



XRN4780-C – SFTP Design Frequency Asked Questions (FAQs)

Below are answers to questions that have been received in relation to the Secure File Transfer Protocol (SFTP) solution part of XRN4780-C. These answers are supported by the SFTP Design Information document which provides additional detail where required.

Questions have been grouped and categorised to aid reading. These categories are;

- Connectivity
- File Formats
- Security
- Testing
- Xserve
- Plan

Connectivity

Question	Will the connection be SFTP or FTPS?
Answer	The connection type is SFTP.

Question	Why was SFTP chosen as the method of file transfer between MAMs and MAPs and the CDSP?
Answer	The reason for the SFTP solution being originally suggested was due to not all MAMs currently utilising a physical IX connection. With the UK Link Roadmap planning to move to a Virtual IX (removing the need for physical, on site equipment). It was felt that an SFTP connection was the most cost-effective solution for customers to provide a single route of traffic in relation to XRN4780-C. This was included as part of the SPAA change to RGMA and discussed and agreed with Suppliers during a series of SPAA Expert Group and Change Board meetings.

Question	Who is responsible for setting up the SFTP links/locations?
Answer	The CDSP will create the SFTP service and share the connection details with customers (MAMs and MAPs) to allow them to set up and configure their systems to send and receive files.

Question	How do I register for an SFTP account?
Answer	This Microsoft Form should be completed, providing primary contact details and your IP address and the CDSP will respond providing your connection details/credentials.

Question	What are the SFTP Server name and connection details?
Answer	These details will be made available once our build activities have been completed

Question	What will the directory structure be for files to be transferred?
Answer	<p>As user accounts are setup, a default folder structure will be created as follows:</p> <ul style="list-style-type: none"> • Outbox – MAM to CDSP (MAM Only) • Inbox – CDSP to Customer (MAM & MAP) <p>Folders will be created for each organisation. User credentials will be provided to access directly to customer entity specific locations. Once logged in you will see folders as defined above.</p>

Question	What will the locations be of the different file types within that structure?
Answer	There will be no further separation based on file type. All files inbound from the CDSP to customer entities will be sent to the Inbox directory. Customers should post all file to be sent to the CDSP in the Outbox directory.

Question	Will there be a test/non production instance of the SFTP server?
Answer	Yes, there will be both Non-Production and Production instances available.

Question	Can we connect to MOVEit as an internet-facing service, and push/pull to that service?
Answer	Yes, Customers will connect to MOVEit over the internet and push/pull the files to MOVEit server at the CDSP using an RFC based SFTP client.

Question	Will the SFTP credentials utilise key authentication?
Answer	The SFTP will utilise an SSH specification with Client Key. The 'key pair' will need to be generated by each customer log on and the private key submitted as part of the process to log into MOVEit Transfer. On first log in the private key will be stored by MOVEit Transfer and on subsequent log ins will be authenticated by the system to permit access.

Question	Will all MAM files be in a single directory or will there be MAM specific directories?
Answer	User credentials will provide access directly to customer entity specific locations. Data related to other customers will not be visible.

Question	Would a VPN negate the need for SSL certificates?
Answer	SSL certificates are not required as part of the proposed SFTP connection.

Question	Who is the point of contact for queries regarding the SFTP server and MuleSoft ?
Answer	Please send any queries to UKLinkDelivery@xoserve.com for attention of Simon Burton

Question	Can middleware be used to interface with the SFTP solution?
Answer	MOVEit Transfer connector can be downloaded from specific middleware's like Mulesoft. Mulesoft or any middleware that also has generic SFTP connector that can be used to connect to MOVEit Transfer. Customers can utilise automations within their landscape through this connection

Question	Will there be a formal document containing information around SFTP connection and security protocols?
Answer	There will not be a formal document other than the accompanying SFTP Design Information document which provides further details around the connection.

Question	Will MAMs be able to connect to the SFTP through a desktop client such as FileZilla or WinSCP by using the credentials supplied?
Answer	Yes, customers will be able to connect to their SFTP folders via compatible desktop clients.

Question	Do MAM's and MAP's need to whitelist the CDSP IP address?
Answer	No, there is no requirement for MAM's and MAP's to whitelist the CDSP IP address.

Question	Is there any support/guidance as to what IP details to provide?
Answer	Guidance can be provided as required, please contact us should you need support.

Question	Where a 3 rd party service provider is routing files for multiple MAM and/or MAP entities, can they provide a single IP address for all connections?
Answer	Yes, the IP address does not have to be unique but does need to be whitelisted by the CDSP.

Question	Will it be possible to complete a connectivity test of the SFTP without providing any data or files?
Answer	<p>Yes, files are not required in order to test connectivity. The ability to access your Inbox and Outbox folders will confirm connectivity.</p> <p>Should you wish to post a file to your Inbox, the CDSP will be able to confirm this can be collected.</p>

Question	Can you confirm if the CDSP MOVEit server will allow MAMs and MAPs to add site-to-site VPN connections to their own MOVEit configuration?
Answer	No, there will be no site to site VPN connections established as part of this solution, it will be a Secure FTP connection over the internet.

Question	If a MAM or MAP uses dynamic IP addresses, would it be possible to provide a range for whitelisting?
Answer	Your IP address is required for whitelisting in order to allow traffic into our network. The CDSP Security policy does not allow for an IP range however, a fully qualified domain can be whitelisted.

File Formats

Question	What will the filename format be?
Answer	<p>The Filename format will follow industry standard of 5.8.3</p> <p>The 5 is made up of:</p> <ul style="list-style-type: none"> First 3 characters = UKL Last 2 characters = Two numbers, it is recommended to be 01 or 10 for consistency with other UK Link files. <p>The 8 is made up of:</p> <ul style="list-style-type: none"> First 2 characters = PN Last 6 characters = File sequence number. Must match that used within the header <p>The 3 is the file type:</p> <ul style="list-style-type: none"> ONJ, ONU or CMT for MAM to CDSP RNJ, RNU or CMO for CDSP to MAM and MON for CDSP to MAP

Question	Will ONJ and ONU file responses conform with RGMA format and be seen in the form of RESPN file types?
Answer	<p>Yes, response files will be of type RNJ, in response to an ONJ, and RNU, in response to an ONU.</p> <p>For completeness, type CMO in response to CMT.</p>

Question	Will sample outbound files, from the CDSP, be available?
Answer	Sample files will be available from 1 st October

Question	Is the MON file sent to the MAP for both ONUPD and ONJOB updates?
Answer	<p>The MON file will be sent to MAPs to inform them of an update to the MAP Id assigned to, or the details of, an asset their MAP Id is associated with. It will also include organisation changes related to a Supply Meter Point (SMP) where their MAP Id is assigned.</p> <p>Further details can be found in the latest published change pack for XRN4780-C.</p>

Question	What changes are expected in the ONJOB/ONUPD files to be sent to the CDSP from what is currently generated for Suppliers?
Answer	The file structures of the ONJOB and ONUPD to be issued by MAMs to the CDSP are the same as those utilised for MAM to Supplier to Shipper. The file formats are defined under REC and can be found in the REC portal https://recportal.co.uk/

Question	What is the returning shortcode on the outbound files back to MAM's e.g. xxx01 - where will this be driven from?
Answer	The returning short code on the files back to MAM's will be the MAM short code. This is driven based on the SFTP connection details.

Question	File sequence numbering. For MAM to CDSP are they expected to start from 000001 or a different number? Assuming a brand-new sequence starting from 1 but can you confirm?
Answer	It is recommended that the file sequence number starts from 000001.

Question	How should the file sequence number be incremented?
Answer	Sequence number of files sent to the CDSP should be incremented by 1 per file type, by entity i.e. MAM short code.

Question	Header recipient role/code, will it be TRA or UKL?
Answer	<p>The CDSP was added to Market Domain Data (MDD) with a role of GT and a Short Code of TRA. So for files from MAMs to the CDSP, the Recipient Role contained within the header would need to be 'GT' and the Recipient Code would need to be 'TRA'.</p> <p>For files from the CDSP to MAMs the Recipient Role is 'MAM' and the Recipient Code is your respective MAM Short Code.</p> <p>For the avoidance of doubt, the code used at the start of the file name, when sending from MAM to CDSP, should be UKL.</p>

Question	<p>What time of day will the MON file be received?</p> <p>Are the daily MON file updates D-1/2?</p>
Answer	MON notification file frequency will be daily where relevant transactions have occurred, and this will be triggered post RGMA Job completion (after 7:00 p.m.). The file will be sent and contain data that has changed during the day.

Question	Is the MON file optional for MAPs?
Answer	Yes, the MON file is optional for MAPs. The file will be placed in your respective Inbox but it is optional whether you choose to retrieve it.

Question	Where a MAP receives a MON file, are they obliged to take any further action?
Answer	No, there is no obligation for a MAP to take any further action based on the information contained within the MON file. The file is for information, provided visibility to the MAP of any updates impacting their assets.

Question	The XRN 4780-C design change pack stated JRS/UPR files would be used to respond ONJOB/ONUPD files from the MAM, is this correct?.
Answer	The initial design was to use the JRS/UPR response files as these are currently used by the CDSP to respond to Shipper RGMA files. More recent feedback from industry parties was that this was incorrect and the extensions RNJ/RNU should be used as this aligns to the response files issued by Suppliers to MAMs. As such the design has been updated to reflect this.

Security

Question	Which version of SSH will be used?
Answer	Both SCP 1 and SCP 2 SSH versions are supported.

Question	What is the authentication for use of SFTP?
Answer	Authentication will be through username and password and SSH Client key. Please see SFTP Design Information document for further detail on this.

Question	What virus scanning will take place?
Answer	McAfee will be installed along with Vmas to scan each file before passing through our firewall.

Question	The CDSP have requested our IP address (MuleSoft's IP address) to whitelist. At the moment we're only able to provide a range until the MuleSoft instances are created. Are the CDSP able to whitelist based on domain name rather than IP address?
Answer	Yes, Domain(s) can be whitelisted, but it is advised to be changed once IP address/ranges are known and can be provided.

Question	If there is a breach on a MAMs SFTP layer, what steps are in place to ensure that this doesn't transfer to other participants directories?
Answer	In Azure the CDSP have Vnet level isolation, DDOS protection enabled and NSG level isolation. The enterprise hub design is based on security principles and uses a CIS level 1 image. The storage accounts where the files will land will be end points so will not be communicating outside the Vnet. The only communication that the Vnet will have is to the hub Vnet where the firewalls are in place.

Question	For the Test SFTP server, is whitelisting still required? The MuleSoft test instances cannot have a static IP address so unable to provide an IP for whitelisting.
Answer	A range of IP addresses are needed for whitelisting to ensure valid requests are accepted, even within the non-production (test) environment.

Testing

Question	Will there be testing between MAMs and the CDSP?
Answer	Yes, there will be connectivity testing between MAM/MAPs and the CDSP, as well as file transfers to ensure all files are being passed correctly. Details of this will be communicated as soon as possible.

Question	What is data validation testing?
Answer	This is file transport testing with sample files. MAM's will have the opportunity to submit files and will then receive response files during data validation testing within a non-production environment

Other Questions

Question	Will you need to encrypt data at rest, will you use any other protocols? The files contain personal data so do we need additional measures to protect the data?
Answer	The SFTP solution encrypts data at rest. Files will be accessible only for valid credentials and the use of SSH keys.

Question	Should MAM's/MAP's move or copy files from their MOVEit Transfer folders?
Answer	You have complete control over your folder, you can manually move or copy the files or automate a solution to do the same. Where files remain on the MOVEit Transfer server they will be subject to the retention policy.

Question	Where a MAM and MAP have the same MPID are they treated separately?
Answer	Yes, each role type (MAM, MAP) is treated as a separate entity regardless of the MPID.

Question	What is the retention policy for data files on the MOVEit server i.e. if a MAP does not move a MON file will it be removed?
Answer	Files placed on the MOVEit server will be visible for 3 months and then they will be archived by the CDSP. Once archived the files will be stored for a further 3 years and made available to the relevant party via a Service Desk ticket.

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Question	Who ultimately oversees the delivery from a timeline perspective especially given the tight timescales and the fact that some participants may not be able to meet them?
Answer	<p>Obligation for the MAMs to pass RGMA files to the CDSP is under REC and the sunrise date for the obligation is currently in code for the 8th November 2021. However, as we know not all parties will be ready to fulfil that obligation, the CDSP will work directly with MAMs (and MAPs, although no obligation is on them to receive files from the CDSP) to get their connections set up ASAP. There will be a period during post implementation support where everyone can be onboarded and start to send the files to the CDSP to execute the obligation on the MAM and CDSP sides.</p> <p>The overall project is being tracked through Change Management for the code solutions but there will be some flexibility in the deadline to enable connectivity from all parties.</p> <p>Any changes to this stance will be formally communicated out to all parties and RECCo informed of all qualifying MAM's and their onboarding status.</p>

Question	Is there a finite length to the leeway that will be provided? If some parties cannot be ready until, for example, Spring 22 will there be financial penalties?
Answer	<p>This is currently unknown, however discussions with REC are being held. The CDSP will continue discussions with RECCo to determine a position and formally communicate to all parties. It is anticipated that no formal financial penalties will be introduced, as the CDSP will work directly with MAM/MAPs to set up the required connections needed as part of XRN4780-C.</p>

Plan

Question	What is the detailed plan for all elements where MAMs and MAPs are to be involved?
Answer	<p>As per detailed plan, MAMs and MAPs would be involved during the period 11th – 29th October 2021</p>

Question	Please confirm what the drop-dead date for providing IP address(es) to the CDSP will be?
Answer	<p>It is encouraged for MAM/MAP parties to provide IP address(es) to the CDSP ASAP. Connectivity Testing prior to Go Live on 6th November will be taking place and we would require your IP addresses by 6th October for us to configure these for the start of Connectivity Testing. However, we will continue to support your connectivity and setup after this date, post the start of the Connectivity Testing phase and post Implementation.</p>