REC Change Process

A User Guide last updated in November 2024

RETAIL ENERGY CODE





Welcome

Welcome to the REC user guide.

This document will provide you with key information related to the REC Change Management processes. We will help you understand how to use the REC Portal and how to access, review and create Change Management documentation.

The REC Change Management process is the mechanism that enables the REC (and its schedules, subsidiary documents and systems) to evolve over time.

An effective Change Management process is critical for allowing us to ensure that the REC arrangements continue to meet the constantly changing requirements of the consumer and the industry.

We continuously improve our processes based on stakeholder feedback and preferences and your responses provide valuable industry insight.



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Principles of the REC Change Process

Where we explore the fundamental principles that underpin how we manage change



The REC change process is a key step-change in the management of industry changes.

The REC Code Manager models' best practice for Change Management delivering industry driven change whilst utilising stakeholder working groups, where appropriate, to shape and develop solutions to any identified Issues. The REC Code Manager is responsible for the detailed analysis, solution design and requirement specification for all Issues and Change Proposals.

The Code Manager is empowered and responsible for delivering a strategic programme of change to the industry, proactively raising Issues or Change Proposals, and prioritising the change agenda to deliver an innovative, transparent and effective Change Process that focuses on consumer outcomes.

The Code Manager is responsible for operating a fair and transparent Change Process for all stakeholders - ensuring that consumer outcomes are at the heart of the process. They replace many of the roles traditionally provided by industry panels or working groups in the Change Process, including:

- Providing detailed REC and industry system understanding - supporting the process through expert knowledge of how systems operate
- Planning and prioritising the change agenda - determining when Issues should be progressed based on industry priorities
- Proactively raising Issues or Changes to address known Issues, driving change to facilitate the REC objectives and strategy
- Defining the activities and timetable for progressing changes.
- Detailed analysis, solution design and requirement specification
- Commissioning Impact Assessments to identify costs and impacts on parties, Service Providers and wider stakeholders
- Cost-benefit analysis - developing the case for change and assessment against the REC objectives
- Making formal and independent recommendations on whether an Issue should be progressed and if a Change Proposal should be approved or rejected
- Release management - driving technical assurance and readiness activities with REC Service Providers, updating the digital REC and providing help and assistance to parties implementing change
- Co-ordinating testing between market participants and Service Providers

The Code Manager acts as a critical friend working collaboratively with proposers to identify the most appropriate way of resolving any Issues that are raised.

The Code Manager will ensure that the best solution meets the needs for the market and the Consumer. Where the Code Manager disagrees with a solution brought forward by a Proposer, they may take one or both of the following steps:

- Recommend the rejection of the Issue or Change Proposal to the Responsible Committee (based on the evidence collected, following full assessment of the solution)

- Propose alternative solutions they feel are more appropriate, and better address the problem statement

The recommendation of the Code Manager will be subject to wider industry consultation, prior to being confirmed in the Change Report Issued to the Responsible Committee for decision.

In the event the Responsible Committee disagrees with the Code Manager's Recommendation, and votes against this, the Change Proposal will be appealed and sent to the Authority for determination unless there are circumstances where the Code Manager overturns its previous recommendation.



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REC Change Planning

Where we explore the tools that we use to plan change, and how you can interact with them

The process for planning REC Issues and change is multi-faceted, incorporating tools and techniques to ensure that optimal decisions are made for consumers and industry parties.

This section of the User Guide covers tools and techniques that are central to our approach, and where you can find information about them on the REC Portal.

Learn more about:

- The Change Calendar
- The Change Register
- The Prioritisation Matrix
- The Release Schedule
- The Codes Roadmap
- The REC Baseline Statement



Paul Witton-Dauris is our Head of Change

VISIT THE PORTAL TO SIGN UP

The Change Calendar sets out the key dates for REC Change Management activities.

Key dates include:

- Dates for each scheduled Change Panel meeting
- Publication date for meeting papers associated with Change Panel meetings

While the publication dates will be met for the majority of Issues or Change Proposals, these are not an absolute timescale.

In cases where the initial assessment is completed sooner than planned, the Issue or Change Proposal may be brought to an earlier Change Panel meeting.
Likewise, particularly Complex Issues or Change Proposals may require a longer period of assessment.

Proposers will be updated on the expected timescales for progression.



Publication of Meeting Papers	Change Panel meeting date
10/12/2024	17/12/2024
26/11/2024	03/12/2024
12/11/2024	19/11/2024
08/10/2024	15/10/2024
29/10/2024	05/11/2024

An excerpt from the Change Calendar on the REC Portal

The Change Calendar is accessible through the 'Change and Release' area of the REC Portal.

It's updated by the Code Manager as required and - at the very least - on an annual basis.

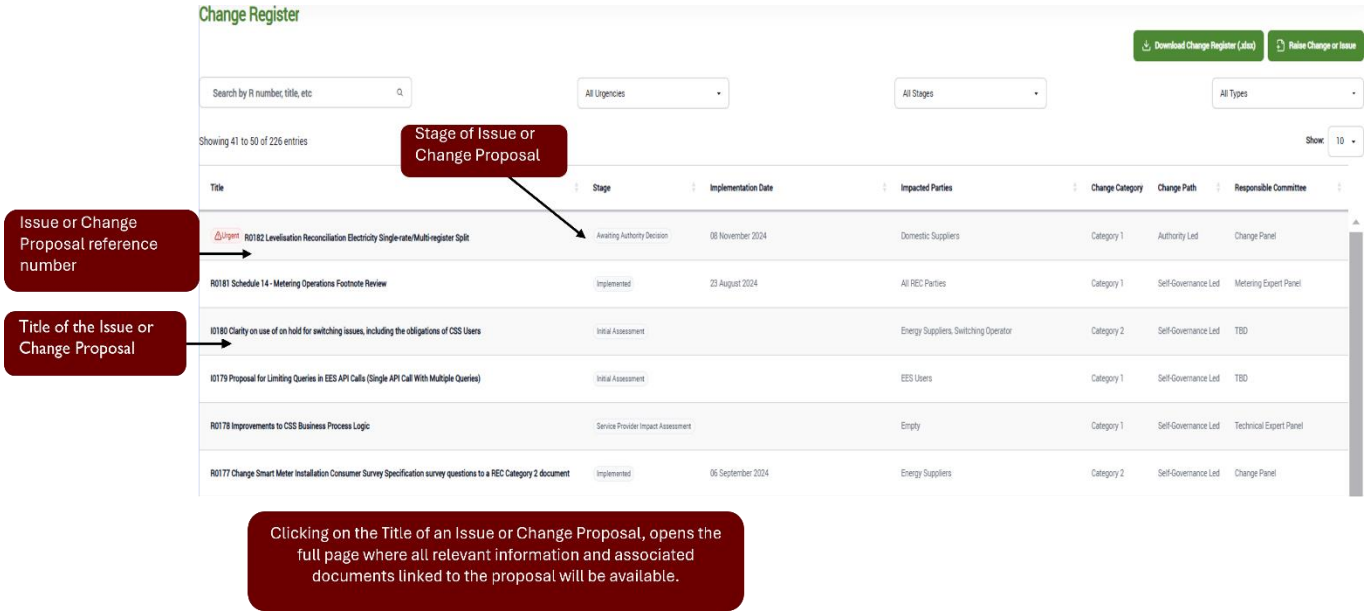
CHANGE CALENDAR

The Change Register gives you an overview of all Issues or Change Proposals - both historic and current.

The Change Register is accessible through the 'Change and Release' area of the REC Portal and allows you to search and filter Issues or Change Proposals using the following criteria.

- Differentiate between Issue and Change Proposal
- Issue or Change Proposal/ title
- Issue/ Change Proposal status
- Planned implementation date
- Impacted Parties
- Change Category
- Change Path

Navigating the Change Register



The Change Register is updated when a new Issue/Change Proposal form has been submitted and accepted, and the associated Issue or Change Proposal page has been created.

The Prioritisation Matrix determines the Priority Status that is assigned to each Issue or Change Proposal based on a combination of factors including significance and urgency.

Prioritisation allows for focus on resolving more significant Issues and delivering changes that offer the most benefit. This means a more strategic and beneficial programme of change, delivering greater benefits to industry and consumers.

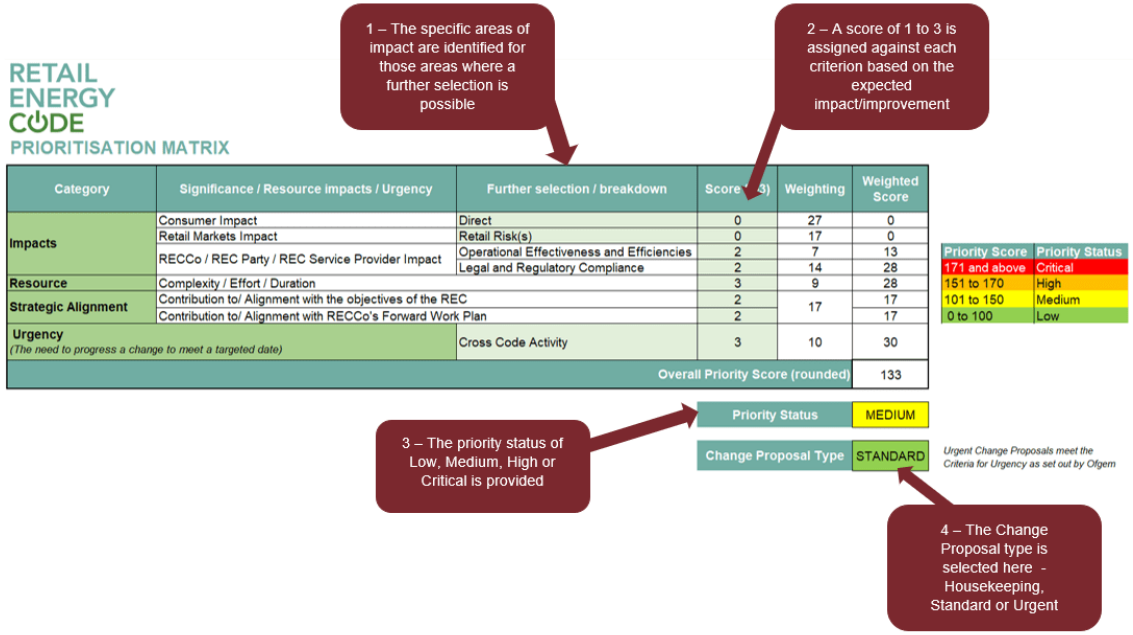
The Priority Status does not establish <u>if</u> an Issue or Change Proposal will be progressed, but <u>when</u>. This is determined by the Code Manager during the assessment of the Issue or Change Proposal, based on the current priorities for the REC.

The Prioritisation Matrix is maintained by the Code Manager. We adapt it as improvements are identified and REC priorities evolve. Changes

are made in consultation with the Change Panel and RECCo.



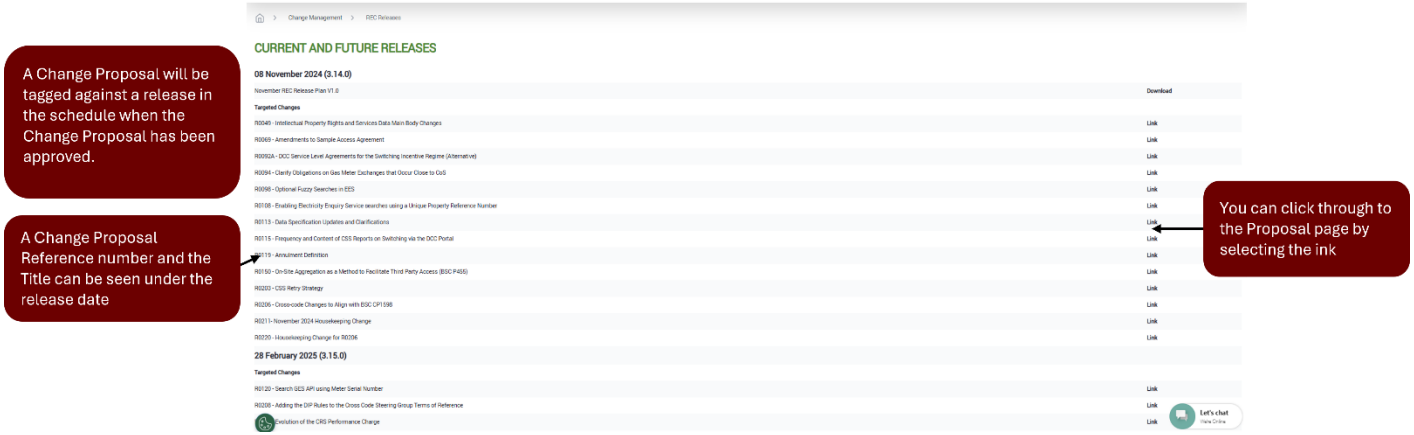
Understanding the Prioritisation Matrix



The Release Schedule shows all the planned dates for upcoming changes to the REC.

Change Proposals will be included in the Release Schedule against a specific Release once they have been approved for implementation by the Responsible Committee or the Authority.

You will be able to click on a Change Proposal and be taken to the individual Change Proposal Page, where full details of the change can be viewed.



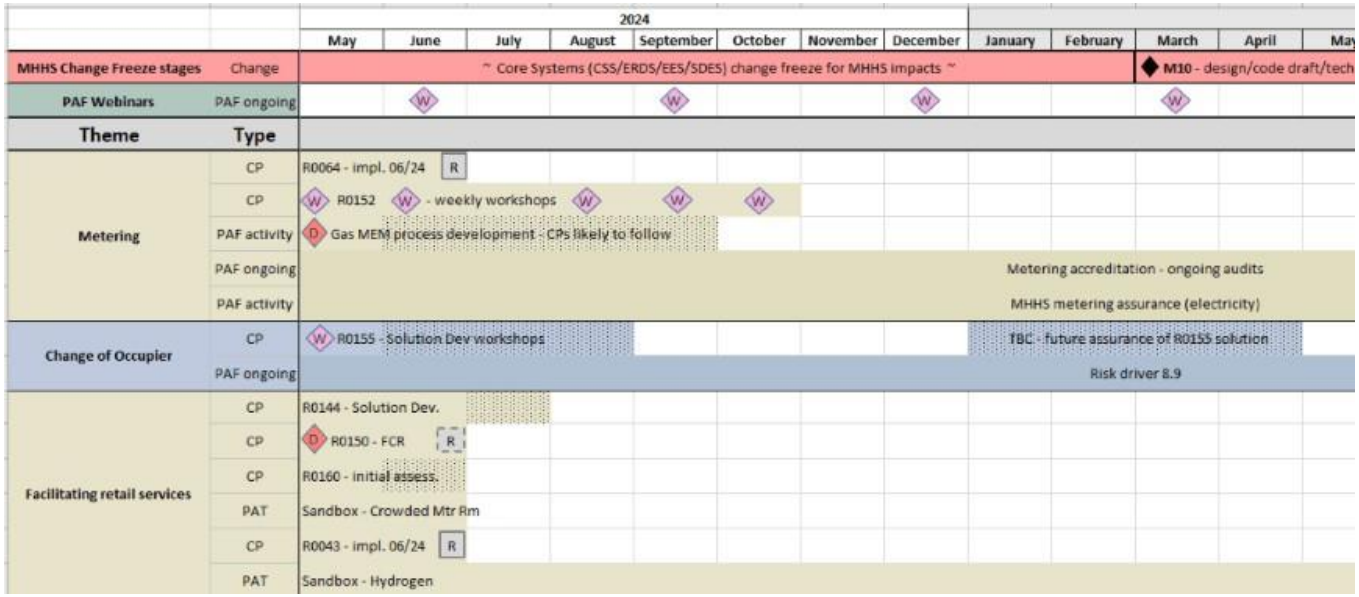
Navigating the Release Schedule

The Code Roadmap will provide a plan for the evolution and development of the REC over the short, medium, and longer term.

The REC Code Roadmap provides a view of active REC Issues or Changes, as well as information about Code Manager activities that are likely to, or may, lead to a change.

Published on the Digital REC and Data Specification, the roadmap presents the main themes of activity and a timeline including the points at which you can input and when decisions / releases are due.

The Roadmap can support change planning and prioritisation, with a wider view of the known and potential change portfolio under the REC.



The Code Roadmap

The REC Baseline Statement defines a categorisation status for all REC code documents.

Changes to Category 3 documents are managed separately from other changes, so it's important to understand the difference.

Category 1 documents are commonly those that cover market participant obligations and overarching REC governance. This includes the Main Body of the REC, and the REC Schedules.

Category 2 documents include those defining Service Provider obligations and technical content, including Service and Data Specifications, and some operational documents.

Category 3 documents tend to cover non-mandatory guidance, subsidiary operational documents and the Electricity and Gas Data Access Matrices. This category also includes some Code Manager content, including certain user guides and templates which support Code Manager services.

Only changes to Category 1 and 2 documents are covered by the Change Management process set out in the Change Management Schedule. These are also the only Issues or Change Proposals captured in the Change Register and Release Schedule.

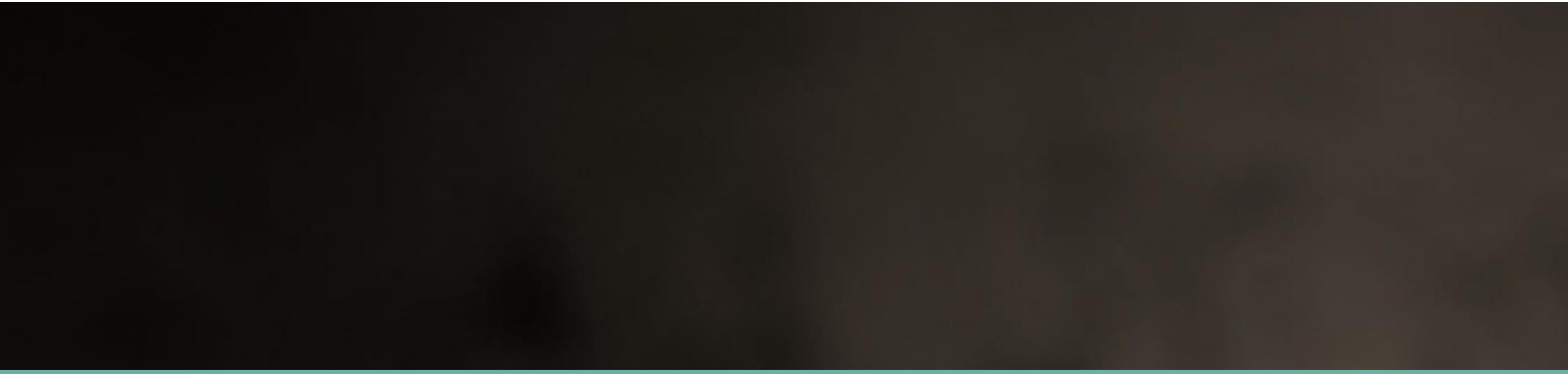
Any Issue or Change Proposal that proposes changes to a Category 1 document in the REC Baseline Statement will be categorised as a 'Category 1 Issue or Change Proposal'. Any Issue or Change Proposal that only impacts Category 2 documents will be categorised as a 'Category 2 Issue or Change Proposal'. This does not have any relevance to the materiality of the Change Proposal, and is only relevant to the version number of the REC for the release it is implemented in.

Changes to Category 3 documents should not materially impact REC Parties and stakeholders. As a result, these documents are maintained by the relevant Service Provider or REC Committee and do not require a formal Change Proposal.

The Category 3 Change Log records all changes made to Category 3 documents and is accessible to all REC Portal users. When a change to a Category 3 document is agreed and approved the relevant documents will be updated to the REC Portal by the Change Management Team.

You can receive email updates related to all Issues or Change Proposals each Friday, by subscribing to the Weekly Change Bulletin.

SUBSCRIBE TO THE CHANGE BULLETIN



Understanding the Change Management Process

Where we explore the individual elements of the change process and how you might expect to engage



The end-to-end REC Change Management process is defined within the Change Management Schedule to the REC.

It sets out the path that an Issue or Change Proposal takes - from the raising of an Issue or Change Proposal to decisions on implementation. It identifies the various opportunities for interested stakeholders to contribute to the progression of Issues and Changes. It also details the obligations of the Code Manager at each stage of the process.

In this section, we will guide you through each element of the process, providing an explanation of the various activities, how you can find information, and guide you to help you engage in the process yourself.

- How do I submit an Issue or Change Proposal?
- How does the Code Manager validate an Issue or Change Proposal?
- How do I view information related to an Issue or Change Proposal?
- How are impacts to other codes assessed?
- What is the Initial Assessment process?
- What is Solution Development?
- What is the Impact Assessment process?
- What is the Code Manager Recommendation?
- What is the role of the Responsible Committee?
- What is the process for Consultation?
- What is a Change Report?
- What is the process for raising an appeal?
- What does it mean when an Issue or Change Proposal is Withdrawn?
- What is an Alternative Change Proposal?
- What is a Housekeeping Change Proposal?
- What is the Category 3 Change Process?

Do you have a question about the Change Management process that isn't addressed in this User Guide?
Email Service Desk

Submitting an Issue or Change Proposal

Any interested person, stakeholder, REC Party or the Code Manager can submit a REC Issue or Change Proposal.

What is a REC Issue?
An Issue is a problem that affects the rules or principles of the REC. It can be related to the legal, regulatory, or policy aspects of the code. An Issue may ultimately require a change to the code itself, such as a modification, an addition, or a deletion of the code text.

When you raise an Issue, it will be reviewed by the REC Change Team. They will verify the Issue and advise you of the next steps. If a REC Code Issue is accepted it may be progressed through solution development to a REC Change Proposal.

What is a REC Change Proposal?
A REC Change is a problem or a concern that you encounter while operating under the REC which has a developed solution and is ready to be progressed. It can be related to the technical, operational, or governance aspects of the code.

We'd welcome a conversation with you before you decide to raise an Issue or Change Proposal. We can help you decide whether an Issue or Change Proposal is the right route for resolution

Send us an email or raise a Service Desk ticket, we'll get back to you no later than the next working day.

Decided to go ahead and raise an Issue or Change Proposal?

Great! You can do this directly through the REC Portal by completing a REC Issue or a Change Proposal form. This is accessed through the 'Change and Release' page. This will lead you through the stages of raising an Issue or Change Proposal, detailing the information we will need from you.

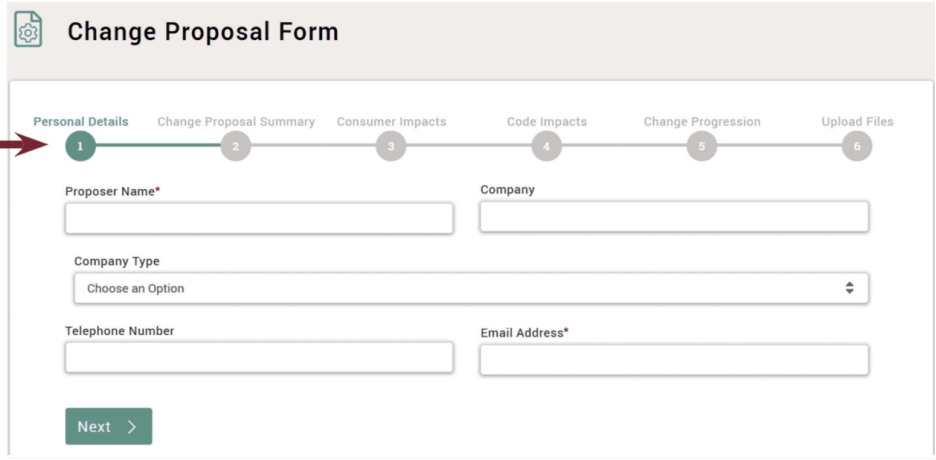
As you complete the form, it automatically saves as you go. If you start to complete a form but do not complete it, your part-completed form will be saved and available when you later return.

When you're ready to submit, the Portal will check that all mandatory information has been included, and alert you if anything is missing. You won't be able to submit without all mandatory information being completed.

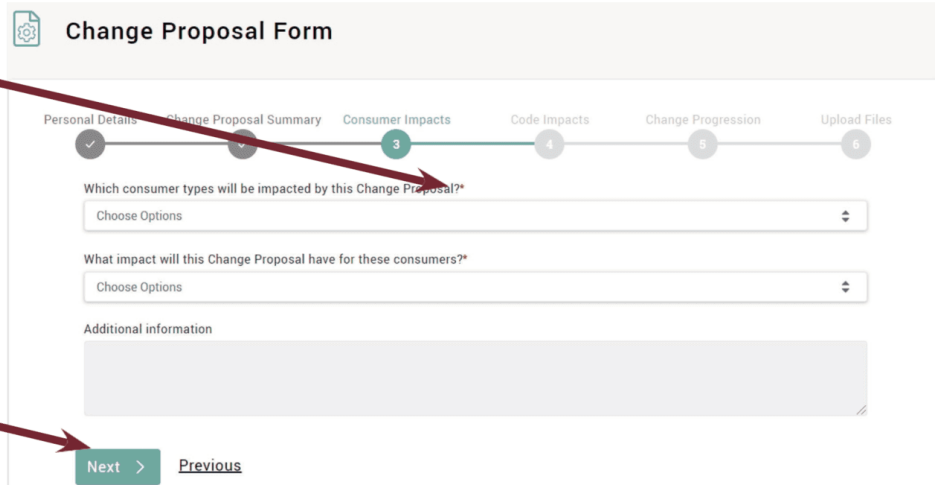
RAISE A SERVICE DESK TICKET

EMAIL THE SERVICE DESK

The Change Proposal form is made up of six tabs.



The pages consist of either mandatory or optional questions. (* denotes a mandatory question)



Work your way through the form, navigating with the 'Next' and 'Previous' buttons before Submitting.

After you have successfully submitted your Issue or Change Proposal you will receive an automatic confirmation that it's been received for review by the Change Management Team.

Read on to learn about what happens next, as the Code Manager validates the submission.

Code Manager Verification

Once you have submitted a new Issue or Change Proposal, the Code Manager will review and validate it.

The Code Manager may reject your Issue or Change Proposal for the reasons outlined below:

- is incomplete or insufficiently clear
- the Issue it seeks to address is not materially different from (or could appropriately form part of) another Issue or Change Proposal that has not yet been decided upon
- relates to matters that are outside the scope of the REC
- has no reasonable prospect of being approved

We will consider whether the Issue is something that needs an Issue or Change Proposal to resolve, or whether it could be better addressed by another method such as additional training.

You will be notified of our decision to accept or reject the Issue or Change Proposal within five working days. If we need longer, we will inform you of the timeline and our reasons for the extension.

You will be notified via the REC Portal of the Code Managers decision on whether we have accepted or rejected your Issue or Change Proposal. Keep an eye on the bell icon in the top right corner. If we reject it, we'll also send you an email to explain why.

Once we've accepted your Issue or Change Proposal, we give it a reference number and create an Issue or Change Proposal page to hold the relevant information.

This page is accessible through the Change Register on the REC Portal.

It's at this point that we will identify if changes should be progressed as a Housekeeping Change Proposal. You can find out more about Housekeeping Change Proposals later in the guide.

If we reject your Issue or Change Proposal, in addition to letting you know we will also inform the Change Panel. It will be added to the next Change Panel meeting agenda.

You may query the reason for rejection by contacting the Code Manager. You may also contact the Change Panel directly by raising a dispute.

The Change Panel will consider whether the Code Manager was right to reject it. They will decide to either overturn the decision of the Code Manager or to uphold the rejection.

If our decision to reject is overturned, the Issue or Change Proposal will be recorded as accepted and the process will continue.

Issue or Change Proposal Page

The Issue or Change Proposal Page is where you can find all the information related to an Issue or Change Proposal in one handy place on the REC Portal.

You can access the Issue or Change Proposal Pages by navigating through the Change Register or using the Portal's search function.

Click on the image overleaf to view an example Issue or Change Proposal Page. All Issues or Change Proposal Pages contain key information including:

- A progress bar
- Title
- Assigned reference number
  Proposer name/organisation
- Lead Change Analyst details
- Latest update
- Summary
- Problem Statement
- Current status
- Change Path (Self-Governance or Authority Determined change)
- Responsible Committee
- Implementation date (once known)
- Priority Score and Status
- Urgency
- Impacted Fuel
- Any accompanying documents and related links/documents

Change Issue Group

The Change Issues Group is a forum established by the REC Code Manager.

The group is a place in order to allow the Code Manager to discuss REC Issues that are raised to them. The group will be asked to input into the Issue resolution which may progress into a REC Change Proposal or be resolved through updated or new guidance. The Change Issues Group supports the Code Manager activity by sharing knowledge, best practice, and advice and involves a wide participation of stakeholders, offering them another route to contribute to the Change Process under the code.

All REC Parties are invited to attend meetings of the Change Issues Group and interested non-REC Parties can come along at the invitation of the Chair.

Purpose

- Input into Code Issues
- Shape and develop solutions and/or Issue Resolution
- Support the Code Manager by sharing knowledge, best practice, advice
- Provides stakeholders an engagement route into the REC Change Process

Frequency

- First Thursday of the month (minimum)

Questions about this Group?

Contact the Code Manager by emailing enquiries@recmanager.co.uk. We're always happy to answer your questions.



Cross-Code Collaboration

We are committed to delivering effective cross-code working with our colleagues across the industry and have arrangements in place to ensure that cross-code impacts are identified early in the process.

It is one of the core principles of the Code Administration Code of Practice (CACoP) that we have designed our processes to support.

All Issues or Change Proposals are referred to the Cross- Code Steering Group (CCSG) during assessment, so other code bodies can assess if there may be impacts on their code.

Where an Issue or Change Proposal is expected to impact both the REC and another code (or codes), the CCSG will determine which code is likely to be most affected and which code should lead on the development of the Issue or Change Proposal as the Lead Code.

The Lead Code is responsible for leading the development of the Issue or proposal, the development plan and the impact assessment and ensuring that the views of different code parties and Service Providers are represented in decision making process. They will also be responsible for the eventual approval or rejection of the Change Proposals to their code and other codes, with other code body decisions acting as a recommendation to the Lead Code.

Where the REC is the Lead Code in relation to an Issue or Change Proposal, the Change Report will include the plan for identifying the impacts to other code parties and Service Providers as well as its own.

Where another code is the Lead Code, the Code Manager will align the Issue or Change Proposal Plan with the timetable set by the Lead Code and co-ordinate any REC Impact Assessments with that timetable.



LEARN MORE ABOUT WIDER INDUSTRY CODES:

CLICK HERE TO VISIT THE CACoP WEBSITE

Assessment

Once an Issue or Change Proposal has been accepted, we assign it to a Lead Analyst who is responsible for coordinating the Code Manager initial assessment. If there are significant impacts to areas involving REC Technical Services or REC Performance Assurance, we may also nominate a Technical Lead and/or Assurance Lead to be named on the Issue or Change Proposal page as a further point of contact.

The Lead Analyst will be the main point of contact for the Issue or Change Proposal as it progresses through the Change Management process. You can find their contact details on the relevant Issue or Change Proposal page.

The Lead Analyst has a wide range of responsibilities with respect to each Issue or Change Proposal:

They help to assess wider impacts to the REC ecosystem: impacts to the Performance Assurance Framework, Portal, EMAR

They define a problem statement, setting out the problem the Issue or Change Proposal is attempting to address

They help to define a set of solution requirements that need to be met to achieve success

They assess the impacts to REC Products, Parties, Service Providers, stakeholders and Consumers

They define which committee will be the Responsible Committee for approval of the Issue or Change Proposal



Change Report – Proposal Plan

The Change Report is an evolving document which will be updated with key information as an Issue or change progresses.

There are four key stages of publication of a Change Report. These are:

- Proposal Plan
- Impact Assessment
- Consultation
- Final Recommendation

Proposal Plan

The Plan sets out the proposed timetable for the Issue or Change Proposal (and whether it is sufficiently developed to proceed straight to Consultation, or in need of further development/ impact assessment). The plan may also contain:

- Document Version
- Responsible Committee
- Change Path
- Priority Status and Urgency
- Code Manager points of Contact
- Background and Summary
- *Appendix*
- *Glossary*
- *Risks, Assumptions, Issues, and Dependencies*

The Change Report is published on the REC Portal before it is presented for ratification to the Change Panel.

We invite stakeholders to comment on the Change Reports we publish. Subscribe to our Weekly Change Bulletins to be notified when new reports are published.

This will provide you with an opportunity to comment on the assessment and recommendations in the report ahead of the Change Panel or Committee meeting. General support or objection to the Change Proposal or a particular solution will not be relevant to the decision of the Change Panel at this stage.

You will have a defined timeframe for adding comments on a report via the REC Portal. After this window has closed you will no longer be able to add comments.

The Change Panel will review the Change Report and Plan and any comments to determine whether to approve the progression of the Issue/Change Proposal as proposed. This includes consideration of the suggested activities and approach in the Plan, as well the Change Path, Responsible Committee and Priority Status.
Following approval, the Proposal Page is updated with key information, activities, and milestones.

Definition

Where a proposal does not have a developed solution, it will go through the Definition stage of the process. This may include the following activities:

- Solution Development
- Party Impact Assessment/ Request for Information
- Service Provider Impact Assessment
- Legal Review
- Workshops

Solution Development

A Solution Lead will be assigned from the Code Manager: someone with the right skills and expertise for the job.

The approach and timeline for Solution Development is set out in the Proposal Plan. This can include engagement with REC Committees, RECCo, Subject Matter Experts, and other expert groups. The engagement and involvement in developing a solution for an Issue or Change Proposal is defined on a case-by-case basis.

During the Solution Development phase, the Solution lead will complete the following activities:

Requirement Analysis
Completion of the Problem Statement, Solution Requirements and Root Cause Analysis.

Design
Setting out the high-level Solution options for initial consideration, capturing potential impacts to **people**, **processes**, **systems**, **commercial** and **financial** interests of stakeholders. At the end of this phase, the Logical Solution is defined.

Development
Business requirement definition for Solution options. Where required by a Technical Service Provider (TSPs), functional and technical requirements specifications developed and sent for impact assessment to TSPs, Parties and/ or other affected stakeholders.

Quality Assurance
Solutions assessed against quality gate criteria, assuring that they solve the original Problem Statement and meet Solution Requirements, are fully formed and address root cause, documentation is written using Plain English, where appropriate the solution can be assured, measured, and enforced, and technical aspects of the solution have been assured by REC Technical Design Authority (TDA).

Impact Assessment

Impact Assessments (IAs) ensure that impacts on REC Parties, Service Providers, and stakeholders are identified, validated and, if possible, quantified.

An updated Change Report is published on the REC Portal, with a Solution Overview document alongside an Impact Assessment Request containing relevant questions to support the development of the Issue or Change Proposal.

Service Provider Impact Assessments

Used to identify REC Service Provider impacts, with specific targeted questions.

Two levels of Service Provider IA (**Preliminary IA** and **Detailed IA)** are initiated together. Service Providers can immediately build on Preliminary responses or agreed a delay between IAs to enable development activity.

Return of Service Provider Impact Assessments is managed via email.

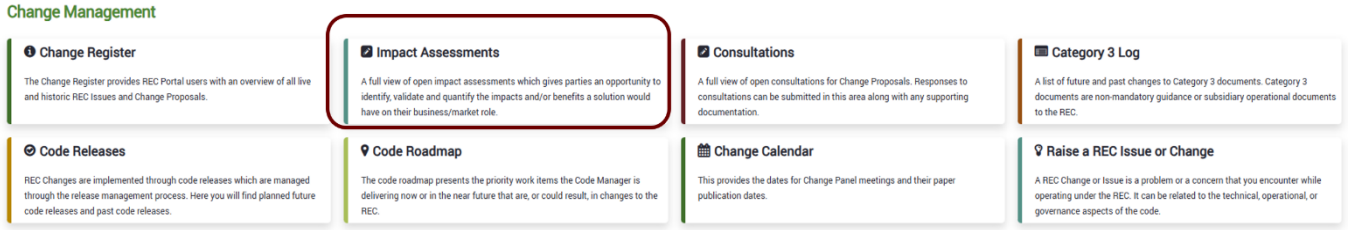
Party Impact Assessments

Used to gather information from impacted market participants to identify, validate and quantify the impacts a solution would have on their business/market role. IAs include targeted questions to allow the Code Manager to develop a benefits case.

IAs are extended beyond REC Parties to any impacted/interested stakeholders, including industry service providers, consumer bodies and innovators.

IAs include a copy of the Problem Statement and Solution Requirements, a high-level solution overview, Plain English explanation of the proposed solution(s), outputs of any Service Provider IA, and a detailed list of assumptions and dependencies.

Party IAs and responses are uploaded onto the REC Portal. Subscribers of the Change Management updates will be notified by email about new IAs. Click images to zoom.



Find the Impact Assessments tile on the Change Management area of the REC Portal



Download the response form, complete it, and submit it. All on the same page.

Change Report – Impact Assessment

Following closure of an Impact Assessment a Change Report will be updated to incorporate:

Description and analysis
Background to the Change Proposal, details of the issue being addressed.

Details of the proposed solution
How it addresses the issue, legal text that has been prepared, information about how the solution was developed.

Summary of Impact Assessments
Outcomes of any IAs conducted, including summary of approach and responses, plus details of any expected changes to Service Provider systems including cost and timescales.

Proposed Implementation Date
Including dependencies, and implementation technique (e.g. big bang or parallel test).

Cost Benefit Analysis
Known costs/industry effort against tangible/intangible benefits case.

Code Manager minded-to position
Our initial view on whether the Change Proposal should be approved.

Once the Change Report is updated, it will be added to the Proposal Page on the REC Portal. If you have subscribed to Change Management emails or the Change Bulletin you will be notified when a Change Report is published.

Where stated within the Proposal Plan, the report will be added to the Responsible Committee meeting agenda.

Change Reports will be open for comment prior to the Responsible Committee decision. Stakeholders are invited to comment on the Change report. Comments received are shared with the Responsible Committee to enable them to make their decision on whether to proceed with the plan for consultation. For example, if material representations have been omitted, the period of consultation is insufficient, or the solution is not sufficiently developed. The opportunity to voice support for (or objection to) the Issue or Change Proposal or Code Manager recommendation will be during the consultation period.

You should provide comments via the relevant Proposal Page on the Portal.

Once the Responsible Committee has agreed the Change Report and solution is sufficiently developed to progress to consultation, an Issue will be progressed as a Change Proposal.

Code Manager Recommendation

For each Change Proposal, we will make an independent recommendation to the Responsible Committee on whether the Change Proposal should be approved or rejected. This recommendation is included in the Change Report, subjected to industry consultation.

The Responsible Committee that votes on whether to approve or reject a Change Proposal (or recommend approval or rejection to the Authority) shall consider the recommendation of the Code Manager when making its determination.

Although the Responsible Committee can disagree with the Code Manager's recommendation, they are unable to unilaterally overturn this recommendation. In this instance, the decision on whether to approve or reject the Change Proposal will be automatically appealed to the Authority (Ofgem), unless there are circumstances where the Code Manager overturns its previous recommendation.

The decision to recommend approval for a Change Proposal will be based on the business case made for the change (for Self-Governance changes) or the REC Objectives being better facilitated by the implementation of the change (for Authority Determined changes).

Where **Alternative Change Proposals** are made and the Code Manager's recommendation proposes the approval of a particular solution, this will be based on the assessment of which solution presents the best case for change, or better enables the achievement of the REC Objectives. The Code Manager may also recommend the rejection of all Change Proposals.

Read on to learn more about Alternative Change Proposals



Change Proposal Progression

Where a Plan defines that the Responsible Committee is to review a Change Report, it will be added to the relevant committee meeting agenda with all comments received.

The Responsible Committee reviews the Change Report and comments and decides to approve or reject the progression of the change in line with the plan for consultation detailed in the report.

Where the Change Report is approved, the Code Manager prepares the consultation in line with the agreed Plan.

If the Responsible Committee rejects the Change Report, as they believe further information or assessment is required prior to proceeding to consultation, this will be addressed, and a revised Change Report will be resubmitted to the Responsible Committee for further consideration and decision.

Consultation

Once a Change Report has been approved by the Responsible Committee (or where the Change Proposal is to proceed directly in line with the approved Plan), it is published for Consultation, by the Code Manager and open to all stakeholders to respond.

All Consultations can be accessed through the Consultations Register on the REC Portal.

If you have subscribed to receive Change Management emails or the Change Bulletin, you will be notified when Consultations are published and notified when the window for responses closes.

The Consultations Register shows open Consultations that are available for comments. Closed Consultations will be added to the relevant Change Proposal Page.

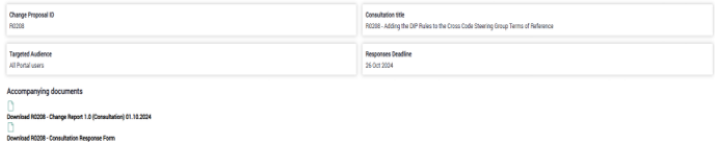
When accessing a Consultation through the Consultations Register you will be presented with the details of the Consultation and its closing date for comments. From the Consultation page you can download accompanying documentation and respond by clicking Add Response.

Once the Consultation period has ended all Consultation comments will be collated and addressed in the Change Report with a final recommendation for consideration by the Responsible Committee.

View Open Consultations on the REC Portal



Click the relevant Change Proposal to respond



Change Report – Final Recommendation

Following consultation, solutions go through a final refinement stage to address any inaccuracies or points of clarity and address consultation responses. Amendments made during refinement will be included in the Change Report with a Final recommendation issued to the Responsible Committee for its decision on implementation.

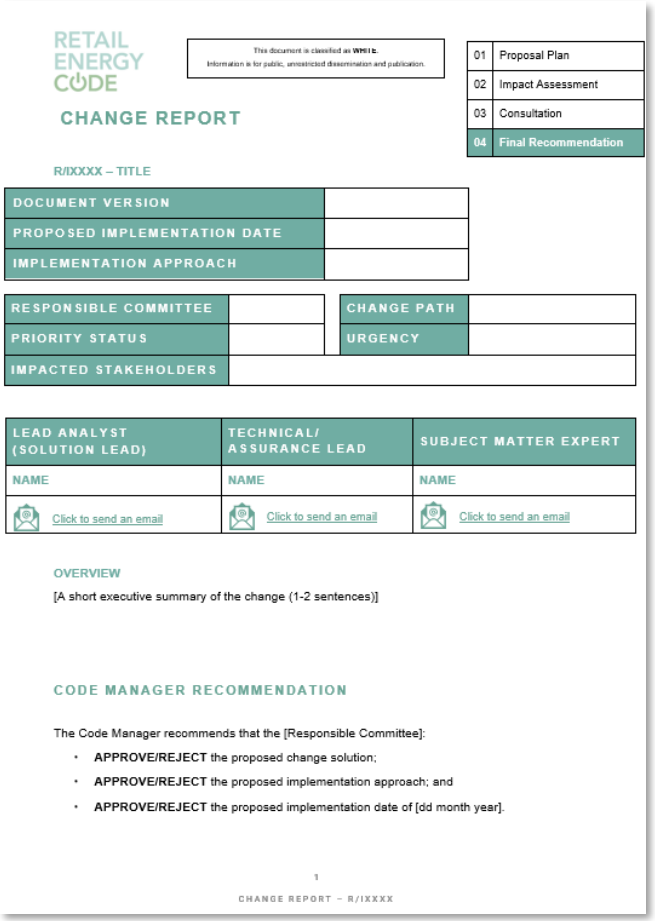
The Change Report also includes:

- An overview of those who responded to the Consultation and a summary of responses,
- A summary of any minor variations to the Change Proposal following consultation and the reasons for this
- A recommendation by the Code Manager on whether the Change Proposal should be approved

The Responsible Committee will vote on whether to approve or reject the Change Proposal, considering the recommendation of the Code Manager.

Within two working days of the vote, the updated Change Report will be published on the REC Portal, incorporating a confirmation of the vote outcome. The Change Register will also be updated. If you have subscribed to receive Change Management emails or the Change Bulletin, we will notify you of the publication.

SUBSCRIBE TO CHANGE MANAGEMENT EMAILS



RETAIL ENERGY CODE

This document is classified as WHITE.
Information is for public, unrestricted dissemination and publication.

01	Proposal Plan
02	Impact Assessment
03	Consultation
04	Final Recommendation

CHANGE REPORT

R/IXXXX – TITLE

DOCUMENT VERSION	
PROPOSED IMPLEMENTATION DATE	
IMPLEMENTATION APPROACH	

RESPONSIBLE COMMITTEE		CHANGE PATH	
PRIORITY STATUS		URGENCY	
IMPACTED STAKEHOLDERS			

LEAD ANALYST (SOLUTION LEAD)	TECHNICAL/ ASSURANCE LEAD	SUBJECT MATTER EXPERT
NAME	NAME	NAME
Click to send an email	Click to send an email	Click to send an email

OVERVIEW

[A short executive summary of the change (1-2 sentences)]

CODE MANAGER RECOMMENDATION

The Code Manager recommends that the [Responsible Committee]:

- **APPROVE/REJECT** the proposed change solution;
- **APPROVE/REJECT** the proposed implementation approach; and
- **APPROVE/REJECT** the proposed implementation date of [dd month year].

1

CHANGE REPORT – R/IXXXX

Our Change Report template

Raising an Appeal

Anyone can appeal against the decision of the Responsible Committee for a self-governance Change Proposal within ten Working Days of notice of the decision being given.

An Appeal Form can be downloaded from the REC Portal.

The Appeal Form and relevant evidence must be submitted to Ofgem by email to industrycodes@ofgem.gov.uk within the appeal window. The Appellant also should inform the REC Code Manager that they have submitted an appeal to Ofgem by emailing a copy of the form to: enquiries@recmanager.co.uk.

The Authority may dismiss your appeal if it is brought for reasons that it considers trivial or vexatious, does not meet the grounds for appeal, or has no reasonable prospect of success.

The Authority will consider whether it has sufficient information on which to form an opinion. If the Authority has sufficient information on which to make a decision it can accept the appeal and determine whether to uphold or overturn the decision of the Responsible Committee.

If the Authority does not have sufficient information to make a decision it can request the provision of additional information until it has clarity on the basis for the appeal.



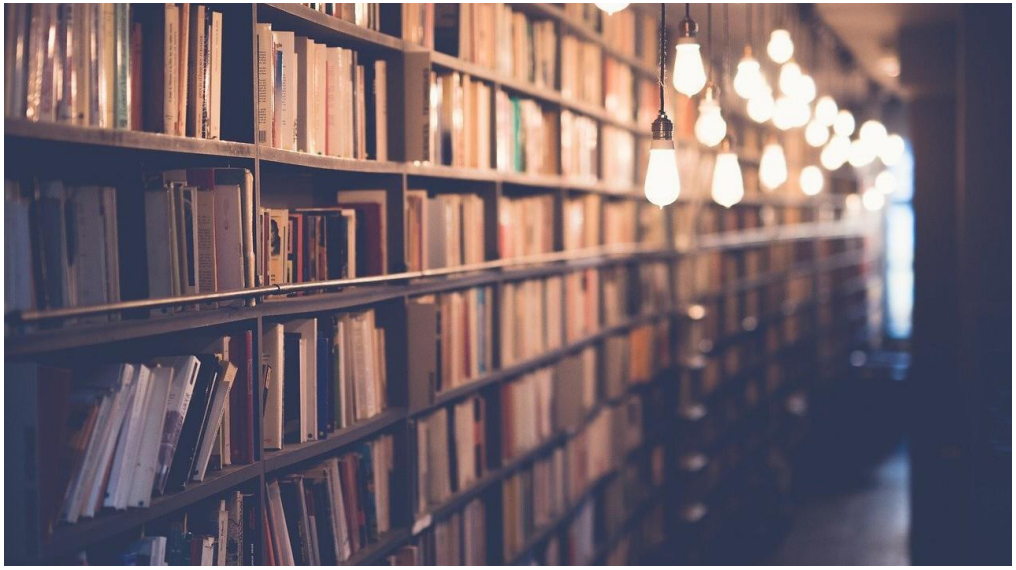
Withdrawing an Issue or Change Proposal

If you have submitted an Issue or Change Proposal, you can withdraw it at any time by giving notice to the Code Manager, by emailing the Change Management team.

On receipt of the notification, the Code Manager will consider if we wish to adopt the Issue or Change Proposal. We'll do this if we consider that the Issue/proposal may deliver overall benefits to the market or consumers.

Where we decide not to adopt, a notification will be sent to the Change Management email subscribers to invite them to adopt it. If - within 10 working days - we receive notice that another person wishes to adopt the Change Proposal, that person will become the new Proposer.
Where the Issue or Change Proposal is adopted, we'll update the Change Register, and the Issue or Change Proposal will continue its progression.

Where it is not adopted, the Issue or Change Proposal will be withdrawn. The Change Register will be updated, and the process will end.



Alternative Change Proposals

In reviewing a published Change Proposal, if someone feels there is a different solution that would better address the problem statement of the Change Proposal, they may choose to raise an Alternative Change Proposal.

Alternatives to a Change Proposal can be raised at any time prior to the publication of the Change Report for consultation. After that date they may be rejected by the Code Manager.

There is no restriction on the number of Alternative Change Proposals that can be raised in relation to a Change Proposal.

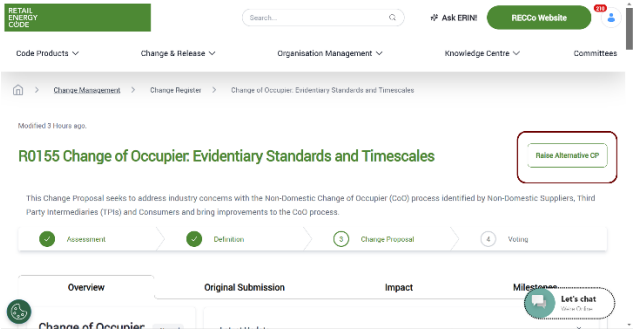
The Alternative Change Proposal must be a valid Change Proposal in its own right and will be subject to the Validation Rules set out in the REC Change Management Schedule.

The Code Manager may also raise an alternative to the original Change Proposal where the Proposer does not wish to vary their Proposal and the Code Manager believes an alternative solution would better address the Issue/ opportunity or could achieve a similar or better effect at reduced cost or effort.

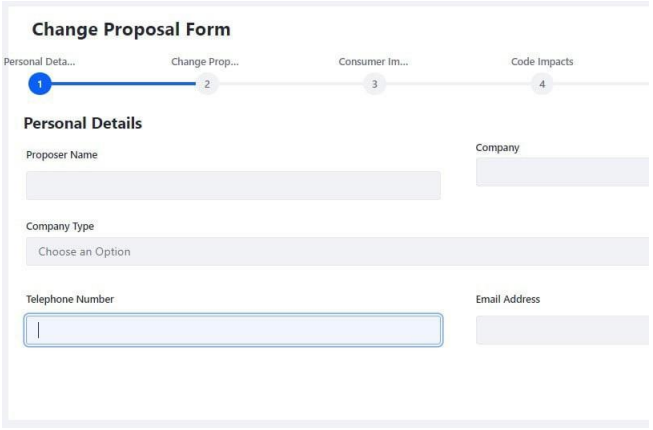
Alternative Change Proposals will be linked to the original Change Proposal and follow an aligned Proposal Plan so that the consultation and voting will be carried out at the same time, and votes will be cast based on an order of preference.

The Lead Analyst of the original Change Proposal shall also become the Lead Analyst of any Alternative Change Proposals associated with this.

Alternative Change Proposals will be included on the Change Proposal Page and added to the Change Register.



Select the Raise Alternative CP button from a Proposal Page



This will launch the Change Proposal Form for you to complete

Housekeeping Change Proposals

Definition of Housekeeping Change Proposal and who may raise them

Housekeeping Changes are minor in nature and include (but are not limited to) the correction of errors, inconsistencies or factual changes, for example:

- updating names, addresses (including email addresses) listed in this Code
- correcting minor typographical or grammatical errors
- correcting formatting and consistency errors, such as Paragraph numbering; or
- updating out of date references to other documents or paragraphs

As with the standard Change Process, any interested person will be able to raise a Housekeeping Change Proposal.

Accept or Reject the Change

If the Code Manager decides to reject the Change as a Housekeeping Change Proposal, but they believe it should be progressed as a Change Proposal, subject to the standard Change Process, they will advise the Proposer and progress the Change through the standard processes.

If the Code Manager decides to accept the Housekeeping Change Proposal, it will be assigned a Change reference number and published on the REC Portal.

The Housekeeping Change Report

We will produce a Housekeeping Change Report 5 Working Days in advance of the Change Panel meeting where the Report will be presented for a decision. It will include:

1. a description of the Housekeeping Change Proposal
2. the proposed legal text required to give effect to the change
3. the proposed implementation date of the Housekeeping Change Proposal
4. the Code Manager's Recommendation as to whether or not to approve the Housekeeping Change Proposal.

The publication will allow REC Parties, REC Service Providers and other interested persons to review the proposed Housekeeping Change Proposal in advance of the Change Panel's determination and, if necessary, raise an objection to the change being made.

Objections

A notice of objection can be raised to the Code Manager before the Change Panel meeting by either a REC Party or the Authority. A notice of objection should be raised via the REC Service Desk.

If there are grounds for the objection to be accepted, we will terminate the progression of the Housekeeping Change Proposal and update the Authority and REC Parties. Unless the change is withdrawn by the Proposer, they will re-classify the Housekeeping Change Proposal to be a Change Proposal subject to the standard Change Process.

The Decision of the Change Panel

Before making its decision, the Change Panel:

1. must unanimously agree that the Housekeeping Change Proposal meets the criteria to be a Housekeeping Change Proposal before progressing to the decision;
2. will reject the Housekeeping Change Proposal if they don't unanimously agree it meets the housekeeping criteria, the Code Manager will then consider whether the change should be progressed as a standard Change Proposal;
3. need to be satisfied that all parties and the Authority have been notified of the proposed Housekeeping Change Proposal and the planned Implementation Date in advance of the meeting, and that no one has objected to the change being made, in advance of the meeting, before they make their decision.

Following the decision of the Change Panel, the Code Manager will, within one working day, update the Housekeeping Change Report to record the decision of the Change Panel and will send this to the Authority, to each REC Party and will publish it on the REC Portal.

Objections to the Decision of the Change Panel

If any interested party objects to the decision made by the Change Panel, they may raise an objection to the Code Manager within 10 Working Days of the publication of the decision. The objection must include an explanation of why the person objects to the change being made. The only valid reason for raising an objection is that the change has been incorrectly classified.

Within one working day of receiving an objection notice after a Change Panel decision the Code Manager will notify the Authority, REC Parties and the Change Panel that the objection has been raised.

Rejection by the Authority

At any point before or following the Change Panel meeting, if the Authority determines that the Housekeeping Change Proposal should not be approved, the Housekeeping Change Proposal will be cancelled or not implemented (if this is following the Change Panel's determination). If the Change has already been implemented, then it shall be reversed.

Implementation

Implementation of the Housekeeping Change Proposal will be at the next scheduled Release, unless another more suitable date is agreed by the Change Panel.



Category 3 Changes

Category 3 documents are maintained by the Responsible Service Provider or REC Committee named in the REC Baseline Statement.

That entity will be responsible for identifying and making changes to their Category 3 documents as required. This will usually be driven by the Responsible Service Provider; however, the Code Manager may also identify the need for amendments.

Where the Code Manager identifies a required change that has not been proposed by the Responsible Service Provider, we will contact them to discuss the need for change.

If you identify an Issue with a Category 3 document, you can report this to the Code Manager via the Service Desk.

Where this relates to a REC Change Proposal or REC Release, the requirement to update the Category 3 document will be included in the Release Plan. The dependency will be noted in the Change Report final recommendation and/or registered on the Release RAID Log.

Once the Responsible Service Provider has proposed a change to a Category 3 document, the Code Manager will review the proposed changes. Our checks validate that the proposed change only impacts Category 3 documents, is accurate and of sufficient quality. If the proposal impacts require changes to Category 1 and/ or 2 documents, the change will need to be paused while a new Change Proposal is submitted.

Once we've validated a change, we'll assign it a reference number and add it to the Category 3 Change Register on the Portal.

In some cases, it is appropriate to invite wider stakeholder comments on a proposed change. If requested, the Code Manager will add this to the Portal and invite responses.

Once the window for responses has closed, we will collate all the comments and provide them to the Responsible Service Provider for review. Once the Responsible Service Provider has completed its review and made any relevant updates, they will confirm the change and agree a release date.

Once the required changes are agreed, we'll update the new document on the Portal. If you've subscribed to receive Change emails, we'll notify you of the changes this way too.

Once published, the Category 3 Log will be updated and acts as an audit record for changes implemented to Category 3 documents.



RETAIL ENERGY CODE

Thank you for reading

REC Change Process: a REC User Guide

enquiries@recmanager.co.uk

