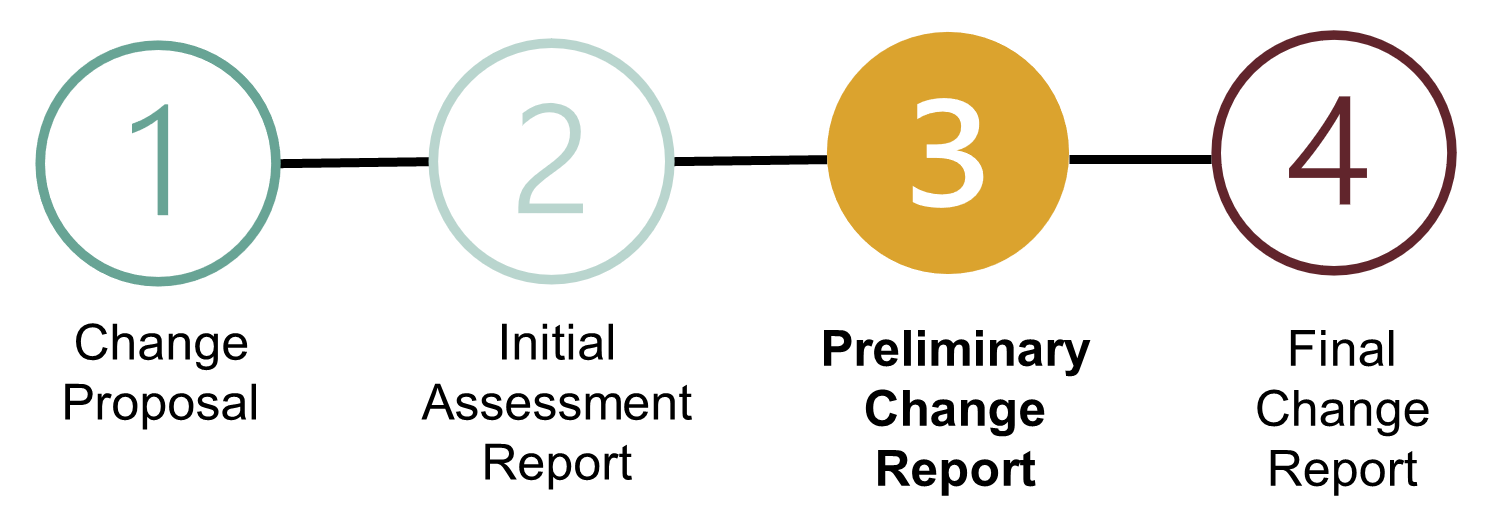
|  |
| --- |
| This document is classified as **WHITE**.  Information is for public, unrestricted dissemination and publication. |

Preliminary Change report



|  |  |
| --- | --- |
| pURPOSE: | The Preliminary Change Report is drafted by the Code Manager when a Change Proposal has a fully formed solution that has been sufficiently assessed to allow a decision to be made on whether this should be approved for implementation. The report includes a summary of the Change Proposal, details of the proposed solution and the Code Manager’s view on the case for change and recommendation. |
| Notes: | The report sets out the minded-to position, prior to formal consultation, and may be changed when publishing the Final Change Report. |
| Next Steps: | The Preliminary Change Report will be issued for consultation. Following this, the Code Manager will produce a Final Change Report and the Responsible Committee will make a decision on whether to approve the Change Proposal. |

preliminary change report

03

Final Change Report

02

Preliminary Change Report

01

Initial Assessment Report

Rxxxx – Change title

|  |  |  |
| --- | --- | --- |
| **DOCUMENT VERSION** | X.X | |
| **DATE ISSUED** | DD/MM/YYYY | |
| **DOCUMENT APPROVAL STATUS** | APPROVED BY RESPONSIBLE COMMITTEE /  NOT YET APPROVED BY RESPONSIBLE COMMITTEE | |
|  |  | |
| **RESPONSIBLE COMMITTEE** |  | |
|  |  | |
| **LEAD ANALYST** | NAME | EMAIL |
| **TECHNICAL LEAD** | NAME | EMAIL |
| **ASSURANCE LEAD** | NAME | EMAIL |

change overview

[A short executive summary of the change (1-2 sentences)]

code manager’s recommendation

The Code Manager recommends Change Proposal Rxxxx is **APPROVED/REJECTED** [for implementation on DD MMMMMM YYYY].

|  |  |
| --- | --- |
|  | High Impact:  [Parties would be detailed here] |
| Description: Description: High_ImpactDescription: Description: Low_ImpactDescription: Description: Medium_Impact | Medium Impact:  [Parties would be detailed here] |
|  | Low Impact:  [Parties would be detailed here] |

contents

|  |  |  |
| --- | --- | --- |
| background | | |
| 1.  2.  3. | summary  PROBLEM STATEMENT  USER STORIES | 4  4  4 |
| Proposal | | |
| 4.  5.  6.  7.  8.  9.  10.  11.  12.  13.  14.  15.  16.  17. | summary of analysis undertaken  SUMMARY OF IMPACT ASSESSMENT ACTIVITY  DELIVERY AGAINST CHANGE PROPOSAL PLAN  KEY RISKS, ASSUMPTIONS, ISSUES AND DEPENDENCIES  PROPOSED SOLUTION  DRAFT LEGAL TEXT  PROPOSED IMPLEMENTATION DATE AND APPROACH  CHANGE PATH  RESPONSIBLE COMMITTEE  BUSINESS CASE ASSESSMENT  case for change  CODE MANAGER’S RECOMMENDATION  CONSULTATION PLAN AND NEXT STEPS  APPENDIX | 4  5  6  6  7  7  7  8  8  8  9  10  11  11 |

BACKGROUND

1. Summary

[Provide a summary of the change proposed – i.e. what is the identified issue/change in the existing code that needs to be rectified, how this was identified and why this change needs to be made.]

1. problem statement

[The problem statement should address **what** the problem is; **who** is experiencing the problem; **where** and **when** the problem occurs and **why** the problem is occurring.]

1. user stories

|  |  |
| --- | --- |
| **Ref.** | **user stories** |
| **CONSUMER user stories** | |
| C1 | [As <a Consumer>, I want <goal>, so that <reason>] |
| C2 |  |
| C3 |  |
| C4 |  |
| **MARKET PARTICIPANT user stories** | |
| M1 | [As <a Market Participant>, I want <goal>, so that <reason>] |
| M2 |  |
| M3 |  |
| M4 |  |
|  |  |

proposal

1. SUMMARY OF ANALYSIS UNDERTAKEN

[Details of the analysis completed; what analysis techniques were used, the scope of the different analysis activities completed, who completed this etc]

1. SUMMARY OF IMPACT ASSESSMENT ACTIVITY
   1. service provider Impact assessments

[Details of the Service Providers targeted with an Impact Assessment. Add additional rows if you need them]

|  |  |
| --- | --- |
| **[SERVICE PROVIDER]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |
| **[SERVICE PROVIDER]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |
| **[SERVICE PROVIDER]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |

* 1. rec PARTY Impact assessments

Details of the REC Parties targeted with an Impact Assessment and the number of responses breakdown numbers of anonymous and confidential. Add additional rows as needed

|  |  |
| --- | --- |
| **[ENERGY SUPPLIERS]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |
| **[DISTRIBUTION NETWORK OPERATORS]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |
| **[GAS TRANSPORTERS]** | * [Summary of the IA response from the Service Provider * Key messages & views * Overview of impacts * Overview of costs/benefits * Views on implementation approach and timeline * Any RAID that need to be highlighted] |

1. DELIVERY AGAINST CHANGE PROPOSAL PLAN

[Update the table to show planned analysis, solution development activity and planned/actual completion dates]

|  |  |  |
| --- | --- | --- |
|  | **Planned** | **COMPLETED** |
| **Service Provider Impact Assessment issued** | XX/XX/XXXX | XX/XX/XXXX |
| **Party Impact Assessment issued** |  |  |
| **deadline for alternative change proposal submission** |  |  |
| **Preliminary Change Report issued** |  |  |

[Confirmation that either all activity has been completed within the planned timescales, or explanation of any variations/deviations

Confirmation that assumptions requiring clarification have been addressed or will be addressed in the plan for consultation]

1. KEY RISKS, ASSUMPTIONS, ISSUES AND DEPENDENCIES
   1. risks and issues

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **RISK** | **NOTES** | **MITIGATION** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **ISSUE** | **NOTES** | **HOW TO PROGRESS** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

* 1. assumptions and dependencies

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **ASSUMPTION** | **NOTES** | **HOW/WHEN TO VALIDATE** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **No.** | **DEPENDENCY** | **NOTES** | **STATUS** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. PROPOSED SoLUTION

[Describe the solution that has been developed and how this meets the problem statement and solution requirements to resolve the issue.

Describe any alternative solutions considered and ruled out, and the reasons for this.

Include information relevant to the development of the solution, such as the use of industry experts, consultation with expert groups/panels or information requests to inform the proposed solution.

Provide a high level solution overview in relation to People, Process, Documents, Systems and Commercial arrangements/contracts

Specific detail to be included about cross code solutions, where the REC CP is part of a package of code changes or impacts on/impacted by a change within a different Code]

1. draft LEGAL TEXT

The legal text changes to deliver the proposed solution to RXXXX can be found [here].

[In support of the legal text provided, a plain English explanatory note setting out the approach taken to converting the Solution into legal text, illustrating how the legal text delivers the intent of the Solution.

1. PROPOSED IMPLEMENTATION DATE AND APPROACH

|  |  |
| --- | --- |
| **PROPOSED IMPLEMENTATION DATE** | XXXXXXXXXXXXX |

|  |  |
| --- | --- |
| **PROPOSED IMPLEMENTATION APPROACH** | BIG BANG / PARALLEL TEST/ PHASED APPROACH |

[Provide an explanation of the implementation approach and timescales, including the cost and benefit implications where alternative approaches/timelines were considered.

Where there is a dependency on the implementation date or the REC implementation date is driven by an outside factor (e.g. a set of cross-code changes), provide details]

1. CHANGE PATH

|  |  |
| --- | --- |
| **CHANGE PATH** | SELF-GOVERNANCE / AUTHORITY DETERMINED |

1. RESPONSIBLE COMMITTEE

|  |  |
| --- | --- |
| **RESPONSIBLE COMMITTEE** | XXXXXXXXXXXXX |

1. Business case assessment
   1. costs

|  |  |  |  |
| --- | --- | --- | --- |
|  | **DESIGN/ development costs** | **IMPLEMENTATION COSTS** | **ONGOING OPERATIONAL COSTS** |
| **[PARTIES]** | £xxx to £xxx | £XXX TO £XXX | £XXX TO £XXX PER ANNUM |
| **[SERVICE PROVIDERS]** | £xxx | £XXX | £XX PER ANNUM |
| **[CODE MANAGERS]** | £xxx | £XXX | £XX PER ANNUM |
|  |  |  |  |
|  |  |  |  |

* 1. BENEFITS

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tangible benefits** | **2021** | **2022** | **2023** | **benefits confidence** |
| **[tangible benefits]** | n/a | £xx | £xx | HIGH / MEDIUM / LOW |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |
| --- | --- |
| **intangible benefits** | **benefits description** |
| **[intangible benefits]** | Lorem ipsum dolor sit amet, dicam mandamus eam at, nec ut error numquam recteque. |
|  |  |
|  |  |
|  |  |
|  |  |

* 1. cost benefit analyis SUMMARY

[A summarised explanation of the costs and benefits, and how these compare/offset each other. Where will the costs and benefits be seen (Parties/Market Participants etc).

Detail if/how the tangible benefits outweigh the costs. How do the intangible benefits affect the balance.

What is the expected payback period (if appropriate)

Highlighting any assumptions or estimations made during the analysis.]

1. CASE FOR CHANGE

[Fill in the relevant case for change section and delete the other as appropriate]

* 1. [Authority determined]

The Code Manager believes that Rxxx better facilitates the following REC Objectives:

|  |  |  |  |
| --- | --- | --- | --- |
| **objective** | **impact DESCRIPTION** | **IMPACT TYPE** | **JUSTIFICATION** |
| To ensure the REC operates and evolves in a manner that facilitates the achievement of its mission statement |  | [Positive / Negative / Neutral] |  |
| To ensure customers interests and data is protected in the operation of the REC |  |  |  |
| To drive continuous improvements and efficiencies in the operation of the REC and the central systems and communication infrastructures it governs |  |  |  |

[Supporting commentary in additional to the information captured in the table]

* 1. [Self-governance]

[A clear and understandable statement detailing:

* Whether the proposed solution appropriately resolves the original Problem Statement
* If the cost and effort of implementing and operating the proposed solution is proportionate and cost-effective.
* If the impact of the Change Proposal either being implemented, or not being implemented causes any detriment to market participants and/or consumers.
* If the proposed solution delivers positive outcomes for consumers and efficiencies in the operation of the retail energy market.
* If in consideration of the above criteria and the supporting cost benefit analysis, there is a positive business case for the change to be made.]

1. CODE MANAGER’S RECOMMENDATION

[Head of Change Management to define their “minded-to” position, with an explanation of the reason for that position. The Recommendation will consider, and align with, the recommendations of the RPA and RTS.]

The Code Manager recommends to [The Responsible Committee] approval of:

* The proposed change solution.
* The proposed implementation approach.
* The proposed implementation date of [xx February 2022].

1. CONSULTATION PLAN AND NEXT STEPS

The consultation on this Preliminary Change Report for Rxxxx will be published on the REC Portal on [**30 May 2021**]. Consultation closes on [**28 June 2021].**

Following consultation, the Code Manager will produce an updated version of this Preliminary Change Report (referred to as the Final Change Report). This will include the outcome of the consultation, setting out a summary of the consultation submissions and the Code Manager's response.

The Final Change Report will be issued to [Responsible Committee] to make its determination.

1. Appendix

|  |  |
| --- | --- |
| **CHANGE PROPOSAL** | [Document embedded or link] |
| **LEGAL DRAFTING** | [Link to EMAR] |
| **CONSOLIDATED IMPACT ASSESSMENT RESPONSES** | [Document embedded or link to Portal] |
| **related change(s)** | [Link] |
| **aNY OTHER DOCUMENTS / LINKS** | [Document embedded or link] |