



EECS Rules
Subsidiary Document

AIB-EECS-SD01 Assessment Panels

Version: Release 4.1
Date: 5 May 2021

AIB-EECS-SD01: Assessment Panels

Release 4.1

Status of this document

This document, AIB-EECS-SD01 Assessment Panels, 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.

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 19th June 2020.

The effective date of this EECS Rules subsidiary document is 22nd June 2020.

Signed by the Secretary General:

A handwritten signature in blue ink, appearing to be 'L Switten', written over a horizontal line.

L Switten

5th May 2021

This document contains materials the copyright and other intellectual property rights in which are vested in the Association of Issuing Bodies. The Association of Issuing Bodies is a registered organisation under Belgian law.



AIB-EECS-SD01
ASSESSMENT PANELS



Document History

Version	Issue Date	Reason for Issue
Draft 0.7	8 September 2005	For the approval of the general meeting of the AIB
Release 1.0	22 September 2005	Release
Release 1.0 (working version 1)	10 November 2005	For the approval of the general meeting of the AIB
Release 2.0	01 December 2005	Release
Draft 3.0	05 July 2011	For the approval of WGIA
Release 3.0	23 September 2012	Release
Release 3.1	23 September 2012	New AIB logo
Release 3.2	28 November 2013	
Release 3.3	17 March 2014	CR1313 Inclusion of ICS Information in an EECS Certificate
Release 3.4	9 June 2014	Correction to cross-references in release 3.3
Release 3.5	2 December 2016	
Release 3.6	21 st July 2017	AIB-2017-GM02-04: Cooperation of members to periodic audits
Release 3.7	8 th June 2018	CR1803: Slight adaptation to the penalty system for late audits in SD01
Release 4.0	19 th June 2020	Implementation of the new organisation model
Release 4.1	4 th May 2021	Make review telco optional

Contents

A	INTRODUCTION AND PURPOSE	6
A1	Introduction.....	6
A2	Purpose	6
B	ASSESSMENT PANELS	7
B1	Function of Assessment Panels.....	7
B2	Forms of Assessment Panels	7
C	PRODUCT RULES ASSESSMENT PANELS	8
C1	Purpose	8
C2	Composition of a Product Rules Assessment Panel.....	8
C3	Product Rules Assessment Panel Matrix	9
C4	Scope and Responsibility of a Product Rules Assessment Panel	9
C5	Convening a Product Rules Assessment Panel	10
C6	Resource Requirements	12
C7	Conduct of Reviewers	12
C8	Product Rules Assessment Panel Report	13
C9	Closing Down a Product Rules Assessment Panel	14
D	COMPLIANCE ASSESSMENT PANELS	15
D1	Purpose	15
D2	Composition	15
D3	Convening a Compliance Assessment Panel	15
D4	Scope and Responsibility of a Compliance Assessment Panel.....	16
D5	Conduct of Reviewers	16
D6	Compliance Assessment Panel Report	16
D7	Appeal	17
D8	Rectification Orders.....	17
D9	Closing Down a Compliance Assessment Panel	18
E	CHANGE ASSESSMENT PANELS	18
E1	Purpose	18
E2	Composition of a change Assessment Panel	18
E3	Scope and Responsibility of a change Assessment Panel	18
E4	Convening a change Assessment Panel	18
E5	Conduct of Assessors	19
E6	Change Assessment Panel Report	19
F	ICS ASSESSMENT PANELS	20
F1	Purpose	20



ASSESSMENT PANELS



F2	Composition of an ICS Assessment Panel	20
F3	Scope of an ICS Assessment Panel	20
F4	Convening an ICS Assessment Panel	20
F5	Conduct of Reviewers	20
F6	ICS Assessment Panel Report.....	20

A INTRODUCTION AND PURPOSE

A1 Introduction

A1.1 This document is a subsidiary document to the EECS Rules of the Association of Issuing Bodies (AIB).

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

- (a) F – 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 EECS Rules and related subsidiary documents.

A2 Purpose

A2.1 The purpose of this EECS Rules 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 EECS Rules.

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 EECS Rules. The system of independent and 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 Member Audit, 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 four primary forms of Assessment Panel recognized by the EECS Rules. These are: (1) Product Rules Assessment Panels, for the assessment of initial applications, applications for changes to Domains and Domain Protocols, and Periodic Member Audit; (2) Compliance Assessment Panels, for investigation of alleged non-compliance and reviews where a broader remit is required; (3) change Assessment Panels for assessing Change Proposals for the EECS Rules and its Subsidiary Documents; and (4) ICS Assessment Panels, for assessing initial applications and applications for changes to Independent Criteria Schemes.
- B2.2 The figure below is an illustration of the structure and forms of Assessment Panels.

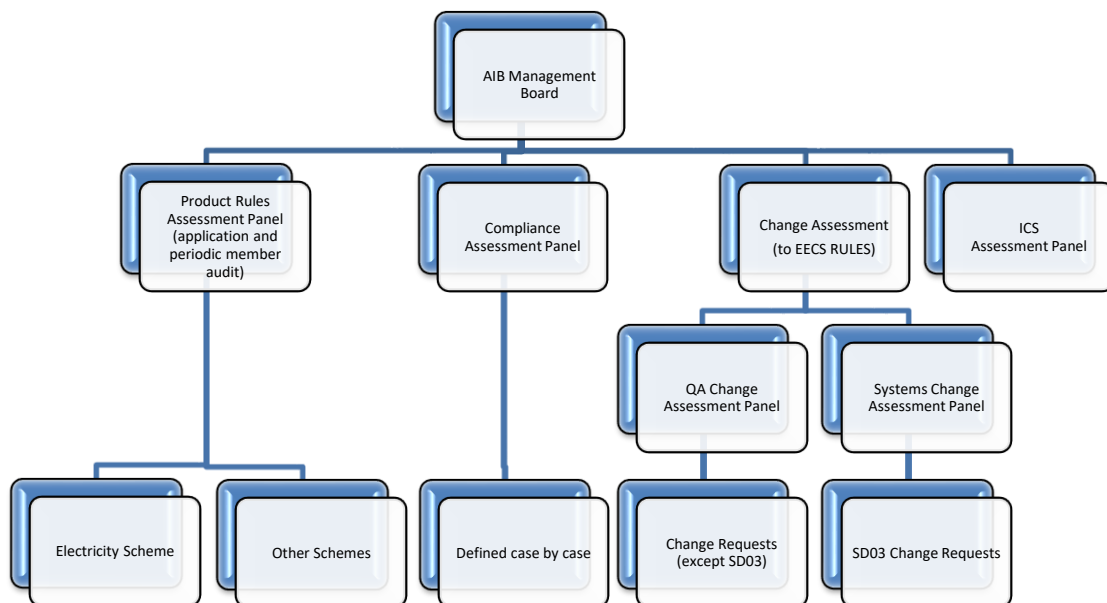


Figure 1 Assessment Panel Structure

C PRODUCT RULES ASSESSMENT PANELS

C1 Purpose

C1.1 A Member seeking to establish Product Rules in a Domain must first make an application through the Secretary General in accordance with EECS Rules Section F. This section also requires that, in order for the application to be successful, approval of the Member's application must be recommended to the Scheme Group by the Product Rules 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 EECS Rules Section L.

C1.3 When a Member has been suspended from an EECS Scheme, the readmission process requires it to submit to a Product Rules Assessment Panel. Whether the Member has met the terms of the suspension will form part of this assessment.

C1.4 The Product Rules Assessment Panel must review the application and satisfy itself that the Product Rules meets the criteria set out in C4 below and will be operated in a manner that is compliant with the EECS Rules.

C2 Composition of a Product Rules Assessment Panel

C2.1 The composition of a Product Rules Assessment Panel shall be in accordance with EECS Rules Section K.

C2.2 The composition of the Product Rules Assessment Panel should ensure fair and independent reviews of each Member.

C2.3 A Product Rules Assessment Panel shall comprise not less than two individuals, up to one from a Scheme Member and at least one Professional Reviewer.

C2.4 Subject to C2.5 and C5.4 below, the Scheme Member representation on a Product Rules Assessment Panel is determined by the Product Rules Assessment Panel matrix (see C3 below).

C2.5 For new EECS Schemes, with fewer than two existing Scheme Members, the Secretary General will appoint two Professional Reviewers to act as an initial Product Rules Assessment Panel.

C2.6 In addition to the requirements of EECS Rules Section K, the Product Rules Assessment Panel must have the following attributes:

- (a) AIB Management Board members and officers cannot be reviewers.
- (b) Subject to C2.5 above, Member's Representative reviewers must be from an approved Scheme Member or such Member's Agent.

C2.7 In addition to the requirements of EECS Rules Section K, the Product Rules 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 Product Rules Assessment Panel reviewer.

C2.8 A Scheme Member has the right to decline his obligation of participating in a Product Rules Assessment Panel on one occasion if he is unable to provide a suitable nominee. In such cases, the Secretary General will appoint another Scheme Member.

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

C3 Product Rules Assessment Panel Matrix

C3.1 A Product Rules Assessment Panel matrix shall exist for each EECS Scheme for which there are Scheme Members. This matrix will be maintained in EECS Rules Fact Sheet 12.

C3.2 The Product Rules Assessment Panel matrix is composed of all Scheme Members and Professional Reviewers and provides an arrangement of reviewers that satisfies the requirements of EECS Rules Section K.

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

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

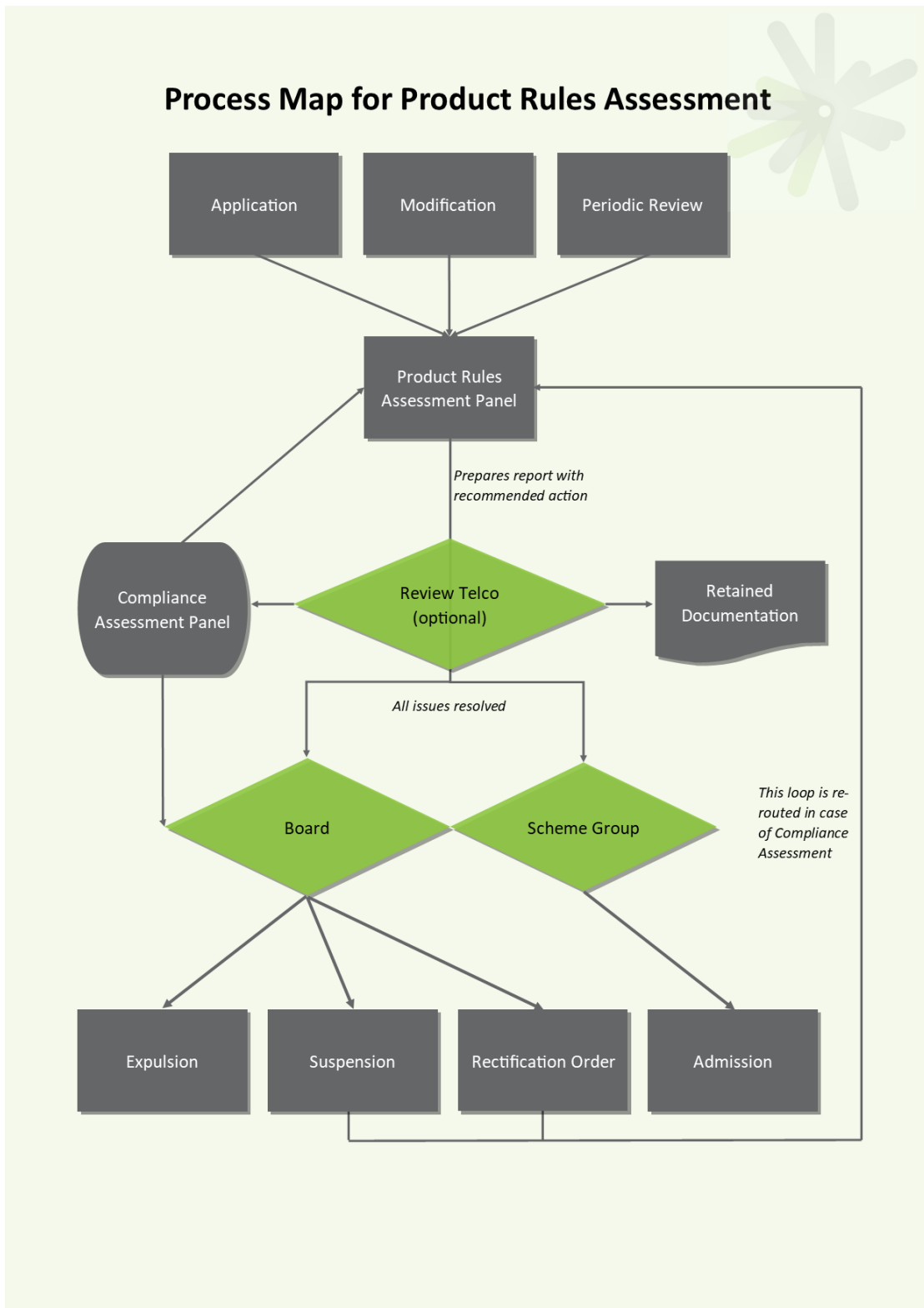
C3.5 Responsibility for maintaining the Product Rules Assessment Panel matrix rests with the chair of the Professional Reviewers Group

C4 Scope and Responsibility of a Product Rules Assessment Panel

C4.1 The scope and responsibility of a Product Rules Assessment Panel in ensuring compliance with the EECS Rules are set out in EECS Rules Sections E and F. Reference should also be made to EECS Rules subsidiary documents AIB-EECS-SD05: Change Management, AIB-EECS-SD07: Periodic Member Audit, and AIB-EECS-SD04: Member's Agents and Measurement Bodies.

C4.2 The following represents a checklist of the minimum requirement for Product Rules 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
- (k) Legal authorisation (if appropriate)
- (l) Upholding the EECS Core Principles



C5 Convening a Product Rules Assessment Panel

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

-
- (a) on receipt of an application to establish Product Rules in a Domain.
 - (b) for a Periodic Member Audit on, or shortly before, one year from the date of initial Product Rules application approval.
 - (c) for a Periodic Member Audit on, or shortly before, the third anniversary of the last Assessment Panel report from a Periodic Member Audit.
 - (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 Sanctions on non-fulfilment of periodic member obligations

Members that are to be audited are informed by the professional reviewers of the periodic audit schedule. If members are in breach of the timing, the following sanctions are executed:

- (a) **Phase 1: Penalty payments:** A delay in member audits of 6 month will result in penalty payments of 500 Euros for the member that is to be audited. This implies that the professional reviewers have informed the member that is to be audited in due time about the audit requirement and the member could for several reasons not set up an audit on site with the reviewers. In case of non – payment, the member receives a notice of default after 6 weeks and a second notice after another 6 weeks. If the payment is still not made, than the member reaches the second phase of penalty payments which results in doubling the payments. After a 9 month delay, the member is obliged to pay 1,000 Euros as sanction to the AIB with the same reminding periods of 6 weeks for the first notice and another 6 weeks for the second notice. If the member still has not proceeded with the audit procedure, phase 2 of the sanction model is reached. The penalty payments will cease with the fulfilled audit and approval in the Scheme Group.
- (b) **Phase 2: Blocking the exports from the member country.** This comes into effect after 1 year of delay in addition to the penalty payments of 1,000 Euros by the member that is to be audited. The block on exports is lifted with the fulfilled audit and approval in the Scheme Group.
- (c) **Phase 3: Suspension of EECS Scheme membership rights with Hub disconnection** comes into effect after 1.5 years of delay in the audit in addition to penalty payments of 1,000 Euros (phase 1) and the blocking of exports from the member domain for half a year (phase 2). The hub disconnection is terminated with the fulfilled audit and approval in the Scheme Group.

Sanctions are initiated when the onsite audit is not done within an accurate time or latest 6 month delayed after the original schedule. That means, the deadline for having met the time requirements in audit is the onsite audit of the member that is to be audited. The audit report should be completed by the time of the Review Closure Notification which takes place at the latest nine months after the onsite audit. The professional reviewers are obliged to remind the member that is to be audited of the deadlines and the consequences.

C5.3 The Secretary General will maintain a calendar of planned Product Rules Assessment Panels according the schedule derived from C5.1(b) and C5.1(c) as part of EECS Rules Fact Sheet 12.

The Secretary General will request from each of the Scheme members scheduled for the Product Rules Assessment Panel, a nominated reviewer, a brief resume of their experience, their skill in respect of English and the language of the Domain being reviewed, and their contact details. The Secretary General 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.

- C5.4 Where the Product Rules 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.
- C5.5 Members are responsible for nominating representatives who are sufficiently skilled to conduct a review as part of a Product Rules Assessment Panel.
- C5.6 In order to provide a level of consistency across Product Rules Assessment Panels, Professional Reviewers will lead the Panel.
- C5.7 The Secretary General will procure an approved reviewer to a Product Rules Assessment Panel according to cost, availability and appropriate independence with regard to the Member which is the subject of the review.

C6 **Resource Requirements**

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

- (a) Preparation: 1-2 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 Product Rules Assessment to require the following resources:

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

C7 **Conduct of Reviewers**

- C7.1 The conduct of reviewers is set out in EECS Rules 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 EECS Rules or this document, he shall notify the Secretary General immediately.
- C7.5 The cost of the Professional Reviewers will be borne by the AIB.
-

-
- C8 Product Rules Assessment Panel Report**
- C8.1 The Product Rules Assessment Panel must prepare a report of its operation and findings that are published at the time of the Review Closure Notification on a link that is circulated to Scheme Members. Scheme members, reviewers and reviewees can jointly decide to organise a review telco open to all Scheme Members where these findings can be discussed, before the meeting where the Scheme Group will make a decision.
- C8.2 The report must be in written form (ideally electronic). The report format that must be used can be found in AIB-EECS-SD07 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:
 - (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 EECS Rules Section E;
 - (iii) an application for a change in a Domain, whether it approves the proposed change;
 - (iv) a Periodic Member Audit, 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 Product Rules Assessment Panel should satisfy itself that any deviations from the EECS Rules identified in the appropriate section of the Domain Protocol under review do not represent a fundamental exception or are non-compliant with the spirit and intent of the EECS Rules. Deviations should be minor and should not compromise the integrity of an EECS Certificate or of its reasonable use in another Domain.
- C8.5 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 C8.9 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.
- C8.6 Under normal circumstances, the report should be submitted within 45 calendar days of:
-

- (a) for new applications, the application being received by the Secretary General.
 - (b) for Periodic Member Audits, the date the Assessment Panel is convened by the Secretary General.
- C8.7 The Professional Reviewer will prepare for the Review Closure Notification a summarising paper containing the review report which is for formal approval at the next Scheme Group meeting as appropriate.
- C8.8 Where there are outstanding discrepancies, the Product Rules for the Domain are not compliant with the EECS Rules and the Scheme Group may withhold approval pending resolution of the issues.
- C8.9 If the Member is unable to resolve discrepancies with the Product Rules Assessment Panel, either the Panel, through its report, or the Member may request the matter to be referred to a Compliance Assessment Panel.
- C8.10 The Secretary General 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 Product Rules Assessment(s) of the same Domain Product Rules as appropriate.
- C9 Closing Down a Product Rules Assessment Panel**
- C9.1 A Product Rules Assessment Panel shall be in operation until a resolution accepting an unqualified approval recommendation from that assessment is passed by the Scheme Group; 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 Product Rules Assessment Panel is disbanded.
- C9.2 Where the matter has been passed to a Compliance Assessment Panel under C8.9 above, the Product Rules 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 Secretary General.

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 EECS Rules on behalf of the Association in accordance with EECS Rules 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 Product Rules Assessment Panel. In some cases, the Panel recommendations may lead to policy development.
- D1.3 Compliance Assessment Panel recommendations must ensure that no Members are discriminated against 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, being representatives of independent Members, professional reviewers or an independent, external arbitrator.
- D2.3 To ensure independence, where a Compliance Assessment Panel is convened to review a disputed Product Rules Assessment, no more than one of the original members of the Product Rules Assessment Panel can be eligible to be a reviewer in the Compliance Assessment Panel.
- D2.4 AIB Management Board members and the Secretary General cannot be members of a Compliance Assessment Panel. 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 Product Rules Assessment (see C8.9).
 - (b) A complaint made to the Secretary General under EECS Rules Section J.
- D3.3 With respect to D2.3 above, the Secretary General 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 and from the list of approved Professional Reviewers. If the Secretary General deems it appropriate, e.g. due to the technicality or complexity of the instance of non-compliance, he can propose a suitably skilled arbiter, external to and independent of the AIB.
- D3.5 A Compliance Assessment Panel will be invited within 14 calendar days of the Secretary General determining that a Panel should be convened.
- D3.6 Once the Compliance Assessment Panel has been formed, its first meeting shall be held within 14 calendar days.

D3.7 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.

D4 Scope and Responsibility of a Compliance Assessment Panel

D4.1 The Compliance Assessment Panel will be conducted in accordance with EECS Rules section I.

D4.2 The Secretary General 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 EECS Rules on the specific issue(s) contained in its brief. This includes compliance with the terms of its own Product Rules.

D4.4 The Compliance Assessment panel may consult the relevant Scheme Group or Unit for determining the proposed way forward.

D4.5 The Compliance Assessment Panel will submit a report to the Boardmaking recommendations that might include:

- (a) Issuing a Rectification Order with a date by which the rectification should be implemented;
- (b) Amendment to the EECS Rules or its subsidiary documents;
- (c) Suspension of the Product Rules; and/or
- (d) Expulsion of the Member from the relevant EECS Scheme.

A review Telco open to all Scheme Members may be held prior to the Board's decision.

D5 Conduct of Reviewers

D5.1 The conduct of reviewers is set out in EECS Rules 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 EECS Rules or this document, he shall notify the Secretary General 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 Secretary General.

-
- D6.2 The report must be in written form (ideally electronic). A report template is available in AIB-EECS-SD07.
- 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
 - (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 EECS Rules 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 Secretary General 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 Assessment Panel will prepare a paper containing the report for approval at the next Board as appropriate.
- D7 Appeal**
- D7.1 If a Member should 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 EECS Rules 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 EECS Rules 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 Board, 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 Secretary General 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.

E CHANGE ASSESSMENT PANELS

E1 Purpose

E1.1 The role of a change Assessment Panel is to consider Change Proposals in accordance with EECS Rules 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 – Internal Affairs) will consider changes to:

- (a) the EECS Rules;
- (b) EECS Rules Subsidiary Documents (except AIB-EECS Rules-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-EECS-SD03 – "*EECS Registration Databases*" and related technical matters.

E2.4 On behalf of the Management Board, the Secretary General 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 EECS Rules Section A.

E4 Convening a change Assessment Panel

E4.1 An Assessment Panel for a Change Proposal is convened when instructed by the Secretary General 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 EECS Rules 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 Secretary General.

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 Product Rules, 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 Secretary General will prepare a paper containing the report for approval at the next Unit or Scheme Group meeting as appropriate.

F ICS ASSESSMENT PANELS

F1 Purpose

F1.1 The role of an ICS Assessment Panel is to consider applications by ICS operators in accordance with EECS Subsidiary Document “*Independent Criteria Schemes*” and to make recommendations to the relevant Scheme Group.

F2 Composition of an ICS Assessment Panel

F2.1 An ICS Assessment Panel should consist of not less than two individuals, at least one of which must be from a Scheme Member where the Scheme includes the EECS Product(s) with which the proposed ICS is to be associated.

F2.2 Members of an ICS Assessment Panel must not come from either of the two nominated supporting Scheme Members identified under EECS Subsidiary Document “*Independent Criteria Schemes*” section D1.2.

F2.3 Members of an ICS Assessment Panel should not come from any of the supporting Scheme Members listed under EECS Subsidiary Document “*Independent Criteria Schemes*” section D1.1(d).

F2.4 The Secretary General may appoint a suitably qualified independent individual to be a member of an ICS Assessment Panel.

F2.5 Members and officers of the AIB Management Board cannot be reviewers.

F2.6 The Secretary General may waive any of the criteria in this section F2 in the event that it proves impossible to convene an Assessment Panel that meets all the criteria.

F3 Scope of an ICS Assessment Panel

F3.1 The scope of an ICS Assessment Panel shall be in accordance with EECS Subsidiary Document “*Independent Criteria Schemes*” section D2.

F4 Convening an ICS Assessment Panel

F4.1 The Secretary General will convene an ICS Assessment Panel following receipt of an application from the operator of a proposed ICS.

F5 Conduct of Reviewers

F5.1 The conduct of reviewers is set out in EECS Rules Section K.

F6 ICS Assessment Panel Report

F6.1 The format of the ICS Assessment Panel report is given in EECS Subsidiary Document “*Independent Criteria Schemes*” Appendix 1.