

## CP1237 'Movement of functional requirements from PSL160 into BSCP501 following the creation of generic non-functional PSL100'

Redlined text based on BSCP537 'Qualification Process for SVA Parties, SVA Party Agents and CVA MOAs', Appendix 1 'Self Assessment Document' v3.0

### Section 12 – SMRA

#### Objectives of this section

The objective of this section is to consider the controls that have been built into your systems and processes supporting your Agency Service to ensure the operational requirements, as defined in BSCP501 and PSL1060 are met. Whilst sections 1 to 7 of the SAD are generic to all Agency Services, this section focuses on the specific controls required to operate effectively as an SMRA.

#### Guidance for completing this section

As per the BSC, an LDSO is required to provide a SMRS for the registration of Metering Systems (in SVA) in accordance with the Master Registration Agreement (MRA). Whilst Sections 1 to 7 of the SAD are generic to all Agency Services, this section focuses on the specific controls required to operate effectively as a SMRA. The section is split as follows:

**Business Processes and Mitigating Controls:** This section looks at the controls over the input of both standing data and MSID information to your Agency Service(s) and the subsequent transmission to the Data Aggregator. It also considers the maintenance of standing data (which, if incorrect, may impact upon Settlement) the provisions for a full audit history of the data used by your Agency Service, and any changes made to it as outlined in PSL1060.

**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'. In this section of the SAD you are concerned with the on-going quality of your data when your Agency Service is live and in operation. The quality of the data used to initially populate your Agency 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 Agency Service, how you identify and resolve this to minimise the impact upon other Parties and Party Agents. There are numerous methods of monitoring the quality of your data and the benchmarks that you use should be tailored to your Agency Service and the specific risks posed to your data quality.

Both system and manual controls should be considered when answering the SAD questions as your Agency 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).

## 12.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>12.1.1 What controls do you have to ensure that all standing data and MSID information and all details on changes of Supplier, Data Aggregator, Data Collector and Meter Operator are recorded completely, accurately and in a timely manner, in line with BSCP501 (Sections <u>1.6 and 3</u>) <del>and PSL160 (Section 3)</del>?</p>	<p>The SMRA receives a number of different inputs:</p> <ol style="list-style-type: none"> <li>1. D0269 and D0270 MDD data flows from SVAA (BSCP501 3.1).</li> <li>2. Appointment details and changes from a Supplier on D0055 and D0205 data flows (BSCP501 3.3, 3.4, 3.5, 3.6, 3.7 &amp; 3.10).</li> <li>3. Metering System Data (D0171) from a SMRA (BSCP501 3.2, 3.6, 3.9 &amp; 3.10).</li> </ol> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>a) All flows are identified, reviewed and authorised prior to processing.</li> <li>b) The validation of data for formats and lengths, e.g. the MSID is valid.</li> <li>c) Controls in place to ensure that all data expected or required is received. This may be through controls within the update routines or through manual controls.</li> <li>d) The controls over the completeness and accuracy of MDD data in line with the go-live dates as published in MDD circulars. Where MDD is only selectively loaded controls should be in place to determine what to load and to ensure that the load is in line with the 'go live' dates for the relevant version.</li> <li>e) The validation of the data received against the latest</li> </ol>		

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	<p>version of MDD, data items and combinations such as the Profile Class (NHH only), SSC (NHH only), DA Id, DC Id, MOA Id, Supplier Id, Measurement Class, GSP Group, Energisation Status or LLFC.</p> <p>f) The validation of data for its internal consistency, e.g. if the Measurement Class changes from NHH to HH the DA/DC/MOA appointments are also changed.</p>		
<p>12.1.2 Following data updates within SMRA, how do you ensure complete and accurate D0209 flows are sent to each relevant Data Aggregator in a timely manner?</p>	<p>BSCP501 (<del>1.6, and 3.2 - to 3.10</del> and <del>PSL160 (1.5.1 and 3)</del>) require that a D0209 flow be sent to the appointed Data Aggregator following a change to any of the MSID information.</p> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Processes/controls in place to identify all updates to the system that require a D0209 to be sent.</li> <li>2. The correct Data Aggregator is identified as the recipient of the D0209.</li> <li>3. File sequence numbers are maintained for each recipient Data Aggregator to ensure all are processed and in the correct order.</li> <li>4. Record counts and check sums are provided in the data transmitted to ensure completeness.</li> <li>5. Where the DTN is not used for transmission, an acknowledgement check is performed to confirm receipt of the files by the DA.</li> <li>6. Processes are in place to ensure all necessary data for</li> </ol>		

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	the D209 is collated from your system.		
<p>12.1.3 How do you ensure the correct response to a request for a 'refresh' of Metering System data from an appointed Data Aggregator is actioned (BSCP501 <del>1.6, 3.8 and Appendix 4.5 and PSL160 1.5 and 3</del>)?</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Controls are in place to validate the request to ensure it has come from a valid source and is in respect of MSIDs that the source is appointed to.</li> <li>2. Processes are in place to ensure the refresh file sent to the Data Aggregator is complete and accurate. This should also include processes to ensure the correct amount of history is included in the refresh file.</li> <li>3. Timescales for responding to any such requests are in accordance with BSCP501, PSL1060 and/or agreed with the Data Aggregator and are documented and monitored by management (this may also include receiving an acknowledgement from the Data Aggregator that the request has been satisfied).</li> </ol>		
<p>12.1.4 How do you ensure that all Supplier Registration Errors (Objections) are processed completely, accurately and in a timely manner, in line with BSCP501 (<del>1.6, 3.4, 4.2 and Appendix 4.4</del>) and PSL160 (<del>1.3 and 3</del>)?</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Controls are in place to ensure that all D0064 and D0068 flows are identified and processed.</li> <li>2. The D0064 is validated against the relevant MSID information already held in the SMRA system: <ol style="list-style-type: none"> <li>a) If the D0064 is invalid, e.g. the old Supplier was not the previously registered Supplier, a D0066 is sent back.</li> <li>b) If the D0064 is valid a D0065 is sent back to the old Supplier, a D0067 is sent to the new</li> </ol> </li> </ol>		

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	<p>Supplier and the registration is reverted back to the old Supplier.</p> <p>c) If the objection is not removed by the old Supplier, within the objection period, a D0092 is sent to the old Supplier and a D0093 is sent to the new Supplier.</p> <p>3. Where the old Supplier withdraws the objection during the objection period on a D0068:</p> <p>a) It is validated against the objections currently raised to ensure it is valid, if invalid it is rejected and a D0069 sent back to the old Supplier.</p> <p>b) If the D0068 is valid, a D0090 is sent to the old Supplier, a D0091 to the new Supplier and the change of Supplier registration is re-instated.</p>		
<p>12.1.5 How have you ensured that appropriate audit trails are in place?</p>	<p>The system should be capable of reporting (either from 'live' data or from data archived but available for review, as per <del>PSL100160 Section 101.10</del>) sufficient information so as to enable a user to obtain, in a timely manner, any changes to standing data held or used within the system and the linkages/relationships to the flows received and sent.</p> <p>The audit trail requirements are set out in <del>BSCP501 Section 1.4 and PSL100160 sSection 101.10 and Appendix 6.2 &amp; 6.6.</del></p>		

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<p>12.1.6 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL<del>100+60</del> Section <del>10.21-10</del>?</p>	<p>Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for:</p> <ol style="list-style-type: none"> <li>1. 28 months after the Settlement Day to which it relates on-line;</li> <li>2. Until the date 40 months after the Settlement Day to which it relates in an archive; and</li> <li>3. At the request of the Panel, for more than 40 months if needed for an Extra Settlement Determination.</li> </ol> <p>The response should address the following:</p> <ol style="list-style-type: none"> <li>a) Controls to ensure that any archived data can be retrieved within 10 Business Days.</li> <li>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.</li> </ol>		
<p>12.1.7 How have you ensured that you can operate in all GSP Groups?</p> <p>SMRAs that are seeking re-Qualification in order to operate in multiple GSP Groups should refer to BSCP537 Appendix 3.5 for details of the requirements that must be met.</p>	<p>All new SMRAs are required to be able to operate in all GSP Groups. The response should address the following:</p> <ol style="list-style-type: none"> <li>1. Controls to ensure that for each MSID registered in the SMRS the correct GSP Group is recorded within the system.</li> <li>2. Testing (as described in Section 3) has been performed to demonstrate that the Agency Service can operate those processes and procedures detailed in BSCP501 in multiple GSP Groups.</li> </ol>		

## 12.2 Exception Management

Question	Guidance	Response	Evidence
<p>12.2.1 What procedures are in place for identifying, monitoring and resolving unprocessed data flows or notification exceptions arising in processing and other errors in order to ensure that service level requirements are met?</p>	<p>Within the requirements of the Service there are a number of points at which delays in processing data could occur which if not addressed could exceed the timescale requirements as set out in BSC501 or PSL1060. The performance standards to be attained are set out in PSL<del>100160</del> 5.3, 5.4 and 10.2Appendix 5.</p> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. An analysis of data processing by your Agency Service has been performed in order to identify all points of rejection/failure or potential backlogs in data flow processing.</li> <li>2. Internal reporting mechanisms are in place in order to monitor levels of rejections/failures and backlogs on a daily basis.</li> <li>3. Management processes are in place to monitor performance against the standards as set out in BSCP501 and PSL1060.</li> <li>4. Procedures set out the action to be taken to resolve different exception types and provide guidance as to how to resolve underlying problems, which may be preventing a data flow/notification from processing.</li> <li>5. A mechanism to capture any root causes of exceptions/problems should be established in order for preventative controls to be established or enhanced.</li> </ol> <p>As a minimum please ensure that the response to the above</p>		

Question	Guidance	Response	Evidence
	addresses actions surrounding the follow up of those data flows specified in question 12.1.1 above.		
12.2.2 What controls do you have to ensure that all traded SVA Metering System Numbers ("MSIDs") have a Supplier associated with them at all times (BSC Section S (Annex 2) paragraph 2.1.10)?	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Formal procedures have been developed and issued to staff stressing the requirement to ensure that each traded MSID has a Supplier allocated and that all associated MSID information is recorded completely and accurately.</li> <li>2. The system may have validation routines such that it will not accept a record of a traded MSID without an associated valid Supplier.</li> <li>3. Controls are built into the system to ensure continuity of Supplier registrations for an MSID, unless the MSID has been disconnected. Such a control would be to ensure that the appointment dates for Suppliers to an MSID are consecutive with no gaps.</li> <li>4. If the system does not have any validation controls in place to prevent an untraded MSID being established then exception report(s) should be produced on a regular basis, to identify any MSIDs for which there is no Supplier. Any exceptions should be reviewed and corrected in a timely fashion.</li> </ol>		
12.2.3 How do you ensure all P0035 and D0023 flows received from Data Aggregators are identified investigated and resolved?	Question 12.1.2 addresses the sending of a D0209 flow to a Data Aggregator. If the D0209 is rejected by the Data Aggregator, the following may be returned to the SMRA (BSCP501 <a href="#">Sections 1.6, 3.8 and 3.11</a> , <a href="#">and Appendices 4.5 and 4.6</a> and <a href="#">PSL160 1.5 and 3</a> ):		

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	<ol style="list-style-type: none"> <li>1. For instruction file errors (transmission problems) a P0035 will be returned.</li> <li>2. For instruction processing errors (instruction level validation problems) a D0023 will be returned.</li> </ol> <p>The response should address the following areas and where relevant summarise the relevant local working procedures:</p> <ol style="list-style-type: none"> <li>a) Controls to identify when these rejection flows are received.</li> <li>b) The action required to follow up the error should be detailed, including notifying the Data Aggregator and/or registered Supplier where the SMRA considers the fault to lie with other Parties' systems/processes.</li> <li>c) Procedures to identify whether a file resend or new D0209 is the appropriate response.</li> <li>d) The timescales within which actions should be taken to resolve the P0035/D0023.</li> <li>e) Management monitoring processes to ensure all P0035/D0023 flows received are being progressed and resolved in a timely manner.</li> </ol>		
<p>12.2.4 What procedures do you have in place to proactively monitor and improve the standards of quality of the data (both standing data and Meter reads) used by your Agency</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Processes in place to measure and report upon data quality, (including what data quality is measured against and how you would identify an improvement or decline in the quality of data used by your Agency Service).</li> </ol>		

Question	Guidance	Response	Evidence
Service?	2. Review of data quality statistics by senior management.		

**12.3 Additional information**

Question	Guidance	Response	Evidence
12.3.1 What additional detail would you like to add to your response?	<p>The Applicant can use the space provided to add any additional clarification and/or evidence that they consider necessary.</p> <p>This question is optional.</p>		