



EECS Rules

Subsidiary Document

AIB-EECS-SD05 Change Management

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CHANGE MANAGEMENT

Status of this document

This document, AIB-EECS-SD05 Change Management, addresses applications for change, analysis, consideration and implementation of change.

It is a subsidiary document to the EECS Principles and Rules of Operation (the EECS Rules) of the Association of Issuing Bodies (AIB) for The European Energy Certification System.

In the event of conflict between the text of the EECS Rules and the text of this document, the EECS Rules shall always take precedence.

This EECS Rules subsidiary document was formally approved by the General Meeting of AIB members held on 6th March 2015.

The effective date of this EECS Rules subsidiary document is 9st March 2015.

Signed by the General Secretary:

PH Moody
22nd December 2015

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Document History

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0.3	02 November 05	Further revision and comment
Release 1.0	01 December 2005	Initial Release
Release 2.0	21 June 2008	Change SD06-CR0809: <i>Approval of trivial changes to DPs</i>
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A INTRODUCTION AND PURPOSE

A1 Introduction

A1.1 This document is a subsidiary document to the Principles and Rules of Operation (the EECS Rules) of the Association of Issuing Bodies (AIB) for The European Energy Certification System.

A1.2 Specific reference is made to the EECS Rules Sections:

- (a) K – Assessment Panels and its Subsidiary Document
- (b) L – Change Procedures.

A1.3 This document is subject to the change management procedures set out in Section L of the EECS Rules and this subsidiary document itself.

A1.4 All terms in this document have the same meanings ascribed to them by the EECS Rules.

A2 Purpose

A2.1 The purpose of this EECS Rules subsidiary document is to set out the detailed procedural and technical matters associated with Change Management. Specifically this will include:

- (a) applications for change;
- (b) analysis of the reasons for; detail of; and the likely impact of change;
- (c) consideration and approval of this analysis; and
- (d) planning and implementation of change.

A3 Scope

A3.1 This document deals with changes to the rules and procedures concerning the operation of EECS Schemes under the EECS Rules. Three classes of documentation are included:

- (a) the EECS Rules;
- (b) EECS Rules Subsidiary Documents; or
- (c) Product Rules and Domain Protocols

as described in EECS Rules Section L.

A3.2 Changes to the Articles of Association of the AIB are managed within those Articles.

A3.3 The process for alteration to the scope of an existing Domain is defined by EECS Rules Section L4.2 and the Subsidiary Document 'Assessment Panels'.

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B CHANGE MANAGEMENT OF THE EECS Rules

B1 Change Proposals

- B1.1 Changes proposed to the EECS Rules or any of its Subsidiary Documents is subject to EECS Rules Section L3 and must be made using the change request form shown in Annex 1 to this document.
- B1.2 Changes proposed to a single Product Rules should follow the process set out in C below.
- B1.3 A draft change proposal must be submitted in written form containing (where practical):
- (a) identification of the document(s) which is/are the subject of the change;
 - (b) specific reference to the paragraph(s) in question;
 - (c) the reason for the proposed change;
 - (d) a proposed wording for the change itself; and
 - (e) a requested degree of urgency (priority).
- B1.4 The proposer of a change must be a Member, and, where the change is specific to a Scheme, a Scheme Member of that EECS Scheme, or the General Secretary, acting individually or collectively.
- B1.5 Draft Change Proposals must be submitted to the General Secretary.
- B1.6 On receipt of a draft Change Proposal, the General Secretary will review the proposal against the change log to establish the uniqueness of the proposed change. Having satisfied himself that the change is different, in terms of substance and circumstance, from existing or previous Change Proposals, a change request number will be allocated to the proposal and it will be entered in the change log.
- B1.7 Where the General Secretary determines the draft Change Proposal is not unique, he will advise the proposer accordingly.
- B1.8 Once the Change Proposal has been allocated a change request number it will be issued with the status 'under review'.
- B1.9 The General Secretary will assess the relevance of the proposal to the EECS Rules and/or the Product Rules(s) and initiate a change Assessment Panel in accordance with AIB-EECS-SD01 – “*Assessment Panels*” to assess the proposal.
- B1.10 The General Secretary will assign an initial priority to the Change Proposal and will forward the Change Proposal to the relevant Assessment Panel chairman.
- B1.11 The originator of the Change Proposal (the proposer) may at any time withdraw that Change Proposal. This must be done in writing to the General Secretary, who will notify the relevant Assessment Panel and amend the status of the Change Proposal to 'withdrawn' in the change log. The Assessment Panel will cease consideration of that Change Proposal and no report will be due in respect of that Change Proposal.

B2 Change Assessment Panels

- B2.1 The operation of change Assessment Panels is subject to the EECS Rules Subsidiary Document AIB-EECS-SD01 – “*Assessment Panels*”.

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- B2.2 A representative of the proposer named on the Change Proposal may participate in the Assessment Panel consideration of that Change Proposal, but is not a member of that Assessment Panel unless appointed in accordance the EECS Rules Subsidiary Document AIB-EECS-SD01 – “*Assessment Panels*”.

B3 Change Assessment Procedure

- B3.1 At its first meeting after the Change Proposal has been received the Assessment Panel will make an initial response to the General Secretary. The response should include:

- (a) an estimated time of delivery of a decision;
- (b) the name of the contact person – normally chairperson of the Assessment Panel;
- (c) any revision of priority reached with due regard to the Core Principles set out in EECS Rules Section A.

This response will be forwarded to the originator of the Change Proposal.

- B3.2 The Assessment Panel is responsible for conducting an impact assessment on both the identified ‘defect’ in the current procedures and the proposed solution. This task may be carried out by external resources, subject to the budgetary approval of the AIB Management Board.

- B3.3 The process of change management should be both transparent and inclusive and so, on the basis of the impact assessment, the Assessment Panel should consider the need for consultation with:

- (a) Members;
- (b) Product Rules Participants;
- (c) AIB working groups;
- (d) other Assessment Panels; and
- (e) any other relevant constituencies.

- B3.4 Subject to the quality assurance requirement in B4 below, at least one consultation will be conducted for each Change Proposal unless the Assessment Panel determines the materiality of the change to be insufficient to justify a consultation. Where such a determination is made, this will form part of the Assessment Panel report.

- B3.5 Consultations should be conducted with respect to the guidance note “*Guidelines on AIB Consultation Practices*”.

- B3.6 The Assessment Panel may consider comments on a Change Proposal submitted from any source during the assessment process where no formal consultation is conducted. However, in order to be considered, comments must be received prior to any consultation deadline where one has been set.

- B3.7 The Assessment Panel must make its recommendation on a Change Proposal in time for a decision at the third General Meeting following the date of issue (see B1.8 above) of that Change Proposal.

- B3.8 Where the Assessment Panel considers the assessment of a Change Proposal will need more time than permitted by B3.7 above, it can request an extension

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from the General Meeting at either of the General Meetings before that scheduled for the recommendation.

- B3.9 The General Secretary will report the progress of Change Proposals under review to each General Meeting.

B4 Quality Assurance

- B4.1 Where the change Assessment Panel is not formed from a majority of members of the QA change Assessment Panel, there must be a final consultation, consisting only of that QA change Assessment Panel, to provide a quality assurance to the proposed change that it does not conflict with the EECS Rules, its Subsidiary Documents or any Product Rules.
- B4.2 The findings of the QA change Assessment Panel will be communicated in writing to the Assessment Panel.
- B4.3 Where the change Assessment Panel is formed from a majority of members of the QA change Assessment Panel, the General Meeting will be responsible for the quality assurance.

B5 Approval of Change Proposals

- B5.1 Members eligible for voting on Change Proposals are as described in EECS Rules Section L.
- B5.2 Voting procedures for the acceptance of Change Proposals are set out in AIB-EECS-SD02 – “*Voting Rights*” and in the Internal Rules.
- B5.3 On acceptance of a Change Proposal, its status is amended to ‘Approved by AIB’ and this is recorded in the change log by the General Secretary.
- B5.4 Where a Change Proposal is rejected by the General Meeting, its status is amended to ‘Rejected’ and this is recorded in the change log by the General Secretary.

B6 Implementation

- B6.1 Implementation of Change Proposals to the EECS Rules and its Subsidiary Documents will be in accordance with EECS Rules Section L3.2.
- B6.2 An implementation date for the change should form part of the recommendations from the Assessment Panel.
- B6.3 If no date has been specified by the Assessment Panel or the General Meeting, implementation of a change is effective as of the new version of the document(s) being posted on the AIB website.
- B6.4 In cases where a transitional period is required, the definition of that period must be stated in the General Meeting paper for the acceptance of the change. The definition must be either in terms of:
- (a) a date on which the change(s) enter into force; or
 - (b) a state, condition, or situation to be achieved prior to the change(s) entering into force.



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| B6.5 | Where the condition in B6.4(b) above is membership status (new versus old) this has to be stated explicitly. |
| B6.6 | The General Secretary is responsible for the implementation of approved Change Proposals. |
| B6.7 | On implementation of a Change Proposal, its status is amended to 'Implemented' and this is recorded in the change log by the General Secretary. |
| B6.8 | For control purposes, where practical, the implementation of changes to the EECS Rules and its Subsidiary Documents will be batched with at least one implementation date per year, normally at the end of the year. |

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C CHANGE MANAGEMENT OF DOMAIN SCHEMES AND DOMAIN PROTOCOLS

C1 Changes Within a Single Domain

- C1.1 Changes that only affect a single Domain or arising under a National Scheme fall under the change management process set out in the relevant Domain Protocol.
- C1.2 In accordance with EECS Rules Sections L4 and L5, proposed changes to Product Rules and Domain Protocols must be approved through the process set out for Product Rules Assessment Panels in EECS Rules Subsidiary Document AIB-EECS-SD01 – “*Assessment Panels*”.
- C1.3 A Member wishing to make change in his Domain or Domain Protocol must notify the General Secretary using the change request form shown in Annex 1 to this document.
- C1.4 On receipt of a draft Change Proposal, a change request number will be allocated to the proposal and it will be entered in the change log.
- C1.5 Once the Change Proposal has been allocated a change request number it will be issued with the status ‘under review’.
- C1.6 The General Secretary may himself, without seeking the opinion of reviewers and without the approval of the General Meeting, implement any changes referring to:
- (a) Names and contact details of Members and their agents;
 - (b) Domestic timelines that have no impact on other members or their agents;
 - (c) Grammar, spelling and presentation (such as type fonts); and
 - (d) The addition of an ICS applied to a GO to the list of those supported by the relevant member and/or its agents provided that:
 - (i) the General Meeting has approved the ICS for use under EECS and that such approval has not been withdrawn by the General Meeting; and
 - (ii) the Secretary General has received confirmation from the ICS Operator that the relevant Member may record upon an EECS Certificate that it qualifies under the relevant ICS;
 - (e) The removal of an ICS from the list of those supported by the relevant member and/or its agents; and
 - (f) Design of forms, provided these do not change the information collected.
- C1.7 For changes other than those listed in C1.6 above, the General Secretary will initiate a Product Rules Assessment Panel in accordance with EECS Rules Subsidiary Document AIB-EECS-SD01 – “*Assessment Panels*”.
- C1.8 The originator of the Change Proposal (the proposer) may at any time withdraw that Change Proposal. This must be done in writing to the General Secretary, who will notify the relevant Assessment Panel and amend the status of the Change Proposal to ‘withdrawn’ in the change log. The Assessment Panel will cease consideration of that Change Proposal and no report will be due in respect of that Change Proposal.
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C2 Changes Affecting More Than One Domain

- C2.1 Where a Change Proposal that has a direct impact on Domain Protocols has been approved by the General Meeting, the changes must be made to all Domain Protocols affected. Implementation of the change may need to be simultaneous across all such Domain Protocols and this will be recognized in the implementation criteria set in accordance with B6.4 above.
- C2.2 B3.2 and B3.3 above will identify when a consequential change to Product Rules is required. The Change Assessment Panel report should identify by class or specifically all the affected Product Rules.
- C2.3 On approval of the Change Proposal by the General Meeting, the General Secretary will notify each Scheme Member whose Product Rules is affected that his Product Rules is likely to become non-compliant.
- C2.4 Each Scheme Member is responsible for initiating the change process in C1 above in order to maintain compliance of his own Product Rules.
- C2.5 The General Secretary will co-ordinate the Product Rules Assessment Panels to ensure a prompt and smooth implementation.

C3 Approval of Changes

- C3.1 Changes to Domains and Product Rules are a matter of compliance with the EECS Rules.
- C3.2 The Product Rules Assessment Panel will report to the General meeting via the General Secretary in accordance with the EECS Rules Subsidiary Document AIB-EECS-SD01 – “*Assessment Panels*”.
- C3.3 The General Meeting will pass a resolution on the recommendation from the Product Rules Assessment Panel as described in EECS Rules Section L1.
- C3.4 On acceptance of a Change Proposal, its status is amended to ‘Approved by AIB’ and this is recorded in the change log by the General Secretary.
- C3.5 Where a Change Proposal is rejected by the General Meeting, its status is amended to ‘Rejected’ and this is recorded in the change log by the General Secretary.

C4 Implementation

- C4.1 On approval from the General meeting, the Member can implement the change on a date of choice if that change does not affect any other Product Rules.
- C4.2 If the change is part of a co-ordinated change under C2 above the effective date of implementation must be that stated in the resolution to approve that change.
- C4.3 On implementation of a Change Proposal, its status is amended to ‘Implemented’ and this is recorded in the change log by the General Secretary.



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D MISCELLANEOUS

D1 Fact Sheets and Guidance Notes

- D1.1 Proposed changes to Fact Sheets and Guidance Notes should be made using the change request form shown in Annex 1 to this document.
- D1.2 Change management of these documents is controlled by the General Secretary.
- D1.3 On updating the EECS Rules Fact Sheet or Guidance Note, the General Secretary will post the revised version on the AIB website and will notify all Members of the change having been made.



ANNEX 1 – Change Proposal Form

Change request number:		
Proposed by:	Documents affected	
Date raised: dd-mm-yyyy	EECS Rules (Main text)	Y/N
Date last updated: dd-mm-yyyy	EECS Rules (Chapters)	Y/N
Status: Draft / Under Review / Approved by AIB / Rejected by AIB / Implemented / Withdrawn	EECS Rules Subsidiary Document	Y/N
	Domain Protocol	Y/N
Priority: Unassigned / Urgent / High / Medium / Low	EECS Rules Fact Sheet	Y/N
	EECS Rules Guidance Note	Y/N

Overview
Existing text
Proposed text
History