

Document Control

**Version Control**

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| **Ver.** | **Author** | **Issue Date** | **Reason for issue** |
| 1.0 | FEMO Programme | 12/11/2004 | Baseline |
| 2.0 | FEMO Programme | 15/12/2004 | Addition of Associated Document References |
| 5.0 | FEMO Programme | 16/03/2005 | Change requests – see section 1.4 |

**Related Documents**

| **Title** | **Ver.** | **Owner/Author** | **Dated** |
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| Entry Process Ability Test Approach & Plan | 5.0 | FEMO Programme | 12/11/2004 |
| Entry Process Ability Test Exit Report | 1.0 | FEMO Programme | 16/03/2005 |
| Market Entry Application | 1.0 | FEMO Programme | 12/11/2004 |
| Market Entry Process Guide | 3.0 | FEMO Programme | 15/12/2004 |
| MEPCT Certification Decision | 1.0 | FEMO Programme | 15/12/2004 |
| MEPCT Certification Report | 1.0 | FEMO Programme | 15/12/2004 |
| MEPCT Market Procedure Glossary | 1.0 | FEMO Programme | 15/12/2004 |
| MP NI 005 MEP Dispensations Procedure | 5.0 | FEMO Programme | 16/03/2005 |
| MP NI 006 MEP Dispute & Appeals Procedure | 1.0 | FEMO Programme | 15/12/2004 |
| Self Assessment Certification Return | 1.0 | FEMO Programme | 15/12/2004 |

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# Introduction

## Overview

A Supplier who wishes to become certified must submit a Market Entry Application. The following diagram maps the main stages of the Market Entry Process, i.e., from submission of a Market Entry Application to Certification. The diagram also logically groups these stages as they are dealt with in the rest of this procedure.



## In Scope

The following are within the scope of this procedure:

* End to end processing of a Market Entry Applications.
* Entry Process Ability Testing (EPAT)

## Out of Scope

The following is outside the scope of this procedure:

* Market Testing

## Change History

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **CR No** | **Description of Change** | |
| 2.0 | CRID37 | Addition of Associated Document References  Certification Report and Test Outcomes are not published  Confirmation of Market Entry Application acceptance  Removal of Glossary to a separate document  Expansion of Certification conditions to include Supply License and MRC  Sundry clarifications | |
| 5.0 | CRID37 | Addition of reference to CRID37 covering changes in version 2.0 | |

# Market Entry Process

## Pre Application

### Procedural Flow



### Description

This stage provides a prospective Applicant with background information and application forms and is the precursor of the Market Entry Process. There is no obligation on a prospective Applicant to proceed beyond this stage.

### Activity

A request is made to MEPCT for information concerning the Market Entry Process and Market Entry Application. In response to the request, the MEPCT will provide to the prospective Applicant an information pack comprising the following documents:

* Market Entry Application form
* Self Assessment Certification Return
* EPAT Approach and Plan
* MP NI 001 Market Entry Process
* MP NI 002 MEP Recertification Procedure
* MP NI 003 MEP Removal of Certification Procedure
* MP NI 005 MEP Dispensations Procedure
* MP NI 006 MEP Dispute & Appeals Procedure
* All other required forms associated with the above procedures.

## Application

### Process Flow



### Description

In this stage, a Market Entry Application submitted by a prospective Applicant is received, processed and Test Plans are developed. The Market Entry Application provides the information required to commence the Market Entry Process and the data for verification and planning. The Applicant may restrict its Application for Certification to specified meter types and/or trading arrangements

### Activity

The Applicant completes the necessary documents as requested by the MEPCT. The required documents at this stage are:

* the Market Entry Application;
* any required Dispensation Applications; and
* the SACR now or at any stage up to the production of the Certification Report.

The MEPCT will coordinate the process and undertake a verification of the documents submitted by an Applicant in the manner described in Section 2.2.1. The MEPCT will confirm with the Authority that the Applicant holds a current Supply Licence1 or that it has been applied for. The Applicant will agree timetables and schedules for EPAT with the Test Coordination Centre, will report the outcome back to the MEPCT. When all arrangements are agreed between the Applicant and TCC and plans and schedules for EPAT are complete and all pre entrance qualifications are attained, the MEPCT will recommend that the Qualification Stage may commence.

At this stage the Applicant can apply for Dispensations under MP005 MEP Dispensations Procedures.

## Qualification

### Procedural Flow



### Description

Qualification involves the performance of EPAT. The management, administration and operation of the bulk of this phase is outwith the scope of this procedure and is included here for completeness only. EPAT will be managed, administered and operated in accordance with the EPAT Approach & Plan. EPAT is not necessary for Suppliers that are not required to use market messaging as described in the Market Registration Code and choose not to do so.

### Activity

The TCC will provide the Applicant with market standing data and assist the Applicant with its verification. The Applicant will prove its systems and procedures against the market within the time scales and schedules agreed with TCC as described in Section 2.2.2.

The TCC will agree the test outcomes with the Applicant and provide an EPAT Exit Report to the MEPCT. The MEPCT will act as initial referee with regards to any disputes relating to performance or outcome as provided for under MP006 MEP Disputes and Appeals Procedures.

## Certification

### Procedural Flows



### Description

The Certification stage concludes the Applicant’s active involvement in the Market Entry Process. It completes its SACR and submits this to the MEPCT for review. The main output is the report prepared by the MEPCT which is used for making the Certification Decision.

### Activity

The Applicant completes and submits to the MEPCT the SACR. This is to be signed off by a Main Board Director, or equivalent in an organisation that is without a main board. The MEPCT consolidates the Certification documents along with the agreed Entry Process Ability Test Exit Report into a Certification recommendation report. The MEPCT discloses the Certification report to the Applicant prior to making the Certification Decision and the Applicant will be allowed to respond to any of its contents. The MEPCT will consider the Applicant’s response and will make changes that are considered appropriate for making the Certification Decision.

The MEPCT then makes the Certification Decision. While granting a Certification, the MEPCT shall set out the restrictions that the Applicant may have requested, and is permitted to apply without obtaining a Dispensation, in the Market Entry Application, and any Dispensations that may an Applicant may have applied and were allowed by MEPCT. If it decides to grant a Certification, it will request NIE T&D to update the market data appropriately.

If an Applicant is dissatisfied with the Certification Decision, including a refusal to grant a Certification, it can appeal under MP NI 006 MEP Disputes and Appeals Procedure.

### The Self Assessment Certification Returns

SACR will not be subject to audit and challenge. However, the SACR may be provided to the Authority as evidence in any dispute or appeal. The return is a primary input document to the Market Entry Process and as such will be accepted as a statement of fact. The MEPCT will assess the document and rely on the content to help make the Certification Decision. If the MEPCT is unable to recommend Certification, on the basis of the SACR, the Applicant should be advised and given the opportunity to rectify any shortcoming or clarify any outstanding issues.

### Certification Criteria

MEPCT [shall] adopt the following criteria for granting a Certification;

1. the EPAT Exit Report confirms that the test requirements have been met by the Applicant as required within the EPAT Approach and Plan.
2. a completed SACR has been provided and each relevant SACR response is set to “Yes”; and
3. where either of the above criteria has not been met, then Dispensations have been granted in respect of the non compliant items.
4. the Supplier holds a Supply Licence
5. the Supplier is a party to the Market Registration Code.

Certification will not be granted if these criteria are not met.

## Timescales

All timescales in section 4 are indicative and based on no iterations, rejections and no testing failures. Although the MEPCT estimates are indicative of a worst-case scenario it is required that an Applicant allows at least 65 days after the date of submission of its Market Entry Application to the MEPCT for executing this procedure.

# Documents Layouts

## Market Entry Application

|  |  |  |  |
| --- | --- | --- | --- |
| **Type** | Forms | **Format** | MS Word |
| **Sent From** | Applicant | **Sent To** | MEPCT |
| **Copied To** |  |  |  |
| **Notes** | The Application will comprise three distinct sections:   * Part 1 – Applicant details * Part 2 –Application details – Gathers factual statements of the Applicant’s market intentions, scope of service, and methods to be employed e.g. metering classes, anticipated volumes, statement of intended Dispensations. * Part 3 – SACR (Part) – includes completion of some of the SACR questions addressing matters directly related to the Market Entry Application and concerning areas relevant to the Qualification Stage. | | |

## MEPCT Certification Report

|  |  |  |  |
| --- | --- | --- | --- |
| **Type** | Report | **Format** | MS Word |
| **Sent From** | MEPCT | **Sent To** | Applicant |
| **Copied To** |  |  |  |
| **Notes** | This is a statement of performance against the requirements for Certification, setting out any restrictions within the application, list any Dispensations and recommending the grant or refusal of Certification. | | |

## MEPCT Certification Decision

|  |  |  |  |
| --- | --- | --- | --- |
| **Type** | Letter | **Format** | MS Word |
| **Sent From** | MEPCT | **Sent To** | Applicant |
| **Copied To** |  |  |  |
| **Notes** | A simple certificate stating the Applicant name, dates and any restrictions applying to the Certification. The status can only be Certified with or without restrictions or Uncertified. | | |

## Self Assessment Certification Return

|  |  |  |  |
| --- | --- | --- | --- |
| **Type** | Form | **Format** | MS Word |
| **Sent From** | Applicant | **Sent To** | MEPCT |
| **Copied To** |  |  |  |
| **Notes** | To be countersigned by a Main Board Director, or equivalent in an organisation that is without a main board. Sections will include questions on:   * Testing, data population & migration and data maintenance * Operational security & controls * Change management & risk assessment * Local working procedures * Statement of Compliance with each Retail Market Procedure * Final declaration of compliance with all of the relevant requirements. | | |

## Entry Process Ability Test Exit Report

|  |  |  |  |
| --- | --- | --- | --- |
| **Type** | Form | **Format** | MS Word |
| **Sent From** | TCC | **Sent To** | MEPCT |
| **Copied To** |  |  |  |
| **Notes** | A summary of the testing results evaluated against the exit criteria for EPAT. The Applicant should refer to the EPAT Approach and Plan for details of the exit criteria. | | |

# Procedural Steps

## Pre Application

| **No** | **Applicant** | **MEPCT** | **TCC** | **The Authority** | **Days** |
| --- | --- | --- | --- | --- | --- |
|  | Request information from the MEPCT |  |  |  |  |
|  |  | Issue an information pack containing the MEP guide and other relevant information |  |  | 2 |
|  | Request and receive advice and information | Provide advice and information |  |  |  |
|  | Request Market Entry Application pack. |  |  |  |  |
|  |  | Issue Market Entry Application pack |  |  | 2 |
|  | **End of Procedure** |  |  |  |  |

## Application

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No** | **Applicant** | **MEPCT** | **TCC** | **The Authority** | **Days** |
|  | Receive Market Entry Application forms from the MEPCT during the “pre Application” phase in 4.1 above. |  |  |  |  |
|  | Complete and Submit to the MEPCT the Market Entry Application |  |  |  |  |
|  |  | Receive Market Entry Application, verify content for completeness and purpose, confirm with the Authority that the Applicant holds or has applied for a Supply Licence and accept or reject the Application accordingly. |  | Confirm Applicant’s Supply Licence status | 5 |
|  | **If the Market Entry Application is rejected**  End of procedure |  |  |  |  |
|  |  | Forward **the Market Entry Application** details to TCC for test planning.  Confirm acceptance of the Market Entry Application to the Applicant | Receive Market Entry Application |  | 5 |
|  |  |  | Commence Test Planning |  |  |
|  |  |  | Review Market Entry Application content |  | 5 |
|  | Assist TCC in developing a test plan |  | Agree a Test Plan with the Applicant |  | 5 |
|  |  | Receive the Test Plan | File the Test Plan with the MEPCT |  | 1 |
|  |  | **Proceed to “Qualification” at 4.3 below** |  |  |  |

## Qualification

| **No** | **Applicant** | **MEPCT** | **TCC** | **T&D** | **Days** |
| --- | --- | --- | --- | --- | --- |
|  | Prepare for EPAT |  | Distribute logical test scripts  Agree test schedule | Prepare for EPAT | 20 |
|  | Execute the requirements of the EPAT Approach & Plan. |  | Manage the EPAT Approach & Plan. | Execute the requirements of the EPAT Approach & Plan. | 10 |
|  |  | Receive the EPAT Exit Report | Submit the EPAT Exit Report to the MEPCT |  |  |
|  |  | Proceed to “Certification” at ‎4.4 below |  |  |  |

**NB:** The MEPCT can see the Qualification testing but is not responsible for its operation and execution. This process only considers the Exit Report. The Qualification Testing is controlled and administered by the TCC as governed by the EPAT Approach & Plan

## Certification

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No** | **Applicant** | **MEPCT** | **NIE T&D** | **The Authority** | **Days** |
|  |  | **From Qualification**  Receive EPAT Exit Report |  |  |  |
|  | Provide evidence of Dispensations held | Consolidate: EPAT Exit Report, any Dispensations, restrictions and Market Entry Application details for Certification Report |  |  |  |
|  | Complete SACR and provide to the MEPCT |  |  |  |  |
|  |  | Review SACR[[1]](#footnote-1)for completeness, compliance and adequacy. |  |  | 10 |
|  |  | Produce Certification Report. |  |  | 5 |
|  |  | Make and publish the Certification Decision |  |  | 1 |
|  | Receive Certification Decision | Issue Certification Decision to Applicant |  |  | 1 |
|  | **If Certification rejected**  **End of Procedure** | **If Certification rejected**  **End of Procedure** |  |  |  |
|  |  | **If Certification granted**  Request NIE T&D update the market data | **If Certification granted**  Update the market data |  | 1 |
|  | Receive Certification Decision. | Issue Certification Decision to Applicant |  |  | 1 |
|  | **End of Procedure** | **End of Procedure** |  |  |  |

1. Part of the SACR was reviewed during the Application Stage. [↑](#footnote-ref-1)