

Operational Performance Standards (OPS)
Reporting Guidance
February 2019

DRAFT



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1. Background

1.1. Introduction and Scope

Operational Performance Standards represent the defined levels of performance expected of Wholesalers in respect of the obligations and services detailed under the Operational Terms and are used to provide a basis for the monthly Operational Performance Standards Peer Comparison Reports. The Operational Performance Standards Peer Comparison Reports are;

- The monthly aggregated table of the OPS Data Submissions, excluding OPS G4a and OPS G4b, for all Wholesalers, per reporting period¹
- The monthly aggregated table of the OPS Data Submission for OPS G4a and OPS G4b, for relevant Wholesalers, per reporting period

These reports allow the comparison of Wholesaler performance and illustrate any change in a Wholesaler's performance, providing transparency and encouragement of continuous improvement of data quality and services.

This document provides additional clarification and examples to support Wholesalers with their understanding of the requirements in Section 4 of CSD0002 and aims to ensure that all Wholesalers are reporting to the same standard and methodology. Terms used in this document will follow the definitions used in CSD0002, the WRC Schedules, or the Market Arrangements Code. Where there is no definition this will be highlighted and defined accordingly.

The guidance contained in this document offers supporting detail to the requirements specified of Trading Parties in section 4 of CSD0002. This includes recommended standardised reason codes in relation to deferrals and rejections, the treatment of deferred tasks, the use of market steps for OPS Start and End dates and worked examples of OPS reporting.

It should be noted that, whilst this guidance is aiming to ensure consistency of interpretation of OPS reporting, this is not the only mechanism that is in place to support the expected standard now required from Wholesalers. The additional reporting of started, deferred, rejected and extremely late OPS tasks increases the understanding of performance and will be used by the Market Operator and Market Performance Committee to derive insights, target poor performers and identify priority areas for future review.

The publication of OPS data will also promote scrutiny and drive both improved performance and understanding of performance. The Panel, MPC and Market Operator have the authority, granted by the Wholesale Retail Code, to question and scrutinise not just performance under the OPS Framework but also accuracy of reporting. Operational Performance Standards are likely to be part of the scope of future Market Audits and all Trading Parties should both behave and report with this in mind.

¹ Only Wholesalers providing a trade effluent service would need to submit OPS data for G2a

Whilst this is a MOSL guidance document and therefore the governance lies ultimately with the Market Operator, any material changes or updates to the content shall be reviewed by the MPC prior to publication and communication sent to all Trading Parties. Should a change be deemed highly material, this may be subject to industry consultation.

1.2. Associated Documents

The document must be used in conjunction with the following associated documents:

- ◆ WRC Schedule 1 Part 3: Operational Terms
- ◆ WRC Schedule 1 Part 3: Operational Terms – Annex A-I Process Diagrams
- ◆ CSD0002 Market Performance Framework

2. Reporting Principles in Calculating OPS Performance

2.1. Definition of Business Day and Materially Complete Forms

2.1.1. Business Day

A Business Day is as set out in Schedule 1 Part 1 of the Wholesale Retail Code;

“the period of 08:00 to 18:00 hours on any day other than a Saturday or Sunday, or Christmas Day, Good Friday or any day which is a bank holiday in England and Wales under the Banking and Financial Dealings Act 1971”

Where a Market Step equating to an OPS Start or End Date occurs outside of a Business Day under the definition above the Market Step should be deemed, for the purposes of OPS Reporting, to have taken place on the immediate following Business Day.

Date and Time of Market Step for OPS Start Date	OPS Start Date (Day 0)	Day 1
Friday 1 st March 06:30am	Friday 1 st March	Monday 4 th March
Friday 1 st March 15:30pm	Friday 1 st March	Monday 4 th March
Friday 1 st March 19:30pm	Monday 4 th March	Tuesday 5 th March
Saturday 2 nd March 12:30pm	Monday 4 th March	Tuesday 5 th March

Date and Time of Market Step for OPS End Date	OPS End Date	Last Day included as part of the OPS Day Count
Friday 1 st March 06:30am	Friday 1 st March	Friday 1 st March
Friday 1 st March 15:30pm	Friday 1 st March	Friday 1 st March
Friday 1 st March 19:30pm	Monday 4 th March	Monday 4 th March
Saturday 2 nd March 12:30pm	Monday 4 th March	Monday 4 th March
Tuesday 30 th April 18:30pm	Wednesday 1 st May	Included as Outstanding on April OPS Data Submission

2.1.2. Materially Complete Form

A Materially Complete Form is a form where all the mandatory fields, as specified on the relevant form, are completed accurately. Below is a list on treatment for different scenarios;

- ◆ If a Form has all of the mandatory fields completed, but one of these fields is subsequently found to be erroneous, the Form should be rejected and the Retailer notified at the earliest opportunity with the option to resubmit the Form. Any resubmission should be classified as a new task.
- ◆ If a Form does not have all the mandatory fields completed, but the Wholesaler believes it has sufficient information to begin the request, a Wholesaler will not be in breach of CSD0002 by beginning to action the request. A Wholesaler should contact the Retailer at the earlier opportunity, and before beginning to action a task, to request the additional/rectified information. In this event, The OPS Start Date will occur at the point of the receipt of a Materially Complete Form, not the date of a Wholesaler starting to action the request.
- ◆ For further guidance on how to treat tasks where the Market Step of the OPS Start Date does not occur, please see section 3.6 of this document.
- ◆ If a Form has all the mandatory fields completed accurately but a Wholesaler requires additional information, a Wholesaler is not permitted to delay the OPS Start Date. The Wholesaler should request this information from the Retailer as soon as possible and, in the event the Retailer does not respond in a reasonable amount of time, the Wholesaler may then be able to use a Permitted Deferral (see section 2.3.2) until such response is received.

Both Wholesalers and Retailers should ensure that they respond as soon as possible after receiving actionable communications or noticing errors/gaps. Any Trading Party with repeated concerns on the response time, or related behavior, of another Trading Party may contact the Market Operator. The Market Operator cannot amend any prior performance or charges owing to such a scenario but shall log such communications with a view to using this to support future reviews of the framework.

2.2. Use of Market Steps for Start and End Dates of Operational Performance Standards

Table 2 in Section 4 of CSD0002 defines the OPS Start Date and OPS End Date for each Operational Performance Standard. These Start/End Dates are derived from Market Steps in the Annex process diagrams of Schedule 1. If the number of Business Days (or other day count measure, where specified) between the OPS Start Date occurring and OPS End Date occurring satisfies the corresponding KPI for an Operational Performance Standard, the Operational Performance Standard Task has been completed on time.

2.2.1. Calculation of an Operational Performance Standard Start Date

Market steps from the Operational Terms Annex process diagrams are used to determine the Start Date of the Operational Performance Standard for a task. The market step that starts an individual Operational Performance Standard is specified within Table 2 Section 4 of CSD0002 for each OPS. Once the applicable market step has occurred the OPS will be considered as “Started” at day zero and the task must be included in

OPS Data Submission from this point. The only exception to this is the receipt of an erroneous, or incomplete, Form where the Market Step of the relevant OPS Start Date is a Materially Complete Form. In this event, a Wholesaler should reject the Form and count it as a New Started Task, Rejected Task and a second New Started Task (if resubmitted), on the OPS Data Submission.

If a market step occurs within 08:00 – 18:00 of a Business Day (as defined in Schedule 1 Part 1 and repeated in 2.1 of this document), that day should be counted as day zero of the Operational Performance Standard. If a market step occurs outside of 08:00 – 18:00 Of a Business Day (as defined in Schedule 1 Part 1 and repeated in 2.1 of this document), the next Business Day should be counted as day zero of the Operational Performance Standard.

Operational Performance Standards Start Date Example

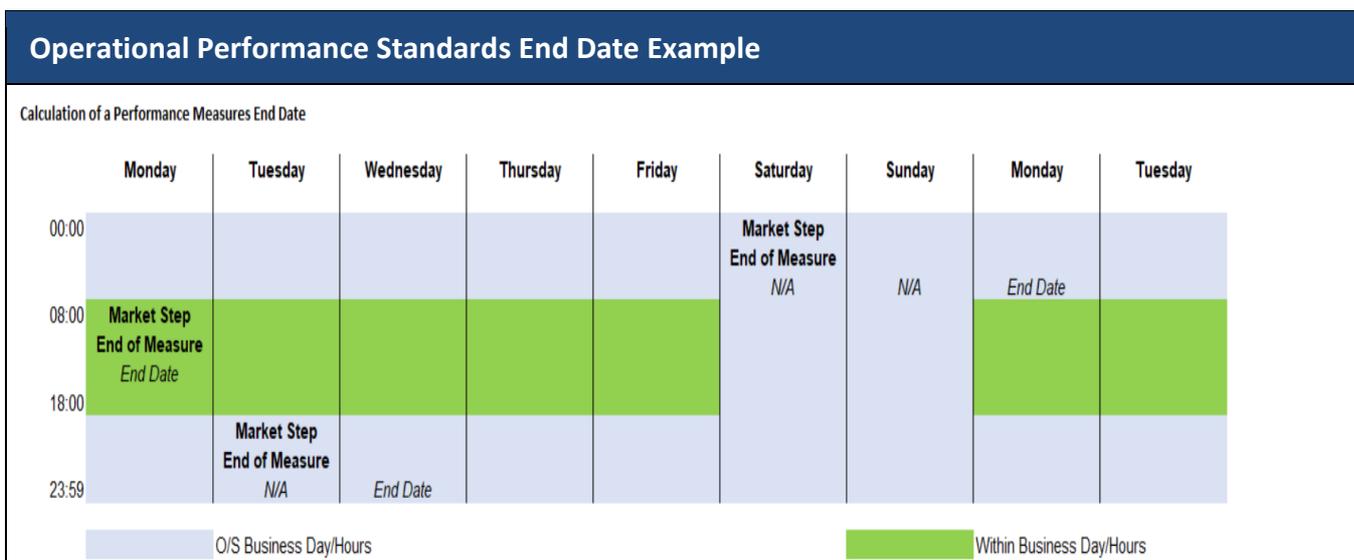
Calculation of a Performance Measures Start Date



2.2.2. Calculation of the Operational Performance Standard End Date

Market steps from the Operational Terms Annex process diagrams are used to determine the end of an Operational Performance Standard. The market step that ends an individual Operational Performance Standard for a task is specified in Table 2 Section 4 of CSD0002 for each of the OPS. Once the applicable market step has occurred the Operational Performance Standard will be considered as “Completed” for OPS Data Submissions.

If a market step occurs within 08:00 – 18:00 of a Business Day (as defined in Schedule 1 Part 1 and repeated in 2.1 of this document), that day should be counted as the End Date of the Operational Performance Standard. If a market step occurs outside 08:00 – 18:00 of a Business Day (as defined in Schedule 1 Part 1 and repeated in 2.1 of this document), the next Business Day should be counted as the End Date of the Operational Performance Standard.



2.2.3. Calculation of the Operational Performance Standard Start/End Date – Standard and Non-Standard

Where an OPS differentiates between standard and non-standard, the market step that starts an OPS is specified for each of the Operational Performance Standards.

Where the standard/non-standard classification of an Outstanding Task is unknown at the end of a reporting period, it should be reported as standard. If the task is later determined to be non-standard, then it should be reported under the applicable OPS for a non-standard task. This may mean that reporting on OPS I1a and OPS I1b does not have a clear accounting of tasks on a month to month basis, and this extenuating circumstance is noted by the Market Operator and Market Performance Committee.

For example, if a Wholesaler receives a Materially Complete I/01 Form on 26th April 2019 and there is no site visit before 18:00 on 30th April, the task will be reported below in the April 2019 OPS Data Submission

Standard	Trading Party ID	Trading Party Name	Period	No. task started in period	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS I1a	MOSL-W	MOSL	201904	1	1	0	0

If, during May, the task is found to be non-standard but is completed on time in the month the OPS Submission for this task will be as follows;

Standard	Trading Party ID	Trading Party Name	Period	No. task started in period	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS I1a	MOSL-W	MOSL	201905	0	0	0	0

Standard	Trading Party ID	Trading Party Name	Period	No. tasks started	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late
OPS I1b	MOSL-W	MOSL	201905	0	1	1	0

All tasks (standard or non-standard as per the Wholesaler’s classification) must be included in OPS Data Submission once an Operational Performance Standard is Started.

2.3. Deferral Events use of Permitted Deferrals

Whilst the Operational Terms and CSD0002 include timescales within which the Wholesaler and the Retailer must perform the steps set out in the processes, Operational Terms Part 3 - Section E details that a Wholesaler or Retailer is permitted to suspend a stated timescale in some instances. Whilst communications between Trading Parties falls outside of the scope of Operational Performance Standards, the Market Operator expects any deferral of an OPS to be communicated to the respective Retailer as soon as possible. If a Retailer has repeated concerns regarding the timeliness of a Wholesaler’s communications in this area they may contact the Market Operator. The Market Operator and Market Performance Committee have the ability to put forward code changes should the current use of permitted deferrals not be deemed in the best interest of market and end customer.

Below is a list of scenarios whereby a Wholesaler would have reasonable cause to permit a suspension of the timescale;

Permitted “Deferred Timescale” scenarios	Examples
Requests and/or actions of a Retailer or their Customer	<ul style="list-style-type: none"> • Requests to attend outside the Operational Performance Standard timescale. • Requests to commence work at a later date than intended by the wholesaler. • Awaiting confirmation of further information or acceptance to proceed.² • Inability to contact a Retailer and/or their customer. • Awaiting completion of enabling works by the customer to proceed.

² Whilst there will be legitimate reasons to use this deferral for specific circumstances relating to individual tasks, the excessive use of deferrals for internal additional requirements to a Materially Complete Form may result in further scrutiny from the Market Performance Committee and, if required, invoke the Performance Resolution Process.

Third party / agency consents	<ul style="list-style-type: none"> • Private land access. • Highway authority notices. • EA Liaison over trade effluent consents.
Water quality and other regulatory constraints	<ul style="list-style-type: none"> • Water quality activity including water quality sampling. • Contraventions of the water fittings regulations.
Extreme weather causing impact to infrastructure and/or operations	<ul style="list-style-type: none"> • Snow. • Flooding. • Drought.

As the Operational Terms do not provide an exhaustive list of scenarios, this list cannot be deemed as exhaustive. However, as part of CSD0002, the Market Performance Committee (on behalf of the Panel) and Market Operator reserve the right to request the reasons, at a transaction level, for permitted deferrals. Reasons outside of this list may require a greater degree of justification.

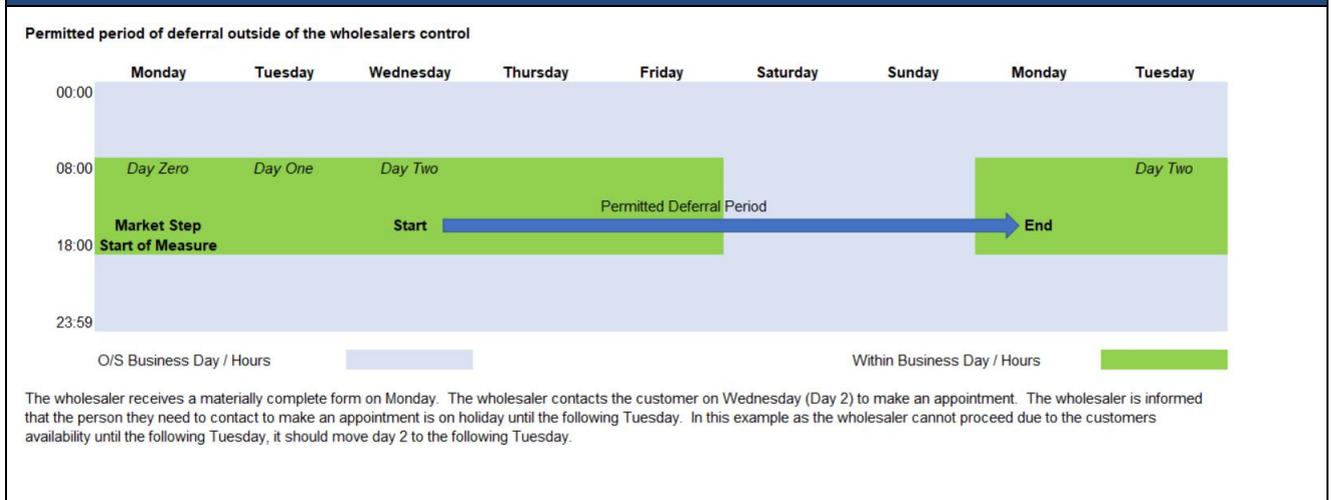
2.3.1. Calculation of a Deferred Timescale

Where it can be demonstrated by a Wholesaler that days lost (when a Wholesaler cannot progress a request) covered by the permitted deferred timescales are a direct result of situations outside of its control, the total number of business days lost should not be included in the total time taken to complete the task of an Operational Performance Standard. If a permitted deferred timescale is applied, a timescale should only be reset to the number of business days between the OPS Start Date and the date the permitted deferral was applied and communicated (where applicable). Whilst the Market Operator does not want to give rise to unnecessary system changes via a prescriptive method of calculation, a Wholesaler’s calculation of the day count for tasks where a permitted deferral has applied must adhere to the following;

- The number business days between the OPS Start Date and the date a permitted deferral is applied cannot be reset
- An OPS Data Submission for an Outstanding Task with an active permitted deferral should be classified as Outstanding within, outside or extremely outside time on the basis of the day count above versus the applicable KPI
- A Deferred Task cannot have a decreased day count in subsequent reporting periods
- When a Deferral Event is resolved, the day count shall resume immediately according to the principles of section 2.1.1.

All Business Days subsequent to the resolution of a Deferral Event should be added to the count of Business Days between the OPS Start Date and date the permitted deferral was applied. A task should be classified in the following OPS Data Submission(s) with respect to this combined day count and the relevant KPI.

Calculation of a Permitted Deferral Timescale Example



2.3.2. Deferred Timescale Records – Deferral Types

Wholesalers are required at a transactional level to record the type of deferred timescale that it has applied. The types of deferred timescales are not reportable as part of OPS data submissions but may be requested for Market Audit and/or further information requests by the Market Performance Committee/Market Operator.

The recommended deferral codes to be used by wholesalers are:

Deferred Timescale Types – “Good Practice” terminology	
Long Description	Short Code
Retailer Deferral	DRD
Third Party Consent	DTC
Extreme Weather	DEW
Customer Deferral	DCD
Water Quality	DWQ
Third Party Agency	DTA

Any task that has a Deferral Event applied must be reported as part of OPS data submission. See section 3 for further details.

2.4. Rejected Tasks

Wholesalers are required at a transactional level to record the type of “rejection” that it has applied where applicable. The reason types of rejected tasks are not reportable as part of OPS data submissions but may be requested for audit and/or further information requests.

Tasks that are rejected and subsequently re-submitted by Retailers should be treated as a separate new task and not a continuation of the original task. Any task that is rejected must be reported as part of OPS data submission - see section 3.4 for further details.

The rejection reason types to be used by Wholesalers are:

Rejection Types – “Good Practice” terminology			
Long Description	Short Code	Definition	Examples
Materially Incomplete	RMC	The Wholesaler is unable to complete the job based on the information provided	A retailer sends a form missing key information or has provided information which passes validation. For example a phone number that is 9999999999 that passes form input validation but is not a valid number.
Materially Inaccurate	RMI	The information provided passes the materially complete criteria however, upon assessment the information on the form is wrong	A retailer or end user sends through a G/02 form which contains incorrect chemical information.
Could Not Contact End User	REU	The form is rejected because the contact details provided to the Wholesaler are not suitable for it to complete the work	The contact details provided are either out of date or are not for the person(s) needed to progress the task
Customer Uncooperative	RCU	An end user customer will not allow the wholesaler to complete the service request	A retailer has asked for a meter exchange and the end user will not allow the wholesaler access to their site to perform the exchange, despite following access instructions included in the application
Duplicates	RDP	Where more than one service request is submitted for the same job	Two retailer agents submit a B5 for the same meter. One form is rejected and the other form is processed.
Wrong Process	RWP	Where the wrong process has been used to submit a service request.	A retailer submits a C3 when they should have submitted a C4
Not a wholesale Service Request	RNW	Where the submitted service request is not the responsibility of the Wholesaler	Retailer submits a billing complaint from their NHH customer. This is not the responsibility of the wholesaler and is rejected.

Wrong Form	RWF	Where the retailer uses the wrong form to submit a service request	Retailer submits a C/02 form for a new connection rather than an A/05
End User Switched Retailer	RSR	Where the end user switches during the service request, and the requesting Retailer is no longer permitted to continue with the task	
Submitted in Error	RSE	Where the retailer confirms the service request was submitted erroneously	Retailer sends a case that it then wants to cancel because it shouldn't have been sent
Wrong SPID Provided	RSP	The retailer has used the wrong SPID for the service request	The retailer submits a form where the SPID is for the wrong property. When this is identified the request is rejected
Non NHH Service Request	RDM	Where a service request is for a domestic property	The retailer submits a service request for a domestic property in error
Incorrect Wholesaler	RIW	The service request is the responsibility of another wholesaler	The retailer sends a water only service request to the water recycling wholesaler
Service Request No Longer Required	RNR	Where through other wholesale work or a request from the end user, the service request is no longer required	An I1 is cancelled at the request of the Retailer because the situation with the customer has been resolved
Retailer Cancelled	RRC	Where the retailer cancels the service request	The retailer informs the wholesaler that the service request is no longer required
No Response from Retailer	RRR	Where wholesaler needs further information to complete a process but the retailer does not provide it. This rejection type should only be used after the deferral option has been reasonably exhausted.	When assessing a G/02 form the Trade Effluent Scientist needs further information of the content an end user is wishing to discharge into the wholesaler's network. The retailer has not provided this information in time and the case is closed.
Declined due to policy	RDP	Where the wholesaler declines a request due to one of its policies	A wholesaler declines a new meter install that is not permissible under the condition of their metering policy.

2.5. Outstanding Tasks

2.5.1. Task Reporting Over Multiple Reporting Periods

Any task where the Operational Performance Standard has started, but is not completed or rejected, at 18:00 on the last Business Day of a reporting period should be reported as “outstanding” (within time, outside time, or extremely outside time) as part of OPS data submission. See section 3.5 for further details.

Tasks, falling under an Operational Performance Standard, that are outstanding at the end of a reporting period should continue to be reported in subsequent reporting periods (including new reporting years) until the Operational Performance Standard is complete, or the task is rejected.

If a task has already been submitted as either completed or rejected in an OPS Data Submission but - for the purposes of charging, market data transactions etc. - the task remains open within a Wholesaler’s system, it should not be included in subsequent OPS Data Submissions. An example of this would be a B1 where the meter has been installed under market step 2d or 4I (End of Operational Performance Standard) but the Wholesaler is yet to complete market step 5m “Notify Market Operator”.

3. OPS Data Submission – How to report OPS Performance

Wholesalers are required to submit data metrics on OPS performance, for each calendar month, to the Market Operator on the 6th Business Day following the last calendar day of a month. This section details how the OPS Data Submission should be completed and gives further information on each on the data items requested.

3.1. OPS Data Submission Metrics

3.1.1. Data Metrics

The below data items, as specified in Section 4 of CSD0002, are required for the OPS Data Submission;

- the number of new Started Tasks within a reporting period;
- the number of Completed Tasks within the reporting period;
- the number of Completed Tasks within the time permitted;
- the number of Deferred Tasks completed within the reporting period;
- the number of Tasks completed extremely late within the reporting period;
- The percentage of Completed within time Tasks with respect to the number of Completed Tasks
- the number of Rejected Tasks within the reporting period;
- the number of Outstanding Tasks at the end of the reporting period;
- the number of Outstanding Tasks at the end of the reporting period within the time permitted;
- the number of Outstanding Tasks at the end of the reporting period that are outside the time permitted;
- and
- the number of tasks outstanding at the end of the reporting period that are extremely late outside the time permitted.

3.1.2. Valid Sets

The OPS Data Submission format means that most tasks will need to be reported in multiple columns, and many tasks will carry over from the previous reporting month. The table below details the components of each data column and information on their parent/subset status³ (note that some columns are both parent and subset, and these are listed as parent in the column pertaining to the metric but feature as subsets elsewhere on the table). Where a component is not directly requested in the OPS Data Submission, these are italicised.

³ Valid Sets with reference to the monthly carry of tasks may not be applicable to OPS I1a and OPS I1b in the event that a task is reported as standard in an OPS Data Submission and found to be non-standard in a subsequent reporting period.

Column Name	Valid Set	Parent/Subset
TasksStartedWithinPeriod	Total number of tasks where the OPS Start Date has occurred in the current reporting month	n/a
TasksCompletedWithinPeriod	\geq No. tasks completed within time permitted \geq No. tasks completed within time permitted + no. tasks completed extremely late \geq No. deferred tasks completed $=$ (No. tasks outstanding at end of previous reporting period + no. new tasks started in current reporting period) $-$ (No. tasks rejected in current reporting period + no. tasks outstanding in current reporting period)	Parent of TasksCompletedWithinTime TasksCompletedPermittedDeferral TasksCompletedExtremelyLate
TasksCompletedWithinTime	\leq No. tasks completed in reporting period \leq No. tasks outstanding within time at end of previous reporting period + no. of new tasks started in current reporting period	Parent of TasksCompletedWithinTime (no deferral) TasksCompletedPermittedDeferral (on time)
TasksCompletedPermittedDeferral	\leq No. tasks completed in reporting period	Subset of TasksCompletedWithinTime TasksCompletedOutsideTime
PercentageTasksCompletedWithinTime	Number of tasks completed within time in reporting period divided by number of tasks completed in reporting period (ie. row 3 / row 2 of this table)	n/a
TasksCompletedExtremelyLate	\leq No. tasks completed in reporting period – no. task completed within time permitted	Subset of TasksCompletedOutsideTime
TasksRejectedWithinPeriod	$=$ (No. tasks outstanding at end of previous reporting period + no. of new tasks started in current reporting period) $-$ (no. tasks completed in current reporting period + no. tasks outstanding in current reporting period)	n/a
TasksOutstandingEndPeriod	$=$ No. tasks outstanding within time at end of current reporting period + no. tasks outstanding outside time at end of current reporting period	Parent of TasksOutstandingWithinTime TasksOutstandingOutsideTime

	$= (\text{No. tasks outstanding at end of previous reporting period} + \text{no. of new tasks started in current reporting period}) - (\text{No. tasks completed in current reporting period} + \text{no. tasks rejected in current reporting period})$	TasksOutstandingOutsideTimeExtremelyLate
TasksOutstandingWithinTime	$\leq \text{No. tasks outstanding at end of current reporting period}$ $= \text{No. tasks outstanding at end of current reporting period} - \text{No. task outstanding outside time at end of current reporting period}$	Parent of TasksOutstandingWithinTime (no deferral) <i>OutstandingTaskswithActivePermittedDeferral</i>
TasksOutstandingOutsideTime	$\leq \text{No. tasks outstanding at end of current reporting period}$ $= \text{No. tasks outstanding at end of current reporting period} - \text{No. task outstanding within time at end of current reporting period}$	Parent of TasksOutstandingOutsideTime (no deferral) TasksOutstandingOutsideTime (previous deferral)
TasksOutstandingOutsideTimeExtremelyLate	$\leq \text{No. tasks outstanding outside time at end of current reporting period}$	Subset of TasksOutstandingOutsideTime

3.2. New Started Tasks

The number of new Started Tasks in a month is the number of tasks with an OPS Start Date in the same month as the reporting period of the OPS Data Submission. This should include all tasks, irrespective of whether they were completed, outstanding, deferred or rejected by the end of the reporting period. If a task with an OPS Start date in the relevant month is subsequently rejected and resubmitted as a new task in the same month, this should be reported as two new Started Tasks. A task rejected due to a non-materially Complete Form, should be reported as a new Started Task despite not fully completing the market step of the OPS Start Date. A Deferred Task with an OPS Start Date in a previous month, but timescale reinstated during the current reporting period, should not be reported as a new Started Task in the current month.

The total number of new Started Tasks over a financial year should equal the number of distinct tasks reported as Completed, Outstanding or Rejected in a financial year (excluding those started in a prior financial year).

3.3. Completed Tasks

3.3.1. The Number of Tasks Completed in Period

The number of tasks completing the applicable OPS End Date in the relevant reporting period. This should include all Completed Tasks, irrespective of whether they were completed on time, late or had been subject to a permitted deferral. Any task that is reported under 3.3.2 – 3.3.4, plus those completed late should be reported in this column (tasks completed extremely late should not be counted twice in this column).

3.3.2. The Number of Tasks Completed within time permitted

The number of tasks completed during the relevant reporting period within the timescale specified in the KPI for the applicable Operational Performance Standard. This includes tasks that had been subject to a permitted deferral and tasks do not need to have had an OPS Start Date in the same reporting period.

3.3.3. The Number of Tasks Completed with Permitted Deferral

The number of tasks completed during the relevant reporting period that were subject to a permitted deferral during the relevant reporting period or were subject to a permitted deferral on the OPS Data submission for the period immediately prior (note that this includes tasks where a permitted deferral was applied in any period prior, but such tasks should have appeared in the previous submission). This includes tasks both completed on time, completed late and completed extremely late.

3.3.4. The Number of Tasks Completed Extremely Late

The number of tasks completed during the relevant reporting period where the number of Business Days (or other day count, where specified) is equal to, or greater than, double the applicable KPI. This includes tasks that had been subject to a permitted deferral if the number of days excluding the time the task was under a permitted deferral, meets this threshold. Tasks do not need to have had an OPS Start Date in the same reporting period.

3.3.5. The percentage of tasks completed on time

The number of tasks completed on time (3.3.2) divided by the number of tasks completed (3.3.1)

3.3.6. Examples

Task Completed Late

Standard	Trading Party ID	Trading Party Name	Period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS X1a	MOSL-W	MOSL	2019-04	1	0	0	0

Task Completed Extremely Late

Standard	Trading Party ID	Trading Party Name	Period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS X1a	MOSL-W	MOSL	2019-04	1	0	1	0

Deferred Task Completed on time

Standard	Trading Party ID	Trading Party Name	Period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS X1a	MOSL-W	MOSL	2019-04	1	1	0	1

Deferred Task Completed Late

Standard	Trading Party ID	Trading Party Name	Period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS X1a	MOSL-W	MOSL	2019-04	1	0	0	1

Deferred Task Completed Extremely Late

Standard	Trading Party ID	Trading Party Name	Period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS X1a	MOSL-W	MOSL	2019-04	1	0	1	1

3.4. Rejected Tasks

The number of tasks rejected in a reporting period are the number of tasks in a relevant reporting month that a Wholesaler has been unable to proceed with and subsequently notified the requesting counterparty of. A Rejected Task should not be marked as completed or outstanding elsewhere in the same OPS Data Submission and should only include tasks rejected in the relevant period. A task with an OPS Start Date in a previous month, and previously reported as outstanding, should be included if the rejection occurred in the relevant reporting period.

3.5. Outstanding Tasks

3.5.1. The Number of Tasks Outstanding at End of Reporting Period

The number of Outstanding Tasks is the number of tasks at the end of a reporting period where the OPS Start Date for the Operational Performance Standard has occurred (in the current reporting month, or a reporting month prior) but have neither been completed nor rejected. This includes tasks which are within the applicable KPI timescale, outside the applicable KPI timescale or are currently deferred. A task should continue to be reported as Outstanding in the monthly OPS Data Submission until it is either completed or rejected.

3.5.2. The Number of Task Outstanding Within Time

The number of Outstanding Tasks at the end of the relevant reporting period that are neither completed or rejected and the number of Business Days from the OPS Start Date to the last calendar day of the relevant reporting month does not exceed the applicable KPI in Section 4 Table 2 of CSD0002.

Tasks subject to a permitted deferral on the last calendar day of the relevant reporting month, where the number of Business Days between the OPS Start Date and date the permitted deferral applied does not exceed the applicable KPI, should be reported under this column until the deferral event is resolved.

3.5.3. The Number of Tasks Outstanding Outside Time

The number of Outstanding Tasks at the end of the relevant reporting period that are neither completed or rejected and the number of Business Days from the OPS Start Date to the last calendar day of the relevant reporting month exceeds the applicable KPI in Section 4 Table 2 of CSD0002.

Tasks subject to a permitted deferral on the last calendar day of the relevant reporting month, where the number of Business Days between the OPS Start Date and date the permitted deferral applied exceeds the applicable KPI, should be reported under this column until the deferral event is resolved.

Tasks should continue to be reported under this column in all subsequent OPS Data Submissions until the task is completed or rejected. Whilst there may be valid reasons for such a task to be rejected, if a Retailer has concerns that a Wholesaler is rejecting and outstanding outside time task for reasons that could have been addressed or noticed earlier, they should report these concerns to the Market Operator.

3.5.4. The Number of Tasks Extremely Outside Time

The number of Outstanding Tasks at the end of the relevant reporting period that are neither completed or rejected and the number of Business Days from the OPS Start Date to the last calendar day of the relevant reporting month is twice or more the applicable KPI in Section 4 Table 2 of CSD002.

Tasks subject to a permitted deferral on the last calendar day of the relevant reporting month, where the number of Business Days between the OPS Start Date and date the permitted deferral applied is twice or more the applicable KPI, should be reported under this column until the deferral event is resolved.

Tasks should continue to be reported under this column in all subsequent OPS Data Submissions until the task is completed or rejected. Whilst there may be valid reasons for such a task to be rejected, if a Retailer has concerns that a Wholesaler is rejecting and outstanding outside time task for reasons that could have been addressed or noticed earlier, they should report these concerns to the Market Operator.

3.5.5. Examples

The below examples assume OPS X1a has a KPI of 22 BD

Outstanding Task where there are 20 BD from the OPS Start Date to end of reporting period

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	1	0	0

Outstanding Task where there are 24 BD from the OPS Start Date to end of reporting period

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	0	1	0

Outstanding Task where there are 44 BD from the OPS Start Date to end of reporting period

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	0	1	1

Outstanding Task with active Permitted Deferral where the Permitted Deferral was applied 10 BD after the OPS Start Date

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	1	0	0

Outstanding Task with active Permitted Deferral where the Permitted Deferral was applied 23 BD after the OPS Start Date

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	0	1	0

Outstanding Task where a Permitted Deferral was applied after 15 BD and the Deferral Event was resolved 3 BD before the end of the reporting period

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	1	0	0

Outstanding Task where a Permitted Deferral was applied after 15 BD and the Deferral Event was resolved 8 BD before the end of the reporting period

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
OPS X1a	MOSL-W	MOSL	201904	1	0	1	0

3.6. Reporting of Tasks where the Market Step of the OPS Start Date does not occur

3.6.1. Materially Complete Form as Market Step for OPS Start Date

Where a form for a task has been received, but one or more of the mandatory fields are erroneous, please refer to section 2.1.2.

Where a form has been received, but one or more of the mandatory fields are missing, a Wholesaler may reject the form and request that it be resubmitted fully completed or may request the sender provides the missing fields and begin to action the request with the available information. A Wholesaler should not begin to action the request before requesting the missing items from the Form. In this scenario, the OPS Start Date would be the point the Wholesaler has all the items needed to satisfy a Materially Complete Form, not the date of beginning to action the request.

Where a request is not received via a Wholesale Retail Code Form, and the Wholesaler believes the circumstances of the request mean there is not an intention to send a Form, this is outside of the scope of the WRC and Wholesalers should not report such tasks on the OPS Data Submission - irrespective of performance or equivalency to a Materially Complete Form. This does not affect any bilateral agreements in place between Trading Parties otherwise. In order to ensure standardisation and the integrity of OPS Peer Comparison under a central code, it is important that the Market Operator measures performance on a robust and like-for-like basis. Consideration as to the efficiency of the current market arrangements in recording OPS Performance, including how to best capture all tasks falling under the intent of the Operational Performance Standards, will likely form part of the next review of the framework. Whilst Wholesalers are under no obligation to do so, any evidence regarding the scale and materiality of this issue would be beneficial as part of this review.

4. MOSL Policies on OPS Reporting and Charges

Further to its code obligations, and to provide greater clarity and transparency, the Market Operator will provide Trading Parties with policies on the below areas;

- ◆ OPS Upload Technical Guidance
- ◆ OPS Charges Disputes
- ◆ Retrospective amendment of OPS Data and Charges
- ◆ OPS Performance Resolution.

These will be found on the Market Operator Website.

5. Appendix

A - Deferral Event Reporting: Example

MOSL-W started 1 C1a task, with a KPI of 10 BDs, on 3rd April

- The task was completed on 25th April (16 BDs)
- The Wholesaler applied a permitted deferral on 9th April awaiting information from the Retailer to proceed
- The information was received from the Retailer on 19th April and therefore the Deferral Event resolved
- The time taken complete the task is 4BD before Deferral Event + 4 BD after Deferral Event – giving 8 BDs in total.

The Wholesaler should report this as follows;

Standard	Trading Party ID	Trading Party Name	Period	No. tasks started in period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS C1a	MOSL-W	MOSL	201904	1	1	1	0	1

Using the same scenario above, but where the Wholesaler started the C1a task on 15th April instead, the Wholesaler should report as follows across two reporting periods. Note that at 18:00 on 30th April the task had been started 11BD before. As the permitted deferral was applied after 4BD, and was not resolved at the end of the reporting period, this task is reported as Outstanding Within Time on the April submission;

Standard	Trading Party ID	Trading Party Name	Period	No. tasks started in period	No. tasks outstanding	No. tasks outstanding within time	No. outstanding outside time
OPS C1a	MOSL-W	MOSL	201904	1	1	1	0

Standard	Trading Party ID	Trading Party Name	Period	No. tasks started in period	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. deferred tasks completed
OPS C1a	MOSL-W	MOSL	201905	0	1	1	0	1

B - Month End Carry: Example

OPS Z1a has a KPI of 20BDs. MOSL-W's OPS Data Submission in 201904 is the below;

Standard	Trading Party ID	Trading Party Name	Period	No. tasks outstanding	No. tasks outstanding within time	No. outstanding outside time	No. outstanding extremely outside time
OPS Z1a	MOSL-W	MOSL	201904	30	26	4	0

Therefore, MOSL-W will carry 30 tasks from this period into the next reporting period.

In 201905;

Standard	Trading Party ID	Trading Party Name	Period	No. tasks started in month
OPS Z1a	MOSL-W	MOSL	201905	15

MOSL-W must account for a total of 45 OPS Z1a tasks in the next reporting period. This means that, on the May OPS Data Submission;

$$\begin{array}{|c|} \hline \text{No. tasks completed} \\ \hline \end{array}
 +
 \begin{array}{|c|} \hline \text{No. of tasks rejected} \\ \hline \end{array}
 +
 \begin{array}{|c|} \hline \text{No. of tasks outstanding} \\ \hline \end{array}
 = 45$$

For those tasks outstanding at the end of 201904. The below is their position on the 201905 OPS submission.

- ◆ For the four tasks outstanding outside time;
 - Three were completed late with one of those being extremely late
 - One is now outstanding extremely outside time
- ◆ For the 26 tasks outstanding inside time
 - 19 were completed on time, of which two had had a permitted deferral applied
 - Two were completed late
 - Three were rejected
 - Two are outstanding outside time.

Period	No. tasks started	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. tasks completed with deferral	No. tasks rejected	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
201905	0	24	19	1	2	3	3	0	3	1

For those tasks started in 201905, the below is the position on the 201905 submission.

- ◆ Eight tasks were completed on time during the period
- ◆ One task was completed late during the period
- ◆ One task was rejected
- ◆ Five are outstanding within time at the end of period

Period	No. tasks started	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. tasks completed with deferral	No. tasks rejected	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
201905	15	9	8	0	0	1	5	5	0	0

Combined, this gives the final OPS Z1a Data Submission for the 201905 reporting period as;

Period	No. tasks started	No. tasks completed	No. tasks completed on time	No. tasks completed extremely late	No. tasks completed with deferral	No. tasks rejected	No. tasks outstanding	No. tasks outstanding within time	No. tasks outstanding outside time	No. tasks outstanding extremely outside time
201905	15	33	27	1	2	4	8	5	3	1