

# Code Subsidiary Document

No. 0501:

## Change management implementation

September 2015



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## Definitions

Unless expressly stated otherwise, for the purposes of this CSD:

- (a) terms defined in the Wholesale-Retail Code Part 1 (Objectives, Principles and Definitions) shall apply; and
- (b) capitalised terms relating to the titles of Data Items or Data Transactions described in CSD 0301 (Data Catalogue) shall have the meaning attributed therein.



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# 1. Introduction

## 1.1 Purpose and scope

1.1.1 Changes and future releases to the Market Operator Systems and associated documentation will be implemented by the Market Operator through a planned schedule of releases.

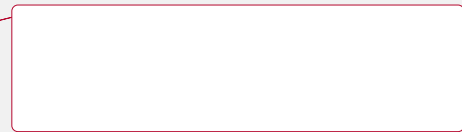
1.1.2 This CSD describes the change process for Market Operator changes to systems which are separate from any Approved Changes. The system changes described here are those which may have an impact on the Market Operator Systems and therefore Trading Parties.

1.1.3 Change Proposals will be subject to the process set out in Section 6 of the Market Arrangements Code until they have been approved.

1.1.4 In the context of this CSD Market Operator changes are:

- (a) any changes to the Market Operator Systems where it is has been initially assessed that there is no impact on the Wholesale-Retail Code and CSDs, or on Trading Parties. This may include changes to associated documentation that it is the responsibility of the Market Operator to maintain;
- (b) the assessment to determine whether a Market Operator change needs to be re-classified and made subject to Change Proposal as described in the Market Arrangements Code; and
- (c) circumstances where a Market Operator change has been initially determined as having no impact on the Wholesale-Retail Code and CSDs, or on Trading Parties but upon further assessment, the assumption is found to be invalid and a Change Proposal will be required.

1.1.5 This CSD also sets out the requirements on both the Market Operator and Trading Parties in relation to Market Operator Systems release management, which may be a combination of Market Operator changes and Approved Changes.



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1.1.6 This CSD should be read in conjunction with the Change Proposal process set out in Section 6 of the Market Assurance Code.

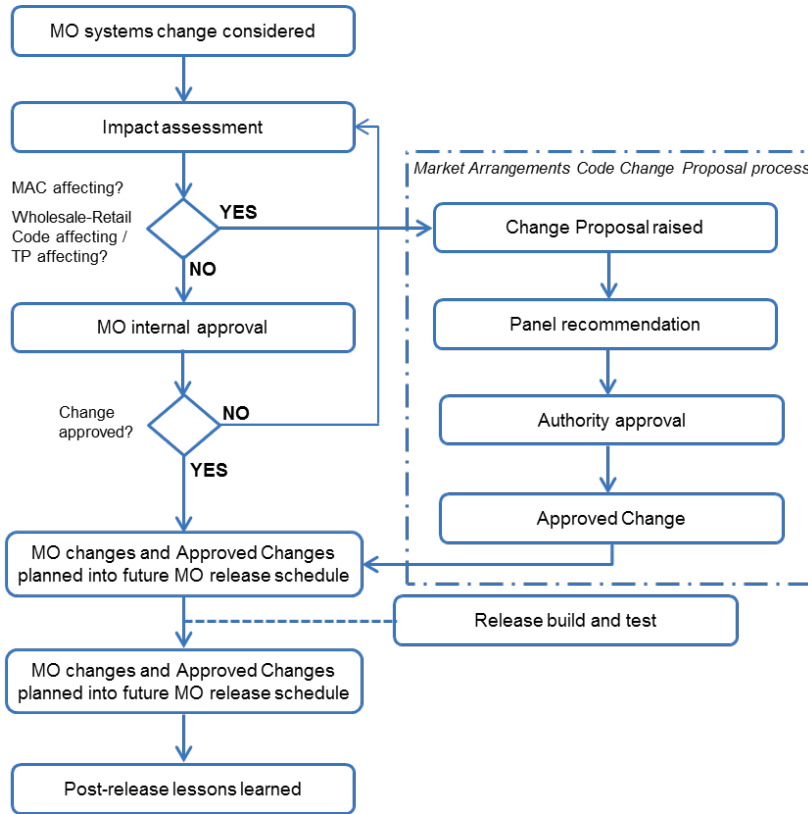
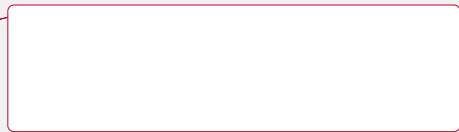


Figure 1: CSD 0501 Market Operator change management process



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## 2. Change management process

### 2.1 Impact assessment

- 2.1.1 The Market Operator will ensure that all change is appropriately managed and that Trading Parties are engaged and continue to have visibility of any change up to and including its implementation.
- 2.1.2 The Market Operator will publish all Market Operator changes on its website and notify Trading Parties through their nominated contact.
- 2.1.3 The Market Operator will ensure that all Market Operator changes undergo an initial impact assessment. In some cases the Market Operator may wish to engage Trading Parties using this impact assessment process to determine whether a Market Operator change should be raised as a Change Proposal.
- 2.1.4 The Market Operator will ensure that the following information is made available to Trading Parties for all Market Operator changes:
- (a) a detailed overview of the change being proposed;
  - (b) identification of the services, technologies and/or document(s), which are the subject of the proposed change;
  - (c) the proposed target date for implementation;
  - (d) the approach to implementation of the change including whether Trading Party assistance is required in terms of implementing the change e.g. a requirement on Trading Parties to undertake testing activities or provide additional market data;
  - (e) details of the initial assessment undertaken by the Market Operator where it is determined that a Change Proposal is not required; and
  - (f) the required timescale by which Trading Parties must respond with any potential impacts which are directly related to the proposed change, which should not be unreasonable.

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2.1.5 The Market Operator will allow a minimum of ten (10) Business Days for Trading Parties to respond. Trading Parties will ensure that their responses set out any impacts that have not been considered.

2.1.6 Upon request, if Trading Parties require additional information in order to perform a more detailed impact assessment this will be provided by the Market Operator as quickly as possible. The Market Operator may also need to consider an extension to the specified date for Trading Party responses.

2.1.7 The Market Operator will review all Trading Party responses that are received by the specified time. Where necessary, the Market Operator will contact individual Trading Parties to clarify their response.

2.1.8 Where there is the potential for wider impact, as a result of implementing the change across a number of Trading Parties, the Market Operator may arrange a workshop between the Market Operator and impacted Trading Parties before progressing further with the Market Operator change.

2.1.9 Trading Parties are required to support the Market Operator in completing any impact assessment relating to Market Operator changes and ensure that responses are submitted to the Market Operator by the required date.

## 2.2 Impact assessment outcomes

2.2.1 The Market Operator will proceed with the change under its own internal governance where it is concluded that a Market Operator change does not require a Change Proposal. The Market Operator will also continue to provide Trading Parties with regular updates and maintain a change management status log and forward release plan on the Market Operator's website.

2.2.2 Where a change proposal is put forward for internal Market Operator approval and is rejected, a further impact assessment shall be undertaken to review the reasons for rejection and agree next steps.

2.2.3 Where following an impact assessment it is concluded that a Change Proposal is required, the following steps will be followed:

- (a) the Market Operator will ensure that all activities associated with the proposed change are suspended;



- (b) the Market Operator will notify all Trading Party contacts including a link to the Market Operator's change management log, giving further details; and
- (c) where necessary the Market Operator will arrange a workshop between the Market Operator and affected Trading Parties to fully qualify the findings of the impact assessment and next steps.

2.2.4 Where it is determined that a Market Operator change must be progressed as Change Proposal, a Change Proposal owner and proposer will need to be agreed.

2.2.5 The Change Proposal will be progressed through the change management process as set out in the Market Arrangements Code.

2.2.6 As defined in the Market Arrangements Code, in some instances the Market Operator may propose and own the Change Proposal through to approval or otherwise.

## 2.3 Market Operator Systems release management

2.3.1 The Market Operator's release schedule may include both:

- (a) approved Market Operator changes; and
- (b) Approved Changes.

2.3.2 The Market Operator will establish and maintain a detailed forward release schedule. Wherever possible the Market Operator will plan releases that allow the implementation of multiple changes simultaneously. However, this will be subject to the consideration of sections 2.3.3 and 2.3.6 below.

2.3.3 The Market Operator will ensure that the Market Operator forward release schedule and long term plan remain in full alignment with all approved changes and that all new Market Operator System releases supersede previously implemented releases. The Market Operator will ensure that it engages Trading Parties in the planning of all future releases including the approach to implementing both Market Operator changes and Approved Changes.

2.3.4 The Market Operator will categorise releases based on the scale of new or amended functional requirements, together with the impact and associated risk to the Market Operator's service continuity and Trading Party activities during a Business Day or Extended Hours. This may include:

- (a) a major release containing significant areas of new functionality and/or addressing existing system defects;
- (b) a minor release containing:
  - (i) a system upgrade and/or minor functional enhancement to the Market Operator's services; or
  - (ii) minor enhancements to address existing system defects;
- (c) an emergency release which may include:
  - (i) corrections to one or more high impact or material defects which may have occurred in the Market Operator Systems; or
  - (ii) corrections to a material weakness that has been identified or has resulted in a significant incident where the Market Operator Systems are subject to an unplanned outage;
  - (iii) may be managed as part of a Market Operator business continuity invocation as set out in CSD 0007 (Business Continuity Management); and
- (d) standalone releases may occasionally be required outside the planned release schedule. Whilst these may be in exceptional circumstances and the result of possibly a business continuity incident, the Market Operator and Trading Parties will ensure that all changes are subject to the same level of change governance as set out in the Market Arrangements Code and this CSD, noting that the necessary change management steps may need to be undertaken within a shorter period of time.

2.3.5 The Market Operator will ensure that the scope and number of changes to be implemented during any release does not in itself present an operational issue to either the Market Operator Systems or Trading Parties. The Market Operator will

ensure that as far as possible, planned change releases will not result in either unplanned outages or a reliance on Trading Parties to undertake support activities which have not previously been agreed but are subsequently deemed necessary in order for the change to be implemented.

- 2.3.6 As part of release management planning, the Market Operator will have a clear 'back-out plan' for each change. Such arrangements will be exercised where it is determined that during its implementation a release is, or will have, a material impact on the availability of the Market Operator Systems or an operational impact on Trading Party operations.

## 2.4 Trading Party test support

- 2.4.1 Trading Parties will be required to support the Market Operator's change management programme, including the implementation of approved market change where it is reasonable and practical to do so.

- 2.4.2 Where the Market Operator requires Trading Parties to undertake a level of acceptance testing as part of a standalone release or a planned release schedule, the Market Operator will ensure that Trading Parties are fully engaged throughout the impact assessment and release planning lifecycle.

- 2.4.3 The Market Operator will ensure that a detailed implementation plan is established, setting out the level of support required from Trading Parties. In most cases it is expected that the Market Operator will set this out during the initial impact assessment. However, where this requirement is subject to change and where an increase in Trading Party support is identified, the Market Operator will notify affected Trading Parties as soon as possible.

## 2.5 Trading Party training

- 2.5.1 It is the responsibility of the Market Operator working with Trading Parties to determine whether any changes require Trading Party user training.

- 2.5.2 The Market Operator will identify training requirements as part of the impact assessment processes where it is able to do so, but it is the responsibility of the Trading Parties to qualify this further.

## 2.6 Post-release

- 2.6.1 The Market Operator will undertake a review of each release once it has been implemented and log all lessons learned for future consideration. Trading Parties will be required to support this process where appropriate.
- 2.6.2 Where appropriate, the Market Operator will ensure that post-release lessons learned are made available to all Trading Parties.



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