

G4 - EMR and Nuclear RAB Settlement Authorisations

EMRS Guidance

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Table of Content's

| | |
|--|----|
| Change Amendment Record | 3 |
| 1. Introduction | 4 |
| 2. Purpose | 4 |
| 3. Whom is the document for? | 4 |
| 4. Associated documents | 4 |
| 5. Why are Authorised Contacts required? | 4 |
| 6. What is an Authorised Contact and what can they do? | 5 |
| 7. How can persons be authorised by a Party?..... | 8 |
| 8. How can Authorised Contacts be amended? | 8 |
| 9. Need more information? | 8 |
| 10. Acronyms and Definition | 8 |
| Appendix 1 - Organisation Details | 9 |
| Appendix 2 – Authorisations | 10 |

Change Amendment Record

| Version | Date | Description |
|---------|-------------------|--|
| 11.0 | 29 June 2020 | Authorised Contact changes |
| 12.0 | 13 October 2020 | Update to include the link to EMR Privacy Policy |
| 13.0 | 10 December 2020 | CMVRN Portal submissions access updates & Annual Review |
| 14.0 | 1 June 2021 | Updates for My EMRS |
| 15.0 | 6 June 2022 | Updates to authorised roles table and matrix |
| 16.0 | 14 September 2022 | Updates for the consolidation of My EMRS and the EMR Settlement Portal |
| 17.0 | 30 June 2023 | Included updates for Regulated Asset Base (RAB) and annual review |
| 18.0 | 10 October 2023 | Update to authorised contact permissions |

1. Introduction

This guidance document explains why EMR Settlement Ltd (EMRS) has implemented Authorised Contacts as a control for the settlement operations for Contracts for Difference (CfD), Nuclear Regulated Asset Base (RAB) and the Capacity Market (CM). Suppliers, CfD Generators and Capacity Providers can use Authorised Contacts to manage their EMR Party information and to request certain settlement activities.

2. Purpose

The purpose of this document is to answer the following questions:

- Why are Authorised Contacts required?
- What is an Authorised Contact and what can they do?
- How do authorisations work?
- How can people be authorised by an EMR Party?
- How can Authorised Contacts be amended?

3. Whom is the document for?

This document is for all EMR Parties including Suppliers, CfD Generators and Capacity Providers.

4. Associated documents

This document should be read in conjunction with:

- [G25 - My EMRS User Guide](#)

5. Why are Authorised Contacts required?

Information is required from electricity Suppliers, CfD Generators and Capacity Providers in order to undertake settlement service activities for CfD, RAB and the Capacity Market. This information includes company information (e.g. its registered address), bank information (e.g. bank account details), and contact information for the user. A full list of EMR Party Details is specified in Appendix 1 .

This information will be used to:

- Issue invoices, notices and other communications to the EMR Party.
- Ensure actions are only taken with, or instigated by, those persons or organisations who are authorised representatives of the EMR Party.

- Share with LCCC/ESC in order for them to communicate with registered users directly for key updates, events, and significant information.¹

Therefore, EMRS require controls to ensure this information is current and accurate, with Authorised Contacts forming a key part of these controls.

6. What is an Authorised Contact and what can they do?

An Authorised Contact is someone appointed by the EMR Party and recognised by EMRS to act on behalf of that company. This provides EMR Parties and RAB suppliers with a framework to enable the delegation of certain activities to appropriate persons within their organisation, in line with their own governance and controls.

Table 1 (below), details the designated roles EMRS has ascribed to Suppliers, CfD Generators and Capacity Providers to manage their settlement activities. These roles are set up during the companies' registration processes with EMRS, detailed in the relevant Working Practices on the EMRS website.²

Roles have a variety of concessions associated to them depending on their designed scope that relate to the following areas:

- Privileges to receive information and instigate activities;
- Access to My EMRS;
- Points of contact within the organisation; and
- Requesting information from EMRS.

To operate effectively and provide resilience to organisational change, EMRS requires *each organisation to have one Primary Party Authority and at least two independent Finance Authorities* registered as a minimum. An individual will only be able to hold **one authorised role**.

Privileges

Privileges have been specified in line with a general hierarchical governance structure to enable EMR Parties to align with their own organisations and relate to EMRS' settlement activities where EMR Party action is required.

Authorised roles will receive notification of any amendments to information they are authorised to amend.

¹ Further details on EMRS Privacy Policy can be found in <https://www.emrsettlement.co.uk/privacy-policy/>.

² <https://emrsettlement.co.uk/publications/working-practices/>

Table 1: Authorised roles and privileges available to a user organisation.

| Authorised Role | Privileges | | | | | | | | | | | | | | | | | | | |
|-------------------------|---|------------------|--------------------------|---------------------------------|---------------------------|-----------------------------|--|---------------------|----------------------------|---------------|---|---------------------|--------------------|----------------------|-----------------------|-------------------|-------------------------|----------------------------|----------------------------------|--------------------------------|
| | Can amend or request the following ³ : | | | | | | | | | | | Will receive: | | | | | | Will be able to access: | | |
| | Company Information ⁴ | Bank Information | Channel for backing data | Primary Party Authority details | Finance Authority details | Operating Authority details | Contacts details (exc. Higher Authorities) | Excess Funds Return | Excess Credit Cover return | Submit CMVRNs | Change CMVRN Notification Preference ⁵ | Late Payment Advice | Non-payment Notice | Mutualisation Notice | Credit Default Notice | Aggregation Rules | Invoices & Backing Data | Default Data Notifications | EMR Registration data on My EMRS | EMR Settlement data on My EMRS |
| Company Emails | | | | | | | | | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | |
| Primary Party Authority | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | | | | | | ✓ | ✓ | ✓ |
| Finance Authority | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | ✓ | | | ✓ | ✓ | ✓ | ✓ |
| Operating Authority | ✓ | ✓ | ✓ | | | ✓ | ✓ | | ✓ | ✓ | | | | | | | ✓ | ✓ | ✓ | ✓ |
| User | | | | | | | | | | | | ✓ | ✓ | ✓ | ✓ | | | | ✓ | |
| Credit Contact | | | | | | | | ✓ | | | | | | ✓ | | | | | ✓ | |
| Trading Contact | ✓ | ✓ | ✓ | | | | ✓ | | ✓ | ✓ | | | | | | | | ✓ | | ✓ |

³ Further details on how Authorised Persons amend party information can be found in [G25 - My EMRS User Guide](#)

⁴ Some company information is maintained by organisations other than EMRS. This is specified in Appendix 1

⁵ The authority will be setup in order – Operating, Finance, Trading and then Primary for the CMVRN notifications and changes

Amendments to any company information can be made via My EMRS by an Authorised Contact and approval will be required by either a Finance Authority or a Primary Party Authority (this cannot be the same person who has submitted the amendment. Please see [G25 - My EMRS User Guide](#) for process on amending registration details.

Points of contact within the Party

Where an Authorised Contact is privileged to receive or have access to a particular document, they will also be the first point of contact when EMRS has a query or issue related to that area. For example, EMRS will liaise with the Credit Cover Contact regarding the return of credit cover.

Where a non-mandatory role has not been nominated, or is not available, the defaulting role will be contacted as specified in Table 2 below.

Table 2: Mandatory roles and allocation of privileges where non-mandatory roles not provided

| Authorised Role | Mandatory Role | The role to which the privileges default to, if this role is not provided |
|-------------------------|----------------|---|
| Primary Party Authority | Yes | N/A |
| Finance Authority | Yes | N/A |
| Operating Authority | No | Finance Authority |
| User | No | Finance Authority |
| Credit Cover Contact | No | Finance Authority |
| Trading Contact | No | Operating Authority |

Table 4 in Appendix 2 provides a summary of each role and their privileges.

Requesting information from EMRS

To prevent uncontrolled sharing or amendment of sensitive details, information has been given a tiered level of control:

- Company-sensitive information (e.g. EMR Party or RAB supplier details, statement of account, current credit cover lodging): Identified Authorised Contacts only;
- Semi-public information (e.g. invoices, backing data, issued notices or notifications): Anyone from the respective EMR Party; and
- Public (general settlement information such as payment terms): All.

When individuals request information, EMRS will validate whether that information is appropriate based on their designation (if any) by the recognised Authorised Contacts. Therefore, all users should ensure that they have enough Authorised Contacts registered from across their organisation to allow them to access information without significant restriction.

7. How can persons be authorised by a Party?

An EMR Party and RAB supplier will be able to nominate Authorised Contacts via My EMRS at the point of registration or at any time once a new party has completed their registration by using the registration amendment process. Initial registration will define some or all of the above roles and therefore will need to be supported by a suitable representative's approval from that organisation, such as that of the Primary Party Authority.

Further details can be found in the respective registration working practices for each type of participant:

- [WP21 - Supplier Registration](#)
- [WP22 - Applicant and Capacity Provider Registration](#)
- [WP24 - CfD Settlement Required Information](#)

8. How can Authorised Contacts be amended?

Once an organisation has registered, the creation of new Authorised Contacts or amendment of existing authorisations can be made via My EMRS, described in [G25 - My EMRS User Guide](#).

Subsequent notifications will be sent out to the relevant Authorised Contacts, as described in section 6 above for approval of new Authorised Contacts or amendments to any contact details.

9. Need more information?

If you would like any additional information or support with My EMRS, please email contact@emrsettlement.co.uk or call us on 020 7380 4333.

10. Acronyms and Definition

A list of acronyms and definitions can be found in the Glossary⁶ on the EMRS website.

⁶ <https://www.emrsettlement.co.uk/glossary/>

Appendix 1 - Organisation Details

The following EMR Party details will be used by EMRS to perform settlement. Mandatory items are detailed on My EMRS.

Table 3: EMR Party details for EMRS to perform settlement.

| | Supplier | CfD Generator | Capacity Provider |
|--|----------------|----------------|-------------------|
| Company information | | | |
| EMR Party ID ⁷ | ✓ | ✓ | ✓ |
| Company name | ✓ ^A | ✓ ^B | ✓ ^C |
| Company registration number | ✓ ^A | ✓ ^B | ✓ |
| Address | ✓ | ✓ ^B | ✓ |
| Primary company emails ⁸ | ✓ | ✓ | ✓ |
| Telephone number | ✓ | ✓ | ✓ |
| Channel for receiving backing data ⁹ | ✓ | ✓ | ✓ |
| CfD ID | | ✓ ^B | |
| Project name | | ✓ ^B | |
| CfD Contract Signature Date | | ✓ ^B | |
| CMU ID | | | ✓ ^C |
| Channel for receiving CMVRN and Metered Data Notifications | | | ✓ |
| Letter of Credit return address | | | ✓ |
| Bank information (Primary Bank details and Credit Cover Return account) | | | |
| Bank name | ✓ | ✓ | ✓ |
| Account number | ✓ | ✓ | ✓ |
| Sort code | ✓ | ✓ | ✓ |
| IBAN | ✓ | ✓ | ✓ |
| SWIFT/BIC | ✓ | ✓ | ✓ |
| Consent to use direct debit | ✓ | | |
| Contact information¹⁰ | | | |
| Name | ✓ | ✓ | ✓ |
| Authorised Contact role | ✓ | ✓ | ✓ |
| Email | ✓ | ✓ | ✓ |
| Telephone number | ✓ | ✓ | ✓ |

A – This data needs to align to (and will be validated against) Ofgem records.

B – This data is maintained by LCCC and amendments should be made through them.

C – This data needs to align to (and will be validated against) Capacity Market Register published on the EMR Delivery Body website.

⁷ Agreed between EMRS, BSCCo and the EMR Party. Once set, an EMR ID cannot be amended.

⁸ All notices, invoices and credit notes will be sent to these email addresses.

⁹ If DTN is selected as the channel for receiving backing data, a Market Participant ID (MPID) must be provided.

¹⁰ Required for all Authorised Contacts.

Appendix 2 – Authorisations

The below table provides a summary of each of the Authorised Contact roles available to an EMR Party.

Table 4: Authorised roles available to a Party.

| Authorised Role | Example Company Role | Privileges | Mandatory | The role to which the privileges default to, if this role is not provided |
|-----------------------------------|-------------------------------|---|-----------|---|
| Primary Party Authority | Director or company secretary | Ultimate signatory for CfD, RAB and Capacity Market on behalf of the company; Access to My EMRS Amend company information Amend all Authorised Contacts and contact roles Request and Confirm bank information amendments Request return of excess Credit Cover Request return of excess funds on account Submit and Amend CMVRNs | Yes | N/A |
| Finance Authority (min. 2) | CFO or Financial Controller | Access to My EMRS Amend company information Amend Authorised Contacts (excluding the Primary Party Authority) and contact roles Request and Confirm bank information amendments Request return of excess Credit Cover Request return of excess funds on account Submit and Amend CMVRNs | Yes | N/A |

| Authorised Role | Example Company Role | Privileges | Mandatory | The role to which the privileges default to, if this role is not provided |
|----------------------------|--|--|-----------|---|
| | | Receive Non-Payment Notice, Mutualisation Notice and Credit Default Notice Receive Default Data Notifications | | |
| Operating Authority | Senior person (not responsible for financial activity) | Access to My EMRS Amend company information Amend Authorised Contact (excluding the Primary Party and Finance Authority) and contact roles Request bank information amendments Submit and Amend CMVRNs Receive Non-Payment Notice, Mutualisation Notice and Credit Default Notice Receive Default Data Notifications | No | Finance Authority |
| User | Member of an operating function, such as a metering team or finance team | Access to My EMRS Receive Non-Payment Notice, Mutualisation Notice and Credit Default Notice Receive Aggregation Rule updates Request invoices and backing data | No | Finance Authority |
| Credit Contact | Finance Assistant | Access to My EMRS Receive Credit Default Notice First point of contact for credit related queries / issues, such as credit shortfalls / default | No | Finance Authority |
| Trading Contact | | Access to My EMRS Amend company information | No | Operating Authority |

| Authorised Role | Example Company Role | Privileges | Mandatory | The role to which the privileges default to, if this role is not provided |
|-----------------|----------------------|--|-----------|---|
| | | <p>Amend Authorised Contact (excluding the Primary Party, Finance Authority and Operating Authority) and contact roles</p> <p>Request bank information amendments</p> <p>Submit and Amend CMVRNs</p> | | |

