

# Retail Market Design Services Quality Manual

**Version 6.3  
FINAL**

Retail Market Design Services  
ESB Networks  
39 Merrion Square  
Dublin 2

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**Status :** Final & Approved

**Date :** October 2013

**Approved By :** Aileen O Connor

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## Revision History

Version	Status	Date of Issue	Reason for Change	Sections Changed
V0.1	Approved		First draft	
V0.2	Approved		Revised after implementation of QMS	
V0.22	Approved		Change to quality policy. Amendments	
V0.3	Draft	20.03.07	Issue to NSAI	
V0.4	Draft	26.11.07	General update of quality management system following internal audit.	3, 4.2.3, 4.2.4, 5.6.1
V 1.0	Approved	10.04.08		
V1.1	Draft	19.03.08	Update of Organisational Chart	3
V1.2	Draft	02.07.08	Update of SLAs Addition of new SLAs Update with new accommodation details	5.4.1 5.4.1 6.3.1
V2.0	Approved	31.07.08		
V2.1	Draft	22.04.09	Update of Organisational	3
			Update SLA	5.4.1
V3.0	Approved	22.04.09		
V3.1	Draft	14.05.09	Update to Organization Chart	3.0
			Update to Documentation Requirements	4.2.1
			Update to Change Control Process	4.2.3
			Update to Control of Documents	4.2.3
			Update to Control of Records	4.2.4
			Update to Quality Policy	5.3
			Update to Service Objectives	5.4.1
			Update to Internal Audit Process	8.2.2
V4.0-4.3	Draft	Nov 2010 – Feb 2011	Overhaul of QMS. Simplified and corrected content where inaccurate	All
V5.0	Approved	08.03.2011	Reviewed, final edits made	All
V5.1	Final	25.03.2011	Updated following review by Noel Clarke	All
V5.2	Final	03.05.2011	Updated to include a Version History on any updates from Baseline (1.0) Updated to include Findings from NSAI Audit in May 2011	4.1 8.2 5.6 5.4

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Version	Status	Date of Issue	Reason for Change	Sections Changed
				8.3
5.3	Draft	21.09.2012	Updated to include recommendations from NSAI Audit in May 2012	8.2.2
5.4	Draft	17.10.2012	Updated links to Organisation Chart	2.2
5.5	Final	09.11.2012	Updated	Format changes
5.6	Draft	15.02.2013	Updated to reflect Co-Ordinated Markets	2.1 2.4 2.5 3 4.2.3 4.2.4 5.3 5.4.1 6.4 7.2.3 8.2.4
5.7	Draft	18.02.2013	Updated RMDS Core Quality & Business Process document & RMDS activities with key inputs, outputs and inter connections	2.4 2.5
5.8	Draft	01.03.2013	Reviewed during Annual Quality Management Review 2013 and updated	2.4 & Format Changes
5.9	Draft	11.03.2013	Updated	
6.0	Approval	12.03.2013	Reviewed & approved by A OConnor	
6.1	Final	24.04.2013	Added in new RMDS Core Quality & Business Process diagram and History of Change document Updated text when SLA is not met	2.4 & 5.4.1
6.2	Final	10.07.2013	Link to Framework Document Index updated	4.2.3
6.3	Final	02.10.2013	Updated links to New Organisation Chart	

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# 1 About this document

## 1.1 Index and Revision Status

The numbering of the sections of this Quality Manual directly corresponds to the numbering of ISO 9001.

Updates to content within the document will be made by re-issuing the Quality Manual and changing the version number in the index. Updates to related documents, processes, etc. may occur independently of updates to the main QMS document. To ensure that the latest documents can be found we have tried to use links to folders wherever possible.

## 1.2 Purpose & Scope

This manual describes the Retail Market Design Service (RMDS) Quality Management System (QMS). The manual sets out our quality policy and objectives as well as how we use our management system to achieve them, carry out our business plan and to make continual improvements to the quality of the service we provide.

The primary function of the RMDS is the administration of the design of the Irish Retail Electricity Market and it is for this function that the organisation is certified.

The Quality Manager maintains the Quality Manual and receives all suggestions for improvement or other changes.

## 1.3 Exclusions

Under ISO 9001, certain requirements within the Product Realisation clause (clause 7) may be excluded from scope where it in no way affects the quality of service or products our customers receive.

The Quality Manager identifies and agrees any such exclusions with the Manager of RMDS and documents them in this clause of the Quality Manual.

The following element is excluded from the scope of the RMDS Management System:

**Table 1. Exclusions from the scope of the Management System**

No.	ISO 9001 : 2000 Exclusion	Reason for exclusion
1	7.3 Design and Development Processes Customer Related Processes:	RMDS is not in the business of developing new products and services. Its products and services are relatively stable and well-defined.  As and when new products or services are required they are implemented on a case-by-case basis following consultation with all stakeholders.
2	7.5.2 Validation	All of our processes can be validated
3	7.6 Control of Measuring and Monitoring Devices	Our products relate to information. No instruments, equipment or devices are used to verify our products.

## 2 RMDS Background

### 2.1 RMDS History

In June 2005, following a public consultation, the Commission for Energy Regulation published its decision ([CER/05/081](#)) requiring ESB Networks to establish a team to carry out the role of Design Administrator for the retail electricity market. This team is known as the Retail Market Design Service (RMDS). It is a ring-fenced function within ESB Networks and is responsible for all aspects of the Retail Market design.

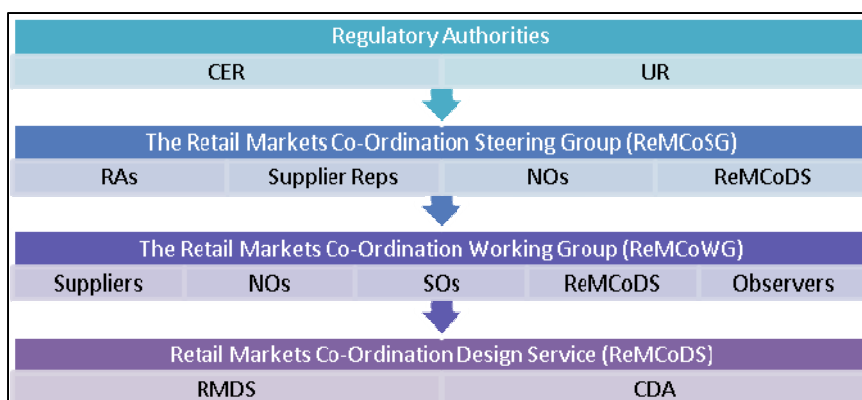
In 2009, as a result of NIE's Enduring Solution project, there was an opportunity to harmonise the Market Messages and associated Data Definitions used in the NI and ROI electricity Retail Markets. This body of work was completed in January 2010 and there is now a suite of baseline Market documents covering shared common components and jurisdiction-specific Market Message Guides and impact documents. Retail Markets Co-Ordination Design Service (ReMCoDS) is a joint activity between ESB and NIE and is run by a small team drawn from the RMDS and Central Design Authority (CDA) functions. Its primary function is the administration of the common Change Control Process and publication of the resulting products. In addition, it provides secretariat services to the Retail Markets Co-Ordination Working Group (ReMCoWG) and Retail Markets Co-Ordination Steering Group (ReMCoSG).

### 2.2 Organisation

The RMDS organisation chart is available on the RMDS Shared drive and publicly on the RMDS Website. It lists the current staff, their roles and their contact details. The RMDS organisation chart is updated whenever someone joins or leaves the team by way of change to Org Chart Folder and a request to the Web Publishing team [ipublish@esb.ie](mailto:ipublish@esb.ie)

The Organisation Chart is available via the following links [RMDS Organisation Chart](#)

Below is the enduring structure for overseeing the regulation of the co-ordinated retail electricity markets.



## **2.3 RMDS Activities**

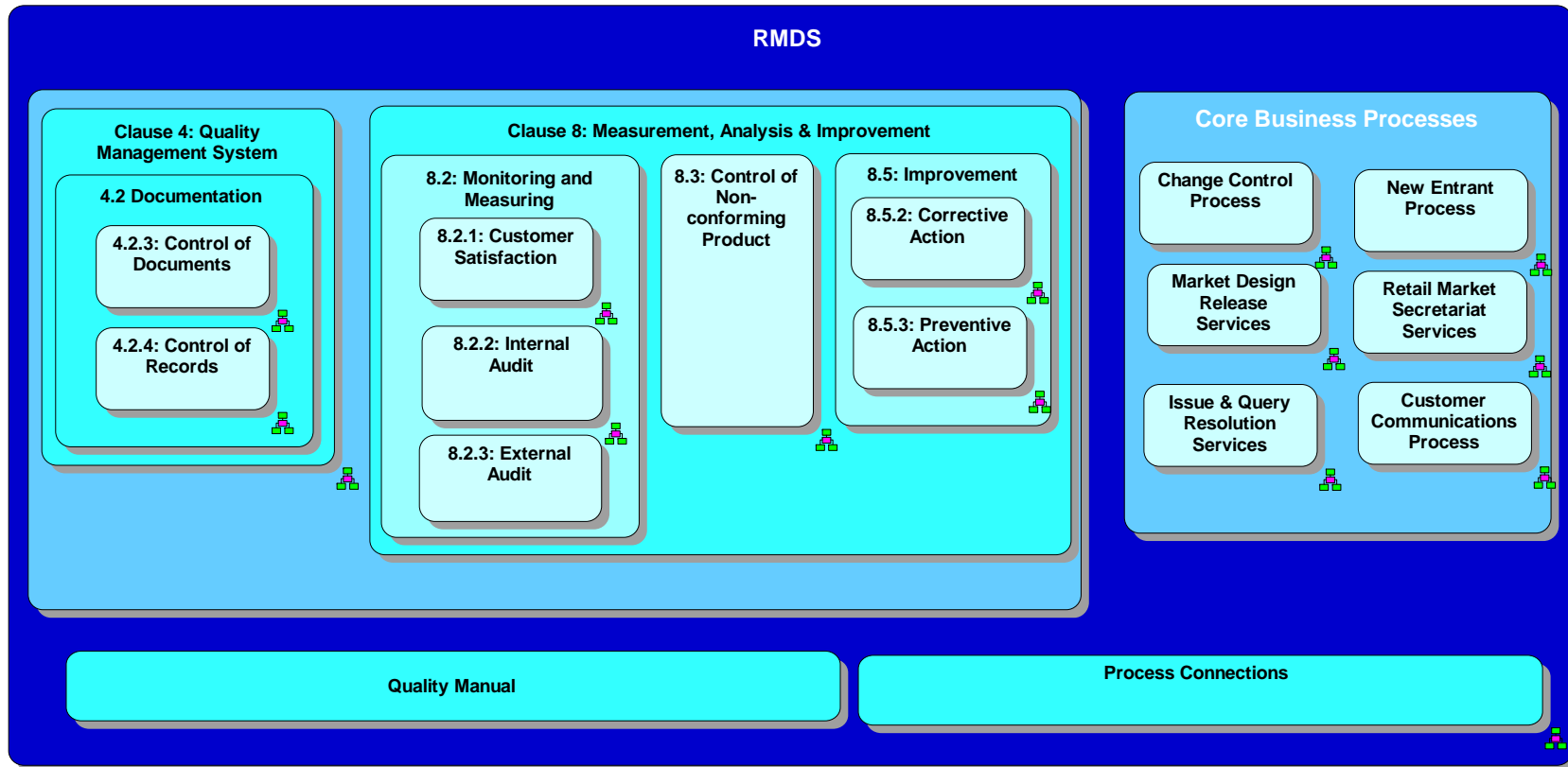
This quality manual covers all activities carried out by the Retail Market Design Service. The role of the Design Administrator involves the cost effective support for and delivery of quality systems that will help achieve the Commission's objectives of encouraging competition in supply markets and quality of service to all customers.

The core business activities of this team include:


1. Retail Market Secretariat Services
2. Customer Communications Services
3. New Entrant Services
4. Change Control Services
5. Market Design Release Services
6. Issue & Query Resolution Services

This manual identifies the processes and procedures used on a day to day basis to support provision of these services to a standard agreed with the customers of the services.

## 2.4 RMDS Core Quality & Business Processes



QMS History of Changes document

  
QMS History of Changes V0.1.xls

Last change: 24-Apr-2013 11:32:22

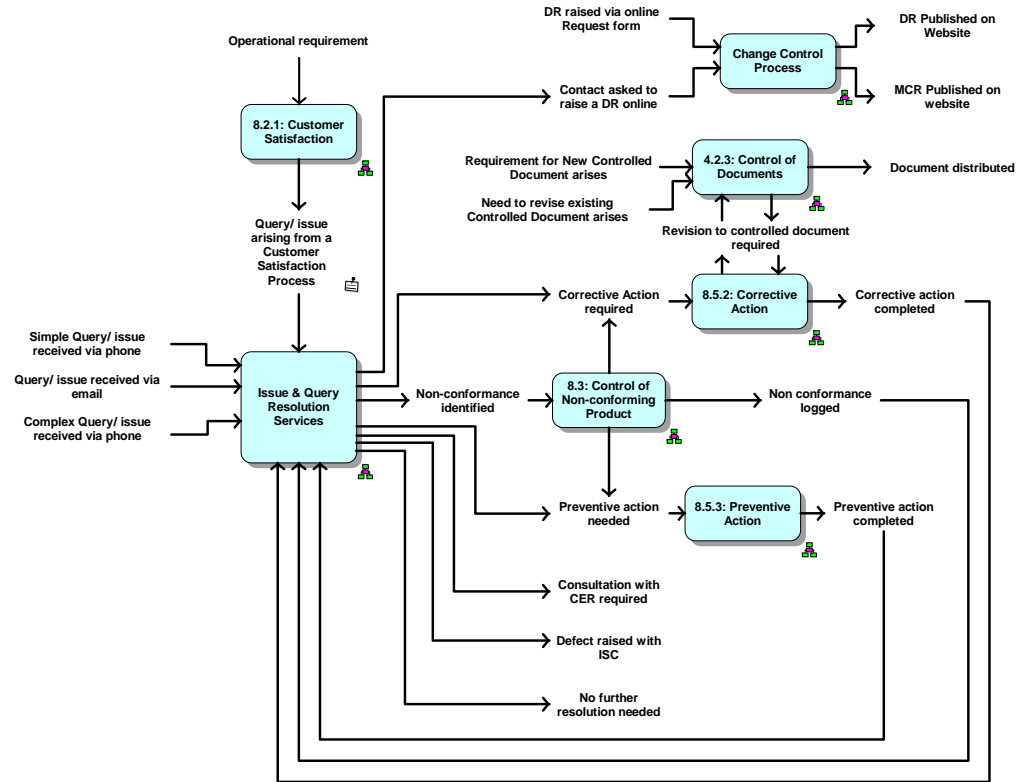
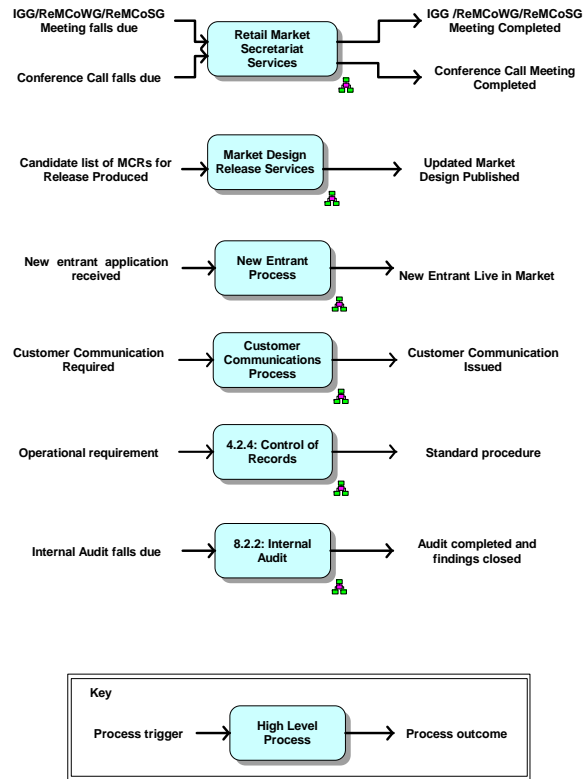
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## 2.5 RMDS Activities with Key Inputs, Outputs and Inter connections

Last change: 18-Feb-2013 15:00:03



# Section 3

## Terms and Definitions

### 3 Terms and Definitions

Terms used within this manual that may not be familiar to the lay person are listed and explained here.

**Table 2. Terminology**

No.	Term	Explanation
1.	ARIS	Refers to process modelling software used within RMDS to publish the Retail Market design. RMDS also uses ARIS to document the RMDS Quality Management System.
2.	SharePoint	A software application used by RMDS in day-to-day managements of the QMS and other aspects of its work. A homepage is configured in the software providing team access to tracking of action points, corrective and preventive actions and to controlled documents. The version currently used is SharePoint Portal Server 2007.
3.	CER	Commission for Energy Regulation
4.	CIO	Chief Information Officer
5.	DR	Discussion Request
6.	IGG	Industry Governance Group
7.	ISO	International Organization for Standardization
8.	MCR	Market Change Request
9.	NSAI	National Standards Authority of Ireland
10.	PDP	Personal Development Plan
11.	QMS	Quality Management System
12.	RMDS	Retail Market Design Services
13.	SLA	Service Level Agreement
14.	ReMCoDS	Retail Markets Co-Ordination Design Service
15.	CDA	Central Design Authority
16.	ReMCoWG	Retail Markets Co-Ordination Working Group
17.	ReMCoSG	Retail Markets Co-Ordination Steering Group

For additional terms not defined above please see the **RMDS Glossary**:

<http://www.rmdservice.com/guidance/glossary.htm>

# Section 4

## Quality Management System

## 4 Quality Management System

### 4.1 General Requirements

RMDS has established, documented and implemented a Quality Management System (QMS) in accordance with the requirements of ISO 9001. The system is maintained and continually improved by:

- monitoring performance against service objectives
- via internal and external audits; and by
- the resulting corrective and preventive actions tracked via the management review.

The processes required for the Quality Management System have been identified and documented. This manual introduces and references them. The processes contain the acceptance criteria our products and services must reach to meet our team's and our customers' expectations.

We have a number of sections of this document that are aligned with ISO 9001, as follows.

- Section 5: Management Responsibility
- Section 6: Resource Management
- Section 7: Product Realisation <sup>1</sup>
- Section 8: Measurement Analysis And Improvement

We have also defined a set of core RMDS-specific business processes as listed in 2.3 RMDS Activities.

All these processes are documented using the ARIS process modelling tool.

As of March 2013, all ARIS process maps are Baselined and thus at Version 1.2.2 Any amendments from this will lead to a new version of the RMDS QMS 1.2 database in Aris. Currently, in Version 1.2, the last date changed is displayed on each process map. Updated versions will display, on each updated process map, the Version History which will indicate what changes have been made to the process and the process map. A report from Aris will provide information on which processes have been amended.

None of these processes is outsourced. Some elements of the New Entrant Services and Retail Market Secretarial Services are outsourced to external service companies and these elements are subject to appropriate levels of control by RMDS.

RMDS Management has put in place the necessary resources to support the operation and improvement of our processes. We document any non-conformances and implement actions to address them.

### 4.2 Documentation Requirements

#### 4.2.1 General

The QMS documentation includes:

- A documented Quality Policy and Service Objectives, in the shape of this Quality Manual
- Documented Procedures in the ARIS modelling tool
- Records that evidence the fulfilment of our processes

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<sup>1</sup> Excludes some items described in ISO 9000:2001. Please see section 1.3- *Exclusions* for more details

Supporting the above are a number of documents, logs, etc. For more information please see the [QMS Records log](#).

Documented Procedures in the ARIS modelling tool can be viewed outside of the ARIS application on :

[\\headfop064v\mdindco\\_ord\\$\RMDS Quality Management System\Detailed Process Documentation\QMS published from ARIS 1.2\index.htm](#) or from Sharepoint

## **4.2.2 Quality Manual**

This Quality Manual has been prepared to describe the RMDS QMS. The scope and permissible exclusions of the QMS are described in section 1 of this manual. The documented procedures and interactions between them are introduced and referenced.

## **4.2.3 Control of Documents**

Changes to all Controlled Documents are governed according to the Document Control Procedure. Documents covered by the Document Control procedure are primarily those that require approval by the Industry Governance Group (IGG), the ReMCoWG and ReMCoSG. These documents include Market Change Requests, minutes of IGG, ReMCoWG and ReMCoSG Meetings. The Document Control Procedure describes how documents are approved and updated and their revision status controlled and documented. The procedure also describes how documents are centrally stored and the current version correctly retrieved. The procedure is documented in the ARIS QMS process database.

Documents are manually version controlled via the shared file server, according to the following conventions:

- Minor/internal versions will be numbered for example, 0.1, 1.1, 3.2, etc.
- Upon issue, the version number will be increased to the next full integer value (e.g. a document at version 0.3 will be moved to 1.0).
- Generally the version number will be included in the filename, so as to create a distinct document each time a version is created.
- The exceptions to the last convention are certain documents published within the Market Design. These documents are published without a version number in the document title. This is to remove the need to update web publishing links when a document is re-issued. Version control of such documents is tracked within the documents themselves and also via the [Market Documentation Framework](#).

## **4.2.4 Control of Records**

Records are maintained to provide evidence of conformity to requirements and of the effective operation of the QMS. The records are maintained according to the Control of Records Procedure in ARIS. Supporting the Control of Records Procedure is a number of documents and, SharePoint logs used to track and resolve items, such as:

- Non Conformance Log
- Corrective Actions Log
- Preventive Actions Log
- IGG/ReMCoWG Minutes and Materials
- New Joiner Manual

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- NSAI and Internal Audit Reports
- Training Plans and Records (only for major external training events)
- Team Meeting Minutes and Materials
- Personal Development Plan (PDP) Records
- Roles and Responsibilities
- Audit Log
- Annual Management QMS Review
- Skills Competency Matrix

For more information please see the [QMS Records log](#).

Documents can be filed, identified and retrieved using the agreed folder structure. Alternatively they can be located using the search features of the desktop operating system. Records are held indefinitely.

### **Security Backup and Archiving**

The RMDS Group is supported by fully serviced data centres managed by ITS, the in-house IT provider for ESB Networks. There is full support for all the backend services relating to Operating System Support and Maintenance, Database Administration, Capacity Planning and Performance Monitoring, account administration, security management, printer support, mail support and Internet Service provider management.

### **Web Site Publishing**

Market facing Change Management documents, together with ARIS models of the Market Design, are all published online on the RMDS website (<http://www.rmdservice.com/>). The website is hosted on servers managed by ITS, and these are subject to the same standards as those employed for the internal network.

### **Audio Recordings**

In its role as secretariat to the Industry Governance Group of the RoI retail market and to the ReMCoWG for the Co-Ordinated Retail Markets, the RMDS team routinely makes sound recordings of face-to-face-meetings and telephone conference calls. These recordings are used solely for the purpose of producing accurate and detailed meeting minutes.

The use of recording equipment is disclosed and endorsed by the meeting participants. The recordings are used only during the production of meeting minutes, and are not shared with any party outside of the RMDS team (including the meeting participants themselves). These recordings are considered to be transitory, and as such are deleted from the recording device as soon as the minutes are completed and authorised.

RMDS use an external service company to make audio recordings to help produce the minutes from the IGG and ReMCoWG meetings. A recording of the proceedings is held in a secure login environment on the vendor website (accessible only to RMDS). These recordings are considered to be transitory, and as such all but the most recent six meetings are deleted from the vendor Ubiquis website

# Section 5

## Management Responsibility



## 5 Management Responsibility

### 5.1 Management Commitment

The Manager of the Retail Market Design Service and ESB Networks senior management are committed to the implementation and on-going operation and improvement of the Management System. The services, policies and objectives of RMDS as well as the resources required to achieve them are set out in the RMDS Business Plan. This plan is agreed each year by ESB Networks Senior Management and submitted to the Commission for Energy Regulation who approves it. Pursuant to the plan:

- The Quality Policy & Objectives has been established, briefed to and understood by all team members
- Appropriately trained resources are available to support the implementation and operation of the Management system
- RMDS is adequately resourced to meet its targets

Reviews are conducted annually and after each internal/external audit to verify the effectiveness of the Quality Management System, track the achievement of objectives, identify corrective and preventive actions and ensure resources remain adequate.

Details of the reviews are kept in the following folder:

[file:///z:/RMDS Quality Management System/Management Review Meetings](file:///z:/RMDS%20Quality%20Management%20System/Management%20Review%20Meetings)

### 5.2 Customer Focus

An annual customer and stakeholder survey is included in the RMDS business plan. Records of Customer Satisfaction surveys and related material can be found in the following Quality Management folder on the shared drive:

[file:///Z:/RMDS Quality Management System/Customer Satisfaction](file:///Z:/RMDS%20Quality%20Management%20System/Customer%20Satisfaction)

### 5.3 RMDS Quality Policy

The RMDS Quality Policy can be summarised as follows:

The Retail Market Design Service provides an impartial, friendly and expert service and support to all market participants, active or prospective, in the co-ordinated electricity retail markets design and its operation. We are committed to carry out our role to the highest standards of quality and professionalism.

*We will play our part in 'making the market work'.*

*Our Customers*

1. Our customers are:

- CER
- NIAUR
- Electricity Suppliers
- EirGrid
- Generators
- ESB Networks
- New Entrants

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2. We consult extensively with our customers to develop a business plan that meets their needs.
3. We deliver a timely accurate and friendly service.
4. We actively seek customer feedback to review and continually improve our service.

#### *Our Processes*

1. We comply fully with all regulatory and legal requirements.
2. We set measurable targets for the quality of our service and the effectiveness of our processes.
3. We actively pursue a policy of continual improvement through ongoing management review.

#### *Our People*

1. We ensure that our people are competent and empowered to carry out their roles through recruitment, training, performance management and professional development.
2. We combine our ideas and skills to improve the quality of our service.

#### *Our Mandate*

1. We operate within the budget presented to the Industry Governance Group and approved by the Commission.
2. We work to the annual business plan presented to the Industry Governance Group and approved by the Commission.
3. We regularly report to the Commission on progress.

## **5.4 Planning**

### **5.4.1 Service Objectives**

The RMDS and ReMCoDS Service Objectives are set out below.

#### *Relevance to Our Customers and Services*

These objectives are based on feedback from our customers and are aligned with our Quality Policy.

#### *Senior Management Commitment*

The RMDS Service Objectives have been agreed with ESN Senior Management, our customers and the Commission.

#### *Measurability of our Service Objectives*

Progress against objectives is measured and reviewed at team meetings, in the Quarterly Report on SLAs and at the annual Management Review.

Area	Activity	Measure	Objective
Customer	Surveys	No. per year	1
Process	IGG Meetings	M1 IGG Change Control Documents (days before meeting)	5
		M2 IGG Agendas (days before meeting)	5
		M3 IGG Working Documents (days before meeting)	2
		M4 Draft Presentations (days before meeting)	2
		M5 Open/Carried Forward Action Items list (days before meeting)	1
		M6 Circulation of Final IGG Presentations (days after meeting)	2
		M7 New Action Items List (days after meeting)	2
		M8 Circulation of IGG Minutes (days after meeting)	10
	Conference Call	C1 Agenda (days before meeting)	5
		C2 Circulation of Conference Call Minutes (days after meeting)	5
	Retail Market Co-Ordination Working Group (ReMCoWG)	Circulation of HWG Minutes (days after meeting)	5
		Agenda to be issued (Working Days before meeting)	5
		Change/Working Documents circulated (Working Days before meeting)	4
	Retail Market Co-Ordination Steering Group (ReMCoSG)	Look for Agenda Items (working days before meeting)	10
Agenda to be issued (Working Days before meeting)		5	
Minutes to be issued (Working Days after meeting)		5	
Working Documents circulated (Working Days before meeting)		5	
Financial	Financial Plan	Expenditure within overall budget	100%

If an SLA is not met and where the non achievement is within RMDS control, it is recorded in the Non-Conformance log and investigated to address the root cause(s).

### **5.4.2 Quality Management System Planning**

The Quality Management System has been planned and implemented to meet our service objectives and the requirements of the ISO 9001 standard.

Performance against service objectives, audit results and non-conformances are discussed during Management Review at team meetings and dedicated meetings to assess the effectiveness of the Quality Management System. Any required changes are agreed.

Changes to the RMDS Quality Management System are subsequently audited and the performance and audit results are reviewed at the annual Management Review to ensure that the Quality Management System continues to be effective.

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## ***5.5 Responsibility, Authority and Communication***

### ***5.5.1 Responsibility and Authority***

A link to the organisational chart for RMDS is included in section 2.2 of this Quality Manual.

The responsibilities and limits of authority of each team member have been discussed, agreed and confirmed to all team members and our customers. These are detailed in the RMDS Roles and Responsibilities records held on the RMDS file share.

Each permanent ESB Staff member meets the Manager / Team Leader once a year to agree a Personal Development Plan (PDP), taking into account the needs of the service and the development needs of the team member as a professional. PDPs are reviewed on a quarterly basis. PDP records are not held on the RMDS File Share because of the sensitive nature of the information contained in them.

All team members are responsible for following the policies outlined in this manual, as well as the detailed procedures outlined in ARIS diagrams. If the detailed procedures are unclear, or are no longer appropriate then the team member who identified the issue informs the Quality Manager, who will take the appropriate corrective action. If an activity is performed that does not agree with the documented procedures then this is treated as a non-conformance and handled appropriately.

## **5.5.2 Quality Management Representative**

The Quality Manger has been appointed by the Manager of RMDS as management representative. As such they have the following responsibility and authority:

- Ensure that processes needed for the management system are established and implemented
- Report to the Manager RMDS and Team Leader on the performance of the management system, and note needed improvements
- Promote awareness of customer requirements throughout the organization
- Act as a liaison with external parties such as customers or auditors on matters relating to the QMS

## **5.5.3 Internal Communication**

Our methods of communicating the effectiveness of the QMS include Team Meetings, circulation of minutes of Management Review, Internal Audit meetings, and other routine business communication.

This communication can be looked at as communications downward and upward.

Downward Communications:

1. Every RMDS team member receives a New Joiner guide, which contains all up-to-date personnel policies.
2. The Team Leader briefs each team member on their job description and responsibilities within the team, as well as the [RMDS organisation chart](#).
3. Full staff meetings are held fortnightly to report on whether the objectives are being met, major accomplishments, concerns, announcements about staff, etc.
4. Management Review meetings are held annually to identify improvements and effectiveness of the management system and its processes.
5. Meetings are held to celebrate major accomplishments.
6. All permanent employees receive a yearly performance review, including their goals for the year, updated job descriptions, accomplishments, needs for improvement (including any new training needs that arise) and plans to help the employee accomplish the improvements.

Upward Communications:

1. All employees give regular status reports to their supervisors. This includes a section for what they did last week, plan for the next week and any actions/issues to address.
2. The Team Leader meets regularly with team members to discuss progress, understand current concerns from the employee, etc.
3. Management and staff meetings are used to solicit feedback. A round table approach is used to ensure each person is heard.
4. Feedback from others is considered.

## **5.6 Management review**

### **5.6.1 General**

Fortnightly team meetings/briefings are scheduled throughout the year. The Quality Management System is a fixed topic on the agenda of these meetings. Records are maintained for each management review meeting.

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### **Quality Management System Review Cycle**

Annual reviews and updates to the management system are planned each year. Each section of the Quality Management processes and documentation is reviewed on at least an annual basis, and more frequently for those parts of the Quality Management System that are undergoing change. Items raised at this Management Review are logged in and tracked to closure.

#### **5.6.2 Review input**

Assessment of the QMS is based on a review of information inputs to management review. Over the course of the year, reviews include:

- Performance against quality objectives
- Process performance and product conformity
- Customer and CER feedback
- Complaints
- Preventive and corrective actions, especially with a view to understanding the effectiveness of these actions in preventing / resolving the root causes of non-conformances
- Results of internal audits
- Audit Programme
- Changes that affect the QMS
- Recommendations for improvement
- External assessments
- Identification of any resources required to support the Management System
- Review of the last external audit of the Management System and any findings resulting from this
- Follow-up actions from previous Management Reviews

#### **5.6.3 Review output**

Opportunities for improvement of our processes and our services are reviewed. These improvements include:

- Improvements of the effectiveness of the quality management system and its processes
- Improvement of product related to customer requirements and
- Resource needs.

# Section 6

## Resource Management

## **6 Resource Management**

### **6.1 Provision of Resources**

At regular review meetings the Manager RMDS and Team Leader of the RMDS team determine and review the resources required to meet the work plan and to meet customer expectations. They agree actions to address any deficit and follow-up at the subsequent meetings.

### **6.2 Human Resources**

#### **6.2.1 General**

The RMDS Manager and Team Leader ensure that people joining the team have the required competency and experience before they join the Team. The Team Leader discusses the most appropriate subsequent on-the-job training with the team member upon commencement and organises this promptly.

#### **6.2.2 Competence, Awareness and Training**

The RMDS Manager reviews the training and development needs of each permanent team member annually and agrees a personal development plan (PDP) with them. This is reviewed with each permanent individual during the year and a record kept of training received. The budget for the RMDS team includes provision for the employment or training of qualified personnel. Urgent requirements for training which cannot wait until the next PDP session will be addressed by the Team Leader as required.

Where formalised training is provided the quality and effectiveness of this training will be reviewed with the Team Leader to ensure that the requirement has been met and to determine the appropriateness of similar training for other employees.

All team members will be made aware of the importance of their work in relation to product quality and to the achievement of customer satisfaction. Team members are informed about the relationship between meeting the team Service Objectives and the delivery of products to the customer.

#### **6.2.3 Recruitment Support**

The RMDS Manager draws upon the recruitment experience and resources by contacting the BRM for Networks who is in the IT Service Support area of the CIO Organisation of ESB. The HR department of ESB also assists with advice on recruitment, training, and development.



## **6.3 Infrastructure**

### **6.3.1 Overview**

The RMDS team infrastructure is provided by a number of shared services within ESB.

IT and telecommunications infrastructure and user support is provided by the IT Solution Service Centre based in 27 Fitzwilliam St, Dublin 2. See [http://esbnet/it\\_solutions/Serv\\_Cent/Default.htm](http://esbnet/it_solutions/Serv_Cent/Default.htm) for details.

All other infrastructure requirements including:

- Property and utilities
- Travel and transport
- Payroll services

are covered by ESB's Shared Services – see <http://esbnet/sharedservices/> for details.

The provision of IT Infrastructure is managed on behalf of RMDS by the ESB Networks IT Manager. The infrastructure and facilities required by RMDS are set out and agreed as part of annual business planning. The IT Manager ensures that the necessary level of service – including business continuity - is provided in IT infrastructure and services.

The office requirements are agreed between the Manager RMDS and the ESB Networks Shared Services Financial Manager each year as part of the annual business planning process.

### **6.3.2 Office Accommodation**

Because the RMDS team is a separate ring-fenced function to the rest of ESB, a separate office is required.

## **6.4 Work Environment**

The RMDS Manager is responsible for ensuring that the necessary environment – including infrastructure - is provided for the Team. RMDS complies with ESB corporate policies on health and safety at work. The Manager RMDS and the Team Lead are committed to ensuring that all team members are treated with respect in the course of their working life within the team and that the working environment is a positive one. In this respect, RMDS complies with the company-wide HR policies (linked below) on respect and dignity for the employee and equal opportunities and diversity.

- [\\esbnet\publish\\$\PPP\policies\human\\_resources\policy\\_respect\\_dignity\\_individual\\_esb.pdf](\\esbnet\publish$\PPP\policies\human_resources\policy_respect_dignity_individual_esb.pdf)
- [\\esbnet\publish\\$\PPP\policies\human\\_resources\equal\\_opportunities\\_diversity\\_code\\_practice.pdf](\\esbnet\publish$\PPP\policies\human_resources\equal_opportunities_diversity_code_practice.pdf)

The ESB Networks Systems & Sustainability Health and Safety Policy Manual:  
<S:\Safety\SMS 1 Systems and Sustainability Version 1.1.doc>

# Section 7

## Product Realisation

## **7 Product Realisation**

### **7.1 Planning of Product Realisation**

Product realisation comprises all the products and services that the RMDS group are required to deliver in order to meet our customers' needs. The core business services delivered by RMDS are listed in 2.3 - RMDS Activities.

Objectives for the year in these areas are covered in the annual RMDS business plan: <z:\Administration\Business Plans>

The Manager RMDS is responsible for ensuring that a budget and work-plan is prepared for each year and presented to the Commission for Energy Regulation. This defines the resources necessary to provide the agreed services.

Please note: the following sections of ISO 9001 are not within the scope of the RMDS QMS, as noted in section 1.3 - Exclusions.

#### **7.3 Design and Development Processes**

- 7.3.1 Design and Development Planning
- 7.3.2 Design and Development inputs
- 7.3.3 Design and Development outputs
- 7.3.4 Design and Development Review
- 7.3.5 Design and Development verification
- 7.3.6 Design and Development validation
- 7.3.7 Control of Design & Development Changes

### **7.2 Customer Related Processes**

#### **7.2.1 Determination of Requirements related to the Products**

As a support organisation RMDS exists to serve the needs of the CER and the market participants. It is not in the business of developing new products and services in the way that many organisations do. Its products and services are relatively stable and well-defined. Where changes to existing products and services arise, these are planned, managed and controlled using the policies and procedures detailed throughout the RMDS QMS. Ongoing improvements and changes in the underlying quality processes in use by RMDS are covered in section Improvement.

#### **7.2.2 Review of Requirements related to the Product**

See section 7.2.1.

## **7.2.3 Customer Communication**

### 7.2.3.1 Overview

Communication with our customers is by a number of routes. Regular updates are provided to all Stakeholders through the following means:

- IGG/ReMCoWG Meetings
- RMDS/ReMCoDS Mail Inbox
- RMDS Website
- Phone calls

The content of the communication is recorded through meeting minutes, emails, change control documents (DRs, MCRs) and customer complaints or corrective actions.

### 7.2.3.2 Inbox

The RMDS inbox ([RMDS@esb.ie](mailto:RMDS@esb.ie)) and the ReMCoDS Inbox ([ReMCoDS@esb.ie](mailto:ReMCoDS@esb.ie)) are the main communication conduits between the team and the market. The mailbox is monitored during business hours.

The procedure for handling emails in the RMDS Inbox is documented here:

<Z:\RMDS Quality Management System\Detailed Process Documentation\Email Handling Procedure>

### 7.2.3.3 Website / Calendar

The RMDS Website (<http://www.rmdservice.com>) is the main information resource RMDS and ReMCoDS provides for market participants. The website contains a large amount of useful information including the approved Market Design. Documents related to industry meetings are kept in the RMDS Calendar, which can be found on the RMDS website. The procedure for updating the Website and related Calendar can be found here:

<Z:\RMDS Quality Management System\Detailed Process Documentation\Updating the Website>

### 7.2.3.4 Phone handling

Communication between RMDS and external parties also takes place directly by phone. For this purpose, RMDS advertises the phone numbers of team members as well as a generic phone line for the team, on the Website. The generic phone line is manned during business hours.

RMDS endeavours to answer phone queries immediately, if possible. If this is not possible, RMDS will follow up the query at a later date. Follow ups are undertaken by email, if appropriate.

## **7.3 Design and Development Processes**

This is not relevant to the work of the RMDS team (see above; also listed in table of exclusions in 1.3 - Exclusions.

## **7.4 Purchasing**

### **7.4.1 Purchasing Process**

Procurement and purchasing processes are centrally managed by the Shared Services organisation attached to ESB. Although it is a ring-fenced organisation, RMDS benefits from this centralised service. The only bought-in service that has a major bearing on the quality of the RMDS services are consultancy services for market assurance. This contract is subject to a formal tendering process carried out by Procurement Services. This process provides for the evaluation of market assurance suppliers in a systematic way based on documented criteria. Records of evaluation are maintained by Procurement Services.

Details of the services provided by ESB Procurement Services, as well as the procedures in place can be found at:

<http://esbnet/sharedservices/OtherServices/Procurement/Default2.htm>

### **7.4.2 Purchasing Information**

The request for tender includes the services required, the standards to which the services must comply, the qualifications and expertise to be provided by the market assurance supplier and the quality management system criteria. The successful tender document captures all of this information in detail.

### **7.4.3 Verification of purchased product**

RMDS has stipulated and carries out a systematic review and approval process on all products and services produced by its external market assurance supplier. Each review is documented. The service has a finite contract duration which gives RMDS an opportunity to change supplier if required.

Any quality issues are reported to the supplier's Contract Manager with a request for improvement via the supplier's quality management system.

## **7.5 Production & Service Provision**

### **7.5.1 Control of Production & Service Provision**

RMDS products and services are produced in line with the processes defined in this QMS. They are monitored and controlled using the logs, lists etc. to be found in the [QMS records log](#).

### **7.5.2 Validation of Processes for Production & Service Provision**

This is not relevant to the work of the RMDS team (see above; also listed in table of exclusions in 1.3 - Exclusions.

### ***7.5.3 Identification & Traceability***

All controlled RMDS artefacts are identified by a unique ID number and name. Each artefact has a status field. Products throughout their lifecycle are tracked on the RMDS SharePoint site where the unique ID, name and status can be traced up to the point of delivery. In the case of Change Requests details are published on the RMDS website where they are easily accessible to our customers. Information relating to Change Requests is also summarised and presented to the IGG at regular intervals.

### ***7.5.4 Customer Property***

All customer data is stored within the RMDS electronic filing systems. They are subject to the security and backup provisions outlined in section Control of Documents.

Customer intellectual property can not be used or disseminated without the permission of the customer. Should the customer wish that it be destroyed, this wish will be recorded at the point of storage and compliance will be verified back to the customer.

### ***7.5.5 Preservation of Product***

The safeguarding and recovery of all physical RMDS products is provided for by a combination of the Security Back and Archiving Service (outlined in 4.2.4 - Control of Records) and the ESB Business Continuity Plan.

## ***7.6 Control of Monitoring and Measuring Devices***

This is not relevant to the work of the RMDS team (see exclusion in 1.3 above).

## Section 8

# Measurement, Analysis and Improvement

## 8 Measurement Analysis and Improvement

### 8.1 General

RMDS plans and implements the monitoring, measurement, analysis and improvement processes in order to:

- Demonstrate conformity of our products
- Ensure effectiveness of the management system
- Continually improve the effectiveness of the management system

### 8.2 Monitoring and Measurement

#### 8.2.1 Customer Satisfaction

The Retail Market Design Service has committed to regular customer surveys and to formal meetings with its primary stakeholders (Retail Market Participants and the Commission for Energy Regulation). There are also many informal contacts during the year. These formal and informal contacts are used to identify customer expectations and any issues with the services provided. Retail market participants are free to raise any issues they have with CER who will raise the issue with the RMDS team either immediately or at one of the regular formal meetings RMDS has with the CER.

Where the RMDS team is made aware of an issue, whether via the stakeholder meetings or via the CER, we will implement a corrective action. This corrective action could take a number of forms, including but not limited to the following:

- Track and close via the Non-conformances log
- Co-ordinate with other stakeholders to find an immediate solution
- Advise the Market Participant to formally raise a Change Request via the online form
- Update the Annual plan with specific activities to address the issue

#### 8.2.2 Internal Audit

The Quality Manager maintains an audit programme by which all critical processes are audited in turn over a series of internal audits. Internal audits are scheduled by the Quality Manager typically once a year, ensuring that the auditors have the required experience and knowledge to perform auditing activities and that the target processes are in keeping with priorities in the audit programme. The auditing team does not consist of anyone who has responsibility or involvement in the area being audited.

Audit reports are reviewed at the next occurring Quality Management Review. The Quality Manager will have responsibility for ensuring that any issue raised is addressed in line with its priority and severity. Issues raised during an audit will be logged via the Audit Quality Issue log in SharePoint and will be addressed in a timely manner, appropriate to the nature and seriousness of the issues at hand.

If necessary, the Quality Manager will arrange a follow-on audit to ensure that corrective actions have been effective.

An outline of the [Audit programme](#) and a [Log of processes audited](#) to date can be found on the links provided.

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### Issue Logging and Tracking

RMDS tracks and manages all its actions, issues and quality audit items via SharePoint. Any new actions, issues or quality audit items that arise are logged by an RMDS user and assigned to the most suitable person within the RMDS team. The person logging the item is required to enter details such as:

- Description
- Source
- Status
- Priority
- Due date

Reports or views are used to track the progress of each action/issue/quality item.

The design of the Actions, Issues and Quality items Log is subject to continual improvement as are all aspects of RMDS's work.

For further details please see the process documented in ARIS.

### **8.2.3 Monitoring and Measurement of Processes**

RMDS has processes in place to monitor and review the effectiveness of the Quality Management System processes in achieving planned results. This monitoring includes the measurement and tracking of our performance against our service objectives, feedback from our customers and improvement suggestions from our team members. Corrective and Preventive actions are agreed and implemented in order to address any issues and to improve our performance.

These outputs are reviewed at Quality Management Review Meetings.

### **8.2.4 Monitoring and Measurement of Product**

A number of checkpoints exist in the system to ensure that all products relating to the major market-facing deliverables are of sufficient standard and clarity to be released:

- **Change Control Documents**  
Before release to the market, all change control documents (DRs, MCRs, DRRs) are reviewed by the RMDS and ReMCoDS team. This ensures that all aspects of the impact of a change have been considered and that the implications for all parties and systems are fully understood.
- **IGG and ReMCoWG Secretariat Documents**  
IGG and ReMCoWG Secretariat Documents (e.g. minutes, action items, clarification documents etc) are reviewed by the Manager RMDS prior to issue to CER or ReMCoSG. CER also retains the right to amend the minutes of each session if it feels that an item has not been appropriately recorded.
- **Baselined Retail Market Design Documents**  
Prior to issue to the market, the RMDS team will ensure that each new or changed market document or process has been quality assured by at least one other RMDS team member and/or other subject matter expert.

Where a new or changed Retail Market Design Document is discovered to be incorrect prior to issue then it will be passed back to its owner for modification. If a non conformance is discovered after product issue then either a note may be added to the product to highlight this, or if the issue is of sufficient severity, a new version of the product can be issued.

### **8.3 Control of Non-conforming Product**

Where a Non-Conformance is identified, RMDS will raise a Non-Conformance and implement corrective action and, where necessary, preventive action. All Non-Conformances are recorded in Sharepoint. The preventive action section of the Non-Conformance Form includes any causal analysis carried out in relation to the Non-Conformance.

For further details please see the process documented in ARIS.

### **8.4 Analysis of Data**

To ensure the ongoing efficiency of the Quality Management System a number of Key Performance Indicators are reviewed at each Quality Management Review. Included in this will be:

- Numbers of open Quality Management Action Items
- Numbers of open Non-Conformances
- SLA Performance against quality objectives

### **8.5 Improvement**

#### **8.5.1 Continual Improvement**

RMDS continually improves the effectiveness of the Quality Management System through the use of the quality policy, service objectives, customer satisfaction surveys, audit results, analysis of data, corrective and preventive actions and management review.

#### **8.5.2 Corrective Action**

RMDS takes action to eliminate the cause of nonconformities in order to prevent recurrence. Corrective actions are appropriate to the effects of the nonconformities encountered.

For further details please see the process documented in ARIS.

#### **8.5.3 Preventive Action**

Any team member can raise a preventive action to eliminate the causes of potential non-conformances in order to prevent their occurrence. Preventive actions are appropriate to the effects of the potential problems.

For further details please see the process documented in ARIS.