MHHS PROGRAMME
Industry-led, Elexon facilitated

MHHS Webinar: Pre-Qualification Submission (PQS)

MHHS-DEL2414

Change Record

Date	Author	Version	Change Detail
04/03/2024	George Player	1.0	Initial draft
13/03/2024	George Player	2.0	Final version

Reviewers

Reviewer	Role
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Pit

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Participant questions raised before the PQS Webinar

Q1. How should the Pre-Qualification Submission be filled out, by role or organisation?

The Pre-Qualification Submission should be filled out from an organisational point of view with the organisation's MPIDs and Market Role combinations documented within the submission. Where operational and/or technology set up varies within one organisation by MPID and/or Market Role, you can still provide a single submission but split each response into multiple sections, as required.

Q2. Can an organisation Place Reliance on one of its MPIDs if it has more than one MPID?

Where a Programme participant wishes to qualify multiple MPIDs in one Market Role following the Non-SIT route, and these are set up and operated identically, the Programme participant may be able to evidence meeting testing requirements with one MPID, and Place Reliance on this testing for remaining MPIDs. In such cases, the Programme participant should complete the Placing Reliance section within the Non-SIT Supplier and Agent Pre-Qualification Submission confirming that the systems and operational set up for the additional MPIDs is identical to the MPID that will be completing Qualification Testing (QT). This is described within Qualification Approach & Plan (QA&P) Appendix B.

Q3. Who should be identified in Section 4.1.1 as the Key Contact?

Please detail the relevant Market Half Hourly Settlement (MHHS) Project Lead within your organisation, who will be responsible for Delivery of MHHS on behalf of the company and will be the primary contact for Code Bodies and the Qualification Test Manager.

Q4. Who should be identified in Section 4.2.1 as accountable for delivering your MHHS Qualification plan?

Please detail the relevant Company Director within your organisation, who will sign off-off your MHHS Qualification Assessment Document (QAD) on behalf of the company. Please also provide details of any other senior stakeholders accountable for the delivery and oversight of your MHHS implementation as relevant.

Q5. How much detail is required in Section 4.2.1 relating to an organisation's change management approach?

Please detail how your change management process works including how risk around change is identified and assessed. If you utilise any industry standard change management framework, please detail that in this section. Please also describe how you will incorporate MHHS Design Interim Releases through Pre-Integration Testing (PIT) and QT. Code Bodies will share a worked example for this question in the PQS Webinar and also publish this on the MHHS Website and Collaboration Base following the webinar.

Q6. Which Organisations should be outlined in Section 4.4.2 and 4.4.3?

For Section 4.4.2, please outline the organisation that holds the Supply License and whose testing your organisation is intending to be Placing Reliance on.

For Section 4.4.3, please outline the Third-Party Provider whom your organisation is intending to delegate responsibility of testing to, in order to Place Reliance.

Please see the PQS Worked Example for further detail on this question. This will be published on the MHHS Website and Collaboration Base following the webinar.

Q7. How much detail and what information is required in Section 4.4.4 relating to the Responsible, Accountable, Supporting, Consulted and Informed (RASCI)?

When completing the PQS, please ensure you provide a detailed response to section 4.4.4, describing how responsibilities are split between the organisations involved within your Placing Reliance arrangements. Please ensure this includes information on the degree of commonality and/or variation in the set up for testing versus intend live operation so Code Bodies can assess your Placing Reliance proposal in detail. Programme participants must ensure the information in this section is complete and non-ambiguous to reduce risk of requiring additional testing to meet Code requirements for MHHS Qualification. Please see the PQS Worked Example for further detail on this question. This will be published on the MHHS Website and Collaboration Base following the webinar.

Q8. What Qualification documents are required from participants going through the different qualification pathways?

This information is detailed within the QA&P and varies based on the route a particular Programme participant is taking.

Q9. Are organisations able to submit a draft version of its PQS for Code Body feedback prior to submitting a final PQS?

Programme participants who wish to discuss their individual organisation's context, especially for Placing Reliance, are encouraged to reach out to the Code Bodies ahead of the PQS submission deadline.

Please note that this document has been updated after the PQS Webinar on 07 March to include questions asked during the webinar. Please see Section 2.

Participant questions raised during the PQS Webinar

Q10. Is the Pre-Qualification Submission Worked Example representative of the level of detail that Code Bodies are expecting from participants?
The Pre-Qualification Submission Worked Example has been developed by Code Bodies to broadly demonstrate to participants the type of detail we are expecting from their Pre-Qualification Submission. We do recognise that the actual level of detail a participant needs to provide may vary depending on their organisation's context. Therefore, Code Bodies encourage participant to provide ample detail to ensure their response are robust and provide confidence to Code Bodies to complete the Qualification Testing (QT) Wave Allocation.

Q11. How should Participants complete the Pre-Qualification Submission if they have more than one MPID, going through different routes to MHHS Qualification, i.e. some through Systems Integration Testing (SIT) and others through Qualification Testing?

A participant needs to fill out the Pre-Qualification Submission only for Market Participant Identifier (MPIDs) going through the Non-SIT Qualification route. Participant can highlight any other MPIDs they have and the Qualification Route those MPIDs are taking within the Pre-Qualification Submission, but it is not a requirement.

Q12. Where can the Qualification Wave dates be found?
The indicative timelines for MHHS Qualification, including the Qualification Waves, can be found in Appendix C of the Qualification Approach & Plan (QA&P).

Q13. Can a participant opt for more than one Qualification Wave if they have more than one MPID in any Market Role, and each MPID/set of MPIDs has a different system and process setup?
This scenario is described in Section 11.4.1 of the QA&P. In such cases, participants should ensure their PQS clarifies how their intended approach for Qualification will vary across the MPIDs and Market Roles they intend to operate under the MHHS arrangements.

Q14. Can participants provide estimated timeframes in the sections where intended dates are required, e.g. for Migration, Pre-Integration Testing (PIT), etc.?
Code Bodies ask participants to provide the most accurate understanding of their current plans. If a Participant has an estimated timeframe, please outline this estimate, alongside any risks to achieving that timeframe to enable Code Bodies to understand where there are dependencies on deliverables.

Q15. What details should be provided where participants plans are not yet confirmed, such as those relating to Non-Functional Requirements (NFR) and the Migration Stage?
Code Bodies acknowledge that participants plans may not yet be settled and Participants should provide the current view of their plans, and notify Code Bodies where there are changes to the view they have provided with their PQS. Code Bodies want to prevent any delays to participants beginning Qualification Testing and thus want to understand their PIT approach and plans so any potential gaps can be highlighted earlier.

Q16. Can Participants exclude themselves from select requirements, in the same way as they can for Unmetered Supplies?
This topic was taken to QWG11 for discussion, where it was determined that the only appropriate exemption that can be provided is limited to the Unmetered Supplies (UMS) as there was a widespread request for UMS requirements to be altered. The Code Bodies were able to mitigate the risk of participants not being required to meet the UMS Requirements with the Code Bodies Performance Assurance Boards. Please see Qualification Approach & Plan Section 11.4.2 for further details.
The Supply Licence and Code Qualification do not allow such exemptions, therefore, to complete MHHS Qualification successfully, a Programme participant will be required to demonstrate that it can sufficiently complete all the responsibilities and functions required for the relevant role, as described within the MHHS design artefacts and the Code documentation that will align to that role. However, the REC and BSC Performance Assurance Boards will hear a proposal for additional Supplier exemptions in April and May 2024.

Q17. What is the SLA for Code Bodies to feedback or request additional information following participant Pre-Qualification Submission?
Following the Pre-Qualification Submission deadline of the 26 April 2024, Code Bodies will be reviewing and collaborating with participants where additional information is required in order to finalise the Qualification Wave allocation by 28 June 2024. If participants do not hear from Code Bodies in this time, then it's unlikely that any additional information is required from them.

Q18. Should participants outline all the Roles for which they are planning to complete MHHS Qualification for?
Yes, in Section 4.1.1, participants are required to list all MPIDs with the Role Codes that they intend complete MHHS Qualification for.

Q19. In Section 4.5, should participants be highlighting changes being made to Legacy Agents or Service Providers, or both?

All participants are expected to respond to Section 4.5 from the perspective of roles they currently operate within the Market. For example, an organisation operating as a Meter Equipment Manager (MEM) at present will need to set out how they are delivering changes required to support MHHS Migration as a legacy MEM.

Q20. Where can participants find details on the Changes to Supply Number?
Please refer to REC Change Proposal R0083 Changes to Supply Number Format for MHHS. Please note, to access the REC Change Register, you will need to be signed into the REC Portal.

Q21. Are Codie Bodies resourced to review all the of Pre-Qualification Submission in time for the finalised Qualification Wave allocation planned for 28 June 2024?
Yes, Code Bodies have the resources to review all Pre-Qualification Submissions in time for Qualification Wave allocation by 28 June 2024.

Q22. Do all participants undergo the same Qualification Testing, or do large organisations have more rigorous testing?
Qualification Testing will be risk-based and there will be some variation in the scope of tests completed by a Participant depending on the Code Bodies' Risk Assessment. Code Bodies will determine the actual scope of QT required to be completed by each participant as part of their QT preparation. This will also factor in coverage in relation to Placing Reliance.

Q23. Can Non-SIT participants Select Qualification Wave 1 as their Preference?
PQS only applies for Non-SIT participants who can select any Qualification Wave (1 to 4) as their first and second preference.

Q24. If a participant has not utilised the PIT RTTM template, what information must they ensure to capture in their own templates?
Participants are not required to supply the PIT RTTM with their Pre-Qualification Submission. Code Bodies require all Participants to use to PIT RTTM templates issued with the PIT Guidance to ensure consistent level of detail is provided across all Participants. All information required within these PIT Requirements to Test Traceability Matrix (RTTM) templates must be captured within the Participant's own template where they are not using those issued with the PIT Guidance. As mentioned at Qualification Working Group (QWG) on 12 March 2024, please note these templates are being updated by the Code Bodies and MHHS Programme to ensure they capture sufficient detail.

Q25. Where can participants find the PIT Guidance?
Participants can find the PIT Guidance on the MHHS Website

Q26. How can participants understand the type of evidence expected for PIT and QT to meet Qualification requirements? Will examples of these be provided to aid participants?
The PIT Guidance contains evidence templates that the MHHS Programme and Code Bodies are jointly developing to ensure all participants provide a consistent level of detail and meet requirements for QT Entry as well as for MHHS Qualification. Should participants require additional templates than those provided, please use the industry consultations as an opportunity to bring that to the attention of the MHHS Programme and Code Bodies.
Additionally, similar to the PQS Webinar held on 07 March 2024, the Code Bodies hosted a Webinar to provide participants a walkthrough of the Qualification Assessment Document (QAD). This session provided examples of the types of supporting evidence expected from participants in order to demonstrate they have met the Qualification requirements.
For QT evidence, the Code Bodies are also considering a solution that automates evidence capture, where possible. As this is further developed, it will be presented at the QWG.

Q27. What consent is required prior to Placing Reliance on a third Party?
Participants are required to provide confirmation that all organisations involved within their proposed Placing Reliance arrangement have consented to information sharing for Placing Reliance. To ensure these arrangements are robust and will not impact the participant's ability to Qualify, Code Bodies require assurance that the required contractual arrangements to facilitate Placing Reliance have been agreed between involved parties. Code Bodies will not be involved into agreeing these arrangements and the responsibility and accountability remains with the participant and their Third Party Provider(s).

Q28. Do participants that are Placing Reliance on a third party need to advise Code Bodies of the entire suite of Pre-Integration Testing the third party has completed?

Yes, this should be document within the PQS and supported by their PIT Approach and Plan. Code Bodies want to understand which systems and processes are within the scope of the participant's Placing Reliance proposal and how the participant is ensuring these are sufficiently tested.

In Section 4.4 of the PQS, participants must describe how the roles and responsibilities are split between their organisation and the organisation(s) they are intending to Place Reliance on for MHHS Qualification. This should, amongst other things, include execution of the various phases of testing (including PIT) to meet the Assessment Criteria for MHHS Qualification set out by the Code Bodies.

In their PIT Approach and Plan, each participant must demonstrate how they are intending to gain the required coverage through PIT. Where a participant is Placing Reliance on a third-party (i.e. another Market Participant or a System Provider) for PIT, they must outline within their PIT Approach and Plan which scope of PIT they will be Placing Reliance for, and which they will be undertaking themselves. This should also be supported by the rationale for Placing Reliance, i.e. highlighting the commonalities and variations amongst their systems and processes.

Q29. Are participants able to Place Reliance on a third Party going through SIT?

The MHHS Placing Reliance Policy can be adopted by all participants irrespective of the Qualification route taken by them and the other organisation(s) involved in their Placing Reliance arrangements. However, in order to operationalise this Policy to satisfy Qualification requirements, the organisation whom you are Placing Reliance on should have completed their testing either in the same or earlier SIT cohort/QT Wave.

Q30. Where a participant is Placing Reliance on the third party, will Code Bodies coordinate directly with the third Party to retrieve the required Testing Evidence?

Participants are required to provide details of any third parties they are Placing Reliance on within their PQS to allow arrangements to be put in place to retrieve required documentation. Section 10.3 of the Qualification Approach & Plan sets out, "It is expected that when placing reliance, either partially or fully, the Programme participant will not need to provide a copy of the testing report they are placing reliance on, provided Code Bodies already have access to the relevant information, but will need to reference in their QAD what testing they are placing reliance on."

Code Bodies will continue to collaborate with participants to ensure this process runs smoothly.

Q31. How will a participant's Qualification Testing Scope be determined where they are Placing Reliance?

To determine this, Code Bodies need to understand your Placing Reliance proposal and the scope of the Third Party's PIT and SIT you intend to Place Reliance on to ensure there is sufficient coverage to meet Qualification Requirements. As part of QT Preparation, Code Bodies will scope the tests your organisation needs to complete as part of QT and then review what percentage of it is covered by the SIT/QT testing done by the Party you are Placing Reliance on. Please see Annex 2 of the Qualification Approach & Plan for further detail on QT Scoping.

Q32. Do participants need to name the other Market Participant organisation they are Placing Reliance on or the Third-Party Managed Service/IT Systems Provider who may be facilitating the arrangements?

Where a third party is testing on a participants' behalf then details of the third party should be provided in Section 4.4.3. Where a third party is testing on behalf of another participant, and a participant is placing reliance on the other participants testing, then the other participants details should be provided in Section 4.4.2 as well as the Third Party's details should be provided in Section 4.4.3. Where more than one organisation is applicable in each of these sections, the Participant should repeat the tables in section 4.4.2 and 4.4.3 as required. This is vital information for the Qualification Wave allocation, as the other Participant will need to be in the same or an earlier Qualification Wave.

Q33. What is the latest timeframe that a participant can Place Reliance on a third party?

A participant must join a Qualification Wave to Place Reliance on a participant that is in the same or an earlier Qualification Wave. Code Bodies expect participants to make clear any Placing Reliance arrangements in their Pre-Qualification Submission to be submitted on or before the 26 April 2024. Participants can opt to complete MHHS Qualification in the enduring arrangements, however there are restrictions on Suppliers that opt for this Qualification route, please see Annex 4 of the Qualification Approach & Plan for further detail on these restrictions.

Q34. How should a participant Place Reliance on more than one third Party?

If a participants wish to Place Reliance on more than one Third Party, you will need to list details for all organisations involved in your proposed Placing Reliance arrangements in section 4.4.

Q35. Should participants be providing their entire Systems Architecture or just those systems that are relevant to Qualification Testing?

The Pre-Qualification Submission requests the end-to-end Systems Architecture that is related to a participant's operational delivery of MHHS. The end-to-end Systems Architecture should be as defined within the PIT Guidance and include all participant systems required to support MHHS requirements. These include all systems required to deliver end-to-end processes impacted by MHHS Design, including any system from which information is generated to trigger an MHHS Business Process or any system that receives and consumes the output produced during an MHHS Business Process. Participants can exclude all systems that do not interface with systems impacted by the MHHS Design

Q36. How should participants provide details on their Change Management processes where this differs across multiple systems?

Where participants Change Management processes differ across their systems, they should provide specific details on each system's processes. Where participants are reliant on third parties and their Change Management Process, this needs to be detailed here as well.

Q36. What Systems should be included in the Change Management processes?

Participants should provide details on their whole business, including but not limited to IT process change, business process change, defect handling, as well as changes arising from Interim Releases and changes to design.

Q37. Please can Code Bodies confirm that only the participant's Qualification Assessment Document is required to be signed off by their Company Director. This, however, does not apply to the Pre-Qualification Submission.

This is correct. The Qualification Assessment Document (QAD) is the overarching MHHS Qualification Document produced by the participant and asserted by their Company Director through the sign-off process. The Pre-Qualification Submission is a supporting document to the QAD. Therefore, the Code Bodies will accept participants to be sign off by their key personnel responsible for MHHS delivery who may not necessarily be the Company Director.

Q37. Does the named Company Director in Section 4.2.1 have to match the named Company Director at Companies House?

Yes. Code Bodies are requesting participants advise the Company Director as outlined in UK Companies House in order to validate the person who signs off the Qualification Assessment Document.

Q38. What Company Registration details should be provided if a participant is not registered with UK Companies House?

Participants should enter the Company Registration details of the Companies House equivalent of where the participant is registered.

Q39. Is there a Glossary available to Participants?

Please refer to Appendix A of the QA&P or access the MHHS Glossary

Please note that this document has been updated after the PQS Drop-in Sessions on 04 & 09 & 17 April to include questions asked during the Sessions. Please see Section 3.

Participant questions raised during the PQS Drop-in Sessions

Q41. How much detail are participants expected to provide in their Pre-Qualification Submission including supporting documentation PIT Approach & Plan, Migration Framework?

Code Bodies have provided a Worked Example of the Pre-Qualification Submission that provides an expected level of detail, including the expected information coverage for participants. This worked example can be used as a guide for participants that are completing their Pre-Qualification Submission. Code Bodies are expecting participants' PIT

Approach and Plan to be produced with the Pre-Qualification Submission; however, participants should update Code Bodies when participants are aware of changes to their PIT Approach & Plan. Code Bodies understand that the Migration framework is not yet complete and therefore advise participants to highlight any risks and consequences that the delivery of Migration framework could impose on their current plan.

Q42. Are Participants required to submit their PIT Requirements to Test Traceability Matrix (RTTM) alongside their Pre-Qualification Submission?

Participants are not expected to submit their PIT RTTM alongside their Pre-Qualification Submission, the PIT Deliverables for Non-SIT Participants outlines the timetable for PIT Deliverables for each Non-SIT route to Qualification.

Q43. Section 4.5 - What should Participants include?

The expectation is that participants demonstrate how they will ensure they have implemented the required changes on time and should include details of their approach and plans to deliver these changes. Code Bodies have provided a Worked Example of the Pre-Qualification Submission that provides an expected level of detail, including the expected information coverage for participants. This worked example can be used as a guide for participants that are completing their Pre-Qualification Submission.

Q44. Where can participants provide information within the Pre-Qualification Submission that does not easily fit into the sub-sections of the form?

Participants can provide additional details and contextual information within Section 4.7 Contextual Information. Where participants are including details within this section that relate to specifics elsewhere within the Pre-Qualification Submission, please make clear that additional detail can be found in Section 4.7 to support the information provided across the Pre-Qualification Submission.

Q45. Where can participants find the Pre-Qualification Submission guidance including the worked example?

Code Bodies have published guidance which may help you with your queries. Please see below the links to this guidance:

- PQS Worked Example: https://www.mhhsprogramme.co.uk/uploads/290a7b67-a77b-41d8-ab9c-d1ae0ea912c0/MHHS-DEL2231_Pre_Qualification_Submission_v1.0_-_Worked_Example.pdf
- PQS FAQ document: https://www.mhhsprogramme.co.uk/uploads/ea47bf12-87b3-42e5-a331-98b2d47455df/MHHS_PQS_Webinar_Q&A_v2.0.pdf
- PQS Webinar recording: https://www.youtube.com/watch?v=w8hsTw1JldQ

Q46. Does the Method of Change Delivery impact participants completion of the PQS, including Aglie, Waterfall etc?

Participants can provide answers based on any Method of Delivery approach. When looking at example answers based on approach, Code Bodies will be looking at factors such as the assumptions participants' planning is based on, accuracy of other dependencies, and controls to monitor and ensure delivery is in line with Participants plans.

Q47. Can participants request separate Qualification Wave Preferences for each of their Roles or MPIDs?

Yes, Participants can choose to undergo Qualification Testing in separate Qualification waves for each of their Roles or MPIDs. Participants should make clear how they want to manage their Qualification Wave Preference across their Roles and MPIDs within their Pre-Qualification Submission. Suppliers will need to have appropriate agents in place to start migration so should consider this when completing the PQS.

Qualification under the REC for each Market Role is at the legal entity level, so where a participant intends to split Qualification for MPIDs through different Qualification Waves, they will be required to submit a Management Assertion confirming their intention for the remaining MPIDs with the QAD. Please refer to section 11.4.1 of the Qualification Approach and Plan for further detail on this.

Q48. Will Code Bodies define the Test Scenarios and Cases for participants' PIT?

Participants are required to determine their own Test Scenarios and Cases for PIT, participants should develop testing based on their Risk Appetite and in respect of the MHHS Design. Participants will provide their PIT Approach and Plan to Code Bodies with their Pre-Qualification Submission. Code Bodies are providing Test Scenarios and Cases for Qualification Testing. Code Bodies will provide participants with a PIT Requirements to Test Traceability Matrix (RTTM) template.

Q49. How should participants manage Dormant MPIDs in their Pre-Qualification Submission?
In Section 4.1 of the Pre-Qualification, participants are required to outline which MPIDs they want to Qualify in the MHHS Arrangements, as well as any MPIDs participants do not intend to Qualify in the MHHS Arrangements. Participants are requested to indicate the date at which they plan to exit the MPID from the Market. Code Bodies will coordinate with participants on the Market Exit process for any MPIDs that participants do not wish to qualify in the MHHS Arrangements. Sanctions will be place on MPIDs if participants do not wish to Qualify the MPID in the MHHS Arrangements, and do not exit the MPID from the Market by M14, participants can find more information on these sanctions in the Qualification Approach and Plan Annex 4

Q50.Where a participant is using a third-party DIP adaptor and not Placing Reliance on their Testing, how should the participant denote this in the Pre-Qualification Submission.
Participants will be responsible for testing if they are not placing reliance on the third-parties testing. Code Bodies will need assurance that participant's Systems and the Adaptor can manage a realistic volume of market messages. Participants are required to detail the adaptive requirements are covered in their PIT Approach and Plan.

Q51.How should participants report DIP Simulator failures or defects?
Participants should report all failures or limitations identified during PIT to the programme via the Defects Process. Once defects are resolved then participants will be required to complete their testing and demonstrate their testing evidence. For further information please see the MHHS Defect Management Plan.

Q52. Are participants required to provide Test Evidence on CSS and DTN Messages?
Changes are being introduced to DTN Messages; therefore, participants are required to provide testing evidence that these changes have been accommodated in their systems and business processes are operating correctly on receipt of these. CSS Messages are not changing; therefore, CSS Messages are not a focal point of PIT Assurance.