

# **GDAA Issues Resolution and Change Management**

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## Change History

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## Quality Assurance

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# 1. INTRODUCTION

## 1.1 Glossary

Definition	Acronym	Description
Authority		As defined in the GDAA.
Change Management Process		The process by which the development of Change Proposals and Modifications are progressed through this Procedure.
Change Proposal	CP	As defined in the GDAA.
Change Report		A report provided to Panel, PTSC, SoS, or the Authority that sets out relevant additional information to assist in the progression of a Change Proposal or Modification.
Contract Manager	CM	As defined in the GDAA
Energy Code		As defined in the GDAA.
Operational Issue		As defined in the GDAA.
GDAA Issue Form	GIF	A form used by a party to raise an issue.
GDAA Panel (Panel)		As defined in the GDAA.
Green Deal Arrangements Agreement (the Agreement)	GDAA	Means the agreement of that name required to be maintained pursuant to Standard Condition 38 of the Electricity Supply Licence.
Green Deal Oversight and Registration Body	GD ORB	The person designated by the Secretary of State as having oversight of Green Deal matters in accordance with the Framework Regulations
Impact Assessment	IA	Assessment of the technical, business and implementation impact of a Change Proposal on their organisation, undertaken by Interested Persons.
Interested Person		As defined in the GDAA.
Interested Third Party	ITP	Means any organisation not entitled to become a party to the GDAA who, in the reasonable opinion of the Panel, has an interest in Operational Issues, Change Proposals or Modifications and is sponsored by a party to the GDAA.
Issue Resolution Process		The process which focuses on the progress and resolution of Operational Issues.
Master Registration Agreement	MRA	Means the agreement of that name required to be maintained pursuant to Standard Condition 23 ( <i>Master Registration Agreement</i> ) of an Electricity Distribution Licence
Modification		As defined in the GDAA
MRA Executive Committee	MEC	As defined in the MRA.
Panel Technical Sub-Committee	PTSC	A sub-committee of the GDAA Panel established by the Secretary of State in accordance with clause 5.16 of the GDAA for the purpose of considering Operational Issues and Change Proposals
Operational Issue		As defined in the GDAA
Operational Procedure		As defined in the GDAA
Panel Secretary		As defined in the GDAA
party		As defined in the GDAA.

Definition	Acronym	Description
Proposer		The person raising an Operational Issue or Change Proposal for consideration by Panel
Referral		In the context of this Procedure, relates to a referral raised by a party to a Panel decision as described in Section 5.
Referral form		A form completed by a party wishing to refer to a Panel decision, submitted to Panel.
Referral Period		The time available to raise an appeal. This is 10 WDs after the issue of the minutes of the Panel meeting at which that decision was made, in accordance with the timescales set out in the GDAA (Clause 5.13) for remedies for dissatisfied parties.
Secretary of State	SoS	Means the Secretary of State for Department of Energy and Climate Change, or such person(s) as it has notified the parties as being appointed to act on its behalf for the purposes of any matters relating to this Procedure.
Secretary of State Consent		Means a consent given by the Secretary of State in accordance with Clause 7.1.1 of the GDAA.
Urgent Modifications		As defined in Clause 7.4 of the GDAA
Working Day	WD	As defined in the GDAA.
Working Group		A group established under the authority of Panel to carry out specific activities in relation to Operational Issues or Change Proposals.

**Table 1 – Glossary**

## 1.2 Background

At meeting Panel\_13\_0308, and in accordance with Clauses 7.5 and 7.6 of the GDAA, the GDAA Panel (Panel) initiated the development of an Issues Resolution and Change Management Procedure.

## 1.3 Purpose

Pursuant to Clause 7 of the GDAA, this Procedure sets out the processes relating to the progression of Operational Issues, Change Proposals and Modifications. As such, this document provides for processes relating to:

- a) Issue resolution;
- b) The development of Change Proposals;
- c) Modifications to the GDAA; and
- d) Development of and changes to Operational Procedures to support the operation of the GDAA.

Each in accordance with the objectives of the Agreement.

The processes and procedures referenced above are together referred to as the Issues Resolution and Change Management processes.

## 1.4 Scope

This Operational Procedure sets out the operational processes that shall support the resolution of Operational Issues, development of Change Procedures implementation of Modifications to the GDAA, and the development of and changes to Procedures pursuant to the Agreement. As such, it will:

- Define the process for resolution of Operational Issues;
- Allow proposals for changes sponsored by parties to be raised and considered via an agreed change management process; and
- Set out the process for the proposal, assessment, referrals and authority to implement a Modification to the GDAA or changes to Operational Procedures pursuant to the Agreement.

Any additional documentation provided to assist parties in the operation of this Operational Procedure is provided for guidance purposes only. If any discrepancy exists, this Operational Procedure shall take precedence.

## 1.5 Exclusions

This Operational Procedure does not provide for parties' consideration of any issues, changes, or modifications raised under the governance of any Energy Code, save where the potential consequential impacts of such has been raised as an Operational Issue.

## 1.6 Associated References

Guidance notes and forms relating to the operation of this Operational Procedure and as amended from time to time are published on the GD ORB website <http://gdorb.dec.gov.uk>.

## 2. THE ISSUES AND CHANGE MANAGEMENT PROCESSES

### 2.1 Introduction

This Operational Procedure describes the processes for managing issues and progressing Change Proposals relating to Modifications to the GDA and changes to Operational Procedures issued pursuant to that Agreement. This Procedure shall be utilised when a party or (in the case of Operational Issues) other Interested Person:

- Identifies an issue that they believe impacts the GDA or Operational Procedures; or
- Raises a Change Proposal to the GDA or an Operational Procedure.

### 2.2 Overview of the Procedure

A summary of the overall end-to-end Issues and Change Processes is illustrated in Figure 1 and consists of processes covering:

- Issue Resolution;
- Generation of Change Proposals;
- Impact Assessment;
- Panel consideration of Change Proposals;
- PTSC processes in relation to Change Proposal review;
- Modifications to the Agreement;
- Referrals;
- Secretary of State (and Authority) consent; and
- Implementation of Modifications and changes.

Each of these will be described in more detail in the sections that follow.

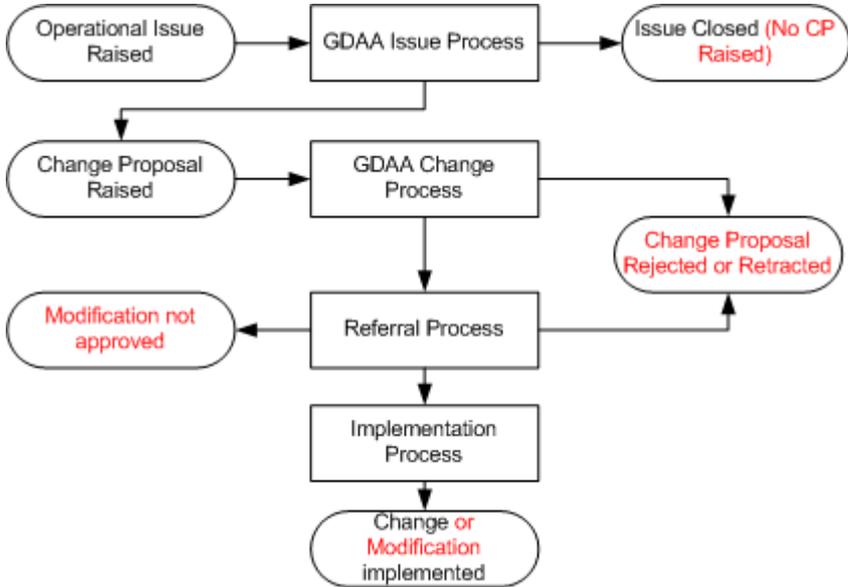


Figure 1 – Overview of the Change Management Process

### 3. OPERATIONAL ISSUES

Operational Issues are raised in relation to issues or problems that one or more parties or other Interested Persons perceive as having arisen out of the operation of the GDAA or the arrangements made under that Agreement.

This Issues Resolution Process sets out how Interested Persons may raise Operational Issues for consideration by stakeholders, where either the originator does not yet have a fully developed solution to propose as a change, or where it is felt to be beneficial to explore multiple solutions prior to formally proposing a change. As such, the process is optional for parties, who may raise a Change Proposal (CP) without first invoking the Issue Resolution Process.

Operational Issues are raised to the Panel Secretary via a GDAA Issue Form (GIF) for consideration by the Panel Technical Sub-Committee (PTSC).

The Panel Secretary shall maintain a register of Operational Issues and their status.

#### 3.1 The Role of PTSC

The PTSC is a sub-committee of the Panel that meets regularly for the express purpose of resolving Operational Issues and other work as directed by Panel. The Panel agrees the Terms of Reference of the PTSC.

In addition to Interested Persons, the Panel may also authorise Interested Third Parties (ITP) to participate in the work of PTSC.

The PTSC will review each Operational Issue presented to determine whether the issue:

- Relates to the GDAA; and
- Is capable of resolution by Modification of the GDAA, or through the development of, or changes to, an Operational Procedure.

Where the issue requires expertise unavailable within the group, the Chair of PTSC may invite observers with requisite expertise to assist in its consideration of the issue raised.

Where an Operational Issue may impact matters governed under the MRA, this will be communicated as agreed between Panel and MEC from time to time.

## 3.2 The Issue Resolution Process

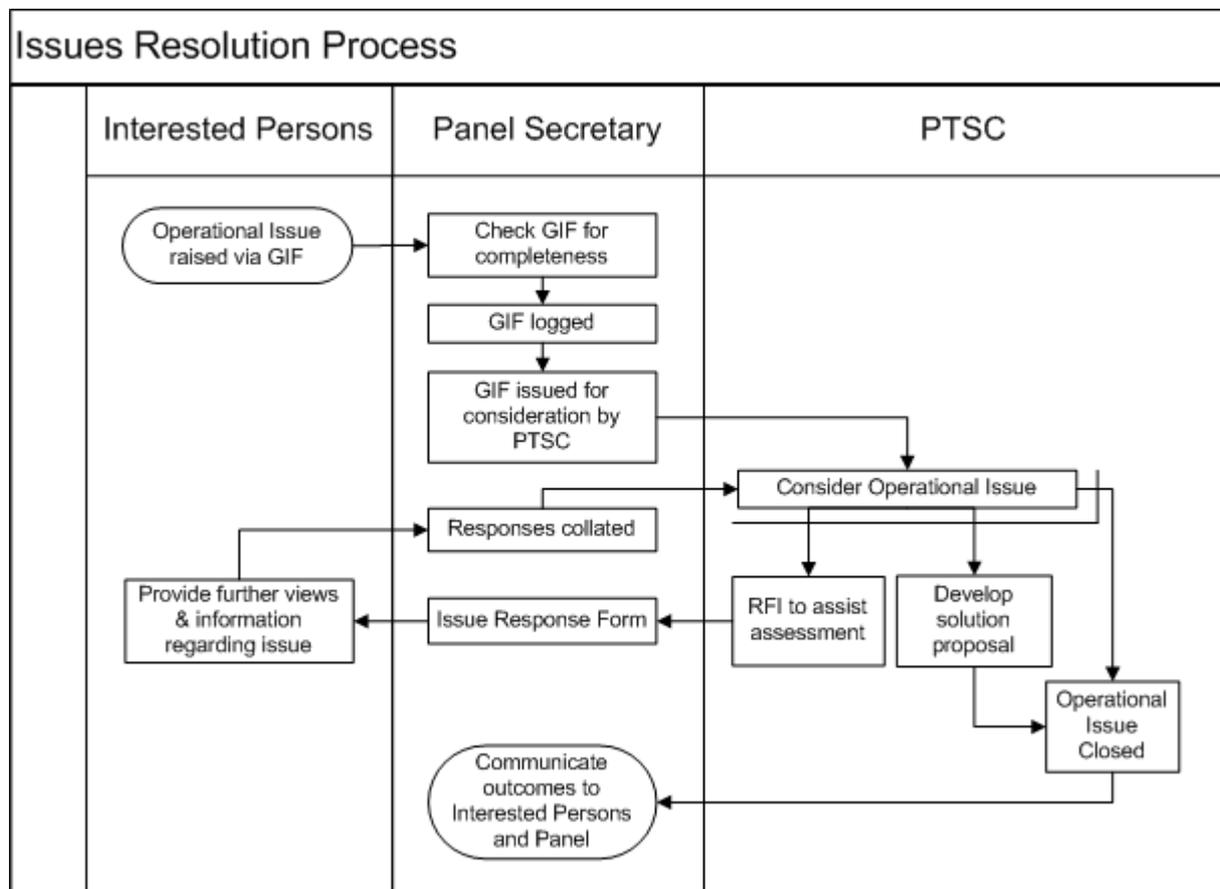
### 3.2.1 Raising an Operational Issue

Any Interested Person may raise an Operational Issue to the Panel Secretary by use of the GDA Issue Form (GIF). The person raising the issue will be referred to as the Proposer.

The Proposer should complete the GIF in line with the guidance in Annex A and must complete all fields unless stated otherwise. If no information is available for a field, or the field is not applicable, the Proposer should enter 'n/a' or 'unknown'.

On receipt of a request to raise an Operational Issue, the Panel Secretary will ensure that the GIF has been completed correctly. Incomplete or unclear GIFs will be returned to the Proposer for revision.

On receipt of a correctly completed GIF, the Panel Secretary shall record the Operational Issue and allocate a unique reference number for tracking purposes. Once logged, Operational Issues are progressed as illustrated in Figure 2 below, and further detailed in the following sections.



**Figure 2 – Progression of Issues**

**Note:** It is not mandatory for a party to raise an Operational Issue before progressing to a Change Proposal. The Issue Resolution process is provided to facilitate the resolution of (usually) complex issues that may have widespread impact and assist in the development of solutions. Any party may initiate a Change Proposal if they so wish, though it is strongly recommended that the matter is initially raised as an Operational Issue.

### **3.2.2 Scheduling New Issues**

New Operational Issues are presented at the first meeting of the PTSC held more than seven (7) Working Days later than their acceptance by the Panel Secretary.

In exceptional circumstances, if a completed GIF is received less than seven (7) but more than four (4) Working Days before a scheduled meeting of the PTSC, it may be presented at that meeting.

All new Operational Issues to be presented at a PTSC meeting are also circulated to Interested Persons, for information and to allow for feedback to PTSC.

### **3.2.3 Assessment of Operational Issues**

PTSC will consider each new Operational Issue presented, provided that the Proposer is present or represented by a nominee (which may not be the Panel Secretary) either in person or via teleconference at the meeting where the issue is first presented.

Should the Proposer or their nominee not be present, the issue will be deferred. This will ensure that PTSC is able to request further information, if required, to aid its understanding of the issue.

Subject to the above, PTSC will consider all Operational Issues on the agenda at that meeting and will determine the appropriate course of action. This may include:

- A request for further information from the Panel Secretary, parties, and/or other Green Deal Participants;
- Development of a proposed solution leading to the drafting of a CP proposing a Modification of the GDAA or a change to an Operational Procedure;
- Development of a draft Operational Procedure to address the Operational Issue; or
- Agreement that the issue does not require progression under this Procedure.

### **3.2.4 Requests for Further Information**

The PTSC may request further information from Interested Persons and any other relevant third parties in relation to an Operational Issue under consideration.

In this event, the Panel Secretary will issue a copy of the GIF and a Request For Information (RFI) form to affected persons. This form will give an outline of the Issue and request feedback on specific areas. The information to be included in the RFI form is set out in Annex B. Responses must be submitted via the RFI form and returned to the Panel Secretary by 12:00 noon on the due date shown on the form if they are to be included for consideration.

### **3.2.5 Development of Solution Proposals**

Where PTSC agrees that the Operational Issue requires a formal solution, parties will be notified of the need to develop the necessary CPs. Discussions at PTSC may inform the drafting of any such CPs.

Where a joint GDAA and MRA solution is to be developed, any related MRA Change Proposals previously notified to Panel will be considered in solution development.

### **3.2.6 Development of Operational Procedures**

Where PTSC has determined the need for a new Operational Procedure, this will be reported to the Panel, which may either direct the PTSC to develop the Procedure or create a separate sub-committee for this purpose. Any resultant draft Operational Procedure will then be subject to the Change Process outlined below.

### **3.2.7 Conclusion of Operational Issue Process**

Once PTSC has considered the Operational Issue and taken one of the courses of action outlined above, the Panel Secretary will ensure that the Proposer, Panel and Interested Persons are informed of outcomes.

At this point, the Operational Issue will be closed as having been resolved. If no party is willing to sponsor any proposed CPs developed by PTSC, they will not be progressed.

Once an Operational Issue is closed as having been resolved, any party wishing to revisit the same subject at a later date should raise a new Operational Issue. In these cases, the Proposer should ensure appropriate cross-referencing to the now closed original Operational Issue(s) as appropriate.

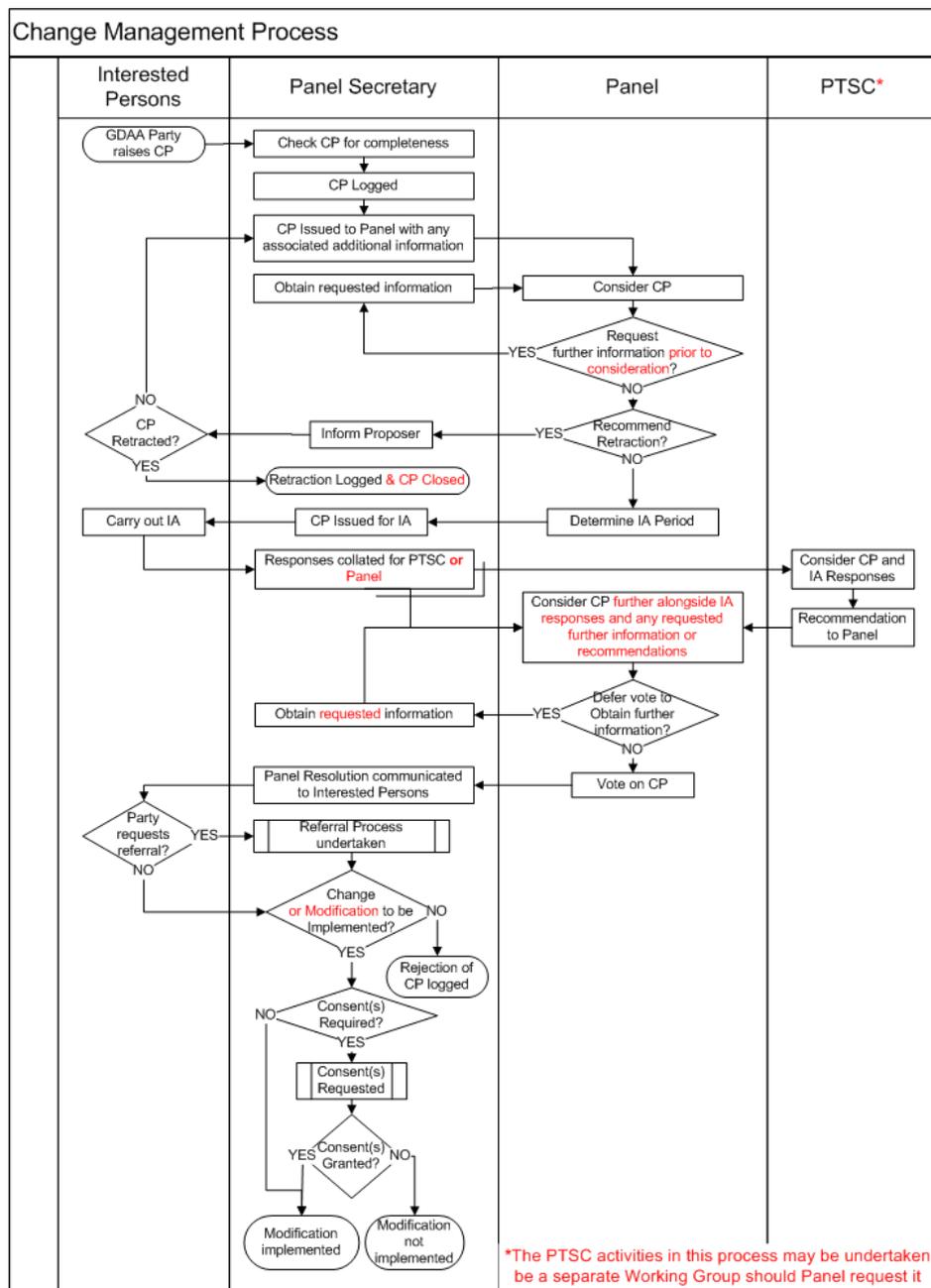
Where PTSC determines that no formal solution is required, this does not preclude any party from continuing to seek solutions via the Change Management Process.

## 4. CHANGE PROPOSALS

The Change Management Process is utilised to raise a request for a specified change to the GDAA or Operational Procedures. Any party may raise a CP at any time; however, it is recommended that material changes are first considered via the GDAA Issue Resolution process in order to assist in the development of the CP. Upon receipt of a CP, Panel shall agree the activities required to develop an agreed Modification to the GDAA, or new or revised Operational Procedure.

If the Proposer does not have a clear view as to the desired amendment, the matter should be raised as an Operational Issue to allow for solution development.

The overall process is illustrated in Figure 3 below.



**Figure 3 – Change Management Process**

The Panel Secretary will maintain a register of Change Proposals and their outcomes.

#### **4.1 The Role of PTSC**

In addition to its role in the Issue Resolution Process, the PTSC also has a role in the Change Management Process.

Under instruction of Panel, the PTSC will consider the responses to any Impact Assessment and develop a recommendation for progression of CPs.

Panel may also request further input from PTSC prior to a CP being issued for Impact Assessment.

#### **4.2 Change Reports**

The Panel Secretary will generate a Change Report to accompany each Change Proposal presented to Panel. This Change Report will provide information to assist Panel in their assessment, and will also be provided to PTSC where they are being asked to provide a recommendation in respect of a CP. Updated Change Reports will be provided at various stages in the process:

- On initial presentation to Panel;
- Where a Change is presented to PTSC for assessment;
- On presentation to Panel for further consideration or decision;
- Once the final outcome of the CP has been determined; and
- When any resultant Modification is sent to SoS, the Authority, and/or Finance Parties for consent.

#### **4.3 The Change Management Process**

##### **4.3.1 Drafting a Change Proposal**

When raising a CP, the originating party is expected to provide indicative drafting for all affected clauses of the GDAA and/or Operational Procedure(s). The Panel may, at its discretion, agree expenditure for an external resource to further develop drafting as part of the development of the CP.

##### **4.3.2 Raising a Change Proposal**

Any party may raise a CP. However, if the Proposer is not the Contract Manager of a party, a party's Contract Manager must sponsor the CP.

The raising party should complete a CP form as published on the GD ORB website from time to time and submit this to the Panel Secretary.

For all CPs, the form will contain information regarding the items set out in Annex C to this Procedure. The Proposer must complete all fields unless stated otherwise. If no information is available for a field, or the field is not applicable, the Proposer should enter 'n/a' or 'unclear'.

On receipt of a CP, the Panel Secretary will determine if all required information is provided. Incomplete or inaccurate forms will be returned to the Proposer for revision.

### **4.3.3 Scheduling Change Proposals**

With the exception of Urgent Modifications, Change Proposals are presented at the first meeting of the Panel following the raising of the CP. If a completed CP is received fewer than seven (7) Working Days before a meeting of Panel it will be presented at the following meeting.

In exceptional circumstances, a CP raised less than seven (7) but more than four (4) Working Days before a scheduled meeting of the Panel, may be presented at that meeting. Changes presented to Panel must be accompanied by a Change Report compiled by the Panel Secretary. This report will include any relevant additional information available, such as, a summary of any Operational Issues discussed by PTSC that relate to the CP, initial assessment of requirements for legal advice, and any related information from Energy Codes.

### **4.3.4 Assessment by Panel**

On presentation (or re-presentation) of a CP from the Panel Secretary, the Panel will determine the appropriate course of action, this may include:

- (a) Consideration of whether a CP should be progressed as an Urgent Modification where this has been requested by the Proposer;
- (b) Requesting that the Panel Secretary obtain further information regarding the subject matter for the CP, including but not limited to consideration by PTSC;
- (c) Requesting that legal advice is obtained, which may include alternative drafting;
- (d) Formation of a Working Group to further develop the CP;
- (e) Recommending that the proposer retracts the CP and raises an Operational Issue to allow further analysis of the issues that the change seeks to address; and
- (f) Agreeing a period for Impact Assessment by Interested Persons.

The Panel Secretary shall take appropriate actions to progress the change in line with instructions from the Panel.

Where the Panel has requested further information or legal advice, the Panel Secretary will re-present the CP and any accompanying updated Change Report to Panel once such information or advice has been obtained in line with Panel instruction.

Where the Panel has requested that a Working Group is established to consider a CP, the Panel Secretary will carry out required related activities as instructed by Panel.

Where a CP may impact matters governed under the MRA, this will be communicated as agreed between Panel and MEC from time to time.

#### **4.3.5 Urgent Modifications**

The GDAA requires that the decision-making process for any CP involves assessment by Interested Persons prior to a decision to accept or reject that CP being made by Panel. Timescales for such assessment and for implementation are set out in the GDAA and this Procedure.

However, under Clause 7.4 of the GDAA, where a Modification to the GDAA is proposed that the Panel determines is of an urgent nature, the Panel may decide to reduce the timescales for consideration of the CP accordingly.

If the Proposer of a CP wishes the Panel to consider such a course of action, they should inform the Panel Secretary accordingly when raising the CP. The Panel Secretary will then present the CP to the Panel for consideration as an Urgent Modification in accordance with Clause 7.4 of the GDAA.

When assessing Urgent Modification requests, the Panel will consider if the request is linked to an imminent or current issue that if not urgently addressed may cause:

- (a) A significant commercial impact on parties, consumers or other stakeholder(s); or
- (b) A GDAA party to be in breach of any relevant legal requirements.

Where the Panel determines that the CP should be considered as an Urgent Modification, it shall be issued to Interested Persons for Impact Assessment in line with any shortened timescales agreed by Panel.

If the Panel does not agree that the CP should be considered as an Urgent Modification, the Panel Secretary will inform the proposer, who may either retract the CP, or request that it is progressed in line with standard assessment periods. Where the Proposer does request that the change is progressed, the CP may be issued for Impact Assessment without further consideration by Panel.

#### **4.3.6 Alternative Changes**

Alternative changes may be required to be considered alongside the CP presented to the Panel where either:

- (a) Following consideration, including review of any advice obtained, the Panel agree that alternative drafting for any Modification to the GDAA, or change to an Operational Procedure is included alongside that provided by the Proposer; or
- (b) One or more other parties have raised a parallel CP that seeks to address the same issue via a different solution.

Where this is the case, Panel will give equal weight to all alternatives raised in their consideration of the proposed Modification to the Agreement or change to an Operational Procedure, and all relevant information will be provided to Interested Persons for Impact Assessment so that they may comment on all alternative proposals.

#### **4.4 Retraction of Change Proposals**

The Proposer of a CP may retract it at any stage in the change process up to the point where the Panel vote on the proposed Modification to the Agreement or change to Operational Procedures.

This may occur (for example) following advice from the Panel, or where an alternative change is raised that better addresses any issue that the CP was seeking to resolve.

Where a party wishes to retract a CP, they should notify the Panel Secretary by email or other means as agreed. The Panel Secretary will inform Panel of the retraction accordingly.

#### **4.5 Impact Assessment**

##### **4.5.1 Assessment Periods**

This Operational Procedure provides for a minimum period of ten (10) Working Days for Interested Persons to assess Change Proposals. In practice, some CPs will be complex and necessitate a longer Impact Assessment period for parties. In recognition of this, Panel will confirm the Impact Assessment period for each CP presented to it.

The Impact Assessment period will always end seven (7) Working Days prior to either:

- (a) A Panel meeting; or
- (b) Where requested by Panel, a PTSC meeting to allow for PTSC consideration of comments received prior to consideration by Panel.

Where the Proposer considers that the change is of an urgent nature, they may request a shortened Impact Assessment and implementation period by requesting the Panel Secretary to present the CP to the Panel as being related to an Urgent Modification as set out in Section 4.5 above.

##### **4.5.2 Issuing Change Proposals for Assessment**

Within five (5) Working Days of the confirmation of the Impact Assessment period, the Panel Secretary will distribute a CP pack containing the CP(s) requiring Impact Assessment and any accompanying information as agreed by Panel to all Interested Persons showing the proposed implementation date for any agreed Modification or change

The CP pack will also be circulated to the Panel for information; and confirm the deadline for return of responses. Interested Persons will usually have at least ten (10) Working Days to undertake Impact Assessment.

Where a previously considered CP has been significantly modified following Impact Assessment, or more information has been provided, the CP may be re-issued for further Impact Assessment. In this event, the version number for the CP will be incremented.

### **4.5.3 Assessment by Interested Persons**

Interested Persons will be invited to review the CP to assess any technical, business or implementation impact of the proposed change on their organisations.

Impact Assessments must be submitted via a response form that includes the information as set out in Annex D to this Procedure.

Responses must be returned to the Panel Secretary by 12:00 noon on the due date shown on the CP pack if they are to be included for consideration. Responses should indicate agreement or rejection of the proposed Modifications or changes and their implementation date. If a solution or implementation date is rejected, the responder must state their reason for rejecting it.

The CP form will indicate the Proposer's view as to which parties are affected by the change. If a party believes they are affected but this is not reflected in the CP form, they should indicate why the change affects them in their Impact Assessment response.

The Panel Secretary will collate all responses and either:

- (a) Circulate these to Panel at least five (5) Working Days before the Panel meeting at which the CP is to be considered; or
- (b) Under instruction from Panel, circulate these to PTSC five (5) Working Days before the PTSC meeting at which the CP is to be considered.

In either event such circulation is not to be more than ten (10) Working Days after the IA response deadline.

Papers to support the CPs for consideration will include:

- All the responses received by the due date; and
- A summary of the acceptances/ rejections for the solution(s) and implementation date(s) broken down by GDAA party category.

### **4.5.4 Recommendation to Panel**

Where requested to do so by Panel, PTSC will consider the Impact Assessment responses submitted and agree a recommendation to the Panel on each CP via an updated Change Report, which will include:

- The latest version of the Change Proposal;
- A summary of responses to the impact assessment by Interested Persons;
- Indications of support or otherwise from Interested Persons;
- Relevant extracts of the minutes of each GDAA meeting which discussed the CP and any other documents related to those discussions;
- The PTSC recommendation for progression or rejection of the change; and
- Any other supporting information as requested by Panel.

If PTSC recommends Panel rejects a CP, it shall provide its reasons.

### **4.5.5 Panel Consideration of Change Proposals**

Following parties Impact Assessment, and any consideration by PTSC, Panel will further consider the CP and, via resolution and in accordance with Clause 7.3 of the GDAA, may:

- a. Defer a decision on the CP;
- b. Accept the CP; or
- c. Reject the CP.

As further detailed below.

#### **4.5.6 Defer**

Where the Panel elects to **Defer** its decision on a CP, it may request that any or all of the following are undertaken:

- a. The CP is further developed by the Proposer, PTSC, or a Working Group established for that purpose; or
- b. External expert advice is obtained;

The CP shall be re-presented for consideration following the completion of such activities as Panel has requested.

Where in the opinion of Panel, substantively different solutions are required; the Panel may instruct that an updated CP be re-issued for Impact Assessment and further review by PTSC.

#### **4.5.7 Accept**

- a. Where the decision is to **Accept** the CP, the Panel agrees the final form of the Modification to the GDAA or changes to Operational Procedures along with an implementation date. This acceptance may reject the original drafting proposed, and accept an alternative, so long as both have been presented to Interested Persons for Impact Assessment.

Once a Modification to the GDAA is agreed via resolution, it is presented to the SoS (and Authority, if appropriate) for consent.

Where required, the proposed Modification may also be issued to GDAA Finance Parties for their agreement as set in the Finance Priority Provisions in Clause 7.1 of the GDAA.

Where the Panel agrees a new or amended Operational Procedure, there is no requirement to obtain any of the above consents.

#### **4.5.8 Reject**

Where the decision is to **Reject** the CP, the matter is considered closed.

#### **4.5.9 Notification**

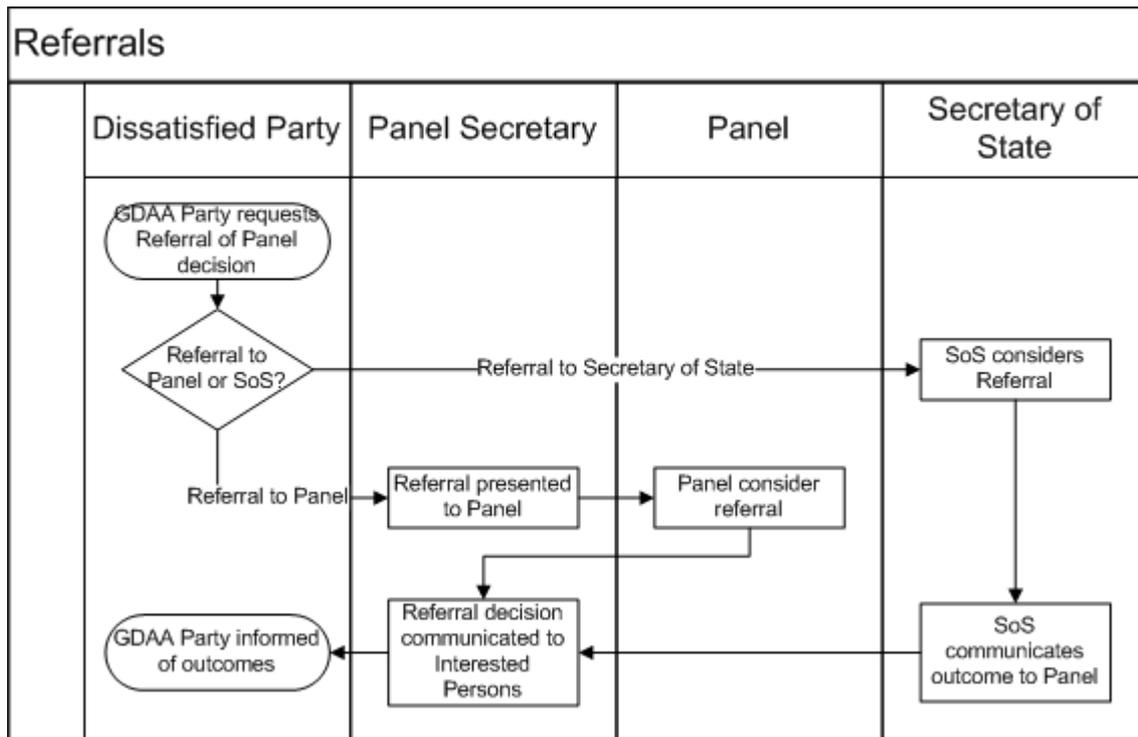
Panel's decisions are published in the minutes circulated to all Interested Persons within five (5) Working Days of the meeting.

## 4.6 Referrals

Clause 5.13 of the GDAА allows that, where, any party is dissatisfied with any resolution passed by the Panel, they may either

- (a) refer the matter back to the Panel for its reconsideration; or
- (b) refer the matter to the Secretary of State for a decision,

This includes decisions made in relation to Modifications to the Agreement or changes to Operational Procedures, as summarised in Figure 4 below.



**Figure 4 – The Referrals Process**

Any referral back to the Panel must be received by the Panel Secretary within ten (10) Working Days of the minutes of the relevant Panel meeting being circulated.

Where such a referral is received, the Panel shall consider the request at its next meeting that occurs at least ten (10) Working Days after the date the request is received by the Panel Secretary.

Any decisions referred back to Panel shall not have effect until such time as Panel have considered the grounds for referral and either confirmed the original resolution or agreed the referral.

Where a decision is referred to the Secretary of State, any resolutions of Panel will not have effect until the Secretary of State makes a determination on the referred decision, and informs the Panel accordingly.

Where the Panel makes a determination regarding a Referral, or receives a determination from the Secretary of State, the Panel Secretary will, at instruction of Panel, communicate outcomes to Interested Persons.

## 4.7 Consents to Modify the Agreement

All Modifications to the GDAA require consent of the Secretary of State. Modifications to certain clauses, as defined in the GDAA, also require Authority consent, and/or the explicit agreement of GDAA Finance Parties prior to implementation.

Accordingly, once the deadline for a party to provide a notice of referral in respect of a decision by Panel has passed without such referral having occurred, the Panel Secretary will make a request to the Secretary of State and (where appropriate) the Authority and/or GDAA Finance Parties for consent to modify the GDAA in line with the process summarised in Figure 5.

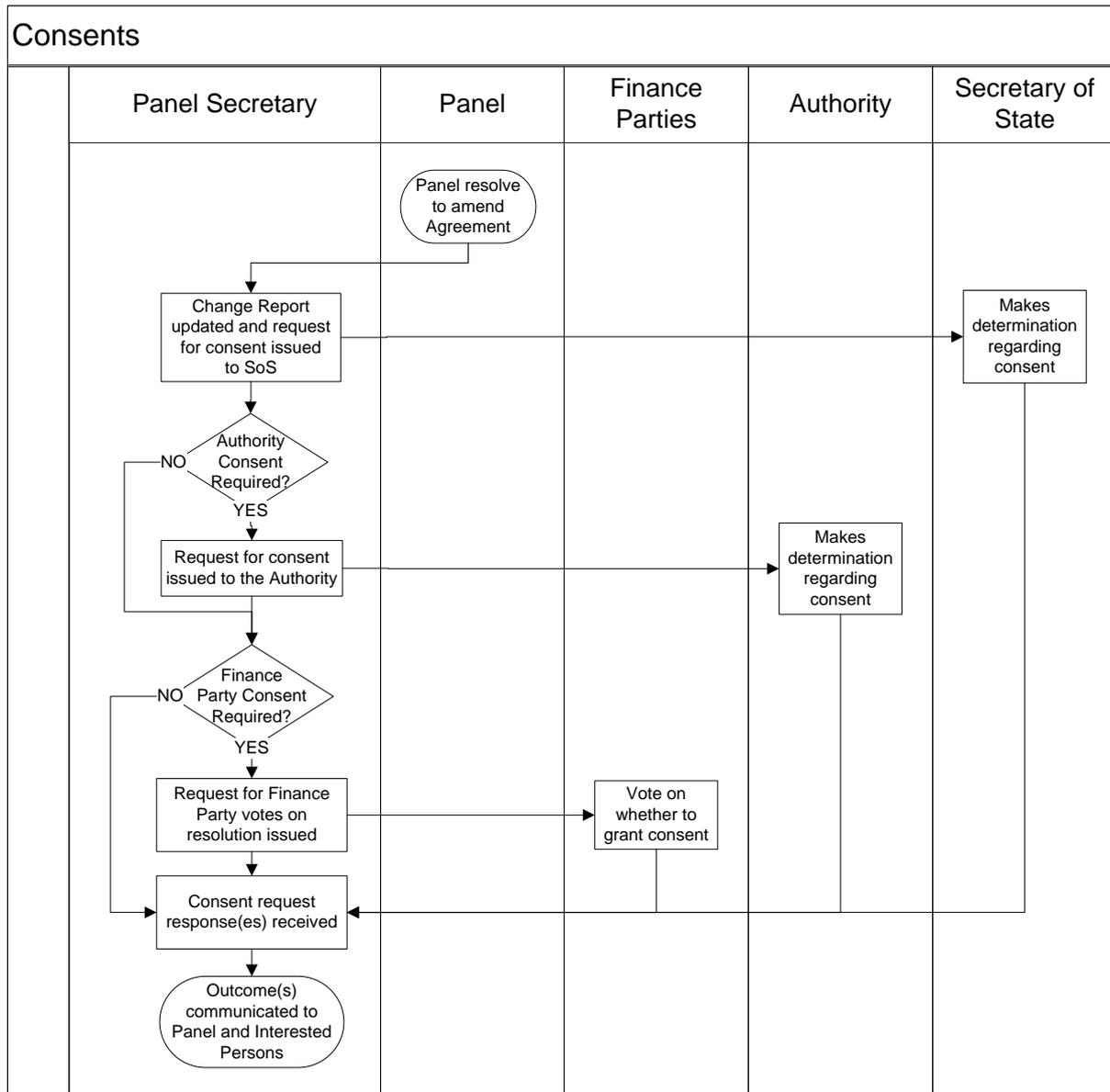


Figure 5 –The Consents Process

The Panel Secretary will provide sufficient information to the Secretary of State and (where applicable) the Authority to allow them to make determinations regarding proposed changes in accordance with the criteria set out in the Agreement.

Where Finance Party Consent is required, the Panel Secretary will inform Finance Parties accordingly, including the criteria under which their vote is required as set out in the Agreement.

The Panel Secretary will inform the Panel where responses to requests for consent to Modify the Agreement are received, and once all required responses are received, all Interested Persons will be informed of outcomes.

Any requested Modification to the Agreement will only have effect where all required consents are received and agree to the Modification.

**4.8 Conclusion of Change Management Process**

Once a CP is closed as having been implemented or rejected, including not receiving the appropriate consent(s), any party wishing to subsequently revisit the same subject should raise a new Change Proposal. In these cases, the Proposer should ensure appropriate cross-referencing to the now closed original CP(s) as appropriate.

## 5. IMPLEMENTATION OF MODIFICANTIONS and CHANGES

### 5.1 Releases

Updates to the GDAA and Operational Procedures will usually have effect on three dates in each calendar year:

- The last Thursday of February;
- The last Thursday of June and; and
- The first Thursday of November.

This is in line with change implementation schedules for Energy Codes, thus allowing for aligned implementation of changes where appropriate. Most Modifications and changes will be implemented on one of the above release dates, though they can be implemented at other times, if required. Updated versions of the GDAA and Operational Procedures will be published on the above dates.

Where a Modification or change is agreed that falls outside this schedule, it shall have effect from the date agreed by Panel, even where an updated version of the GDAA or Operational Procedure is not published on the same date.

### 5.2 Implementation

Unless directed otherwise by the Secretary of State, all Modifications and changes will be implemented on the later of:

- The implementation date agreed by Panel; or
- Five (5) Working Days after all required consents are granted.

The Panel Secretary will communicate to all Interested Persons when a Modification or change has been implemented. If a CP has been implemented outside the release schedule, this will be noted both in the communication and on the GD ORB website.

## Annex A – GIF information requirements

Field Name	Notes
GDAAs Issue Reference	This will be assigned by Panel Secretary.
Urgent Issue	This will be completed as “Yes” or “No”. Urgent issues are those which prevent the market from operating as designed and where there is a serious material impact on parties as a result.
Date of Issue	This will be completed by Panel Secretary and will be the date on which the GIF was circulated to parties and others for assessment prior to PTSC.
Issue Title	The short name for the issue raised.
Version Number	Completed by Panel Secretary and updated if any changes are made between the Proposer raising the issue and its resolution.
Document(s) Affected	The Proposer will be able to indicate the GDAAs and/or Operational Procedures affected by the issue.
Proposer’s Details	The Proposer may be a representative of a GDAAs party or other Interested Person.
Summary of Issue	This should set out an overview of the issue in 50 words or fewer.
Affected Codes and Agreements	This field should be used to note the Proposer’s view of any impacts on the Framework Agreement, the Code of Practice, Energy Codes, or other regulations.
Affected Industry Participant Roles	The Proposer will indicate which GDAAs parties and or Interested Persons are, in their own opinion, affected by the issue. This may include Electricity Supplier, Green Deal Provider, Finance Party and Remittance Person.
IT/ Systems Impact	The Proposer will indicate if, in their own opinion, the issue impacts IT/ Systems only.
Related CPs	Where an issue has arisen from a CP, this will be cross-referenced.
Related Issues	There may be occasions where an issue is related to a previously raised issue. This will be referenced in order to provide further information to PTSC.
Attachments	The organisation raising the issue will provide details of any supporting information provided with the GIF.
Priority Provisions Impact	Where there is an impact on Authority and/or Finance Priority Provisions as defined in the GDAAs, this should be indicated, including which clauses are affected by either the issue or any proposed solution.
Description of Issue	A detailed description of the issue identified. This may include technical information and examples (or reference to it) as appropriate and should be sufficiently detailed to allow PTSC to consider the issue. It should also provide cross-reference to the relevant GDAAs clause(s) and/or Operational Procedures.
Impact Assessment	This section outlines, in the view of the Proposer, the impact on Interested Persons of the issue presented for consideration.
Proposed Solution outline	Where a potential solution for the issue has been identified, an outline should be provided to assist PTSC in its assessment of the issue.

## Annex B – RFI form information requirements

Field Name	Notes
<b>Section 1 – Request for Information (completed by Panel Secretary)</b>	
RFI Reference	This will be assigned by the Panel Secretary.
GDAAs Issue Reference	This will be the reference(s) used in the relevant GIF(s) as originally assigned by the Panel Secretary.
Date Issued To Industry	This will be the date on which the response form was circulated to parties and others for assessment and review feedback.
Response Deadline	The final date for receipt of feedback by the Panel Secretary. This will normally be 7 WDs prior to a PTSC or Working Group meeting.
Title	The short name for the Issue raised.
Question (1-n)	Questions designed to elicit specific response from impacted industry participants. The Proposer may be requested to draft these questions
Attachments	Any supporting information which will assist with assessment, to include the related GIF(s).
<b>Section 2 – Response Form</b>	
Respondent's Details	Details of the person responding, including name, contact details, and organisation.
Response Date	The date on which the response was provided to the Panel Secretary.
Remain Anonymous	A responder may request their response is anonymised when presented back to PTSC or the relevant Working Group.
Assessment Summary	A summary response to the request, providing an overview of feedback.
Response	Responses to specific questions as set out in Section 1.

## Annex C – CP information requirements

Field Name	Notes
GDAA CP Reference	This will be assigned by the Panel Secretary and will uniquely identify the CP and any whether it relates to the GDAA or an Operational Procedure.
Change Type	This will be either a proposed Modification to the GDAA itself, a change to a named Operational Procedure.
Change Class	This will be: <ul style="list-style-type: none"> <li>• A “housekeeping” change to make minor amendments to drafting where there is no material impact;</li> <li>• A “standard” change which will follow the processes set out in this Procedure and will have some material impact; or</li> <li>• An Urgent Modification to the GDAA requiring a Panel decision pursuant to Clause 7.4.</li> </ul>
Date Issued To Industry	This will be completed by the Panel Secretary and will be the date on which the CP was circulated to Interested Persons for Impact Assessment.
Change Title	The short name for the CP. This will be completed by the Proposer and agreed with the Panel Secretary.
Version Number	Completed by the Panel Secretary and updated if any changes are made between the Proposer raising the CP and the conclusion of the process.
Proposer’s Details	The Proposer shall be a representative of a GDAA party.
Proposer Reference	Optional; may be left blank.
Sponsor’s Details	All requests shall be sponsored by the Contract Manager of a GDAA party.
Summary Of Change Proposal	This should set out an overview of the proposed change in 50 words or fewer.
Baseline Version	This is the version of the GDAA or Operational Procedure against which the changes are to be made. This could be the current or a future version dependant on changes already agreed and the proposed implementation lead-time.
Proposed Assessment Period	This should give the Proposer’s view of the maximum period which needs to be given to allow for assessment by industry participants, noting that the assessment period must be a minimum of 10 WDs. This period should take into account the urgency and complexity of the proposed change.
Affected Codes And Agreements	This field should be used to note the Proposer’s view of any impacts on the Framework Agreement, the Code of Practice, Energy Codes, or other regulations.
Affected Industry Participant Roles	The Proposer will indicate which GDAA parties and/or Interested Persons are, in their own opinion, affected by the proposed change. This may include Electricity Supplier, Green Deal Provider, Finance Party and Remittance Person.
IT/Systems Impact	The Proposer will indicate if, in their own opinion, the change impacts IT/Systems only.
Related GDAA Issues	Where a CP has been generated following consideration of an Operational Issue, this will be cross-referenced.
Related Changes	If there are any associated CPs, this should be made clear on the CP form along with any known details of the status of the associated change. The assessment period and implementation date of such changes (if known) should be taken into consideration when raising the CP.
Attachments	The organisation raising the CP will provide details of any supporting information provided with the CP form, including drafting.
Description Of Change	This should clearly state the desired amendment to the GDAA/Operational Procedure. Drafting against the affected version must always be submitted with the CP form.

Field Name	Notes
Impact Assessment	This section is mandatory and should outline the impact on GDAA parties and/or other Green Deal participants of the change being proposed, including the issue being addressed.
Proposed Implementation Date	The Proposer's view of the length of time is required to develop and implement the proposed solution once required CPs are agreed. This may be the specific date of a scheduled release or other date as appropriate. This should take into account the following guidelines: 6 months minimum for changes impacting systems and software; 4 months minimum for changes impacting Operational Procedures; 2 months minimum for changes to documentation only.

## Annex D – IA response information requirements

Field Name	Notes
<b>Section 1 – Responder Details</b>	
Respondent's Details	Details of the person responding, including name, contact details, and organisation.
<b>Section 2 – Response to Change Proposals</b>	
CP Reference	This will be the reference(s) used in the relevant CP as originally assigned by the Panel Secretary.
CP Title	The short name for the item requiring impact assessment, as per the CP.
Support for the CP	Respondent chooses from Yes / No / Neutral. A respondent may also give conditional support, provided conditions are specified.
Support for the Implementation Date	Respondent chooses from Yes / No / Neutral. A respondent may also give conditional support, provided conditions are specified.
Comments	If conditional support is given, conditions are specified here. If the respondent does not support the CP and/or Implementation Date, they must state their reason(s) here.