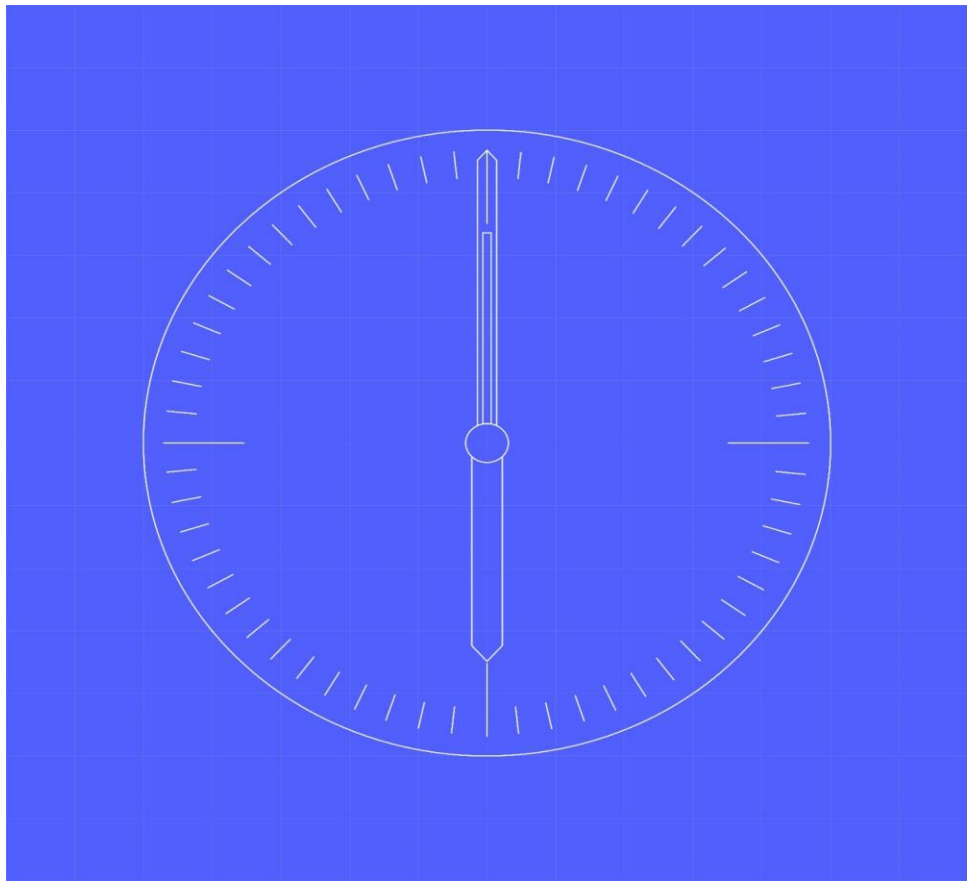


Qualification
Assessment
Document Guidance



Document owner

Elexon and REC

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1.1 Change Record

Date	Author	Version	Change Detail
25/02/2025	Code Bodies	1.0	Approved Version
19/03/2025	Code Bodies	1.1	Approved Version
23/04/2025	Code Bodies	1.2	Approved Version
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<u>24/09/2025</u>	<u>Code Bodies</u>	<u>1.7</u>	<u>Approved Version</u>

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1.2 Reviewers

Reviewer	Role
Code Bodies	BSC, REC and DIP Manager

2 Introduction

2.1 Qualification Assessment Document Guidance

This document provides guidance to all participants undergoing MHHS Qualification, specifically in relation to the Qualification Assessment Document (QAD) and the QAD Portal. We will be updating the guidance document regularly to capture frequently asked questions from Participants, as well as guidance from the Code Bodies based on the progress of other Participants.

You can find past webinar recording and slides on the [MHHS Webinars & Open Days page](#) on the MHHS website.

3 QAD Top Tips

3.1 Code Bodies Comments

Based on common comments from QAD reviews, Code Bodies have provided the following guidance for Participants to consider when completing the QAD:

1. Please refer to both the Question and Guidance in the QAD to ensure each and every element of the question is responded to. In some questions, these elements are specified as bullet points. Please refer to these in your responses, and where possible structure according to these Question/Guidance elements.
2. For questions surrounding controls, while explaining the 'what' is useful, please also discuss the 'how' and 'so what' in your responses. For instance, for a question about data validation controls, while confirming that 'we validate the data' (the 'what') is helpful, illustrating the 'how' such as steps/configurations you used to achieve the control objective and who is responsible for implementing/supervising the control (i.e., how the system or manual controls work), as well as the 'so what', i.e., what the outputs/outcomes are in relation to the question/guidance (e.g. does it help you achieve data integrity/completeness/accuracy requirements), is key to a response that is comprehensive and easy-to-follow.
3. For Section 5, (the role-specific questions over business processes and data management), please make sure your response captures the entire end-to-end business process, and not just the automated data flow management part. For example, rather than just noting "we will monitor for any exceptions", please provide further details including how these exceptions will be identified, such as through a report or dashboard, how will you decide who is responsible for resolving these exceptions, what steps they will need to take to resolve those actions, etc.
4. As a reminder, we are qualifying participants in a role, and we are not qualifying just your technical solution or your Service Provider. As a specific example, for Section 4.4 on how you have reviewed whether there are any new or changed Information Security and Data Protection risks, part of that may involve considering your relationship with any third Parties and any activities they have done. However, we also want you to include what you as a participant have reviewed, and how you have determined whether any ISMS policy or control changes are needed to mitigate any new risks.
5. We have received some queries regarding the feedback and the level of detail needed around system functionality for Non-SIT LDSO's. To clarify, the purpose of the QAD is to provide Code Bodies with assurance that you will put in place appropriate systems, staff, and processes to meet MHHS requirements and BSC/REC Code obligations; your QAD submission should therefore focus on areas such as monitoring controls you have in place and how you will handle exceptions.

Your QAD submission will supplement the Testing you are undertaking to prove the functionality of the systems, hence whilst you are not required to reiterate all elements of your system functionality in the QAD, you may be required to reference some system functionality to provide further context to your response.

6. Please ensure you have sufficient personnel cover to support processes such as QAD submissions, DIP Onboarding and other associated activities, to avoid a single point of failure. This is particularly important in cases where you expect to provide submissions close to the deadline for your Wave; please see Qualification Approach and Plan for further details on the deadlines for your Wave.

4 Frequently Asked Questions

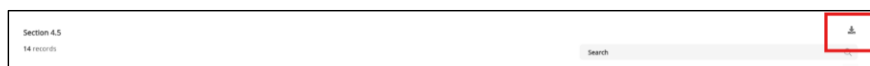
4.1 Questions & Answers (Q&A)

Q01: How do I submit my QAD?

You need to click 'Submit' at the bottom of each page for each section of the QAD. Therefore please don't wait until the last section to submit, as this will not result in the entire QAD being submitted.

Q02: How can we download the QAD sections?

Currently, you can only download individual sections of your QAD, to do this please click on the download button on the top right corner of the section table



Users should be able to download the section contents individually i.e. Questions, Responses, Reviewer dates and comments in excel format.

Q03: When do I need to respond to QAD review comments?

We advise all Participants to respond to feedback sooner rather than waiting till the end of the Review window, as it would allow the QSP and/or REC to review your amendments, and if required, provide further feedback (iterative process) to ensure each section has been answered to a satisfactory standard for the Initial and Final submission.

Q04: Can I start on the Final QAD as soon as the relevant Final QAD Submission window opens?

You can only progress to the Final QAD if two conditions are met:

1. All sections within an Application must be approved (After approval section statuses should change to Complete) and:
2. QT Results have to be submitted for all roles applied for e.g. ADS: PASS

If there are QAD sections rejected and awaiting your update in the Initial QAD, then the QAD will not progress to the Final QAD until the relevant information has been added and has been approved.

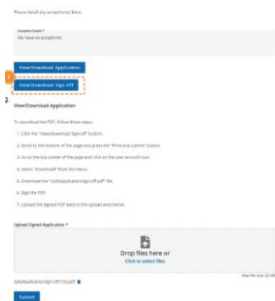
Q05: Does the Director need to log into the portal to sign the Final QAD?

The Director can either log into the portal to sign the Final QAD or a user can upload a PDF containing the Director signatures on their behalf.

- 1) To download the PDF, navigate to QAD Applications > Task Manager page > Locate the task titled "Applicant's Confirmation, Expand the task by clicking on the arrow (>).



- 2) Click "View/Download Sign-off" on the unfolded task



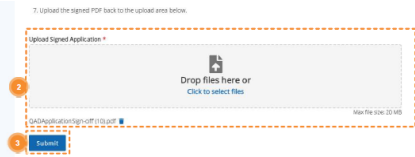
- 3) After a new page opens with the company sign-off template, scroll down and press Print and submit button to generate PDF version of the template for signing



- 4) This will generate a pop up, you then click the 'download page' to navigate to the download page, once the PDF has been generated you can click the download button to download the PDF



- 5) You can then upload the signed PDF by navigating to QAD applications > Task Manager, and once uploaded click the submit button



For MOA-only applications, a signed copy of the application is not required. Follow the steps below to complete the task.

- 1) Unfold the task.
- 2) Enter any "Exception details" if necessary.
- 3) View the application.
- 4) Confirm the application by checking the confirmation.
- 5) Click the submit button to complete the process.

Q06: How will I know when Code Bodies have reviewed an Initial QAD submission?

You will receive email notifications notifying you that a QAD section has been reviewed by all applicable reviewers. If this email notes that your QAD section has been rejected, you will need to resubmit the QAD based on those comments provided. If the email notes the section has been accepted, then no further review comments would be provided for that QAD section within the same review iteration (though an accepted Initial QAD may include some observations that need to be actioned as part to the Final QAD).

Q07: When do we get credentials for Qualification Assessment Document (QAD) Portal - SOFY?

Users will get credentials to the QAD Portal around a week before the Initial QAD submission window opens for their wave, we strongly advise all users to log in as soon as you receive the email notification to mitigate any access issues.

Code Bodies have implemented a confirmation process, whereby we will email Participants to confirm any updates to their QAD Portal Contacts prior to QAD Portal Access being granted for the Qualification Waves.

Participants can update their nominated QAD Portal Users by contacting the MHHS Qualification inbox at least three weeks prior to your Initial QAD submission window.

Q08: When can I expect a response to my Initial QAD submission from Code Bodies?

The review deadlines are set out in the QA&P Appendix C, namely 6 weeks for the Initial QAD and 4 weeks for the Final QAD. However, where possible, Code Bodies will endeavour to review the application earlier where possible; on the BSC QSP side, there is a 5WD target to review any QAD submissions, and from the REC side there is a 15WD target.

However, the actual time it would take to review your QAD submission would depend on the availability of resources of the Code Bodies at the time. In addition, reviews on the BSC QSP side is largely based on a first-come-first-served basis. Therefore, the sooner you submit your QAD sections for review, the more time you will have to make any updates to your QAD sections

Q09. Do I need to wait until BSC,REC Code Manager and DIP Manager have reviewed my QAD before receiving comments'?

It depends on if the QAD section is jointly reviewed by the BSC QSP, REC Code Manager and DIP Manager. You will only receive queries after ALL reviewers relevant to that QAD section have completed their review and raised any queries/feedback if applicable. Furthermore, for jointly- reviewed sections, Code Bodies have agreed not to raise duplicate comments, therefore if you only see comments from one Code Body then those comments may be applicable for both Codes.

Comments will be shared with participants as soon as the review is complete where there is only one reviewer.

Q10. Does every query raised need to be answered as part of the Initial QAD submission?

Not necessarily, if you can only respond to certain queries later, you can simply respond to that query by noting the context and/or expected timelines by which you expect to have updates in your response.

Q11. Where do I enter a response for comments/queries left by the Code Bodies for a particular section?

Please overwrite the old response with an updated response, alongside any commentary should you wish to.

Q12. Where we use the same artefacts/evidence to support multiple responses, are we required to upload the artefact for each separate response?

Where the same artefact is used to support multiple responses, you only need to upload it once and clearly reference the artefact's name and upload location when re-referencing within a different response. However, please upload evidence for Section 4.5 separately, as the DIP Manager only reviews Section 4.5 and does not have access to other sections.

Q13. In the QAD the questions and guidance points are split out into separate sections, e.g. A – F, but in the QAD Portal there is only a single text entry field for the whole question, how do I go about answering sections on the QAD Portal?

Applicants can simply label their responses by Guidance Pointers (A to F etc.) and skip lines between their responses to each guidance pointer.

Q14. Where we have multiple MPIDs across different legal entities, but the content for the QADs are identical, can we submit a single QAD to cover the multiple MPIDs?

By default, each legal entity, regardless of the number of associated MPIDs will be treated as a separate application and require a QAD submission. You can internally decide if there are any contents that can be repurposed, but each submission will be treated and reviewed independently.

If the contents will be the same/similar across the different QAD submissions you can use the download functionality, where users can download the section contents, and copy and paste your answers to the second QAD application, and update where necessary.

Q15. Can you provide details on the security arrangements in place when submitting supporting evidence for our QAD submission?

Code Bodies and DIP Manager advise Participants that they should only provide information that is relevant to their MHHS Qualification application. We would expect confidential information to be shared where this is required to answer a QAD question. If confidential information is not required, then parties should not provide this.

Where the information required is confidential or sensitive, Participants can share an abridged or summary view of any confidential information that meets the requirements of their MHHS Qualification, whilst protecting Participant's Confidential Information.

Code Bodies would also like to point customers to the sections of the BSC and the REC that relate to their Handling of Participant Data.

- Please see the BSCCo Obligations outlined in [BSC Section H 4.3](#)
- Please see the REC Obligations outlined in [REC Main Body](#) Section 18.
- Please see the DIP Manager Obligations outlined in [DSD006 - DIP Data Management](#) Section 2

Q16. If I update my QAD response will this mean my updates are final and can no longer be edited in the Final QAD submission?

Any updates made to your Initial QAD responses will not mean it can no longer be edited in the Final QAD. If Code Bodies determine your response needs further detail, that the additional information required is not urgent and can be provided with your Final QAD submission, then they will accept the section, allowing you to move to the Final QAD, in order for you to update.

Please note submissions cannot be updated once sent for review, only after comments have been received. This ensures the submission remains consistent and stable across all reviewers.

Accepted sections within an Initial QAD Submission cannot be updated until the Final QAD Submission Window is open. All responses for all sections will be open for update again once your application progresses to the Final QAD.

Q17: Can I duplicate my QAD across multiple MPIDs?

Only where submissions are identical across their MPIDs, Participants will be able to submit a QAD for one MPID, complete draft and review, once finalised submit the remaining MPID's QAD. Please note that all organisations completing the QAD and their Company Director signing it off remain accountable for ensuring all information submitted and placed reliance upon is accurate and current

Q18: Who should I contact for support?

MHHS Qualification mailbox

MHHSQualification@elexon.co.uk for general queries, guidance and contact support.

QAD Portal support

For technical platform support: MHHSQADSUPPORT@kpmg.co.uk

Escalation

For REC specific escalations and queries please raise a REC Portal [Service Desk Ticket](#) or contact enquiries@recmanager.co.uk
For BSC escalations please use MHHSQualification@elexon.co.uk with High importance

To enable us to respond quickly, please include Organisation, Role, details on the QAD section and question number

Q19: How will I know if the relevant Exemptions have been added to my application

If an Exemption has been added to your application, then you will receive an email from the Sofy Platform stating an additional question needs to be completed within Section 5.1. If both Exemptions (UMS and Smart) have been applied, then this will result in two further questions needing to be answered.

Q20: If a red exclamation point appears against a section, does this mean I need to update my response?

If a red exclamation point appears against a section, then this indicates to the reviewers that there has been an update to the response between iterations, it does not mean you need to update your response.

Q21: As a SIT participant, why has Section 4.2: Testing Declaration and Evidence Submission been rejected?

For Participants that are not Placing Reliance, Code Bodies can confirm that Section 4.2 in the Final QAD Submission has been rejected as SIT Testing is still ongoing. Participants that are completing SIT are required to upload their SIT Completion Report to Section 4.2 once this has been received. Code Bodies can confirm that your organisation should not seek the Director Sign-off until after this review of Section 4.2. Once the necessary details have been added and the final review has been completed please resubmit Section 4.2.

For Participants that are Placing Reliance, Code Bodies can confirm that Section 4.2 in the Final QAD Submission has been rejected as SIT Testing is still ongoing, and Participants that are placing reliance on this testing should wait until that testing has been completed before resubmitting this section. . Please engage with the Participant that you are placing reliance on to confirm they have received their SIT and/or QT Report, once this has been made available to them and please note this within section 4.2 including details of the Participant that you are placing reliance on. Code

Bodes can confirm that your organisation should not seek the Director Sign-off until after this review of Section 4.2. Once the necessary details have been added and the final review has been completed please resubmit Section 4.2.

Please note that your organisation is responsible for confirming that the SIT and/or QT Completion Report is suitable for the Placing Reliance Arrangements you have in place for your MHHS Qualification application. Also, you do not need to duplicate and upload the SIT/QT results to the QAD portal as Code Bodies will validate them in a shared space with the MHHS.

Q22: What is the Letter of Delegated Authority and how do I submit it?

For BSC/REC joint roles (e.g. Suppliers and LDSOs), Directors must download, sign, and re-upload the full QAD submission to meet both BSC and REC requirements. For REC-only roles (e.g. MOAs), there are two options for confirming the QAD submission:

1. A Director can be onboarded onto the QAD Portal and manually confirm the submission
2. Alternatively, a Director can sign a Letter of Delegated Authority (LoDA) and have another user upload the LoDA to the REC Portal on their behalf

By signing the LoDA, the Director confirms that:

- The QAD submission is complete, true, and not misleading
- All obligations have been understood and fulfilled
- Any future changes will be disclosed to REC

The LoDA template can be found in the REC Portal under:

Useful Documents → MHHS → LoDA QAD

Q23: As a Wave Participant, if I am placing full reliance on another Participant, do I need to upload their QT results onto the QAD portal?

In order to move onto the Final QAD, Code Bodies will upload the Test Completion Report under 'QT Results' for Wave Participants. However, Participants that are placing full reliance will not have a Test Completion Report. Therefore, if you are placing full reliance on a SIT Participant or a Non-SIT LDSO, Code Bodies instead require you to provide a written confirmation in QAD question 4.2.5 that you have seen and are happy with all the test completion reports that you are placing reliance on. Please note if you are Placing Reliance on a Participant completing SIT, there are three SIT exit reports:

1. Functional and Migration and Regression Report,
2. Non-Functional Report and
3. Operational Report

If you are placing full reliance on a Participant in a QT Wave, they will only have 1 QT Test Completion Report. For the avoidance of doubt, you do not need to upload a copy of another Participants' Test Completion Report, you only need to refer out to it.

Q24: How will I get notified if my application has been approved by the BSC Performance Assurance Board (PAB) and/or REC Code Manager

From the BSC you will receive an email from MHHSQualification@elexon.com confirming approval of your application by the PAB, along with a formal letter signed by the Performance Assurance Board Chair. The email will be sent to all QAD contacts. The Elexon Qualified Persons Workbook will also be updated.

From the REC you will receive an email from qualification@recmanager.co.uk confirming approval of your application by the REC Code Manager; this email will be sent to the REC Contract Manager (additionally, for SIT Participants and LDSOs only, this email will also be sent to all QAD contacts). The REC Party Register will also be updated, though is published on a weekly basis.

Commented [NB1]: [Daniel Rodgers \(Deloitte\)](#) can you confirm this is the correct email address

Commented [D(2R1)]: Updated

Code Bodies will also communicate this decision through the QAD Portal; for BSC/REC joint roles (e.g. Suppliers and LDSOs), Participants will only receive an email from the QAD Portal after both Code Bodies approve the application and the status on the QAD portal will also be updated.

Q25: I have completed PIT execution but have not provided all PIT evidence and PIT completion report to the Test Assurance team-, can I start on the Initial QAD or do I need to wait until all PIT documentation has been submitted?

Code Bodies will allow Participants to start their Initial QAD so long as PIT execution has been completed, please ensure to update QAD question 4.2.3 with reasons as to why you have not provided the PIT documentation to the Test Assurance team and when you plan to submit it. [After you have submitted your PIT documentation to the Test Assurance team, please update your response to QAD question 4.2.3 to reflect this.](#)

5 Supplier Meter Registration Service¹

5.1 Extra QAD Principles for SMRS

For each section/question, we have provided additional principles to support your responses.

As a reminder, we are not asking from the perspective of how MPRS operates but how it integrates specifically within your own infrastructure.

- To clarify, we are referring to processes that may typically be set up in addition to the base functionality of MPRS, such as workflow management, reporting, etc.
- For each question, please outline your exception management approach for when MPRS encounters issues, as an example, batch jobs or systems log errors requiring intervention.
- Where applicable, describe any alerting and/or monitoring mechanisms you have in place to detect MPRS failures or rejections.
- Please also describe any outputs generated in these areas, and how you prioritise and action those.
- Include any checks you perform to ensure MPRS processing runs as expected and explain the actions you take if any outliers are identified. Please state if these are intra-day, pre or post main batch jobs.
- Please provide an overview of how you monitor the stability and performance of the underpinning infrastructure that hosts your systems

¹ Equivalent Role under the REC is the Electricity Retail Data Service (ERDS)
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