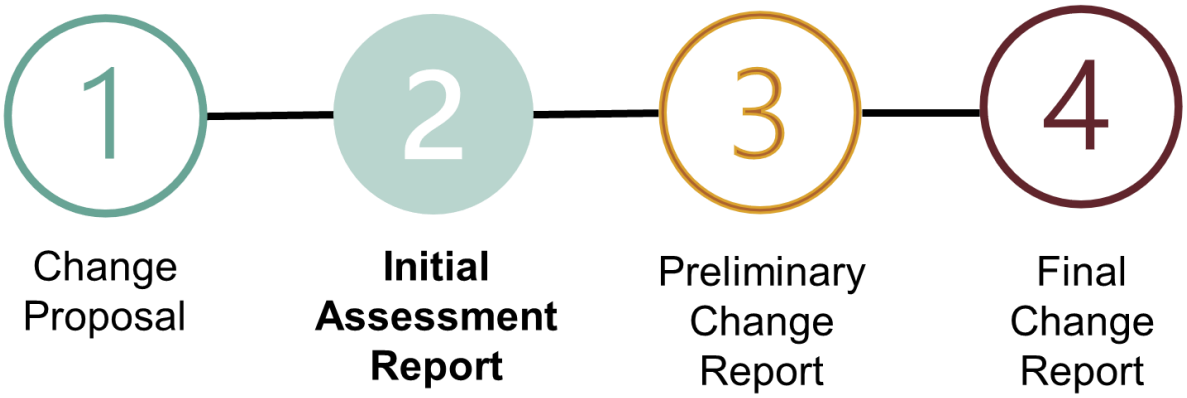
RETAIL ENERGY CODE

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

INITIAL ASSESSMENT REPORT



PURPOSE:	This is a written report from the Code Manager setting out their initial assessment of the Change Proposal and planned next steps for progressing the proposal.
NOTES:	The Initial Assessment Report is accompanied by a Change Proposal Plan, which describes the Code Manager's plan for progressing this Change Proposal. The solution will not be finalised until the publication of the Preliminary Change Report.
NEXT STEPS:	The Change Proposal Plan will set out the next steps for progressing this Change Proposal. The Code Manager will either propose additional activities to develop and/or assess the solution, or immediately prepare and publish the Preliminary Change Report.

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

INITIAL ASSESSMENT REPORT

R0055 – SWITCHING OPERATOR OUTAGE NOTIFICATION LEAD TIME

DOCUMENT VERSION	1.0
DATE ISSUED	05/08/2022
DOCUMENT APPROVAL STATUS	APPROVED BY REC CHANGE PANEL
RESPONSIBLE COMMITTEE	TECHNICAL EXPERT PANEL

CHANGE OVERVIEW

Within the Switching Operator Service Definition, the Central Switching Service (CSS) Provider is required to provide 10 Working Days' notice of planned system outages. However, within the CSS Provider's processes and the Switching Operator Change Management Process Category 3 document, an 8 Working Day lead time is set out.

The purpose of this change is to determine the appropriate notice period for planned outages and ensure there is consistency across all REC documents and processes.

	High Impact: n/a
	Medium Impact: CSS Provider, Switching Data Service Providers
	Low Impact: CSS Users

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1 SUMMARY

Within the REC Switching Operator Service Definition document, Paragraph 4.5, there is the provision for the Central Switching Service (CSS) Provider to give a minimum of 10 Working Days' (WDs) notice of planned outages. However, within the CSS Provider's internal operational procedure and the Switching Operational Change Management Procedures Category 3 document the lead time is defined as 8 WDs.

This Change has been raised by DCC, as the CSS Provider, and seeks to change the Switching Operator Service Definition Document to reflect 8 WDs as the lead time for planned outages.

2 PROBLEM STATEMENT

Across REC products there is an inconsistency in the defined lead time for the CSS Provider to provide notification of scheduled maintenance and system outages. This may result in uncertainty for Switching Data Service Providers around when they should submit an Operational Switching Service Change. This is to ensure there is sufficient lead time for any change to be included within a planned maintenance release, and for CSS Users planning their operational activity around CSS availability.

3 USER STORIES

REF.	USER STORIES
MARKET PARTICIPANT USER STORIES	
M1	As the CSS Provider, I want the service levels to be consistently defined across relevant REC Products. This will ensure that I am clear on the lead time I need to provide for planned outages and can meet the defined service level.
M2	As a CSS User, I want to understand how much notice I will get for planned outages of the CSS, so I am able to appropriately plan my activity reliant on this service.
M3	As a Switching Data Service Provider, I want to understand how much notice I will get for planned outages of the CSS. This will ensure I am able to appropriately plan my Operational Switching Service Changes and associated activities.

4 IMPACTS

REC PARTIES AND CSS USERS
CSS Users

CONSUMERS
All Consumers

REC SERVICE PROVIDERS
CSS Provider
Electricity Retail Data Service Provider
Gas Retail Data Service Provider

REC DOCUMENTS / PRODUCTS
Switching Operator Service Definition
Switching Operational Change Management Procedures

RECCO AND REC CODE MANAGER
REC Code Manager

CSS Provider - Any changes made to the lead time given for planned outages will impact the CSS Provider. Currently their processes and systems reflect 8WDs, but if the lead time were to align with 10WDs, as set out in the Switching Operator Service Definition this would result in impacts to the CSS Providers systems and processes.

Switching Data Service Providers (ERDS/GRDS) – Need to be aware of the lead time they will be provided with for planned outages to create processes and manage standard operational activity. They rely on a defined lead time for outages, to enable planning of their Operational Switching Service Changes and associated activities, such as customer communications.

Energy Suppliers – need to be aware of the lead time they will be provided with for planned outages to create processes and manage activity accordingly.

REC Code Manager –The requirements within the Service Definition document are service level agreements which are monitored by the Code Manager. Any changes to the lead time within the document will affect monitoring put in place by the Code Manager.

Consumers –There is no direct impact to Consumers, however having a consistent lead time across will ensure that Energy Suppliers are aware of when Switching Services will be impacted and can take any necessary steps to mitigate any impacts to Consumer switches.

Switching Operator Service Definition document – This document currently stipulates that the CSS Provider must provide 10 WDs notice of planned outages. Depending on the solution progressed, this document may be impacted.

Switching Operational Change Management Procedures – This Category 3 document shows the notice period for planned outages to be 8 Working Days. Depending on the solution progressed, this document may be impacted. If a change is required to this document, this will be progressed as a separate Category 3 Change Proposal alongside this Change Proposal.

5 CHANGE PATH AND RESPONSIBLE COMMITTEE

CHANGE PATH	SELF-GOVERNANCE
RESPONSIBLE COMMITTEE	TECHNICAL EXPERT PANEL

The Responsible Committee for this change is the Technical Expert Panel as this change will impact the Switching Operator Service Definition, which is under the responsibility of the Technical Expert Panel.

We have classified this change as a Self-Governance Change as we do not believe that this change will have material or discriminatory impacts on any REC Parties, competition or Consumers.

6 PRIORITY STATUS AND URGENCY

PRIORITY STATUS	MEDIUM
URGENCY	STANDARD

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PRIORITISATION MATRIX

Significance	Score	Weighting
Legal/Regulatory Compliance	2	30
Strategic Direction	0	20
Cost Benefits / Value	0	10
Consumer Impacts	1	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	1
Overall Priority Score	11
Effort	0 - Minimal

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

PRIORITY STATUS
Medium

This change is considered ‘Medium’ priority based on a significance score of 1 and an urgency score of 1.

Legal/Regulatory Compliance – A score of 2 as this Change Proposal will ensure there is consistency between the Switching Operator Service Definition and the operational processes of the CSS Provider. Currently the CSS Provider processes are not aligned with the Switching Operator Service Definition.

Consumer Impact – A score of 1 as lack of clarity around the reporting of planned outages could lead to Consumer detriment.

Operational Efficiency – A score of 1, as ensuring that all documentation aligns will aid in the efficient operation of REC Service Providers as well as REC Assurance activity.

Urgency – A score of 1, this is because whilst the change needs to be progressed, the CSS Provider must seek a derogation to operate under their current system design until the Implementation of this Change Proposal.

7 SUMMARY OF CHANGE PROPOSAL PLAN

We consider the solution for this Change Proposal to be simple; to ensure the lead time for planned outages is consistently defined across all REC products and the processes of the CSS Provider.

To determine the appropriate lead time for planned outages, and the impacts of any potential change to the lead time, we will conduct both Party and Service Provider Impact Assessments.

The Code Manager will then determine the appropriate lead time based on these Impact Assessment responses, which will then be taken forward to Consultation.

	FROM	TO
SERVICE PROVIDER IMPACT ASSESSMENT ISSUED	19/08/2022	19/09/2022
PARTY IMPACT ASSESSMENT ISSUED	26/08/2022	13/09/2022
DEADLINE FOR ALTERNATIVE CHANGE PROPOSAL SUBMISSION	14/10/2022	14/10/2022
PRELIMINARY CHANGE REPORT ISSUED	14/10/2022	14/10/2022
CONSULTATION ISSUED	14/10/2022	28/10/2022
FINAL CHANGE REPORT ISSUED	18/11/2022	30/11/2022
RESPONSIBLE COMMITTEE DECISION	30/11/2022	30/11/2022
APPEAL WINDOW CLOSURE	30/11/2022	14/12/2022

8 GLOSSARY

TERM	DEFINITION
CSS Provider	means the DCC when performing functions under or in relation to this Code (but always excluding its functions under the Smart Energy Code and its roles as CSS Systems Integrator, SI Provider and Switching Operator), including in respect of the Central CSS and including in effecting the design, build and testing of any System that will allow it to perform functions under this Code after the CSS Go-Live Date. This role is the CSS Procurer and Manager function as described in the E2E Data Migration Plan, E2E Integration Plan, E2E Post Implementation Plan, E2E Testing Plan, E2E Transition Plan: Implementation Approach and E2E Transition Plan: In-Flight Switches Approach.
Switching Data Service Providers	means the CSS Provider, the SMDSP (in respect of the services provided under the Smart Energy Code), the Enduring Change of Supplier Service Provider (in respect of the services provided under the Smart Energy Code), the Gas Retail Data Agent, the Electricity Retail Data Agents, and the Enquiry Service Providers.
CSS User	means each organisation which is Qualified to use the CSS, together with each Switching Data Service Provider (other than the CSS Provider) the categories of which are set out in the Central Switching Service Schedule.
Electricity Retail Data Service (ERDS)	means the electricity registration services to be provided under this Code to support the provision of electricity retail data to the CSS and other services.
Gas Retail Data Service (GRDS)	means the gas registration services to be provided under this Code to support the provision of gas retail data to the CSS and other services
Operational Switching Service Change	means a change to the Switching Arrangements (e.g., planned downtime and software updates) which can be progressed without a change to this Code, as further described in Paragraph 8 of the Switching Service Management Schedule.
Central Switching Service (CSS)	means the Systems and processes provided or procured by the CSS Provider for the purpose of providing the Address Management Service and the Registration Service.