Title: 1.1 Apply

Brief Description
a) A prospective SEC Party applying for accession to the SEC is also permitted to be a CRS User and therefore is permitted to be a MIS User; or
b) A prospective MIS User who is not a SEC Party applies to the SEC to be a MIS User

Key Scenarios:
a) A new Party to the SEC has rights to be a CRS User and their application to accede incorporates this role
b) A non-SEC Party decides it wishes to have access to the MIS and applies

Actors:
Applicant
SECAS & SECCo
MIS

Preconditions:
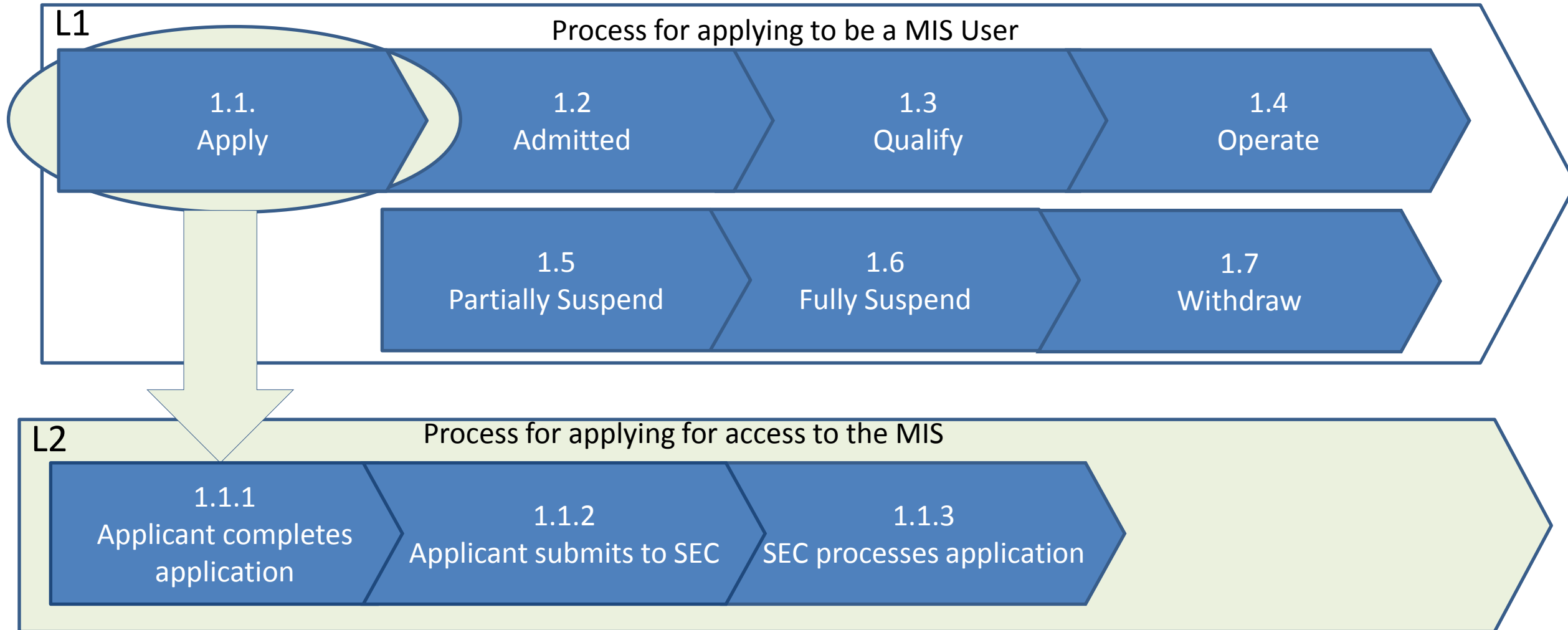• Prospective new MIS User identified by SEC or applicant

Post Conditions:
• Applicant completes application for access to the MIS (this may be required over and above the SEC Accession Agreement eg admission/usage agreement)

Assumptions
• Not all MIS Users will be SEC Parties
• The MIS will principally be fed by CRS although may obtain feeds from other systems
• Solution Architecture will identify system requirements
• The SEC will be the primary rule book for MIS User controls for CRS content – other industry Codes may drive other MIS content

Level 2 – MIS User Life Cycle - Apply

L1 — Process for applying to be a MIS User

- 1.1. Apply
- 1.2 Admitted
- 1.3 Qualify
- 1.4 Operate
- 1.5 Partially Suspend
- 1.6 Fully Suspend
- 1.7 Withdraw

L2 — Process for applying for access to the MIS

- 1.1.1 Applicant completes application
- 1.1.2 Applicant submits to SEC
- 1.1.3 SEC processes application

Title: 1.2 Admit

Brief Description: MIS User application is processed

Key Scenarios
The prospective new MIS User's application is processed and they are admitted

Actors
- MIS User applicant
- SECAS & SECCo/SEC Panel
- MIS

Preconditions
- If applicable, SEC Party role permitted to be a MIS User (eg by rights under the SEC)
- Application and admission/usage agreement complete**)**
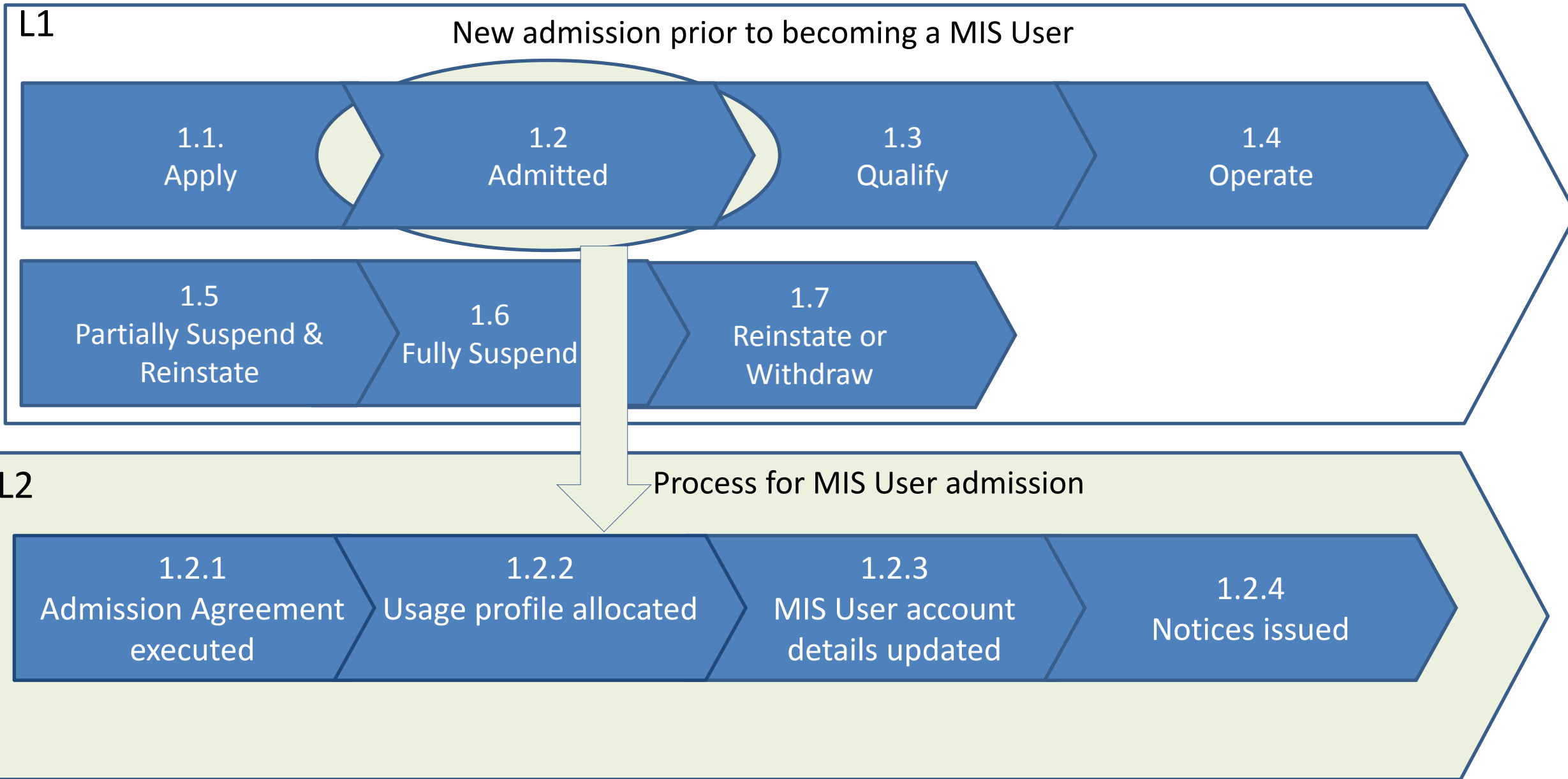
Post Conditions
- Applicant
  - Has signed admission/usage agreement
  - Is admitted as a new MIS User

- **SECAS**
  - Processed application
  - MIS User details updated

- **SECCO/SEC Panel,**
  - Admission agreement executed
- **MIS**
  - informed

Assumptions

- Admission as SEC Party CRS User does not confer rights to be a MIS User without being admitted to MIS

- MIS admission fee TBD

- Further qualification conditions apply, eg
  - CRS User qualification conditions
  - Non-SEC Party bi Lateral admission/usage agreement with SECCo

Level 2 – MIS User Life Cycle - Admitted

L1

New admission prior to becoming a MIS User

| 1.1. Apply | 1.2 Admitted | 1.3 Qualify | 1.4 Operate |

| 1.5 Partially Suspend & Reinstate | 1.6 Fully Suspend | 1.7 Reinstate or Withdraw |

L2

Process for MIS User admission

| 1.2.1 Admission Agreement executed | 1.2.2 Usage profile allocated | 1.2.3 MIS User account details updated | 1.2.4 Notices issued |

Title: 1.3 Qualify

Brief Description: Prospective MIS User readiness for any qualification conditions prior to being enabled as a MIS User

Key Scenarios
Qualification conditions need to be met to be authorised to proceed as a MIS User
• CRS User conditions (if applicable)
• MIS User conditions

Actors
• MIS User
• SECAS
• Approving Body
• MIS

Preconditions
• MIS Users admitted
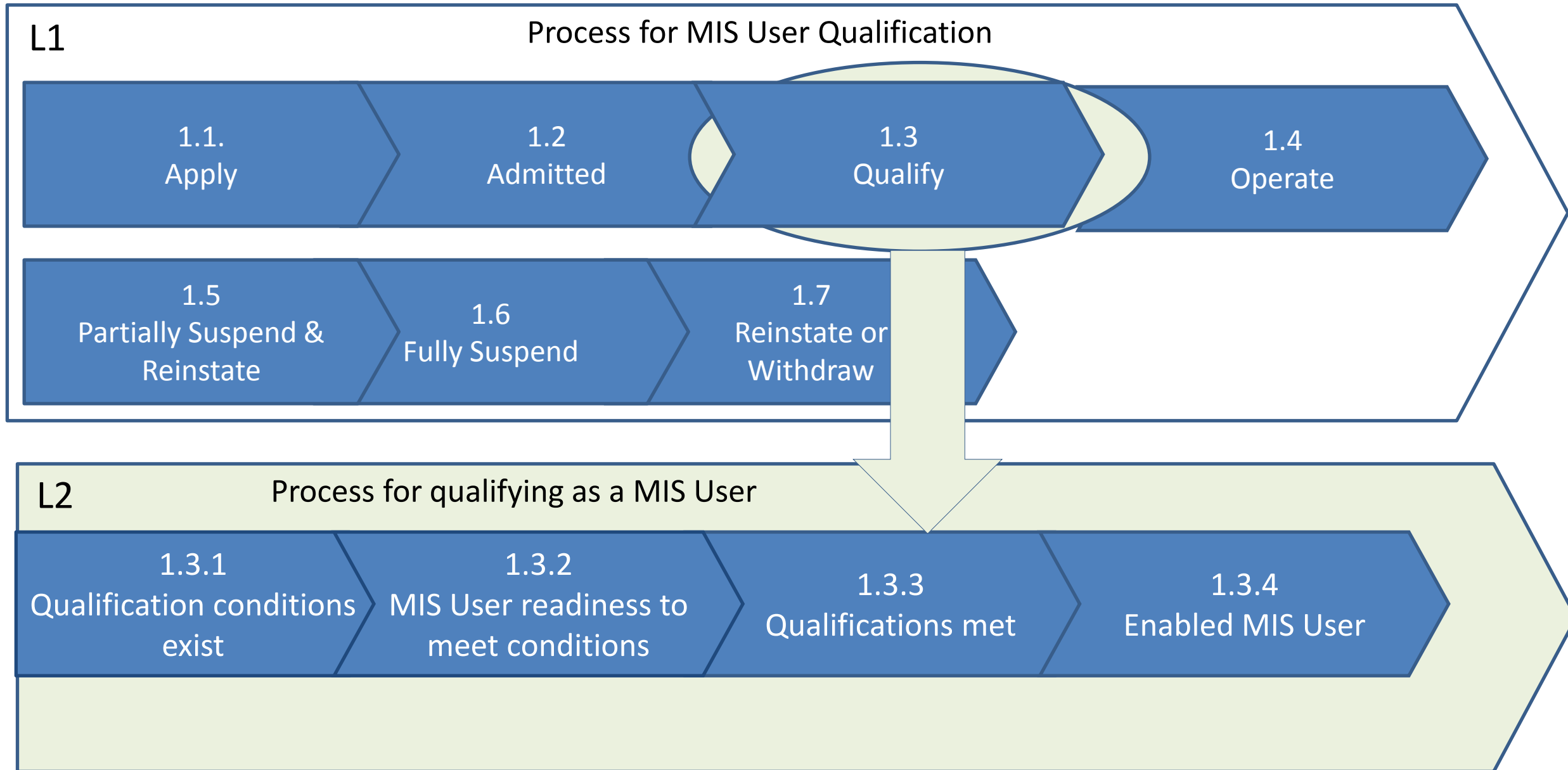• MIS qualification requirements set out in the SEC/SEC SDs

Post Conditions
• Qualification criteria met
• MIS User authorised as a qualified MIS User
• CRS User enabled in CRS

Assumptions
• CRS User entry process test requirements will be set out in the SEC from the perspective of CRS (ie not any other Code requirements)
• Qualification as a MIS User may be factored with other SEC entry/testing criteria' eg may be undertaken/demonstrated in conjunction with DCC/CRS User qualification.
• TBD if MIS User qualification can happen in advance of any other SEC qualification criteria applicable to that User

Level 2 – MIS User Life Cycle - Qualify

L1 — Process for MIS User Qualification

- 1.1. Apply
- 1.2 Admitted
- 1.3 Qualify
- 1.4 Operate
- 1.5 Partially Suspend & Reinstate
- 1.6 Fully Suspend
- 1.7 Reinstate or Withdraw

L2 — Process for qualifying as a MIS User

- 1.3.1 Qualification conditions exist
- 1.3.2 MIS User readiness to meet conditions
- 1.3.3 Qualifications met
- 1.3.4 Enabled MIS User

Title: 1.4 Operate

Brief Description: MIS User operational

Key Scenarios

MIS User has access to their permitted usage

Actors

- MIS User
- MIS

Preconditions

- MIS User is qualified
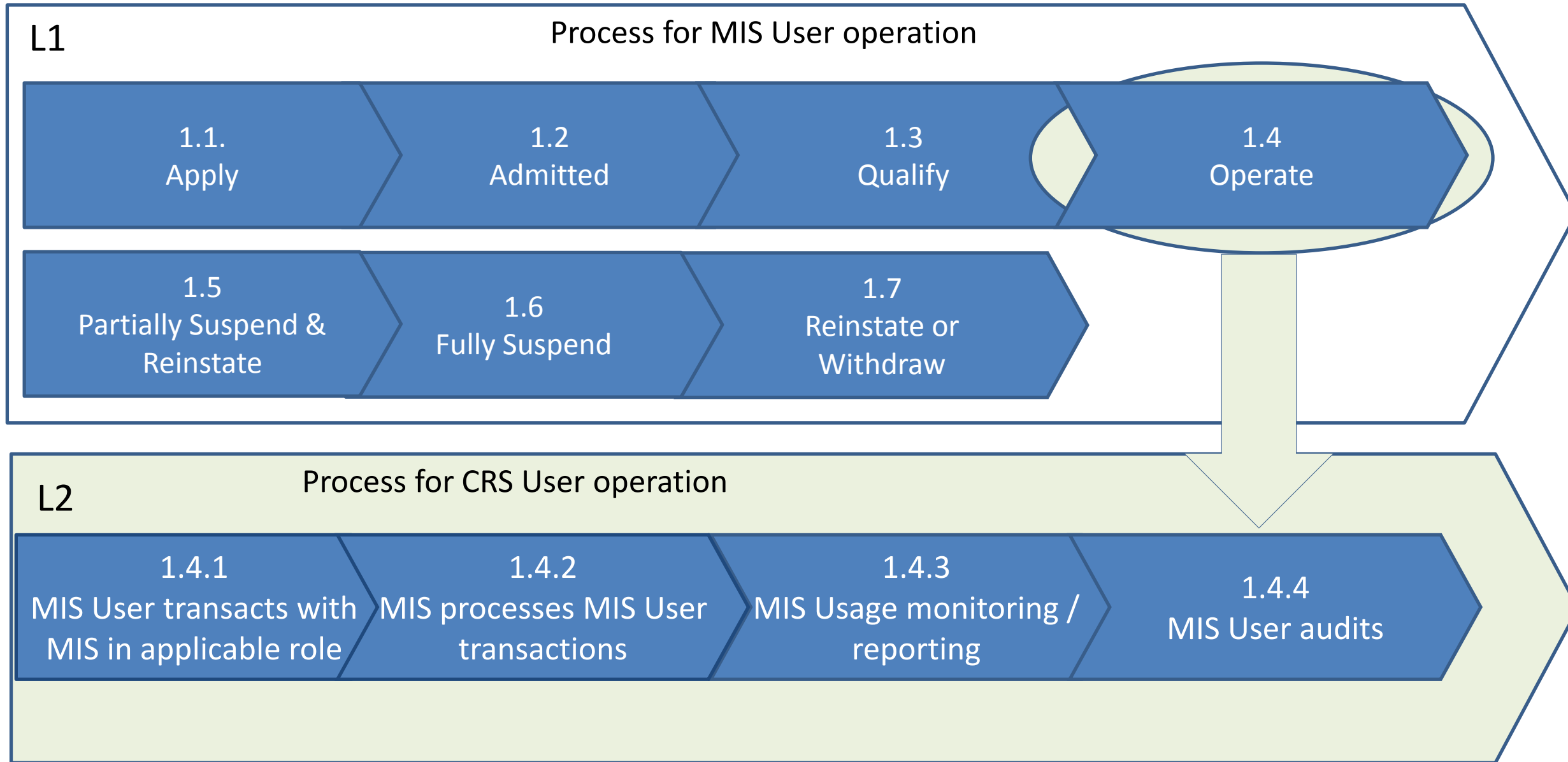- MIS recognises the CRS User

Post Conditions:

- SEC Party permitted to be a MIS User until it ceases to fulfil certain MIS User conditions
- MIS User continues to meet any other post-operation requirements
- MIS capable of generating any required reports from data held within the MIS
- Applicable MIS User monitoring and audit cycle established

Assumptions

- An acceptable use policy will be in place under the SEC
- A MIS User can make changes to their profile, eg account/usage through a controlled process

Level 2 – MIS User Life Cycle - Operate

Title: 1.5 Partially Suspend MIS User Rights and Reinstate when Suspension event resolved

Brief Description: A MIS User is disallowed some of its rights as a MIS User due to circumstances which give rise to a partial suspension event and these rights are reinstated when the circumstances are resolved.

Key Scenarios

• [SEC or DCC or Ofgem] has become aware that a MIS User may require partial suspension from MIS
• MIS User resolves suspension event and is reinstated

Actors

• SEC Panel, SECAS, [Ofgem]
• MIS User
• MIS

Preconditions:

• SEC Panel or DCC are aware of a circumstance which could give rise to a consequent partial suspension of access to MIS by a MIS User
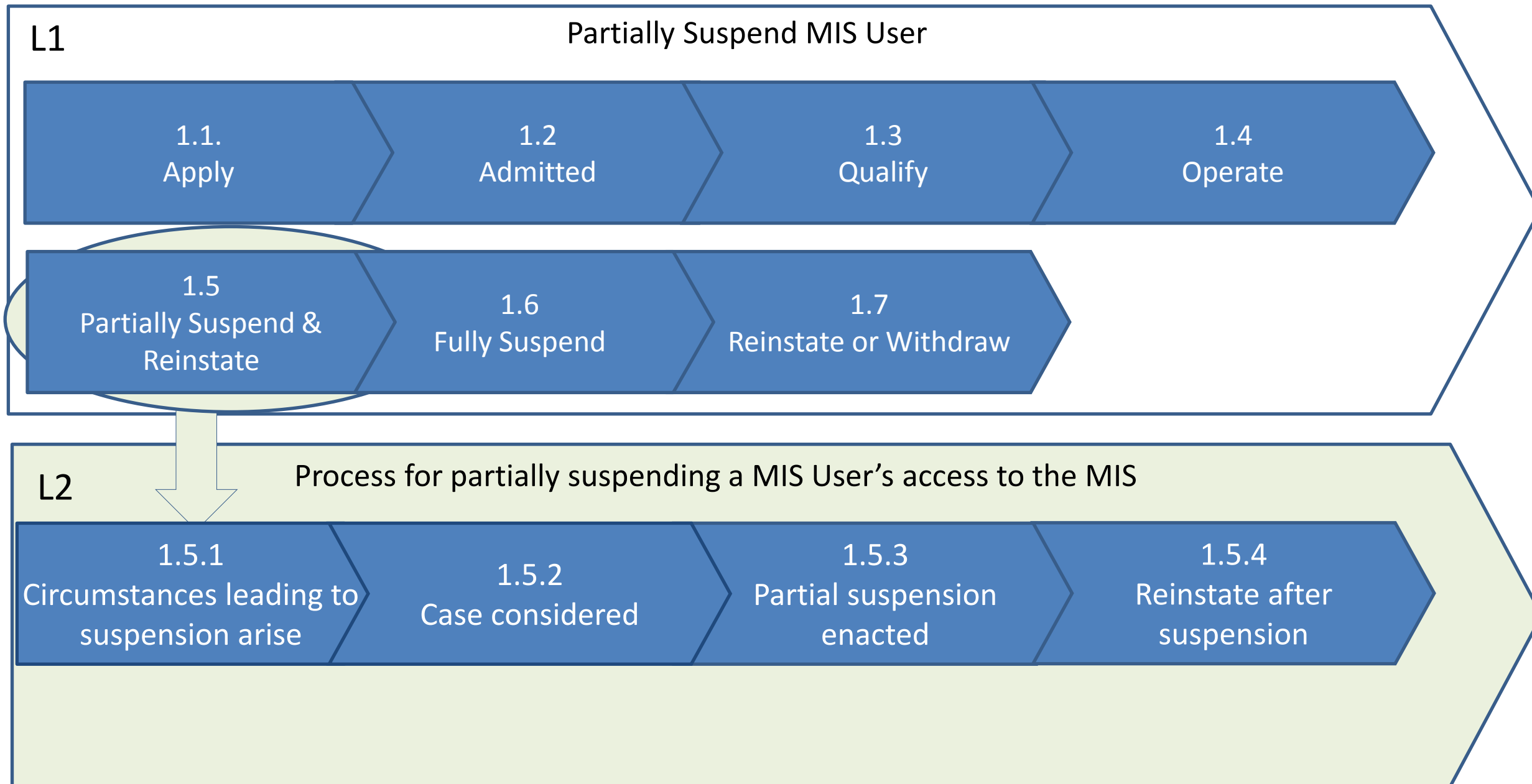
Post Conditions:

• Non-compliance is upheld and MIS User is suspended from access to some of its rights as a MIS User
• Non-compliance is resolved and suspended MIS User is ~~and~~ subsequently reinstated

Assumptions:

• Partial suspension may be related to MIS only or related to an associated CRS partial suspension
• MIS suspension cannot be solely related to a breach of the SEC as it may arise from a default of the admission agreement of the MIS User
• MIS suspension may arise from an issue identified in another Code eg a Network Operator-led suspension event permitted under a different Code - although this is not explicitly represented here on the basis that this is one of the inputs to SEC Panel [or Ofgem] becoming aware of a suspension event at the outset (1.5.1)
• This does not preclude a full suspension arising from a notice from another industry Code – although this is not assumed to be an automatic outcome for a MIS User
• This is a reversible step → Go to Reinstate
• Reinstatement is a 'reverse process' to partial suspension (e.g. permissions are parametrised and configurable as 'Off' and 'On'

Level 2 – MIS User Life Cycle – Partially Suspend

L1 — Partially Suspend MIS User

- 1.1. Apply
- 1.2 Admitted
- 1.3 Qualify
- 1.4 Operate
- 1.5 Partially Suspend & Reinstate
- 1.6 Fully Suspend
- 1.7 Reinstate or Withdraw

L2 — Process for partially suspending a MIS User's access to the MIS

- 1.5.1 Circumstances leading to suspension arise
- 1.5.2 Case considered
- 1.5.3 Partial suspension enacted
- 1.5.4 Reinstate after suspension

Title: 1.6 Fully Suspend MIS User

Brief Description:

• A MIS User is disallowed all its rights as a MIS User due to circumstances which give rise to a full suspension event

Key Scenarios

• [SEC or DCC or Ofgem] has become aware that a MIS User may require full suspension from MIS

Actors

• SEC Panel, SECAS, [Ofgem]

• MIS User

• MIS

Preconditions:

> • SEC Panel or DCC are aware of a circumstance which could give rise to a consequent full suspension of access to MIS by a MIS User.
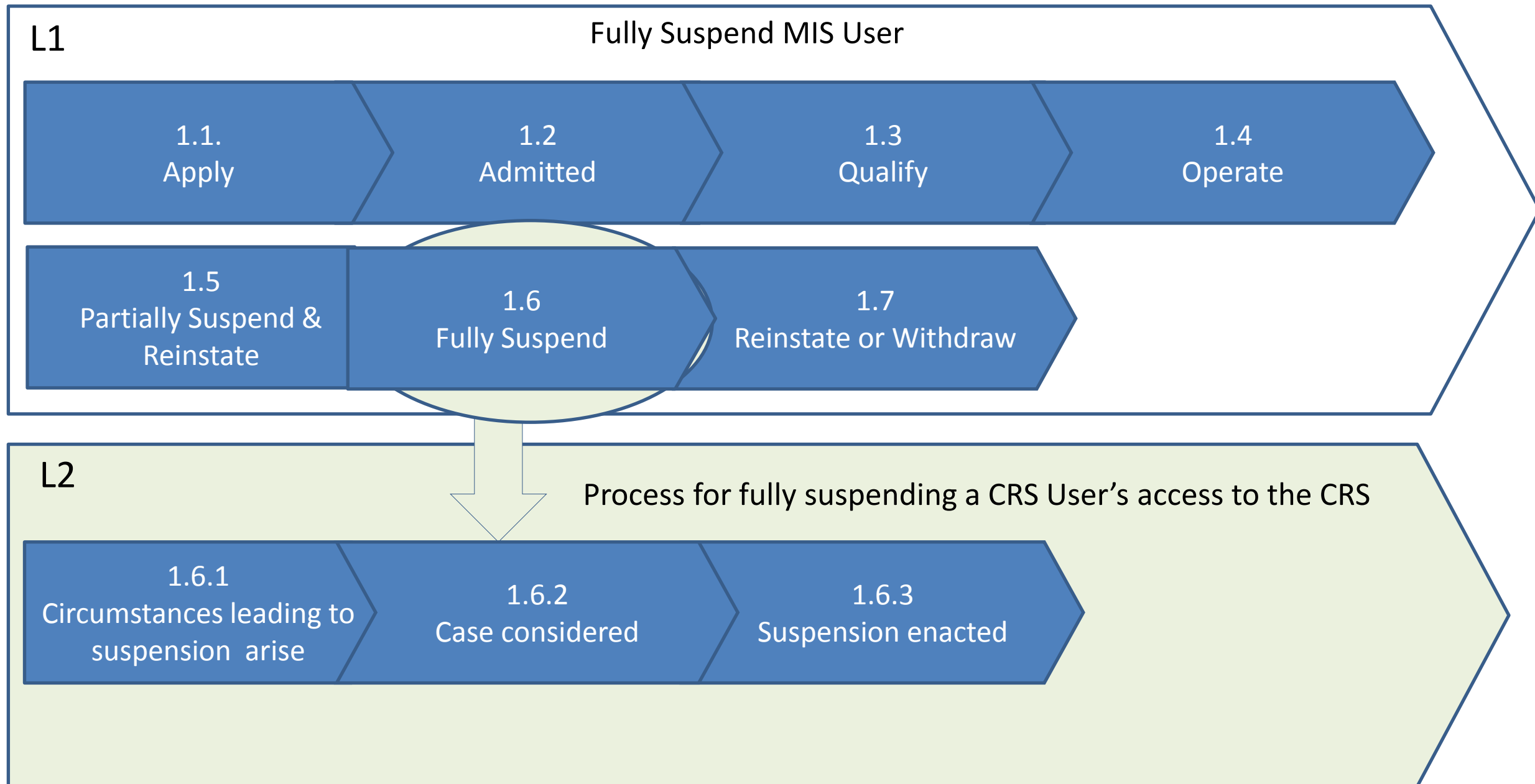
Post Conditions:

• MIS User is suspended from access to all of its rights as a MIS User

Assumptions:

• Full suspension may be related to MIS only or related to an associated CRS partial suspension

• Partial suspension can lead to full suspension, although it is acknowledged this will not always be the outcome

• This does not preclude a full suspension arising from a notice from another industry Code – - although this is not explicitly represented here on the basis that this is one of the inputs to the SEC Panel [or Ofgem] becoming aware of a suspension event at the outset (1.6.1) – and it is not assumed to be an automatic outcome for a MIS User

Level 2 – MIS User Life Cycle – Fully Suspend

L1 — Fully Suspend MIS User

- 1.1. Apply
- 1.2 Admitted
- 1.3 Qualify
- 1.4 Operate
- 1.5 Partially Suspend & Reinstate
- 1.6 Fully Suspend
- 1.7 Reinstate or Withdraw

L2 — Process for fully suspending a CRS User's access to the CRS

- 1.6.1 Circumstances leading to suspension arise
- 1.6.2 Case considered
- 1.6.3 Suspension enacted

Title: 1.7 Reinstate or Withdraw access to MIS

Brief Description: User access is reinstated or permanently withdrawn under prescribed circumstances

Key Scenarios

A MIS User account is to be either:

Reinstated without constraint as preceding full suspension event has been resolved

OR

Closed down e.g. due to prevailing circumstances that require permanent resolution, eg:

• a long-term partial suspension that has not been resolved
• the User is no longer allowed access due to disqualification
• User has undergone voluntary/involuntary market withdrawal

Actors:

• MIS User
• Approving Body [SEC]
• MIS

Preconditions:

• Reinstatement conditions exist and have been approved [by Panel], OR
• Disqualification conditions exist for a MIS User , either:
    • SECAS/DCC/SEC Panel/Ofgem identify long term suspension or MIS User disqualification
    • MIS User withdraws
    • MIS User ceases to trade (e.g. in administration)

Post Conditions

    • CRS User account terminated
    • CRS will no longer process any transactions from the disqualified CRS User

Assumptions:

• Reinstatement is a 'reverse process' to partial suspension (eg permissions are parametrised and configurable as 'Off' and 'On'
• Withdrawal is an irreversible step.
• Withdrawal process may be used for SoLR scenarios

Level 2 – MIS User Life Cycle - Withdrawn

L1 — Withdraw MIS User

| 1.1. Apply | 1.2 Admitted | 1.3 Qualify | 1.4 Operate |

| 1.5 Partially Suspend & Reinstate | 1.6 Fully Suspend | 1.7 Reinstate or Withdraw |

L2 — Process for withdrawing a CRS User's access to the CRS

| 1.7.1 Pre-conditions exist for reinstatement or withdrawal | 1.7.2 Reinstate/Disqualification approval process initiated | 1.7.3 MIS User access to MIS reinstated or permanently disabled | 1.7.4 Notices issued |