

## Redlined Excerpt of BSCP537 Appendix 1 showing changes proposed by CP1235

### Section 11 – HHDA

#### 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 Agency Service to ensure the requirements of the BSC, BSCP503 and PSL1500 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 a HHDA agent.

#### Guidance for completing this section

The HHDA agent aggregates half hourly Meter readings received from the HHDC agents. The aggregated data is then passed to the SVAA in accordance with the Settlement timetable. The section is split as follows:

**Business Processes and Mitigating Controls:** This section looks at the controls over the input of Half Hourly Meter readings and the transmission of aggregated data to the SVAA. It also considers the maintenance of standing data (which, if incorrect, may impact upon Settlement), the processes for identifying errors (monitoring data quality), the provision for a full audit trail history of the data used by your Agency Service and any changes made to it as outlined in [PSL1500BSCP503](#).

**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 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.

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 data flows received via the Data Transfer Network and also manual data flows received via any other means (e.g. email, fax, letter).

### 11.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>11.1.1 How do you ensure that data is received and processed completely, accurately, and in a timely manner in line with the requirements of BSCP503 and PSL1500?</p>	<p>The HHDA receives a number of key inputs:</p> <ol style="list-style-type: none"> <li>1. Registration data from SMRA on D0209 data flows (BSCP503 3.2.1 and 3.2.2).</li> <li>2. Estimated and actual consumption data received from HHDC agents on D0036 data flows (BSCP503 3.3.1).</li> <li>3. MDD, Data Aggregation timetables and Settlement timetables from the SVAA on D0269 and D0270 data flows (BSCP503 3.1.3).</li> <li>4. Line Loss Factor changes from LDSOs on D0265 data flows (BSCP503 3.3.1).</li> <li>5. BM Unit allocations or changes from Suppliers on D0297 data flows (where the Applicant is seeking Qualification as a HHDA following agreement with its associated Supplier(s) to implement additional BM Units) (BSCP503 3.5).</li> </ol> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>(a) The identification, review and authorisation of flows prior to processing.</li> <li>(b) Controls are in place to ensure that all data required is received. This may be by controls within the update routines or by manual controls (you should include details as to how you will ensure that you have been notified of all changes to Line Loss Factors).</li> </ol>		

Question	Guidance	Response	Evidence
	<p>(c) The validation of data for formats and lengths (e.g. the MSID is valid) (BSCP503 Appendix 4).</p> <p>(d) The validation of data for its internal consistency.</p> <p>(e) The validation of standing data received against the latest version of MDD, data items such as Measurement Class, Data Aggregator ID, Data Collector ID, GSP Group, Line Loss Factor details or energisation status (BSCP503 4.1.2 to 4.1.7).</p> <p>(f) The validation of Line Loss Factor data (BSCP503 4.2).</p> <p>(g) The validation of BM Unit files (BSCP503 4.5).</p>		
<p>11.1.2 How do you ensure that the aggregation process is performed in accordance with the Settlement timetable and that the transmission of the Aggregated Half Hour Data (D0040) or BM Unit Half Hourly Aggregated Data (D0298) to SVAA is complete and accurate?</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. A schedule of aggregation runs and expected transmission times and dates is prepared and issued to staff.</li> <li>2. Aggregation run numbers are allocated to ensure that all are processed in the correct order.</li> <li>3. Controls are in place to ensure that data is aggregated by each GSP Group for each associated Supplier for each Settlement day and separate totals for each BM Unit are maintained.</li> <li>4. File sequence numbers, record counts and check sums are included in the data transmitted to ensure completeness.</li> <li>5. Where the DTN has not been utilised, receipt acknowledgements received from SVAA are checked to</li> </ol>		

Question	Guidance	Response	Evidence
	<p>ensure completeness of transmission.</p> <p>6. Aggregation runs are monitored/reviewed to ensure that timetables are met.</p> <p>7. Processes are in place to re-run an aggregation/transmission should processing problems be encountered.</p>		
<p>11.1.3 How will you ensure that a full refresh is requested from the SMRA at least once a year?</p>	<p>Procedures should be in place to ensure that the HHDA Agent request a full refresh from SMRA on an annual basis. (BSCP503 3.2.2).</p> <p>BSCP503 Appendix 4.1.7 sets out the validation requirements to be performed on receipt of the refresh. Controls should be in place to ensure that the refresh is applied in accordance with the requirements set out in BSCP505.</p>		
<p>11.1.4 How will you ensure that you have appropriate audit trails in place to meet the requirements as set out in PSL1500?</p>	<p>The systems should be capable of reporting (or archived information should be stored so that it is available for enquiry) sufficient information so as to enable a user to obtain, in a timely fashion:</p> <ol style="list-style-type: none"> <li>1. A breakdown of any aggregated information calculated.</li> <li>2. Any changes to standing data held or used by the system.</li> </ol> <p>The audit trail and archiving requirements for HHDA are set out in PSL1500 sections <a href="#">10.2</a> and <a href="#">10.34-1-6</a>.</p>		
<p>11.1.5 How have you ensured that you can meet the data retention requirements set out in</p>	<p>Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for:</p>		

Question	Guidance	Response	Evidence
<p>BSC Section U1.6 and PSL1050 Sections <a href="#">10.2</a> and <a href="#">10.31-1-6</a>?</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>		

## 11.2 Exception management

Question	Guidance	Response	Evidence
<p>11.2.1 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 BSCP503 or PSL1500. The performance standards to be attained are set out in <a href="#">BSCP503_PSL150</a> Appendix <a href="#">4.85</a>.</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</li> </ol>		

Question	Guidance	Response	Evidence
	<p>rejection/failure or potential backlogs in data flow processing.</p> <ol style="list-style-type: none"> <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 BSCP505 and PSL1500.</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 addresses actions surrounding the follow up of those data flows specified in question 11.1.1 above.</p>		
<p>11.2.2 What procedures do you have in place to ensure that all transmission failures are detected and advised to sender and that any data validation failure results in a D0023 rejection?</p>	<p>Validation failure of the D0209 flow received from SMRA may result in the following:</p> <ol style="list-style-type: none"> <li>1. For file transmission failures a P0035 will be returned.</li> <li>2. For instruction processing errors a D0023 will be returned.</li> </ol> <p>The response should summarise local working procedures for this area and should include:</p>		

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	<ul style="list-style-type: none"> <li>a) Controls to detect all failures that have occurred.</li> <li>b) Controls to ensure that all failures result in the appropriate response to sender.</li> <li>c) Management monitoring of processes to detect whether there is any delay or backlog in sending the appropriate flows.</li> </ul>		
<p>11.2.3 What controls are in place to produce and send the D0235 report to the correct recipients in a complete, accurate and timely manner and to deal with any exceptions or rejections?</p>	<p>The D0235 report is considered to be a key control in the Settlement process. BSCP503 3.4.2 and Appendix 4.4 specifies the required procedures in relation to the performance of the aggregation run and Appendix 4.3 specifies the exceptions that should be identified during the aggregation run.</p> <p>The report is provided to the relevant Supplier and HHDC Agent.</p> <p>The response should address the following areas:</p> <ul style="list-style-type: none"> <li>1. Controls in place to ensure that D0235 reports are sent to the appropriate recipients.</li> <li>2. Management monitoring of processes to detect whether there is any delay or backlog in sending the exception reports.</li> </ul>		
<p>11.2.4 What procedures do you have in place to proactively monitor and improve the standards of quality of the data (both standing data and Meter advances) used by your Agency</p>	<p>The response should address the following areas:</p> <ul 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</li> </ul>		

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

**11.3 Additional information**

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