



Redlined BSCP537 Appendix 1 text for CP1498 'Updates to BSCP537 Appendix 1 'Self-Assessment Document' to incorporate an additional question for Meter Operator Agents on Meter Operation Code of Practice Agreement Accreditation'.

This CP proposes changes to BSCP537 Appendix 1 sections 13.1, 14.1 and 15.1.

We have redlined these changes against Version 13.0.

We have also included some additional Housekeeping changes to sections 8.2 and 16.1.

Amend section 8.2 as follows:

8.2 Exception Management

Question	Guidance	Response	Evidence
<p>8.2.1 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 result in the timescale requirements, as set out in BSCP504 or PSL100, being exceeded. This could consequentially have an adverse impact on the quality of data used by other Party Agents or Parties in the Settlement process.</p> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> (1) The internal reporting mechanisms in place to identify rejections, errors and backlogs in data processing on a daily basis. (2) The ongoing analysis performed to identify: <ol style="list-style-type: none"> (a) all points of rejection/failure in data flow processing. (b) all areas where backlogs may occur in processing e.g. where there are dependent flows such as D0149/D0150/D0313 data flows or where manual review is required to validate data. (3) Management processes in place to monitor performance against the standards as set out in BSCP504. (4) Procedures setting out the action to be taken to resolve different exception types and provide guidance as to how to resolve underlying 		

Question	Guidance	Response	Evidence
	<p>problems, which may be preventing a data flow/notification from processing.</p> <p>(5) A mechanism to capture any root causes of exceptions/problems should be established in order for 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 8.1.1 above and also addresses the following:</p> <ul style="list-style-type: none"> • EAC/AA requests. • D0010 – electronic Meter reads. • Manual reads. • Failed reads. <p>For Meter reads controls should be in place to monitor and review the level of manual validation override performed by operators (in order to determine how often reads that have initially failed validation have then subsequently processed as a result of the application of judgement by the operator). Specify the processes and procedures that will be in place to ensure that where manual validation override is applied it is carried out completely and accurately and only in the appropriate circumstances.</p> <p>[Housekeeping] BSCP504 Appendix 4.78 sets out the limited circumstances in which a Meter read which has failed validation can be manually adjusted and subsequently re-processed. Controls should be in place to ensure that adjustment is only applied in the circumstances set out in the BSCP. Management</p>		

Question	Guidance	Response	Evidence
	controls should be in place to monitor and review this activity.		
8.2.2 How do you ensure that all P35 and D0023 flows received from Data Aggregators are identified, investigated and resolved?	<p>Questions 8.1.9 addresses the sending of Metering System EAC/AA data on a D0019 data flow to the appointed NHHDA. If the D0019 is rejected by the NHHDA, the following may be returned to the NHHDC:</p> <ul style="list-style-type: none"> (1) For transmission problems an Invalid Instruction P0035 data flow will be returned. (2) For instruction level validation problems a failed instruction on a D0023 data flow will be sent. <p>The response should address the following areas:</p> <ul style="list-style-type: none"> (a) Controls to identify when these rejection data flows are received. (b) The action required to follow up the error should be detailed, including notifying the Data Aggregator and/or registered Supplier where the NHHDC considers the fault to lie with other parties' systems/processes. (c) Procedures to identify whether a file resend or new D0019 is the appropriate response. (d) The timescales within which actions should be taken to resolve the P0035/D0023. (e) Management monitoring processes to ensure all P0035/D0023 data flows received are being progressed and 		

Question	Guidance	Response	Evidence
	resolved in a timely manner.		
8.2.3 What procedures do you have for identifying and resolving data discrepancies between your NHHDC Agency Service and the SMRA (reported via the D0095 data flow)?	<p>The NHHDA system performs a comparison between the data it receives from both the SMRA and the NHHDC Agent. Any discrepancies arising from this comparison would then be notified to the Supplier on the NHHDA exception report (on a D0095 data flow). The Supplier may then report these discrepancies to the NHHDC Agent for resolution/investigation.</p> <p>The response should address the following areas:</p> <ol style="list-style-type: none"> (1) The controls and processes in place to resolve any exceptions reported on the D0095 data flows received from Suppliers, including procedures which specify the action to be taken for each error code reported. (2) The monitoring controls in place for analysing and controlling the level of outstanding D0095 exceptions in order to facilitate root cause analysis. 		
8.2.4 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 Service?	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> (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. 		

Amend section 13.1 as follows:

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 PSL100 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 HHDC-serviced Metering Systems¹. 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 BSCP514 and in PSL100.

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
<p>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 PSL100?</p>	<p>The SVA HHMOA receives a number of key inputs:</p> <ul style="list-style-type: none"> (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, D0313, 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). <p>The response should address the following areas:</p> <ul style="list-style-type: none"> (a) All flows are identified, reviewed and authorised prior to processing. (b) The validation of data for formats and lengths, e.g. the MSID is valid. (c) The validation of data for its internal 		

Question	Guidance	Response	Evidence
	<p>consistency.</p> <p>(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.</p>		
<p>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.</p>	<p>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.</p> <p>The response should address the following areas:</p> <p>(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.</p> <p>(2). Management should have monitoring controls in place in order to determine whether the appropriate action has been taken in each case.</p> <p>(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:</p> <p>(a) File sequence numbers are maintained to ensure that all are processed and in the correct order.</p> <p>(b) Record counts and check sums are</p>		

Question	Guidance	Response	Evidence
	<p>included in the data transmitted to ensure completeness.</p> <p>(c) Receipt acknowledgements received are checked to ensure completeness of transmission (only relevant where the DTN has not been used).</p>		
13.1.3 What controls do you have in place to ensure that data (including commissioning records) or Meter readings obtained by field operators is recorded completely and accurately in the SVA HHMOA database?	<p>The response should address the following areas:</p> <p>(1) Standard forms/input methodologies should be used to collect and retain data from work schedules.</p> <p>(2) Scheduled work/site visits should be monitored against actual work/site visits performed.</p> <p>(3) Expected data/information to be received from the site visits should be measured against actual data/information received.</p>		
13.1.4 <u>Are you signed up to the Meter Operation Code of Practice Agreement (MOCOPA®)?</u>	<p><u>The MOCOPA® is an agreement between electricity distribution businesses and electricity Meter operators in Great Britain which defines safety, technical and business interface requirements regarding the provision of Meter operation services.</u></p> <p><u>The response should detail the processes and controls in place to address the following:</u></p> <p><u>(1) Do you intend to use a third party agent(s) to carry out any of the functions of a MOA on your behalf, e.g. install, commission, test, maintain, rectify faults or provide a sealing service in respect of Metering Equipment? If so, and the</u></p>		

Question	Guidance	Response	Evidence
	<p><u>function(s) require it, is the third party agent MOCOPA® accredited? If they are not yet MOCOPA® accredited and they should be to carry out the function they perform on your behalf, what actions and timescales do you have in place to ensure the third party agent obtains MOCOPA® accreditation? How will you ensure, where applicable to that function, that the third party agent(s) MOCOPA® accreditation status is maintained on an ongoing basis?</u></p> <p><u>(2) List the third party agent(s) that you intend to use to carry out any function(s) of a MOA on your behalf. Please provide a brief description of the function each third party agent performs on your behalf and, where applicable to that function, their MOCOPA® accreditation status (e.g. N/A to the function or MOCOPA® accredited / MOCOPA® accreditation in progress).</u></p>		
<p>13.1.45 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?</p>	<p>The response should address the following areas:</p> <p>(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.</p> <p>(2) Controls should be in place to identify Metering Systems that require a dispensation and to monitor the expiry dates of any dispensations held.</p>		

Question	Guidance	Response	Evidence
	(3) An inventory of all Metering Systems which have a dispensation should be maintained, which specifies the duration of each.		
13.1. 56 What controls and procedures do you have in place to ensure that the requirements of BSCP533 are met?	<p>The response should address the following:</p> <ul style="list-style-type: none"> (1) Calculations are in accordance with the calculation guidelines specified in BSCP533 Appendix B PARMS Calculation Guidelines. (2) Submissions are in accordance with BSCP533. (3) Data is submitted in the required file format specification (in accordance with BSCP533 Appendix A PARMS Data Provider File Formats). (4) Controls in place for data validity and completeness. (5) Demonstration of a full understanding of, and capability to fulfil, the obligations and requirements of PARMS. 		
13.1. 76 How will you ensure that you have appropriate audit trails in place to meet the audit trail requirements as set out in PSL100?	<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 any changes to standing data held or used by the system.</p> <p>The audit trail and archiving requirements for SVA HHMOA are set out in PSL100 sections 10.2 and 10.3.</p>		
13.1. 78 How have you ensured that you can meet the	Section U1.6 sets out the requirements on Parties and their Party Agents to retain Settlement Data for:		

Question	Guidance	Response	Evidence
<p>data retention requirements set out in BSC Section U1.6 and PSL100 sections 10.2 and 10.3?</p>	<p>(1) 28 months after the Settlement Day to which it relates on-line;</p> <p>(2) Until the date 40 months after the Settlement Day to 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>(a) Controls to ensure that any archived data can be retrieved within 10 Business Days.</p> <p>(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.</p>		
<p>13.1.98 What controls do you have in place to ensure that all commissioning tests are conducted to meet the requirements detailed in CoP 4 for all types of Meters (including whole current metering)?</p>	<p>The response should address the following areas:</p> <p>(1) Contacts and lines of communication that are established and maintained with the Equipment Owner (Section L 3.1.2) to ensure that full commissioning can be performed in accordance with CoP 4.</p> <p>(2) Controls and procedures should be in place to identify all circumstances where a commissioning test is required, regardless of who is required to commission particular items of Metering Equipment (e.g. measurement transformers owned by the relevant BSC Party (e.g. Transmission Company or LDSO, as applicable)) that make up and/or will make up the Metering System.</p>		

Question	Guidance	Response	Evidence
	<p>(3) All commissioning tests are performed in accordance with the timescales outlined in BSCP514.</p> <p>(4) Controls and procedures which exist to assess the quality of commissioning test results and records.</p> <p>(5) All relevant documentation is:</p> <ul style="list-style-type: none"> (i) received (where necessary) from the relevant BSC Party (the Equipment Owner) responsible for commissioning the item of Metering Equipment (in particular measurement transformers owned by the Transmission Company or LDSO, as applicable); (ii) retained; and (iii) is available for retrieval. <p>(6) Detail how you will transfer documentation to the new SVA HHMOA on CoA and to the Registrant for notification of commissioning test results.</p> <p>(7) Commissioning tests performed meet the requirements detailed in CoP 4, and the Registrant is notified that commissioning of the Metering System is completed, or the Registrant is notified of any defects or omissions in that process.</p>		

Amend section 14.1 as follows:

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 PSL100 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 and Supplier-serviced Metering Systems². 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 PSL100.

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 PSL100?	<p>The SVA NHHMOA receives a number of key inputs:</p> <ol style="list-style-type: none"> (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, D0313, 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). <p>The response should address the following areas:</p> <ol style="list-style-type: none"> (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. (3). The validation of data for its internal 		

Question	Guidance	Response	Evidence
	<p>consistency.</p> <p>(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.</p>		
<p>14.1.2 How do you ensure that once data has been collected that it has been passed to the appropriate recipient completely, accurately and in a timely manner.</p>	<p>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 (and HHDC Agents for Supplier-serviced Metering Systems).</p> <p>The response should address the following areas:</p> <p>(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.</p> <p>(2) Management should have monitoring controls in place in order to determine whether the appropriate action has been taken in each case.</p> <p>(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:</p> <p>(a) File sequence numbers are maintained to ensure that all are processed and in the correct order.</p>		

Question	Guidance	Response	Evidence
	<p>(b) Record counts and check sums are included in the data transmitted to ensure completeness.</p> <p>(c) Receipt acknowledgements received are checked to ensure completeness of transmission.</p> <p>(d) Processes are in place to re-send transmissions should a failure occur.</p>		
14.1.3 What controls do you have in place to ensure that data (including commissioning records) or Meter readings obtained by field operators are recorded completely and accurately in the SVA NHHMOA database and in a timely manner?	<p>The response should address the following areas:</p> <p>(1) Standard forms/input methodologies should be used to collect and retain data from work schedules.</p> <p>(2) Scheduled work/site visits should be monitored against actual work/site visits performed.</p> <p>(3) Expected data/information to be received from the site visits should be measured against actual data/information received.</p>		
14.1.4 <u>Are you signed up to the MOCOPA®?</u>	<p><u>The MOCOPA® accreditation is an agreement between electricity distribution businesses and electricity Meter operators in Great Britain which defines safety, technical and business interface requirements regarding the provision of Meter operation services.</u></p> <p><u>The response should detail the processes and controls in place to address the following:</u></p> <p><u>(1) Do you intend to use a third party agent(s) to carry out any of the functions of a MOA on your behalf, e.g. install, commission, test, maintain,</u></p>		

Question	Guidance	Response	Evidence
	<p><u>rectify faults or provide a sealing service in respect of Metering Equipment? If so, and the function(s) require it, is the third party agent MOCOPA® accredited? If they are not yet MOCOPA® accredited and they should be to carry out the function they perform on your behalf, what actions and timescales do you have in place to ensure the third party agent obtains MOCOPA® accreditation? How will you ensure, where applicable to that function, that the third party agent(s) MOCOPA® accreditation status is maintained on an ongoing basis?</u></p> <p><u>(2) List the third party agent(s) that you intend to use to carry out any function(s) of a MOA on your behalf. Please provide a brief description of the function each third party agent performs on your behalf and, where applicable to that function, their MOCOPA® accreditation status (e.g. N/A to the function or MOCOPA® accredited/ MOCOPA® accreditation in progress).</u></p>		
<p>14.1.54 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?</p>	<p>The response should address the following areas:</p> <p>(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.</p> <p>(2) Controls should be in place to identify Metering Systems that require a dispensation and to</p>		

Question	Guidance	Response	Evidence
	<p>monitor the expiry dates of any dispensations held.</p> <p>(3) An inventory of all Metering Systems which have a dispensation should be maintained which specifies the duration of each.</p>		
14.1. 65 What controls and procedures do you have in place to ensure that the requirements of BSCP533 are met?	<p>The response should address the following:</p> <p>(1) Calculations are in accordance with the calculation guidelines specified in BSCP533 Appendix B PARMS Calculation Guidelines.</p> <p>(2) Submissions are in accordance with BSCP533.</p> <p>(3) Data is submitted in the required file format specification (in accordance with BSCP533 Appendix A PARMS Data Provider File Formats).</p> <p>(4) Controls in place for data validity and completeness.</p> <p>(5) Demonstration of a full understanding of, and capability to fulfil, the obligations and requirements of PARMS.</p>		
14.1. 67 How have you ensured that you have appropriate audit trails in place to meet the audit trail requirements as set out in PSL100?	<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 any changes to standing data held or used by the system.</p> <p>The audit trail and archiving requirements for SVA NHHMOA are set out in PSL100 sections 10.2 and 10.3.</p>		
14.1. 87 How have you ensured	Section U1.6 sets out the requirements on Parties and		

Question	Guidance	Response	Evidence
<p>that you can meet the data retention requirements set out in BSC Section U1.6 and PSL100 section 10.2 and 10.3?</p>	<p>their Party Agents to retain Settlement Data for:</p> <ol style="list-style-type: none"> (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. <p>The response should address the following:</p> <ol style="list-style-type: none"> (a) Controls to ensure that any archived data can be retrieved within 10 Business Days. (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. 		
<p>14.1.98 What controls do you have in place to ensure that all commissioning tests are conducted to meet the requirements detailed in CoP 4 for all types of Meters (including whole current metering)?</p>	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> (1) Contacts and lines of communication that are established and maintained with the Equipment Owner (Section L 3.1.2) to ensure that full commissioning can be performed in accordance with CoP 4. (2) Controls and procedures should be in place to identify all circumstances where a commissioning test is required. (3) All commissioning tests are performed in a timely manner (e.g. where applicable, prior to registration). (4) Controls and procedures which exist to assess the quality of commissioning test results and 		

Question	Guidance	Response	Evidence
	<p>records.</p> <p>(5) All relevant documentation is retained and is available for retrieval.</p> <p>(6) Detail how you will transfer documentation to the new SVA HHMOA on CoA.</p> <p>(7) Commissioning tests performed meet the requirements detailed in CoP 4.</p>		

Amend section 15.1 as follows:

SECTION 15 – CVA MOA

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 CVA HHMOA Agency Service to ensure the requirements of the BSC, BSCP20, BSCP02, BSCP06 and PSL100 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 CVA MOA Agent.

Guidance for completing this section

The CVA MOA Agent is responsible for the installation and maintenance of CVA Metering Systems. The CVA MOA Agent 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 BSCP20. 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 Metering System reads to the CDCA Agent and the CRA. 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 BSCP06 and PSL100.

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 the Agency Service will rely on both system and manual processes to effectively fulfil its obligations. Due to their size and complexity it is not uncommon for a CVA MOA to be responsible for only a small number of Metering Systems, as a result it is likely that the CVA MOA system will be a Simple one. Responses should consider the procedures in place for dealing with information received in any relevant medium either electronically or manually e.g. email, fax, letter.

15.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
<p>15.1.1 How do you ensure that you have a complete record for each Metering System and that this is updated for all changes?</p>	<p>BSCP06 section 1.5.2 (a) sets out the details of information that should be recorded for each Metering System. In addition the CVA MOA will receive a number of communications from other Parties as follows:</p> <ul style="list-style-type: none"> (1) The MSID for a Metering System on registration of a new Metering System (BSCP20 3.1.6 and 3.8.16). (2) BSCP20/4.8 form from the Registrant appointing new CVA MOA (BSCP20 3.4). (3) Communications from CDCA with respect to MTD changes and proving tests. <p>The response should address the following areas:</p> <ul style="list-style-type: none"> (a) 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. (b) All received forms/notifications should be identified, reviewed and authorised prior to response. (c) Procedures should be in place to ensure that the inventory is updated for all changes (either as notified by other Parties or as a result of information gathered by field 		

Question	Guidance	Response	Evidence
	<p>operators).</p> <p>(d) Expected data/information to be received from site visits should be measured against actual data/information received.</p> <p>(e) Scheduled work/site visits should be monitored against actual work/site visits performed.</p> <p>(f) Evidence should be retained as to who received any form/notification, when and what was updated to the CVA MOA inventory.</p> <p>(g) Controls should be in place to ensure that the appropriate action for each request or provision of data is taken, all instructions/communications should be logged and progress monitored to ensure they are actioned in a timely manner.</p>		
<p>15.1.2 How do you ensure that any changes made to Metering System technical details are updated to the CDCA?</p>	<p>BSCP20 3.5 and BSCP06 section 1.5.4 require the CVA MOA to update the CDCA using form BSCP20/4.3 of any changes to Metering System technical details or energisation status and where relevant to provide Meter reads and proving test dates in accordance with BSCP02.</p> <p>The response should address the following areas:</p> <p>(1) The authorised person is required to sign the form (BSCP38).</p> <p>(2) Procedures should specify the action to be taken to ensure that the form is sent to the CDCA within the required timescale.</p> <p>(3) Controls should be in place to ensure that data</p>		

Question	Guidance	Response	Evidence
	sent (regardless of method) has been sent to the appropriate recipient, has been authorised for sending and potentially any acknowledgement received has been checked.		
<p><u>15.1.3 Are you signed up to the MOCOPA®?</u></p> <p><u>(Mandatory question in respect of CVA MOAs who intend to work on CVA Metering Equipment associated with a Boundary Point to a distribution system or a systems connection point but not required for other CVA MOAs).</u></p>	<p><u>The MOCOPA® is an agreement between electricity distribution businesses and electricity Meter operators in Great Britain which defines safety, technical and business interface requirements regarding the provision of Meter operation services.</u></p> <p><u>The response should detail the processes and controls in place to address the following:</u></p> <p><u>(1) Do you intend to use a third party agent(s) to carry out any of the functions of a MOA on your behalf, e.g. install, commission, test, maintain, rectify faults or provide a sealing service in respect of Metering Equipment? If so, and the function(s) require it, is the third party agent MOCOPA® accredited? If they are not yet MOCOPA® accredited and they should be to carry out the function they perform on your behalf, what actions and timescales do you have in place to ensure the third party agent obtains MOCOPA® accreditation? How will you ensure, where applicable to that function, that the third party agent(s) MOCOPA® accreditation status is maintained on an ongoing basis?</u></p> <p><u>(2) List the third party agent(s) that you intend to use to carry out any function(s) of a MOA on your behalf. Please provide a brief description of the function each third party agent performs on your behalf and, where applicable to that function,</u></p>		

Question	Guidance	Response	Evidence
	<u>their MOCOPA® accreditation status (e.g. N/A to the function or MOCOPA® accredited/ MOCOPA® accreditation in progress).</u>		
15.1. 34 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?	<p>The response should address the following areas:</p> <ol style="list-style-type: none"> (1) Controls should be in place to identify Metering Systems that require a dispensation and to monitor the expiry dates of any dispensations held. (2) An inventory of all Metering Systems that have a dispensation should be maintained which specifies the duration of each. 		
15.1. 45 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 any changes to standing data held or used by the system (this will also be applicable to a paper based system).</p> <p>The audit trail and archiving requirements for CVA MOA Agents are set out in PSL100 sections 10.2 and 10.3.</p>		
15.1. 56 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL100 Sections 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"> (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 		

Question	Guidance	Response	Evidence
	<p>Determination.</p> <p>The response should address the following:</p> <ul style="list-style-type: none"> (a) Controls to ensure that any archived data can be retrieved within 10 Business Days. (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. 		
<p>15.1.67 What controls do you have in place to ensure that all commissioning tests are conducted to meet the requirements detailed in CoP 4?</p>	<p>The response should address the following areas:</p> <ul style="list-style-type: none"> (1) Contacts and lines of communication that are established and maintained with the Equipment Owner (Section L 3.1.2) to ensure that full commissioning can be performed in accordance with CoP 4. (2) Controls and procedures should be in place to identify all circumstances where a commissioning test is required, regardless of who is required to commission particular items of Metering Equipment (e.g. measurement transformers owned by the relevant BSC Party (e.g. Transmission Company or LDSO, as applicable)) that make up and/or will make up the Metering System. (3) All commissioning tests are performed in a timely manner (e.g. where applicable, prior to registration). (4) Controls and procedures which exist to assess the quality of commissioning test results and records. 		

Question	Guidance	Response	Evidence
	<p>(5) All relevant documentation is:</p> <ul style="list-style-type: none"> (i) received (where necessary) from the relevant BSC Party (the Equipment Owner) responsible for commissioning the item of Metering Equipment (in particular measurement transformers owned by the Transmission Company or LDSO, as applicable); (ii) retained; and (iii) is available for retrieval. <p>(6) Detail how you will transfer documentation to the new SVA MOA on CoA and to the Registrant for notification of commissioning test results.</p> <p>(7) Commissioning tests performed meet the requirements detailed in CoP 4 and the Registrant is notified that commissioning of the Metering System is completed, or the Registrant is notified of any defects or omissions in that process.</p>		
<p>15.1.78 What procedures are in place for the registering of sealing pliers and maintaining a register of seals applied for individual CVA Metering Systems?</p>	<p>PSL100 section 1.5.3 (c) requires the CVA MOA to provide a sealing service.</p> <p>The response and supporting evidence must include:</p> <ul style="list-style-type: none"> (1) Evidence that a company specific identifier has been requested from BSCCo for sealing pliers; (2) Procedures for maintaining a register of sealing pliers for individual pairs of sealing pliers; and (3) Procedures for maintaining a register of seals 		

Question	Guidance	Response	Evidence
	applied for each CVA Metering System.		

Amend section 16.1 as follows:

SECTION 16 – METER ADMINISTRATOR

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, BSCP520 and PSL100 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 Meter Administrator.

Guidance for completing this section

The Meter Administrator (MA) is responsible for receiving summary inventory and latitude/longitude information from the Unmetered Supplies Operator (UMSO) and where relevant inputting this information into the Equivalent Meter (EM). Where the EM is Central Management Systems (CMS) Capable the MA is responsible for inputting the CMS Control File and receiving Event Log data from the CMS. In addition the MA is responsible for operating and maintaining the EM hardware and software, ensuring that metered data is available from the EM in time for the Data Collector to meet the Settlement timetable and indicating to the Data Collector where estimated data should be used where an EM is not functioning correctly. The section is split as follows:

Business Processes and Mitigating Controls: This section looks at the controls over the input of summary inventory and latitude/longitude data into the EM and the operation and maintenance of the metering equipment. 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 BSCP520 and PSL100.

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.

16.1 Business processes and mitigating controls

Question	Guidance	Response	Evidence
16.1.1 What controls do you have in place to ensure that the establishment of new UMS Inventory is done in accordance with the requirements of BSCP520?	<p>The MA receives a number of key inputs from the UMSO and the Supplier:</p> <ul style="list-style-type: none">(1) Latitude and longitude information for each MSID is received on a P0068 and summary inventory details are received on a P0064 (BSCP520 3.1 to 3.7) and/or CMS Control file as appropriate.(2) Appointment and termination details are received from the Supplier on D0155, D0148 and D0151 flows via an electronically or other agreed method. <p>[Housekeeping] The response should address the following areas:</p> <ul style="list-style-type: none">(a) Summary inventory is validated against the Operational Information Document (OID). In what form will an audit trail be provided from the relevant inventory, and is the data in the is in the is in the correct format?(b) The EM type adopted utilises software which has been approved by BSCTCo to provide settlement metered data in accordance with BSC Requirements.(c) Controls to ensure around the population		

Question	Guidance	Response	Evidence
	<p>of data into the EM system is carried out completely, accurately and in a timely manner.</p> <p>(d) Procedures are in place to ensure that EM system parameters have been correctly configured and assigned in a timely manner.</p> <p>(e) Monitoring procedures are in place to identify changes required to data in a timely manner and to ensure the EM is updated accordingly.</p> <p>(f) All flows are identified, reviewed and authorised prior to processing.</p> <p>(g) The validation of data for formats and lengths, e.g. the MSID is valid.</p> <p>(h) Evidence is retained as to who processed the data, when and what was updated to the MA database.</p>		
<p>16.1.2 How do you ensure that once a UMS connection has been established changes to inventories are processed completely and accurately in accordance with the requirements of BSCP520?</p>	<p>The response should include the following key events:</p> <p>(a) Receiving and processing of revised UMS inventories and/or CMS Control files as appropriate.</p> <p>(b) Controls in place to identify required changes to data.</p> <p>(c) Controls in place that changes are performed in a timely manner and the EM is updated accordingly.</p> <p>(d) Controls in place to ensure that</p>		

Question	Guidance	Response	Evidence
	applications for revised inventories continue to meet the criteria specified in BSCP520.		
16.1.3 How do you ensure that information and data flows relating to UMS are sent or received and processed completely, accurately and in a timely manner in accordance with BSCP520?	<p>The response should include the following key events:</p> <ol style="list-style-type: none"> (1) Provision of UMS summary inventories via the P0064 data flow and/or CMS Control file as appropriate (2) Provision of Equivalent Meter Technical Details via the P0068 data flow (3) Receipt and processing of appointment details via data flows (4) Sending of P0173 and P0174 to Data Collectors (5) Receipt and processing of CMS Event Log file <p>The response should address the following:</p> <ol style="list-style-type: none"> (1) All flows are identified, reviewed and authorised prior to processing. (2) The validation of data flows for format and lengths (3) The validation of data for completeness and accuracy (e.g. the MSIDs is valid). <ol style="list-style-type: none"> (a) Where the generating/sending of flows requires the use of MDD the response should reference how it is ensured that data in the flow is validated against the latest version of MDD. (b) Where an agreed method other than the standard DTC flow is to be used the 		

Question	Guidance	Response	Evidence
	<p>response should address:</p> <ul style="list-style-type: none"> • How you manage the approval / agreement of receipt/sending of data in another agreed format; • What records are retained of the agreement of the method as well as the actual data received/sent; and • How do you ensure that timescales surrounding this data are adhered to. • Controls in place to ensure that all data required or expected is received and that all data to be sent is sent in a timely manner. This may be through controls within the routine or through manual controls. 		
<p>16.1.4 What controls do you have in place to ensure that the requirements of BSCP520 are met when a Change of Supplier (CoS) and/or Change of Agent (CoA) event takes places?</p>	<p>The response should cover how you identify when a CoS/CoA activity has taken place and should address the following:</p> <p>For HH UMS CoS:</p> <p>(a) Receipt and processing of appointment flows; and</p> <p>(b) Receipt and processing of P0068 EM Technical Details (latitude and longitude information) and P0064 Summary Inventory.</p> <p>Change of MA:</p> <p>(a) Receipt and processing of appointment flow and/or termination flow; and</p> <p>(b) Sending and processing of requests for</p>		

Question	Guidance	Response	Evidence
	<p>transfer of information between old and new MA</p> <p>Change of Data Collector:</p> <p>(a) Receipt and processing of notification of Change of Agent flows (D0148); and</p> <p>(b) Sending of P0173 and P0174 and all information transferred.</p>		
16.1.5 What controls do you have in place to ensure that the requirements of BSCP520 are met for EM Fault Reporting?	<p>The response should address the following areas:</p> <p>(1) Monitor and manage the receipt of notification of a fault/inconsistency;</p> <p>(2) Action required to investigate the fault/inconsistency reported;</p> <p>(3) Identify the period of the fault and notify relevant participants; and</p> <p>(4) Rectify data and send Data Collector corrected data.</p> <p>The response should address the following areas:</p> <p>(a) Procedures in place to ensure that timescales and requirements are in accordance with BSCP520</p> <p>Controls in place to monitor progress of EM Fault Reporting</p>		
16.1.6 Where Dynamic Equivalent Metering Systems are used, what procedures are in place to ensure that Photo	<p>The response should address the following areas:</p> <p>(1) Procedures are in place to ensure that the process in siting the PECU array is in</p>		

Question	Guidance	Response	Evidence
<p>Electric Cell Unit (PECU) Arrays are installed, configured and maintained correctly?</p>	<p>accordance with BSCP520.</p> <p>(2) Documented procedures are in place over the set up, installation and testing of the PECU Array(s) and associated communications equipment. These procedures should encompass tests to confirm that information can be retrieved from the PECU Array(s) to meet operational requirements and settlement run timescales.</p> <p>(3) Procedures are in place to establish the load weighted numbers of Unmetered Apparatus controlled by PECUs to ascertain the correct proportion of PECUs on a PECU Array. These procedures also ensure that for each PECU in an Array, type and location details are maintained within the Equivalent Meter system.</p> <p>(4) Procedures are in place to monitor and maintain the correct operation of the PECU Array(s). These procedures encompass the review of any spurious or unusual performance of PECUs within the Array. Failed cells within an Array are replaced in a timely manner.</p> <p>(5) Procedures are in place covering the use of appropriate default PECU regimes and/or switching regimes in the event that PECU Array data is not available for any day.</p>		
<p>16.1.7 How have you ensured that you have appropriate audit trails in place?</p>	<p>Your 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.</p>		

Question	Guidance	Response	Evidence
	The audit trail and archiving requirements for MA are set out in PSL100 sections 10.2 and 10.3		
16.1.8 How have you ensured that you can meet the data retention requirements set out in BSC Section U1.6 and PSL100 sections 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> <ul style="list-style-type: none"> (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. <p>The response should address the following:</p> <ul style="list-style-type: none"> (a) Controls to ensure that any archived data can be retrieved within 10 Business Days. (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. 		