CHANGE MANAGEMENT TRAINING EVENT
QUESTIONS & ANSWERS

Please see below, a list of questions raised at the REC Change Management Training Event, which took place on 18 August 2021, including their answers and grouped into categories.

QUESTION	ANSWER
CATEGORY – GENERAL	
The REC makes provision for the Code Manager to change their recommendation before the automatic appeal to the Authority - is that opportunity baked into the internal process?	The Code Manager may revise their recommendation if they consider the reasons provided by the Responsible Committee are sufficient for it to change its recommendation. Where this is the case, the reasons for revising the recommendation will be recorded in the minutes of the meeting and the Final Change Report.
Do you need to have a portal log-in to be able to see all of the information about changes, or will it be publicly available or published on the REC website?	Information about Change Proposals can only be accessed via the Portal, with a log in. Anyone is able to set up a Portal account to access information within the Portal.
Where will the DTC be held within EMAR, will it be as now and can it be accessed purely with the REC Portal login?	The contents of the DTC will be transferred to the Data Specification from 1st September 2021, along with other industry data catalogues such as RGMA and the SPAA Supplier Data Flow Catalogue. This will be accessible via the EMAR and is held in a different format to the DTC. This was consulted in by Ofgem in their Technical Specification approach consultation and REC V2 consultation. You will need to register for a REC Portal login to gain access to the EMAR.
Is there a handy diagram which shows where the bodies sat before REC, and with who, and how they sit now? For example, SMICOP was with ElectraLink, however now it's under REC it's no longer called SMICOP and I believe is being administered by someone other than ElectraLink.	No, there is no formal diagram to show this. A diagram showing the scope of the REC can be found in the Change Management Industry Training slide pack (page 22)
How do we access REC Portal?	The Portal will use a publicly facing web address, which can be accessed through any of the modern, mainstream browsers – Chrome, Firefox, Safari and Edge – with no additional or specialist technology needed. Whilst the Portal will work using IE 11, this browser will not be tested against, and support would not be provided for any issues which may arise relating to the use of IE 11. If you or your organisation intends to use Internet Explorer 11 to access the Portal when this becomes live, please contact

	enquiries@recmanager.co.uk if you have any questions or to discuss this further.
When will we get access to the portal?	The REC Contract Manager contact submitted by parties in the Operational Contacts Template will be given access for 01 September 2021 as the Master Admin User (MAU). Following Go-Live, MAUs will then be able to create user accounts for individuals in their organisation, and any interested stakeholder will be able to create their own Portal login account, too.
It looks like the Change Proposer contact details will be published - how will you ensure security given that the Portal is accessible to all?	The Change Proposer name and organisation will be published on the Portal, however their contact details will only be available to the Code Manager.
When will the Portal web address be available?	The Portal web address will be made available on 01 September 2021, at which point stakeholders will be able to set up their own Portal login accounts.
Is the term 'All portal users' a defined term under REC? As this has the connotation that the change relates to the portal itself. Could this be changed to 'All REC Parties' or something similar to remove ambiguity?	The term All Portal Users is not a defined term under the REC. The target audience selected for Impact Assessments and Consultations will receive notifications within the Portal. All Portal Users would be selected when we are not limiting notifications or responses only to REC Parties, where any user with a Portal login is targeted (this would include parties, organisations and individuals not acceded to the REC).
Is there the concept of Derogation within REC to help facilitate innovation?	Yes - REC Parties may apply for a Derogation directly or may have enter the Derogation process via a Sandbox application to trial new products, services or business models in the market.
Have the Category 3 User guides all been published, or are they still to be published - and if so, when are they due to be made available?	The User Guides classified as Category 3 documents will be made available on the Portal from the 01 September 2021.
What due diligence is performed on new users attaching themselves to an organisation and responding on the organisation's behalf?	A user creating their own account would be set as a standard Portal user and their permissions would need to be further refined to enable them to access certain areas or respond/submit on behalf of their organisation. The Master Admin User (MAU) for an organisation will be able to set the permissions and roles assigned to a user within their organisation.

CATEGORY – RAISING AND PROGRESSING CHANGE PROPOSALS

Is it possible to raise an issue that needs to be addressed rather than a change? We might have identified a problem in the market that needs to be addressed but might not have a proposed solution at this stage, or we might have a number of potential solutions with no specific preference.	The Change Management process supports the raising of Issues as well as fully or partially formed Change Proposals. There is no requirement for a solution to be defined or a preferred solution identified, however if potential solutions have been defined, these will be considered during the development and progression of the Change Proposal.

There are a number of parked changes, will these be progressed on 1 Sept and then added to the Committee?	The Code Manager has received a list of ongoing issues from the existing code bodies, that may need to be picked up in the REC change process.

These issues have been reviewed and prioritised, the outcome of this review has been shared with a number of industry forums.

There are a number of Change Proposals identified as priority items, Change Proposals will be raised in early September for these.

The remaining Issues will be included in the Codes Roadmap, for analysis in the coming months. |
| Industry has worked together to raise a standard change proposal/modification form that has been developed via CaCoP. Is the electronic form a replica of this or is it going to be different to the rest of industry? | The CACoP defined Change Proposal form has been considered when developing the REC Change Proposal form, however there are differences between them. The REC Change Proposal form focuses on the issue that needs to be solved and the outcome the proposer is seeking to achieve, rather than defining a solution. Because of this there are some differences between the traditional CACoP Change Proposal Form and the digital REC Change Proposal Form. |
| Is there a limit of how many changes can be worked on or processed in a given time? How does the REC Code Manager expect to manage any backlogs that could be created especially after go-live? | There is no defined or specific limit on the number of Change Proposals that can be progressed in a given time. This would depend on the type, size and complexity of the Change Proposals.

As Change Proposals are raised these would be assessed and the priority of the Change Proposal determined using the Prioritisation Matrix, this would be considered against other business priorities and activities when determining the timescales for progressing a Change Proposal or alignment to planned future activity within the Codes Roadmap.

The prioritisation of the change agenda will allow for effort to focus on resolving more significant issues or those that offer the most benefit, over piecemeal changes on a "first-come, first-serve" bases. This will allow a more strategic and beneficial programme of change to occur that will deliver greater benefits to the industry and consumers. |
Can you save a partially completed proposal and come back to it later?	Yes – a partially completed Change Proposal will remain available until it is either submitted or cleared down by the user.
As you populate the Change Proposal online, does it automatically populate a template that can be downloaded?	The Change Proposal is an online form only, this cannot currently be downloaded. This is something we can look into if users require this capability. We will have a development roadmap for improvements to the Portal, where we will seek feedback from users on these types of issues.
Not all CPs will have consumer impacts (e.g. a change to a system to make it more	Where these are no consumer impacts (direct or indirect) you would be able to select 'Other' from the

efficient) - why is it mandatory to select at least one consumer impact?	options list and provide your justification in the Additional Comments box.
The consumer impacts section may be tough to complete - i.e. proposer may not know impacts to each consumer category or even if they are impacted	Where consumer impacts are not known, you would be able to select 'Other' from the options list and provide your justification in the Additional Information box.
Tick boxes seem to ask around impact, but not whether it is a positive or negative impact. or the level of impact. How will the proposer be encouraged to think about this and ensure it is advised in the change proposal	We encourage all change proposers to consider positive and negative impacts when submitting Change Proposals. Where a positive impact would be felt by a party or consumer, this would be captured as an impact with an explanation of the benefits/positive impact being provided in the relevant Additional Information box.
Does the lack of industry workgroups present a risk around who understand impacts to systems etc?	The Code Manager will have internal industry expertise to ensure robust assessment and understanding of the impacts of Change Proposal, this includes access to SMEs and REC Service Providers. The Code Manager will consider where there may be an impact to the people, process, technology, or commercial or financial matters of a business as a result of the change. We will use the digital links in the EMAR to identify core stakeholders in the process, and indirect / dependent links to other stakeholders in the wider process or market scenario. The Impact Assessments commissioned by the Code Manager will validate and quantify the impacts identified by the Code Manager.
Can a Change Proposal (CP) be expanded/improved during its course or will a new CP need to be raised?	Yes – the Change Management process is flexible enough to enable the 'right' solution to be developed as Change Proposal progresses through the process.
Would it be possible to include the change name/title as well as the change reference in the notifications, so it's clearer which change the notification relates to.	This is something we can look in to if users require this. We will have a development roadmap for improvements to the Portal, where we will seek feedback from users on these types of issues.
Will emails still be sent to Industry parties independent of notifications in REC (e.g Consultations, Impact Assessments etc)?	Yes – initially you will be required to sign up to distribution lists related to different topics/areas of interest. When a notification is triggered an email will be sent to the relevant distribution list. We will be developing this capability within the Portal in the future, enabling you to sign up to email notifications of interest through the Portal, without requiring separate email notifications.

CATEGORY – PRIORITISATION MATRIX AND PRIORITISING CHANGE PROPOSALS

Will the Prioritisation Matrix allow for 'quick fixes' to be made? Some changes are low impact but also low cost - if the priority is always based on impact is there as risk that small changes and quick fixes that have a	The change process does have flexibility to enable low impact, low cost changes to be progressed. The Prioritisation Matrix, and the Priority Status this is used to determine, is one of the main elements used

benefit (although a smaller one) might not be progressed?	to plan the Change Agenda, but this is not done in isolation.
	Alignment with other related Issues or Changes on the Codes Roadmap may result in a stronger 'case for change' or there may be capacity within the Change Management team to develop smaller Change Proposals alongside more complex Change Proposals.
	All cases will be assessed individually and Change Proposals progressed.
What/who's effort is being assessed?	The Prioritisation Matrix includes an unofficial score for the expected effort for progressing a Change Proposal, for consideration when developing the Change Proposal Plan.
	The effort score is indicative only and should be based on the level of activity required in the Change Proposal Plan to fully develop and complete the Change Proposal.
	The level of effort ranges from Minimal (where there is a fully formed solution that can progress to Consultation) to Significant (Significant project impacting multiple systems and stakeholders requiring full solution development and impact assessment).
Will we see the breakdown of the scoring for the prioritisation matrix on the Portal?	The Priority Status, with an explanation of the determining factors, will be provided in the Initial Assessment Report.
How are you going to make sure issues and changes that are raised are truly bringing the customer into these changes, to avoid changes that do not have any customer impact?	All Change Proposals will consider the consumer interest and impact during the Initial Assessment and consider the desired consumer outcomes when defining the solution requirements.
	This will rightly ensure that achieving the best consumer outcomes is considered at the heart of solution development.
How are priorities determined? Is it self-governed or is there a baseline process?	The criteria the Code Manager will use to determine a Priority Status for each Change Proposal is detailed in the Prioritisation Matrix. The Code Manager will use this to assess the priority of each Change Proposal prior to developing the Change Proposal Plan.
Can industry input to the Codes Roadmap e.g., the Strategy?	Industry will have the opportunity to input into the REC Strategy through formal consultations. The Code Manager will also capture industry issues through a number of channels, including issues raised via the service desk, feedback from Operational Account Managers, and engagement from Proposers seeking to raise Change Proposals. Issues identified by the Code Manager may result in an issue being added to the Codes Roadmap.

CATEGORY – CONSULTATIONS, IMPACT ASSESSMENTS AND CHANGE REPORT PUBLICATION

Are there likely to be RFIs to change proposals as well as consultations? At what stage would we expect to see this RFI? and wat would be the timelines for responses?	The REC Change Management Schedule does not include a Request for Information as a formal mechanism for engagement. The majority of the time, this information can be captured from parties during the impact assessment phase. If additional information is required separately to the impact assessment, the Code Manager can issue a Request for Information. This requirement would normally be detailed in the Change Proposal Plan if it relates to a REC Change Proposal.
When the portal receives notification of a new CP assessment report being published will this also have a connecting email notification or will it rely on us logging into the portal daily to check.	Initially you will be required to sign up to distribution lists related to different topics/areas of interest. When a notification is triggered an email will be sent to the relevant distribution list. We will be developing this capability within the Portal in the future, enabling you to sign up to email notifications of interest to you or your organisation.
If the IA Response Form.doc overall response is set to Confidential, does this automatically update the confidentiality status on the Portal comments - or is it important to manually make sure the flag ties into the document?	All comments or responses will be manually collated by the Code Manager. If a whole document, a single response within a document or online comments are flagged as being confidential these will be identified. All responses will be treated as non-confidential unless indicated otherwise. Responses marked as confidential will be shared with RECCo, The Code Manager, Responsible Committee and the Authority (where relevant) but will not be published to REC Parties, Service Providers or wider stakeholders. Anonymous responses will omit the detail of the submitting Organisation, but the content of the response may be published on the REC Portal and provided to the Responsible Committee as part of a Preliminary and/or Final Change Report.
What other Target Audiences are there? It is a little concerning to learn that some consultations may be out of view for REC Party members, depending on a REC managers view of who is impacted	The capability to commission and manage Consultations in the Portal will be used for Preliminary Change Report Consultations, but also for other Consultations such as related to a Category 3 Change Proposal (where a change is proposed to a Category 3 document). Where a Consultation relates to the Preliminary Change Report for a Change Proposal, Consultations will be issued and accessible for all stakeholders, irrespective of the impacted parties. Only where there is a specific need to consult a defined set of stakeholders would the Target Audience selection be used. All Consultations can be viewed in the Consultations Register, with the Target Audience being able to respond.

Can an organisation see their responses or will it be at an individual level?	Responses and comments will only be visible and available to the individual who originally submitted them.
	This is something we can look into if users would prefer their responses to be visible to other members of their organisation. We will have a development roadmap for improvements to the Portal, where we will seek feedback from users on these types of issues. We would need to confirm if it is appropriate for all user types to have comments and responses available to all users, or if there are exceptions to this rule for certain types of users before planning in any changes to this feature.

CATEGORY – CROSS CODE CHANGES

Will you be able to support if a REC change would also require consequential changes to other codes? UNC or BSC for example?	REC Change Proposals will be referred to the Cross Code Steering Group (CCSG) for assessment. The CCSG will review the Change Proposal and provide a view on whether they believe their code is impacted. Where this is the case, they will provide their views as to which code body should act as the Lead Code.
	Where REC is confirmed as the Lead Code, the REC Code Manager will work with the other Code Administrators to set and agree the timetable for progression of the consequential changes, in parallel with the REC Change Proposal (where possible).
Who will be responsible for raising industry CPs following impacts from other codes/industry change? Is there a danger that multiple organisations will be researching and raising the same CP?	This would be agreed at the Cross Code Steering Group (CCSG).
Will the members of the CCSG be published? Where would we find this information?	No, this will not be published. It will be the responsibility of each code body to determine who the relevant representative for that code will be, and ensure that their codes operate in accordance with the requirements of the Cross Code Steering Group.
Who ensures that the CCSG is effective?	The Chair of the CCSG will ensure that the CCSG operates within its Terms of Reference. Ofgem reserve the right to request that the Chair reviews the Terms of Reference at any time.
Can a CP be approved through the REC Change process where this is a consequential change driven by a Change Proposal approved under a different code?	A REC Change Proposal would be approved/rejected by the REC Responsible Committee; however it would only be implemented if the Change Proposal of the Lead Code was approved.
	Where there is a package of Cross Code Change Proposals, with only some of the Change Proposals being approved, the Lead Code has the option to refer the package of changes to the Authority for a decision.

CATEGORY – RELEASE MANAGEMENT

How much notice will be needed to get a CP added to a change release?	There is no specific cut off point for the inclusion of Change Proposals in a release. The inclusion in a release will depend on the type and size of impacts, which will be assessed for each Change Proposal, as well as the priority of the Change Proposal when considered against other items.
How many releases per year are you doing?	Prior to CSS go-live the REC Release Schedule will have standard release dates on first Thursday of November, and the last Thursday for February and June

From CSS go-live the REC Release Schedule will have standard release dates on first Friday of November, and the last Friday for February and June |
| Can someone confirm what is in scope over the upcoming months (most specifically November 21)? | In the November release there is the consequential REC Change Proposal for SEC MP077, which proposes to update the values, and business rules, of the DCC Service Flag data item.

The SEC modification has been approved for implementation on 4th November 2021, and a consequential change is required to the Data Specification to reflect this. |
When will DTC changes be finalised for the Feb 22 release and how will they be published?	If Change Proposals are approved for implementation in the February 2022 release these will be available in the Release Schedule on the REC Portal. Stakeholders should monitor for updates on REC Change Proposals to identify approved Change Proposals and their respective implementation dates.
Will the pre-release of the Data Sec in the EMAR include the specific Dataflow IDs and J items that will be used in live?	Yes, this will include any changes to the market message and/or data item.
Major Gas release implementations occurs on a weekend. How is a Friday REC implementation date aligning to the Gas industry?	The Code Manager has been, and continues to be, in regular discussions with the CDSP to prepare for the impact of this.
Can a clarification note be sent on to explain the pre-release changes, how it works now and how it will change under the REC?	You can sign up to the upcoming Model Office sessions to learn more about accessing pre-releases in the EMAR.
Would it still be considered a major change if it was only housekeeping to a cat one document?	This would still be considered a standard Change Proposal, however the activity in the Change Proposal plan would reflect the level of analysis and solution development required for the size/type of change.