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# Change Management

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## SCHEDULE 5

### Change Management

Version: 2.0

Effective Date:

1 September 2021

<a href="#">Domestic Suppliers</a>	<a href="#">Mandatory</a>
<a href="#">Non-Domestic Suppliers</a>	<a href="#">Mandatory</a>
<a href="#">Gas Transporters</a>	<a href="#">Mandatory</a>
<a href="#">Distribution Network Operators</a>	<a href="#">Mandatory</a>
<a href="#">DCC</a>	<a href="#">Mandatory</a>
<a href="#">Metering Equipment Managers</a>	<a href="#">Mandatory</a>
<a href="#">Non-Party REC Service Users</a>	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

## 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 [Proposer](#) 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 [Proposer](#)'s intention and/or the [REC Objectives](#) more generally.
- 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](#) 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](#) (Paragraphs 7 and 8);
  - (b) initial assessment of the [Change Proposal](#) (Paragraphs 9 and 10);
  - (c) only to the extent necessary, further development of the [Change Proposal](#) (Paragraph 11), impact assessment by [REC 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](#) (Paragraphs 20 to 22); and
  - (f) implementation of the [Change Proposal](#) (Paragraph 25).
- 2.2. 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 the REC baseline may be determined by a majority vote of that [Responsible Committee](#).
- 2.3. 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 the [Code Manager](#) or another individual [REC 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](#).

- 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:
- (a) the [Code Manager](#) shall progress the [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-clause, 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 [Change Panel](#) or [Responsible 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 variation to the lead code is approved in accordance with the lead [Energy Code](#); and
- (d) if the variation 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](#).

#### 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 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 [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](#), 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 [Change Proposals](#), on the [REC Portal](#).

7.3. [Change Proposals](#) shall be submitted electronically via the [REC Portal](#).

## 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 of a [Change Proposal](#).
- 8.4. Where submission of a [Change Proposal](#) is accepted by the [Code Manager](#), unless it is patently clear that the scope of the proposal is limited to the provisions of this [Code](#), 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.
- 8.5. The [Code Manager](#) may revisit its consideration of a [Change Proposal](#) under this Paragraph 8 further to new evidence or analysis coming to light, whether as a result of an 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, the [Code Manager](#) 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 Proposal](#)s 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 [REC 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 Experts](#) and/or provides for the [Change Proposal](#) to be referred to one or more [REC 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 [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 a [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 a [Change Proposal](#) 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 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 control 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 [REC 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 [REC Service Providers](#) is required.
- 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](#)).
- 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](#) 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](#) 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](#) being approved.
- 12.5. The cost of producing the detailed impact assessment shall be invoiced by the [REC Service Provider](#) to [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 [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..

### 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 [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 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 applies 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 [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 [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 whether to approve the [Change Proposal](#). Change Proposals that are not approved are deemed rejected.
- 20.2. The [Change Panel](#) or relevant [Responsible Committee](#) (as applicable) shall make its determination 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 determination (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 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](#) 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 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 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 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 [REC Service Provider's System](#)s. 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 [REC 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](#) or via direction of the [Authority](#), and subject to the normal requirements with respect to impact assessments, etc.