

## Redlined Changes to BSCP537 Appendix 1 v3.0 as proposed by CP1233

### Section 10 – NHHDA

#### 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, BSCP505 and PSL1040 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 NHHDA agent.

#### Guidance for completing this section

The NHHDA agent aggregates non half hourly EAC and AA values received from NHHDC agents according to the registration data held by the SMRA. 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 EAC/AA values and the transmission of aggregated data to the SVAA agent. 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 PSL1040.

**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 flows received via the DTN and also manual data flows received via any other means (e.g. email, fax or letter).

## 10.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>10.1.1 How do you ensure that the data is received and processed completely, accurately and in a timely manner, inline with the requirements of BSCP505 and PSL1040?</p>	<p>The NHHDA receives a number of key inputs:</p> <ol style="list-style-type: none"> <li>1. Registration data from SMRA (standing data and Metering System data) on a D0209 data flow (BSCP505 3.2.1 and 3.2.2).</li> <li>2. EAC and AA data received from NHHDC agents on a D0019 data flow (BSCP505 3.3.1).</li> <li>3. MDD, Data Aggregation timetable and Settlement timetable on D0269, D0270 and D0286 data flows (BSCP505 3.1.3).</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 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.</li> <li>c) The validation of data for formats and lengths, e.g. the MSID is valid (instruction file validation BSCP505 Appendix 4.2.1).</li> <li>d) The validation of standing data received against the latest version of MDD, data items and combinations such as Profile Class, Standard Settlement Configuration, Data Aggregator ID, Data Collector ID, Meter Operator Agent ID, Supplier ID, Measurement</li> </ol>		

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	<p>class, GSP Group or energisation status (NHHDA appointment changes – BSCP505 4.2.2, NHHDC appointment changes - BSCP505 4.2.3).</p> <p>e) The validation of Metering System data received e.g. Measurement Class is non half hourly for the whole of the Meter Advance Period (MAP), Standard Settlement Configuration, Supplier, energisation status and Measurement Class have not changed in the middle of a MAP and sets of history data include Metering System data effective on the Settlement date of the earliest MAP (SVA Metering System standing data changes - BSCP505 4.2.4).</p> <p>f) The validation of consumption data received, e.g. all MAPs are contiguous and if data contains EAC and AA data then EAC effective from Settlement date is the day after the latest AA effective to Settlement date (NHHDC Consumption data BSCP505 4.2.6).</p> <p>g) The validation of data for its internal consistency.</p> <p>h) Controls to ensure that where MDD items are selectively applied to the database, that the appropriate items are selected and that all are applied completely and accurately. Please specify whether this process will require manual intervention.</p>		
10.1.2 How do you ensure that the aggregation process is performed in accordance with the	The NHHDA agent transmits the Supplier Purchase Matrix to SVAA on a D0041.		

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<p>Settlement timetable and that the transmission of the Supplier Purchase Matrix to the 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. All appropriate GSP Group combinations are included in the aggregation run.</li> <li>4. Aggregation runs and files sent are monitored/reviewed to ensure that timetables are met.</li> <li>5. File sequence numbers, record counts and check sums are included in the data transmitted to ensure completeness.</li> <li>6. Where the Data Transfer Network has not been utilised, receipt acknowledgements received from SVAA are checked to ensure completeness of transmission.</li> <li>7. Processes are in place to re-run an aggregation/transmission should processing problems be encountered.</li> </ol>		
<p>10.1.3 How will you ensure that a full refresh is requested from the SMRA at least once a year and that any selective refreshes are requested as required as per</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>1. Procedures should be in place to ensure that the NHHDA agent requests a full refresh from SMRA on an annual basis. (BSCCo have issued guidance on the processing of the refresh and have issued a timetable –</li> </ol>		

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BSCP505 section 3.2.3?	<p>discuss with BSCCo to obtain information).</p> <ol style="list-style-type: none"> <li>2. Procedures are in place to identify circumstances in which a selective refresh is required.</li> <li>3. Controls should be in place to ensure that where a selective refresh is required, the SMRA is notified in a timely manner.</li> <li>4. Controls should be in place to ensure that the refresh is applied in accordance with the requirements set out in BSCP505.</li> </ol>		
10.1.4 How have you ensured that you have appropriate audit trails in place?	<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 NHHDA are set out in PSL1040 sections <del>1-1-6</del>10.2 and 10.3.</p>		
10.1.5 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL1040 Sections <del>1-1-6</del> 10.2 and 10.3?	<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</li> </ol>		

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	<p>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> <p>The response should address the following:</p> <p>4. Controls to ensure that any archived data can be retrieved within 10 Business Days.</p> <p>5. 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.</p>		
<p>10.1.6 What version of the NHHDA software will you go-live with and how will you ensure that the correct version is used on an ongoing basis?</p>	<p>Change management procedures should be detailed in section 5. In addition to providing information as to version of software at go-live provide any additional controls with respect to version control if not covered by section 5.</p> <p>The response should address the following areas:</p> <p>1. Controls should be in place to ensure that the developer supports the version of software in use.</p> <p>2. On an ongoing basis, controls should be in place to ensure that, as new versions of software are received and implemented, that these are tested in the Party Agent's own environment – i.e. some form of user acceptance testing is carried out and where relevant regression testing.</p>		

## 10.2 Exception management

Question	Guidance	Response	Evidence
<p>10.2.1 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 BSCP505 <del>or PSL140</del>. The performance standards to be attained are set out in <del>PSL140 Appendix 5</del><u>BSCP505 Section 4.8</u>.</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 BSCP505 <del>and PSL140</del>.</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</li> </ol>		

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	<p>preventative controls to be established or enhanced.</p> <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 10.1.1 above.</p>		
<p>10.2.2 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 may result in the following:</p> <ol style="list-style-type: none"> <li>1. For file transmission failures a P0035 flow 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 address the following:</p> <ol style="list-style-type: none"> <li>1. Controls to detect all failures that have occurred.</li> <li>2. Controls to ensure that all failures result in the appropriate response to sender.</li> <li>3. Management monitoring of processes to detect whether there is any delay or backlog in sending the appropriate flows.</li> <li>4. Processes are in place to re-send transmissions should a failure occur.</li> </ol>		
<p>10.2.3 What controls are in place to send the D0095 to the correct recipient in a complete, accurate and timely manner and to deal</p>	<p>The D0095 report is considered to be a key control in the Settlement process. BSCP505 3.3.3 specifies the required procedures in relation to the production of the D0095 report.</p> <p>The NHHDA agent is responsible for generation of the D0095</p>		

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with any exceptions or rejections?	<p>'Check Data Collector' report. A suggested timetable is published on the BSCCo website.</p> <p>The report is provided to the Metering System Supplier and shows the following:</p> <ol style="list-style-type: none"> <li>1. Where no instruction affecting the individual Metering System concerned has been received since the exception was recorded then the exception is ignored as it has not been affected.</li> <li>2. Where an instruction affecting an individual Metering System has been received since the exception was recorded then the exception record is deleted.</li> <li>3. Where an inconsistency still remains after the new instruction has been processed then a new exception record is created.</li> </ol> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> <li>a) Controls should be in place to ensure that all requested D0095 reports are sent in the appropriate format to each Supplier in accordance with the timetable.</li> <li>b) Management monitoring processes to detect whether there is any backlog or delay in sending the exception report.</li> </ol>		
10.2.4 What procedures do you have in place to proactively monitor and improve the standards of quality of the data	<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</li> </ol>		

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(both standing data and Meter advances) used by your Agency Service?	<p>in the quality of data used by your Agency Service.</p> <p>2. Review of data quality statistics by senior management.</p>		

### 10.3 Additional information

Question	Guidance	Response	
10.3.1 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>		