



Principles and Rules of Operation
Subsidiary Document

AIB-PRO-SD01 Assessment Panels

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AIB-PRO-SD01: Assessment Panels

Release 2.0

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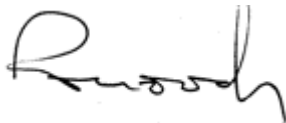
This document, AIB-PRO-SD01 Assessment Panels, is a subsidiary document to the EECS Principles and Rules of Operation (the PRO) of the Association of Issuing Bodies (AIB) for The European Energy Certification System.

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 23rd November 2005.

The effective date of this PRO subsidiary document is 1st January 2006.

Signed by the General Secretary:



PH Moody
1 December 2005

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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 related subsidiary documents.

A2 Purpose

A2.1 The purpose of this PRO subsidiary document is set out the detailed procedural and technical matters associated with Assessment Panels. Specifically this will include:

- Scope and responsibility
- Membership and composition
- Convening
- Conduct
- Reporting
- Appeals mechanism

A2.2 This document is also intended to provide further explanation of the procedures associated with Assessment Panels set out in the PRO

B ASSESSMENT PANELS

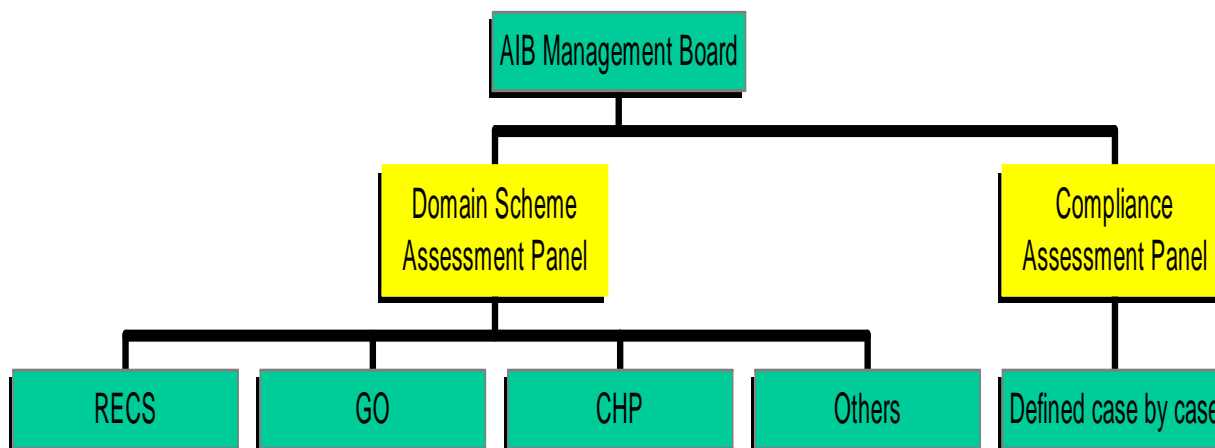
B1 Function of Assessment Panels

- B1.1 Assessment Panels are the means by which the AIB maintains a high quality standard of operation by its members in complying with the PRO. The system of peer review ensures the widespread adoption of best practice across members.
- B1.2 Operational quality is established and promoted through initial entry processes and is then maintained by periodic review, both are facilitated by forms of Assessment Panel.
- B1.3 The subject of an Assessment Panel is specific to each Scheme and so an individual Assessment Panel will only assess performance against the Scheme under which it has been constituted.

B2 Forms of Assessment Panels

- B2.1 There are three primary forms of Assessment Panel recognized by the PRO. These are: Domain Scheme Assessment Panels, for the assessment of initial applications, applications for changes to Domains and Domain Protocols, and periodic reviews of performance; Compliance Assessment Panels, for investigation of alleged non-compliance and reviews where a broader remit is required; and change Assessment Panels for assessing Change Proposals for the PRO and its Subsidiary Documents.
- B2.2 The figure below is an illustration of the structure and forms of Assessment Panels.

Assessment Panel Structure



C DOMAIN SCHEME ASSESSMENT PANELS

C1 Purpose

- C1.1 A Member seeking to establish a Domain Scheme must first make an application through the General Secretary in accordance with PRO Section D. This section also requires that, in order for the application to be successful, approval of the Member's application must be recommended to the General Meeting by the Domain Scheme Assessment Panel.
- C1.2 When an existing Scheme Member proposes to change its Domain or Domain Protocol it must submit the revised document(s) for approval in accordance with PRO Section L.
- C1.3 When a Member has been suspended from an EECS Scheme, the readmission process requires it to submit to a Domain Scheme Assessment Panel. Whether the Member has met the terms of the suspension will form part of this assessment.
- C1.4 The Domain Scheme Assessment Panel must review the application and satisfy itself that the Domain Scheme meets the criteria set out in C4 below and will be operated in a manner that is compliant with the PRO.

C2 Composition of a Domain Scheme Assessment Panel

- C2.1 The composition of a Domain Scheme Assessment Panel shall be in accordance with PRO Section K.
- C2.2 The composition of the Domain Scheme Assessment Panel should ensure fair and independent reviews of each Member.
- C2.3 A Domain Scheme Assessment Panel shall comprise not less than two individuals, one from each of two Scheme Members.
- C2.4 Subject to C2.5 and C5.3 below, the membership of a Domain Scheme Assessment Panel is determined by the Domain Scheme Assessment Panel matrix (see C3 below).
- C2.5 For new EECS Schemes, with fewer than two existing Scheme Members, the General Secretary will appoint two suitably qualified and experienced individuals to act as an initial Domain Scheme Assessment Panel.
- C2.6 In addition to the requirements of PRO Section K, the Domain Scheme Assessment Panel must have the following attributes:
- (a) AIB Management Board members and officers cannot be reviewers.
 - (b) Subject to C2.5 above, reviewers must be Member's Representatives of an approved Scheme Member or such Member's Agent.
- C2.7 In addition to the requirements of PRO Section K, the Domain Scheme Assessment Panel should seek to have the following attributes:
- (a) At least one of the reviewers has language capability of the Domain to be reviewed.
 - (b) At least one of the reviewers has previously been a Domain Scheme Assessment Panel reviewer.
- C2.8 A Scheme Member has the right to decline his obligation of participating in a Domain Scheme Assessment Panel on one occasion if he is unable to provide a suitable nominee. In such cases, the General Secretary will appoint another Scheme Member.

C2.9 The General Secretary may waive any of the criteria in this section C2 or PRO Section K in the event that it proves impossible to convene an Assessment Panel that meets all the criteria.

C3 Domain Scheme Assessment Panel Matrix

C3.1 A Domain Scheme Assessment Panel matrix shall exist for each EECS Scheme for which there are Scheme Members. This matrix will be maintained as a PRO Fact Sheet.

C3.2 The Domain Scheme Assessment Panel matrix is composed of all Scheme Members and provides an arrangement of reviewers that satisfies the requirements of PRO Section K.

C3.3 A Scheme Member should not be required to review more than two Domain Schemes in any compilation of the Domain Scheme Assessment Panel matrix.

C3.4 The Domain Scheme Assessment Panel matrix must be recompiled to include each new Domain, or not more than three years from the date of the last compilation.

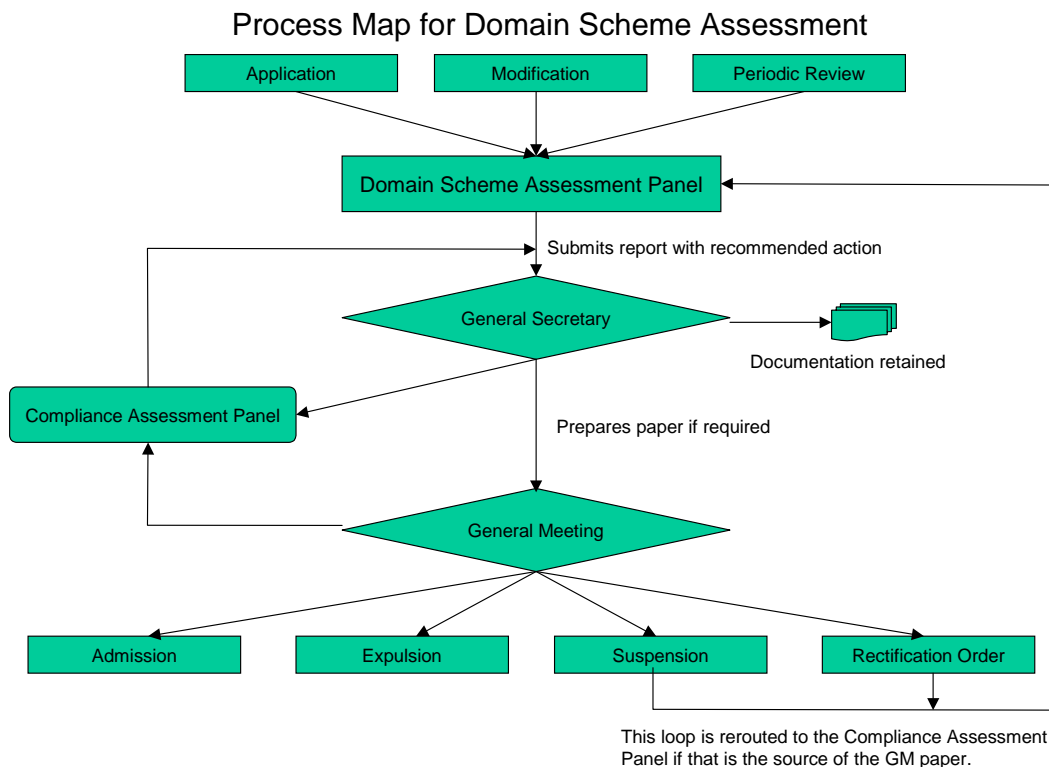
C3.5 Responsibility for maintaining the Domain Scheme Assessment Panel matrix is with the General Secretary.

C4 Scope and Responsibility of a Domain Scheme Assessment Panel

C4.1 The scope and responsibility of a Domain Scheme Assessment Panel in ensuring compliance with the PRO are set out in PRO Sections C and D. Reference should also be made to PRO subsidiary documents AIB-PRO-SD05 Change Management, AIB-PRO-SD07 Periodic Reviews, and AIB-PRO-SD04 Member's Agents and Measurement Bodies.

C4.2 The following represents a checklist of the minimum requirement for Domain Scheme Assessments. Assessments must include, but are not limited to:

- (a) The database(s) used
- (b) The Transfer Links used
- (c) The processes for the operation of the database(s) and Transfer Links
- (d) Member's Agents
- (e) The Domain definition
- (f) The Standard Terms and Conditions
- (g) The Domain Protocol
- (h) Processes for publication of data where required
- (i) Audit processes
- (j) Measurement Bodies



C5 Convening a Domain Scheme Assessment Panel

C5.1 A Domain Scheme Assessment Panel is convened when requested by the General Secretary. The General Secretary will make such a request:

- (a) on receipt of an application to establish a Domain Scheme.
- (b) on, or shortly before, one year from the date of initial Domain Scheme application approval.
- (c) on, or shortly before, the third anniversary of the last Assessment Panel report for the Domain Scheme.
- (d) on notification from a Scheme Member that there is to be a change in that Scheme Member's Domain or Domain Protocol.

This sequence provides for framework entry qualification, an initial period to allow the establishment and refinement of operational procedures, and an enduring cycle of quality assurance.

C5.2 The General Secretary will request from each of the Scheme members scheduled for the Domain Scheme Assessment Panel, a nominated reviewer, a brief resume of their experience, their skill in respect of the language of the Domain being reviewed, and their contact details. The General Secretary will seek to satisfy the objectives set out in C2.6 and C2.7 above as far as possible, and may request alternative nominations where appropriate.

C5.3 Where the Domain Scheme Assessment Panel is convened for the first review under C5.1(b) above, the Panel should, whenever possible, comprise the same individuals as for the initial application. The reason for this is to minimise the cost of this assessment and to make full use of the experience from that initial assessment.

C5.4 Members are responsible for nominating representatives who are sufficiently skilled to conduct a review as part of a Domain Scheme Assessment Panel.

C6 Resource Requirements

C6.1 Members should expect a Domain Scheme Assessment to require the following resources per reviewer:

- (a) Preparation: 3-4 days;
- (b) Review: 1-2 days;
- (c) Reporting: 1 day.

These resource requirements are unlikely to be full-time during the review.

C6.2 Members being reviewed should expect a Domain Scheme Assessment to require the following resources:

- (a) Preparation 1-2 days
- (b) Review 2 days
- (c) Required adjustment to documentation is dependent on requirement.

C7 Conduct of Reviewers

C7.1 The conduct of reviewers is set out in PRO Section K.

C7.2 Each Member will be responsible for covering its own costs related to the assessment. On average, this will mean that costs will be shared equally between Members.

C7.3 Information obtained by reviewers in the course of carrying out an assessment cannot subsequently be used as evidence to support a complaint by the Member who is that reviewer's employer against the Member being assessed. It is the duty of a reviewer to express such concerns about compliance within the report produced by the Panel of which he is a member.

C7.4 Where a reviewer suspects that any other reviewer on the Panel is not conducting the assessment in a fair and proper manner, or in accordance with the PRO or this document, he shall notify the General Secretary immediately.

C8 Domain Scheme Assessment Panel Report

C8.1 The Domain Scheme Assessment Panel must submit a report of its operation and findings to the General Secretary.

C8.2 The report must be in written form (ideally electronic). The report format that must be used can be found in AIB-PRO-SD09 and the AIB website.

C8.3 The content of the report must include:

- (a) The reviewers' names and the Members represented.
- (b) The date of completing the assessment.
- (c) The recommendation of the Panel in respect of each section identified in C4.2 above.
- (d) The documentation reviewed and their version numbers.
- (e) Any discrepancies observed and corrected.
- (f) Any discrepancies observed and outstanding.
- (g) A summary recommendation in relation to:

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- (i) an application for Scheme membership, whether the application should be approved;
 - (ii) a change in a Domain Protocol, whether it is reasonably satisfied that the Domain Protocol so changed would meet the requirements of PRO Section C;
 - (iii) an application for a change in a Domain, whether it approves the proposed change
 - (iv) a periodic review, whether a rectification order, suspension or expulsion is recommended;
 - (v) a rectification order, whether the Member subject to the rectification order has complied with it;
 - (vi) a suspension order, whether the conditions on which (according to the suspension order) such period of suspension terminates have been satisfied.
- C8.4 The reviewed Member must be given a copy of the report prior to submission and have the opportunity to mitigate any observed discrepancies. Subject to C8.8 below, the reviewed Member will sign off the report as an accurate account of the assessment. The Member may also state any reservations against the report.
- C8.5 Under normal circumstances, the report should be submitted to the General Secretary within 45 calendar days of:
- (a) for new applications, the application being received by the General Secretary.
 - (b) for periodic reviews, the date the Assessment Panel is convened by the General Secretary.
- C8.6 The General Secretary will prepare a paper containing the report for approval at the next General Meeting as appropriate.
- C8.7 Where there are outstanding discrepancies, the Domain Scheme is not compliant with the PRO and the General Meeting may withhold approval pending resolution of the issues.
- C8.8 If the Member is unable to resolve discrepancies with the Domain Scheme Assessment Panel, either the Panel, through its report, or the Member may request the matter to be referred to a Compliance Assessment Panel.
- C8.9 The General Secretary will retain a copy of the report and its supporting documents for not less than three years. This documentation will be provided to the reviewers for the subsequent Domain Scheme Assessment(s) of the same Domain Scheme as appropriate.
- C9 Closing Down a Domain Scheme Assessment Panel**
- C9.1 A Domain Scheme Assessment Panel shall be in operation until a resolution accepting an unqualified approval recommendation from that assessment is passed by the General Meeting; or the relevant application is withdrawn; or the Member under assessment has been expelled or has withdrawn from the relevant EECS Scheme. At this point the Domain Scheme Assessment Panel is disbanded.
- C9.2 Where the matter has been passed to a Compliance Assessment Panel under C8.8 above, the Domain Scheme Assessment Panel will cease operation, but will remain available to provide evidence and information until the Compliance Assessment Panel has submitted its report to the General Secretary.
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D COMPLIANCE ASSESSMENT PANELS

D1 Purpose

- D1.1 The role of a Compliance Assessment Panel is to review suspected cases of non-compliance with the PRO on behalf of the Association in accordance with PRO Sections I and J.
- D1.2 A Compliance Assessment Panel will bring a broader expertise in its activities than would normally be expected of a Domain Scheme Assessment Panel. In some cases, the Panel recommendations may lead to policy development.
- D1.3 Compliance Assessment Panel recommendations must ensure that no Scheme Members are discriminated in any way.

D2 Composition

- D2.1 The composition of the Compliance Assessment Panel should ensure fair and independent reviews of each Member.
- D2.2 A Compliance Assessment Panel shall comprise not less than three individuals, each being representatives of independent Members.
- D2.3 To ensure independence, where a Compliance Assessment Panel is convened to review a disputed Domain Scheme Assessment, the Members who provided representatives for the Domain Scheme Assessment Panel are not eligible to provide reviewers for the Compliance Assessment Panel.
- D2.4 AIB Management Board members and officers cannot be members of a Compliance Assessment Panel.
- D2.5 The Members who are the subject of, or the complainant to, the Compliance Assessment cannot provide a representative to Compliance Assessment Panel.

D3 Convening a Compliance Assessment Panel

- D3.1 Compliance Assessment Panels are convened as required.
- D3.2 Events that trigger a Compliance Assessment Panel to be convened are:
- (a) Unresolved discrepancies following a Domain Scheme Assessment (see C8.8).
 - (b) A complaint made to the General Secretary under PRO Section J.
- D3.3 With respect to D2.3 above, the General Secretary will issue a general request to eligible Members for a nominated reviewer, a brief resume of their experience, and their contact details.
- D3.4 The [AIB Board] will appoint suitably skilled and experienced reviewers from the nominations received.
- D3.5 A Compliance Assessment Panel will be convened within 14 calendar days of the General Secretary determining that a Panel should be convened.
- D3.6 The Compliance Assessment Panel remains in operation until completion of its assessment report, and there being no appeal against any subsequent resolution (see D7 below), and there being no Rectification Order (see D8 below) outstanding or suspension in force.

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- D4 Scope and Responsibility of a Compliance Assessment Panel**
- D4.1 The Compliance Assessment Panel will be conducted in accordance with PRO section I.
- D4.2 The General Secretary will provide a brief for the Compliance Assessment Panel based on the case presented in D3.2 above.
- D4.3 The remit of the Compliance Assessment Panel is limited to determining whether a Member is operating in a manner that complies with the PRO on the specific issue(s) contained in its brief. This includes compliance with the terms of its own Domain Scheme.
- D4.4 The Compliance Assessment Panel will submit a report to the General Secretary making recommendations that might include:
- (a) Issuing a Rectification Order with a date by which the rectification should be implemented;
 - (b) Amendment to the PRO or its subsidiary documents;
 - (c) Suspension of the Domain Scheme; and/or
 - (d) Expulsion of the Member from the relevant EECS Scheme.
- D5 Conduct of Reviewers**
- D5.1 The conduct of reviewers is set out in PRO Section K.
- D5.2 Information obtained by reviewers in the course of carrying out an assessment cannot subsequently be used as evidence to support a complaint by the Member who is that reviewer's employer against the Member being assessed. It is the duty of a reviewer to express such concerns about compliance within the report produced by the Panel of which he is a member.
- D5.3 Where a reviewer suspects that any other reviewer on the Panel is not conducting the assessment in a fair and proper manner, or in accordance with the PRO or this document, he shall notify the General Secretary immediately.
- D5.4 As the work of a Compliance Assessment Panel requires a high standard of expertise and the outcomes are of significant importance to the Association in general, the cost of the Panel will be met by the Association (shared between all Members). Members can be reimbursed for the reasonable expenses incurred by the reviewers and for a daily rate determined in advance by the AIB Management Board. The daily rate shall be apportioned according to actual time incurred by reviewers in conducting the business of the Panel.
- D6 Compliance Assessment Panel Report**
- D6.1 The Compliance Assessment Panel must submit a report of its operation and findings to the General Secretary.
- D6.2 The report must be in written form (ideally electronic). A report template is available in AIB-PRO-SD09.
- D6.3 The content of the report must include:
- (a) The reviewers' names;
 - (b) The date of completing the assessment;
 - (c) Any discrepancies observed and corrected;
 - (d) Any discrepancies observed and outstanding;
 - (e) The recommendations of the Panel i.e. whether a rectification order, suspension or expulsion is recommended; and
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- (f) Identification of, and the rationale for, any dissensions in the event that unanimity cannot be achieved within the Panel.
- D6.3.2 In accordance with PRO section I, the report shall not identify any individual EECS Participant without the consent of that EECS Participant.
- D6.3.3 The report should be submitted to the General Secretary within 60 calendar days of the Compliance Assessment Panel being convened or receiving new instruction from the Management Board following an appeal by the Member.
- D6.4 The General Secretary will prepare a paper containing the report for approval at the next General Meeting as appropriate.
- D7 Appeal**
- D7.1 Should a Member disagree with a decision reached against it, by a General Meeting in relation to a Compliance Assessment Panel report, the Member can appeal against the decision to the Management Board under PRO section J within three months of the decision.
- D7.2 On receipt of a notice of appeal, the Management Board will determine whether the appeal is valid within 30 calendar days.
- D7.3 Following an appeal, the Management Board may instruct the Compliance Assessment Panel to conduct part or all of the assessment again and to submit a revised report.
- D7.4 Where the subject of the appeal is the failure of the Compliance Assessment Panel to comply with the PRO or this Subsidiary Document, the Management Board may replace reviewers prior to carrying out the re-assessment.
- D7.5 Upon notification from the Management Board, a replaced reviewer shall cease to be part of the Compliance Assessment Panel, and shall be entitled to recover costs identified in D5.4 above up to that point.
- D8 Rectification Orders**
- D8.1 Where a Rectification Order has been issued by the General Meeting, the Compliance Assessment Panel will, on the date specified in the Rectification Order or as soon as is practical thereafter, start the assessment of whether that Rectification Order was fulfilled by the date specified.
- D8.2 The start of the assessment can be brought forward at the request of the Member in receipt of the Rectification Order and by agreement with the members of the Compliance Assessment Panel. This agreement shall not be unreasonably withheld.
- D8.3 The Compliance Assessment Panel will make a report to the General Secretary of its findings and recommendations in accordance with D6 above.
- D9 Closing Down a Compliance Assessment Panel**
- D9.1 A Compliance Assessment Panel shall be in operation until it is disbanded by the Management Board.
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E CHANGE ASSESSMENT PANELS

E1 Purpose

E1.1 The role of a change Assessment Panel is to consider Change Proposals in accordance with PRO Section L and to make recommendations for the development of AIB documentation and procedures to the General Meeting.

E2 Composition of a change Assessment Panel

E2.1 Change Assessment Panels will have standing members forming the core membership of each panel. The Management Board will appoint such standing members from time to time.

E2.2 A QA change Assessment Panel (based on the members of the AIB Working Group – Operational Rules) will consider changes to:

- (a) the PRO;
- (b) PRO Chapters;
- (c) PRO Subsidiary Documents (except AIB-PRO-SD03).

E2.3 A 'Systems' change Assessment Panel (based on the members of the AIB Working Group – Systems) will consider changes to Subsidiary Document AIB-PRO-SD03 – 'EECS Registration Databases' and related technical matters.

E2.4 On behalf of the Management Board, the General Secretary may appoint additional individuals to an Assessment Panel for short durations where their skills and experience provide specific additional input according to the requirements of the change under consideration.

E2.5 Each Member will be responsible for covering the costs of its representative(s) in relation to the Assessment Panel.

E3 Scope and Responsibility of a change Assessment Panel

E3.1 The scope of a change Assessment Panel is limited to the proposed change and its consequential effects.

E3.2 The scope of the assessment may broaden during the assessment process due to modification of the proposed change as an alternative.

E3.3 The Assessment Panel is responsible for the fair and non-discriminatory assessment of the Change Proposal under consideration with due reference to the Core Principles set out in PRO Section A.

E4 Convening a change Assessment Panel

E4.1 An Assessment Panel for a Change Proposal is convened when instructed by the General Secretary following the issue of a Change Proposal for review.

E4.2 A change Assessment Panel must have a quorum of three Members for all decisions.

E4.3 At its first meeting, and subsequently on an 'as required' basis, the members of an Assessment Panel will elect a chairman, such that all meetings have a nominated chairman.

E5 Conduct of Assessors

E5.1 The conduct of the members of the Assessment Panel shall be in accordance with PRO Section K.

E5.2 In the event of the Panel not being unanimous, each member of the Assessment Panel participating in the assessment of a Change Proposal will have a single vote concerning that Change Proposal.

E6 **Change Assessment Panel Report**

E6.1 The Assessment Panel must submit a report of its deliberations and consultations to the General Secretary.

E6.2 The report must be in electronic written form.

E6.3 The content of the report must include:

- (a) the names of the Panel members who have participated in the assessment;
- (b) the date of completing the assessment;
- (c) a short summary of the Change Proposal and any alternative derived;
- (d) the recommendations of the Panel being:
 - (i) to implement the proposed change; or
 - (ii) to implement the alternative change; or
 - (iii) to reject the proposal with no suitable alternative; and
 - (iv) the recommended date of implementation (if applicable);
- (e) an account of the considerations and any consultation undertaken;
- (f) the rationale for no consultation (if applicable);
- (g) identification of any consequential changes, e.g. to Domain Schemes, and identification by class or individual naming of such affected documentation;
- (h) if the members of the Panel are unable to be unanimous in their recommendation, the opinion and size of both the majority and minority should be listed;
- (i) the rationale for the recommendation; and
- (j) draft documentation incorporating the proposed change.

E6.4 The General Secretary will prepare a paper containing the report for approval at the next General Meeting as appropriate.