Gas Supply Electricity Shipper SLC Supply SLC SLC

Cornwall Supply Activities Reference

How Compliance Nature of
Achieved Reporting SLT Area

Reponsible SLT Responsible Post
Member for Compliance Post Holder

Responsible Posts for Compliance Post Holder(s)

Supplier
Licence

Group Section Narrative

SECTION A: STANDARD CONDITIONS FOR ALL SUPPLIERS

General Arrangements	s											
	4	4	Licensee's payments to Authority - the Gas and Electricity Markets Authority		Timely Payment	None	Finance Director	Scott Dale	Finance Manager Accounting & Treasury	Miranda Joseph		
	5	5	Provision of Information to Authority and Data Retention - this sets out that we have to provide information when requested on a timely basis and that we need to maintain a 5 year retention of relevant documents and data		Timely Reporting and Access to Historic Data	Not Applicable	Finance Director	Scott Dale	Regulation & Compliance Manager	Faye Widdowson		
	6	6	Classification of premises - provides how Domestic, Non-Domestic, Green Deal and Multi-Site premises are defined		Correct differentiation in Sales and Acquisition Processes	None	Director of Sales and Marketing	Alex Wellbourne (Acting)	Direct and Domestic Sales Channel Manager	Nick Lailey		
Continuity of supply	1			1	1				1	ı	T	
	7	7	Terms of Contracts and Deemed Contracts - Guidance on Termination and also on Deemed Contract Terms not being Onerous	T's & C's	Compliant T's & C's	None	Director of Sales and Marketing	Alex Wellbourne (Acting)	Dialler and Retention Sales Channel Manager	Sam Edwards		
	7A	7A	Supply to Micro Business Consumers - Provides the setps to Identify Micro Business customers and how they should be treated when in contract.	T's & C's, Contract Provisions (Non Domestic), Required Services (Non Domestic)	Compliant T's & C's, Compliant Fufillment	None	Director of Sales and Marketing	Alex Wellbourne (Acting)	Direct and Domestic Sales Channel Manager	Nick Lailey	Regulation & Compliance Manager	Faye Widdowson
	70	7B	Customer Objective and Standards of Conduct for non-domestic supply activities - relates to Micro Business customers in particular and references our need to produce a Treating Customers Fairly Statement	Standards of Conduct (Non Domestic), Required Services (Non Domestic)	Compliant Actions	Some Reporting	Finance	Scott Dala	Regulation & Compliance	Favo Widdowson	All	All
	7B	7В	customers in particular and references our need to produce a Treating Customers Fairly Statement	(Non Domestic)	ACTIONS	areas	Director	Scott Dale	Manager	Faye Widdowson	All	All
		7C	Restriction on Supplying Green Deal Premises - communicating to the customer that we cannot supply Green Deal Premises whilst we are a Non Green Deal Licencee.		Compliant Process	None	Director of Sales and Marketing	Alex Wellbourne (Acting)	Direct and Domestic Sales Channel Manager	Nick Lailey		
	8	8	Obligations under Last Resort Supply Direction - provides direction as to how we take on customers from another supplier if they have their licence revoked	T's & C's	Compliant T's & C's, Compliant Process, Compliance with OFGEM instructions	None	Finance Director	Scott Dale	Regulation & Compliance Manager	Faye Widdowson	Direct and Domestic Sales Channel Manager	Nick Lailey
	9	9	Claims for Last Resort Supply Payment - provides guidance in how we recover additional costs as a result of the Last Resort Supply Direction		Timely submission of claim	None	Finance Director	Scott Dale	Finance Manager Accounting & Treasury	Miranda Joseph		
	10	10	Restriction or revocation of licence - instructions that we would have to follow if we asked for a restriction on our licence		Compliance with OFGEM Instructions	None	Finance Director	Scott Dale	Regulation & Compliance Manager	Faye Widdowson		
Industry activities and	procedure	<u> </u>		1		1		1	1	I	T	T
		11	Compliance with codes - covers the requirement to be compliant with Industry Codes and to be a party to them if required (i.e Master Registration Agreement)		Adoption of Compliant Processes	None	Managing Director (Operations)	Ben Jones	Head Portfolio Reconciliation and Settlements	Alex Garcia	Regulation & Compliance Manager	Faye Widdowson
		11A	Security Arrangements (Fuel Security Code) - DECC has a number of ways to help minimise the impact of an electricity or gas supply emergency, this condition makes us party to those arrangements.		Compliance with OFGEM Instructions	None	Finance Director	Scott Dale	Regulation & Compliance Manager	Faye Widdowson	Head Portfolio Reconciliation and Settlements	Alex Garcia
	12	12	Matters relating to Gas and Electricity Meters - Covers the need to prevent theft, together with how use, fit and support all forms of Metering including Advanced and Prepayment Meters	Meter Inspection	Adoption of Compliant Processes	None	Managing Director (Operations)	Ben Jones	Head Portfolio Reconciliation and Settlements	Alex Garcia	Theft - Head of Debt, Credit and Front Office/ All other areas - Head of Operations	Paul Stretto Alan Parkin
	12A	12A	Matters relating to Theft of Gas and Theft of Electricity - Covers how we Detect, Investigate and Prevent Theft of Gas and Electricity	Meter Inspection	Adoption of Compliant Processes	None	Managing Director (Operations)	Ben Jones	Head of Debt, Credit and Front Office	Paul Stretton	Head Portfolio Reconciliation and Settlements	Alex Garcia

			Arrangements for site access - Covers who we may send to customer premises, that they need to have appropriate skills and how we deal with matters such as Customer Passwords. Also covers publication of	Information to be	Publication of Appropriate Documentation / Adoption of		Managing Director		Head Portfolio		Head of Operations Development / Head of	Martyn Pal
13	3	13	how we achieve compliance with our duties.	Published	Processes	None	(Operations)	Ben Jones	and Settlements	Alex Garcia	Operations	/ Alan Parl
				Objections,	Adoption of		Director of	Alex				
			Customer Transfer Blocking - the rules around how we may object to a customer transferring to another	Customer Transfe	r Compliant		Sales and	Wellbourne	Sales Support			
14	1	14	supplier and what needs to be in place to allow this to happen	Blocking	Processes	None	Marketing	(Acting)	Manager	lan Marston		
			Customer transfer - the rules around customer transfer, including the need to complete this in 21 days		Adoption of Compliant		Director of Sales and	Alex Wellbourne	Sales Support			
14	lA	14A	unless specific situations apply. It also covers how prepayment debt may be transferred.	Transfer Process	Processes	None	Marketing	(Acting)	Manager	lan Marston		
									Finance Manager	-		
		15	Assistance for areas with high distribution costs scheme: payments to System Operator		Timely Payment	None	Finance Director	Scott Dale	Accounting & Treasury	Miranda Joseph		
		13	Assistance for dreas with high distribution costs scheme, payments to system operator		Adoption of	None	Birector	Scott Bale	ricasary	Will all da 303cpii		
					Compliant							
			Security and emergency arrangements - how we deal with request to avoid damage to life and property, as	5	Processes,		Managing		Head Portfolio		Regulation &	
16			well as the safety of the pipeline system. This includes how we communicate those arrangements to customers.		Compliant T's and C's	None	Director (Operations)	Ben Jones	Reconciliation and Settlements	Alox Garcia	Compliance Manager	Faye Widdowso
16)		customers.		CS	None	(Operations)	Bell Jolles	and Settlements	Alex Garcia	ivialiagei	Widdowsc
					Adoption of		Managing		Head Portfolio			
			Mandatory exchange of information - covers how we supply information to help a gas transporter plan		Compliant		Director		Reconciliation			
17	7		operation of it's pieline system, but also covers how we deal withgas being illegally taken.		Processes	None	(Operations)	Ben Jones	and Settlements	Alex Garcia		
					Adoption of		Managing		Head Portfolio			
			Undertakings to Relevant Gas Transporters - deal with the situation where we have discontinuity of Gas		Compliant		Director		Reconciliation			
18	3		Shippers to ensure that the Gas Transporter gets paid.		Processes	None	(Operations)	Ben Jones	and Settlements	Alex Garcia		
					Adoption of		Managing					
19	,		Payments to Customers - how we deal with payments that are made to us by a Gas Transporter which we are required to pass on to a customer		Compliant Processes	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
19	,		are required to pass on to a customer		Frocesses	None	(Operations)	Bell Jolles	Operations	Aldii Fai Kiii		
									Not Applicable -			
									No Generation			
19	9A	19A	Financial information reporting		-			-	Interests in UK			
									Not Applicable - No Distribution			
19	ЭВ	19B	Prohibition of cross-subsidies						Interests in UK			
			Green Deal Arrangements - Specific provision where a customer has Green Deal Gas Savings, not									
19	9C		applicable to us whilst we have a Non Green Deal Supply Licence						Not Applicable			
					Adoption of							
					Compliant							
					Processes /		Director of	Alex	Direct and		Regulation &	
19)D		DSR Payments - how we deal with payments to customers for Demand Side Response in Gas, which is likely to have arisen due to a Gas Deficit Emergency.	′	Timely Payment to Customer	None	Sales and Marketing	Wellbourne (Acting)	Domestic Sales Channel Manager	Nick Lailou	Compliance	Faye Widdowso
rmation for all Cust			to have arisen due to a das bench emergency.		to customer	None	iviarketing	(Acting)	Chainlei Manager	INICK Lalley	Manager	widdowsd
			Safety of gas supplies, Meter Point Reference Number and dispute settlement - Covers how we te	II								
			our customers that they should report and escape of gas or a suspected escape of gas, that we	Billing,	Adoption of		Managing					
			should inform them of their MPRN and additionally that we tell them what the dispute process is	Information that	Appropriate		Director		Head of			
20)		with us.	must be on bills	Fulfillment	None	(Operations)	Ben Jones	Operations	Alan Parkin		
			Enquiry service, Supply Number and dispute settlement - Covers how we inform the customers of	Rilling	Adoption of		Managing					
			the Distribution Company Enquiry Service, that we should inform them of their Supply Number	Information that	Appropriate		Director		Head of			
		20	and additionally that we tell them what the dispute process is with us	must be on bills	Fulfillment	None	(Operations)	Ben Jones	Operations	Alan Parkin		
					Adoption of Appropriate				Finance			
				Information to	Fulfillment				Manager -			
				be Published,	(including Web) /				Business			
				Billing	Adoption of				Analysis &		Regulation &	
			Final Mindical course agreement to the course collection and		Compliant	Naw -	Finance	64: 5 :	Trading	D-III K I	Compliance	Faye
		21	Fuel Mix disclosure arrangements - how we calculate and communicate our Energy Sources		Process Adoption of	None	Director	Scott Dale		Baljit Kalsi	Manager	Widdows
					Appropriate							
					Fulfillment							
			Provision of the annual statement of supply to Participants of the Carbon Reduction Commitment		/Adoption of		Managing					
		21A	(CRC) Energy Efficiency Scheme - what we must do each year to provide participants with the information they require.		Compliant	L .	Director	L .	Head of	l		
21					Process	None	(Operations)	Ben Jones	Operations	Alan Parkin		

								_			
					Adoption of						
					Appropriate						
					Fulfillment						
				Billing, Billing	/Adoption of		Managing				
			Billing based on meter readings - how we make use of readings we obtain through Agents or	based on meter	Compliant		Director		Head of		
	21B	21B	Customers and how we work with Customers if we disagree with the reads they provide.	reads	Process	None	(Operations)	Ben Jones	Operations Alan Parkin		
			easterness and new we work with easterness are a stage earth and read they provides	reads	Compliance with	110	(Operations)	50.1501.05	Regulation &		
			Declaration of a Licensee's FIT status - if we change status to a Mandatory or a Voluntary FIT		OFGEM		Finance		Compliance		
		21.0		Dalia. Ohliaatiaa		None		Coatt Dala	1 1		
		21C	licensee we must tell the customer.	Policy Obligation	Instructions	None	Director	Scott Dale	Manager Faye Widdowson		
					Adoption of						
					Appropriate						
				T- wiff Charles	Fulfillment						
				Tariff Structure	/Adoption of		Director of	Alex	Direct and	Regulation &	
			Tariffs with Environmental Claims - what we would need to do if we offered a tariff which made		Compliant		Sales and	Wellbourne	Domestic Sales	Compliance	Faye
		21D	environmental claims based on the benefit gained through a supply of renewable generation		Process	None	Marketing	(Acting)	Channel Manager Nick Lailey	Manager	Widdowson
SECTION D. C.	TANDARD		OR DOMESTIC SUPPLIERS		110003	None	Warketing	(Acting)	Charmer Wanager Twick Earley	Widilagei	Widdowson
			ON DOMESTIC SUPPLIERS								
Regulation of Dor	mestic Supply	/ Contracts		ı	1	1	1				,
				T's & C's, Change							
			Duty to offer and supply under Domestic Supply Contract - deals with how we do this, what the	of Supplier, Billing	Adoption of		Director of	Alex	Direct and		
			few exceptions are and the need to share consumption information when the Customer asks us to	based on meter	Compliant		Sales and	Wellbourne	Domestic Sales		
	22	22	do so.	reads	Process	None	Marketing	(Acting)	Channel Manager Nick Lailey		
			40 30.	reads	110003	Itolic	Widiketing	(/ teeting/	Chamier Wanager Tvick Earley		
	1			Tic Q. Cic Hait Dat				1]
	1			T's & C's, Unit Rate				1		l _a	1
	1			and Standing	Adoption of			1		Direct and]
			Unit Rate and Standing Charge Requirements - Covers the structure of out tariffs, what is allowab	Charge, Fixed	Compliant		Finance			Domestic Sales	1
	22A	22A	and which charges are outside of our tariffs	Term Tariffs	Process	None	Director	Scott Dale	Head of Pricing Jo Smith	Channel Manager	Nick Lailey
				T's & C's, Tariff							
	1			Structure,				1]
	1			Discounts and	Compliance with			1		Direct and	1
	1		Restrictions on Tariff numbers and Tariff simplification - Covers the restriction on the number of		·		Fineres	1			1
	222	225	·	Bundles, Fixed	OFGEM		Finance	C	used of Data	Domestic Sales	No. 1. 1. 11
	22B	22B	tariffs, as well as the form and structure any discounts or rewards are allowed to take	Term Tariffs	Instructions	None	Director	Scott Dale	Head of Pricing Jo Smith	Channel Manager	Nick Lailey
			Fixed Term Supply Contracts - sets rules around changes to the term of Fixed Term Supply		Compliance with		Director of	Alex	Direct and		
			Contracts, the requirements when a Fixed Term Supply Contract comes to an end and areas that	T's & C's, Fixed	OFGEM		Sales and	Wellbourne	Domestic Sales		
	22C	22C	must be covered in the contract terms.	Term Tariffs	Instructions	None	Marketing	(Acting)	Channel Manager Nick Lailey		
		220	Transitional provisions for standard condition 22C covering end of fixed term contracts. These	Term rums	Instructions	ITOTIC	ITTUTKETING	(/teenig/	Chamier Wanager Trick Earley		
	22CA	22CA	covered a transition between licences and are no longer applicable.	Fixed Term Tariffs					Not Applicable		
			Transitional provisions for certain existing Fixed term Supply Contracts. These covered a transition	ı 📗							
	22CB	22CB	between licences and are no longer applicable.	Fixed Term Tariffs					Not Applicable		
			Dead Tariffs - covers the rules about "evergreen" tariffs, i.e. customers who are on old variable	Tariff Structure,					Not Currently		
				Dead Tariffs					Applicable		
	22D	22D	tariffs. To date as we have only had one variable tariff, this doesn't apply to us at this point						· ·		
			Unmetered Supply Arrangements - this relates to a very specific situation where a Domestic	Unmetered					Not Comments		
			Customers has an unmetered supply. This is a rare situation and we currently have not customers	Supply					Not Currently		
		22E	of this type.	Arrangements					Applicable		
		221	Bespoke Heating System Arrangements - this realtes to a very specific situation where a Domestic		7						
					5				Not Currently		
			Customer has an Electric Heating System for which there are specific contract arrangement in	System					Applicable		
		22F	place. We currently do not have any customers of this type	Arrangements					Аррисавіс		
					Adoption of						
	1				Appropriate			1]
	1				Fulfillment			1			1
	1		Notification of Domestic Supply Contract terms - this sets out that we have to provide the principal	Pricing			Dime -t - · · · ·	Alex	Direct and		1
	1				/Adoption of		Director of	Alex	Direct and		İ
	1		tersm before we take a customer on and also explains how we should communicate individual		Compliant		Sales and	Wellbourne	Domestic Sales		1
	23	23	elements, as well as changes to tariffs and other variations.		Process	None	Marketing	(Acting)	Channel Manager Nick Lailey		
	I ———		Mutual variations - covers where we or the customer in a Domestic Supply Contract wish to		Compliance with				Regulation &		<u> </u>
	1		propose changes to the terms, both parties can agree to this, but the agreement must be in	Pricing	OFGEM		Finance	1	Compliance]
	23A	23A	writing.	6	Instructions	None	Director	Scott Dale	Manager Faye Widdowson]
-	23A	23/1	writing.	+		INOTIE	טוופננטו	Scott Date	raye widdowson	1	1
	1				Adoption of			1]
					Appropriate					1	1
	1				Fulfillment			1		1	1
	1				/Adoption of		Managing	1		1	1
			Termination of Domestic Supply Contracts - covers what should happen in relation to a Domestic		Compliant		Director	1	Head of]
			remination of Domestic Supply Contracts - covers what should happen in relation to a Domestic			None	(Operations)	Ben Jones	Operations Alan Parkin]
	24	24	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees		Process	INOTIC				•	•
Domestic Custom					Process	None		•			
Domestic Custom				<u> </u>		I		Ī		1	1
Domestic Custom					Adoption of	IVOIC					
Domestic Custom					Adoption of Appropriate	None					
Domestic Custom			Premise at the end of ownership or occupation. Also provides the rules around Termination Fees	Sales &	Adoption of Appropriate Fulfillment	None					
Domestic Custom				Sales & Marketing	Adoption of Appropriate	None	Director of	Alex			
Domestic Custom			Premise at the end of ownership or occupation. Also provides the rules around Termination Fees		Adoption of Appropriate Fulfillment /Adoption of	None		Alex Wellbourne	Head of		
Domestic Custom	er protection	1	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair,		Adoption of Appropriate Fulfillment /Adoption of Compliant		Director of Sales and	Wellbourne			
Domestic Custom	er protection	25	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair, transparent, appropriate and professional manner.		Adoption of Appropriate Fulfillment /Adoption of	None	Director of		Marketing Lydia Maule		
Domestic Custom	er protection	1	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair,		Adoption of Appropriate Fulfillment /Adoption of Compliant		Director of Sales and	Wellbourne			
Domestic Custom	er protection	25	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair, transparent, appropriate and professional manner.	Marketing	Adoption of Appropriate Fulfillment /Adoption of Compliant Process		Director of Sales and Marketing	Wellbourne	Marketing Lydia Maule Not Applicable		
Domestic Custom	er protection	25	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair, transparent, appropriate and professional manner. Prohibition of undue discrimination in supply	Marketing Advanced	Adoption of Appropriate Fulfillment /Adoption of Compliant Process Adoption of		Director of Sales and Marketing	Wellbourne	Marketing Lydia Maule Not Applicable Head Portfolio		
Domestic Custom	er protection	25	Premise at the end of ownership or occupation. Also provides the rules around Termination Fees Marketing gas and electricity to Domestic Customers - covers how we communicate with Customers in our Marketing and Telesales activity and ensures that we communicate in a fair, transparent, appropriate and professional manner.	Marketing Advanced	Adoption of Appropriate Fulfillment /Adoption of Compliant Process		Director of Sales and Marketing	Wellbourne	Marketing Lydia Maule Not Applicable		

32	32	Advice.	Reporting	Instructions	Cycles	(Operations)	Ben Jones	Operations	Alan Parkin	Manager	Widdov
		Reporting on performance - explains how we provide key information such as the number of customers on each payment method to the Gas and Electricity Markets Authority as well as Citzen:	Social Obligation	Compliance with OFGEM	Yes - Varying	Managing Director		Head of		Regulation & Compliance	Faye
31E	31E	communicate the Relevant Cheapest Tariff, Alternative Cheapest Tariff, relevant Tariff Information Label, Estimated Annual Costs, as well as information about future charge increases		Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
		Overarching requirements (Alternative Cheapest Tariff) - provides a set of rules about how we		Fulfillment /Adoption of		Managing					
				Adoption of Appropriate							
31D	31D	Tariffs currently.	White Label		None			Not Applicable			
31C	31C	Tariff Comparison Rate - specifies what we must publish, how it should be published and the basis of calculation. White Label Tariffs - specifies how White Label Tariffs may be used. We have no White Label		Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
			Tariff Comparison Rate	Appropriate Fulfillment		Managing					
31B	31B	calculation.	Label	Fulfillment Adoption of	None	(Operations)	Ben Jones	Operations	Alan Parkin		
24.0	210	Tariff Information Label - specifices what we must publish on the customers bill and the basis of	Information	Appropriate		Director	Don lares	Head of	Alex Devision		
317	3271		Tariff	Adoption of		Managing	2011 301103	500.00000	- activities with		
31A	31A	Bills, statements of account and Annual Statements - specifies the information we must provide or customers bills and where formats are proscribed.	consumption	Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
			Information on	/Adoption of		Managing					
			Billing,	Appropriate Fulfillment							
_				Adoption of			. 5,	1			
31	31	communicate information about Energy Consumer Guidance and Concise Guidance from Citizens Advice.	must be on bills	Compliant Process	None	Sales and Marketing	Wellbourne (Acting)	Head of Marketing	Lydia Maule		
		the services Citizens Advice provide, how we communicate efficient use of fuels and how we	Information that	/Adoption of		Director of	Alex	us a disc			
		General information for Domestic Customers - covers how we communicate to customers about	be Published, Billing,	Appropriate Fulfillment							
			Information to	Adoption of							
Customer informati	tion	-		I	I	. · · · · · · · · · · · · · · · · · · ·			· -		
30		modification to this agreement and related codes.		Compliant Process	None	Director (Operations)	Ben Jones	Reconciliation and Settlements	Alex Garcia		
		Supply Point Administration Agreement - we are required as a Gas Supplier to be party to this agreement and to make such changes to our systems and processes to remain compliant with		Adoption of		Managing		Head Portfolio			
23				10003	IVOIIC	(Operations)	ביוו זטוובי	Орстанона	, udii i di Kili	1	1
29		Gas safety - Covers how we arrange Gas Safety Checks and how we provide Gas Safety Information.	be Published	Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
			Information to	/Adoption of		Managing					
			Gas Safety Checks,	Appropriate Fulfillment							
			Coo Cofet	Adoption of		,		<u> </u>			1
28	28	and disadvantages of Prepayment Meters, how they operate and how we will arrange relocation in the premises to make them safer to use.	be Published	Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
		Prepayment Meters - covers what we need to communicate to customers about the advantages	Information to	/Adoption of		Managing		11			
			Meters,	Appropriate Fulfillment							
			Prepayment	Adoption of							
27	27	Payment Difficulties, when we can disconnect for non payment and the provision of final bills	Billing, Final Bills	Process	None	(Operations)	Ben Jones	Operations	Alan Parkin		
		Payments, Security Deposits, Disconnections and final bills - covers our need to provide a variety of payment methods, when we can ask for Security Deposits, how we deal with Customers in	be Published,	/Adoption of Compliant		Managing Director		Head of			
		Douments Counity Denosite Discourselines and final bills	Disconnections, Information to	Fulfillment							
			Collections,	Adoption of Appropriate							
26	26	sighted, deaf or hearing impaired.	be Published	Process	None	Marketing	(Acting)	Channel Manager	Nick Lailey	of Contact Centre	James
		or chronically sick, together with the services we provide for Customers who are blind, partially	Information to	Compliant		Sales and	Wellbourne	Domestic Sales		Operations / Head	
		Register and what services we provide for Customers of a pensionable age, those who are disabled	Customers,	Fulfillment /Adoption of		Director of	Alex	Direct and		Head of	
		Services for specific Domestic Customer groups - covers the establishment of a Priority Services	Specific	Appropriate							
	230	of a Government Electricity negate to a pointestic customer	Services for	Adoption of	IAOHE	(Operations)	בפוו זטווכי	орегация	Mail Farkill		
	25D	Power to direct payment of rebates to Domestic Customers - covers how we make the payment of a Government Electricity Rebate to a Domestic Customer		Compliant Process	None	Director (Operations)	Ben Jones	Head of Operations	Alan Parkin		
				Adoption of		Managing	- Doce Daile		. 270 11.00013011	1	
25C	25C	relationship with the customer and that we do so in a fair, transparent, appropriate and professional manner, including how we publish our Treating Customers Fairly Statement		Compliant Process	on specific areas	Finance Director	Scott Dale	Compliance Manager	Faye Widdowson	AII	All
		Customer Objective and Standards of Conduct for supply activities - covers how we manage our	Conduct	/Adoption of	Some Reporting			Regulation &			
			Standards of	Fulfillment							
l				Appropriate							

Feed-in tariff Arrangements

		Policy	Not Currently	
33	Feed-in Tariffs	Obligations	Applicable	
		Policy	Not Currently	
34	Implementation of Feed-in Tariffs	Obligations	Applicable	

Adoption of Appropriate	Not Currently Applicable Not Currently Applicable Not Currently Applicable Not Currently Applicable Regulation & Compliance Manager MCKay Head of Smart	Faye Widdowson		
Smart Metering Smart Metering System — Roll-out, Installation and Maintenance - Explains the duty for installationtyo take place by 31 December 2020, with some specific exceptions around Current Policy Obligations	Not Currently Applicable Not Currently Applicable Not Currently Applicable Regulation & Compliance Manager	Faye Widdowson		
36 Green Deal obligations Policy Obligations Obligatio	Applicable Not Currently Applicable Not Currently Applicable Regulation & Compliance Manager	Faye Widdowson		
Smart Metering Smart Metering System - Roll-out, Installation and Maintenance - Explains the duty for installationtyo take place by 31 December 2020, with some specific exceptions around Current Saa	Not Currently Applicable Not Currently Applicable Regulation & Compliance Manager	Faye Widdowson		
Smart Metering Smart Metering System - Roll-out, Installation and Maintenance - Explains the duty for installationty to take place by 31 December 2020, with some specific exceptions around Current Smart Metering and Advanced Meters. Significant Smart Metering and Advanced Meters. Obligations Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Resort Offtaker of Last Resort - Compliance with OFGEM O	Applicable Not Currently Applicable Regulation & Compliance Manager	Faye Widdowson		
Offtaker of Last Resort Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Purchase Agreement Scheme. Smart Metering Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Policy Obligations Compliance with OFGEM (Porget Mesort Last Resort Resort Last Resort Las	Regulation & Compliance Manager	Faye Widdowson		
Offtaker of Last Resort Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Resort Offtaker of Last	Regulation & Compliance vale Manager	Faye Widdowson		
Offtaker of Last Resort Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Resort Smart Metering Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Offtaker of Last Resort - Compliance with OFGEM in relation to a Power Resort Compliance with OFGEM Instructions None Director Scott Districtions Something the power of the process None Officer Andrew Obligations Adoption of Compliant Chief Information Process None Officer Andrew Adoption of Appropriate Adoption of Appropriate Adoption of Appropriate	Compliance vale Manager	Faye Widdowson		
Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Resort	Compliance vale Manager	Faye Widdowson		
Offtaker of Last Resort - covers how we deal with instructions from OFGEM in relation to a Power Resort	Compliance vale Manager	Faye Widdowson		
Smart Metering Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Resort Instructions None Director Scott Explains to the duty for Obligations of Chief Compliant Process None Officer Andrew Adoption of Appropriate None Officer Andrew Adoption of Appropriate None Officer None Office	ale Manager	Faye Widdowson		
Smart Metering Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Adoption of Appropriate Fulfillment /Adoption of Compliant Information Process None Officer Andrew Adoption of Appropriate		Faye Widdowson		<u> </u>
Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Adoption of Appropriate Fulfillment /Adoption of Compliant Information Process None Officer Andrew Adoption of Appropriate	MeVay Hood of Smart			1
Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Smart Metering Roll Out /Adoption of Compliant Information Process None Officer Andrew Adoption of Appropriate	McKay Hood of Smart			
Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installationty take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Fulfillment /Adoption of Compliant Information Process None Officer Andrew Adoption of Appropriate	McKay Hoad of Smart			
Smart Metering System – Roll-out, Installation and Maintenance - Explains the duty for installation tyo take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Roll Out Obligations /Adoption of Compliant Information Process None Officer Andrew Adoption of Appropriate	McKay Hoad of Smart			
installationtyo take place by 31 December 2020, with some specific exceptions around Current 33 39 Transformer Metering and Advanced Meters. Adoption of Appropriate Information Process None Officer Andrew Adoption of Appropriate	McKay Hoad of Smart			
33 39 Transformer Metering and Advanced Meters. Process None Officer Andrew Adoption of Appropriate	McKay Hoad of Smart			
Adoption of Appropriate	Wickay Ineau of Siliai t	ТВА		
	,			
Fulfillment Fulfillment				
/Adoption of Chief				
Provision of an In-Home Display - explains what we have to offer and provide as an In-Home Compliant Information				
	McKay Head of Smart	TBA		
Adoption of Adoption of				
Smart Metering Appropriate			Head of	
Smart Metering Installation and Installation Code of Practice – Domestic - indicates that we need Roll Out Adoption of Chief			Operations / Head	
Adoption of Adopti			Portfolio	Martyn Palmer
	Make Head of Count	TD 4	Reconciliation and	/ Alan Parkin /
	McKay Head of Smart	TBA	Settlements	Alex Garcia
Adoption of			Head of	
Smart Metering Installation and Installation Code of Practice – Micro Business - indcates that we Smart Metering Fulfillment			Operations / Head	
need to operate in a fair, transparent, appropriate and professional manner, specifices what Roll Out /Adoption of Chief			Portfolio	Martyn Palmer
information should be provided and indicates that we should minimise disruption to businesses Obligations Compliant Information			Reconciliation and	/ Alan Parkin /
	McKay Head of Smart	ТВА	Settlements	Alex Garcia
Adoption of Adoption of	Wickay Freda or Smart	IDA	Settlements	Aicx dureiu
Appropriate				
Sitiat Metering Fulfillment				
Roll-out Reporting and Provision of Information to the Secretary of State - indicates the Roll Out /Adoption of Chief			Regulation &	
information that we have to provide on Provision, Installation, Operation, Maintenance and Use of Obligations Compliant Quarterly Information			Compliance	Faye
37 43 Smart Meters. Process reporting Officer Andrew	McKay Head of Smart	TBA	Manager	Widdowson
Adoption of Adoption of				
Smart Metering Appropriate				
Roll Out Roll Out Fulfillment				
Adoption of Adopti			Regulation &	
Compliant Quarterly indicates that we have to provide and aparate a roll out plant, as well as reporting			Compliance	Faye
	McKay Head of Smart	TBA	Manager	Widdowson
Adoption of				
Smart Metering Appropriate Fulfillment				
Roll Out Fulfillment Chief				
Smart wetering consumer Engagement - explains now this is achieved and now the National - Compilant	McKay Head of Smart	ТВА	Head of Marketing	Lvdia Maule
Adoption of Adoption of	incua or smart		or marketing	-, 0.0 1110010
Appropriate				
Sitiat Netering Fulfillment				
Security controls in relation to Smart Metering Systems - indicates the high level of security that Roll Out /Adoption of Chief				
we should adopt in communication between equipment, in accordance with good industry Obligations Compliant Information				
	McKay Head of Smart	ТВА		<u> </u>
Adoption of Adoption and Adopti				
Smart Metering Appropriate Appropriate				
Security Controls in Relation to Smart Metering Systems Enrolled with the DCC - covers a duty that Roll Out /Adoption of Chief				
we have in our practices and implmentation to maintain the security of the system, such as how Obligations Compliant Information				
40A 46A we dispose of equipment. Process None Officer Andrew	McKay Head of Smart	TBA		
Adoption of Section 1.1				
Smart Metering Appropriate			Head of	
Roll Out - Fulfillment Great			Operations / Head	
Obligations /Adoption of Cities			Portfolio	Martyn Palmer
Smart Metering – Matters Related to Obtaining and Using Consumption Data - covers the period Obligations Compliant Information			Reconciliation and	/ Alan Parkin /
41 47 In realtion to which consumption data can be collected. Process None Officer Andrew	McKay Head of Smart	TBA	Settlements	Alex Garcia

42	48	The Smart Energy Code - indicates that we have to be compliant with the provisions of the code	Smart Metering Roll Out Obligations	Adoption of Appropriate Fulfillment /Adoption of Compliant Process	None	Chief Information Officer	Andrew McKay Head of Smart	ТВА		
43	49	Smart Metering Systems and In-Home Displays – Operational Requirements - indicates how pieces of equipment should inter-operate and communicate with each other and the industry systems.	Smart Metering Roll Out Obligations	Adoption of Appropriate Fulfillment /Adoption of Compliant Process	None	Chief Information Officer	Andrew McKay Head of Smart	ТВА		
44	50	Smart Metering – Continuation of Arrangements on Change of Supplier - indicates what information suppliers should communicate to each other to facilitate Change of Supplier and related actions such Meter Asset Provider appointment.	Smart Change Of Supplier	Adoption of Appropriate Fulfillment /Adoption of Compliant Process	None	Chief Information Officer	Andrew McKay Head of Smart	ТВА		Martyn Palmer / Alan Parkin / Alex Garcia
45	51	Smart Metering – Customer Access to Consumption Data - indicates how we faciltate Customer Access to Consumption Data, including Export Data.		Adoption of Appropriate Fulfillment /Adoption of Compliant	None	Chief Information Officer	Andrew McKay Head of Smart	ТВА	Head of Operations / Head Portfolio Reconciliation and Settlements	Martyn Palmer / Alan Parkin / Alex Garcia
45	52	Smart Metering Systems – Requirements for Specified Optional Equipment Requirements on Installation - provides specific rules as to how specified equipment should interact, notable around Prepayment Meter Interface Devices and HAN Connected Auxilary Load Switches		Process Adoption of Appropriate Fulfillment /Adoption of Compliant Process	None	Chief Information Officer	Andrew McKay Head of Smart Andrew McKay Head of Smart	ТВА	settlements	Alex Garcia
47	53	Technical Specifications - facilitates the setting of technical specifications for key pieces of equipment and processes to enable the smart metering process to to work		Adoption of Appropriate Fulfillment /Adoption of Compliant Process	None	Chief Information Officer	Andrew McKay Head of Smart	ТВА		

Gas Shipper Licence

SECTION A. INTERPRETATION AND PAYMENTS

SECTION A. INTERPRET	IATION AND PATIVE	INTO								
	2	Payments by the Licensee to the Authority	Timely Payment	None	Finance Director	Scott Dale	Finance Manager Accounting & Treasury	Miranda Joseph		
SECTION B. GENERAL				•	•	•	•	•	•	
	3	General Obligations in Respect of Use of Relevant Transporter's Pipe-Line System	Adoption of Compliant Process	None	Managing Director (Operations)	Ben Jones	Head of Metering, Industry & Settlement	Alex Garcia	Head of Operations, Director of Trading	Alan Parkin/Adrian Musto
	4	Policies of Dominant Shippers	Adoption of Compliant Process	None	Director of Trading	Adrian Musto				
	5	Obligations as Respects Emergencies etc.	Adoption of Compliant Process - through Supplier Licence Condition 16	n None	Managing Director (Operations)	Ben Jones	Head of Metering, Industry & Settlement	Alex Garcia	Regulation & Compliance Manager	Faye Widdowson
	6	Conveyance of Gas Otherwise than on Network Code or Similar Terms - Not currently applicable as all current arrangements are through the Uniform Network Code								
	7	Information in Respect of Licence to be Given to Gas Transporters - Not now applicable as this represents a one off activity completed at start up								
	8	Information as Respects Premises Served	Adoption of Compliant Process	None	Managing Director (Operations)	Ben Jones	Head of Operations	Alan Parkin	Head of Metering, Industry & Settlement	Alex Garcia
		Provision of Information Requested by Relevant Transporter or Relating to Gas Illegally Taken -	Adoption of Compliant		Managing Director		Head of Debt, Credit and Front		Head of Metering, Industry &	
	9	Supplier Licence Condition 12A	Process Adoption of	None As required by	(Operations)	Ben Jones	Office Regulation &	Paul Stretton	Settlement	Alex Garcia
	10	Provision of Information to the Authority - Supplier Licence Condition 5	Compliant Process	OFGEM or GEMA	Finance Director	Scott Dale	Compliance Manager	Faye Widdowson		

		1			1	1			1
		Adoption of		Managing				Head of Metering,	
		Compliant		Director		Head of		Industry &	
11	Supply and Return of, and Information etc. Relating to, Gas Meters	Process	None	(Operations)	Ben Jones	Operations	Alan Parkin	Settlement	Alex Garcia
11	Supply and Neturn of, and information etc. Netating to, Gas Meters	FIOCESS	None	(Operations)	Dell'Jolles	Operations	Aldii Faikiii	Settlement	Alex Garcia
		Adoption of				Regulation &		Direct and	
		Compliant		Finance		Compliance		Domestic Sales	
12	Provisions Relating to Continuity of Supply - Supplier Licence Condition 8	Process	None	Director	Scott Dale	Manager	Faye Widdowson	Channel Manager	Nick Lailey
12	1 Tovisions helating to continuity of supply - supplier Licence condition o	1100033	None	Director	Scott Date	Iviariagei	raye widdowson	Charmer Wanager	TVICK Lancy
		Adoption of		Chief				Head of Metering,	
		Compliant		Information				Industry &	
13	Meter Point Information Furnished by a Gas Transporter - Security	Process	None	Officer	Andrew McKay	Head of IT	TBA	Settlement	Alex Garcia
1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	inceed for information furnished by a das manaporter occurry	Adoption of	Itolic	Managing	7 mar e 17 mena y	Tread or tr	1571	- Controller	7 tiex Garcia
		Compliant		Director		Sales Support			
14	Provisions Relating to Transfer of Customers - Supplier Licence Condition 14	Process	None	(Operations)	Ben Jones	Manager	lan Marston		
- - - 	Trovisions relating to Transfer of Castomers Supplier Electric Condition 1	Adoption of	Itolic	Managing	Dell' Jolies	anage.	ian marston		
		Compliant		Director		Head of			
15	Payments Received in Relation to Standards of Performance - Supplier Licence Condition 19	Process	None	(Operations)	Ben Jones	Operations	Alan Parkin		
	Taylor to the control of the control	Adoption of	110.1.0	Managing	5060	operations .	/ Harri di kiii		
		Compliant		Director		Head of			
15A	Payments Received in Relation to Demand Side Response	Process	None	(Operations)	Ben Jones	Operations	Alan Parkin		
120	. Symmetric received in relation to Demand Side receptions	Adoption of	110.1.0	Managing	5060	Head of Debt,	/ Harri di kiii	Head Portfolio	
		Compliant		Director		Credit and Front		Reconciliation and	
16	Arrangements in Respect of Powers of Entry	Process	None	(Operations)	Ben Jones	Office	Paul Stretton	Settlements	Alex Garcia
1	Thrungements in respect of Fowers of Endly	Adoption of	Itolic	Managing	Dell' Jolies	Head of Debt,	r dui stretton	Head Portfolio	/ liex Garcia
		Compliant		Director		Credit and Front		Reconciliation and	
16A	Authorisation of Officers	Process	None	(Operations)	Ben Jones	Office	Paul Stretton	Settlements	Alex Garcia
10/1	Additionation of officers	Adoption of	Itolic	Managing	Dell' Jolies	Head of Debt,	r dui stretton	Head Portfolio	/ liex Garcia
		Compliant		Director		Credit and Front		Reconciliation and	
16B	Exercise of Powers of Entry	Process	None	(Operations)	Ben Jones	Office	Paul Stretton	Settlements	Alex Garcia
100	Exercise of Fowers of Entry	1100033	Itolic	(Operations)	Dell' Jolies	Office	r dui stretton	Settlements	/ liex Garcia
		Adoption of		Managing		Head Portfolio			
		Compliant		Director		Reconciliation			
17	Release of Terminal Operators from Certain Liabilities - Update on Applicability awaited	Process	None	(Operations)	Ben Jones	and Settlements	Alex Garcia		
18	Change Co-ordination for the Utilities Act 2000 - Historic Condition - No Longer applicable	1100033		(Operations)	2011301103	aa sectionicitis	,cx Gureia		
10	Change to ordination for the ordinaes Act 2000 - Historic Condition - No Longer applicable								
						Finance Manager	.]		
	Energy Administration and Energy Supply Company Administration: Shortfall Contribution			Finance		Accounting &			
19	Obligations	Timely Payment	None	Director	Scott Dale	Treasury	Miranda Joseph		
119	Obligations	Timely rayinent	INOTIC	שוובננטו	JCULL Dale	i i casui y	iviii aiiua josepii	1	