RETAIL ENERGY CODE

This document is classified as **WHITE**.
Information is for public, unrestricted dissemination and publication.

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

INITIAL ASSESSMENT REPORT

R0028 - REVIEW OF CATEGORY 3 DOCUMENTS IN THE REC BASELINE STATEMENT

DOCUMENT VERSION	1.0
DATE ISSUED	21/01/2022
DOCUMENT APPROVAL STATUS	APPROVED BY CHANGE PANEL
RESPONSIBLE COMMITTEE	CHANGE PANEL

CHANGE OVERVIEW

This proposal seeks to formally designate identified Category 3 documents as Category 2 documents in the REC Baseline Statement, so these are subject to formal 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

RETAIL ENERGY CODE

CONTENTS

1.	SUMMARY	3
2.	PROBLEM STATEMENT	4
3.	USER STORIES	4
4.	IMPACTS	4
5.	CHANGE PATH AND RESPONSIBLE COMMITTEE	7
6.	PRIORITY STATUS AND URGENCY	7
7.	SUMMARY OF CHANGE PROPOSAL PLAN	8
8.	GLOSSARY	9

LEAD ANALYST
Gemma Dixon
EMAIL

RETAIL ENERGY CODE

SUMMARY

Category 3 documents, as outlined in the REC Baseline Statement, are non-mandatory guidance or subsidiary operational documents. This documentation is developed and maintained by the Responsible Provider for that document, being either the Code Manager, a REC Committee, or a REC Service Provider.

Changes to Category 3 documents do not require progression through the full formal change process and are progressed as Category 3 Change Proposals by the Responsible Provider. These changes should not have any material impacts on REC parties or stakeholders.

A review of the REC Baseline Statement has identified seven Category 3 documents where changes could result in material impacts to REC Parties and REC Service Users. As changes to these documents would require a greater degree of assessment and engagement with REC Parties and REC Service Users, it is not appropriate that the engagement, solution development and implementation timescales are solely decided by the goodwill of the Responsible Provider for that document. Therefore, we consider that these documents should be categorised as Category 2 documents and subject to REC change control. These are:

- Performance and Assurance Report Catalogue (PARC);
- Electricity Enquiry Service (EES) Physical Message Standard (API Technical Specification); and
- the following Market Domain Data (MDD) documents:
    - MDD General
    - Meter Product Table
    - Meter Product Shadow Log
    - Converter Product Table; and
    - Converter Product Shadow Log.

It is also proposed that the MDD files be renamed to Meter Product Data (MPD) files, as MDD is a former Supply Point Administration Agreement (SPAA) term which has not transitioned into the REC.

In addition, we have also considered if there are existing Category 3 documents that do not need to be baselined as Category 3 documents. The purpose of the Category 3 change process is to provide transparency and oversight of changes to documents relevant to the operation of the REC, where these documents are maintained outside of formal REC governance. Where a document does not require formal oversight of its change control, we do not consider that it should be maintained as a Category 3 document.

There are currently nine User Guides provided by the Code Manager that are designated as Category 3 documents. We consider these are important documents for REC Service Users and these will continue to be maintained. However, changes made to these are unlikely to require the same level of engagement and oversight as with other Category 3 documents. We propose that these documents should be removed from the Baseline Statement and maintained by the Code Manager separately to this process. We will seek views from stakeholders on this proposal when consulting on this Change Proposal.

Documents in the REC Baseline Statement not having the appropriate categorisation could have material impacts on Market Participant systems and/or processes. The formal REC change process will provide the formal engagement mechanisms for industry stakeholders and required controls for changes.

This proposal seeks to formally categorise the identified Category 3 documents as Category 2 documents in the REC Baseline Statement, so these are subject to formal change control, as set out in the REC Change Management Schedule.

PROBLEM STATEMENT

As a rule, changes to Category 3 products should not cause a material impact to parties and stakeholders.

It has been identified that there are a number of Category 3 documents where changes to these artefacts could have a material impact to the systems and processes of REC Parties and Service Users. These changes should therefore follow a more robust and thorough assessment to ensure these impacts are identified and the most appropriate solution is considered.

USER STORIES

REF.	USER STORIES
MARKET PARTICIPANT USER STORIES	
M1	As a Market Participant, I need to understand any changes 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 REC and its subsidiary documents 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.

IMPACTS

REC PARTIES AND SERVICE USERS
All REC Parties and Service Users

REC SERVICE PROVIDERS
All REC Parties and Service Users

CONSUMERS
N/A

RECCO AND REC CODE MANAGER
REC Code Manager

RETAIL ENERGY CODE

Categorisation Changes

REC DOCUMENTS / PRODUCTS			
DOCUMENT TYPE	**DOCUMENT TITLE**	**CURRENT**	**PROPOSED**
Performance Assurance	Performance Assurance: Report Catalogue	3	2
Technical Specification	EES Physical Message Standard	3	2
Market Domain Data	MDD General	3	2
Market Domain Data	Meter Product Table	3	2
Market Domain Data	Meter Product Shadow Log	3	2
Market Domain Data	Converter Product Table	3	2
Market Domain Data	Converter Product Shadow Log	3	2

As a result of categorising five MDD documents, there will also be an update required to the Change Management Schedule to reference the difference in process for MDD changes/updates. Proposed legal text can be found on the Change Proposal Page.

In addition, there are a number of Category 3 documents that are to be removed from the Baseline Statement that are guidance and useful information only.

There is also a proposed renaming of a Category 3 document and a number of consequential changes. The breakdown of proposed amendments is detailed in the tables below.

Rename

DOCUMENT TYPE	DOCUMENT TITLE	PROPOSED DOCUMENT TYPE	PROPOSED DOCUMENT TITLE
Performance Assurance	Performance Assurance: Methodology, Risk Register, PATs, Operating Plan	Performance Assurance	Performance Assurance: Methodology
Market Domain Data	MDD General	Meter Product Data	MPD General
Market Domain Data	Meter Product Table	Meter Product Data	MPD Meter Product Table
Market Domain Data	Meter Product Shadow Log	Meter Product Data	MPD Meter Product Shadow Log

Market Domain Data	Converter Product Table	Meter Product Data	MPD Converter Product Table
Market Domain Data	Converter Product Shadow Log	Meter Product Data	MPD Converter Product Shadow Log

Removals

DOCUMENT TYPE	DOCUMENT TITLE
Performance Assurance	Performance Assurance User Guide
Entry, Qualification and Maintenance	Entry and Exit User Guide
Metering	Metering Accreditation User Guide
Theft	Theft User Guide
Service Management	Sandbox and Derogation User Guide
EMAR	EMAR User Guide
Change Management	Change Management User Guide
Change Management	Change Management Templates
Change Management	REC Portal User Guide

Consequential

DOCUMENT TYPE	DOCUMENT TITLE	CURRENT	PROPOSED
Schedule 1	Interpretations and Definitions	EES API Technical Specification: means the Category 3 document of that name, forming part of the Technical Specification that describes the Electricity Enquiry Service.	EES API Technical Specification: means the Category 2 document of that name, forming part of the Technical Specification that describes the Electricity Enquiry Service.
Schedule 1	Interpretations and Definitions		Add Meter Product Definitions

Schedule 5	Change Management		Add Market Domain Data change process.

There is no direct impact to Consumers from this Change Proposal. However, ensuring appropriate change controls to industry systems and processes has an indirect benefit to Consumers, as this provides greater assurance that changes made will be fully formed and deliver the required benefits to the market and Consumers.

CROSS CODE IMPACTS

There are no cross-code impacts identified as a result of this Change Proposal.

CHANGE PATH AND RESONSIBLE COMMITTEE

CHANGE PATH	SELF-GOVERNANCE
RESPONSIBLE COMMITTEE	CHANGE PANEL

The REC Baseline Statement is a Category 3 document however there are consequential impacts to the Category 1 Change Management and Interpretations Schedules.

PRIORITY STATUS AND URGENCY

PRIORITY STATUS	MEDIUM
URGENCY	STANDARD

RETAIL ENERGY CODE

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	0	10

Weighted Significance Score	1
Urgency	2
Overall Priority Score	12
Effort	0 - Minimal

Urgency

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

Significance

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

PRIORITY STATUS
Medium

The Priority Status for this Change Proposal is 'Medium based on a 'Significance' score of '1' and an 'Urgency' score of 2. This is broken down as below:

Significance:

- Legal/Regulatory Compliance – score of 1 to reflect that REC Parties and the REC, which they rely on to meet their obligations in various industry codes and licences.
- Strategic Direction – score of 2 as this reflects the intended outcome of Retail Code Consolidation and rectifies the oversight where changes to some Category 3 documents could have an impact to the systems and processes of Market Participants and Service Providers.

Urgency:

- This Change Proposal has been given an urgency score of 2. Although this Change Proposal is not proposed to be progressed as an urgent change, progressing this early will reduce the risk of further material changes being made to these documents without appropriate engagement and assessment.

SUMMARY OF CHANGE PROPOSAL PLAN

This change does not require any further Solution Development or Impact Assessment as the solution is fully formed and there are no immediate changes as a result of updating the Baseline Statement.

We feel a short consultation period is appropriate to clarify that there are no unknown adverse impacts from the categorisation of identified Category 3 documents as Category 2 documents and to seek views from stakeholders on the removal of User Guides from the Baseline Statement. A consultation period of 15 Working Days has been included to accommodate this.

	FROM	TO
PRELIMINARY CHANGE REPORT ISSUED	04/02/2022	04/02/2022
CONSULTATION ISSUED	21/02/2022	14/03/2022
FINAL CHANGE REPORT ISSUED	25/03/2022	25/03/2022
RESPONSIBLE COMMITTEE DECISION	05/04/2022	05/04/2022
PUBLISH CHANGE DECISION	06/04/2022	06/04/2022
APPEAL WINDOW CLOSURE	07/04/2022	25/04/2022

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.
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.
Market Domain Data	means, the central repository of reference data maintained in both gas and electricity for use by respective Market Participants.