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Section 13 – SVA HHMOA

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 SVA HHMOA Agency Service to ensure the requirements of the BSC, BSCP514, BSCP550 and PSL1~~1~~00 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 SVA HHMOA Agent.
Guidance for completing this section
The SVA HHMOA is responsible for the installation and maintenance of half hourly Metering Systems. The SVA HHMOA is required to provide requested data to other Parties and to inform Parties impacted by any changes made to Metering Systems as set out in BSCP514 and BSCP550. The section is split as follows: **Business Processes and Mitigating Controls:** This section looks at the controls over the input of Metering System technical data or energisation status data received and the transmission of Metering System technical data, energisation status or Meter reads to HHDC Agents. It also considers the maintenance of standing data (which, if incorrect, may impact upon Settlement), 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 BSCP514 and PSL1~~1~~00. **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. 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.

13.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
13.1.1 How do you ensure that data is received and processed completely accurately and in a timely manner, in line with the requirements of BSCP514, BSCP550 and PSL1~~1~~00?	The SVA HHMOA receives a number of key inputs: 1. D0155, D0151, D0148 from Suppliers relating to appointments and Party Agent changes. (BSCP514 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.2.5, 5.2.6, 7.1, 7.2, 7.3 and 7.4). 2. D0170 from Suppliers, NHHDCs and other Metering System Operators requesting Metering System details. (BSCP514 5.2.1, 5.2.4, 5.2.5, 5.2.6, 7.3 and 7.4). 3. D0268, D0289, D0149, D0150, D0010 and D0215 from Suppliers, other Metering System Operators and LDSOs providing Metering System technical details or Metering System readings. (BSCP514 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.2.5, 5.3.5, 7.1, 7.2, 7.3 and 7.4). 4. D0134 and D0139 from Suppliers, other Metering System operators and LDSOs requesting and providing energisation status changes (BSCP514 5.3.1 and 5.3.2). 5. D0142 from Suppliers requesting installation, removal or changes to Metering Systems (BSCP514 5.3.3 5.3.4, 5.3.6, 7.1, 7.2 and 7.4). The response should address the following areas: a) All flows are identified, reviewed and authorised prior to processing. b) The validation of data for formats and lengths, e.g. the		

Question	Guidance	Response	Evidence
	MSID is valid. c) The validation of data for its internal consistency. d) Controls in place to ensure that all data required or expected is received. This may be through controls within the update routines or through manual controls.		
13.1.2 How do you ensure that once data has been collected that is has been passed to the appropriate recipient completely, accurately and in a timely manner.	The key inputs received are set out in 13.2.1 and where relevant the SVA HHMOA is required to take the appropriate action which might include, for example, the provision of Metering System technical details and Meter readings to other parties – notably to HHDC Agents. The response should address the following areas: 1. Controls should be in place to ensure that the appropriate action for each request or provision of data is taken, all instructions should be logged and progress monitored to ensure they are actioned in a timely manner. 2. Management should have monitoring controls in place in order to determine whether the appropriate action has been taken in each case. 3. Controls should be in place to ensure that data sent (regardless of method) has been sent to the appropriate recipient, has been authorised for sending and potentially any acknowledgement received has been checked - in an electronic environment these may include:		

Question	Guidance	Response	Evidence
	a) File sequence numbers are maintained to ensure that all are processed and in the correct order. b) Record counts and check sums are included in the data transmitted to ensure completeness. c) Receipt acknowledgements received are checked to ensure completeness of transmission (only relevant where the DTN has not been used).		
13.1.3 What controls do you have in place to ensure that data or Meter readings obtained by field operators is recorded completely and accurately in the SVA HHMOA database?	The response should address the following areas: 1. Standard forms/input methodologies should be used to collect and retain data from work schedules. 2. Scheduled work/site visits should be monitored against actual work/site visits performed. 3. Expected data/information to be received from the site visits should be measured against actual data/information received.		
13.1.4 How do you ensure that all installed Metering Systems either conform to the metering Codes of Practice (CoP) or that an appropriate Metering Dispensation has been obtained?	The response should address the following areas: 1. An inventory of all Metering Systems installed should be maintained which specifies all Metering System technical details – where relevant this should be supported by the appropriate certificates and paper work (e.g. CT/VT certificates) and an audit trail should be provided from the inventory to the physical documentation.		

Question	Guidance	Response	Evidence
	2. Controls should be in place to identify Metering Systems that require a dispensation and to monitor the expiry dates of any dispensations held. 3. An inventory of all Metering Systems which have a dispensation should be maintained, which specifies the duration of each.		
13.1.5 How will you ensure that you have appropriate audit trails in place to meet the audit trail requirements as set out in PSL1~~1~~0?	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 any changes to standing data held or used by the system. The audit trail and archiving requirements for SVA HHMOA are set out in PSL1~~1~~0 sections 10.2 and 10.3 ~~1.1.6~~.		
13.1.6 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL1~~1~~0 s~~S~~ections 10.2 and 10.3~~1.1.6~~?	Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for: 1. 28 months after the Settlement Day to which it relates on-line; 2. Until the date 40 months after the Settlement Day to which it relates in an archive; and 3. At the request of the Panel, for more than 40 months if needed for an Extra Settlement Determination. The response should address the following: a) Controls to ensure that any archived data can be retrieved within 10 Business Days.		

Question	Guidance	Response	Evidence
	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.		
13.1.7 What controls do you have in place to ensure that all commissioning tests are conducted to meet the requirements detailed in CoP 4, Appendix A?	The response should address the following areas: 1. Controls and procedures should be in place to identify all circumstances where a commissioning test is required. 2. All commissioning tests are performed in a timely manner (e.g. where applicable, prior to registration). 3. All relevant documentation is retained and is available for retrieval. 4. Transfer of documentation to the new SVA HHMOA on CoA. 5. Commissioning tests performed meet the requirements detailed in CoP 4, Appendix A.		

13.2 Exception management

Question	Guidance	Response	Evidence
13.2.1 What procedures are in place for identifying, monitoring and resolving unprocessed data flows or notification exceptions arising in processing and other	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 BSC514, BSCP550 or PSL1~~1~~0. This could consequentially have an adverse impact on other		

Question	Guidance	Response	Evidence
errors in order to ensure that service level requirements are met?	Party Agents or Market Participants. The response should address the following areas: 1. Internal reporting mechanisms are in place in order to monitor levels of rejections/failures and backlogs on a daily basis. 2. 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. 3. Management processes are in place to monitor performance against the standards as set out in BSCP514, BSCP550 and PSL1~~1~~0. 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. 5. A mechanism to capture any root causes of exceptions/problems should be established in order for preventative controls to be established or enhanced.		
13.2.2 What procedures do you have in place with respect to fault resolution, relating to both detection and responding to problem notifications from other parties?	A fault may be detected by a HHMOA, in which case the HHMOA contacts the HHDC and requests a decision on the action to be taken (D0002). Or, the HHMOA may initially be informed about the potential fault by the LDSO, where the HHMOA will notify the HHDC as to what action should be taken (D0002). (BSCP514 5.2.3, 5.3.3, 5.3.4 and 5.3.5).		

Question	Guidance	Response	Evidence
	Alternatively the HHDC or Supplier may request that the HHMOA investigates a potential fault (D0001). (BSCP514 5.4.1). The response should address the following areas: 1. All requests for investigation (D0001) or receipt of request for further action (D0002 or D0005) should be logged. 2. Controls should be in place in order to monitor the progress of each fault from original notification to resolution. 3. Ongoing monitoring of time taken to action specific requests/notifications should be carried out.		
13.2.3 How do you ensure that a proving test has been performed in all the required circumstances and that the methodology applied conforms to BSCP514?	BSCP514 5.5 sets out four methods for carrying out a proving test. A proving test is required when any or all of the following key data fields are changed whilst a Metering System is energised or if the change occurs whilst the Metering System is de-energised then will be required once the Metering System is energised: • Outstation Id. • Metering System Id (serial number). • Outstation number of channels. • Measurement Quantity Id. • Metering System multiplier.		

Question	Guidance	Response	Evidence
	• Pulse multiplier. • CT and / or VT Ratios. • Access to ME at Password Level 3. BSCP514 Appendix 8.3.1 to 8.3.5 sets out the detailed requirements for performing the proving tests. The response should address the following areas: 1. Controls and procedures should be in place to identify all circumstances where a proving test is required. 2. Communication with the HHDC Agents concerned should be established and the method of proving test to be employed should be agreed. 3. Management should have monitoring controls in place in order to determine whether the request to perform a proving test has been sent to the HHDC Agent in all required cases. 4. Management should have controls in place to ensure that the confirmation of the proving test result is sent as required by BSCP514 5.5.5. 5. Where a proving test fails progress should be tracked and monitored to ensure that a re-request or re-test is carried out.		
13.2.4 What procedures do you have in place to proactively monitor and improve the	The response should address the following areas: 1. Processes in place to measure and report upon data quality, (including what data quality is measured		

Question	Guidance	Response	Evidence
standards of quality of the data (both standing data and Meter reads) used by your Agency Service?	against and how you would identify an improvement or decline in the quality of data used by your Agency Service). 2. Review of data quality statistics by senior management.		

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Section 14 – SVA NHHMOA

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 SVA NHHMOA Agency Service to ensure the requirements of the BSC, BSCP514 and PSL1~~1~~0 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 SVA NHHMOA.

Guidance for completing this section

The SVA NHHMOA is responsible for the installation and maintenance of non half hourly Metering Systems. The SVA NHHMO is required to provide requested data to other Parties and to inform Parties impacted by any changes made to Metering Systems as set out in BSCP514. The section is split as follows:

Business Processes and Mitigating Controls: This section looks at the controls over the input of Metering System technical data or energisation status data received and the transmission of Metering System technical data, energisation status or Meter reads to NHHDC Agents. It also considers the maintenance of standing data (which, if incorrect, may impact upon Settlement), 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 BSCP514 and PSL11~~0~~0.

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

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.

14.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
14.1.1 How do you ensure that data is received and processed completely accurately and in a timely manner, in line with the requirements of BSCP514 and PSL1~~1~~0?	The SVA NHHMOA receives a number of key inputs: 1. D0155, D0151, D0148 from Suppliers relating to appointments and Party Agent changes (BSCP514 6.2.1, 6.2.2, 6.2.3, 6.2.4, 6.2.5, 7.1, 7.2, 7.3 and 7.4). 2. D0170 from Suppliers and other Meter Operators requesting Metering System details (BSCP514 6.2.1, 6.2.4, 7.1 and 7.2). 3. D0149, D0150, D0010, D0268, D0291 and D0215 from Suppliers, other Metering System Operators and LDSOs providing Metering System technical details or Meter readings (BSCP514 6.2.1, 6.2.2, 6.2.3, 6.2.4, 6.2.5, 6.3.3, 6.3.4, 6.3.5, 7.1, 7.2, 7.3 and 7.4). 4. D0134 and D0139 from Suppliers, other Metering System operators and LDSOs requesting and providing energisation status changes (BSCP514 6.3.1 and 6.3.2). 5. D0142 from Suppliers requesting installation, removal or changes to Metering Systems (BSCP514 6.2.2, 6.3.3, 6.3.4, 7.3 and 7.4). The response should address the following areas: 1. All flows are identified, reviewed and authorised prior to processing. 2. The validation of data for formats and lengths, e.g. the MSID is valid.		

Question	Guidance	Response	Evidence
	3. The validation of data for its internal consistency. 4. Controls in place to ensure that all data required or expected is received. This may be through controls within the update routines or through manual controls.		
14.1.2 How do you ensure that once data has been collected that is has been passed to the appropriate recipient completely, accurately and in a timely manner.	The key inputs received are set out in 14.2.1 and where relevant the SVA NHHMOA is required to take the appropriate action which might include the provision of Metering System technical details and Meter readings to other parties – notably to NHHDC Agents. The response should address the following areas: 1. Controls should be in place to ensure that the appropriate action for each request or provision of data is taken, all instructions should be logged and progress monitored to ensure they are actioned in a timely manner. 2. Management should have monitoring controls in place in order to determine whether the appropriate action has been taken in each case. 3. Controls should be in place to ensure that data sent (regardless of method) has been sent to the appropriate recipient, has been authorised for sending and potentially any acknowledgement received has been checked - in an electronic environment these may include: a) File sequence numbers are maintained to ensure that all are processed and in the correct		

Question	Guidance	Response	Evidence
	order. b) Record counts and check sums are included in the data transmitted to ensure completeness. c) Receipt acknowledgements received are checked to ensure completeness of transmission. d) Processes are in place to re-send transmissions should a failure occur.		
14.1.3 What controls do you have in place to ensure that data or Meter readings obtained by field operators are recorded completely and accurately in the SVA NHHMOA database and in a timely manner?	The response should address the following areas: 1. Standard forms/input methodologies should be used to collect and retain data from work schedules. 2. Scheduled work/site visits should be monitored against actual work/site visits performed. 3. Expected data/information to be received from the site visits should be measured against actual data/information received.		
14.1.4 How do you ensure that all installed Metering Systems either conform to the metering Code of Practice or that an appropriate Metering Dispensation has been obtained?	The response should address the following areas: 1. An inventory of all Metering Systems installed should be maintained which specifies all Metering System technical details – where relevant this should be supported by the appropriate certificates and paper work (e.g. CT/VT certificates) and an audit trail should be provided from the inventory to the physical documentation.		

Question	Guidance	Response	Evidence
	2. Controls should be in place to identify Metering Systems that require a dispensation and to monitor the expiry dates of any dispensations held. 3. An inventory of all Metering Systems which have a dispensation should be maintained which specifies the duration of each.		
14.1.5 How have you ensured that you have appropriate audit trails in place to meet the audit trail requirements as set out in PSL1~~1~~00?	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 any changes to standing data held or used by the system. The audit trail and archiving requirements for SVA NHHMOA are set out in PSL1~~1~~00 sections 10.2 and 10.3~~1.1.6~~.		
14.1.6 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL1~~1~~00 s~~S~~ection 10.2 and 10.3~~1.1.6~~?	Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for: 1. 28 months after the Settlement Day to which it relates on-line; 2. Until the date 40 months after the Settlement Day to which it relates in an archive; and 3. At the request of the Panel, for more than 40 months if needed for an Extra Settlement Determination. The response should address the following: a) Controls to ensure that any archived data can be retrieved within 10 Business Days.		

Question	Guidance	Response	Evidence
	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.		
14.1.7 What controls do you have in place to ensure that all commissioning tests are conducted to meet the requirements detailed in CoP 4, Appendix A?	The response should address the following areas: 1. Controls and procedures should be in place to identify all circumstances where a commissioning test is required. 2. All commissioning tests are performed in a timely manner (e.g. where applicable, prior to registration). 3. All relevant documentation is retained and is available for retrieval. 4. Transfer of documentation to the new SVA HHMOA on CoA. 5. Commissioning tests performed meet the requirements detailed in CoP 4, Appendix A.		

14.2 Exception management

Question	Guidance	Response	Evidence
14.2.1 What procedures are in place for identifying, monitoring and resolving unprocessed data flows or notification exceptions arising in processing and errors in	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 BSC514 or PSL1~~1~~0.		

Question	Guidance	Response	Evidence
order to ensure that service level requirements are met?	The response should address the following areas: 1. Internal reporting mechanisms are in place in order to monitor levels of rejections/failures and backlogs on a daily basis. 2. 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. 3. Management processes are in place to monitor performance against the standards as set out in BSCP514 and PSL1~~1~~0. 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. 5. A mechanism to capture any root causes of exceptions/problems should be established in order for preventative controls to be established or enhanced.		
14.2.2 What procedures do you have in place with respect to fault resolution, relating to both detection and responding to problem notifications from other parties?	A fault may be detected by a NHHMOA, in this case the NHHMOA contacts the NHHDC and requests a decision on the action to be taken (D0002) or the NHHMOA may initially be informed about the potential fault by the LDSO, again the NHHMOA will contact the NHHDC and request a decision as to what action should be taken (D0002). (BSCP514 6.2.3, 6.3.3, 6.3.4 and 6.3.5) Alternatively the NHHDC or Supplier may request that the		

Question	Guidance	Response	Evidence
	NHHMOA investigates a potential fault (D0001). (BSCP514 6.4.1) The response should address the following areas: 1. All requests for investigation (D0001) or receipt of request for further action (D0002 or D0005) should be logged. 2. Controls should be in place in order to monitor the progress of each fault from original notification to resolution. 3. Ongoing monitoring of time taken to action specific requests/notifications should be carried out.		
14.2.3 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 Service?	The response should address the following areas: 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). 2. Review of data quality statistics by senior management.		