



## **Funds Administration Agent**

### **Interface Definition and Design Part 1**

<b>Synopsis</b>	<p>This document contains details for interfaces which do not involve BSC Parties and their Agents.</p> <p>Part 1 contains the definition and design of interfaces between the FAA Service Systems and other Systems.</p>
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**DOCUMENT CONTROL**

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# 1 Introduction

## 1.1 Purpose

### 1.1.1 Summary

This document is Part 1 of the Interface Definition and Design deliverable that the service provider, ~~EPFAL~~, is committed to deliver to the customer, the central CVA Programme.

The scope of the Interface Definition and Design document is, for the FAA service system, the definition and design of all interfaces between the FAA Service System and other Systems.

The scope of Part 1 is limited to the definition and design of interfaces between the FAA Service System and the BSC Parties and their Agents.

## 1.2 Scope

### 1.2.1 Status

This document replaces all previous drafts, taking into account the comments received on version 19 of this document.

This document is being prepared and approved in parallel time scales to the User Requirement Specifications (URS) for the ~~EPFAL~~ provided service. There is some overlap in the scope of these documents with regard to interface definition - note that for a common revision level where there is an identified difference then it is this document which prevails.

### ~~1.2.2 The Scope of the EPFAL Service Provision~~

~~EPFAL is contracted to provide the Funds Administration service defined as package 4 within the RETA Information To Tender document.~~

## 1.3 Change Forecast

This specification has been updated to reflect CVA Programme comments and is issued to be formally baselined.

This baseline specification will only be changed via formal change request processes.

## 1.4 References

### 1.4.1 ITT Documents

Service Description	Service Description for the Funds Administration Agent
Business Process Model	BSC Business Model
Schedule 3	Service Agreement Schedules: Other Services
Schedule 4	Service Agreement Schedules – Technical Requirements
Schedule 5	Service Agreement Schedules – Technical Standards, Quality Requirements and Health and Safety Requirements

### 1.4.2 Other Documents

FAA Interface and Definition and Design Part 2	Interface Definition for the FAA Service
FAA URS	User Requirements Specification for the FAA role
IDD Part 1	Interface Definition and Design, Part 1 – Interfaces with BSC Parties and their Agents
IDD Part 2	Interface Definition and Design, Part 2 – Interfaces to other Service Providers
SAA User Requirement Specification	Settlement Administration Agent User Requirement Specification

## 1.5 Volume Estimation Basis

The assumptions on which the ‘Volumes’ estimations have been based are detailed in the table below:

Assumption	Volumes		
	Low	Average	High
Number of BSC Parties	100	200	300
Number of BSC Debtors (50% of BSC Parties)	50	100	150
Number paying by Direct Debit (Based on current percentage)	30	60	90
Number of BSC Creditors (50% of BSC Parties)	50	100	150

## 2 Common Interface Conventions

Please refer to the Common Interface Conventions section in the [LogicaNETA](#) Interface Definition and Design Document Part 1.

### 3 Interfaces with BSC Parties and Agents

#### 3.1 Outbound Interfaces

Agent-Id	Name	Dirn	User	Type
FAA-I001	Advice Notes	To	Payment Party	Manual and Hardcopy by post (retained for pre-P214 Payment Dates)
FAA-I002	Statement (Backing documentation)	To	Payment Party	Manual, Electronic transfer by Email
FAA-I003	Confirmation Notices	To	BSC Party	Manual, Hardcopy by post (retained for pre-P214 Payment Dates)
FAA-I004	Credit Cover Requirements	To	Payment Party	Manual, letter
FAA-I005	Credit Call Request	To	Payment Party	Manual, letter
FAA-I006	Payment Calendar (Agreed)	To	Payment Parties	Manual, data file (csv)
FAA-I007	Notice of Default	To	BSCCo	Manual, telephone by authorised personnel & confirmatory letter
FAA-I008	Payment Initiation Instructions	To	Clearing Banks	Manually initiated electronic transfer of files via FAA CHAPS & Business Master software
FAA-I009	Payment Instructions	To	Collection Account	Manual, Fax with password security
FAA-I010	Quarterly Statements	To	H.M. Customs & Excise	Manual, hardcopy by post and data file
FAA-I010	Quarterly Statements	To	Payment Parties	Manual, hardcopy by post and data file
FAA-I035	Reserve Account Interest Advice Notes	To	Payment Parties	Manual, hardcopy by post
FAA-I038	Combined Advice Notes	To	Payment Party	Manual, Electronic transfer by Email
FAA-I039	Default Statement (Backing documentation)	To	Payment Party	Manual, Electronic transfer by Email
FAA-I040	Combined Confirmation Notices	To	BSC Party	Manual, Electronic transfer by Email

### 3.2 Inbound Interfaces

Agent-Id	Name	Dirn	User	Type
FAA-I011	Completed Direct Debit Mandate	From	BSC Party	Manual, Hardcopy by post
FAA-I012	Credit Limit	From	BSC Party	Manual, letter
FAA-I013	Credit Cover Provision	From	BSC Party	Manual, Letter of Credit by registered post or courier, Cash via electronic bank transfer
FAA-I014	Bank Details	From	BSC Party	Manual, letter or completed Funds Accession Agreement
FAA-I015	Funds Accession Agreement & BSC Party Check List	From	BSC Party	Manual, Hardcopy by post
FAA-I016	Payment Confirmations	From	Collection Banks	Manual, telephone to authorised FAA personnel, confirmatory report from CHAPS software
FAA-I017	Non-receipt Notifications	From	Collection Banks	Manual, telephone to authorised FAA personnel
FAA-I036	Minimum Eligible Amount	From	BSC Party	Manual, fax, e mail



### 3.3 FAA Outbound Interfaces

#### 3.3.1 Advice Notes

<b>Interface ID:</b> FAA-I001	<b>User:</b> BSC Party BSCCo Ltd	<b>Title:</b> Advice Notes	<b>ITT reference:</b> FAA SD 10 FAA SD 9.1.1 RETA SCH 4
<b>Mechanism:</b> Manual Auto-fax batch process and dispatch of Hardcopy by post	<b>Frequency:</b> Daily	<b>Volumes:</b> Low: 100 Advice Notes dispatched per working day Average: 200 Advice Notes dispatched per working day High: 300 Advice Notes dispatched per working day	
<b>Interface Requirement:</b>  <i>This requirement is retained for the purpose of generating and issuing Advice Notes for Payment Dates prior to the P214 implementation date.</i>  A uniquely identified document containing data relating to a number of charge types which will include the following: <ul style="list-style-type: none"><li>• Energy Imbalance charges and payments</li><li>• Information imbalance charges</li><li>• Non-delivery charges</li><li>• Balancing Mechanism charges</li><li>• System Operator charges</li><li>• Cost re-allocation charges and payments</li></ul>  Detail lines will be as follows: <ul style="list-style-type: none"><li>• BSC Party Name</li><li>• BSC Party Address</li><li>• BSC Party Facsimile Number</li><li>• Advice Note Number</li><li>• Payment Date</li><li>• VAT Code<ul style="list-style-type: none"><li>➤ Settlement Date</li><li>➤ Settlement Code</li><li>➤ Description*</li><li>➤ Net Amount per Settlement Run</li><li>➤ Total Including VAT per Settlement Run</li><li>➤ Total Amount Payable/Receivable Net of Tax Liabilities</li></ul></li></ul>  *Description will be amount payable/receivable, reconciliation interest payable/ receivable or income tax payable/receivable. An Advice Note Continuation Sheet will be required.			

**3.3.2**      *Statements (Backing Documentation)*

<b>Interface ID:</b> FAA-I002	<b>User:</b> BSC Party BSCCo Ltd	<b>Title:</b> Statements (Backing Documentation)	<b>ITT reference:</b> FAA SD 10 FAA SD 9.1.1 RETA SCH 4
<b>Mechanism:</b> Manual, Electronic transfer by Email	<b>Frequency:</b> Daily	<b>Volumes:</b> Low: 100 Statements dispatched per working day Average: 200 Statements dispatched per working day High: 300 Statements dispatched per working day	
<b>Interface Requirement:</b>  Supporting information relating to the advice note lines, in particular details of previous settlement code amounts to enable verification of reconciliation calculations and interest calculations for each interest line detailed on the advice note. Backing Sheet also to include support for standard rate VAT and zero rate VAT BSC parties.  Details will include: <ul style="list-style-type: none"><li>• Backing Sheet Number</li><li>• Calendar Payment Date</li><li>• BSC Party Name</li><li>• Initial Settlement Run Details<ul style="list-style-type: none"><li>➤ Settlement Date</li><li>➤ Settlement Code</li><li>➤ Calendar Payment Date</li><li>➤ Charge Type</li><li>➤ Amount (£)</li><li>➤ Total</li><li>➤ Interest (on late billing)</li><li>➤ VAT</li><li>➤ Total Including VAT</li></ul></li><li>• Reconciliation Run Details<ul style="list-style-type: none"><li>➤ Settlement Date</li><li>➤ Previous Settlement Code</li><li>➤ Previous Calendar Payment Date</li><li>➤ Charge Type</li><li>➤ Previous Amount (£)</li><li>➤ Previous Total</li><li>➤ Current Settlement Code</li><li>➤ Current Calendar Payment Date</li><li>➤ Charge Type</li><li>➤ Current Amount (£)</li><li>➤ Current Total</li><li>➤ Difference (£)</li><li>➤ Interest on Difference</li><li>➤ VAT on Difference</li><li>➤ Income Tax on Long Interest (only printed if non-zero)</li></ul></li></ul> Total including VAT net of Income tax			

### 3.3.3 Confirmation Notices

<b>Interface ID:</b> FAA-I003	<b>User:</b> BSC Party BSCCo	<b>Title:</b> Confirmation Notices	<b>ITT reference:</b> FAA SD 11.7 RETA SCH 4
<b>Mechanism:</b> Manual Hardcopy by post	<b>Frequency:</b> Daily	<b>Volumes:</b> Low: 100 Confirmation Notices dispatched per working day Average: 200 Confirmation Notices dispatched per working day High: 300 Confirmation Notices dispatched per working day	
<b>Interface Requirement:</b>  <i>This requirement is retained for the purpose of generating and issuing Confirmation Notices for Payment Dates prior to the P214 implementation date.</i>  Tax document detailing amounts paid to or received from BSC Parties on a Payment Date. Support for standard rate VAT and zero rate VAT BSC parties.  In addition, the BSCCo receives a confirmation notice detailing the amount of VAT imbalance transferred to/from the BSCCo to/from the BSC Clearer in relation to that Payment Date.  Details will include: <ul style="list-style-type: none"><li>• Date of Issue</li><li>• BSC Party Name</li><li>• BSC Party Address</li><li>• BSC Party facsimile Number</li><li>• BSC Party VAT country code (if applicable)</li><li>• VAT registration number (if applicable)</li><li>• Confirmation Notice Number</li><li>• Advice Note Number</li><li>• Payment Date</li><li>• Tax Point</li></ul> <ul style="list-style-type: none"><li>➤ Settlement Date</li><li>➤ Settlement Code</li><li>➤ Description</li><li>➤ Amount excluding VAT</li><li>➤ VAT rate</li><li>➤ VAT amount</li><li>➤ Total including VAT</li><li>➤ Total amount net of tax liabilities</li><li>➤ VAT statement (dependent on whether BSC party is UK or non UK registered and whether paid or received)</li></ul> Backing Sheet also to include support for standard rate VAT and zero rate VAT BSC parties. <ul style="list-style-type: none"><li>• Amounts for Scale-Down or Set-Off will be included if applicable</li></ul> A continuation sheet will be required.			

**3.3.4 Credit Cover Requirements**

<b>Interface ID:</b> FAA-I004	<b>User:</b> BSC Party	<b>Title:</b> Credit Cover Requirements	<b>ITT reference:</b> FAA SD 5.1.1 FAA SD 5.3 RETA SCH 4
<b>Mechanism:</b> Manual - Letter	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Low: 100 Notices of Security at Market start-up Average: 200 Notices of Security at Market start-up High: 300 Notices of Security at Market start-up	
<b>Interface Requirement:</b>  Notice of security required from BSC Party in order to secure the agreed credit limit. The security cover obligation may be discharged by one or more of the following methods: <ul style="list-style-type: none"><li>• Letter of Credit for a specified period</li><li>• Cash</li></ul>			

**3.3.5 Credit Call Request**

<b>Interface ID:</b> FAA-I005	<b>User:</b> BSC Party	<b>Title:</b> Credit Call Request	<b>ITT reference:</b> ECVAA SD: 5, A ECVAA BPM: 3.3, 4.17 RETA SCH: 4, B, 3.3 FAA 5.3.3
<b>Mechanism:</b> Manual - Letter	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Not Known	
<b>Interface Requirement:</b>  Request for additional collateral from a BSC Party who wishes to continue trading past the agreed credit limit.  Information sent will include: <ul style="list-style-type: none"><li>• BSC Party Name</li><li>• BSC Party Identifier</li><li>• Collateral required</li><li>• Date required by</li></ul>			

**3.3.6**      *Payment Calendar (Agreed)*

<b>Interface ID:</b> FAA-I006	<b>User:</b> BSCCo, Payment Parties’, SAA	<b>Title:</b> Payment Calendar (Agreed)	<b>ITT reference:</b> FAA SD 4.3.2 RETA SCH 4 SAA SD: 2.8, A1 SAA BPM: 3.2, 4.27
<b>Mechanism:</b> Manual Data File (csv) Floppy Disk Hardcopy by post	<b>Frequency:</b> Annually	<b>Volumes:</b> Payment Parties: Low: 100 data files and hard copies sent per year Average: 200 data files and hard copies sent per year High: 300 data files and hard copies sent per year 1 data file and hard copy sent to the BSCCo and the SAA	
<b>Interface Requirement:</b>  Agreed payment schedule detailing:  <ul style="list-style-type: none"><li>• Settlement Date</li><li>• Settlement code</li><li>• Notification Date</li><li>• Calendar Payment Date</li><li>• Notification Period</li><li>• Payment Period</li></ul>			

**3.3.7**      *Notice of Default*

<b>Interface ID:</b> FAA-I007	<b>User:</b> BSCCo	<b>Title:</b> Notice of default	<b>ITT reference:</b> FAA SD 601 RETA SCH 4
<b>Mechanism:</b> Manual Telephone call by authorised FAA personnel and confirmatory letter	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Not Known	
<b>Interface Requirement:</b>  Notification of a credit default if the required Credit Cover has not been provided, or a payment default if the Credit Cover provided cannot cover an outstanding debt resulting from a non-payment.  Information will include: <ul style="list-style-type: none"><li>• Payment Party name</li><li>• Payment Party Identifier</li><li>• Nature of default (credit or payment)</li><li>• Shortfall exposure</li><li>• Calendar Payment Date of non-payment</li><li>• Payment Date of combined Advice Note</li><li>• Combined Advice Note number</li><li>• Advice Note Date</li><li>• Backing sheet number(s) (if a payment default)</li><li>• Action taken</li></ul>			

**3.3.8      *Payment Initiation Instructions***

<b>Interface ID:</b> FAA-I008	<b>User:</b> Clearing Bank	<b>Title:</b> Payment Initiation Instructions	<b>ITT reference:</b> FAA SD 11.1 FAA SD 11.4 RETA SCH 4
<b>Mechanism:</b> Manually initiated electronic transfer of files via FAA CHAPS and Business Master Software	<b>Frequency:</b> Daily	<b>Volumes:</b> Direct Debit Instructions: Low: 30 instructions to be sent each working day Average: 60 instructions to be sent each working day High: 90 instructions to be sent each working day CHAPS/BACS Payments: Low: 50 payments to be made per working day Average: 100 payments to be made per working day High: 150 payments to be made per working day	
<b>Interface Requirement:</b>  Direct Debit instructions, CHAPS and BACS details:  Data will include: <ul style="list-style-type: none"><li>• Direct Debit Instructions<ul style="list-style-type: none"><li>➤ BSC Party Name</li><li>➤ BSC Party Branch Sort Code</li><li>➤ BSC Party Account Number</li><li>➤ Payment Date</li><li>➤ Amount Due</li></ul></li><li>• CHAPS Payments<ul style="list-style-type: none"><li>➤ BSC Party Name</li><li>➤ BSC Party Branch Name</li><li>➤ BSC Party Branch Address</li><li>➤ Branch Sort Code</li><li>➤ Account Number</li><li>➤ Advice Note Number</li><li>➤ Net Amount Due to Party</li></ul></li><li>• BACS Payments<ul style="list-style-type: none"><li>➤ BSC Party Name</li><li>➤ BSC Party Branch Name</li><li>➤ BSC Party Branch Address</li><li>➤ Branch Sort Code</li><li>➤ Account Number</li><li>➤ Advice Note Number</li><li>➤ Net Amount Due to Party</li></ul></li></ul>			

**3.3.9      *Payment Instructions***

<b>Interface ID:</b> FAA-I009	<b>User:</b> Collection Account	<b>Title:</b> Payment Instructions	<b>ITT reference:</b> FAA SD 11.1 FAA SD 11.4 RETA SCH 4
<b>Mechanism:</b> Manual –Fax with password security	<b>Frequency:</b> Daily	<b>Volumes:</b> Five reports (one per Collection Account) to be sent per working day	
<b>Interface Requirement:</b>  Bank Advice Report containing details of funds due to be received on a Payment Date per Payment Party identifier into the Collection Account, and all amounts payable to the Payment Parties from the Clearing Bank.  Data in the Collection Account reports will include: <ul style="list-style-type: none"><li>• Payment Date</li><li>• Collection Account name</li><li>• Payment Party name</li><li>• Payment Party bank branch name</li><li>• Payment Party branch address</li><li>• Branch sort code</li><li>• Account number</li><li>• Combined Advice Note number</li><li>• Backing sheet number</li><li>• Backing sheet type</li><li>• Net amount payable</li></ul> Data in the Clearing Bank reports will include: <ul style="list-style-type: none"><li>• Payment Date</li><li>• Payment Party name</li><li>• Payment Party branch name</li><li>• Payment Party branch address</li><li>• Branch sort code</li><li>• Account number</li><li>• Advice Note number</li><li>• Backing sheet number</li><li>• Backing sheet type</li><li>• Net amount receivable</li></ul>			



**3.3.10**      *Quarterly Statements*

<b>Interface ID:</b> FAA-I010	<b>User:</b> H.M. Customs & Excise BSC Parties	<b>Title:</b> Quarterly Statements	<b>ITT reference:</b> ECVAA SD: 5, A ECVAA BPM: 3.3, 4.17 RETA SCH: 4, B, 3.3 FAA 5.3.3
<b>Mechanism:</b> Manual Hardcopy by post and data file	<b>Frequency:</b> Quarterly and ad hoc as requested by H.M. Customs & Excise	<b>Volumes:</b> BSC Parties: Low: 100 Reports sent each quarter Average: 200 Reports sent each quarter High: 300 Reports sent each quarter H.M. Customs & Excise: Low: 1 report detailing 100 BSC Parties’ trade per quarter Average: 1 report detailing 200 BSC Parties’ trade per quarter High: 1 report detailing 300 BSC Parties’ trade per quarter	
<b>Interface Requirement:</b> Quarterly reports provided to H.M. Customs & Excise detailing the following for each BSC Party: <ul style="list-style-type: none"><li>• Settlement Period</li><li>• BSC Party ID</li><li>• BSC Party name<ul style="list-style-type: none"><li>➤ Settlement Date</li><li>➤ Settlement code</li><li>➤ Calendar Payment Date</li><li>➤ Payment Date</li><li>➤ Description</li><li>➤ Backing sheet number</li><li>➤ Combined Advice Note number</li><li>➤ Combined Confirmation Notice number</li><li>➤ Amount excluding VAT</li><li>➤ VAT amount</li><li>➤ Interest amount</li><li>➤ Income tax amount (only printed if non-zero)</li><li>➤ Total paid or received</li></ul></li></ul>			

**3.3.11      Reserve Account Interest Advice Notes**

<b>Interface ID:</b> FAA-I035	<b>User:</b> BSC Party	<b>Title:</b> Reserve Account Interest Advice Notes	<b>ITT reference:</b> N/A
<b>Mechanism:</b> Manual Hardcopy by post	<b>Frequency:</b> Quarterly	<b>Volumes:</b> Low: 100 Advice Notes dispatched quarterly Average: 200 Advice Notes dispatched quarterly High: 300 Advice Notes dispatched quarterly	
<b>Interface Requirement:</b>  Document detailing amount of interest due to BSC Parties on a payment date. Details will include: <ul style="list-style-type: none"><li>• Date of Issue</li><li>• BSC Party Name</li><li>• BSC Party Address</li><li>• BSC Party facsimile Number</li><li>• Advice Note Number</li><li>• Amount if Interest Due</li></ul>			

**3.3.12 Combined Advice Notes**

<b>Interface ID:</b> FAA-I038	<b>User:</b> Payment Party BSCCo	<b>Title:</b> Combined Advice Notes	<b>ITT reference:</b> N/A (Modification Proposal P214)
<b>Mechanism:</b> Manual electronic transfer	<b>Frequency:</b> Following threshold breach, or as manually triggered	<b>Volumes:</b> Low: 1 combined Advice Note per Payment Party per tax quarter High: 300 combined Advice Notes dispatched per working day	
<b>Interface Requirement:</b>  A uniquely identified document containing data relating to a number of Trading Charges, Default charges and Ad-Hoc Charges Advice Notes.  Header details will include the following: <ul style="list-style-type: none"><li>• Payment Party name</li><li>• Payment Party address</li><li>• Payment Party facsimile number</li><li>• Payment Party email address</li><li>• Combined Advice Note number</li><li>• Reason for threshold breach</li><li>• Advice Note Threshold Limit</li><li>• Backing sheet number that breached Advice Note Threshold Limit (if applicable)</li><li>• Advice Note Date</li><li>• Payment Date</li><li>• Total amount payable/receivable net of tax liabilities, aggregate of Trading Charges, Default charges and Ad-Hoc Charges</li></ul> Report body details will include the following:  For each Trading Charges Advice Note detail item: <ol style="list-style-type: none"><li>1. Backing sheet number</li><li>2. Calendar Payment Date</li><li>3. Settlement Date</li><li>4. Settlement code</li><li>5. Description</li><li>6. Net amount excluding VAT per Settlement Run</li><li>7. Total including VAT per Settlement Run</li></ol> <ul style="list-style-type: none"><li>• Trading Charge subtotal including VAT</li></ul> ➤ For each Default Advice Note detail item: <ol style="list-style-type: none"><li>1. Backing sheet number</li><li>2. Calendar Payment Date</li><li>3. Affected Date</li><li>4. Defaulting Party</li><li>5. Amount in Default</li><li>6. Description</li><li>7. Net amount excluding VAT per Default Share Amount</li><li>8. Total including VAT per Default Share Amount</li></ol> ➤ <ul style="list-style-type: none"><li>• Default Charge Subtotal Including VAT</li></ul>			

➤ For each Ad-Hoc Charge Advice Note detail item:

1. Backing sheet number
2. Calendar Payment Date
3. Dispute Run Number
4. Description
5. Net amount Excluding VAT per dispute run
6. Total including VAT per dispute run

- 
- Ad-Hoc Charge Charge subtotal including VAT

A continuation sheet will be required.

The combined Advice Note will also include a separate section, detailing the following VAT information:

- For each Trading Charges Advice Note detail item
  1. VAT amount payable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
  2. VAT amount receivable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
- Trading Charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Trading Charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- For each Default charges Advice Note detail item
  1. VAT amount payable details:
    - Affected Date
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
  2. VAT amount receivable details:
    - Affected Date

- Backing sheet number
  - VAT code
  - Description
  - Trade value
  - VAT rate
  - VAT amount
  - Total including VAT
- Default charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Default charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- For each Ad-Hoc Charge Advice Note detail item
  1. VAT amount payable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
  2. VAT amount receivable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
- Ad-Hoc Charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Ad-Hoc Charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Trading Charge, Default charge and Ad-Hoc Charge grand totals for
  1. VAT amounts payable:
    - Trade value
    - VAT amount
    - Total including VAT
  2. VAT amounts receivable:
    - Trade value
    - VAT amount
    - Total including VAT

**3.3.13      *Default Statement (Backing Documentation)***

<b>Interface ID:</b> FAA-I039	<b>User:</b> Payment Party BSCCo	<b>Title:</b> Threshold Default Statement (Backing Documentation)	<b>ITT reference:</b> N/A (Modification Proposal P214)
<b>Mechanism:</b> Manual electronic transfer	<b>Frequency:</b> Following threshold breach, or as manually triggered	<b>Volumes:</b> Low: 1 Combined Advice Note per BSC Party per Tax Quarter High: 300 Combined Advice Notes dispatched per working day	
<p><b>Interface Requirement:</b></p> <p>Supporting information relating to the Default Advice Notes listed in the Combined Advice Note, in particular details of Default Share Amounts payable or receivable by a Payment Party with respect to multiple Payment Defaults.</p> <p>Default statements will be available in Portable Document Format.</p> <p>Header details will include the following:</p> <ul style="list-style-type: none"> <li>• Payment Party name</li> <li>• Payment Party address</li> <li>• Payment Party telephone number</li> <li>• Payment Party fax number</li> <li>• Payment Party email address</li> <li>• Combined Advice Note number</li> <li>• Payment Date</li> </ul> <p>Report body details will include the following:</p> <ul style="list-style-type: none"> <li>• Details of Default: <ol style="list-style-type: none"> <li>1. Affected Date</li> <li>2. Defaulting Party</li> <li>3. Amount in Default</li> </ol> </li> <li>• Details of Default Share Amount: <ol style="list-style-type: none"> <li>1. Amount excluding VAT</li> <li>2. VAT</li> <li>3. Amount including VAT</li> <li>4. Non-VATable share</li> <li>5. Interest</li> <li>6. Total amount payable/receivable net of tax liabilities</li> </ol> </li> </ul>			

**3.3.14 Combined Confirmation Notices**

<b>Interface ID:</b> FAA-I040	<b>User:</b> BSC Party BSCCo	<b>Title:</b> Combined Confirmation Notices	<b>ITT reference:</b> N/A (Modification Proposal P214)
<b>Mechanism:</b> Manual electronic transfer	<b>Frequency:</b> Per Payment Date	<b>Volumes:</b> Low: 1 combined Confirmation Note per BSC Party per Tax Quarter High: 300 combined Confirmation Notes dispatched per working day	
<b>Interface Requirement:</b>  Tax document detailing amounts paid to or received from BSC Parties on a Payment Date in relation to multiple Trading Charges, Default charges and Ad-Hoc Charges Advice Notes detailed on combined Advice Notes. Support for standard rate VAT and zero rate VAT BSC parties.  In addition, the BSCCo receives a Combined Confirmation Notice detailing the amount of VAT imbalance transferred to/from the BSCCo to/from the BSC Clearer in relation to that Payment Date.  Header details will include the following: <ul style="list-style-type: none"><li>• Date of Issue</li><li>• BSC Party name</li><li>• BSC Party address</li><li>• BSC Party facsimile number</li><li>• BSC Party email address</li><li>• BSC Party VAT non-liability statement (if applicable) – “The BSC Party is not liable to VAT and must account for VAT”</li><li>• BSC Party VAT registration number and two digit country code</li><li>• Combined Confirmation Notice number</li><li>• Combined Advice Note number</li><li>• Payment Date</li><li>• Total amount payable/receivable net of tax liabilities</li></ul> Report body details will include the following: <ol style="list-style-type: none"><li>1. For each Trading Charges Advice Note detail item:<ul style="list-style-type: none"><li>○ Backing sheet number</li><li>○ Calendar Payment Date</li><li>○ Settlement Date</li><li>○ Settlement code</li><li>○ Description</li><li>○ Net amount excluding VAT per Settlement Run</li><li>○ VAT amount</li><li>○ Total including VAT per Settlement Run</li></ul></li><li>2. Trading Charges subtotal including VAT</li><li>3. For each Default charges Advice Note detail item:<ul style="list-style-type: none"><li>○ Backing sheet number</li><li>○ Calendar Payment Date</li><li>○ Affected Date</li><li>○ Defaulting Party</li><li>○ Amount in Default</li></ul></li></ol>			

- Description
  - Net amount excluding VAT per Default Share Amount
  - VAT Amount
  - Total including VAT per Default Share Amount
4. Default Charges Subtotal Including VAT
5. For each Ad-Hoc Charges Advice Note detail item:
- Backing sheet number
  - Calendar Payment Date
  - Dispute run number
  - Description
  - Net amount excluding VAT per dispute run
  - VAT amount
  - Total including VAT per dispute run
6. Ad-Hoc Charges subtotal including VAT

A continuation sheet will be required.

The combined Confirmation Notice will also include a separate section, detailing the following VAT information:

- For each Trading Charges Advice Note detail item
  1. VAT amount payable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
  2. VAT amount receivable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
- Trading Charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Trading Charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- For each Default charges Advice Note detail item
  1. VAT amount payable details:
    - Affected Date
    - Backing sheet number
    - VAT code
    - Description



- Trade value
  - VAT rate
  - VAT amount
  - Total including VAT
- 2. VAT amount receivable details:
  - Affected Date
  - Backing sheet number
  - VAT code
  - Description
  - Trade value
  - VAT rate
  - VAT amount
  - Total including VAT
- Default charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Default charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- For each Ad-Hoc Charge Advice Note detail item
  1. VAT amount payable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
  2. VAT amount receivable details:
    - Backing sheet number
    - VAT code
    - Description
    - Trade value
    - VAT rate
    - VAT amount
    - Total including VAT
- Ad-Hoc Charge VAT amount payable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Ad-Hoc Charge VAT amount receivable subtotals of
  1. Trade value
  2. VAT amount
  3. Total including VAT
- Trading Charge, Default charge and Ad-Hoc Charge grand totals for
  1. VAT amounts payable:
    - Trade value
    - VAT amount
    - Total including VAT
  2. VAT amounts receivable:

- Trade value
- VAT amount
- Total including VAT

Backing Sheet also to include support for standard rate VAT and zero rate VAT BSC parties.

### 3.4 FAA Inbound Interfaces

#### 3.4.1 *Completed Direct Debit Mandate*

<b>Interface ID:</b> FAA-I011	<b>Source:</b> BSC Party	<b>Title:</b> Completed Direct Debit Mandate	<b>ITT reference:</b>
<b>Mechanism:</b> Manual – Hardcopy by post	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Low: 30 mandates to process at market start-up Average: 60 mandates to process at market start-up High: 90 mandates to process at market start-up	
<b>Interface Requirement:</b>  Completed Direct Debit Mandate including the following: <ul style="list-style-type: none"><li>• Name of Account Holder</li><li>• Branch Sort Code</li><li>• Account Number</li><li>• Bank Name and Address</li><li>• Authorised Signature</li></ul> If the BSC Party elects to pay by Direct Debit, the FAA initiates payment instructions to collect the amounts due. See outbound interface FAA-I008.			

**3.4.2**      *Credit Limit*

<b>Interface ID:</b> FAA-I012	<b>Source:</b> BSC Party	<b>Title:</b> Credit Limit	<b>ITT reference:</b> FAA SD 5.2.1
<b>Mechanism:</b> Manual Letter	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Low: 100 sets of values to process at market start-up Average: 200 sets of values to process at market start-up High: 300 sets of values to process at market start-up	
<b>Interface Requirement:</b>  Data received will be the BSC Parties’ request for Desired Credit Limit.  Details received will include: <ul style="list-style-type: none"><li>• BSC Party Name</li><li>• Credit Limit (MWh)</li><li>• Effective Date</li></ul>			

**3.4.3**      *Credit Cover Provision*

<b>Interface ID:</b> FAA-I013	<b>Source:</b> BSC Party	<b>Title:</b> Credit Cover Provision	<b>ITT reference:</b> FAA SD 5.3 FAA SD 5.4 RETA SCH 4
<b>Mechanism:</b> Manual Letter of Credit sent by registered post or courier  Funds will be received via electronic bank transfer	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Low: 100 credit cover provisions to process at market start-up Average: 200 credit cover provisions to process at market start-up High: 300 credit cover provisions to process at market start-up	
<b>Interface Requirement:</b>  Provision of security from BSC Party in order to secure the agreed credit limit.  Credit Cover may be in the form of : <ul style="list-style-type: none"><li>• Cash</li><li>• Letter of Credit for a specified period</li></ul>			

**3.4.4 Bank Details**

<b>Interface ID:</b> FAA-I014	<b>Source:</b> BSC Party	<b>Title:</b> Bank Details	<b>ITT reference:</b> FAA SD 8 FAA SD11.6 RETA SCH 4
<b>Mechanism:</b> Manual Letter or completed Funds Accession Agreement	<b>Frequency:</b> Ongoing as applicable	<b>Volumes:</b> Low: 100 sets of bank details to process at market start-up Average: 200 sets of bank details to process at market start-up High: 300 sets of bank details to process at market start-up	
<b>Interface Requirement:</b>  Bank details required will include: <ul style="list-style-type: none"><li>• BSC Party Name</li><li>• BSC Party Address</li><li>• Elected Method of Payment</li><li>• Bank Name</li><li>• Bank Address</li><li>• Branch Sort Code</li><li>• Account Number</li><li>• Bank Contact Details</li><li>• Authorised Signature</li></ul>			

### 3.4.5 Funds Accession Agreement and BSC Party Checklist

<b>Interface ID:</b> FAA-I015	<b>Source:</b> BSC Party	<b>Title:</b> Funds Accession Agreement	<b>ITT reference:</b>
<b>Mechanism:</b> Manual Hardcopy by post	<b>Frequency:</b> BSC Party Registration & ongoing changes as applicable	<b>Volumes:</b> Low: 100 Funds Accession Agreements to process at market start-up Average: 200 Funds Accession Agreements to process at market start-up High: 300 Funds Accession Agreements to process at market start-up	
<b>Interface Requirements:</b>  BSC Party details will include: <ul style="list-style-type: none"><li>• Contact Details:<ul style="list-style-type: none"><li>➤ BSC Party Name</li><li>➤ BSC Party Identifier</li><li>➤ Contact Name</li><li>➤ Address</li><li>➤ Telephone Number</li><li>➤ Facsimile Number</li><li>➤ Contact Email Address (for general queries)</li><li>➤ Delivery Email Address (for Advice Notes, Confirmation Notices and backing documentation)</li><li>➤ Registered Company Name</li><li>➤ Company Number</li><li>➤ Registered Address</li><li>➤ VAT Country code (if applicable)</li><li>➤ VAT Registration number (if applicable)</li><li>➤ Clarification of whether UK VAT is applicable or not</li></ul></li><li>• Other Details<ul style="list-style-type: none"><li>➤ VAT Code</li><li>➤ Network details:<ul style="list-style-type: none"><li>i. Username</li><li>ii. Password</li><li>iii. Node Name</li><li>iv. Directory</li></ul></li></ul></li></ul>			

**3.4.6**      *Payment Confirmations*

<b>Interface ID:</b> FAA-I016	<b>Source:</b> Collection Banks	<b>Title:</b> Payment Confirmations	<b>ITT reference:</b> FAA SD 11.7 RETA SCH 4
<b>Mechanism:</b> Manual Telephone to authorised FAA personnel or fax – dependent on individual Collection Bank procedures  Confirmatory reports produced from CHAPS terminal	<b>Frequency:</b> Daily	<b>Volumes:</b> 5 confirmations received per working day	
<b>Interface Requirement:</b>  Confirmation from Collection banks that all funds due for the payment date (as advised by the FAA in outbound interface ‘Payment Instructions’, FAA-I009) have been received and are available to be transferred to the Clearing account for distribution to creditors. Information received will include: <ul style="list-style-type: none"><li>• Collection Bank Name</li><li>• Payment Date</li><li>• Total amount received</li><li>• Confirmation that transfer to Clearing Account has been initiated</li><li>•</li></ul>			

**3.4.7**      *Non-receipt Notifications*

<b>Interface ID:</b> FAA-I017	<b>Source:</b> Collection Banks	<b>Title:</b> Non-receipt Notifications	<b>ITT reference:</b> FAA SD 7 FAA SD11.2 RETA SCH 4
<b>Mechanism:</b> Manual Telephone to authorised FAA personnel	<b>Frequency:</b> As applicable	<b>Volumes:</b> Not Known	
<b>Interface Requirement:</b>  Details of any non-payments or any variance in the payments received from the Bank Advice Report, (Outbound Interface Payment Instructions, FAA-I009).  Information received will include: <ul style="list-style-type: none"><li>• Collection Bank Name</li><li>• Payment Date</li><li>• BSC Party</li><li>• Shortfall in funds received</li><li>• Deadline for resolution</li></ul>			

**3.4.8**      *Minimum Eligible Amount*

<b>Interface ID:</b> FAA-I036	<b>Source:</b> BSC Party	<b>Title:</b> Minimum Eligible Amount	<b>ITT reference:</b> FAA SD: 5.3.1
<b>Mechanism:</b> Manual, fax, e mail	<b>Frequency:</b> As per occurrence	<b>Volumes:</b> Low	
<b>Interface Requirement:</b>  Request from BSC Party to replace ECC value with Minimum Eligible Amount Value			