



Exception Reporting in the Half Hourly Market

Introduction

Half Hourly Data Aggregator (HHDA) systems must have the functionality to identify registration anomalies between Supplier Meter Registration Service (SMRS) data and Half Hourly Data Collector (HHDC) data and produce exception files which are sent to Suppliers and HHDCs in the form of D0235 Exception Reports. The purpose of this guide is to provide Suppliers and their HHDCs with a comprehensive reference on the HHDA D0235 Exception Report so that they can integrate effective use of the report into their business processes and local working instructions (LWIs). This should enable Suppliers to meet their obligations under the Balancing and Settlement Code (BSC) to address exceptions.

This document explains the HHDA exception reporting process. It includes an explanation of each exception type and guidance on resolving them.

It is the responsibility of Suppliers to comply with the BSC and to manage and co-ordinate their Agents to achieve compliance. Certain obligations are specified in Balancing and Settlement Code Procedure BSCP503 - 'Half Hourly Data Aggregation for SVA Metering Systems Registered in SMRS' can be found on the BSC Website.

Additional guidance and clarification on this document can be obtained by contacting your Operational Support Manager (OSM). If you do not know who your OSM is, please contact the OSM Delivery Manager at OSMmanagement@elexon.co.uk.

1 OBLIGATIONS

Suppliers to act on D0235

Section S 2.4.4 of the BSC states that a Supplier shall ensure that any material anomaly reported to it by a their Data Aggregator in relation to data received by from Data Collectors, for which the Supplier is responsible, is recorded and investigated. A record should be kept of any actions taken to prevent a recurrence of the anomaly during the next Volume Allocation Run for that Settlement Day.

How the D0235 is sent

Section 3.4.2.1 of BSCP503 describes the sending of a D0235 exception report by a HHDA to the HHDC and Supplier. This report is produced after carrying out the data anomaly checks detailed in Appendix 4.3 (Checks for data anomalies during Data Aggregation Run) of BSCP503.

HHDA's to produce D0235

During an aggregation run for a Settlement Day, the HHDA must undertake a check of the completeness and consistency of data received from HHDCs against data received from Supplier Meter Registration Agents (SMRAs).

The HHDA's system must determine for each HHDC the Supplier Volume Allocation (SVA) Metering Systems for which Half Hourly data:

- has been received, but was not expected;
- has been received, but was expected from a different Data Collector;
- has not been received, was expected and the meter was Energised;
- has been received, but was not expected because the meter was considered De-energised;
- has been received from the incorrect Supplier.

The HHDA's system must report these anomalies to the HHDA, the relevant associated Data Collectors and associated Suppliers.

If, during an aggregation run, there are any discrepancies between data sent by the SMRA and data sent by the HHDC, the discrepancies must be recorded as exceptions for the Initial Volume Allocation Run or Reconciliation Run.

In the event of a discrepancy, the data from the SMRA must be treated as definitive.

D0235 reporting timetable

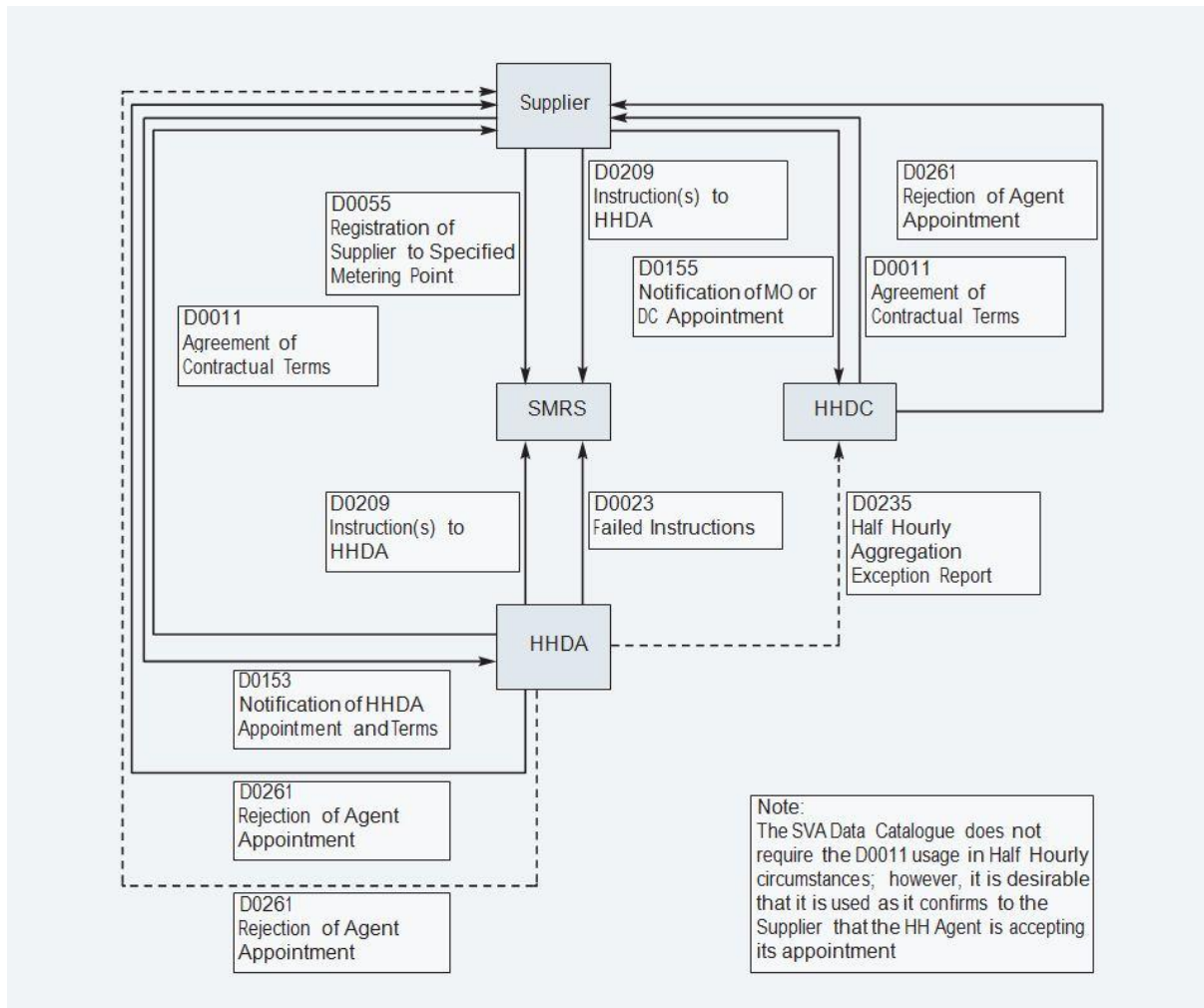
BSCP503 states that the HHDA shall carry out data anomaly checks and send out Exception Reports before it carries out an aggregation run. It further states that the HHDA shall carry out these obligations as late as possible to meet the Supplier Volume Allocation Agent's (SVAA) Calendar to ensure it is using the most recent data from SMRS.

Problems with D0235 Exception Reporting

D0235 exception reporting is designed to be a key control in the Half Hourly market. Whilst the actual reporting and contents of the reports have proven to be robust the overall process has not been as effective as it should have been. The main reason for the lack of effectiveness is that the exceptions being reported are not being resolved by Suppliers with many exceptions still outstanding at the Final Reconciliation Run. Failure to resolve exceptions reported by the D0235 exception report will result in no data or, erroneous data for a Metering System being provided by the HHDA for use in Settlement.

EXCEPTION REPORTING PROCESS

Overview of Appointment \ Instruction \ Acceptance Flows and Exception Reporting



Note:

The SVA Data Catalogue does not require the D0011 usage in Half Hourly circumstances; however, it is desirable that it is used as it confirms to the Supplier that the HH Agent is accepting its appointment

EXCEPTION REPORT PROCESS

The HHDA receives appointment data from the Supplier via flow D0153 and instruction data from the SMRA via flow D0209. This data should be held in a database and before every Aggregation Run checks should be made against this data and Half Hourly data received from HHDCs (D036) to check for the following anomalies:

- consumption data for a SVA Metering System received but not expected;
- consumption data for a SVA Metering System received but from wrong HHDC;
- consumption data expected but not received for a SVA Metering System;
- non zero consumption data received for a De-energised SVA Metering System;
- consumption data received for a Metering System registered to an incorrect Supplier i.e. not the Supplier defined by the SMRS.

If any of the above anomalies are found, the HHDA produces a D0235 Exception Report and sends this report to the relevant Supplier and HHDC for resolution of the exceptions.

It should be noted that Appendix 4.3 of BSCP503 details an additional exception which should be reported:

- Measurement Quantity by Line Loss Factor Class does not match Measurement Quantity by HHDC.

Currently the Data Transfer Catalogue does not support this exception and it should be reported manually by HHDA's.

MANAGEMENT OF EXCEPTIONS

Objective

The objective of managing exceptions is to ensure that all reported exceptions are resolved before the next Reconciliation Run for the Settlement Days to which the exceptions relate.

The Management of Reported D0235 Exceptions

The D0235 files are designed to be interpreted by computer which lends itself to a facility where they are loaded into a database and certain checks are carried out automatically. It is recommended that Suppliers and HHDCs consider software support for management of D0235 exceptions. Such a system might:

- take in D0235 reports and log all exceptions on them;
- recognise when an exception has previously been reported so that it is seen as an existing exception with a history of information rather than a new exception;
- highlight exceptions that are incorrectly marked as resolved;
- ensure that each exception has an owner at all times so that its resolution can be chased;
- have escalation processes for when exceptions are not addressed within defined timescales so as to meet the objective of resolving all reported exceptions before the next Reconciliation Run.

Prior to such a system being implemented, an interim system could be devised and used. This could be a system that takes in the D0235 file and presents it in a way that provokes user inspection. Users would then need a method for managing these exceptions, tying exceptions together, ensuring that each exception has an owner and ensuring that all actions taken were logged.

HHDCs will need a method for dealing with Supplier queries about exceptions. This may be a helpdesk facility with a call logging and progress recording facility. The HHDC helpdesk/query numbers should be logged in the Supplier's management tool that has been described above.

APPENDIX A

INVESTIGATION OF EXCEPTIONS BY SUPPLIERS AND THEIR AGENTS

A.1 Group 998 (Consumption Data Expected but not Received)

Primary Objective

To identify when the (SMRS) appointed HHDC is not sending Half Hourly advances for a Metering System to the (SMRS) appointed HHDA.

Description

This exception is raised when there are no D0036 reports for a Metering System from a SMRS appointed HHDC. Therefore, this exception is raised for Supplier 'X' and HHDC 'Y' when:

- there is a HHDA appointment for Supplier X that is without any D0036 report for a Metering System from a
- HHDC Y appointed to the same Supplier registration as the HHDA appointment;
- the HHDA appointment overlaps the Settlement Day of the expected report;
- the Metering System is Energised (according to SMRS) in the Settlement Day of the expected report;
- HHDC Y is appointed to the same Supplier registration as the HHDA appointment.

Suggested Action by Supplier

A Exception Management

1. Check the exception management log to see if this exception is already under investigation.

B Supplier Registration

1. Check that you are the Registrant of the Metering System, that the D0235 report has come from your HHDA and is for your HHDC. If you do not intend to be the Registrant, the D0235 report is not from your HHDA or the D0235 report is not for your HHDC, check the registrations on SMRS.

If the information SMRS holds is as intended, contact the HHDA who sent the D0235 report to check whether there are any outstanding rejected HH01 or HH02 instructions for the Metering System. If there are, request that the HHDA sends a D0023 to the SMRS so that the rejection(s) can be cleared.

If the Supplier information that the SMRS holds is not as intended, check whether you have received a 00A exception and, if you have, follow its suggested actions. If the HHDA or HHDC information SMRS holds is not as intended, send a D0205 to the SMRS to correct this.

2. Check that the HHDC has been appointed with a D0155 and has not inadvertently been de-appointed with a D0151. If they have not been appointed or have inadvertently been de appointed, appoint them.
3. Check that the HHDC has not rejected the D0155 appointment with a D0261. If they have, resolve the reason why they rejected it and send a revised D0155.
4. Check that the HHDC has confirmed acceptance of the D0155 appointment with a D0011. If they have not, prompt them to do so.

5. Check that a D0148 has been sent to both the HHMOA and the HHDC to notify them of the HHDA, HHDC and HHMOA appointments. If it has not, send it.
6. If there has been a Change of Agent, check that a revised D0148 has been sent to both the HHMOA and the HHDC to notify them of the change in Agents. If it has not, send it.

C New Connections

1. For new connections, determine whether the Metering System had a meter fitted from the registered supply start date by checking the D0268 details provided by the HHMOA.
2. If a meter had not been fitted on the registered supply start date, check that the Energisation Status in SMRS is set to De-energised for the period when the Metering System did not have a meter. If it is not, send a D0205 to SMRS to correct this.

D Check with the HHDC

1. Request investigation by the HHDC (below) advising them of the Metering System, the HHDA concerned and the applicable date(s).

Suggested Action by HHDC

A Appointment of Agents

1. Check that the Supplier requesting the investigation has appointed you using a D0155. If they have not, prompt them to do so. Also check that they have not de-appointed you with a D0151. If they have, advise them of this.
2. Check that you have accepted the D0155 with a D0011 or have rejected it with a D0261. If you have rejected the D0155 flow, advise the Supplier of this.
3. Check that a D0148 has been received from the Supplier to notify you of the HHMOA and HHDA appointments. If one has not been received, advise the Supplier of this.

B Settlement Details

1. Check whether there has been a change of HHDC. If there has been a change of HHDC and you are the new HHDC, check you have received a D0268 containing Half Hourly Metering Technical Details. If it has been received but was not successfully processed, resolve the reason for failure (in conjunction with the Supplier and HHMOA if necessary). Advise the Supplier of the information ascertained and the action taken. If it was not received advise the Supplier.
2. If there has not been a change of HHDC or you are not the new HHDC, check that a D0268 has been received from the HHMOA. If one has not been received, advise the Supplier. If one has been received but not successfully, resolve the reason for failure (in conjunction with the Supplier and HHMOA if necessary). Advise the Supplier of the information ascertained and the action taken.
3. If there has been a change of HHDC and you are the old HHDC, check that you have responded to a D0170 from the new HHDC by sending them a D0036. If you haven't been sent a D0170 requesting these details, advise the Supplier of this.

C Consumption Data

1. Check whether a D0036 has been sent to the HHDA with data missing for a Metering System that is relevant to them. If it has, send a revised D0036 report to the HHDA with this missing data. Advise the Supplier of the information ascertained and the action taken.

Additional Information

From February 2003 the HHDA is required to use a default EAC (provided by MDD) in the aggregation process where no consumption data has been provided by the HHDC. Historically, data from Metering Systems with this exception was not included in any Aggregation Run for the relevant Settlement Days.

A.2 Group 997 (Consumption Data Received from Wrong HHDC)

Primary Objective

To identify when the HHDC sending Half Hourly Meter Advances for a Metering System is not, according to the SMRS, the appointed HHDC.

Description

This exception is raised when there is a D036 report from a HHDC that does not match with a HHDA appointment. Therefore, this exception is raised for Supplier X and HHDC Y when:

- There is a D0036 report for a Metering System from HHDC Y for a Settlement Day for which data is expected; and
- The D0036 does not match with the HHDC Y appointment for the Supplier X registration to which the HHDA is appointed.

Suggested Action by Supplier

A Exception Management

1. Check the exception management log to see if this exception is already under investigation.

B Supplier Registration

1. Check you are the Registrant for the Metering System. If you do not intend to be the Registrant, check the registrations on SMRS.
2. If you are the Registrant, check whether the D0235 report came from the intended HHDA and whether the report is for an intended HHDC. If you intend to be using the HHDA who sent the D0235 report and the HHDC who the D0235 report is for, check the registration on SMRS. If the Supplier, HHDA or HHDC information SMRS holds is not as intended, send a D0055/D0205 to SMRS to correct this.

C Appointment of Agents

1. If the HHDC is the intended HHDC, check that the D0205 (or D0055) notifying SMRS of the appointment of the HHDA that generated the D0235, includes the intended HHDC. If the D0205 notifying SMRS of the HHDA appointment does not include an HHDC, then perform checks as for change of HHDC below.
 - a) If the D0205 (or D0055) does not include the intended HHDC, check the latest of any subsequent D0205s sent to SMRS for the relevant HHDA appointment.
 - b) If no D0205 is found containing the intended HHDC, send one.
 - c) If a D0205 is found containing the intended HHDC, check for a D0203 and, if found, resolve.
 - d) If a D0205 is found, but no D0203, a D0209 should have been sent to the HHDA. The fact that D0235 exception was reported suggests that D0209 was not sent (check with SMRS) or D0209 was not processed (check with HHDA for a D0023 exception).

2. If the HHDC is not the intended HHDC, check that you have not sent a D0155 in error appointing them and that, if they were previously appointed by you, that you have de-appointed them using a D0151.

D Check with the HHDC

1. Request investigation by the HHDC advising them of the Metering System, the HHDA concerned, the Metering System concerned and the applicable date ranges (see below).

Suggested Action by HHDC

A Appointment of Agents

1. Check that the Supplier requesting the investigation has appointed you with a D0155 and that they have not de-appointed you with a D0151.
2. If you have never been appointed, or have been de-appointed, advise the Supplier.
3. Check that a D0148 has been received from the Supplier to notify you of the HHMOA and HHDA appointments. If it has not, prompt the Supplier to send it.

A.3 Group 996 (Consumption data Received but not Expected)

A Change Proposal has been raised regarding the issue of the exception not being sent to the Supplier for Group 996. The Change Proposal aims to amend section 4.3 of BSCP503 to include a report of the exception and anomaly details to both the Supplier and the HHDC supplying the data. Until this is agreed please follow the guidelines below. Guidance assumes that Supplier is notified of the exception by the HHDC with the automated D0235.

Primary Objective

To identify when the HHDA receiving Half Hourly Meter Advances for a Metering System is not, according to the SMRS, the appointed HHDA.

Brief Description

This exception is raised when there is a D0036 report for a Metering System that does not overlap with a HHDA appointment.

Detailed Description

This exception is raised for Supplier X and HHDC Y when:

- There is a D0036 report for a Metering System from HHDC Y for a Settlement Date for which data is not expected; and
- The D0036 does not match with the HHDA appointment for the Supplier X registration.

Suggested Action by Supplier

A Exception Management

1. Check the exception management log to see if this exception is already under investigation.

B Supplier Registration

1. Check whether you are the Registrant of the Metering System.
2. If you are the Registrant, check that the D0235 report has come from the intended HHDA. If you intend to be using the HHDA who sent the D0235 report, check the registration on SMRS. If the information SMRS holds is as intended, contact the HHDA who sent the D0235 report to check whether there are any outstanding rejected HH01 or

HH02 instructions for the Metering System. If there are, request that the HHDA sends a D0023 to the SMRS so that the rejection(s) can be cleared. If the Supplier, HHDA or HHDC information SMRS holds is not as intended, send a D0205 to SMRS to correct this.

C Appointment of Agents

1. Check that a D0148 has been sent to the HHDC notifying them of the HHDA. If it has not, send it.
2. If there has been a change of HHDA, check that a revised D0148 has been sent to the HHDC notifying them of the new HHDA. If it has not, send it.

D Check with the HHDC

1. Request investigation by the HHDC advising them of the Metering System, the HHDA concerned and the applicable date ranges.

Suggested Action by HHDC

A Appointment of Agents

1. Check that the Supplier requesting the investigation has appointed you with a D0155 and that they have not de-appointed you with a D0151.
2. If the D0155/D0151 received from the Supplier requesting the investigation indicates that you are the appointed HHDC for the applicable date range, advise the Supplier of this.
3. Check that a D0148 has been received from the Supplier to notify you of the HHMOA and HHDA appointments. If it hasn't, prompt the Supplier to send it.

B Consumption Data

1. Check whether a D0036 has been sent to the HHDA containing data for a Metering System that is not relevant to them. If it has, withdraw this Metering System and send a revised D0036 report to the HHDA. Advise the Supplier of the action taken.

A.4 Group 999 (Consumption Data Received for De-energised Meter)

Primary Objective

To identify a non zero consumption whilst a Metering System is De-energised.

Description

This exception is raised when a Metering System has a non zero consumption value reported by a HHDC whilst it is de-energised (according to SMRS).

Therefore, this exception is raised for Supplier X and HHDC Y when:

- There is a non zero consumption for a Metering System from HHDC Y during a period where the Metering System is De-energised (according to SMRS); and
- HHDC Y is appointed to the same Supplier registration as the HHDA appointment.

Suggested Action by Supplier

A Exception Management

1. Check the exception management log to see if this exception is already under investigation.

B Establish the Correct Energisation Status

1. Check whether the HHMOA or distributor has recently sent a change of Energisation Status notification on a D0139 that you have yet to process. If so send a D0205 to update SMRS.
2. Check the Meter Advance Reconciliation reports (D0008) for this Metering System for indication that the Metering System is Energised. If there are advances on the cumulative register(s) it would indicate that although SMRS believes that the Metering System is De-energised it has registered consumption.
3. Refer to the Registration team to check the registration on SMRS. If checks confirm that the Energisation Status in SMRS is Energised, contact the HHDA who sent the D0235 report to check whether there are any outstanding rejected HH05 instructions for the Metering System. If there are, request that the HHDA sends a D0023 to the SMRS so that the rejection(s) can be cleared.
4. If checks confirm that the Energisation Status in SMRS is De-Energised, request an investigation by the HHDC advising them of the Metering System, the HHDA concerned, the Energisation Status (De-energised), the start date of the non zero consumption and the applicable date ranges (see below).
5. If notified by the HHDC that the non zero consumption for a De-energised Metering System is correct, request a Metering System investigation by the HHMOA on a D0001.
6. If the D0002 returned by the HHMOA confirms that the Metering System is Energised, correct SMRS using a D0205 and ensure that the HHMOA sends a D0139 advising that the Metering System is Energised.
7. If the D0002 returned by the HHMOA confirms that the Metering System is De-energised, request Revenue Protection Investigation on a D0238.

Suggested Action by HHDC

A Consumption Data

1. Check the HHDC system and determine if it holds what the Supplier believes to be the correct Energisation Status (De-energised) for the applicable date range. If not, advise the Supplier.
2. If the Energisation Status is 'De-energised' and the meter readings comprising the non zero consumption have been incorrectly processed, correct this, send the revised readings to the HHDA on a D0036 and advise the Supplier of this action.
3. If the Energisation Status is 'De-energised' and the meter readings comprising the non zero consumption have been correctly processed, advise the Supplier.

Additional Information

Any non zero consumption for a De-energised Metering System will be used by the HHDA in the aggregation process.

A.5 Group 00A (Consumption Data Received for Incorrect Supplier)

Primary Objective

To identify where SMRS or HHDC hold an incorrect record of the Metering System's Supplier.

Description

This exception is raised when a Metering System's Supplier according to SMRS and HHDC are inconsistent. Therefore, this exception is raised for Supplier X and HHDC Y, when:

- The Supplier according to SMRS differs from the Supplier according to HHDC Y during a period where a HHDA appointment for Supplier X and the Settlement Day selected for reporting overlap; and
- HHDC Y is appointed to the same Supplier registration as the HHDA appointment.

Suggested Action by Supplier

A Exception Management

1. Check the exception management log to see if this exception is already under investigation.

B Establish the Correct Supplier

1. Establish whether you believe that you should be the Supplier and whether it is the view of the HHDA, SMRS or HHDC that is incorrect.

C SMRS View Incorrect

1. If you should not be the Supplier (i.e. the HHDA's SMRS view is incorrect), refer to the Registration team to check the registration on SMRS. If the information SMRS holds is correct, contact the HHDA who sent the D0235 report to check whether there are any outstanding rejected HH01 instructions for the Metering System. If there are, request that the HHDA sends a D0023 to the SMRS so that the rejection(s) can be cleared.
2. Contact the Supplier according to the HHDC and request that they investigate the exception.

D HHDC View Incorrect

1. If you should be the Supplier (i.e. the HHDC view is incorrect), check that the HHDC has been appointed with a D0155 and has not inadvertently been de-appointed with a D0151. If they have not been appointed or have inadvertently been de-appointed, appoint them.
2. Check that the HHDC has not rejected the D0155 appointment with a D0261. If they have, resolve the reason why they rejected it and send a revised D0155.
3. Check that the HHDC has confirmed acceptance of the D0155 appointment with a D0011. If they have not, prompt them to do so.
4. Check that a D0148 has been sent to both the HHMOA and the HHDC to notify them of the HHDA, HHDC and HHMOA appointments. If it has not, send it.
5. Check that, if there has been a change of agent, a revised D0148 has been sent to both the HHMOA and the HHDC to notify them of the change in agents. If it has not, send it.
6. Request investigation by the HHDC advising them of the Metering System, the HHDA concerned, the Supplier according to SMRS, the Supplier being reported by them and the applicable date ranges (see below).

Suggested Action by HHDC

A Appointment of Agents

1. Check that the Supplier requesting the investigation has appointed you with a D0155. If they have not, prompt them to do so. Also check that they have not de-appointed you with a D0151. If they have, advise them of this.
2. Check that you have accepted the D0155 with a D011 or have rejected it with a D0261. If you have rejected the D0155 flow, advise the Supplier of this.

3. Check that a D0148 has been received from the Supplier to notify you of the HHMOA and HHDA appointments. If one has not, advise the Supplier of this.
4. Check that another Supplier has not appointed you with a D0155. Advise the Supplier requesting the investigation of the information ascertained and the action taken.

B Consumption Data

1. If you have received a D0155 from the Supplier appointing you as HHDC and you have processed it successfully (i.e. the HHDC system holds this Supplier), check that a D0036 containing this Supplier has been sent to the HHDA. If one has not, send one.

Additional Information

The Supplier, according to SMRS, will always be used for aggregation purposes.

Need more information?

For more information please contact the **BSC Service Desk** at bscservicedesk@cgi.com or call **0370 010 6950**.

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