

## Core\_OTH\_05: Core Change Control Procedure

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### Approval

Version	Date	Name	Function	Signature
1.0		Core JSC		

### Previous versions

Version	Date	Author	Summary of changes
0.1	21/05/2019	HUPX	First review
0.2	08/12/2020	JWG	Processed feedback
0.3	02/03/2021	JWG	Processed feedback

### Remarks

The document should be read together with the component list and the Article 7 of the Core DAOA Contact details can be found in the Core Contact List.

### Disclaimer

All the timings included in this procedure refer to Central European Time (CET). CET refers to CET and CEST.

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# 1. Introduction

## 1.1. Purpose

This document describes the Change Control Procedure to be used as part of the SDAC operations, concerning the Core region. It provides a controlled environment in which changes can be implemented efficiently with the minimum of delay and the least risk.

The process aims at tracking all types of changes from major changes through the scope and functionality of the Core region to minor bugs in the software.

Whilst the majority of changes are likely to be simple operational changes, it is still important that the procedure is robust to the processing of more complex changes.

The origin of the change determines the approval process of the change. Changes as a consequence of decisions of competent local authorities are finally approved by these authorities (before or during the change control process) and not by the Core JSC.

In such case, the procedure below is developed in order to assess and validate if a change is possible from a technical and operational point of view.

In case the Core JSC members cannot come to an agreement concerning the validation of the change request from a technical and operational point of view, the Core JSC has to agree on what message shall be transferred to the competent authority.

## 1.2. Outline of the Change Control Procedure

The overall Change Control Procedure is described by the workflow diagrams in Section 2. This provides a process which caters for complex solutions. In the case of simple problems (with a low risk solution affecting a small number of Components owned by a single or joint Party) a provision of a notification process is foreseen. This notification process simply informs other Parties of the changes that are being carried out.

The change can be requested by the following originators:

1. A Party/Parties part of the Core DAOA directly or by external parties involved with parties of the Core DAOA. In the latter case the change request will be filed through the Party which is member of the Core DAOA or a representative of such Party/Parties.
2. A Local NRA (this includes changes to features/elements of the price coupling or capacity allocation requirements, constraints or settings initially approved by all local competent authorities within Core).
3. European NRAs (changes to be managed on a European level)

Prior to following the Change Control Procedure, the Party/Parties from which the change request originates, needs/need to determine whether this concerns:

1. A Core regional change which means the Core procedure needs to be followed and / or
2. An SDAC change, which means the SDAC procedure needs to be followed.

Please note that in case no impact is assumed, as part of the change control process a notification has to be sent to notify the respective OPSCOM that no impact is expected.

In case the change concerns the whole SDAC, SDAC OPSCOM needs to be notified about the change. In this case SDAC OPSCOM will be responsible for maintaining an overall global test and

implementation planning of all the different changes. It is then the responsibility of the SDAC OPSCOM to allocate a test time slot and an implementation timeslot for each notified change on a first come first serve basis.

The SDAC OPSCOM will mediate between the relevant parties in case that several changes are scheduled for testing and implementation during the same time slot. If no solution can be found in the SDAC OPSCOM, then the decision will be escalated to the SDAC JSC.

Changes are recorded in the Request for Change (RFC).

For notifications and simple changes, the change will be recorded on just one form, the Request for Change (RFC) form (Core\_OTH\_05 / FORM\_03). This will contain all the information required including the cause of the change, the proposed solution, its impact and the way in which the change will be implemented. **In this case no other forms will be required to be completed.**

In the case of complex changes it may not be possible for the originator to complete all of the sections of the RFC. In this case the other sections, such as e.g. solution analysis (Section B of the RFC), impact assessment (Section C of the RFC), implementation plan (section D) will be requested from the appropriate people using the relevant form(s). This will allow individual responses from several Parties in the case, for example, the solution affects several Components.

The Core JSC shall agree on the costs for doing an impact assessment, the costs for implementing the change and the sharing of those costs. Unless decided otherwise by the Core JSC, the Parties requesting the change shall pay.

The Change Control Procedure is coordinated by the Change Control Administrator (CCA). The CCA shall be chosen among the members of the Core OPSCOM and unless otherwise agreed shall rotate among the Parties on a yearly basis (according to the measures agreed in the Core DAOA).

The Parties shall appoint a Local Change Administrator (LCA) for:

- (a) each of the Parties;
- (b) each of the Components jointly developed by the Parties;
- (c) each of the tasks subcontracted by the Parties.

The LCA is the single point of contact for the purpose of the Change Control Procedure. The LCA shall perform all tasks assigned to it / them, including when the tasks are subcontracted by the Parties.

Each of the steps involved in this procedure and their associated timings are described in Section 3.

### 1.3. Users of this Document

This document will be used by:

- The CCA;
- The Core OPSCOM;
- The LCAs;
- Other specific persons identified during the course of processing changes.

### 1.4. Scope

Any changes can be proposed through this Change Control Procedure. In accordance with Article 7 of the Core DAOA, the changes to the following must comply with the Change Control Procedure and follow the principles described in section 2.5:

- The annexes indicated as “in scope” in accordance with Article 7 of the Core DAOA; and
- the Components indicated as “in scope” in the Component List (Annex 1 of the Core Change Control Procedure).

Other elements falling under the scope of Change Control Procedure are the Core Operational Procedures. The changes applicable to the Procedures should follow the specific Change Control process described in section 2.3 of this document.

Changes related to the FB methodology do not fall under the scope of this Change Control Procedure unless the modifications lead to technical/procedural changes in the Core TSOs/NEMOs components.

Other local TSO's Components are not considered in scope of this procedure since the risk management procedure associated to these Components is defined and handled by the TSOs jointly.

The rules of functioning of the Core OPSCOM are described in a separate Annex of the Core DAOA (Annex 4 of the Agreement).

## **1.5. Structure of Document**

Section 2 contains a flowchart showing the steps to be taken in the identification and processing of changes. This forms the basis of this Change Control Procedure which is described in the remaining parts of the document.

Section 3 provides further details of the activities to be carried out. It expands on the flowchart and identifies the rules and options for some actions. Where there are specific time constraints these are identified.

Section 4 contains the various forms used by the procedure together with guidance on their use.

Section 5 gives information regarding the allocation of risk to changes.

Section 6 describes assurance gathering in the context of the Change Control Procedure.

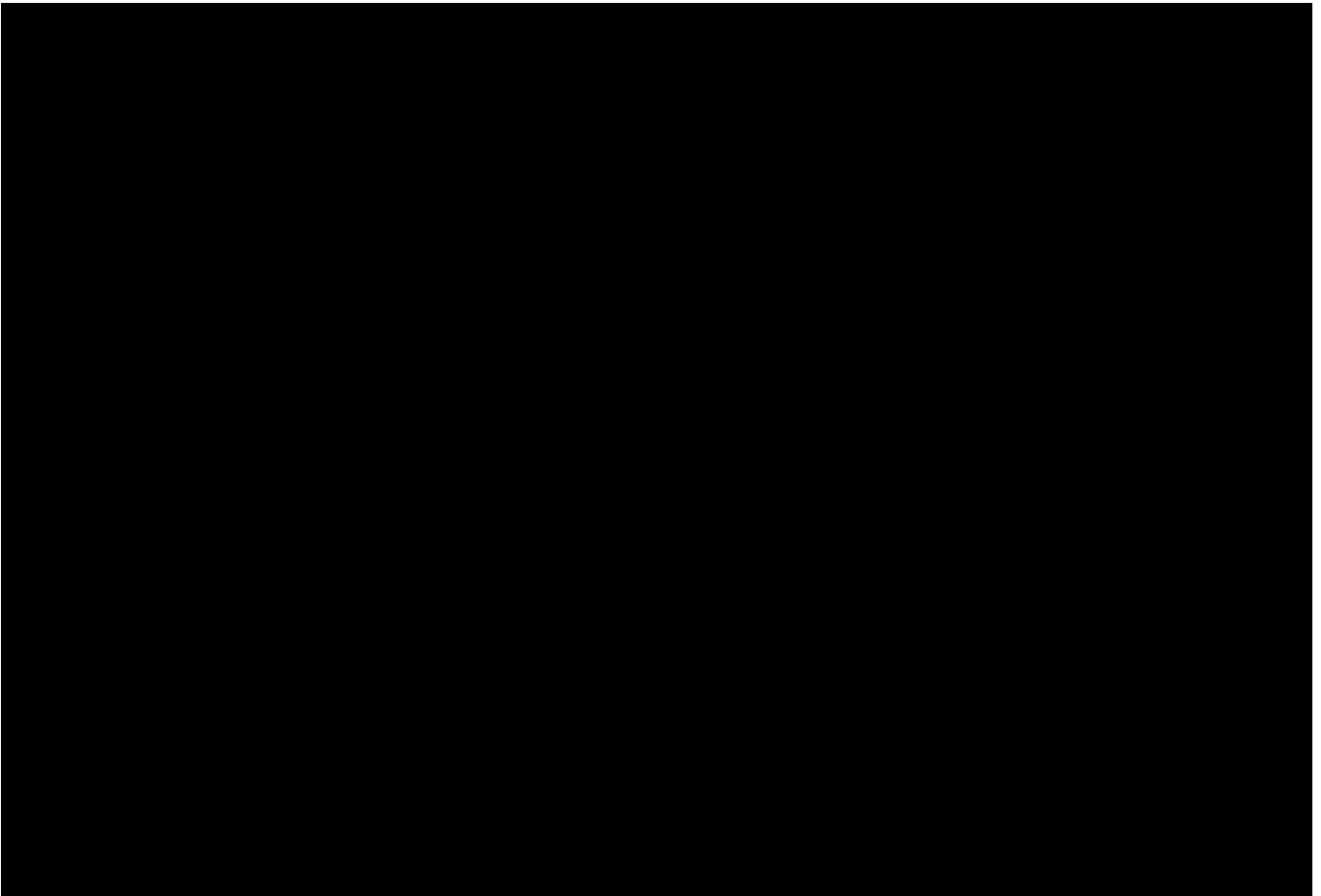
Sections 7, 8 and 9 provide the terms of reference for each of the main participants in the Change Control Procedure.

## **2. Workflow Diagram**

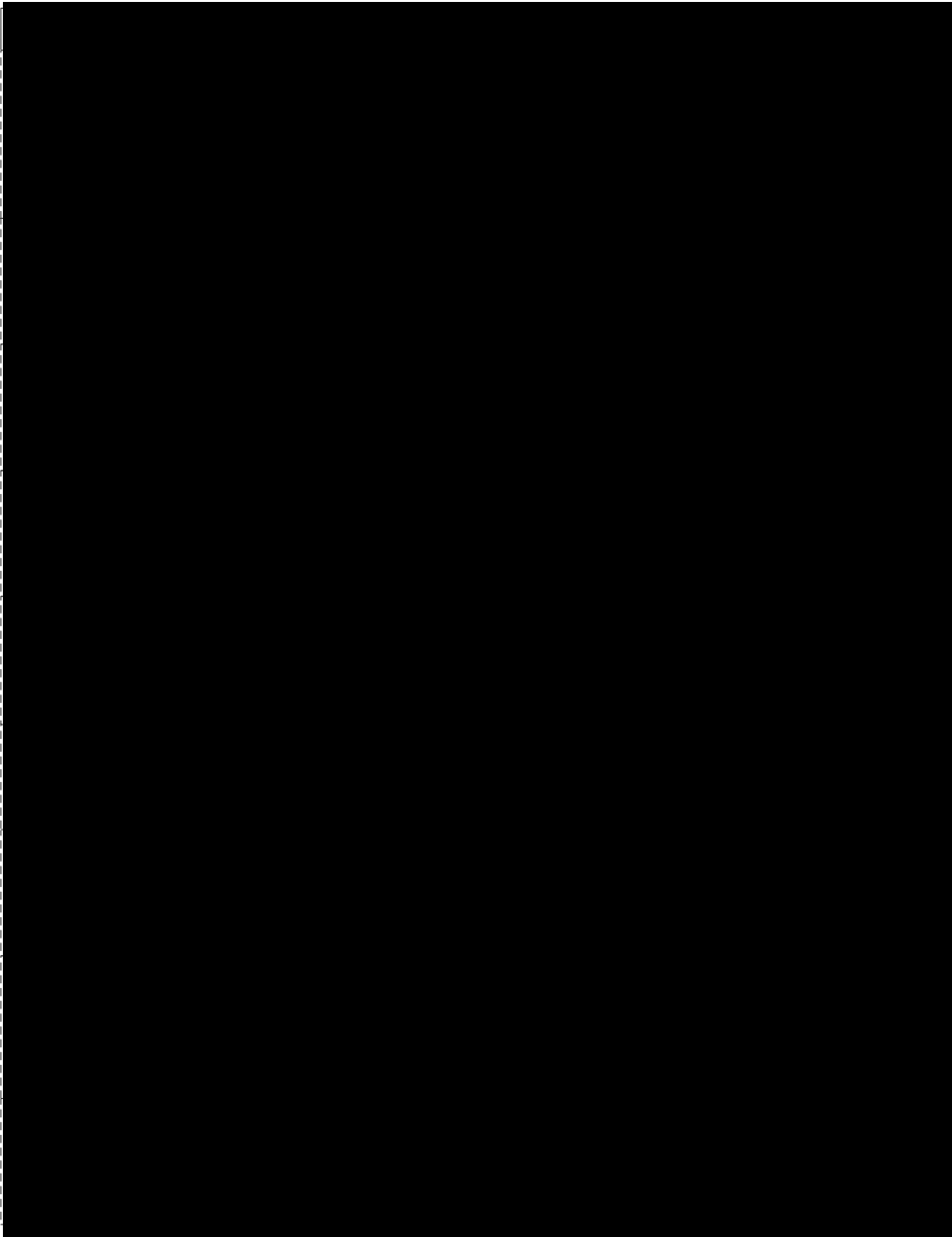
### **2.1. Introduction**

The workflow diagrams describe the overall flow of the procedure depending on the type of change to be implemented.

### **2.2. Amend / Add LCA Details**

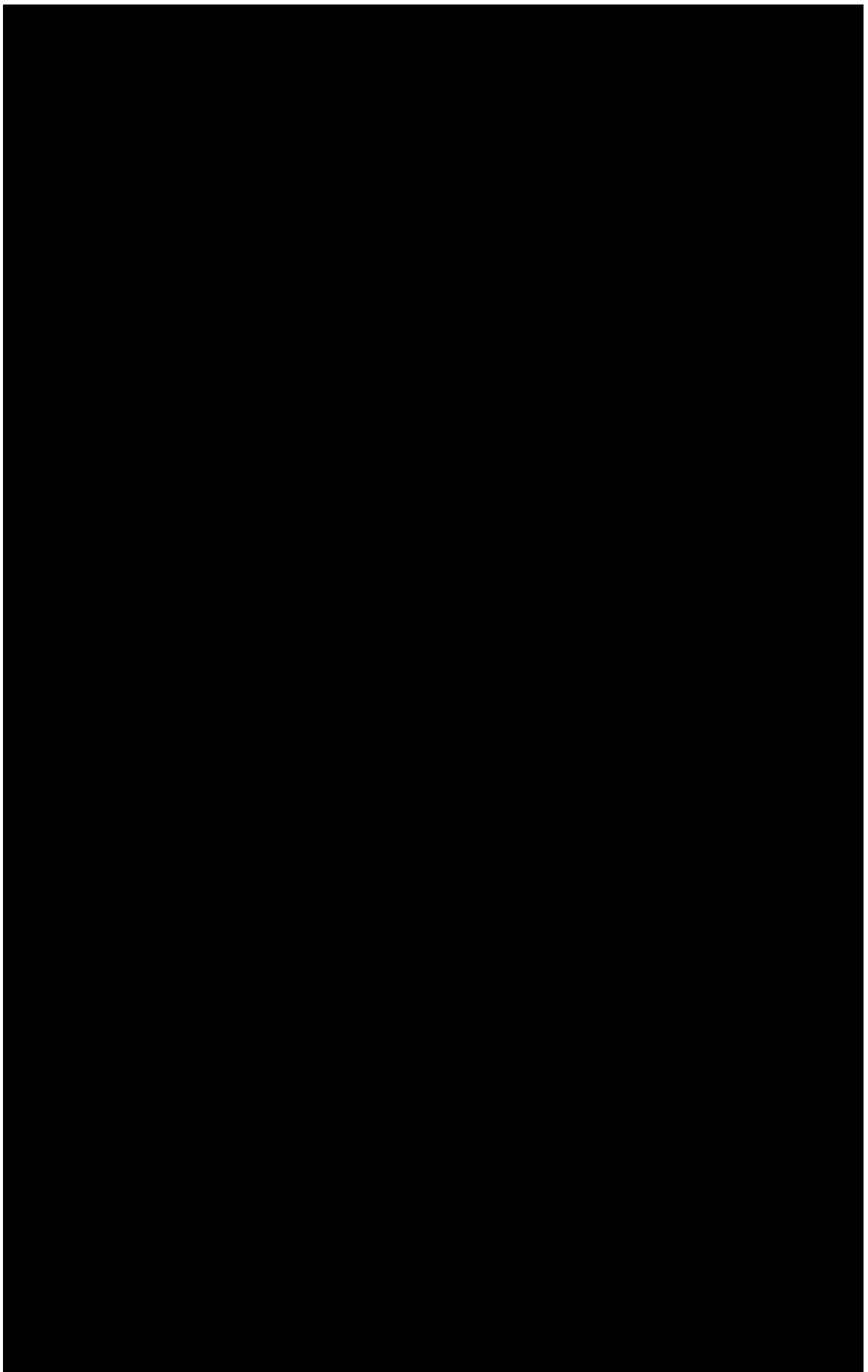


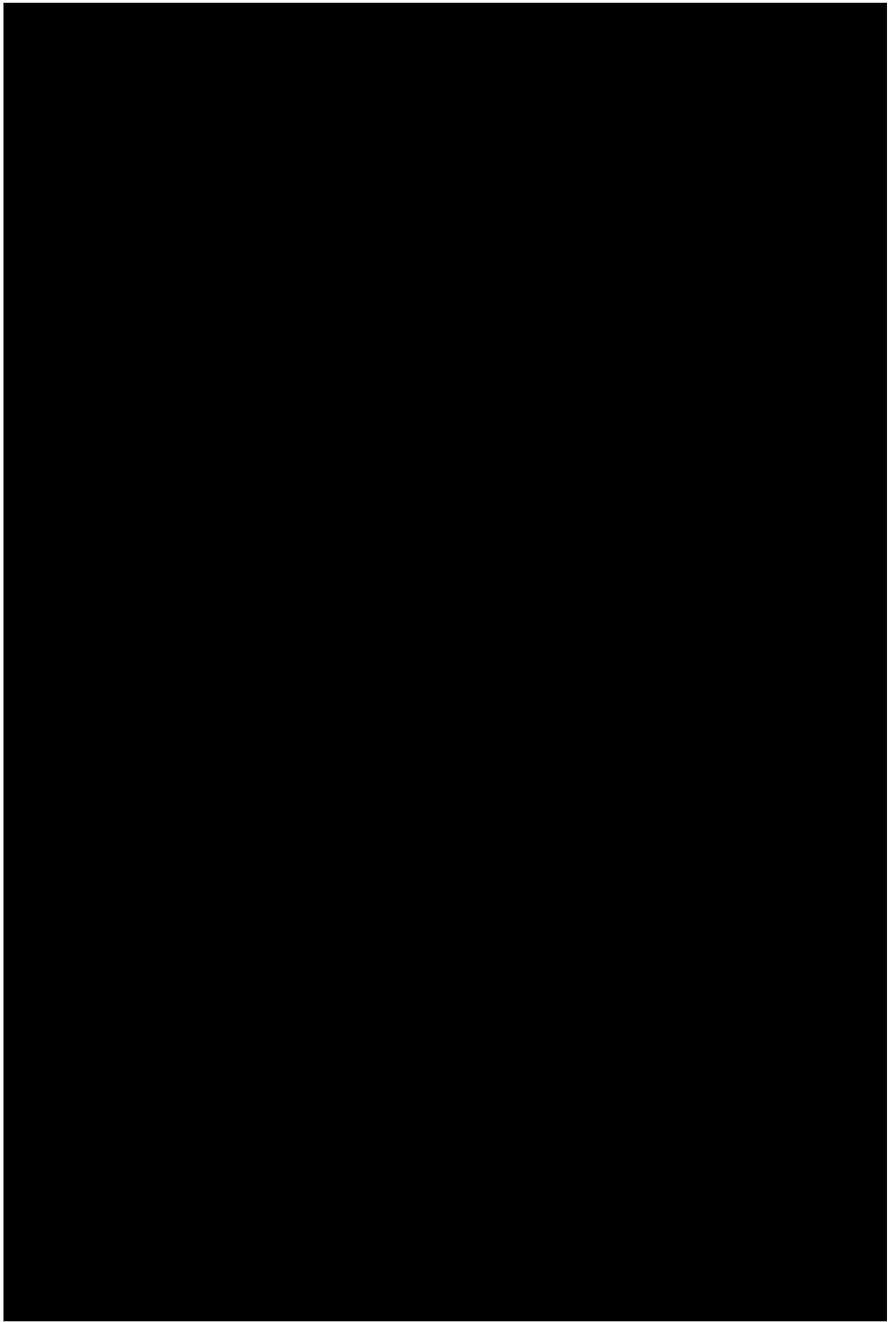
### 2.3. Amend the Operational Procedures

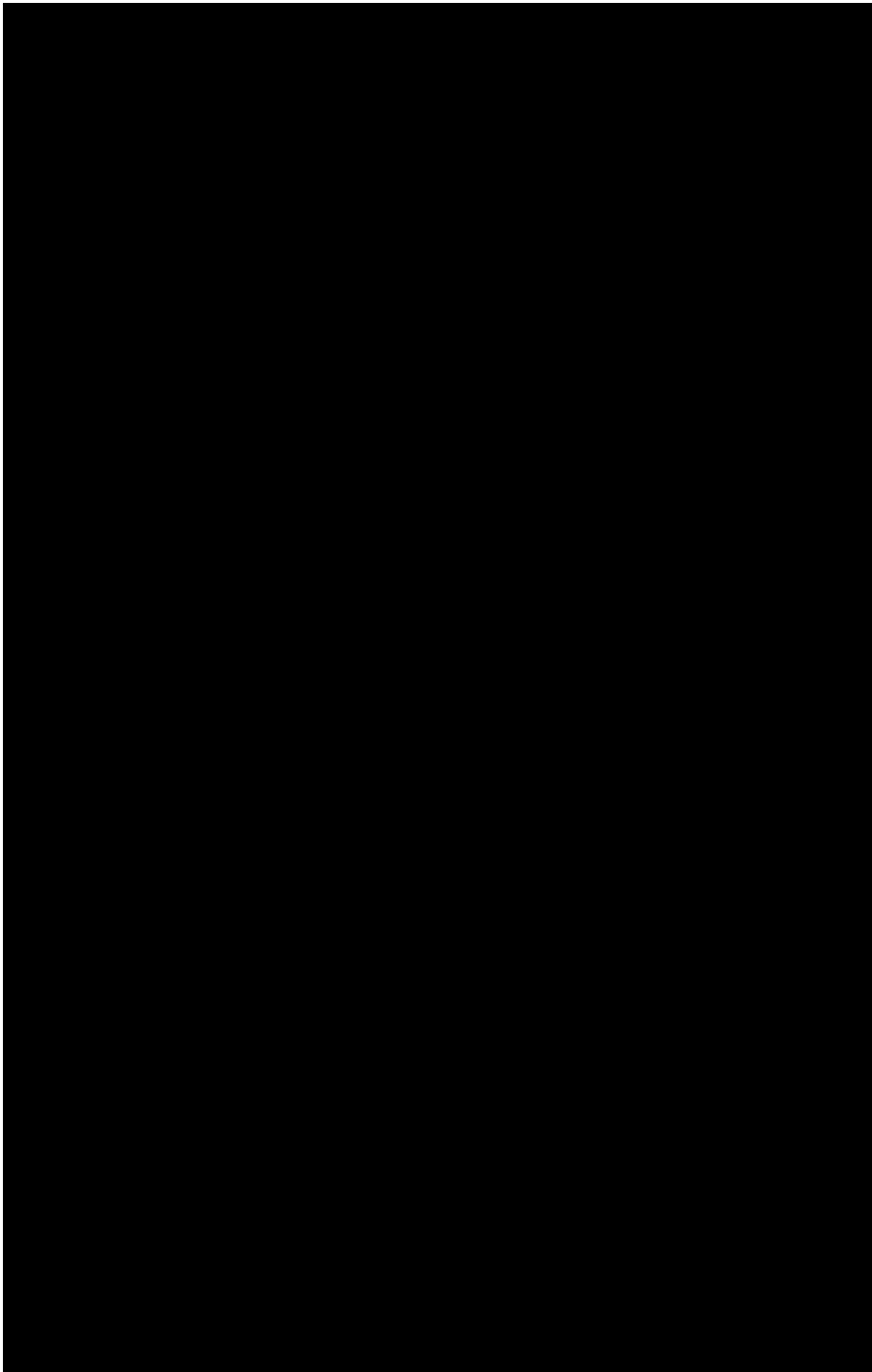


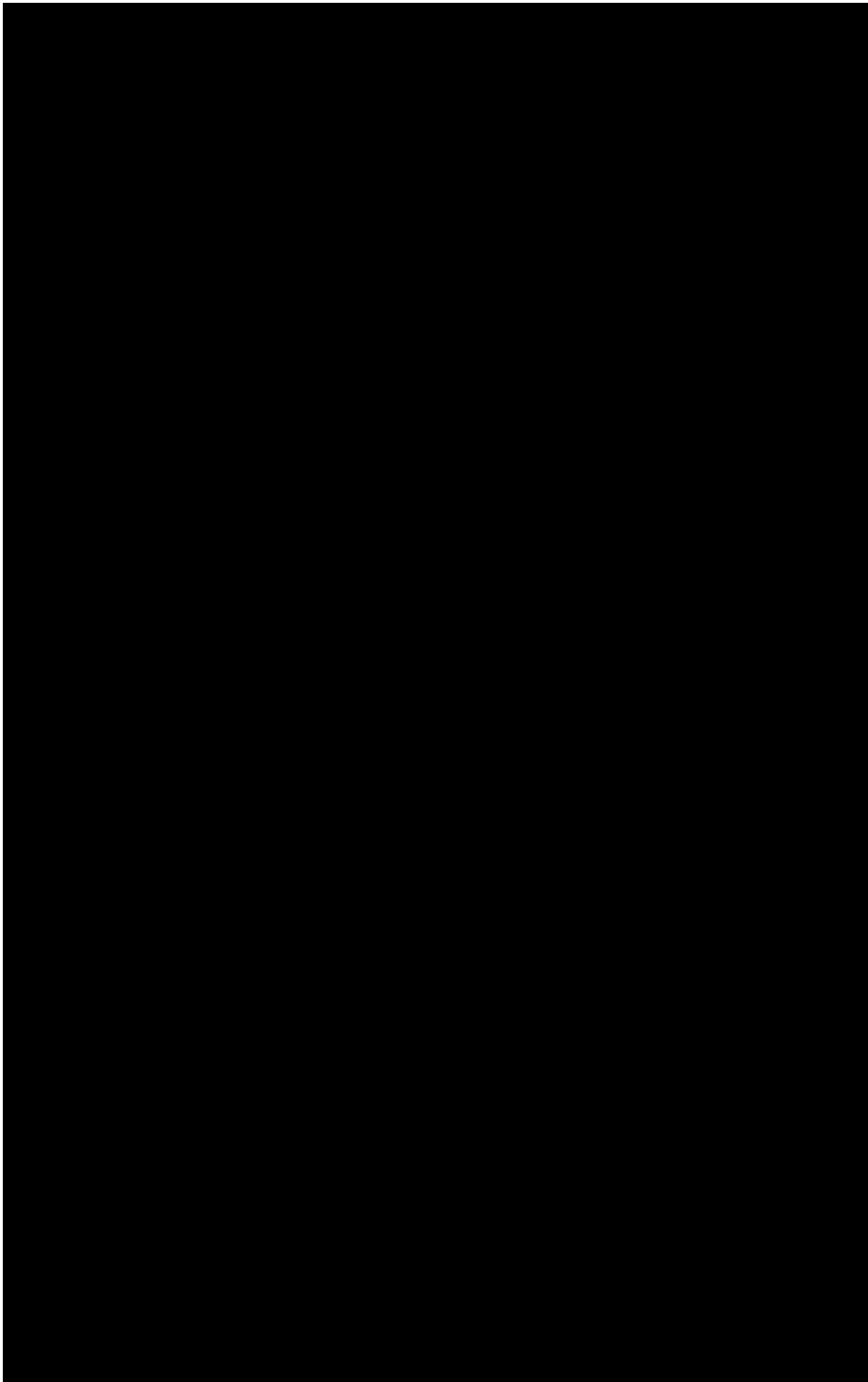
## 2.4. RFC Procedure













### 3. Activity and Timing Information

The tables below provide details of the actions to be taken at each step of the procedure and the timeframe within which they should be carried out.

In all cases where there is activity to be carried out by the Parties (or their subcontractors if any) they should aim to do it as soon as practically possible. In particular, the CCA will aim at processing documents within the timeframe allowed and in most cases on the Business Day of receipt of documentation.

In section 3.4 (standard RfC), two sets of timings are identified for each process described. The column ‘normal timing’ provides the framework for dealing with changes, except for bug fixes and changes needed for continuity reasons which fall under the column ‘fast track timing’. The fast track timing should only be used in exceptional conditions. In all cases the processing of changes will be much faster when the RFC will be as complete and as detailed as possible from the beginning.

The standard for communications will be email with telephone as backup mechanisms.

#### 3.1. Amend / Add LCA Details

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Related Form(s)
1	Identify changes to LCA details	This could be anyone of a Party (or subcontractor if any) represented by a LCA	N / A	A new LCA is identified or the details of an existing LCA must change.		
2	Complete LCA Registration Form	LCA	CCA	Complete the LCA Registration Form. This new form will replace any previous ones.		Core_OTH_05 / FORM_01
3	Receive LCA Registration Form and check for completeness	CCA	N / A	Receive the LCA Registration Form. Check the form for completeness and ensure all relevant fields have been filled in with valid information.		
4	If incomplete return to originator	CCA	LCA	If the form is incomplete return to the originator.	Within 1 Business Day of receipt of the incomplete form	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Related Form(s)
5	Update LCA contact details and distribute to other LCAs	CCA		Record the new details. Send new details to the other LCAs for information.	Within 1 Business Day of receiving the complete form	

### 3.2. Amend the Operational Procedures

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Related Form(s)
1	Identify possible change	This could be anyone of a Party (or subcontractor if any) represented by a LCA	N / A	A new change in an Operational Procedure is identified.		
2	Complete RFC for Operational Procedure	LCA	CCA	Complete the Operational Procedure form and send it to CCA.		Core_OTH_05 / FORM_02
3	Receive RFC for Operational Procedure and check completeness	CCA	N / A	Receive the Operational procedure Form. Check the form for completeness and ensure all relevant fields have been filled in with valid information.		
4	If incomplete return to originator	CCA	LCA	If the form is incomplete return to the originator.	Within 1 Business Day of receipt of the incomplete form	
5	Allocate RFC No.	CCA		Allocate a unique number to the Operational Procedure form. Check if based on the originator evaluation the change concerns the whole SDAC. If yes, CCA forwards the change to SDAC OPSCOM CCA and the CCA on Core level shall align with SDAC OPSCOM on the next steps and after alignment proceed to step 6. If not, then proceed to step 6.	Within 1 Business Day of receiving the complete form if no SDAC change is needed. If SDAC changes are needed, the timing	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Related Form(s)
					is to be determined.	
6	Validate the changes summarized in the form	Core OPSCOM		The complete form is transferred by the CCA to the Core OPSCOM who is responsible to validate the proposed changes. If the Core OPSCOM rejects the change, the form is sent back towards the LCA who submitted the form. Or the concerning Party will escalate to the Joint Steering Committee (JSC) by using the dispute resolution procedure according to Article 16 of the Core DAOA. Then proceed to step 10.	The RFC needs to be discussed on the next OPSCOM	
7	Apply change on the specified procedure(s)	CCA		The CCA apply the change in the procedure(s) described on the Operational Procedure form.	Within 1 week of receiving the validation from the Core OPSCOM	
8	Inform the LCAs, the originator and operators of the changes and date of application	CCA	LCAs, Operators, originator	The CCA transfers to the LCAs, originator and operators the update version of the procedures and informs them on the date of application of the new procedure(s).	Within 1 week after receiving the validation from the Core OPSCOM	
9	Inform / Get SC approval	CCA	SC	Inform the JSC of the changes made on the procedure and get SC approval if required depending on the nature of the change (minor or major).	Within 1 week after changes is validated by the Core OPSCOM	
10	Escalate RFC to SC, notify LCAs	CCA	LCAs	Following the rejection in step 6, the CCA will notify the Joint Steering Committee (JSC) and the LCAs that one of the Parties wants to escalate the RFC to the JSC. The CCA will provide the necessary information and details to the JSC and LCAs.	By the end of the next Business Day after the Core OPSCOM decision.	
11	Notify originator of RFC of escalation	LCA	N / A	The LCAs record the escalation and notify the Parties involved within their companies.	In accordance with LCA local work instructions.	



### 3.3. RFC Procedure

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
1	Identify possible change	This could be anyone of a Party (or subcontractor if any) represented by a LCA	N / A	Identify the need for a change to the Core part of the Market Coupling. Define whether or not the impact of the change on Core part of the Market Coupling is low (see Chapter 5). If impact is low, no further steps are needed.			
2	Complete RFC	LCA with input from the person identifying the change	CCA	Complete the RFC in accordance with the form guidelines. Send the form to the CCA by email. As much information as possible details should be provided to accelerate processing the change. In particular reference should be made to Section 5 to determine whether this is a Notification and the form filled in appropriately.			Core_OTH_05 / FORM_03
3	Receive RFC and check for completeness	CCA	N / A	Receive the RFC. Check the form(s) for completeness and ensure all relevant fields have been filled in with valid information.			
4	If incomplete return to originator	CCA	LCA	If there are obvious omissions or errors on the form return it to the originating LCA indicating what are the errors or omissions. (For minor issues the CCA may contact the LCA directly and rectify the issue). -> Step 2.	Within 1 Business Day of receipt of the form(s)		
5	Allocate RFC number	CCA	N / A	The CCA allocates a unique number to the RFC. This will be just the next number in sequence. This number will be used to reference the change from this point onwards. The CCA maintains a log of the RFCs that have been raised and their status. Check if based on the originator evaluation the change concerns the whole SDAC. If yes CCA forwards the change to SDAC OPSCOM CCA and the process is put on hold on Core level. If no then proceed to step 6.			
6	If RFC is Notification	CCA	All LCAs	If the RFC is a 'Notification Only' distribute to all LCAs and Core OPSCOM.  Otherwise -> Step 8	Within 7 working hours of the	Within 3 working hours of the	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
	Only distribute to LCAs				receipt of the complete RFC	receipt of the complete RFC	
7	Record Notification and Distribute internally	LCAs		The LCA records the receipt of the Notification Change Request and distributes it to interested parties within the LCA organisation. The process ends here for notifications.	In accordance with LCA organisation internal procedures.		
8	If Section B of RFC is not complete request solution analysis	CCA	All LCAs	If the RFC does not include a solution analysis (section B RFC) then the CCA requests solutions from the Parties. A Solution Proposal Form is sent to all the LCAs along with the RFC. The CCA will add the RFC number and specify the return date for responses.  Otherwise -> Step 11	By the end of the next Business Day after the receipt of the RFC	By the end of the next calendar day after the receipt of the RFC	
9	Carry out Solution analysis (Section B of RFC not completed)	LCAs	N / A	The LCAs request the relevant persons within their companies to identify solutions to the requested change. If possible, the solution analysis should be supported by Impact Assessment Form and Implementation Plan Form to provide as much information as possible about the proposed solution.	Returned within 5 Business Days of receipt of solution analysis request.	Returned within 2 calendar days of receipt of solution analysis request.	Core_OTH_05 / FORM_04 (Core_OTH_05 / FORM_05) (Core_OTH_05 / FORM_06)
10	Return solution analysis	LCAs	CCA	The LCAs return the forms to the CCA.			Core_OTH_05 / FORM_04 (Core_OTH_05 / FORM_05) (Core_OTH_05 / FORM_06)
11	If Section C or Impact Assessment not complete request Impact Assessment Form	CCA	LCAs	If the RFC does not have Section C completed or if there are solution proposals that do not have completed impact assessment, send out Impact Assessment Form along with the details of the proposed change and the potential solutions to all the LCAs. The CCA defines the return date for the completed responses.  Otherwise -> Step 14	By the end of the next Business Day after the deadline for the receipt of solutions analysis has passed or when all solution	By the end of the next calendar day after the deadline for the receipt of solutions has passed or when all impacts are available.	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
					analysis are available.		
12	Carry out Impact Assessment Form	LCAs	N / A	The LCAs request the relevant persons within their companies to assess the impact of the proposed change.			Core_OTH_05 / FORM_05 (Core_OTH_05 / FORM_06)
13	Return Impact Assessment Form	LCAs	CCA	The LCAs return the completed Impact Assessment Form to the CCA.	Returned within 5 Business Days of receipt of impact analysis request.	Returned within 2 calendar days of receipt of impact analysis request.	
14	Distribute RFC to Core OPSCOM and (LCA)	CCA	Core OPSCOM, LCAs	The CCA sends the RFC and all associated documentation including proposed solutions, impact assessment and (where they are available) implementation plans to the OPSCOM and the LCAs for their review and for information to the Core OPSCOM.	Within 1 Business Day of the due date for impact assessment responses or when all impact assessment responses are received	Within 1 calendar day of the due date for impact assessment responses or when all impact assessment responses are received	
15	As member take notice of RFC	Members of Core OPSCOM	N / A	The members of the Core OPSCOM have to take notice of the RFC.  The individual member of the Core OPSCOM can contact their LCA to discuss the RFC.			
16	Distribute change details within LCA company	LCAs	LCA company	The LCAs will distribute details of the changes within their companies so that they can be reviewed and any specific issues identified.	In accordance with LCA local work instructions	In accordance with LCA local work instructions	
17	If RFC is not clear enough to confirm, ask information about RFC	LCAs	N / A	If there are any issues identified that are not clear, these should be returned to the LCA or the originator of the RFC. (In practice it is to be expected that there will be informal discussions between the person that identified the issues and the originator of the RFC).	Within 5 Business Day of the receipt of the change details.	If received before 12 o'clock, by the end of the next calendar day or if received after 12	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
						o'clock by 12 o'clock of the calendar day after the next calendar day.	
18	Give information on RFC to LCAs	LCA or originator of the RFC	LCAs	The LCA or originator of the RFC will provide the necessary information to clarify the identified issues.	If received before 12 o'clock, by the end of the next Business Day or if received after 12 o'clock by 12 o'clock of the Business Day after the next Business Day.	By the end of the next calendar day after the receipt of the issues	
19	Distribute eventual new versions of RFC to LCAs and to Core OPSCOM in case RFC has been sent to Core OPSCOM	CCA	All LCAs	If the information provided on the identified issues gives a more clear view of the RFC, the RFC must be updated with the provided information. The CCA will distribute eventual new versions of the RFC to all the LCAs and to Core OPSCOM in case RFC has been sent to Core OPSCOM for information.	By the end of the next Business Day after the receipt of the RFC	Within 4 Business Hours after the receipt of the RFC	
20	Raise objection or accept RFC	LCAs	CCA	If there are any issues identified these should be returned to the CCA using the Objections Form. (In practice it is to be expected that there will be informal discussion between the person with the objection and the originator of the RFC before an objection is raised.)  If no objections are raised -> step 36	Within 5 Business Day of the receipt of the change details.	If received before 12 o'clock, by the end of the next calendar day or if received after 12 o'clock by 12 o'clock of the calendar day after the next calendar day.	Core_OTH_05 / FORM_07

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
21	If objections are received distribute to LCAs and to Core OPSCOM in case RFC has been sent to Core OPSCOM	CCA	LCAs and Core OPSCOM	The CCA forwards any objections to all LCAs for their information and eventually to the Core OPSCOM if in the RFC was required to inform the Core OPSCOM for information.	By the end of the next Business Day after the receipt of the objection	By the end of the next calendar day after the receipt of the objection	Core_OTH_05 / FORM_07
22	Distribute objections details within LCA companies	LCAs	N / A	The LCA distributes the objections within their companies.	In accordance with LCA local work instructions	In accordance with LCA local work instructions	
23	Possibility to ask the CCA to request the Core OPSCOM to review the RFC	LCA	CCA	If objections are raised the LCA has the possibility to ask the CCA to request the Core OPSCOM to review the RFC.	If received objections before 12 o'clock, by the end of the next Business Day or if received after 12 o'clock by 12 o'clock of the Business Day after the next Business Day.	If received objections before 12 o'clock, by the end of the next calendar day or if received after 12 o'clock by 12 o'clock of the calendar day after the next calendar day.	
24	Ask Core OPSCOM to discuss RFC	CCA	Core OPSCOM	The CCA will bring the RFC on the agenda of the Core OPSCOM or request an emergency meeting of the Core OPSCOM to review this RFC or to organise an alternative teleconference.  If the Core OPSCOM was not informed about the RFC, the CCA sends the RFC and all associated documentation including proposed solutions, impact assessments and (where they are available) implementation plans to the Core OPSCOM.	If received request before 12 o'clock, by the end of the next Business Day or if received after 12 o'clock by 12 o'clock of the Business Day after the next Business Day.	Within 4 Business Hours after the receipt of the request.	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
25	Review proposed change	Core OPSCOM	CCA	<p>The Core OPSCOM will review the proposed change in accordance with their Terms of Reference.</p> <p>Following are possible outcomes of this review:</p> <ul style="list-style-type: none"> <li>- the proposed change is rejected. The Core OPSCOM will provide the reasons for this. -&gt; Step 30</li> <li>- the proposed change is approved by the Core OPSCOM. -&gt; Step 36</li> <li>- rework is required on the solution analysis (Section B RFC) or impact assessment (Section C RFC) -&gt; Step 28</li> <li>- an implementation plan is required. The Core OPSCOM will determine who has to produce this or the proposed implementation date needs to be changed as it clashes with other changes. -&gt; Step 32</li> <li>- if, within a month, the Core OPSCOM cannot come to an agreed decision to reject or to approve a proposed change, the concerning Party will escalate to the Joint Steering Committee (JSC) by using the dispute resolution procedure according to Article 16 of the Core DAOA -&gt; step 34</li> </ul> <p>The details of this review will be passed to the CCA (it is proposed that the CCA will sit at the Core OPSCOM meeting or if outside a meeting, send and receive information from them)</p>	Within 5 Business Days of the receipt of the request for review	Within 2 calendar days of the receipt of the request for review	
26	Notify LCAs of rework	CCA	LCAs	If there is rework to be carried out to the (section B of the RFC) or impact assessment (section C of the RFC) the CCA will notify the relevant LCA(s) what is required.	By the end of the next Business Day after the Core OPSCOM decision.	By the end of the next calendar day after the Core OPSCOM decision.	
27	Notify originator of RFC of rework	LCA	N / A	The LCAs record the rework and notify the Parties involved within their companies -> step 8.	In accordance with LCA local work instructions.	In accordance with LCA local work instructions.	
28	Notify LCAs of rejection	CCA	LCAs	If the proposed change has been rejected, the CCA will notify the LCAs of the rejection with the reason for the rejection. (Rejection means that an agreement regarding the rejection has been found. In case the rejection decision isn't shared across the parties, the escalation is the valid option → step 34)	By the end of the next Business Day after the Core OPSCOM decision.	By the end of the next calendar day after the Core OPSCOM decision.	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
29	Notify originator of RFC of rejection	LCA	N / A	The LCAs record the rejection and notify the originator and other Parties involved within their companies. (Rejection means that an agreement regarding the rejection has been found. In case the rejection decision isn't shared across the parties, the escalation is the valid option → step 34)	In accordance with LCA local work instructions.	In accordance with LCA local work instructions.	
30	Request changed implementation plan	CCA	As defined by Core OPSCOM	If an implementation plan (Implementation Plan or Section D of RFC) has not been provided to the LCAs and Core OPSCOM, the Core OPSCOM will request one and identify who has to produce it. The CCA will pass on the request to the relevant LCA.	By the end of the next Business Day after the Core OPSCOM decision.	By the end of the next calendar day after the Core OPSCOM decision.	
31	Notify originator of RFC to update implementation plan	LCA	N / A	The LCA asks originator to update implementation plan and send it to CCA - > step 8.	In accordance with LCA local work instructions	In accordance with LCA local work instructions	
32	Escalate RFC to JSC, notify LCAs	CCA	LCAs	The CCA will notify the Joint Steering Committee and the LCAs that one of the Parties wants to escalate the RFC to the JSC. The CCA will provide the necessary information and details to the JSC and LCAs.	By the end of the next Business Day after the Core OPSCOM decision.	By the end of the next calendar day after the Core OPSCOM decision.	
33	Notify originator of RFC of escalation	LCA	N / A	The LCAs record the escalation and notify the Parties involved within their companies.	In accordance with LCA local work instructions.	In accordance with LCA local work instructions.	
34	Distribute all details of change	CCA	All LCAs	The CCA will distribute the complete set of details of the proposed change to all the LCAs.	By the end of the next Business Day after the receipt of the implementation plan	By the end of the next calendar day after the receipt of the implementation plan	
35	Distribute change details within LCA company	LCAs	N / A	The LCAs will distribute details of the changes within their companies so that they can be reviewed and any specific issues identified.	In accordance with LCA local work instructions	In accordance with LCA local work instructions	

Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
36	Confirm go ahead for Component modification	CCA	LCAs	Confirm to all the LCAs that there is approval for the changes to be made to all Components associated with a particular change.	By the end of the Business Day after the deadline for the receipt of objections (LCAs approval) or Core OPSCOM approval	By the end of the calendar day after the deadline for the receipt of objections (LCAs approval) or Core OPSCOM approval.	
37	Update affected Components in accordance with implementation plan	LCAs	N / A	The LCAs give the go ahead for any Components in their companies to be modified as required to support the change. This is just the modification of the relevant Components and any assurance gathering activities associated with these either on an individual basis or collectively as part of testing.	In accordance with the implementation plan	In accordance with the implementation plan	
38	Confirm individual go live criteria met	LCAs	Person responsible for implementation	Each of the LCAs will gather the confirmation of the individual go live criteria being met and send these to the LCAs.	In accordance with the implementation plan	In accordance with the implementation plan	
39	Gather go live criteria achievement	Person responsible for implementation	N / A	The person responsible for implementation will gather the achieved go live criteria and when they have all been received the set will be sent to the person who takes decision on the go live as defined in the Implementation Plan Form.	In accordance with the implementation plan	In accordance with the implementation plan	
40	Send collated go live criteria achievements to decision maker and CCA	Person responsible for implementation	Person who takes decision on the go live criteria	Based on the go live criteria being met, the latter person will confirm the go live can go ahead. The CCA also receives the completed go live criteria for information.	In accordance with the implementation plan	In accordance with the implementation plan	
41	Confirm go live decision	Person responsible for go live decision	CCA	Once the Go Live decision has been made the CCA is informed and will then for his part inform the LCAs. The date of Go Live is also confirmed to the CCA	In accordance with the	In accordance with the	



Step	Description	Responsibility	Recipient	Activity	Normal Timing	Fast Track Timing	Related Form(s)
		as defined in implementation plan			implementation plan	implementation plan	
42	Notify LCAs of go live decision	CCA	LCAs	Tell the LCAs that the changes can go live in accordance with the implementation plan and confirm the go live date.	By the end of the next Business Day after the receipt of the go live decision.	By the end of the next calendar day after the receipt of the go live decision.	
43	Provide updates of version numbers of Components.	LCAs	CCA	For all the Components that have been changed the LCA gathers the version numbers of the Components now in live operation and sends them to the CCA	Within 5 Business Days of go live	Within 5 calendar days of go live	Core_OTH_05 / FORM_08
44	Update list of Components	CCA	N / A	Updates the list of Components for Components within the scope of Change Control Procedure.	Within 2 Business Days of the receipt of the Component details.	Within 2 calendar days of the receipt of the Component details.	

## 4. Change Control Forms

### 4.1. Introduction

The Change Control Forms provide the basis of the information exchanges regarding changes between all interested Parties with respect to a particular change. **In most circumstances it will only be necessary to use the RFC (Core\_OTH\_05 / FORM\_03) to process a change.**

For complex changes (i.e. changes needing a thorough impact analysis, such as impacting several systems, a substantial change of a Component, etc.) the Solution Proposal Form (Core\_OTH\_05 / FORM\_04), the Impact Assessment Form (Core\_OTH\_05 / FORM\_05) and the Implementation Plan Form (Core\_OTH\_05 / FORM\_06) can be used to gather information from participants.

Objections are raised using the Objections Form (Core\_OTH\_05 / FORM\_07) and changes to Component versions are sent on the Component Version Update Form (Core\_OTH\_05 / FORM\_08).

Changes to or new LCA registrations are carried out on the LCA Registration Form (Core\_OTH\_05 / FORM\_01).

This section provides details of how to complete the forms and the information that is required in each one. The provision of complete and correct information is important to the efficient operation of the overall process. Generally as much information as possible should be provided at each stage to speed up the process.

## 4.2. LCA Registration Form

<b>LCA Registration Form – Core_OTH_05 / FORM_01</b>	
<b>Company</b>	[The company that the LCA is representing]
<b>LCA Start Date</b>	[The date that the LCA will start operating]
<b>Primary or Secondary Contact</b>	[Whether this is the primary or the secondary contact for the company]
<b>LCA Name</b>	
<b>LCA Address</b>	
<b>LCA email</b>	
<b>LCA Telephone</b>	

### 4.3. Operational Procedure Form

<b>Operational Procedure – Core_OTH_05 / FORM_02</b>		RFC No: <b>RFC /</b>  [The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]
<b>Originating Company</b>  [This box contains the name of the Party (or subcontractor if any) raising the RFC and if necessary their role in this instance.]	<b>Name of Originator</b>  [Name of the person completing the RFC. Normally the LCA]	<b>Date Raised</b>  [Date the RFC was raised]
<b>Title of Change</b>  [The title of the change is simply a header giving some indication of the nature of the change and which may be used to refer to the change.]		
<b>Section A – Problem Issue</b>		
<b>Description of Reason for Change / Problem / Issue:</b>  [This should provide a description of the reason for introducing the change, whether it is some new user requirement, a change of functionality, a bug fix, whether the change is driven by a third party, etc.  The impact of not doing the change should be described, particularly if it is a bug fix or some other remedial action. This will allow the cost of the change and the risk of doing the change to be compared to the cost / risk of not doing it.  It should provide as much detail as possible so that any proposed solution can be defined to resolve the problem or issue in the best way.  If a solution is being proposed then the description of the problem / issue may be less detailed in this section.]		
<b>Section B – Solution Analysis</b>		
<b>Proposed Solution</b>  [This describes how the proposed solution resolves the problem / issue identified. It should address all the aspects of the change / problem / issue described in Section A.]		
<b>Risks Associated with Proposed Solution</b>  [Any risks associated with the development. Implementation or operation of the proposed solution should be identified. If there are specific risks associated with individual Components that are not covered in Section C these should be detailed here.]		
<b>Section C – Impact Assessment</b>		
<b>Impact on Components and other procedures</b>		

<b>Operational Procedure – Core_OTH_05 / FORM_02</b>				RFC No: <b>RFC /</b>  [The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]
[This describes the impact of implementing the proposed change. Each of the Components and procedures requiring to be changed should be listed (together with their category and the risk of doing the proposed change. This should then be reflected into the overall impact for each Component. See Section 5 for further details of risk and impact allocation. In this section only the Components which are the responsibility of the responding Party (or subcontractor if any) should be included.]				
Component / Procedures	Component Reference*	Category*	Risk* (L)ow (M)edium (H)igh	Overall Impact
<b>*Not applicable in the case of procedure</b>  <b>Impact on Other Parties (or Subcontractor if Any)</b>  [The impact of the proposed solution on any other Party (or subcontractor if any) if there is any.]				
<b>Section D – Decision</b>				
<b>LCAs Outcome</b> (Approved / Rejected / Not Required)			[This will record any decision that the LCAs (supported by Core OPSCOM if needed) has made relating to the RFC. It will be completed by the CCA and will contain the date of application of the new version of the procedure]	
Reason for rejection.			[If the RFC is rejected this will describe the reason for the rejection. This will be completed by the CCA.]	

#### 4.4. Request for Change Form

The LCAs shall have the relevant persons filling in the sections of the RFC.

<b>Request For Change – Core_OTH_05 / FORM_03</b>		RFC No: <b>RFC /</b>  [The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]
<b>Notification Only ?</b>		<b>(yes / no)</b>

<b>Request For Change – Core_OTH_05 / FORM_03</b>		RFC No: <b>RFC /</b>  [The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]
[If this RFC is a notification of a change as defined in Section 5 of the Change Control procedure then this should be identified here.]		
<b>Fast Track Change?</b>  [If the change needs to be processed more quickly than normal using the fast track timing then this should be set to 'yes'. This should only be used in exceptional circumstances.]		(yes / no)
<b>Originating Company</b>  [This box contains the name of the Party (or subcontractor if any) raising the RFC and if necessary their role in this instance.]	<b>Name of Originator</b>  [Name of the person completing the RFC. Normally the LCA]	<b>Date Raised</b>  [Date the RFC was raised]
<b>Title of Change</b>  [The title of the change is simply a header giving some indication of the nature of the change and which may be used to refer to the change.]		
<b>Section A – Problem Issue</b>		
<b>Description of Reason for Change / Problem / Issue:</b>  [This should provide a description of the reason for introducing the change, whether it is some new user requirement, a change of functionality, a bug fix, whether the change is driven by an third party, etc.  The impact of not doing the change should be described, particularly if it is a bug fix or some other remedial action. This will allow the cost of the change and the risk of doing the change to be compared to the cost / risk of not doing it.  It should provide as much detail as possible so that any proposed solution can be defined to resolve the problem or issue in the best way.  If a solution is being proposed then the description of the problem / issue may be less detailed in this section.]		
<b>Section B – Solution Analysis</b>		
<b>Proposed Solution</b>  [This describes how the proposed solution resolves the problem / issue identified. It should address all the aspects of the change / problem / issue described in Section A.]		
<b>Risks Associated with Proposed Solution</b>  [Any risks associated with the development. Implementation or operation of the proposed solution should be identified. If there are specific risks associated with individual Components that are not covered in Section C these should be detailed here.]		

**Request For Change – Core\_OTH\_05 / FORM\_03**

RFC No:  
RFC /

[The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]

**Section C – Impact Assessment**

**Impact on Components**

[This describes the impact of developing and implementing the proposed change. Each of the Components requiring to be changed should be listed together with their category and the risk of doing the proposed change. This should then be reflected into the overall impact for each Component. See Section 5 for further details of risk and impact allocation. In this section only the Components which are the responsibility of the responding Party (or subcontractor if any) should be included.]

Component	Component Reference	Category	Risk (L)ow (M)edium (H)igh	Overall Impact

**Impact on Other Parties (or subcontractor if any)**

[The impact of the proposed solution on any other Party (or subcontractor if any) if there is any.]

**Section D – Implementation Plan**

**Implementation Approach:**

[The overall approach to the implementation of the proposed solution should be described.]

**Required Implementation Date:**

**Implementation Date:**

**Start time:**

**End time:**

[The date when the change is to come into operation should be given. Whenever possible this should allow time for the normal Change Control Procedure to take place.]

**Reason:**

[The reason for the chosen date should be described. Any implementation date that requires special action by the CCA to reduce normal Change Control Procedure timings should be specifically explained.]

**Assurance Gathering Approach:**

[The way that assurance is to be gathered that the change has been developed correctly and is finally ready for live operation should be described. Guidance on the levels of assurance required can be found in Section 6.]

<b>Request For Change – Core_OTH_05 / FORM_03</b>		RFC No: <b>RFC /</b>  [The RFC number will be filled in by the CCA once the form has been accepted by the CCA. This will just be the next number in sequence.]
<b>Rollback Solution:</b>		
[In case the RFC implementation has a different outcome than expected (that potentially harms the functioning of the Market Coupling) or in case the RFC implementation was not exactly as explained in the RFC, the Core OPSCOM is gathered as soon as possible to discuss the next steps: rollback is applied or alternative measures decided]		
<b>Go Live Criteria</b>		
[The go live criteria will determine when it is possible to introduce the changes into live operation. All of the criteria identified must be met before the changes can be finally introduced into service. The criteria should be stated as something which is measurable together with the responsibility for achieving it. The achievement of the criteria will be confirmed by the person responsible for implementation.]		
<b>Go Live decision to be made by:</b>	<b>LCAs</b>	<b>Other:</b> (name / position / company)
[Who will make the decision to go live will be recorded here. For low or medium impact (as defined in Section 5.3 below) this may be devolved to the person responsible for the implementation. For high impact (as defined in Section 5.3 below) it is needed that the LCAs together have agreed with the change].		
<b>LCAs Outcome</b> (Approved / Rejected / Not Required)		[This will record any decision that the LCAs (supported by Core OPSCOM if needed) has made relating to the RFC. It will be completed by the CCA.]
Reason for rejection.		[If the RFC is rejected this will describe the reason for the rejection. This will be completed by the CCA.]



## 4.5. Solution Proposal Form

<b>Solution Proposal – Core_OTH_05 / FORM_04</b>		RFC No: <b>RFC /</b> [This will be completed by the CCA to align with the RFC number other wise left blank.]
<b>Originating Company</b>  [The Party (or subcontractor if any) that is proposing the solution.]	<b>Name of Originator</b>  [Name of the person completing the Solution Proposal Form. Normally the LCA]	<b>Date Raised</b>  [Date the Solution Proposal Form was produced.]
<b>Proposed Solution</b>  [This describes how the proposed solution resolves the problem / issue identified. It should address all the aspects of the problem / issue described on the RFC. It should also identify what the solution will do and how it will be achieved.]		
<b>Potential Impact of Proposed Solution (Including changed Components if known)</b>  [The impact of the proposed solution should be identified including any specific Components if they are known at this time. Otherwise a high level view of any development required will suffice. If an Impact Assessment Form is included with the solution proposal this should be referred to.]		
<b>Response Required By:</b>	[This is to be completed by the CCA with the date by which the response is required which will normally be in line with the timescales defined in the Change Control Procedure unless there are specific reasons for other timescales to be required.]	

## 4.6. Impact Assessment Form

<b>Impact Assessment Form – Core_OTH_05 / FORM_05</b>		RFC No: <b>RFC /</b> [This will be completed by the CCA to align with the RFC number.]		
<b>Originating Company:</b>  [The Party (or subcontractor if any) that is providing the Impact Assessment Form]	<b>Name of Originator</b>  [Name of the person completing the Impact Assessment Form. Normally the LCA]	<b>Date Raised</b>  [Date the Impact Assessment Form was produced]		
<b>Impact on Components Owned by Party / Parties (or subcontractor if any)</b>  [This describes the impact of developing and implementing the proposed change. Each of the Components requiring to be changed should be listed together with their category and the risk of doing the proposed change. This should then be reflected into the overall impact for each Component. See Section 5 for further details of risk and impact allocation. In this section only the Components which are the responsibility of the responding Party (or subcontractor if any) should be included.]				
Component	Component Reference	Category	Risk	Overall Impact
<b>Overall Impact Across Components</b>				
<b>Estimate of Cost to carry out changes</b>  [The costs associated with carrying out the proposed changes to the Components listed above should be identified. This should include supporting evidence if possible.]				
<b>Risks Associated with Proposed Solution</b>  [Any risks associated with the development. Implementation or operation of the proposed solution should be identified.]				
<b>Time Required to carry out changes</b>  [The time needed to carry out the changes to the Components listed above should be identified. This should include supporting evidence if possible.]				
<b>Impact on Other Components (if known)</b>  [The impact of the proposed solution on any other Components that is out of the responsibility of the responding Party (or subcontractor if any) should be listed here if they are known. This is for information only and will provide a high level cross reference to other impact assessment responses.]				
Component	Component Reference	Category	Risk	Overall Impact

## 4.7. Implementation Plan Form

<b>Implementation Plan Form – Core_OTH_05 / FORM_06</b>		RFC No: <b>RFC /</b> [This will be completed by the CCA to align with the RFC number.]		
<b>Originating Company</b>  [The Party (or subcontractor if any) that is providing the Implementation Plan Form]		<b>Name of Originator</b>  [Name of the person completing the Implementation Plan Form. Normally the LCA]		<b>Date Raised</b>  [Date the Implementation Plan Form was produced]
<b>Implementation Approach:</b>  [The overall approach to the implementation of the proposed solution should be described. If this is a complex change it may be necessary to provide further details outside of this form.]				
<b>Timing:</b>  [The timing of the overall implementation and any sub activities within it should be described. Particularly the timing of particular developments, the assurance gathering and the actual go live should be defined.]				
<b>Development Requirements</b>  [The need to carry out development on specific Components should be indicated here. This should cover all the Components identified in the impact assessments. Where there are multiple Components involved the dates that each of the developments is required by should be defined along with who is responsible for the development and an outline of what is required to be done.]				
Component	Component Number	Development	Required By	Responsibility
<b>Assurance Gathering Approach:</b>  [The way that assurance is to be gathered that the change has been developed correctly and is finally ready for live operation should be described. Guidance on the levels of assurance required can be found in Section 6.]				
<b>Risks:</b>  [Any specific risks associated with the implementation should be highlighted along with appropriate mitigating actions.]				
<b>Reversion Strategy:</b>  [The strategy for how to back out of the change should there be major issues should be described.]				
<b>Responsibility for implementation:</b>  [The person responsible for overseeing the implementation should be identified here.]				

<b>Go Live Criteria</b>  [The Go Live criteria will determine when it is possible to introduce the changes into live operation. All of the criteria identified must be met before the changes can be finally introduced into service. The criteria should be stated as something which is measurable together with the responsibility for achieving it. The achievement of the criteria will be confirmed by a responsible person within the company.]
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Criteria	Responsibility	Confirmed by	Date
<p><b>Go Live decision to be made by:</b></p> <p>[Who will make the decision to go live will be recorded here. For small changes this may be devolved to the person responsible for the implementation. For significant changes it will be the Core OPSCOM.]</p>	<p><b>Core OPSCOM</b></p>	<p><b>Other:</b> (name / position / company)</p>	

## 4.8. Objections Form

<b>Objections Form – Core_OTH_05 / FORM_07</b>		RFC No: <b>RFC /</b> [This will be completed with the RFC number of the proposed change to which it relates.]
<b>Originating Company</b>  [The Party (or subcontractor if any) that is raising the objection.]	<b>Name of Originator</b>  [Name of the person completing the Objection Form. Normally the LCA]	<b>Date Raised</b>  [Date the objection was raised]
<b>Nature of Objection</b>  [A description of the nature of the objection and what adverse impact going ahead would result in. Possible reasons for objection could include: <ul style="list-style-type: none"> <li>• Clashes with other changes</li> <li>• National holiday</li> <li>• Own Components are involved while not mentioned]</li> </ul>		
<b>Specific Components concerned with objection</b> (if a subset of Components involved in change)  [Any specific Components that are involved with the objection should be identified.]		
Component Name	Component Number	Reason for objection
<b>Possible resolution</b>  [Any way of resolving the objection should be identified here.]		

## 4.9. Component Version Update Form

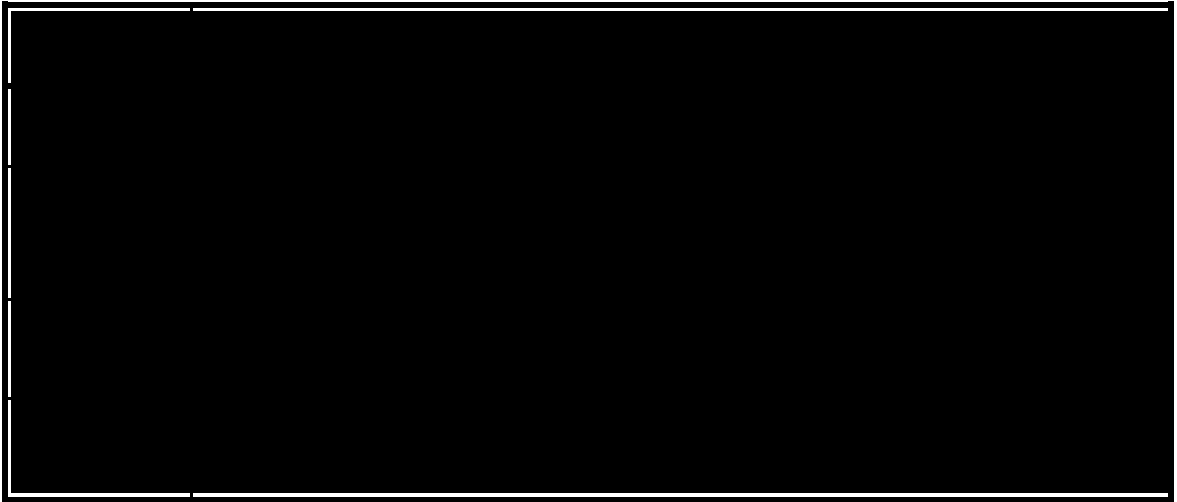
Component Version Update Form – Core_OTH_05 / FORM_08		Date
<p><b>Produced By:</b> (Name / Company)</p> <p>[The Party (or subcontractor if any) whose Components have been updated should be identified here.]</p>		
<p><b>New Component (Yes / No)</b> [whether this is an update to an existing Component or a new Component to be added to the List of Components (Annex 6 of the Core MC Framework Agreement)]</p>		
Component Name	Component Number	Latest Version

## 5. Risk and Impact Allocation

### 5.1. Categories and Risk

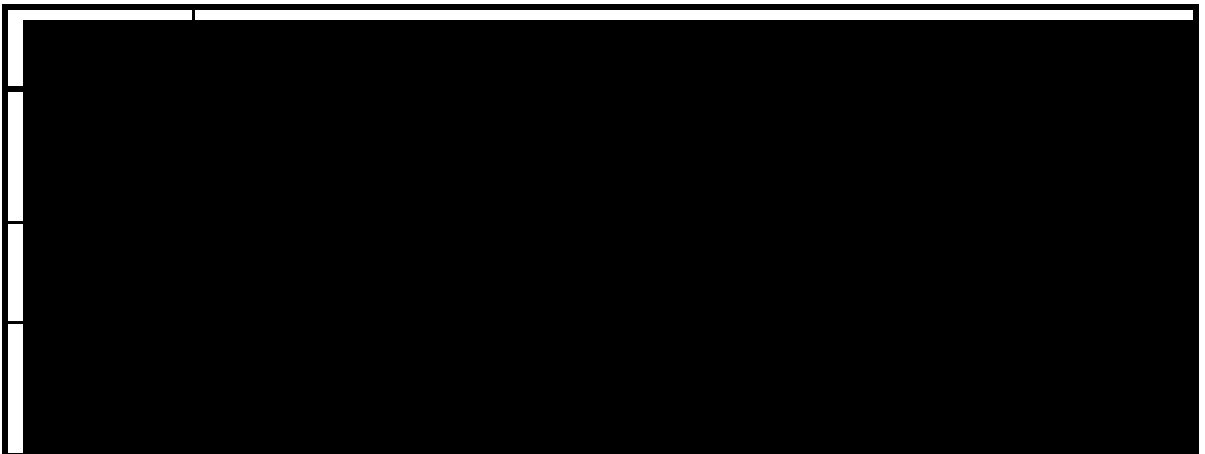
The overall impact of implementing a change will be defined through the nature of the Components affected and the risk associated with the particular change that is being carried out. Note that, when a Component is jointly operated by Parties, it is treated as if there was just a single Component.

The categories for each Component are defined as part of the Component description in the configuration database. The categories are defined below.



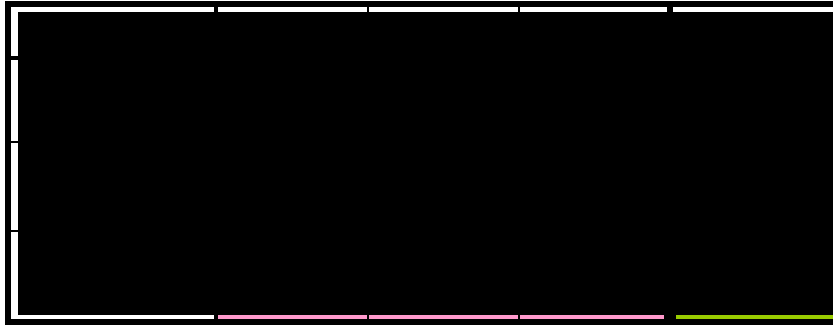
It is only categories 1 to 3 which are included in this Change Control Procedure.

Each proposed change will have a degree of risk associated with it and these are described below.



### 5.2. Component Impact

For **each Component** affected by the proposed change the category and risk are combined to provide an impact for the Component as defined in the table below.



### 5.3. Route of the Change through the Procedure

The route of the change through the Change Control Procedure will depend on:

- the number of Components affected;
- the number of Parties jointly responsible for the Component (in the reference to the Component includes all Parties jointly responsible for the Component);
- the highest level of impact of an individual Component affected by the change as defined in the previous section.

The impact for each Component will be as defined in the table in the previous section. In the following table the highest impact of an individual Component will be used to define route through the process along with the number of Components and number of Parties jointly responsible for the Component as shown in the table below.



Highest Impact of Individual Components



**Note:** that changes involving medium risks will also be sent to the Core OPSCOM if they do not have an associate Implementation Plan Form or Section D of the RFC is not completed.

## 6. Assurance Gathering

As part of the Change Control Procedure it is necessary to provide assurance that the changes that have been made are correct and suitable for live operation. This assurance gathering can take place using a range of activities as described below. The level of assurance gathering will depend on the nature and scope of the change.

### 6.1. Assurance Activities

The table below lists some of the assurance activities that might be utilised when changes have been made to ensure that the Market Coupling will still operate when they are incorporated.

Self certification	For small changes limited to individual systems. Carried out by Party / Parties responsible for the Component. Not witnessed or checked externally. Could apply to testing.
Inspection / audit	As for self certification except – External inspection or audit of internal development process and associated checking or testing.
Individual witnessed testing	More formal testing of changes to individual systems. Agreed test scripts and data. Expected results. Witnessed by external party.
Walkthroughs	Applicable to process changes – mainly affecting multiple Parties. Focus on common understanding of processes and inter-participant interchanges. Can be a precursor to scenario testing.
Interface testing	Focussed on electronic interfaces between systems. Checking that messages can be sent to and from the participant systems. Applicable to changes to systems where they interoperate.
Scenario testing	Appropriate to significant multi system and process changes. Defined scripted scenarios and data covering normal and exception conditions. Uses defined expected results. Operated on test systems simulating live environment. Difficult and expensive to set up.
Testing on the production systems	Carry out testing on the live system. Use the 'check communication' functionality of the Market Coupling System. Mainly for checking interfaces. Needs to be carefully controlled.
Regression testing	Testing at any level to confirm continuing correct operation of systems and processes after changes have been made.

Any of these might be used in a particular situation depending on the nature of the change.

## 6.2. Scope of Assurance Gathering

In deciding what assurance gathering should be carried out it is necessary to take into account the scope of the change and its complexity / risk. The table below provides guidance on the levels of assurance that might be used as part of carrying out a change. This is not intended to be a rigid definition, but provides guidelines of what might be done for varying types of changes.

	Low	Medium	High
Cat 1	<ul style="list-style-type: none"> <li>• Self certification</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / audit</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / Audit</li> <li>• Individual witnessed testing</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>
Cat 2	<ul style="list-style-type: none"> <li>• Self certification</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / audit</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / audit</li> <li>• Individual witnessed testing</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Testing on the production systems</li> </ul>
Cat 3	<ul style="list-style-type: none"> <li>• Self certification</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / audit</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Testing on the production systems</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection / audit</li> <li>• Individual witnessed testing</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Testing on the production systems</li> </ul>

In all cases some degree of regression testing will be carried out either across the whole market systems for Cat 1 changes or locally for Cat 3 changes.

## 7. Tasks of the Core OPSCOM under the Change Control Procedure

The tasks of the Core OPSCOM under the Change Control Procedure are defined in the present section.

### 7.1. General tasks

Under the Change Control Procedure, the Core OPSCOM performs three (3) main tasks, namely it:

- (a) ratifies proposed changes (for those that are provided to it in accordance with the Change Control Procedure);
- (b) determines when changes should be scheduled (in case several changes relate to the same Component or to different Components but in the same timeframe); and
- (c) appoints a person responsible for implementing changes (or instructs that such person should be appointed).

### 7.2. Specific tasks

Under the Change Control Procedure, the Core OPSCOM has the following specific tasks, namely it:

- (a) designates, among its members, a CCA;
- (b) controls and monitors the activities of the CCA;
- (c) notifies the CCA of the contact details of the Core OPSCOM members;
- (d) is available within the timeframes set forth in the Change Control Procedure to perform the tasks as defined in the Change Control Procedure;
- (e) reviews RFC;
- (f) assesses completeness of the RFC in the light of the Change Control Procedure and requests for additional information;
- (g) accepts or rejects RFC;  
Rejections can only be made when:
  - (i) Costs exceed benefits;
  - (ii) Development is excessive;
  - (iii) Implementation entails risks;
  - (iv) Objections are upheld; and
  - (v) RFC contradicts other implementations.
- (h) reviews objections to changes;
- (i) assesses completeness of objections to change in the light of the Change Control Procedure and requests for additional information;
- (j) accepts or rejects objections to changes;
- (k) confirms that the go live criteria have been met and determines the implementation date for changes and the timing of implementation;

- (l) receives monthly reports from the CCA;
- (m) escalates issues for decision of the SC as set forth in the Change Control Procedure;
- (n) reviews the appropriateness and efficiency of the Change Control Procedure at least once a year; and
- (o) proposes changes to the Change Control Procedure to the SC.

## 8. Tasks of the CCA under the Change Control Procedure

### 8.1. Introduction

The CCA is the person responsible for the central management and administration of changes under the Change control Procedure. The role of the CCA is key to the successful operation of the Change Control Procedure. It is the single person of contact for notifications and RFC and for circulating information and analysis requests. It is the central repository for change control information.

### 8.2. Tasks of CCA

The tasks of the CCA under the Change Control Procedure are defined in the present section.

Under the Change Control Procedure, the CCA has the following tasks, namely it:

- (a) keeps an updated version of the contact details of the LCAs and distributes it to the attention of the Core OPSCOM and of the LCAs;
- (b) proposes updates of the List of Components (Annex 6 of the Core MC Framework Agreement) to the SC;
- (c) updates and maintains a register of changes;
- (d) reviews RFCs and notifications;
- (e) receiving notifications of change from the LCA's and circulating these for information in accordance with the Change Control Procedure.
- (f) assesses the completeness of RFCs in the light of the Change Control Procedure, including the check of the Components and risk categories in accordance with the Change Control Procedure and the List of Components (Annex 6 of the Core MC Framework Agreement);
- (g) requests for additional information on RFCs;
- (h) allocates unique RFC numbers;
- (i) coordinates the items of the agenda of the Core OPSCOM that relate to the Change Control Procedure;
- (j) requests emergency meetings of the Core OPSCOM to review urgent RFCs;
- (k) provides relevant RFCs to the Core OPSCOM and ensures the follow up of the decisions of the Core OPSCOM in this matter;
- (l) reviews objections to changes;
- (m) assesses completeness of objections to change in the light of the Change Control Procedure;
- (n) requests for additional information on objections to change;
- (o) in case the objection to change remains unmotivated or motivated inadequately following a request for additional information, escalates the matter to the SC;
- (p) communicates to all LCAs the implementation date for changes and the timing for implementation;
- (q) communicates the go live criteria to the LCAs;
- (r) provides monthly change management reports to the Core OPSCOM and the LCAs, including details of the RFCs that have been raised, their type (notification, emergency fix, etc.), status (position in the change control cycle), risk category and impact on Components;

These reports are provided in due time before the Core OPSCOM meeting.

- (s) provides monthly implementation reports to the Core OPSCOM and LCAs setting out the dates of future planned changes, the Party responsible for the changes and the impact on Components; These reports are provided in due time before the Core OPSCOM meeting.
- (t) provides advice to any concerned Party (or subcontractor if any) on completing the forms under the Change Control Procedure as necessary.

## 9. Tasks of the LCA under the Change Control Procedure

### 8.3. LCA Summary

LCAs perform a key role in the Change Control Procedure.

LCAs are the single point of contact for any communications in respect of the RFCs and notifications. As a general matter LCAs are responsible for:

- submitting RFCs and notifications;
- coordinating the responses to solution analysis requests (section B of the RFC) and impact assessments within their own companies;
- ensuring that agreed changes are implemented.

For any Component for which a RFC must be filed, the relevant LCAs will be responsible for submitting the RFC, for coordinating the assessment of the impact of the change and for ensuring that the change is implemented.

### 8.4. Tasks of LCA

Each LCA shall have the following tasks:

1. designate a person who will substitute the LCA in case the LCA cannot perform its tasks;
2. provide the CCA with its contact details and those of its substitute and keep the CCA updated of any change of these;
3. provide the CCA with details of any new Components that should be added to the register of change, including the Component category and risk category;
4. send complete RFC and notifications to the CCA in accordance with the Change Control Procedure;
5. inform all relevant persons within its company of RFCs as communicated by the CCA and follow up these internally;
6. take receipt of RFC from the CCA for solution analysis and impact assessment;
7. Receiving notifications of change from the CCA and ensuring that the relevant departments within their organisation are notified of the changes

The LCA will ensure that the relevant persons within its company are informed of it with a view of assessing the RFC within the timeframes set out in the Change Control Procedure.

8. raise objections, if any, against received RFC.  
Objections shall always be motivated. Before raising an objection, the LCA ensures that reasonable efforts have been made to resolve the objection between the relevant Parties (or subcontractors if any) informally.
9. collect the results of the internal analysis / assessment and communicate a common position of its company to the CCA;
10. distribute the monthly overview reports received from CCA internally;
11. ensure that the date upon which a change will be implemented is reported to all the relevant persons within its company;
12. in case the CCA is not available, each LCA shall communicated himself / herself his / her RFC to the other LCAs.



The LCA circulating the RFC shall take upon him all responsibilities of the CCA concerning this RFC.

The LCA will perform its tasks during Business Hours.

## Annex 1 to Core\_OTH\_05: Component List

