Data Communications Company

Switching Service Management Procedures

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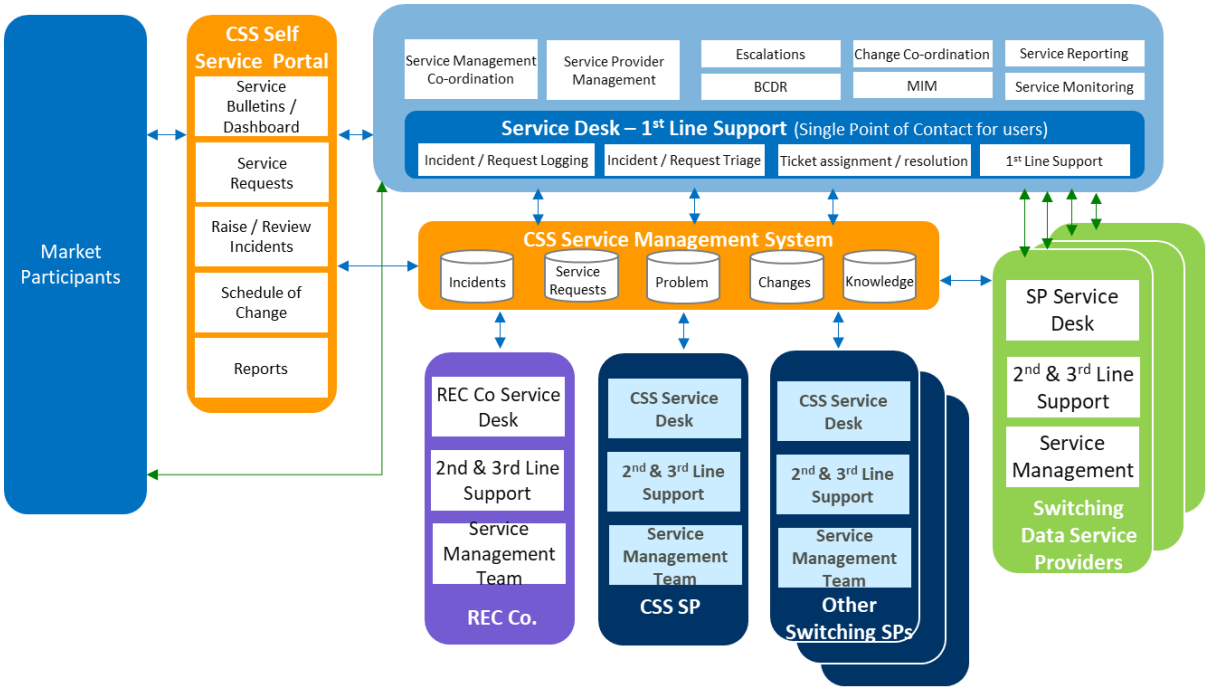
1. Introduction

Switching Arrangements Service Management Procedures are set out in order to detail how the Switching Operator, Market Participants and Switching Data Service Providers shall engage in Service Management Processes. The Service Management Processes are concerned with the Management and Maintenance of the Live Operation of the CSS Arrangements and associated Systems.

Switching Operator will manage the overarching co-ordination of the Switching Service Management Activities working with Market Participants, REC Co, Switching Service Providers and Switching Data Service Providers. The Service Model is defined at a high level below.



Switching Service Management System - a central repository that stores and manages all Incidents, Service Requests, Switching Service Operational Changes, and queries relating to the Switching Arrangements. The Service Management System also stores and provides self-help information to be published via the Switching Portal to aid in the resolution of queries.

Switching Portal - the switching 'shop window' for Market Participants and agreed interested parties, providing key information about the Switching Arrangements to Switching Portal Users, including dashboards, the forward schedule of change (FSOC), a knowledge base and switching announcements.

The Switching Portal will provide:

- the means for users to raise Incidents and Service Requests using templates to ensure all key information is provided;
- detailed information for each Market Participant, including Incident and Service Request progress and reports;
- access to a library of knowledge articles that can be searched and rated; and
- general information on the Switching Arrangements to Market Participants and other interested parties; This will be stored in the knowledge base;

The Switching Operator and Switching Service Desk shall use the Switching Service Management System to co-ordinate activities required to provide the required Service to the Market Participants and Switching Data Service Providers and manage the end-to-end Switching Arrangements.

1.1. Purpose

The purpose of this document is to describe the key Service Management activities for the Switching Arrangements. This document shall focus on the core activities of the Service Management, which shall include:

- Incident Management;
- Problem Management;
- Service Request Management; and
- Capacity Management

1.1.1. Objective

This document shall provide a clear and consistent reference point for the management of the Switching Arrangements Service Management. This is not the complete framework for the Service Management activities but describes the core functionality and procedures that have been designed to support the CSS Service. It shall also define the key interactions required and roles and responsibilities for the delivery of the Switching Service Management.

1.1.2. Out of Scope

This document does not cover all Service Processes or Procedures across the Switching Arrangements and is a sub-set as others are described in the Service Definition documents and within other Category 3 Documents. This document does not define parties' processes but describe how they engage with the Switching Operator's Service Management function.

1.1.3. CSS Interface Providers

CSS Interface Providers can be nominated to operate on behalf of a CSS User. In these cases, this document sets out the general provisions by which Incidents can be raised and managed. As a CSS Infrastructure Provider operates on behalf of a CSS User, it should consider the provisions in this document to directly flow down based on the requirements on the CSS User. The Switching Portal allows for the CSS Interface Providers to act on behalf of and carry out Service Management activities where they have been nominated to do so.

2. Incident Management

2.1. Background

Incidents may be raised only by the Switching Operator, Switching Data Service Providers or Market Participants in accordance with the REC. Incidents raised and managed through the Switching Incident Management Process shall only relate to Live/Productions Services. All Incidents shall be raised and recorded in the Switching Service Management System.

Market Participants and Switching Data Service Providers shall provide the Switching Operator with, and shall subsequently provide any changes to, a list of Nominated Individuals from their organisation who are authorised to:

(a) contact the Switching Service Desk to raise Incidents via the Switching Service Management System and communicate with the Switching Service Desk regarding the Incident; and/or

(b) perform the roles identified in any escalation.

2.2. Incident Identification and Logging

Incidents shall be raised in the Switching Service Management System in a number of circumstances and can be raised by all parties involved in CSS. This includes:

- Market Participants
- Switching Operator
- Switching Service Desk
- Switching Data Service Providers

2.2.1. Market Participants

The Market Participant shall be able to raise Incidents by the following means:

- Switching Portal
- E-Mail
- Telephone

The Market Participant shall use the list as a priority order and shall use the Switching Portal wherever possible.

The following are the required prerequisite before a Market Participant raises an Incident:

- Where appropriate, confirm that the issue does not reside within the Market Participant's own systems or processes;
- Confirm that the issue does not reside within any systems or processes which are the responsibility of the Market Participant;

- The Market Participant shall follow the guidance set out in the self-help material made available by the Switching Operator, including checking for Major Incident, pre-existing Incidents raised by the Market Participant, Known Errors, and the application of any workarounds specified; and

- The Market Participant shall provide results of initial triage and diagnosis including references to existing Incidents, where appropriate, and details of investigations performed to satisfy pre-requisites;

- In the event that the prerequisite activities have been completed and an Incident is to be raised with the Switching Operator, where it has access to the Switching Portal, the Market Participant shall check on the Switching Portal to establish whether an Incident has already been raised or a Service Alert issued for this issue and:

    - in the event that the Market Participant can reasonably determine that an Incident or Service Alert for this Incident exists, the Market Participant shall notify the Switching Service Desk who shall register the Market Participant as an interested party within the Incident Management Log; and

    - in the event that the Market Participant cannot identify an existing Incident or Service Alert they shall progress to raise an Incident or Case on the Switching Portal.

- Where a Market Participant believes that an Incident meets the criteria of a Major Incident (as referred to in the Switching Service Management Schedule) the Market Participant shall raise an Incident via the Switching Portal and shall call the Switching Operator Service Desk as soon as reasonably practicable.

In the event that an Incident is required to be raised by a Market Participant, prior to raising an Incident all available Knowledge Articles and Known Error should be checked and followed. Incidents may be raised in the following circumstances:

- if errors that are not covered in the Error Handling Strategy are encountered;

- if failures or delays frequently occur;

- if a Market Participant thinks that the response code received is incorrect;

- if a Market Participant believes that the Switch Request(s) has been incorrectly rejected;

- if there is a significant volume of Switch Requests that are sent but are not received or successfully processed by CSS.

In the event that a Market Participant receives an error code that they are not able to resolve or that they have not been provided with a Knowledge Article describing how they should resolve, they should raise an Incident that will be investigated, a workaround created (if necessary) and a long-term solution identified.

Market Participants shall be able to manage and update incident records with additional information throughout the lifecycle through the Switching Portal. The Switching Portal shall allow the Market Participant to:

- Raise Incidents;
- Review Incidents they have previously raised;

- View Incident Reports for Incidents raised by them;
- Update an Incident Record;
- Confirm or Reject the Resolution of an Incident; and
- Provide additional clarification as reasonably requested by the Switching Operator, Switching Data Service Providers.

2.2.2. Switching Data Service Providers

Switching Service Desk, CSS Operator, Switching Data Service Providers shall raise Incidents directly into the Switching Service Management System in the following circumstances:

- Where an issue has been identified which could or is causing a service failure or degradation of the service;
- an event has been identified which could or is impacting the overall Switching Arrangements, even if the Incident shall be resolved by the raising party;
- Where pro-active monitoring has identified an issue that resided within the CSS system or is affecting the Systems and or Services which support the CSS;
- Where an event is identified that could, reasonably, affect the CSS Service and cause degradation of Service to Market Participants of failure in the CSS;
- where it reasonably believes that an Incident is required to resolve an error received requires the support of another Switching Data Service Provider;
- an event has been identified which could or is impacting the overall switching service, even if the Incident shall be resolved by the raising party.

Switching Data Service Providers shall use the Switching Service Management System to manage Incidents assigned to them within the system. They shall ensure that all activity relating to the Triage, Investigation and Resolution of Incidents are accurately recorded in the Switching Service Management System.

2.2.3. Minimum Data Set

All Market Participants and Switching Data Service Providers will require a minimum dataset in order to assess the Incident being raised and ensure that it is able to be categorised correctly. The dataset will change depending on the Incident being Raised and the appropriate Template should be used, where one is available.

- Requester Name (Individual from the Market Participant's organisation)
- Market Participant Role
- Organisation Name
- Date/Time Incident Identified
- Issue classification

- Issue description
- The Switching service affected/causing the Incident (e.g. Address Service)
- Detail of all Investigations and Triage that has been carried out.

2.2.4. Incident Prioritisation and Timelines

The table below is from the Switching Operator Service Definition, the Service Management Schedule takes priority if there is any discrepancy between this document and the Service Management Schedule.

Incident Priority	Description	Target Response Time	Target Resolution Time
1	A Priority 1 Incident is an Incident which, in the reasonable opinion of the Switching Operator is, is likely to: • prevent a large group of affected Market Participants from using the systems that make up the Switching Arrangements; • have a critical adverse impact on the activities of the affected Market Participants using live Switching Data Services; • cause significant financial loss or reputational damage / or disruption to the affected Market Participants; • cause significant reputational damage to the affected Market Participants; or • result in any material loss or corruption of data used by the Switching Arrangements.	30 Minutes	4 Hours
2	An Incident which in the reasonable opinion of the Switching Operator is, or is likely to; • have a non-critical adverse impact on the activities of affected Market Participants, but the Switching Arrangements are still working at reduced capacity.	1 Hour	24 Hours
3	An Incident which in the reasonable opinion of the Switching Operator is, or is likely to; • have an adverse impact on the activities of an affected Market Participants but which can be reduced to a moderate adverse impact due to the availability of a workaround; and • have a moderate adverse impact on the activities of an affected Market Participant.	3 Working Hours	3 Working Days

4	An Incident which in the reasonable opinion of the Switching Operator is, or is likely, to have a minimal impact on the activities of an affected Market Participant.	1 Working Day	10 Working Days

3. Problem Management

3.1. Background

A Problem is defined as the cause of one or more Incidents. An Incident may occur which has a root cause which requires more investigation to resolve, this is not always the case, the Incident can be resolved by restoring service via workaround or fix. A Problem is generally caused by an underlying issue which causes many Incidents or regular occurrence of Incidents. The Problem Management process manages the lifecycle of all Problems and the management of Known Errors.

The Problem Management process seeks to:

- Identify and provide permanent cost-effective resolutions to underlying Incident causes, adding value to the Business and users, through better availability of services;
- Proactively support reduction of Incident volumes;
- Improve user satisfaction where user feedback is related to Problems and repeat Incidents;
- Reducing the risk of Major Incidents and Repeat Incidents leading to more reliable and higher quality service;
- Govern and assure problem investigations across Service Providers, providing an integrated view to drive down Incidents and the associated service and productivity disruption; and
- The Problem Management Process will bring together aspects of, Incident management, major Incident management, change management and knowledge management to bring about existing and future process efficiencies.

3.2. Problem Record and Known Error Visibility

Problem Records will be recorded and managed within the Switching Service Management System by the Switching Operator in partnership with the Switching Data Service Providers. Problem Records will only be made available to the impacted Market Participants and relevant Switching Data Service Providers.

Visibility will be provided in the following ways:

- Market Participants shall be able to view Problem Records where they are affective via the Switching Portal
- Market Participants shall be able to view all Known Error via the Switching Portal
- Switching Data Service Providers shall be able to manage Problem Records using the Switching Service Management System back end by accessing the Problem Management module.

3.3. Problem Identification and Logging

Problems shall be raised in the Switching Service Management System in a number of circumstances and can be raised only by the Switching Operator. The following Parties can request a Problem Record is raised but the determination for raising a Problem Record will reside with the Switching Operator;

- Switching Service Desk
- Switching Data Service Providers

3.3.1. Problem Minimum Dataset

The minimum data set for a Problem Record/Report shall be:

- date opened;
- Problem classification;
- Problem status;
- the target closure date;
- the anticipated costs (in SPs reasonable opinion) for the investigation and resolution of the Problem, where appropriate;
- the anticipated timescales for the closure of a Problem;
- the likely impact on the Switching services, and its effects on Interested Parties of closing a Problem and continuing with a workaround, highlighting instances where implementing a permanent solution may not be the recommended approach; and
- the reason for any target closure date change.
- Understand the re-occurrence frequency of the Incidents from which the Problem Record has been raised
- the method of resolution applied to the Incidents previously raised (if they have been resolved
- Problems that are deemed to have a workaround implemented will have the issue closed, the issue will remain closed and not be permitted to be reopened. If in the event that the implemented workaround either fails or is not fit for resolution, then this will be the only time that the issue will be permitted to be reopened.

Problem Records may be raised only by the Switching Operator in accordance with the REC. Problems raised and managed through the Switching Problem Management Process shall only relate to Live/Productions Services. All Problem Records shall be managed according to the agreed Problem Management Service Designs and recorded in the Switching Service Management System.

There shall be bi-weekly Problem Governance meetings hosted by the Switching Operator and all parties who have Problem Records or actions associated with Problem Records shall attend and actions and mitigation actions will be discussed in-line with the agenda.

4. Service Request

A Service Request is defined a formal request from a Market Participant, Switching Data Service Provider or Switching Operator for a service to be provided. This will be provided through a Service Catalogue hosted on the Switching Service Management System and on the Switching Portal for Market Participant Requestable services. The primary goal of the Service Request Management process in CSS is to provide the Request fulfilment in the most efficient manner. Requests are typically requestable services that do not require processing through the Change Management process but provide either Services or access to the requestor.

4.1. Raising a Service Request

4.1.1. Market Participants

Market Participants will have access to the list of requestable services on the Switching Portal. This is requestable by any Market Participant and will require bespoke data which has been identified for the delivery of the Service Request.

If a Market Participant wishes to issue a Service Request, they should be aware that some requestable items are only permissible for specific contact types e.g. Lead Contacts.

The Service Request, once issued and validated, will go through its delivery lifecycle and Market Participants will be able to see the progress via the Switching Portal. Once the Service Request has been delivered the Market Participant will be asked to accept the delivery via the Switching Portal, if this does not take place then completion will be assumed within 3 Working Days.

4.1.2. Switching Data Service Providers

Switching Data Service providers and Switching Operator shall have access to the list of requestable services via the Switching Service Management System back-end. This is requestable by any Switching Data Service Provider and will require bespoke data which has been identified for the delivery of the Service Request.

If a user wishes to issue a Service Request, they should be aware that some requestable items are only permissible for specific contact types e.g. Lead Contacts.

The Service Request once issued and validated will go through its delivery lifecycle and Switching Data Service Providers, Switching Data Service Providers and Switching Operator will be able to see the progress via the Switching Back-End. Once the Request has been delivered the requestor shall be able to accept the delivery via the Switching Back-End, if this does not take place then completion will be assumed within 3 Working Days.

5. Demand Management

Demand Management is the process by which incoming demand on a System or Service in order to understand and predict the likely utilisation of a given Service. The Switching Arrangements do not make provision for the Forecasting or prediction of Volumetrics outside of the overall Non-Functional requirements set out in the REC.

In order to effectively plan this activity, the Category 3 Document Reporting High Demand sets out guidance to Market Participants on how they can notify the Switching Operator of high demand on the service. This can include high demand relating to:

Registration Requests

Switching Requests

Deactivation Requests

6. Capacity Management

6.1. Produce and Maintain Capacity Plan

6.1.1. Process Description

The objective of this activity is to deliver the capacity plan that addresses the customer's resource requirements. This plan is configurable, meets performance expectations, and has the required commitment to implement.

The inputs to this activity are forecast assumptions, forecast projections, and subject matter expert recommendations. The controls for this activity are financial constraints, hardware constraints, performance policies, resource standards and definitions, and strategy and direction. The deliverables from this activity are the agreed capacity plan, alternative solutions, and an optimized resource solution.

The Switching Operator shall request and collate Capacity Data to inform the Capacity Plan from all Switching Data Service Providers. The Switching Operator shall utilise this information to be able develop an overall Capacity Plan.

The Switching Operator shall also hold Capacity Planning Workshops with all Switching Data Service Providers to discuss and agree Service Mitigations required. This shall be conducted with the agreement of all participants in the workshop

Produce and Maintain Capacity Plan

Activity	Owner	SME	Input/Output
Review Capacity Information			
• Review change requests that are designed to change capacity and performance • Review Incidents and service reviews that indicate a lack of capacity	• SO DCM	• SP • TOC • CTO	Input: • Change Requests and Incidents • Service Reviews • NFR Reporting • Transaction Reporting Output: • Capacity Plan requirements
Determine Scope of Capacity Plan			
• The Capacity Plan will include Business, Service and Resource capacity activities.	• SO DCM	• SP • TOC	Output: • Capacity Plan scope
Analyse Service and Resource Utilization and Performance Against Objectives			
• Review service and resource usage and performance.	• SO DCM	• SP • TOC	Output: • Capacity Plan requirements
Analyse Current and Future Business Demand			
• Analyse relevant data, including current and future levels of activity to calculate required capacity	• SO DCM	• SP • TOC	Output: • Capacity Plan requirements
Produce Capacity Plan			
• Delivery of the Capacity Plan.	• SO DCM	• SP • TOC	Output: • Capacity Plan
Review with Stakeholders			

• Secure stakeholders input and buy-in.	• SO DCM	• SP • TOC	Output: • Agreed Capacity Plan
Initiate Change Request			
• Collect data for the initiation of a change request.	• SO DCM	• SP • TOC	Output: • Associated Change Requests
Monitor Change			
• Track delivery of the Capacity Plan.	• SO DCM	• SP • TOC	Output: • Process Relationships
Publish Completed Plan			
• Produce and Publish the final Capacity Plan.	• SO DCM	• SP • TOC	Output: • Published Plan

Key: SO DCM = DCC Demand and Capacity Management, SO OM = Switching Operator Operations Management, SO SM = Switching Operator Service Management, SP = Service Provider, TOC = Technical Operation Centre

7. Glossary

Term	Definition
CSS Interface Provider	This is an adapter service to enable other CSS Users to connect to and interface with the Central Switching Service and is able to provide Managed Service where nominated to do so on behalf of a CSS User.
Switching SMS	Switching Service Management System. This includes the front-end Portal and the back end.
CTO	The Switching Operator Chief Technical Office and Technical Architects.
SO DCM	Switching Operator Demand and Capacity Management
SP	This refers to Service Providers in reference to Switching Data Service Providers and Switching Operator
Switching Data Service Providers	This includes parties that a delivering Service under the REC as a part of the Switching Arrangements. This includes: ERDA GRDA EES GES CSS Smart Metering Data Service Provider ETOS
TOC	Switching Operator's Technical Operations Centre