RETAIL ENERGY CODE

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

INITIAL ASSESSMENT REPORT

R0121 – SDEP REVIEW IMPROVEMENTS – PROCESS TYPES AND ESCALATIONS

DOCUMENT VERSION	V1.0
DATE ISSUED	22/09/2023
DOCUMENT APPROVAL STATUS	NOT YET APPROVED

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

DEADLINE FOR ALTERNATIVE CHANGE PROPOSALS	15/12/2023

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 and changes to how escalation messages are managed to allow users to better identify appropriate workflows and to handle escalations more efficiently.

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

1 BACKGROUND

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

Users have also identified several other scenarios where SDEP communications could provide secure, trackable routes for queries and escalations between Parties.

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.

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.

4 IMPACTS

CONSUMERS
Electricity and Gas Consumers

REC SERVICE PROVIDERS
EES Provider

REC PARTIES AND SERVICE USERS
Electricity and Gas Suppliers

REC DOCUMENTS / PRODUCTS
Schedule 7

Distribution Network Operators	Schedule 8
	Schedule 11
	Schedule 17
	Schedule 27
	Schedule 28
	Schedule 29
	Schedule 30
	SDES User Guide
	Secure Data Exchange Service Definition
	Risk documents

The majority of the legal text impacts will be seen within Schedule 30 – Resolution of Consumer Switching and Billing Issues and the SDES User Guide. The other REC products listed will only be minimally impacted.

5 CROSS CODE IMPACTS

There are no cross-code impacts identified.

6 CHANGE PATH AND RESPONSIBLE COMMITTEE

CHANGE PATH	SELF GOVERNANCE

RESPONSIBLE COMMITTEE	TECHNICAL EXPERT PANEL

Whilst most of the documents impacted by R0121 are under the responsibility of the Change Panel, this change has a heavy technical impact on a REC governed system and therefore the Code Manager has determined that the Responsible Committee should be the Technical Expert Panel.

7 PRIORITY STATUS AND URGENCY

Category	Significance / Resource impacts / Urgency	Further selection / breakdown	Score (0-3)	Weighting	Weighted Score
Impacts	Consumer Impact	Indirect	2	27	53
	Retail Markets Impact	Retail Risk(s)	2	17	33
	RECCo / REC Party / REC Service Provider Impact	Operational Effectiveness and Efficiencies	2	7	13
		Legal and Regulatory Compliance	1	14	14
Resource	Complexity / Effort / Duration		2	9	18
Strategic Alignment	Contribution to/ Alignment with the objectives of the REC		2	17	17
	Contribution to/ Alignment with RECCo's Forward Work Plan		0		0
Urgency *(The need to progress a change to meet a targeted date)*		Aligned to planned Code Roadmap activity	2	10	20
				Overall Priority Score (rounded)	169

Priority Status	HIGH
Change Proposal Type	STANDARD

This change has been determined as having a high priority score of 169 and an urgency score of 2 as it is aligned to Codes Roadmap activity. The priority score is based on scores of 2 for indirect Consumer impact, retail risk (privacy of consumer data, address management, billing, theft, and erroneous switches) and operational effectiveness and efficiencies.

8 SUMMARY OF CHANGE PROPOSAL PLAN

R0121 has already undergone significant industry engagement through the SDEP Review, REC Issues Group meetings and Requests for Information, therefore has a fully formed solution at the time of publishing this Initial Assessment Report.

Following approval of the Change Plan, R0121 will proceed directly to Service Provider Impact Assessment for a period of 25WDs. Service Provider ROM costs were already provided as part of the SDEP Review. It will then proceed to Party Impact Assessment for the standard period of 15WDs.

The Preliminary Change Report will then be published on 15 December 2023 and proceed directly to Consultation. The Consultation period will fall over the Christmas period and therefore will have an extended window and close 19 January 2024.

The Final Change Report will then be published on 16 February 2024 for Responsible Committee decision on 28 February 2024.

	FROM	TO
SERVICE PROVIDER IMPACT ASSESSMENT	09/10/2023	13/11/2023
PARTY IMPACT ASSESSMENT	17/11/2023	08/12/2023
PRELIMINARY CHANGE REPORT AND CONSULTATION ISSUED	15/12/2023	15/12/2023
CONSULTATION	15/12/2023	19/01/2024
FINAL CHANGE REPORT ISSUED	16/02/2024	16/02/2024

RESPONSIBLE COMMITTEE DECISION	28/02/2024	28/02/2024
APPEAL WINDOW CLOSURE	13/03/2024	13/03/2024

9 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).
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.
Secure Data Exchange Portal (SDEP)	means the portal of that name which forms part of the Secure Data Exchange Service.
Supplier	means a person which is either or both an Electricity Supplier and/or a Gas Supplier.