



MHHS
PROGRAMME

Qualification Assessment Document (QAD) Guidance Webinar

Thursday 14 November 2024



Please engage via Slido – we are here to take your questions.

Slido.com - #QAD



We will facilitate a dedicated Q&A slot at the end of the session to answer all questions through Slido. Any questions not answered in the webinar will be followed up in the FAQ document.



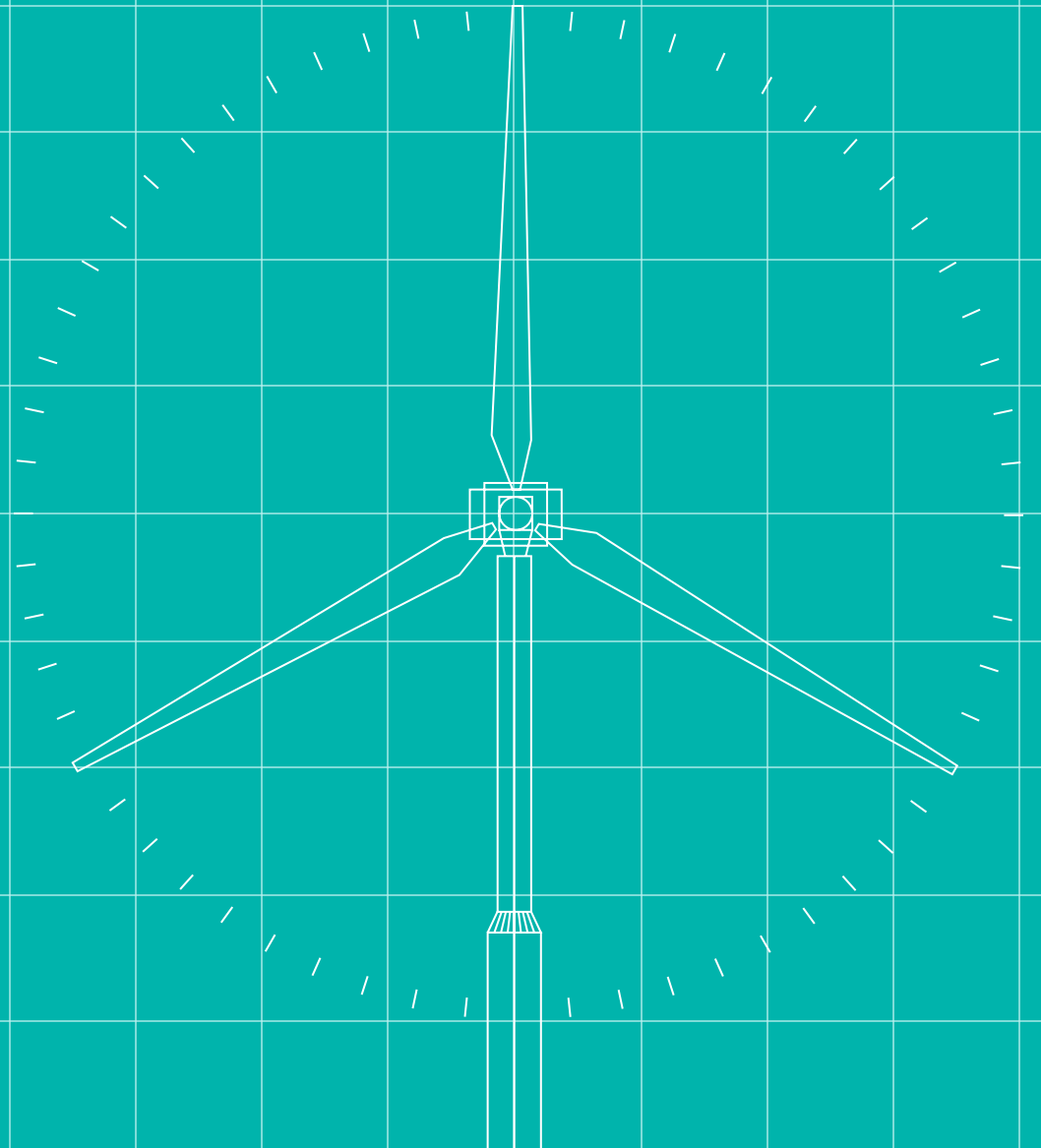
Please do not discuss topics outside the scope of this walkthrough. The focus of this webinar is the QAD.



We want to work collaboratively to equip you with the guidance, support and information you need to use the QAD effectively during Qualification.

This session is being recorded and will be published on the Collaboration Base and MHHS Website for you to revisit and for those unable to attend.

Purpose of the Webinar



 Who are we?

- **QSP** introduction into role and scope
- **REC Code Manager** introduction into role and scope
- **DIP Manager** introduction into role and scope

 Who will review what?

- **QSP** primarily focused on **BSC related roles** and the **overlapping roles with REC**
- **REC Code Manager** focused on **MEM** and **overlapping roles with BSC**
- **DIP Manager** focused on **all roles** but **specifically section 4.5 DIP**

 Other useful guidance

- ✓ **QAD Walkthrough Webinar** on **29 May 2024**
- ✓ **QAD Portal Walkthrough Webinar** on **18 June 2024**

Recordings, slides and associated Q&A document can be found on the [‘MHHS Webinars & Open Days’ page of the MHHS website](#)

- ✓ Dedicated **QAD page** on the MHHS Website, [here](#)



Why are we holding this webinar?

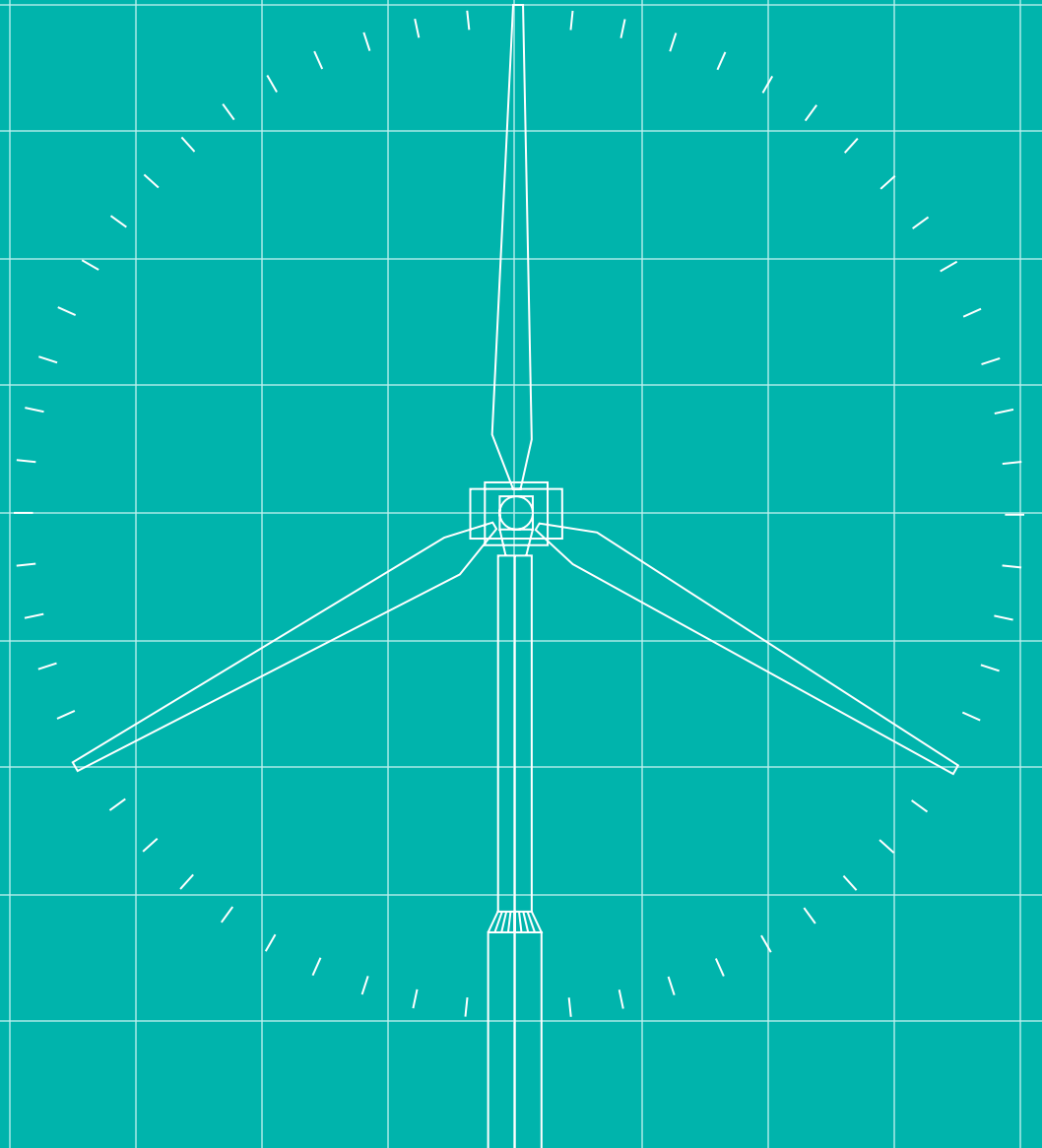
- ✓ Augment the QAD Guidance Document by walking through the information Code Bodies expect to be provided for certain types of QAD Questions
- ✓ Cover DIP Section as guidance hasn't previously been provided
- ✓ Provide guidance applicable to all roles



In this webinar, we will not...

- Provide sample responses to QAD questions
- Cover QAD Portal functionality; this was covered in QAD Portal webinar
- SQAD - Separate Guidance

5 Role-Specific





Why and what?

- Looking to mitigate risk in the market – controls and policies they have in place to meet this aim
- Confidence they understand obligations (for themselves and third Parties)
- Uninformed 3rd Party could understand
- Both code parties use different lens to review risk and therefore may raise different comments on the same response



Specific principles of levels of evidence needed

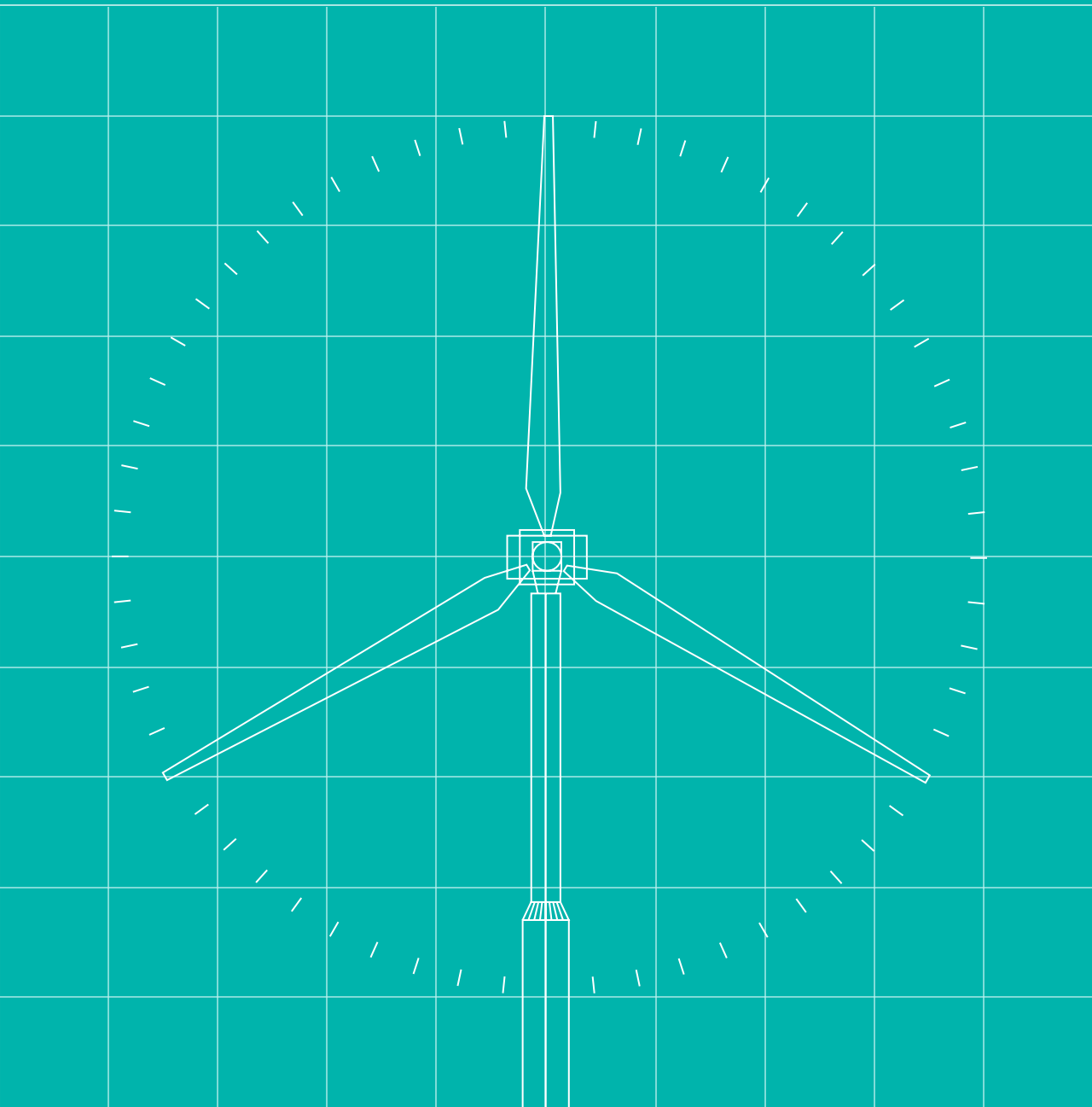
- High-level on data flows, see attached document with tech specs
- Key trigger words which will guide as to whether we're looking to see evidence – if mentions policy, attach as evidence
- If technical information overload – can it be more easily summarised
- If attaching evidence, sign-post as to where we should be looking

Question	Guidance
<p>5.1.1.2b What controls do you have in place to verify that a Qualified Data Service and/or Metering Service is appointed for the relevant Market Segment from the Registration Effective From Date (EFD)?</p>	<p>Method(s) to identify and appoint a Qualified Data Service and/or Metering Service to the relevant Market Segment, and ongoing monitoring controls to ensure the correct appointment is in place.</p>
<p>5.1.1.2c What controls will you put in place to manage Supplier Agent activities to ensure the end-to-end process is carried out within MHHS defined timescales. This includes:</p> <ul style="list-style-type: none"> • Data Services activities e.g. sending Consumption data • MOA activities e.g. sending MTDs 	<p>Controls to ensure Supplier Agent Activities are carried out in line with MHHS defined timescales and messages are processed within 60 minutes of receipt, outlined in the operational choreography. Controls may include ongoing monitoring processes and follow-up communication where activities are delayed. Please refer to both:</p> <ul style="list-style-type: none"> • Data Service activities • MOA activities

5.1.1.2 Appointment with Change of Supplier

Question	Guidance
<p>5.1.1.2a Excluding the functional elements tested in PIT/SIT/QT, what further changes have been made to your E2E business process? (e.g. to inputs, workflows, integrations, and downstream systems and processes; this may be nothing). In the case that changes have been made, how have you tested these updated E2E business process (e.g. E2E process changes tested in own UIT environment)</p>	<p>A disclosure of changes to systems and processes which have not been tested as part of PIT/SIT/QT, as above.</p> <p>Any instances where you have opted out of receiving DIP Publications, and how you will ensure you will receive this information.</p> <p>How you will gain assurance that even with these additional changes, your wider end-to-end systems and processes will still enable you to operate in line with your BSC and REC Code Requirements, as above.</p> <p>If there are no relevant additional changes to disclose for this business process, please write "N/A".</p>

4.2 Declarations

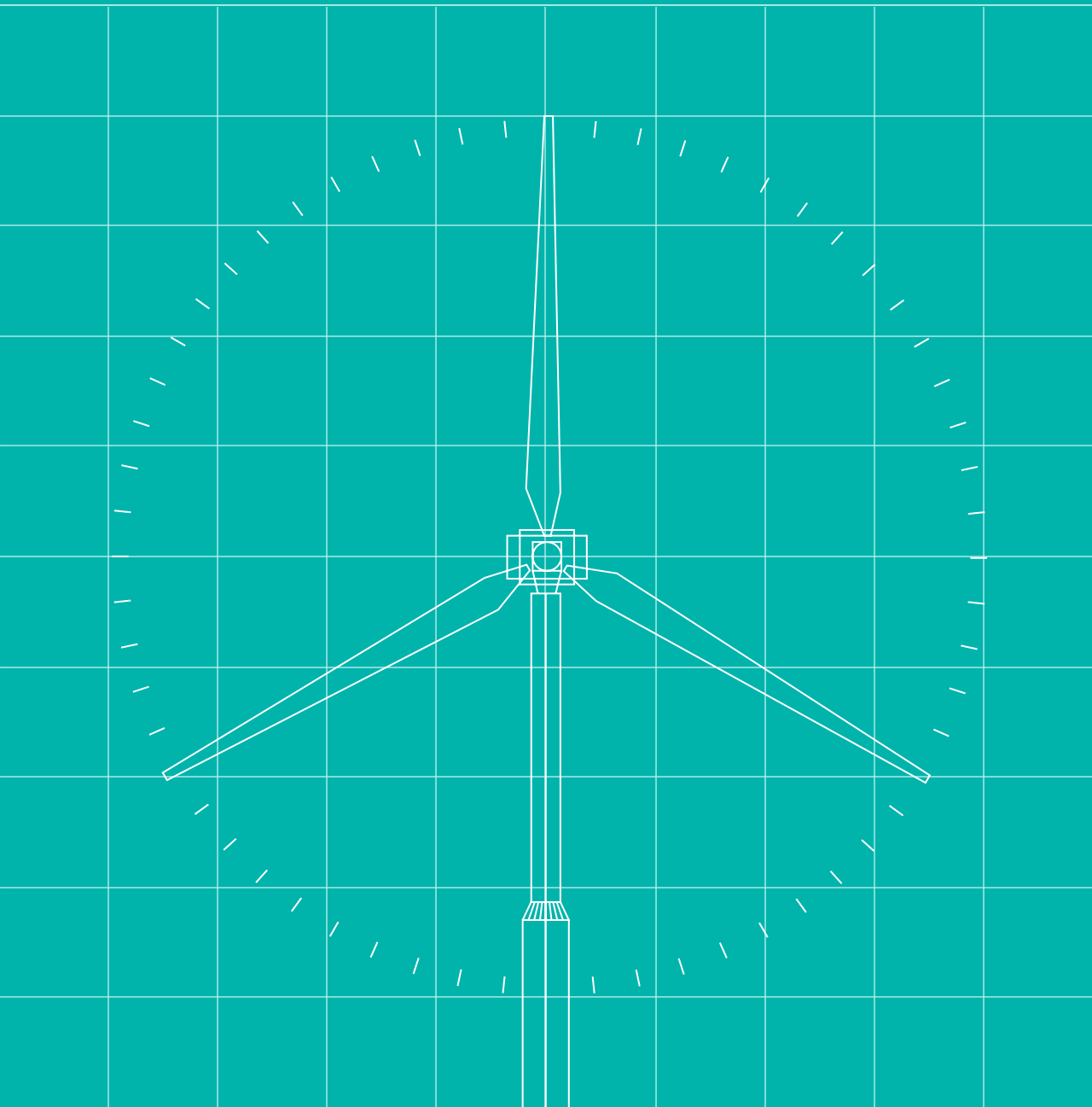


4.2 Testing Declarations and Evidence Submissions

Question	Guidance
4.2.1. Please confirm if there have been any changes to the information provided in the Pre-Qualification Submission form, or Placing Reliance Proposal, if you submitted one	<p>[Yes/No/Not Applicable]</p> <p>If yes, please provide an updated Pre-Qualification Submission or Placing Reliance form, highlighting the parts that have changed.</p> <p>If you were not required to submit a pre-qualification submission, then please select N/A.</p>
4.2.2 Please confirm the system(s) you are using are as outlined in your Pre-Qualification Submission form, or Placing Reliance Proposal, if you submitted one.	<p>If there have been any changes, provide details and attach any updated documentation if available.</p>

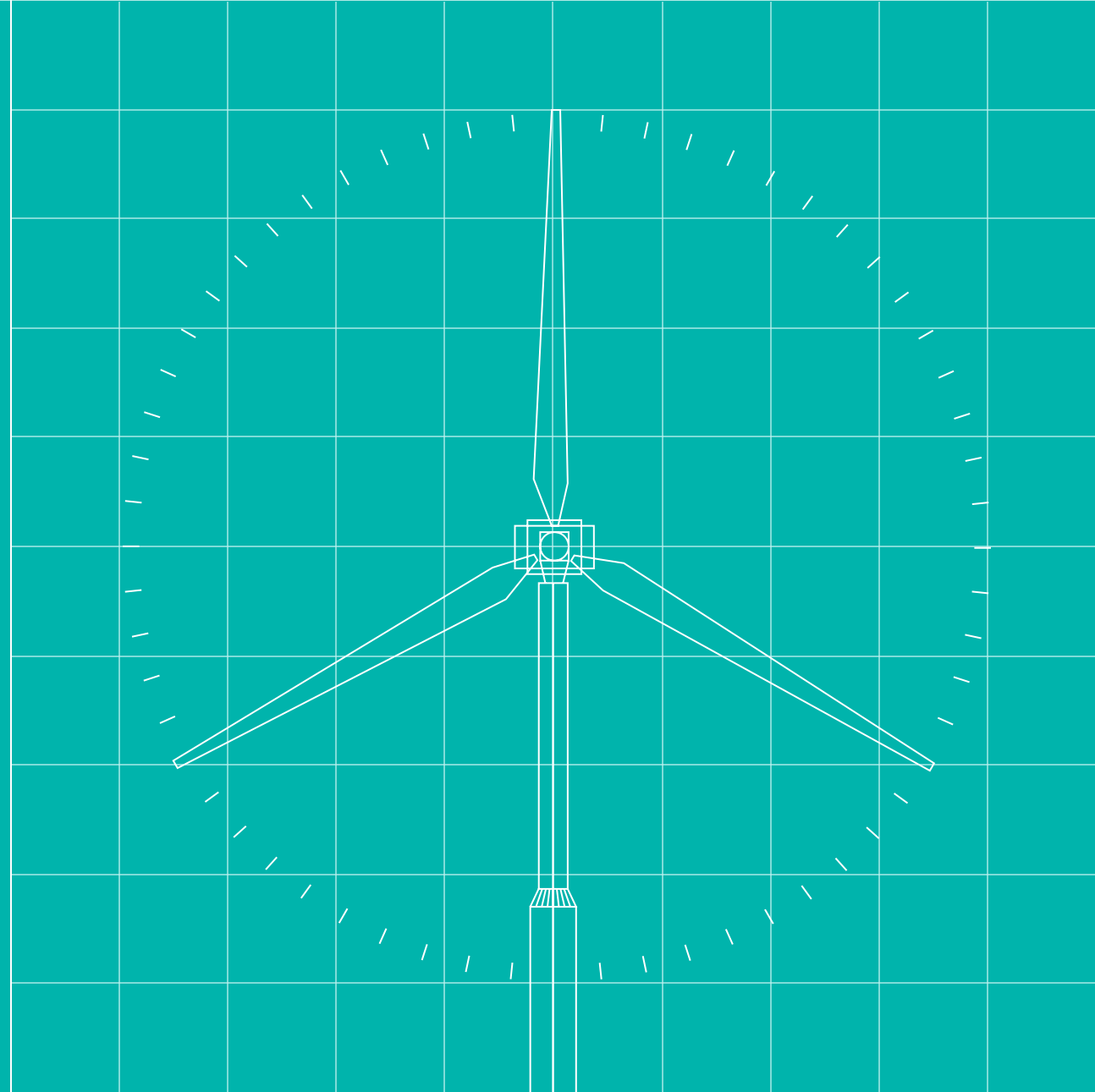
Question	Guidance
<p>4.2.3. Please confirm that for each MHHS requirement, you have successfully completed the relevant testing requirements in Pre-Integration Testing (PIT) to satisfy the BSC and/or REC Assessment Criteria, have provided PIT documentation including an approved MHHS-DEL1052 PIT Test Completion Report, and where applicable, agreed a work-off plan with the REC and BSC Code Managers for any outstanding defects.</p>	<p>[Yes/No]</p> <p>If no, please detail which requirements you have not successfully completed testing for, and any mitigation or alternative evidence you have agreed with the relevant Code Bodies.</p> <p>If you have agreed a work-off plan, please provide an update here of the latest status of agreed actions.</p> <p>Your PIT Approach and Plan should have included your defect identification and resolution policy, release management policy, and regression testing policy; if it does not, please provide these separately.</p>

4.3 Operational Readiness



Question	Guidance
<p>4.3.2 What adjustments, if any, are required in your organisation's resource to meet the changes brought about by MHHS, and how does your organisation intend to fulfil these requirements?</p>	<p>This response should include a resourcing plan, specifically highlighting areas in which you would like to onboard expertise. Please reference changes required for both the migration period and post-migration activities.</p> <p>For the initial submission of the QAD you should outline the expected timeframes for planning, creating, and executing a resourcing plan, and in the final submission of the QAD you should provide an update on the specific resourcing plan.</p> <p>You may wish to provide a written summary of these planned activities, and/or upload relevant support documentation outlining this.</p>

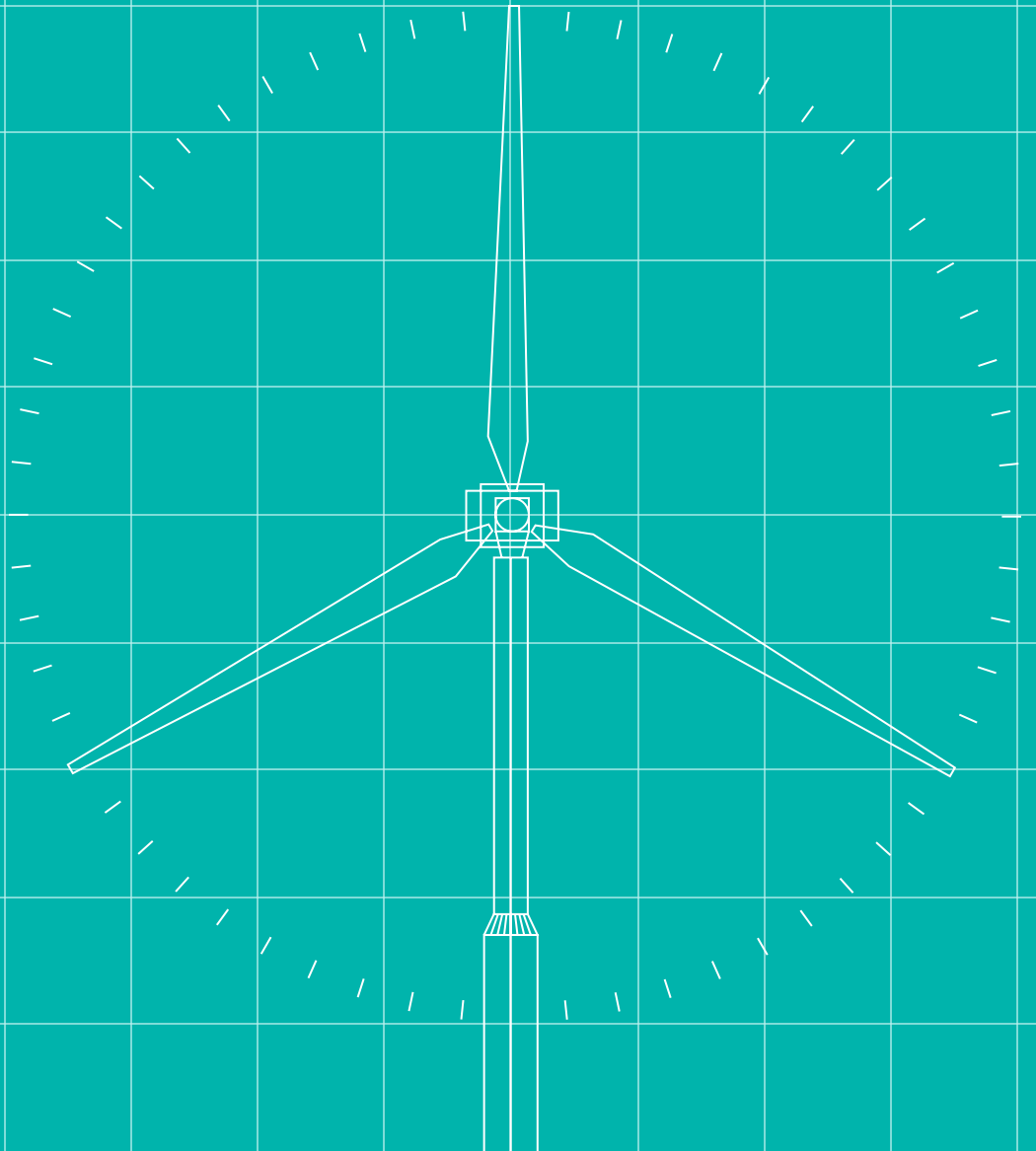
4.4 Information Security and Data Protection

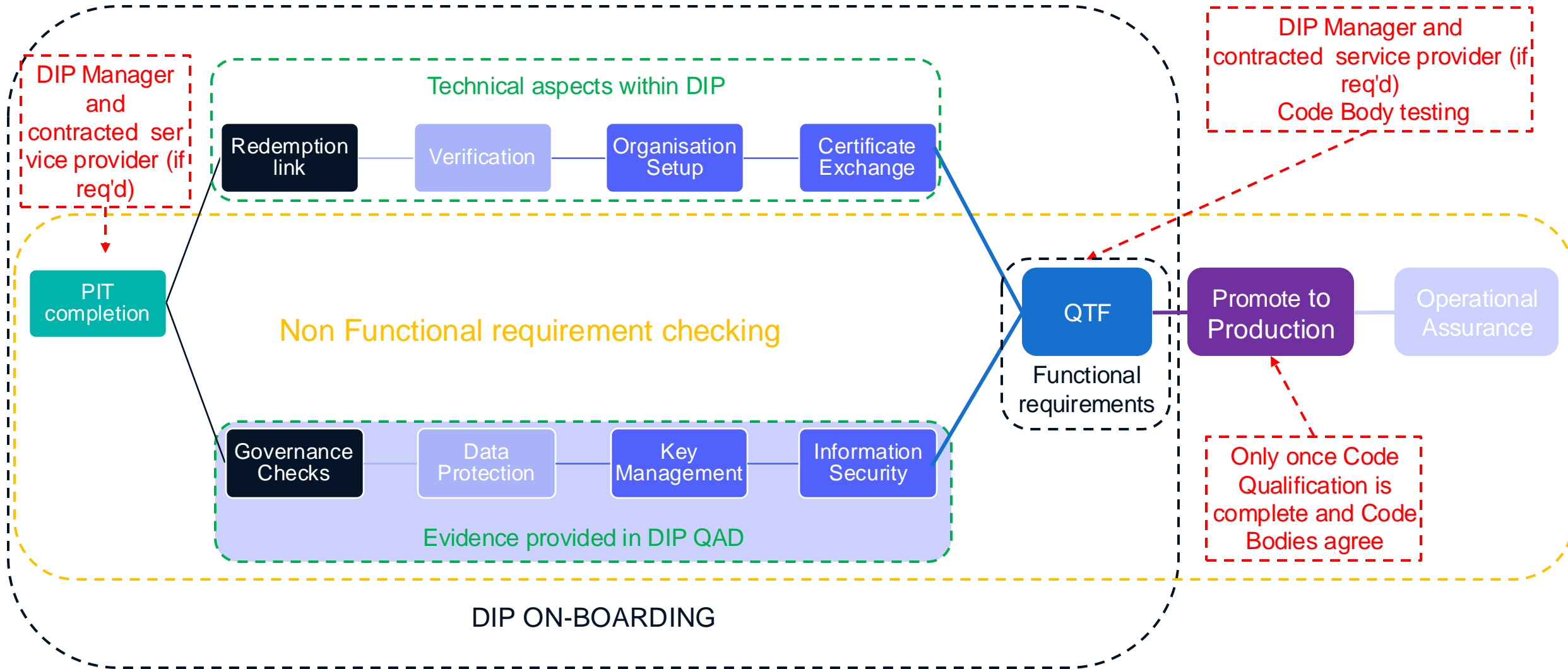


Question	Guidance
<p>4.4.1. How will you ensure that you have comprehensively identified and effectively assessed all information security and data protection risks associated with your in-scope services that were updated in line with the BSC and REC obligations brought about by MHHS?</p>	<p>Provide an impact assessment or risk register detailing security and data risk associated with the changes brought about by MHHS, including risk scoring, owners, applicable controls and mitigating actions.</p> <p>Where applicable, provide risk treatment plans detailing the response to any risk associated with MHHS requirements and code obligations.</p>

4.5 DIP

DIP Manager Team





Question	Guidance
<p>4.5.7. Provide an overview of processes, protocols, and liabilities between the DIP User and DCP where applicable.</p>	<p>The submissions will need to include DCP details (DCPs are not qualified!)</p> <p>Processes, protocols and liabilities between the DIP User and their DCP</p> <p>Demonstrable by production of written documents (within limits of confidentiality);</p> <p>If the applicant is not willing to share contract, may be evidenced by summary document of salient points</p> <p>Ensure the DCP is ISO 27001 compliant.</p> <p>Impacts the sections below in order to understand where division between Participant & DCP.</p>

Question	Guidance
<p>4.5.1. Provide evidence of compliance with ISO 27000 series? (note: or equivalent provision in accordance with the DIP Rules)</p> <p>4.5.2. Provide evidence of process for retaining all audit logs of basic user activities (e.g., logon, logoff, failed attempts) and security events for all information systems and services that interact with the DIP (This can be via a DCP if applicable)</p> <p>4.5.3. Provide an overview of your process in place to retain any security events for all information systems that interact with the DIP. (This can be via a DCP if applicable)</p> <p>4.5.5. Provide evidence that DIP Users systems are backed-up in accordance with best practice – demonstrable by adherence to ISO 27000 series processes and production of written process to back up systems, to include logical process diagrams; (This can be via a DCP if applicable)</p>	<p>Hopefully for most a simple exercise as most of these question will be available in organisational documentation standards, e.g. for ISO27000 compliance</p> <p>Follow NCSC Guidance – incident management & response</p> <p>Documentation supporting</p> <p>Retaining all audit logs of basic user activities (e.g., logon, logoff, failed attempts); and Security events for all information systems and services that interact with the DIP</p> <p>Provide an overview of your process in place to retain any security events for all information systems that interact with the DIP</p> <p>Should include written processes as applicable</p>

Question	Guidance
<p>4.5.9. Provide details of the following documents and processes that you have in place to ensure your compliance with data protection legislation:</p> <ul style="list-style-type: none"> a. Relevant data protection policies, b. Relevant data protection processes, and c. Where applicable, data protection impact assessments. <p>4.5.10. Provide documentation to show an overview of your contingency plan in place for;</p> <ul style="list-style-type: none"> a. Data breaches, b. Security events, and c. Other emergencies in relation to DIP data. <p>4.5.11. Provide evidence that you are aware of your responsibilities as a Data Controller and/or Processor in accordance with relevant Data Protection Legislation.</p> <p>4.5.12. Provide evidence of your adherence to the Authority’s Data Best Practice?</p>	<p>Hopefully for most a simple exercise as most of these question will be available in organisational documentation standards, e.g. for ISO27000 compliance</p> <p>Follow NCSC Guidance – incident management & response</p> <p>Documentation supporting</p> <p>Retaining all audit logs of basic user activities (e.g., logon, logoff, failed attempts); and Security events for all information systems and services that interact with the DIP</p> <p>Provide an overview of your process in place to retain any security events for all information systems that interact with the DIP</p> <p>Should include written processes as applicable</p>

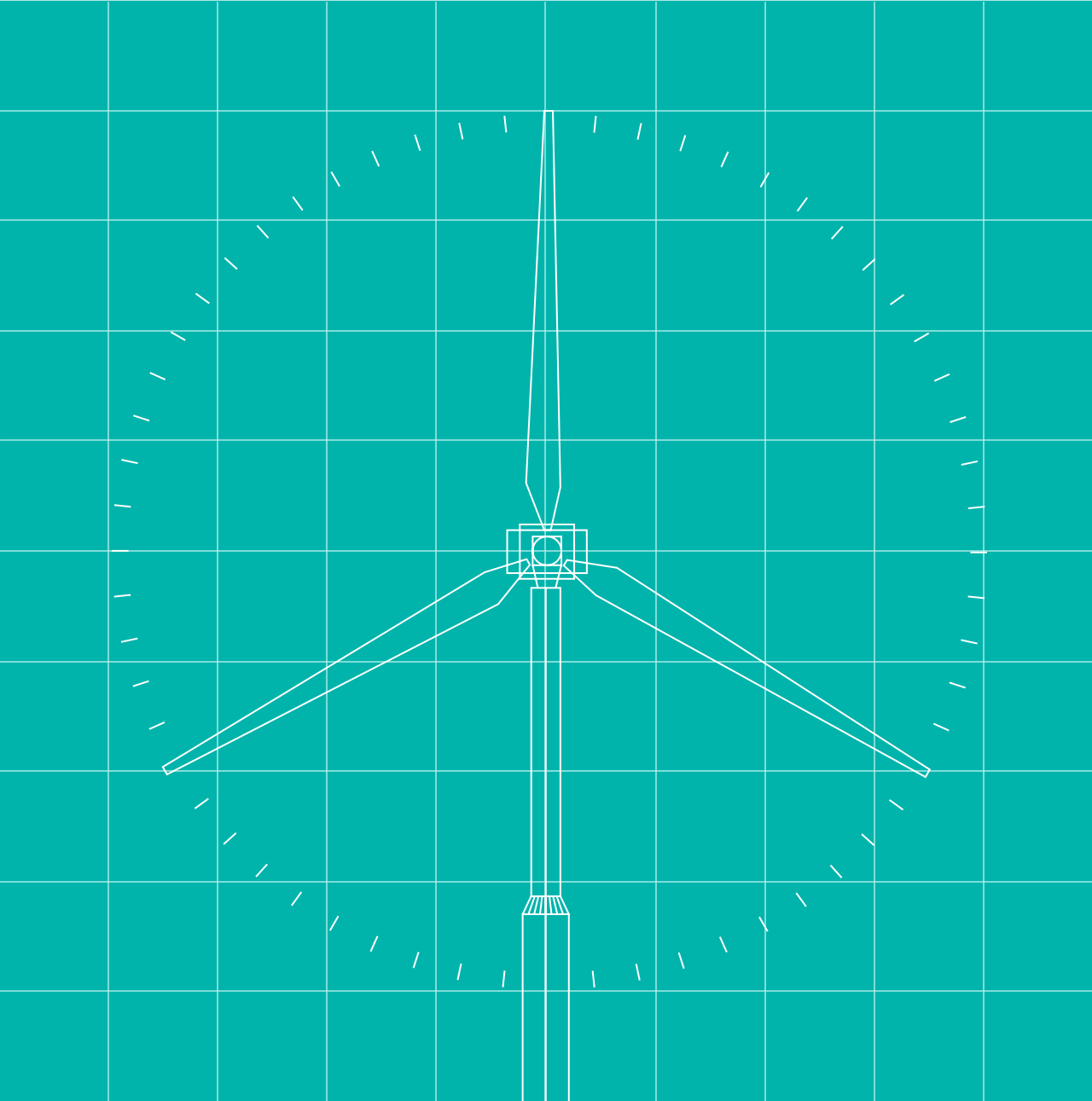
Question	Guidance
<p>4.5.6. Provide an overview of your process in place for DIP specific Key Management. (If applicable this will include how keys are transferred for DCPs)</p>	<p>Provide an overview of your process in place for DIP specific Key Management. (If applicable this will include how keys are transferred for DCPs)</p> <ul style="list-style-type: none">• Documentation on how keys are stored and managed• Assignment of Certificate admins and renewing and ensuring integrity of cert admin role• Any interaction with DCP and division of responsibility in managing certs

Question	Guidance
<p>4.5.4. Provide evidence of logical network schematic of the information systems and services in scope that interact with the DIP, and include: services and functionality; gateway/boundaries functionality</p> <p>4.5.8. Provide evidence that your systems have the ability to store data received via the DIP for at least two years?</p> <p>4.5.13. Provide logical architectural schematics and/or descriptions (or equivalent documentation) evidence that in the event of a single component failing there will be no data loss.</p> <p>4.5.14. Provide evidence of how separation is maintained between pre-production (testing) and production environments with regards to DIP connections.</p> <p>4.5.15. Provide evidence of how you will ensure operating systems, programming languages and their runtime libraries are at recommended supported versions.</p>	<ul style="list-style-type: none"> • Provide an overview of your system design • Documentation of design – e.g. logical design, physical design specifications • System Schematics – diagrams • Including: <ul style="list-style-type: none"> • Security- firewalls, networks, etc • Connectivity to DCP • Instance separation (prod vs non-prod) • Resilience – e.g. failover • Backup • Audit • Service Availability • 98%, outside planned outage (unless otherwise defined) • Service Recovery • In the event of an unplanned outage, each service shall be able to resume operation within 1 hour. • RPO of Zero

Question	Guidance
<p>4.5.16. Please self-declare whether you have updated your systems and business processes to ensure that you will</p> <ul style="list-style-type: none"> • ensure services that interface with the DIP have an availability of 98% outside planned outage periods • Ensure you do not plan outages within the Secured Active processing window <p>If you cannot self-declare you will meet these requirements, please confirm by when you expect to be able to make this self-declaration.</p>	<ul style="list-style-type: none"> • Provide an overview of your system design • Documentation of design – e.g. logical design, physical design specifications • System Schematics – diagrams • Including: <ul style="list-style-type: none"> • Security- firewalls, networks, etc • Connectivity to DCP • Instance separation (prod vs non-prod) • Resilience – e.g. failover • Backup • Audit • Service Availability • 98%, outside planned outage (unless otherwise defined) • Service Recovery • In the event of an unplanned outage, each service shall be able to resume operation within 1 hour. • RPO of Zero

Question	Guidance
4.5.17. Have you signed the Access Agreement with the DIP Manager if you are not a BSC Party?	Sign it if you need too! This must be completed prior to your final QAD submission

4.6 Interface Management



Question

4.6.1 What controls and procedures do you have in place around **Market Message management** to ensure they are robust and appropriate **to meet the BSC and REC obligations** brought about by MHHS that are relevant to your role(s)? (e.g.

- Error resolution
- Monitoring of missing or erroneous DIP interfaces
- Data backups and recovery processes

This may include controls in systems directly to the DIP, or middleware such as the DIP adapter.

You may wish to provide a written summary of these processes and controls, and/or upload relevant support documentation outlining these.

Question

4.6.4 Will you require **access to the Electricity Enquiry Service** to receive up-to-date Electricity Market information, and if so, do you have the required access you need via the GUI and/or API? Else, will you make an application for the access you need?



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PROGRAMME**

**Please ask questions on Slido during the Q&A
Session.**

You can join at [Slido.com](https://www.slido.com) - #QAD

All questions asked today will be addressed in a comprehensive FAQ document following the webinar. This document will be made available to participants on the Collaboration Base and MHHS Website.