

ISSUE 101 BUSINESS REQUIREMENTS

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Version History

Version Number	Reason For Change	Date of Change	Amender(s)	Reviewer(s)	Approver(s)
0.1	First draft	17 Mar 23	Chris Wood	N/A	N/A - drafting
0.2	Second draft	17 Apr 23	Chris Wood	Internal DIP Team	N/A - drafting
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1. INTRODUCTION

1.1. Purpose

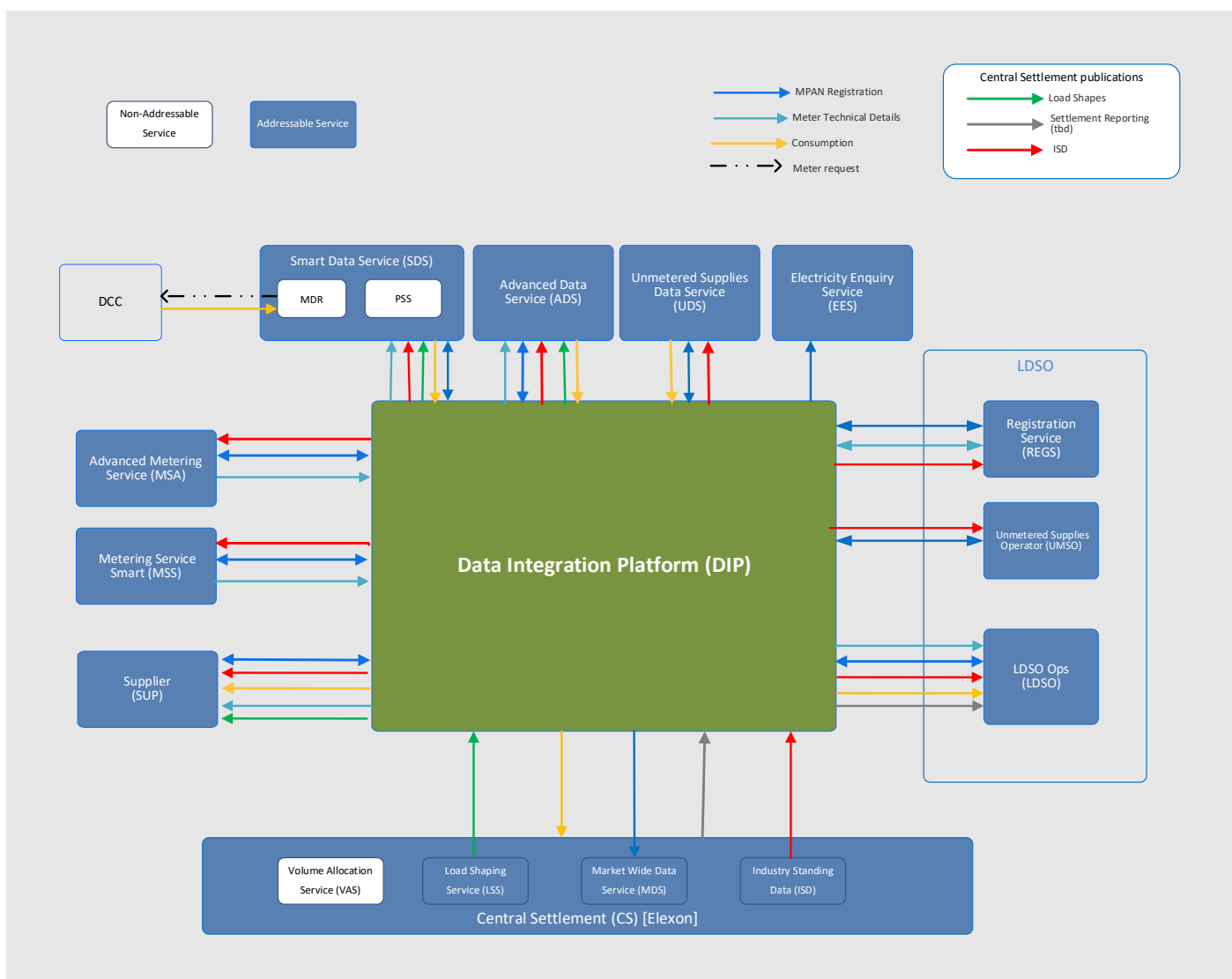
The purpose of this document is to communicate the Business Requirements of Issue 101 to industry members and those responsible for creating the DIP. It describes what Elexon, as future DIP Manager, will require of our own processes as well as the design of the DIP to deliver operational management, governance, change and other enduring processes as laid out in this document.

1.2. Anticipated users

It is anticipated that Elexon, in its role as future DIP Manager, will use these requirements as the basis for drafting Legal Text and creating processes and procedures. The MHHS Programme are expected to use these requirements to design the DIP to meet the needs of the DIP Manager, and in doing so will liaise with Avanade (the DIP Service Provider) who have been contracted to create and maintain the DIP on behalf of Elexon.

Industry members are expected to use these requirements to help plan their own system and process designs; these requirements should be read alongside documentation shared by the MHHS Programme.

1.3. DIP Interfaces Context diagram



2. ISSUE 101 SUMMARY

2.1. Issue 101 Problem Statement

MHHS will make use of additional meter readings available from smart and advanced meters, resulting in a significant increase in the volume and frequency of data feeding into Settlement.

As part of the earlier work under the Electricity Settlement Reform Significant Code Review (SCR), the Architecture Working Group (AWG) was established to develop, consult on and recommend solutions for the future system architecture design. The [AWG](#) recommended to Ofgem that 'event driven' reference architecture be developed to support MHHS implementation. In December 2021, Ofgem [published its decision](#) supporting the AWG's recommendation. The decision requires industry to develop a hybrid architecture comprising the existing Data Transfer Service (DTS) and a new Event Driven Architecture (EDA) platform.

The EDA based system is being developed as a key component to support delivery of the MHHS Target Operating Model (TOM) and will be able to respond to the increase in volume and frequency of data more quickly than the current arrangements. The Data Integration Platform (DIP) is the delivery mechanism for the MHHS EDA.

In January 2022, Ofgem consulted on the [ongoing governance, funding and operation of the EDA for MHHS](#), seeking views on which party (Retail Energy Code Company (RECCo) or Balancing and Settlement Code Company (BSCCo)) would be best placed to undertake this responsibility. Ofgem published their [Decision on the governance, funding and operation of an EDA for MHHS](#) on 21 April 2022, which determined that BSCCo should govern the EDA through the BSC.

Element	Description
The problem of...	Designing and building a DIP as part of the MHHS programme without robust governance and operational processes to ensure it is run effectively
Affects...	All Market Participants, including Suppliers, Distributors and Metering Service providers as well as new entities to be created as part of the MHHS implementation and any other organisation that may be eligible to use the DIP
The impact of which...	Means that without clear direction on how to become a DIP Participant and use it in a manner that does not impact others, the new platform will not meet the longer term objectives of the MHHS programme
A successful solution would...	Design and implement processes that cover: <ul style="list-style-type: none">• Governance arrangements e.g. creation oversight boards and approval processes• On-boarding and Off-boarding – DIP entry and exit processes• Service Provision – service assurance and performance reporting, including independent assurance• Change management – a means of making changes to the DIP in a controlled and measured manner

Element	Description
	<ul style="list-style-type: none"> • Funding arrangements – to ensure the costs of running and operating the DIP are apportioned appropriately • Data Management – ensure that all legislative and accepted best practices measures are applied to the operation of the DIP

2.2. Issue 101 Scope

Before an Authority-led SCR Modification is raised, Ofgem has asked Elexon (in its role as a MHHS Participant) to develop the proposed solution in consultation with industry. This will build on the steer that Ofgem provided in their [decision document](#).

2.3. Issue 101 Objectives

Ofgem intends to raise an Authority-led Significant Code Review (SCR) Modification which will formally implement changes for the ongoing governance, funding and operation of the DIP into the BSC. The Issue process under the BSC is a mechanism that the industry is familiar with, and can be used for exploring and developing potential solutions to industry defects. Elexon will use the Issue process to seek industry input, through Workgroups and consultations, into development of the proposed solution.

3. ASSUMPTIONS AND REQUIREMENTS

3.1. Current State (As-Is situation)

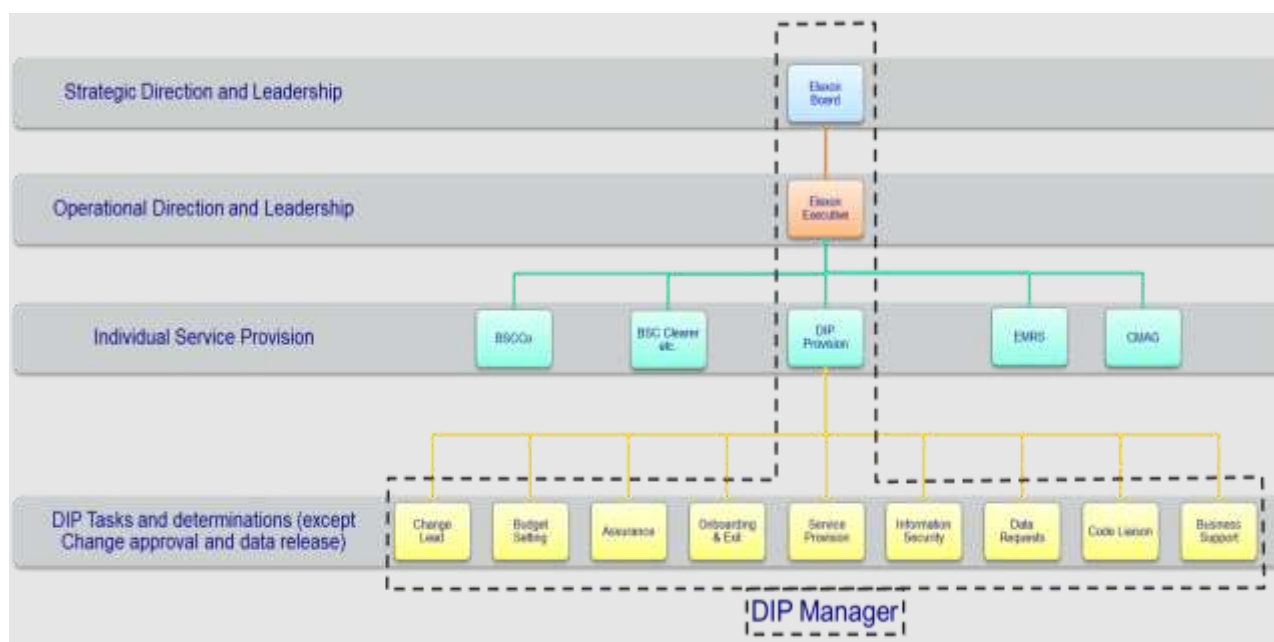
The DIP is a new creation and as such, there are no existing arrangements in place for its operation. However, there is precedence in the operation and governance of the BSC and other codes (e.g. RECCo) and services (e.g. the Data Transfer Network (DTN)) that can be drawn upon as a basis for the operation of the DIP.

3.2. Clarification on text

3.2.1. DIP Manager

Reference to the DIP Manager shall be taken to be representative of the organisation tasked with delivery of the DIP including, but not limited to, the work streams covered in these assumptions and requirements. As a starting point, this shall include the Elexon Board (for oversight of the DIP Manager), members of Elexon's Executive (responsibility for provision of resource and day-to-day leadership and direction) and Elexon staff employed in the delivery of the DIP.

DIP Manager Provision for Elexon staff shall be seen as being separate to work carried out for the provision of the BSC, EMRS, or CMAG as applicable. The following diagram is illustrative of the relationship of the separate functions.



3.2.2. DIP Service Provider

Avanade is the company that has been engaged by Elexon to build the DIP (under MHHS Programme direction) and, once operational, maintain and operate the DIP on behalf of the DIP Manager.

3.2.3. DIP User

DIP User refers to any organisation that will use the DIP as anticipated by the MHHS Target Operating Model and associated documentation as well as any potential further uses in the future. DIP Users will, depending on their role send and/or receive messages via the DIP. DIP User includes Market Participant Organisations (MPOs) who will use the DIP for sending and/or receiving data as part of their own business processes or DIP Connection Providers (DCPs) who will send data on behalf of other companies as part of a contractual arrangement to provide that business provision.

3.2.4. Terminology used

Throughout these assumptions and requirements, the column headings refer to 'MHHS' and 'DIP Mgr'. This is to show whether it will be the responsibility of the Market-wide Half Hourly Settlement Programme (MHHS) or DIP Manager (DIP Mgr) as appropriate to ensure an assumption is met via: DIP design; Code drafting (including subsidiary documents and Guidance and such) or; a combination of both.

In the context of this document, MHHS also means services that will be provided by the DIP Service Provider (Avanade) as, during development, it is the MHHS Programme's responsibility to ensure the DIP Service Provider is set-up to complete these requirements/deliver assumptions.

The columns in the requirements refer to Levels 1 (L1), 2 (L2), and 3 (L3) – these are defined in the Document Management [assumptions](#). The term 'LWI' is Local Working Instructions and is used as a collective-noun for ease to refer to any internal procedural document.

3.3. Assumptions

3.3.1. Governance

No	Assumption	MHHS	DIP Mgr
A-G1	Other than where specifically required, the DIP Change and Advisory Board (DCAB) will act as a specialist advisory group and/or Critical Friend to the DIP Manager	N	Y
A-G2	All DIP Users will be treated equally and fairly with allowance made for their unique circumstances where appropriate	Y	Y
A-G3	Decision making and oversight arrangements will be clear and concise	N	Y
A-G4	DIP Operations will be clearly defined within a BSC Supplement and will have their own stand-alone supporting documentation	N	Y
A-G5	All arrangements should be capable of being transferred to another Code Manager if required (with reasonable adjustment)	N	Y
A-G6	The DCAB will liaise with the BSC Panel, REC Panel, and other Code governing groups where required and shall be guided by the Code Administrators' Code of Practice (CACoP) principals	N	Y
A-G7	All processes, meeting details, on-boarding, and similar such activity will be published and be as transparent as possible (subject to open data processes where applicable)	N	Y
A-G8	The DCAB may delegate authority for specified functions to a sub-committee should the need arise	N	Y
A-G9	The Transmission License will reflect Elexon's role in delivering the DIP enduring solution, including change management principles	N	Y
A-G10	Pre-agreed handover criteria will be met prior to DIP Manager assuming the responsibility for the DIP, barring agreed exemptions	Y	Y
A-G11	The DIP Manager shall provide secretariat services to the DCAB	N	Y
A-G12	DIP Users and DIP Manager shall not be liable to each other beyond the extent set out in the DIP legal text	N	Y

3.3.2. Operational Management

No	Assumption	MHHS	DIP Mgr
A-M1	There will be four distinct user-types: Market Participant Organisation (MPO); DIP Connection Provider (DCP); DIP Administrator and; Read Only Users	Y	N
A-M2	DIP will receive MPID and MDD from IDS	Y	N
A-M3	Look-up service will be able to route messages to previously responsible party e.g. late consumption data	Y	N
A-M4	The DIP Manager will be able to make changes to the DIP Interface (i.e. the User Experience – how users interact with the DIP pages) as required, subject to change control processes between the DIP Manager and DIP Service Provider	Y	N
A-M5	Individual persons within the DIP User's organisation will have different permissions and responsibilities for interaction with the DIP	Y	N
A-M6	Individual persons within the DIP Manager will be capable have different permissions and responsibilities for interaction with the DIP	Y	N
A-M7	DIP Service provider contracts will be agreed prior to DIP Manager assuming responsibility for the DIP	Y	Y
A-M8	DIP Interface documents will be housed in the Energy Market Architecture Repository (EMAR)	Y	N
A-M9	The DIP Service Provider will not be considered as a BSC Agent	N	Y
A-M10	The DIP will have a non-production environment – for testing etc. – and a production environment – the 'live' version in the enduring situation once the DIP has completed build and been transferred to the DIP Manager	Y	Y

3.3.3. Service Management

No	Assumption	MHHS	DIP Mgr
A-S1	The DIP Users will have access to the DIP Service Provider via a service desk for all issues in relation to the service (incidents / requests). Primary communication on all such issue will be via the ServiceNow portal	Y	Y
A-S2	The DIP will provide access to support services for all DIP users, as well as a service status, and any service related communications	Y	Y
A-S3	The DIP users will be able to self-serve and access knowledge and FAQ's in relation to the DIP service on the portal	Y	Y
A-S4	Where a DIP User uses the portal to communicate an issue or request, all update, progress and resolution will be accessed via the DIP	Y	Y
A-S5	The DIP Manager will receive performance and all other necessary reports in relation to the DIP service delivered, including Incidents problem and changes as well as all other ITSM processes	Y	Y
A-S6	The DIP Service Provider will routinely discuss performance and operational issues via daily, weekly and monthly review sessions as required	Y	Y
A-S7	The DIP Service Provider will continually drive to improve the service and based on feedback will propose new continuous improvement to the DIP Manger	Y	Y

3.3.4. On-boarding

No	Assumption	MHHS	DIP Mgr
A-Q1	Anyone requiring access to the DIP will need to complete DIP on-boarding	N	Y
A-Q2	DIP Users who are not BSC Parties will be required to agree to be legally bound by the DIP provisions of the BSC. This will be a side agreement (the precise form of which is to be defined)	N	Y
A-Q3	The Industry Code(s) which require a Party to said Code to be a DIP User shall oblige their Parties to be fully compliant with Level one and Level Two DIP Documentation and any other direction given by the DIP Manager	N	Y
A-Q4	All participants will have a unique means of identification: <ul style="list-style-type: none"> • Market Participant Organisation (MPO) – DIP ID • DIP Connection Provider (DCP) – DCP ID 	Y	N
A-Q5	DIP IDs and DCP IDs will be generated by the DIP and will be a unique identification number that maps directly to MPIDs used elsewhere (where applicable – some Systems that are DIP Users e.g. ISD will not have MPIDs)	Y	Y
A-Q6	Functional On-boarding (technical aspects) will be facilitated through the DIP i.e. potential users will apply via the DIP itself – link on front page; non-functional (e.g. admin and compliance) will be conducted by the DIP Manager	Y	N
A-Q7	Users will be able to view the roles assigned and add additional roles and/or message channels so long as it aligns with their market roles elsewhere	Y	Y
A-Q8	Any applications to use the DIP and/or change roles shall be checked with the relevant Code(s) as required	N	Y
A-Q9	MPOs will be able to nominate DCPs to act on their behalf in terms of submitting data via the DIP – this will be a commercial arrangement outside of the DIP	N	Y
A-Q10	The DIP on-boarding process will be ‘stand-alone’ from other industry Codes to allow for portability to a new DIP Manager, other than where the applicant has agreed to the sharing of information between the DIP and Industry Codes	N	Y
A-Q11	Industry Code bodies will not share information about perspective Parties with the DIP without their prior agreement (this may be a condition to agreeing to accede to that Code)		

No	Assumption	MHHS	DIP Mgr
A-Q12	<p>The MHHS End-to-End Solution Architecture will identify the initial DIP Roles on go-live:</p> <ul style="list-style-type: none"> • Supplier • Metering Services Smart (MSS) • Metering Services Advanced (MSA) • Smart Data Services (SDS) • Advanced Data Service (ADS) • Unmetered Supplies Data Service (UDS) • Electricity Enquiry Service (EES) • Registration Service (REGS) • Unmetered Supplies Operator (UMSO) • LDSO Ops (LDSO) • Elexon Central Settlement Systems (Elexon CSS) – Kinnect <p>In addition to the above, DIP Connection Providers (DCPs) will be able to submit data via the DIP for any of the above and will have the permissions and such associated with the role that they are acting under as a DCP i.e if a DCP is submitting data on behalf of a Supplier, they will have the same permissions as that Supplier</p>	Y	Y
A-Q13	In addition to the DIP Roles listed above, DIP Users will also include 'Read-Only' users i.e. DIP Users that only access the DIP to receive reports e.g. Code bodies will require DIP Reports for assurance purposes	Y	Y
A-Q14	There are approximately 27 Registration Services that will need to maintain operational data integrity and consistency across approximately 35 Data Services, 85 Metering Services, 17 DNO's and 60 Suppliers	Y	Y
A-Q15	Additional DIP Roles can be added once the MHHS TOM has been implemented	Y	Y
A-Q16	On-boarding will be subject to standardised criteria	N	Y
A-Q17	On-boarding will not discriminate between Roles, so far as practicable	Y	Y
A-Q18	On-boarding will not discriminate between DIP Users, so far as practical, and not at all between Participants of the same User Type	Y	Y
A-Q19	On-boarding completion will be published once granted	N	Y
A-Q20	Participants will adhere to all relevant Data Protection Act requirements, including a Data Protection Impact Assessment	N	Y

No	Assumption	MHHS	DIP Mgr
A-Q21	Participants will on-board to a non-production environment, then migrate into a production environment once qualification is complete	Y	N
A-Q21	DIP Service Provider will create non-production and production environments	Y	N
A-Q21	Maintenance/changes to the non-production and production environments will be the responsibility of the DIP Manager (via the DIP Service Provider) once DIP has been handed over	Y	Y
A-Q22	In the case of MPOs, DIP Role and DIP ID will marry with the equivalency within ISD	Y	N
A-Q23	<p>On-boarding Principles will be established as part of the legal text drafting based on these assumptions and requirements:</p> <ul style="list-style-type: none"> • Principle One – Tell me what you want – Applicants will need to submit their request for on-boarding online via a Web form • Principal Two – Tell me why you want it – Applicants will need to demonstrate how they meet the necessary criteria • Principal Three – Let me check – Applicants will be subject to eligibility checks to demonstrate their ability to comply • Principal Four – Rectify short comings – Applicants will rectify site visit/audit short comings • Principal Five – On-boarding is transparent – once on-boarding is achieved it shall be published by DIP Manager 	Y	Y

3.3.5. Off-boarding

No	Assumption	MHHS	DIP Mgr
A-O1	Off-boarding removal process will reverse the on-boarding process where applicable (e.g. remove accounts and revoke certificates)	Y	Y
A-O2	DIP Users may cease to use the DIP if they so request	N	Y
A-O3	BSCCo and/or RECCo will inform DIP Manager when BSC and/or DIP Participants withdraw from the BSC and/or DIP and or a role end-dates within the BSC/REC	N	Y
A-O4	The DIP Manager shall have the ability to remove DIP Users based on the DIP Manager's own determination in an emergency and such action shall be part of a pre-agreed Incident response plan and relevant stakeholders informed as soon as practicable after	N	Y

3.3.6. Assurance and compliance

No	Assumption	MHHS	DIP Mgr
A-A1	The DIP Manager will carry out assurance on the DIP Service Provider	N	Y
A-A2	The DIP Manager will carry out assurance on DIP Users	N	Y
A-A3	The DIP Manager shall themselves be subject to assurance checks, including assurance of how they carry out assurance activity	N	Y
A-A4	The DIP Manager shall determine how best DIP Users and the DIP Service Provider shall rectify any audit findings	N	Y
A-A5	Assurance activity shall be risk-based	N	Y
A-A6	DIP Manager will monitor and manage the DIP Service Provider's service-level agreements (SLAs)	N	Y
A-A7	DIP Manager will actively engage with Stakeholders to promote compliance and good practice	N	Y
A-A8	DIP Manager shall liaise with other industry code bodies to identify commonalities in under performance and potential joint action plans	N	Y

3.3.7. Reporting

No	Assumption	MHHS	DIP Mgr
A-R1	Users will be allowed to create reports based on their individual requirements	Y	N
A-R2	A number of Reports will be automatically generated by DIP as described in the Functional requirements and/or Design Artefacts – these will all be visible to the DIP Manager	Y	N
A-R3	The DIP Manager will run reports from the DIP as part of their wider Assurance activity	N	Y
A-R4	The DIP Manager will run reports from the DIP in response to Open Data requests	N	Y
A-R5	The DIP Manager will have the ability to publish reports they generate from the DIP to the DIP website – This will be via the wordpress capability akin to Level Two and Three Documents	Y	Y

3.3.8. Change management

No	Assumption	MHHS	DIP Mgr
A-C1	Changes to the DIP will be made by the DIP Service Provider under the DIP Manager's direction	Y	Y
A-C2	Change Management will follow a Code Manager model as far as we understand said model pending DESNZ announcements	N	Y
A-C3	There will be an ability to propose and manage changes via the service desk	Y	Y
A-C4	Changes to documentation and governance and non-Portal changes will be made by the DIP Manager alongside the DIP Service Provider (if applicable)	N	Y
A-C5	The Authority will have oversight and the ability to direct that they (the Authority) will make determinations i.e. where the DIP Manager or DCAB cannot determine under self-governance – Authority 'step-in' or veto is expected to be by exception	N	Y
A-C6	The DIP Manager will be able to determine whether proposed Changes are raised (subject to an appeals process)	N	Y
A-C7	DIP Change processes will account for change processes under the BSC, DIP and other Codes as required	N	Y
A-C8	The DIP Manager will work with BSCCo, RECCo, and other Industry Codes as required to achieve common-goals	N	Y
A-C9	The DIP Message Formats will be recorded in the EMAR, and this will be the master copy of all message formats until changed through the standard EMAR change process	N	Y

3.3.9. Document management

No	Assumption	MHHS	DIP Mgr
A-P1	The DIP Manager will establish and maintain a document management regime to ensure changes to the documents are made in a controlled manner resulting in accurate and timely changes to the documents	N	Y
A-P2	All DIP documents will be subject to version control	N	Y
A-P3	<p>DIP Documents will be one of three types:</p> <ul style="list-style-type: none"> • Level One – Legal text that gives the DIP Manager authority to operate the DIP and lays out DIP Users’ obligations • Level Two – Documents that are subsidiaries to Legal text and will provide detail on how systems and processes are expected to work and be delivered • Level Three – Documents that are intended to provide assistance and information to DIP Users and other stakeholders. This will include guidance documents, FAQs, and summaries of Level Two and Three documents 	N	Y
A-P4	<p>Approval to publish/amend documents will depend on their level:</p> <ul style="list-style-type: none"> • Level One – DCAB • Level Two – DIP Manager employee that is employed to lead the change function • Level Three – DIP Manager employee junior to Level Two approver <p>The Level One and Two approvers may also approve documents of levels below</p>	N	Y
A-P5	The DIP Manager will maintain a public record of all DIP documentation	N	Y
A-P6	Where required/appropriate the DIP Manager will give guidance to the DIP Service Provider on the creation/maintenance/change of technical documents under the DIP Service Provider’s purview	N	Y
A-P7	All DIP Documents shall be published on the DIP website	Y	Y
A-P8	The DIP Manager will maintain internal documents for the operation of the DIP that shall not be subject to this Document Management control but the DIP Manager will follow good change and version control practices	N	Y
A-P9	Terminology and technical language in DIP Documentation shall align as close as possible to that used in Industry Codes, but if not possible, the equivalent Code term shall be in square brackets after	N	Y

3.3.10. Funding

No	Assumption	MHHS	DIP Mgr
A-F1	The sharing of costs will be based on usage and may include a connection fee	N	Y
A-F2	Costs for 'core' (Settlement related) activities will be borne by Suppliers based on Ofgem's direction	N	Y
A-F3	DIP costs will be recovered using BSC's existing cost recovery mechanism so far as reasonable and practicable	N	Y
A-F4	Cost recovery shall be transparent and must follow the 'zero-profit' model as per the BSC	N	Y
A-F5	Funding arrangements for requests for non-core services (non-Settlement and/or those that benefit sub-groups or individuals) should be part of a wider open data policy (see Data Management below)	N	Y
A-F6	Subscription costs will still allow for innovation in a manner that does not distort competition i.e. by being cost-prohibitive	N	Y
A-F7	Costs associated with non-core services and value-added services shall be reviewed at least annually by the DIP Manager	N	Y
A-F8	Ofgem will consider DIP costs as operating costs in respect of the default tariff cap calculations (decision para 3.26)	N	Y
A-F9	Elexon will make system changes and/or Code changes to facilitate support to the DIP Manager funding mechanism	N	Y
A-F10	FSS will need to be updated to deliver DIP Requirements	N	Y
A-F11	Open data requests to Elexon BSC are not part of the funding or operational charge back of DIP. For example a request to Elexon for historic consumption history will be provided through Kinnect services and BSCCo, not the DIP Manager	Y	Y

3.3.11. Budget

No	Assumption	MHHS	DIP Mgr
A-B1	The DIP Manager will set the budget for the forthcoming DIP Year (either as a stand-alone budget or as part of their parent organisation's budget)	N	Y
A-B2	The Budget shall relate to the DIP Manager's operational costs, the DIP Service Providers provision costs and continuous change	N	Y
A-B3	The DIP Budget shall be maintained by the DIP Manager subject to industry standard accounting processes	N	Y
A-B4	The DIP Manager may be subject to independent financial audit; this may be part of their parent organisation's audit cycle i.e. where their Parent organisation is audited, the DIP Manager function may de facto form part of the wider budget	N	Y

3.3.12. Information Security

No	Assumption	MHHS	DIP Mgr
A- I1	The DIP, DIP Users, DIP Manager and DIP Service Provider shall adhere to the latest ISO 27001 requirements and any other relevant legislation	Y	Y
A-I2	The DIP, DIP Users, DIP Manager and DIP Service Provider shall adhere to applicable ISO 27002 controls	Y	Y
A-I3	The DIP Users, the DIP Manager and DIP Service Provider shall have a Cyber Security Incident response plan	Y	Y
A-I4	Security protocols will adhere to the latest industry best practice	Y	Y

3.3.13. Data Management

No	Assumption	MHHS	DIP Mgr
A-D1	DIP Service Provider will create required security protocols as part of the DIP build	Y	N
A-D2	Data management will adhere to Information Commissioner's Office's (ICO's) latest guidelines	Y	Y
A-D3	Third Party license agreements will be used for non-BSC Parties, if possible, this may form part of the DIP User side-agreement (see on-boarding assumptions)	N	Y
A-D4	All Users, as well as DIP Manager and DIP Service Provider, will adhere to relevant Data Protection legislation	Y	Y
A-D5	DIP Users shall be considered as Data Controllers	N	Y
A-D6	DIP Manager shall be a Data Processor	N	Y
A-D7	The DIP Service Provider shall be a Data Sub Processor	Y	Y
A-D8	DIP Manager shall provide direction on data management to DIP Users in respect of the DIP	N	Y
A-D9	The DIP Manager shall have an open data model that shall be the minimum requirements for DIP Users' own open data processes	N	Y

3.4. Business Requirements

3.4.1. Governance

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-G1	DCAB Members shall consist of: <ul style="list-style-type: none"> • Chair –DIP Manager employee, and agreed by the Authority • 2 x Supplier Constituency Representative Member • 2 x Data Services Constituency Representative Member • 2 x DNO Constituency Representative Member • 2 x Independent Industry members • Consumer Representative – nominated by Citizen’s Advice/Citizen’s Advice Scotland • BSC Representative - nominated by BSCCo • REC Representative – nominated by RECCo • DIP Manager Representative – non-voting • NGESO Representative – non-voting • Ofgem Representative – non-voting and nominated by Ofgem 	N	Y	Y	N	Y	Y
BR-G2	The DIP Manager shall undertake the secretariat function for the DCAB. The DCAB Secretary shall be a non-voting member	N	Y	Y	Y	N	Y
BR-G3	DCAB representatives shall serve a two-year period, after which they may be re-elected for another two years, but shall serve no more than three consecutive terms and shall have at least one term between periods of membership i.e. if they are not re-elected for a second term, then they will not be able to stand until the next election two years later, and if they serve four years, they must have at least two years as a non-member before re-joining the DCAB	N	Y	Y	N	Y	Y
BR-G4	Elections for constituency representatives and generic industry members shall be organised by the DIP Manager in their role as DCAB Secretariat	N	Y	Y	N	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-G5	Candidates for constituency representative voting membership of the DCAB shall be nominated by at least two DIP Users from the constituency they seek to represent; nominators shall not be from the same Company within that constituency group	N	Y	Y	N	Y	Y
BR-G6	Candidates for Generic Industry voting membership of the DCAB shall be nominated by at least two DIP Users regardless of their constituency	N	Y	Y	N	Y	Y
BR-G7	Each DIP User shall have one vote per MPO for the purpose of voting for their constituency representative	N	Y	Y	N	Y	Y
BR-G8	Each DIP User shall, in addition, have one vote per MPO to vote for a Generic Industry Member	N	Y	Y	N	Y	Y
BR-G9	DCAB members shall be recompensed for any expenses accrued in Great Britain in relation to attendance at DCAB meetings. This should, so far as practical, be limited to travel within Great Britain;	N	Y	Y	N	Y	Y
BR-G10	The DCAB shall be responsible for: <ul style="list-style-type: none"> • Approving Tier One Changes • Advising the DIP Manager (in a non-obligatory manner) on matters such as Assurance and Budget 	N	Y	N	Y	Y	Y
BR-G11	Persons wishing to make an appeal to the DCAB regarding a DIP Manager's decision shall do so via the DCAB Secretary within 30 days of a decision being published by the DIP Manager	N	Y	N	Y	Y	Y
BR-G12	Appeals will be heard at the first routine DCAB meeting following receipt of the appeal subject to the timelines associated with the Appeals process	N	Y	N	Y	Y	Y
BR-G13	The DIP Manager shall publish an Appeals process that has been approved by the DCAB	N	Y	N	Y	N	Y
BR-G14	As part of the review process, the DCAB shall determine the date from which their decision shall have effect and/or the implementation date where each may be applicable	N	Y	N	Y	N	Y
BR-G15	The DCAB's decision shall be appealable to the Authority by all parties involved i.e. the DIP Manager may have the ability to appeal the DCAB's decision as much as the original appellant; the DIP Manager publish a process to facilitate such an appeal as per Ofgem's requirements	N	Y	Y	Y	Y	Y
BR-G16	Meeting periodicity shall be published at least one month in advance of the start of the DIP Year (see below)	N	Y	N	Y	N	Y
BR-G17	The DCAB may meet at times other than planned for a specific reason; where practicable, stakeholders shall be informed	N	Y	Y	N	N	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-G18	All DCAB meetings shall be open meetings (anyone may attend) other than where the Chair determines otherwise for reasons of confidentiality	N	Y	Y	Y	N	Y
BR-G19	Determination of whether a meeting shall be confidential shall be made following consultation with the DIP Manager and be mindful of data triaging and mitigation to be established elsewhere in these requirements	N	Y	Y	Y	N	Y
BR-G20	DCAB meetings may contain both open and closed portions	N	Y	Y	Y	N	Y
BR-G21	Materials for a DCAB meeting shall be published no later than 5WD before each DCAB meeting unless where otherwise agreed by the Chair (e.g. late and/or urgent papers)	N	Y	N	Y	N	Y
BR-G22	Materials for DCAB meetings shall be published on the DIP Website and links to said materials shall be shared with stakeholders (including DCAB members) – this may be via online software	N	Y	N	Y	N	Y
BR-G23	For the DCAB to be considered quorate, at least six voting members shall be in attendance, the Chair shall not count towards the six for the purpose of this requirement	N	Y	Y	N	N	Y
BR-G24	Determinations of the DCAB shall be by majority of the voting members present; abstentions shall not count towards determining majority e.g. if nine people vote and two abstain, then a majority shall be reached from the remaining seven voters	N	Y	Y	N	N	Y
BR-G25	The DCAB Chair shall not have a vote other than where a majority determination cannot be made, in which case the DCAB Chair shall have the deciding vote; alternately they may defer voting to another time	N	Y	Y	N	N	Y
BR-G26	DCAB meetings can be either in-person or virtual – the determination as to which shall rest with the Chair and they shall be guided by the value of members being in the same room, members diaries, the length of the meeting and the carbon foot-print of the DCAB	N	Y	N	Y	N	Y
BR-G27	Should a meeting not be quorate, the Chair may delay meeting start until a time determined by them either later in the same day, or to another day. If the latter, the DCAB Secretary shall inform Stakeholders of the new arrangements	N	Y	N	Y	N	Y
BR-G28	‘DSD1 (see section 4.2) shall have a chapter relating to DCAB Governance. Notwithstanding the document change rules established otherwise, this chapter alone shall not be changeable without a 2/3 majority of DCAB’	N	Y	N	Y	N	Y
BR-G29	The DIP Manager shall attend the DCAB as a non-voting member. The DIP Manager representative shall not be the DCAB Secretary (i.e. there will be at least three DIP Manager staff members in attendance – Chair, DIP Manager and Secretary)	N	Y	Y	Y	N	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-G30	DIP Manager personnel may be engaged on non-DIP Manager business within the same organisation so long as their employer has in place transparent delineation processes between said persons work as DIP Manager and non-DIP Manager work	N	Y	Y	N	N	Y
BR-G31	The DIP Manager shall ensure that there are suitable ethical walls in place between the DIP Manager and other non-DIP Manager functions within the same organisation – this process shall be published	N	Y	Y	N	N	Y
BR-G32	The DIP Manager shall inform the DCAB at each regular DCAB meeting of any determinations made by the DIP Manager since the last regular DCAB meeting	N	Y	Y	Y	N	Y
BR-G33	Sub DCABs may be formed as required by the DCAB where either: specialist attention is required to make determinations and/or recommendations or; to reduce the burden on the DCAB by assessing matters of a 'lesser' nature	N	Y	Y	Y	N	Y
BR-G34	If the DCAB causes a sub-Board to be created, the DCAB shall issue specific terms of reference to that sub-board which shall include, as a minimum: meeting periodicity; vires; secretariat; determination voting; transparency and; reports to the DCAB	N	Y	N	Y	N	Y
BR-G35	Where the DCAB is not required to make a decision the DCAB Chair may decide that the DCAB shall not meet as expected, and if such event occurs, any 'for information' papers shall be shared 'ex-committee'. Such a decision shall be made no later than 5 WD prior to a meeting's scheduled occurrence	N	Y	N	Y	N	Y
BR-G36	The DIP Year shall be from 1 April until 31 March the following calendar year	N	Y	Y	Y	Y	Y
BR-G37	The DIP Manager shall keep and maintain a DIP Risk Log and action plan (that may incorporate the DIP Assurance Log) which shall be published and updated at least annually	N	Y	Y	Y	Y	Y
BR-G38	Of the Constituent representatives, one member shall serve a term of three years for their first term only, and a standard two-year term thereafter to ensure not all DCAB Members change simultaneously; non-voting standing members may change at the discretion of the organisation they represent	N	Y	Y	Y	Y	Y
BR-G39	Constituent members shall act as Subject Matter Experts within their area and will not be required to consult with their constituents prior to participating in DCAB business, but may do so if they feel it appropriate	N	Y	Y	Y	Y	Y
BR-G40	Where a DCAB Member is unable to attend a meeting, they may nominate a proxy to attend in their place (DCAM Proxy Member) so long as the Chair and Secretary are informed no later than 1WD before the meeting.	N	Y	Y	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-G41	A DCAB Proxy Member proxy member shall have full DCAB membership rights in relation to the meeting they are acting as proxy; the DCAB Proxy Member may be another DCAB Member, including a normally non-voting member.	N	Y	Y	Y	Y	Y
BR-G42	DCAB Members must partake in related discussions before voting on any decisions in order to be fully informed of other's views i.e. A DCAB Member will not be able to vote in absentia	N	Y	Y	Y	Y	Y

3.4.2. Operational Management

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-M1	Individual persons within DIP Users organisation will have different permissions within DIP	Y	Y	N	Y	Y	Y
BR-M2	DIP Users will inform DIP Manager during on-boarding of employees that will be able to access DIP and their permission levels	N	Y	N	Y	Y	Y
BR-M3	DIP Manager shall carry out regular checks on the DIP to ensure it is working correctly – Listening Services	Y	Y	N	N	N	Y
BR-M4	The DIP Manager may have an incident response plan that is separate to a Cyber Security incident response (this may form part of their parent organisation corporate response plan if appropriate)	N	Y	N	N	Y	Y
BR-M5	DIP Manager shall publish in advance when DIP may not be available for maintenance and updates; this is in addition to formal DIP change releases	N	Y	N	N	N	Y
BR-M6	The DIP Manager shall have Key Performance Indicators (KPIs) and conduct Management Information (MI) reporting and other performance reporting on their own service – this shall be captured in L2 documentation once determined	N	Y	N	N	N	Y
BR-M7	The EMAR will show the structure, required and optional fields and how to populate each field	Y	Y	N	Y	N	Y
BR-M8	Processes will acknowledge spring and autumn time changes as required	Y	Y	N	Y	Y	Y
BR-M9	The DIP Manager will maintain a DIP Website for sharing of information including, but not limited to: manuals; guidance; reports; Change material; and relevant news for stakeholders	N	Y	N	N	N	Y
BR-M10	DIP Manager shall generate and implement (and routinely review) a stakeholder engagement strategy	N	Y	N	N	N	Y
BR-M11	There will be a process for amending the User Interface/Experience (UX/UI) where the DIP Manager deems it is required to enhance customer experience – this will not be part of the Change process	Y	Y	N	Y	Y	Y
BR-M12	The DIP Service Provider shall maintain a test environment for on-boarding and change testing; the DIP Manager shall control access to the test environment	Y	Y	N	Y	Y	Y
BR-M13	DIP Users shall receive notifications of when security certificates are due to expire	Y	Y	N	N	Y	Y
BR-M14	The DIP Manager shall not be liable to DIP Users (and vice versa) beyond the extent covered in the DIP Legal text	N	Y	Y	Y	N	N
BR-M15	DIP Users shall not be responsible for the obligation or liabilities of other DIP Users	N	Y	Y	Y	N	N

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-M16	The DIP Rules shall recognise liabilities between DIP Users	N	Y	Y	Y	N	N
BR-M17	All DIP Users shall be bound to comply with all Level One and Level Two (see document Management) documents as part of their obligations as a DIP User	N	Y	Y	Y	Y	Y

3.4.3. Service Management

The requirement below may be met by either the DIP or the Service Management platform provided by the DIP Service Provider, or the DIP Manager's own service management platform in due course. As such, the requirements will refer to the 'the DIP', but it is accepted they may be met by any of the aforementioned.

At the time of drafting this version of the BRs the Service Management function is still being developed and will be updated as planning evolves.

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-S1	Where notice is received from and industry Code that a potential DIP User is seeking Code Qualification, the DIP will forward a link to the on-boarding page (see on-boarding first step)	Y	Y	N	Y	Y	Y
BR-S2	Where Potential DIP Users apply to the DIP and indicate they are undergoing Code Qualification, but the DIP hasn't been notified of said Qualification, the listed Codes shall be notified that an application for on-boarding has been received	Y	Y	N	Y	Y	Y
BR-S3	DIP Users will be able to submit Change Proposals to the DIP; acceptance and progression will be tracked by the DIP	Y	Y	N	Y	Y	Y
BR-S4	DIP Change proposals shall be reviewable and changeable by multiple persons within the DIP Users company prior to final submission	Y	Y	N	Y	Y	Y
BR-S5	DIP Users will be able to access reports via a Dashboard and tailor those reports to suit their needs	Y	Y	N	Y	Y	Y
BR-S6	The DIP Manager shall undertake all service management functions identified elsewhere in these requirements	Y	Y	N	Y	Y	Y
BR-S7	The Service Management functionality will be used to monitor the DIP Service Provider's Key Performance Indicators, Management Information and Service Agreement compliance	Y	Y	N	Y	Y	Y
BR-S8	The DIP Service Provider shall carry out initial Service Management functionality as part of their role	Y	Y	N	Y	Y	Y
BR-S9	Changes to SRO/ARO/TC shall be logged and recorded via the service Desk	Y	Y	N	Y	Y	Y
BR-S10	The DIP Manager shall maintain a record of all tickets raised and shall identify and publish trends and themes – subject to data management triage and mitigation	Y	Y	N	Y	Y	Y

3.4.4. On-boarding

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-Q1	<p>Potential DIP Users' Nominating Officer shall, via the DIP Website, complete an online form providing the following:</p> <ul style="list-style-type: none"> Nominating officer's name and position (must be a company officer and role registered with Companies House as per the Code-of Connection requirements) Company Name and Company number as per Companies House Need for DIP Access DIP Role BSCCo and/or RECCo qualification application details – date of application, progress, point of contact <p>The DIP will check (via APIs) that the company number, name and nominating person tally with Companies House website</p>	Y	Y	N	Y	Y	Y
BR-Q2	<p>Once the initial application form has been completed, the DIP Will notify the DIP Manager. The DIP Manager will check the details submitted and select 'approve' in the DIP once they have satisfied themselves that the application is genuine – this will essentially be a sanity check</p> <p>N.B. – this will be a workflow function</p>	Y	Y	N	Y	Y	Y
BR-Q3	<p>Once the DIP Manager has approved the application, the DIP will auto-generate an e-mail to be sent to the applicant that will contain the 'redemption link'. The DIP Manager will not approve the initial application until they have checked that the Code Bodies have no objection to the application proceeding</p>	Y	Y	N	Y	Y	Y
BR-Q4	<p>Once the DIP Manager has approved the application, and the 'redemption link' has been sent, the Code Bodies will be auto-notified that on-boarding has commenced</p>	Y	Y	N	Y	Y	Y

BR-Q5	<p>The following describes the flow for on-boarding:</p> <ol style="list-style-type: none"> 1. Representative of Company applies via DIP Webpage 2. Representative fills out online form on DIP Website and submits 3. DIP checks via API whether Company name, number and Officer exist and tally 4. DIP Notifies DIP Manager that request has been submitted 5. DIP Manager reviews – sense and credibility check 6. DIP Manager liaises with Code Bodies to ensure they have no objection to on-boarding – this includes DCPs whose on-boarding may be connected to a Market Participant’s REC and/or BSC qualification 7. DIP Manager approves initial application <ol style="list-style-type: none"> a. For applicants that will not accede to the BSC and/or REC, a side-agreement must be agreed between the DIP Manager and the applicant prior to this step 8. DIP informs Code Bodies that on-boarding has commenced – auto-generated message 9. DIP auto-sends e-mail to applying Officer with redemption link 10. Company Officer undergoes verification undertaken by Verification Services Provider 11. Company Officer nominates key personnel (see below) 12. Company establishes MPOs and/or DCP roles 13. Security certificate exchange occurs as per Code-of-Connection Agreement 14. Unique Identification generated <ol style="list-style-type: none"> a. DIP generates DCP ID and DCP ID 15. DIP ID Sent to ISD via API at this stage 16. Message Formats assigned based on DIP Role 17. Applicant sends one of each message permutation in non-production environment <ol style="list-style-type: none"> a. This should include failed messages too 18. Applicant informs DIP Manager that message sending complete 19. DIP Manager checks that messages were sent and there are no issues 20. Applicant receives all messages they are eligible to receive <ol style="list-style-type: none"> a. This should include failed messages too 21. Applicant reports that message receipt complete 22. Checks undertaken that messages were received and there are no issues 23. DIP Manager carries out checking of non-functional requirements <ol style="list-style-type: none"> a. DIP Manager shall be cognisant of similar checks undertaken by BSCCo and/or RECCo that may meet DIP non-functional on-boarding requirements 24. DIP Informs Code Bodies that on-boarding is complete – including that message sending functionality is complete 	Y	Y	N	Y	Y	Y
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BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
	<p>25. Code Bodies inform DIP Manager that Code Qualification is complete</p> <p>a. If only one Code informs the DIP, the DIP will notify the other Code(s)</p> <p>26. DIP Manager ensures that all on-boarding criteria remains extant</p> <p>27. DIP Manager selects 'tick-box' in DIP</p> <p>28. DIP User is switched from no-production environment to Production environment</p> <p>29. DIP Informs Industry codes that DIP User has been moved to production environment</p> <p>Applicants undergoing Code body qualification need not complete steps one and two, instead BSCCo (on behalf of RECCo too if applying for both) will forward details to the DIP. It is expected that REC Parties not applying to the BSC i.e. REC only, will complete all of these steps</p>						
BR-Q6	The DIP Service Provider will engage with a commercial partner to provide verification and vetting services – Vetting Partner	Y	Y	N	Y	Y	Y
BR-Q7	<p>The Potential DIP User's Nominating Officer must validate (via the third-party verification provider) the SRO. The following will be accepted to confirm employment:</p> <ul style="list-style-type: none"> Any Company Officer (other than the SRO) listed as such by Companies House The Human Resources Executive A C-Suite member that does not meet one of the first two requirements <p>Nominations will be via the DIP Application form, and once the SRO, ARO, and TC has been established and Public Key Infrastructure (PKI) requirements met, further access will be granted via the DIP itself as laid out in the DIP Code of Connection Agreement</p>	Y	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-Q8	<p>Potential DIP Users shall nominate the following:</p> <ul style="list-style-type: none"> Senior Responsible Officer (SRO) - The SRO is an executive or senior individual within the organisation who has the authority to make decisions for or on behalf of the organisation. Appointed Responsible Officer (ARO) - The SRO may nominate an individual to become an ARO. The ARO will have the key responsibilities of requesting Certificates on behalf of the applicant. Broader responsibilities, as defined by the SRO, are at the discretion of the applicant Technical Contact (TC) - The TC(s) will have the knowledge and capability to manage Certificates and the associated processes (initial Certificate signing requests, replacements, revocation requests etc.) on behalf of the Potential DIP User <p>A company may nominate, at their discretion multiple AROs and/or TCs to suit their business organisation</p>	Y	Y	N	Y	Y	Y
BR-Q9	The SRO, ARO or TC can only be changed (following initial appointment and on-boarding) with the approval of the DIP Manager; All approvals in key personnel will be actioned by the DIP Manager	Y	Y	N	Y	Y	Y
BR-Q10	Where a company is applying for DIP access to fulfil multiple roles, each role shall be subject to individual non-functional (outside of the DIP) on-boarding i.e. if an applicant wishes to undertake four roles, they shall undertake four non-functional on-boarding processes	N	Y	N	Y	Y	Y
BR-Q11	Notwithstanding the requirement for multiple on-qualifying processes, the DIP Manager shall implement synergies where possible in line with requirements laid down in the relevant publications e.g. the Co-Co	N	Y	N	Y	Y	Y
BR-Q12	Applicants will be able to download a list of all of the message formats, interfaces, and all event codes and permutations thereof; as part of the on-boarding process; the applicant will be required to send at least one of each permutation in the non-production environment	Y	Y	N	Y	Y	Y
BR-Q13	Once the applicant has sent one of each permutation of message, they shall raise a service ticket to inform the DIP Manager	Y	Y	N	Y	Y	Y
BR-Q14	Once the DIP Manager has received a service ticket informing them that the applicant has sent all message permutations, they will run an audit report to clarify this and if satisfied, close the ticket, if not satisfied, they shall agree corrective measures with the applicant	Y	Y	N	Y	Y	Y
BR-Q15	Applicant shall have a process for rejecting messages and sending a message via the DIP to request the message is either resent or missing details are sent	N	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-Q16	Applicant shall be able to demonstrate they have a process to receive notifications where other DIP users have rejected their message	N	Y	N	Y	Y	Y
BR-Q17	Applicant shall be able to demonstrate where a rejection message is received, they can identify the fault in the original message and either resend a corrected message, or send a new message with the missing/invalid information	N	Y	N	Y	Y	Y
BR-Q18	Applicants shall be able to demonstrate they are able to receive error messages and either replace all of the data that was in the original message or the specific data items	N	Y	N	Y	Y	Y
BR-Q19	Applicants will be able to store messages within their own systems for at least 2 years, notwithstanding legal obligations (e.g. GDPR) that may negate this	N	Y	N	Y	Y	Y
BR-Q20	Applicants systems will be backed-up in accordance with standard best-practice	N	Y	N	Y	Y	Y
BR-Q21	Applicants will have processes for data handling based on existing industry best-practice (see Data Management); this shall include the storage of certificates	N	Y	N	Y	Y	Y
BR-Q22	Applicants will have Data Protection policies in line with DPA and other relevant legislation	N	Y	N	Y	Y	Y
BR-Q23	Applicants will be able to demonstrate how they handle Subject Data Access Requests and similar requests	N	Y	N	Y	Y	Y
BR-Q24	Applicants will demonstrate how their data sharing principles align with the DIP Manager's Open Data principles (see Data Management)	N	Y	N	Y	Y	Y
BR-Q25	DIP Manager may restart or cancel the on-boarding process depending on the circumstances of the situation; the DIP Manager shall identify in their internal processes situations that may be included in this requirement	Y	Y	N	Y	Y	Y
BR-Q26	The DIP Manager shall provide an on-boarding report to the Applicant and relevant Industry Code(s) once on-boarding is complete (see Security requirements regarding certificates etc.)	N	Y	N	Y	Y	Y
BR-Q27	Sign-off for on-boarding will rest with the DIP Manager, appeals may be submitted to the DCAB	N	Y	Y	Y	Y	Y
BR-Q28	Timelines for assessment will be standardised and published publically, but shall take account of the variations between applicant types	N	Y	N	Y	Y	Y
BR-Q29	Desktop audit and/or site visit formats will be standardised (so far as practicable) and published publically, but allowing for variation in user types	N	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-Q30	Applicants will be informed of assessment findings in a standardised format and timeline	N	Y	N	Y	Y	Y
BR-Q31	DIP Manager and Applicant will agree assessment rectification action and time lines based on on-boarding Principles	N	Y	N	Y	Y	Y
BR-Q32	DIP Manager will not move a DIP User into the production environment (i.e. can use the DIP as intended) until: <ul style="list-style-type: none"> On-boarding for that role occurs under the relevant Codes (where applicable) and; The DIP Manager is notified by that Code(s) and; The DIP Manager has ensured that DIP on-boarding remains extant 	N	Y	Y	Y	Y	Y
BR-Q33	Applicants will be able to apply for the DIP concurrent with other Codes	N	Y	Y	Y	Y	Y
BR-Q34	Where applicants request access to DIP as part of an Industry Code Qualification(s) process; the DIP Manager shall confirm said applicant is undergoing Code Qualification	N	Y	N	Y	Y	Y
BR-Q35	Where the applicant is using the DIP as a Market Participant Organisation (MPO) or DIP Connection Provider (DCP), the DIP Manager may, at their discretion, apply an on-boarding fee (see budget)	N	Y	N	Y	Y	Y
BR-Q36	The BSC, REC and other Industry Codes requiring Parties to their code to be DIP Users shall have provision in their Codes for the respective Parties to be DIP Users.	Y	Y	N	N	N	N
BR-Q37	Where Parties to the BSC, REC and other Codes are required to be DIP Users by virtue of those codes, the said Codes shall oblige such Parties to comply fully with all DIP Level one and Level Two Documentation and any reasonable direction from the DIP Manager and/or DCAB	Y	Y	Y	Y	Y	Y
BR-Q36	Any DIP User that is not also a BSC Party will need to enter into a direct agreement with Elexon (on behalf of the DIP Manager) where both parties agree the mutual obligations to each other set out in the DIP Documentation.	Y	Y	Y	Y	Y	Y

3.4.5. Off-boarding

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-O1	The DIP Manager may suspend DIP Users in an emergency (normally, but not exclusively, as envisaged in the contingency plans), and should inform BSCCo, RECCo, Ofgem and other key parties retrospectively – such decision shall have consideration on other DIP Users for any data that may not be sent or received as a result of such suspension	N	Y	Y	Y	Y	Y
BR-O2	The DIP Manager may suspend a DIP User temporarily if they are using the DIP in any way that is contrary to fair use or the terms of these DIP Rules e.g. to send abusive messages	N	Y	Y	Y	Y	Y
BR-O3	Applicants may apply for DIP Access revocation via the service desk	Y	Y	N	Y	Y	Y
BR-O4	DIP Manager shall publish the process and timelines associated with revocation of DIP access	N	Y	N	Y	Y	Y
BR-O5	DIP Users will be required to remain compliant with relevant DPA, GDPR and other legislation in relation to DIP Data once their DIP Access has been revoked	N	Y	Y	Y	Y	Y
BR-O6	The DIP Manager will determine whether to revoke DIP access following a request from the DIP User	N	Y	N	Y	Y	Y
BR-O7	The date of DIP Access revocation shall be determined by the DIP Manager and shall, where applicable, liaise with Ofgem, BSCCo and RECCo	N	Y	N	Y	Y	Y
BR-O8	DIP Access revocation will not become effective until 5WD following the DIP Manager's determination to allow for an appeal to the DCAB to be raised	N	Y	N	Y	Y	Y
BR-O9	The DIP Manager shall be informed by Ofgem and/or the Industry Code Panel of a decision to revoke a licence and/or remove a Market Participant from their respective Codes	N	Y	Y	Y	Y	Y
BR-O10	Where an Industry Code intends to take action against a DIP User that is a Party to their Code, the DIP Manager shall be informed, and the DIP Manager shall determine whether they need to take action in regard to the same matter	N	Y	Y	Y	Y	Y
BR-O11	Where a BSC/REC Party has been removed from the BSC/REC, the DIP Manager shall determine whether this effects the DIP Users eligibility and act accordingly, including amending access	N	Y	N	Y	Y	Y
BR-O12	Where the DIP Manager determiners that a DIP User that was a BSC and/or REC Party shall NOT retain DIP access as a third party, the DIP Manager shall inform that user and commence the process to revoke DIP Access	N	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-O13	Where a DIP User is required to exit the market, DIP Access shall not be revoked until all actions to transfer responsibility from one Supplier to another (if applicable) under the BSC and/or REC have been completed; the BSC and/or REC Panel has advised the DIP Manager to that effect; and DIP User mapping has been updated to reflect the change	N	Y	N	Y	Y	Y
BR-O14	Where a DIP ID is transferred to another entity; security certificates shall be revoked and re-issued as required	Y	Y	N	Y	Y	Y
BR-O15	Where a DIP User leaves the DIP, but wishes to return, their on-boarding requirements will determined by the DIP Manager based on their time away from the DIP, any changes to the User's systems and/or processes and any changes to the DIP	N	Y	N	Y	Y	Y
BR-O16	<p>The Process to be undertaken in the event of a Supplier of Last Resort (SOLR) or Trade Sale shall be:</p> <ol style="list-style-type: none"> 1. Failing Supplier informs Ofgem that they will (or are likely to) enter liquidation <ol style="list-style-type: none"> a. Failing Supplier should inform DIP Manager and Code Bodies b. Code Bodies and DIP Manager shall inform each other in the event of the failing Supplier not informing any of the Code Bodies and/or DIP Manager 2. Once Ofgem determines that the failing Supplier shall be subject to SOLR or Trade Sale process, Code Bodies and DIP Manager to be informed – to include details of off-taking Supplier 3. Code Bodies and DIP Manager to ensure each is aware 4. BSCCo to confirm when ISD Dynamic Data publication will occur 5. DIP Manager to instruct Avanade to confirm ISD data has been updated in DIP prior to SOLR/Trade Sale cut-over 6. At point of SOLR/Trade Sale cut-over, messages will no longer be able to be sent/received by failing Supplier 7. At point of SOLR/Trade Sale cut-over, off-taking Supplier will be able to send/receive messages relating to the failed Suppliers MPID/DIP ID 8. DIP Manager to confirm post cut-over that message send/receive switch over has been successful 9. DIP Manager informs Code Bodies, Ofgem and off-taking Supplier of outcome 10. Code Bodies to inform each other and DIP Manager that cut-over actions have been carried out for their part 11. DIP Manager determines whether failed Supplier's Certificates need to be revoked – consideration shall be given to whether the Supplier MPO is part of a wider organisation hierarchy that remains extant 12. DIP Manager to inform Ofgem, Code Bodies and failed Supplier of whether certificates shall be revoked and/or amended and proposed timings 	Y	Y	Y	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
	<p>13. Ofgem, Code Bodies and failed Supplier to confirm agreement to certificate revocation/amendment plan</p> <p>a. If not in agreement, discuss objections and/or alternative timings and agree way-ahead</p> <p>14. DIP Manager to revoke security certificates and inform DIP Service Provider accordingly</p> <p>15. DIP Manager to inform Ofgem, Code Bodies and failed Supplier (and other relevant stakeholders) that certificate revocation/amendment is complete</p>						

3.4.6. Assurance and compliance

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-A1	The DIP Manager shall assure itself that DIP Users are acting in accordance with the DIP Rules	N	Y	Y	Y	Y	Y
BR-A2	The DIP Manager shall carry out audits of DIP Users on a continuous basis	N	Y	Y	Y	Y	Y
BR-A3	The DIP Manager shall include audit activity in the annual DIP Budget	N	Y	Y	Y	Y	Y
BR-A4	DIP audits may be either on-site or remote 'desktop' audits; desktop audits may include use of data analysis, including use of AI or other appropriate methodology	N	Y	Y	Y	Y	Y
BR-A5	The DIP Manager shall determine prioritisations for assurance activity each year; the DCAB may offer their views on prioritisations	N	Y	Y	Y	Y	Y
BR-A6	The DIP Manager may use a third party to carry out audits on their behalf; if they so elect, the DIP Manager shall ensure SLAs are in place to ensure DIP Users are properly audited	N	Y	Y	Y	Y	Y
BR-A7	<p>The DIP manager shall set the scope of audits each year. As a minimum, the scope shall include:</p> <ul style="list-style-type: none"> • Whether all requirements for on-boarding are still being met, notwithstanding the items below • Whether Information Security requirements are being met • Whether the DPIA (see Data Management) is still in place and suitable • That the DIP User's cyber incident response plan is up to date and fit for purpose 	N	Y	N	Y	Y	Y
BR-A8	DIP Audit reports shall be completed within a pre-determined timeframe following an audit and shared with the subject of said audit	N	Y	N	Y	Y	Y
BR-A9	The DIP Manager shall, if required, agree a rectification plan with the audit subject and, as necessary, require check-point meetings to assess progress	N	Y	N	Y	Y	Y
BR-A10	The DIP Manager shall be audited on their delivery of obligations (not the DIP Service Provider's) - identified in Level One and Two documents - at least once every two years – the DIP Manager's Audit	N	Y	Y	Y	Y	Y
BR-A11	The DIP Manager's Audit shall ensure the DIP Manager is fulfilling their obligations as laid down in DIP Documentation and may be carried out internally or via an external auditor	N	Y	N	Y	Y	Y
BR-A12	The DIP Manager shall publish at least a summary of the findings of the DIP Manager's Audit and, if applicable, their rectification plan which this shall be updated at least six-monthly until all findings have been rectified	N	Y	Y	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-A13	The DIP Manager shall ensure the DIP Service Provider is meeting the SLAs agreed in their contract	N	Y	N	Y	Y	Y
BR-A14	DIP Service Provider performance shall be published subject to contractual restraints	N	Y	N	Y	Y	Y
BR-A15	The DIP Manager shall meet with the DIP Service Provider as agreed in their contract to review SLAs and any agree how any short comings may be addressed	N	Y	N	Y	Y	Y
BR-A16	The DIP Manager shall receive reports from the DIP (see Reporting requirements) and they shall act accordingly to ensure any shortcomings are addressed	Y	Y	N	Y	Y	Y
BR-A17	The DIP Manager shall ensure that the DIP Service Provider is carrying out maintenance and spot-checks as required by their contract and DIP Documentation e.g. DIP MPAN Address Maintenance Service spot-checks	Y	Y	N	Y	Y	Y
BR-A18	The DIP Manager may carry out an audit of the DIP Service Provider	N	Y	N	Y	Y	Y
BR-A19	The DIP Manager shall maintain a DIP Risk log which shall be reviewed at least annually	N	Y	N	Y	Y	Y
BR-A20	Where new mitigations are identified following a review of the DIP Risk Log, an action plan shall be put in place to ensure the mitigation is given full effect	N	Y	N	Y	Y	Y
BR-A21	The DIP Assurance Risk log and mitigation action plan shall be published on the DIP Website and updated following each review	N	Y	N	Y	Y	Y
BR-A22	The DIP Manager shall publish newsletters at least quarterly with details of planned DIP Changes, audit priorities and assurance focus for the forthcoming quarter	N	Y	N	N	Y	Y
BR-A21	The DIP Manager shall host stakeholder engagement workshops to discuss DIP best practice, assurance focus and compliance concerns	N	Y	N	N	Y	Y
BR-A22	The DIP Manager may publish a list of non-compliance incidents by each DIP User – ahead of publishing the DIP Manager shall be guided by the data triage and mitigation principles (Data Management)	N	Y	N	Y	Y	Y
BR-A23	At least annually the DIP Manager shall report publically the ‘state of the industry’ in terms of assurance and compliance	N	Y	N	N	Y	Y
BR-A24	The DIP Manager shall work with BSCCo, RECCo and other such bodies to identify commonalities and synergies where applicable	N	Y	N	Y	Y	Y

3.4.7. Reporting

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-R1	The DIP Manager shall use the reports available through the DIP for assurance, compliance and trend spotting	Y	Y	Y	Y	N	Y
BR-R2	Number of users per demographic (Supplier, Generator, DNO, MEM, Third Party, Code Body, Regulatory Body) and changes	Y	Y	N	Y	Y	Y
BR-R3	Number of MPANs per Supplier for Funding determination	Y	Y	N	Y	Y	Y
BR-R4	Faults that the DIP that have been detected and whether they have been rectified (this is in reference to DIP Service Provider's SLAs, KPIs etc – see service management)	Y	Y	N	Y	Y	Y
BR-R6	Unscheduled downtime	Y	Y	N	Y	Y	Y
BR-R7	Number of messages held in 'Dead-Letter-Queue' and analysis by demographic	Y	Y	N	Y	Y	Y
BR-R8	Number of message errors	Y	Y	N	Y	Y	Y
BR-R9	Number of Message/Event replay requests	Y	Y	N	Y	Y	Y
BR-R10	API Activity – requests, who, when what	Y	Y	N	Y	Y	Y
BR-R11	Reports generated shall be published following triage and mitigation (see open data)	Y	Y	N	Y	Y	Y
BR-R12	Time taken for messages to be delivered, including data latency	Y	Y	N	Y	Y	Y
BR-R13	Volume of messages, including incoming and outgoing messages per message channel	Y	Y	N	Y	Y	Y
BR-R14	Number of messages per business flow	Y	Y	N	Y	Y	Y
BR-R15	The DIP will auto generate the reports listed in this section on the first Calendar Day of each calendar month in respect of the previous calendar month	Y	Y	N	Y	Y	Y
BR-R16	The DIP will auto-share the reports in this section with the DIP Manager, BSCCo, RECCo and other subscribing Code bodies once they have been generated	Y	Y	N	Y	Y	Y

3.4.8. Change Management

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-C1	The guiding principle for DIP Change processes shall be: Raise; Assess; Consult and; Decide	N	Y	N	N	N	N
BR-C2	Anyone, including the DIP Manager and DCAB (or its sub-committees) shall be able to propose a change, but the DIP Manager shall determine whether a change shall be raised or rejected;	N	Y	Y	Y	Y	Y
BR-C3	The DIP Manager shall publish criteria they will consider when determining whether to allow a change to be raised or rejected	N	Y	N	Y	Y	Y
BR-C4	Only the DIP Manager shall instruct the DIP Service Provider to make changes to the DIP	N	Y	N	Y	Y	Y
BR-C5	Proposers may appeal to the DCAB if they disagree with the DIP Managers decision not to allow a Change to be raised; conversely people may appeal the decision to raise a change	N	Y	Y	Y	Y	Y
BR-C6	Process for raising a change shall be published on DIP and the DIP website, and captured in a level 2 document (see Document Management)	N	Y	N	Y	Y	Y
BR-C7	DIP Manager's determination on whether to raise a Change shall be published, including their reason	N	Y	N	Y	Y	Y
BR-C8	DIP Manager shall agree a timetable for progression with the Proposer	N	Y	N	Y	Y	Y
BR-C9	Changes that effect how DIP Users interact with the DIP and/or how messages are sent shall be Tier One Changes	N	Y	Y	Y	Y	Y
BR-C10	Changes to the DIP for ongoing maintenance/efficiency, shall not be subject to a formal change process, but the DIP Manager's agreement shall be sought; all other changes shall be Tier Two e.g. message formats	N	Y	Y	Y	Y	Y
BR-C11	The Authority shall be responsible for all changes to the DIP but may delegate authority to the DCAB for Tier One Changes and the DIP Manager for Tier Two changes	N	Y	Y	Y	Y	Y
BR-C12	The Level One text shall list which circumstances the Authority shall be the determiner – this shall be akin to self-governance determinations in Industry Codes	N	Y	Y	Y	Y	Y
BR-C13	There shall be a mechanism by which the Authority may 'step-in' to make the determination to approve a change, this determination shall be made to the DCAB no later than the 5WD prior to the DCAB	N	Y	Y	Y	Y	Y
BR-C14	The DIP Manager shall make a recommendation to the DCAB for each Tier One change	N	Y	Y	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-C15	DIP Manager shall prioritise changes (if required) based on effort to develop and implement, which shall include respective costs	N	Y	Y	Y	Y	Y
BR-C16	Changes shall be consulted on (standfast maintenance and routine updates), but this may be foregone where urgency is a necessity; this shall be at the DIP Manager's discretion and they shall publish their reason for not consulting. The DIP Manager shall consider the merits of issuing consultations individually or in batches and allow at least 5WD for responses and having consideration of potential impact	N	Y	N	Y	Y	Y
BR-C17	Change consultations shall be published on the DIP Website	N	Y	N	Y	Y	Y
BR-C18	DIP Manager shall maintain a list of personnel wishing to be notified of changes and e-mail (or otherwise actively engage) said persons when a change is raised, consulted on, decided upon or withdrawn	N	Y	N	N	Y	Y
BR-C19	A proposer shall have the option to withdraw their proposal up to the point of determination	N	Y	Y	Y	Y	Y
BR-C20	Proposers shall be able to make their case to the DCAB/ DIP Manager when each is making a determination on whether to approve a change	N	Y	N	Y	Y	Y
BR-C21	The DCAB and/or DIP Manager shall make their implementation determination based on whether the Change shall better implement the Applicable DIP Objectives as well as the Cost-Benefit-Analysis of implementation and the cost and effort of implementation	N	Y	N	Y	Y	Y
BR-C22	<p>The DIP Applicable Objectives shall be:</p> <ol style="list-style-type: none"> 1. Provide accurate and timely support for the settlement process; 2. Further consumers' interests through the appropriately controlled use of data; 3. Facilitate innovation in the energy sector and efficient delivery of services; 4. Provide a reliable service that easily adjusts to the evolving needs of the market in the most cost effective way; and 5. Ensure the ongoing efficacy of central balancing and settlement systems 	N	Y	Y	Y	Y	Y
BR-C23	The DIP Manager shall attend the DCAB for each Change to be determined by the DCAB; in the absence of the proposer, the DIP Manager may advocate for the Proposer	N	Y	N	Y	Y	Y
BR-C24	The DIP Manager, at their discretion, may invite DIP participants' representatives and other interested stakeholders to form a working group to help develop a proposed change	N	Y	N	Y	Y	Y
BR-C25	The DIP Manager shall publish the circumstance for when they would form a working group	N	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-C26	The DIP Manger may maintain a standing-group of DIP Participants to review and develop proposed Changes	N	Y	N	Y	Y	Y
BR-C27	The Terms of Reference of any standing Change groups shall be set by the DIP Manager	N	Y	N	Y	Y	Y
BR-C28	Changes to the DIP and/or documentation shall be implemented on an 'as-required' basis rather than on a set date, but shall be mindful of release dates elsewhere	N	Y	Y	Y	Y	Y
BR-C29	The time between decision and implementation shall be based on implementation effort and feedback from industry consultation as well as input from the DIP Service Provider	N	Y	N	Y	Y	Y
BR-C30	Housekeeping changes to DIP documentation (changes to grammar, sentence structure, layout or anything similar that does not change the interpretation/intent of the document) shall be made by the DIP Manager without need for further approval or consultation	N	Y	Y	Y	Y	Y
BR-C31	DIP Manger shall liaise with relevant Industry Codes, including gathering their views, where DIP Changes impact said Codes, this shall include the EMAR and DTN. It should be expected that this is reciprocated	N	Y	N	Y	Y	Y
BR-C32	Where other Codes make changes to the EMAR, the DIP Manager shall facilitate changes to the DIP and/or DIP documentation if required	N	Y	N	Y	Y	Y
BR-C33	The progression timetable for multi-Code changes shall reflect required changes to other Codes	N	Y	N	Y	Y	Y
BR-C34	The DIP Change Process shall be reflective of the CACoP Principals, including processes for cross-Code changes	N	Y	N	Y	Y	Y
BR-C35	The DIP Manager shall be a member of the Cross-Code Steering Group (CCSG)	N	Y	N	Y	Y	Y
BR-C36	The DIP Manager shall make a report to the DCAB at each regular DCAB meeting as to the state of DIP changes. The content and format of such report shall be agreed between the DIP Manager and the DCAB	N	Y	N	Y	Y	Y
BR-C37	The cost of changes shall be included in the DIP Budget, but the DIP Manager shall have the ability to pass-on the Change cost to the Proposer	N	Y	N	Y	Y	Y
BR-C38	The BSC shall be amended so that any changes to the DIP BSC Supplement are delegated to the DCAB by the Authority and not the BSC Panel. However, the BSC Panel shall be informed of such changes and have the opportunity to provide comment to the Authority and/or DCAB if they wish	N	Y	Y	Y	Y	Y
BR-C39	Notwithstanding delegation for BSC DIP Supplement changes, any changes to other BSC Sections that reference/impact the DIP shall follow the change process in BSC Section F	N	Y	Y	Y	Y	Y

3.4.9. Document Management

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-P1	There will be Level One (BSC), Level Two (Subsidiary Documents) and Level 3 (Guidance) documents to support DIP Operations	N	Y	Y	Y	Y	Y
BR-P2	The DCAB shall approve the publication and amendment of Level One documents, Level Two and Level Three documents may be produced and amended at the DIP Manager's discretion as per the DIP change process	N	Y	Y	Y	Y	Y
BR-P3	The DIP Manager shall maintain and publish a record of all live Level One, Level Two and Level Three documents subject to formal document control – a baseline statement	N	Y	Y	Y	Y	Y
BR-P4	<p>The register of controlled documents shall identify:</p> <ul style="list-style-type: none"> • All controlled DIP Documents and whether they are L1/2/3 • The latest version of DIP Documents that are in force • A record of all Changes that have caused changes to each DIP Document since first published • A record of changes that have been approved and are yet to amend the 'in-force' DIP Documents • Which role/team (not person) within the DIP Manager is responsible for each document 	N	Y	N	Y	Y	Y
BR-P5	The DIP Manager shall publish a consolidated version of Level One (BSC) paragraphs pertaining to the DIP	N	Y	N	N	Y	Y
BR-P6	The DIP Manager shall publish all DIP Level two and Level Three documents on the DIP Website	Y	Y	N	N	Y	Y
BR-P7	Proposed Changes shall identify which DIP Documents will require amendment to implement the solution	N	Y	N	N	Y	Y
BR-P8	As part of any change that requires a change to L2 Documents, proposed changes – 'redlining' – will be included as part of the documents submitted for consideration	N	Y	N	Y	Y	Y
BR-P9	Changes to L3 documentation are at the DIP Manager's discretion and shall not form part of any 'red-lining' consultation	N	Y	Y	Y	Y	Y
BR-P10	Prior to submitting redlining for decision, the DIP Manager shall ensure that a configuration check is undertaken to ensure the proposed formatting is consistent with the published DIP Documents	N	Y	N	N	Y	Y
BR-P11	The DIP Manager shall have a process in place whereby local versions DIP Documents are 'checked-out' from the person responsible for Document management ahead of preparing proposed changes	N	Y	N	N	N	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-P12	The first version of a DIP document shall be version 1.0 on implementation. While drafting it shall be 'v0.1' etc. with the numerator increasing for each draft version. Subsequent versions of a DIP Document will be 'v2.0', 'v3.0' and so on, with draft interim versions being 'v1.1', v1.2' and so on.	N	Y	N	N	Y	Y
BR-P13	DIP Manager will establish and create standardised: <ul style="list-style-type: none"> • Document templates • Style guide for documents • Style guide for Digital publication • Metadata 	N	Y	N	N	N	Y
BR-P14	All documents shall be subject to a review period based on the date of their creation: <ul style="list-style-type: none"> • Level One – Every three years • Level Two – Every four years • Level Three – Every two years 	N	Y	N	Y	Y	Y

3.4.10. Funding

The amount to be paid shall be determined using the principles in BSC Section D but shall adhere to the following:

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-F1	The DIP Manager shall be responsible for carrying out cost recovery; this can be carried out by the DIP Manager directly, or their parent organisation as required	N	Y	Y	Y	Y	Y
BR-F2	The total amount 'DIP Charges for the following DIP Year shall be made-up of the 'DIP Standing Charge' and the 'DIP Non-Standing Charges' <i>DIP Standing Charge + DIP Non Standing charges = DIP Charges</i>	N	Y	N	Y	Y	Y
BR-F3	The total 'DIP Standing Charge' for the forthcoming DIP Year shall be a Fixed amount determined following consultation. The fixed amount may be a % of the budgeted cost, but shall not change once fixed as the overall costs fluctuate each month. For example, if DIP Standing Charge shall be 25% of the projected DIP Costs, and the projected DIP Costs are £4m, then the DIP Standing Charge shall be £1m for the forth coming year and will not change	N	Y	N	Y	Y	Y
BR-F4	The total 'DIP Standing Charge' for the year shall be divided by 12 to determine the total monthly amount, then divided by the number of Suppliers operating that month <i>$\frac{Total\ DIP\ Standing\ Charge}{12 \times Number\ of\ Suppliers} = Monthly\ DIP\ Standing\ Charge$</i>	N	Y	N	Y	Y	Y
BR-F5	Each Supplier's monthly costs shall be the sum of all DIP Costs for that month minus the sum of all Supplier's DIP Standing Charges for that month, which shall then be multiplied by each suppliers Funding Share as a percentage <i>$Funding\ Share \times \Sigma DIP\ Costs - \Sigma Monthly\ DIP\ Standing\ Charges = Monthly\ DIP\ Cost\ per\ Supplier$</i> Where: <i>$\frac{\Sigma MPANs\ per\ Supplier}{\Sigma All\ MPANs} \times 100 = Funding\ Share$</i>	N	Y	N	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-F6	<p>One-off fees such as for Changes, on-boarding or data release (see Change Management, On-boarding and Data Management Sections) shall be included in the non-standing charges prior to determining the monthly Supplier's costs. For Clarity:</p> $\text{Monthly DIP Cost per Supplier} + \text{Suppliers' One – Off fees} = \text{Total amount to be charged per supplier}$	N	Y	N	Y	Y	Y
BR-F7	DIP Costs shall be recovered in line with methodologies used in BSC Section D	N	Y	Y	Y	Y	Y
BR-F8	The DIP Standing Charge shall be an amount to be charged to all Suppliers as a fixed amount each month and shall be a 'Main Specified Charge' as per BSC Section D	N	Y	Y	Y	Y	Y
BR-F9	The Standing Charge amount shall be determined annually for the forth coming DIP Year as part of the Proposed DIP Budget	N	Y	N	Y	Y	Y
BR-F10	The DIP Connection Fee for on-boarding (see on-boarding and budget) shall be an amount reflective of the cost incurred to the DIP Manager for administering the on-boarding process	N	Y	N	Y	Y	Y
BR-F11	The Periodicity of funding recovery shall be per calendar month	N	Y	N	Y	Y	Y
BR-F12	The total amount to be charged each month shall be determined by the DIP Manager	N	Y	N	Y	Y	Y
BR-F13	The DIP Manager shall determine the total number of MPANs for all Suppliers on the first Calendar Day of each month based on a report generated by the DIP	Y	Y	N	Y	Y	Y
BR-F14	The DIP Manager shall determine the number of Suppliers in the DIP 5 WD prior to the end of the month e.g. the number of Suppliers for the April invoice shall be determined 5 WD before 1 April	N	Y	N	Y	Y	Y
BR-F15	The amount to be paid by each Supplier shall be relative to their percentage share of the total number of MSIDs for all Suppliers based on the MPAN report within DIP	N	Y	N	Y	Y	Y
BR-F16	The costs for individual Changes shall be able to be passed onto the Proposer (see Change Management)	N	Y	N	Y	Y	Y
BR-F17	The costs for data requests shall be able to be passed onto the requester (see Data Management)	N	Y	N	Y	Y	Y
BR-F18	DIP Costs shall be included in the annual final reconciliation process as per BSC Section D	N	Y	N	Y	Y	Y
BR-F19	DIP Costs shall be excluded from the BSC Funding Share calculations	N	Y	Y	Y	Y	Y
BR-F20	Funding amounts shall be linked to DIP ID for accounting	N	Y	N	Y	Y	Y

3.4.11. Budget

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-B1	The DIP Manager shall be responsible for proposing, setting and managing the DIP Budget	N	Y	Y	Y	Y	Y
BR-B2	<p>The DIP Budget shall consist of at least the following:</p> <ul style="list-style-type: none"> • DIP Service Provider costs • DIP Manager overheads • DIP Change costs • DIP Assurance costs • DIP Standing Charge (see funding) • DIP On-boarding costs (See on-boarding) <p>Other costs may be added as appropriate</p>	N	Y	Y	Y	Y	Y
BR-B3	The DIP Manager shall propose the DIP Budget for the forthcoming year before the start of the relevant DIP Year	N	Y	N	Y	Y	Y
BR-B4	The proposed budget shall be subject to public consultation	N	Y	N	Y	Y	Y
BR-B5	The DIP budget may be consulted-on as part of their parent organisation's budget proposal and consultation or as a separate stand-alone proposal and consultation	N	Y	N	Y	Y	Y
BR-B6	There shall be no weighting given to consultation responders i.e. each response shall have equal value when DIP Manager is considering responses based on strength of argument, supported by evidence where possible	N	Y	N	N	Y	Y
BR-B7	The DCAB shall review the DIP budget at the next normal DCAB meeting following publication and shall submit a response to the budget consultation within the same timelines as other correspondents	N	Y	N	N	Y	Y
BR-B8	The forthcoming DIP Year budget shall be published no later than one month prior to the start of the DIP Year	N	Y	Y	Y	Y	Y

3.4.12. Information Security

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-I1	The on-boarding report (see on-boarding requirements) shall include details of relevant security compliance	N	Y	Y	Y	Y	Y
BR-I2	The DIP shall use a supported Mutual Transport Layer Security (mTLS) version for authentication	Y	N	N	Y	Y	Y
BR-I3	Data routing through the DIP will conform to one of four categories: <ul style="list-style-type: none"> 1. Public Data – anything that can be shared 2. MPAN – only MPAN level data 3. MPAN + Personable Identifiable Information (PII) 4. MPAN + Consumption Data 	Y	N	N	Y	Y	Y
BR-I4	DIP Manager and DIP Users shall adhere to relevant Data protection legislation requirements	N	Y	Y	Y	Y	Y
BR-I5	All DIP Messages will be digitally signed: <ul style="list-style-type: none"> • The message creator will digitally sign the message using private keys provided by the DIP Service Provider • The DIP will verify the message from the publisher • The DIP will sign the message using its Private Key • The message recipient will verify the message data using the public key of the DIP 	Y	N	N	Y	Y	Y
BR-I6	The DIP Manager shall ensure that an Interface Code-of-Connection (CoCo) is published; it shall be reviewed and updated in line with the ISO 27001 cycle	Y	Y	Y	Y	Y	Y
BR-I7	The DIP CoCo shall, as a minimum, contain details relating to: <ul style="list-style-type: none"> • Public Key Interface (PKI) policy • mTLS protocols • DIP User portal access 	Y	Y	N	Y	Y	Y
BR-I8	DIP Users shall perform a CoCo compliance self-assessment at least annually; the records of such self-assessment shall be made available to the DIP Manager (or their representative) when required	N	Y	N	Y	Y	Y
BR-I9	The DIP Manager shall have a Cyber Incident response plan; this may be part of their parents organisation's plan, or a stand-alone plan	N	Y	Y	Y	Y	Y

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-I10	DIP Users shall have their own Cyber Incident response plan, which shall be reviewed as part of the DIP Manager's Assurance activity	N	Y	Y	Y	Y	Y
BR-I11	Cyber Incident response plans shall be tested in line with the ISO 27000 series requirements	N	Y	N	Y	Y	Y
BR-I12	DIP Manager, DIP Users and DIP Service Provider shall undertake PEN testing and vulnerability management routinely as per industry best-practice and ISO 27001 requirements	N	Y	N	Y	Y	Y
BR-I13	In respect of the CoCo requirements, The DIP Manager shall act as: <ul style="list-style-type: none"> • Certificate Authority • Policy Authority • Issuing Authority • Registration Authority 	N	Y	N	Y	Y	Y
BR-I14	DIP Users shall retain 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, within legal constraints, for a minimum of six months	N	Y	N	Y	Y	Y
BR-I15	DIP Users shall have a logical network schematic of the information systems and services in scope that interact with the DIP, and include: <ul style="list-style-type: none"> • Services and functionality • Gateway/boundaries functionality 	N	Y	N	Y	Y	Y
BR-I16	DIP Users shall ensure that the edge routers and switches in the Data Centres/Cloud are physically/logically secured, with direct access only being granted to staff who have a demonstrable and approved need for access	N	Y	N	Y	Y	Y
BR-I17	DIP Users shall use JavaScript Object Notation (JSON) Message signing as per the CoCo	N	Y	N	Y	Y	Y
BR-I18	DIP Users shall have Key Management processes in place as described in the CoCo.	N	Y	N	Y	Y	Y
BR-I19	DIP Users shall comply with all requirements within the CoCo regarding Certificate obligations	N	Y	N	Y	Y	Y
BR-I20	Where a DIP User elects to contract with a third-party, it will remain the DIP User's responsibility to ensure their representative complies with the relevant DIP Rules	N	Y	N	Y	Y	Y
BR-I21	The DIP Manager may, at their discretion, accept alternative standards to ISO 27001 series e.g. NIST800-53	N	Y	N	Y	Y	Y

3.4.13. Data Management

BR	Business Requirement	MHHS	DIP Mgr	L1	L2	L3	LWI
BR-D1	DIP Users will be able to use Application Programming Interfaces (APIs) to engage with the DIP	Y	Y	N	Y	Y	Y
BR-D2	DIP Manager, via the DIP Service Provider will issue guidance on API protocols	N	Y	Y	Y	Y	Y
BR-D3	The DIP Manager shall ensure that DIP Users (including DIP Service Provider and DIP Manager) requiring a Data Privacy Impact Assessment (DPIA) have such in place for PII data as part of the on-boarding process; the DIP Manager shall review that the applicable DPIAs are maintained but shall not give assurance that the DPIA is correct, simply that it exists and is updated and reviewed periodically	N	Y	Y	Y	Y	Y
BR-D4	DPIAs will be checked as part of the Assurance process post on-boarding/go-live	N	Y	N	Y	Y	Y
BR-D5	The DIP Manager shall be a considered a Data Processor and act accordingly	N	Y	Y	Y	Y	Y
BR-D6	DIP Users that are Data Controllers and/or Data Processors shall act accordingly as per DPA and/or GDPR; the point of transfer of responsibility will be identified in the DIP Rules	N	Y	Y	Y	Y	Y
BR-D7	In the event of a data breach, DIP Users shall inform the DIP Manager as soon as practicable and keep the DIP Manager informed as each action is taken	N	Y	Y	Y	Y	Y
BR-D8	Where a data breach MAY impact more than one DIP User, the DIP Manager shall ensure relevant information is passed and actions are aligned in respect of potentially impacted DIP Users	N	Y	Y	Y	Y	Y
BR-D9	Where the DIP Manager (or DIP Service Provider) identifies a data breach (whether their own breach or somebody else's) they shall liaise with the relevant DIP Users to ensure requisite legal actions are taken	N	Y	Y	Y	Y	Y
BR-D10	The DIP Manager, DIP Users and DIP Service Provider shall adhere to Ofgem's Best Practice Guidelines	N	Y	Y	Y	Y	Y
BR-D11	The DIP Manager shall have an 'open-data' policy; the default shall be that all open data requests shall be met	N	Y	Y	Y	Y	Y
BR-D12	Data requests shall be subject to triage and mitigation to determine whether any actions need to be taken to make the data releasable i.e. so that there is no impact on the data subject or people connected to them	N	Y	Y	Y	Y	Y
BR-D13	The cost for releasing data may be recoverable from the applicant if deemed appropriate following industry consultation	N	Y	N	Y	Y	Y

4. DIP DOCUMENTATION

In order to deliver the operation and governance of the DIP, we will need to capture the obligations and expectations in the appropriate documentation (see [Document Management](#) assumptions for levels)

4.1. Level One – BSC Code

The BSC is Elexon's route to capture DIP obligations. In addition to capturing high-level DIP requirements, BSC Section C is the legal means by which Elexon will have the authority and varies to operate as DIP Manager. In line with Ofgem's direction that the DIP shall be independent and portable, it is intended that, other than where necessary, all DIP Matters will be captured as a Supplement to the BSC.

Further, to aid in portability and speed up the Change process, it is intended that only the absolute minimal requirements are captured in Level One documentation, and instead the bulk of obligations and requirements will be captured in Level Two Documentation, which will be referred to in Level One text.

4.1.1. BSC Sections expected to require amends

- BSC Section C – Annex 1 provides for Elexon's Permissible Activities
- BSC Section D – cost recovery methods for DIP funding
- BSC Section H – interactions between the DIP arrangements and default provisions

4.1.2. BSC Sections to emulate

There are several sections of the BSC that will be drawn upon/provide precedence for DIP Level One drafting. It is not suggested that these sections are cut-and-pasted with 'DIP' substituted in as required, but instead, these should be the inspiration for language framing and terminology where required.

The Sections expected to be emulated are:

- BSC Section A – to describe the different participants in DIP
- BSC Section B – to describe the role of the DCAB
- BSC Section C – to describe the role of the DIP Manager
- BSC Section D – to describe how funding will occur
- BSC Section F – to describe the DIP Change management process will work
- BSC Section G – to describe how the DIP contingencies will work
- BSC Section H – to describe what will happen when a Supplier defaults
- BSC Section J – on-boarding requirements
- BSC Section U – obligations relating to data
- BSC Section X – definitions and obligations in relation to the DIP
- BSC Section Z – responsibilities of the DCAB in relation to Assurance

4.1.3. BSC Section sections

The BSC Chapter for the DIP will be split into several sections. Those sections will be:

1. General (Governance and Operational Management)
2. On-boarding and off-boarding
3. Assurance and Reporting
4. Change Management and document management
5. Funding and Budget
6. Data Management and Information Security

In the above list, each topic responds to the corresponding Assumptions and Business requirements laid out higher in this document

4.2. Level Two – Subsidiary Documents

In addition to Level One documentation, there will be several subsidiary documents that will be the operational level documents – i.e. how the DIP will actually operate.

These Level Two documents will go into more detail than Level One and it is envisaged that this will be the 'go to' documents for DIP stakeholders regardless of their role.

As a holding title, they will be referred to as DIP Subsidiary Documents (DSDs) There will be one Level Two Subsidiary document for each Level One section; specifically:

- DSD1. General (Governance and Operational Management)
- DSD2. On-boarding and off-boarding
- DSD3. Assurance and Reporting
- DSD4. Change Management and document management
- DSD5. Funding and Budget
- DSD6. Data Management and Information Security

4.3. Level Three – Guidance and reference document

To support stakeholder engagement and engender a positive user experience, the DIP Manager will produce several guidance-type documents. These are not intended to sit below the Level One and Two documentation, but rather to enhance them.

The titles and design are yet to be determined at the time of drafting this latest version of the DIP Requirements. It is envisaged that they will be more stakeholder specific, for example a guidance document listing out all of the requirements for Suppliers, or a single document laying out the roles and responsibilities of the DCAB and what DIP Users should expect from them.

4.4. Technical documents

Alongside the documentation that will be generated by the DIP Manager, we also expect the MHHS to produce technical documentation to describe how the DIP works and something akin to a user-manual. At the time of drafting this version of the requirement, how this will be deployed is still in discussion between the DIP Manager and MHHS, but at the very least, we expect the following:

- DSD7. Code of Connection Agreement
- DSD8. Public Key Infrastructure (PKI) requirements

Documents DSD7 and DSD8 will be drafted by the MHHS Programme and handed to the DIP Manager as part of the transition requirements (at which point they will become L2 documents as above), as such, they will not form part of Issue 101 documentation