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Switching Programme Change Request Form

Part A – For the requestor to fill in

Change Requestor's Details

Name: John Wiggins

Organisation: On behalf of Ofgem

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Telephone number: 07702 809882

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

Update to Registration Request Status, Registration Status and Supporting Business Rules.

Change Summary

This change request will reduce the complexity of the current design and address several changes requested via previous CR's or change requirements identified by Ofgem, the DCC, the MRA Faster Switching Expert Group and Xoserve.

The high-level changes are:

1) Create an optimal solution (requirement previously referenced within CR-E23 and CR-E39) to support the removal of additional synchronisations to the DSP so that they only receive two synchronisations; the validation of an Initial Registration Request or Switch Request and a subsequent synchronisation when the associated Registration becomes 'secured' or 'cancelled'.
2) Amend the synchronisations and notifications specified in the design following the implementation of CR-E08 so that Xoserve only receive notifications when a GT Initiated Registration is 'validated' or 'rejected', with additional notifications and synchronisations following the same pattern as an Initial Registration.
3) Provide greater detail and precision within the end to end design detailing the process, data and business rules associated to Registration Deactivation Requests.
4) Provide greater detail and precision within the end to end design detailing the process, data and business rules associated to Change of Shipper Registration Requests.

Change considerations & viewpoint	
Please provide your considerations and views on change using information available to you and stakeholders you have engaged.	
Priority assessment for Change Request An important change; its absence would be very inconvenient, although a 'work-around' is possible	The existing Registration Lifecycle processes and data content is inconsistent
Base reason for Change Design - Additional requirements/functionality being addedd to the programme's scope	NB: Processes and data are BEING ***rationalised***.
Rating of Change implementation MEDIUM - Significant consequences requiring redesign or rework; Significant cost impact ; Significant impact to schedule	This is a medium change as it relates to rationalising processes and clarifying the nature of the data that will be included in the synchronisation messages.
"Do nothing" implications	Will lead to confusion about the data that is being synchronised, increase the risk of bidders submitting an incorrect solution and retain a process step that could make next-day switching more cumbersome
Potential stakeholders affected by the Change	Switching Service provider and the Smart Metering Data Service Provider
Alternative sought to reduce negative impact	The alternative solution is to remove the validated synch message, but this will reduce the time that the gaining supplier would have to co-ordinate its activities including preparing commands to the smart meter.
Identify any risks to the implementation of the Change	Minimal risks due to rationalising processes and clarifying the nature of the data
Specialists and/or stakeholders consulted	Ofgem Design Lead Ofgem DIAT DCC Design Team DCC Data Architect

Justification for Change
The current design includes the synchronisation of messages to the CDSs and the Smart Metering Data Service Provider that identified the Registration Lifecycle Status (Pending, Active, Inactive, Cancelled). Equally, the design included the notification of Registration Request Lifecycle Status (Validated, Confirmed, Secured, Completed, Rejected, Annulled, Withdrawn) to each of the specific Market Participants involved in a switch. Comparison of the values of these states, with the processes, revealed inconsistencies and duplication between the Registration Lifecycle Status values and the synchronisation processes. To resolve these inconsistencies, this change request proposes to extend the values of Registration Lifecycle Status to include "Confirmed", "Secured Active" and "Secured Inactive". The complete set of statuses becomes: • Pending • Confirmed • Secured Active

- Active
- Secured Inactive
- Inactive
- Cancelled.

In addition, the CR proposes to change the Registration Request Lifecycle Status to include only 'Submitted', 'Validated' and 'Rejected'. This will reduce complexity and duplication with the Registration Status and align all types of Request to a common design pattern.

The complete set of statuses becomes:

- Submitted
- Validated
- Rejected

An Energy Supplier can submit the following Request Types:

1) Initial Registration Request
2) Switch Request
3) Withdrawal Request
4) Annulment Request
5) Objection Response
6) Registration Deactivation Request
7) Change of Shipper Request
8) Change of Domestic Premises Indicator Request

Xoserve can submit the following Request Type:

1) GT Initiated Registration Request

In all instances the status update of 'validated' or 'rejected' for each request type will be sent to the initiator only.

All decision rules concerning subsequent Registration synchronisations and notifications will utilise the Registration Lifecycle Status. Synchronisation decision rules will be expressed to specify which data service is synchronised or notified with respect to each Registration Lifecycle Status value e.g. Smart Metering Data Service Provider will receive only status values "Pending", "Secured Active" and "Secured Inactive" (and not value "Confirmed").

Registration Lifecycle Status values are in summary synchronised to switching central data services as follows:

Registration Lifecycle Status	Smart Metering	UK Link	MPAS	DES	ECOES
Pending	Y	Y	Y	Y	Y
Confirmed	N	N	N	N	N
Secured Active	Y	Y	Y	Y	Y
Active	Y*	Y*	Y*	Y*	Y*
Secured Inactive	Y	Y	Y	Y	Y
Inactive	Y*	Y*	Y*	Y*	Y*
Cancelled	Y	Y	Y	Y	Y

Table 1 Registration status values

***** A single synchronisation message will be sent following a Registration Status update to 'Secured Active' or 'Secured Inactive'; it will contain the secured Status and the date / time that the Registration Status will change to 'Active' or 'Inactive'. This is possible as once a Registration becomes secured it can only become active or inactive as no other state transition is possible.

It is proposed to remove the 'Confirmed' Synchronisation to all central services as the status of the objection progression should not be required to be known outside of the Gaining Supplier, Losing Supplier and the CSS.

Notification to parties will occur for the following states:

Registration Lifecycle Status	Gaining Supplier	Losing Supplier	Gaining Shipper	Losing Shipper	MEM	Supplier Agents	MAP(s)
Pending	Y	N	Y	N	N	N	N
Registration Confirmed	Y	N	Y	N	N	N	N
Secured Active	Y	N	Y	N	N	N	Y
Active	Y*	N	Y*	N	N	N	Y*
Secured Inactive	N	Y	N	Y	Y	Y	Y
Inactive	N	Y*	N	Y*	Y*	Y*	Y*
Cancelled	Y	N**	Y	N**	N**	N**	N

* A single message will be sent containing the date/time of the update to 'Secured Active' and 'Active' or 'Secured Inactive' and 'Inactive'. This message shall be sent directly following the update to secured.

** Only the Gaining Supplier and Gaining Shipper will receive a notification of a Registration Status Update to 'Cancelled'. However, the Losing Shipper, MEM and Supplier Agents will need to receive an update removing the proposed 'Registration Effective Through Date' related to their 'Active' Registration when the Gaining Suppliers Registration is 'Cancelled'.

The Losing Supplier will receive information related to the 'Pending' Registration via the 'Invitation to Intervene'.

The Losing Shipper will not receive a Status update until their related Registration becomes 'Secured Inactive' although they will need to receive an update containing the proposed 'Registration Effective Through Date' related to their 'Active' Registration when the Gaining Suppliers Registration is 'Pending'.

The MEM and Supplier Agents will not receive a Status update until their related Registration becomes 'Secured Inactive' although they will need to receive an update containing the proposed 'Registration Effective Through Date' related to their 'Active' Registration when the Gaining Suppliers Registration is 'Confirmed'.

The sequence of Registration Status related to a 'Validated' Initial Registration Request should be as follows:

1) Pending
2) Secured Active
3) Active
4) Secured Inactive (at gate closure in conjunction with 'Secured Active' of a new Registration)
5) Inactive

The sequence of Registration Status related to a 'Validated' Switch Request should be as follows (not objected to):

1) Pending

2) Confirmed
3) Secured Active
4) Active
5) Secured Inactive
6) Inactive

The sequence of Registration Status related to a 'Validated' Objection response that wishes to object should be as follows:

1) Pending (prior to request validated)
2) Cancelled

The sequence of Registration Status related to a 'Validated' Registration Deactivation Request should be as follows:

1) Active (prior to request validated)
2) Secured Inactive (this should occur directly following validation not at gate closure)
3) Inactive

The sequence of Registration Status related to a 'Validated' Withdrawal or Annulment Request should be as follows:

3) Pending or Confirmed (prior to request validated)
4) Cancelled (this should occur directly following validation not at gate closure)

Additional business rules need to be developed to support the validation of requests and processing of notifications and synchronisations:

1) The effective through date of a Registration should be equal to the submission date Registration Deactivation Request if submitted prior to 5pm or the following day if submitted after 5pm.
2) The decision services within Process 1.4, 1.6, 2.3, 2.5, 2.7.11, 2.20, 3.3 need to be updated to reflect the new status and required business rules.
3) The text in processes 1, 2 and 3 needs to be updated to the new semantics

Programme Products affected by proposed change

The following changes have been determined from an initial impact assessment. Further changes may be identified during implementation of this CR. Any deviation from this list will be clearly articulated, so long as they are within the spirit of this CR.

D-4.1.2 E2E Detailed Design Model:

Decision Rules:

- Annulment window end date rule
- Annulment window open rule
- Check for Active Switch Request Rule
- Domestic objection window end date rule
- Elec active registration notify rule
- Elec confirmed notify Rule
- Elec secured notify rule
- Elec validated confirmed, and secured sync rule
- Elec validated notify rule
- Elec validated sync rule
- Gas active registration notify rule
- Gas confirmed notify rule
- Gas secured notify rule
- Gas validated notify rule
- Gas validated sync rule

- Gas validated, confirmed, and secured sync rule
- Non-domestic objection window end date rule
- Objection consistency rule
- Parent related RMP check rule
- Parent RMP Switch Rule
- Registration RMP rule
- Single pending registration rule
- Switch annulled rule
- Switch request status rule

Processes:

- 1.4.8 Send Initial Registration confirmed notifications and synchronise
- 2.3 Switch Request:
    - 2.3.8 Issue Switch Validated notifications and synchronise – change from 'Switch validated' to 'Registration pending'
    - 2.3.23 Issue Switch Confirmed notifications and synchronise – change from 'Switch confirmed' to 'Registration confirmed'
- 2.3.8 Issue switch validated notifications and synchronise:
    - Change from 'Switch validated' to 'Registration pending'
- 2.5 Execute switch:
    - Change 'Switch secured'/'Secured Switch' to 'Registration Secured Active'
    - Change notification interface to be used in description from RegMgmtRequestNotification to RegNotification
- 2.7.11 Issue switch rejected notification for previously confirmed switch:
    - Replace references to 'Switch validation' and 'Switch confirmed' with 'Pending registration' and 'Registration confirmed'
- 3.3 Deactivate registration:
    - 3.3.5 Issue registration inactive notifications and synchronise change 'Registration inactive' to 'Registration secured inactive'

Interaction Sequence Diagrams:

- Changes to titles required. Also need to check that state changes and when messages sent are correct – as above we believe the messages to DCC will need looking at for initial reg and annulment / withdrawal
- The following ISDs may just need to be replicated for the additional syncs rather than changing.
    - Initial Registration Request - Rejected Validation
    - Initial Registration Request (gas) – Confirmed
    - Initial Registration Request (elec) – Confirmed
    - Execute Initial Registration (gas)
    - Execute Initial Registration (elec)
    - Post Initial Registration Execution (gas trad)
    - Post Initial Registration Execution (elec trad)
    - Post Initial Registration Execution (gas SMETS2)
    - Post Initial Registration Execution (elec SMETS2)
    - Post Execute Switch (gas SMETS2) Post Execute Switch (elec SMETS2)
    - Post Execute Switch (gas trad)
    - Post Execute Switch (elec trad)
    - Execute Switch (gas)

- Execute Switch (elec)
- Switch Request (gas) - Switch Confirmed
- Switch Request (elec) - Switch Confirmed
- Switch Request - (gas) Switch Rejected Objection
- Switch Request - (elec) Switch Rejected Objection
- Switch Request - Switch Rejected Validation
- Switch Request - Switch Validation
- Switch Withdrawal (gas - preconfirmed)
- Switch Withdrawal (elec - preconfirmed)
- Switch Withdrawal (gas - post confirmed)
- Switch Withdrawal (elec - post confirmed)
- Switch Annulment - (gas - preconfirmed)
- Switch Annulment - (elec - preconfirmed)
- Switch Annulment - (gas – post confirmed)
- Switch Annulment - (elec – post confirmed)
- Registration Deactivation (gas)
- Registration Deactivation (elec)
- RMP Termination - (gas - pre confirmed)
- RMP Termination - (elec - pre confirmed)
- RMP Termination - (gas - post confirmed)
- RMP Termination - (elec – post confirmed)

D-4.1.6 E2E Operational Choreography:

- Table 2 Electricity Switch dependencies - Remove reference to Smart Metering sync at Switch Confirmed
- Figure 12 Switch - Electricity Future Arrangements, Traditional Credit Meter - Remove reference to Smart Metering
- 3.44 Remove reference to Smart Metering sync at Switch Confirmed
- 3.45 Remove reference to Smart Metering sync at Switch Confirmed
- Table 4 Gas Switch dependencies - Remove reference to Smart Metering sync at Switch Confirmed
- Figure 13 Switch - Gas Future Arrangements, Traditional Credit Meter - Remove reference to Smart Metering
- 3.56 Remove reference to Smart Metering sync at Switch Confirmed
- 3.57 Remove reference to Smart Metering sync at Switch Confirmed
- Supplier challenge of a GB standardised address link - Change to ME address
- 3.87 - Change to ME address
- 3.88 - Change to ME address

D-4.2.1 CSS User Requirement Specifications

- 4.3 Registration Lifecycle State
- 4.4 Registration Request State

1.1.1. *RMP Creation and State Update [1.2, 2.14, 3.1]*

-
- 4.6.2 Initial Registration Request [1.4]
- Table 3 –Registration Request state transitions

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-E41	**Date CR submitted:**	21/05/2019
Change request status:	Approved	**Current CR version:**	v1.0
Change Window:	24	**Version date:**	14/06/2019

Change Advisory Team (CAT) Lead:	Name and organisation: Jenny Boothe
Contact details:	Email address: jenny.boothe@ofgem.gov.uk
PMO Lead:	Name: Matthew Finlay
Contact details:	Email address: matthew.finlay@ofgem.gov.uk

Inital assessment/Triage	
Design & Data Impact and resource input required for IA? Yes	
Implementation Impact (including impacts to industry readiness, procurement timelines and the Programme Plan) and resource input required for IA? No	
Alignment Impact and resource input required for IA? No	
Commercial/Procurement Impact and resource input required for IA? No	
Regulatory Impact and resource input required for IA? No	
Security Impact and resource input required for IA? No	
Confirm Programme Products impacted by the change request? D-4.1.2 E2E Detailed Design Model D-4.1.6 E2E Operational Choreography	
Major or Minor Change?	Minor

Change Process Route	Urgent
Change Window	24
To be submitted to the Design Forum on:	05/06/2019
Approval Authority:	Design Authority
Target Change Decision Date:	14/06/2019

Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	05/06/2019

Impact Assessment

The beneficial impacts will be as follows:

1) A reduction in the overall number of message interactions between parties – will reduce complexity of business applications and network interfaces across central services and supplier services. (avoided cost of additional development)
2) A reduction in the complexity of the DES service to derive the status change from Secured Active to Active (avoided cost of additional development)

Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Impact Assessment – Industry cost

The impact is assumed to be as a minimum cost neutral as the physical design and build has not begun. This change reduces complexity so will in turn reduce implementation and ongoing operational costs.

Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Impact Assessment – Resource Effort

7 days Data Architect
7 days BA
2 days Lead Architect
4 days Quality Assurer

Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Impact Assessment – Programme	
Change supported by Xoserve (as operators of DES service) and DCC (as operators of Smart Metering Service).	
Checked for completeness (Name & Role):	**Date**
Matthew Finlay	07/06/2019

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.	No impact
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.	No impact
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.	No impact
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.	No impact
Impact on Market Participants		
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.	No impact
6 Design – simplicity	The new supply point register and arrangements should be as simple as possible.	No impact

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.	No impact
8 Design – flexibility	The new arrangements should be capable of efficiently adapting to future requirements and accommodating the needs of new business models.	No impact
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.	No impact
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.	No impact

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	No impact
2 Future Proof Design	Common design approaches will better enable designs to support future developments e.g. A mechanism for achieving non-repudiation	No impact
3 Standards Adoption	Adopt appropriate standards for products, services or processes. e.g. ISO/IEC 11179 for data definition	No impact
4 One Architecture	One single definitive architecture prevails	No impact
5 Data is an asset	Data is an asset that has value to the enterprise and is managed accordingly	No impact
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.	No impact
7 Common vocabulary & data definitions	Data is defined consistently throughout the enterprise, the definitions being understandable and available to all users.	No impact
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.	No impact
9 Quality Characteristics	Maintain a comprehensive set of quality characteristics by which to gauge the completeness of requirements for Applications and Services.	No impact

Summary: -

Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	14/06/2019

Impact Assessment – Data cleansing / migration	
Will reduce complexity of the data migration activities as only the 'Registration' data will need to be migrated. Previously 'Registration Management Request' data for 'in-flight switches' would also require migration in addition to 'Registration' data.	
Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Impact Assessment – Programme Plan	
No impact.	
Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Impact Assessment – Security	
No impact.	
Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Programme Recommendation	
Recommended for Approval	
Checked for completeness (Name & Role):	**Date:**
Matthew Finlay	07/06/2019

Change Request Decision	
Conditionally Approved subject to the completion of an Action.	
Changed Approved:	**Yes**
Decision Maker (Name & Role):	**Date:**
Arik Dondi	14/06/2019

Next Steps		
Change Request has been Approved.		
If Change Request is approved:-	**Role**	**Date**
Products updates to be completed by:	DCC	
Ofgem review dates:		
Product approval to be completed by:	Ofgem	