



Retail Market Design

Change Control Process

Version#	1.0
Issue Date	07 Jan 2004

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1 Introduction

It was agreed at the Market Implementation Group (MIG) meeting of December 10th 2003 that the following market design documents would be base lined at version 4.1 and placed under formal change control

- Market Process Diagrams
- Business Data Definitions
- Message Data Structures
- Data Formats
- Data Codes

2 Purpose of Document

The purpose of this document is to set out the change control process that will be used to manage changes from this approved baseline until systems and process implementation. Periodically further baselines will be issued incorporating all agreed changes up to the point of issue..

The process set out in this document is built on the change control process agreed with the Market Review Group on 20th Feb 2002

This Change Control Process will be effective from the date of issue of version 4.1 of the base lined documents.

3 Scope of the Process

Currently the process will be used to manage changes to the set of documents listed in section 1 above. This list can be expanded by agreement of the MIG.

4 Administration of the Process

ESB MOIP will administer the change control process on behalf of the MIG.

5 Summary of Process

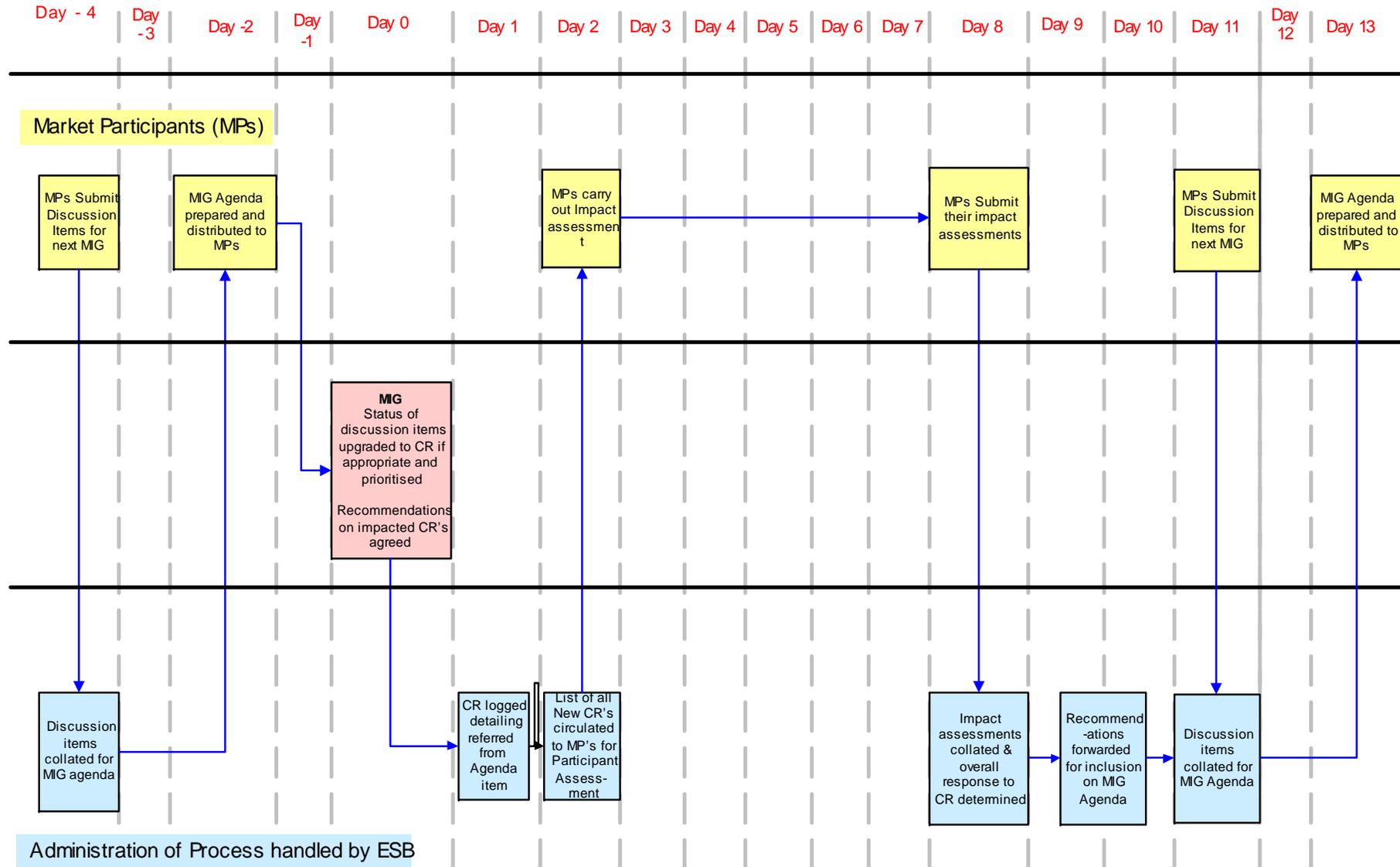
The following table summarises in bold the proposed Change Control cycle (Note 'Day' refers to working days). Overlaps with the previous or next cycles are shown in normal typeface.

Day	Description	Responsibility
-4	Completed MIG Design Discussion Requests sent to ESB MOIP for inclusion on agenda for next MIG	Market Participants
-2	MIG Agenda (including the following) sent to market participants <ul style="list-style-type: none"> • Copies of MIG Design Discussion Requests • Copies of Change Requests with Summary Impact Assessments and Draft Recommendations from the previous cycle 	ESB MOIP
0	MIG Meeting held <ul style="list-style-type: none"> • MIG Design Discussion Requests discussed and agreed if Change Request Required • Draft recommendations in relation to open Change Requests from previous cycles are reviewed / agreed 	MIG
2	New Change Requests (arising from MIG) issued to Market Participants for impact assessment	ESB MOIP
8	Completed impact assessments returned to ESB MOIP	Market Participants
11	Completed MIG Design Discussion Requests for the next cycle sent to ESB MOIP for inclusion on agenda for next MIG	
13	MIG Agenda (including the following) sent to market participants <ul style="list-style-type: none"> • Copies of Change Requests with Summary Impact Assessments and Draft Recommendations • Copies of MIG Design Discussion Requests for the next cycle are also sent 	ESB MOIP
15	MIG Meeting held <ul style="list-style-type: none"> • Draft recommendations in relation to open Change Requests reviewed / agreed • MIG Design Discussion Requests for the next cycle are also discussed and agreed if Change Request Required 	MIG

A diagrammatic representation of the above process is set out below



Change Control Cycle for Market Participants in MIG



6 Detailed Operation of Process

6.1 Raising a MIG Design Discussion Request

Any of the following parties may initiate a change to one or more of the base-lined market design documents covered by this change control process

- CER
- Industry Participants (i.e. SSA, MRSO, DSO, TSO and authorised Suppliers)
- ESB MOIP
- Modifications Panel¹

In an effort to minimise the number of formal impact assessments required to be completed by Market Participants the first step in the change control process is for the initiating party to complete a MIG Design Discussion Request (using Form A provided in Appendix 1).

Completed MIG Design Discussion Requests should be submitted by email to ESB MOIP [exact email address to be confirmed] no later than 4 working days before MIG. Items received after that date will be held over to the next MIG

ESB MOIP will distribute completed MIG Design Discussion Requests to MIG 2 working days prior to the MIG meeting.

Completed MIG Design Discussion Requests will be reviewed at MIG where it will be decided whether a Change Request needs to be raised. In those cases where it is agreed that a Change Request is required a priority² will also be agreed

6.2 Raising a Change Request

ESB MOIP will issue the change requests to market participants within 2 working days after the MIG. If ESB MOIP considers that there is a potential impact on the Trading and Settlement Code then this shall be indicated to CER. Appendix 1 summarises the content of the issued change request.

ESB MOIP will maintain and publish³ a register of all change requests that impact upon the agreed baselined documents, with their status⁴ and priority.

6.3 Conducting Impact Assessment

In order to be able to determine whether a change request is desirable and can be implemented within the overall implementation time scale it will be essential for all effected market participants to carry out an impact assessment that will identify the impact to their business and projects.

¹ The Modifications Panel should raise design discussion requests if a change is made to a current process that must also be implemented in the processes and interfaces being developed by the ESB MOIP Project.

² Appendix 2 summarises the priorities and appropriate periods for change requests of each priority

³ Through the mechanism of the MIG web-site

⁴ Status will indicate progress such as 'raised', 'assessed', 'rejected', 'accepted' etc.

Using the template (Form C) contained in Appendix 1 Market Participants should:

- Indicate the acceptability or otherwise of the proposed change
- provide their assessment of the priority of the change, indicating, if acceptable, when they consider that it should be implemented, taking into account when it is possible for the participant to implement the change
- provide reasons for their response and any proposed modifications to the change request.
- respond 'no impact' if the proposed change request has no impact on their business or project

A respondent may agree with a change request but request a modification to the Change Request. In this case the respondent should indicate their agreement with the change request, but request a modification to the implementation recommendation on their response. It should be noted that if the modification they recommend is significant a new Change Request may need to be raised and distributed for impact to all Market Participants. This may delay an agreement being reached in a timely manner.

All complete impact assessments should be returned via the ESB MOIP [exact email address to be confirmed] mailbox no later than 6 working days after issue of change request (i.e. 8 working days after the MIG).

A failure to respond within the stated period, without prior agreement, will be regarded as 'no impact'

In some cases, the nature of the change request will be such that it is possible for ESB MOIP to consult with the initiator and the affected market participants and to make a decision on acceptance without a requirement for each participant to complete a formal impact assessment⁵.

In this case ESB MOIP will issue the Change Request together with the draft recommendation. These draft recommendations will be discussed at the next MIG and participants. This would not preclude any participant undertaking and returning a Market Participant Impact Assessment

6.4 Collating Impact Assessments

Following the receipt of completed impact assessments ESB MOIP will complete the impact assessment and collate all responses and requested modifications.

ESB MOIP will complete the impact assessment by considering:

- i) the impact upon the approved base-line
- ii) the impact upon the Trading and Settlement Code
- iii) input from the impact assessments of recipients of the Change Request
- iv) the cost implications of implementing changes to the ESB MOIP systems,
- v) the implementation feasibility and timeframe.

⁵ This will normally be the case where changes do not impact suppliers, TSO or SSA.

6.5 Preparing Draft Recommendation

Based on the impact assessment ESB MOIP will determine if there is a consensus from the affected participants on the adoption of the change. If so, and if:

- i) there is no impact on the overall project budget and timeframe; and
- ii) there is no impact on the Trading and Settlement Code; and
- iii) there has been no modification to the original change request;

ESB MOIP will draft a recommendation for acceptance or rejection with the reasons for the recommendation and, if the recommendation is for acceptance, a proposed implementation priority and plan.

This draft recommendation will be documented in the Change Request form and circulated to all market participants 2 working days in advance of the next MIG.

If there is an impact on the project budget or timeframe then guidance will be sought from CER.

If there is a Trading and Settlement code impact then the change request and the assessment will be put before the Modifications Panel for decision.

The CER will reserve the right to publish a change request and impact assessment on the CER web-site for public consultation, in which case the timeframe may be extended as directed by CER to allow for responses.

6.6 Closing a Change Request

All open Change Requests for which impact assessments have been completed will be reviewed at the MIG

If ESB MOIP have made a draft recommendation on acceptance then affected participants are free to indicate with their reasons, if they have any disagreement with the decision.

If ESB MOIP does not make a draft recommendation the views of Market Participants will be discussed at the meeting

Where a consensus is achieved on acceptance or rejection of a change request then the change is accepted or rejected in accordance with the consensus. The decision will be published as part of the MIG minutes.

Consensus is achieved by an agreement on acceptability between:

- CER,
- MRSO
- SSA, if the SSA is impacted
- Modifications Panel, if the Trading and Settlement Code is impacted
- DSO, if the DSO is impacted
- TSO, if the TSO is impacted
- 50% or more of authorised suppliers, if suppliers are impacted.

Where there is not consensus then the CER will be requested to provide a ruling.



If the change request is accepted, ESB MOIP will, prior to the next base-line issue, update the base-lined materials.



Appendix 1 – Template Forms

Form A – MIG Design Discussion Request

Discussion Request Number	Title	Priority
<to be assigned by ESB MOIP>	<to be assigned by ESB MOIP>	<to be completed by request originator>

Name of Requesting Organisation	<to be completed by request originator>
Contact name	<to be completed by request originator>
Date Request sent to ESB MOIP	<to be completed by request originator>

Detail of Discussion Request	
<to be completed by request originator>	
Reason for Discussion Request	
<to be completed by request originator>	
Market Design Documents impacted by Request	
<to be completed by request originator and reviewed by ESB MOIP>	
Date of MIG where discussed	<to be completed by ESB MOIP>
Change Request xref (if applicable)	<to be completed by ESB MOIP>



Form B – Change Request

Change Request Number	Title	Priority
<to be assigned by ESB MOIP>	<to be assigned by ESB MOIP>	<to be agreed at MIG>

PART 1 CHANGE REQUEST:

Name of Requesting Organisation	<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request>		
Contact name	<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request>		
Date Change Request Raised		Originating Discussion Doc	

Detail of Change Request

<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request and discussion at MIG>

Reason for Change Request

<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request and discussion at MIG>

Identification of Baseline Products Impacted

<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request and discussion at MIG>

Description of Trading & Settlement Code Impact (if any)

<to be completed by ESB MOIP based on info contained in associated MIG Design Discussion Request and discussion at MIG>

Date that ESB MOIP issue Change Request	<to be completed by ESB MOIP>
Date that ESB MOIP requires Response	<to be completed by ESB MOIP>

PART 2 RESPONSES AND MODIFICATIONS:



Collation of Impact Assessment (from Form C) <to be completed by ESB MOIP>
Modifications Included <to be completed by ESB MOIP>
Reason for Modifications <to be completed by ESB MOIP>

PART 3 ESB MOIP ASSESSMENT & RECOMMENDATION:

Part 3(a) ESB MOIP ASSESSMENT

Summary of Impact Assessment <to be completed by ESB MOIP>
Recommendation on Implementation Plan <to be completed by ESB MOIP>

Part 3(b) RECOMMENDATION			
ACCEPTED	REJECTED	NO DECISION	COMMENT
Reason for Recommendation <to be completed by ESB MOIP>			
Date of issue of ESB MOIP Assessment & Recommendation <to be completed by ESB MOIP>			



Form C – Market Participant Impact Assessment

Change Request Number:	Title	Priority
<to be assigned by ESB MOIP>	<to be assigned by ESB MOIP>	

Name of Responding Organisation	<to be completed by responding organisation>
Contact name	<to be completed by responding organisation>
Accept/Reject/No Impact	<to be completed by responding organisation>

Reason for Response (this is mandatory in the case of a rejection)
<to be completed by responding organisation>
Modifications Requested
<to be completed by responding organisation>
Reason for Modifications
<to be completed by responding organisation>
Identification of any additional Baseline Products Impacted
<to be completed by responding organisation>
Notification of potential Trading & Settlement Code Impact
<to be completed by responding organisation>
Participant Assessment of Implementation Priority
<to be completed by responding organisation>
Other Comments
<to be completed by responding organisation>
Date response sent to ESB MOIP
<to be completed by responding organisation>

Appendix 2 – Priorities and Timeframes

A **fast-track** priority change is one that is:

- Essential (i.e. industry processes cannot operate acceptably without the change and there are no available work rounds); and
- Urgent (i.e. the length of the standard change control process would cause a delay to implementation)

A **high priority** change is one that is:

- Essential (i.e. industry processes cannot operate acceptably without the change and there are no available work rounds); and
- Non-Urgent (i.e. the length of the standard change control process would not cause a delay to implementation)

A **low priority** change is one that is:

- Non-Essential (i.e. industry processes can operate acceptably without the change); or
- Non-Urgent (i.e. the length of the standard change control process would not cause a delay to implementation)

All other changes will be deemed to be **Medium** Priority.

For both low priority and fast-track changes a timetable will be set on a case by case basis