

Overview of the Technical Assurance Process for Performance Assurance Parties

Introduction

This document provides a high level overview of the Technical Assurance process. Technical Assurance is used as a detective assurance technique and forms part of the [Performance Assurance Framework \(PAF\)](#). Technical Assurance is split into two areas and this Information Sheet covers Technical Assurance of Performance Assurance Parties (TAPAP). The other area is Technical Assurance of Half Hourly Metering Systems, covered in a separate [Information Sheet](#).

The TAPAP process is defined in Balancing and Settlement Code (BSC) Procedure [\(BSCP\) 535](#) 'Technical Assurance'.

Who can be Technically Assured?

The TAPAP process is applied to 'Performance Assurance Parties'. You're considered a Performance Assurance Parties if you're a:

- Supplier;
- Supplier Agent¹;
- Licensed Distribution System Operator when acting as:
 - o Unmetered Supplies Operator
 - o Supplier Meter Registration Agent; or
- Meter Administrator.

The aim of TAPAP is to ensure you meet BSC obligations and Technical Assurance 'checks' are targeted at key market performance and risk areas.

What is the Technical Assurance Scope of Work?

The 'scope of work' for TAPAP documents the checks performed by ELEXON each year. It's agreed by the Performance Assurance Board (PAB) after the BSC Audit Report is published and covers the 'Performance Assurance Operating Period' (01 April – 31 March).

The scope of work is designed to address market issues, including those identified by other PAF techniques like:

- Error and Failure Resolution (BSCP538);
- SVA Qualification (BSCP537);
- PARMS Techniques (BSCP534); and
- The BSC Audit (BSC Section H).

¹ Includes Half Hourly (HH) and Non Half Hourly (NHH) Data Collectors, HH and NHH Data Aggregators, HH and NHH Meter Operators and Central Volume Allocation Meter Operators.

The scope of work can also cover:

- **Gap Areas** – BSC requirements where minimal assurance is gained by the other PAF techniques, e.g. Disaster Recovery arrangements and Change Control procedures.
- **Recently Introduced Requirements** – New obligations may be introduced under the BSC change process. As a result, a check may be included within the scope of work for Technical Assurance to ensure you fulfil these additional obligations.
- **Market Issues** – Compliance issues may be identified by ELEXON, the BSC Auditor, or Performance Assurance Parties. This can lead to Technical Assurance checks being included in the scope of work for relevant groups of Performance Assurance Parties.

The scope of work is published on [TAPAP pages](#) of www.elexon.co.uk. The PAB can approve in-period revisions to the scope if necessary based on the output of other PAF techniques.

What are the key steps in the Technical Assurance Process?

Technical Assurance checks are performed either remotely, at your offices, or a combination of both. You're notified of planned checks in advance and should provide access to systems, procedures and data to allow us to carry out the check.

You're provided the results when the check is completed. If you're a Supplier Agent, the results are circulated to your associated Suppliers².

Check results highlight areas of:

- **Non-Compliance** – where you fail to meet obligations in the BSC or Code Subsidiary Documents related to the check; and
- **Observation** – where an identified issue is not a BSC or CSD non-compliance, but we consider the issue to be a deficiency in your business operation (relevant to the BSC) or application of a BSC process.

Within 10 Working Days of receiving of the check results, you must either:

- resolve the non-compliance and provide evidence it's resolved; or
- submit an action plan describing resolution activities and timescales.

If you disagree with a non-compliance raised in the check results, we will endeavour to resolve any concerns or disagreement. You can appeal to the PAB if still dissatisfied with any aspect of the check results.

What happens once I receive the Check Results?

If non-compliances are not resolved within 10 Working Days of receiving the results, but an action plan is provided, the plan is managed through the Error and Failure Resolution (EFR) technique and feeds in to your Risk Management Plan.

If the non compliance is not resolved and no action plan received, we may escalate the matter and recommend use of the EFR escalation process (within BSCP538).

Contact and More Information

For more information on Technical Assurance, please email technical.assurance@elexon.co.uk or visit the [Technical Assurance of Performance Assurance Parties](#) section of www.elexon.co.uk.

² An Associated Supplier is a Supplier that has confirmed a relationship exists with the Supplier Agent and is entitled to receive the Check Results.