

Code Subsidiary Document

No. 0402:

**Transactional interface for
Trading Parties having a low
volume of Data Transactions**

Change History

Version Number	Date of Issue	Reason For Change	Change Control Reference	Sections Affected

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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) shall also apply.

1. Introduction

1.2 Purpose and scope

1.2.1 This CSD describes the screen-based transactional interface which enables a Trading Party user to interact with the Market Operator at low volumes and also sets out the responsibilities of the Market Operator and Trading Parties wishing to use the interface.

1.2.2 Common technical specifications and standards are described in CSD 0400 (Common interface technical specifications).

1.2.3 This CSD should be read in conjunction with:

- (a) CSD 0301 (Data Catalogue); and
- (b) CSD 0400 (Common interface technical specifications).

1.3 Structure of this CSD

1.3.1 The 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 any specific technical requirements that are not contained within CSD 0400 (Common interface technical specifications); 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 is screen-based and will allow users to:

- (a) manually populate Data Transactions;
- (b) Validate the Data Transactions that have been created;
- (c) submit low volumes of Data Transactions to the Market Operator as specified in CSD 0400 (Common interface technical specifications); and
- (d) retrieve synchronous and asynchronous responses from the Market Operator once access control checks and subsequent data processing have been completed.

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

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

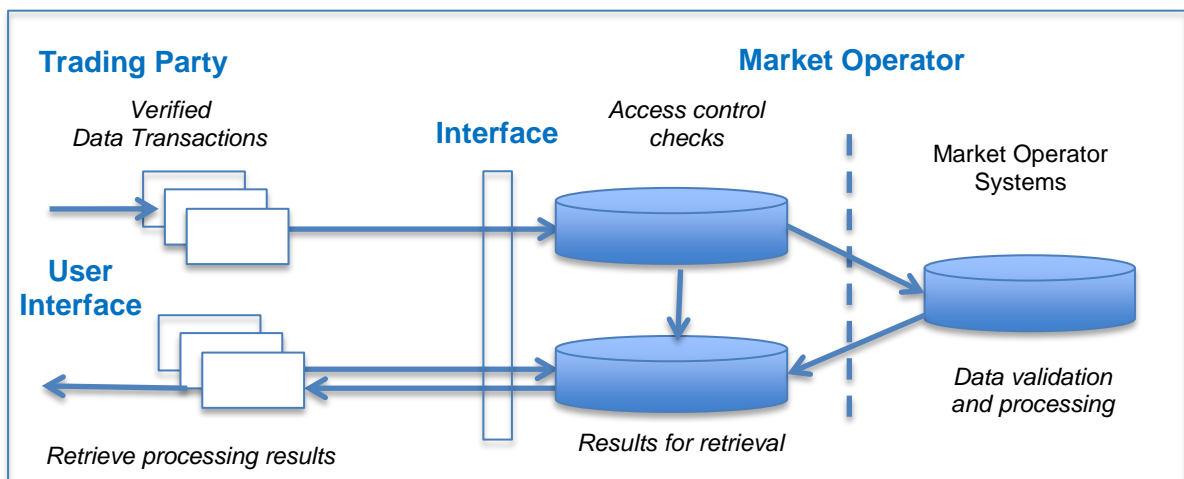


Figure 1: Interface operation concept

2.2 Data Transaction submission and processing

2.2.1 The interface will automatically apply the following prior to submission to the Market Operator:

- (a) a unique Originators reference number;
- (b) the Trading Party's unique identifier; and
- (c) the Trading Party's user credentials.

2.2.2 Interface users will be responsible for initiating the pushing of Data Transactions to the Market Operator using the interface.

2.2.3 Upon receipt of a Data Transaction the Market Operator will:

- (a) perform a series of access control checks as specified in CSD 0400 (Common interface technical specifications);
- (b) generate a synchronous response confirming receipt of a Data Transaction; and
- (c) should the process fail, the Market Operator will immediately stop all processing and issue a Processing Status Code with meaningful Processing Return Code(s) which will be retrieved by the user through the interface.

2.2.4 If access control checks are successful, the Central Systems will then process the Data Transactions and generate a Processing Status Code once all data processing has been successfully completed.

2.2.5 Should any data anomalies be identified, e.g. non-conformance with CSD 0301 (Data Catalogue), all data processing of that Data Transaction will stop immediately;

- (a) the Market Operator will generate a Processing Status Code and meaningful Processing Return Code for each Data Transaction submitted; and
- (b) the user will retrieve the Market Operator response through the interface.

- 2.2.6 Trading Parties will ensure that their users retrieve all Market Operator responses to Data Transactions submitted through this interface (regardless of outcome).
- 2.2.7 The Market Operator and the Trading Party will ensure that all data processing results are positively acknowledged.

2.3 Interface availability and performance

- 2.3.1 The interface will allow users to submit Data Transactions to the Market Operator during a Business Day or Extended Hours.
- 2.3.2 The Market Operator will ensure that Trading Party Support arrangements will be available during Business Hours and Extended Business Hours as described in CSD 0400 (Common interface technical specifications).
- 2.3.3 As set out in CSD 0400 (Common interface technical specifications); the Market Operator's data processing obligations are limited to within the Business Day. Any Data Transactions that are submitted during Extended Hours may not be processed by the Market Operator until the beginning of the next Business Day.
- 2.3.4 If Data Transactions are received by the Market Operator within a Business Day the Market Operator will undertake the following activities:
- (a) undertake access control checks;
 - (b) generate a synchronous response for retrieval by the initiating Trading Party. The response will confirm Data Transaction receipt and Processing Status Code with a corresponding Processing Return Code (as appropriate).
 - (c) process the data contained within each Data Transaction once access control processing has been successfully completed; and
 - (d) upon completion of data processing generate an asynchronous response will be generated by the Market Operator. It is the responsibility of Trading Parties to retrieve the Market Operator responses through the interface.

2.3.5 If the Market Operator receives Data Transactions from a Trading Party during Extended Hours, the Market Operator will as a minimum:

- (a) undertake access control checks;
- (b) generate a synchronous response for retrieval by the initiating Trading Party. The response will confirm Data Transaction receipt and Processing Status Code with a corresponding Processing Return Code (as appropriate); and
- (c) perform subsequent processing of the data contained within each Data Transaction at the beginning of the next Business Day.

2.3.6 Each Market Operator response will contain:

- (a) the initiating unique Originators reference number;
- (b) the processing status; and
- (c) Processing Status Code(s) where a Data Transaction has failed to process.

2.3.7 As set out in the Market Terms, the Market Operator shall process all data it receives within one (1) Business Day. However, under certain circumstances the Market Operator may be able to complete all of the processing during the same Business Day. However, this should not be regarded as an obligation on the Market Operator.

2.3.8 The Market Operator may also issue unsolicited notifications to Trading Parties (i.e. those which are not sent in response to a corresponding Data Transaction from that Trading Party). All such notifications must also be collected and processed by Trading Parties, and upon collection Trading Parties will confirm to the Market Operator that these notifications have been collected for processing.

2.3.9 Should the interface become unavailable during a Business Day or Extended Hours this will be as a result of one of the following:

- (a) a Trading Party system issue requiring further investigation;
- (b) a Planned Outage for which the Trading Party will have been notified; or

- (c) an Unplanned Outage or Disruption notified to all affected Trading Parties by the Market Operator following the process set out in CSD 0006 (Trading Party Administration and Notification Processes).

2.3.10 Where the interface is unavailable during Business Hours or Extended Hours for reasons other than those listed in Section 2.3.9 above of this CSD, then the Trading Party will raise a service management incident as described in CSD 0406 (Service Management Interface).

2.4 Interaction summary

2.4.1 Table 1 summarises the Interactions between Trading Parties and the Market Operator through the interface.

Interaction	From	To	Delivery via interface	Delivery pattern
Submit Data Transaction(s)	Trading Party	Market Operator	Yes	Submission by users through a screen-based interface
Access control checks and processing status	Market Operator	Trading Party	Yes	Synchronous response from Market Operator Response via screen-based interface
Data Transaction processing checks	Market Operator	Trading Party	Yes	Asynchronous response from the Market Operator Asynchronous notification from the Market Operator Response via screen-based interface
Confirmation Data Transaction results retrieved	Trading Party	Market Operator	Yes	Submission via screen-based interface

Table 1: Summary of Interactions

3. Technical requirements

3.1 Requirements specific to this CSD

3.1.1 The interface will support the technical standards as set out in CSD 0400 (Common interface technical specifications) in addition to requirements specific to this interface as detailed below.

- (a) Users and the Market Operator will monitor all Interactions to ensure that there are no unfulfilled Data Transactions.
- (b) It is the responsibility of users of the interface to retrieve and process all Market Operator responses in a logical sequence irrespective of the outcome.
- (c) Users will confirm to the Market Operator that responses have been collected for processing;
 - (i) using the interface, users will send an asynchronous response confirming receipt and will include the unique Data Transaction Reference Number; and
 - (ii) the Market Operator will store all confirmations of receipt received from Trading Parties to ensure that a chronological processing history is recorded and that any outstanding actions, for example a Trading Party failing to process an error response and subsequently attempting to resubmit an unresolved Data Transaction, can be identified.
- (d) Should any unfulfilled Data Transactions be identified, these should be investigated and if necessary Trading Parties will raise a service management incident with the Market Operator using the service management interface as described in CSD 0406 (Service Management Interface).
- (e) No Anomaly Detection will be implemented on this interface.