

# I-SEM Programme Project Office Programme Change Control Procedure

Version: 1.1

FINAL

Date: 8 March 2017

**Document Control****Production**

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**Amendment History**

<b>Version</b>	<b>Reason</b>	<b>Date</b>
0.01	Initial draft for internal review	01/07/2015
0.02	Amended for Programme-wide use	24/02/2016
0.03	Updated to reflect TSO comments	14/03/2016
0.04	Draft final submitted for JPB approval	6/04/2016
1.0	Approved by JPB	12/04/2016
1.1	Updated to include CC for changes to baseline policy documents and approved by JPB	08/03/2017

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## 1. Introduction

### 1.1 Purpose and Audience

This document sets out the Change Control procedure to be followed by all parties within the I-SEM Programme. Specifically, it defines how Change Requests should be raised, accepted, assessed for impact, approved and implemented.

### 1.2 Scope

The I-SEM Agreed Approach Document requires that a Change Control process must be approved by the I-SEM Steering Group. This process should be in line with recognised industry standards.

To comply with this overall requirement for I-SEM Programme delivery, a standard process is needed to manage all proposed changes to the baselined programme time, cost or quality, which impact on two or more parties within the overall programme.

In this context:

- Baselined time = unrecoverable slippage to any milestone on the Level 2 programme plan (and by inference, also Level 1 milestones);
- Baselined cost = any proposed variance from the agreed financial envelop for the I-SEM Programme; and
- Baselined quality = the scope and functionality of the I-SEM, as set out in the design documentation and specifications to be baselined Dec 2015 onwards, on which two or more parties depend.

A party is any one of:

- CER and UR, acting jointly;
- TSO – in its delivery role;
- the Interconnector Owners (ICOs) – in their delivery roles; or
- any other stakeholder involved in the I-SEM Programme e.g. TSO in any other role, generators, suppliers.

The Change Control process should not be used for non-baselined documentation or management products such as minutes of meetings, or interim products such as working papers, registers or action lists; these changes should be managed 'internally' by the various workstream managers and PMO.

The Regulatory Authorities have overall responsibility for defining and maintaining the Change Control procedure, and changes to it will be managed through the RA I-SEM Project Office.

### 1.3 Document Structure

Following this introduction, the remainder of this document is structured as follows:

- Section 2 – Key Terms: provides a general overview of the key terms used in this document;
- Section 3 – Overview of the Change Control process: summarises the Change Control process that will be adopted by the I-SEM Programme, and its key features;
- Section 4 – Stages in the Change Control process: sets out the detailed steps for each of the four stages of the Change Control process;
- Section 5 - Change Control Process – Exceptions: describes exceptional circumstances which require variances of the standard Change Control process should they arise; and
- Section 6 – Change Request Template: contains the template to be used for the submission of Change Requests and for Change Request Impact Assessments.

## 2. Key Terms

This section provides a general overview of the key terms used in this document.

### **Change Control Process**

The practice of ensuring that Change is managed and applied in a controlled manner, as set out in this document.

### **Change Request**

A formal request for a change to a component of the I-SEM programme / project baseline, raised under the procedures set out in this document.

### **Change Originator**

A party / individual authorised to raise Change Requests. Authorised parties / individuals will include the Regulatory Authorities, the TSO (in its delivery role), and the Interconnector Owners (ICO).

### **Change Sponsor**

The JPB representative of the organisation raising the change. The Change Sponsor is responsible for ensuring the Change Request is reasonable within the overall objectives of the I-SEM Programme.

### **Change Request Impact Assessor**

The person / team / organisation completing the Impact Assessment.

### **(Change Request) Impact Assessment**

The process of reviewing a Change Request to assess its impact on I-SEM matters (e.g. design project schedule, possible external impact, etc.). Impact Assessments should contain details of the incremental effort and costs associated with the implementation of the change.

### **Change Register**

The I-SEM PMO will maintain a register of raised change requests for tracking progress and reporting. All impacted parties will be able to view approved and pending requests in the Change Register. Requests for Impact Assessment will be automatically sent to all members of the relevant Participant Liaison Group(s). Requests for approval will automatically be sent electronically to approvers.

### **Joint Project Board**

The body comprising representatives of the RAs and the TSO, charged with responsibility for I-SEM project oversight, as set out in the I-SEM Agreed Approach Document. The ICOs are not formally members of the JPB, but will be invited to attend any meetings which consider any CRs for which they are the Change Sponsor.

### **Joint Project Liaison Group**

The senior Project Managers from each of the RAs and the TSO, responsible for the day to day management of the I-SEM delivery.

### **Participant**

Any other organisation involved in the delivery of the I-SEM programme, outwith the Regulatory Authorities, the TSO (in its delivery role), and the Interconnector Owners (ICO).

### **Participant Liaison Group(s)**

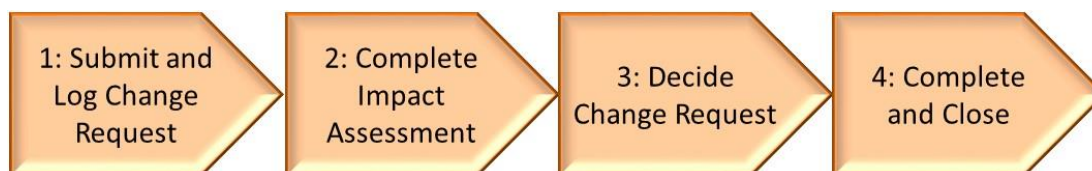
Any one, or more, of the four participant groups who may be requested to conduct an Impact Assessment on a CR. The four groups include the Project Managers' Group, the Technical Liaison Group, the Business Liaison Group and the Rules Working Group.

### 3. Overview of the Change Control Process

This section summarises the Change Control process that will be adopted by the I-SEM Programme, and its key features.

#### 3.1 Overview of the Process

The Change Control process has four key stages:



The detailed steps within each stage are set out in Section 4, but in summary:

- **Submit and Log Change Request:** the CCC (Change Control Co-ordinator) will log all requests to change any element of the Programme's time, cost or quality baseline
- **Complete Impact Assessment:** the Joint Project Liaison Group (JPLG) will review all CRs, and arrange an impact assessment where this is required from one or more I-SEM parties
- **Decide Change Request:** the Joint Project Board (JPB) will consider the CR and any associated impact assessments. It will decide minimum and moderate impact CRs, and make a recommendation to I-SEM Steering Group for significant impact CRs
- **Complete and Close:** for approved CRs, the CCC will co-ordinate the required updates to any baseline documentation (plans, cost estimates, specifications). For rejected CRs, the CCC will notify the party raising the CR of the JPB's decision. Finally, the CCC will close the CR.

#### 3.2 Classification of Change Requests

Change Requests will be classified by potential impact as shown in the table below.

	Minimum Impact	Moderate Impact	Significant Impact
Time	No change to existing Level 1 or 2 milestones	Change to Level 2 milestone but Level 1 unimpacted	Change to Level 1 milestone
Cost	No financial impact	Financial impact ≤ €1m	Financial impact > €1m
Quality	No change to delivered product e.g. insertion of clarificatory para in design documentation	Delivered product unchanged but approach is different (e.g. workaround), or change to non-critical functionality	Change to critical functionality

#### 3.3 Approval of Change Requests

The Agreed Approach Document delegates approval of Change Requests to the Joint Project Board, but notes that this will be bounded by reasonable tolerances.

The I-SEM Steering Group has agreed the following interpretation of this:

- Minimum and Moderate Impact CRs will be decided by the Joint Project Board (JPB);
- the I-SEM Steering Group will decide all Significant Impact CRs, on consideration of a JPB recommendation.

### **3.4 The Change Register**

A register of all CRs will be maintained by the CCC. The Change Register can be found at <http://www.sem-o.com/isem/Pages/Home.aspx>.

The CCC will be responsible for maintenance of the Change Register, including:

- logging all CRs on receipt;
- updating the status of a CR as it progresses through the process;
- recording the decision on a CR; and
- closing the CR on completion of the process.

### **3.5 Role of Other Stakeholders in the Change Control process**

The Change Control process applies to the RAs, the TSO (in its delivery role), ICOs, and all other stakeholders in I-SEM (including the TSO in any other role).

The RAs, TSO (in delivery role), and ICOs will be able to raise a CR.

All other stakeholders will be fully involved in any relevant Impact Assessments through the relevant Participant Liaison Group.

All stakeholders in the I-SEM Programme will have full visibility of the Change Register, and thus the status of any CR, excluding any CRs deemed by the JPB to be commercially confidential.

Other stakeholders will not be able directly to raise a CR. Instead:

- they will be able to raise a query through the Query Management Process (being run by the TSO's Participant Engagement Workstream);
- if the resolution of a query identifies the need for a CR, this will be raised on behalf of the participant(s) by the RA, TSO or ICO as appropriate; and
- if the participant believes that a CR is required to resolve his query, but the Query Management Process concludes otherwise, the participant may dispute this by raising the matter with the relevant RA in the first instance.

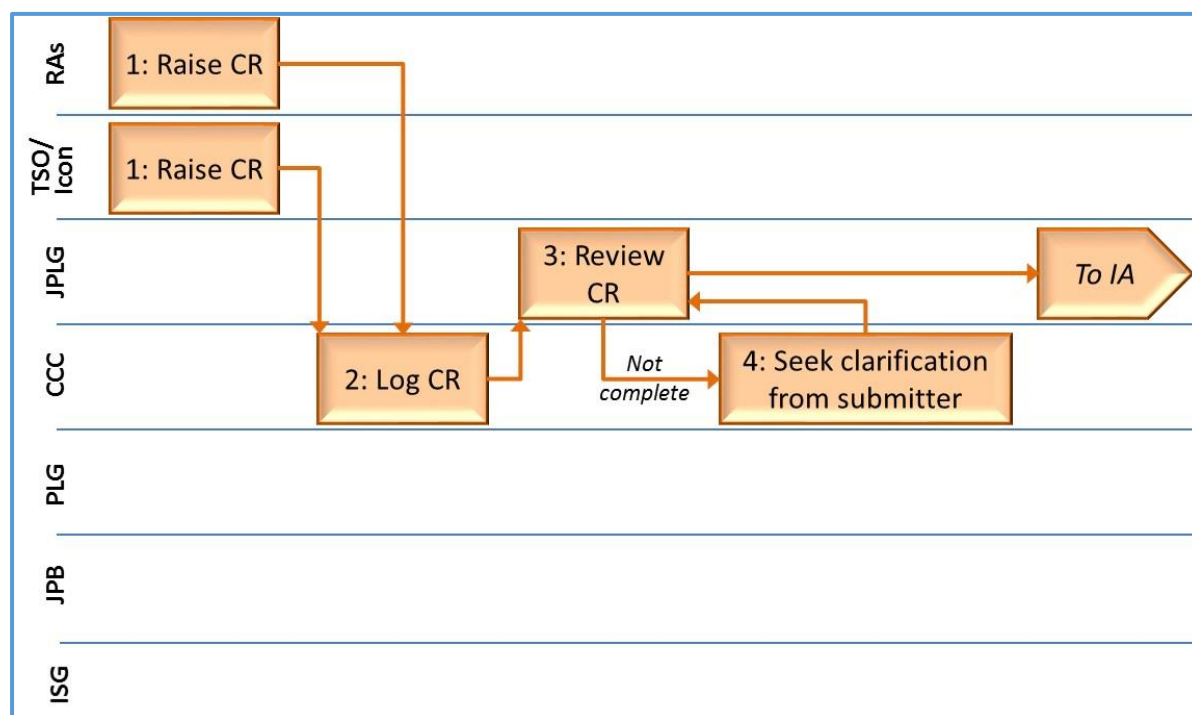
## 4. Overview of the Change Control Process

This section sets out the detailed steps for each of the four stages of the Change Control process.

A 'swimlane' diagram is provided for each of the four stages. The parties involved in the CC process (shown as swimlanes on each diagram) include:

- RAs – CER and UR, acting jointly;
- TSO – in its delivery role;
- Interconnectors – in their delivery roles<sup>1</sup>;
- JPLG – Joint Project Liaison Group, comprising the senior Project Managers from each of the RAs and the TSO;
- CCC – Change Control Co-ordinator, a function of the I-SEM PMO;
- Other SH – any other stakeholder in I-SEM, including the TSO in any other role;
- PLG – one or more of any of the four Participant Liaison Groups;
- JPB – Joint Project Board; and
- ISG – I-SEM Steering Group.

### 4.1 Stage 1: Submit and Log CR



#### Step 1.1: Raise Change Request(s) using Change Request form

The Change Originator (the RAs, TSO or ICO) must first complete the necessary CR information on the I-SEM Programme Change Request Form using the agreed template (see Section 5 for further details). The CR must be (electronically) signed by the Change Sponsor.

<sup>1</sup> Note in the swimlane diagrams the ICOs' delivery roles are considered similar to that of the TSO, and their swimlanes thus combined



Once completed, the CR form should be submitted electronically to the CCC at I-SEMproject@sem-o.com. The CR must provide a detailed description of the change. The Impact Assessment section should identify the I-SEM programme / project components that the CR might impact.

**Step 1.2: Log Change Request**

Upon receipt of the CR, the CCC will review it and liaise with the Change Originator to ensure that the template is correctly completed.

The CCC will then:

- allocate a unique reference number to the CR;
- record the CR key details in the Change Register; and
- notify the Change Originator of the acceptance of the request and the reference number.

**Step 1.3: Review Change Request**

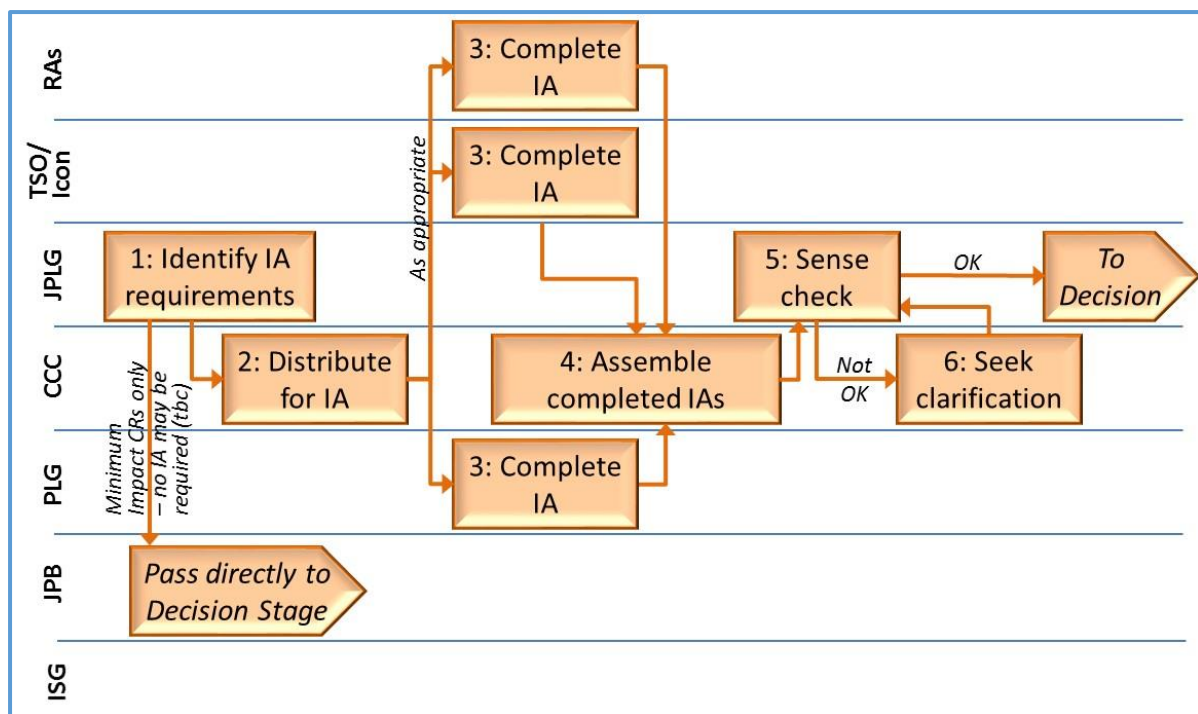
Based on the information received from the CCC and the Change Sponsor, the JPLG will review the CR and confirm that it is sufficiently described to continue through the Change Control process. The JPLG may decide:

- to proceed with the CR (continue from Stage 2); or
- to seek further information from the Change Sponsor (see Step 1.4).

**Step 1.4: Seek clarification from submitter**

The JPLG may require further information on the CR before deciding to consider it further. The I-SEM PMO will record this decision on the Change Register. It will also seek this information from the Changer Sponsor (via the Change Originator), and on receipt, the CR will be returned to the JPLG for further consideration.

**4.2 Stage 2: Impact Assessment**



**Step 2.1: Identify IA Requirements**

Once the JPLG agree that the required information for a CR is complete, they will identify the parties likely to be impacted by its approval. The CCC will record the decision on the Change Register and notify the Change Originator of this decision.

For Minimum Impact CFRs only, the JPLG may decide that an Impact Assessment is not required. The CR will therefore proceed directly to Stage 3 (the Decision Stage).

For all other CRs, the JPLG will identify the relevant parties who should complete an Impact Assessment. The appropriate body may be one or more of:

- the RAs;
- the TSO; and / or
- any I-SEM Participants. Unless otherwise agreed by the JPB, all IAs which involve the latter group will be co-ordinated through the appropriate Participant Liaison Group. The liaison group may nominate a sub-group to undertake IAs of highly specialist or technical CRs, as appropriate.

### ***Step 2.2: Distribute for IA***

The CCC will distribute the CR to the relevant parties and / or Participant Liaison Groups for Impact Assessment.

The timescales for IA completion will start on the date of CR distribution by the CCC. By default, following timescales will apply:

- five working days for Minimum Impact CRs;
- ten working days for Moderate Impact CRs; and
- twenty working days for Significant Impact CRs.

If any party assessing the change believes that the time to perform the assessment is greater than that, the CCC must be informed of the reasons for this within three working days of receipt of the IA. The CCC will then liaise with the JPLG and JPB to determine whether a longer period is acceptable.

### ***Step 2.3: Complete IA***

Following receipt of a CR, impacted parties will perform a detailed assessment to determine the effect of the CR on their workstream from project, assumptions, dependencies, detailed design, financial and implementation perspectives.

Impacted parties must complete the Impact Assessment section of the CR (see Section 5 for further details) when providing an Impact Assessment.

### ***Step 2.4: Assemble completed IAs***

On expiry of the time period allowed for IA, the CCC will assemble all completed Impact Assessments for review by the JPLG.

### ***Step 2.5: Sense check***

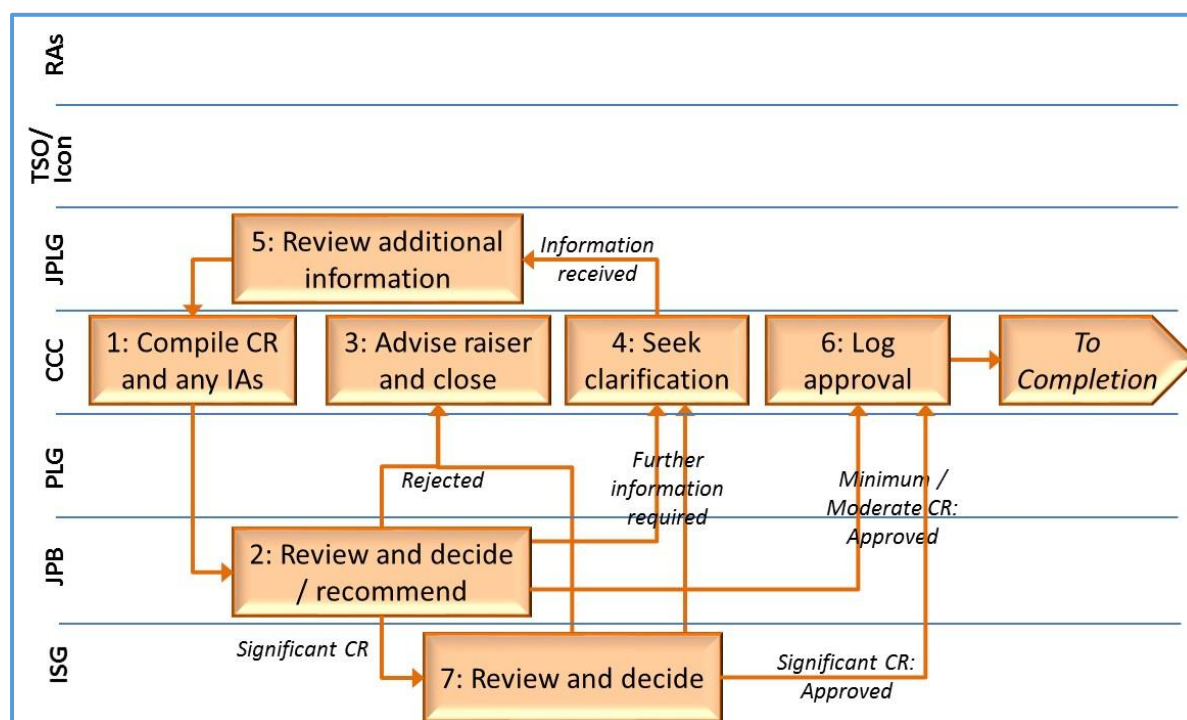
The JPLG will review all completed Impact Assessments, to ensure all aspects of the proposed change are understood and all impacted parties have an agreed position as to the overall impact of the change. The JPLG may decide:

- to proceed with the CR (continue from Stage 3); or
- to seek further information from the Change Sponsor (see Step 2.6).

### ***Step 2.6: Seek clarification***

The JPLG may require further information on an Impact Assessment(s) before deciding to consider it further. The I-SEM PMO will record this decision on the Change Register. It will also seek this information from the Change Sponsor (via the Change Originator), and on receipt, the Impact Assessment(s) will be returned to the JPLG for further consideration.

### 4.3 Stage 3: Decision



#### Step 3.1: Compile CR and any IAs

The CCC will compile the original CR, together with any associated Impact Assessments, for further consideration by the JPB.

#### Step 3.2: Review and decide / recommend

The JPB will review all material associated with a CR. For Minimum and Moderate Impact CRs, the JPB will decide one of the following options:

- to approve the CR (pass to Step 3.5);
- to reject (pass to Step 3.3);
- to seek further clarification of any aspect of the CR, or an associated Impact Assessment(s) (pass to Step 3.4).

For Significant Impact CRs, the JPB will prepare a recommendation for the I-SEM Steering Group, and pass the CR to Step 3.7. Note that in practice, the JPB may also seek further clarification of any aspect of a Significant Impact CR whilst reaching its recommendation for the I-SEM Steering Group.

#### Step 3.3: Advise Raiser and close

The JPB may decide that the CR does not merit further consideration and should therefore be rejected or deferred. In such cases, it will set out its clear reasoning, which will be recorded on the Change Register by the CCC, and passed back to the Change Originator. The CCC will then update the status of the CR on the Change Register to Closed.

If the Change Originator disagrees with the JPB's reasoning, it may appeal to the relevant RA in the first instance.

The CCC will also notify all parties who have completed an Impact Assessment of the JPB's decision.

#### Step 3.4: Seek clarification

The JPB may require further information on the CR or any associated Impact Assessment(s) before deciding to consider it further. The CCC will record this decision on the Change Register. It will also seek this information from the Change Sponsor (via the Change Originator).

#### Step 3.5: Review additional information

On receipt, the CCC will pass the relevant clarification(s) to the JPLG for further consideration. In particular, the JPLG will assess whether the clarification(s) addresses the question(s) raised by the JPB when reaching its decision. Steps 3.4 and 3.5 may iterate until the JPLG considers it has obtained the relevant clarification(s) to address the JPB question(s). At this point, the revised material will be compiled and passed back to the JPB for further consideration (Step 3.2).

### Step 3.6: Log approval

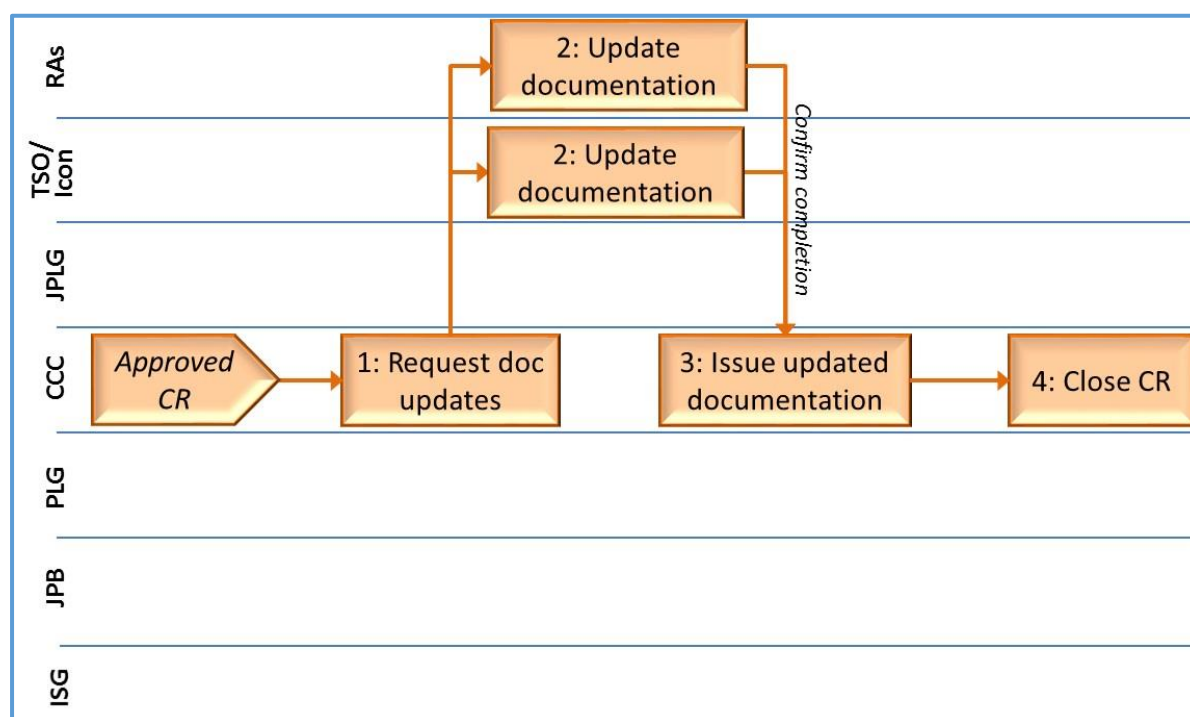
The CCC will update the Change Register for any approved CRs. The CCC will also confirm this information to the Change Originator, and to all parties who have completed an Impact Assessment.

### Step 3.7: Review and decide

For Significant Impact CRs, the JPB will prepare a recommendation for the I-SEM Steering Group at Step 3.2. It will pass the CR, all associated Impact Assessments, and its recommendation to the I-SEM Steering Group for decision. The I-SEM Steering Group may decide:

- to approve either the CR, or the implementation of an alternative action to the same effect (pass to Step 3.6);
- to reject (pass to Step 3.3); or
- to seek further clarification of any aspect of the CR, or an associated Impact Assessment(s) (pass to Step 3.4).

## 4.4 Stage 4: Completion



### Step 4.1: Request documentation updates

Where an approved CR relates to a published baseline document<sup>2</sup>, the CCC will request that this is updated in line with the CR by the relevant party. Usually, this will be one of the RAs or the TSO.

### Step 4.2: Update documentation

The relevant party will update the documentation, and confirm back to the CCC that this step is complete.

<sup>2</sup> for example, this may include (but not be limited to) design documentation, specifications or the Programme Plan.

**Step 4.3: Issue updated documentation**

The updated documentation will be published in line with the I-SEM Programme Practice. For example, public documents will be placed on the relevant website, and private ones distributed to relevant parties.

**Step 4.4: Close CR**

The CCC will update the status of the CR on the Change Register to Closed.

## 5. Change Control Process – exceptions

### 5.1 Proposed approach for ‘incremental’ documents

Some documents, particularly the Interface Specifications, will be developed on an incremental basis, working with market participants throughout (e.g. via the Technical Liaison Group)

Given the frequency of update to these documents, formal control of every change may not be practical. However, it is still important to apply good document management disciplines in their production, in order that market participants can be sure they are accessing the latest version of a document at any point in time

The following approach will be used for this type of document:

- a baseline version of the document will be published (e.g. v0.1);
- further minor changes / updates to this document will be published as Change Advice Notes (CANs), together with a redlined version of the baseline document. A participant seeking the latest version of the document will therefore access the redlined version, together with the relevant CANs for that document. For absence of doubt, CANs will be clearly published for participant consideration, but not subject to the full change control process; and
- at intervals, all relevant CANs will be rolled up into a new version of the document (e.g. v0.2), which will be processed through change control and issued as a new baseline. These intervals may be determined by a) the number of CANs relevant to the existing baseline becoming too large (and the resultant redlining of the baseline document, confusing) and / or b) the addition of substantial blocks of new text to a document.

### 5.2 Fast Track Change Control

An accelerated / emergency process will be needed to handle urgent changes (e.g. during testing). Under these circumstances, a change has been identified that must be implemented, if approved, in a timescale much shorter that would be achieved by following the standard timescales set out in the process. It should only be used in situations where the nature of the change is well defined and understood and sufficient time is available to perform satisfactory Impact Assessments. A pre-requisite will also be that the change is supported by both the JPLG and the JPB.

Fast track CRs will follow the four stages set out in Section 4. However, progress through each stage will be accelerated in order to meet the required implementation timescales. For example, this may require telephone conferences by relevant Participant Liaison Groups to fast track Impact Assessments, and / or by the JPB to approve CRs.

### 5.3 Retrospective Change Control

This refers to the case where a change has had to be implemented without having been through the agreed Change Control Process. This approach is expected to be used only in exceptional circumstances, for example in response to an emergency situation during market trials.

In this case a CR has to be processed to formalise the change, or to re-implement the change in a more controlled or appropriate manner or, exceptionally, to roll back the change if the JPB decide it should not be permanent. The CR must be processed in line with the Change Control Process set out in this document, although noting that the fast track timescales set out in Section 5.2 might apply.

### 5.4 Change Control for Baselined Policy Documents

The baselined functionality for I-SEM is set out in a library of policy documents approved by the SEM-C. The I-SEM ‘Day 2’ Process sets out a mechanism whereby the delivery of selected I-SEM functionality may be deferred to a post Go Live date. Deferment may be as a result of an agreement that:

- An acceptable workaround is in place to provide the required functionality within the short term; and / or
- The functionality is not mandatory to allow I-SEM to go live.

As it is still planned to deliver the functionality (albeit in a longer timescale), any Day 2 proposal is considered to be a *deferment*, and not a *change* to the original design specification. If the policy

document were updated to reflect the deferment, the change would have to be reversed out at a later date when the Day 2 functionality was delivered.

To manage this (and avoid the need for double update to the policy documentation), the Change Control process will be applied as follows:

- An Update Log will be kept, listing all updates which apply to any baselined policy document. Such updates may be driven by, for example, the recent change to I-SEM delivery dates (JCR170), or any agreement to defer the provision of functionality to Day 2;
- The Update Log itself will be kept under Change Control - i.e. all additions to it (or deletions from it following delivery of the functionality) will be subject to the Change Control process, to ensure all participants are aware of the current position on any policy;
- However, the documents themselves will not be modified. Participants will need to refer both to the baseline document, and to the Update Log, to establish the current position on any policy.

The Update Log will include:

- A unique ID for each entry;
- A date of entry to the log;
- The JCR, or D2R number which has given rise to the update (together with a link to this document);
- A summary of the update; and
- The section(s) of the policy document to which the update refers.

Note this approach applies only to policy documentation approved by the SEM-C, and may also be used for other minor editorial changes arising from agreed Change Requests (e.g. date changes). Updates to all other baselined documentation (e.g. test plans, readiness plans, etc), will be managed through the established Change Control process.

## 6. Change Request Template

The following template will be used for raising and completing Impact Assessments for all Change Requests. A copy of this table can be extracted for completion from the embedded document at the foot of this section.

I-SEM Programme Change Request & Impact Assessment Form			
Section 1: CHANGE REQUEST DETAILS (to be completed by CR Originator)			
CR Title:			
CR Description & Reason for submission:	<A detailed description of the CR should be included in this section. If necessary, supporting documentation should also be attached>		
CR Originating Party:			
CR Sponsor Name:			
CR Originator Name:			
CR Originator Email:			
CR Originator Phone:			
CR Date Raised:		Date Required:	

Section 2: CHANGE REQUEST LOGGING (to be completed by CCC / JPLG)				
CR ID:				
JPLG Date:				
CR Priority:	Minimum		Moderate	Significant
Impacted Organisation(s):	<b>Core Parties :</b>		<b>Other Impacted Parties (please list) :</b>	
	TSO			
	RAs			
	ICO			
	<b>PLGs :</b>			
	PMG			
	BLG			
TLG				
Date issued for IA:				
Due Date for IA completion:				



<b>Section 3: IMPACT ASSESSMENT (to be completed by relevant party)</b>	
<b>Name, email and phone number of person completing IA (if different from CR Originator):</b>	
<b>Date IA completed and returned:</b>	
<b>CR Impact Assessment</b>	
Include suggested process, impact on dependencies, project schedule, project scope, identify individuals/organisations involved.	
<b>CR Estimated Time Impact / Target Date for Completion</b>	
<b>CR Estimated Cost Impact (please state £ or €)</b>	

<b>Section 4: RECOMMENDATION AND DECISION (to be completed by JPLG)</b>	
<b>JPLG Recommendation to JPB:</b>	<Approve / Defer / Reject>
<b>Additional notes / comments:</b>	
<b>JPB Decision / Recommendation to I-SEM SG (Significant CR only):</b>	<Approve / Defer / Reject>
<b>Additional notes / comments:</b>	
<b>I-SEM SG Decision (Significant CR only):</b>	<Approve / Defer / Reject>
<b>Additional notes / comments:</b>	
<b>Implementation Date:</b>	<The date by which the change needs to be implemented>



Master CR  
template.docx