RETAIL ENERGY CODE

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01	Initial Assessment Report
02	Preliminary Change Report
03	Final Change Report

INITIAL ASSESSMENT REPORT

R0002 – REVIEW OF DATA SPECIFICATION CATEGORY IN REC BASELINE STATEMENT

DOCUMENT VERSION	1.0
DATE ISSUED	03/09/2021
DOCUMENT APPROVAL STATUS	APPROVED BY CHANGE PANEL
RESPONSIBLE COMMITTEE	CHANGE PANEL

CHANGE OVERVIEW

This proposal seeks to formally designate parts of the Data Specification as Category 2 documents in the REC Baseline Statement, so these are subject to form change control set out in the REC Change Management Schedule.

	High Impact: None
	Medium Impact: Code Manager
	Low Impact: All REC Parties and Market Participants listed as a Market Data Service in the Data Specification

RETAIL ENERGY CODE

CONTENTS

1.	SUMMARY	3
2.	PROBLEM STATEMENT	3
3.	USER STORIES	4
4.	IMPACTS	4
5.	CHANGE PATH AND RESPONSIBLE COMMITTEE	5
6.	PRIORITY STATUS AND URGENCY	5
7.	SUMMARY OF CHANGE PROPOSAL PLAN	6
8.	GLOSSARY	7

LEAD ANALYST
Jon Hawkins
jonathan.hawkins@gemserv.com

RETAIL ENERGY CODE

1 SUMMARY

The introduction of the Data Specification as part of REC V2.0 was consulted on by Ofgem in their consultation on REC V2.0 and Retail Code Consolidation and confirmed in their decision published on 30th April 2021. The intention was for this to be included in the Switching Programme Change Request to make the required changes to the REC for Retail Code Consolidation.

Unfortunately, the Data Specification was not included in CR-D092 or CR-D099, which were the Switching Programme CR's that gave effect to REC V2.0. Therefore, the Data Specification was not formally designated as part of REC V2.0 and has temporarily been added to the REC Baseline Statement as a Category 3 product.

This means that changes to the Data Specification, including changes to Market Messages and Data Items used by market participants to interface with other businesses and service providers, are not subject to the process set out in the REC Change Management Schedule.

Changes to these artefacts can have significant impacts to the systems and processes of market participants and service providers. These changes should follow a robust and thorough assessment to ensure these impacts are identified and considered, and the most appropriate solution is considered. The Category 3 change process is not appropriate for this, as changes to Category 3 products as a rule should not cause a material impact to parties and stakeholders.

The formal REC change process will provide the formal engagement mechanisms for industry stakeholders and required controls for changes to the Data Specification, as originally intended by the Switching Programme.

2 PROBLEM STATEMENT

The Data Specification was not included in the Switching Programme Change Requests that gave effect to REC V2.0. Therefore, the Data Specification was not formally designated as part of REC V2.0 and has temporarily been added to the REC Baseline Statement as a Category 3 product.

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3 USER STORIES

REF.	USER STORIES
MARKET PARTICIPANT USER STORIES	
M1	As a market participant, I need to understand any changes to market messages I send and receive that may impact my business, so I can engage in the change process and plan any required changes to my systems and processes.
M2	As the REC Code Manager, I need to ensure that proposals to amend the Data Specification are subject to appropriate scrutiny and impact assessment, so that impacted stakeholders can appropriately engage with the proposal and understand the impacts to their business.

4 IMPACTS

REC PARTIES AND SERVICE USERS
All REC Parties and Market Participants listed as a Market Data Service in the Data Specification

REC SERVICE PROVIDERS
Electricity Enquiry Service
Green Deal Central Change Database

CONSUMERS
N/A

REC DOCUMENTS / PRODUCTS
Market Message Catalogue
Data Item Catalogue
Standards Definition
Data Access Matrix
REC Baseline Statement

RECCO AND REC CODE MANAGER
Code Manager

This change will amend the 'Category' of the following products in the REC Baseline Statement from Category 3 to Category 2 products:

1. Standards Definition
2. Market Message Catalogue
3. Data Item Catalogue
4. Data Access Matrix

While the REC Baseline Statement is a Category 3 document itself, and not subject to the formal REC change process, introducing a new Category 1 or 2 product requires a REC Change Proposal as this introduces a new product into the REC.

There are no direct impacts to Market Participants or Service Providers as a result of this change. However, the impact of this change not being implemented will impact the way stakeholders engage in changes to the Data Specification.

4.1 CROSS CODE IMPACTS

The Data Specification is used to store data catalogues from other codes. Market Messages and Data Items that are owned by other codes are still subject to change control by the relevant metadata owner. Designating these products as Category 2 documents will not impact the process followed by other codes to make changes to these artefacts.

5 CHANGE PATH AND RESONSIBLE COMMITTEE

CHANGE PATH	SELF-GOVERNANCE
RESPONSIBLE COMMITTEE	CHANGE PANEL

This Change Proposal would ordinarily be approved by the Technical Expert Group. However, given that this will need to follow an urgent timetable to be included in the November 2021 release, and the Technical Expert Group won't be stood up in time to support this timetable, we propose that the Responsible Committee for this Change Proposal should be the Change Panel.

This will also allow this Change Proposal to follow the same approval timetable as R0001 (Amendments to DCC Service Flag Data Item), which proposes to introduce changes to a Data Item in the Data Item Catalogue. This will allow a decision to be made on R0001 using the formal change process prior to the Data Specification being formally designated as a Category 2 product.

6 PRIORITY STATUS AND URGENCY

PRIORITY STATUS	HIGH
URGENCY	URGENT

The Priority Status for this Change Proposal is 'High' based on a 'Significance' score of '1' and an 'Urgency' score of 3. This is broken down as below:

Significance:

- Legal/Regulatory Compliance – score of 1 to reflect that REC Parties and Service Providers rely on a full and transparent process for managing changes to Market Messages and Data Items, which they rely on to meet their obligations in various industry codes and licences.

- Strategic Direction – score of 2 as this reflect the intended outcome of Retail Code Consolidation and rectifies the oversight where the Data Specification wasn't included when introducing the changes for REC V2.0.
- Operational Efficiency – score of 1 to reflect the impact not having a single, effective and transparent process for managing changes to the Data Specification would have on stakeholders.

Urgency:

- This Change Proposal has been given an urgency score of 3 to reflect the need for it to be progressed immediately for it to achieve its required timetable.

PRIORITISATION MATRIX

Significance	Score	Weighting
Legal/Regulatory Compliance	1	30
Strategic Direction	2	20
Cost Benefits / Value	0	10
Consumer Impacts	0	30
Operational Efficiency	1	10

Urgency				
3	N/A	13	23	33
2	02	12	22	32
1	01	11	21	31
0	00	10	20	N/A

Significance

Weighted Significance Score	1
Urgency	3
Overall Priority Score	13
Effort	0 - Minimal

Priority Score	Priority Status
23 - 33	Critical
13 - 22	High
11 - 21	Medium
00 - 10	Low

PRIORITY STATUS
High

We propose that this Change Proposal should follow an urgent timetable on the basis that:

- The change needs to be linked to a specific date (e.g. introduction of legislation, system release date, planned consultation or impact assessment timings, etc.).

This Change Proposal needs to be implemented imminently, as it is required to enact the solution originally intended for Retail Code Consolidation and provide clarity to REC Parties and stakeholders who wish to propose or track changes to the Data Specification. There is a Change Proposal that requires changes to the Data Specification on 4th November 2021, and this Change Proposal should progress with the same timetable as this so a decision can be made on both together.

7 SUMMARY OF CHANGE PROPOSAL PLAN

This change does not require any further solution development or impact assessment as the solution is fully formed and has already been considered by the Switching Programme. The intention was for the Data Specification to be included in Retail Code Consolidation and be designated as Category 2 documents in REC V2.0 but this was not included in the required Switching Programme Change Request.

We feel a short consultation period is appropriate to clarify that there are no unknown adverse impacts from the Data Specification being subject to the formal REC change process. A consultation period of 5 Working Days has been included to accommodate this, while still supporting the expedited timetable to allow a decision to be made in time for implementation in the November 2021 release.

	FROM	TO
PRELIMINARY CHANGE REPORT ISSUED	09/09/2021	09/09/2021
CHANGE PANEL APPROVAL (EX-COMMITTEE)	13/09/2021	13/09/2021
CONSULTATION ISSUED	14/09/2021	20/09/2021
FINAL CHANGE REPORT ISSUED	24/09/2021	24/09/2021
RESPONSIBLE COMMITTEE DECISION	05/10/2021	05/10/2021
PUBLISH CHANGE DECISION	06/10/2021	06/10/2021
APPEAL WINDOW CLOSURE	20/10/2021	20/10/2021

8 GLOSSARY

TERM	DEFINITION
Category 3	refers to the operational documents and guidance which are required to support, but do not place obligations upon, market participants and as such will be maintained by the Code Manager or relevant REC Service Providers.
Data Item	means the most granular level of data defining a specific attribute in respect of a Data Type, the permissible values for which are defined and controlled in the Data Item Catalogue.
Data Specification	means the document of that name forming part of the Technical Specification.
Market Data Service	means a Market Participant responsible for sending or receiving a Market Message
Market Message	means a structured communication sent between two Market Participants in the form and with the content required (and as otherwise specified) by the Data Specification.
Market Participant	means a participant in either or both of the gas and electricity markets of Great Britain, each of which is identified by a Market Participant Role.
Switching Programme	means the programme established by the Authority to implement new switching arrangements in retail energy markets.
Switching Programme Change Request	means a request to amend products under change control of the Switching Programme.