

# QUALIFICATION PROCEDURE

## METERING PROVIDERS, METERING DATA PROVIDERS & EMBEDDED NETWORK MANAGERS

PREPARED BY: AEMO MARKETS  
VERSION: 1.0  
EFFECTIVE DATE: 01 MARCH 2017  
STATUS: DRAFT

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TITLE: EXECUTIVE GENERAL MANAGER, MARKETS

DATE: / / 20

## VERSION RELEASE HISTORY

Version	Effective Date	Summary of Changes
1.0	1 Dec 2017	First Issue. Document incorporates: <ul style="list-style-type: none"><li>• National Electricity Amendment (Expanding competition in metering and related services) Rule 2015. No.12;</li><li>• National Electricity Amendment (Embedded Networks) Rule 2015 No. 15; and</li><li>• National Electricity Amendment (Meter Replacement Processes) Rule 2016 No. 2.</li></ul>

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

## 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.

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 <sup>1</sup>	MP	MDP	ENM
Chapters 7, 9, 10 & 11 of the NER	✓	✓	✓
Metrology Procedure: Part A	✓	✓	✓
Metrology Procedure: Part B	✓	✓	✓
CATS Procedure	✓	✓	✓
WIGS Procedure	✓	✓	✓
NMI Procedure			✓
SLP (MP)	✓		
SLP (MDP)		✓	
SLP (ENM)			✓
B2B Procedure Customer and Site Details Notification Process	✓		✓
B2B Procedure Service Order Process	✓		✓
B2B Procedure Meter Data Process	✓	✓	✓
B2B Procedure One Way Notification Process	✓		
B2B Procedure Technical Guideline for B2B Procedures	✓	✓	✓
B2B Procedure Technical Delivery Specification	✓	✓	✓
Service & Installation Rules for each Jurisdiction	✓		✓
AER (Retail) Exempt Selling Guideline			✓
AER Network Service Provider Registration Exemption Guideline			✓

## 2.3. Pre-Application Meetings

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

- 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.
- 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.
- Applicants wishing to submit more than one application, to discuss how to rationalise the information they need to be 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 A.

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

<sup>1</sup> Note that all B2B Procedures are subject to change due to the POC SMP project.

### 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 <i>metering installation</i> .	1, 2, 3, 4, 4A
	5B, 6B	Provision, installation and maintenance of <i>metering installation</i> .	5, 6
	5A, 6A	Installation of whole current <i>metering installation</i> .	5, 6 <sup>2</sup>
MDP	1D, 2D, 3D, 4D, 4S, 4AD	Provision of <i>metering data services</i> .	1, 2, 3, 4, 4A
	4AD, 5D, 6D, 7D	Provision of <i>metering data services</i> .	4A, 5, 6, 7
	4AC, 5C, 6C	Collection of <i>metering data</i> only.	4A, 5, 6
ENM	-	Provision of <i>embedded network management services</i> .	-

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 at [\[link\]](#)<sup>3</sup> to illustrate how applicants should respond to Accreditation Checklist questions.

### 3.3. Application Fees

All costs of the 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<sup>4</sup>.

A deposit of \$5,000 is payable when an application for a specified category is submitted. 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:

- the number of hours taken by AEMO staff to review and assess an application multiplied by AEMO's incremental charge rate as at the date of the application; plus
- all disbursements, as incurred.

If the applicant is overdue in paying an invoice by more than 30 days, AEMO will suspend all assessments until payment is made.

<sup>2</sup> No new applicants will be accredited in this category.

<sup>3</sup> This link is not yet available.

<sup>4</sup> See section 3.7.

### 3.4. Queuing Policy

AEMO expects all applicants to demonstrate good faith and respond expeditiously to queries from AEMO when applying for accreditation and registration 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, especially when AEMO has sought further information or required applicants to review and update their responses to an Accreditation Checklist.

### 3.5. Review for Completeness

The purpose of this review is for AEMO to see if each submitted application and Accreditation Checklist has been completed, all necessary supporting documentation is provided and the application fee is paid.

#### 3.5.1. Inadequate Responses or Missing Information

If AEMO considers that any response is inadequate or supporting documentation is missing, AEMO will notify the applicant and, unless AEMO reasonably considers that AEMO has sufficient information to commence a pre-production assessment in accordance with section 3.6, the application will be placed in abeyance until the requested further response or documentation is received.

#### 3.5.2. Application in Abeyance

If AEMO has advised an applicant that its application is in abeyance in accordance with section 3.5.1, the applicant has 3 months to provide the further response or documentation requested by AEMO. If the applicant fails to provide the further response or documentation, the application will be deemed to have been withdrawn.

### 3.6. Pre-Production Assessment

#### 3.6.1. General

After accreditation and registration, MPs (except Category A), MDPs and ENMs will require access to AEMO's MarketNet, MSATS and the *B2B e-Hub* (which is part of MSATS).

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.

The applicant will need to submit separate forms to AEMO for the purpose of connecting to MarketNet and MSATS.

#### 3.6.2. MarketNet

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

An application form and supporting documentation can be found on the AEMO website at <http://www.aemo.com.au/Electricity/National-Electricity-Market-NEM/IT-systems-and-change>.

#### 3.6.3. MSATS

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

An application form and supporting documentation 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>.

### **3.6.4. Applicant System Testing**

Upon completion and submission of the application forms referred to in sections 3.6.2 and 3.6.3, AEMO will grant an applicant access for the purposes of assessing an applicant's IT capability.

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.

### **3.6.5. Test Results**

The test results required to demonstrate to AEMO that an applicant's IT systems can fulfil the requirements specified in section 3.6.4, 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 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**

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. 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
<input type="checkbox"/>	MP	1C	1	<input type="checkbox"/>	MDP	1D	1
<input type="checkbox"/>	MP	1V	1	<input type="checkbox"/>	MDP	2D	2
<input type="checkbox"/>	MP	1M	1	<input type="checkbox"/>	MDP	3D	3
<input type="checkbox"/>	MP	1A	1	<input type="checkbox"/>	MDP	4D	4
<input type="checkbox"/>	MP	2C	2	<input type="checkbox"/>	MDP	4S	4
<input type="checkbox"/>	MP	2V	2	<input type="checkbox"/>	MDP	4AC	4A
<input type="checkbox"/>	MP	2M	2	<input type="checkbox"/>	MDP	5C	5
<input type="checkbox"/>	MP	2A	2	<input type="checkbox"/>	MDP	6C	6
<input type="checkbox"/>	MP	3M	3	<input type="checkbox"/>	MDP	4AD	4A
<input type="checkbox"/>	MP	3A	3	<input type="checkbox"/>	MDP	5D	5
<input type="checkbox"/>	MP	4M <sup>5</sup>	4	<input type="checkbox"/>	MDP	6D	6
<input type="checkbox"/>	MP	4A	4A	<input type="checkbox"/>	MDP	7D	7
<input type="checkbox"/>	MP	4S	4	<input type="checkbox"/>	ENM	-	-
<input type="checkbox"/>	MP	L	1, 2, 3, 4 & 4A				
<input type="checkbox"/>	MP	5B	5				
<input type="checkbox"/>	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 <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide Participant ID
Is the Applicant a <i>Registered Participant</i> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please provide Participant ID

### Section 6: ISO 9000 Series Qualification

Does the Applicant have ISO 9000 series quality system in place?	Yes <input type="checkbox"/> No <input type="checkbox"/>	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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<sup>5</sup> 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: Applicant Signature**

Signature.....

Name & Title .....

Date.....

This form should be submitted to: [meter@aemo.com.au](mailto:meter@aemo.com.au).

Any queries about this application should be submitted to: [meter@aemo.com.au](mailto:meter@aemo.com.au).