



# **EECS Rules**

## **Subsidiary Document**

### **AIB-EECS-SD09 Independent Criteria Schemes**

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**INDEPENDENT CRITERIA SCHEMES**

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**AIB-EECS-SD09: Independent Criteria Schemes**  
**Release 1.0****Status of this document**

This document, AIB-EECS-SD09 Independent Criteria Schemes, 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 13<sup>th</sup> March 2014.

The effective date of this EECS Rules subsidiary document is 18<sup>th</sup> March 2014.

Signed by the General Secretary:

PH Moody  
18 March 2014

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**Document History**

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Release 1.0	18 March 2014	Initial release



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## INDEPENDENT CRITERIA SCHEMES

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### Contents

<b>A</b>	<b>INTRODUCTION AND PURPOSE.....</b>	<b>4</b>
A1	Introduction.....	4
A2	Purpose.....	4
<b>B</b>	<b>Definitions .....</b>	<b>5</b>
<b>C</b>	<b>EECS in relation to ICS .....</b>	<b>5</b>
C1	Role of EECS .....	5
C2	ICS Flag .....	5
<b>D</b>	<b>Recognition of an ICS by the AIB.....</b>	<b>5</b>
D1	Application.....	5
D2	Approval .....	5
D3	Implementation.....	6
D4	Changes to the ICS Criteria .....	6
<b>E</b>	<b>Cessation of Support for an ICS .....</b>	<b>6</b>
E1	Conditions of Cessation .....	6
E2	Determination of Cessation.....	6
E3	Actions upon Cessation of Support for an ICS .....	7
<b>F</b>	<b>ICS Fees.....</b>	<b>7</b>
F1	ICS Application Fee .....	7
F2	ICS Annual Fee .....	7
F3	Payment of ICS fees .....	7
	<b>Appendix 1 – ICS Assessment Report .....</b>	<b>1</b>
	<b>Appendix 2 - ICS Application Form .....</b>	<b>1</b>

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## INDEPENDENT CRITERIA SCHEMES

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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 (EECS).

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

- (a) C – Harmonisation Measures
- (b) L – Change Procedures
- (c) M - General

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 Independent Criteria Schemes. This will specifically include:

- Role of EECS in supporting an ICS
- Recognition of an ICS by the AIB
- Support of an ICS by a Scheme Member
- Cessation of support for an ICS.

A2.2 This document is also intended to provide further explanation of the procedures associated with Independent Criteria Schemes set out in the EECS Rules.

## INDEPENDENT CRITERIA SCHEMES

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### B Definitions

B1 In this Subsidiary Document, unless the context otherwise requires or there is express provision to the contrary, terms shall have the meanings respectively ascribed to them in the EECS Rules:

TERM	MEANING
ICS Flag	A data item on an EECS Certificate denoting energy production compliant with the conditions of an ICS
ICS Operator	An organisation that offers one or more Independent Criteria Schemes

### C EECS in relation to ICS

#### C1 Role of EECS

C1.1 The EECS Transfer System facilitates an ICS by associating it with an EECS Certificate to provide traceability. Accreditation of Production Devices to an ICS and any activities required at the point of consuming that Certificate beyond Cancellation are outside the scope of the EECS Transfer System.

#### C2 ICS Flag

C2.1 The presence of an ICS Flag on an EECS Certificate indicates that the corresponding Output fulfils the additional criteria of a specific ICS. An EECS Certificate may carry more than one ICS Flag.

### D Recognition of an ICS by the AIB

:

#### D1 Application

D1.1 The organisation applying for recognition of its ICS shall complete an ICS application form (see Appendix 2) which requires the applicant to:

- (a) Confirm that it agrees to the contractual conditions specified by the AIB;
- (b) Provide details of the organisation that operates the ICS, including contact and financial details;
- (c) Provide a definition of the ICS, including criteria and verification procedures; and
- (d) Provide a list of those Domains in which Scheme Members have agreed to place ICS Flags for this ICS onto EECS Certificates at Issue (note: the list of domains can be updated later).

D1.2 The applicant shall send the completed application form to the AIB Secretary General, along with confirmation that they agree to place ICS Flags for this ICS onto EECS Certificates at Issue from at least two of the Scheme Members whose Domains are listed according to section D1.1(d).

D1.3 On receipt of the completed application and supporting documents, the Secretary General will convene an ICS Assessment Panel to review the application.

#### D2 Approval

D2.1 The ICS Assessment Panel will determine whether the operational requirements of the proposed ICS are not inconsistent with the EECS Rules as apply to the Legislative Certification Scheme or Non-Governmental Certificate to which the ICS Flag association is proposed. It will

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## INDEPENDENT CRITERIA SCHEMES

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also verify that the applicant has established an agreement with the relevant Scheme Members to Issue with the relevant ICS Flag.

- D2.2 The ICS Assessment Panel shall not unreasonably withhold recommendation for approval.
- D2.3 The submitted ICS Assessment Panel report will be placed on the agenda of the next General Meeting for decision. The decision paper will include an implementation date from which the ICS Flag for this ICS can be used.

### D3 Implementation

- D3.1 Prior to the implementation date of the ICS, the General Secretary will update the EECS Rules Fact Sheet “*EECS Scheme Members and EECS Products*” to include the new ICS, with hyperlinks to any relevant documents.
- D3.2 The ICS Operator will notify each Scheme Member listed under section D1.1(d) of the Production Devices located in that Scheme Member’s Domain and their effective dates of accreditation.
- D3.3 The Scheme Member for each Domain listed in accordance with Section D1.1(d) shall make the appropriate adjustments to its Registry and its operating procedures to facilitate Issuing EECS Certificates with the ICS Flag. It will also amend its Domain Protocol to include the issuance of the relevant EECS Product(s) with an ICS Flag. All Scheme Members shall adjust their Registries to accommodate the ICS.
- D3.4 A Scheme Member listed in Section D1.1(d) must display the relevant ICS on its registry and any relevant Cancellation Statements that it produces in relation to an EECS Certificate held on its registry; and a Scheme Member that is not listed in Section D1.1(d) may do so at its own discretion.

### D4 Changes to the ICS Criteria

- D4.1 In the event of a proposed change to the criteria or use of an ICS, the ICS Operator must reapply for approval of the ICS in advance of the implementation of that change.

## E Cessation of Support for an ICS

### E1 Conditions of Cessation

- E1.1 The conditions under which the AIB may cease to support an ICS include (*inter alia*):
- (a) Notification of cessation to the AIB by the ICS Operator;
  - (b) Insolvency or cessation of operation of the ICS Operator;
  - (c) Fewer than two Scheme Members have Issued EECS Certificates with the relevant ICS Flag in the last 12 months;
  - (d) Absence of any evidence from the ICS Operator of the use of the ICS by energy suppliers or consumers in the last 12 months;
  - (e) A change to the criteria applied by the ICS Operator from the information given in the latest application form without the approval of the AIB prior to implementation;
  - (f) Failure by the ICS Operator to pay the annual ICS fee;
  - (g) Failure to comply with the conditions of support identified in the Application; or
  - (h) A substantiated complaint by a Scheme Member that is upheld by the General Meeting.

### E2 Determination of Cessation

- E2.1 Except where the ICS ceases to operate by notification of the ICS Operator, or that ICS Operator is no longer in operation, the determination to cease support will be by a decision of the General Meeting.

## INDEPENDENT CRITERIA SCHEMES

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- E2.2 The General Secretary will instruct all Scheme Members to stop Issuing EECS Certificates with the relevant ICS Flag(s) following:
- (a) A decision of the General Meeting to cease support; or
  - (b) Notification from the ICS Operator of his intent to stop; or
  - (c) Non-payment of annual fee where one is due; or
  - (d) An official report of the insolvency or cessation of operation of the ICS Operator.
- E2.3 The General Secretary will determine an appropriate effective date of cessation and include this in the instruction in section E2.2.

### E3 **Actions upon Cessation of Support for an ICS**

- E3.1 From the effective date of cessation of support for an ICS, no Scheme Member may Issue an EECS Certificate with the relevant ICS Flag.
- E3.2 An existing EECS Certificate carrying an ICS Flag for an ICS which is no longer supported may retain the ICS Flag until such time as that Certificate is Cancelled, or Expires, or is Withdrawn.
- E3.3 No further ICS fees will become due.

## F **ICS Fees**

### F1 **ICS Application Fee**

- F1.1 The ICS Application fee shall be calculated as sufficient to cover the AIB's cost of administering the application. This shall not include any costs of its Scheme Members except in relation to the participation in an ICS Assessment Panel.
- F1.2 The General Meeting will determine the ICS application fee on an annual basis.

### F2 **ICS Annual Fee**

- F2.1 The ICS annual fee shall be calculated as sufficient to cover the ongoing administration of support provided by the AIB itself and shall not include the costs of any of its Scheme Members.
- F2.2 The General Meeting will determine the annual ICS fee on an as required basis.

### F3 **Payment of ICS fees**

- F3.1 The ICS application fee will be payable on application.
- F3.2 The annual ICS fee will become payable on 1<sup>st</sup> April for the forthcoming year.



# INDEPENDENT CRITERIA SCHEMES

## Appendix 1 – ICS Assessment Report

ICS Operator	
Domains of Members that have formally agreed to issue EECS Certificates bearing ICS Flags for this ICS	

The following ICS has been reviewed for the Organisation and Domains given in the above table.

ICS Name	
----------	--

Observations/comments from the assessment panel: \_\_\_\_\_

Recommendation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signed on behalf of the ICS Assessment Panel

Reviewer and Member represented:	Date:	Signature:



## Appendix 2 - ICS Application Form

### Pro forma Independent Criteria Scheme Application

Association of Issuing Bodies  
21/23 Station Road  
Gerrards Cross  
Bucks  
SL9 8ES  
United Kingdom

Date: \_\_\_\_\_

For the attention of the President, AIB

cc: the Secretary General, AIB

#### Application for Recognition as an Independent Criteria Scheme

Dear Sirs,

\_\_\_\_\_ (the Applicant) wishes to apply for recognition of  
\_\_\_\_\_ (the relevant Criteria Scheme<sup>1</sup>) as an Independent  
Criteria Scheme (ICS) of the Association of Issuing Bodies (the AIB). For that purpose, I confirm that  
the Applicant:

- acknowledges receipt of a copy of the EECS Rules, approves it and agrees to be bound by those terms, including EECS Subsidiary Document AIB-EECS-SD09 Independent Criteria Schemes, that are relevant to an ICS;
- has a legal personality according to the laws of the country of \_\_\_\_\_
- operates this ICS, in that it is responsible for guaranteeing certain qualities in relation to a specific unit of energy regarding the source of the energy or the means of its production and which are to be recorded on a Non-Governmental Certificate or a Certificate issued within a Legislative Certification Scheme;
- will not change the purpose, use or meaning of the ICS without prior consultation with the AIB;
- acknowledges that the AIB is not responsible for the display or otherwise of ICS information on Certificates held within a Member's registry;
- commits to pay the yearly ICS fee;
- will support the purpose of the AIB;

<sup>1</sup> Examples of "Criteria Schemes" are Bra Miljöval, EKOEnergy, TÜV SÜD Generation EE ...

# AIB ICS APPLICATION FORM



- commits itself to contributing to the purpose of the Association in general and complying with the provisions laid down in the EECS Rules in accordance with its responsibilities; and
- commits itself to further the objectives set out in section A (“Core Principles”) of the EECS Rules.

The person with responsibility for representing the wishes of the Applicant in dealings with the AIB (the Representative) will be:

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Position: \_\_\_\_\_

Tel: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Should the Representative be unavailable, then the following person (the Alternate) will replace him:

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Position: \_\_\_\_\_

Tel: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

The visit address of the Applicant is:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

The postal address of the Applicant is:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# AIB ICS APPLICATION FORM



The financial details of the Applicant are as follows.

Company Registration Number: \_\_\_\_\_

Registered name and address:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

VAT registration number: \_\_\_\_\_

Accounts contact: Name: \_\_\_\_\_

Position: \_\_\_\_\_

Tel: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Bank details: Bank: \_\_\_\_\_

BIC/Swift code \_\_\_\_\_

Account name: \_\_\_\_\_

Account number: \_\_\_\_\_

As required, I attach a completed copy of the AIB ICS Questionnaire.

Yours faithfully,

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Company: \_\_\_\_\_

Date: \_\_\_\_\_

# AIB ICS APPLICATION FORM



Responses to questions asked on this questionnaire are for the information of AIB and its members, and will not necessarily influence the decision taken on your application.

Please feel free to continue your response on a separate sheet of paper.

## 1. **Basic Information**

- 1.1. Corporate name (according to national company register)..... \_\_\_\_\_
- 1.2. Organisation number on national company register..... \_\_\_\_\_
- 1.3. Trading name(s) (if trading under a different name to corporate name) \_\_\_\_\_
- 1.4. Address of registration..... \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
City / Town..... \_\_\_\_\_  
Postcode..... \_\_\_\_\_
- 1.5. Phone (switchboard)..... \_\_\_\_\_
- 1.6. Web site ..... \_\_\_\_\_

## 2. **SUPPORTING DOCUMENTS**

- 2.1. Please attach a copy of your audited annual report for the last 3 years (original document and a translation in English).
  
- 2.2. Please attach a business plan of your certificate trading activity over the next 3 years.

# AIB ICS APPLICATION FORM



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## 3. IDENTITY

3.1. What is your company type?

- Governmental agency
- Non-Governmental Not-For-Profit Organisation
- Commercial firm (Utilities, industry)
- Other (describe status): \_\_\_\_\_

3.2. Unless you are a governmental agency:

- 3.2.1. When was your company founded? ..... \_\_\_\_\_
- 3.2.2. Where was your company established? ..... \_\_\_\_\_
- 3.2.3. Please indicate the number of employees that work for your company? ..... \_\_\_\_\_

3.3. Please indicate in which countries your company is active.

3.4. Please describe the main business of your company.

# AIB ICS APPLICATION FORM



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3.5. Please give an overview of your member or shareholder (as applicable) structure (indicate their respective shares if >10%).

3.6. Please give an overview of the changes of your member or shareholder (as applicable) structure over the past 3 years.

## 4. Relevant Criteria Scheme

4.1. Name of Criteria Scheme: \_\_\_\_\_

4.2. Please attach a description of the Criteria Scheme

# AIB ICS APPLICATION FORM



## 5. ICS ACTIVITIES

5.1. Identity of certificate issuers that have formally agreed to record on EECS Certificates that they issue and the countries in which they operate

- [NB: (1) there must be at least two countries – feel free to add a list of further countries as an attachment  
(2) each certificate issuer listed must be a member of the AIB  
(3) this application form must be accompanied by a letter from two of these certificate issuers formally undertaking to record on the EECS Certificates that they issue, their eligibility under this ICS

	<u>Country</u>	<u>Issuer</u>
5.1.1.	_____	_____
5.1.2.	_____	_____
5.1.3.	_____	_____
5.1.4.	_____	_____
5.1.5.	_____	_____
5.1.6.	_____	_____
5.1.7.	_____	_____
5.1.8.	_____	_____
5.1.9.	_____	_____
5.1.10.	_____	_____

# AIB ICS APPLICATION FORM



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5.2. What qualification criteria will apply to production devices? For example: age of plant, type(s) of fuel, type(s) of technology, criteria used by auditors:

5.3. Describe the qualities of your process

5.3.1. Description of verification process

5.3.2. Degree of auditor discretion or subjectivity



# AIB ICS APPLICATION FORM



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## 6. OTHER INFORMATION THAT MIGHT ASSIST YOUR APPLICATION