RETAIL ENERGY CODE

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

CHANGE REPORT

R0121 – SDEP REVIEW IMPROVEMENTS (1) – PROCESS TYPES

CHANGE REPORT	FINAL
DOCUMENT VERSION	2.0
ISSUED DATE	24/04/2024
DOCUMENT APPROVAL STATUS	APPROVED

RESPONSIBLE COMMITTEE	TECHNICAL EXPERT PANEL	CHANGE PATH	SELF GOVERNANCE
PRIORITY STATUS	HIGH	URGENCY	STANDARD

DEADLINE FOR ALTERNATIVE CHANGE PROPOSALS	01/03/2024

LEAD CHANGE ANALYST



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CHANGE OVERVIEW

Following a comprehensive review of the Secure Data Exchange Portal (SDEP) system, the Code Manager has identified new Process Types for specific queries. Changes to how escalation messages are managed to allow users to better identify appropriate workflows and to handle escalations more efficiently have been removed from scope.

	High Impact: N/A
	Medium Impact: Suppliers, DNOs, Consumers
	Low Impact: N/A

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CODE MANAGER'S RECOMMENDATION

The Code Manager recommends Change Proposal R0121 is **APPROVED** for implementation on **23 August 2024**.

RESPONSIBLE COMMITTEE DECISION

On 24 April 2024, the Change Panel voted to **APPROVE** R0121 for implementation on 23 August 2024.

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BACKGROUND

1 SUMMARY

The REC sets out when SDEP queries could or should be raised, which Process Types should be used and any related SLAs for response times. However, this usage is not always described clearly or consistently.

Ensuring that REC parties are clear on which Process Type to select in each given instance will help to ensure that SDEP is a cost-effective issue resolution tool, and Consumer queries are concluded as swiftly as possible. Employing SDEP in more scenarios, will allow users to record, track and escalate issues, and facilitate performance assurance reporting for any related risk areas.

Note: Changes to escalations have been removed from the scope of this Change Proposal.

2 PROBLEM STATEMENT

Market Participants must have the ability to employ SDEP in more scenarios to allow users to record, track and escalate issues and should facilitate performance assurance reporting. The REC must be clear on which Process Type should be used in each instance and that any related SLAs are specified to ensure that Consumer queries are concluded efficiently.

3 USER STORIES

REF.	USER STORIES
CONSUMER USER STORIES	
C1	As a Consumer, I want queries associated with my energy supply to be concluded efficiently.
MARKET PARTICIPANT USER STORIES	
M1	As an SDEP User, I want to have the appropriate Process Types available to record, track and escalate issues and for the REC to be clear on which Process Type to be used in each instance.
M2	As the Code Manager, I want to have access to additional data surrounding SDEP queries on key processes for my performance assurance activities.

PROPOSAL

4 SUMMARY OF ANALYSIS UNDERTAKEN

R0121 was one of the six SDEP Change Proposals raised following the SDEP Review.

To refine the requirements for this Change Proposal, a Special REC Issues Group (RIG) was held on 18 August 2023. This was then followed by a Request for Information targeted at SDEP Users to enable the Code Manager to gain clear direction on the requirements to be taken

forward where there were differing views within the Special RIG meeting. Nine responses were received, and the responses indicated that all proposed requirements discussed within the Special RIG were beneficial and should be taken forward into Impact Assessment with the Service Provider.

The Preliminary Impact Assessment (PIA) was completed between 16 October 2023 and 06 November 2023. At the PIA stage, the requirement to enable SDEP Users to carry across information from a General Query to enable an Escalation to be created was included. However, there were concerns raised that this functionality conflicted with what was currently within the REC and was subsequently removed from scope.

A Detailed Impact Assessment was completed by the SDES Provider from 28 November 2023 to 15 January 2024 which included additional Process Types and an allocation process so that SDEP Users did not need to manually allocate users and define permissions.

5 PROPOSED SOLUTION

The below new Process Types will be available for SDEP Users following the implementation of this Change Proposal.

New Process Types

- Missing Read General Query (Gas and Electricity)
- Missing Read Escalation (Gas and Electricity)
- Multiple Supplier Report General Query (Electricity)
- Address Management Escalation (Electricity)
- Theft General Query (Electricity and Gas)
- Crossed Meters General Query (Electricity)
- Missing MTDs General Query (Electricity)
- Smart Metering Comms Issues General Query (Electricity)

SDEP Process Report

Activity around the new Process Types will be pulled through in the monthly reporting for REC Performance Assurance (RPA).

Process Type allocation process

The solution includes a one-off process for assigning the new Process Types to SDEP Users. This will involve a set template that will be completed by Master Admin Users (MAUs) and a procedure to load the data into SDEP to define permissions. Further details of this will form part of the implementation activity.

SDEP User Guide (Category 3)

This solution requires consequential changes to the SDEP User Guide to add references to the new Process Types. This document will follow the Category 3 Change Process and the Code Manager will seek to align updates with the implementation of R0121.

REC Products and Data Specification impacts

R0121 will also seek to align the legal text references for existing Process Types to the intended legal text for the new Process Types. This will be within the REC Schedules and the descriptions within the Data Specification. The Code Manager will look to adopt this same format for new Process Types created within future REC Changes.

5.1 MARKET-WIDE HALF HOURLY SETTLEMENT

DESIGN	DATA SPECIFICATION	CODE DRAFTING
No direct impact on MHHS design.	No conflicting data specification impacts.	Impacts to the Code drafting are indirect and impact the baseline text only.

6 DRAFT LEGAL TEXT

The legal text and Data Specification changes to deliver the proposed solution to R0121 can be found here.

The updates to the REC legal text seek to provide clarity on the general purpose of SDEP including the principles of when to use SDEP queries and how to use SDEP queries including the Process Type reference within the relevant paragraph. It also makes the principles and obligations surrounding escalations clearer.

This relates to Process Types already available to SDEP Users and the new Process Types under R0121.

Changes have been proposed to the following REC Schedules.

- Schedule 8 – Unbilled Energy Code of Practice
- Schedule 11 – Prepayment Arrangements
- Schedule 14 – Metering Operations
- Schedule 27 – RMP Lifecycle
- Schedule 28 – Related Metering Points
- Schedule 29 – Address Management
- Schedule 30 – Resolution of Consumer Facing Switching and Billing Issues.

7 SUMMARY OF IMPACT ASSESSMENT ACTIVITY

7.1 SERVICE PROVIDER IMPACT ASSESSMENTS

The Detailed Impact Assessment period with the SDES Provider was from 28 November 2023 to 15 January 2024.

SDES PROVIDER	• The solution is viable and implementable and will require approximately 10 weeks to design, build and test the solution. This timescale does not include the time required to validate that the user allocation template contains all necessary data items prior to providing it to industry to complete and the time required in-between to provide the relevant information back to the SDES Provider.
	• The total cost of the solution will be £17,324 with no ongoing costs.
	• All new Process Types will be assigned a process ID (PT0XXX) which defaults to the next available in the particular SDEP environment.
	• A user accessibility script will be made available to load user and permissions details into the user maintenance tables based on the details provided by each company group. The SDES Provider will create a template (spreadsheet) for the Code Manager to share with the relevant company group contacts for completion.
	• Testing will include.
	  ○ Unit testing – to validate that the Process IDs and user access can be set up correctly.
	  ○ Internal SIT testing – to validate that the new users are set up correctly and to validate that the Process IDs work correctly for existing and new users.
	  ○ UAT testing – to be managed between the SDES Provider and the REC Technical Services.
	• The creation of the new Process Types can be completed prior to the date of release as there are no dependencies on this step. Any SDEP Users can then manually set up their own permissions rather than waiting for the user scripting solution. However, the new Process Types cannot be used for communications until the release date.
	• The Category 3 documents will be available for the release date including the new Process Type references.

7.2 REC PARTY IMPACT ASSESSMENTS

A Party Impact Assessment was published on 26 January 2024 and closed on 16 February 2024. Five responses were received from one Distribution Network Operator (DNO) and four Suppliers, one of which was a confidential response.

ENERGY SUPPLIERS	• All Suppliers were supportive of the Change and agreed it addressed the problem statement however, one requested further information on the Missing Read Process Types.

	• All Suppliers preferred to utilise the user scripting solution rather than manually entering user details and permissions. Most believed that two weeks to prepare the template was sufficient however, one preferred to have one month. • Suppliers noted that this Change would provide a swifter resolution of queries but could not quantify the benefits. • There were differing views from Suppliers on the lead time required for implementation however, all agreed that an August 2024 release date was appropriate. • Most Suppliers agreed with the approach for the legal text.
DISTRIBUTION NETWORK OPERATORS	• The DNO noted that it agreed with the intent of the solution however, had some concerns around inappropriate usage within SDEP. • Agreed that the solution addressed the problem statement from a DNO perspective, however, did not provide any benefits to its organisation. • Requested further information on the user scripting solution. • Required a lead time of three months to allow for staff training. • Noted that a clear guidance document and a webinar would be useful. • Agreed with the Code Manager's approach to the legal text and that an August 2024 implementation date would be appropriate.

8 DELIVERY AGAINST CHANGE PROPOSAL PLAN

All activity has been completed within the timescales of the most recent Change Proposal plan which can be found here.

9 KEY RISKS, ASSUMPTIONS, ISSUES AND DEPENDENCIES

9.1 RISKS AND ISSUES

NO.	RISK	NOTES	MITIGATION
R01	There is a risk that MAUs may work ahead, and manually complete user set-ups and duplicate information already provided within the user scripting solution template.		The Code Manager will communicate this risk to SDEP Users when circulating the templates for completion.

9.2 ASSUMPTIONS AND DEPENDENCIES

NO.	ASSUMPTION	NOTES	HOW/WHEN TO VALIDATE
A01	There is an assumption that the user scripting solution is a one-off exercise and is only to support the new Process Types.		Confirmed by the Code Manager.

NO.	DEPENDENCY	NOTES	STATUS
D01	The template for user scripting will only be available for sharing with the Code Manager and impacted SDEP Users following Unit Testing.	This cannot be shared too soon in the risk that additional data components are identified in the initial design phase.	Open.
D02	There is a dependency on external parties to provide the information required for the user scripting solution including the provision of complete and accurate details.	The Code Manager will work with REC Parties to ensure that accurate and timely details are provided.	Open.

10 PROPOSED IMPLEMENTATION DATE AND APPROACH

PROPOSED IMPLEMENTATION DATE	23/08/2024

PROPOSED IMPLEMENTATION APPROACH	BIG BANG

To ensure the appropriate lead time for Parties and the Service Provider to deliver, avoiding key MHHS Programme deliverables and wanting to provide SDEP user benefits as quickly as possible, the Code Manager has proposed an extraordinary release for R0121.

11 SUMMARY OF CONSULTATION RESPONSES

A consultation was circulated on 01 March 2024 to obtain views on the Preliminary Change report. Four responses were received from one DNO and three from Energy Suppliers. The responses have been consolidated and comments provided by the Code Manager. This can be found here.

The key themes from these responses have been summarised and set out below.

11.1 SUMMARY OF RESPONSES

11.1.1 COMMENTS ON THE SOLUTION AND LEGAL TEXT

All responses were supportive of the change and believed it effectively resolved the problem statement. However, one Party suggested that some of the existing Process Type descriptions for missing and disputed meter readings should be changed to negate any confusion. One respondent also suggested that the Multiple Supplier Report Process Type should have a corresponding escalation Process Type.

Most respondents agreed with the proposed legal text and believed it would add the required level of clarity alongside an updated SDEP User Guide.

No respondents identified any issues with the Draft Data Specification changes.

11.1.2 IMPLEMENTATION APPROACH AND DATE

No issues were identified with an August 2024 implementation date and all respondents agreed that a slide pack that could be used for internal staff training would be beneficial alongside updated user guides and a webinar.

There was a query around how PT0045 Disputed Meter Readings General Query (Elec) and PT0012 Disputed Meter Readings Escalation would be transitioned to the new Process Types. The Code Manager noted that its preference would be for each Party to determine for the cases they have raised whether to close and re-open or progress with the existing case. Furthermore, it would not propose that Parties hold off raising queries until the new Process Types were available, to avoid unnecessary delay to problem resolution.

12 SUMMARY OF AMENDMENTS MADE FOLLOWING CONSULTATION

No changes to the solution or legal text were made based on comments from the Consultation. There were some clarificatory, consistency and numbering updates made following legal review, however, nothing which altered the intent of the drafting.

13 BUSINESS CASE ASSESSMENT

13.1 COST BENEFIT ANALYSIS

COSTS	DESIGN/ BUILD COSTS	IMPLEMENTATION COSTS	ONGOING OPERATIONAL COSTS
SDES PROVIDER	£5,768	£11,556	£0

REC BUDGET APPROVAL SECURED FOR CENTRAL SYSTEM COSTS	27/03/2024

INTANGIBLE BENEFITS	BENEFITS DESCRIPTION
CORRECT ALLOCATION OF QUERIES AND SHORTER RESOLUTION TIME	The new Process Types will help organisations allocate the right queries to the right departments which will help to speed up resolutions.
CLARITY WITHIN THE REC	The legal text updates provide clarity on the general purpose of SDEP including the principles of when to use SDEP queries and how to use SDEP queries including the Process Type reference within the relevant paragraph. It also makes the principles and obligations surrounding escalations clearer.

13.2 COST BENEFIT ANALYSIS SUMMARY

Whilst there is a one-off cost for the development of the new SDEP Process Types, there were no implementation costs noted by any Party through the impact assessment responses. All Suppliers noted benefits in the efficiencies gained through the use of the new Process Types which would then provide a better Consumer experience in getting any concerns relating to their energy supply resolved.

14 CASE FOR CHANGE

14.1 SELF-GOVERNANCE

The Code Manager considers there is a positive case for change for implementing this Change Proposal on the basis that the proposed solution:

- Is both viable and implementable and effectively resolves the problem statement;
- The cost and effort in implementing and operating the solution is proportionate and cost effective;
- Delivers positive outcomes for all SDEP Users which will in turn provide better outcomes for Consumers; and
- Provides useful functionality for Market Participants, clarity within the REC and efficiencies in implementing the new Process Types with a user scripting solution.

15 CODE MANAGER'S RECOMMENDATION

Based on sections 13 and 14 of this report, the Code Manager considers there is a positive case for change for implementing the solution and recommends that the Technical Expert Panel:

- **APPROVE** the proposed change solution;
- **APPROVE** the proposed implementation approach; and

- **APPROVE** the proposed implementation date of 23 August 2024.

16 RESPONSIBLE COMMITTEE DECISION

This report was discussed at the Technical Expert Panel meeting on 24 April 2024.

The Technical Expert Panel voted to:

- **APPROVE** the proposed change solution;
- **APPROVE** the proposed implementation approach; and
- **APPROVE** the proposed implementation date of 23 August 2024.

17 APPENDIX

CHANGE PROPOSAL	Link
LEGAL DRAFTING	Link
CONSOLIDATED IMPACT ASSESSMENT RESPONSES	Link
CONSOLIDATED CONSULTATION RESPONSES	Link

18 GLOSSARY

TERM	DEFINITION
Consumer	means any person supplied (or seeking a supply) of Energy at an RMP (whether or not that person also exports or is seeking to export electricity at an RMP).
Data Specification	means the document of that name forming part of the Technical Specification.
Distribution Network Operator (DNO)	means a person holding an Electricity Distribution Licence.
Electricity Enquiry Service (EES) Provider	means the provider of the Electricity Enquiry Service.
Energy Supplier	means a person which is either or both an Electricity Supplier and/or a Gas Supplier.

TERM	DEFINITION
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.
Master Admin User (MAU)	means, in respect of a REC Service User, the Authorised Person who has the relevant access rights to manage the accounts of the REC Service User's other Authorised Persons.
Performance Assurance	means the activities undertaken by the Code Manager and the REC PAB in accordance with the Performance Assurance Schedule.
SDEP User	means an entity that is entitled to use the Secure Data Exchange Portal in accordance with the Secure Data Exchange Schedule.
SDES Provider	means the provider of the SDES contracted by RECCo.
Secure Data Exchange Portal (SDEP)	means the portal of that name which forms part of the Secure Data Exchange Service.