QUALIFICATION PROCEDURE

METERING PROVIDERS, METERING DATA PROVIDERS & EMBEDDED NETWORK MANAGERS

VERSION RELEASE HISTORY

Version	Effective Date	Summary of Changes
1.0	1 March 2017	First Issue. Document incorporates: - National Electricity Amendment (Expanding competition in metering and related services) Rule 2015. No.12; - National Electricity Amendment (Embedded Networks) Rule 2015 No. 15; and - National Electricity Amendment (Meter Replacement Processes) Rule 2016 No. 2.
1.1	1 December 2017	Corrections to application process and payments.
1.2	2 September 2017	Work Package 3 – Final Determination

CONTENTS

1. INTRODUCTION

1.1. Purpose and Scope

The following three types of service provider are accredited and registered by AEMO:

(a) MPs under clause 7.4.1(a1) of the NER in accordance with the qualification process established under clause S7.2.1(b);

(b) MDPs under clause 7.4.2(a) in accordance with the qualification process established under clause S7.3.1(c); and

(c) ENMs under clause 7.4.2A(a) in accordance with the qualification process established under clause S7.7.1(b).

This is the Qualification Procedure (**Procedure**) AEMO adopts when accrediting and registering these service providers.

This Procedure has effect only for the purposes set out in the NER. The NER and the National Electricity Law prevail over this Procedure to the extent of any inconsistency.

1.2. Definitions and Interpretation

The Retail Electricity Market Procedures – Glossary and Framework:

(a) is incorporated into and forms part of this Procedure; and

(b) should be read with this Procedure.

1.3. Related AEMO Documents

Title	Location
Accreditation Checklists	http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Retail-and-metering/Metering-procedures-guidelines-and-processes
CATS Procedures	http://www.aemo.com.au/Electricity/Policies-and-Procedures/Market-Settlement-and-Transfer-Solutions
Metrology Procedure: Part A	http://www.aemo.com.au/Electricity/Policies-and-Procedures/Metrology-Procedures-and-Unmetered-Loads
Metrology Procedure: Part B	http://www.aemo.com.au/Electricity/Policies-and-Procedures/Metrology-Procedures-and-Unmetered-Loads
Retail Electricity Market Procedures – Glossary and Framework	http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Retail-and-metering/Glossary-and-Framework
Service Level Procedure (ENM)	http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Retail-and-metering/Metering-procedures-guidelines-and-processes
Service Level Procedure (MDP)	http://www.aemo.com.au/Electricity/Retail-and-Metering/Metering-Services
Service Level Procedure (MP)	http://www.aemo.com.au/Electricity/Retail-and-Metering/Metering-Services
WIGS Procedures	http://www.aemo.com.au/Electricity/Policies-and-Procedures/Market-Settlement-and-Transfer-Solutions

2. PREPARATION

2.1. Mandatory Requirement

Any person considering applying for accreditation and registration as an MP, MDP or ENM must prepare for the qualification process. This entails carrying out a number of activities, each of which is described in the remainder of section 2.

2.2. Pre-Reading

AEMO expects the key business personnel of an MP, MDP or ENM to be familiar with the regulatory and technical requirements pertaining to the category in which they are seeking to be registered.

To prepare for accreditation and registration, potential applicants are expected to have read and be conversant with relevant material. The pre-reading to be carried out by a potential applicant will differ, depending on the category of accreditation and registration.

See Appendix A for the list of the relevant material that each type of applicant must be familiar with prior to the pre-application meeting.

2.3. Pre-Application Meetings

Applicants are encouraged to meet with AEMO prior to submitting an application. This allows:

(a) Applicants to acquaint themselves with the requirements for obtaining accreditation (or re-accreditation) and registration in the category for which they are intending to apply.

(b) Existing MPs and MDPs wishing to apply for accreditation (or re-accreditation) and registration in further categories to discuss whether the qualification process can be abridged.

(c) Applicants wishing to submit more than one application, to discuss how to rationalise the information they need to submit with those applications.

3. QUALIFICATION PROCESS

3.1. Application

To commence the qualification process, an applicant must submit an application in the form contained in Appendix B.

The applicant must submit one application for each category in which they wish to be accredited and registered.

3.2. Accreditation Checklists

Applicants must also submit a completed Accreditation Checklist that applies to the category in which they wish to be accredited and registered.

Service Provider	Category	Authorised Activity	Metering Installation Type
MP	1C, 1V, 1M, 1A, 2C, 2V, 2M, 2A, 3M, 3A 4M, 4A, 4S L	Provision, installation and maintenance of *metering installation*.	1, 2, 3, 4, 4A
	5B, 6B	Provision, installation and maintenance of *metering installation*.	5, 6
	5A, 6A	Installation of whole current *metering installation*.	5, 6[1]
MDP	1D, 2D, 3D, 4D, 4S, 4AD	Provision of *metering data services*.	1, 2, 3, 4, 4A
	4AD, 5D, 6D, 7D	Provision of *metering data services*.	4A, 5, 6, 7
	4AC, 5C, 6C	Collection of *metering data* only.	4A, 5, 6
ENM	-	Provision of *embedded network management services*.	-

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[1] No new applicants will be accredited in this category.

The Accreditation Checklists contain questions on the capabilities and obligations applicable to MPs, MDPs or ENMs (as applicable) allowing AEMO to assess the applicant's eligibility for accreditation and registration.

Applicants must provide sufficient detail for AEMO to be able to evaluate whether the requirements have been adequately addressed without further enquiry. AEMO has placed a sample completed question on its website[2] to illustrate how applicants should respond to Accreditation Checklist questions.

3.3. Access to AEMO's Market Systems

The applicant will also need to apply to AEMO for the purpose of connecting to MarketNet and MSATS. The application in the form contained in Appendix B includes the required information for access to these systems.

3.3.1. MarketNet

MarketNet is AEMO's network that provides *Registered Participants*, MPs, MDPs and ENMs access to MMS and MSATS.

Supporting documentation can be found on the AEMO website at http://www.aemo.com.au/Electricity/IT-Systems/NEM.

3.3.2. MSATS

MSATS is used by *Registered Participants* to manage *metering data*, *NMI Standing Data*, End User transfers, Participant relationships and *B2B Communications*.

Further information on MSATS can be found on the AEMO website at http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Retail-and-metering/Market-Settlement-and-Transfer-Solutions.

3.4. Application Fees

3.4.1. Fee Calculation

Fees are payable for an application for accreditation and registration and any subsequent application for re-accreditation.

All costs of an application will be met by the applicant. This includes work performed by AEMO, which will be charged on an incremental basis, plus all disbursements, including the costs associated with the engagement of an independent reviewer, which will be charged on a pass-through basis[3].

A non-refundable deposit is payable when an application for accreditation and registration is submitted to AEMO, as detailed below:

Type of Application	Amount of Deposit
ENM	$2,000.00
MP	$5,000.00
MDP	$5,000.00

AEMO will credit that amount towards its time expended in pre-application meetings and any other work carried out in respect of the application. AEMO will then invoice the applicant for all work carried out in reviewing and assessing the application on a monthly basis in arrears based on:

(a)   the number of hours taken by AEMO staff to review and assess an application multiplied by AEMO's incremental charge rate[4] as at the date of the application; plus

(b)   all disbursements, as incurred.

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[2] https://www.aemo.com.au/-/media/Files/Electricity/NEM/Retail_and_Metering/Metering-Procedures/2017/Sample-Responses-to-Miscellaneous-Accreditation-Requirement-Questions.pdf
[3] See section 3.8.
[4] AEMO's incremental charge rate is published at http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/Participant-information/Fees-and-charges

3.4.2. Payment Process

AEMO will issue an invoice to an applicant upon request specifying the deposit required to be paid by the applicant.

Further invoices will be issued to the applicant once the deposit has been exhausted.

All accreditation fees can be paid by cheque (payable to Australian Energy Market Operator Limited) or by direct deposit. The applicant should provide a remittance advice from its bank if paying by direct deposit.

3.5. Queuing Policy

AEMO expects all applicants to demonstrate good faith and respond expeditiously to queries from AEMO when applying for accreditation and registration, or re-accreditation, in accordance with this Procedure. The applicants' responsiveness when addressing requests for further information or re-submission of responses to Accreditation Checklists will be taken into consideration when AEMO is required to assess more than one application at a time.

AEMO will prioritise its assessment of each application on the basis of the responsiveness demonstrated by each applicant in its pursuit of accreditation and registration, or re-accreditation, especially when AEMO has sought further information or required applicants to review and update their responses to the Accreditation Checklist.

3.5.1. Check for Completeness & Placement in the Queue

Upon receipt of an application, AEMO will check to see if it is complete. Applications will not be treated as complete until the following have been submitted by an applicant:

(a)   a completed application form;

(b)   completed Accreditation Checklist;

(c)   all necessary supporting documentation; and

(d)   the application fee.

Completed applications will be placed in a queue on the later of the date and time of receipt by AEMO of the last completed document and payment of the application fee.

3.5.2. Assessment Process

AEMO will assess the quality of responses to the Accreditation Checklist(s) and supporting documentation and will notify the applicant of its queries or concerns and provide a due date by which a response is required from the applicant.

Provided the applicant responds to AEMO's queries or concerns by the due date, the applicant will not lose its place in the queue.

An applicant's application will be placed at the end of the queue if the applicant:

(a)   does not provide any response to AEMO's queries, or provide the requested documentation by the date specified by AEMO;

(b)   provides inadequate responses to AEMO's queries or not all of the requested information by the date specified by AEMO and AEMO reasonably considered that AEMO does not have sufficient information to commence a pre-production assessment in accordance with section 3.6; or

(c)   is overdue in paying an invoice issued in accordance with section 3.4 by more than 30 *days*.

AEMO will advise the applicant if its application has been placed at the end of the queue with reasons.

3.5.3. Deemed Withdrawal of Application

If an application has been placed at the end of the queue, as contemplated by section 3.5.2 for longer than 3 months, the application will be deemed to have been withdrawn and the applicant will be so advised.

3.6. Pre-Production Assessment

3.6.1. General

After accreditation and registration, MPs (except Category A) and MDPs (except Category C) and ENMs will require access to AEMO's MarketNet and MSATS.

Where the applicant is required to use the *B2B e-Hub*, the applicant must also be accredited as a *B2B e-Hub Participant.*

The purpose of this assessment is to ensure that the applicant's processes and IT systems are ready to interact with AEMO's systems safely and securely and will deliver data in the appropriate formats and timeframes after accreditation and registration.

3.6.2. Applicant System Testing

Once the applicant can demonstrate to AEMO that the applicant's IT systems have pre-production system processes in place that would enable the applicant to deliver the types of information required by the category for which the applicant has applied in a timely, safe and secure manner, the applicant will be granted access to AEMO's pre-production environment.

3.6.3. Test Results

The test results required to demonstrate to AEMO that an applicant's IT systems can fulfil the requirements specified in section 3.6.2, include at least the following:

- The scope of the testing and details of what was not tested.
- Details of the test environment.
- Details of the testers, their location and their responsibilities.
- A summary of the test results.
- A summary of the identified defects during testing and at the end of testing.
- A breakdown of defects by severity.
- Details of rectification of outstanding defects/workarounds as at the end of testing.
- Entry criteria and exit criteria.

AEMO may specify further or other requirements by notice to the applicant in writing prior to the commencement of the pre-production assessment.

3.7. Independent Review

Following a successful pre-production assessment in accordance with section 3.6, AEMO will appoint an independent reviewer to undertake an on-site, risk-based review of the applicant's facilities and business processes.

AEMO will provide the independent reviewer a copy of the application, Accreditation Checklist and supporting documentation.

3.7.1. On-Site Risk-Based Review

This on-site risk-based review will focus on areas that AEMO identifies to the independent reviewer.

On completion of the review, the independent reviewer will provide:

- feedback to the applicant of any issues identified during the review; and
- a report to AEMO setting out the results of their review.

3.8. Final Accreditation Review

After considering the independent reviewer's report, AEMO will undertake:

(a)   concluding interview(s) with the applicant to address any outstanding issues or concerns that might preclude the application's success;

(b)   an on-site review of the applicant's facilities and business processes; or

(c)   both the interview(s) and on-site review.

3.9.   Completion of Review

At the conclusion of AEMO's review of an application, there will be one of two outcomes:

- The application is successful (with or without conditions).
- The application is not successful.

The remainder of this section 3.9 considers these two outcomes.

3.9.1.   AEMO Accredits and Registers Applicant

To be successful, an applicant must have:

(a)   completed the application form and relevant Accreditation Checklists;

(b)   provided all required or requested supporting documentation;

(c)   demonstrated the capabilities required for the category for which accreditation and registration has been sought;

(d)   where required, provided access to its facilities and personnel to facilitate AEMO's and the independent reviewer's assessment of the application; and

(e)   paid all fees and disbursements associated with the application.

If the application is successful, AEMO will accredit and register the applicant in the appropriate category.

AEMO will also update its *published* list of accredited MPs, MDPs or ENMs (as appropriate) to include the details of the successful applicant and their accreditation.

3.9.2.   Application not Successful

If AEMO considers that the applicant has not met the requirements for the category the application relates to, AEMO will notify the applicant of:

(a)   which criteria have not been met;

(b)   how the applicant should address the matter; and

(c)   the date by which the applicant must address the unmet criteria for reconsideration by AEMO.

If the applicant fails to address the unmet criteria by the date specified by AEMO, the application is deemed to have been withdrawn.

4.   MAINTENANCE OF ACCREDITATION AND REGISTRATION

AEMO will assess each MDP, MP or ENM's performance in accordance with the relevant *service level procedure* to ensure that they continue to meet their accreditation and registration.

All costs associated with the reviews carried out by AEMO in accordance with a *service level procedure* will be met by the relevant MDP, MP or ENM on an incremental basis, including all disbursements.

5.   RE-ACCREDITATION AND REGISTRATION

Re-accreditation may be necessary for reasons such as a change to the NER, or accreditation requirements, changes to Participant processes, systems or key personnel, or as a result of action taken under the Default and Deregistration Procedure. In light of these examples, Participants are encouraged to contact AEMO where there is any uncertainty as to whether a re-accreditation is necessary.

If any MDP, MP or ENM needs to undergo a re-accreditation for any reason, the MDP, MP or ENM (as applicable) must arrange a pre-application meeting with AEMO to determine the scope of the re-

accreditation prior to submitting an application and following the process specified in section 3, as adjusted by AEMO.

APPENDIX A. PRE-READING

The table below indicates the pre-reading each type of applicant must complete prior to approaching AEMO about submitting an application to be accredited and registered as an MP, MDP or ENM (as applicable):

Document[5]	MP	MDP	ENM
Chapters 7, 9, 10 & 11 of the NER	✓	✓	✓
Retail Electricity Market Procedures – Glossary and Framework	✓	✓	✓
Metrology Procedure: Part A	✓	✓	✓
Metrology Procedure: Part B	✓	✓	✓
CATS Procedure	✓	✓	✓
WIGS Procedure	✓	✓	✓
NMI Procedure	✓	✓	✓
Metering Coordinator Guide	✓	✓	✓
Guide to Embedded Networks			✓
Service Level Procedure (MP)	✓		
Service Level Procedure (MDP)		✓	
Service Level Procedure (ENM)			✓
Data Delivery Calendar	✓	✓	
RoLR Procedures		✓	
MDFF Specification		✓	
MDM Procedures		✓	
B2B Procedure Customer and Site Details Notification Process	✓		✓[6]
B2B Procedure Service Order Process	✓		✓[6]
B2B Procedure Meter Data Process	✓	✓	✓[6]
B2B Procedure One Way Notification Process	✓		
B2B Procedure Technical Guideline for B2B Procedures	✓	✓	✓[6]
B2B Procedure Technical Delivery Specification	✓	✓	✓[6]
Service & Installation Rules for each Jurisdiction	✓		✓
AER (Retail) Exempt Selling Guideline			✓
AER Network Service Provider Registration Exemption Guideline			✓

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[5] Note that all B2B Procedures are subject to change due to the POC SMP project.
[6] If intending to use the *B2B e-Hub*.

APPENDIX B. APPLICATION FORM

Section 1: The Applicant

Applicant			
Street Address			
State		Postcode	
Postal Address			
State		Postcode	
Phone		Fax	
Email			
ABN			

Section 2: Applicant Contacts

The person in effective control of the Applicant's business including title and contact details.

Name			
Title			
Street Address			
State		Postcode	
Postal Address			
State		Postcode	
Phone		Fax	
Email			

Please copy and complete the table above for each of the following additional contacts:

- Company Secretary
- Metering – Manager
- Metering – Technical
- Information Systems – IT Security Contact (Primary)
- Information Systems – IT Security Contact (Secondary)
- Information Systems – IT After Hours / Emergency Contact (Primary)
- Information Systems – IT After Hours / Emergency Contact (Secondary)
- Information Systems – IT Change Contact
- Information Systems – IT Technical Network Contact

Section 3: Category for Accreditation and Registration

Please tick the category for which you are seeking accreditation and registration.

Selection	Service Provider	Category	Metering Installation Type	Selection	Service Provider	Category	Metering Installation Type
☐	MP	1C	1	☐	MDP	1D	1
☐	MP	1V	1	☐	MDP	2D	2
☐	MP	1M	1	☐	MDP	3D	3
☐	MP	1A	1	☐	MDP	4D	4
☐	MP	2C	2	☐	MDP	4S	4
☐	MP	2V	2	☐	MDP	4AC	4A
☐	MP	2M	2	☐	MDP	5C	5
☐	MP	2A	2	☐	MDP	6C	6
☐	MP	3M	3	☐	MDP	4AD	4A
☐	MP	3A	3	☐	MDP	5D	5
☐	MP	4M[7]	4	☐	MDP	6D	6
☐	MP	4A	4A	☐	MDP	7D	7
☐	MP	4S	4	☐	ENM	-	-
☐	MP	L	1, 2, 3, 4 & 4A				
☐	MP	5B	5				
☐	MP	6B	6				

Section 4: Business Locations

Please copy and complete the following table for each of the Applicant's work locations.

Location			
State		**Postcode**	
Functions carried out at this Location			

Section 5: Existing Registrations

Does the applicant have any existing accreditations/registrations they want AEMO to take into account?	Yes ☐ No ☐	If yes, please provide Participant ID
Is the Applicant a *Registered Participant*?	Yes ☐ No ☐	If yes, please provide Participant ID

Section 6: ISO 9000 Series Qualification

Does the Applicant have ISO 9000 series quality system in place?	Yes ☐ No ☐	If yes, please provide a copy of the registration details, including the scope of the system, the lead quality auditor and the expiry date.

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[7] Anyone applying for category 4M services for type 4 *metering installations* that might also contain CTs will need to apply for category 3A, as well.

Section 7: Information Required for AEMO's Market Systems

Participant ID

The Applicant may suggest a Participant ID for use in AEMO's systems.

Suggested Participant IDs should end in the letters:

"MP" for intending *Metering Providers*,

"MDP" for intending *Meter Data Providers*

"ENM" for intending *Embedded Network Managers*

Suggested Participant ID (Maximum 8 characters)	

MarketNet Connection

For details regarding options and entitlements for connections to AEMO's communications network, including requests for additional bandwidth, please refer to the Guide to Information Systems, available from the AEMO website.

Will the Applicant be using an existing MarketNet connection?	Yes ☐ No ☐	If yes, please provide Participant ID
		If no, the applicant requires new connection(s) of the types listed below. Please select applicable connection type for a primary connection and a secondary connection.
Primary Connection **AEMO recommends VPN (VIRTUAL PRIVATE NETWORK) LAN TO LAN as the Primary Connection (fast setup and uses your existing internet connectivity).**	☐ VPN (VIRTUAL PRIVATE NETWORK) LAN TO LAN ☐ TELSTRA ETHERNET LITE (BDSL) (ALLOW UP TO 2 MONTHS FOR SET UP) ☐ VPN VARIABLE	
Secondary Connection **Secondary connection method should be different from the Primary Connection to support path diversity.**	☐ VPN (VIRTUAL PRIVATE NETWORK) LAN TO LAN ☐ TELSTRA ETHERNET LITE (BDSL) (ALLOW UP TO 2 MONTHS FOR SET UP) ☐ VPN VARIABLE	

Section 8: Applicant Signature

Signature………………………………………………..……………..………..

Name & Title …………………………………………………….……………

Date……………………………………………………………………..……

This form should be submitted to: supporthub@aemo.com.au.

Any queries about this application should be submitted to: supporthub@aemo.com.au.