
SCHEDULE XX

Change Management

Version: ~~0.4XX~~

Effective Date: ~~N/ATBC~~

Domestic Suppliers	Mandatory
Non-Domestic Suppliers	Mandatory
Gas Transporters	Mandatory
Distribution Network Operators	Mandatory
DCC	Mandatory

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

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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 Change Proposal made in accordance with the provisions of this REC Schedule.

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

1.31.4 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 will follow a process that is particular to its requirements, there are five stages to the process, as follows:

- (a) submission of the Change Proposal (see Paragraphs 7 and 8);
- (b) initial assessment of the Change Proposal (see Paragraphs 9 and 10);
- (c) only to the extent necessary, further development of the Change Proposal (Paragraph 11), impact assessment by Relevant Service Providers and/or Parties (Paragraphs 12 and/or 13), and/or consideration by the Cross Code Steering Group (Paragraph 14);
- (d) production of the Preliminary Change Report and consultation on such report (Paragraphs 18 and 19);
- (e) approval or rejection of the Change Proposal (see Paragraphs 20 to 22); and
- (f) implementation of the Change Proposal (see Paragraph 25).

~~2.2 A flow diagram giving an overview of the process is set out in Appendix 1.~~

2.32.2 The Change Panel is the primary body responsible for making the decision (or recommendation to the Authority) on most Change Proposals, but a Change Proposal that relates to one or more of the Schedules or documents identified as being the responsibility of a particular Sub-Committee as identified in Appendix 12 may be ~~determined~~decided upon by a majority vote of that Responsible Committee.

2.42.3 In the case of Category 3 operational documents, the role of the Responsible Committee may instead be delegated upon agreement of the Change Panel to an individual Service Provider. .

3 Establishing the Cross Code Steering Group

3.1 The Code Manager (in accordance with the REC Board's directions) shall establish, in conjunction with the code administrators of other Energy Codes, the Cross Code Steering Group to manage the interaction between this Code and other Energy Codes. As a minimum, this shall include representatives for the BSC and the UNC.

- 3.2 The Code Manager (in accordance with the REC Board's directions, and subject to the requirements of this Paragraph 3) 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 a potential change to one Energy Code is likely to require a parallel change to another Energy Code, determine which Energy Code is to be used as the lead-code for the change.
- 3.4 Where the Cross Code Steering Group determines that this 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, and 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.
- 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 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 subject to the timetable determined under the lead-code;
 - (b) the Change Panel or Responsible Committee's decision under Paragraph 20 shall not be a decision as to whether or not to approve the Change Proposal or as to whether or not to recommend approval to the Authority, and shall instead be treated as a recommendation under the lead-code; and
 - (c) the Change Proposal shall be approved if the change under the lead-code is approved, and rejected if the change under the lead-code is rejected (subject to any appeal mechanism under the lead-code).

4 Change Register

- 4.1 The Code Manager shall establish and maintain a register of all current and past Change Proposals from time to time (referred to as the Change Register).
- 4.2 The Code Manager shall determine the content of the Change Register in accordance with best practice, including as may be set out in the Code Administration Code of Practice.

- 4.3 Where submission of a Change Proposal is accepted under Paragraph 8, the Code Manager shall assign a unique identifier to the Change Proposal, and add 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, as further described in the Technical Specification.
- 5.2 The Code Manager shall maintain and update the Energy Market Architecture Repository to reflect and record the effect of any relevant ~~each~~ Change Proposal which is implemented, whether to this Code in accordance with this Schedule, or to any other Energy Code and 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 Administrators Code of Practice, which shall include:
- (a) assistance with the development of 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.

7 Submitting Change Proposals

- 7.1 Any interested person may submit a Change Proposal (referred to as a Proposer), regardless of whether or not they are a Party.
- 7.2 The Code Manager may prescribe what information will be required to support the Change Proposal, shall from time to time determine a prescribed form of Change Proposal in accordance with best practice and consistent with any requirements of the Code Administrators Code of Practice. The Code Manager shall set out the requirements and publish accompanying guidance on the submission and treatment of Change Proposals ~~the prescribed form~~ on the REC Portal.
- 7.3 Change App ~~Proposals will~~ shall be or must be submitted electronically via the REC Portal ~~a Change Proposal to the Code Manager using the prescribed form.~~

8 Acceptance of a Change Proposal's Submission

- 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 a Change Proposal if the Code Manager considers that one or 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 Change Proposal that has not yet been decided upon;
 - (c) the proposal concerns matters that are outside the scope of this Code; or
 - (d) the proposal has no reasonable prospect of being approved.
- 8.2 If the Code Manager refuses to accept submission of a 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, at its own volition or on the application of any person, overrule a decision by the Code Manager to refuse submission or progression ~~acceptance~~ of a Change Proposal's ~~submission~~.
- 8.4 Where submission of a Change Proposal is accepted by the Code Manager, the Code Manager shall refer the Change Proposal to the Cross Code Steering Group, so that the Cross Code Steering Group can consider the matters set out in Paragraph 3.3.
- 8.4.5 The Code Manager may revisit its consideration of a Change Proposal under this Paragraph further to new evidence or analysis coming to light, whether as a result of impact Assessment or otherwise. Notwithstanding its earlier acceptance of the Change Proposal, if the Code Manager reasonably believes that any of the criteria in Paragraphs 8.1(b)(c) or (d) now apply, it may determine that the Change Proposal should not progress any further and Paragraph 8.2 shall apply.-

9 Initial assessment

- 9.1 For each 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 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 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 appropriate Change Path.

Urgent Change Proposals

- 9.5 The Code Manager shall make the initial determination of whether a Change Proposal is to be an Urgent Change Proposal, based on the criteria for urgency published by the Authority from time to time.

Responsible Committee

- 9.6 The Code Manager shall make the initial determination of whether the Change Panel or a Responsible Committee is to make the decision for a Change Proposal under Paragraph 20, by reference to Appendix 2. Where a Change Proposal affects more than one part of this Code, and the different parts are identified in Appendix 2 as the responsibility of different bodies, 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 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 Change Proposal shall set out:

- (a) the timetable and priority of the Change Proposal;
- (b) whether the Change Proposal is:
 - (i) sufficiently developed and/or urgent to warrant it going straight to the Preliminary Change Report stage; 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 Relevant Service Providers;
- (c) whether the Change Proposal has cross-code impacts such that it needs to be progressed in conjunction with the Cross Code Steering Group; and
- (d) any and all other matters required by the Technical Specification.

- 9.9 In determining the prioritisation and timetable to be followed in respect of each Change Proposal, the Code Manager shall:

- (a) in the case of Authority Change Proposals and Urgent Change Proposals, determine a timetable consistent with any relevant timetable issued by the Authority; and
- (b) (subject to (a) above) determine a reasonable timetable, having regard to the Change Proposal's complexity, importance relative to other ongoing Change Proposals and time-sensitivity.

10 Initial Assessment Report

- 10.1 For each 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 providing the Change Panel with the proposed Change Proposal Plan.
- 10.2 Where a Change Proposal Plan provides for the Change Proposal to be referred to one or more Subject Matter Expert and/or provides for the Change Proposal to be referred to one or more Relevant Service Providers for an impact assessment, then the Code Manager shall also send the Change Proposal Plan to the REC Board highlighting the budgeted costs for such referrals.
- 10.3 The Code Manager's determination under Paragraph 9 of the applicable Change Path, urgency-status, Responsible Committee, and Change Proposal Plan shall be conclusive unless and until any contrary determination is made 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 Relevant Service Provider (but the Change Panel cannot overrule the REC Board or the Authority);
 - (c) the REC Board, in respect of plans to refer a Change Proposal to a Subject Matter Expert or to a Relevant 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 Relevant Service Provider.
- 10.4 The REC Board's input on plans to refer a Change Proposal to a Subject Matter Expert or to a Relevant 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 a Change Proposal where its Change Proposal Plan provides that further development of the 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 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 (subject to the Change Proposal Plan and the budget provided for in the Change Proposal Plan).

- 11.6 The Proposer shall retain ownership of the legal text of the 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 Change Proposal, the Code Manager may raise an Alternative Change Proposal.

12 Relevant Service Provider impact assessments

- 12.1 This Paragraph 12 only applies to a Change Proposal where its Change Proposal Plan provides that an impact assessment from one or more Relevant Service Providers is required.
- 12.2 The Code Manager shall commission an impact assessment from one or more of the Relevant Service Providers, in accordance with the Change Proposal Plan (subject to the budgetary constraints provided for in the Change Proposal Plan).
- 12.3 Where requested to do so by the Code Manager, each Relevant Service Provider shall, within 5 Working Days of a request, confirm whether the Relevant Service Provider considers that the Change Proposal would be likely to have an impact on the services it provides in its capacity as a Relevant Service Provider.
- 12.4 Where the Code Manager requests further assessment, the Relevant 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 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 Relevant Service Provider uses (or its sub-contractors use) to provide the services it provides in its capacity as a Relevant Service Provider which would be necessary as a result of the Change Proposal being approved.
- 12.5 The cost of producing the detailed impact assessment shall be invoiced by the service provider to the RECCo upon acceptance by the Code Manager of that impact assessment as being completed to an appropriate standard and in accordance with the agreed timetable and quote.
- 12.6 The performance of each Relevant Service Provider under this Paragraph 12 shall be subject to Performance Standards overseen by the PAB.
- 12.7 Where a Relevant Service Provider informs the Code Manager that the Relevant 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 Relevant Service Provider, then the Code Manager may procure an independent assessment. The Relevant 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 Relevant Service Provider would not have been paid under this Paragraph 12.

13 Party impact assessments

- 13.1 This Paragraph 13 only applies to a Change Proposal where its Change Proposal Plan provides that an impact assessment from the Parties (or one or more classes of Party) is required.

- 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 a Change Proposal 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 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 Relevant 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 a Change Proposal in accordance with the Change Proposal Plan applying to that Change Proposal.

16 Withdrawing Change Proposals

- 16.1 The Proposer may withdraw support for a 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 Change Proposal and shall update the Change Register accordingly.
- 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 Change Proposal, that individual or organisation shall become the Proposer for the Change Proposal. The Code Manager may also choose to adopt a Change Proposal that would otherwise be withdrawn.
- 16.4 Unless adopted under Paragraph 16.3, the Change Proposal shall be withdrawn on the expiry of the notice period under that paragraph.
- 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.

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 following:
- (a) an Alternative Change Proposal must be raised 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);

- (b) the Code Manager may refuse a proposed Alternative Change Proposal on the same grounds as apply to 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 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 Change Proposal and/or its existing Alternative Change Proposals.
- 17.2 There is no restriction on the number of Alternative Change Proposals that can be raised in relation to a Change Proposal.
- 17.3 Refusal as an Alternative Change Proposal does not prevent the proposer submitting a new Change Proposal.
- 17.4 Each Alternative Change Proposal shall be subject to the same process as apply to the 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 The decision of the Change Panel or Responsible 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 Change Panel or Responsible Committee.

18 Preliminary Change Report

- 18.1 Save for those exceptional circumstances to which Paragraphs 11, 12, 13 and/or 14 apply, Change Proposals will progress from their initial assessment under Paragraphs 9 and 10 to the Preliminary Change Report phase (as described in this Paragraph 18).
- 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;
 - (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 Relevant 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, Relevant 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 Change Panel or Responsible Committee

- 20.1 In respect of each Final Change Report, the Code Manager shall arrange for the Change Panel or relevant Responsible Committee (as applicable) to ~~determine~~ decide whether or not the Change Proposal should be approved.
- 20.2 The Change Panel or relevant Responsible Committee (as applicable) shall make its ~~determination~~ decision in respect of each Change Proposal based on whether:
 - (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 Change Panel or relevant Responsible Committee (as applicable) must record the reason for ~~its~~ ~~their~~ ~~determination~~ ~~decision~~ (based on the criteria above) and if applicable, for its divergence from the Code Manager's recommendation.

21 Approval or rejection of a Change Proposal

- 21.1 The effect of the ~~determination~~ decision 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.

22 Appeal of Self-Governance Changes

22.1 Any Party that disagrees with 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 ~~22.1~~ Furthermore, 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 appealed to the Authority unless the Code Manager considers that the reasons provided by the Change Panel or relevant Responsible 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.

22.3 ~~22.2~~ For each decision appealed to the Authority under Paragraph 22.1, 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 ~~22.3~~ 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 that the Authority considers to fall within the scope of that Significant Code Review (and 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

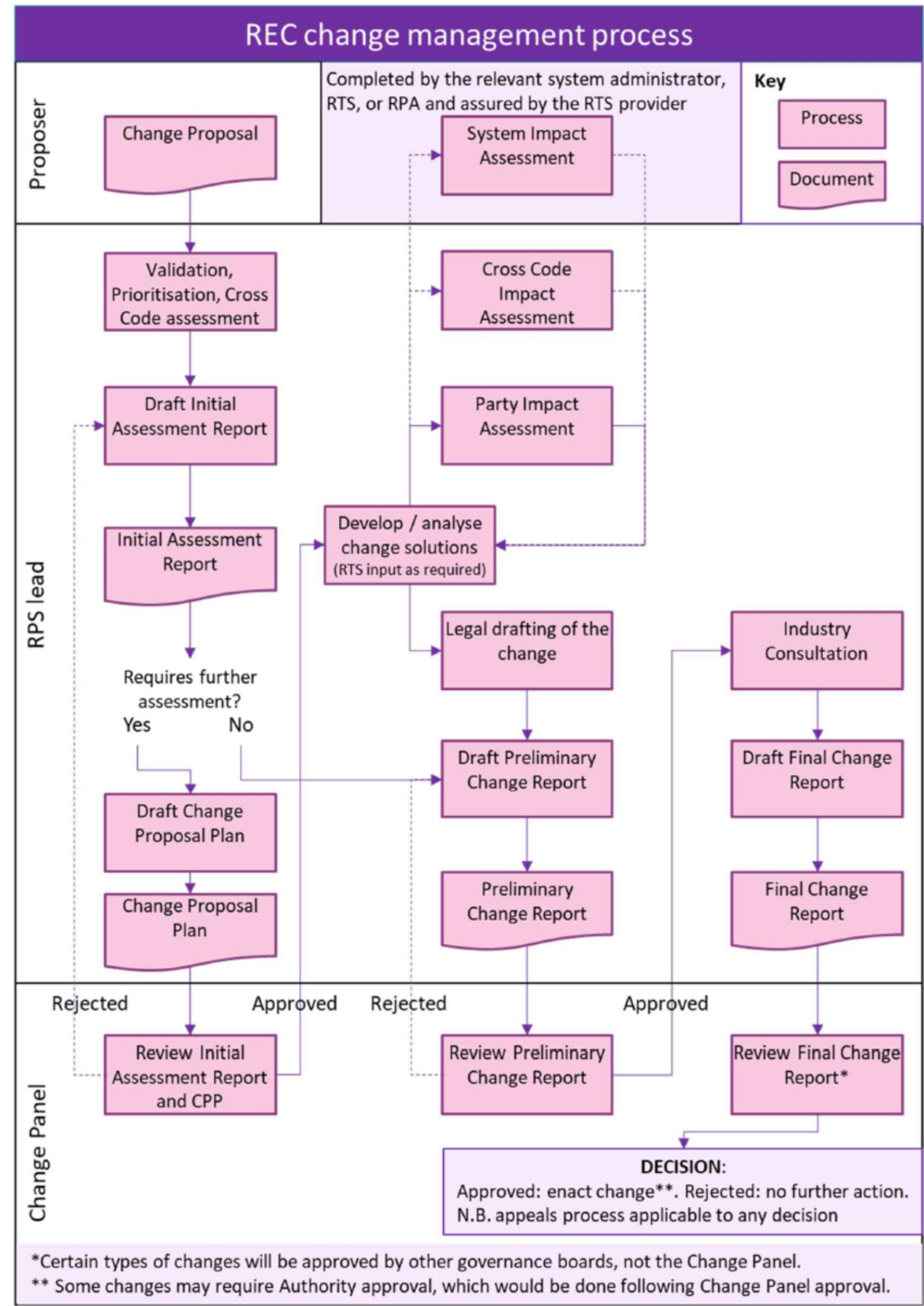
- 24.1 It is unlikely that RECCo's Articles of Association (as set out in the Company Governance Schedule) will need to be amended. However, where they do need to be amended this will require approval of RECCo's shareholders.
- 24.2 In such cases, where the Change Proposal is approved, the Code Manager 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 Implementation

- 25.1 Change Proposals that are approved in accordance with Paragraphs 21 and 22 (or in accordance with another Energy Code where Paragraph 3.5 applies) shall be implemented by the Code Manager.
- 25.2 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.
- 25.3 These release dates will be consistent with, but not necessarily be limited to, the scheduled release dates of revisions to the Relevant 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.
- 25.4 Urgent changes may be given effect outside of the scheduled release dates for System updates, and the Relevant Service Providers shall comply with the implementation date approved as part of the Change Proposal.
- 25.5 The implementation of changes to this Code that necessitate System changes shall be subject to successful testing of those System changes.
- 25.6 The implementation dates approved as part of the Change Proposal can only be changed via a further Change Proposal, and subject to the normal requirements with respect to impact assessments, etc.

Appendix 1—Flow Diagram of Change Process

The Code Manager will fulfil different roles under the Change Process; e.g. the diagram below distinguishes between the REC Professional Services (RPS) which will look after the bulk of the change process and the REC Technical Services (RTS) who may undertake or procure assessment of systems impacts, though this distinction will not be visible to REC Parties who will receive a seamless ‘Code Manager’ service.



Appendix 21 – Responsible Committees

[The table below is currently indication of the suite of document which will form the REC Baseline and the relevant Responsible Committee – a reduced version of this table showing only the documents that are in effect as part of REC v1.1 such as those relating to the performance assurance framework will be provided as part of that release. The full table will be populated for REC v2.0 release]

Document Type	Document Title	Responsible Committee / Service Provider	Category
Technical Specification			
Data Specification	Data Item Catalogue	Technical Group for REC owned metadata	2
Data Specification	Message Catalogue	Technical Group for REC owned metadata	2
Data Specification	Interaction Sequence Diagrams	Technical Group	2
Data Specification	End-to-End Process Diagrams	Technical Group	2
Testing Specification	Joint BSC and REC Storyboards	REC and BSC PAB	2
Testing Specification	Environment Specification	Technical Group	2
Testing Specification	Self-Assessment Form	PAB	2
Service Specification	Central Switching Service Definition	Technical Group	2
Service Specification	Switching Operator Service Definition	Technical Group	2
Service Specification	Gas Retail Data Service Definition	Technical Group	2
Service Specification	Electricity Retail Data Service Definition	Technical Group	2
Service Specification	Gas Enquiry Service Definition	Technical Group	2
Service Specification	Electricity Enquiry Service Definition	Technical Group	2
Service Specification	Theft Risk Assessment Service Definition	Technical Group	2
Service Specification	Energy Theft Tip Off Service Definition	Technical Group	2
Service Specification	Central Data Service Provider Third Party REC Services Service Definition	Technical Group	2
Service Specification	Electricity Additional Services	Technical Group	2
Service Specification	Secure Communications Service Definition	Technical Group	2
Service Specification	Metering Agent Auditor Service Definition	Metering Group	2
Service Specification	Meter Adjudicator Service Definition	Metering Group	2
Service Specification	Smart Metering Installation Auditor Service Definition	Technical Group	2
Service Specification	Green Deal Charging Database Service Definition	Green Deal Group	2
Service Specification	Data Access Audit Service (Enquiry Services, CSS, TRAS etc.)	PAB	2
REC Governance Documents			
ToR	Performance Assurance Board ToR	RECCo Board	2
RECCo Governance	Schedule 4: Company Governance	RECCo Board	2
Operational Documents			
Entry Assessment	Entry Assessment Application Form	Code Manager	3
Entry Assessment	Entry Assessment Information Pack	Code Manager	3