

Switching Programme Change Request Form

Part A – For the requestor to fill in

Change Requestor's Details

Name: Christine Pearson
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Please note that by default we will include the name and organisation of the Change Requestor in Switching Programme's published Change Log. If you do not wish to be identified please tick this box

Change Title

Service Management Tools Non-Functional Requirements Additions (D-10.4)

Change Summary

Introduction

During review of the Service Management Tools requirement document (D-10.4) ahead of the tender pack, issuance for Project 4 (Service Management System) a lack on non-functional requirements was identified. For the SMS providers to understand the volumes by which the system will need to operate several non-functional requirements have been produced based on current volumetric assumptions.

These updates are to be included within the 'Requirements Compliance Matrix' to allow bidders to respond to the updated requirements under an assumption that these updates are to receive approval of the Ofgem Design Authority. The Requirements Compliance Matrix is to be issued as part of the tender pack for Project 4 and the full list of changes can be found below.

Non-functional requirement summary

NFRSM01	The solution must support peak and average concurrent user numbers
NFRSM02	The solution must support transaction volumes as specified in the Volumetrics spreadsheet for expected volumes of tickets
NFRSM03	The solution must support transaction response times as specified by the REC
NFRSM04	The system shall provide and log timestamps when a new ticket is raised or an update applied
NFRSM05	The system shall perform transaction latency monitoring and reporting by recording a log of message streams along with timestamps to allow average response time to be reported on a monthly basis.

NFRSM06	The Service Provider shall provide high availability to 99.75% Target Service Level over any given reporting period.
NFRSM07	The Switching Portal shall be available 24 hours a day x 7 days per week. Excluding agreed planned maintenance
NFRSM08	The Switching SMS shall be available 24 hours a day x 7 days per week. Excluding agreed planned maintenance
NFRSM09	Service providers shall have a structured approach to patch/upgrade schedules, aligned to DCC release schedules.
NFRSM10	Service providers shall have agreed a schedule of the Planned Maintenance for each month at least 20 Working Days prior to the start of that month.
NFRSM11	Service providers schedule of Planned Maintenance for each month shall set out (as a minimum) the following: (a) the proposed Maintenance activity (in reasonable detail); (b) the parts of the Services that will be disrupted (or in respect of which there is a Material Risk of disruption) during each such Maintenance activity; (c) the time and duration of each such Maintenance activity; and (d) any associated risk that may subsequently affect the return of normal Services.
NFRSM12	Service providers shall (insofar as is reasonably practicable) undertake Maintenance of the Systems in such a way as to avoid any disruption to the provision of the Services (or any part of them).
NFRSM13	Service providers shall (unless agreed otherwise): (a) undertake Planned Maintenance of the systems only between 02.00 hours and 08.00 hours
NFRSM14	Service providers shall develop Change Management processes in line with the Switching Operator Change Management processes and the REC Change Management Schedule.
NFRSM15	DCC shall limit the planned maintenance of the Self-Serve Portal and SMS to no more than 4 hours in any month. As a consequence all SPs must submit RFCs and notify SO of all planned maintenance, so that a combined schedule can be produced.
NFRSM16	Any web facing solutions must comply with Web Content Accessibility Guidelines 2.1
NFRSM17	Any user facing solutions must be accessible from different device types such as desk tops, laptops, tablets, mobile phones
NFRSM18	Any user interface solution components must support the following browsers: Mozilla Firefox, Google Chrome, Internet Explorer, Safari, Microsoft Edge, Opera
NFRSM19	The solution must be designed so that all components align to the UTC (Coordinated Universal Time)
NFRSM20	The solution must use industry standard protocols to transfer data between systems
NFRSM21	The solution must not have any single point of failure
NFRSM22	All component parts of the solution must be monitored for activity and unusual inactivity
NFRSM23	Service Providers shall ensure that the Business Continuity & Disaster Recovery (BCDR) Targets are set to restore all affected services with 8 hours of the occurrence of that Disaster.

NFRSM24	Service Providers shall ensure in any Disaster event that Services are restored such that the loss of Data arising as a consequence of the Disaster is not in excess of that prescribed by the relevant Service Provider Performance Measures
NFRSM25	The service shall be recoverable within the following RTO in the event of its non-availability: i) Target - 4 hours ii) Maximum - 8 hours
NFRSM26	Service Providers shall align with and support the CSS SI and SO test assurance processes
NFRSM27	Service Providers shall align with and support the DCC release management processes.
NFRSM28	The solution must support non-intrusive backup
NFRSM29	The Service Provider shall operate their service management processes and functions within the UK.
NFRSM30	The SPs shall ensure Off-site backup arrangements shall be in place as required by the business continuity arrangements.
NFRSM31	The SPs shall record a list of events in the audit logs that include all operations performed by privileged users.
NFRSM32	The SPs shall not transfer or permit to be transferred any Data that pertains in any way to the Switching Production Environment outside of the European Economic Area.
NFRSM33	The SPs shall be obliged to co-operate with DCC requirement for DCC to carry out its own security testing in relation to the SPs' Solution - including penetration testing where appropriate.
NFRSM34	The SPs shall be obliged to detect anomalous events as defined in the REC
NFRSM35	The SPs shall be obliged to have in place a data security policy describing how the organisation will secure the data it accesses and/or processes throughout its lifecycle.

Change Effort

It is anticipated that making the changes will take around ½ a day for a DCC Service Architect.

Change Cost

The proposed changes will not change the overall solution cost to industry as these are only to provide further clarity about the needs of Switching. The cost is still unknown at this stage and is dependent on the bidders' proposals.

Change considerations & viewpoint	
<i>Please provide your considerations and views on change using information available to you and stakeholders you have engaged.</i>	
Priority assessment for Change Request An important change; its absence would be very inconvenient, although a 'work-around' is possible	The new NFRs have been issued as assumptions pending approval, and will be implemented during BAFO.
Base reason for Change Design - Additional requirements/functionality being added to the programme's scope	The base reason is to offer bidders more clarity around the volumes by which the system will need to operate when proposing their solutions.

Rating of Change implementation LOW - Minor consequence requiring some minor redesign or rework; Minor cost impact; Minor impact to schedule	At this stage the impact of not making the change is low as it can be amended during BAFO, however as stated earlier changes to the requirements following issuance of the tender packs will affect the accuracy of bidder price estimates in their tender responses.
"Do nothing" implications	The longer-term do-nothing implication is that the SMS is not fit for purpose in term of how Operations intend to use it if we aren't clear with bidders around the volumes by which the system will need to operate. It will also affect the cost of the solution if bidders aren't clear about the performance requirements.
Potential stakeholders affected by the Change	Tender Bidders (not yet engaged). Industry Stakeholders
Alternative sought to reduce negative impact	Do not make the change now and wait until the BAFO stage before amending the requirements.
Identify any risks to the implementation of the Change	No risks identified in the implementation of the change. More of a risk not to include the additional requirements.
Specialists and/or stakeholders consulted	DCC Operations and Service Management and DCC Procurement Design Forum

Justification for Change
<p>The changes to the requirements are needed to better reflect DCC's operational and business needs, and to provide prospective bidders more clarity when they are proposing SMS solutions.</p> <p>During review of the Service Management System (SMS) requirement document (D-10.2) ahead of the tender pack issuance for Project 4 (Service Management System) a lack on non-functional requirements was identified. For the SMS providers to understand the volumes by</p>

which the system will need to operate several non-functional requirements have been produced based on current volumetric assumptions.

These updates are to be included within the 'Requirements Compliance Matrix' to allow bidders to respond to the updated requirements under an assumption that these updates are to receive approval of the Ofgem Technical Design Authority. The Requirements Compliance Matrix is to be issued as part of the tender pack for Project 4 and the full list of changes can be found in the accompanying document.

The impact of not approving these changes is that the materials sent out to bidders in the tender packs does not reflect DCC's true requirements. These will then have to be communicated at the BAFO instead, which will negatively impact on the bidders' original cost estimates.

Programme Products affected by proposed change

D-10.4 – Service Management Tools Requirements (requirements spreadsheet)

Please submit this completed form to the Ofgem Switching Programme PMO Team (SwitchingPMO@ofgem.gov.uk) with the subject as the Change Request number and

title.

Part B – For Ofgem Use Only

Change request No.	CR-E27	Date CR submitted	10/12/2018
Change request status:	Approved	Current CR version:	0.2
Change Window:	13	Version date:	21/12/2018

Change Advisory Team (CAT) Lead:	Name and organisation: Jenny Boothe, Ofgem
Contact details:	Email address: jenny.boothe@ofgem.gov.uk
PMO Lead:	Name: James Hardy, Ofgem
Contact details:	Email address: james.hardy@ofgem.gov.uk

Initial assessment/Triage

Please provide a summary of the initial assessment, detailing any changes made by the Change Advisory Team (CAT) which includes Ofgem PMO, Design, Implementation, Alignment, Commercial, Regulatory and Security Workstream Leads and DCC.

Design & Data Impact and resource input required for IA?

No impact

Implementation Impact (including impacts to industry readiness, procurement timelines and the Programme Plan) and resource input required for IA?

No impact

Alignment Impact and resource input required for IA?

No impact

Commercial/Procurement Impact and resource input required for IA?

No impact

Regulatory Impact and resource input required for IA?

No impact

Security Impact and resource input required for IA?

No impact

Confirm Programme Products impacted by the change request?

No impact

Major or Minor Change?

Minor

Change Process Route	Standard	
Change Window	13	
To be submitted to the Design Forum on:	09/01/19 16/01/19 (meeting)	
Approval Authority:	Chair - Design Authority	
Target Change Decision Date:	29/01/19	
Checked for completeness (Name & Role):	Jenny Boothe	Date: 18/01/19

Impact Assessment		
<p>The changes made to the SMS requirements will give bidders more clarity around the volumes by which the system will need to operate and how they tailor their solutions. From a cost perspective, this change will give bidders more information for proposing their solution.</p> <p>Cost to DCC for amending the requirements are negligible.</p>		
Checked for completeness (Name & Role):	Jenny Boothe	Date: 18/01/19

Impact Assessment – Industry cost		
<p>The proposed changes will not affect the overall solution cost to industry as these are only to provide further clarity about the needs of Switching. The cost is still unknown at this stage and is dependent on the bidders proposals.</p>		
Checked for completeness (Name & Role):	Jenny Boothe	Date: 18/01/19

Impact Assessment – Resource Effort		
<p>It is anticipated that making the changes will take around ½ a day for a DCC Service Architect.</p> <p>Cost of change is zero as only the DCC SMS requirements is getting changed.</p>		
Checked for completeness (Name & Role):	Jenny Boothe	Date: 18/01/19

Green - Requestor to complete

Orange – Ofgem to complete

Blue - Impact Assessment Team to complete

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Impact Assessment – Programme	
N/A – change does not affect Ofgem’s Outline Business Case	
Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Impact Assessment – Programme Design & Architectural Principles		
Design Principle	Description	RAG Status & Summary
Impact on Consumers		
1 Reliability for customers	All switches should occur at the time agreed between the customer and their new supplier. The new arrangements should facilitate complete and accurate communication and billing with customers. Any errors in the switching process should be minimised and where they do occur, the issue should be resolved quickly and with the minimum of effort from the customer. The customer should be alerted in a timely manner if any issues arise that will impact on their switching experience.	N/A
2 Speed for customers	Customers should be able to choose when they switch. The arrangements should enable fast switching, consistent with protecting and empowering customers currently and as their expectations evolve.	This change to the requirements is to ensure that they system can cope with the demand that is to be placed on it by the Switching SM functions and its customers.
3 Customer Coverage	Any differences in customer access to a quick, easy and reliable switching process should be minimised and justified against the other Design Principles.	N/A
4 Switching Experience	Customers should be able to have confidence in the switching process. The process should meet or exceed expectations, be simple and intuitive for customers and encourage engagement in the market. Once a customer has chosen a new supplier, the switching process should require the minimum of effort from the customer. The customer should be informed of the progress of the switch in a timely manner.	N/A
Impact on Market Participants		

Green - Requestor to complete

Orange – Ofgem to complete

Blue - Impact Assessment Team to complete

5 Competition	The new supply point register and switching arrangements should support and promote effective competition between market participants. Where possible, processes should be harmonised between the gas and electricity markets and the success of the switching process should not be dependent on the incumbent supplier or its agents.	N/A
6 Design – simplicity	The new supply point register and arrangements should be as simple as possible.	N/A
7 Design – robustness	The end-to-end solution should be technically robust and integrate efficiently with other related systems. It should be clearly documented, with effective governance. The new arrangements should proactively identify and resolve impediments to meeting consumers’ and industry requirements. These arrangements should be secure and protect the privacy of personal data.	N/A
8 Design – flexibility	The new arrangements should be capable of efficiently adapting to future requirements and accommodating the needs of new business models.	N/A
Impact on Delivery, Costs and Risks		
9 Solution cost/benefit	The new arrangements should be designed and implemented so as to maximise the net benefits for customers.	From a cost perspective, this change will give bidders more information for proposing their solution.
10 Implementation	The plan for delivery should be robust, and provide a high degree of confidence, taking into account risks and issues. It should have clear and appropriate allocation of roles and responsibilities and effective governance.	N/A

Architectural Principle	Description	RAG Status & Summary
1 Secure by default & design	All risks documented & managed to within the tolerance defined by the organisation or accepted by the Senior Risk Owner	N/A
2 Future Proof Design	Common design approaches will better enable designs to support future developments e.g. A mechanism for achieving non-repudiation	N/A
3 Standards Adoption	Adopt appropriate standards for products, services or processes. e.g. ISO/IEC 11179 for data definition	N/A
4 One Architecture	One single definitive architecture prevails	N/A
5 Data is an asset	Data is an asset that has value to the enterprise and is managed accordingly	N/A
6 Data is shared & accessible	Users have access to the data necessary to perform their duties; therefore, data is shared across enterprise functions and departments.	N/A
7 Common vocabulary & data definitions	Data is defined consistently throughout the enterprise, the definitions being understandable and available to all users.	N/A
8 Requirements-based change	Only in response to business needs are changes to applications and technology made. E.g. only industry arrangements affecting switching will be impacted.	N/A
9 Quality Characteristics	Maintain a comprehensive set of quality characteristics by which to gauge the completeness of requirements for Applications and Services.	N/A

Summary: -

Green - Requestor to complete

Orange – Ofgem to complete

Blue - Impact Assessment Team to complete

Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Impact Assessment – Data cleansing / migration	
N/A – changes don't relate to data cleansing or migration	
Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Impact Assessment – Programme Plan	
N/A – changes don't affect the wider Programme Plan	
Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Impact Assessment – Security	
/A – changes don't relate to Security.	
Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Programme Recommendation	
<i>Approve</i>	
Checked for completeness (Name & Role): Jenny Boothe	Date: 18/01/19

Change Request Decision	
<Insert the decision of the Approval Authority together with any conditions of the approval> Approved.	

Green - Requestor to complete

Orange – Ofgem to complete

Blue - Impact Assessment Team to complete

Changed Approved:	Yes
Decision Maker (Name & Role):	Date:
Arik Dondi, DA Chair	29/01/2019

Next Steps		
<p><If the change is approved, insert a summary of next steps here including which products are to be updated as a result of this CR and details of any stakeholder engagement required. Complete the table below detailing agreed timescales for product update, review & approval></p>		
D-10.4 – Service Management Tools Requirements (requirements spreadsheet)		
If Change Request is approved:-	Role	Date
Products updates to be completed by:	<i>DCC</i>	<i>15/02/2019</i>
Ofgem review dates:		<i>28/02/2019</i>
Product approval to be completed by:	<i>Ofgem</i>	<i>28/02/2019</i>