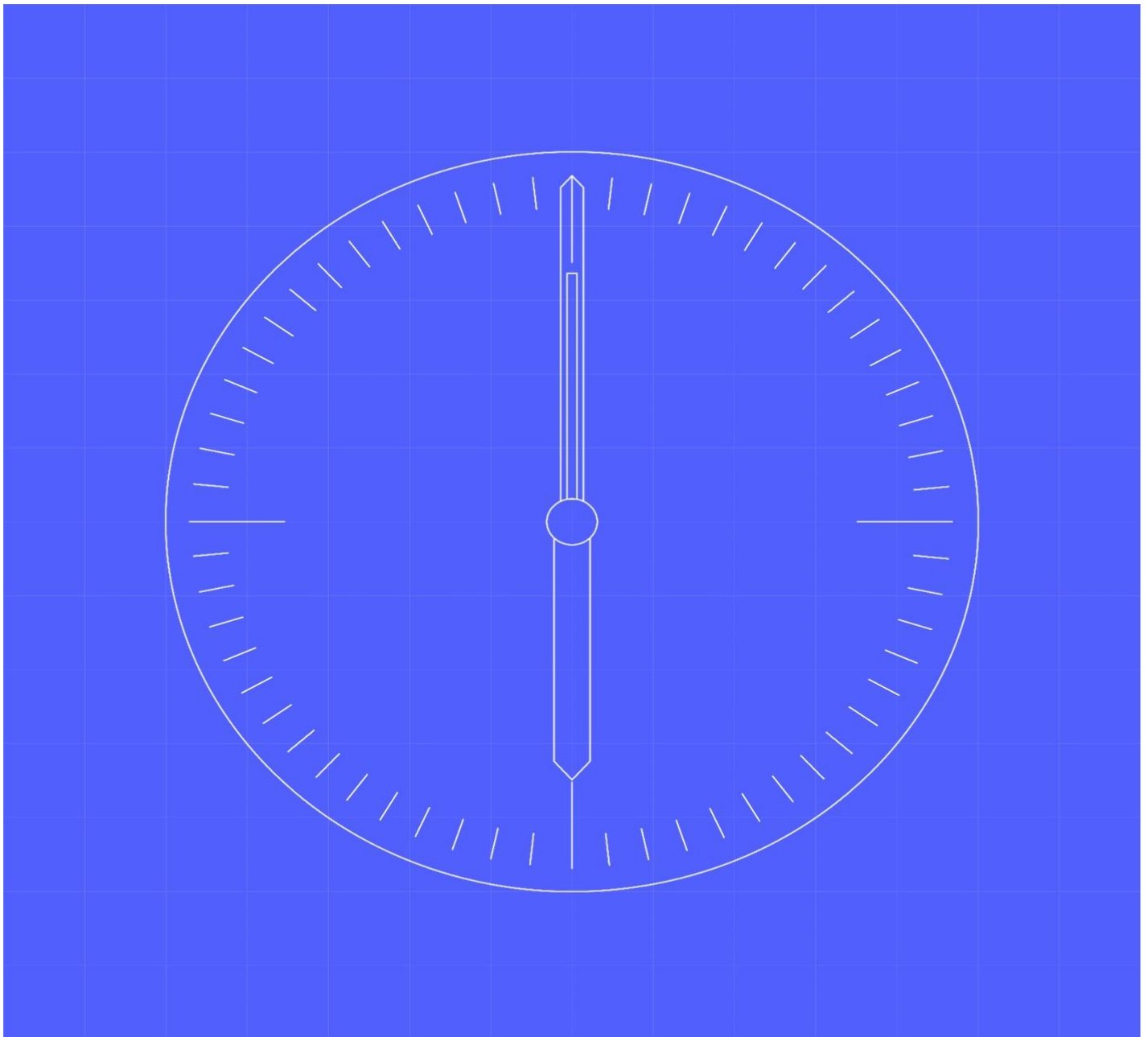




Qualification Assessment Document Q&A



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1.1 Change Record

Date	Author	Version	Change Detail
04 July 2024	Code Bodies	1.0	Approved Version

1.2 Reviewers

Reviewer	Role

2 Qualification Assessment Document (QAD) Walkthrough Webinar 29 May 2024

2.1 Questions & Answers (Q&A)

Q01. Will Code Bodies host a webinar on the Qualification Assessment Document (QAD) Portal?

Since this first webinar and Q&A were developed, this webinar took place on 18 June 2024. This webinar will demonstrate the QAD Portal that participants will be using during Qualification. This is to ensure that participants are familiar with the functionality of the QAD Portal in preparation for their Qualification.

The webinar recording and slides are available on the [MHHS Webinars & Open Days page](#) on the MHHS website.

Q02. Can participants submit multiple Qualification Assessment Documents (QAD)?

Participants are able to provide multiple Qualification Assessment Documents where it suits participant needs. Where information is the same across the organisation, participants can submit one QAD and include multiple Roles within the QAD. Where information differs across Participant Roles, then participants can submit a QAD for each Role.

Participants are able to submit one QAD for their Roles going through SIT, and another QAD for the Roles going through Qualification Testing. Each QAD Submission should be signed off by a suitable Company Director, which is identified in Companies House.

Q03. How should participants manage the Initial and Final Qualification Assessment Document (QAD) submissions

The QAD will contain one set of questions that covers both the Initial and Final QAD Submission. Code Bodies have indicated which sections are mandatory for the Initial and Final QAD Submissions. This allows participants to understand the full extent of what will be required for their Final QAD to ensure they are prepared for the final submission, and at the same time gives the flexibility to provide their initial views.

Q04. What access do Code Bodies have to participant's Qualification Assessment Document (QAD) Submissions?

Code Bodies are able to view the content in the QAD once it has been formally submitted by the applicant. Participants will have an option to save it as a draft on the SOFY platform. This is further explained in the SOFY QAD Portal webinar that took place on 18 June 2024.

Q05. How will participants be onboarded to the Portal?

Participants will be asked to provide a list of contact details for the people that they want to onboard to the platform. These contacts will receive a link to sign-up to the platform and be provided with further information to support their onboarding.

Q06. How do participants manage their Qualification Assessment Document (QAD) submission in the Portal?

Code Bodies will provide participants with the access and login details for management of their QAD Submission. Participants will be required to log in to the QAD Portal to manage their QAD Submission. Participants will upload their QAD Submission to the Portal for review by Code Bodies. Code Bodies will make comments on the QAD Submission for participants to review and provide updates to the QAD or provide clarifications.

Participants are able to share saved responses through the Portal or Export them for sharing offline. Participants are required to have their QAD Submission signed off by a Company Director that is identified in Companies House.

Q07. Why is a Portal being used for Qualification Assessment Documents (QAD)?

Code Bodies note the wide range of benefits that the Portal provides for participants' Qualification Process. The Portal provides flexibility to participants to upload, manage, and update their submissions as required. Code Bodies will be able to centrally review participants original QAD should there be a future Qualification process for another Role. Code Bodies will release the QAD as both a PDF and a Word Document to enable participants to work offline and collaborate internally on the QAD, before uploading and submitting via the Portal.

Q08. Will a worked example of the Qualification Assessment Document (QAD) be made available to participants?

Code Bodies do not make worked examples available for existing Market Entry Documents due to the wide range and individual nature of organisations, including the approach to the testing required for Qualification. Code Bodies provide Guidance to the industry to ensure participants provide the required information within their QAD.

Participants should provide as much evidence as they see fit to answer fully all the sections and questions in the QAD. If a written answer is suitable, or if a participant wishes to attach a supporting document, then the QAD Portal will have the functionality to support this.

Q09. Are consequential changes in scope of the QAD?

Consequential changes are not in scope of Qualification Testing, however, Programme participants should provide responses and evidence to that ensure their ability to meet the Balancing and Settlement Code, and Retail Energy Code requirements and obligations.

Q10. What agreement is required participants to “Place Reliance” or “Test on behalf of”?

It is the responsibility of the participant that is Placing Reliance upon another participant or having testing completed by a Third-Party Service Provider, to ensure agreements are in place to share testing evidence. Participants should ensure that the testing carried out by another party meets their needs and requirements. Any and all test sharing evidence agreements should be in place before the submission of their initial QAD.

3 QAD SOFY Portal Webinar 18 June 2024

3.1 Questions & Answers (Q&A)

Q01. It would have been useful to share these recorded videos before the webinar so all users could watch and submit questions to cover now.

The webinar recording and slides are available on the [MHHS Webinars & Open Days page](#) on the MHHS website.

Q02. Can participants submit multiple Qualification Assessment Documents (QAD)?

No, there is currently no written user guide for the portal. However, we provide a MHHS Qualification Document Portal Walkthrough Webinar to familiarise participants with its functionality ahead of their qualification. You can access the video at this link: [MHHS Qualification Document Portal Walkthrough Webinar](#).

Q03. How do we get credentials for Qualification Assessment Document (QAD) Portal - SOFY?

The QAD Portal will be set up initially based on the Key Contact information provided in the Pre-Qualification Submission (PQS). Once set up, the Key Contacts can then contact the SOFY service desk to add other users. Each user will receive an email containing the credentials required to log in to the QAD Portal.

Q04. If I already have access to SOFY, will I automatically be able to see this area?

Some people currently have access to SOFY due to the BSC Audit, but you need to be granted access to this application to see it within the platform.

Q05. Regarding set up on the QAD Portal can only one user be set up per company or can we set up multiple users?

There is no limit on how many users can be set up for the QAD portal for each organisation. The QAD Portal will be set up initially based on the Key Contact information provided in the PQS. Once set up the Key Contacts can then contact the SOFY service desk to add other users. The QAD Portal updates in real time so should be editable by multiple parties. Organisations should be aware of this though when planning how to update the QAD.

Q06. How will you 'control' who gets access? As the facilitator for our participant company, can I send the details of who should be given access? If so, where to?

The QAD Portal will be set up initially based on the Key Contact information provided in the PQS. Once set up the Key Contacts can then contact the SOFY service desk to add other users.

Q07. Can multiple logins see the same dashboard space?

Yes, all users with access to your application will be able to view the dashboard, task manager, and any other associated features.

Q08. Are there different levels of access, i.e. read only or full editing rights?

All users will have access to all elements of the application. Users will be able to view, edit and download responses and attachments. If you are granting access to any persons internal to your organisation or a third party, it will be your responsibility to ensure that access is utilised correctly.

Q09. Can we restrict some sections to only some people? We want our third parties to access but we have different third parties responsible for different areas.

All users will have access to all elements of the application, users will be able to view, edit and download responses and attachments. If you are granting access to any persons internal to your organisation or a third party, it will be your responsibility to ensure that access is utilised correctly.

Q10. Evidence submission, if working with a Managed Service can they submit evidence on my behalf that I cannot view. For security they may not wish others to view.

All users who have access to the portal will be able to see any responses/evidence submitted.

Q11. Who gets the email notifications when there is a change of status? Can I control that email address list?

Email notifications are sent to all registered users of your application. You cannot modify the list of recipients for these notifications.

Q12. How can we be sure this portal is secure for us to upload our policies and procedures?

This portal has undergone rigorous testing, including internal audits and compliance with privacy policies, ensuring data integrity and confidentiality. It is also SOC2 compliant which means it has undergone a technical audit to ensure that data is securely stored on the platform.

Q13. If we have multiple users within the portal to draft responses, is it possible to set user permissions to restrict who can submit responses for review?

No, currently we do not have this functionality available.

Q14. Can this information on security be published centrally with exact certifications? Our CISO office will need to review and approve before we can use it.

Please visit [Support | KPMG Sofy Suite](#) for information on security. Should you have more follow up questions please contact us directly at MHHSQualification@elxon.co.uk.

Q15. If SOFY is determined not secure by our company, can we use our approved secure file sharing tools that we can control?

This would be considered on an exception basis only. Please contact us directly to discuss and ensure to copy performanceassurance@recmanager.co.uk and MHHSQualification@elxon.co.uk in your email.

Q16. The sections are broken down into multiple questions. Will the sections on main screen be broken down by question & then component of question?

When you login to the main screen you will see all the questions applicable to each of all the sections. Each of these questions have guidance points to help with the response.

Q17. Presumably you can add multiple files per question? How are these to be referenced within question response?

Yes, you can attach multiple files to each question. We recommend referencing them in your response by indicating "see attached" along with the file name and a brief explanation of how each file supports your answer.

Q18. The 'response' box looks rather small- for more lengthy worded responses do you expect this to be updated as a separate document?

The response box will expand as you type, and there is no limit to the length of your response.

Q19. Is there a specific format or size limit for uploading files & can this be multiple files?

No specific format is required and there is no size limit. The platform handles multiple file types including xls, csv, doc, jpg etc. Multiple files can be submitted to support your response.

The restrictions we have should not affect your application. However, if you encounter any issues during submission, please contact the support team for further investigation.

Q20. To confirm - will we receive an email notification that the reviewers have left comments or accepted the submission.

Yes. You will receive notification when the status changes on your section.

Q21. Does response text box allow rich text?

No, only plain text formatting is supported.

Q22. Is there a diagram to provide an overview of the status' used in the portal across the multiple parties, both internal to Programme participant & reviewers?

There is a legend within the portal which shows what each status means and what all the icons mean.

Q23. Will it be possible to download a version to share with colleagues, e.g., for management sign off, including interim versions?

We do not have the facility to download individual completed sections from the platform. You can download the fully completed QAD as a PDF to share with colleagues.

Q24. Will we have the ability to export the questions, complete and review this 'offline' before final submission as will likely need multiple stakeholders to input.

While you won't be able to export each section individually from the SOFY platform, once approved, a Word version of the QAD document will be available for download on the Collaboration Base and the QAD portal. This will be available from September to help with internal sharing and stakeholder feedback. Additionally, you will have the option to export your completed application as a PDF.

Q25. Is it possible to download the contents for internal review purposes, particularly if there are review comments?

All activities are designed to take place within the QAD portal, where multiple users can access relevant information. However, towards the end of your application, there is an option to download the form for retention and review purposes.

Q26. Can we have soft copies (e.g. word) of the questions so we can circulate internally before completing on SOFY?

We will provide Word documents versions of the QAD. This allows applicants to collaborate internally before entering any information into SOFY.

Q27. We are expecting a soft copy to be available in July for us to complete offline, what is the exact date?

The QAD document will be out for consultation from 8 July 2024 and an updated version will go to August QWG, QAG and then finally sent to be approved at BSC and REC PAB in August. Once approved this will be available for download on the collaboration base and the QAD portal from September.

Q28. Is it possible to submit responses to individual QAD questions for feedback ahead of QAD1 - so that we can get feedback iteratively as we write the response?

Currently, the design requires the submission of an entire section rather than individual questions. Code Bodies will review the QAD in two iterations - Initial and Final QAD. Please ensure you have completed all information before submitting for review to prevent delays in Sign-off. The Code Bodies will not be offering interim reviews.

Q29. What happens if one Code Body approves and the other rejects the response? Do both Code Bodies have to re-review?

If one Code Body approves while the other rejects, you will need to revisit the section in question. After making the necessary revisions, both Code Bodies will need to approve the updated response again.

Q30. Will the reviews by Code Bodies be complete when we have all the form final & 100%?

Code Bodies will review the QAD in two iterations - Initial and Final QAD. Please ensure you have completed all information before submitting for review to prevent delays in Sign-off.

Q31. Can we change the section status ourselves? If a section is complete/under review, can we go back and make changes?

If a section is under review, applicants will be restricted by the tool and unable to make any changes. Applicants must wait for the review to be completed before making any changes. If changes are necessary to a finalised response, applicants should contact the SOFY support team to request unlocking the section, providing reasons for the change.

The section will then undergo another review cycle. This process is exceptional and depends on the reasons for the changes.

Please note resubmitting the QAD will reset your review window and could therefore impact your Qualification timelines. Participants are, therefore, encouraged to review all their responses before submitting the QAD for Code Bodies' review to prevent any delays.

Q32. If we load a partial response, can you (program/auditors/code bodies) read those responses or are they private to our organisation?

Code Bodies will be able to view a participant's QAD progress. Participants are advised to mark responses as 'partial response' to ensure Code Bodies are aware that further information will be included later

Q33. The review process: assume this means between QAD subs 1 & 2 there will be a 'review and respond' back-and-forth development of questions? How many iterations?

We are limiting it to two iterations to keep volumes manageable and prevent delays. Participants need to be aware of this and therefore should have quality assurance built into their completion process before submitted Initial or Final QAD.

Q34. Is there a timescale for responses from Code Bodies?

The timeframes for Qualification are outlined in the Qualification Approach & Plan Appendix C, i.e. 4-6 weeks.

Q35. To confirm, if applying for both REC and BSC roles do we only need to submit one Sign Off form?

If you are applying for a role under both Code Bodies, you will only need one sign off.

Q36. Our understanding is that we need Director Sign off for final QAD not initial? Please clarify

Yes, that's correct. The Director Sign-off stage is required only once your final QAD has been reviewed and approved by your organisation.

Q37. Will REC Parties be able to provide a Letter of Delegated Authority from a Director in lieu of the Director completing the "Applicant's Confirmation" section of the QAD?

The REC Code Manager will create a draft Letter of Delegated Authority (LoDA) for the QAD; a Director can sign this letter to authorise another employee to complete the "Applicant's Confirmation" section on behalf of the Director. This LoDA will be separate to any existing delegated authority that is currently in-place for the REC Annual Maintenance of Qualification, however, will follow a similar process. The option to delegate the completion of the "Applicant's Confirmation" section is only available to Meter Operator Agents (MOA), and not Suppliers or LDSOs, as the BSC requires that the Application Confirmation is signed by a Director.

Q38. Can we add director just before signing off, so they don't get lots of notifications? What is the SLA to add users?

Yes, you can add the director just before sign-off to minimize notifications. We do not have a strictly defined Service Level Agreement (SLA) for adding users.

Q39. If a supplier is under "Placing Reliance" with a service provider does this change the QAD process?

No, "Placing Reliance" primarily focuses on testing systems and processes. The QAD is a separate process that must be completed as part of your application and should not conflict if a supplier is under "Placing Reliance."