



**ETS LIMITED**

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CLIMATE ACTION

# **EU REGISTRY**

## **Change Management Procedure**

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## Document History

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### **Change Management Procedure**

#### **1 Introduction**

Change management is the process of tracking change requests, confirming their validity, prioritising and authorizing (or rejecting/deferring) them. Following the acceptance of a change request, its development and implementation can commence.

#### **2 Scope**

Changes to the following elements shall be covered by this change management procedure:

- Data Exchange & Technical Specifications (DETS)
- Registry system interfaces to the users, the CITL and ITL infrastructure
- Functionality of the Union Registry
- Common operational procedures

Excluded from the scope of this change management procedure are:

- Changes to the Registry Regulation

#### **3 Objectives**

The objectives of this change management procedure are to:

- Ensure that all changes to in-scope components are effectively and efficiently recorded, evaluated, planned and managed.
- Clearly define the change management responsibilities and actions to be undertaken by the involved parties.
- Minimise disruption to the operations provided, reducing incidents and problems resulting from change.
- Improve ability to deal with resulting incidents and problems as details of the change will have been communicated in advance.
- Maximise visibility and communication of in-scope changes.

## **4 Roles**

### **4.1 Originator**

The Originator is the person or party that initially proposes a change. This might be a registry administrator of an EU Member State or an EEA country that participates in the EU ETS, the Union registry administrator or the CITL Administrator. The Originator has to ensure that a change is proposed with all the necessary and correct information.

### **4.2 Union registry change manager (URCM)**

This role is responsible for managing the overall change management procedure and ensuring its effective implementations. The role of the URCM is taken over by the Union registry administrator.

The responsibilities of the URCM are:

- Chairing the CMB, facilitating consensus in decision making
- Ensuring that CMB reaches conclusion on proposed changes
- Ensuring that CMB decisions take account of required resources to implement changes in the Union registry
- Working with the Originator to ensure that all change requests contain all necessary information to evaluate a proposed change and reject invalid changes (e.g. out-of-scope of the procedure)
- Reviewing each change request, classifying it, coordinating impact assessments and proposing packages of changes to be considered together.
- Ensuring that change requests are responded to in a timely manner.
- Scheduling, preparing information for (including impact assessments), and arranging participation at the CMB for the changes to be discussed.
- Ensuring the correct implementation of the change procedure and recommend amendments to the procedure as necessary.

### **4.3 Service provider change manager**

This role within the Union registry service provider organisation is responsible for working with the Union registry change manager to support the preparation and consideration of change requests in case of changes to the Union registry.

The responsibilities of the Service provider change manager are the following:

- Working with the URCM to ensure the completeness of change requests
- Working with the URCM to assess the impact of changes and propose solutions to change requests
- Implementing the change in the Union registry

### **4.4 Change management board (CMB)**

This role is responsible for reviewing all change requests, impact assessments and proposed solutions in order to approve, defer or reject change requests. The specific responsibilities of the CMB are:

- Assess all change requests with regard to risk, impact and business benefit.

- Review and approve (or defer or reject) change requests taking into account required resources to implement changes to the Union Registry.
- Determine the priority of change requests and assign proposed changes to releases.

The CMB consists of the Union registry change manager and four registry administrators. After the URCM has issued a call for candidates, the EU Member States and EEA countries that participate in the EU ETS may propose registry administrators as candidates for the CMB. The CMB members will then be elected at the next meeting of the registry administrators. All Member States and EEA countries that participate in the EU ETS have one four votes that may be distributed in any portion to the candidates<sup>1</sup>. If they are not present at the registry administrators meeting they might delegate their voting rights to one of the other Member States or EEA countries that participate in the EU ETS. The four candidates with the highest number of votes are elected. If the result of the vote is not clear because more than one candidate has the same number of votes a run-off vote will take place between the candidates with the same number of votes.

In the beginning of every year after the completion of the first year of existence of the CMB two of the four seats of the CMB are up for reelection. Members of the CMB may serve in the CMB for a maximum of two consecutive years. However, there is an exception to this rule in case an insufficient number of new candidates are nominated for CMB membership.

## **5 Change Management Procedure**

### **5.1 Submit change request**

A change request might be submitted to the Union registry change manager (URCM) by an Originator, which may be might be a Registry Administrator of an EU Member State or an EEA country that participates in the EU ETS, the Union registry administrator or the CITL Administrator. Several of these parties may also submit a change request in cooperation. The number of parties that support a change request will be taken into consideration by the Change Management Board (CMB) when deciding upon the change request.

The Originator may subsequently seek to withdraw a change request by contacting the URCM.

### **5.2 Record change request**

The Union registry change manger (URCM) records all valid change requests and allocates a unique change request number to the request. The URCM ensures that only justified change requests, with sufficient explanatory information, are accepted. A proposal that is not sufficiently elaborated will be referred back to the Originator for clarification or further information. The URCM maintains a list of all recorded change requests and their current status. This list is available through the Circa Website to all registry administrators.

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<sup>1</sup> Four votes per Member State / EEA country are necessary because four positions are up for election. This mechanism allows Member States / EEA country to vote for the four candidates which should compose the CMB or distribute the votes freely between any candidates. If every Member State / EEA country has only one vote there is the risk that fewer than four candidates will receive all the votes.

The URCM may also rule that the proposed change is invalid because it lies, for example, outside the scope of this procedure or is in conflict with EU legislation such as the Registry Regulation (2216/2004 in its current version). The URCM has to report any change requests that are rejected at this level to the CMB for information.

### **5.3 Classify and prioritise change request**

The Union registry change manager (URCM) classifies and prioritises the change request based on the criteria of expected impact, urgency and registry administrator support. See point 5. Classification and prioritisation of changes below.

### **5.4 Carry out impact assessment**

The URCM requests an impact assessment from all affected parties that has to be carried out and submitted to the URCM within two weeks. The URCM assembles the impact assessments into one single document to be considered by the CMB. The impact assessment shall include an assessment of the consequences if the change is not implemented.

In case of changes to the Union registry an impact assessment carried out by the Union registry service provider is mandatory. In case of changes to the Union registry or common operational procedures other affected parties might carry out an impact assessment, e.g. registry administrators, to assess the impact on their national procedures, workload, etc.

The impact assessment for changes that are classified as urgent is fast-tracked. Such impact assessment is undertaken by the URCM. Where circumstances permit, key affected parties are directly consulted and may also provide impact assessment.

In case it is unclear to the URCM whether an impact assessment is required at this early stage the URCM may also proceed directly with step 4.5 and leave the decision on the impact assessment to the CMB.

### **5.5 Compile and submit change request to change management board (CMB)**

The URCM compiles the completed impact assessments and prepares packages of information. The URCM submits all change requests together with the packages of information to the CMB for review. If no impact assessments have been carried out, the URCM only submits the change requests to the CMB.

The CMB may decide that only changes of a certain classification or prioritisation are submitted to it for review and other changes are decided upon by the URCM directly. The CMB may decide on criteria for this classification or prioritisation.

### **5.6 CMB review**

The URCM coordinates the activities of the CMB to review and approve change requests. The URCM convenes CMB meetings, prepares and distributes materials in advance and chairs the CMB meetings. The CMB has to convene a minimum of six times a year. In case an urgent change request is recorded by the URCM, a CMB meeting has to be convened within the next two weeks. CMB meetings may also take place virtually, e.g. via tele- or videoconference.

The information on the classification and prioritisation of the change request that has been prepared by the URCM defines the order in which change requests are considered by the CMB and serve as additional information on the change.

Based on the submitted materials the CMB may:

- Approve change requests
- Defer change requests pending further information
- Request further information including impact assessments
- Decide whether the standard timeframe for an impact assessment being two weeks is extended
- Reject change request
- Confirm dates for the release of the change
- Review progress on the release of changes

The CMB approves change requests on the basis of consensus or rejects or defers the request. Where a change request is dividable, the CMB may approve, reject or defer a change request in parts or may approve a change request in stages.

The URCM prepares minutes of the CMB meetings and provides them to all registry administrators via the Circa Website.

### ***5.7 Authorise change and release date***

Subject to approval of the CMB the URCM authorizes changes and the dates for their release. The URCM communicates authorization of a change to the Service provider change manager and other affected parties in order that they may commence implementation work.

In cases in which the CMB defers or rejects a change request, the URCM communicates this to affected parties and the Originator of the change request.

### ***5.8 Revise specification (e.g. DETS)***

The CMB may decide that after having agreed upon a change request other specifications, procedures or change requests need to be adapted. The revision of the specifications is coordinated by the URCM prior to the release of a change. A change to the DETS has to be authorised by the Climate Change Committee. Changes to common operational procedures have to be authorised by the working group on the specific procedure. Revisions of other types of specifications may be approved by the URCM. The URCM may seek CMB approval of such revised specifications in order to confirm that they are consistent with the change request originally authorised.

### ***5.9 Release management (in case of software change)***

### ***5.10 Please consult [Version Change Management]Close change request***

If all authorized work on a change has been completed successfully the URCM closes the change requests after authorisation by the CMB.

## **6 Classification and prioritisation of changes**

The classification of changes helps the URCM and the CMB to prioritise the review and the implementation of change requests. Changes that are major, urgent and are supported by many registry administrators are prioritised over minor changes with low urgency that are supported by few registry administrators.

## 6.1 *Impact Classification*

- Major  
Changes requiring significant implementation effort by the Union registry and national registry administrators and involving large risks to their development and operation. Changes have typically not been undertaken before and the impacts are unknown at the point of raising the change request.
- Minor  
Changes involving well-established solutions where the change is predictable from previous experience and the impacts are controllable and well understood.

## 6.2 *Urgency classification*

- Low  
The Change is not necessary to the proper operation of the Union registry. In many cases the Change is:
  - A minor enhancement
  - A defect with an existing and effective workaround
 The Release of the Change may be delayed until after the next scheduled Release with no significant consequences.
- High  
The Change is expected to significantly improve the operation of the Union registry. In many cases the change is:
  - A defect with an unsatisfactory or no workaround which prevents or restricts the operation of one or more functions
  - A substantial enhancement
  - A legal requirement
 The Release of the change must be included in the next scheduled Release.

## 6.3 *Registry administrator support*

Information on how many registry administrators from different EU Member States of EEA countries participating in the EU ETS support the change. This information is derived either from the number of Member States or EEA countries that submitted a change request in cooperation and/or comments by registry administrators as a result of the impact assessment.

## 7 *Target timeframe*

The progress of an individual change request through the procedure depends on factors such as scale, complexity and clarity of information. The following target timeframe is proposed:

Procedural step	Target timeframe
Submission of change request	Any time
Record CR	1 week after submission
Submission impact assessments	2 weeks after classification. The CMB may extend this period if the change

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	request is submitted first to the CMB.
Submission of CR package to CMB	2 weeks after impact assessment
Authorization of change and release date	1 week after CMB meeting
Revision of relevant specifications	4-8 weeks after CMB meeting
Authorisation of DETS change by CCC	At the next CCC
Closure of CR	1 week after the CMB meeting where the closure of the request is authorised