



Principles and Rules of Operation
Subsidiary Document

AIB-PRO-SD07 Review Procedures

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AIB-PRO-SD07: Assessment Panels

Release 1.2

Status of this document

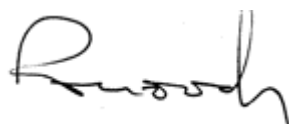
This document, AIB-PRO-SD07 Review Procedures, is a subsidiary document to the EECS Principles and Rules of Operation (the PRO) of the Association of Issuing Bodies (AIB) for The European Energy Certification System.

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

This PRO subsidiary document was formally approved by the General Meeting of AIB members held on 14th December 2007.

The effective date of this PRO subsidiary document is 1st January 2008.

Signed by the General Secretary:



PH Moody
1 January 2008

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Document History

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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 PRO) of the Association of Issuing Bodies (AIB) for The European Energy Certification System (EECS).

A1.2 Specific reference is made to the PRO Sections:

- (a) D – Admission and Expulsion Procedures
- (b) I – Compliance
- (c) J – Disputes
- (d) K – Assessment Panels
- (e) L – Change Procedures

A1.3 This document is subject to the change management procedures set out in Section L of the PRO and PRO Subsidiary Documents AIB-PRO-SD05 – ‘Change Management’.

A1.4 Selected parts of the quality management system ISO 9001 and the "Guidelines for quality and/or environmental management systems auditing" serve as inspiration for the peer review standard to be used within the AIB. The approach and documentation closely follow the processes of reviewing (ISO: auditing), whereas the assessments of findings and subsequent actions are based on needs within the AIB and not part of the reviewing standard.

A2 Purpose

A2.1 The Core Principles set out in the PRO seek to establish and maintain a quality system for the operation of the EECS Certificates network. In its preface, the PRO states that means for maintaining that quality standard will be peer review. The mechanism of peer review is carried out through Assessment Panels (see AIB-PRO-SD01 – ‘Assessment Panels’).

A2.2 The purpose of this PRO subsidiary document is set out the detailed review procedures for conducting an Assessment Panel. The starting point for this document is therefore when an Assessment Panel has been initiated as described in AIB-PRO-SD01 – ‘Assessment Panels’.

A2.3 With different individuals reviewing different interpretations and methods of achieving the requirements of the PRO, there is risk associated with the peer review process. This document seeks to manage that risk through providing a structure for individual reviews and a mechanism for reviewing the process itself.

A3 Structure

A3.1 Section B of this document gives a generic overview of the review process. This is followed by sections providing the specific detail of the processes for each occurrence of peer review.

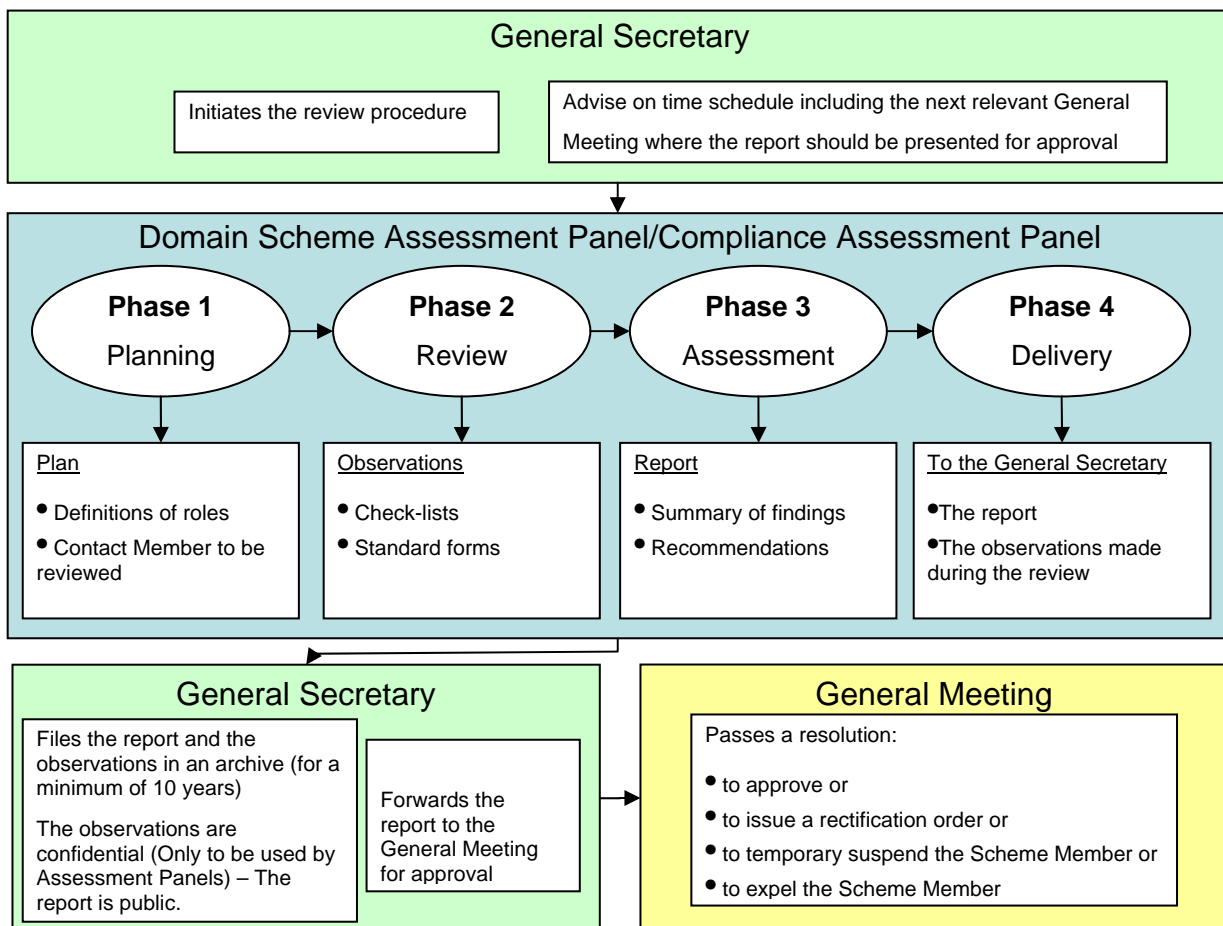
B VERIFICATION PROCESS

B1 Overview

B1.1 The verification process consists of four phases:

- (a) a plan for conducting the review and the assessment;
- (b) a systematic process of recording a set of observations (objective facts);
- (c) a methodical process of evaluating the observations leading to a conclusion;
- (d) a decision based on written documentation in a standard form.

These phases and the overall procedure are summarized in Figure 1.



B2 Phase 1 - Planning

B2.1 On being convened, the initial task of an Assessment Panel should be to set out its plan to fulfil its brief.

B2.2 The plan should cover:

- (a) the definition of roles and assignment of tasks and responsibilities to the Panel members;

- (b) the recognition of the review objectives, scope and criteria as set out in the brief from the General Secretary;
 - (c) the identification of which documents are needed for review;
 - (d) the time schedule for the review and assessment;
 - (e) how and when to establish communication with the Member being reviewed;
 - (f) any practical circumstances in connection with on-site review (not relevant when reviewing initial applications or amendments/ alterations);
 - (g) how to investigate applications for approval of Member's Agents and Measurement Bodies in accordance with Subsidiary Document AIB-PRO-SD04 – 'Member's Agents and Measurement Bodies' (if applicable).
- B2.3 In establishing the assignment of tasks, it is not necessary for all reviewers to conduct all aspects of the review. However, as an Assessment Panel, all reviewers are collectively responsible for the work of that Panel.
- B2.4 The Assessment Panel will establish communication with the Member being reviewed to ensure a positive dialogue and:
- (a) confirm its authority to conduct the review;
 - (b) provide information on the proposed timing;
 - (c) make practical arrangements for the review including:
 - (i) site visits (periodic review and compliance assessment only)
 - (ii) availability of appropriate personnel
 - (d) discuss mutual expectations to make sure that they are harmonized. To obtain a successful result it is essential that the two parties expect a similar sequence of events; and
 - (e) obtain any security clearance required by the reviewed Member, which may include site passes and/or non-disclosure agreements with the individual reviewers (i.e. not their respective organisations nor the AIB).
- B3 Phase 2 - Review**
- B3.1 The Assessment Panel will obtain the documentation necessary for the assessment.
- B3.2 In accordance with PRO Sections C and M, the formally reviewed version of the Scheme Member's documentation will be the English form. Native language versions may also be requested and reviewed.
- B3.3 English versions of relevant national legislative documents should be provided where they exist. Where only official summaries in English exist, these should be provided along with the native language text. Where no official summary in English exists, the Assessment Panel may request the Member to provide a short summary in English.
- B3.4 Guidance, checklists and standard forms in the sections of this document describing each of the instances of Assessment Panels will assist the Panel to identify the required documentation.
- B3.5 The mapping of PRO requirements to their effective terms in the Domain Protocol forms a cross reference matrix for the review. The format given in Appendix 2 must be used for this purpose. This matrix must include all the PRO section mappings shown in the PRO-Domain Protocol mapping table given in the

PRO Fact Sheet AIB-PRO-FS10 – ‘Guidelines and Framework for Domain Protocols’. It should be noted that the Domain Protocol side of the mappings given in that document relate to a Domain Protocol template and that they should be amended where necessary for the Member’s Domain Protocol for the EECS Scheme under consideration.

- B3.6 In reviewing the documentation, observations are recorded for subsequent assessment using the observation register (see Appendix 3).
- B3.7 The Assessment Panel should seek clarification from the Member on any matters it considers to be insufficiently clear.

B4 Phase 3 - Assessment

- B4.1 The Assessment Panel will evaluate the observations in the context of the Member’s operation and the requirements of the PRO.
- B4.2 Assistance with the details of conducting the assessment phase is given in the sections of this document describing each of the instances of Assessment Panels.
- B4.3 The Assessment Panel should maintain a dialogue with the Member during the assessment phase, giving the Member opportunity to comment and correct any issues raised by the observations.
- B4.4 Member responses and the Panel’s assessments are recorded in the observation register. Unresolved issues must be reported accordingly.
- B4.5 The time schedule for the assessment may be extended by agreement of the Member and the Assessment Panel.
- B4.6 The result of the assessment phase is the compilation of the report. The content of the report must be in accordance with AIB-PRO-SD01 – ‘Assessment Panels’. A format for the report is given in Appendix 4.
- B4.7 The content of the report must comply with the requirements of any non-disclosure agreement between the individuals in the Panel and the Member whilst also conveying an appropriate level of information to justify the conclusions reached.

B5 Phase 4 - Delivery

- B5.1 When the review and the assessment have been concluded, both the observations register and the report are sent the General Secretary in accordance with AIB-PRO-SD01 – ‘Assessment Panels’.
- B5.2 The observations are not published to Members; their use being as a reference for:
- (a) subsequent Assessment Panels where the subject is the same Member; and
 - (b) an Assessment Panel convened for the purpose of monitoring the effectiveness of the verification process.
- B5.3 In accordance with AIB-PRO-SD01 – ‘Assessment Panels’, the General Secretary will prepare a paper for the General Meeting based on the report.
- B5.4 The General Secretary will retain the report and observations for a period not less than 10 years.

B6 Process Review

B6.1 An Assessment Panel will monitor the effectiveness and conduct periodic reviews of the verification process.

B6.2 The report summarising the review will include:

- (a) a list of the reviews/ assessments that have been conducted since the previous review;
- (b) feedback from Assessment Panel Members and reviewed Members;
- (c) whether the guidelines and check-lists have been used correctly;
- (d) a check of the General Secretary's assessment archives;
- (e) an evaluation of the ongoing value of the reviews/ assessments.

B6.3 The report from such a review will form an information paper to the General Meeting.

C DOMAIN SCHEME ASSESSMENT

C1 Application for Scheme Membership

- C1.1 The verification process will follow that set out in B above.
- C1.2 The review is of documentation and systems only. No on-site inspections will be conducted.
- C1.3 The time schedule of the assessment will be in accordance with AIB-PRO-SD01 – ‘Assessment Panels’.
- C1.4 The organisation applying for an EECS Scheme membership must provide all the documents listed in the checklist shown in Appendix 1.
- C1.5 The Domain Scheme Assessment Panel will communicate with a primary contact of the prospective Scheme Member via e-mail and telephone. All e-mails between the Member’s contact person and the Panel members must be sent to all three individuals. The contact person is expected to respond to a question within one working day.
- C1.6 The prospective Scheme Member must provide a cross-reference matrix (see B3.5 above) applicable to the Domain Protocol submitted.
- C1.7 As part of the review phase (see B3 above), the Domain Scheme Assessment Panel will use the checklist shown in Appendix 1 to establish completeness of the document set provided.
- C1.8 The Domain Scheme Assessment Panel will check the cross-reference matrix provided against the list of PRO sections in the PRO-Domain Protocol mapping table given in the PRO Fact Sheet AIB-PRO-FS10 – ‘Guidelines and Framework for Domain Protocols’ to ensure completeness of the required mappings. Any omissions will be recorded in the observations register (see Appendix 3) and referred back to the prospective Scheme Member for update.
- C1.9 As part of the assessment phase (see B4 above), the Domain Scheme Assessment Panel will check the mappings in the cross-reference matrix ensuring that the requirements of the PRO are adequately satisfied.
- C1.10 Any queries or doubts about the adequacy of the statements in the prospective Member’s documentation will be noted in the observation register and referred back to the prospective Member for comment.
- C1.11 The criterion for an approval is for the prospective Scheme Member to have set out how each of the requirements in the PRO relating to:
- (a) Domain Schemes and the conveying of rights and obligations between the prospective Scheme Member and a participant in its Domain Scheme; and
 - (b) the obligations of a Scheme Member to the AIB
- will be satisfied.
- C1.12 On closure of the assessment, the report is prepared and submitted to the General Secretary, along with the completed forms from Appendices 1, 2 and 3.

C2 Amendment by an Existing Scheme Member

- C2.1 Where the proposed amendment is confined to changing the list of approved agents and measurement bodies, C3 below shall apply.
- C2.2 The General Secretary will provide the Domain Scheme Assessment Panel with a brief containing for that Domain Scheme operated by the Scheme Member:

- (a) a copy of the archived documentation from the last full Domain Scheme assessment (on application or periodic review);
 - (b) all subsequent amendment assessments; and
 - (c) a copy of the relevant Change Proposal.
- C2.3 The verification process will follow that set out in C1 above except that only those documents affected by the proposed change will be reviewed.
- C2.4 At the review stage, the Domain Scheme Assessment Panel must determine what it considers to be the impacted documentation from the checklist in Appendix 1.
- C2.5 At the review and assessment phases, the Domain Scheme Assessment Panel will check the cross-reference matrix against its equivalent from previous successful assessments to ensure continuity of compliance.
- C2.6 Previously accepted statements should not be reassessed unless the proposed change has impact on their meaning or effect.
- C2.7 The criterion in C1.11 above shall be restricted to only those changes resulting from the Change Proposal.

C3 **Member's Agents and Measurement Bodies**

- C3.1 The specific process for the assessment and approval of Member's Agents and Measurement Bodies is described in AIB-PRO-SD04 – 'Member's Agents and Measurement Bodies'.

C4 **Periodic Review**

- C4.1 These reviews occur in accordance with AIB-PRO-SD01 – 'Assessment Panels'.
- C4.2 Whereas the initial application and amendment assessments are documentation-only reviews focussing on the statements of a Scheme Member on how it will comply with the rights and obligations placed on it by the PRO, the remit of a periodic review focuses the operations of the Scheme Member in actually fulfilling those obligations.
- C4.3 The Domain Scheme Assessment Panel for the first (1 year) periodic review should comprise the same persons as for the application assessment where possible. However, changes in the Domain Scheme Assessment Panel Matrix may prevent this.
- C4.4 A periodic review assessment must include an inspection at the primary location where registry activities are carried out by/for the Scheme Member under review. This will be the premises of the Central Monitoring Office where appropriate. To ensure fairness and objectivity, both members of the Domain Scheme Assessment Panel must attend the site visit.
- C4.5 The Domain Scheme Assessment Panel will request the documentation identified in the checklist in Appendix 1, together with any relevant agency agreements, from the Scheme Member under review and will also obtain previous Assessment Panel reports and observation registers for that Scheme Member from the General Secretary. Reviewers need only see the terms relevant to operational content of an agency agreement. Commercial details do not need to be disclosed.
- C4.6 Periodic review is conducted using a sampling approach. As part of its assessment planning, the Domain Scheme Assessment Panel will choose (from

the completed cross-reference matrix from Appendix 2) a number of obligations on the Scheme Member from the PRO to assess. The number and scope of the obligations assessed must be such that the review is sufficiently substantive to maintain the overall quality of AIB members' activities without being unduly onerous. In selecting the sample for analysis, reviewers should consider previous periodic assessment samples with the objective of covering all the main obligations with a cycle of three assessments. The first review (at one year) must include, but is not limited to, the process of verifying Production Devices at registration and the overall responsibility for issuing within the obligations being assessed.

- C4.7 The situation of the periodic review is to assess operational practice, therefore the specific sample questions should not be disclosed to the Scheme Member under review in advance of the site inspection. However, the Scheme Member should be notified of the obligation areas that will be assessed. The Scheme Member must ensure that relevant operations personnel are available on the agreed inspection date such that compliance with the sampled PRO obligations can be demonstrated to the reviewers on request.
- C4.8 An assessment checklist should be prepared based on the Domain Protocol text relevant to the sample obligations.
- C4.9 The initial checks carried out by the Domain Scheme Assessment Panel should include verification that the documents provided are the approved versions and are consistent with the currently release of the PRO. This check will provide assurance that the Scheme Member has complied with the change management processes including this document (see C2 above).
- C4.10 When on site, the Domain Scheme Assessment Panel should invite the Scheme Member's (or his agent's) personnel to show how the obligations in the sample are met in practice. Part of such a demonstration may require data evidence from with the EECS Registration Database. Access to the database for the purposes of the assessment must not be unreasonably withheld.
- C4.11 The Domain Scheme Assessment Panel will maintain an observation register (Appendix 3) throughout the review.
- C4.12 The assessment should be conducted in a spirit of co-operation with the objective of providing quality assurance for all Members and market participants.
- C4.13 The criteria for approval are:
- (a) the operations sampled are performed in a manner compliant with the documentation in use;
 - (b) the documentation in use remains compliant with the PRO; and
 - (c) in the opinion of the reviewers, on behalf of the AIB, the operation of the Scheme Member, upholds the quality standard of the AIB.
- C4.14 On completion of the assessment, the Domain Scheme Assessment Panel will submit its report using the format in Appendices 4, 5 and 6.

D COMPLIANCE ASSESSMENT

D1 Phase 1

- D1.1 Compliance Assessment Panels are convened in accordance with AIB-PRO-SD01 – ‘Assessment Panels’.
- D1.2 The General Secretary will provide a brief for the Compliance Assessment Panel based on the case presented to him.
- D1.3 Where the Compliance Assessment Panel is convened following a recommendation or appeal in conjunction with a Domain Scheme Assessment, the brief shall include:
- (a) a copy of the documentation from the relevant Domain Scheme assessment;
 - (b) where applicable, a copy of the notice of appeal; and
 - (c) any other documentation he considers relevant to the case.
- D1.4 Where the Compliance Assessment Panel is convened following a complaint alleging non-compliance, the brief shall include:
- (a) a copy of the notice of complaint;
 - (b) his initial assessment of materiality; and
 - (c) any documentation he considers relevant to the case.
- D1.5 At its first meeting, the Compliance Assessment Panel will elect a co-ordinator from its members to act as a project manager.
- D1.6 The verification process will follow that set out in B above except that only those parts of the documents and activities concerning the alleged non-compliance will be reviewed.
- D1.7 The planning phase, defining the objectives, exact scope and criteria is very important and will be limited to the brief provided.

D2 Phase 2

- D2.1 As part of the review stage, the Compliance Assessment Panel must determine what it considers to be the impacted documentation from the checklist in Appendix 1 and the formal AIB documentation.
- D2.2 Before looking at the specific alleged non-compliance, the Compliance Assessment Panel must establish how the alleged non-complying Scheme Member performs the task under normal circumstances. This will be done by reading copies of relevant material, by performing telephone interviews, by gaining access to that Member’s EECS Registration Database and/or by carrying out on-site review.
- D2.3 The Compliance Assessment Panel will review the specific case of alleged non-compliance to determine whether the case is different to routine performance.
- D2.4 The Compliance Assessment Panel may also review how similar tasks are performed in other Domain Schemes (including other EECS Schemes) as a reference for ‘best practice’ if it considers such a reference is necessary for its assessment.

-
- D3 Phase 3**
- D3.1 The Panel will make its assessment of both the general performance and the specific case in terms of compliance with the PRO.
- D3.2 The Panel must decide if the observations, which were made during the review, illustrate the relevant problems raised by the complaint and if it is possible to make a conclusion on the basis of the review. If this is the case, the Panel can finalise their report. If not, the review has to be expanded and the Panel has to go back to phase 2.
- D3.3 If the Panel finds that the complaint is valid and that the allegation of non-compliance is justified, the non-compliant Scheme Member should be notified before the report is sent to the General Secretary.
- D3.4 As part of its assessment, the Compliance Assessment Panel must also consider the broader context of the issue both in terms of operational best practice and in terms of the Core Principles set out in the PRO Section A. Regardless of whether it finds a non-compliance, if it believes the PRO could be improved by a clarification amendment, so avoiding further allegations of non-compliance of a similar nature, then the Panel should make such a recommendation and a draft Change Proposal in accordance with AIB-PRO-SD05 – ‘Change Management’ should be submitted with the report.
- D4 Phase 4**
- D4.1 The report (see B4.6 above) together with any documentation produced in association with the compliance assessment is submitted to the General Secretary.

Appendix 1 – DOCUMENTATION CHECKLIST

To be completed and extended as necessary by the Assessment Panel.

Applicant/Member

EECS Scheme

Documents	Received (✓)	Date Received
Description of Domain		
Description of Domain Scheme		
Domain Protocol		
Standard Terms and Conditions		
Database - Test report		
Transfer Interface Test Report in accordance with SD03		
List of Member's Agents and Measurement Bodies (if any)		
Cross Reference Matrix		

Other documents (if any)	Received (✓)	Date

Review Date	Reviewed by



Appendix 2 – CROSS-REFERENCE MATRIX

Applicant/Member

EECS Scheme

These tables are to be completed by the applicant/Scheme Member (except for the comments column) adding additional rows/columns to each table as required. The documents identified in the reference documents table should include: the Domain Protocol, the Member’s Standard Terms and Conditions for service provision to Domain Participants, national legislative and regulatory documents, and any other relevant documentation.

List of reference documents			
Reference	Document title	English version (✓/–)	English summary (✓/–)
A	Domain Protocol		
B	Standard Terms and Conditions		
C			
D			

The following matrix must include all the required PRO section references copied and pasted from the current version of PRO Fact Sheet AIB-PRO-FS10 – ‘Guidelines and Framework for Domain Protocols’. The cross-referenced document(s) should be marked with ‘x’ in the appropriate column(s). The reference location is the statement identifier in the Member’s Domain Scheme document(s). The comments section is to be completed by the Assessment Panel.

PRO Section	A	B	C	D	E	F	G	H	I	Reference Location	Assessment Panel Comments

Review Date	Reviewed by

Appendix 3 – OBSERVATION REGISTER

To be completed and extended as necessary by the Assessment Panel.

Applicant/Member

EECS Scheme

Date of Assessment

Observation #	1
PRO Section	
Observation	
Response from Member	
Assessment	

Observation #	2
PRO Section	
Observation	
Response from Member	
Assessment	

Appendix 4 – REPORT FORMAT

To be completed by the Assessment Panel:

Reviewed Member:	Date (completion):
EECS Scheme:	Domain:
Type of Assessment Panel: (delete as appropriate) Domain Scheme Assessment Panel / Compliance Assessment Panel	
Type of review: (delete as appropriate) Scheme member application / domain scheme amendment / periodic review / compliance	
Assessment Panel members:	
Name:	Member represented:

Visited sites (if any):
Documents reviewed (including version numbers): 1.
Discrepancies observed and corrected (if any) 1.
Discrepancies observed and outstanding (if any) 1.

Recommendation(s) to the General Meeting:

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Reviewer:	Date:	Signature:

On behalf of the reviewed Member:

Name:	Date:	Signature:
Comments:		

Appendix 5 – REVIEW PLANNING

To be completed by the Assessment Panel:

Agenda:
Checklist:
Topics for next review: A – follow up B – Topics to be covered

Appendix 6 – SUGGESTIONS FOR AMENDMENTS

To be completed by the Assessment Panel:

Suggestions to amendments of the DP template:
Suggestions to amendments to the PRO: