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Switching Programme: Query Management Manual

Version: 1.0

Publication date: 08/06/2016

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Scope:

This document sets out a process for external parties to raise queries with the Switching Programme and describes how these will be managed. Queries can be raised by stakeholders regardless of whether they are currently directly participating in the Switching Programme.

The scope of this process is programme-wide. A query is defined as any question regarding the four workstreams (Business Process Design, Regulatory Design, Delivery Strategy, and Commercial), programme management and governance, or the activities of the External Design Advisory Group (EDAG), the Switching Programme Delivery Group (SPDG), the Switching Programme Steering Group (SPSG) or the Design Authority.

Contents

Associated Documents

Query Management Log & Query Reporting Template:
www.ofgem.gov.uk/publications-and-updates/switching-programme-query-management-log

1. Purpose

This section sets out the purpose of the Query Management Log and this Query Management Manual. We define a query and how to access the Query Management Log and Query Reporting Template.

Query Management Manual

1.1.   This document is the Query Management Manual. It sets out the process for parties to raise a query about the Switching Programme. It describes how these will be logged. It also sets out how Ofgem will manage the queries that it receives through this process.

1.2.   Queries can be raised by any party, regardless of whether they currently participate directly in Switching Programme workgroups.

Query Management Log

1.3.   The purpose of the Query Management Log is to provide transparency to external parties on the queries that have been raised about the Switching Programme, Ofgem's response, and where a response has not been finalised, Ofgem's progress on answering the query.

1.4.   The Query Management Log is not intended to replace the Switching Programme's risks and issues logs, but work alongside these to handle more general queries about the Switching Programme.[1] The Switching Programme operates a separate central risks and issues log and the workstreams have similar logs for managing the risks and issues which are specific to them.

Publishing the Query Management Log

1.5.   The Query Management Log will be reviewed weekly and an updated (external) version will be published each Friday to provide visibility to the Query Raiser and other stakeholders. Any interested party will then be able to view the actions taken that week, comments on progress or status changes to a query.

1.6.   Queries that are unclear and sent back, factually incorrect and rejected, or have low materiality will not be added to external facing Query Log. Queries having low materiality, i.e. those queries where the response is specific to an individual or when there is negligible benefit in socialising the response (for example where the request is for a minor clarification) will be only logged internally and will not be published in the external facing log. These queries will be handled on a bilateral basis between the Query Raiser and Ofgem.

Definition of a query

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[1] Note that one outcome of a query being raised is that a risk or an issue is added to these separate logs.

1.7.   In the context of this query management process, a query is one of the following:

- A question on any documentation produced by the programme.

- A question on any design/delivery/regulatory or commercial matter within scope of the programme.

- A question about programme management or governance.

- A cross-workstream query arising from a Design Team, User Group, EDAG, SPDG or SPSG meeting which, if it was held solely on a workstream-specific query/issue/risk log would inhibit transparency.

- A risk or an issue that the Query Raiser thinks should be considered by the Switching Programme.

Query Reporting Template

1.8.   The Query Reporting Template (see Associated Documents at the start of this manual) is a downloadable Excel file available on Ofgem's website that should be completed by the Query Raiser and sent to the Switching Programme via email (see Section 2). It is intended to provide Ofgem with sufficient information to understand the query and begin work towards resolving it.

The Query Raiser

1.9.   The Query Raiser is the individual who is named in the Query Reporting Template and is the main contact for Ofgem for that specific query.

2. Process

This section sets out the process for raising a query and the action that Ofgem will take once it has been received. It will provide advice on how to complete the Query Reporting Template, and how the Switching Programme will manage the query once it has been received.

2.1.   All queries submitted by the Query Raiser, using the Query Reporting Template, will be logged by Ofgem (the "Log Administrator") in the Query Management Log.

2.2.   Table 1 describes the data items in the Query Reporting Template. It describes which data items are mandatory and which are optional. The Query Raiser should complete all mandatory sections and attempt to complete all other sections of the template. The information provided in the Query Reporting Template by the Query Raiser will be used by the Log Administrator to populate the Query Management Log.

2.3.   Where the information provided by the Query Raiser is not clear, Ofgem reserves the right to send queries back. In particular, Ofgem will return any queries which duplicate other titles, or are not completed in the template, or that require further information. If possible/relevant the Query Raiser should provide a proposed action to resolve the problem.

Table 1: Query Reporting Template - data items

Data Item	Optional (O) / Mandatory (M)	Description
Number	O	If more than one query has been raised in a submission, then each query will be numbered (not a reference number).
Date Raised	M	The date the query was sent to Ofgem (DD/MM/YY).
Email	M	The email contact of the Query Raiser.
Raised by (Name)	M	The name of the Query Raiser.
Organisation	M	The organisation that the Query Raiser represents.
Query title (60 characters max)	M	The Query Raiser should provide a succinct title for the question, issue or comment.
Source document/ meeting	O	If the query is related to a particular document or meeting, the Query Raiser should identify it here, including the publication date and any version numbering.
Query description	M	The Query Raiser should provide an overview of the query and any other relevant information, with sufficient detail to allow the query to be actioned.
Proposed action(s)	O	The Query Raiser should propose a specific action, or set of actions, to address the query.

Priority High (H) Medium (M) Low (L)	O	The Query Raiser should assign the query a priority. Ofgem may assign a different priority to the query in the Query Management Log, where possible this will be done with the agreement of the Query Raiser. This will then be logged in the "Actions Taken" column of the log.
Query Category	M	The Query Raiser should classify every query into a category. I.e. whether it is a query related to: • Programme Documentation • Design • Delivery • Regulatory • Commercial • Programme Management • Programme Governance • Cross Workstream Query/Issue/Risk • Programme Risk • Programme Issue

2.4.   The completed form should be emailed to switchingprogramme@ofgem.gov.uk. The Log Administrator will then send an acknowledgement via email upon receipt, and the query will be logged. Once the query is added to the Query Management Log, the Log Administrator will assign an Ofgem Owner and set a review date. These are described in Table 2.

2.5.   An Ofgem Owner might be a workstream lead who may investigate a query as part of their specific workstream.

Table 2: Query Management Log - data items

Data Item	Optional (O) / Mandatory (M)	Description
Reference Number	M	A unique identifier for each query that has been raised (eg, Q001).
Ofgem Owner	M	The Ofgem expert who is responsible for managing the query.
Query Classification	M	The query will have one of the following four classifications: **Accepted**: The query has been accepted and either will be or has been addressed. **Rejected**: The query has been rejected on the basis that it is factually incorrect, or is not relevant. A response will be sent to the Query Raiser noting that the query will be only logged internally and will not be published for external viewing. **Duplicated**: The query has been raised before, or is covered by another query. Ofgem will note the reference number of the query that has been duplicated in the query description. A response will be sent to the Query Raiser noting that the query will be only logged internally and will not be published for external viewing. **Clarification requested**: The query is unclear or incomplete. A response will be sent to the Query Raiser requesting further

		information and noting that the query will be only logged internally and will not, at this stage, be published for external viewing.
Query Category	M	The Log Administrator will classify every query into a category based on the information provided by the Query Raiser. I.e. whether it is a query related to: • Programme Documentation • Design • Delivery • Regulatory • Commercial • Programme Management • Programme Governance • Cross Workstream Query/Issue/Risk • Programme Risk • Programme Issue
Review Date	M	A date which is set when the query is logged and updated after each review. It describes the date that the next review is expected by (DD/MM/YY).
Ofgem comments	O	Comments provided by the Ofgem Owner on the query prior to closure.
Actions Taken	O	A list of actions that have been taken by the Ofgem Owner to address the query.
Outcomes of actions	O	Results from actions will be recorded here.
Date of Next Action	O	Provides visibility on the progress of actions.
Final Outcome	O	Details of the resolving action taken, which led to query closure.
Status	M	Open/Closed
Date last edited	M	Date of last edit (DD/MM/YY).
Last Edited by	M	Last person to update the Query Management Log.

Query resolution

2.6.   Once the query has been logged and assigned to the Ofgem Owner, the Ofgem Owner will review the query and determine whether it is possible to address it immediately. In this case, the Ofgem Owner will resolve the query and contact the Query Raiser to notify them of the outcome. The Ofgem Owner will complete the rest of the log entry (actions taken to resolve query etc.), and change the status to closed.

2.7.   If it is not possible to resolve the query immediately, the Ofgem Owner will act to resolve it and continue with the review process set out in Figure 1. Any actions that are taken are to be identified in the "Actions Taken" column of the Query Management Log.

2.8.   The Ofgem Owner will aim to discuss the query with the Query Raiser within three working days of receiving the query. This initial discussion would help to inform the Ofgem Owner's view on whether the query needs to be included within the external Query Management Log.

2.9.   The Ofgem Owner will review the query and propose an action plan within next five working days following the discussion with the Query Raiser. Within this period the Ofgem Owner will consult with Ofgem Design and Impact Assessment Team (DIAT)[2], which is responsible for policy coordination between the workstreams. Once the plan has been reviewed by DIAT and agreed, the Ofgem Owner will provide a weekly update to the Log Administrator about progress on actions. These will be reviewed by the Log Administrator and DIAT. The Log Administrator will publish the updated external Query Management Log every Friday and will inform the Query Raiser. Where progress has been made on any queries that are not part of the external log, the Log Administrator will separately inform the Query Raiser.

2.10.   If the query has not yet been resolved, the Ofgem Owner will continue to provide weekly updates to the Log Administrator until it has been closed.

Figure 1 - Review Process Diagram

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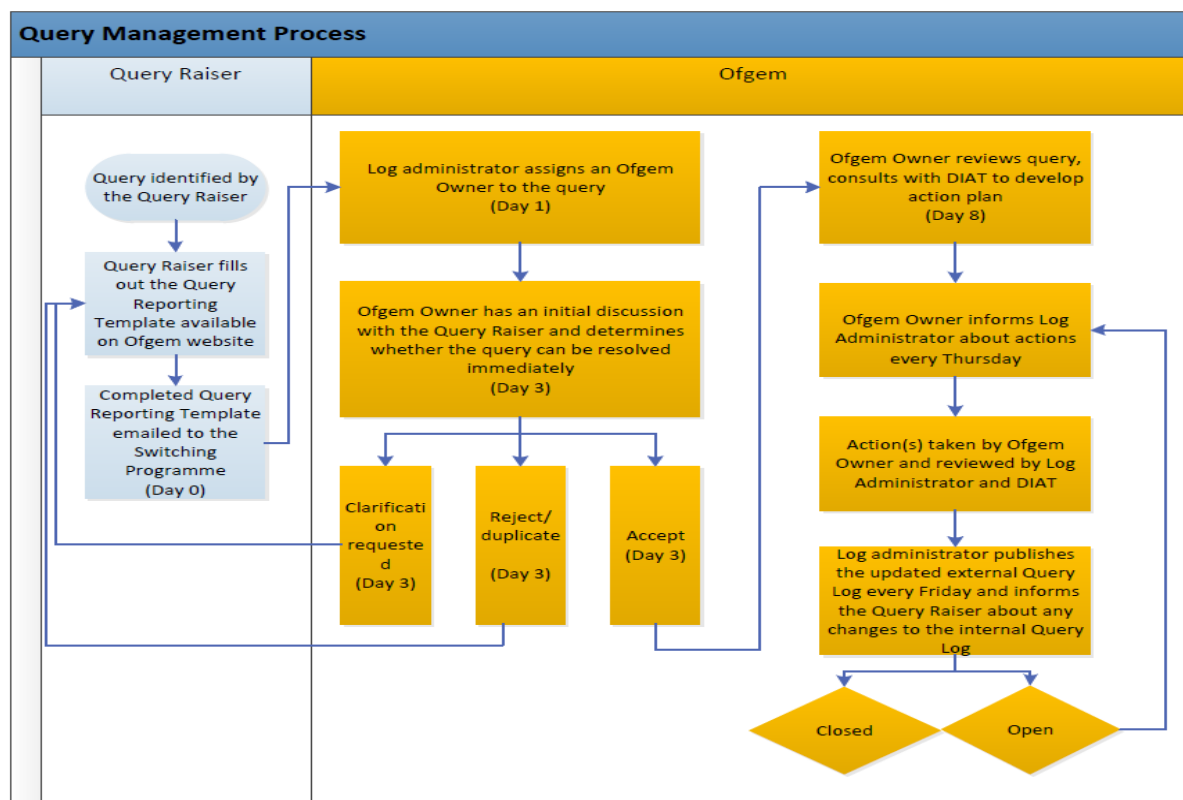
[2] The DIAT is responsible for policy coordination between the four Switching Programme workstreams (Business Process Design, Delivery Strategy, Commercial and Regulatory Design).