



# **Code Subsidiary Document**

**No. 0404:**

## **Interface for the provision of non-transactional Data Items from Trading Parties**

September 2015

## Change History

Version Number	Date of Issue	Reason For Change	Change Control Reference	Sections Affected
20150511	11 May 2015	For industry consultation		
20150714	14 July 2015	For pre-vendor MAP		
ICP Housekeeping	25 August 2015	Non -material housekeeping changes	ICP/WRC/CP001	All
ICP Quality Assurance	22 September 2015	Clarificatory and syntax changes following review of the texts	ICP/WRC009	1.1.1, 2.1.1, 2.1.3, 2.1.4, 2.1.5, 2.1.6, 2.1.7, 2.2.1, 2.3.1, 2.4, 2.4.1, 2.4.3(e), 2.5.4, 2.6.2, 2.7.1, 2.7.2, 2.9.2, 2.9.3, 3.2.1, 3.8.1 (Table 1)
20150930	30 September 2015	For post-vendor MAP		As per Quality Assurance version

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## Definitions

Unless expressly stated otherwise, for the purposes of this CSD:

- (a) terms defined in the Wholesale-Retail Code Part 1 (Objectives, Principles and Definitions) shall apply;
- (b) capitalised terms relating to the titles of Data Items or Data Transactions described in CSD 0301 (Data Catalogue) shall have the meaning attributed therein; and
- (c) capitalised terms relating to definitions set out in CSD 0400 (Common interface technical specifications) and CSD 0208 (Creation and update of Wholesaler Tariff Data) shall also apply.

## 1. Introduction

### 1.1 Purpose and scope

1.1.1 This CSD defines the interface that enables Trading Parties to maintain non-transactional Data Items within the Market Operator Systems namely:

- (a) Trading Party administration data;
- (b) Retrospective Amendments; and
- (c) Wholesaler Tariff Data.

1.1.2 This CSD also sets out the responsibilities of the Market Operator and Trading Parties wishing to use this interface. Common technical specifications and standards are described in CSD 0400 (Common interface technical specifications).

1.1.3 This CSD should be read in conjunction with:

- (a) CSD 0006 (Trading Party Administration and Notification Processes);
- (b) CSD 0105 (Error Rectification and Retrospective Amendments);
- (c) CSD 0208 (Creation and update of Wholesaler Tariff Data);
- (d) CSD 0301 (Data Catalogue); and
- (e) CSD 0400 (Common interface technical specifications).

### 1.2 Structure of this CSD

1.2.1 This CSD is structured as follows:

- (a) Section 1: Purpose and scope – this section;
- (b) Section 2: Description of the interface – describes the interface in terms of the functions available to Trading Parties; and



- (c) Section 3: Technical specification and standards – describes the technical specifications specific to this interface.

## 2. Description of the interface

### 2.1 Overview

2.1.1 The interface supports the maintenance of non-transactional Data Items via online screens, updating the underlying data as a synchronous Data Transaction. In addition, Wholesaler Tariff Data can also be uploaded.

2.1.2 The interface will support the processes as set out in the following CSDs:

- (a) CSD 0006 (Trading Party Administration and Notification Processes);
- (b) CSD 0105 (Error Rectification and Retrospective Amendments); and
- (c) CSD 0208 (Creation and update of Wholesaler Tariff Data).

2.1.3 The interface will use structured data templates containing Data Items to ensure that Trading Parties' submissions to the Market Operator remain in a standard and consistent format and that data fields are compliant with the data requirements set out in CSD 0301 (Data Catalogue), reducing the potential for Central System data processing exceptions.

2.1.4 The interface will include Role Based Access Control which will enable Trading Parties and the Market Operator to allocate appropriate privileges to individual users within their organisation. Trading Parties will appoint an Administrator to manage all user access within their organisation.

2.1.5 The interface will allow users to:

- (a) choose an appropriate data template;
- (b) edit or download/upload Data Items within a data template;
- (c) retrieve, review, save or undertake pre-submission compliance checks;
- (d) either work directly on a data template using the interface or download to their own systems and work off-line;

- (e) submit the Data Items as set out in CSD 0006 (Trading Party Administration and Notification Processes) and CSD 0105 (Error Rectification and Retrospective Amendments); or
- (f) verify and authorise Wholesaler Tariff Data as set out in CSD 0208 (Creation and update of Wholesaler Tariff Data).

2.1.6 At the point of submitting a data template, the interface will generate a unique reference number for the submission. Every Session and Interaction will be logged by the Market Operator in accordance with the requirements set out in CSD 0400 (Common interface and technical specifications).

2.1.7 The interface uses Role Based Access Control. Trading Party Administrators will allocate privileges to individual users based on a combination of their role within the organisation and the functions that each user will use on the interface, as set out in CSD 0006 Trading Party Administration and Notification Processes). For example:

- (a) the submission of Wholesaler Tariff Data;
- (b) Retrospective Amendments; and
- (c) the submission of Trading Party administration data.

2.1.8 Mandatory Cryptographic Protections include Mutual Authentication. Authentication of a Trading Party's Digital Certificate ensures that all Sessions established through the interface are secure.



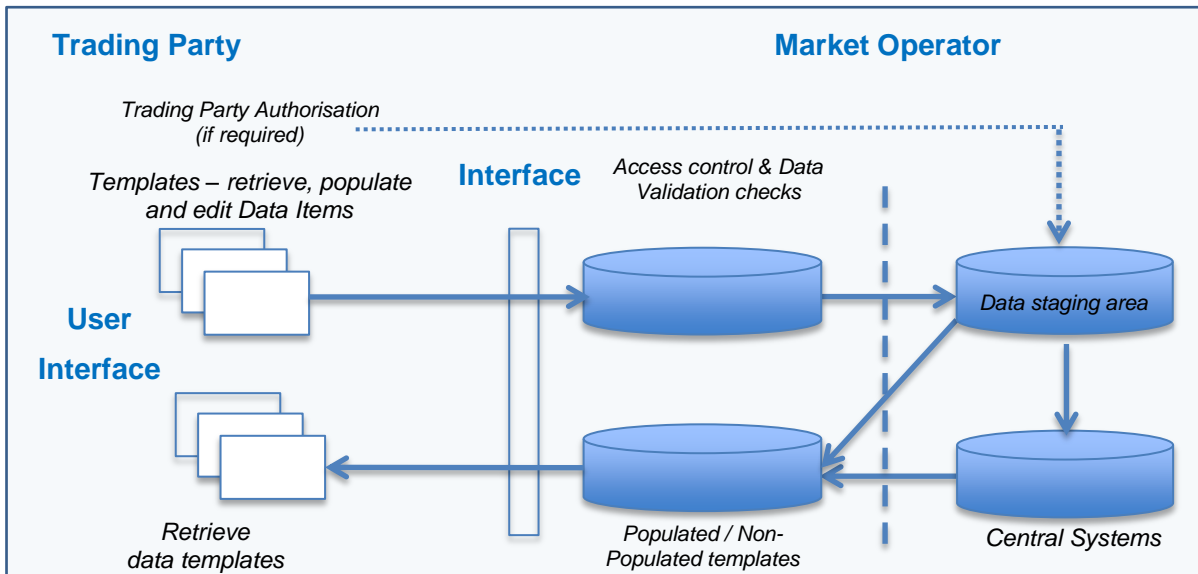


Figure 1: Interface operation concept

## 2.2 User privileges

2.2.1 User access privileges will enable permissions to be set to allow different users to access different non-transactional data templates and Data Items through the interface, namely:

- (a) Wholesaler Tariff Data; and
- (b) Trading Party administration Data Items.

## 2.3 User authorisation

2.3.1 Any attempts to access the interface and/or obtain reports using invalid Trading Party credentials will not be permitted and will be notified to the user.

## 2.4 Data template selection

2.4.1 The interface will allow users to view a list of available data templates, and sort and filter Data Items based on the following parameters:

- (a) non-transactional Data Item name;

- (b) non-transactional Data Item unique reference number (for already submitted Data Items);
- (c) non-transactional Data Item type;
- (d) range of dates by which the non-transactional Data Item must be submitted (for time bound Data Item submissions);
- (e) range of dates of submission;
- (f) non-transactional Data Item status (as set out in section 3.2 of this CSD);  
and
- (g) Effective From Date.

2.4.2 The listing, sorting, filtering and selection of Data Items will be performed through an appropriate interface screen.

2.4.3 Access to data templates and Data Items will be based on a combination of:

- (a) Trading Party unique identifier;
- (b) Trading Party credentials (and associated privileges);
- (c) Market Operator configurable data rules as specified in CSD 0301 (Data Catalogue);
- (d) date parameters; and
- (e) Data Item status.

## **2.5 Data Item viewing, updating, saving and submitting**

2.5.1 All non-transactional Data Items will be viewed, updated, saved and submitted within a structured data template. Within the displayed data template, Data Item fields may be populated or unpopulated with data previously saved or submitted to the Market Operator depending on the data requirement.

- 2.5.2 Depending on the status of the Data Items being displayed, the data templates will allow:
- (a) all data fields to be locked and non-editable (read only); or
  - (b) a combination of locked and non-editable fields, whilst other data fields may be unlocked and editable.
- 2.5.3 For any data template where there are Data Items with editable fields, the interface will provide users with a prompt to save or submit the data template. This will allow:
- (a) the template and populated Data Items to be saved for later editing;
  - (b) the populated data template to be submitted to the Market Operator for processing; or
  - (c) exit from the template without saving.
- 2.5.4 The interface will place no restrictions on the submission of Data Items, with the exception of those Data Items described in CSD 0208 (Creation and update of Wholesaler Tariff Data).

## **2.6 Data template pre-submission checks**

- 2.6.1 Structured data templates accessed through the interface will provide in-built pre-submission checks ensuring that the attributes of the non-transactional Data Items being input by a user corresponds to the format set out in CSD 0301 (Data Catalogue).
- 2.6.2 Where a structured data template is pre-populated with Data Items already held in the Market Operator systems, it will be assumed that the data has already been successfully processed by the Central Systems.
- 2.6.3 Trading Parties will ensure that all Data Items are valid prior to submission to the Market Operator in order to minimise data processing exceptions within the Central Systems.

## 2.7 Time bound Data Item submissions

2.7.1 The interface will allow the update and submission of time bound non-transactional Data Items up to the end of the Business Day on a date published by the Market Operator as described in CSD 0208 (Creation and update of Wholesaler Tariff Data).

2.7.2 Once satisfied that the non-transactional Data Items that require authorisation are correct, using the interface the user will submit the relevant Data Items pending final authorisation.

## 2.8 Data authorisation

2.8.1 Additional authorisation will be required for Wholesaler Tariff Data as described in CSD 0208 (Creation and update of Wholesaler Tariff Data).

(a) Using the interface, Trading Parties will authorise Data Items that have been set to 'verified', as set out in section 2.5 of CSD 0208 (Creation and update of Wholesaler Tariff Data). Until a corresponding authorisation is received, Data Items that have been submitted to the Market Operator and are in a 'verified' status will be held in a secure staging area and will not be promoted to the Central Systems until authorised.

(b) The Market Operator will notify the Trading Party Contract Manager by email where no authorisation is received by the Authorisation Date as defined in CSD 0208 (Creation and update of Wholesaler Tariff Data) .

2.8.2 Non-transactional Data Items which do not require additional authorisation, once successfully processed by the Market Operator, will be promoted to the Central Systems.

## 2.9 Retrospective Amendments to authorised Data Items

2.9.1 The interface will not allow any form of Retrospective Amendment (namely Wholesaler Tariff Data) as set out in CSD 0105 (Error Rectification and

Retrospective Amendments) to be undertaken without a valid Retrospective Amendment request having been submitted to the Market Operator.

2.9.2 Requests to amend Data Items retrospectively will be submitted by Trading Parties through the service management interface as described in CSD 0406 (Service Management Interface):

- (a) once processed and confirmed by the Market Operator, the Trading Party will be able to access the requested non-transactional Data Items through the interface described in this CSD using the functions described in section 2.5.2;
- (b) based on the scope of the amendment, one or more individual Data Items may be unlocked for editing; and
- (c) the Market Operator will be responsible for all 'locking' and 'unlocking' of Data Items for such editing purposes.

2.9.3 Where Data Item re-submission is time bound authorisation must be completed before the date and time specified by the Market Operator.

2.9.4 Users will be able to amend and resubmit the same Data Items without restriction up until the date and time at which the Data Items have to be submitted and (if necessary) authorised.

2.9.5 The Market Operator will notify the Trading Party Contract Manager by email where no authorisation is received beyond the agreed window.

## 2.10 Interface logging

2.10.1 As stated in CSD 0400 (Common interface technical specifications), and for the avoidance of doubt, all Data Transactions, Authorisations and associated logs which have an impact on settlements will be retained by Trading Parties and the Market Operator for a rolling period of seven (7) years.

2.10.2 Trading Party Administrators can, upon request using the service management interface as described in CSD 0406 (Service Management Interface) obtain a log



of all non-transactional Data Items submitted by their Trading Party through the interface within a specified time period and/or date range.

## 3. Technical specification and standards

### 3.1 Common requirements

3.1.1 Trading Parties must configure access and correctly use the interface in accordance with the requirements set out in:

- (a) CSD 0006 (Trading Party Administration and Notification Processes);
- (b) CSD 0208 (Creation and update of Wholesaler Tariff Data);
- (c) CSD 0301 (Data Catalogue); and
- (d) CSD 0400 (Common interface technical specifications).

### 3.2 Data Item status

3.2.1 Every Data Item will have a status at any point in time, and should include:

- (a) new (unpopulated or pre-populated and requiring completion);
- (b) open (currently being displayed/edited by another user);
- (c) saved (previously edited and saved but not submitted);
- (d) submitted;
- (e) processed (submitted, and processed by the Market Operator);
- (f) processing failed (submitted, and failed Market Operator processing);
- (g) verified (in the context of Wholesaler Tariff Data, submitted, processed by the Market Operator, but requiring authorisation);
- (h) authorised (submitted, processed by the Market Operator and authorised by the Trading Party).

3.2.2 The Market Operator Systems will display the status of each Data Item as set out in section 3.2.1 above.

### 3.3 Configurable data controls

- 3.3.1 The interface will allow the display of Data Items to Trading Parties with data fields in either a 'locked' and 'unlocked' status.
- 3.3.2 Whether a Data Item is 'locked' or 'unlocked' will be determined on the basis of parameters which determine whether or not the data field is:
- (a) editable; or
  - (b) individually configurable by the Market Operator (e.g. whether or not the specific data field can be edited for a given Retrospective Amendment).

### 3.4 Pre-population of Data Items

- 3.4.1 For non-transactional Data Items which are pre-populated before being made available to Trading Parties for further editing and submission, the Market Operator will pre-populate the Data Items. In most cases pre-populated Data Items will be time bound Data Items (e.g. Wholesaler Tariff Data) which the Market Operator will pre-populate with the data for the previous time period.
- 3.4.2 The Market Operator will create and pre-populate any such Data Items prior to making them available on the interface for editing and submission by the relevant Trading Parties.

### 3.5 Data Item submission and processing

- 3.5.1 Once a user has submitted a Data Item, the interface will generate and apply a unique reference number for that submission.
- 3.5.2 Data sets submitted through the interface will be subject to the standard access control and data validation checks set out in CSD 0400 (Common interface technical specifications).
- 3.5.3 Upon any access control issues or subsequent data processing issues, a Data Processing Status and meaningful Processing Result Code will be provided to the Trading Party through the interface.



## 3.6 Data Item format

3.6.1 Each data template will have the following mandatory fields:

- (a) Data Item name / process reference e.g. Wholesaler Tariff Data update;
- (b) Trading Party ID;
- (c) interface user ID (author);
- (d) unique reference number (applied by the interface at the point of submission); and
- (e) date and time stamp (applied by the Trading Party at the point of submission to the Market Operator).

## 3.7 Data Item access control

3.7.1 Robust controls will ensure that data access in terms of submission, editing and read-only viewing is only available to relevant Trading Parties based on the following data access rules:

- (a) Wholesalers will only have access to Wholesaler Tariff Data relating to their Wholesale Area; and
- (b) Trading Parties will only have access to data for which they are the Data Owner and it is held on the Central Systems.

## 3.8 Interaction catalogue

3.8.1 The table below summarises the interactions between Trading Parties and the Market Operator through the Interface.

Interaction	From	To	Delivery via interface	Delivery
Blank or pre-populated Data Items are made available	Market Operator	Trading Party	Yes	Interface

Interaction	From	To	Delivery via interface	Delivery
Data Items are viewed, edited and submitted for processing	Trading Party	Market Operator	Yes	Interface
Access control and data validation check confirmed	Market Operator	Trading Party	Yes	Interface
For Data Items requiring authorisation, corresponding authorisation Data Transaction submitted	Trading Party	Market Operator	Yes	Interface

Table 1: Summary of interactions

### 3.9 Error handling

3.9.1 General error handling requirements are described in CSD 0400 (Common interface technical specifications).

3.9.2 The following table sets out possible error scenarios and possible outcomes unique to this interface.

Error	Outcome
Interface user identifier / password invalid	The interface user is notified that their user identifier and/or password are invalid, and advised to contact their Administrator in the first instance before raising a service management incident as set out in CSD 0406 (Service Management Interface)

Table 2: Interface specific error scenarios