



# Retail Market Design Services Quality Manual

## Document Information

### Approvals

This document requires the following approvals:

Name	Title	Date of Issue	Version
Lindsay Sharpe	Manager, RMDS	20/04/2020	8.1

### History of Changes

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	
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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



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			Update SLA	5.4.1
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			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
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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 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 O Connor	
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	



6.4	Final	21.10.2014	Updated to reflect J Gregory is new RMDS Manager Updated links to New Organisation Chart Updated section on website to reflect new RMDS website strategy and technology. Updated section on audio recording. Highlighted Ubiquis is no longer employed as service provider and all audio and minute taking performed in house in RMDS. Resource management (section 6) updated to remove reference to team leader as this role no longer exists in RMDS. Included the provision of regular 1:1 meetings by RMDS manager.	
6.5	Final	19.05.2015	Reviewed & updated by A Mooney & J Gregory	
6.6	Final	13.10.2015	Reviewed & updated by A Mooney	New Header and Footer created. References to ReMCoDS now referenced in appendix A.
6.7	Final	17.11.2015	Updated by A Mooney	4.2.5 Non-Conformance details added
7.0	Final	04.03.2016	Document reviewed and updated	
8.0	Final	02.02.2018	Document reviewed and updated	
8.1	Final	20.04.2020	Document reviewed and updated	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.

## 2 RMDS Background

### 2.1 RMDS History

In June 2005, following a public consultation, the Commission for Regulation of Utilities (formally known as 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 Networks 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). Details of the ReMCoDS and ReMCoSG functions can be found in Appendix A.

### 2.2 Organisation

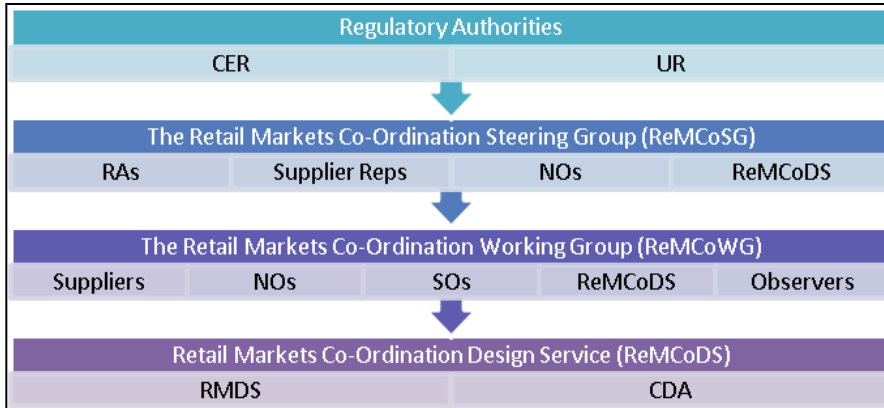
The RMDS organisation chart is available on the RMDS Shared drive and publicly on the RMDS Website. It lists the current staff, their roles and their contact details. The RMDS organisation chart is updated whenever someone joins or leaves the team by way of change to Org Chart Folder and published on the RMDS website by the RMDS team.

The Organisation Chart is available via the following link [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 are available via the following link [RMDS Functional Structure](#).

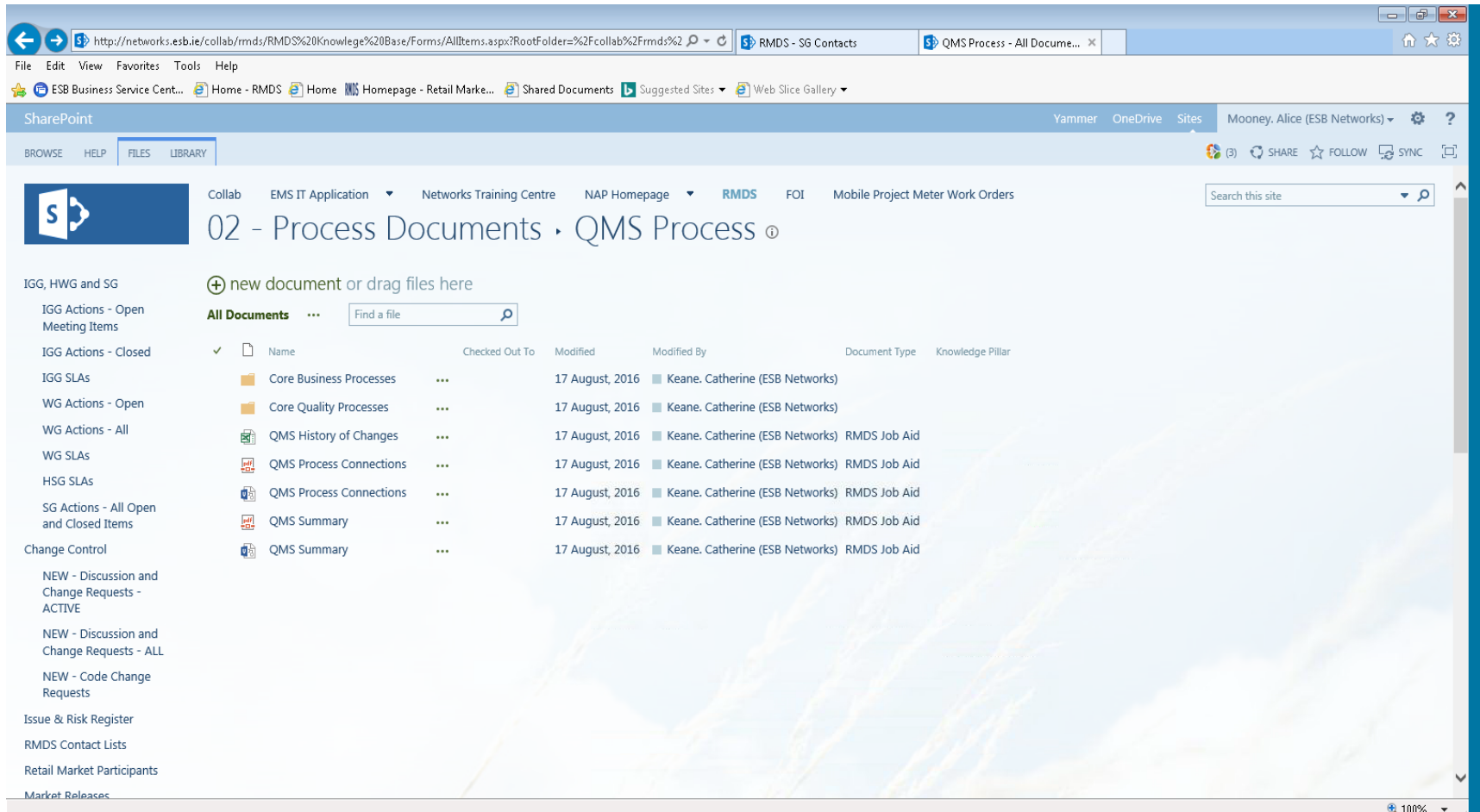
The core business activities of this team include:

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

The core Quality & Business processes are stored on Sharepoint under Shared documents.

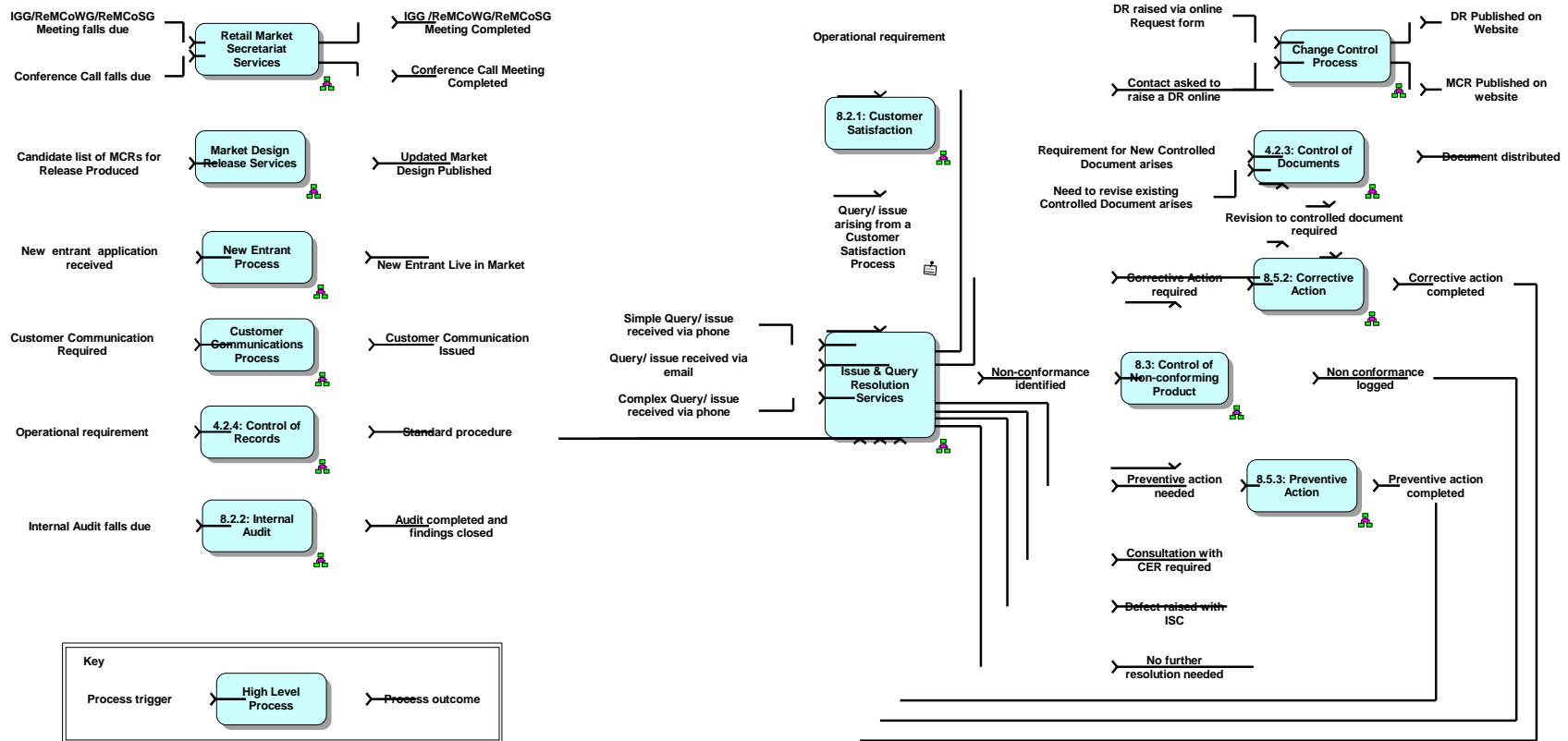


The screenshot shows a SharePoint document library titled "02 - Process Documents" under the "QMS Process" folder. The library contains several documents, all modified on 17 August, 2016, by Catherine Keane. The documents are categorized into folders for Core Business Processes and Core Quality Processes, and individual files for QMS History of Changes, QMS Process Connections, and QMS Summary. The QMS Summary files are associated with the "RMDS Job Aid" knowledge pillar.

Name	Checked Out To	Modified	Modified By	Document Type	Knowledge Pillar
Core Business Processes	...	17 August, 2016	Keane, Catherine (ESB Networks)		
Core Quality Processes	...	17 August, 2016	Keane, Catherine (ESB Networks)		
QMS History of Changes	...	17 August, 2016	Keane, Catherine (ESB Networks)	RMDS Job Aid	
QMS Process Connections	...	17 August, 2016	Keane, Catherine (ESB Networks)	RMDS Job Aid	
QMS Process Connections	...	17 August, 2016	Keane, Catherine (ESB Networks)	RMDS Job Aid	
QMS Summary	...	17 August, 2016	Keane, Catherine (ESB Networks)	RMDS Job Aid	
QMS Summary	...	17 August, 2016	Keane, Catherine (ESB Networks)	RMDS Job Aid	

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

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





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## 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 original process modelling software originally used within RMDS to publish the Retail Market design. ARIS was retired in 2015. The Retail Market Design has been moved to a visio/word platform.
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 2013.
3.	CER	Commission for Energy Regulation (rebranded to CRU in 2017)
4.	CIO	Chief Information Officer
5.	CRU	Commission for Regulation of Utilities (formally CER)
6.	DR	Discussion Request
7.	IGG	Industry Governance Group
8.	ISO	International Organization for Standardization
9.	MCR	Market Change Request
10.	NSAI	National Standards Authority of Ireland
11.	PDP	Personal Development Plan
12.	QMS	Quality Management System
13.	RMDS	Retail Market Design Services
14.	SLA	Service Level Agreement



**Table 2. Terminology**

No.	Term	Explanation
15.	ReMCoDS	Retail Markets Co-Ordination Design Service.
16.	CDA	Central Design Authority
17.	ReMCoWG	Retail Markets Co-Ordination Working Group
18.	ReMCoSG	Retail Markets Co-Ordination Steering Group
19.	UR	NI Regulatory Authority

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

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



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## 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 visio.

None of these processes is outsourced.

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.

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<sup>1</sup> Excludes some items described in ISO 9000:2001. Please see section **Error! Reference source not found.- Error! Reference source not found.** for more details



## 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 visio.
- Records that evidence the fulfilment of our processes.

Documented Procedures are available in Sharepoint under Shared Documents.

### 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). These documents include Market Change Requests and Minutes of IGG. 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.

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 Design Index & History of Changes document](#).

#### 4.2.4 Control of Records

Records are maintained to provide evidence of conformity to requirements and of the effective operation of the QMS. 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
- Risk & Issue Register
- IGG/Conference Call Minutes and Materials
- New Joiner Manual
- NSAI and Internal Audit Reports
- Audit Actions
- Training Plans and Records (only for major external training events)
- Personal Development Plan (PDP) Records
- Annual Management QMS Review

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.

#### 4.2.5 Non-Conformances

All Non-Conformances are logged in the Market Release section of Sharepoint and are assigned a unique ID.

As soon as RMDS gets notified of any non conformance or RMDS identifies one itself, it gets a full understanding of what it means to the Market Design. RMDS identifies how it impacts, and whether it is fact it is a non conformance. All details must be logged against the non conformance in Sharepoint This needs to be done as soon as possible after the non-conformance is identified or notified to RMDS. This will ensure that when an MMR or Co-MMR comes up that RMDS are able to understand the full details of the non-conformance and are ready to make the relevant changes.

RMDS welcomes others identifying non conformances with the Market Design. It means that people are using it and are helping RMDS's quality assurance to ensure our RMDS's huge volume of documentation is current, correct and up to date.

#### **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**



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Market facing Change Management documents, together with The Market Design, are all published online on the RMDS website (<http://www.rmdservice.com/>). The Website is developed using WordPress and is managed and updated by the RMDS Team. Weekly website backups are performed by ITS. RMDS also manages a copy site which is used for development and training. The new website allows for in house content management. This provides RMDS with more opportunity to make changes keeping the website current and dynamic. It is also allows it to be used as an effective communication tool enhancing the RMDS role of market support. Website change control is managed through two SharePoint applications.

### **Audio Recordings**

In its role as secretariat to the Industry Governance Group of the RoI Retail Market, 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.



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## 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 Regulation of Utilities 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 for both RMDS and ReMCoDS 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:

**Version :** 8.1

**Date :** 20<sup>th</sup> April 2020



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:
  - CRU
  - UR
  - NIE Networks
  - Electricity Suppliers
  - EirGrid
  - Generators
  - ESB Networks
  - New Entrants
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 ESBN 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
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.

## 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 Visio 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. Weekly stats meetings are held 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

Weekly stats meetings/briefings are scheduled for every Monday throughout the year. The Quality Management System is a fixed topic on the agenda of these meetings.

### 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 CRU 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



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### 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.



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## Section 6

# Resource Management

## **6 Resource Management**

### **6.1 Provision of Resources**

At regular review meetings the Manager RMDS and Manager of Meter Data Services (MDS) 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 ensure that people joining the team have the required competency and experience before they join the Team. The Team Manager 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 Manager 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.



The RMDS Manager holds regular 1:1 meetings with the RMDS team members. This ensures training, development and general personal representation is accounted for in the management and operation of the team.

### 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 in Gateway. 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



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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\System and Sustainability Policy.doc>



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# 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 **Error! Reference source not found. - Error! Reference source not found.**

#### 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

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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.



## 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/ReMCoSG 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 **Error! Reference source not found. - Error! Reference source not found.**

## 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 **Error! Reference source not found. - Error! Reference source not found.**



### 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).



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## 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 annual customer surveys and to formal meetings with its primary stakeholders (Retail Market Participants and the Commission for Regulation of Utilities ). 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 CRU who will raise the issue with the RMDS team either immediately or at one of the regular formal meetings RMDS has with the CRU.

Where the RMDS team is made aware of an issue, whether via the stakeholder meetings or via the CRU, 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.

### 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.

#### 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 Secretariat Documents**  
IGG Secretariat Documents (e.g. minutes, action items, clarification documents etc.) are reviewed by the Manager RMDS prior to issue to CRU. CRU 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.

# ReMCoDS & ReMCoSG

## 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 ReMCoWG and ReMCoSG. These documents include Market Change Requests and Minutes of the 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.

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 Design Index & History of Changes document](#).

## Control of Records

Records are maintained to provide evidence of conformity to requirements and of the effective operation of the QMS. 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
- ReMCoWG/SG Minutes and Materials
- New Joiner Manual
- NSAI and Internal Audit Reports
- Training Plans and Records (only for major external training events)
- Personal Development Plan (PDP) Records
- Roles and Responsibilities
- Annual Management QMS Review



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.

### **Web Site Publishing**

Market facing Change Management documents, together with The Market Design, are all published online on the RMDS website (<http://www.rmdservice.com/>). The Website is developed using WordPress and is managed and updated by the RMDS Team. Weekly website backups are performed by ITS. RMDS also manages a copy site which is used for development and training. The new website allows for in house content management. This provides RMDS with more opportunity to make changes keeping the website current and dynamic. It is also allows it to be used as an effective communication tool enhancing the RMDS role of market support. Website change control is managed through two SharePoint applications.

### **Audio Recordings**

In its role as secretariat 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 ReMCoDS 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.

ReMCoDS has moved away from employing an external service provider to make audio recordings and assist with minute taking. Audio recording and minute taking of all forum meetings is managed internally within ReMCoDS.



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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.

## 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.

## 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

## Improvement

### Continual Improvement

ReMCoDS 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.

### Corrective Action

ReMCoDS 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 Sharepoint.



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## 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 Sharepoint.

## Customer Focus

An annual customer and stakeholder survey for ReMCoDS 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

## Planning

### Service Objectives

The 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 ESBN 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
	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 ReMCoDs control, it is recorded in the Non-Conformance log and investigated to address the root cause(s).

#### Overview

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

- ReMCoWG/ReMCoSG Meetings
- 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.

#### ReMCoDS Inbox

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.

#### 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 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.
- **ReMCoWG & ReMCoSG Secretariat Documents**  
ReMCoWG Secretariat Documents (e.g. minutes, action items, clarification documents etc.) are reviewed by the Manager RMDS prior to issue.
- **Baselined Retail Market Design Documents**  
Prior to issue to the market, the ReMCoDS team will ensure that each new or changed market document or process has been quality assured by at least one other ReMCoDS team member and/or other subject matter expert.