

**Exhibit 3 to the IDOA: Change Control Procedure**

**Remarks**

Please note:

Besides this Joint TSO-NEMO Change Control Procedure, which is applicable for so-called Joint Components, there also is a Change Control Procedure under the All NEMO Intraday Operational Agreement (ANIDOA) and another one under the TSO Cooperation Agreement For Single Intraday Coupling (TCID), for NEMO-only and TSO-only Components, respectively.

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## 1. Introduction

This document describes the process of managing requests for Changes relevant to the Single Intraday Coupling (SIDC) and is compliant with the principles set out in the Algorithm methodology. This procedure is to be applied in case of Changes to Components that are used as part of the SIDC operations and that affect both TSOs and NEMOs. It provides a controlled process so that Changes can be implemented efficiently within the minimum time and with the least Risk.

The process aims at, tracking any Change, small or large and, aiding the decision-making process. Whilst the majority of Changes are likely to be straightforward operational Changes or small textual Changes, it is still important that the procedure is robust to the processing of more complex Changes.

The implementation of the timings and procedures of the Change Control Procedure must always be consistent with the relevant provisions set forth in respect of maintenance in the XBID-MSA. Should an inconsistency emerge, the ID SC or any other body delegated by the latter (as defined below) shall be entitled to approve any deviation from this Change Control Procedure.

All references to “XBID” shall be understood as referring to SIDC.

### 1.1. Definitions

For the purpose of this Exhibit 3 (Change Control Procedure), the following capitalized terms used herein shall have the meaning set forth in Exhibit 1 and in this section.

**“Business Day”**: A measurement of time that refers to any day in which normal business is conducted during regular office hours. This is generally considered to be Monday through Friday and excludes weekends.

**“Central Change Administrator (CCA)”**: The body in charge to coordinate the Change Control Procedure. The detailed description of the CCA is provided in section 2.2 of the Exhibit 3 to the IDOA: Change Control Procedure.

**“Change”**: An alteration, small or large, through which a Component becomes different.

**“Change Control Board (CCB)”**: is the body with delegated decision-making power on any Changes to the Components. The detailed description of the CCB is provided in section 2.1 of the Exhibit 3 to the IDOA: Change Control Procedure.

**“Component”**: A piece of software, hardware, reference data, the SIDC Algorithm, Joint SIDC Procedures or document (e.g. functional documentation) subject to this Change Control Procedure, as listed in Annex 1 of the Exhibit 3 to the IDOA: Change Control Procedure.

**“Go-Live date”**: means, with respect to each Request for Change, the date within a specific Go-Live window on which such Request for Change is to be implemented in operation.

**“Go-Live window”**: means a period in a calendar year, during which the: (i) Requests for Change may be submitted; (ii) the assessment process of Requests for Change will take place; or (iii) the Request for Change will Go-Live.

**“Implementation Manager”**: is the person identified in the Implementation Plan as responsible for the implementation of the Change. The detailed description of the role is provided in section 2.4 of the Exhibit 3 to the IDOA: Change Control Procedure

- “Implementation Plan”**: is the form to be filled in that describes how the Change will be tested, deployed, installed and transitioned into an operational system. The Implementation Plan might be an integral part of the Request for Change.
- “Local Change Administrator (LCA)”**: is the person appointed by each Party as single point of contact for that Party, being involved for the purpose of the Change Control Procedure. The detailed description of the role is provided in section 2.3 of the Exhibit 3 to the IDOA: Change Control Procedure.
- “MSD”**: the Markets and System Design” body as established by the ID SC.
- “OPSCOM”**: means the Operations Committee, as referred to under Article 12.2 of the IDOA.
- “Originator”**: means one or more NEMO(s) and/or TSO(s) submitting a Request for Change.
- “OTF”**: means the Operational Task Force. The Operational Task Force is a working group composed of the Parties which is an integral part of the OPSCOM responsible for the operational procedures.
- “QARM”**: “Quality Assurance and Release Management” body as established by the ID SC.
- “Request for Change” or “(RfC)”**: means a formal request by an Originator for any Modification to a Component or to its usage .
- “Risk”**: is the potential that a Change will lead to a situation involving exposure to danger or to an undesirable outcome.
- “SIDC Algorithm”**: means the algorithm, systems and procedures used in Single Intraday Coupling for matching Orders and allocating Cross-Zonal Capacities continuously
- “XBID System”**: the software and ICT applications (incl. hardware if any), as well as all relevant documentation pertaining thereto, developed by the Service Provider based on the requirements provided by certain NEMOs and TSOs, which is to be used for the performance of the Single Intraday Coupling to interact with amongst others the Local Trading Solution and TSOs’ Systems.

## 1.2. Scope

All Changes related to Components as well as Changes not related to the Components but affecting all or some of the Parties must be proposed through the process described in this Change Control Procedure.

Changes may impact the rights and obligations of the Parties under the IDOA and imply Changes to their liabilities under the IDOA. Changes may also concern elements that are already regulated by the IDOA (including its Exhibits) or by applicable mandatory Legal Provisions. In particular, Article 24 IDOA (Agreement Modifications) is to be applied for each Change, implying that besides application of this Change Control Procedure, additional formalities are required (e.g., as the case may be, formal amendment Agreement, ID SC decision).

With a view to ensure compliance with the IDOA and mandatory Legal Provisions, CCB shall request the legal representatives of the Parties, as the case may be via the legal task force established by the Parties, to review any Change which they believe has, or might have, an impact on any of the criteria listed in the previous paragraph.

## 1.3. Governed/ Regulated by

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- Algorithm Methodology (Articles 10 – 19)
- Intraday Operations Agreement (IDOA)

## 2. Bodies and roles involved

### 2.1. Change Control Board (CCB)

#### Introduction

The role of the CCB is fulfilled by either the OPSCOM and/or QARM, as further described below. The tasks for the CCB under the Change Control Procedure are defined in the present section.

The role of the CCB is performed by the OPSCOM unless indicated differently.

The role of the CCB is performed by QARM with support of MSD where it concerns development of releases of the XBID System until the moment the development of the releases is successfully completed. For the avoidance of doubt, any Changes to this Exhibit 3 to the IDOA: Change Control Procedure is subject to decision of ID SC

The role of the CCB is performed by QARM with support of MSD where it concerns Changes required by legislation, based on roadmap/wish list which are initiated by external stakeholders (ENTSO-E or NEMO Committee). QARM will keep track of all Changes made by updating the Change Request Register mentioned in Annex 2.

The CCB has the mandate to delegate any of its tasks to any other appropriate body within SIDC.

#### Tasks of OPSCOM when acting as CCB

Under the Change Control Procedure, the OPSCOM has the following tasks when acting as CCB:

- 1) Maintain and provide the overview of the impact, urgency and priority on any Changes to the Components;
- 2) Discuss objections or comments received from the LCAs and provide guidance on any Changes to the Components. External experts can be invited to participate in OPSCOM's discussions;
- 3) Discuss/approve/reject proposed Changes;

Please note that rejections can only be made when:

- i. Implementation entails Risks which cannot be sufficiently mitigated;
  - ii. If there is a rejection of the Change from one Operational Party, and this rejection is upheld after discussion in the OPSCOM;
  - iii. Change conflicts with other implementations;
  - iv. There is a disagreement on the content of the Change.
- 4) Approve/reject proposed order of the implementation of Changes (in case several Changes relate to the same Component or to different Components, but in the same timeframe); and
  - 5) Appoint an Implementation Manager responsible for implementing Changes (or instructs that such person should be appointed).

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- 6) Being available, within the timeframes set forth in the Change Control Procedure, to perform the tasks as defined in the Change Control Procedure;
- 7) Assess completeness of the RfC in light of the Change Control Procedure, request for additional information, budgets and contracts;
- 8) Review RfCs, so a decision can be made on the implementation, i.e. approval, rejection (with reasoning) or need for additional information, before a decision can be made;
- 9) Review objections to RfCs;
- 10) Assess completeness of objections to RfCs in the light of the Change Control Procedure and request for additional information if required;
- 11) Accept or reject objections to RfCs;
- 12) Check that the Change Go-Live criteria have been met and confirm the implementation date for Changes and the timing of implementation;
- 13) Receive update before each OPSCOM call/meeting from the CCA;
- 14) Escalate Issues for decision of the ID SC as set forth in the Change Control Procedure;
- 15) Review the appropriateness and efficiency of the Change Control Procedure at least once a year;
- 16) Review and ratify the cost estimation of RfCs. The cost estimations themselves shall be compiled by the Implementation Manager on the basis of input from the relevant LCA(s);
- 17) Provide monthly reports to ID SC on the RfCs handled in accordance with this Change Control Procedure.

#### **Tasks of QARM when acting as CCB**

Under the Change Control Procedure, QARM has the following tasks when acting as CCB:

- 1) Maintain and provide the overview of the impact, urgency and priority<sup>1</sup> on any Changes to the Components of the XBID System;
- 2) Discuss objections or comments received from the LCAs and provide guidance on any Changes to the Components. External experts can be invited to participate in QARM's discussions;
- 3) Discuss/approve/reject proposed Changes;

Please note that rejections can only be made by QARM when:

- i. Costs exceed benefits (then the Change is raised to the ID SC and ID SC makes the decision);
- ii. Development is excessive (then the Change is raised to the ID SC and ID SC makes the decision);
- iii. Implementation entails Risks which cannot be sufficiently mitigated;
- iv. If there is a rejection of the Change from one Operational Party, and this rejection is upheld after discussion in the QARM;
- v. Change conflicts with other implementations;

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<sup>1</sup> Based on the prioritization rules given in Algorithm Methodology, Article 17.



- vi. There is a disagreement on the content of the Change.
- 4) Assess completeness of the RfC in light of the Change Control Procedure, request for additional information, budgets and contracts;
- 5) Approve/reject proposed order of the implementation of Changes (in case several Changes relate to the same Component or to different Components, but in the same timeframe); and
- 6) Check that the Change Go-Live criteria have been met and confirm the implementation date for Changes and the timing of implementation;
- 7) Escalate Issues for decision of the ID SC as set forth in the Change Control Procedure;
- 8) Provide monthly reports to ID SC on the RfCs handled in accordance with this Change Control Procedure.

### **Tasks of MSD when acting as CCB**

Under the Change Control Procedure, the MSD has the following tasks when acting as CCB:

- 1) Prepare RfCs for Research and Development
- 2) Assess impact of proposed Changes on the Components of the XBID System
- 3) Assess completeness of RfCs in light of the Change Control Procedure, request for additional information;
- 4) Review RfCs, so a decision can be made on the implementation, i.e. approval, rejection (with reasoning) or need for additional information, before a decision can be made;
- 5) Review objections to RfCs;
- 6) Assess completeness of objections to RfCs in the light of the Change Control Procedure and request for additional information if required;
- 7) Accept or reject objections to RfCs;
- 8) Review and ratify the cost estimation of RfCs. The cost estimations themselves shall be compiled by the Implementation Manager on the basis of input from the relevant LCA(s);
- 9) Provide monthly reports to ID SC on the RfCs handled in accordance with this Change Control Procedure.

## **2.2. Central Change Administrator (CCA)**

### **Introduction**

The CCA is the body 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. The person performing this role is the single point of contact RfCs and for circulating information and analysis requests. The person performing this role manages the central repository for Change control information.

The role of the CCA is performed by the chair of the OPSCOM in the cases where OPSCOM is acting as CCB as indicated in section 2.1.

The role of the CCA is performed by the chair of QARM in the cases where QARM is acting as CCB as indicated in section 2.1.



The role of the CCA is performed by the chair of QARM in the cases where QARM is acting as CCB with support of MSD as indicated in section 2.1.

### **Tasks of CCA**

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

- 1) Keep an updated version of the contact details of the LCAs and make it available to the CCB;
- 2) Update and maintain a Change request register (see Annex 2) and make sure this register is available for the CCB;
- 3) Receive RfCs from the LCAs and circulate these for information to the CCB in accordance with the Change Control Procedure;
- 4) Act as a single point of contact for external parties related to SIDC, regarding Changes requested by the external party that require joint testing or that have any impact on any of the Components;
- 5) Assess 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.
- 6) Request for additional information on RfCs;
- 7) Request ad-hoc meetings of the CCB to review urgent RfCs (can only take place on Business Days);
- 8) Provide RfCs to the CCB and ensure the follow up of the decisions of the CCB in this matter and ensure that also MSD can properly assess impact of proposed Changes on the Components of the XBID System;
- 9) Review objections to Changes;
- 10) Assess completeness of objections to a RfC in the light of the Change Control Procedure;
- 11) Request additional information on objections to a RfC;
- 12) In case the objection to Change remains unmotivated or motivated inadequately following a request for additional information, escalate the matter to the ID SC;
- 13) Communicate to all LCAs the confirmation by the CCB of the implementation date and timing for the Changes;
- 14) Communicate the Change Go-Live criteria to the LCAs and CCB;
- 15) Provide advice to any concerned Party (or subcontractor if any) on completing the forms under the Change Control Procedure if necessary.

Please note that the CCA is expected to attend all CCB calls and meetings, but in its role has no voting rights.

## **2.3. Local Change Administrator (LCA)**

### **Introduction**

LCAs perform a key role in the Change Control Procedure. LCAs are the single point of contact of each Operational Party for any Internal Communications in respect of the RfCs.

The role of the LCA is performed by the members of OPSCOM in the cases where OPSCOM is acting as CCB as indicated in section 2.1.

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The role of the LCA is performed by members of QARM in the cases where QARM is acting as CCB as indicated in section 2.1.

As a general matter LCAs are responsible for:

- 1) Submitting RfCs;
- 2) Coordinating the responses to solution analysis requests (section B of the RfC) and impact assessments within their own organizations;
- 3) Ensuring that all needed Local Modifications are performed in line with the implementation of the Change to the Components.

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.

An LCA shall be appointed by:

Each of the Parties. In this case, each Party shall appoint its own representative; and The LCAs shall perform all tasks assigned to them. The LCAs will perform their tasks on Business Days.

In the different steps of the processes, the LCA will ensure that all received information is distributed inside the company or organization it represents and that the comments of such company or organization, when existing, are brought in the CCB discussions.

### **Tasks of LCA**

Each LCA shall have the following tasks:

- 1) Designate a person who will substitute for 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) Send complete RfCs to the CCA in accordance with the Change Control Procedure;
- 4) Inform all relevant persons within its company of RfCs as communicated by the CCA and follow up on these internally;
- 5) Take receipt of RfCs from the CCA for solution analysis and impact assessment;
- 6) Receive notice of the RfCs from the CCA and ensure that the relevant departments within the company or organisation it represents are informed about its content. The LCA will ensure that the relevant persons within the company or organisation it represents are informed of it with a view of assessing the RfCs within the timeframes set out in the Change Control Procedure;
- 7) Raise objections, if any, against received RfCs. 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);
- 8) Collect the results of the internal analysis/assessment and communicate a common position of its company to the CCA;
- 9) Ensure that the date upon which a Change will be implemented, is reported to all the relevant persons within its company.

## **2.4. Implementation Manager**

### **Introduction**

The Implementation Manager is a role identified in the Implementation Plan as the responsible of the implementation of the Change. The Implementation Manager (in the scope of this process) is responsible for, in cooperation with the CCA, gathering all approvals from all the governance bodies under the Agreement involved and from the external entities affected by the Change (as Originator of the RfC or as any Party connected to the XBID System).

Where Changes concern the development of a release of the XBID System the role of Implementation Manager is fulfilled by a designated member of QARM.

Where Changes concern the configuration of the XBID System the role of Implementation Manager is fulfilled by a designated member of OPSCOM.

### **Tasks of the Implementation Manager**

Under the Change Control Procedure, the Implementation Manager has the following specific tasks, namely to:

- 1) Implement the Change in coordination with the LCAs and in accordance with the relevant procedures;
- 2) In cooperation with the CCA, collect the various authorisations and approvals required for approval of the implementation;
- 3) Coordinate and provide any documentation required by the LCAs;
- 4) Request approval on the acceptance criteria from the LCAs;
- 5) Coordinate and provide all required documentation for the CCB;
- 6) Provide information and answers to questions from the LCAs, CCA and CCB in regard to any implementation approval;
- 7) Check that the Go-Live criteria have been met and confirm the implementation date for Changes and the timing of implementation;
- 8) Ensure that all quality assurance actions, including any testing, to meet the Go-Live criteria are conducted successfully;

The Implementation Manager is end responsible for the quality of the Change to be implemented.

## 3. Procedure details

### 3.1. Outline of the Change Control Procedure

This procedure is based on a distinction between the following types of Change:

- Non-notifiable Change
- Fast-track Change
- Standard Change
- Research and Development Change

All Changes are submitted in the Request for Change form (RfC form, see section 6.2) and registered in the Change Request Register (see Annex 2).

In some cases when Changes are requested, it may not be possible for the Originator to complete all of the sections of the RfC (Request for Change), itself. In this case, contributions to some sections, such as e.g. solution analysis (section B of the RfC), impact assessment (section C of the RfC), and Implementation Plan (section D of the RfC), will be requested from the appropriate (representatives of the) Parties, that will provide their input using the relevant form(s). This will allow individual responses from several Parties which will together form one single RfC in the case, for example, the solution affects several Components.

#### **Note for RfC that may impact the configuration of production:**

If the RfC may impact the parameters of the production configuration as listed in the list of Components set forth in Annex 1, the Implementation Manager will have to update the related documents.

#### **Note for RfC that may impact the procedures:**

When the RfC may impact the procedures, this impact will be reviewed by the OTF and the assessment outcomes will be added in the impact analysis of in the RfC document.

#### 3.1.1. Non-notifiable Change

A "Non-notifiable Change" is a Change that does not directly affect the MCO Function Components, does not cause any detriment to the performance of the Single Intraday Coupling and is without impact for Parties and Market Participants. The Parties understanding is that this type of Change may not have a negative impact on the performance of the Single Intraday Coupling.

A decision for implementation can be taken by the Local Change Administrator and might concern configuration Changes which the CCB in principle cannot reject. A decision on such Change shall be taken within 1 month.

#### 3.1.2. Fast track Change

A "Fast-track Change" is a Change that needs to be implemented with urgency to avoid disturbance of the operational process, breach of legislation, or unreasonable damage for any of the Parties. This type includes Bug fixes and the application of corrective measures.

This type of Change can be handled through a shortened version of the process, both in terms of timings and steps. This shortened process could be applied as a consequence of a decision of the CCB for the implementation of an urgent, non-blocking Issue in very short period of time. Also, this shortened process has to respect Business Days (see 3.3.1. RfC procedure for Non-notifiable Changes)

### **3.1.3. Standard Change**

A "Standard Change" is a Change that has a potential impact on the Components including negative impact of the performance of the algorithm and/or impact for Parties or Market Participants. Any Request for Change not being of a "Non-notifiable Change", a "Fast track Change" or a "Research and Development Change" shall be considered as Standard Change.

### **3.1.4. Research and Development Change**

A "Research and Development Change" is a Change aimed at activating the research and development analysis on the specific functionality involved. The assessment is carried out in the test framework (non-operational environment) according to the relevant research and development; hence, the management of such Request for Change is carried out according to a dedicated process. The proposal will be received via QARM in order to evaluate the start of process as CCB with approval of ID SC. After that Change request is raised it will be handed over to MSD for implementation.

## **3.2. General process considerations**

Any disagreement to the type of request, priority and impact of a Change will be notified to and resolved in the OPSCOM. If the Issue cannot be resolved in the OPSCOM it shall be escalated to the ID SC or to any other delegated/substituting body consistent with the relevant provisions of the IDOA.

### **Guidance**

The table below provides guidance on the process to follow for some of the Changes:

Type of Change (examples)	Change Control Procedure:		
	SIDC	NEMO	TSO
Local system update/fix	Non-notifiable Change	N/A	N/A
Release in production AMS	Standard Change	N/A	N/A
Release in production SM	Standard Change	N/A	N/A
Release in production CMM	Standard Change	N/A	N/A
Release in production SOB	Standard Change	N/A	N/A
New market product	Standard Change	N/A	N/A
Procedural Change <ul style="list-style-type: none"> <li>• Joint</li> <li>• TSO-only</li> <li>• NEMO-only</li> </ul>	Depending on the procedure:		
	Standard Change	N/A	N/A
	N/A	N/A	Standard Change
	N/A	Standard Change	N/A
Reference data Changes (e.g. new/update EIC code, Bidding Zone, border)	Standard Change	N/A	N/A
Minor configurational Changes	Non-notifiable Change	N/A	N/A

### Follow up on emergency Changes made in the Incident Committee

In case of operational problems that require the introduction of a Change or Hot Fix, the relevant Operational Procedure will be applied in the Incident Committee Conference Call. Once the Incident report is available, the CCA will fill out the RfC form on a Best Efforts basis, so it can be discussed in the next periodic OPSCOM call. This follow up will be handled during Business Days.

## 3.3. Process description tables

### Introduction

The process description tables in this section describe the overall flow of the procedure in the following cases:

- Non-notifiable Change
- Fast track Change and Standard Change

### 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 a Party (or its subcontractors if any) the latter shall provide its Best Efforts to implement such activity as soon as practically possible and



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in line with the agreed timeline. In particular, the CCA will review the RFC and any supporting documentation within the timeframes set forth herein. The timeframes can be changed, the Changes of timeframes are subject to the Change Control Procedure and will be handled by the OPSCOM.

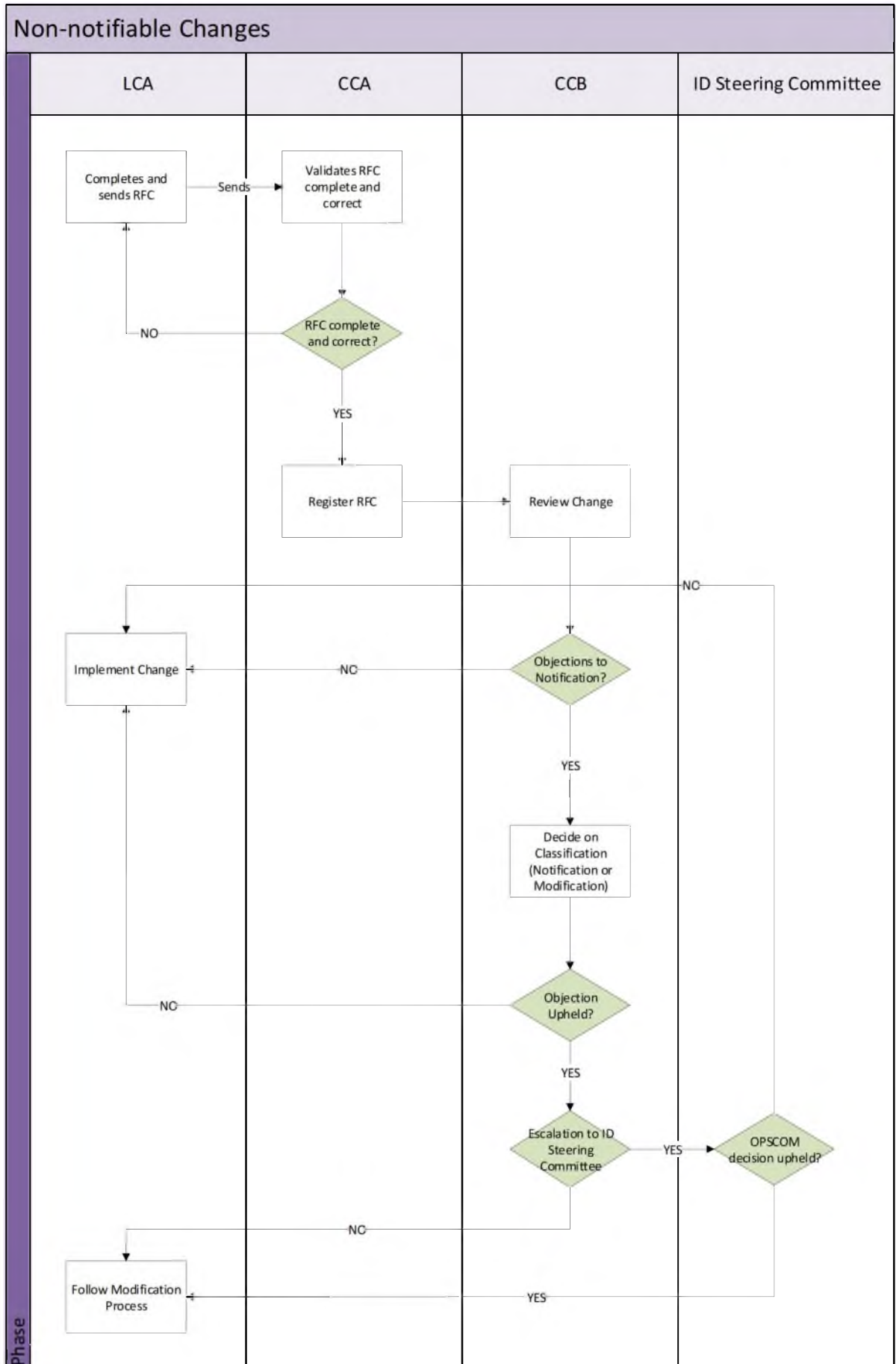
In all cases the processing of Changes will be much faster when the RFC will be as complete and as detailed as possible from the beginning.

Communications will be ordinarily sent via email, with telephone as backup. The External Communications with external entities involved or affected by the Change will be performed by the CCA on behalf of the Parties.



### **3.3.1. RfC procedure for Non-notifiable Changes**

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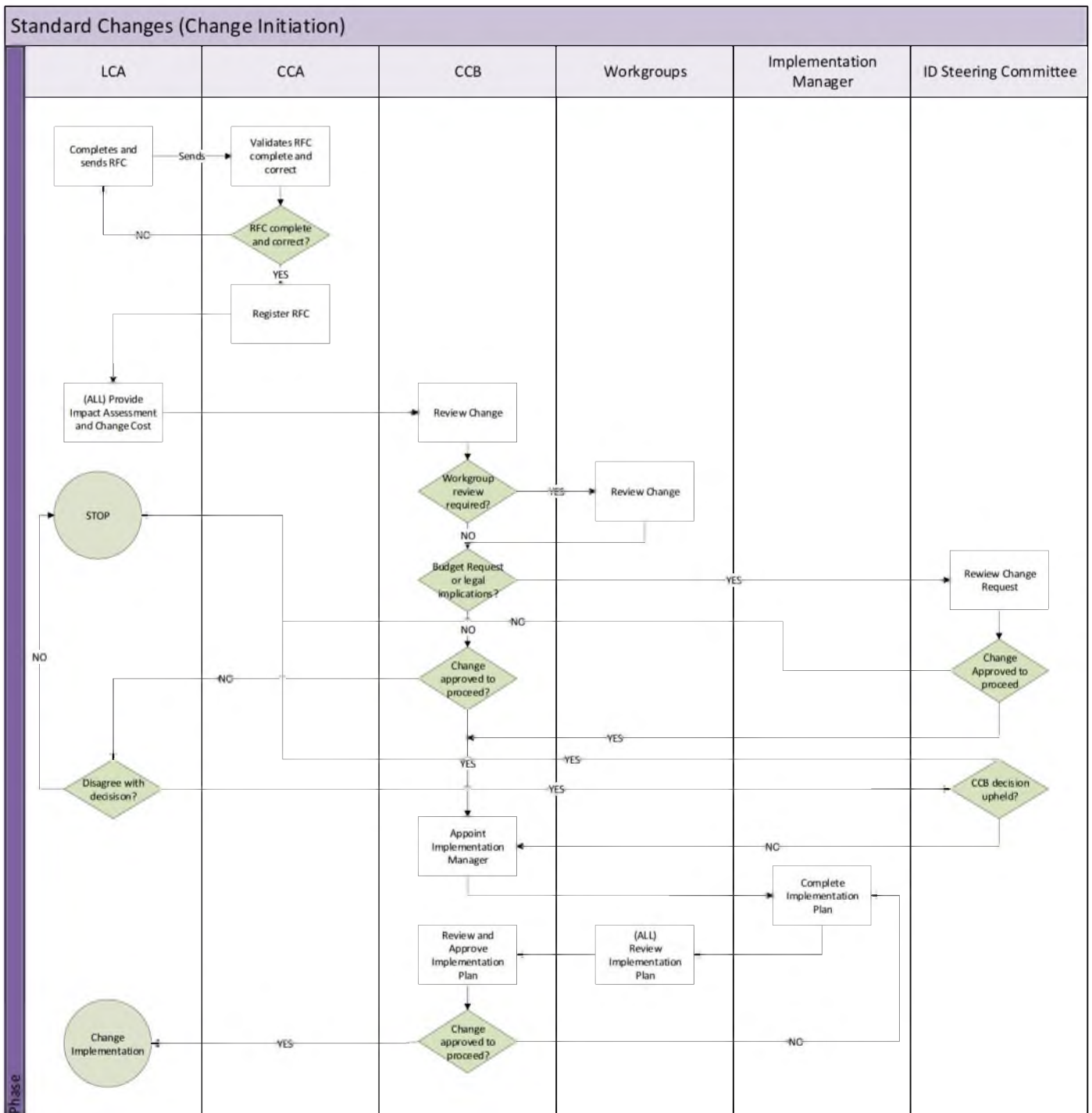
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Step	Description	Responsibility	Recipient	Activity	Timing	Related Form(s)
1	Complete RfC for Component	LCA	CCA	Identify a need for a Change in a Component. Define whether or not the impact of the Change is low (see section 3). Complete the RfC in accordance with the form guidelines. Send the form to the CCA.		Request for Change form
2	Receive RfC for Component and check 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.		
3	If incomplete return to Originator	CCA	LCA	If the form is incomplete, return to the Originator.	Within 3 Business Days of receipt of the incomplete form	
4	Register RfC	CCA	CCB	Allocate a unique number to the form and send the form to the CCB.	Within 3 Business Days of receiving the complete form	
5	Review the proposed Change	CCB	N/A	The complete form is transferred by the CCA to the CCB which is responsible to validate the type, impact and priority of the proposed Change. If there are no objections from the CCB to the classification proceed to step 6. If there is objection proceed to step 7.	Within 7 Business Days of receiving the Change from the CCA	
6	Implement Change	Originating LCA or IM	N/A	If no objection is raised to the Change, the Originator can proceed with the implementation. The LCA should inform the CCA when the implementation is successful to allow the RfC to be closed.		
7	Review on the type of Change requested Non-notifiable Change	CCB	N/A	The priority and the Risk of the RfC will be discussed in the CCB. The CCB will list and document the exact reason(s) that the Change is not seen as a Non notifiable Change.	Within 7 Business Days of receiving the Change from the CCA	
8	Communication of CCB decision	CCA	Originating LCA	The CCA will communicate the decision to reclassify the Change to the originating LCA giving the reason for the objection. If the LCA does not object, this process stops, and the Change is registered as a Modification and the Modification process starts. If the LCA objects, the Change will be escalated to the ID SC and this process continues in step 9.	Within 3 Business Days of receiving the decision from step 7	

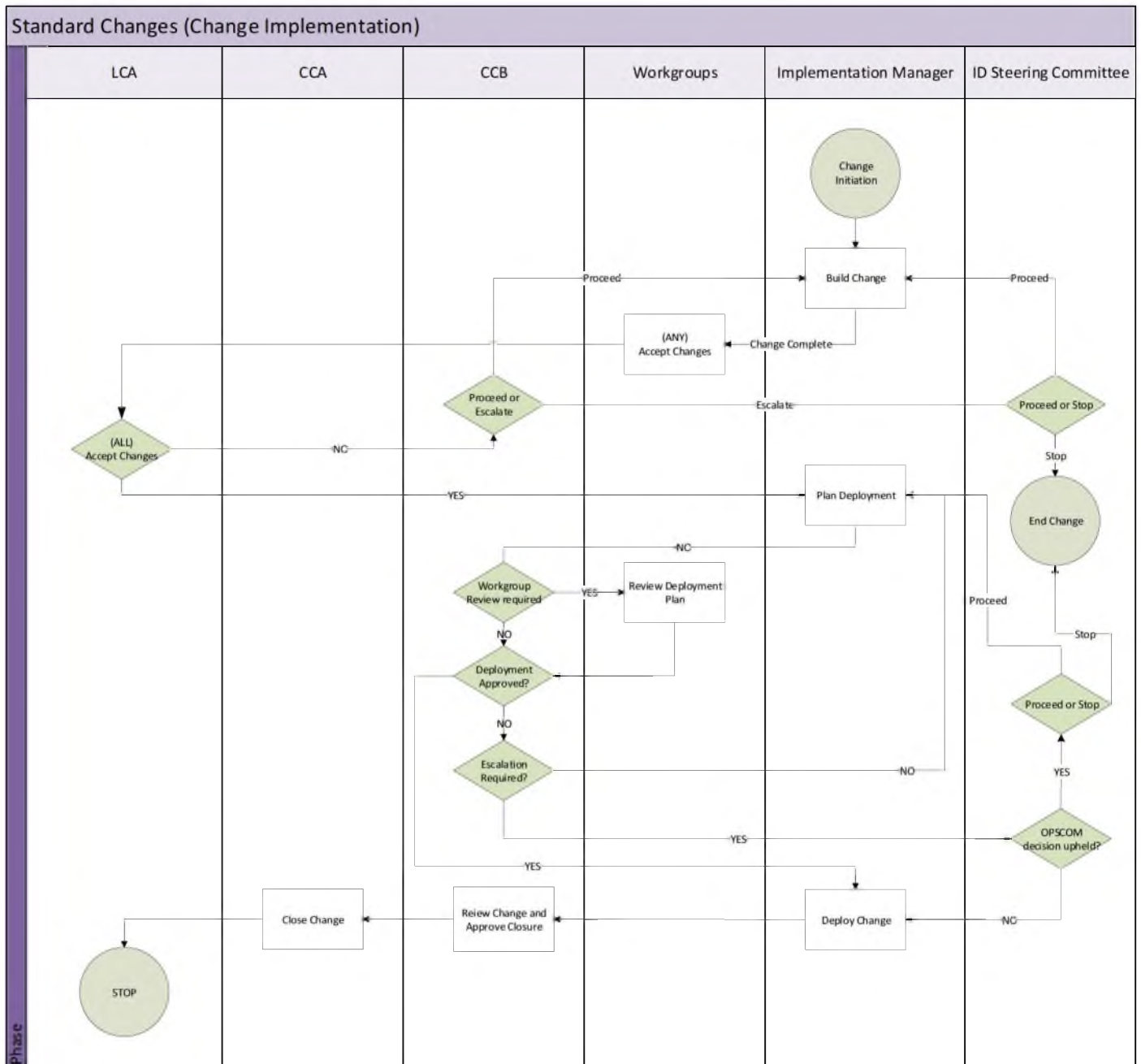
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9	Escalation to ID SC	CCB	ID SC	Upon escalation of the Change by CCB, the ID SC will review the decision of the CCB.	Within 7 Business Days of receiving the decision from step 7	
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### 3.3.2. RfC Procedure for Standard Changes



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Initiation						
Step	Description	Responsibility	Recipient	Activity	Timing <sup>2</sup>	Related Form(s)
1	Complete RfC	LCA with input from the person identifying the Change  CCA acting on behalf of external entities (system providers etc.) requesting a Change  SIDC task force leader acting on behalf of NEMOs / TSOs  NEMOs representing regional initiatives	CCA	Identify the need for a Change to the SIDC systems or procedures. Define the impact of the Change on SIDC (see section 3). Complete the RfC in accordance with the form guidelines. Send the form to the CCA. If impact is medium or high, addition further documentation will be required. As much information as possible should be provided to accelerate processing the Change.		Request for Change form
2	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.		
3	If incomplete return to Originator	CCA	LCA WG leader	If there are obvious omissions or errors on the form return it to the originating LCA / WG leader indicating what are the errors or omissions. (For minor Issues the CCA may contact the LCA / WG leader directly and rectify the Issue). -> Step 2.	Within 5 Business Days of receipt of the form(s)	
4	Register RfC	CCA	LCAs	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		

<sup>2</sup> The CCB may decide on different timelines for the initiation phase where it concerns Research and Development Changes



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Initiation						
Step	Description	Responsibility	Recipient	Activity	Timing <sup>2</sup>	Related Form(s)
				been raised and their status. The CCA will distribute the RfC to the LCAs for impact assessment.		
5	Impact assessment	LCAs	CCB	LCAs should give an estimate of the time and cost to the individual LCAs from the Change as part of the impact assessment. If the impact assessment cannot be completed for good reasons within the timeline, then Internal Communication of a new timeline should be done within the normal timing for this task.	Within 10 Business Days of the receipt of the request for impact assessment.	Impact assessment form
6	Review RfC	CCB	N/A	After the impact assessment from the Parties is done the CCB will review the RfC together with the impact assessment with view to approve it to proceed. Before CCB approval can be given the following questions need to be asked: <ol style="list-style-type: none"> <li>1. Do any task forces need to review this? Proceed to step 7.</li> <li>2. Is budget required or has the Change legal implications? Then it should be escalated to the ID SC. Proceed to step 8.</li> </ol> <p>If the Change is approved, then proceed to step 9. If the Change is not approved and the Originator accepts the decision, then the process stops. If the Change is not approved and the Originator does not accept the decision, then the Change is also escalated to the ID SC. Proceed to step 8.</p> <p>If it is necessary, the CCA sends the RfC to the task force convener/ID SC for further proceeding.</p>	In the next regular scheduled CCB.	
7	Task force review	Task force convener	CCA	All task force requested to review and provide input must provide the result via the CCA to the CCB. Once review and feedback is given, the process returns to step 6 for the CCB approval to proceed. <p>Task forces will give the following details as a minimum:</p> <ol style="list-style-type: none"> <li>1. Risks associated with Change related to their area of expertise</li> <li>2. Any assurance or testing activities that needs to occur for the Change. Including the required acceptance criteria.</li> </ol>	Within 5 Business Days of the receipt of the Change details from the CCB in step 6	
8	ID SC review and	ID SC	N/A	In the case of either escalation after a negative approval to proceed from	Within 5 Business	

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Initiation						
Step	Description	Responsibility	Recipient	Activity	Timing <sup>2</sup>	Related Form(s)
	escalation			the CCB or a need for budget approval for a Change, the ID SC will review the Change. The ID SC will either give approval to proceed or not. If not, the process stops. If approval is given, the process continues at step 9.	Days of the receipt of the Change details from the CCB in step 6	
9	Appoint an Implementation Manager	CCB	Nominated person	Once the Change is approved, the CCB will appoint an Implementation Manager. This is logged and communicated to the nominated person by the CCA.	Within 5 Business Days of the receipt of the Change details from the CCB in step 6	
10	Create Implementation Plan	Implementation Manager	CCB	<p>The Implementation Manager will estimate how long it will take to make the Implementation Plan and communicates this to the CCB via the CCA and then completes the Implementation Plan. The timing for this task relates to the communication of the planned implementation date and the completion of the implementation.</p> <p>The relevant task forces need to give their input to the preparation of Implementation Plan (e.g. work for assessing timings, assurance gathering approach, criteria) inside the given time line for this task, so that the Implementation Manager can give an accurate estimate on when the Implementation Plan is ready.</p> <p>Once the Implementation Plan is complete, the Implementation Manager will distribute the plan to the CCB via the CCA and CCA distributes the Plan to the task forces as well.</p>	Within 5 Business Days of the receipt of the Change details from the CCB in step 9	Implementation Plan form
11	Task force review of Implementation Plan	All task forces	CCA	All appropriate Task Forces (e.g. MSD, XTG, OPSCOM) will review the Implementation Plan and provide their feedback to the CCA.	Within 5 Business Days of the receipt of the Implementation Plan.	
12	CCB review and acceptance of the	CCB		<p>The CCB shall review the Implementation Plan and if acceptable approve the work to proceed.</p> <p>If the plan is not accepted the plan is returned to the Implementation</p>	Within 5 Business Day of the receipt of the	

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Initiation						
Step	Description	Responsibility	Recipient	Activity	Timing <sup>2</sup>	Related Form(s)
	Implementation Plan			Manager to be adjusted.	Implementation Plan.	

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Implementation						
Step	Description	Responsibility	Recipient	Activity	Timing	Related Form(s)
13	Build Change	Implementation Manager	N/A	The CCB has approved the Change to proceed. The Implementation Manager coordinates and is responsible for ensuring that any actions needed to complete the Change are conducted. This includes any assurance actions required by the Implementation Plan. The Implementation Manager is required to give regular updates to the CCB of progress.	In accordance with the Implementation Plan	
14	Accept Change	Task force convenor	Implementation Manager	Once the Change has been built, all involved task forces (e.g. XTG) should give their acceptance of the Change.  Task forces have the right to not accept but must give clear and compelling reasons. If the reasons are valid, the Implementation Manager is responsible for resolving these Issues.	In accordance with the Implementation Plan	
15	Accept Change	LCAs	Implementation Manager	Each of the LCAs will gather the confirmation of the individual Go-Live criteria being met and send these to the Implementation Manager. The Implementation Manager will be responsible for any and all follow-up actions required (e.g accept Change by task forces, accept Change by LCAs). If some joint or extra Local tests are needed according to the CCB and CCA, the Implementation Manager will facilitate the organization with relevant task force and makes sure that time slots are allocated.  The Implementation Manager consults and coordinates possible testing and Implementation Plan (including Go-Live date). If the Change is not accepted by an LCA or a number of LCAs the CCB can choose to escalate to the ID SC. In this case the CCA is responsible to send the escalation to the ID SC. The ID SC may choose to stop the Change, force acceptance or return the Change to the Implementation Manager so the outstanding Issues can be resolved. The ID SC decision is communicated to the relevant body by the ID SC PMO.	In accordance with the Implementation Plan  Upon escalation, the ID SC must review within 7 Business Days of Notification of escalation	
16	Plan deployment	Implementation Manager	CCB	The Implementation Manager plans the deployment of the Change. The Implementation Manager will communicate the planned Go-Live date to the CCB. The CCB will decide if there needs to be further review of the deployment plan by the task forces. If yes, proceed to step 17. In this case CCA requests Task forces for review the deployment plan.	In accordance with the Implementation Plan	

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				<p>Otherwise proceed to step 18</p> <p>If no further review is required, the CCB will approve or reject the deployment. If rejected, the Implementation Manager can escalate to the ID SC.</p> <p>The Implementation Manager consults and coordinate possible Go-Live.</p>	ID SC should review escalation within 7 Business Days	
	ID SC escalation	ID SC	N/A	In the case escalation after a negative approval of the deployment plan to proceed from the CCB, the ID SC will review it. The ID SC will either give approval to proceed or not. If not, the process stops. If approval is given, they can force acceptance of the deployment plan or return the deployment plan to the Implementation Manager to solve the outstanding Issues.	As needed.	
17	Task force review deployment plan	Task force convener(s)	CCB, Implementation manager	<p>Requested task forces must review the deployment plan to assess the Risks and check to see any and all required actions are taken in the deployment.</p> <p>Task Forces will communicate their comments back to the Implementation Manager via the CCA.</p>	Within 5 Business Days of the receipt of the plan.	
18	Deploy Change	Implementation Manager	N/A	The Implementation Manager ensures that all actions are undertaken to deploy the Change. On completion, the Implementation Manager communicates the result to the CCA/CCB.	In accordance with the Implementation Plan	
19	Review Change and approve closure	CCB	N/A	Once the Change is completed, the CCB will review the implementation of the Change and approve the closure of the Change. If approval is not given, then the Change remains open until Issues are resolved and the Change can be reviewed again.	Within 5 Business Days of Go-Live.	
20	Close Change	CCA	N/A	The CCA will update the Change register and close the Change	Within 5 Business Days of approval of closure by CCB	

## 4. Risk and impact allocation

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 shared by Parties, it is treated as if there was just a single Component.

### 4.1. Categories

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

Category	Description
CAT1	The Component is central, i.e. will definitely influence the SIDC
CAT2	The Component is critical to meet normal operations. Non-availability or Incident might lead to disturbance of the SIDC.
CAT3	The Component interacts with a CAT2 Component and is only used on a Local basis (or indirectly contributes to the SIDC).

### 4.2. Risks

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

Risk	Description
Very low	In case of an Incident on a specific Component, the market process is not directly at risk. Meaning that continuous Matching process will not be affected by this Incident
Low	In case of an Incident on a specific Component, the market process is not directly at risk. Meaning that continuous Matching process will not be affected by this Incident, it's managed using a workaround, but it has to be fixed
Medium	In case of an Incident on a specific Component, the market process could be at risk. Meaning that continuous Matching process could be jeopardized.
High	In case of an Incident on a specific Component, the market process is at risk. Meaning that continuous Matching process will be for sure jeopardized.

### 4.3. 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.

Risk/Category	Cat 1 Central	Cat 2 Critical	Cat 3 Local
<u>Very low</u>	Low impact	Very low impact	Very low impact
<u>Low</u>	Low impact	Low impact	Very low impact
<u>Medium</u>	High impact	Med impact	Very low impact
<u>High</u>	High impact	High impact	Very low impact

The Originator will provide, if possible, an initial assessment of the applicable category in the RfC. This will be reviewed and where required completed by the Implementation Manager.



## 5. 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.

### 5.1. Assurance activities

The table below lists some of the assurance activities that might be adopted when Changes have been implemented in order to ensure that the market is not jeopardized following by such implementation. The assurance activities will be detailed in the Implementation Plan and approved by the LCAs/CCB which shall solve any possible objections in first instance. If objections cannot be resolved by the CCB, these will be escalated to the ID SC to solve the Dispute.

Self-certification	<p>For small Changes limited to individual systems.</p> <p>Carried out by Party/Parties responsible for the Component.</p> <p>Not checked externally.</p> <p>Could apply to testing.</p>
Inspection/audit	<p>As for self-certification except for external inspection or audit of internal development process and associated checking or testing.</p>
Individual testing certified by a third party	<p>More formal testing of Changes to individual systems.</p> <p>Agreed test scripts and data.</p> <p>Expected results.</p> <p>Certified by an external party (third party).</p>
Walkthroughs	<p>Applicable to process Changes – mainly affecting multiple Parties.</p> <p>Focus on common understanding of processes and inter-participant interchanges.</p> <p>Can be a precursor to Scenario testing.</p>
Interface testing	<p>Focused on electronic interfaces between systems.</p> <p>Checking that messages can be sent to and from the participant systems.</p> <p>Applicable to Changes to systems where they interoperate.</p>
Scenario testing	<p>Appropriate to significant multi system and process Changes.</p> <p>Defined scripted Scenarios and data covering normal and exception conditions.</p> <p>Uses defined expected results.</p> <p>Operated on test systems simulating live environment.</p> <p>Difficult and expensive to set up.</p>

Testing deployment verification of the production systems	Carry out testing on the live 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.
Performance testing	Testing of new products, new functionalities, Changes in topology, etc.  Operational timings of the processes and distribution of output files should stay within the agreed timelines.

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

## 5.2. 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.

	<u>Very Low</u>	<u>Low</u>	<u>Medium</u>	<u>High</u>
<u>CAT 1</u> (Central)	<ul style="list-style-type: none"> <li>• Self-certification</li> <li>• Interface testing</li> </ul>	<ul style="list-style-type: none"> <li>• Self-certification</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection/audit</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection/audit</li> <li>• Individual testing certified by a third party</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> <li>• Performance testing</li> </ul>
<u>CAT 2</u> (Critical)	<ul style="list-style-type: none"> <li>• Self-certification</li> <li>• Interface testing</li> </ul>	<ul style="list-style-type: none"> <li>• Self-certification</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection/audit</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Scenario testing</li> </ul>	<ul style="list-style-type: none"> <li>• Inspection/audit</li> <li>• Individual testing certified by a third party</li> <li>• Walkthroughs</li> <li>• Interface testing</li> <li>• Performance testing</li> </ul>
<u>CAT 3</u> (Local)	<ul style="list-style-type: none"> <li>• Self-certification</li> </ul>	<ul style="list-style-type: none"> <li>• Self-certification</li> </ul>	<ul style="list-style-type: none"> <li>• Self-certification</li> </ul>	<ul style="list-style-type: none"> <li>• Self-certification</li> </ul>

In all cases, some degree of regression testing will be carried out either across the whole market systems for CAT 1 and/or locally for CAT 2 Changes.

## 6. Change control forms

### 6.1. Introduction

The Change control forms provide the basis of the information exchanges regarding Changes between all interested Parties with respect to a particular Change.

For complex Changes (i.e. Changes needing a thorough impact analysis, such as impacting several systems, a substantial Change of a Component, etc.) the impact assessment form and the Implementation Plan form can be used to gather information from participants.

Objections are raised using the objections form and Changes to Component versions are sent on the Component version update form.

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 for the efficient operation of the overall process. Generally, as much information as possible should be provided at each stage to speed up the process.

Where the CCB needs to involve a third party in the assessment of RfCs or the Implementation the use of other forms may be required in line with the agreement with the respective third party.

## 6.2. Request for Change form

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

Please note that the content of the Change request shall comply with the Algorithm Methodology (Article 15) and all fields are mandatory to fill in, except for the ones marked with a “\*”.

<b>Request for Change</b>		<p>RfC No:</p> <p><b>RfC/</b></p> <p>[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.</p> <p>Syntax: YYYYMMDD_#_TYPE_Title]</p>
<p><b>Change Type (please select one)</b></p> <p><input type="checkbox"/> Non-notifiable Change</p> <p><input type="checkbox"/> Standard Change</p> <p><input type="checkbox"/> Fast-track Change</p> <p><input type="checkbox"/> Research and Development Change</p> <p><b>Reason for urgency: .....</b></p>		
<p><b>Originating Company</b></p> <p>[This box contains the name of the Party (or subcontractor if any) raising the RfC and if necessary their role in this instance.]</p>	<p><b>Name of Originator</b></p> <p>[Name of the person completing the RfC. Normally the LCA]</p>	<p><b>Date Raised</b></p> <p>[Date the RfC was raised]</p>
		<p><b>Implementation date *</b></p> <p>[Date the RfC is foreseen to be implemented]</p>
<p><b>Title of Change</b></p> <p>[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.]</p>		
<p><b>Section A – Problem Issue</b></p>		

<p><b>Request for Change</b></p>	<p>RfC No:</p> <p><b>RfC/</b></p> <p>[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.</p> <p>Syntax:                  YYYYMMDD_#_TYPE_Title]</p>
<p><b>Description of Reason for Change/Problem/Issue:</b></p> <p>[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.</p> <p>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.</p> <p>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.</p> <p>If a solution is being proposed, then the description of the problem/Issue may be less detailed in this section.]</p>	
<p><b>Section B – Solution Analysis</b></p>	
<p><b>Proposed Solution</b></p> <p>[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.]</p>	

<h2 style="margin: 0;">Request for Change</h2>	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.  Syntax: YYYYMMDD_#_TYPE_Title]																																								
<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>																																									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 5%;">#</th> <th style="width: 25%;">Impacted element(s)</th> <th style="width: 45%;">Impact description</th> <th style="width: 25%;">Body to be involved</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Procedures</td> <td></td> <td></td> </tr> <tr> <td>2</td> <td>Contracts</td> <td></td> <td></td> </tr> <tr> <td>3</td> <td>System</td> <td></td> <td></td> </tr> <tr> <td>4</td> <td>Performance</td> <td></td> <td></td> </tr> <tr> <td>5</td> <td>Other</td> <td></td> <td>To be decided after discussion in CCB</td> </tr> <tr> <td>6</td> <td>No impact at all</td> <td></td> <td>CCB</td> </tr> <tr> <td colspan="3">Need for testing?</td> <td>Yes / No</td> </tr> <tr> <td colspan="3">Rollback solution in place?</td> <td>Yes / No</td> </tr> <tr> <td colspan="3">Are costs expected to be borne by others than the Originators of the RfC.</td> <td>Yes / No (if yes, by who else and what is the amount?)</td> </tr> </tbody> </table>		#	Impacted element(s)	Impact description	Body to be involved	1	Procedures			2	Contracts			3	System			4	Performance			5	Other		To be decided after discussion in CCB	6	No impact at all		CCB	Need for testing?			Yes / No	Rollback solution in place?			Yes / No	Are costs expected to be borne by others than the Originators of the RfC.			Yes / No (if yes, by who else and what is the amount?)
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<b>Impact on Components</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 4 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.]																																									

<b>Request for Change</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.  Syntax: YYYYMMDD_#_TYPE_Title]
Component impacted	Category 1 (Central) 2 (Critical) 3 (Local)	Risk (V)ery low (L)ow (M)edium (H)igh
<b>Impact on Other Parties (or third party if any)</b>  [The impact of the proposed solution on any other Party (or third party if any)]		
<b>Section D – Implementation Plan</b>		
<b>Implementation Manager: (assigned by CCB)</b>  [The Implementation Manager is responsible for gathering all approvals from all the governance bodies under the Agreement involved and from the external entities affected by the Change (as Originator of the RfC or as any Party connected to SIDC).]		
<b>Implementation Approach:</b>		



<p><b>Request for Change</b></p>	<p>RfC No:</p> <p><b>RfC/</b></p> <p>[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.</p> <p>Syntax:                  YYYYMMDD_#_TYPE_Title]</p>
<p>[The overall approach to the implementation of the proposed solution should be described.]</p>	
<p><b>Required Implementation Date:</b></p> <p><b>Implementation Date:</b></p> <p><b>Start time:</b></p> <p><b>End time:</b></p> <p>[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.]</p> <p><b>Reason:</b></p> <p>[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.]</p>	
<p><b>Assurance Gathering Approach:</b></p> <p>[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</p>	

<h2>Request for Change</h2>		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.  Syntax: YYYYMMDD_#_TYPE_Title]
section 5.]		
<p><b>Rollback Solution:</b></p> <p>[In case the RfC implementation has a different outcome than expected (that potentially harms the functioning of the Single Intraday Coupling) or in case the RfC implementation was not exactly as explained in the RfC, the CCB is gathered as soon as possible to discuss the next steps: Rollback is applied or alternative measures decided. Rollback solution to be described in this section.]</p>		
<p><b>Go-Live criteria</b></p> <p>[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.]</p>		
<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 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</p>	<p><b>LCAs</b></p>	<p><b>Other:</b> (name/position/company)</p>

<b>Request for Change</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.  Syntax: YYYYMMDD_#_TYPE_Title]
Change].		
<b>CCB conclusion</b>  (Approved/Rejected)		
Reason for rejection.	[If the RfC is rejected this section will describe the reason for the rejection. This will be completed by the CCA.]	

### 6.3. Impact assessment form

<b>Impact assessment form</b>		RfC No:  [ [This will be completed by the CCA in line 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 4 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 impacted	Category 1 (Central) 2 (Critical) 3 (Local)	Risk (V)ery low (L)ow (M)edium (H)igh
<b>Overall Impact Across Components</b>		
<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>		

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[The time needed to carry out the Changes to the Components listed above should be identified. This should include supporting evidence if possible.]

**Impact on Other Components (if known)**

[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	Category	Risk	Overall Impact

## 6.4. Implementation Plan form

<b>Implementation Plan form</b>		RfC No:  [This will be completed by the CCA in line 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 Manager: (assigned by CCB)</b>  [The Implementation Manager is responsible for gathering all approvals from all the governance bodies under the Agreement involved and from the external entities affected by the Change (as Originator of the RfC or as any Party connected to SIDC).]		
<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.]  [In case of amendments of such assets, the first stage consists in an inside evaluation of the Request for Change in accordance with Change Control Procedure. After this step is completed, the second phase of implementation will start, that provides, if necessary, the formalization of the Change request with the suppliers of the assets in accordance with the contract development / maintenance signed with the same.]		
<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.]		

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Component	Development	Required By	Responsibility
<p><b>Assurance Gathering Approach:</b></p> <p>[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 5.]</p>			
<p><b>Risks:</b></p> <p>[Any specific Risks associated with the implementation should be highlighted along with appropriate mitigating actions.]</p>			
<p><b>Rollback solution:</b></p> <p>[The solution for how to return to the situation before the implementation of the Change, in case major Issues occur during the implementation, should be described here.]</p>			
<p><b>Responsibility for implementation (Implementation Manager):</b></p> <p>[The person responsible for overseeing the implementation should be identified here.]</p>			

Go-Live criteria			
<p>[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.]</p>			
Criteria	Responsibility	Confirmed by	Date
<b>Go-Live decision to be made by:</b>	<b>CCB</b>	<b>Other:</b> (name/position/company)	

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<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 CCB.]</p>		
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## 6.5. Objections form

<b>Objections form</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 (if a subset of Components involved in Change)</b>  [Any specific Components that are involved with the objection should be identified.]		
Component Name	Reason for objection	
<b>Possible resolution</b>  [Any way of resolving the objection should be identified here.]		

## **Annexes**

- 1: Lists of Components under Change Control Procedure
- 2: Change request register
- 3: Urgent Delivery Area Change

## Annex 1: Lists of Components under Change Control

The Components listed below are governed by the Change Control Procedure. Please note that this list is not exhaustive.

- Joint SIDC Procedures (as annexed to the IDOA)
  - XBID\_JOINT\_NOR\_02 - Distribution of Allocation Information
  - XBID\_JOINT\_BUP\_02 - Distribution of Allocation Information
  - XBID\_JOINT\_NOR\_03 - Nomination
  - XBID\_JOINT\_NOR\_04 - Nomination on behalf
  - XBID\_JOINT\_FAL\_01 - Incident Management
  - XBID\_JOINT\_EXC\_01 - Closing and re-opening of Interconnector(s)
  - XBID\_JOINT\_OTH\_01 - Procedures Reading Instructions
  - XBID\_JOINT\_OTH\_02 - Internal and External Communications
  - XBID\_JOINT\_OTH\_03 - Change Control Procedure
  - XBID\_JOINT\_OTH\_05 - System Maintenance (Central systems)
  - XBID\_JOINT\_OTH\_06 - Planned Maintenance Window Local Shipper System
  - SIDC\_JOINT\_OTH\_07 – Algorithm Monitoring
  - SIDC\_JOINT\_OTH\_08 – Transit Shipping
  - XBID\_JOINT\_CFG\_01 - SM configuration
- XBID System and interfaces
  - Software
    - SM
    - CMM
    - SOB
    - Incident Management Tool (IMT)
    - AlarmTilt
    - AMS
  - Hardware
    - Servers
    - Channels
    - Environments
- Functional documentation
  - Functional specification documents
  - Manuals
- Local Components that (potentially) impact the joint SIDC Components are also subject to this Change Control Procedure.

## **Annex 2: Change request register**



### **Annex 3: Urgent Delivery Area Change**

For some Delivery Area (in Single Day-Ahead Coupling context referred to as Bidding Zone) Changes, strict deadlines must be upheld. The purpose of this Annex is to ensure that urgent Changes in Delivery Areas takes priority and is handled diligently and without delay.

To perform an urgent Delivery Area Change, the Urgent Modification process described in the Change Control Procedure shall be used.

Delivery Area Changes can involve introduction of new Delivery Area(s), Changes to the size of already existing Delivery Areas (within the same geographical area) and Changes within existing Delivery Areas as renaming (renumbering) or Changes to the cross-zonal connections.

The Delivery Area Change must be notified by the TSO to the CCB no later than 4 weeks before the implementation date, and immediately upon receipt of such Notification by the TSO. The TSO and the affected NEMO(s) will publish that Change to the market(s).

The need for a Change will first be addressed as a Notification to the SDAC (Single Day-Ahead Coupling) CCB following with an urgent Modification request to the CCB. The Bidding Areas in the SDAC and in SIDC need to use the same area definitions, and both systems needs to do the same Change within the same timeframe.

General remark: the requirement is that all involved systems will be able to handle a Bidding Area Change within four weeks after it has been notified to the SDAC CCB and the CCB.

Note that the decision to do the urgent Delivery Area Change is made by the TSO and its NRA. The only formal rejection of such a Notification in the CCB is that the minimum four weeks deadline for sending the Notification to the CCB is not respected.