

# G4 – EMR Settlement Authorisations

## EMRS Guidance

Public

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## Change Amendment Record

Version	Date	Description
V1.0	27 April 2015	Go-live version
V2.0	23 June 2015	Housekeeping
V3.0	2 October 2015	Revised info on bank validations and bank amendment diagram
V4.0	12 October 2015	Housekeeping – updated to include Guidance number
V5.0	14 April 2016	Housekeeping update on Table 1
V6.0	28 February 2017	Housekeeping update on Table 1
V7.0	25 July 2017	Document transfer to new template
V8.0	1 November 2017	Inclusion of Trading Contact for Volume Reallocation
V9.0	12 September 2019	Annual Review
V10.0	26 November 2019	Minor Amendments
V11.0	29 June 2020	Authorised Contact changes

## 1. Introduction

This guidance document explains why EMR Settlement Ltd (EMRS) have implemented Authorised Contacts as a control for the settlement operations for Contracts for Difference (CFD) and the Capacity Market. 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. Who 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:

- EMRS Working Practice WP31 - Amending EMR Party Details<sup>1</sup>

## 5. Why are Authorised Contacts required?

EMR Party information is required from Suppliers, CFD Generators and Capacity Providers in order to undertake settlement service activities for CFD 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 Party. A full list of EMR Party Details has been specified in Appendix 1 - EMR Party Details.

This information will be used to:

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

<sup>1</sup> <https://emrsettlement.co.uk/publications/working-practices/>

Therefore, we 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 the Party. This provides EMR Parties with a framework to enable the delegation of certain activities to appropriate persons within their organisation, in line with their own governance and controls.

We've designated a number of authorised roles, detailed in Table 1 below, to enable Suppliers, CFD Generators and Capacity Providers to manage their settlement activities. These roles are set up during an EMR Party's registration processes with EMRS, detailed in the relevant Working Practices on the EMRS website<sup>2</sup>.

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 the EMR Settlement Portal
- Points of contact within the EMR Party; and
- Requesting information from EMRS.

*To operate effectively and provide resilience, EMR Settlement requires each EMR Party to have one Primary Party Authority and a 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.

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

Table 1: Authorised roles and privileges available to a Party.

Authorised Role	Privileges																	
	Can amend or request the following <sup>3</sup> :											Will receive:						
	Company Information <sup>4</sup>	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 Preferences <sup>5</sup>	Late Payment Advice	Non-payment Notice	Mutualisation Notice	Credit Default Notice	Aggregation Rules	Invoices & Backing Data	Access to EMR Settlement Portal
Company Emails												✓	✓	✓	✓	✓	✓	✓
Primary Party Authority	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓								✓
Finance Authority	✓	✓	✓		✓	✓	✓	✓	✓	✓		✓	✓	✓				✓
Operating Authority	✓		✓			✓	✓		✓	✓								✓
User												✓	✓	✓	✓			✓
Credit Contact								✓						✓				
Trading Contact									✓	✓								

<sup>3</sup> Further details on how Authorised Persons amend Party information can be found in [WP31- Amending EMR Party Details](#)

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

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

Amendments to bank information require a dual-signed<sup>6</sup> request on letter headed paper stating current and requested bank information, which then needs to be confirmed by the relevant Authorised Contacts.

### 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 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 EMR 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, EMR Parties should ensure that they have enough Authorised Contacts registered from across their organisation to allow them to access information without significant restriction.

<sup>6</sup> Signatures need to be from suitably Authorised Persons as described in Table 1

## **7. How do authorisations work?**

An example organisation can be found in Appendix 3, demonstrating how authorised roles could be used by an EMR Party to update their Party information.

## **8. How can persons be authorised by a Party?**

An EMR Party will be able to nominate Authorised Contacts through its relevant EMRS Registration Process. Initial EMR Party registration will define some or all of the above roles and therefore will need to be supported by a suitable EMR Party representative's signature, such as that of the Primary Party Authority.

Further details can be found in the respective registration working practices for each type of participant<sup>7</sup>.

## **9. How can Authorised Contact be amended?**

Once an EMR Party has registered, the creation of new Authorised Contacts or amendment of existing authorisations can be made by submitting an EMR Party Details amendment form, described in EMRS Working Practice WP31 – Amending EMR Party Details. Subsequent notifications will be sent out to the relevant Authorised Contacts, as described in section 6 above.

## **10. Need more information**

For more information, please visit our website [www.emrsettlement.co.uk](http://www.emrsettlement.co.uk) or email us at [contact@emrsettlement.co.uk](mailto:contact@emrsettlement.co.uk)

## **11. Acronyms and Definition**

A list of acronyms and definitions can be found in the 'Acronyms and Definition' document on our website.<sup>8</sup>

<sup>7</sup> <https://emrsettlement.co.uk/publications/working-practices/>

<sup>8</sup> <https://www.emrsettlement.co.uk/publications/working-practices/>



## Appendix 1 - EMR Party Details

The following Party details will be used by EMRS to perform settlement. Mandatory items are detailed on the relevant forms.

Table 3: Party details for EMRS to perform settlement.

	Supplier	CFD Generator	Capacity Provider
<b>Company information</b>			
EMR Party ID <sup>9</sup>	✓	✓	✓
Company name	✓ <sup>A</sup>	✓ <sup>B</sup>	✓ <sup>C</sup>
Company registration number	✓ <sup>A</sup>	✓ <sup>B</sup>	✓
Address	✓	✓ <sup>B</sup>	✓
General company emails <sup>10</sup>	✓	✓	✓
Telephone number	✓	✓	✓
Method/channel for receiving backing data	✓	✓	✓
CFD ID		✓ <sup>B</sup>	
Project name		✓ <sup>B</sup>	
CMU ID			✓ <sup>C</sup>
Letter of Credit return address			✓
<b>Bank information (for all accounts used)</b>			
Bank name	✓	✓	✓
Account number	✓	✓	✓
Sort code	✓	✓	✓
IBAN	✓	✓	✓
SWIFT/BIC	✓	✓	✓
Consent to use direct debit	✓	✓	✓
<b>Contact information<sup>11</sup></b>			
Name	✓	✓	✓
Authorised Contact role	✓	✓	✓
Job title	✓	✓	✓
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.

<sup>9</sup> Agreed between EMRS, BSCCo and the EMR Party. Once set, an EMR ID cannot be amended.

<sup>10</sup> All notices, invoices and credit notes will be sent to these email addresses.

<sup>11</sup> 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
<b>Primary Party Authority</b>	Director or company secretary	Ultimate signatory for CFD and Capacity Market on behalf of the company; <b>Access</b> to the EMR Settlement Portal; <b>Amend</b> company information; <b>Amend</b> all Authorised Contacts and contact roles <b>Request bank information and final confirmation</b> of bank information (if required) <b>Request</b> return of excess Credit Cover <b>Request</b> return of excess funds on account <b>Submit</b> and <b>Amend</b> CMVRNs	Yes	N/A
<b>Finance Authority (min. 2)</b>	CFO or Financial Controller	<b>Access</b> to the EMR Settlement Portal <b>Amend</b> company information; <b>Amend</b> Authorised Contacts (excluding the Primary Party Authority) and contact roles <b>Request</b> and <b>Confirm</b> bank information amendments <b>Request</b> return of excess Credit Cover <b>Request</b> return of excess funds on account <b>Submit</b> and <b>Amend</b> CMVRNs <b>Receive</b> Non-Payment Notice, Mutualisation Notice and Credit Default Notice	Yes	N/A

Authorised Role	Example Company Role	Privileges	Mandatory	The role to which the privileges default to, if this role is not provided
<b>Operating Authority</b>	Senior person (not responsible for financial activity)	<b>Access</b> to the EMR Settlement Portal <b>Amend</b> company information <b>Amend</b> Authorised Contact (excluding the Primary Party and Finance Authority) and contact roles <b>Submit</b> and <b>Amend</b> CMVRNs <b>Receive</b> Non-Payment Notice, Mutualisation Notice and Credit Default Notice	No	Finance Authority
<b>User</b>	Member of an operating function, such as a metering team or finance team	<b>Access</b> to the EMR Settlement Portal <b>Receive</b> Non-Payment Notice, Mutualisation Notice and Credit Default Notice <b>Receive</b> Aggregation Rule updates <b>Request</b> invoices and backing data	No	Finance Authority
<b>Credit Cover Contact</b>	Finance Assistant	<b>Receive</b> Credit Default Notice <b>First point of contact</b> for credit related queries / issues, such as credit shortfalls / default	No	Finance Authority
<b>Trading Contact</b>		<b>Submit</b> Capacity Market CMVRNs on behalf of a Capacity Provider for trading during the Volume Reallocation Window	No	Operating Authority

### Appendix 3 - Example EMR Party organisation

The below theoretical organisation demonstrates how an organisation can apply the designated EMR authorisations to their own structure.

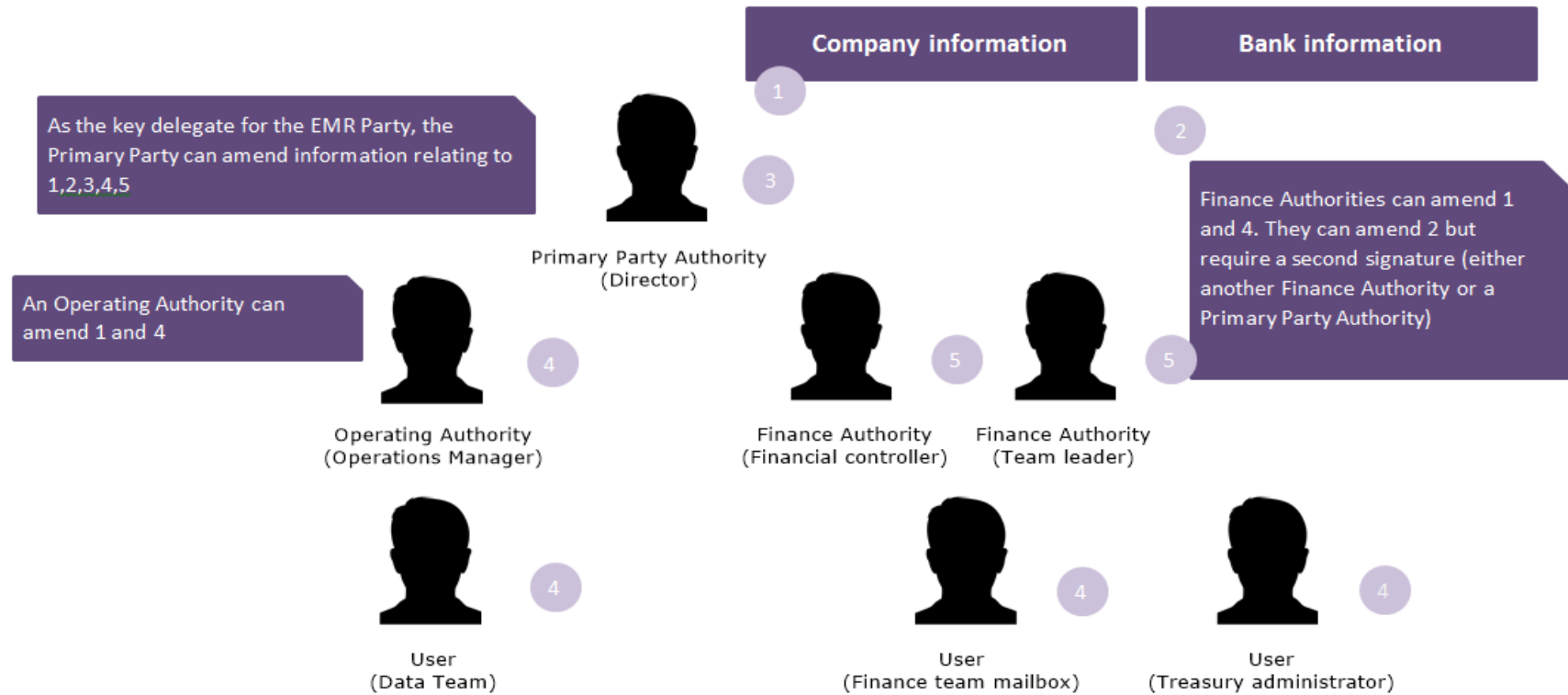


Figure 1: How organisations can apply the designated EMR authorisations to their own structure.

## Appendix 4 – Amending Bank Information

This is an example of how the organisation could amend their EMR Party Details.

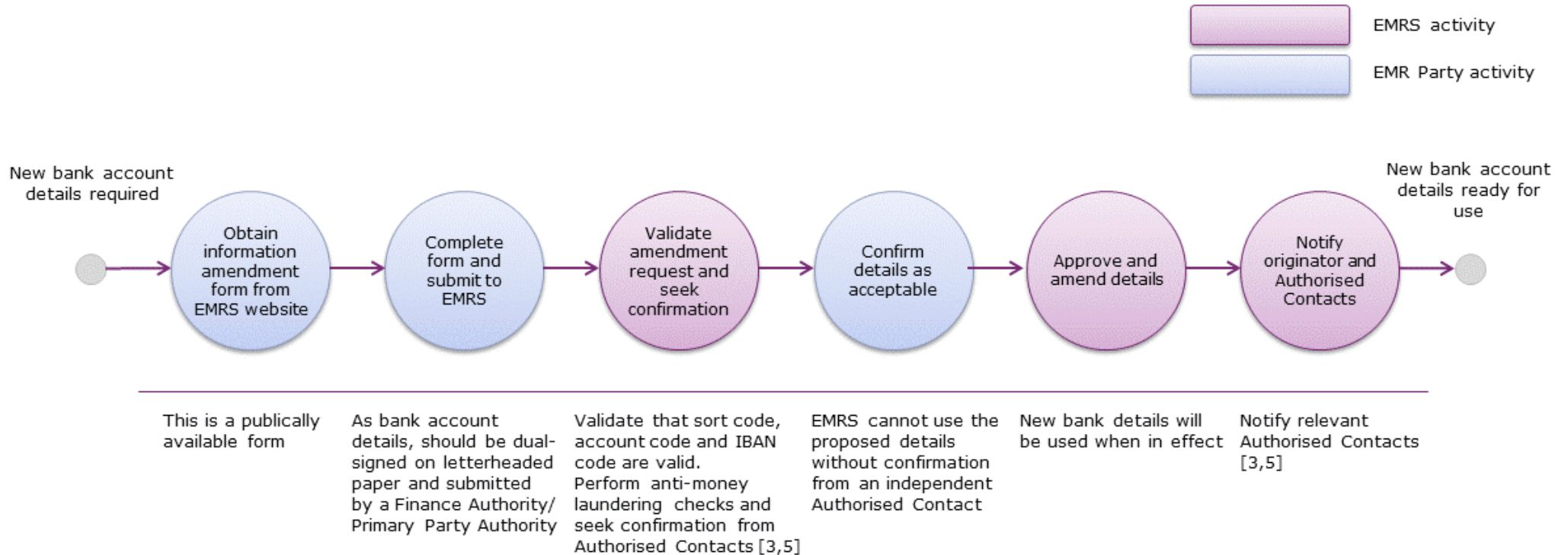


Figure 2: Example of how organisations could amend their EMR Party Details

