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SEC Modification Escalation Process

SEC Change Management Document

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About this document

This is the Smart Energy Code (SEC) Modification Escalation Process document. This document sets out the process to be followed in the event where escalation is required when there is either a problem with a SEC Modification, or where there is a lack of progress on a SEC Modification due to non-response from a SEC Modification stakeholder.

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Contact

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1. Scope and purpose

The purpose of this document is to facilitate the resolution of delays which could be preventing progress on a SEC Modification, by introducing an appropriate escalation process.

The scenarios where an escalation could be required are identified as follows:

1. Where a Proposer is not responding which is preventing progress
2. Where another key stakeholder is not responding which is preventing progress
3. Where the specific DCC Subject Matter Expert (SME) is not responding which is preventing progress
4. Where the modification is deemed to have significant or insurmountable issues or a lack of positive business case, and the Proposer is unwilling to Withdraw the Modification.

2. Scenarios

2.1 The Proposer

SEC Section D1.7 states:

'D1.7 A Draft Proposal must contain the following information:

(a) the name of the Proposer;

(b) the name and contact details of an employee or representative of the Proposer who will act as a principal point of contact in relation to the proposal'

For the purpose of this process 'The Proposer' means the principal contact that is representing the company.

Principle 6 of the Code Administrators Code of Practice states that 'A proposer of a Modification will retain ownership of the detail of their solution'. Therefore, the Proposer's input is essential at various stages of the modification process, however the Panel is responsible for the progression timetable. At this time the SEC Panel has delegated this responsibility to the Change Sub-Committee.

Usually, the SEC Change Management Lead Analyst will engage with the Proposer frequently throughout the modification lifecycle process. The Analyst and the Proposer will work closely to develop the Business Requirements which will help achieve the solution to the issue. Interaction between the Analyst and the Proposer is required to develop the solution, review the DCC Assessments, and be in contact and kept up to date with the progress of the modification at scheduled meetings. This document aims to assist where there is no response received from the Proposer and in the event where escalation is required. All contact attempts should be recorded on the modification page in One Note. This should include the date and time and the method of communication and also any automated responses that are received.

2.2 Another Key Stakeholder

In some modifications key stakeholders, or Subject Matter Experts (SMEs), are necessary to provide information at various points in the process. This document aims to assist where there is no response received from the SME and in the event where escalation is required. All contact attempts should be recorded on the modification page in One Note. This should include the date and time and the method of communication, and also any automated responses.

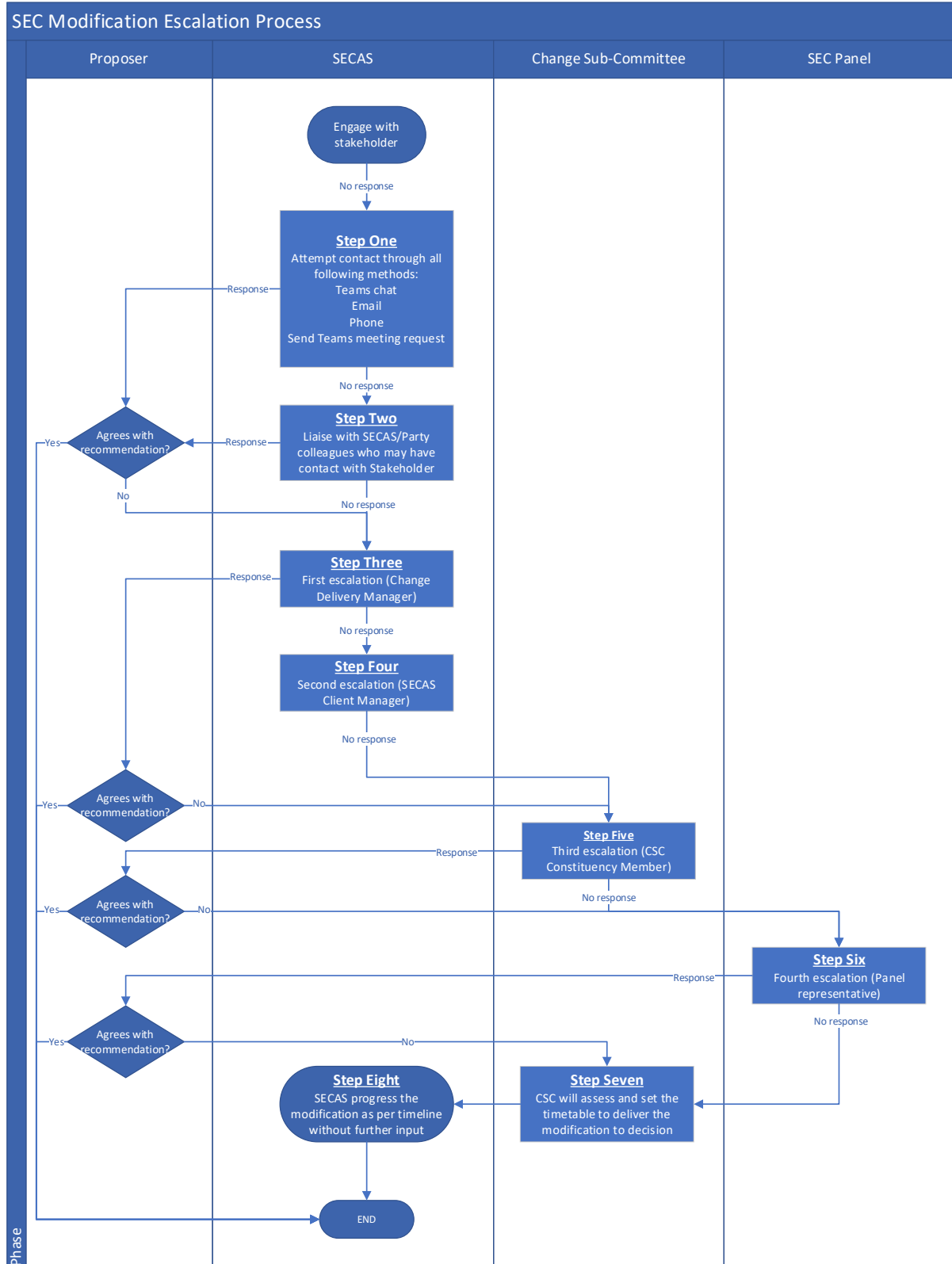
2.3 A DCC SME

Each modification will have a specific DCC SME lead. Any lack of response from any DCC SME should be escalated to the Technical Lead of the SEC Modification Design Team. This will then be escalated internally within the DCC, with regular feedback to the SEC Change Management Team. If this needs further escalation, then it should be escalated to the DCC Head of Technology Innovation Design. This is not detailed further in this document.

2.4 Proposer is unwilling to withdraw the modification

Where the Change Management Team have highlighted to the Proposer that the modification is unlikely to progress because of cost, lack of business case, or insurmountable issues (for instance, security risks), the recommendation will be that the Modification is withdrawn. This document aims to assist where a Proposer refuses to Withdraw the Modification. All contact attempts should be recorded on the modification page in One Note. This should include the date and time and the method of communication and also any automated responses.

3. Escalation process map



4. Escalation process detail

This section of the Escalation Process document explains each step in further detail, except for scenario 3 (no contact with a DCC SME). In this instance the Lead Analyst will report the lack of contact to the Technical Lead of the SEC Modification Design Team who will escalate the lack of contact internal within the DCC and will regularly report to the SEC Delivery Change Manager and Lead Analyst. If this needs further escalation, then it should be escalated to the DCC Head of Technology Innovation Design.

Step One

The SEC Change Management Lead Analyst is required to actively engage Proposers and stakeholders throughout the lifecycle of the SEC Modification through different forms of communication. The Analyst will attempt to contact the stakeholder through various methods before raising an escalation. These methods include reaching out to via Email; Teams Chat; Telephone and sending a Teams meeting request. In the case of no contact move to Step 2.

- In the case of negative response to a recommendation to withdraw (scenario 5) move to Step 3.

Step Two

No response from Proposer or stakeholder

After two weeks from Step One and where there is no response from the Proposer or stakeholder, the Analyst will liaise with the wider Smart Energy Code Administrative Secretariat (SECAS) team who may have been in contact with the stakeholder and will check if the contact information they have is correct and is up to date. The Analyst will also contact other contacts (including but not limited to the Proposer or stakeholders' line manager) within the same organisation to check the contact details are correct and that the Proposer or stakeholder is still the correct contact. At this point the Analyst should ask the contact to pass a message to the Proposer to stakeholder that the Analyst is trying to get in touch with them.

- Move to Step 3.

Step Three

No response from Proposer or stakeholder

After two weeks from Step Two and where there is no contact from the Proposer or stakeholder, the first escalation point will be to notify the SEC Change Delivery Manager. The Lead Analyst will notify them of the duration of no response and the steps which have been taken so far. The SEC Change Delivery Manager will use various communication methods to make contact with the Proposer or stakeholder and others in their organisation. Where needed they will raise this at forums where modifications are discussed as an Any Other Business (AOB) to see if anyone else in the industry has had contact with them.

Negative response to recommendation to withdraw

Immediately after Step One and where there is negative response to withdraw the modification from the Proposer, the first escalation point will be for the Lead Analyst to notify the SEC Change Delivery Manager. The SEC Change Delivery Manager will use the preferred method of communication to make contact and reiterate the recommendation to withdraw the modification, with supporting rationale.

- In the case of no contact move to Step 4.
- In the case of negative response to a recommendation to withdraw move to Step 5.

Step Four

No response from Proposer or stakeholder

After a further two weeks from Step Three and where there is still no contact with the Proposer or stakeholder, the second escalation point will be to notify the SECAS Senior Client Manager. The SEC Change Delivery Manager will inform the SECAS Senior Client Delivery Manager of the duration of no response from the Proposer or stakeholder and the steps which have been taken so far. The SECAS Senior Client Delivery Manager will reach out to the Proposer or stakeholder.

- In the case of no contact move to Step 5.

Step Five

No response from Proposer or stakeholder

After a further one month from Step Four and where there is still no response from the Proposer or stakeholder, the fifth escalation point will be for the Lead Analyst and the SEC Change Delivery Manager to highlight this to members at the Change Sub-Committee (CSC) meeting and ask for a CSC member (ideally from the same constituency) to volunteer to speak to the Proposer or stakeholder in order to make contact.

Negative response to recommendation to withdraw

Immediately after Step Four and where there is negative response to withdraw the modification from the stakeholder, the next escalation point will be to notify the Change Sub-Committee (CSC). The Lead Analyst and SEC Change Delivery Manager will be responsible for bringing this to the attention of the CSC. The SEC Change Delivery Manager will ask for a CSC member (ideally from the same constituency) to volunteer to speak to the Proposer to establish the rationale for continuing with the Proposal. The CSC will determine whether this should be escalated to the Panel or whether the modification should continue through the modification process.

- In the case of no contact move to Step 6.
- In the case of negative response to a recommendation to withdraw and agreement to continue escalation, move to Step 6.

Step Six

No response from Proposer or stakeholder

After a further one month from Step Five and where there is no response from the stakeholder since highlighting the issue to the CSC, the sixth escalation point will be to bring this to the attention of the

SEC Panel to provide further assistance. The Lead Analyst and SEC Delivery Change Manager will be responsible to bringing this to the attention of the Panel and ask that a volunteer from Panel try to contact the Proposer or stakeholder or someone within their organisation to encourage them to respond to the Lead Analyst.

Negative response to recommendation to withdraw

Immediately after Step Five and where there is negative response to withdraw the modification from the stakeholder, the next escalation point will be to notify the SEC Panel. The Lead Analyst and SEC Delivery Change Manager will be responsible to bringing this to the attention of the Panel and ask the Panel Chair to request a volunteer to contact the Proposer to discuss the reason for wishing to continue with the Proposal. The Lead Analyst and SEC Change Delivery Manager will provide the volunteer with the appropriate information and be available for the meeting if required.

- In the case of no contact move to Step 7.
- In the case of negative response to a recommendation to withdraw and agreement to continue escalation, move to Step 7.

Step Seven

No response from Proposer or stakeholder

After a further one month from Step Six and in the instance where the SEC Panel volunteer has been unable to get in contact with the Proposer or stakeholder, the SEC Change Delivery Manager and Lead Analyst will put forward a progression timeline for CSC approval (with the support of the Panel) and will continue to decision without further input from the Proposer or stakeholder. The SEC Change Delivery Manager will liaise with Ofgem regarding this action and the previous steps taken to resolve the problem.

Negative response to recommendation to withdraw

Where the SEC Panel are unable to get agreement to withdraw the modification, the SEC Delivery Change Manager and Lead Analyst will put forward a progression timeline for CSC approval (with the support of the Panel) and will continue to decision. The SEC Change Delivery Manager will liaise with Ofgem regarding this action and the previous steps taken to resolve the problem.

- In the case of no contact, continue to decision.
- In the case of negative response to a recommendation to withdraw, continue to decision as determined by the CSC.

5. Appendix: Glossary

This table lists all the acronyms used in this document and the full term they are an abbreviation for.

Glossary	
Acronym	Full term
AOB	Any other business
CSC	Change Sub Committee

Glossary	
Acronym	Full term
SEC	Smart Energy Code
SECAS	Smart Energy Code Administrative Secretariate
SME	Subject Matter Expert