
Retail Market Procedure
MP NI 502
Re-certification

Date of Issue : 6th January 2020
Status : Issued
Version : 1.4
Author : MEPCT

Table of Contents

1. Introduction	4
1.1 Overview	4
1.2 In scope	4
1.3 Out of scope	4
2. Annual Reassurance	5
2.1 The annual reassurance statement	5
2.2 Balanced scorecard	5
2.3 Annual reassurance outcome	6
3. Recertification	7
3.1 Procedural flow	7
3.2 Recertification request from Supplier	8
3.3 Recertification request from NIE Networks	8
3.4 Recertification request from MEPCT.....	9
3.5 Right to appeal	9
3.6 Recertification outcome	9
3.7 Recertification approach.....	9
3.8 Timescales	10
4. Document Layouts	11
4.1 Annual reassurance statement.....	11
4.2 Recertification application	11
4.3 Notice to recertify.....	11
5. Procedural Steps	9
5.1 Annual reassurance statement.....	9
5.2 Balanced scorecard	9
5.3 Self-assessed need to recertify	10
5.4 Recertification	11

Document Control**Version Control**

Version	Author	Issue Date	Reason
1.0	MEPCT	21/05/2012	Baseline
1.1	MEPCT	06/11/2015	Update for Balanced Scorecard
1.2	MEPCT	07/06/2016	Updated from Supplier review comments
1.3	MEPCT	27/07/2016	Update following Utility Regulator review
1.4	MEPCT	25/10/2019	Updates from MEPCT

1. Introduction

1.1 Overview

The Market Registration Code outlines the responsibility of Suppliers to maintain their market sector certification. The certification categories within the Market Registration Code are:

- Interval Commercial;
- Non-interval Commercial;
- Non-interval Residential Credit Metered;
- Non-interval Residential Keypad Metered; and
- Unmetered.

As the initial certification for any sector is awarded at a single point in time, the basis on which the certification decision was made may subsequently change. To ensure that Suppliers remain capable of meeting their obligations, a regular process of review and reassurance is undertaken by MEPCT.

This document provides an outline of how this reassurance process is performed. The document will also outline the process undertaken when a recertification is needed.

1.2 In scope

The following are within the scope of this procedure in respect of each market sector for which the Supplier is certified:

- Annual reassurance of continued compliance;
- Notification of material change in systems, processes and procedures; and
- Re-certification of continued compliance by a Supplier as notified by the Market Entry Process Co-ordination Team ("MEPCT").

1.3 Out of scope

The following are not within the scope of this procedure in respect of each market sector for which the Supplier is Certified:

- Initial Certification of a Supplier; and
- Disputes and appeals relating to this process. MP NI 505 outlines the disputes and appeals procedure.

2. **Annual Reassurance**

The Market Registration Code indicates that Suppliers must maintain their certified IT systems and business processes in order to maintain their certification status. The annual reassurance process is used as a mechanism to confirm that this has occurred during the review year.

The process uses two mechanisms to provide comfort that Suppliers have maintained their certification status, namely;

- The annual reassurance statement; and
- The balanced scorecard.

2.1 **The annual reassurance statement**

All Suppliers are required to submit an annual reassurance statement to the MEPCT outlining any material changes during the year for each relevant market sector (refer to section 2.2). The statement must address all material changes to the Supplier's certified systems, certified procedures as at the first day of November in the year the Annual Reassurance Statement is provided and is to be delivered to MEPCT no later than the last day of November each year commencing from the first year after the year in which the Suppliers original Certification is granted.

2.2 **Balanced scorecard**

The Balanced Scorecard is a mechanism for Suppliers to focus on how their Market Messaging applications and back-end systems are communicating with NIE Networks. It also seeks to provide assurance that the Retail Market Procedures are being followed when communicating with NIE Networks. Further, the scorecard will also allow Suppliers an ability to compare their specific results against the average of the whole NI market. The scorecard focuses mainly on the following key areas

- Contingency events within the Tibco system;
- Market Messages that have been issued with errors or follow unusual trends;
- Customer cap levels have not been breached (where applicable).

The target for the Supplier with respect to the balanced scorecard is to achieve a satisfactory result or a green status in each area. An amber or red status would indicate a level of intervention is required by the supplier to resolve.

In order for MEPCT to renew the Certification Decision, the Supplier will be required to;

1. Indicate through the Annual Reassurance Statement that no material changes, other than those for which Recertification has already been obtained, or have occurred; and
2. Achieve a satisfactory result within their Balanced Scorecard or have provided comfort over the remedial actions that are being instigated to enhance their Scorecard result. In other words, a red or amber status in itself does not

automatically mean a recertification will occur rather will suggest the need to develop a plan for resolution of the issues to improve the scores in the relevant areas. It is expected the plan will involve a dialogue between the Supplier and NIE Networks. The Utility Regulator will also be kept informed.

2.3 **Annual reassurance outcome**

Once the above occurs, MEPCT will renew the Suppliers current certification decision by sending confirmation to the Supplier in writing.

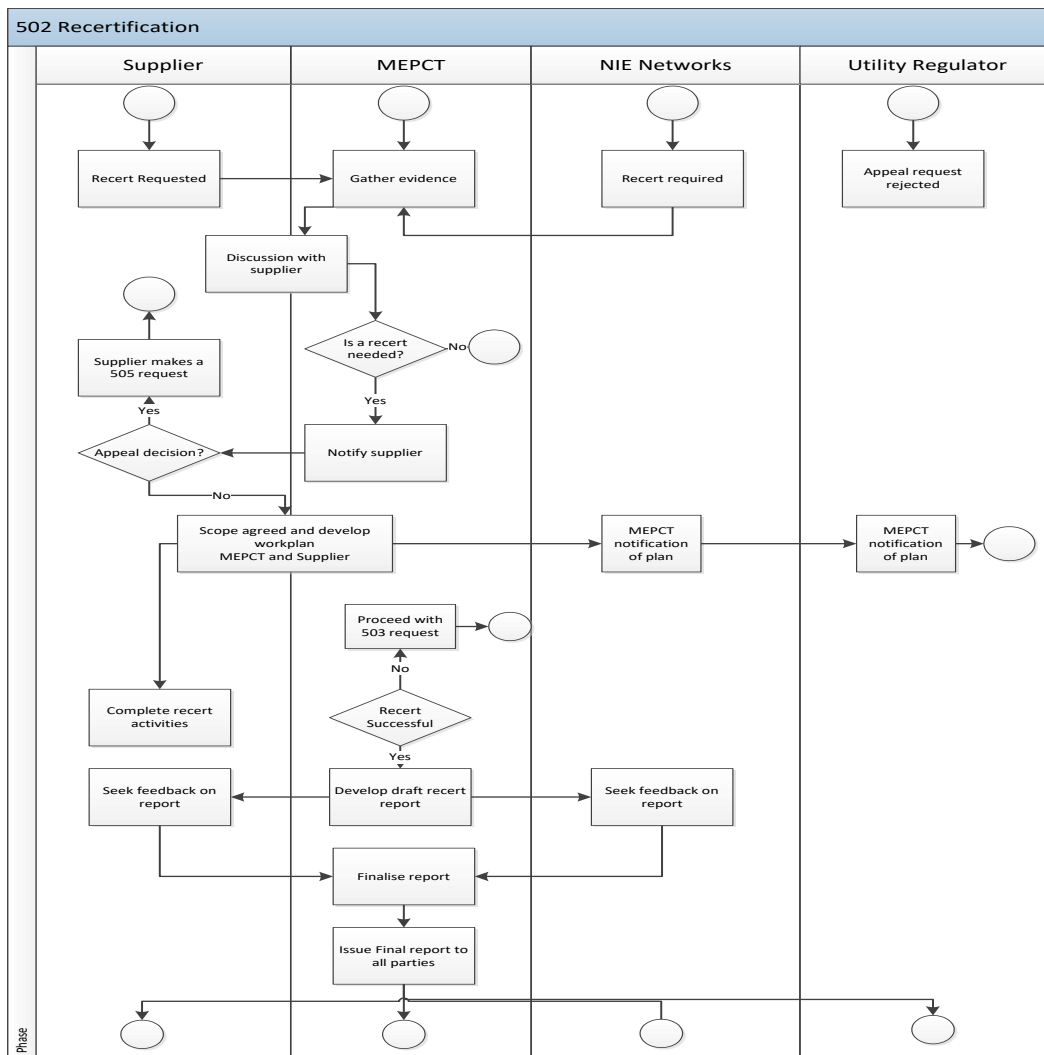
Where comfort has not been attained, MEPCT will issue a Notice to Recertify on the basis that the Supplier should have applied for recertification and has failed to do so, or that their systems or market message business processes have not been maintained as directed under the Market Registration Code.

3. Recertification

Recertification is the process undertaken by the Supplier and MEPCT to certify systems and processes following a change or issue with those which had been previously certified under MP NI 501. Triggers for this process can arise from the Supplier themselves notifying MEPCT, NIE Networks identifying an issue or from MEPCT becoming aware of an issue.

Depending on the reason for the recertification it may be that MEPCT apply conditions over the existing certification of a Supplier, e.g. issues emanating from non-adherence to MRC or retail market procedures.

3.1 Procedural flow



3.2 **Recertification request from Supplier**

A Supplier must request Recertification for each relevant market sector by providing a recertification application to MEPCT such that recertification will be achieved prior to the implementation of any material changes in the Supplier's certified procedures and/or certified systems. A material change may include:

- The automation or integration changes between the Electricity Market Messaging Application ("EMMA") and any of the Supplier's systems for any market message;
- Removal of automation of an Electricity Market Message to using the provided industry application (Webforms);
- Replacement of any part of a Supplier's system including changes to business processes which support interfaces with the EMMA;
- Significant amendments to the infrastructure which the EMMA or Suppliers operational systems will reside on;
- Changes to the Supplier's certified procedures and/or certified systems which impact on a Supplier's ability to maintain a baseline compliance as outlined in the Market Retail Code and MP_NI 501 Market Certification;
- The Supplier begins to supply meter points outside the restrictions in their certification decision; or
- Where the Supplier has been requested to undertake a recertification as an undertaking from the Utility Regulator.

3.3 **Recertification request from NIE Networks**

NIE Networks may request that a Supplier undertake a recertification for any relevant market sector if requested to do so, for any reason. However, this would typically occur when;

- There is a planned market change to the messaging schema;
- There is a planned change to Tibco e.g. upgrade;
- Where NIE Networks has reasonable evidence that the Supplier is not adhering to the Market Retail Code; or
- Where there is reasonable evidence of non-compliance with the retail market procedures.

With the exception of Tibco or Schema changes, NIE Networks will notify the MEPCT of its request for a re-certification. MEPCT will subsequently discuss the issue with the Supplier and issue a Notice to Recertify to the Supplier.

Where there is a market change to Tibco or the Schema and a recertification needed, notification will be given via the retail industry forums e.g. CDA.

3.4 **Recertification request from MEPCT**

MEPCT may issue a Notice of Recertification to a Supplier when one of the following issues arises;

- A Supplier is actively involved within a category it is not registered for;
- MEPCT has identified that a material change has occurred with a Suppliers systems or processes;
- MEPCT has identified that a material change has occurred with a Suppliers infrastructure which the EMMA or market operational systems reside on;
- Where the Supplier has not satisfactorily fulfilled the agreed outcomes from a remedial action plan where issues have been identified from their Balanced Scorecard.

3.5 **Right to appeal**

A Supplier has the right to dispute a Notice to Recertify in accordance with the procedure specified in MP NI 505 Disputes and Appeals Procedure.

3.6 **Recertification outcome**

Where a recertification has been successful, MEPCT will notify the Supplier of this position and that their amended systems and/or processes have achieved certification status.

Where a recertification has been unsuccessful, MEPCT

3.7 **Recertification approach**

A Recertification Application is raised by a Supplier and submitted by that Supplier to the MEPCT. An Applicant can rely on evidence provided and statements made for the purpose of obtaining its current Certification. Where the recertification is requested by NIE Networks / MEPCT, a letter will be issued to the Supplier notifying them of this decision. The scope of recertification must be agreed between the Applicant and the MEPCT as well as the plans for any testing between the Applicant and the Test Co-ordination Centre ("TCC").

In general the plan and scope of Recertification will be limited to the areas where changes have occurred or areas of issue highlighted by the Balanced Scorecard.

Should a plan and scope of Recertification not be agreed, the Supplier will lose their Certification for the relevant market sector at the point the Recertification event occurs. The Supplier can raise a Dispute if they consider the failure to agree a plan with MEPCT is unreasonable.

Once the Recertification Application is made, the procedures set out in Market Entry Process MP NI 501 are to be followed addressing the areas of change only. The procedures will run as for a full Certification albeit to the agreed, plan and scope. This will generally entail a reduced Certification burden.

3.8 **Timescales**

All timescales in this Section 2 and section 4 are indicative and based on there being no iterations, rejections or testing failures. Although the MEPCT estimates are indicative of a worst case scenario it is advised that an Applicant must complete Recertification within 65 Business Days from the point of submission of the Recertification Application or any other date as may be agreed between the parties or by an agreed date with MEPCT when Recertification is initiated by MEPCT, including any required Certification testing for obtaining Recertification.

4. Document Layouts

4.1 Annual reassurance statement

Type	Proforma Letter	Format	MS Word
Sent From	Supplier	Sent To	MEPCT
Copied To	NIE Networks and Utility Regulator		
Notes	The statement must address all material changes as specified in Section 2 of this procedure that have occurred since the last day of November in the preceding year, confirm adherence to the Tibco EULA and is to be delivered to the MEPCT no later than the last day of November in each year. To be signed by a Main Board Director or equivalent in an organisation that is without a main board.		

4.2 Recertification application

Type	Form	Format	MS Word
Sent From	Supplier	Sent To	MEPCT
Copied To			
Notes	Letter outlining the reasons for seeking recertification and by Certification Category		

4.3 Notice to recertify

Type	Letter	Format	MS Word
Sent From	MEPCT	Sent To	Supplier
Copied To	NIE Networks and NI Utility Regulator		
Notes	Stating the grounds upon which Recertification is required for each relevant Certification Category		

5. Procedural Steps

5.1 Annual reassurance statement

No	Supplier	MEPCT	Stakeholders	Business Days
1.	Each Supplier is to complete an Annual Reassurance Statement to MEPCT	Notice sent to Supplier from MEPCT		
2.	Submit the return to the MEPCT by the end of November each year	Receive and review the Annual Reassurance Statement.		10
3.	If Recertification required from Annual Reassurance statement or Balanced Scorecard Receive Notice to Recertify and continue at 4.4 below.	If Recertification required Issue Notice to Recertify to Supplier and continue at 5.4 below.	Notify Utility Regulator of requirement to recertify	5
4.	If Recertification is not required - Receive renewed Certification	If Recertification is not required Notify Supplier and publish the Certification Decision renewing Applicant's current Certification.		5
		End of procedure		

5.2 Balanced scorecard

No	Supplier	MEPCT	Stakeholders	Business Days
1.		MEPCT prepares draft scorecard for each Supplier (bi-annual process in July and January)	Notify NI Utility Regulator and NIE Networks	
2.	Supplier receives scorecard and reviews internally	MEPCT will aim to meet Supplier if requested		15
3.	Scorecard is approved by Supplier	Scorecard is approved by MEPCT and NIE Networks		10

4.	If there is a Red or Amber overall scorecard status Supplier will outline how they plan to improve the status in the forthcoming scorecard	MEPCT and NIE Networks will review against available trend analysis and if deemed necessary, will request a remedial plan together with timescales identified for improvement	Utility Regulator will be notified of plan being sought	30
5.		End of procedure		

5.3 Self-assessed need to recertify

No	Supplier	MEPCT	Stakeholders	Business Days
1.	Submit to MEPCT a Recertification Application stating the reason/grounds for seeking Recertification.			
2.		Review and evaluate the Recertification Application		3
3.	Respond to information requests from the MEPCT within a reasonable timescale ¹ .	Respond to requests for information and provide opinions as to market risk caused by the changes/reasons for the request.	Notify NIE Networks and NI Utility Regulator.	25
4.		Review responses, discuss and agree recertification scope.	The Utility Regulator will be notified.	2
5.	If Recertification required Receive notification and continue at 5.4 below.	If Recertification required Notify Supplier and continue at 5.4 below.		1
6.	If Recertification not required Receive notification	If Recertification not required Notify Supplier.		1
7.	End of procedure			
End of procedure				

¹ Any failure to respond to requests for information within a reasonable timescale, (as stated), shall be treated as additional risk when evaluating the Recertification opinion.

5.4 **Recertification**

No	Supplier	MEPCT	TCC	Stakeholders	Business Days
1.	Agree Recertification plan and document the scope of testing with MEPCT.	Taking into consideration the Notice to Recertify and/or the findings reached by MEPCT above agree with the Applicant the plan and scope of the Recertification and the allowed reliance upon original Certification submissions. Agree recertification plan with supplier.	Agree the scope of Testing	Discuss with NIE Networks	10
2.	Follow Market Entry Process MP NI 501 Qualification restricted to the agreed scope of Recertification and testing.				20
3.	Agree consolidation of Certification documents.	Consolidate the new responses with the current Certification documents to produce a single suite of documents supporting the current Certification status.			5
4.	Follow Market Entry Process MP NI 501 Certification restricted to the agreed scope of Recertification. This step will generally be performed in parallel with steps 2 and 3 above				20+
End of procedure					