Irish Retail Electricity Market

Market Entry Assurance

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Gemserv Limited
7th Floor Centurion House
24 Monument Street
London
EC3R 8AJ

Company Reg. No: 4419 878

Tel: +44 (0) 20 7090 1000
Fax: +44 (0) 20 7090 1001

www.gemserv.com

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II Quality Assurance

Name	Responsibility	Signature	Date
Author:			
Dinesh Sharma	Assurance Team		07/03/2006
Reviewer(s):			
Peter Varley	Assurance Team		31/07/2006
Orla Lemass	Head of Assurance		24/07/2007
RMDS	Market Design		01/08/2007
IGG	Industry Participants		09/01/2008
Authorised:			
Karen Kavanagh	CER		10/01/2008

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1. Introduction

1.1 Purpose

This document describes in detail the 'Market Entry' and the 'Entering a New Market Segment' assurance processes, as outlined in the Assurance Strategy. These are part of a group of market assurance processes under the Assurance Strategy. The Assurance Strategy sets out when a process applies and what the Participant needs to do to initiate a process. It is intended that this document should provide the reader with sufficient information to understand:

- What will be 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.

1.2 Scope

The processes apply to:

- Organisations wishing to pass the assurance necessary as part of approval 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.
- Organisations who have already undergone assurance and been approved to operate for certain market segments and who plan to enter a new segment or segments. Such an organisation is referred to as a Market Participant or simply a Participant in this document.

Where requirements are common to both these types of situation, the common term 'Participant' will be used to refer to both.

Participants who are approaching (and due to exceed) a threshold[1] set during their market entry assurance are not in scope. Please refer to the 'Re-Qualification for Existing Market Participants' assurance process.

For Generators, the concept of market segment does not apply and as such, the 'Entering a New Market Segment' assurance process will not apply. Generators wishing to enter the Entry' form and the Self Supplier/Generator Application (Both are appendices to this document).

[1] Applicable to Small Suppliers only

1.3 Background

All participants in the Irish Retail Electricity market have undergone market entry assurance processes, either as part of market opening or at a later date. Any Participant will be required to undertake assurance, prior to entering the Market or a new market segment, to meet the requirements of the Assurance Strategy. Where the Participant is required under the Market Design to send and receive market messages, this will involve verifying that their systems and processes provide compliance with the market design and that their staff have the capability to operate them.

New Entrants may choose to be approved to operate in one, or more, market segments. Further assurance and approval is required to operate in other Market segments. There is provision for proportionate assurance for small suppliers and generators and follow-on assurance for such organisations should their Market aspirations change once approved.

2. Related Documents

2.1 Market Design Baseline

The Irish market design baseline contains the requirements to which the Participant's processes and systems must comply for inter operation in the Market.

2.2 Market Entry Assurance Returns

These documents support the Market Entry Assurance process and support the processes described within this document:

- Applications:
  - New Entrant - Application for Market Entry Assurance (Appendix A of this document)
  - New Segment - Application for Entry to Additional Market Segment (Appendix B of this document);
  - Small Supplier Application (Appendix C of this document);
  - Self-Supplier/Generator Application (Appendix D of this document);

- Self-Assessment Return (SAR) (Separate document);
- Participant Questionnaire (PQ) (Separate document);
- Inter-Participant Testing Scenarios (Separate document).

These are documents that the Participant completes and submits to the Assurance Body at various points in the Market Entry Assurance and New Market Segment Processes. The Participant will need to complete the Participant Questionnaire and the SAR and subsequently complete IPT Scenarios for the applicable areas of the market design.

3. Terminology

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.

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.

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.

Problem Report

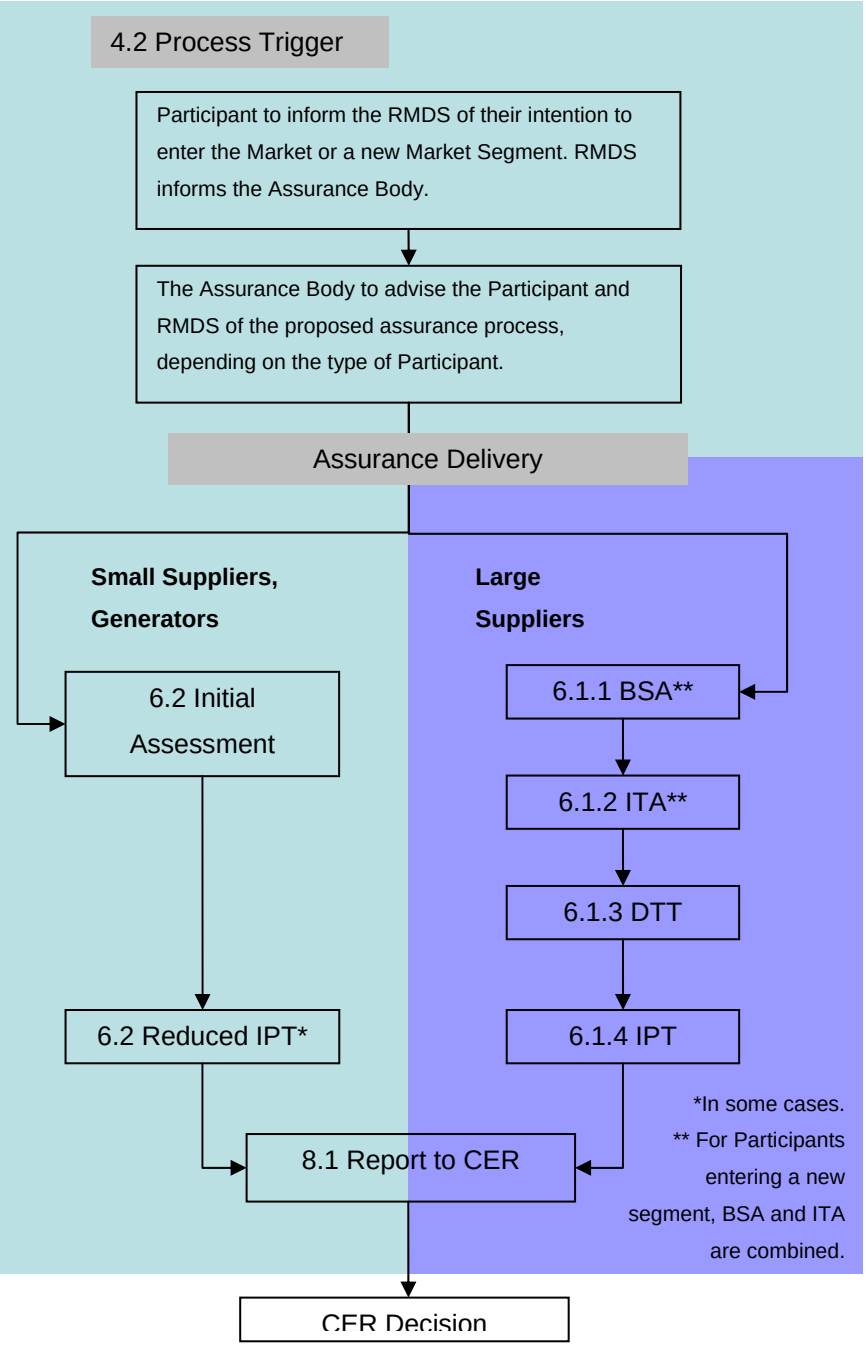
A formal report, raised by the Assurance Body during Inter-Participant Testing, that identifies where a Participant's results are not those expected.

4. Process Overview

4.1 Process Overview

The diagram below (Fig 1) illustrates the typical stages required for the market entry assurance process. These are described in more detail in sections 5 and 6 together with their applicability in the different contexts.

Fig 1. Market Entry Assurance Process Overview Diagram



The timescale for completion of assurance is dependent on a number of factors, including the nature and number of Findings raised at each assessment stage and the Participant's own plan. The following timescales are provided as only a general guide for outline planning purposes and the Participant is advised to discuss their particular circumstances with the RMDS/Assurance Body no later than the Notice period stated below:

Assessment Stage	Working Days			
	Notice Period	**Preparation**	**Duration**	**Follow-up**
Business Solution Assessment	20	2	2	5
Integration Test Assessment	20	5	2	5
Data Transfer Testing	30	10	1	None
Inter-Participant Testing	30	10	15	None
Overall (Large Supplier)			6-10 weeks	
Overall (Small Supplier)			2-3 weeks	

Note that a number of the tasks above can be carried out in parallel.

These timings would also be applicable for existing Participants entering a new market segment.

4.2 Process Trigger

Initially, a New Entrant makes contact with the RMDS and receives information concerning the market entry assurance process including an "Application for Market Entry/Entry to Additional Market Segment" form.

On receipt of the completed form the RMDS will inform the Assurance Body of the Application. Advisory visits are arranged where further detailed information is made available and the New Entrant can discuss and clarify each element of the process.

The diagram in Figure 1 illustrates the stages of the Assurance. The techniques and terms used are those within the Assurance Strategy. Sections 5 and 6 of this document describe the entry and exit criteria for each assurance stage and for the process as a whole.

4.3 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.

5. The general shape of the Assurance Process

The Assurance Process for a Participant comprises a series of discrete activities, 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 discrete activities is termed an "Assessment" and the Assessments broadly map onto the major stages of the Participant's project for readiness to operate in the Market. 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.

The different techniques that are used for the Assessments are described in the Assurance Strategy. However there is much commonality in the general approach taken for the Assessments and this is described below.

5.1 Assessment Overview

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

- examining these records, 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 most 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 Data Transfer Testing and Inter-Participant Testing, evidence should not be created dynamically within the time frame of the assessment.

5.2 Format of Assessments at each stage

Assessments are conducted partially at the Participant's site and/or partially at the Assurance Body's local offices, depending on the stage of the Market Entry 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 Market Entry Assurance returns by the Participant, analysis of these by the Assurance Body and clarification dialogues as necessary;
- the execution of the tests (DTT and IPT stages only);
- 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;
- comparison of the evidence with the Market Design Baseline and discussion with 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;
- daily exchanges of information (referred to as wash-up meetings, though the exchange may sometimes take place on the 'phone or electronically), at which 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;
- closing meeting, which takes place at the end of the assessment and at which all open Findings and Corrective Actions for the assessment are formally reported to the Participant's representatives in the form of a site report. This contains:
    - Summary Sheet;
    - Any open Findings;
    - Any open Problem Reports (IPT only); and
    - All Observations.
- outcome report (after assessment) produced by the Assurance Body addressed to the Participant and copied to the RMDS and containing:

- The Assurance stage covered by the assessment;
- The market segments for which the Participant/Market Participant was assessed;
- The level of assurance applied (i.e. whether a small supplier, generator or self-supplier);
- 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.

5.3 Logistical Arrangements

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.

The Participant is required to provide the following for any on-site assessments:

- 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;
- access to appropriate Participant staff to explain to the Assessors how compliance with the market design requirements is demonstrated by the evidence. Whilst staff are not required full-time it will help reduce the duration
- a private area in which the assessment team can work, equipped with table, chairs, lockable cupboard, unrestricted broadband access and telephone;
- use of an appropriate area for the opening meeting, the daily wash-ups and closing meeting;
- access to a printer or printing facilities.

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 on domestic arrangements (such as hours of work, site access arrangements/restrictions, safety and evacuation procedures nearest location for refreshments and lunches).

5.4 Consolidated Outcome Report

On completion of all stages of the Market Entry Assurance Process the Assurance Body will prepare a consolidated 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 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 reports to CER and RMDS

5.5 Assessment Cancellation and Termination

The following exceptional circumstances may result in the cancellation or premature termination of an assessment and it would then be necessary to re-arrange the assessment with the Assurance Body:

- failure to submit required documents; or
- unreasonable delays during the assessment process caused by the Participant; or
- appropriate Participant staff unavailable; or
- it becomes apparent, at any time during the assessment that the Participant Questionnaire or SAR are substantially inaccurate; or
- the relevant business process document set is substantially and demonstrably incomplete; or
- testing has not generally followed the Participant's business processes as listed in the SAR; or
- test results prove inaccurate; or
- evidence is insufficient to assess compliance with the Market Design.

6. The New Entrant Assurance Process

6.1 Large Supplier

6.1.1 Business Solution Assessment

BSA is the first formal stage of the Entry Assurance process and has the objective of gaining an assurance that the Participant's systems and processes have been, or are being, designed and built in compliance with the Market Design.

BSA Entry Criteria

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

- a plan for their project for Market entry which shows all of the Assurance stages and the project activities on which they depend. Timings must be appropriate for those dependencies;
- Application for Market Entry Assurance or Application for Entry to Additional Market Segment, with the declaration signed by an appropriate company executive (both are Appendices to this document);
- The Participant Questionnaire part 1 (this is a separate document),
- a Self-Assessment Return (SAR – this is a separate document) with:
  - the message routing worksheet within the SAR completed except for test references;
  - all other worksheets within the SAR completed.
  - within the above, self-declarations that all the accessions, agreements etc. that are required for Market operation are in place or have been initiated and their current status;
- 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;
- '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 an 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.

6.1.2 Integration Testing Assessment

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 that require any internal integration tests to be repeated; and to:
- submit the following documents to the Assurance Body prior to the assessment:
  - Participant Questionnaire parts 2 & 2A;
  - The SAR that was submitted for BSA (or a later version if available) with test references completed.
- respond satisfactorily to requests for clarification from the Assurance Body on the above; and.
- agree a start date and duration with the Assurance Body.

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, 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 Results.

ITA Exit Criteria

The Integration Test Assessment stage is completed when the Assurance Body has closed all Findings produced during the ITA following resolution by the Participant.

Closure of all Findings is not an 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 all of the applicable functionality within the market design.
- 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 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 a manual business process, 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.

6.1.3 Data Transfer Testing

DTT Entry Criteria

The Participant is required to meet the following criteria prior to the commencement of DTT execution:

- have completed BSA;
- submitted the Participant Questionnaire Parts 2 & 2B (part 2 may have already been submitted as part of ITA);
- have agreed a plan for DTT execution with the RMDS and Assurance Body. A key factor in planning is the availability of a test environment, which is provided through the RMDS;
- have available a valid set of Market Messages that the Participant would normally originate in the Market including at least one of each type;
- have provided the Assurance Body with an up to date definition of their technical architecture, showing the interaction of the system components (e.g. MPCC, message router, registration system);
- have prepared a script that describes how these messages will be inserted into their system and routed to ESB Networks and at what points (within the Applicant's systems) evidence will be taken;
- have prepared a script that describes how they will receive and validate test messages from ESB Networks and at what points (within the Participant's systems) evidence will be taken.

DTT Exit Criteria

The Data Transfer Testing is completed when the Assurance Body has confirmed, through the review of evidence supplied by the Participant and the RMDS, that:

- Each of the message types has been sent/received by the Participant/ESB Networks (as appropriate)
- Any invalid messages have been identified

6.1.4 Inter-Participant Testing Scenarios

The scenarios used during Inter-Participant Testing are generic business scenarios that are likely to be encountered in normal, live operation. They must be executed under operational conditions although some operational time constraints may be relaxed. The results of the scenario executions and supporting electronic evidence must be submitted to the Assurance Body for assessment.

IPT Entry Criteria

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

- complete BSA, ITA and DTT;
- have no outstanding Findings that would affect the outcome of a scenario;

and to:

- submit the following documents to The Assurance Body prior to the start of execution:
  - a Participant Questionnaire part 3;
  - a fully completed and up-to-date SAR.
- respond satisfactorily to any requests for clarification from the Assurance Body;
- agree a plan for scenario execution with the RMDS;
- provide and agree the data to be used during the scenario execution to the RMDS.

IPT Exit Criteria

- Closure by the Assurance Body of the Problem Reports and/or Findings following resolution by the Participant; and
- All scenarios adjudicated as passed by the Assurance Body; and
- The Assurance Body has closed all Findings following resolution by the Participant.

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 storyboard and complete the scenario as required.
- The Participant must collect evidence at each step to demonstrate compliance with the Market Design and their business processes and systems and submit this to the Assurance Body. The types of evidence required are as for ITA above.
- The RMDS will also collect evidence 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.

6.1.5 Market Entry Assurance Exit Criteria

Market Entry Assurance is completed when:

- all Market Entry Assurance stages (BSA, ITA, DTT and IPT) 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 (corrective actions may include the necessity for further Market Entry Assurance Assessment and/or Scenario activity);
- The Assurance Body has prepared a Consolidated Outcome Report (which has been verified for factual accuracy by the Participant) and submitted this to CER, with copies to the Participant and the RMDS; and
- CER has accepted the Consolidated Outcome Report and has decided to approve or not approve the Participant to operate in the Market.

6.2 Small Supplier, Generator and Self-Supplier

The assurance processes applicable to Small Suppliers, Generators and Self-Suppliers are described in the Assurance Strategy. The entry and exit criteria for each of these are described in the table below.

Type/Stage	Entry Criteria	Exit Criteria
Small Supplier		
Initial Assessment	A completed Small Supplier Questionnaire, signed by a company executive	Participant has successfully demonstrated to the Assurance Body that the systems and processes in place are sufficient to operate in the market. Any requests for further clarification or further information have been met.
Inter-Participant Testing	Initial Assessment satisfactorily completed	Confirmation from the RMDS and a signed declaration from the Participant that the tests have completed satisfactorily.
	Agree dates with RMDS for IPT scenario execution	Closure by the assurance body of any Findings or Problem Reports raised during test execution
Self-Supplier/Generator		
Assessment	A completed Self-Supplier/Generator Application (Appendix D of this document) signed by a company executive	Participant has successfully demonstrated to the Assurance Body that the systems and processes in place are sufficient to operate in the market. Any requests for further clarification or further information have been met.

Type/Stage	Entry Criteria	Exit Criteria
All of the above		
Market Entry Assurance Completion		All required stages (as above) completed and all Findings and Problem Reports closed.
		Report submitted by the Assurance Body to CER with copies to the Participant and the RMDS
		CER has accepted the report and has decided to approve or not to approve the Participant to operate in the Market

7. Entering a New Market Segment

7.1 General

This assurance process is designed to cater for Suppliers who have already been approved to operate in one, or more, market segments and who wish to be approved to operate in one, or more, additional market segments. The available Market Segments are listed in the Assurance Strategy and appear on the Application Form in APPENDIX A.

The assurance delivery is based on the Market Entry Assurance process and uses the same stages, techniques and reporting but with the scope restricted to those parts of the Market Design applicable in the additional Market Segment(s). In addition, due to the smaller scale of the activities involved, the BSA and ITA assessment stages are carried out in parallel and a combined report is produced. As such, the stages are:

- Combined BSA/ITA
- DTT covering areas of the market design applicable to the new segment(s)
- IPT covering areas of the market design applicable to the new segment(s)

7.2 Small Suppliers

For Small Suppliers Inter-Participant Testing is the only assurance stage included. The scenarios to be run are only those applicable to the new Market Segment for which approval has been sought.

7.3 Entry & Exit Criteria

The entry and exit criteria for assurance for an additional market segment are as for Market Entry Assurance but, where documentation/information is to be provided or tests to be run, these are limited to the Market Segment(s) in question and any changes that have been made to already-approved processes and systems.

8. Reporting requirements

8.1 CER and RMDS

As authorising body, the CER will be kept informed of the progress being made by organisations undertaking the New Entrant process. CER will authorise completion of the assurance undertaken. The RMDS will also be kept informed. 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. The report will include:

- A description of the Assurance carried out.
- A summary of how the Participant completed each stage of the process.
- 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.

8.2 IGG

The Assurance Body will provide a high level update to the IGG following the completion of the New Entrant process in terms of the assurance approach used during the assurance process.

APPENDIX A Application for Market Entry Assurance

This Application is to be completed by the Participant to declare their intention to commence operations in the market sectors indicated.

To:	*From:*
	Firstname Surname
The Commission for Energy Regulation	*Participant Electricity Company Limited*
The Exchange	*Address Line 1*
Belgard Square North	*Address Line 2*
Tallaght	*Address Line 3*
Dublin 24	*Address Line 4*
Ireland	*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 new segments indicated below of the competitive electricity market in Ireland using the processes in the retail market design as approved by the Commission and as amended from time to time.

Our current customer base/operational intentions are as follows:

Please indicate market segments using the boxes below	
Market Segment	**Intent**
Quarter Hourly	
Non Quarter Hourly, Non-Domestic	
Non Quarter Hourly, Domestic	
Supply to unmetered connections	
SOLR	

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 market segments indicated in the table above 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 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.

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.

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.

Authorised by (signature)…….

PRINT NAME ……..

TITLE/POSITION ……..

(Company Executive)

APPENDIX B Application for Entry to Additional Market Segment

Please complete and return to the Assurance Body/RMDS

PART 1

Organisation Name:	
Contact Name:	Market Participant ID:
Contact Details: Tel: Fax: Email:	Organisation Type: Large Supplier ☐ Small Supplier ☐ Self-Supplier ☐ Generator ☐
	Market Segments for which Approval is sought (Applicable to Large and Small Supplier only): QH ☐ NQH (non-Domestic) ☐ NQH (Domestic) ☐ Unmetered ☐ SoLR ☐
Target date for operating in the live Market:	

PART 2

Part 2 to be completed by existing Market Participants wishing to enter a new Market Segment

#	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.	How have you identified the items (procedures, instructions, applications etc.) that are impacted by the change(s)?		
3.	What management processes have you used to ensure that all necessary changes have been included?		
4.	What management processes have you used to ensure that the change(s) has been effectively tested?		
5.	Has any testing been carried out with other Market Participants with respect to this change(s)?		
6.	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?		
7.	Have you updated your Self Assessment Return (SAR) to reflect the change(s)?		

Signed: _____ **Date:** _____

PART 3

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 :

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Print Name	**Signature**	**Position**	**Date**

Approved by :

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Print Name	**Signature**	**Position**	**Date**

APPENDIX C Small Supplier Application

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 MPCC (Market Participant Communication Component) correctly installed and that it is ready for the receipt and sending of market messages.		
4.	Please confirm that your Organisation has completed the relevant sections of the SAR.		
5.	Please confirm that your Organisation has appropriate procedures and systems in place to operate in the Market.		

APPENDIX D Self Supplier/Generator Application

To be completed by an Organisation wishing to enter the Market as a Self Supplier or Generator, 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 Self Supplier/Generator in the Market.		
2.	Does your Organisation 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.) If so, please provide an indication of the likely timescales. N.B. Before third party sites may be registered full market assurance must be carried out. At least 2-3 months notice is required to facilitate this. (Please also refer to the Assurance Strategy)		
3.	Please confirm that your organisation does not intend to use the MPCC (Market Participant Communications Component). N.B. This will preclude the sending and receipt of market messages, including meter readings and aggregation data, as per the market design.		
4.	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-supplv operation.		
5.	Please confirm that your organisation has appropriate procedures and systems in place to operate in a self-supply capacity using only this information.		