



Redlined BSCP537 Appendix 1 text for CP1499 'Updates to BSCP537 Appendix 1 'Self-Assessment Document' to incorporate an additional question for Suppliers on Meter Operation Code of Practice Agreement Accreditation for Meter Operator Agents'.

This CP proposes changes to BSCP537 Appendix 1 section 18.1.

We have redlined these changes against Version 13.0.

We have also included some additional Housekeeping changes to section 18.

Amend section 18 as follows:

SECTION 18 – SUPPLIER

Objectives of this section

The objective of this section is to consider the controls that have been built into the systems and processes supporting your Supplier service to ensure the operational requirements of the BSC and BSCPs are met. Whilst Sections 1 to 7 of the SAD are generic to all Qualified Persons, this section focuses on the specific controls required to operate effectively as a Supplier.

Guidance for completing this section

The Supplier is responsible for appointing its agents and registering these details with the SMRA. The Supplier is also responsible for managing the performance of its appointed agents and for monitoring the completion of business processes that it has initiated. This section is split as follows:

Business Processes and Mitigating Controls: This set of questions looks at the controls over the provision of data to your agents, the subsequent processing of information received and the transmission of this updated data to your agents. It also considers the maintenance of standing data (which, if incorrect, may impact upon Settlement) and any changes made to it.

Exception Management: The section looks at the specific controls you have in place to report on, monitor and resolve exceptions during the processing of your data.

A number of questions in the SAD relate to ‘data quality’. This section of the SAD is concerned with the on-going quality of your data when your Supplier service is live and in operation. The quality of the data used to initially populate your service is considered in Section 7 of the SAD. A number of the questions in the service specific sections of the SAD relate to how you will ensure the accuracy of incoming and outgoing data and in the event that poor quality data does enter your Supplier service, how you identify and resolve this to minimise the impact upon other Parties and Party Agents.

Both system and manual controls should be considered when answering the SAD questions as your service will rely on both system and manual processes to effectively fulfil its obligations. Responses should consider the procedures in place for dealing with electronic flows received via the DTN and also manual data flows received via any other means (e.g. email, fax letter).

[Housekeeping] 18.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>18.1.1+ How do you ensure that data flows are sent or received and processed completely, accurately and in a timely manner, in line with the requirements of the BSCPs?</p>	<p>The response should describe the processes you have in place for dealing with Settlement related data flows and should address the following:</p> <ol style="list-style-type: none"> (1) How all data flows are identified, reviewed and authorised prior to processing (2) The validation of data for formats and lengths (e.g. the MSID is valid and other data items (where applicable) have been checked against the latest version of MDD) (3) The validation of data (where applicable against the latest version of MDD) for its internal consistency, for completeness and accuracy (4) Controls in place to ensure that all data required or expected is received and that all data to be sent is sent in a timely manner. This may be through controls within the update routines or through manual controls. (5) Where data is to be sent or received to or from parties by agreed methods other than via the DTN how you: <ul style="list-style-type: none"> • manage the approval or agreement of receipt/sending of data in another agreed format, • record and retain the agreement of the method as well as the actual data received or sent; and • ensure that timescales surrounding this 		

Question	Guidance	Response	Evidence
	data are adhered to.		
18.1.1.2 What controls and procedures are in place to ensure the accurate, complete and timely sending, receiving and processing of data flows for key Settlement related events?	<p>The response should make reference to the following key events:</p> <ol style="list-style-type: none"> (1) Sending of appointment and termination notifications on a D0155, D0153 and D0151 data flow and processing of rejection data flows. (2) Sending of notification of changes to other parties on a D0148 data flow and notification of customer details on a D0302 data flow. (3) Sending of registration details to the SMRA to register a specific Metering System on a D0055 data flow and processing of rejections received on a D0057 data flow. (4) Sending of read frequency requests and Metering System Settlement Details affirmations on D0052 data flows (including D0052s sent for Unmetered Supplies) and processing of data flows received in response. (5) Receipt and processing of Market Domain Data on D0269 and D0270 data flows. (6) Receipt of and processing of data flows from the SVAA. (7) Requests for changes to energisation status on a D0134 data flow and subsequent processing of D0139 data flows (confirmation or rejection of energisation status change) and monitoring of outstanding D0139 data flows. (8) Processing of Meter Technical Details from Meter Operator Agents on D0149, D0150 and 		

Question	Guidance	Response	Evidence
	<p>D0313 (non half hourly metering) and D0268 (half hourly metering) following installation of meters</p> <p>(9) Requests for Installation or change to a Metering System Functionality or the Removal of all Meters on D0142 data flows and processing of D0171 data flows.</p> <p>(10) Updates to registration details on D0205 data flows and processing of rejection flows.</p> <p>(11) Receipt and processing of P0068 and P0170 for HH, and P0207 for NHH, flows for Unmetered Supplies.</p> <p>(12) Requests for Disconnection of Supply on D0132 data flows and processing of confirmations on D0125 data flows.</p> <p>(13) Mechanisms for the identification and follow up of missing data.</p> <p>The response to this question may cross refer to the response given in 18.1.1.1 but should include details of processes and controls in place specific to the above events.</p> <p>Further questions on data flows relating to key processes are included in questions 18.1.2 and 18.1.3 and further questions relating to exceptions handling are included in question 18.2.1.</p>		
18.1.23 What controls do you have in place to ensure that the requirements of the BSCPs are met when a Change of Supplier	<p>The response to this question may cross refer to the response given in 18.1.1. The response should address the following:</p> <p>(1) Sending of appointment and termination notifications on a D0155, D0153 and D0151</p>		

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(CoS), Change of LDSO, and or Change of Agent (CoA) event takes place?	<p>data flow and processing of rejection (D0261) and acceptance (D0011) data flows.</p> <p>(2) The sending of an Instruction to Obtain Change of Supplier Reading on a D0072 dataflow on a CoS or CoA event.</p> <p>(3) The sending of Customer Own Readings for CoS on D0071 data flows.</p> <p>(4). The receipt and processing of Change of Supplier Readings received on D0086 data flows.</p> <p>(5) The sending of Request for Metering System Related Details on D0170 data flows.</p> <p>(6) The sending and processing of Metering Technical Details and Metering Reading History on CoA by the old and new agents.</p> <p>(7) The mechanisms in place to monitor the timescales in which the above data flows into and out of your Supplier service and is processed.</p>		
<p>[Housekeeping] 18.1.34 How do you ensure that when a Change of Measurement Class (from NHH to HH and vice versa) is required the necessary flows are sent and received?</p>	<p>The response should address the following:</p> <p>(1) Sending of notification of MC/EAC/PC on D0289 data flows.</p> <p>(2) The sending of Request for Installation or Changes to Metering System Functionality or the Removal of all Meters on D0142 data flows and the processing of failures received on D0221 data flows.</p> <p>(3) Where applicable the sending of Request for</p>		

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	<p>Metering System Related Details on D0170 data flows and the provision of this information on D0150, D0149, D0313 and D0268 data flows are sent and received by the relevant HHMOA and NHHMOA.</p>		
<p>18.1.45 How do you ensure that only those sites that meet the criteria for treatment as a Long Term Vacant (LTV) are treated as such in accordance with the obligations in the BSC and BSCP504?</p> <p>Applies to NHH Suppliers only</p>	<p>Where a Supplier treats or intends to treat NHH Metering Systems as LTV the Supplier should comply with the relevant sections of the BSC (S2.8, S-2 4.3.19 – 4.3.22). The response should detail the processes and controls in place to address the following:</p> <ol style="list-style-type: none"> (1) Only those sites that meet the necessary criteria are treated as LTV. (2) Ongoing monitoring is performed to confirm that sites continue to meet the criteria. (3) Proactive processes should be in place to ensure that all reasonable endeavours are taken to contact the owner of the property to obtain a Meter reading. (4) Once sites no longer meet the criteria action is taken to notify the NHHDC and ensure that a non-zero EAC is submitted to the NHHDA on a D0019 data flow for the correct end date of the LTV period. (5) Complete and accurate audit trails are in place to demonstrate the Suppliers compliance with the requirements of the BSC and BSCP504. (6) Details of sites treated as LTV are passed to the LDSO on request. 		

Question	Guidance	Response	Evidence
<p>18.1.56 How do you ensure that your agents are meeting their obligations under the BSC?</p>	<p>Where obligations are to be fulfilled by an agent (including commissioning of Metering Equipment) the Supplier should have controls in place to ensure that those obligations are met.</p> <p>The response should demonstrate examples of the controls/procedures in place for the ongoing management of your agents, such as:</p> <ul style="list-style-type: none"> (1) Controls to ensure that your agents are Qualified and that their qualified status is maintained on an ongoing basis. (2) Controls to ensure that your agents are compliant with their BSC obligations and a mechanism for assurance that your agents implement BSC Modifications or Changes appropriately. (3) Regular meetings and reporting of key performance indicators, for example: <ul style="list-style-type: none"> (i) to ensure the submission of aggregation data such as consumption figures and the Supplier Purchase Matrix is in line with Settlement timetable. (4) Adequate contractual arrangements that include clear lines of responsibility and escalation. (5) Clear roles and responsibilities for each party and documented working practice agreed. (6) Controls are in place to ensure that Metering Equipment is properly commissioned in a timely manner. This includes, in the case of Half Hourly Metering Systems, ensuring any issues are identified during the commissioning of the 		

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	Metering Equipment, notifying and consulting with the LDSO and/or the Transmission Company, as applicable.		
18.1.7 How will you ensure that the MOA you appoint to a Metering System is Meter Operation Code of Practice Agreement (MOCOPA®) accredited? -	<p><u>The MOCOPA® is an agreement between electricity distribution businesses and electricity Meter operators in Great Britain which defines safety, technical and business interface requirements regarding the provision of Meter operation services.</u></p> <p><u>The response should demonstrate details of the controls / procedures in place for the ongoing management of your Party Agents, such as:</u></p> <p><u>(1). Controls to ensure that the MOA you appoint to a Metering System (or any third party agent used by that MOA to perform certain functions that require that third party agent to be MOCOPA® accredited) is Meter MOCOPA® accredited.</u></p> <p><u>(2). How will you monitor that the MOCOPA® accreditation status of the MOA you appoint to a Metering System (or any third party agent used by that MOA to perform certain functions that require that third party agent to be MOCOPA® accredited) is maintained on an ongoing basis?</u></p>		
18.1.687 What controls and procedures do you have in place to ensure that the requirements of BSCP533	<p>The response should address the following:</p> <p>(1) Calculations are in accordance with the calculation guidelines specified in BSCP533 Appendix B PARMS Calculation Guidelines</p>		

Question	Guidance	Response	Evidence
are met?	<p>(2) Submissions are in accordance with BSCP533</p> <p>(3) Data is submitted in the required file format specification (in accordance with BSCP533 Appendix A PARMS Data Provider File Formats)</p> <p>(4) Controls in place for data validity and completeness</p> <p>(5) Demonstration of a full understanding of, and capability to fulfil, the obligations and requirements of PARMS.</p>		
18.1.798 How have you ensured that appropriate audit trails are in place to support the rationale for decisions made in the event of queries/disputes being raised?	<p>The response should address how you ensure that there is enough information available for an independent person to identify the source and nature of changes (archived information should be stored so that it can be accessed for enquiry). This should include a rationale for decisions that were made.</p> <p>The response should also address how you deal with ad hoc requests made by your agents and other parties and what record of such requests is maintained.</p>		
18.1.8109 — How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6?	<p>Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for:</p> <p>(1) 28 months after the Settlement Day to which it relates on-line;</p> <p>(2) Until the date 40 months after the Settlement Day to which it relates in an archive; and</p> <p>(3) At the request of the Panel, for more than 40 months if needed for an Extra Settlement Determination.</p>		

Question	Guidance	Response	Evidence
	<p>The response should address the following:</p> <ul style="list-style-type: none"> (a) Controls to ensure that any archived data can be retrieved within 10 Business Days. (b) Systems and procedures to ensure that all data that is retained is in a form in which the data can be used in carrying out a Settlement Run or Volume Allocation Run. 		