RETAIL ENERGY CODE

Change Management

RETAIL ENERGY CODE

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RETAIL ENERGY CODE

SCHEDULE 5

Change Management

Version: 3.2 Effective Date: 03 November 2023

Domestic Suppliers	Mandatory
Non-Domestic Suppliers	Mandatory
Gas Transporters	Mandatory
Distribution Network Operators	Mandatory
DCC	Mandatory
Metering Equipment Managers	Mandatory
Non-Party REC Service Users	N/A

Change History

Version Number	Implementation Date	Reason for Change
0.1	N/A	Version agreed for June 2018 industry consultation
0.2	N/A	Version agreed for June 2019 industry consultation
0.3	N/A	Version for 2020 industry consultation
0.4	N/A	Version for Oct 2020 consultation
1.1	15 January 2021	REC v1.1
2.0	1 September 2021	Changes to reflect v2.0 revisions
2.1	14 April 2022	Changes to reflect R0028
3.0	18 July 2022	Switching SCR Modification R0041
3.1	01 April 2023	R0073
3.2	03 November 2023	R0140
3.3	XX	R0167

1 Introduction

1.1. This REC Schedule sets out the process for changing this Code. A change to this Code may only be made in accordance with this REC Schedule. This includes changes to the REC Schedules and the Technical Specification.

1.2. Each change to this Code must commence with a developed Change Proposal made in accordance with the provisions of this REC Schedule. ~~either:~~

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a a REC Change Issue that becomes a Change Proposal once a solution is defined in accordance with the provisions of this REC Schedule; or

(a) a fully developed Change Proposal made in accordance with the provisions of this REC Schedule.

1.2.1.3. Each REC Change Issue and Change Proposals will be expected to focus on an issue that the Proposer seeks to address and/or an outcome they wish to effect, rather than necessarily on the detail of a potential solution. Where an REC Change Issue or Change Proposals does contain a proposed solution, that will not preclude the Code Manager from exploring and developing solutions which may better fulfil the Proposer's intention and/or the REC Objectives more generally.

1.3.1.4. This REC Schedule does not deal with Operational Switching Service Changes. These are dealt with in the Switching Service Management Schedule.

2 Process overview

2.1. Whilst each Change Proposal submitted in accordance with Paragraph 7 will follow a process that is particular to its requirements, there are usually five sixusually six stages to the process, as follows (subject to Paragraph 2.5):

(a) submission and acceptance of the REC Change Issue or Change Proposal (Paragraphs 7 and 8);

(b) initial assessment of the REC Change Issue or Change Proposal (Paragraphs 9 and 10);

(c) only to the extent necessary, further development of the REC Change Issue or Change Proposal (Paragraph 11), impact assessment by REC Service Providers and/or Parties (Paragraphs 12 and/or 13), and/or referral to the Cross Code Steering Group or other expert groups identified by the Code Manager (Paragraph 14);

(d) production of the Preliminary Change Report Change Proposal and its Change Report and consultation on such report (Paragraphs 18 and 19);

(e) approval or rejection of the Change Proposal, including the appeal window (Paragraphs 20 to 22); and

(f) implementation and release of the Change Proposal (Paragraphs 26 and 27).

2.2. The Responsible Sub-Committee is the body responsible for making the decision (or for making recommendations to the Authority) on whether to approve a Change Proposal.

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The Change Panel is the Responsible Sub-Committee for Change Proposals to change the majority of this Code. However, the REC Baseline Statement identifies certain REC Schedules and other documents for which other Sub-Committees are the Responsible Sub-Committee.

2.3. In the case of Category 3 Products, changes to these shall be approved by the Responsible Provider in accordance with Paragraph 29.

2.4. In the case of any Change Proposals impacting Meter Product Data (an "MPD Change") the Change Proposal shall follow the process set out in Paragraph 28.

2.5. In the case of a Housekeeping Change Proposal, a shortened process shall apply, as set out in Paragraph 25.

3 Establishing the Cross Code Steering Group

3.1. The Code Manager shall establish (in accordance with the REC Board's directions), together with the code administrators of other Energy Codes, the Cross Code Steering Group to manage the interaction between this Code and other Energy Codes.

3.2. The Code Manager shall agree the terms of reference for the Cross Code Steering Group with the code administrators of the other Energy Codes. Such terms of reference must include:

(a) constituency of the group, including details of the organisations required to participate;

(b) high-level details of the provisions that will be considered by the Cross Code Steering Group;

(c) the process for determining the matters outlined in Paragraph 3.3; and

(d) how and when meetings are to be convened.

3.3. The core roles of the Cross Code Steering Group shall be to:

(a) provide its views on whether a potential change to one Energy Code is likely to have an impact on the other Energy Codes or on the parties to those codes;

(b) determine whether a potential change to one Energy Code is likely to require a parallel or consequential change to another Energy Code; and

(c) where Paragraph 3.3(b) applies, determine which Energy Code is to be used as the lead-code for the change.

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3.4. Where the Cross Code Steering Group determines that this Code is to be used as the lead-code for an ~~REC Change~~ Issue or Change Proposal, then:

(a) the Code Manager shall progress the ~~REC Change~~ Issue or Change Proposal in accordance with this Code;

(b) the Code Manager shall coordinate with the code administrators of the other affected Energy Codes so that they can manage the processes under their Energy Codes in parallel with the process under this Code;

(c) the Change Proposal shall only be approved if both (i) the Change Proposal is approved in accordance with this Code; and (ii) the associated consequential changes under the other Energy Codes are all approved in accordance with those other Energy Codes; and

(d) if the Change Proposal is approved in accordance with this Code, but one or more of the associated consequential changes under the other Energy Codes are not approved in accordance with those other Energy Codes, then the Change Panel may, within 30 days of the decision or other determination which triggered the application of this sub-paragraph, refer the Change Proposal and all associated consequential changes to the Authority for a decision.

3.5. Where the Cross Code Steering Group determines that another Energy Code is to be used as the lead-code for a Change Proposal, then the Code Manager shall progress that Change Proposal in accordance with this Code, but subject to the following:

(a) the Code Manager shall progress the Change Proposal in parallel with the change under the lead-code, and as far as practicable subject to the timetable determined under the lead-code;

(b) the Responsible Sub-Committee shall have regard to the change under the lead-code but make its decision under Paragraph 20 based on an assessment of the consequential change to this Code only;

(c) the Change Proposal shall only be approved if both (i) the Change Proposal is approved in accordance with this Code; and (ii) the associated change to the lead Energy Code is approved in accordance with that Energy Code; and

(d) if the change to the lead Energy Code is approved, but the consequential change under this Code is not approved, then the code administrator (or other relevant body) under the lead Energy Code may refer the decision in respect of the consequential change under this Code to the Authority; provided that such referral must be made within 30 days after the later of the approval under the lead Energy Code or the rejection under this Code.

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4 Change Register

4.1. The Code Manager shall establish and maintain a register of all current and past ~~REC Change~~ Issues and Change Proposals (referred to as the Change Register).

4.2. The Code Manager shall determine the content of the Change Register.

4.3. Where submission of an ~~REC Change~~ Issue or Change Proposal is accepted under Paragraph 8, the Code Manager shall assign a unique identifier to the ~~REC Change~~ Issue or Change Proposal, and add it ~~the Change Proposal~~ to the Change Register.

4.4. The Code Manager shall publish the Change Register on the REC Portal.

4.5. The Code Manager shall also publish on the REC Portal details of changes and proposed changes to other Energy Codes which are related to or may have an impact on this Code, and details of other matters which may affect this Code, including Significant Code Reviews.

5 Energy Market Architecture Repository

5.1. The Energy Market Architecture Repository is a digitalised graphical representation of the content of this Code.

5.2. The Code Manager shall maintain and update the Energy Market Architecture Repository to reflect and record the effect of each and every relevant change which is implemented, whether to this Code in accordance with this REC Schedule, or to any other Energy Code (provided it has been notified to the Code Manager).

6 Preliminary advice and assistance

6.1. The Code Manager shall provide (free of charge) advice and assistance to any interested person, consistent with (but not limited to) the requirements of the Code Administration Code of Practice, which shall include:

(a) assistance with the development of ~~REC Change~~ Issues and Change Proposals and/or exploration of other possible remedies to address issues raised;

(b) explanation of the operation and effect of this Code, including this Change Management Schedule; and

(c) acting as a 'critical friend' in the provision of support to any person with an interest in this Code, particularly with respect to under-represented Parties, small market participants and consumer representatives.

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7 Submitting ~~a REC Change~~ Issues and Change Proposals

7.1. Any interested person may submit an ~~REC Change~~ Issue or Change Proposal (referred to as a Proposer), regardless of whether or not they are a Party. A Change Proposal may only be submitted if it includes a ~~fully formed~~ developed solution.

7.2. The Code Manager may prescribe what information will be required to support the ~~REC Change~~ Issue or Change Proposal, in accordance with best practice and consistent with any requirements of the Code Administration Code of Practice. The Code Manager shall set out the requirements, and publish accompanying guidance on the submission and treatment of ~~REC Change~~ Issues or Change Proposals, on the REC Portal.

7.3. ~~REC Change~~ Issues and Change Proposals must be submitted electronically via the REC Portal.

8 Acceptance of ~~a REC Change~~ Issue~~'s~~ or ~~a~~ Submitted Change Proposal

8.1. Except in the case of an Authority Change Proposal, or where otherwise directed by the Change Panel, the Code Manager may refuse to accept submission of an ~~REC Change~~ Issue or Change Proposal if the Code Manager considers that one of more of the following apply:

(a) the proposal is incomplete or insufficiently clear;

(b) the proposal and/or issue that it seeks to address is not materially different from or could appropriately form part of an active ~~REC Change~~ Issue or Change Proposal that has not yet been decided upon;

(c) the proposal concerns matters that are outside the scope of this Code; or

(d) for a Change Proposal the proposal has no reasonable prospect of being approved.

8.2. If the Code Manager refuses to accept submission of an ~~REC Change~~ Issue or Change Proposal, it shall write to the Proposer, copying in the Change Panel, setting out the reasons for refusal, and offering assistance (where reasonably practicable) to address the reasons given (such that the proposal could be re-submitted).

8.3. The Change Panel may, independently or on the application of any person, overrule a decision by the Code Manager to refuse submission or progression of an ~~REC Change~~ Issue or Change Proposal, based on the same criteria as apply under Paragraph 8.1.

8.4. Where submission of an ~~REC Change~~ Issue or Change Proposal is accepted by the Code Manager, unless it is clear that the scope of the proposal is limited to the provisions of this Code, the Code Manager shall refer the ~~REC Change~~ Issue or Change Proposal

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to the Cross Code Steering Group, so that the Cross Code Steering Group can consider the matters set out in Paragraph 3.3.

8.5. The Code Manager may revisit its consideration of an ~~REC Change~~ Issue or a Change Proposal under this Paragraph 8 if new evidence or analysis is available, whether as a result of an impact assessment or otherwise. Despite its earlier acceptance of the ~~REC Change~~ Issue or a Change Proposal, if the Code Manager reasonably believes that any of the criteria in Paragraphs 8.1(b)(c) or (d) now apply, the Code Manager may determine that the ~~REC Change~~ Issue or a Change Proposal should not progress any further and Paragraph 8.2 shall apply.

9 Initial assessment

9.1. For each ~~REC Change~~ Issue or Change Proposal accepted under Paragraph 8, the Code Manager shall undertake an initial assessment ~~of the proposal~~ in accordance with the requirements of this Paragraph 9, and the Change Panel's standing instructions regarding timetable and criteria.

Change Paths

9.2. The Code Manager shall make the initial determination of which approval route (referred to as a Change Path) each REC Change Issue ~~or~~ Change Proposal will follow, being either:

(a) an Authority-Approved Change; or

(b) a Self-Governance Change.

9.3. Authority-Approved Changes are ~~for~~ those ~~REC Change Issues or Change Proposals~~ which satisfy one or more of the following criteria:

(a) the changes are likely to have a material impact on existing or future Energy Consumers;

(b) the changes are likely to have a material impact on competition in the supply of gas or electricity in Great Britain;

(c) the changes are likely to discriminate in their effects between one Party (or class of Parties) and another Party (or class of Parties); or

(d) the Change Proposal has been raised by the Authority or as a result of a direction by the Authority.

9.4. The Code Manager may seek an informal view from the Authority regarding the most

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appropriate Change Path.

Urgent Change Proposals

9.5. The Code Manager shall make the initial determination of whether an ~~REC Change~~ Issue or Change Proposal is to be an Urgent ~~REC Change~~ Issue or Change Proposal, based on the criteria for urgency published by the Authority from time to time. ~~There is no equivalent concept of an urgent REC Change Issue, but the Cde Manager shall nevertheless take into account the urgency of the issue raised in determining the timetable for a REC Change Issue.~~

Responsible Sub-Committee

9.6. The Code Manager shall make the initial determination of which Responsible Sub-Committee is to make the decision for a Change Proposal under Paragraph 20, by reference to the REC Baseline Statement. Where a Change Proposal affects more than one part of this Code, and the different parts are identified in the REC Baseline Statement as the responsibility of different Sub-Committees, then the Change Panel shall make the decision.

Change Proposal Plan

9.7. The Code Manager shall draft the initial Change Proposal Plan for each ~~REC Change~~ Issue or Change Proposal, and may make amendments to each such plan from time to time (in each case subject to Paragraph 9.9).

9.8. The Change Proposal Plan for each ~~REC Change~~ Issue or Change Proposal shall set out:

(a) the timetable and priority of the ~~REC Change~~ Issue or Change Proposal;

(b) whether the ~~REC Change~~ Issue or Change Proposal is:

(i) sufficiently developed and/or urgent to warrant it going straight to the ~~Preliminary~~ Change Report ~~stage~~ (under Paragraph 18); or

(ii) in need of further development by the Code Manager and/or Subject Matter Experts, and/or of an impact assessment by the Parties and/or one or more REC Service Providers; and

(c) whether the ~~REC Change~~ Issue or Change Proposal has cross-code impacts such that it needs to be progressed in conjunction with the Cross Code Steering Group.

9.9. In determining the prioritisation and timetable to be followed in respect of each ~~REC~~

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~~Change~~ Issue or Change Proposal, the Code Manager shall:

(a) (subject to (b) below) determine a reasonable timetable, having regard to the ~~REC Change~~ Issue's or Change Proposal's complexity, importance relative to other ongoing ~~REC Change~~ Issues or Change Proposals and time-sensitivity; and

(b) in the case of Authority ~~REC Change~~ Issues or Change Proposals and Urgent ~~REC Change~~ Issues or Change Proposals, determine a timetable consistent with any relevant timetable issued by the Authority.

10 ~~Initial Assessment Report~~Change Proposal Plan Progression

10.1. For each ~~REC Change~~ Issue or Change Proposal accepted under Paragraph 8, the Code Manager shall report to the Change Panel on the outcome of the Code Manager's ~~initial~~ assessment under Paragraph 9, and provid~~e~~ing the Change Panel with the proposed Change Proposal Plan.

10.2. Where a Change Proposal Plan provides for the ~~REC Change~~ Issue or Change Proposal to be referred to one or more Subject Matter Experts and/or provides for the ~~REC Change~~ Issue or Change Proposal to be referred to one or more REC Service Providers for an impact assessment, then the Code Manager shall send the updated Change Proposal Plan to the REC Board highlighting the budgeted costs for such referrals. ~~An issue which requires any such referral must be progressed as a REC Change Issue before it can become a Change Proposal.~~

10.3. The Code Manager's initial determination under Paragraph 9 of the applicable Change Path, urgency-status, Responsible Sub-Committee, and Change Proposal Plan shall apply unless and until over-turned by:

(a) the Code Manager, who shall keep the relevant issues under consideration, and who may make changes as circumstances dictate;

(b) the Change Panel, when considering the report provided under this Paragraph 10 or following the application of a Party, the Consumer Representative or a REC Service Provider (but the Change Panel cannot overrule the REC Board or the Authority);

(c) the REC Board, in respect of plans to refer an ~~REC Change~~ Issue or Change Proposal to a Subject Matter Expert or to a REC Service Provider; and/or

(d) the Authority, at its own volition or (where the issue has previously been determined by the Change Panel or the REC Board) following the application of a Party, the Consumer Representative or a REC Service Provider.

10.4. The REC Board's input on plans to refer an ~~REC Change~~ Issue or Change Proposal

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~~to~~~~Issue~~ to a Subject Matter Expert or to a REC Service Provider is to ensure that the REC Board has appropriate oversight of the external spend which will be incurred as a result.

11 ~~Change~~ Proposal development

11.1. This Paragraph 11 only applies to an ~~Change Proposal~~ ~~REC Change~~ Issue or Change Propos~~L~~al where its Change Proposal Plan provides that further development of the Issue or Change Proposal by the Code Manager and/or one or more Subject Matter Experts is required.

11.2. The Code Manager shall further analyse and develop the ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal in accordance with the Change Proposal Plan.

11.3. Subject to the Change Proposal Plan, the Code Manager may (and shall at the request of the REC Board or the Authority) call upon the support of Subject Matter Experts and legal and other advisors contracted to the RECCo and available on a call-off basis for that purpose.

11.4. The Subject Matter Experts will be a mixture of:

(a) individuals and organisations contracted by RECCo; and

(b) individuals made available by Parties on a voluntary basis.

11.5. The Code Manager shall determine which Subject Matter Expert(s) will review which aspects of each ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal (subject to the Change Proposal Plan and the budget provided for in the Change Proposal Plan).

11.6. The Proposer shall retain control of the legal text of the ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal, and no variations can be made to the legal text without the Proposer's approval. Where the Proposer does not wish to vary the legal text of its ~~REC Change~~ Issue ~~Change Proposal~~ or C~~c~~hange Proposal , the Code Manager may raise an Alternative Change Proposal. ~~at an appropriate time.~~

12 REC Service Provider impact assessments

12.1. This Paragraph 12 only applies to an ~~Change Proposal~~ ~~REC Change~~ Issue where its Change Proposal Plan provides that an impact assessment from one or more REC Service Providers is required or where the Code Manager determines that further development is required for a Change Proposal.~~.~~

12.2. The Code Manager shall commission an impact assessment from one or more of the REC Service Providers, in accordance with the Change Proposal Plan (subject to the budgetary constraints provided for in the Change Proposal Plan).

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12.3. Where requested to do so by the Code Manager, each REC Service Provider shall, within 5 Working Days of a request, confirm whether the REC Service Provider considers that the ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal would be likely to have an impact on the services it provides in its capacity as a REC Service Provider.

12.4. Where the Code Manager requests further assessment, the REC Service Provider shall:

(a) within 15 Working Days of a request, unless otherwise agreed with the Code Manager, provide (free of charge) a preliminary assessment of the scope, cost and likely timescales for changes to its Systems which would be necessary as a result of the ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal being approved, together with confirmation of the cost and timescales of providing a detailed impact assessment; and

(b) within 40 Working Days (or in accordance with such other timetable as the Code Manager may agree) provide, at a price agreed with the Code Manager, a detailed impact assessment of the scope, cost and timescales for making the changes to the Systems the REC Service Provider uses (or its sub-contractors use) to provide the services it provides in its capacity as a REC Service Provider which would be necessary as a result of the ~~Change Proposal~~ ~~REC Change~~ Issue or Change Proposal being approved.

12.5. REC Service Providers shall invoice RECCo once the Code Manager confirms the impact assessment is completed to an acceptable standard and has been delivered in the agreed timetable and is for the amount quoted.

12.6. The performance of each REC Service Provider under this Paragraph 12 shall be subject to Performance Standards overseen by the REC PAB.

12.7. Where a REC Service Provider informs the Code Manager that the REC Service Provider is unable to provide a view, preliminary assessment or detailed impact assessment in accordance with this Paragraph 12, or the Code Manager is unable to agree an appropriate timescale or costs with a REC Service Provider, then the Code Manager may procure an independent assessment. The REC Service Provider shall provide (free of charge) all reasonable co-operation and assistance in relation to any such independent assessment, and shall be liable for any and all costs incurred by the Code Manager in respect of any activity for which the REC Service Provider would not have been paid under this Paragraph 12.

12.8. Where the response to REC Service Provider impact assessments identifies the need to coordinate testing activities between REC Service Providers (should the Change Proposal be approved for implementation), the Code Manager shall create a REC Test Strategy, setting out the testing objectives and approach to coordinating testing activities between REC Service Providers.

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13 Party impact assessments

13.1. This Paragraph 13 only applies to an ~~Change Proposal~~ ~~REC Change~~ Issue where its Change Proposal Plan provides that an impact assessment from the Parties (or one or more classes of Parties) is required~~.~~ or where the Code Manager determines that further development is required for a Change Proposal.

13.2. The Code Manager shall consult with and seek impact assessments from the Parties (or one or more classes of Party) in accordance with the Change Proposal Plan.

14 Consultation with Cross Code Steering Group

14.1. This Paragraph 14 only applies to an Issue or ~~-~~Change Proposal ~~or REC Change Issue~~ where its Change Proposal Plan provides that the Cross Code Steering Group is to be consulted on the Change Proposal.

14.2. The Code Manager shall consult with the Cross Code Steering Group in accordance with the Change Proposal Plan.

14.3. The Code Manager shall progress the ~~REC Change~~ Issue or Change Proposal subject to Paragraph 3.4 or 3.5 (as applicable in accordance with the Cross Code Steering Group's determination from time to time).

15 Compliance with Change Proposal Plan

15.1. The REC Board, the Change Panel, the Code Manager, the REC Service Providers and each Party shall (insofar as within its reasonable control) complete any and all of the respective tasks assigned to them in respect of an ~~REC Change~~ Issue or Change Proposal in accordance with the Change Proposal Plan applying to that ~~REC Change~~ Issue or Change Proposal.

16 Withdrawing ~~a REC Change~~ Issues or Change Proposals

16.1. The Proposer may withdraw support for an ~~REC Change~~ Issue or Change Proposal on notice to the Code Manager at any time prior to publication of the proposal's Final Change Report.

16.2. As soon as is reasonably practicable after receiving such notice, the Code Manager shall notify the Parties that the Proposer has withdrawn support for the ~~REC Change~~ Issue or Change Proposal.

16.3. Where, within 10 Working Days of the Code Manager issuing a withdrawal notice, the Code Manager receives notice from an individual or organisation that it is prepared to adopt the ~~REC Change~~ Issue or Change Proposal, that individual or organisation shall

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become the Proposer for the ~~REC Change~~ Issue or Change Proposal. The Code Manager may also choose to adopt an ~~REC Change~~ Issue or Change Proposal that would otherwise be withdrawn, and the Change Register will be updated to reflect the new Proposer following the adoption.

16.4. Unless adopted under Paragraph 16.3, the ~~REC Change~~ Issue or Change Proposal shall be withdrawn on the expiry of the notice period under that paragraph, and the Change Register updated accordingly.

16.5. Where one or more Authority Change Proposals have been raised, the Authority may issue a direction under this Paragraph 16.5 that requires the withdrawal of those Authority Change Proposals and of any related Alternative Change Proposals. Where the Authority so directs:

(a) the Significant Code Review Phase shall re-commence; and

(b) such Change Proposals shall be deemed to have been withdrawn under this Paragraph 16 and shall not be capable of being adopted under Paragraph 16.3.

16.6. Where a Change Proposal is withdrawn which already has an Alternative Change Proposal associated to it, the Alternative Change Proposal is not automatically withdrawn by the same notice and will continue to be progressed in accordance with the published Change Proposal Plan.

17 Alternative Change Proposals

17.1. Any person may raise an alternative proposal (referred to as an Alternative Change Proposal) to be progressed alongside an existing Change Proposal, subject to the rules in Paragraph 17.3 ~~following:~~

~~In the case of REC Change Issues, the REC Change Issue may be developed into multiple Change Proposals, subject to the rules in Paragraph 17.3. Where this is the case, the Change Proposal which is progressed by the Proposer of the REC Change Issue shall be the primary Change Proposal, and the other Change Proposals shall be the Alternative Change Proposals.~~

~~17.1.~~17.2. The following rules apply to Alternative Change Proposals:

(a) an Alternative Change Proposal must ~~ordinarily~~ be raised and considered ~~during the solution development and~~ before publication of the ~~Preliminary~~ Change Report for the Change Proposal (and the Code Manager can refuse to accept a proposed Alternative Change Proposal if its acceptance would prevent the Code Manager completing the ~~Preliminary~~ Change Report in accordance with the Change Proposal's timetable);

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(b) the Code Manager may refuse a proposed Alternative Change Proposal on the same grounds as apply to ~~REC Change~~ Issues ~~or~~ Change Proposals under Paragraph 8.1;

(c) the Code Manager may refuse a proposed Alternative Change Proposal on the grounds it is not seeking to address the same (or similar) issues as the ~~REC Change~~ Issue or Change Proposal; and

(d) the Code Manager may refuse a proposed Alternative Change Proposal on the grounds that it is not substantively different from the existing ~~REC Change~~ Issue or Change Proposal and/or its existing Alternative Change Proposals.

~~17.2.~~17.3. There is no restriction on the number of Alternative Change Proposals that can be raised in relation to a ~~REC Change~~ Issue or Change Proposal.

~~17.3.~~17.4. Refusal by the Code Manager to accept an Alternative Change Proposal does not prevent the Proposer submitting a new ~~REC Change~~ Issue or Change Proposal.

~~17.4.~~17.5. Each Alternative Change Proposal shall be subject to the same process as applies to the ~~REC Change~~ Issue or Change Proposal in respect of which the Alternative Change Proposal was raised. Except where the context otherwise requires, references in this Code to Change Proposals shall be deemed to include reference to its Alternative Change Proposal(s).

~~17.5.~~17.6. The decision of the Responsible Sub-Committee in respect of the original Change Proposal and its Alternative Change Proposal(s) shall be made at the same time, and on the basis that no more than one of the changes can be approved by the Responsible Sub-Committee.

18 ~~Preliminary~~ Change Report

18.1. ~~Save for those exceptional circumstances to which~~ Except where ~~Paragraphs 11, 12, 13 and/or 14 applies,~~ Change Proposals may ~~will~~ progress from their initial assessment under Paragraphs 9 and 10 to the ~~Preliminary~~ Change Report phase (as described in this Paragraph 18). ~~REC Change~~ Issues may ~~will~~ require development under Paragraphs 11, 12, 13 and/or 1~~4~~3 before they progress (as Change Proposals) to the Change Report phase.

18.2. In the ~~Preliminary~~ Change Report phase, the Code Manager shall prepare a written report on the Change Proposal (referred to as a ~~Preliminary~~ Change Report).

18.3. The ~~Preliminary~~ Change Report for each Change Proposal shall set out:

(a) a description and analysis of the Change Proposal;

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(b) the proposed legal text to change this Code in order to give effect to the Change Proposal;

(c) the proposed implementation date(s) for the implementation of the Change Proposal;

(d) for Self-Governance Changes, the business case for the Change Proposal, and the Code Manager's recommendation as to whether or not the Change Proposal should be approved;

(e) for Authority-Approved Changes, an assessment of the Change Proposal against the REC Objectives, and the Code Manager's recommendation as to whether or not the Change Proposal should be approved;

(f) where relevant, the assessment of the REC Service Providers as to whether implementation of the Change Proposal would require changes to their Systems, and (if so) the likely cost of such changes, and the time period required for the design, build and delivery of the changes;

(g) where relevant, the outcome of any Party impact assessment undertaken by the Code Manager; and

(h) where relevant, a summary of any input given by the Cross Code Steering Group.

19 Industry consultation

19.1. The Code Manager shall publish the ~~Preliminary~~ Change Report for each Change Proposal and consult with Parties, REC Service Providers and other interested persons regarding such report in accordance with the applicable Change Proposal Plan.

19.2. Following such consultation, the Code Manager shall produce an updated version of the ~~Preliminary~~ Change Report ~~(referred to as the Final Change Report)~~ which covers those matters required to be covered in the ~~Preliminary~~ Change Report, and also reports on the outcome of the consultation, setting out a summary of the consultation submissions and the Code Manager's response to such submissions.

20 Determination by the **Responsible Sub-Committee**

20.1. In respect of each ~~Final~~ Change Report, the Code Manager shall arrange for the relevant Responsible Sub-Committee to determine whether to approve the Change Proposal. Change Proposals that are not approved are deemed rejected.

20.2. The relevant Responsible Sub-Committee shall make its determination in respect of each Change Proposal based on whether:

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(a) in the case of Authority-Approved Changes, the approval of the Change Proposal would better facilitate the REC Objectives than not approving the Change Proposal; or

(b) in the case of Self-Governance Changes, the business case for approving the Change Proposal (which may or may not specifically refer to the REC Objectives) has been made.

20.3. The relevant Responsible Sub-Committee must record the outcome of its determination (based on the criteria above), and (if applicable) the reasoning for its divergence from the Code Manager's recommendation.

20.4. Decisions of the relevant Responsible Sub-Committee shall be made by a majority vote.

21 Approval or rejection of a **Change Proposal**

21.1. The effect of the determination under Paragraph 20 in respect of each Change Proposal shall be (unless Paragraph 3.5 applies):

(a) in the case of Authority-Approved Changes, a recommendation to the Authority that the Change Proposal be approved or rejected; or

(b) in the case of Self-Governance Changes, to approve or reject the Change Proposal (subject to appeals under Paragraph 22).

21.2. In the case of each Authority-Approved Change, the Authority will determine whether to approve or reject the Change Proposal.

21.3. If the Authority considers that it is unable to form an opinion in relation to the approval or rejection of an Authority-Approved Change, the Authority may issue a direction to the Change Panel specifying any additional steps that the Authority requires in order to form such an opinion (including drafting or amending the proposed legal text, revising the proposed implementation timetable, and/or revising or providing additional analysis and/or information). Where the Authority issues a direction to the Change Panel pursuant to this Paragraph 21.3:

(a) the vote under Paragraph 20 shall be null and void;

(b) the Change Panel shall (in accordance with any directions given by the Authority) determine the additional steps to be undertaken and the timetable for those steps; and

(c) the Code Manager shall update the Change Register, and progress the Change Proposal in accordance with the Change Panel's determination.

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22 Appeal of Self-Governance Changes

22.1. Any Party or person materially impacted by the outcome of the decision under Paragraph 20 in respect of a Self-Governance Change, may (within 10 Working Days following the notification of that decision) appeal the decision to the Authority.

22.2. If the decision under Paragraph 20 in respect of a Self-Governance Change differs from the recommendation of the Code Manager, then the decision will automatically be referred to the Authority *unless* the Code Manager considers that the reasons provided by the relevant Responsible Sub-Committee are of themselves sufficient for it to change its own recommendation. In such cases, the revision to the recommendation and specifically the reasons for it will be recorded by the Code Manager.

22.3. For each decision appealed to the Authority under Paragraph 22.1 or 22.2, the Authority will then determine whether to approve or reject the Change Proposal. Accordingly, where the Authority's determination is that the Change Proposal is to be rejected (where it has previously been approved) the Change Proposal shall be cancelled and not implemented (or, if already implemented, shall be reversed).

22.4. The Authority may, in respect of appeals under this Paragraph 22:

(a) dismiss the appeal if it is brought for reasons that are trivial or vexatious, or has no reasonable prospect of success; or

(b) send the Change Proposal back to the Change Panel under Paragraph 21.3 if the Authority considers that it is unable to form an opinion in relation to the approval or rejection of the Change Proposal.

23 Significant Code Reviews

23.1. During a Significant Code Review Phase:

(a) the Change Panel shall report to the Authority on whether or not the Change Panel considers that any Change Proposal on which there has not yet been a vote prior to the commencement of the Significant Code Review (whether submitted before or after the commencement of the Significant Code Review) falls within the scope of the Significant Code Review;

(b) the Change Panel may (subject to (d) below) suspend the progress of any Change Proposal that the Change Panel considers to fall within the scope of that Significant Code Review;

(c) the Authority may (subject to (d) below) direct the Change Panel to suspend the progress of any Change Proposal and/or Alternative Change Proposal that the Authority considers to fall within the scope of that Significant Code Review (and

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the Change Panel shall comply with such directions); and

(d) the Authority may direct the Change Panel to cease the suspension of any Change Proposal that has been suspended pursuant to this Paragraph 23 (and the Change Panel shall comply with such directions).

23.2. Any and all suspensions pursuant to this Paragraph 23 shall automatically cease at the end of the Significant Code Review Phase.

23.3. The commencement and cessation of suspensions in respect of a Change Proposal pursuant to this Paragraph 23 shall have the effect of modifying the timetable applying to that Change Proposal.

24 Changes to Company Governance Schedule

24.1. It is unlikely that RECCo's Articles of Association (as set out in the Company Governance Schedule) will need to be amended. However, where they do need to be amended this will require approval of RECCo's shareholders.

24.2. In such cases, where the Change Proposal is approved, the Code Manager shall hold a vote of RECCo's shareholders to approve the change in their capacity as such, and RECCo's shareholders shall (subject to and in accordance with their rights and obligations under the Company Governance Schedule) vote in favour of that change.

25 Housekeeping Change Proposals

25.1 A Housekeeping Change Proposal can only be used to correct an error, inconsistency or factual change, including:

(a) updating names, addresses (including email addresses) listed in this Code;

(b) correcting minor typographical or grammatical errors;

(c) correcting formatting and consistency errors, such as Clause or Paragraph numbering; or

(d) updating out of date references to other documents, Clauses or Paragraphs.

25.2 The Code Manager will follow a process for Housekeeping Changes that is particular to its requirements, and in accordance with the following four-stage process (which applies instead of the process described elsewhere in this REC Schedule):

(a) acceptance of the Housekeeping Change Proposal;

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(b) assessment of the Housekeeping Change Proposal;

(c) production of the Housekeeping Change Report; and

(d) approval or rejection of the Housekeeping Change Proposal.

Acceptance

25.3 Any interested person may submit a Housekeeping Change Proposal via the REC Portal.

25.4 The Code Manager may refuse to accept the Housekeeping Change Proposal, if the Code Manager considers that:

(a) the proposal is incomplete or insufficiently clear; or

(b) the proposal does not meet the criteria set out in Paragraph 25.1;

25.5 If the Code Manager decides that the scope of the Housekeeping Change Proposal goes beyond the criteria set out in Paragraph 25.1, then it will re-consider acceptance and progression of the Change Proposal (as a non-Housekeeping Change Proposal), in accordance with Paragraph 8.

25.6 If the Code Manager refuses to accept submission of a Housekeeping Change Proposal it shall write to the Proposer, setting out the reasons for refusal and offering assistance (where reasonably practicable) to address the reasons given (such that the proposal could be re-submitted).

Assessment

25.7 An assessment will be carried out by the Code Manager, who will assess the impacted products and re-confirm the suitability of the submitted Housekeeping Change Proposal to be a Housekeeping Change Proposal.

25.8 Housekeeping Change Proposals will follow the Self-Governance Change Path.

25.9 The Change Panel will be the Responsible Sub-Committee for determination of Housekeeping Change Proposals.

Housekeeping Change Report

25.10 The Code Manager will prepare a written report on the Housekeeping Change Proposal (referred to as the Housekeeping Change Report).

25.11 The Housekeeping Change Report will set out:

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(a) description of the Housekeeping Change Proposal;

(b) the proposed legal text to change this Code in order to give effect to the Housekeeping Change Proposal;

(c) the proposed implementation date of this Housekeeping Change Proposal; and

(d) the Code Manager's recommendation as to whether or not the Housekeeping Change Proposal should be approved.

Industry Consultation

25.12 The Code Manager shall publish the Housekeeping Change Report 5 Working Days before the Change Panel meeting at which a decision of the Change Panel is required. The publication will allow Parties, REC Service Providers and other materially impacted persons to review the proposed Housekeeping Change Proposal in advance of the Change Panel determination, and if necessary, raise an objection to the change being made under this Paragraph 25. The Housekeeping Change Proposal will not progress to a vote at the Change Panel if (before the date on which such vote is due to be held) one or more objections is raised by a Party, a REC Service Provider or the Authority.

Determination by the Change Panel

25.13 Before the Change Panel makes its decision on whether to approve the Housekeeping Change Proposal, all of the members of the Change Panel who vote on the issue must unanimously agree that:

(a) the Housekeeping Change Proposal meets the criteria set out in Paragraph 25.1; and

(b) all Parties, REC Service Providers and the Authority have been notified of the proposed Housekeeping Change Proposal and its planned implementation date.

25.14 The Change Panel shall vote on whether to approve the Housekeeping Change Proposal. The Change Panel shall make its determination based on the business case for approving the Housekeeping Change Proposal (which may or may not specifically refer to the REC Objectives). The Housekeeping Change Proposal shall be approved only if the members of the Change Panel who vote on the issue unanimously vote to approve the Housekeeping Change Proposal.

25.15 If one or more objections is received as referred to in Paragraph 25.12, or if the Change Panel does not agree on the matters required by Paragraph 25.13, or if the Change Panel does not approve the Housekeeping Change, then the Housekeeping Change Proposal will be rejected, and the Code Manager may consider whether the change

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should be accepted as a standard Change Proposal as described in Paragraph 8.

25.16 The Code Manager shall within 1 Working Day after the Change Panel meeting has made its determination, update the Housekeeping Change Report (recording the decision of the Change Panel) and send this to the Authority, each REC Party and publish it on the REC Portal.

25.17 Housekeeping Change Proposals approved by the Change Panel shall be implemented by the Code Manager in the next scheduled release under Paragraph 26.

26 Implementation

26.1. Change Proposals that are approved in accordance with Paragraphs 21 and 22 or Paragraph 25 (or in accordance with another Energy Code where Paragraph 3.5 applies) shall be implemented by the Code Manager.

26.2. The Code Manager shall establish release dates for the approved Change Proposals in accordance with the implementation dates approved as part of the Change Proposal.

26.3. These release dates will be consistent with, but not necessarily be limited to, the scheduled release dates of revisions to the REC Service Provider's Systems. Changes to this Code which are unrelated to System changes may be made independently of System update release dates, but (for example) to coincide with the beginning of the financial year or a deadline imposed by impending regulations.

26.4. Urgent changes may be given effect outside of the scheduled release dates for System updates, and the REC Service Providers shall comply with the implementation date approved as part of the Change Proposal.

26.5. The implementation of changes to this Code that necessitate System changes shall be subject to successful testing of those System changes.

26.6. The implementation dates approved as part of the Change Proposal can only be changed via a further Change Proposal or via direction of the Authority, and subject to the normal requirements with respect to impact assessments, etc.

27 Release Management

27.1. The Code Manager shall set out a Release Plan for each release date which will detail, as a minimum:

(a) the plan for making updates to this Code as a result of Change Proposals approved for that release date, including details of when pre-release information will be published;

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(b) where changes are required to systems provided by a REC Service Provider, details of the Service Provider Test Plan set out by that REC Service Provider, including details of relevant Service Provider Test Phases and planned interactions with REC Service Users;

(c) where changes are required to systems maintained by the Code Manager (such as the REC Portal and Energy Market Architecture Repository), details of the Service Provider Test Plan set out by the Code Manager, including details of relevant Service Provider Test Phases and planned interactions with users of those systems;

(d) details of any new training or guidance requirements identified and the plan for delivery; and

(e) details of any planned communications and engagement with impacted Party's and stakeholders to support the delivery of the Release Plan.

27.2. Each REC Service Provider shall provide all relevant information required by the Code Manager to produce and publish the Release Plan. This includes:

(a) the REC Service Provider's plan for the design, build and testing of any changes to its Systems;

(b) the REC Service Provider's plan (referred to as a Service Provider Test Plan) detailing the proposed activities in testing and implementing changes to its Systems, including:

(i) Required Service Provider Test Phases and Test Environments;

(ii) planned timescales and schedules for each Service Provider Test Phase;

(iii) where relevant, confirmation that the plan aligns with the REC Test Strategy set out by the Code Manager;

(iv) entry and exit criteria for each Service Provider Test Phase;

(v) the approach to the use of Test Data in each Service Provider Test Phase;

(vi) details of key personnel relevant to the plan and associated roles and responsibilities;

(vii) any risks, issues, assumptions or dependencies identified in the development of the plan; and

(viii) the approach to managing defects identified in testing including associated

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acceptance criteria for resolving defects; and

(c) details of any restricted or confidential information in the Service Provider Test Plan that should not be shared with other REC Service Providers and/or REC Service Users as part of the Release Plan.

27.3. Each REC Service Provider shall take reasonable steps to deliver changes to its systems and processes in accordance with the Release Plan and shall notify the Code Manager, in a timely manner, of any risks, issues or dependencies that may impact its ability to deliver in accordance with the Release Plan.

27.4. The Code Manager shall publish the Release Plan (and any subsequent updates to that Release Plan) on the REC Portal.

27.5. Where a Change Proposal is approved for implementation on a date for which a Release Plan has already been published by the Code Manager, the Code Manager shall update the Release Plan and publish the updated version on the REC Portal.

28 Meter Product Data Change Proposal

28.1. The Code Manager shall publish a timetable for the submission, approval and implementation of MPD Change Proposals.

28.2. Any interested person may submit an MPD Change Proposal, regardless of whether or not they are a Party. Such submission should be made using the submission form published by the Code Manager on the REC Portal.

28.3. Upon receipt of an MPD Change Proposal, the Code Manager shall review the MPD Change Proposal and, within 5 Working Days either

(a) where the request is incomplete, insufficiently clear or outside the scope of an MPD Change Proposal, reject the MPD Change Proposal; or

(b) accept the MPD Change Proposal.

28.4. Where the Code Manager rejects an MPD Change Proposal, they may request additional information or supporting information required for this to be accepted and may accept the MPD Change Proposal on receipt of an updated submission.

28.5. Where the Code Manager accepts an MPD Change Proposal, this will be presented to the Responsible Sub-Committee (as set out in the REC Baseline Statement) at their next scheduled meeting. The Responsible Sub-Committee shall determine whether each MPD Change Proposal should be approved for implementation or rejected.

28.6. MPD Change Proposals approved by the Responsible Sub-Committee shall be

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implemented by the Code Manager in the next scheduled MPD Release, unless another more suitable date is agreed by the Responsible Sub-Committee.

28.7. The Code Manager will notify REC Parties of approved MPD Change Proposal.

29 Category 3 Product

29.1. All Category 3 Products shall be maintained by the Responsible Provider set out in the REC Baseline Statement.

29.2. Where a Responsible Provider makes a change to a Category 3 Product they are responsible for, they shall submit a Category 3 Change Proposal to the Code Manager. This shall, as a minimum, include:

(a) details of the proposed changes to the Category 3 Product and updated drafting;

(b) the reason for the change;

(c) the proposed implementation date for the change; and

(d) confirmation of whether a period of consultation is required prior to approval of the change.

29.3. On receipt of a Category 3 Change Proposal, the Code Manager shall within three Working Days or a mutually agreed upon date with the Responsible Provider review the proposed changes to determine that these are:

(a) clear, fully formed and do not require additional development or clarification;

(b) do not conflict with or contradict the obligations and processes set out in this Code;

(c) do not require changes to this Code that have not been approved;

(d) do not require changes to other Category 3 Products that have not been identified; and

(e) do not introduce or infer new or amended obligations on Party's or REC Service Providers, except where these apply exclusively within the scope of that Category 3 Product (e.g. amending a process or interface set out in that Category 3 Product).

29.4. Where the Code Manager is not satisfied that the criteria in Paragraph 29.3 has been met, it shall reject the Category 3 Change Proposal and inform the Responsible Provider of the reason for this.

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29.5. Where the Code Manager is satisfied that the criteria in Paragraph 29.3 has been met, it shall;

(a) accept the Category 3 Change Proposal;

(b) where requested by the Responsible Provider or where it determines a period of consultation is necessary to consider material impacts as a result of the change, consult with Parties and/or other relevant stakeholders on the proposed change;

(c) implement the new version of the Category 3 Product on the date agreed with the Responsible Provider; and

(d) notify Parties and/or REC Service Users of the updated Category 3 Product.

29.6. Where the Code Manager identifies the need for a new Category 3 Product to be added to the REC Baseline Statement, it shall consult with the proposed Responsible Provider prior to submitting a Category 3 Change Proposal to update the REC Baseline Statement.

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