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PERFORMANCE ASSURANCE WEBINAR

12 JANUARY 2023

INTRODUCING YOUR PRESENTERS

RETAIL ENERGY CODE



Anton Moden

REC Code Manager

Performance Assurance Lead



Andrew Waghorn

REC Code Manager

Analytics Lead



Lewis Williams

REC Code Manager

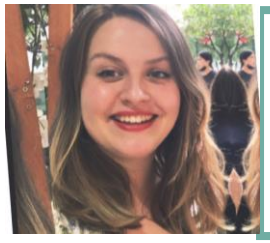
Analytics Manager



Vaishnavi Sharma

REC Code Manager

Party Assurance Manager



Amie Lauper-Bull

REC Code Manager

Events and Communications Lead



Katie Costa Fernandes

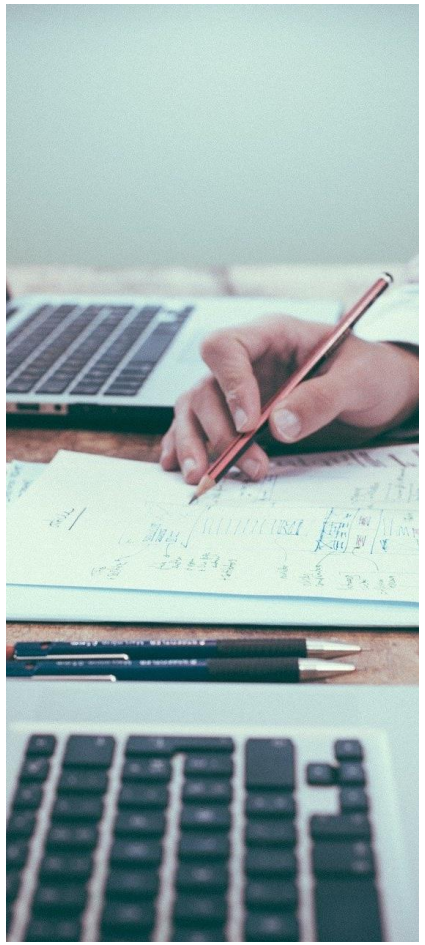
REC Code Manager

Engagement Lead

HOUSEKEEPING

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- Videos and microphones
- Event recording
- Use of Slido
- Opportunities for Q&A



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AGENDA FOR TODAY

AGENDA ITEM	PRESENTER
Performance Assurance overview • Risk monitoring approach • How we interact with Parties	Anton Moden & Vaishnavi Sharma
Performance Assurance Dashboards • Recap on availability and access	Lewis Williams & Andrew Waghorn
File Validation • Overview of new functionality	Lewis Williams
Upcoming Activity • Early sight of relevant Performance Assurance related CPs • Upcoming deadlines	Lewis Williams
Forward look at Performance Assurance activity	Anton Moden
Open Forum	Katie Costa Fernandes
Q&A	Amie Lauper-Bull

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PERFORMANCE ASSURANCE OVERVIEW

ANTON MODEN & VAISHNAVI SHARMA

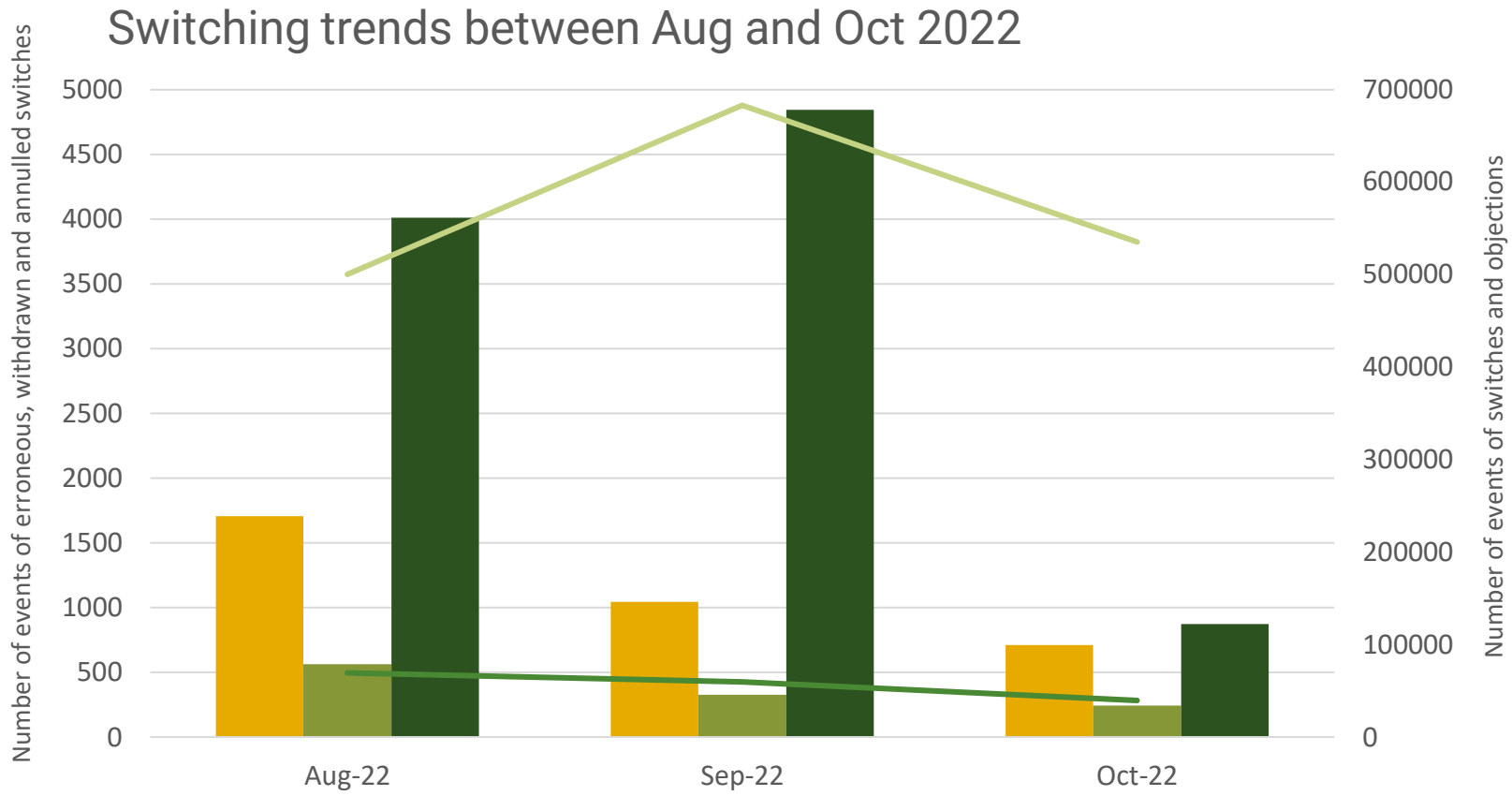
OUR ROLE ASSESSING PARTIES

We oversee Party performance through a combination of monitoring performance data, and specific techniques such as Maintenance of Qualification assessments. This follows the six step process below:



This provides us with insights into what is working and where there are challenges.

MARKET OBSERVATIONS – PARTY PERFORMANCE



	Aug-22	Sep-22	Oct-22
Number of switch events withdrawn	1706	1045	710
Number of switch events annulled	564	329	244
Number of ES resolved	4010	4843	875
Number of switches	500000	683000	535000
Number of switch events objected to	69644	59970	39691

MARKET OBSERVATIONS – PARTY PERFORMANCE

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Improvements we have seen in latest data (October 2022):

Proportion of Change of Supplier events with a disputed or missing Switch Meter Reads has reduced

6%



1 %

Number of late resolved Erroneous Switch instances has reduced

8,940



1,842

Areas of on-going focus:

Debt Assignment Protocol remains another area of focus for the Code Manager, and the solution design is on-going under REC Change Proposal R0037

Areas for improvement: Timeliness of sending MTDs and resolving metering faults

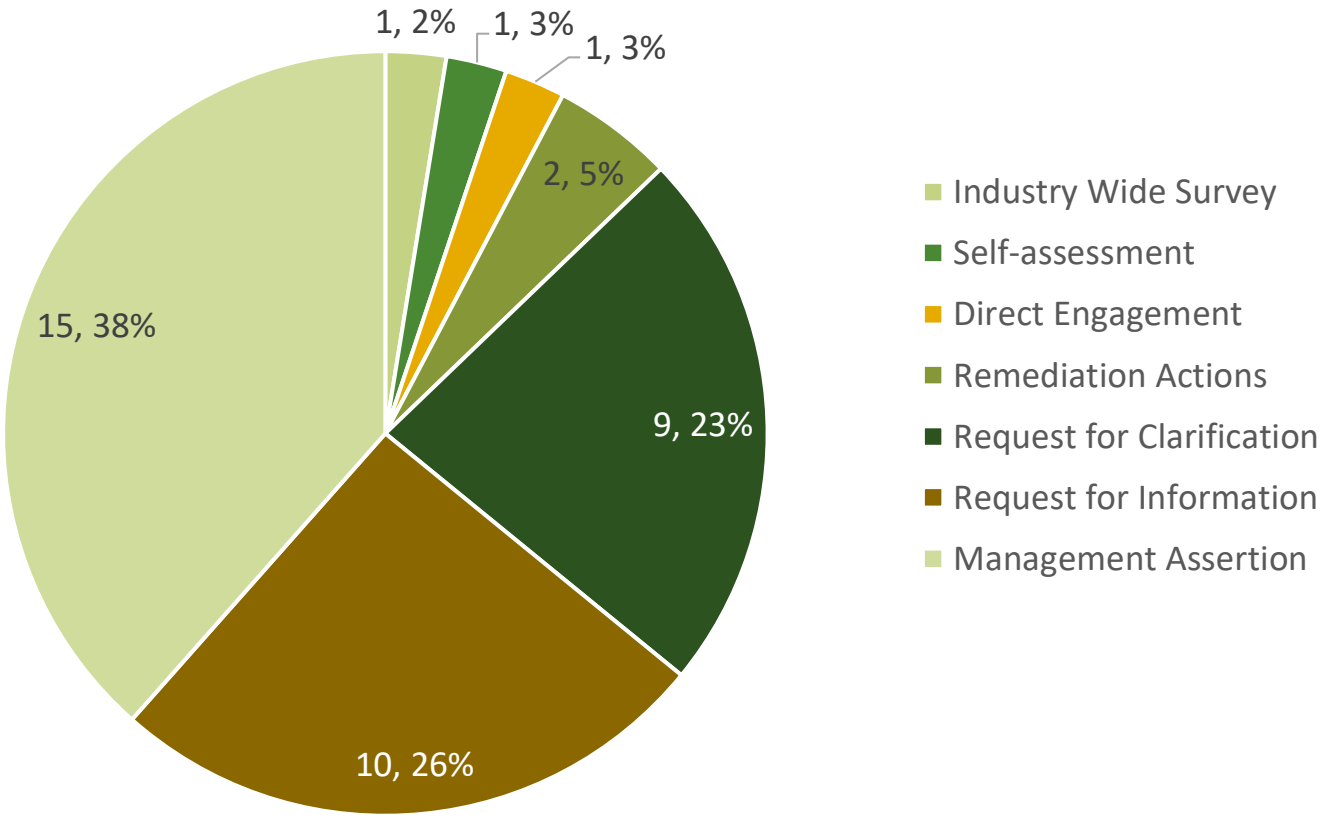
PERFORMANCE ASSURANCE ACTIVITIES OVER THE LAST QUARTER

We currently monitor performance against 14 risk drivers, 8 of which have been updated since CSS go-live.

PAB thresholds for Risk Drivers introduced or updated following CSS go-live are due to be set in February.

The number of Parties breaching the threshold for at least one Risk Driver has reduced from 28 in September to 23 in October.

PATs issued by type since October 2022



The overall compliance score across the industry has remained stable over the last quarter.

OUR ROLE ASSESSING SERVICE PROVIDERS

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Receiving reports based on performance against metrics within service definitions

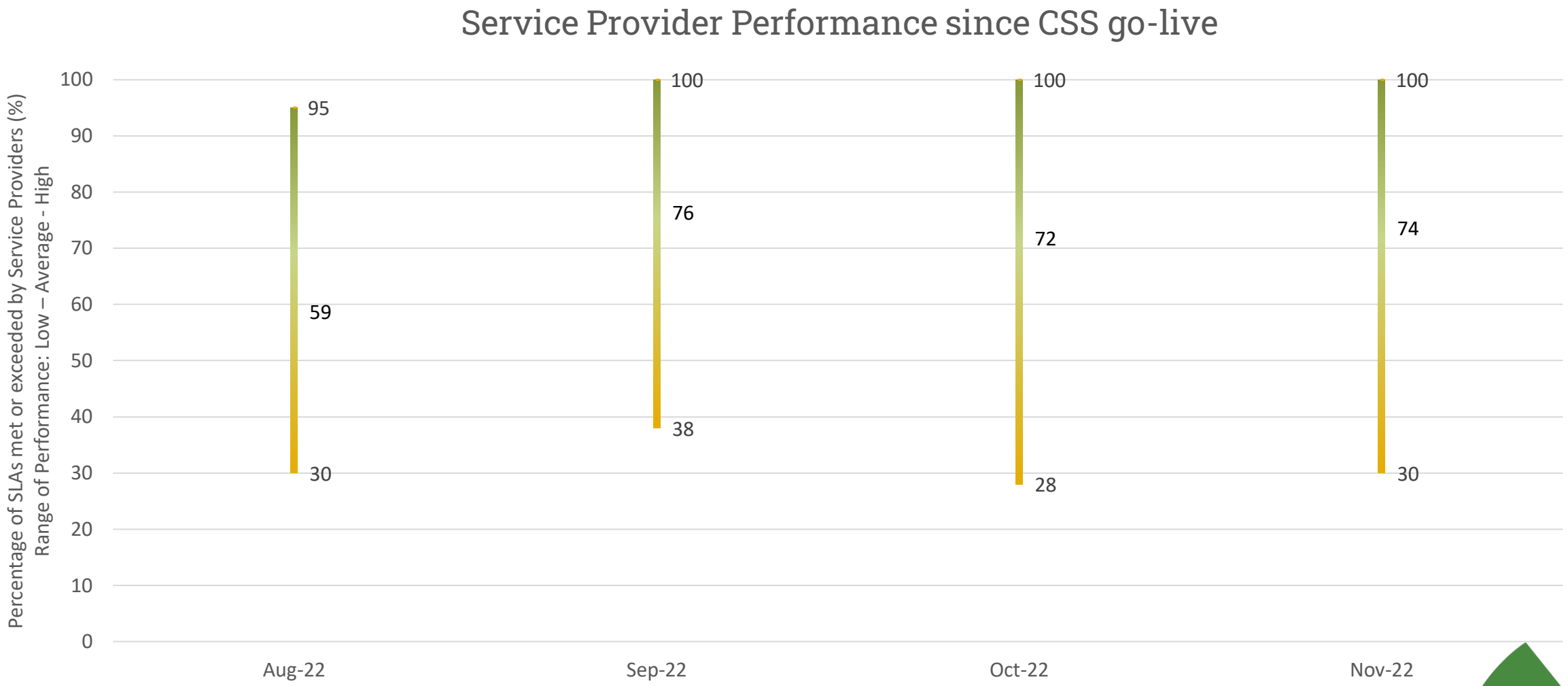


Specific interventions based on performance or how the provider is procured

Conducting assurance to assess the accuracy of reporting

MARKET OBSERVATIONS – SERVICE PROVIDERS PERFORMANCE

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PERFORMANCE ASSURANCE DASHBOARDS

LEWIS WILLIAMS & ANDREW WAGHORN

DASHBOARDS OVERVIEW

- All three Performance Assurance dashboards are now live on the REC Portal.
- They are fundamental to our approach, providing visibility on Market and Party performance.
- They allow REC Parties and Service Providers the ability to independently review their performance and identify areas for improvement.
- It is important that you review your performance each month and take appropriate action to improve performance in low performing areas, this will reduce the likelihood of PATs being applied.

REC Party Dashboard

- Available to REC Parties
- Shows performance across various aspects of the REC.
- In some tabs, Party users will see their own data only in some tabs, anonymised data for other parties will be visible in others.

Service Provider Dashboard

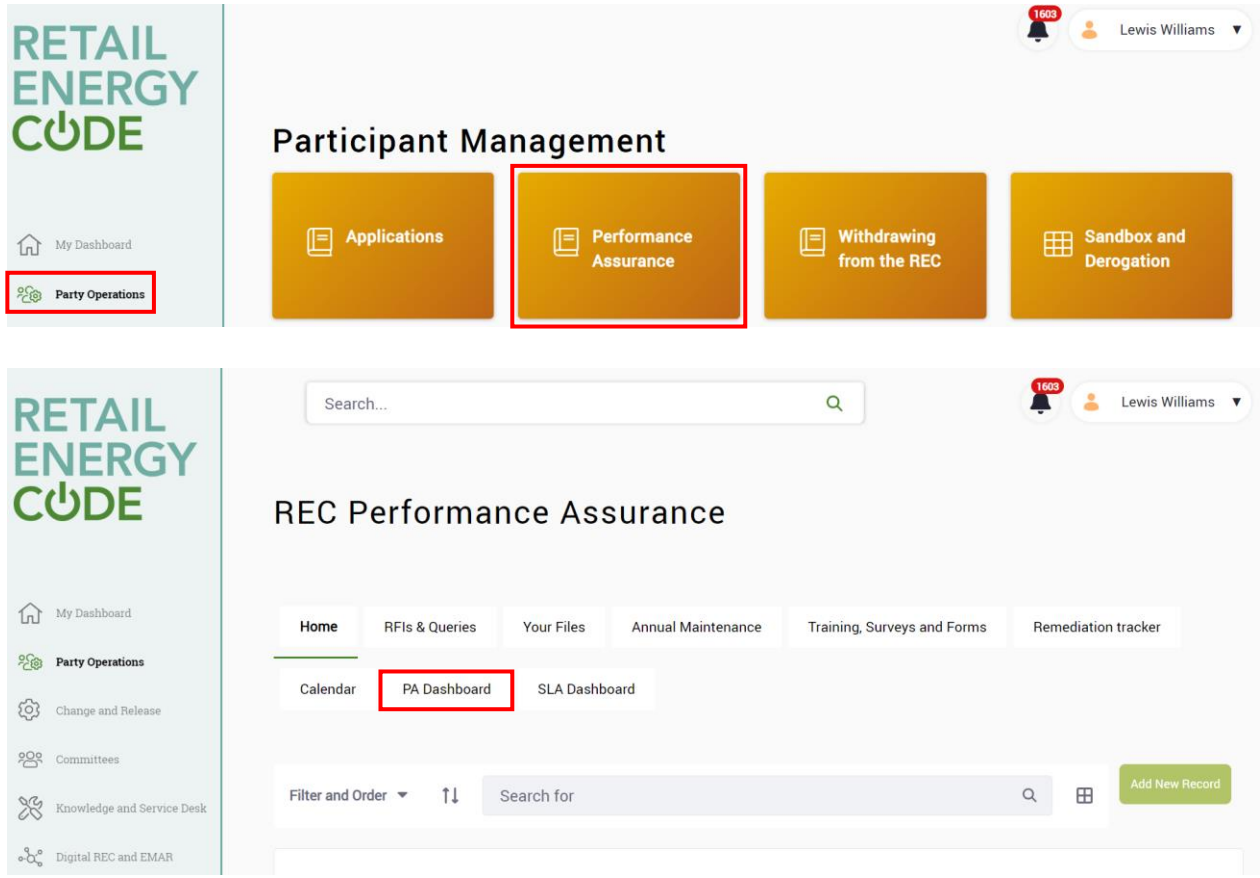
- Available to REC Service Providers.
- Shows monthly performance against defined SLAs.
- REC Service Provider users will see their own data only.

Public Dashboard

- Available to all REC Portal users.
- The only tab available at present is the Peer Comparison.
- All data displayed is anonymised.

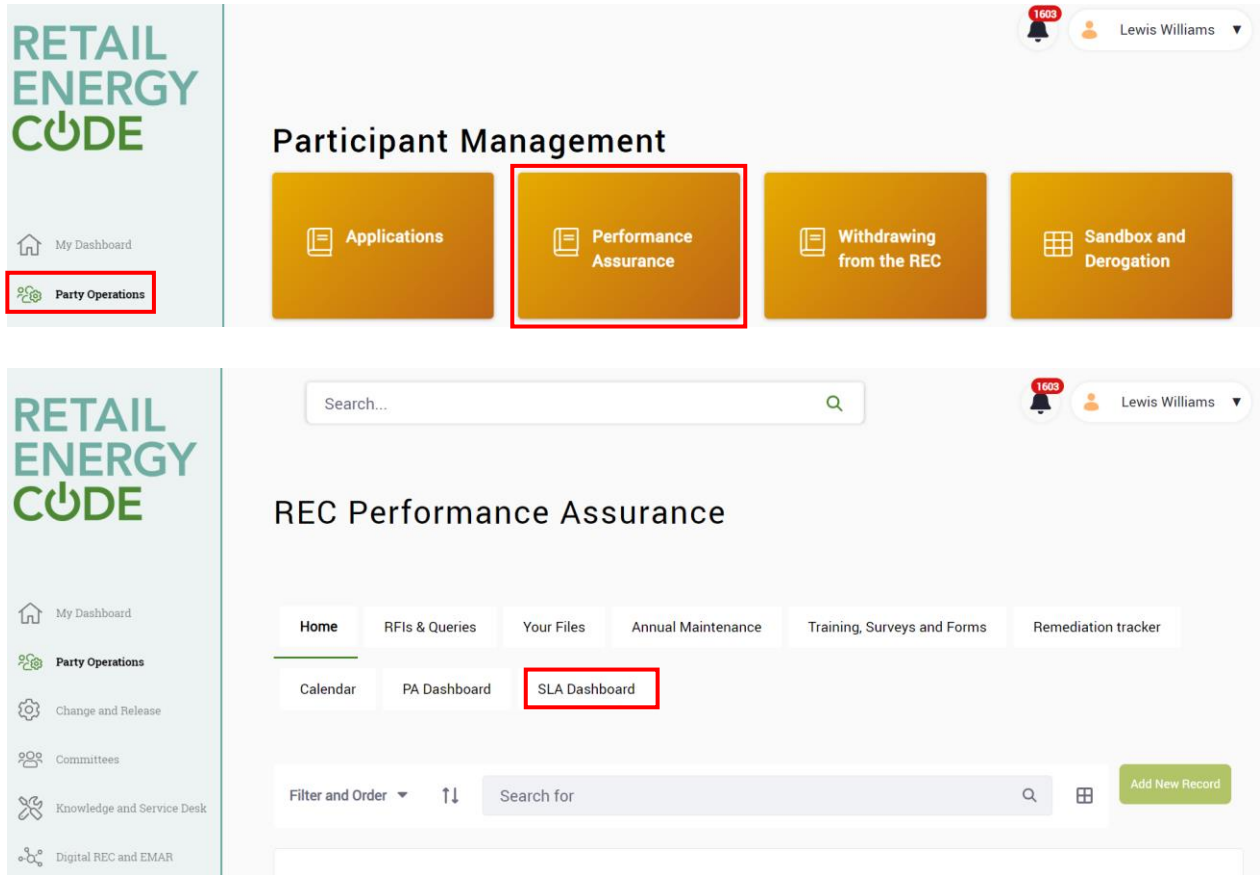
REC PARTY DASHBOARD ACCESS

- The dashboard is accessed through the Performance Assurance tab on the Party Operations page of the Portal.
- In order to view the dashboard you will require the REC Performance Assurance Dashboard Viewer role to be granted.
- Email communications were issued to Parties at go-live, confirming the Portal organisation page each Party's dashboard would be published to.
- If you try to access through a page other than that communicated, you will not be able to view your organisations data.



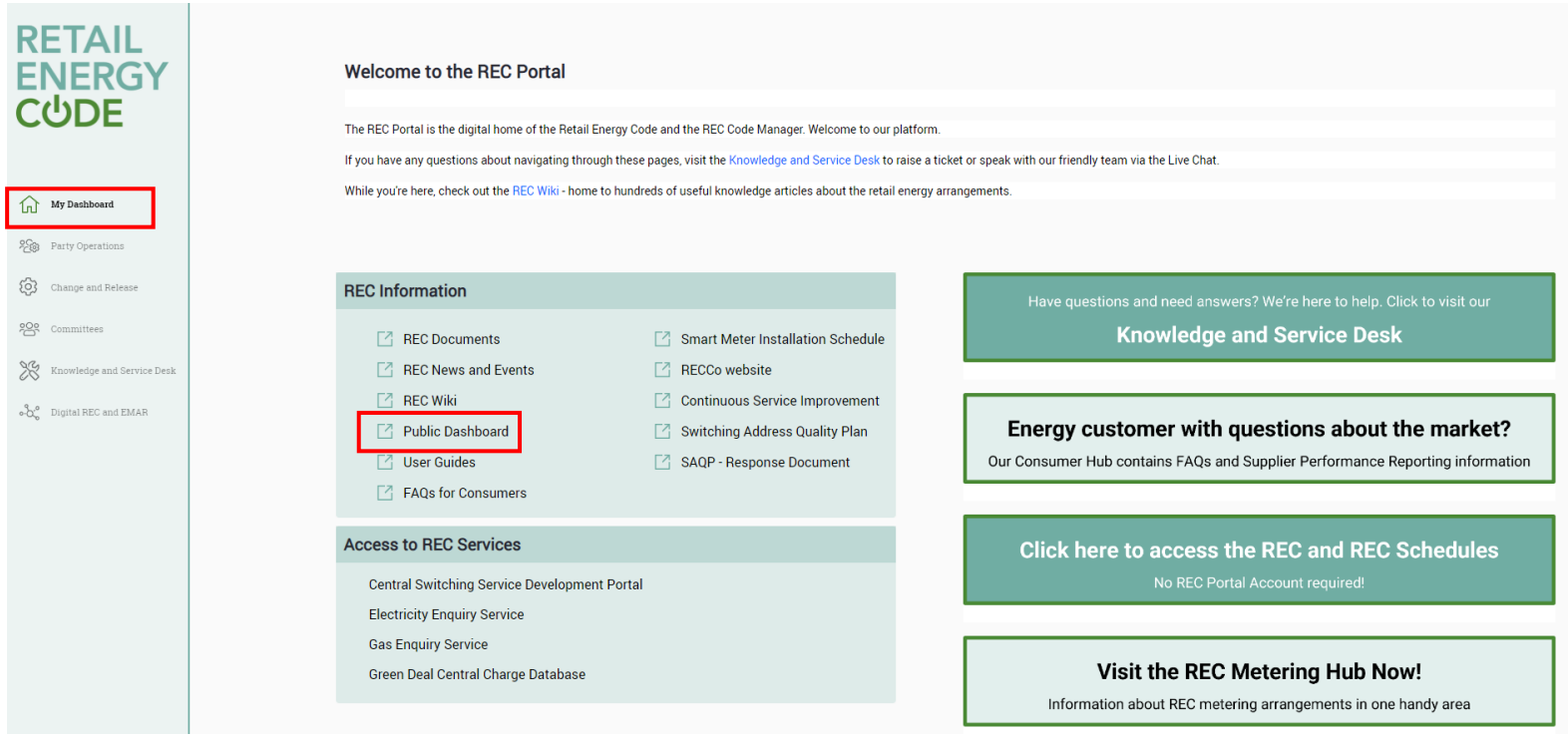
SERVICE PROVIDER DASHBOARD ACCESS

- As per the Party dashboard, the dashboard is accessed through the Performance Assurance tab on the Party Operations page of the Portal.
- If your organisation is not a REC Service Provider, you will not see the SLA Dashboard option.
- In order to view, you will need the REC Service Provider Dashboard Viewer role to be granted.
- We are aware of access issues relating to this dashboard. The Portal team are working on a resolution at present, due imminently.



PUBLIC DASHBOARD ACCESS

- All REC Portal Users can access this dashboard, no login is required.
- The dashboard is accessed through the REC Information section of the My Dashboard page of the Portal.



USEFUL RESOURCES

- The recordings of the various webinars held on dashboard go-live are available on the REC Portal:
  - Performance Assurance Dashboards (REC Parties) Webinar
  - Performance Assurance Dashboard (Service Providers) Webinar
  - Performance Assurance Dashboards Post Go-Live Webinar
- The dashboard user guide, detailing the process for accessing and using the functionality available within the dashboards is also available on the Portal here.
- For any specific issues, or to share any suggestions on future improvement, please contact the Performance Assurance mailbox (performanceassurance@recmanager.co.uk).

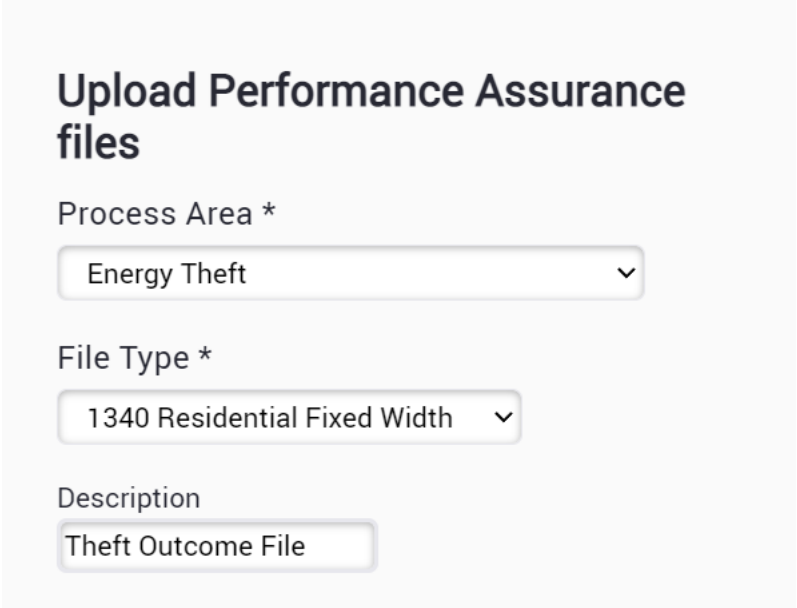
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FILE VALIDATION

LEWIS WILLIAMS

OVERVIEW

- Automatic validation of files uploaded to the Performance Assurance areas of the Portal has been phased in since November.
- It allows for files uploaded to the Portal to be checked in real-time against the valid file formats defined in the Performance Assurance Report Catalogue (PARC) schemas.
- This functionality has been introduced for two main reasons:
  - It provides instant feedback, reducing the need for back and forth communication
  - It allows for further automation of the process to deliver a more efficient Code Manager Service.
- At present, validation is in place for nearly all party data items, the main exceptions being the Theft Outcome files (1340), and the updated switching data items, 1431 and 1441.



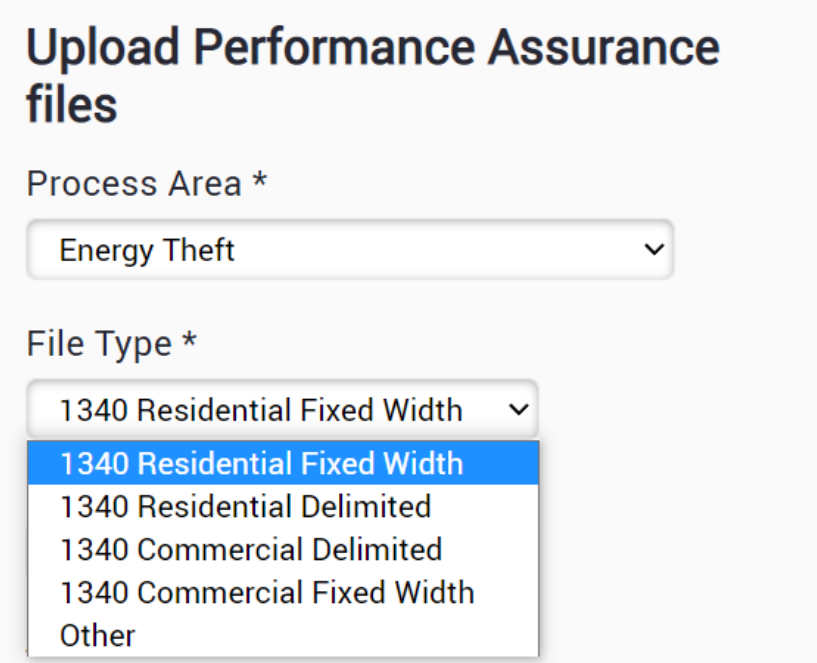
TYPES OF VALIDATION

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VALIDATION STEP	EXAMPLE CHECKS
Is the file type valid?	If the required file format is .csv or .txt, is the file being uploaded .csv or .txt? Is the file in a standard encoding format?
Are the delimiters correct?	If the file is a .csv, are the column delimiters commas?
Has a field header row been provided and are the field headers correct?	Have field header row been provided? Do the field header names exactly match that in the Report Catalogue? Are they in the same order? Are there any missing/extra fields? *Relevant for all files except the Theft Outcome files (1340)*
Is the data in the correct format?	Have date fields been provided in the correct date format? Are numeric fields in a numeric format?
Have mandatory fields been populated?	Are there any blank entries within the mandatory fields?
Have valid values been provided?	In fields where only certain values are allowed, are there any entries that do not match a value in the allowed list?

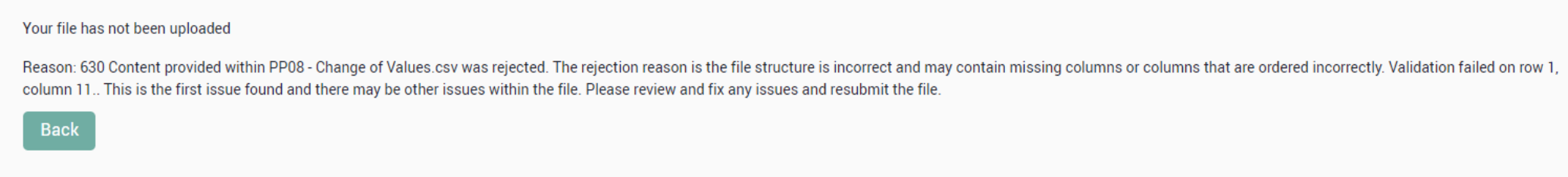
THEFT OUTCOME FILE VALIDATION

- Validation of Theft Outcome files is due to go live this month.
- The same file validation rules will apply, with the addition of a further validation step to check the header and trailer rows/blocks.
- These files have a complex format, so you may find that your files are rejected at first.
- We have engaged with multiple Parties to date to help resolve formatting issues. If you require assistance and have yet to get in touch, please do so via the Performance Assurance mailbox – performanceassurance@recmanager.co.uk.



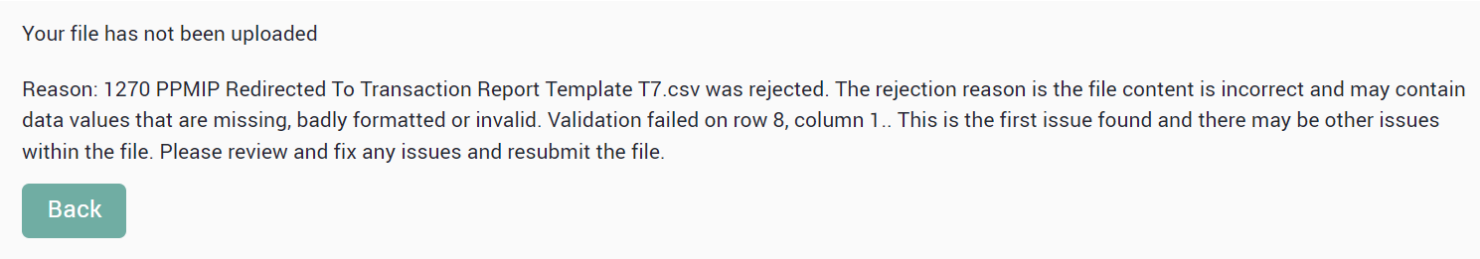
TROUBLESHOOTING (1/2)

- Error messages referencing the structure of the file / “row 1” are the most common error messages observed to date.
- This indicates an error within the header row or in the overall structure of the file.
- To problem solve these issues:
  - Check the field names in the header row exactly match that specified in the Report Catalogue. File Validation is both space and case sensitive.
  - Check the fields are provided in the same order as specified in the Report Catalogue.
  - Check that there are no additional blank fields added to the end of the file.
  - Check that the file is in a standard encoding format (UTF-8 or ANSII). We have seen instances where files provided in less common formats like UTF-8 BOM are rejected.



TROUBLESHOOTING (2/2)

- Error messages referencing that the file content is incorrect relate to the data in the file itself e.g. a mandatory field being left blank, or a date field being provided in an incorrect date format. The error message will specify the row (line) and column affected.



- Many of the issues seen are the result of data being collated in MS Excel before converting to .csv or .txt file formats. Please re-review your file after converting from MS Excel, preferably using a text editor such as Notepad++.
- If you have completed the troubleshooting steps and you are still unsure why your file is being rejected, please contact the Performance Assurance mailbox (performanceassurance@recmanager.co.uk) with details of the file being uploaded and the error message received.

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UPCOMING ACTIVITY

LEWIS WILLIAMS

WE ARE WORKING ON THE FOLLOWING CHANGE PROPOSALS

AREA	CHANGE OVERVIEW
Performance Assurance Report Catalogue (PARC)	1. Minor corrections to RGMA flow related items (660-770) following Party feedback. 2. Removal of the switching data items 1430 and 1440 as they will be replaced by 1431 and 1441 following the transition period elapsing. 3. Update to the 1810 Data Cleanse Exemption report, to allow for new exemption scenarios.
Data Cleanse Reporting	1. Reclassification of the Data Cleanse Guidance documents to REC Category 3 documents. 2. Addition of Movement Summary Report to monthly reporting pack. 3. Separation of the No Meter MTC Report into two sub-reports.
Schedule 7 – Energy Theft Reduction	1. Various clarifications to improve visibility of scheme operations including: a) Reporting requirements and timelines b) Determination of theft targets including where discrepancy between market share and licence type data c) Treatment of SoLR events d) Calculation process for debits/credits at end of scheme year. 2. Removal of transitional language. 3. Treatment of supplier with a target < 1.

UPCOMING DEADLINES

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- Energy Theft
  - 2023/24 Scheme Year theft targets issued by 1 March 2023
  - Final Theft Outcome File submission for 2022/23 Scheme Year required by 2 May 2023
  - Final 2022/23 Scheme Year debit and credit values communicated by 22 August 2023

- Monthly Data Submission
  - Performance Assurance data submission is required by the 1st working day of the month and Service Provider data is required by the 5th working day of the month, please make every effort to continue to submit timely.

- Maintenance of Qualification (MoQ)
  - The 2023 MoQ submission requirements and deadlines were communicated via email w/c 9 January 2023. Please make ensure to fulfil these requirements by the set deadline.
  - MoQ submissions requirements and deadlines for 2022 were communicated via email on 26 November 2021. Any REC Service Users unsure of whether they have any outstanding MoQ submissions – please contact performanceassurance@recmanager.co.uk.

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OPEN FORUM

KATIE COSTA FERNANDES

OPEN FORUM

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- It is important to collect your views to help us develop our work plan, we have suggested some topics below which will help aid discussion and structure your input.
- However, this is an open forum so please feel free to ask any question(s)

Are there emerging risks or processes causing you problems?

Are there barriers in the way of compliance we should be aware of?

Are there priority areas of service provider delivery for you?

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Q&A

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Audience Q&A Session

ⓘ Start presenting to display the audience questions on this slide.

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Feedback

ⓘ Start presenting to display the poll results on this slide.

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THANKS FOR ATTENDING

CONTACT US: ENQUIRIES@RECMANAGER.CO.UK