Change Proposal – F40/01 (Page 1 of 3)	S2I787 **CP No: 550** *(mandatory by BSCCo)*

Title *(mandatory by originator)*

BSCP38: Authorisations - Authentication Processes for Operational Changes

Description of Change *(mandatory by originator)*

There are a number of circumstances where participants will need to request rapid changes to the configuration parameters of the NETA Central Systems to enable them to recover from operational problems. These include:

a) **Requesting a change from the High Grade to the Low Grade network service, and back again, for instance to enable business to continue in the event of a router or link failure;**

b) **Requesting the resetting of sequence numbers for transferred files in the event of a file being lost;**

c) **Requesting a change between push and pull modes for FTP transfer:**

Currently, there is no formal authentication process associated with these requests in BSCP38: Authorisations.

This CP addresses NCR385 and will allow Workaround 017 to be withdrawn (both of which are attached).

Proposed Solution(s) *(mandatory by originator)*

Include authorisation process in BSCP38.

Justification for Change *(mandatory by originator)*

- Removes WA 017;
- Ensures that proper controls are in place covering operational changes.

Other Configurable Items Potentially Affected by Proposed Solution(s) *(optional by BSCCo)*

Communications Requirements Document (CRD)

Impact on Core Industry Documents *(optional by originator)*
None

Related Changes and/or Projects *(mandatory by BSCCo)*
Originator's Details:
BCA Name: *David Osborne……………………………………..*
Organisation: ELEXON
Email Address: …………………………………………..
Date: ……………………………………………………
Organisation: ……………………………………………………
Attachments: Y/N*   (If Yes, No. of Pages attached:……….) *(delete as appropriate)*

Workaround 017

Authentication Processes for Operational Changes

Author: Alan Bateman

Date: 6th March 2001

Status: Draft for discussion

Introduction

There are a number of circumstances where participants will need to request rapid changes to the configuration parameters of the NETA Central Systems to enable them to recover from operational problems. These include:

d) Requesting a change from the High Grade to the Low Grade network service, and back again, for instance to enable business to continue in the event of a router or link failure;

e) Requesting the resetting of sequence numbers for transferred files in the event of a file being lost;

f) Requesting a change between push and pull modes for FTP transfer:

The current documentation requires the participant to contact the NETA helpdesk and ask for the necessary changes to be made. There is no formal authentication process associated with these requests, which lays the service open to mischievous and malicious attacks, either by e-vandals or disgruntled (ex) employees, or even possibly from unscrupulous participants seeking to gain commercial advantage by interfering with a competitor's operations.

These changes will normally need to be made quickly as the participant's ability to trade is being affected, and therefore any process needs to be as fast and easy to operate as possible, subject to providing an acceptable level of security. This document describes a process, initially to be implemented as a workaround, to provide a suitable authentication mechanism. This needs to be in place quickly to allow testing activities as part of pre-production and to enable certain cut-over processes.

In the longer term, a formal change request will be raised. This will:

- Add processes similar to those discussed here to the Logica Operational Services Manual; and

- Update BSCP 38 to include a specific category of authorisation for operational changes.

Requirements

In order to allow these requests to be authenticated, the following elements need to be taken into account:

a.   The person raising the initial request for a change. Any process needs to allow for the fact that the problem may have arisen at any time, and that this person may be attempting to do remote support, on call-out at three o'clock in the morning;

b.   The helpdesk staff, who will receive the request, probably by telephone, but possibly by fax or e-mail. They need to have information available on contacts at the participant, together with a list of staff there authorised to sign-off such a change, and a process for contacting them out of hours if necessary;

c.   The form of authentication required, and the timescale in which it needs to be available;

d.   The authoriser at the participant (who is probably not the person identifying and reporting the problem) together with one or more nominated deputies; and

e.   The IMServ staff who will be implementing the change, and who may also be working remotely on call-out if the problem occurs out of hours.

Switching between High and Low Grade Services

The Procedure described here covers three scenarios for the fallback from High Grade communications to Low Grade communications:

a.   Switching for testing purposes during pre-production;

b.   Switching because of a technical problem during pre-production; and

c.   Switching because of a technical problem post go-live.

The procedure has been designed to ensure that the necessary information is provided to enable the configuration changes to be made, and that these changes can only be made if properly authorised by a participant.

In all cases the participant should complete NETA Operations Form 1 - Request to Switch between High Grade and Low Grade Comms, from this document.

- If the switch is being made for testing purposes, then at least three working days notice must be given. The participant must specify the date and time of the switch from High Grade to Low Grade, and the date and time of the switch from Low Grade to High Grade. Logica will validate the request, and then confirm whether or not they can accommodate that date. NETA Central Services will require one hour prior to the specified times to make the switch. During this time the participant should not attempt to communicate with the NETA Central Systems.

            A participant wishing to test High Grade to Low Grade switching should complete the form and fax it to:
     The Production Manager
     NETA Central Services
     Logica,
     Fax number 01372 227019.

- If the switch is being made due to technical problems during pre-production then the participant should raise the request through the Logica helpdesk using the procedure described in the PCIG. The switchover process will take a minimum of one hour. Requests made by telephone or e-mail during pre-production will be actioned, but participants are requested to complete and submit a suitably authorised form within one working day of the switchover.

- Once live operation has started then a suitably authorised form will need to be faxed to the Logica helpdesk before any switchover can be implemented. Initially this will require a Type A signatory, as defined in BSCP 38, and the Logica helpdesk staff will validate the signature before requesting the operations staff to make the changes.

Resetting Sequence Numbers

There are four scenarios where participants may wish to reset some, or all of their sequence numbers for files being transferred to and from the NETA Central Services:

a.   To test their processes for handling sequence number changes;

b.   To reset some, or all of the sequence numbers due to a technical problem in pre-production;

c.   To reset some, or all of the sequence numbers due to a technical problem in live operation; and

d.	To reset all of their sequence numbers as part of the cut-over from pre-production to live operation.

In all cases the participant should complete NETA Operations Form 2 - Request to Vary Sequence Numbers, *from this document.*

- If the change is being done for testing purposes , then at least one working days notice must be given. The participant must specify the date and time of the change. Logica will validate the request, and then confirm whether or not they can accommodate that date. NETA Central Services will make the necessary change at, or as soon as possible after, the agreed time.

  A participant wishing to test varying sequence numbers should complete the form and fax it to:
  The Production Manager
  NETA Central Services
  Logica,
  Fax number 01372 227019.

- If the switch is being made due to technical problems during pre-production then the participant should raise the request through the Logica helpdesk using the procedure described in the PCIG. Requests made by telephone or e-mail during pre-production will be actioned, but participants are requested to complete and submit a suitably authorised form within one working day of the switchover.

- Once live operation has started then a suitably authorised form will need to be faxed to the Logica helpdesk before any switchover can be implemented. Initially this will require a Type A signatory, as defined in BSCP 38, and the Logica helpdesk staff will validate the signature before requesting the operations staff to make the changes.

- *For the special case where a participant wishes to have all off their sequence numbers reset during the cut-over from pre-production to live operation then a suitably authorised form should be sent to the Logica helpdesk, with a copy sent to the pre-production team on fax no. 01372-227019. This should be done before the start of the cutover period.*

Changing Between Push and Pull File Transfer Modes

Participants may need to switch from having files pushed to them by the NETA Central systems to pulling those files for a number of reasons, including problems with their own systems and a move to a Disaster Recovery site.

In these cases the participant should complete NETA Operations Form 3 - Request to Vary FTP Mode, *from this document.*

A suitably authorised form will need to be faxed to the Logica helpdesk before any switchover can be implemented. Initially this will require a Type A signatory, as defined in BSCP 38, and the Logica helpdesk staff will validate the signature before requesting the operations staff to make the changes. NETA Central Services will require one hour prior to the specified times to make the switch. During this time the participant should not attempt to communicate with the NETA Central Systems.

Workaround 017

NETA Operational Form 1

Request to Switch between High Grade and Low Grade Communications

Participant Name	
Participant Contact Name	
Contact Telephone No.	
Contact e-mail address	
Today's Date	
Current Time	
Date Change Required	
Time Change Required	

Party or Party Agent Ids to be switched	
Description of Problem	
Required Date of switch to Low Grade **	
Time of switch to Low Grade ***	
Required Date of switch to High Grade **	
Time of switch to back to High Grade ***	

Authoriser's Name*	
Authoriser's Signature	

*   The authoriser must be an "A" type signatory as defined in BSCP 38.

**   During pre-production this must be a non Bank Holiday week day

***   During pre-production this must be between 09:00 to 17:00

           Communications with the Central NETA Systems will not be possible for one hour before the   stated   time

Workaround 017

NETA Operational Form 2 - Request to Vary Sequence Numbers

Participant Name		Today's Date	
Participant Contact Name		Current Time	
Contact Telephone No.		Date Change Required	
Contact e-mail address		Time Change Required	
Reason for change			

Participant id	Participant Role	Outbound from participant			Inbound to participant		
		Logica System	Logica Role	Seq. No.	Logica System	Logica Role	Seq. No.

Authoriser's Name*		Authoriser's Signature	

*   The authoriser must be an "A" type signatory as defined in BSCP 38

Workaround 017

NETA Operational Form 3
Request to Vary FTP Mode

Participant Name	
Participant Contact Name	
Contact Telephone No.	
Contact e-mail address	
Today's Date	
Current Time	
Date Change Required	
Time Change Required	

Party or Party Agent Ids to be switched	
Description of Problem	
Required Date of switch to Pull mode	
Time of switch to Pull mode	
Required Date of switch to Push Mode	
Time of switch to back to Push Mode	

Authoriser's Name*	
Authoriser's Signature	

*   The authoriser must be an "A" type signatory as defined in BSCP 38.

NETA Programme Change Request Form		
Change Request ID: NCR385		
Change Request Name: Addition of authentication process for operational changes	*Priority*	
	Critical for Go live	Desirable for Go Live	Not needed for Go Live
Identified By: Alan Bateman	**Date Submitted: 26ᵗʰ March 2001**	

Change Request ID: NCR385			
Change Request Name: Addition of authentication process for operational changes	***Priority***		
	Critical for Go live	Desirable for Go Live	Not needed for Go Live
Identified By: Alan Bateman	**Date Submitted: 26ᵗʰ March 2001**		

Description of Proposed Change:

The current operational procedures for the NETA systems allow operational changes, such as switching between high grade and low grade services, switching between FTP push and pull modes and resetting sequence numbers to be requested through a call to the Logica help desk without any authentication process. An interim procedure has been defined in Workaround 017, however an enduring process needs to be defined which is more suited to a 24 by 7 environment, for example an agreed ring-back number combined with a PIN number.

Logica are requested to develop such a process, together with the necessary new or changed documentation. The process should cover the changes above together with any others identified during the investigation.

Reason for Proposed Change (Benefits) and/or Implications of not making the Change:

The lack of an authentication process for these changes lays them open to various forms of abuse, including disgruntled employees, e-vandals or commercial competitors disrupting a participant's operations by maliciously requesting changes.

Initial Recommendation to Programme Exec:	Final Recommendation to Programme Exec:

Impact Assessment(s):	Deliverables Impacted:	Effort/Cost Impact:
CDA		
Business Process Model NETA Data File Catalogue (Clive Cushen)		
Overall Design (Keith Messenger)		
LRCA (Jackie Moran)		
Balancing & Settlement Code		
BSC Procedures		
Core Documents		
Other BSC Subsidiary Docs		
Consistency Check		
Transition Mgmt		
MIT		
Qualification Testing		
Pre-production		
Implementation		
Cutover		

Logica (Stewart Gardiner)		
URS		
System Specs		
IDDs		
Test Specs & Scripts		
System software		
Comms infrastructure		
EPFAL (Stewart Gardiner)		
URS		
System Specs		
IDDs		
Test Specs & Scripts		
System software		
NGC (Derek Walker)		
Interfaces		
System Build		
Comms infrastructure		
System Testing		
Implementation		
External Participants		
NIPS		
CEO (Sandy Blows)		
MRASCo (Nuriye Dillow)		
BtFO/ELEXON		