



EECS Rules
Subsidiary Document

AIB-PRO-SD07
Review Procedures

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Date: 8th June 2018

**Status of this document**

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

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

This EECS Rules subsidiary document was formally approved by the General Meeting of AIB members held on 8th June 2018.

The effective date of this EECS Rules subsidiary document is 11th June 2018.

Signed by the Secretary General:

PH Moody
20th July 2018

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0.2	1 November	Revised draft
0.3	17 November	Revised draft
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Release 2.0 v2	23 rd September 2011	Release
Release 2.1	2 nd February 2012	New AIB logo
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Release 4.0	20 th July 2018	Limit GM discussions on audits



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A INTRODUCTION AND PURPOSE

A1 Introduction

- A1.1 This document is a subsidiary document to the Principles and Rules of Operation (the EECS Rules) of the Association of Issuing Bodies (AIB) for The European Energy Certification System.
- A1.2 Specific reference is made to the EECS Rules Sections:
- (a) 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 EECS Rules Subsidiary Documents AIB-EECS-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.
- A1.5 The auditing processes within the AIB are supplemented by the relevant provisions of the CEN standard EN16325 including sections 5 and 12. In case of conflicting provisions, the EECS framework prevails.

A2 Purpose

- A2.1 The Core Principles set out in the EECS Rules seek to establish and maintain a quality system for the operation of the EECS Certificates network. In its preface, the EECS Rules state that the quality standard will be maintained by peer review. The mechanism of peer review is carried out through Assessment Panels (see AIB-EECS-SD01 – “*Assessment Panels*”).
- A2.2 The purpose of this EECS Rules 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-EECS-SD01 – “*Assessment Panels*”.
- A2.3 With different individuals reviewing different interpretations and methods of achieving the requirements of the EECS Rules, 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.

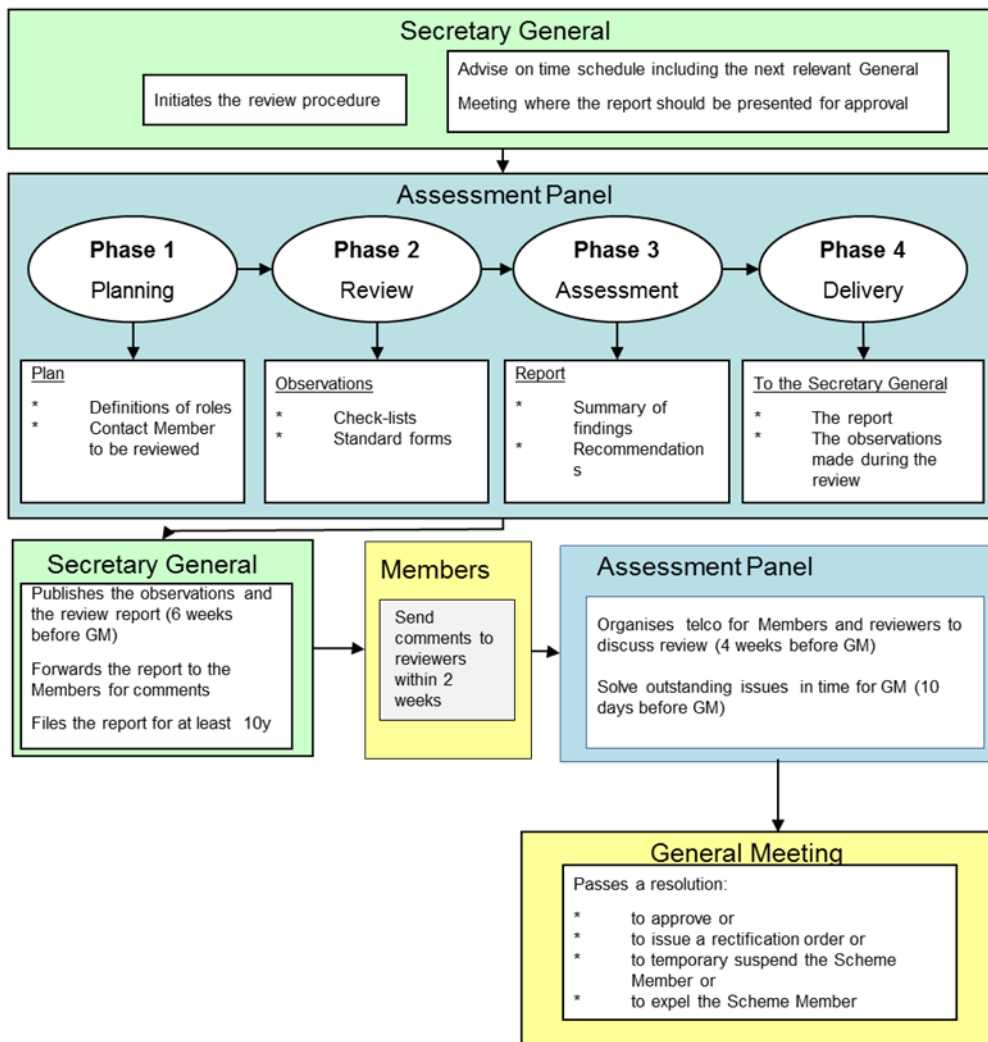
B REVIEW PROCESS

B1 Overview

B1.1 The review process consists of four phases:

- (a) a plan for conducting the review and the assessment;
- (b) systematically recording the observations (objective facts) in a review report;
- (c) methodically evaluating the observations, leading to a conclusion;
- (d) a decision of the General Meeting based on written documentation in a standard form.

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



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- B2 Phase 1 - Planning**
- B2.1 The initial task of an Assessment Panel is to set out its plan to fulfill its task.
- 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 instructions from the Secretary General;
 - (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-EECS-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 Member Audit 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 EECS Rules Sections E 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.
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- 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 EECS Rules 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 EECS Rules section mappings shown in the EECS-Domain Protocol mapping table. 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 insufficiently clear.

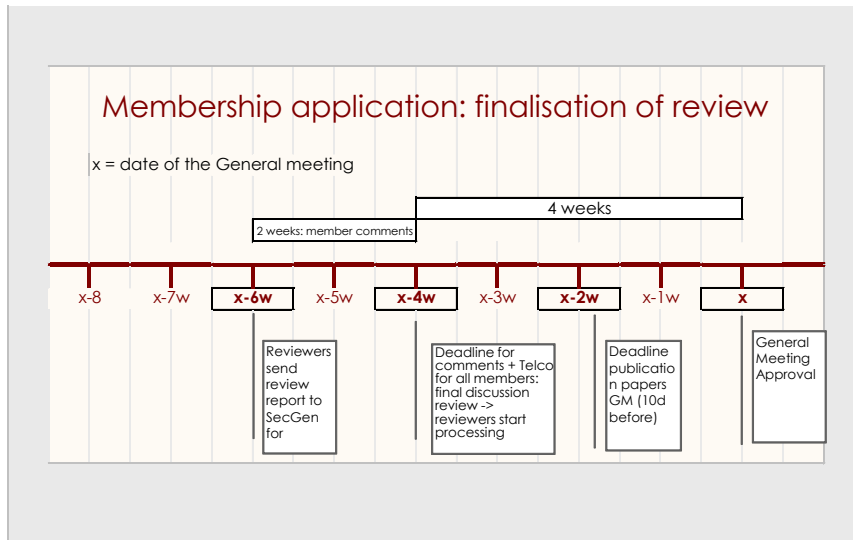
B4 Phase 3 - Assessment

- B4.1 The Assessment Panel will evaluate the observations in the context of the Member's operation and the requirements of the EECS Rules.
- B4.2 This document provides assistance with the details of conducting the assessment phase in the sections describing each of the instances of Assessment Panels.
- B4.3 The Assessment Panel should maintain a dialogue with the Member during the assessment phase, and give 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-EECS-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 outstanding observations of the assessment have been resolved or cannot be resolved, the Assessment Panel will send the Domain Protocol and the review report to the Secretary General for publication to the AIB members to obtain their comments and contributions. This point should be six weeks before the next General Meeting.
- B5.2 Members are given two weeks to contribute to the review findings and ask questions to the Assessment Panel. Subsequently a teleconference will be organised, four weeks before the General Meeting, where all members and Professional Reviewers are invited and get the chance to provide their comments. The Assessment Panel integrates the comments in the review report and sends it

to the reviewed Member or applicant to answer the comments, in order for the review to be completed in time for consideration and formal approval at the next General Meeting, according to the Articles of Association.



B5.3 When the review and the assessment have been concluded, both the observations register, the report and the adapted Domain Protocol are sent to the Secretary General by the Assessment Panel in accordance with AIB-EECS-SD01 – “Assessment Panels”.

B5.4 The observations are published to Members as a reference for:

- subsequent Assessment Panels where the subject is the same Member; and
- an Assessment Panel convened for the purpose of monitoring the effectiveness of the review process.

In accordance with AIB-EECS-SD01 – “Assessment Panels”, one of the reviewers will prepare a paper to be brought before the General Meeting based on the report. A format for the report is given in Appendix 4.

For membership applications, the member reviewer will present the review at the General Meeting. Decisions on membership applications will take place according to Section C1.

For Member Audits, the chair of the Professional Reviewers Group or an alternate will name the audited members and inform the GM about the approval/non-approval of the audits as concluded by the auditors and the participants in the Review Telco. The General Meeting will formally take a decision to confirm the approval of the audit and thereby relieve the review panel of their liability.

Last-minute objections or changes are restricted to issues relating to legality and compliance with the EECS framework.

The Secretary General will retain the report and observations for a period not less than 10 years.

B6 Process Review

- B6.1 The Professional Reviewers Group will monitor the effectiveness and conduct periodic reviews of the review process.
- B6.2 The report summarising this process 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 Secretary General's assessment archives;
 - (e) an evaluation of the ongoing value of the reviews/ assessments.
- B6.3 The report from such a review will form a decision paper to the General Meeting.

C DOMAIN SCHEME ASSESSMENT

- C1 Application for Scheme Membership**
- C1.1 The review 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-EECS-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 reviewers will communicate with a primary contact of the applicant 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 will strive to respond to a question within one working day.
- C1.6 The applicant Scheme Member must provide a Domain Protocol, a Data Sheet on GO and Disclosure, a cross-reference matrix (see B3.5 above) applicable to the Domain Protocol and the template Standard Terms and Conditions it will impose on its Market Participants (see EECS Rules E7.1.1 and F4.3.4).
- C1.7 As part of the review phase (see B3 above), the reviewers will use the checklist shown in Appendix 1 to establish completeness of the document set provided.
- C1.8 The Product Rules Assessment Panel will check the cross-reference matrix provided against the list of EECS Rules sections in the EECS-Domain Protocol mapping table given in the EECS Rules Fact Sheet AIB-EECS-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 Product Rules Assessment Panel will check the mappings in the cross-reference matrix ensuring that the requirements of the EECS Rules are adequately satisfied.
- C1.10 Any queries or doubts about the adequacy of the statements in the applicant Member’s documentation will be noted in the observation register and referred back to the applicant Member for comment.
- C1.11 The criterion for an approval is for the applicant Scheme Member to have set out how each of the requirements in the EECS Rules relating to:
- (a) Product Rules and the conveying of rights and obligations between the applicant Scheme Member and a participant in its Product Rules; 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 Secretary General, along with the completed forms from Appendices 1, 2 and 3, the Domain Protocol and the Data Sheet on GO Disclosure.
- C1.13 The presentation at the General Meeting should be a general, understandable presentation including information on disclosure, support, etc. It should follow a template to be consistent with the provided information and it should highlight major problems (outstanding or solved).
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C2 Amendment of the Domain Protocol by an Existing Scheme Member

- C2.1 Where the proposed amendment of the Domain Protocol is limited to changing the list of approved agents and measurement bodies, C3 below shall apply.
- C2.2 The Secretary General will provide the reviewers with:
- (a) a copy of the archived documentation from the last full Product Rules assessment (on application or Periodic Member Audit);
 - (b) all subsequent amendment assessments; and
 - (c) a copy of the relevant Change Proposal.
- C2.3 The review process will follow that set out in C1 above except that only those documents affected by the proposed change will be reviewed.
- C2.4 During the review, the reviewers must determine what they consider to be the impacted documentation from the checklist in Appendix 1.
- C2.5 Previously accepted statements should not be reassessed unless the proposed change has impact on their meaning or effect.
- C2.6 The assessment in C1.11 above shall be restricted to only those changes resulting from the Change Proposal.
- C2.7 At the time of amending a Domain Protocol, this shall also be adapted to the latest available template.

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-EECS-SD04 – "*Member's Agents and Measurement Bodies*".

C4 (Periodic) Member Audit

- C4.1 These reviews occur in accordance with AIB-EECS-SD01 – "*Assessment Panels*".
- C4.2 Whereas the initial application and Domain Protocol amendment assessments are documentation-only reviews focusing on the statements of a Scheme Member on how it will comply with the rights and obligations placed on it by the EECS framework, the remit of a Periodic Member Audit focuses on the operations of the Scheme Member in actually fulfilling those obligations.
- C4.3 The reviewers for the first (1 year) Periodic Member Audit should comprise the same persons as for the application assessment where possible. However, changes in the Product Rules Assessment Panel Matrix may prevent this.
- C4.4 A Periodic Member Audit 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 AIB Member, where appropriate. Access to the registry must be provided, and if available the test registry. If the AIB Member does not have access to the full chain of data establishment leading to the issuing of EECS certificates, representatives of the Production Registrar and/or Registry Operator shall be invited and the AIB Member shall ensure that access is provided to all relevant processes to be assessed. If the AIB member cannot provide the relevant access this will be recorded in the observation register. To ensure fairness and

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- objectivity, both members of the Product Rules Assessment Panel must attend the site visit.
- C4.5 The reviewers 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 Secretary General. 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 Member Audit is conducted using a sampling approach. As part of its assessment planning, the reviewers will choose a number of obligations on the Scheme Member from the EECS Rules 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.
- C4.7 The first review (at one year) must include, but is not limited to:
- (a) the process of verifying Production Devices at registration;
 - (b) the overall responsibility for issuing within the obligations being assessed;
 - (c) the publication of statistics on the reviewed member's website in accordance with section E3.3.4 of the EECS Rules;
 - (d) the local practice of electricity disclosure, including the update of the Data Sheet on GO and disclosure.
 - (e) compliance with the Hub Participant Agreement and
 - (f) consistency of the Standard Terms and Conditions with the AIB template.
- C4.8 The aim of the Periodic Member Audit 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 is available on the agreed inspection date such that compliance with the sampled EECS Rules obligations can be demonstrated to the reviewers on request.
- C4.9 An audit checklist should be prepared by the Professional Reviewers Group.
- C4.10 The initial checks carried out by the reviewers should include verification that the documents provided are the approved versions and are consistent with the currently release of the EECS Rules. This check will provide assurance that the Scheme Member has complied with the change management processes including this document (see C2 above).
- C4.11 When on site, the reviewers 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 the EECS Registration Database. Access to the database for the purposes of the assessment must not be unreasonably withheld.
- C4.12 The reviewers will maintain an observation register (Appendix 3) throughout the review.
- C4.13 The assessment should be conducted in a spirit of co-operation with the objective of providing quality assurance for all Members and market participants.
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- C4.14 During the Periodic Member Audit, the Domain Protocol of that member shall be checked for consistency with current practice. The Domain Protocol will also be adapted to the latest available template and will be reviewed against changes of the EECS-Rules since it was written.
- C4.15 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 EECS Rules; 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.
- C4.16 On completion of the assessment, the reviewers will submit their 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-EECS-SD01 – “*Assessment Panels*”.
- D1.2 The Secretary General 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 Product Rules Assessment, the brief shall include:
- (a) a copy of the documentation from the relevant Product Rules 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 review 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 Product Rules (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 EECS Rules.
- 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 Secretary General.
- D3.4 As part of its assessment, the Compliance Assessment Panel must also consider the broader context of the issue in terms of both operational best practice and the Core Principles set out in the EECS Rules Section A. Regardless of whether it finds a non-compliance, if it believes the EECS Rules 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-EECS-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 Secretary General.



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 Product Rules		
Domain Protocol		
Domain Protocol in latest available template		
Standard Terms and Conditions		
Technical Audit Report		
List of Member's Agents and Measurement Bodies (if any)		
Cross Reference Matrix		
Datasheet on GO and Disclosure		
Survey on restrictions for GO Trade, Expiry and Cancellation		

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 EECS Rules section references copied and pasted from the current version of EECS Rules Fact Sheet AIB-EECS-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 Product Rules document(s). The comments section is to be completed by the Assessment Panel.

EECS Rules Section	A	B	C	D	Reference Location	Assessment Panel Comments
A2.1.1						
A2.1.2						
A2.1.3						
A2.1.4						
A2.1.6						
A3						
A4						
A5.1.3						
A11.1.1						
C2.1.1						
C2.1.2						

EECS Rules Section	A	B	C	D	Reference Location	Assessment Panel Comments
C2.2.1						
C2.2.2						
C2.2.3						
C2.2.4						
C2.2.5						
C2.2.6						
C2.2.7						
C3.1.1						
C3.2.1						
C3.3.1						
C3.4.1						
C3.4.2						
C3.4.3						
C3.4.4						
C3.5.1						
C3.5.2						
C3.5.3						
C3.5.4						
C3.5.5						
C4.1						
C5.1.1						
C5.1.2						
C5.1.3						
C5.1.4						
C5.1.5						
C5.1.6						
C5.1.7						
C5.2.3						
C6.1.1						
C7.1.1						
C7.2.1						
C7.2.2						
C7.2.3						
C7.3.1						
C8.1.1						
C8.2.1						
C8.4.1						
C8.4.2						
C8.4.3						

EECS Rules Section	A	B	C	D	Reference Location	Assessment Panel Comments
C8.5.1						
D3.1.2						
D4.1.2						
D5.1.2						
D6.1.2						
D7.1.2						
D8.1.2						
D9.1.2						
E3.3.4						
E3.3.7						
E3.3.8						
E3.3.9						
E3.3.10						
E3.3.11						
E3.3.14						
E4.2.2						
E4.2.3						
E4.2.5						
E4.2.6						
E4.2.7						
E6.2.1						
E6.2.2						
E6.2.4						
E6.3.1						
E6.3.2						
E6.3.3						
E6.3.4						
E7.1.1						
G2.2.1						
H						
J1.1.2						
L5.1.1						
N3.1.1						
N4						
N5						
N6.2						
N6.3.1						
N6.3.2						



REVIEW PROCEDURES



EECS Rules Section	A	B	C	D	Reference Location	Assessment Panel Comments
N6.4.1						
N6.4.2						
N6.4.3						
N6.4.4						
N6.5						
N6.6.1						
N6.6.2						
N6.6.3						
N6.6.4						
N7						
N8						

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.
EECS Rules Section	
Observation	
Response from Member	
Assessment	

Observation #	2.
EECS Rules 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) Product Rules Assessment Panel / Compliance Assessment Panel	
Type of review: (delete as appropriate) Scheme member application / domain scheme amendment / Periodic Member Audit / compliance assessment	
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.



REVIEW PROCEDURES



Examples of good practice, for information to General Meeting: 1.
For attention to General Meeting: (remarkable practices, not conflicting with EECS Rules) 1.
Recommendation(s) to the General Meeting:

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

Suggestions by the reviewers or by the reviewed Member for changes to the EECS framework, to be completed by the Assessment Panel:

Suggestions for amendments of the DP template:
Suggestions for amendments to the EECS Rules:
Suggestions for amendments to the Hub
Other suggestions for amendments

Appendix 7 – GUIDELINE FOR GM PAPER

The decision paper to be brought before the General Meeting should ideally be one or two pages and have the following structure.

1. General presentation of the reviewed member

Please introduce the member, including information on country, status of Member (regulator, market operator, etc.), size of the registry (e.g. “more than 1000 account holders”), disclosure system, support, etc.

2. Main findings of the review

Please describe the main findings of the review and how issues were resolved. Don't copy the observation register. Summarise not only the problems you detected but also examples of best practices and the practices you found remarkable and of interest to the AIB members. Also list the relevant changes you applied to the Domain Protocol.

3. Recommendation to the GM

Do you recommend that (1) the review/audit and (2) the Domain Protocol should be approved?

Formulate the required decision

4. Annexes to this GM paper should be

- The Observation Register (see Appendix 3 of this SD07);
- Report format (see Appendix 4 of this SD07);
- Review planning (see Appendix 5 of this SD07);
- Suggestions for amendments (Appendix 6 to this SD07);
- The adapted Domain Protocol;
- The changed STC (if applicable);

5. Updates to legislation and documentation regarding the Domain on the AIB website