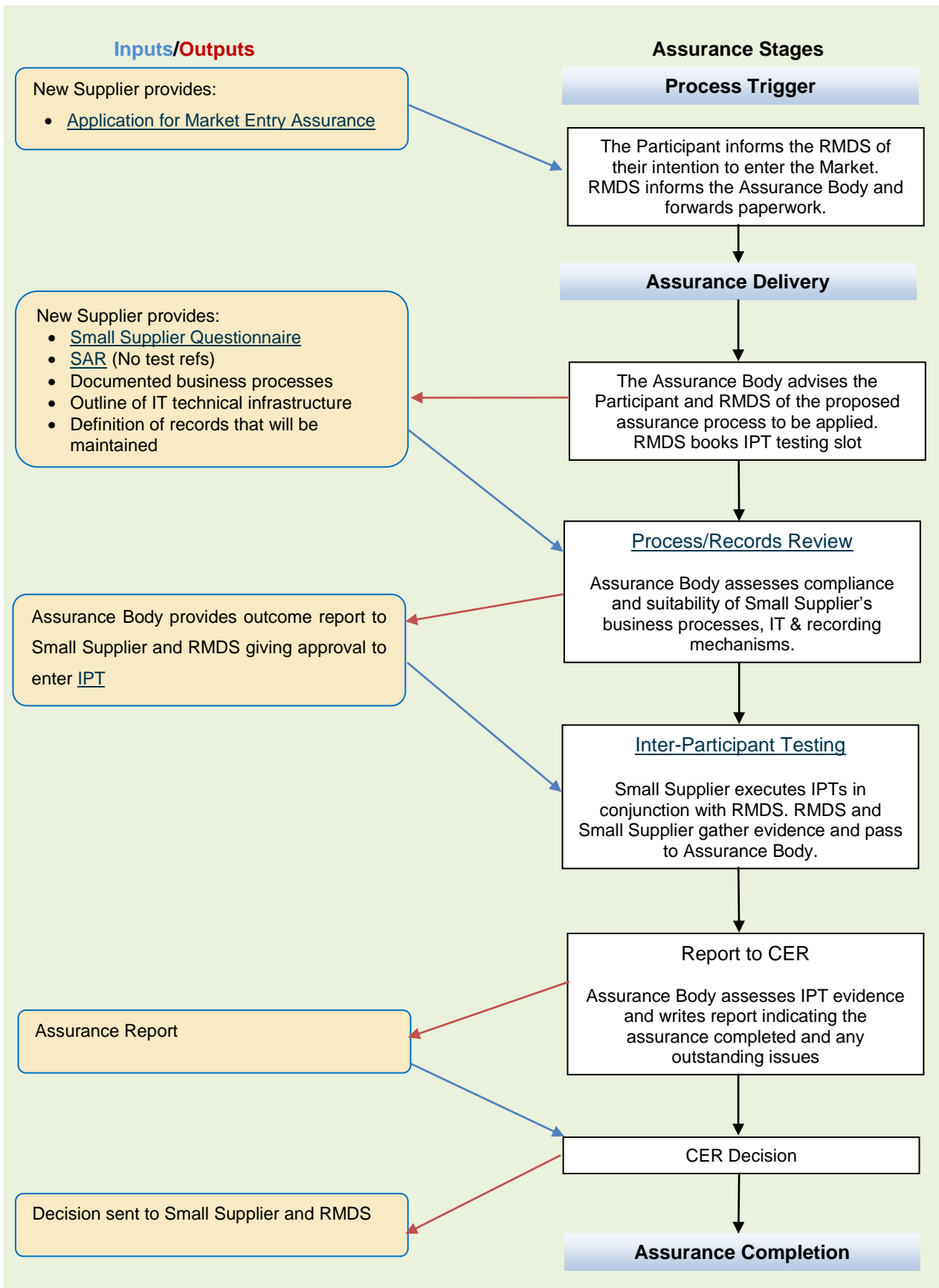
2.3 New Large Supplier Market Entry Assurance Process



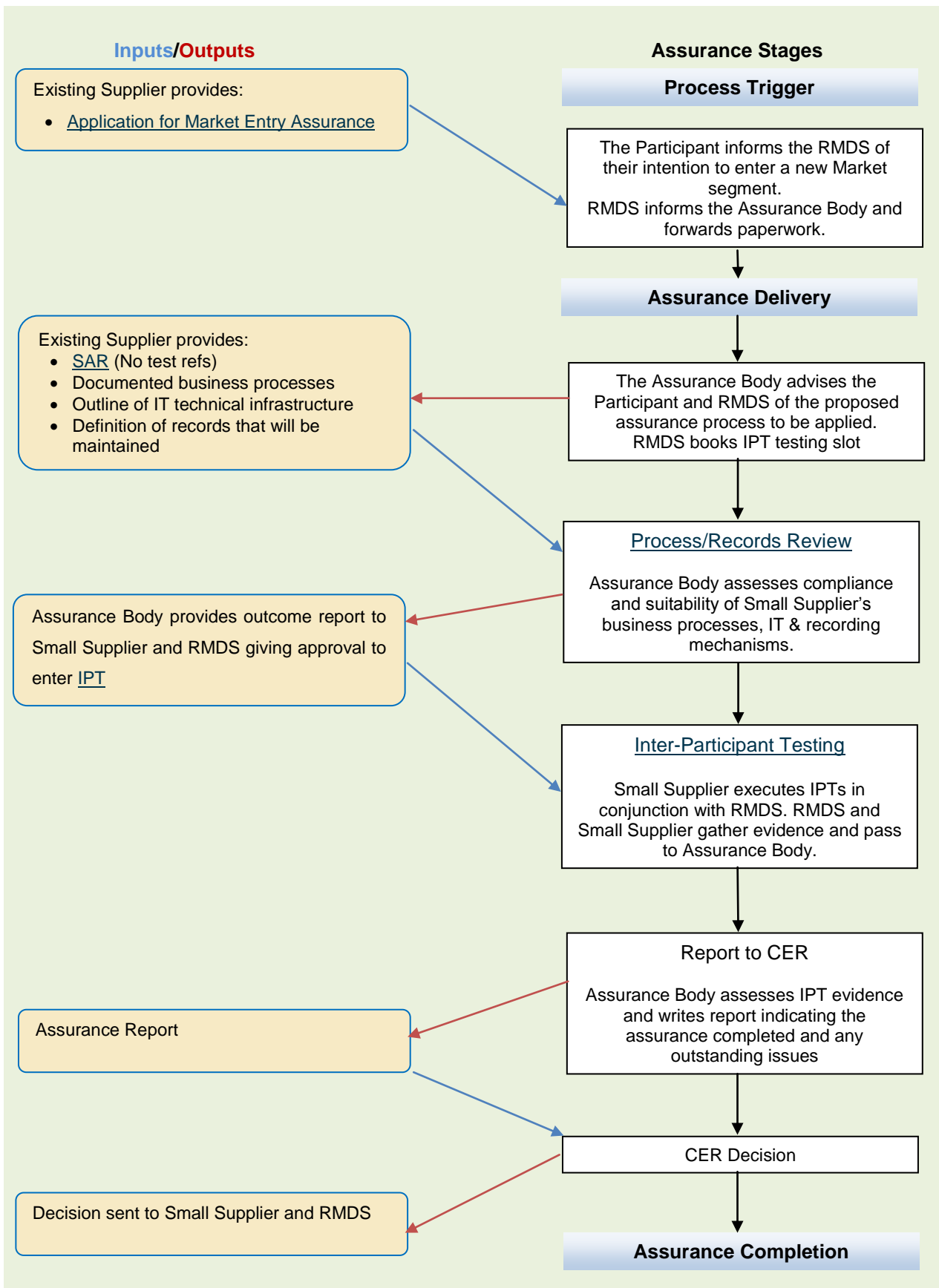
2.4 Existing Large Supplier entering a New Market Segment Assurance or becoming eligible as a SOLR



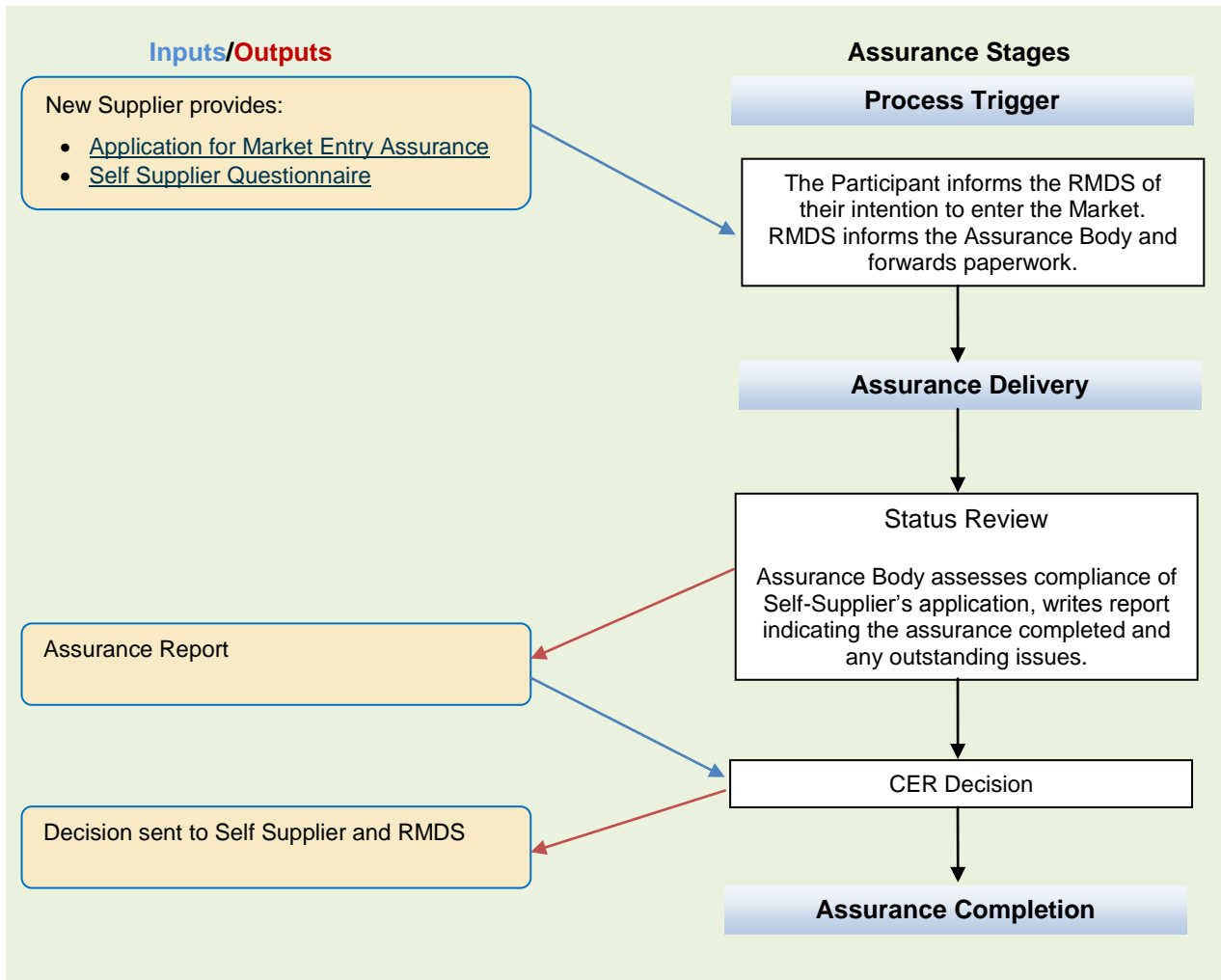
2.5 New Small Supplier Market Entry Assurance



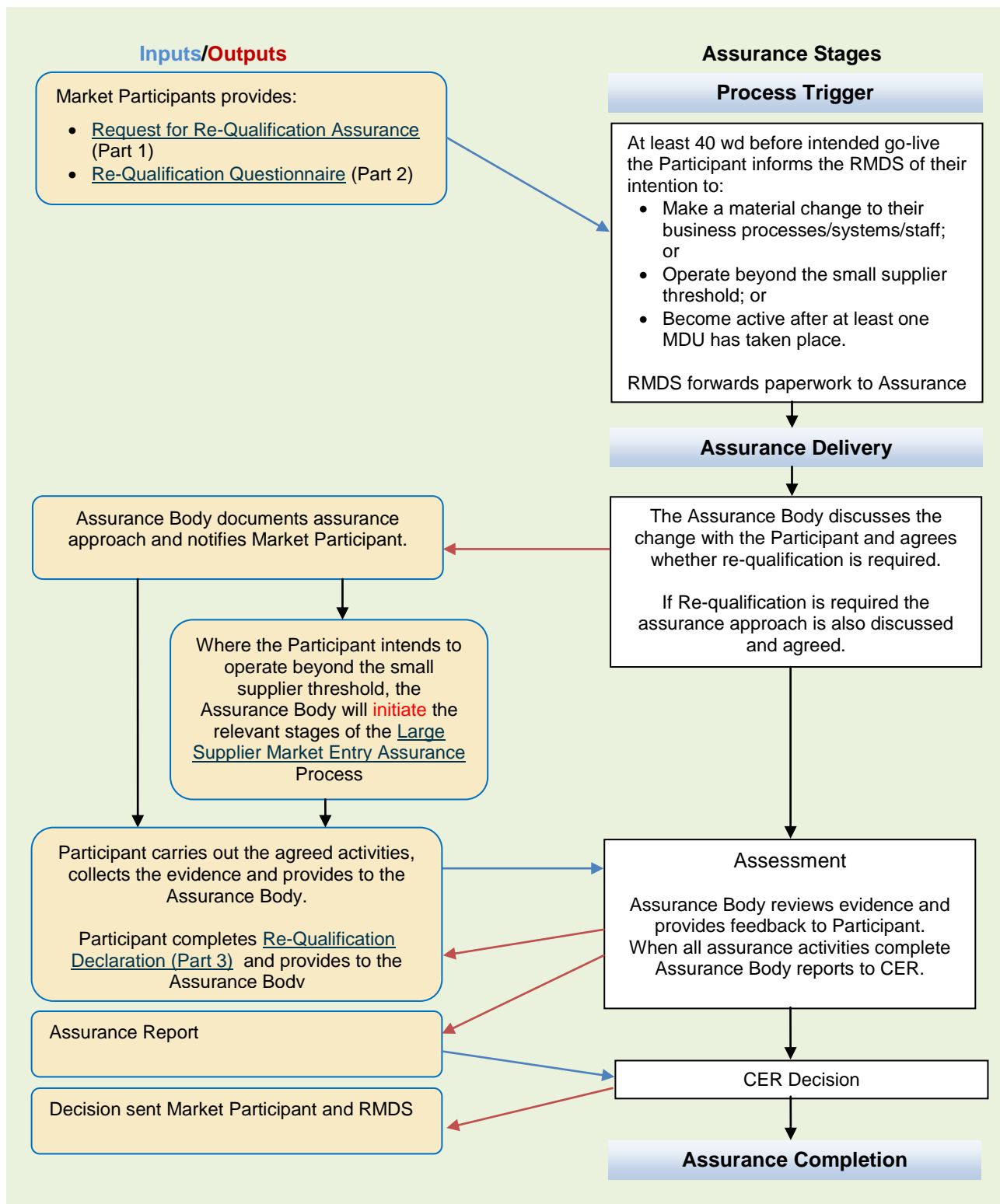
2.6 Existing Small Supplier Entering New Market Segment Assurance



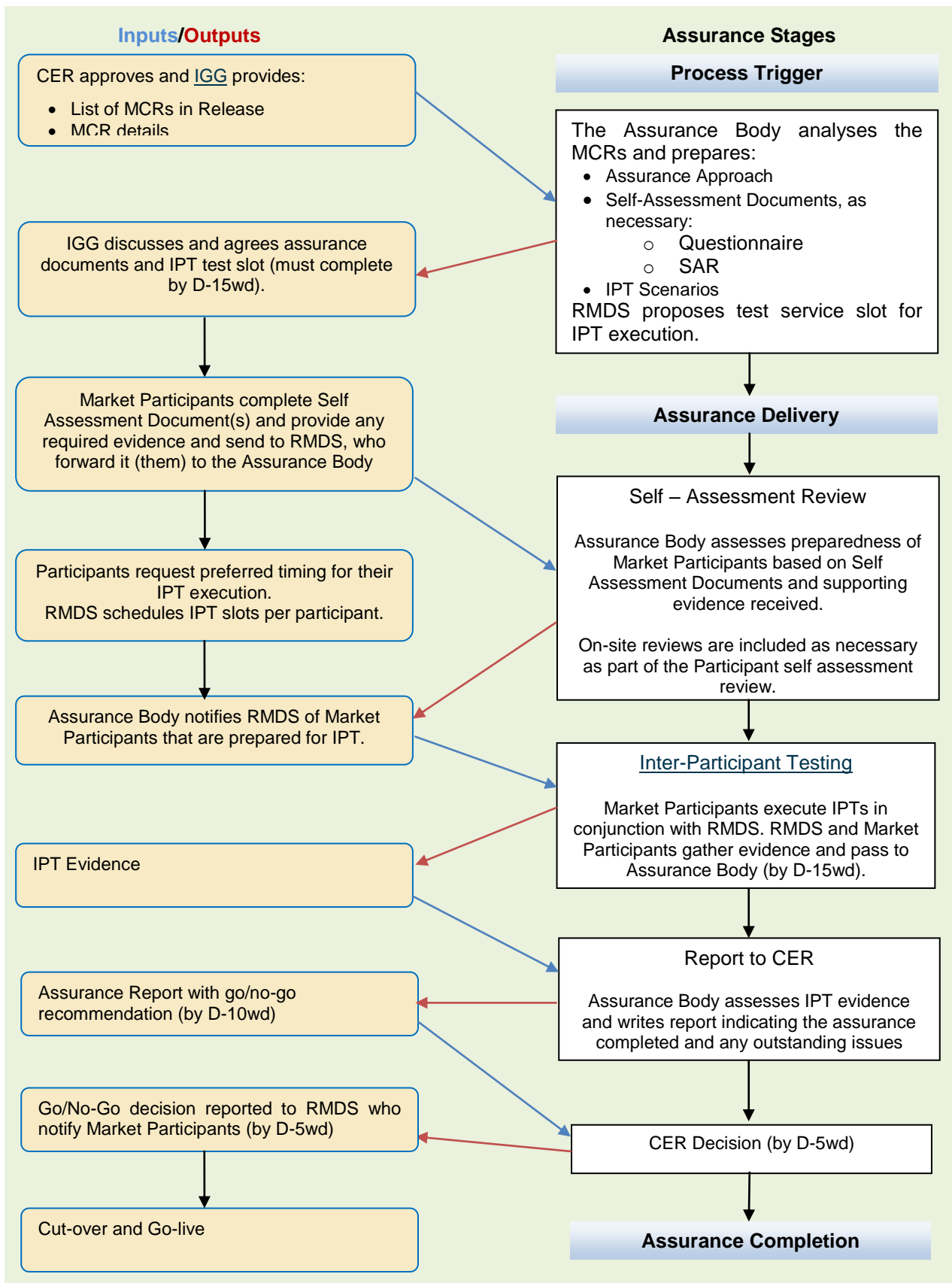
2.7 Self-Supplier Market Entry Assurance



2.8 Re-Qualification



2.9 Market Design Changes



2.10 Assurance Summary

Assurance Type	Assurance document/stage							
	Application	Questionnaire	SAR	BSA	ITA	Process/Records Review	IPT	
New Entrant								
Large Supplier	Appendix C	Appendix D	✓	✓	✓	x	✓	
Small Supplier	Appendix C	Appendix E	✓	x	x	✓	✓	
Self Supplier	Appendix C	Appendix F	x	x	x	x	x	
New Segment(s)								
Large Supplier	Appendix G	Appendix G	✓	✓	✓	x	✓	
Small Supplier	Appendix G	Appendix G	✓	x	x	✓	✓	
Re-Qualification								
Small to Large Supplier	Appendix H	Appendix H	✓	✓	✓	x	✓	
Material Change	Appendix H	Appendix H	All dependent on risk assessment of material change					
Market Design Changes								
Large Supplier	x	✓ ²	x	x	x	x	✓	
Small Supplier	x	✓ ²	x	x	x	x	✓ ³	
Central Systems, TSO	x	✓ ²	x	Site visit ⁴		x	✓	

² Bespoke Questionnaires will be developed based upon the content of the Market Design Changes after an initial risk assessment

³ Usually voluntary but CER may mandate for fundamental updates

⁴ One, or more, site visits usually included dependent on risk assessment

3. The Assurance Process Assessment Stages

The [Irish Market Design baseline](#) contains the requirements to which the Participant's processes and systems must comply for inter operation in the Market. The stages described below embody the techniques for obtaining an assurance that this is the case for a specific Participant. These stages are applicable to different assurance situations and may be combined, their depth of assessment reduced or increased or they may be omitted in some cases. Notwithstanding this, the underlying techniques of assurance still apply and an understanding of these techniques will help to smooth the assurance process and perhaps reduce timescales.

3.1 Business Solution Assessment (New Large Supplier and SoLR)

The BSA should take place at an early stage in the lifecycle of the New Entrant's project so that any resulting revisions to the requirements or design can be incorporated prior to system build/procurement. The aim of the BSA is to gain an assurance that the market participant's systems and processes have been/are being designed and built in such a way that they will meet the requirements of the Market design. The BSA also looks at management procedures (see below).

Market Participants are required to document their business processes and systems designs to the extent necessary to demonstrate compliance with the [Market Design baseline](#), A [Participant Questionnaire \(PQ\)](#) and a checklist of requirements (the [Self-Assessment Return - SAR](#)) are provided for completion and return to the Assurance Body, together with the formal process and design documents. An assessment of the information provided will then be carried out at the Assurance Body's offices. This may be followed by a site visit in some instances to gain a fuller understanding of the Participant's design, especially where there is a significant degree of automation involved.

Key areas of assessment will include:

- Compliance with the Market Design;
- Systems architecture;
- System functionality vs. business procedures;
- Coherence of procedures and systems;
- Message processing and validation;
- Test planning and management;
- Problem management; and
- Change and configuration management.

Any issues identified are formally documented as [Findings](#) and the market participant is expected to propose and agree corrective actions. The results of the actions are then verified. An outcome report is produced on completion of the BSA; which is sent to the new entrant and RMDS for information. Provided that corrective actions are completed in a timely manner a positive outcome can be reported, otherwise the report will be updated on completion of the corrective actions.

BSA Documents Required

The Participant is required to provide the following prior to the commencement of BSA:

- a plan for their project for Market/New Segment/SoLR entry which shows all of the Assurance stages and the project activities on which they depend. Timings must be appropriate for those dependencies. The plan may be included within a more comprehensive project plan;
- Application for Market Entry Assurance (Appendix C) or Application for Entry to Additional Market Segment (Appendix G), with the declaration signed by an appropriate company executive;
- The BSA section of the Participant Questionnaire (Appendix D),
- a Self-Assessment Return (SAR – separate document) with:
 - the message routing worksheet within the SAR completed except for test references;
 - all other worksheets within the SAR completed;
- satisfactory responses to requests from the Assurance Body for clarification on the above; and
- a start date and duration agreed with the Assurance Body.

The Participant is required to provide the following on commencement of BSA:

- Copy of all documented business processes and detailed instructions referred to in the Participant's SAR;
- Copy of all systems specifications/design documents referred to in the Participant's SAR;
- A definition of the records that the Participant intends to maintain;
- Copy of the schematics of system architectures of all systems referred to in the Participant's SAR ; and
- A chart of the Participant's organisation and of the Participant's project.

BSA Exit Criteria

The Business Solution Assessment stage is completed when the Assurance Body has closed all Findings following resolution by the Participant.

Closure of all Findings is not a mandatory entry criterion for any other Assurance stage but the nature of a specific Finding may mean that it must be closed before some other stage of assurance can be commenced.

3.2 Integration Test Assessment (Large Supplier and SoLR)

The Integration Testing Assessment (ITA) follows Business Solution Assessment.

Internal testing by each applicant is an essential and required activity to ensure compliance with Market design requirements. ITA is carried out soon after completion of the Participant's internal testing with the prime objective of verifying that the Participant has carried out satisfactory testing of their systems and processes. ITA verifies that:

- testing has included a set of end-to-end, integrated tests that cover the Market design functions. This may be referred to as Integration Testing, Acceptance Testing, User Acceptance Testing, Functional Testing or other term;
- that the test programme is complete;
- that test outcomes have been reviewed by a competent person;
- that problems have been fixed and re-tests run as required; and
- that results show that the processes and systems are functioning as expected.

There is a section of the Participant Questionnaire to be completed for ITA and test references should be added to the SAR in advance of the ITA. An assessment will then be carried out, usually based on evidence provided to the Assurance Body at their offices.

Any issues identified are formally documented as [Findings](#) and the Participant is expected to propose and agree corrective actions. The results of the actions are then verified. An outcome report is produced on completion of the ITA and updated on completion of the corrective actions. Corrective actions may be completed in a timely manner in order that a positive outcome can be reported.

ITA Entry Criteria

The Participant is required to meet the following entry criteria prior to the commencement of ITA:

- have completed BSA; and
- have no outstanding Findings whose correction would require any internal integration tests to be repeated; and
- have completed internal Integration testing; and
- have submitted the following documents to the Assurance Body prior to the assessment:
 - The [ITA section of the Participant Questionnaire](#);

- The SAR that was submitted for BSA (or a later version if available) but now with test references included; and
- have responded satisfactorily to requests for clarification from the Assurance Body on the above; and
- have agreed a start date and duration with the Assurance Body.

ITA Documents Required

The Participant is required to provide the following on commencement of ITA:

- a copy of the versions of all documented business processes, detailed instructions, systems specifications, records details, architectures and organisation charts that were used as the basis of internal integration testing;
- copies of schematics of systems architectures, if changed;
- project and company organisation charts, if changed; and
- a complete set of internal Integration test scripts and test results.

ITA Exit Criteria

The ITA stage is completed when the Assurance Body has closed all Findings produced during the ITA following resolution by the Participant. The closure of all Findings is not a mandated entry criterion for any other Assurance stage but the nature of a specific Finding may mean that it must be closed before some other stage can be commenced.

ITA Notes

- Test evidence is inspected on a sampling basis to obtain a level of assurance that Integration Testing has been carried out in an effective manner.
- The Participant's test plan must include tests that, in total, exercise a substantial range of market scenarios sufficient to prove the robustness of the Participant's processes.
- Test execution must follow the Participant's defined business processes.
- These tests must be executed in a fully integrated environment. Where processes are carried out on behalf of the Participant by a third party service operator, these must be included in the tests.
- Test evidence must include prints or electronic copies of the messages involved and before and after shots of screen and/or database (or other record type) extracts to indicate that appropriate actions have occurred, and that data is contiguous throughout the test.
- Test results must be collated and indexed so that it is clear to which test and test step evidence relates.

- Where the SAR references manual business processes, these must be exercised wherever they form part of a test scenario. Any documents that would normally be produced in normal business operations must be produced and retained as evidence. e.g. letters, contracts. Simulations are acceptable.

3.3 Process/Records Review (New and Existing Small Supplier)

In this stage the supplier's business processes and records-keeping procedures are reviewed to verify their adequacy to support small-scale operations in the Market. Successful completion of this stage is an entry criterion for Inter-Participant Testing.

As a minimum the following should be covered:

- All applicable market processes (e.g. CoS Gain, CoS Loss, Meter Readings);
- Order of events for each of these;
- Population of outgoing Market Messages, including the source for populating data items;
- Processing of data from incoming Market Messages, including use of incoming data items for updating internal records; and
- Maintenance of appropriate records to support the above.

Process/Records Review Entry Criteria

In order that the Assurance Body may commence the process and records review the Participant is required to:

- have defined the records that they intend to maintain for the purposes of supporting their registered metering points; and
- have documented all of their market-facing business processes;
- submit the above together with the following documents, duly completed, to the Assurance Body;
- the Small Supplier Questionnaire (Appendix E); and
- the Self-Assessment Return (separate document)(test references do not need to be completed).

Process/Records Review Exit Criteria

The Process/Records review can be considered complete when:

- the Assurance Body has completed its review; and
- any Findings have been satisfactorily addressed by the Participant.

3.4 Inter-Participant Testing (Large and Small Suppliers)

The purpose of Inter-Participant Testing (IPT) is to gain assurance that the Participant can correctly operate the key scenarios that it will meet in the Market using its declared systems, business processes and operational staff within normal, operational conditions and utilising the full Market technical infrastructure. Some operational time constraints may be relaxed.

The scenarios to be exercised are defined in the form of descriptive story-boards and are approved by the industry for this purpose. This technique uses a central test service, which is provided by ESB Networks through RMDS, and is available coincident with pre-planned market testing or otherwise at about a month's notice, therefore planning and co-ordination are essential for managing:

- The schedule for testing, including any re-tests;
- Creation of test data; and
- Problem processing.

The tests are run by the Participant and ESB Networks, coordinated by RMDS. Both the Participant and ESB Networks produce appropriate evidence of each test step to support the test outcomes. This will include, but is not limited to, message prints, screenshots, reports and file and database prints.

All evidence is sent to, co-ordinated and gathered by RMDS. The evidence is then forwarded by the RMDS to the Assurance Body on a step-by-step basis. The Assurance Body will assess the evidence as it is received and compare it with the expected results. Any discrepancies will be reported. Any tests that fail will need to be re-run, however the Assurance Body will, where practicable, discuss options with the Participant and RMDS to try and find a pragmatic way forward. Issues, follow-up and reporting are documented and dealt with in the same manner as in the BSA.

IPT Entry Criteria

In order to commence Inter Participant Testing the Participant is required to:

- have completed all preceding stages of the assurance process applicable to them; and
- have no outstanding Findings that would affect the outcome of a test scenario;

and to:

- submit the following documents to the Assurance Body prior to the start of execution:
 - the [IPT section of the Participant Questionnaire](#);
 - a fully completed and up-to-date SAR; and
- respond satisfactorily to any requests for clarification from the Assurance Body following receipt by them of the above; and
- agree a plan for scenario execution with the RMDS; and
- agree and/or validate with the RMDS the data to be used during the scenario execution.

IPT Exit Criteria

IPT may be considered complete when:

- all applicable scenarios have been satisfactorily completed; and
- the Assurance Body has closed any Problem Reports and/or Findings following resolution by the Participant; and
- All scenarios have been adjudicated as “passed” by the Assurance Body.

IPT Notes

- All scenarios must be carried out in a timely manner in accordance with the agreed schedule to avoid unnecessary delay to all Participants.
- The execution of a scenario may be abandoned only with the agreement of the RMDS who will take into account the impact on all Participants concerned.
- It is the Participant’s responsibility to follow the scenarios and complete all steps as required.
- The Participant must collect evidence at each step to demonstrate compliance with the Market Design, their business processes and systems, submitting this to the Assurance Body. The types of evidence required are as for [ITA](#) above. Standing documents that have not changed do not need to be resubmitted.
- The RMDS will also collect evidence⁵ and submit this to the Assurance Body.
- The Assurance Body will verify that actual results match the expected results. Where there is a discrepancy a Problem Report will be raised.

⁵ (See Section Appendix B for additional details of the required evidence)

4. The Assurance Process Documents

4.1 Participant Questionnaire

The Participant Questionnaire (PQ) is a textual document that seeks to ascertain, through a number of questions, a high level view of the Participant's aspirations and preparedness to operate in compliance with the Market Design or with the Market Design Release, as appropriate. The Participant is asked to respond to the questions and, where applicable, identify the evidence that supports their response. The PQ contains guidance for the types of response and evidence that is anticipated and these should be replaced with the Participant's own text.

The PQ has a number of sections and, depending on the type of assurance that is in hand, each section may need to be submitted as an input to a stage of the assurance process.

4.2 Self-Assessment Return

The Self-Assessment Return (SAR) is a spread sheet with a number of worksheets. It provides a concise way for the Participant to provide more detailed information about the Participant's documented business processes and IT applications. The Participant can also identify where specific Market Design requirements are covered within these processes and/or systems and where they have been tested.

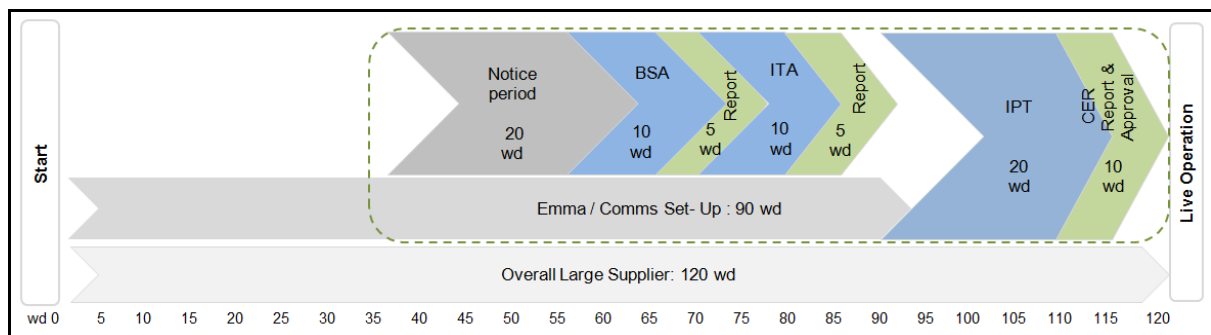
4.3 Assurance Approach (Market Design Updates)

This is a document produced by the Assurance Body. It sets out the how the assurance is to be achieved for an impending Market Design Update. It will include the techniques to be used e.g. questionnaire, SAR, IPT and, where IPTs are proposed, a descriptive title for each.

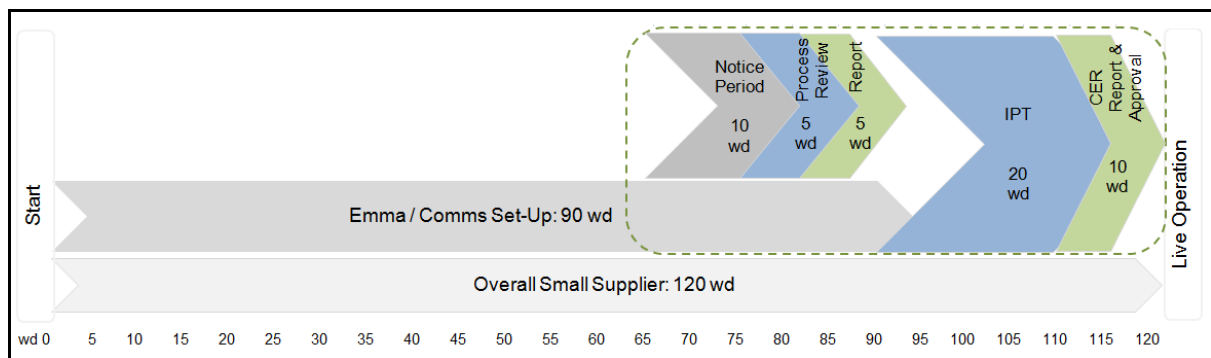
5. Timescales

The following timescales are provided only as a general guide for outline planning purposes in relation to the Assurance activities. This does not include the time needed for readiness activities by the Participant (of business processes and/or designs, applications, test plans etc.). It is estimated that the process of Market Entry is typically six-nine from giving notice of Entry. Each Participant is strongly advised to discuss their particular circumstances with the RMDS/Assurance Body no later than the notice period stated below:

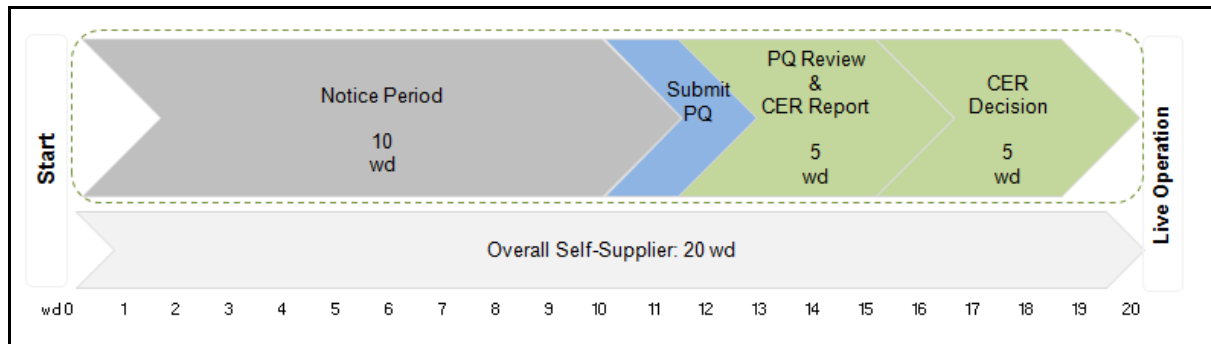
5.1 Market Entry/Entry to Additional Market Segment (Large Supplier)



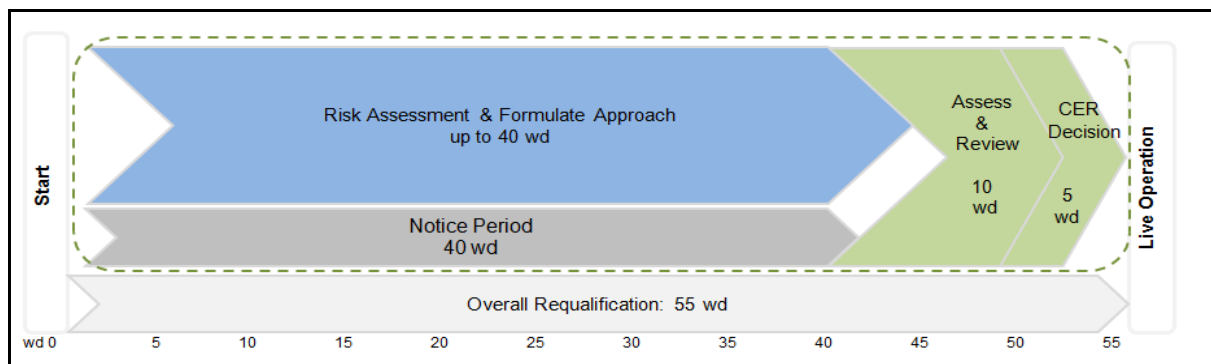
5.2 Market Entry/Entry to Additional Market Segment (Small Supplier)



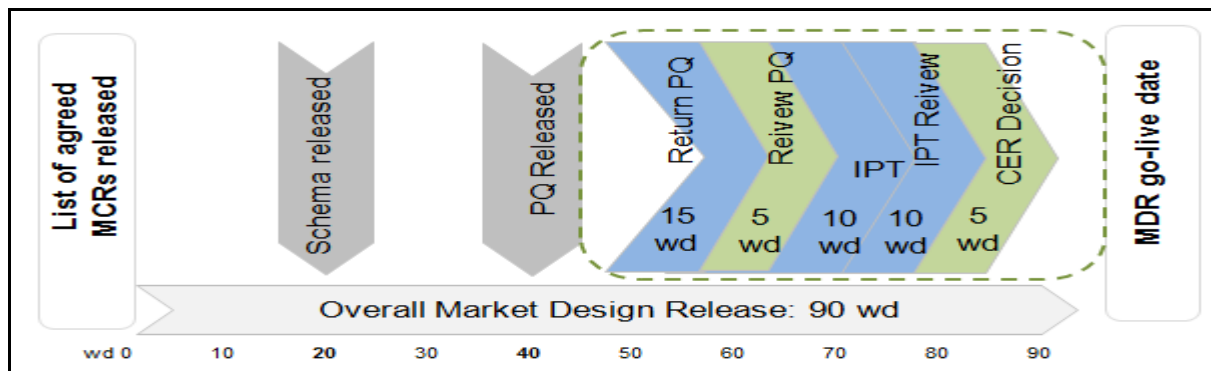
5.3 Self-Supplier Market Entry Assurance



5.4 Re-Qualification



5.5 Market Design Release



6. Additional Considerations

6.1 Re-Qualification Assurance

Material Change

When existing Participants make a Material Change (see Glossary) to their systems or exceed defined thresholds, they will be subject to Re-Qualification to assure on-going compliance with the Market design.

Participants should contact the RMDS as soon as it has been determined that the change is, or may be, material, so that an assessment of the Re-Qualification requirements, if any, can be made. As a minimum, Participants are required to inform the RMDS of a Material Change no less than 40 working days before the proposed implementation date.

The Assurance Body will complete an initial review of the Re-Qualification questionnaire and within 5 Working Days contact the Participant to arrange a meeting to discuss the requisite assurance requirements.

Note that it is the changes to systems, processes and staff that determine whether a change is Material. **Table 1** gives examples of typical events that may require a Re-Qualification. A change to any one of these may be Material, and a combination of changes in any one of these areas that are not of themselves material individually, may also be Material.

Table 1: Typical Material Changes and Impacts

Examples of Change	Typical Impact on Market Obligations and Likelihood that Independent Assurance is required		
	Not Likely	Possibly	Very Likely
System Change	Change to non-industry-facing system (e.g. pure billing system)	Significant change to industry-facing system	
		Replacement of industry - facing system with established, proven system	Replacement of industry-facing system with a new, unproven system.
	Change to user interface		Replacement of EMMA with other message interface mechanism

	Bulk migration of industry data using industry processes		Bulk migration of industry data but not using industry processes
Process Change	Process updates for improvement of accuracy and clarity	Manual process replaced by automated process (industry - facing)	Multiple manual processes replaced by automated processes (industry - facing)
	Minor process change to reflect changing reporting structure or internal company policy		Major rewrite of process
Staff Change	Routine staff changes and associated intra-company re-organisations	Staff changes due to acquisition of new company	Relocation requiring total staff replacement
Threshold⁶	Increasing level of activity within the threshold	Activity oscillating around the threshold (say within 10%)	Planned growth that will result in activity permanently in excess of the threshold

The approach is one of verifying that “due diligence” has been applied by the Participant. Thus, the assurance will comprise checking that the Participant has carried out an impact assessment for the change, designed the change(s) and subjected it to independent internal review, implemented and tested it and planned for its introduction into the live market.

Where Inter-participant testing is required, this is supported by ESB Networks’ central test service, which is provided through RMDS and is available coincident with pre-planned market testing or otherwise at a minimum of a month’s notice. Many changes will not require this type of testing and the assurance for most changes can take place at any time.

Assessment for changes under the Re-Qualification Process may comprise some or all of the assessment stages under the Market Entry Assessment Process; however such assessment will be contingent on the nature of the change and may place greater emphasis on change and configuration management. The following Re-Qualification activities apply where the Re-Qualification Process is triggered by a change:

- Initial discussions between the Participant and the Assurance Body regarding the planned changes and any potential assurance requirements;
- Agreement of an assurance plan between the Participant and the Assurance Body. The objectives should be such that:
 - as far as practical, assurance review points should coincide with an appropriate subset of project review points; and

⁶ For Small Suppliers only

- appropriate documents defined within the Participant's project will often provide any required evidence, so that there may be no need to carry out additional activities and prepare additional documentation solely for the purpose of achieving the necessary assurance requirements.
 - for large programmes of work, it may be appropriate to sub-divide the work into two or more Re-Qualifications as agreed between the Assurance Body and the Participant.
- Carrying out and completing the agreed plan.

Completion of Re-qualification will be when:

- all of the planned assurance activities have been completed and all Findings closed by the Assurance Body; and
- the Assurance Body's evaluation report has been received by the Participant and CER; and
- CER has approved implementation of the change prior to the change becoming operational.

Inactive Supplier becomes active

A Supplier who gained approval for Market Entry but who has not connected to the live central systems and, in the period since approval, one or more Market Design Releases have been completed, will be subject to re-qualification before they may commence operation. This will involve the Supplier being asked to demonstrate compliance with the current Market Design Release, essentially requiring the Supplier to carry out assurance activities already completed by active Market Participants at the time of the current and any intervening releases.

Re-Qualification triggered by Thresholds (for Small Suppliers only)

The Re-Qualification Process will normally comprise some or all of the techniques under the Market Entry Assessment Process however such assessment will be contingent on the targets in the Participant's business plan. Where the Supplier plans to exceed the current threshold the Large Supplier Market Entry Assurance will apply and, following successful completion of this and approval by the CER, they will then be classified as a Large Supplier.

Where the Participant is also introducing a Material Change, which may well be the case in an expanding business and very likely where the Large Supplier approach is applicable, the assurance for the Material Changes will be carried out in parallel and will depend on the nature of the changes to business processes and systems, the planned volume of registrations and other pertinent factors. In this way, the Participant will be subject to only one assurance programme.

The following Re-Qualification activities will apply:

- Initial discussions between the Participant and the Assurance Body regarding the planned changes and any potential assurance requirements;
- Agreement of an assurance plan between the Participant and the Assurance Body;
- The Participant will provide any requested supporting documentation to the Assurance Body who will assess the requirements and propose appropriate actions based on:
 - Scope of the request;
 - Re-Qualification Thresholds set;
 - The Participant's business plan;
 - The Participant's previous Market Entry Assessment; and
 - The Participant's operational experience.
- Carrying out and completing the agreed plan.

6.2 Market Design Release Assurance

Periodically the Market design is modified to adjust to regulatory changes, improvements in technology, operational processes and change requests from Participants, as approved by the CER.

Generally several Market Change Requests are implemented together and this group of changes is known as a Market Design Release (MDR). Proposed contents for each release are presented at the IGG meeting, for the approval by all Market Participants. This is compiled and issued by the RMDS.

Participants will initiate and implement changes to their own systems for their own business purposes to align with the Market Design Release.

These changes may have the potential to impact on the participants' ability to operate non-disruptively in accordance with the Market design.

Market Participants are subject to assurance of Market Design releases to give confidence that the changes to the Market design will be adopted in such a way as to give confidence to the Market that the risk of disruption has been mitigated.

Market Assurance outside Market Design Release

Modification and / or improvement to operational procedures within the Market Design and /or the implementation of temporary fixes (workaround(s)) for one or more Market Design Business Process outside of a Market Design release is an occasional but necessary undertaking within the Market.

When this occurs, the proposed changes or workaround to be implemented are presented at the IGG meeting, for the approval by all Market Participants. This is compiled and issued by the RMDS.

Where the changes are assessed to have a potential impact on the Market Design, Market Participants will be subject to assurance. Market Participant will be required to give confidence that the proposed changes and /or workarounds will be adopted in such a way as to prevent disruption to the Market.

7. General Arrangements

The Assurance Process for a Participant comprises a series of discrete stages, in each of which the compliance of the Participant's business processes and systems with the Market design is assessed from a particular perspective using a particular technique.

Each of these stages is termed an "Assessment" and the Assessments are intended to broadly map onto the major stages of the Participant's own project for readiness to operate in the Market, for example design, test and go-live. This stepwise approach helps ensure that problems can be identified as early as possible so that any corrective action can be applied by the Participant as easily and economically as possible.

There is much commonality in the general approach taken for the Assessments and this is described below.

7.1 Assessment Overview

In order for an assessment to be possible, the Participant must design, develop and test business procedures and instructions, records systems and possibly IT applications that are compliant with the Market design. The Participant retains documentary evidence to demonstrate this. The Assurance Body carries out the Assessment by:

- examining this evidence, together with the procedures, instructions and other related information, and comparing them with the requirements; and
- reporting any discrepancies that are thereby identified; and
- following up to verify that discrepancies have been corrected.

The Assessment should be timed such that all of the documents, records and information, electronic or paper, will already be in existence by the time of the assessment. With the exception of test evidence produced during Inter-Participant Testing, evidence should not be created dynamically within the timeframe of the assessment.

7.2 Format of Assessments at each stage

Assessments are usually conducted at the Assurance Body's local offices based on the evidence provided. The Participant is not required to be present. Occasionally an assessment may be conducted partially at the Participant's site, depending on the stage of the Market Assurance Process involved and the conditions prevailing within that stage. The process employed for all assessments is as follows:

- opening dialogue, which may be by meeting, phone or e-mail depending on the circumstances, at which the objectives, scope and procedure for the assessment are described by the Assurance Body and the Participant describes the structure of their systems, processes and organisation for Market operation;
- submission of the relevant Market Assurance returns by the Participant, analysis of these by the Assurance Body and clarification dialogues as necessary;
- submission of the Participant's evidence for the assurance stage involved. This may comprise (but is not limited to) documented business processes, specifications and test results. Refer to Appendix B for more details;
- the execution of the tests (IPT stage only);
- comparison of the evidence with the current Market Design or Market Design Release and discussion with the appropriate Participant staff during which a judgement of compliance is made by the Assurance Body;
- documentation of outcomes is in the form of Findings, Observations and Problem Reports as appropriate;
- the Participant must provide a corrective action for Findings and Problem Reports and submit evidence to show that this has been effectively implemented. When satisfied the Assurance Body will close the Finding or Problem Report;
- there is no requirement for the Participant to respond to Observations;
- where the scale or duration of the assessment requires it (mainly for a new large Supplier entrant), daily or periodic exchanges of information take place. Though these are referred to as wash-up meetings they will usually take place on the 'phone or electronically. At these, the assessment team reports its activities, gives details of any Findings, Observations and Problem Reports for the day, and requests the Participant to agree these and to propose corrective actions for all Findings and Problem Reports, as appropriate. The Participant is asked to report their progress, any problems and anticipated activity for the following day;
- closing dialogue, which takes place at the end of the assessment and at which all open Findings (if any) and Corrective Actions for the assessment are formally reported to the Participant's representatives.
- assessment stage report (for lengthy assurance programmes only) produced by the Assurance Body, addressed to the CER and copied to the RMDS and containing:
 - The scope for which the Participant/Market Participant was assessed;
 - The level of assurance applied (i.e. whether a large or small supplier or self-supplier);
 - The Assurance carried out;
 - Number of Findings, Observations and Problem Reports raised (as appropriate);
 - Any areas of concern remaining (based on Findings and/or Problem Reports not closed); and

- Whether, in the opinion of the Assurance Body, the Participant has demonstrated compliance for the stage of Assurance involved and any impact on subsequent stages of Assurance.
- Outcome report (see below 7.6)

7.3 Involvement of Third Parties

A Participant may use third parties to provide specific systems and services. Third parties may also carry out partial or complete business processes on behalf of the Participant. A Participant's overall business solution for entering and operating in the Market therefore may contain a mix of internal and external systems, processes and services.

Market entry assurance (including the execution of IPT Scenarios) encompasses all those systems, processes and services that form part of the Participant's business solution, including any third parties. The business architecture developed by the Participant should be provided to the Assurance Body as early as practicable so that any impact on the Market entry assurance process can be determined.

During the Market Entry assurance process, evidence of compliance is sought at all points necessary for both the design and internal testing for all systems, processes and services described in the business architecture. This means that third parties may be required to become involved in testing and to provide test evidence. Evidence from third parties must be at the same level of detail as that required from the Participant.

7.4 Assessment Team

The assessment team comprises one or more Assessors (usually no more than two) from the Assurance Body. If more than one, one will act as Lead Assessor and will be the main point of contact for the Participant. Similarly, the Participant is expected to provide a single point of contact to act as the primary channel for communication between the Participant and the Assurance Body throughout the assessment. This is not necessarily a full-time activity.

7.5 On-site Assessments (exceptional)

For any on-site assessment activity by the Assurance Body the Participant is required to provide the following:

- ready access to appropriate Participant staff to explain to the Assessors how compliance with the Market design requirements is demonstrated by the evidence;
- a private area in which the assessment team can work; and

- use of an appropriate area for the opening meeting, the daily wash-ups and closing meeting;
- access to an unrestricted internet connection.

If there are any difficulties in providing the above, these should be discussed with the Lead Assessor well in advance of the Assessment. The Lead Assessor should be advised of local arrangements (such as hours of work, site access arrangements/restrictions, safety and evacuation procedures).

7.6 Outcome Report

On completion of all stages of the Market Entry Assurance Processes the Assurance Body will prepare a report summarising the outcomes of each stage of the process, the status of any Findings and a recommendation on the readiness of the Participant to commence operation in the Market. This will be addressed to the CER, with copies to the RMDS and the Participant.

The Participant will have sight of the draft report to confirm factual accuracy prior to the Assurance Body issuing the final report to CER and RMDS.

7.7 Assurance Exit Criteria

Assurance is completed when:

- all applicable Assurance stages, as described above, have been completed and all exit criteria met; and
- the Assurance Body has closed all the Findings and Problem Reports raised in all stages following their resolution by the Participant(s) (corrective actions may include the necessity for further Market Entry Assurance Assessment and/or IPT activity);
- The Assurance Body has prepared an Outcome Report and submitted this to the CER, with copies to the Participant and the RMDS; and
- The CER has accepted the Outcome Report and has decided to approve or not approve the Participant(s) to operate in the Market or the Market Design Update to go live.

8. Reporting requirements

8.1 RMDS and CER

As co-ordinating and authorising bodies respectively, the CER and RMDS will be kept informed of the progress being made by organisations undertaking the specific Assurance processes. CER will authorise completion of the assurance undertaken and will provide an approval or disapproval of the matter being assured, whether it be a new supplier, market design change or material changes being introduced by a Participant.

The Assurance Body will produce a report for CER and a copy of the report will also be sent to the RMDS. Prior to being sent to CER and the RMDS, the Participant will have sight of the report to confirm factual accuracy. The Participant can also advise if they have any comments at this stage. Depending on the type of assurance the report will include details on all or a subset of the following:

- A description of the Assurance carried out.
- A summary of how the Participant completed each stage of the process.
- A description of the Material Change and/or change/removal of Thresholds.
- How the Participant has managed the design, implementation and testing of the change or has prepared for increased traffic.
- A summary of Observations and Findings raised.
- The Assurance Body's opinion.

The Assurance Body will keep the RMDS informed of the timeframes. The RMDS will contact the Participant shortly before the Participant's implementation date and arrange for ESB Networks to monitor the Market messages and provide appropriate support should any issues arise in the early stages.

8.2 Industry Governance Group (IGG)

The Assurance Body reports at each meeting of the IGG. The reports include all assurance activities such as new suppliers entering the market, market design change assurance and re-qualifications. These reports are at a high level.

Appendix A. Glossary

Assessment

A series of activities comprising the following:

- The submission of evidence by the Participant to the Assurance Body.
- A review of the evidence by the Assurance Body to ensure systems and processes are compliant with the Market design.
- Following this review, the Assurance Body will provide their opinion as to what extent the Participant has met the assurance requirements for the assessment.

Assurance Body

The organisation providing the assurance services described in this document.

CER

The Commission for Energy Regulation.

Finding

A formal report, raised by the Assurance Body within a process stage that identifies:

- one, or more, aspects of the Market design with which the Participant's business processes and systems are not compliant (together with the evidence that demonstrates this); or
- where the evidence provided is insufficient to demonstrate compliance; or
- where the evidence is not provided in a timely manner.

The Participant must clear any Finding by means of a corrective action and evidence of its implementation.

Industry Governance Group

The Industry Governance Group (IGG) oversees the on-going operation of the Irish retail electricity market and has representation from all organisations that are participating in the Market.

Market

The retail electricity market in the Republic of Ireland.

Market Design Release

A collection of approved Market Change Requests that are to be implemented as a group.

Market Segment

A part of the consumer base that is defined by two factors:

- type of metering (Interval, Non-Interval, Prepayment or Unmetered)
- type of consumer (Domestic, Non-Domestic)

Supplier of Last Resort (SoLR) is also considered a Market Segment for assurance purposes. Suppliers can be approved as a potential SoLR only in segments for which they are already approved and there are additional requirements to be met.

Material Change

A Material Change represent changes to a Supplier's business and/ or operational process, and / or technical infrastructure (e.g. automation) which alters the Supplier's internal systems and methods of market interaction from that initially assured.

Observation

A formal report, raised by the Assurance Body within a process stage that identifies:

- one, or more, instances where the operation of business processes and/or systems did not comply with the Market Baseline but where this is not judged to be a systematic error
- one or more, aspects of the Participant's business processes that could be misinterpreted and unless further clarity was given in the process, it would be possible that operations may not comply with the Market Baseline.

The Participant is not obliged to respond to an observation.

Participant

For generic requirements the term "Participant" is used to refer to all types of organisation that are operating, or wish to operate, in the Market. Where a requirement does not apply to all of these the specific type(s) (e.g. New Entrant, Existing Participant) will be used.

Problem Report

A formal report, raised by the Assurance Body during Inter-Participant Testing, that identifies where a Participant's results are not those expected.

RMDS

The [Retail Market Design Service](#) is the reference point for the business processes and standards for the retail electricity market in Ireland and related market forums.

Appendix B. Assessment Evidence

The evidence that will be required to provide assurance for a project will be dependent on the scale, scope and nature of the change(s) involved. Typically however, examples of evidence will include the following:

Change management

Evidence that the required change(s) is fully understood and a detailed plan for implementation has been constructed.

Detailed cut-over plan

This plan should show how all the changes will be rolled out into the Participant's live environment. This may be through reminders to staff on the revised business process changes and/or how updating of software systems will be performed. (There will, in general, be a central plan including a series of timed tasks for the cut-over day. This will be developed by RMDS in conjunction with Participants.)

Database/Records Definition

This is a part of the system specification and is a definition of the data held by the Participant, for the purpose of supporting its market inter-operation, and the structure of that data. This could be, for example a database definition or spread-sheet layout.

Documented Business Processes

Whilst the Market Design provides a high level view of events and actions these are insufficient to define a specific Participant's internal processes for operating. Each participant is therefore expected to set their internal processes out in some documentary form. Processes referenced as applicable to the supplier's segment(s) in the SAR must be defined and documented to reflect the Participant's internal processes.

Such processes should describe, as a minimum:

- How to initiate a market activity e.g. energise a meter. This should include the source, within the Participant's records, of any data required to populate a market message.
- How to react to a market event e.g. receipt of a specific market message. This should include any updating of the Participant's records using the data from the message that has been received and any response that is required.
- Where there is automated processing there should be a definition of that automation.
- A definition of the records that are to be held to support market-facing activities.

Business processes may be in any form including textual and diagrammatic or a combination and may refer to the Market Design as necessary.

Dress rehearsals

In the context of cut-over, especially where a significant timescale is involved, evidence that the plan has been trialled at full scale, including all logistics considerations.

Fall-back plan

This plan should explain how operations will continue if there is a failure to implement the intended change(s). It will provide details on what workaround systems will be put in place, if any, and how the Participant will deal with other affected Participants. There will, in general, be a central plan developed by RMDS and discussed with Participants and a plan that each Participant develops to ensure their own business continuity.

IT System Specification

For the automated elements of a Participant's Business Processes, this is a detailed definition that sets out where the requirements of the Market Design are to be embodied as system functions together with a definition of the Participant's database.

IT Technical Infrastructure

This is a high level definition of the technical elements of the Participant's market systems and would include such items as servers, message router, communications links, applications etc. The intention is to describe the elements deployed for market activities and the path(s) followed by market messages/market data.

Problem management

Evidence of the use of an effective problem management system, to capture and resolve issues during the implementation of the change.

Process/system changes

Evidence of the changes to the business process and systems that will be used to operate within the Market have been made. Where software solutions are being applied, information on the requirements, testing and test results will be evaluated.

Test Outcomes

A summary of the tests carried out, the outcomes of those tests and any re-tests that have taken place.

Test Plan

As a minimum this comprises a list of all of the individual tests (test cases) to be carried out, grouped as necessary. It may also set out the timing for the test runs and allocation of resources.

Test Results

The detailed evidence from which the test outcomes are derived. At the minimum this would include the results as recorded by the tester, perhaps on the test specification/script see below). Ideally, and always the case for Inter Participant Testing, this will be supplemented by before and after screen shots of the state of the systems and/or database/records at each step.

This would include such things as screen shots, database extracts, reports etc. Evidence should be taken before and after each test step such that the effects of receiving a market message are demonstrated and, conversely, from where the data that populates an outgoing market message is derived.

Test Specification/Script

A detailed specification of each test (case) including the initial conditions that need to be created, each step to be carried out, the expected results (may be per step and/or overall) and the completion criteria. Also referred to as script and usually formatted so that results can be recorded stepwise and overall.

Test Strategy

A document that sets out the broad approach to testing, including the types of testing to be included (e.g., factory acceptance test, system test, user acceptance test etc.), the environments on which testing will take place, types of staff to be involved, test management structure, responsibilities etc.

Appendix C. Application for Market Entry Assurance

This Application is to be completed by the new Participant to declare their intention to commence operations in the Market in the segments indicated. The new Participant should also complete the questionnaire applicable to them and attach it to this header sheet when submitting it.

To:

The Commission for Energy Regulation

*The Exchange
Belgard Square North
Tallaght
Dublin 24
Ireland*

From:

*Firstname Surname
Participant Electricity Company
Limited
Address Line 1
Address Line 2
Address Line 3
Address Line 4
Address Line 5*

Tel:

Fax:

E-mail:

Commercially Sensitive and Confidential to the Commission for Energy Regulation and its agents.

Our ref:

dd/mm/yy

We wish to begin to operate as a supplier in the competitive electricity Market in Ireland, in the role and Market segments indicated below, using the processes in the Retail Market design as approved by the Commission and as amended from time to time.

We confirm that we will participate in the Retail Market Assurance Process as required by the Commission and will provide appropriate staff, equipment and facilities to support this.

We understand that the assessments and tests applied to us will be limited to those applicable to the role and Market segments indicated in the table below and must be completed successfully before our operation may commence, according to a schedule to be agreed with the Assurance Body and the Retail Market Design Service. We acknowledge that if we wish to operate in any additional role and/or Market segments at any time in the future we will contact the Commission, who will arrange for the necessary additional readiness assessments to be carried out.

Our operational intentions and contact details are as follows:

	Participant ID (Snn):		
Organisation Name:			
Contact Name:		Large Supplier	
Tel:		Small Supplier	
Mobile:		Self-Supplier	
Email:			
	Market Segments:	Interval Metered (QH)	
		Non Interval Metered (NQH) (Non-Domestic)	
		Non Interval Metered (NQH) (Domestic)	
		Prepayment (PMP)	
		Unmetered (UNM)	
		Supplier of Last Resort (SOLR)	
Target Date for entry into the Market:			
<p>I confirm that it is our intention to undertake the Supplier Market Entry Assurance Process for operating in the Retail Electricity Market as set out above.</p> <p>We recognise that there are uncertainties and technical risks that are associated with participating in the Assurance Process and that a number of issues that cannot be foreseen and are difficult to resolve or determine may arise. We will take no legal action or lodge any proceedings against any other party or individual on any issue arising from their participation in this process.</p> <p>The confidentiality, copyright and intellectual property rights of all data and other information supplied to us by any other party for the purpose of carrying out the above will be respected and we shall not reveal, report, publish, disclose, transfer or use these for any other purpose, except as required by law.</p>			
Signed(for Participant):			
Name(Print):			
Title/Position:			
Date:			

Appendix D. Large Supplier Questionnaire

PART 1A: Business Solution Assessment

#	Item to be assessed	Your Response	Evidence to support your response
1.1	Please specify from which geographical locations the various business functions that support Irish Market requirements will be operated.		
1.2	Please detail your Retail Electricity Market (REM) programme organisation showing reporting structure and lines of communication.		
1.3	Please list the contact names, addresses and telephone numbers of key personnel identified within your REM programme organisation chart. Please identify your Single Point of Contact (SPOC) for your Market Entry project.		
1.4	Please identify the geographical location(s) at which you expect the various assurance stages to take place.		
1.5	Which version of the Market Design, as published on www.rmdservice.com , have you used in your REM programme?		
1.6	Please specify the architecture of your REM systems.		

#	Item to be assessed	Your Response	Evidence to support your response
1.7	Please give a reference to your mechanism for routing of in-coming messages to applications and/or procedures and how the next steps are described.		
1.8	Which version of the XML Schema (XMLS) have you used in your REM programme?		
1.9	How does your business solution check that messages received are correctly structured and contain valid values?		
1.10	How have you ensured that all of the applicable functions embodied in the Market Design are included within your processes and applications?		
1.11	How have you ensured that all of the relevant obligations are included within your processes and applications?		

PART 1B: Business Solution Assessment (Performance and Management Processes)

#	Item to be assessed	Your Response	Evidence to support your response
1.12	Have you carried out an analysis of the performance (volume) requirements of your new/modified applications and business processes?		
1.13	Name the documents that define your approach to formal: <ul style="list-style-type: none"> • Problem Management, • Change Control, • Configuration Management, • Release Management, • Document Control, • Test Management for your REM Programme.		

PART 1C: Business Solution Assessment (Facilitation of Assurance)

#	Item to be assessed	Your Response	Evidence to support your response
1.14	Please confirm that you are able to provide comprehensive evidence of your organisation's ability to comply with the Market Design to the Assurance Body in support of the various stages of the Assurance Process.		
1.15	Please confirm that, for any on-site assessments, you are able to provide suitable office facilities for the exclusive use of the Assurance Body as required during the Market Entry Assurance Process.		

PART 1D: Business Solution Assessment - Declaration of Readiness

An appropriate company executive must sign this declaration as a statement on behalf of your organisation that the conditions for commencement of the Market Entry Assurance Process have been met.

PARTICIPANT ORGANISATION :
DECLARATION BY COMPANY EXECUTIVE
With the exception of those items explicitly detailed below I certify, on behalf of <i>Organisation name*</i> that :
<ul style="list-style-type: none">the documents declared in the Participant Questionnaire, Part 1, are current and operational;
and confirm that:
<ul style="list-style-type: none">our answers, as set out in the Participant Questionnaire, Part 1 are complete and accurate at the time of submission;we believe that the systems and processes that we are submitting for Assurance Body Assessment (detailed within the Self-Assessment Return and the Market Design Coverage Table) cover all aspects of the applicable parts of the Market Design and have been fully reviewed to ensure their completeness and coherence;parts 2, 3 and 4 of this Participant Questionnaire will be completed and submitted to the Assurance Body as required by the Market Entry Assurance Process;any changes to information already supplied to the Assurance Body will be notified immediately in the appropriate form;
<i>Please detail any exceptions here :</i>

Authorised by :			
-----	-----	-----	-----
Print Name	Signature	Position	Date

* Insert Organisation name here



PART 2A: Internal Integration Testing Approach

#	Item to be assessed	Your Response	Evidence to support your response
2.1	<p>Please confirm that your organisation has a formally defined test strategy and has a test plan covering:</p> <ul style="list-style-type: none"> • Internal Integration Testing • Data Transfer Testing • Inter-Participant Testing 		
2.2	Who within your organisation is responsible for certifying that testing is complete?		
2.3	Please describe your Internal Integration Testing infrastructure.		
2.4	Please confirm that for both manual and semi-automated flows, tested work instructions and procedures are available.		
2.5	If you are an existing Participant entering a new market segment, please state whether your internal test plan includes testing of your data migration strategy, if applicable.		
2.6	Please state whether your internal test plan includes testing of your billing system.		
2.7	Please state whether your internal test plan includes performance/volume testing		

PART 2B: Internal Integration Testing Results

#	Item to be assessed	Your Response	Evidence to support your response
2.8	Please confirm that you have completed comprehensive Internal Integration Testing, in an end-to-end fashion, of your business solution.		
2.9	Please confirm that test results from your Internal Integration Testing are available to demonstrate that all of your business processes have been fully exercised in an integrated, end-to-end fashion.		
2.10	Please confirm that you can summarise the integration tests that have been carried out and the status of this testing.		

PART 3: Inter-Participant Testing (IPT)

#	Item to be assessed	Your Response	Evidence to support your response
3.1	Please state the version of your SAR that is applicable to the processes and applications that will be used in your execution of the IPT scenarios, and confirm that you have submitted this to the Assurance Body.		
3.2	Please confirm which systems and Business Processes will be used during IPT.		
3.3	Please confirm that you have discussed and agreed with the Assurance Body a plan for execution of the IPT.		
3.4	Please confirm that, by the time of IPT preparatory checks (carried out by the Assurance Body on commencement of IPT execution) you will have prepared physical scripts that cover all aspects of the IPT Scenarios.		
3.5	Please confirm that you will carry out the IPTs using your normal business processes (i.e. those that you intend to carry forward into live Market operation), calling on the scripts only where necessary to direct a test according to the scenario description.		

#	Item to be assessed	Your Response	Evidence to support your response
3.6	Please confirm that, by the time of the IPT preparatory checks (carried out by the Assurance Body on commencement of IPT execution) you will have co-ordinated with RMDS and assigned agreed values for all pre-requisite data items that are your responsibility and set up all pre-requisite files needed for IPT execution.		
3.7	Please confirm that the business users that are to operate your processes and applications during IPT execution have been identified.		
3.8	Please confirm that the business staff identified above will also operate your processes and applications when you have entered the live market.		
3.9	Please describe all of the organisations and their locations that will be involved in the IPT execution.		
3.10	Please confirm that the Assurance Body will have reasonable access to the locations in which the IPTs are to be executed, and the staff operating them, at all times.		

PART 4: Statement of Readiness for Market Operation

An appropriate company executive must sign this declaration, as a statement on behalf of your organisation that the conditions for entry into the Retail Electricity Market have been met.

PARTICIPANT ORGANISATION :

DECLARATION BY COMPANY EXECUTIVE

With the exception of those items explicitly detailed below we confirm that :

- we believe that the systems and processes that will be used in the live Retail Electricity Market (detailed within the Self-Assessment Return) fully meet the Market Design Requirements, work together correctly and accurately, have been completely and successfully tested and are free from substantial problems;
- all internal systems that will be used in the live Retail Electricity Market that have not been directly involved in the Assurance Process have been completely and successfully tested, and contain no significant problems (these include, but are not limited to, customer service, billing and internal accounting systems).

Please detail any exceptions here :

Approved by :

Print Name

Signature

Position

Date



Appendix E. Small Supplier Questionnaire

To be completed by an organisation wishing to enter the Market as a Small Supplier, as defined in the Assurance Strategy.

#	Item to be Assessed	Your response	Evidence available/supplied
1.	Please confirm that your organisation intends to act only as a Small Supplier (as defined in the Assurance Strategy) in the Market,		
2.	Please confirm that you are aware of the requirement to undergo further Assurance if the threshold levels (as defined in the Assurance Strategy) are being approached.		
3.	Please confirm that your organisation has an EMMA (Electricity Market Messages Application) correctly installed and that it is ready for the receipt and sending of Market messages.		
4.	Please confirm that your organisation has appropriate procedures, systems and record-keeping mechanisms in place to operate in the Market.		

Appendix F. Self-Supplier Questionnaire

To be completed by an Organisation wishing to enter the Market as a Self Supplier, as defined in the Assurance Strategy.

#	Item to be Assessed	Your response
1.	Please confirm that your organisation intends to act only as a Self-Supplier in the Market.	
2.	Please specify the Meter Point Registration Number(s) and address(es) that you intend to register as a Self-Supplier. (Note: only in exceptional circumstances will there be more than one MPRN/address. If so, please describe all MPRNs/sites fully)	
3.	Please confirm that your organisation does not intend to register meter points other than the auto-producing site at any point in the foreseeable future? (These may be sites within your organisation, or meter points with which your organisation is wholly unallied.)	
4.	Please confirm that your organisation does not intend to use the EMMA (Electricity Market Messages Application). N.B. This will preclude the sending and receipt of Market messages, including meter readings and aggregation data, as per the Market design.	
5.	Please confirm that your organisation is aware of the information that will be provided by ESB Networks and Eirgrid and that this is sufficient to support your self-supply operation.	
6.	Please confirm that your organisation has appropriate procedures and systems in place to operate in a self-supply capacity using only this information.	

Appendix G. Application for Entry to Additional Market Segment

This Application is to be completed by an existing Participant to declare their intention to commence operations in the additional segments indicated. Please complete all three parts and return to the Assurance Body/RMDS.

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Application for Entry to Additional Market Segment

Part 1: Scope

Participant ID (Snn):			
Organisation Name:			
Contact Name:		Large Supplier	
Tel:		Small Supplier	
Mobile:			
Email:			
Market Segments for which Approval has already been granted:		Market Segments for which Approval is sought:	
Interval Metered		Interval Metered	
Non Interval Metered (non-Domestic)		Non Interval Metered (non-Domestic)	
Non Interval Metered (Domestic)		Non Interval Metered (Domestic)	
Prepayment		Prepayment	
Unmetered		Unmetered	
Supplier of Last Resort		Supplier of Last Resort	
Target Date for operating in the live Market:			
<p>I confirm that it is our intention to undertake the Supplier Market Entry Assurance Process for operating in the Retail Electricity Market as set out above.</p> <p>We recognise that there are uncertainties and technical risks that are associated with participating in the Assurance Process and that a number of issues that cannot be foreseen and are difficult to resolve or determine may arise. We will take no legal action or lodge any proceedings against any other party or individual on any issue arising from their participation in this process.</p> <p>The confidentiality, copyright and intellectual property rights of all data and other information supplied to us by any other party for the purpose of carrying out the above will be respected and we shall not reveal, report, publish, disclose, transfer or use these for any other purpose, except as required by law.</p>			
Signed(for Participant):		Date:	
Name(Print):			
Title/Position:			

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Part 2: Additional Market Segment Questionnaire

#	Item to be Assessed	Your response	Evidence available/supplied
1.	What is the nature of the change(s) to your operational systems, required to operate in the additional Market segment(s)?		
2.	Have you identified the items (procedures, instructions, applications etc.) that are impacted by the change(s)?		
3.	Have you identified the changes that apply to each item?		
4.	Have you ensured that all necessary changes have been included fully and accurately?		
5.	Have you ensured that the changes have had no adverse impact on the processes for segments for which you are already approved?		
6.	Have you tested the change(s)? What are the essential elements of your test strategy?		
7.	Has any testing been carried out with other Market Participants with respect to this change(s)?		
8.	If the answer to 5 above is 'No', how have you ensured that the change(s) will allow you to inter-operate correctly with other Market Participants?		
9.	Have you updated your Self Assessment Return (SAR) to reflect the change(s)?		

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Part 3: Additional Market Segment Executive Declaration

PARTICIPANT ORGANISATION:

DECLARATION BY COMPANY EXECUTIVE

With the exception of those items explicitly detailed below we confirm that:

- we wish to operate in the additional Market Segment(s) indicated;
- the design of the necessary changes, and their introduction into our systems, has been and will continue to be effectively managed;
- the systems and processes that have been modified or otherwise impacted as a result of these changes will, at the time of implementation, continue to fully meet the applicable Market design obligations, work together correctly and accurately, have been completely and successfully tested and will not degrade our ability to inter-operate with any other Market participant.

Please detail any exceptions here :

Prepared by :

 Print Name Signature Position Date

Approved by :

 Print Name Signature Position Date

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Appendix H. Request for Re-Qualification

Please complete all three parts and return to the Assurance Body/RMDS

Part 1

Participant ID (Snn):			
Organisation Name:			
Contact Name:		Large Supplier	
Tel:		Small Supplier	
Mobile:		Other (please specify)	
Email:			
	Market Segments for which approved to operate (Suppliers only):		
	Interval Metered		
	Non Interval Metered (non-Domestic)		
	Non Interval Metered (Domestic)		
	Prepayment		
	Unmetered		
	Supplier of Last Resort		
Target date for introducing change in the live Market:			
<p>I confirm that it is our intention to undertake the Re-Qualification Assurance Process for operating in the Retail Electricity Market as set out above.</p> <p>We recognise that there are uncertainties and technical risks that are associated with participating in the Assurance Process and that a number of issues that cannot be foreseen and are difficult to resolve or determine may arise. We will take no legal action or lodge any proceedings against any other party or individual on any issue arising from their participation in this process.</p> <p>The confidentiality, copyright and intellectual property rights of all data and other information supplied to us by any other party for the purpose of carrying out the above will be respected and we shall not reveal, report, publish, disclose, transfer or use these for any other purpose, except as required by law.</p>			
Signed(for Participant):		Date:	
Name(Print):			
Title/Position:			

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Part 2 Re-Qualification Questionnaire

#	Item to be Assessed	Your response	Evidence available/supplied
1.	What is the nature of the change(s) that you wish to introduce into your operational systems?		
2.	Have you identified the items (procedures, instructions, applications etc.) that are impacted by the change(s)?		
3.	Have you identified the changes that apply to each item?		
4.	Have you ensured that all necessary changes have been included fully and accurately?		
5.	Have you ensured that the changes have had no adverse impact on the processes that are not being changed?		
6.	Have you tested the change(s)? What are the essential elements of your test strategy?		
7.	Do you think that testing needs to be carried out with other Market Participants with respect to this change(s)?		
8.	If the answer to 5 above is 'No', how will you ensure that the change(s) will allow you to inter-operate correctly with other Market Participants?		
9.	Have you updated your Self Assessment Return (SAR) to reflect the change?		

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Part 3 Re-Qualification Executive Declaration

Participant Organisation:

DECLARATION BY COMPANY EXECUTIVE

With the exception of those items explicitly detailed below we confirm that:

- we have verified the necessity for the Material Change;
- the design of this change, and its introduction into our systems, has been and will continue to be effectively managed;
- the systems and processes that have been modified or otherwise impacted as a result of this change will, at the time of implementation, continue to fully meet the applicable Market design obligations, work together correctly and accurately, have been completely and successfully tested and will not degrade our ability to inter-operate with any other market participant.

Please detail any exceptions here :

Prepared by :

Print Name Signature Position Date

Approved by :

Print Name Signature Position Date

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