# Change Proposal – F40/02 (Page 1 of 2)

**CP No: 588**
*(mandatory by BSCCo)*

**Title** *(mandatory by originator)*

**Data Receipt and Validation by the SAA**

**Description of Change** *(mandatory by originator)*

Section T 1.4 of the BSC Code v.1.1 describes the process to be followed by the SAA when data required for Settlement Runs is missing or invalid. It places an obligation on the SAA to decide whether the missing or invalid information makes up a significant proportion of the total Settlement data and sets out different options accordingly. Reference is made to BSCP01, and here each inbound data flow to the SAA is listed along with the procedure to be followed when the data is, in the SAA's opinion a significant or insignificant proportion of the Settlement Data. The procedure has two possible outcomes: BSCCo can send the SAA default data to be used in the Settlement Run in place of any invalid or missing information; or BSCCo can instruct the SAA to delay the Run until all the required data has been collected.

The URS section SAA-F009, v.2.4 makes clear that when there is missing or invalid Settlement data, the SAA is expected to take remedial action with the relevant Agents and Parties in order to obtain the required information. However, no mention is made of the processes required by the Code.

This change proposal addresses Workaround 22 (a copy of which is attached) and NETA Issue 143.

## Proposed Solution(s) (mandatory by originator)

A change is suggested to section F002 of the SAA URS to include the following process:

1. *All received input data to the SAA shall be validated, according to Code section T and BSCP01, to confirm that it exists and is in the correct format to enable a Settlement Run to be executed. If expected settlement data is not received or is invalid the SAA shall take remedial action to obtain complete and corrected data from the relevant service, e.g. CRA, CDCA, ECVAA, BMRA, ECVAA, SO or BSC Party.*

2. *If, by the time the SAA is scheduled to carry out a Settlement Run, data is still missing or invalid, the SAA shall decide whether this data forms a significant proportion of the total data required for the Run to be performed.*

   a) *If this proportion is considered significant, the SAA shall assess whether it can expect to receive correct and complete data by the end of the following Business Day and inform BSCCo.*

   b) *If this proportion is not considered to be significant, or if BSCCo has already granted a delay and the data has still not been received, the SAA shall inform BSCCo.*

3.

   a) *If the proportion of invalid or missing data is significant, BSCCo will instruct the SAA to delay the Settlement Run until all the relevant data has been collected.*

   b) *If the proportion is not significant, or if a delay has already been granted, the SAA shall receive default data from BSCCo to be used in the Settlement Run in place of the missing or invalid information.*

The SAA Service Description should also be amended to make clear that the SAA is expected to perform a validation check on all its inbound data, and to inform BSCCo in accordance with Code section T and BSCP01.

The procedure by which default data is actually entered into the Settlement Run process is a systems issue for Logica rather than an ELEXON decision.

**Justification for Change** *(mandatory by originator)*

The SAA Documentation does not contain any procedures to be followed when, by the scheduled start of a Settlement Run, the relevant data has still not been collected. Although the SAA is told to take remedial action with Parties and Agents to solve the problem, the detailed process of informing ELEXON and using default data is not mentioned.

**Other Configurable Items Potentially Affected by Proposed Solution(s)** *(optional by BSCCo)*

**Impact on Core Industry Documents** *(optional by originator)*

SAA URS & Service Description, Logica IDD

**Related Changes and/or Projects** *(mandatory by BSCCo)*

***Originator's Details:***

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***Date: 25/5/01***

***[BSC Panel Representative]:***

***Organisation:***

Attachments: Y (If Yes, No. of Pages attached: 4.)
*(delete as appropriate)*

1.1. NETA Programme Workaround Form

| | | | |
|---|---|---|---|
| **Workaround Number: W022** | **NCR, Problem or Issue #: Issues 155 & 156** | | |
| **Workaround Name: Handling of Missing or Invalid Data at SAA** | **Status:** | **Under Development** | In Use / Closed |
| **Identified By: John Lucas** | **Date Submitted: 29 March 2001** | | |
| **CDA Owner: Alex Kopatos-Ferrer** | **Expected Implementation Date: 02 April 2001** | | |

**Description of Problem:**

Clause T1.4 of the BSC and the associated procedure BSCP01 describe the following process for dealing with missing input data to the SAA system:

- If data is still missing or invalid by the scheduled SAA run time (i.e. all efforts to chase up the missing data with the originator have failed), SAA should inform ELEXON.

- ELEXON will then instruct SAA either to delay the run, or to substitute appropriate default data. (In practice, this decision will be made in accordance with internal ELEXON procedures developed prior to Go-Live).

In order to support this process, SAA need to have procedures in place for:

1. Checking prior to each SAA run whether the inbound data is "missing or invalid".
2. Informing ELEXON if this is the case.
3. Delaying the run, or entering substitute data, as specified by ELEXON.

Currently the OSM and the SAA system do not fully support this process, and a workaround is therefore required.

**Cause of Problem:**

It would appear that the SAA OSM and software were developed independently of the BSC and BSCP, resulting in the discrepancy described above.

**Description of Proposed Workaround:**

The workaround will function as follows:

- SAA will check prior to each run of the system whether any inbound data is missing or invalid. The table attached to this workaround states, for each of the inbound data flows to SAA, whether procedures to do this are already in place, or whether a specific workaround is required.
- If data is missing or invalid, and SAA are unable to obtain correct data prior to the planned run time, they will inform the ELEXON help desk (stating that the call relates to missing SAA data, and that the priority is high).
- If ELEXON provides default data, SAA will enter this into the system, and proceed with the run. The table attached to this workaround also identifies the method to be used for entering the substitute data.

**Confirmation of testing carried out on Proposed Workaround:**

**Any specified constraints on the application of Proposed Workaround:**

| **Resolution NCR Number:** | **Expected Workaround Removal Date:** |
|---|---|
| | |

| **Operational Impact Assessment(s):** | |
|---|---|
| **Elexon** | Required |
| **LRCA** | - |
| **Logica** | Required |
| **NGC** | - |
| **EPFAL** | - |
| **CaSM** | - |
| **Testing** | - |
| **Pre-production** | Required |
| **Data Aggregation** | - |
| **Participants** | - |

| **Initial Commercial Assessment** | |
|---|---|
| **Logica** | Required |
| **EPFAL** | - |

| **Distribution List:** | **Required:** | **Date sent:** |
|---|---|---|
| **Elexon** | **X** | |
| **LRCA** | **-** | |

| | | |
|---|---|---|
| **Logica** | **X** | |
| **EPFAL** | **-** | |
| **NGC** | **-** | |
| **Testing** | **-** | |
| **Pre-production** | **X** | |
| **Data Aggregation** | **-** | |
| **CaSM** | **-** | |
| **Participants** | **-** | |
| **Web-site** | **X** | |

| | |
|---|---|
| **Deliverables Impacted** | |
| **Product:** | **Version:** |
| **None** | |
| | |

## Appendix 1 – Workarounds Required for Each Input Flow

The following table lists the following for each of the inbound data flows to SAA:

- The workaround (if any) required to ensure that SAA detects missing or invalid data.
- The workaround (if any) required to allow default data specified by ELEXON to be entered into SAA.

It should be noted that the checks listed below are mainly aimed at detecting missing data, rather than invalid data. If experience Post Go-Live indicates that invalid data is entering settlement, ELEXON may need to consider whether additional checks are appropriate.

In some cases, the table below specifies that manual screens will be used for entering default data into the SAA system. The assumption behind this is that volumes will be low. If this proves not to be the case, additional workarounds for loading data into SAA will have to be developed Post Go-Live.

| Inbound Data Flow | Workaround for Detecting Missing or Invalid Data | Workaround for Entering Default Data into System |
|---|---|---|
| Final Physical Notification (FPN) | Check that FPN data has been provided for all BM Units with the FPN Flag set, or Bid Offer data provided. (ELEXON understand from Logica that the system may already include this check, in which case no additional workaround is required.) | Default data will be entered manually. (Note that workaround W018 allows NGC to provide manual corrections and additions to FPN data. In most cases this workaround would be used as the means of providing missing FPN data.) |
| Balancing Services Adjustment Data | Manual check that data has been explicitly provided and successfully entered, prior to initiating run. (N.B. The system does contain functionality to default to the last Settlement Period for which data was submitted. The intention of this manual check is to give ELEXON the opportunity to override this system default.) | Default data will be entered manually. |
| Bid / Offer data | Check that Bid / Offer data has been provided for any BM Unit with a Bid Offer Acceptance. (ELEXON understand from Logica that the system may already include this check, in which case no additional workaround is required.) | Default data will be entered manually. (Note that workaround W018 allows NGC to provide manual corrections and additions to Bid / Offer data. In most cases this workaround would be used as the means of providing missing Bid / Offer data.) |
| Bid / Offer acceptances | Only feasible check is for out-of-sequence files. (ELEXON understand from Logica that the system may already include this check, in which case no additional workaround is required.) | Default data will be entered manually. (Note that workaround W018 allows NGC to provide manual corrections and additions to Acceptance data. In most cases this workaround would be used as the means of providing missing Acceptance data.) |

| | | |
|---|---|---|
| Deemed Interconnector Data | Check that data has been received for each interconnector[1]. (ELEXON understand from Logica that the system may already include this check, in which case no additional workaround is required.) | Logica will construct a flat file containing the default data specified by ELEXON, and adjust sequence numbers in order to allow it to be loaded. |
| Bilateral Contract Volumes, Metered Volume Reallocations | Check that data has been received from ECVAA system. (ELEXON understand from Logica that the system may already include this check, in which case no additional workaround is required.) | Assuming ECVAA software is functioning, any problem will be resolved at ECVAA, and the issue doesn't arise at SAA.<br>In the unlikely event of complete unavailability of the ECVAA software, the workaround would be to construct a flat file containing the default data specified by ELEXON, and adjust sequence numbers in order to allow it to be loaded. |
| CVA Metered Volumes, GSP Group Take, Interconnector Metered Volumes | Manual check that CDCA run has taken place. (Because CDCA and SAA share a common database, the results of the CDCA run will automatically be available to SAA, provided the aggregation run took place.) | Assuming CDCA software is functioning, any problem will be resolved at CDCA, and the issue doesn't arise at SAA.<br>In the unlikely event that the CDCA aggregation run cannot be completed, Logica would populate the database tables with the default data specified by ELEXON, using a database script or other appropriate mechanism. |
| SVA Metered Data | Check that file received, BM Units are registered, and volumes sum to the GSP Group Take on which the SVAA run was based. (ELEXON understand from Logica that the system may already include these checks, in which case no additional workaround is required.) | SVAA has the ability to construct SVA volumes, even if the SVAA software fails. Therefore no workaround for entering data into SAA is required. |

[1] BSCP 04 specifies a process for ensuring that these files are received. It would only be if this process had failed that data would still be missing at the point of the settlement run.